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## DISSERTATION COUNCIL REGULATIONS

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Revision 4

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## 1. General provisions

- 1.1 These Regulations on the Dissertation Council (hereinafter referred to as the Regulations) determine the status and powers of the Dissertation Council of International University of Information Technologies JSC (hereinafter referred to as the University), as well as the procedure for its work.
- 1.2 This Regulations have been developed in accordance with the Laws of the Republic of Kazakhstan “On Science” dated February 18, 2011 No. 407-IV, “On Education” dated July 27, 2007 No. 319-III, orders of the Minister of Education and Science of the Republic of Kazakhstan “On approval of the Model Regulations on dissertation council” dated March 31, 2011 No. 126 (hereinafter referred to as the Model Regulations), “On approval of the Rules for awarding academic degrees” dated March 31, 2011 No. 127 (hereinafter referred to as the Rules), “On approval of the Rules for state registration of dissertations defended for the degree of Doctor of Philosophy (PhD), doctor in the field” dated May 19, 2011 No. 203, Methodological recommendations for organizing the educational process in organizations of higher and ( or) postgraduate education in order to prevent the spread of coronavirus infection during the pandemic, approved by order of the Ministry of Education and Science of the Republic of Kazakhstan dated April 1, 2020 No. 123 .
- 1.3 The following concepts are used in these Regulations:
  - ✓ The Dissertation Council of International University of Information Technologies JSC (hereinafter referred to as the Dissertation Council) is a collegial body at the University that defends doctoral students’ dissertations;
  - ✓ Doctor of Philosophy (PhD), doctor in the field - degrees awarded to persons who have completed a doctoral program in a scientific and pedagogical direction or a relevant field of professional activity and defended a dissertation in the Republic of Kazakhstan or abroad, recognized in the manner established by the legislation of the Republic of Kazakhstan.
- 1.4 The Dissertation Council is responsible for the quality, objectivity and validity of decisions made on the defense of dissertations.

## 2. Organization of the activities of the Dissertation Council

- 2.1 The Dissertation Council is created for three (3) calendar years if there is a state educational order at the university for the 1st, 2nd and 3rd years of study in the relevant areas of training.
- 2.2 The Dissertation Council includes at least six (6) people who have an academic degree (candidate of sciences, doctor of science, doctor of philosophy (PhD), doctor in the field) or an academic degree of doctor of philosophy (PhD), doctor in the field or a doctor of philosophy degree ( PhD), doctor in the field.

At least 50% of the members of the dissertation council are representatives of other universities, scientific and (or) other organizations.

As part of the dissertation council, 50% of the members of the dissertation council are permanent members, including the chairman, deputy chairman and academic secretary.

As part of the dissertation council, 50% of the members of the dissertation council are appointed temporarily for the period of the doctoral student’s defense, depending on the topic of the doctoral research. Scientific consultants, as well as persons affiliated with the doctoral student or his scientific consultant, are not appointed as temporary members of the dissertation council:

- ✓ close relatives - parents, children, adoptive parents, adopted children, brothers and sisters, grandparents, grandchildren, spouse, in-laws;
- ✓ employees of organizations with which the doctoral student or scientific consultant has an employment or other relationship that involves receiving financial or other resources from them;
- ✓ co-authors of articles and reviews published jointly over the past 3 years.

2.3 The Dissertation Council does not include:

- ✓ Rector of the University;
- ✓ employees of the Ministry of Science and Higher Education of the Republic of Kazakhstan;
- ✓ specialists who were scientific consultants, dissertation supervisors who received a negative decision from the Committee for Quality Assurance in the Field of Science and Higher Education of the Ministry of Science and Higher Education of the Republic of Kazakhstan (hereinafter referred to as the Committee) on the content of the dissertation over the past five (5) years.

2.4 In the Dissertation Council, at least two thirds (2/3) of the members have an H-index of at least 3 or at least 3 publications in editions included in the first three quartiles according to the Journal Citation Reports of Clarivate Analytics, or having in the database Scopus percentile score according to CiteScore of at least 35 in at least one of the scientific fields corresponding to the areas of personnel training.

2.5 The permanent composition and changes in it, as well as the chairman, deputy chairman and academic secretary of the council are approved by order of the Chairman of the Board, the Rector based on the decision of the Academic Council of the University.

2.6 The university provides:

- ✓ necessary conditions for holding meetings of the Dissertation Council and public defense of dissertations, including through the use of information and communication technologies, software and hardware;
- ✓ checking dissertations in licensed borrowing detection systems, including international databases;
- ✓ reimbursement of expenses related to the activities of the Dissertation Council, including travel expenses of members of the Dissertation Council.

2.7 Chairman of the Dissertation Council:

- ✓ carries out general management of the activities of the Dissertation Council;
- ✓ conducts council meetings;
- ✓ accepts the dissertation work for defense, determines the timing of the defense;
- ✓ ensures compliance with the eligibility of the dissertation defense in accordance with established requirements;
- ✓ bears responsibility for the activities and organization of the work of the Dissertation Council.

2.8 The Deputy Chairman of the Dissertation Council performs the functions of the Chairman of the Dissertation Council for holding a meeting of the council in cases where the Chairman of the Council is a scientific consultant on the dissertation being defended, as well as in the absence of the Chairman of the Dissertation Council.

2.9 The academic secretary of the Dissertation Council provides:

- ✓ checking the compliance of documents submitted by the doctoral student with the established requirements;
- ✓ formation of a doctoral student's certification file after defending his dissertation;
- ✓ quorum at meetings of the Dissertation Council;
- ✓ preparation of documentation necessary for holding meetings of the Dissertation Council;
- ✓ control over the defense procedure;
- ✓ organization of technical equipment of the Dissertation Council;
- ✓ preparation of a report on the work of the Dissertation Council for the calendar year.

2.10 The grounds for closing the dissertation council are:

- ✓ Three (3) or more decisions of the Committee on dissertations defended in the Dissertation Council, on the basis of which the doctoral student is refused a degree or the dissertation is sent for revision or re-defense;
- ✓ deprivation of a license to conduct educational activities in relevant areas of doctoral training;
- ✓ expiration of the accreditation period for the doctoral educational program.

2.11 If the Dissertation Council violates the requirements established in the Model Regulations more than 3 times, the chairman, deputy and academic secretary of the Dissertation Council are replaced.

### **3. Functions of the Dissertation Council**

3.1 Functions of the Dissertation Council:

- ✓ acceptance of documents for dissertation defense;
- ✓ appointment of temporary members of the Dissertation Council, defense dates and official reviewers;
- ✓ creation of a commission from among the members of the Dissertation Council (hereinafter referred to as the Dissertation Council Commission) to check the dissertation for the use of borrowed material by the doctoral student without reference to the author and source of borrowing (plagiarism);
- ✓ conducting a public defense of a dissertation;
- ✓ making a decision on the dissertation;
- ✓ other functions established by these Regulations.

3.2 Members of the Dissertation Council:

- ✓ provide objective, complete and reliable information;
- ✓ do not allow concealment of data related to the defense of the dissertation;
- ✓ respond to facts of violation of scientific ethics;
- ✓ when making decision, are free from the influence of public opinion, one of the parties or third parties;
- ✓ take measures to prevent and resolve conflict of interest;
- ✓ in the course of their activities do not use rude, offensive language, or accusations that are detrimental to the honor and dignity of other council members, doctoral students, scientific consultants and official reviewers.

If facts of non-compliance with the requirements specified in this clause are revealed, a member of the Dissertation Council is expelled from its composition.

- 3.3 At the end of the calendar year, the Dissertation Council submits to the Committee a report on the work of the Dissertation Council in the form according to Appendix 1.
- 3.4 The report on the work of the Dissertation Council is posted on the University's Internet resource within fifteen (15) working days after the end of the calendar year.
- 3.5 The dissertation council defends a dissertation presented by a doctoral student in the form of a dissertation or a series of articles published by the doctoral student in accordance with the requirements of clause 5–1 of the Rules.

who, based on studying the content of the dissertation and the doctoral student's publications, provide reviews in writing

#### **4. Requirements for admission to defend a dissertation work**

- 4.1 Doctoral students who have completed the full course of the doctoral educational program and have submitted dissertation works for registration, completed in accordance with the requirements of subclauses 5, 6, 7 of the Rules.
- 4.2 To check the compliance of scientific publications with clause 6 of the Rules, the doctoral student submits the following documents to the academic secretary:
  - ✓ a list of published scientific papers in electronic and printed form with confirmation of the presence of impact factors for journals in the Web of Science databases (Clarivate Analytics) and/or indexing of journals in Scopus. Publications in international peer-reviewed scientific journals are confirmed by a certificate from the National Center of State Scientific and Technical Expertise Joint Stock Company (hereinafter referred to as NCSSTE);
  - ✓ extracts from orders or copies of orders of the university where the doctoral student studied, on approval of the topic of the dissertation and scientific consultants, as well as on admission to defend the dissertation;
  - ✓ a copy of the transcript on mastering the professional doctoral educational program, certified at the place of study;
  - ✓ copies of diplomas of higher and postgraduate education with appendices.

#### **5. The procedure for conducting a preliminary examination of a dissertation at the department and (or) in a structural division**

- 5.1 Before accepting documents for defense, the university where the doctoral student studied conducts a preliminary discussion of the dissertation at an extended meeting of the department or the scientific (academic) board of a structural division of the university (hereinafter referred to as the extended meeting). 1 (one) month before the extended meeting, the dissertation is sent for review to two (2) specialists with an academic degree (Doctor of Science, Candidate of Science, Doctor of Philosophy (PhD), Doctor of Science) or the academic degree of Doctor of Philosophy (PhD), Doctor of Science profile, or the degree of Doctor of Philosophy (PhD), a doctor in the field of scientific research of a doctoral student, who, based on studying the content of the dissertation and the doctoral student's publications, provide reviews in writing. Reviewers are appointed by the chairman of the extended meeting. Reviews are issued to the doctoral student no later than five (5) working days before the extended meeting.
- 5.2 The extended meeting is attended by at least two thirds (2/3) of the members of the department, reviewers, members of the scientific or academic board of a structural division, scientific consultants, as well as representatives of related (corresponding) departments and (or) structural divisions of the university, scientific and other organizations, practitioners (for dissertations of an applied nature).

In the absence of scientific consultants, their reviews on the doctoral student's dissertation are read at the meeting by the head of the department or structural division of the University, or his deputy.

5.3 The procedure for preliminary examination and discussion of the dissertation at an extended meeting at the place where the dissertation was completed includes the following:

- ✓ speech by the chairman of the extended meeting (covers the dates of approval of the topic of the dissertation research and scientific consultants, the dates and place of scientific internships within the framework of the doctoral program, the completeness of publication of the dissertation materials in the press);
- ✓ doctoral student's speech;
- ✓ questions from participants in the extended meeting, doctoral student answers;
- ✓ speeches by scientific consultants or, in their absence, announcement of reviews;
- ✓ speeches by reviewers;
- ✓ the doctoral student's responses to the reviewers' comments and conclusions on their wishes and recommendations;
- ✓ discussion of participants in the extended meeting;
- ✓ adoption of the conclusion by open voting by a simple majority of votes.

5.4 The conclusion on the dissertation on recommendation or non-recommendation for defense is drawn up in the form of minutes of an extended meeting of the department and (or) structural division, signed by the chairman of the extended meeting, the secretary and approved by the Vice-Rector for Scientific and International Affairs.

The conclusion must contain: the relevance of the research topic, scientific results, their validity and novelty, the practical and theoretical significance of scientific results, the degree of their reliability, the personal participation of the doctoral student in obtaining scientific results, the evidence of the provisions submitted for defense, the completeness of publication of the dissertation materials in the press in accordance with requirements of clause 6 of the Rules, comments and suggestions, conclusion about a recommendation or non-recommendation for protection.

5.5 The procedure for discussing the dissertation at an extended meeting of the specialized department of IITU JSC and preliminary examination are mandatory for doctoral students from other universities.

## **6. The procedure for submitting doctoral dissertations to the Dissertation Council**

6.1 After receiving a positive conclusion from the extended meeting, the doctoral student submits an application to the rector of the University to select a dissertation council in which he will defend himself. If the doctoral student indicates the dissertation council of another university, then within ten (10) working days the university where the doctoral student was trained sends his documents with a covering letter on University letterhead signed by the supervising vice-rector to the dissertation council.

6.2 The following documents are submitted to the Dissertation Council of IITU JSC:

- ✓ dissertation work in hardcover in one copy and on electronic media (CD) (if the dissertation is defended in the form of a dissertation work);
- ✓ abstract in the state, Russian, English languages with a total volume of at least one (1) printed sheet;

- ✓ reviews of domestic and foreign scientific consultants, certified at the consultant's place of work. The translation of a review from a foreign consultant must be notarized;
- ✓ minutes of an extended meeting of the specialized department and (or) structural division where the dissertation was carried out, with a positive conclusion and recommendation for defense, approved by the supervising vice-rector;
- ✓ a list of scientific works certified by the academic secretary of the university where the doctoral student was trained and copies of publications;
- ✓ conclusion of the Ethics Commission of the university (according to Appendix 2), where the doctoral student studied, on the absence of violations in the process of planning, assessment, selection, conduct and dissemination of scientific research results, including the protection of the rights, safety and well-being of research objects (wildlife objects and habitats).

The dissertation is presented in the state, Russian and English languages.

The registration of the documents specified in this paragraph is carried out by the academic secretary of the Dissertation Council and submits them to the Dissertation Council within no more than two (2) working days.

6.3 At the meeting of the Dissertation Council to accept the dissertation for defense, the permanent composition of the council appoints temporary members of the Dissertation Council, in accordance with the requirements of clause 5 of the Model Regulations.

6.4 No later than ten (10) working days from the date of receipt of documents, the Dissertation Council determines the date of defense of the dissertation and appoints two official reviewers with an academic degree (Doctor of Science, Candidate of Science, Doctor of Philosophy (PhD), Doctor of Philosophy) or the academic degree of Doctor of Philosophy (PhD), doctor in the field, or a Doctor of Philosophy (PhD), doctor in the field and at least five (5) scientific articles in the field of doctoral research.

The defense date does not exceed three (3) months from the date of assignment of the defense date. When setting a defense date, the order in which doctoral students' documents are received is observed.

6.5 When appointing official reviewers, the Dissertation Council is guided by the principle of independence of reviewers and scientific consultants from each other. The following persons are not designated as official reviewers:

- ✓ employees of the Committee;
- ✓ co-authors of the doctoral student on works published on the topic of the dissertation;
- ✓ managers and employees of structural divisions of the university and (or) scientific organization where the dissertation was carried out and (or) research work is being conducted, for which the doctoral student is the customer or executor (co-executor);
- ✓ specialists who were scientific consultants or official reviewers who provided a positive opinion on dissertations who have received a negative decision from the Committee on the content of the dissertation over the past three (3) years.

6.6 Official reviewers, based on studying the dissertation and published works, submit written reviews to the Dissertation Council in the form according to Appendix 3.



In the case of a dissertation defense in the form of a series of articles, official reviewers comment on the scientific level of the doctoral student's articles on the research topic. If 2/3 two thirds (2/3) or more of the content of the article is not related to the topic of the doctoral student's research, the official reviewer does not take it into account.

6.7 In reviews, official reviewers indicate one of the following solutions:

- 1) petition the Committee to award the doctoral student the degree of Doctor of Philosophy (PhD) or doctor in the field;
- 2) send the dissertation for revision (except for cases of defending a dissertation in the form of a series of articles);
- 3) refuse to award the degree of Doctor of Philosophy (PhD) or doctor in the field.

6.8 Copies of reviews from official reviewers are given to the doctoral student no later than five (5) working days before the defense of the dissertation. Replacement of official reviewers is carried out in case of written refusal or impossibility of reviewing. If the decision to replace the official reviewer is made in less than five (5) working days, the defense date is postponed.

6.9 The Dissertation Council posts on the University's Internet resource the following materials about doctoral students' defenses and the activities of the council (except for materials and dissertations containing state secrets or information for official use):

- 1) notice (announcement) about the upcoming defense indicating information about the doctoral student, temporary members of the Dissertation Council and official reviewers, the dissertation submission form, address, date and time (1 month before the set date of defense, available on an ongoing basis);
- 2) the dissertation (1 month before the established date of defense), as well as all of its revised versions based on the comments of the dissertation council with appropriate notes on the title page (available on an ongoing basis);
- 3) an abstract in the state, Russian, English languages with a total volume of no more than 15 pages (1 month before the set defense date). The abstract describes the topic, purpose of the dissertation research, research objectives, research methods, main provisions (proven scientific hypotheses and other conclusions that are new knowledge) submitted for defense, a description of the main results of the research, justification of the novelty and importance of the results obtained, compliance with the directions of scientific development or government programs, a description of the doctoral student's contribution to the preparation of each publication;
- 4) list of doctoral student's publications (1 month before the set defense date);
- 5) reviews from scientific consultants (1 month before the set date of defense), which are available for at least five (5) months after the defense;
- 6) reviews from official reviewers (5 working days before the set defense date) (according to Appendix 3);
- 7) video recording of the defense in full, editing is not allowed (posted within 5 working days after the defense and available for at least 5 months after the defense);
- 8) conclusion of the Dissertation Council on sending the dissertation work for revision, re-defense or on refusal to award the degree of Doctor of Philosophy (PhD), doctor in the field (posted within 5 working days after defense and available for at least 5 months after defense);

- 9) decision of the appeal commission (if available, posted within 5 working days after the decision is made and available for at least 5 months after the decision is made);
  - 10) report on the work of the Dissertation Council (posted within 15 working days after the end of the calendar year) (according to Appendix 1);
  - 11) announcements about changes in the date, time, location of the defense and about the replacement of official reviewers (if any);
  - 12) information about the composition of the Dissertation Council and the procedure for the activities of the Dissertation Council;
  - 13) information on the availability of a licensed borrowing detection system, including international databases, indicating validity periods;
  - 14) conclusion of the Ethics Commission of the university (in the form according to Appendix 2), where the doctoral student studied, on the absence of violations in the process of planning, assessment, selection, conduct and dissemination of scientific research results, including the protection of the rights, safety and well-being of research objects (wildlife objects and habitats);
  - 15) information on organizing an online meeting of the Dissertation Council in the form of a video conference.
- 6.10 When posting a dissertation work on the University's Internet resource, copyright protection is ensured, technologies are used to protect against illegal copying and further use of dissertation materials. After posting the dissertation on the University's Internet resource, changes to it are not allowed. In case of finalization of the dissertation work, its final version is posted on the University's Internet resource after the decision is made to award the degree of Doctor of Philosophy (PhD) or Doctor of Science in the field with the mark "Final version of the dissertation work."
- The University's Internet resource provides the opportunity to post unofficial reviews on the content of the dissertation with their subsequent presentation at the defense. Unofficial reviews for which it is impossible to establish authorship and where the author's email address is missing will not be submitted for defense.
- 6.11 Notification of the upcoming defense is sent by the Dissertation Council to the Committee within five (5) working days from the date of acceptance for defense.
- 6.12 Within 10 (ten) working days after acceptance for defense, the Dissertation Council sends the dissertation to be checked for the use of plagiarism by the doctoral student using domestic and international databases to the NCSSTE. The cover page and list of references used are not checked for plagiarism.
- 6.13 If there are facts of plagiarism indicated in the NCSSTE, in the reviews of official reviewers and unofficial reviews on the University's Internet resource, the Dissertation Council Commission checks the dissertation for plagiarism. The conclusion on the results of the review is presented to the Dissertation Council no later than eight (8) working days before the defense of the dissertation.
- 6.14 The Dissertation Council Commission is created from among the members of the Dissertation Council of no more than 3 (three) people to check the dissertation for the use of borrowed material by the doctoral student without reference to the author and source of borrowing (plagiarism) in the cases specified in clause 6.13 of these Regulations. The Commission cannot include the doctoral student's supervisor, as well as persons affiliated with

the doctoral student or his scientific consultant specified in clause 2.2 of these Regulations.

- 6.15 The Dissertation Council, based on the conclusion of the Dissertation Council Commission (no later than 7 working days before the defense), makes a decision on admitting the doctoral student to defense or withdrawing the dissertation from defense. The Dissertation Council informs the doctoral student about the decision made within 2 working days, and the relevant information is posted on the University's Internet resource.
- 6.16 The doctoral student has the opportunity to withdraw the dissertation from defense, but no later than seven (7) working days before its defense.

## **7. The procedure for the meeting of the Dissertation Council for the defense of a doctoral dissertation**

- 7.1 The public defense of a dissertation should have the character of a scientific discussion and take place in an atmosphere of high demands, adherence to principles and adherence to scientific ethics, while the novelty, validity of the results, conclusions and recommendations of a scientific and practical nature contained in the dissertation should be subjected to a thorough analysis.
- 7.2 At one meeting of the Dissertation Council, one (1) dissertation is defended within one (1) day, and no more than two (2) meetings are held.
- 7.3 The chairman, deputy chairman and academic secretary of the Dissertation Council cannot perform their duties at a meeting of the Dissertation Council in the case when the dissertation of a doctoral student for whom they are scientific consultants is being considered. The duties of the chairman of the Dissertation Council are assigned to the deputy chairman, the duties of the deputy chairman and academic secretary are assigned to the members by decision of the Dissertation Council.
- In cases of simultaneous absence of the chairman, deputy chairman and academic secretary, a meeting of the Dissertation Council is not held.
- The Dissertation Council provides video recording of the dissertation defense in full; editing is not allowed.
- 7.4 A meeting of the Dissertation Council is considered competent if at least two thirds (2/3) of its members took part in its work. Participation in the meeting of official reviewers and temporary members of the Dissertation Council is mandatory.
- Members of the Dissertation Council and official reviewers are allowed to take part in the defense in the form of a video conference. The public defense of the dissertation is carried out via live online broadcast on the Internet. Participation in the meeting by invited specialists from the practical field is allowed (if the dissertation is of an applied nature).
- 7.5 The Dissertation Council informs the doctoral student, members of the Dissertation Council, official reviewers about the holding of a meeting of the Dissertation Council in the form of a video conference no less than five (5) working days before the defense of the dissertation via e-mail and an announcement on the council's website.
- 7.6 When holding a meeting of the dissertation council in the form of a videoconference, the following is provided:
- ✓ visual identification of meeting participants;
  - ✓ continuous video and audio broadcast of speeches of meeting participants on the Internet;
  - ✓ video and audio recording of the meeting;

- ✓ secret voting of members of the Dissertation Council.
- 7.7 The procedure for the meeting of the Dissertation Council for the defense of a dissertation includes the following:
- ✓ introductory speech by the chairman about quorum, competence of holding the meeting, introduction of the PhD doctoral student, specialty and topic of the dissertation;
  - ✓ speech by the academic secretary to announce the compliance of the doctoral student's documents with regulatory requirements, indicating the completeness and compliance of scientific publications;
  - ✓ speech by the PhD doctoral student (report up to 20 minutes);
  - ✓ questions to the doctoral student, answers from the PhD doctoral student;
  - ✓ speeches by scientific consultants;
  - ✓ speeches by reviewers;
  - ✓ PhD doctoral student's answers to the reviewers' comments and conclusions on their recommendations;
  - ✓ speech by the academic secretary to announce unofficial reviews on the content of the dissertation submitted to the Dissertation Council (if available);
  - ✓ doctoral student's answers to comments and recommendations contained in informal reviews;
  - ✓ discussion among the members of the Dissertation Council and everyone present at the meeting of the Dissertation Council;
  - ✓ final words of the doctoral student;
  - ✓ holding a secret voting on the issue of a petition to the Committee to award a doctoral student the degree of Doctor of Philosophy (PhD) or doctor in the field;
  - ✓ speech by the academic secretary of the dissertation council on the results of the secret voting;
  - ✓ announcement of the results of the public defense;
  - ✓ preparation and acceptance of the dissertation council's conclusion on the dissertation (carried out by open voting, simple majority of votes).
- 7.8 The Dissertation Council conducts a secret voting to make one of the following decisions:
- 1) petition the Committee to award the doctoral student the degree of Doctor of Philosophy (PhD) or doctor in the field;
  - 2) send the dissertation for revision (only if the dissertation is defended in the form of a dissertation work);
  - 3) submit the dissertation for re-defense;
  - 4) refuse a request to the Committee to award a doctoral student the degree of Doctor of Philosophy (PhD) or doctor in the field.
- The dissertation work is sent for revision if it contains insignificant comments on the text, the correction of which does not change the essence of the work. If the dissertation does not comply with clauses 4 and (or) 6 of the Rules and (or) partially complies with the principles (except for the principle of academic integrity) specified in clause 5 of the Rules, then it is sent for re-defense. In case of violation of the principle of academic integrity or non-compliance with the principles of scientific novelty, internal unity, reliability, a decision is made to refuse to award the degree of Doctor of Philosophy (PhD) or doctor in the field.
- 7.9 Members of the Dissertation Council who are scientific consultants, immediate supervisors or are closely related to the doctoral student, as well as invited specialists, do not participate in voting. Official reviewers take part in secret voting,

whose votes are equivalent to the votes of the members of the Dissertation Council. Voting is carried out using special software for online polls and voting.

The decision of the Dissertation Council to petition the Committee for the award of the degree of Doctor of Philosophy (PhD) or Doctor of Science in the field is considered adopted if three quarters (3/4) or more of the people who participated in the voting voted for it.

The decision of the council to refuse a petition to the Committee for the award of the degree of Doctor of Philosophy (PhD) or doctor in the field, to send the dissertation for revision or for re-defense is considered accepted if two thirds (2/3) or more of the people participating in the vote voted for it. If the specified number of votes is not obtained, then a second secret voting is held, at which a decision is made to send the dissertation for revision or re-defense if the majority of people participating in the vote voted for it.

- 7.10 When making a decision to send for re-defense or to refuse a petition to the Committee for the award of the degree of Doctor of Philosophy (PhD) or Doctor of Science in the field, the Dissertation Council draws up a conclusion, which reflects which requirements of the Model Regulations and Rules the dissertation does not meet.

Repeated defense of the dissertation work is carried out no earlier than six (6) months after the previous defense in the manner established by these Regulations. The composition of temporary members of the Dissertation Council and official reviewers remains unchanged. The dissertation is sent for re-defense no more than two (2) times.

- 7.11 When making a decision to send for revision, the Dissertation Council adopts a conclusion containing specific comments on the dissertation work.

The revised dissertation work is submitted to the Dissertation Council within three months, which can be extended by no more than three (3) months. The decision to extend the revision period is made by the Dissertation Council based on the doctoral student's application. If the revised dissertation work is not submitted within the established time frame, the doctoral student must undergo a second defense.

In case of complete or partial disagreement of the doctoral student with the comments of the Dissertation Council, he submits reasoned answers to these comments.

The revised dissertation work is sent to the NCSSTE to check for plagiarism. After receiving the certificate from the NCSSTE, the Dissertation Council, together with official reviewers, holds a meeting to discuss the revised dissertation work and responses to comments (if any) with a view to eliminating the comments of the Dissertation Council. The meeting is held in the manner established in these Regulations. In this case, a video recording of the meeting is carried out without an online broadcast on the Internet.

After discussion, a decision is made by a simple majority of votes by secret voting to award the degree or send for re-defense.

- 7.12 If a negative decision is made, the Dissertation Council draws up a conclusion, which reflects which requirements of the Model Regulations or Rules the dissertation does not meet.

## 8. Appeal procedure

- 8.1 A dissertation for which a negative decision was made by the Committee or the Dissertation Council is submitted for re-defense in the manner established in Chapter 3 of the Model Regulations and in Section 7 of these Regulations.
- 8.2 When submitting a dissertation for re-defense, the Dissertation Council appoints 3 members of the Dissertation Council, who draw up a conclusion on the elimination of violations identified earlier in the dissertation. The conclusion is posted on the University's Internet resource no less than ten (10) working days before the defense and is read at the dissertation defense.
- 8.3 An appeal against a negative decision of the Dissertation Council is submitted by the doctoral student to the university in any form within two (2) months from the date of the decision.
- 8.4 Within fifteen (15) working days from the date of filing the appeal, an Appeal Commission (hereinafter referred to as the Commission) is created by order of the University Rector. The commission includes at least 3 specialists with an academic degree in the relevant specialty. Members of the commission cannot be scientific consultants, reviewers, members of the Dissertation Council or the Expert Council of the Committee.
- 8.5 The Commission is guided in its activities by these regulations, the Model Regulations and the Rules. Commission:
  - 1) elects the Chairman of the commission;
  - 2) considers an appeal against the decisions of the Dissertation Council on the refusal to award the degree of Doctor of Philosophy (PhD), doctor in the field, as well as on facts of violations committed by the Dissertation Council in the procedure for defending a doctoral dissertation, and other violations of these Regulations and Rules;
  - 3) requests and receives from the parties information necessary to perform the tasks assigned to it;
  - 4) reviews the materials of the applicant's certification case and prepares a conclusion on the results of the appeal within thirty (30) calendar days from the date of its creation.
- 8.6 Chairman of the commission:
  - 1) manages its activities;
  - 2) determines the place and time of commission meetings;
  - 3) convenes commission meetings and presides over them.
- 8.7 The conclusion of the commission is adopted by the members of the commission on the basis of an open vote by a majority of votes and signed by all members of the commission. In case of equality of votes, the vote of the chairman of the appeal commission is decisive.
- 8.8 Based on the results of consideration of the appeal, the commission makes one of the following decisions:
  - 1) allow the appeal;
  - 2) refuse the appeal.
- 8.9 If the commission's conclusion is positive, copies of the commission's minutes, conclusion and dissertation are sent to the Committee within thirty (30) calendar days to make a final decision.
- 8.10 The decision of the appeal commission within five (5) working days from the date of its adoption is communicated to the doctoral student and posted on the University's Internet resource.
- 8.11 Disputes not settled by these Regulations and the Model Regulations, including issues of refusal to award the degree of Doctor of Philosophy (PhD), doctor in the field,

restoration of the deadline for filing an appeal, are resolved in court, established by the legislation of the Republic of Kazakhstan.

## **9. The procedure for submitting a doctoral dissertation for state registration and to libraries**

- 9.1 A copy of the dissertation on paper and/or electronic media is transferred to the University library, where the doctoral student is issued a certificate of submission of the dissertation to the library fund.
- 9.2 Within seven (7) working days after defense, copies of the dissertation on electronic media are transferred by the academic secretary of the Dissertation Council to the National Academic Library of the Republic of Kazakhstan and the National Library of the Republic of Kazakhstan (except for dissertations containing state secrets and information for official use).
- 9.3 The academic secretary, within seven (7) calendar days after defending a dissertation for the degree of Doctor of Philosophy (PhD), doctor in the field, sends the following documents to the NCSSTE for state registration:
- 1) a covering letter on University letterhead, signed by the vice-rector in charge of scientific issues;
  - 2) three (3) copies of the Dissertation Registration Card in the state and Russian languages;
  - 3) one (1) copy of the dissertation in loose form on paper and electronic media;
  - 4) abstract in three languages;
  - 5) list of scientific works of a doctoral student.
- 9.4 NCSSTE, having received the above-mentioned documents, assigns dissertations for the degree of Doctor of Philosophy (PhD), doctor in the profile a state registration number and within seven (7) calendar days sends a notice to the Dissertation Council confirming the state registration. Documents submitted to NCSSTE, cannot be returned.

## **10. The procedure for completing a doctoral student's certification file**

- 10.1 The academic secretary of the Dissertation Council prepares the doctoral student's certification file, which is sent to the Committee within thirty (30) calendar days after defending the doctoral dissertation at the Dissertation Council. The following documents are attached to the doctoral student's certification file:
- 1) a covering letter of application on University letterhead, signed by the chairman of the Dissertation Council, indicating the date of sending the dissertation to the NCSSTE (except for dissertations containing state secrets and information for official use);
  - 2) dissertation on electronic media. A dissertation containing state secrets or information for official use is also submitted on paper;
  - 3) list and copies of scientific publications on the topic of the dissertation;
  - 4) a copy of an identity document;
  - 5) certificate from the NCSSTE on checking a dissertation for plagiarism. For a dissertation containing state secrets or information for official use, a certificate from the commission is submitted to military, special educational institutions and (or) scientific organizations

subordinate to the national security authorities of the Republic of Kazakhstan, the Ministry of Internal Affairs of the Republic of Kazakhstan, the prosecutor's office of the Republic of Kazakhstan and the Ministry of Defense of the Republic of Kazakhstan, about checking a dissertation for plagiarism;

- 6) the attendance sheet of the members of the Dissertation Council in the form according to Appendix 4;
- 7) full video recording and minutes of the meeting of the Dissertation Council for the defense of the dissertation and for the discussion of the revised dissertation work (if necessary), signed by the chairman and the academic secretary;
- 8) a copy of the transcript on mastering the professional doctoral educational program;
- 9) information about the doctoral student (according to Appendix 5);
- 10) reviews from scientific consultants;
- 11) reviews from two (2) official reviewers.

The documents specified in subclauses 1), 3), 4), 5), 6), 8) and 9) are submitted to the Committee in scanned form in PDF file format (with the exception of certification files containing state secrets or information for official use).

- 10.2 The second copy of the certification file for the award of the degree of Doctor of Philosophy (PhD) or Doctor of Science in the field according to the established procedure is transferred to the University archives according to the acceptance certificate.

## **11. Final part**

- 11.1 This regulations present the basic norms regulating the legal status of the Dissertation Council, the procedure for its creation and functioning, which can be changed, clarified or supplemented by regulatory documents and organizational and administrative acts of the Committee issued in the prescribed manner.
- 11.2 The decision to amend, supplement or cancel these Regulations is made by the University Board.
- 11.3 Overall responsibility for the work of the Dissertation Council rests with the Chairman.
- 11.4 General office work of the Dissertation Council is carried out by the Academic Secretary.
- 11.5 The activities of the Dissertation Council may be terminated based on a decision of the Committee.



**Appendix 1****Report on the work of the Dissertation Council**

Dissertation Council at International University of Information Technologies JSC in the field of personnel training 8D061 - Information and communication technologies.

**The report contains the following information:**

1. Data on the number of meetings held.
2. Surname, name, patronymic (if any) of the members of the Dissertation Council who attended less than half of the meetings.
3. List of doctoral students indicating the organization of training.
4. A brief analysis of dissertations reviewed by the council during the reporting year, highlighting the following sections:
  - 1) analysis of the topics of the reviewed works;
  - 2) connection of the topics of dissertations with the directions of development of science, which were formed by the Higher Scientific and Technical Commission under the Government of the Republic of Kazakhstan in accordance with clause 3 of Article 18 of the Law “On Science” and/or state programs;
  - 3) analysis of the level of implementation of dissertation results in practical activities.
5. Analysis of the work of official reviewers (with examples of the most low-quality reviews).
6. Proposals for further improvement of the scientific personnel training system.
7. Number of dissertations for the degrees of Doctor of Philosophy (PhD), doctor of the profile in the context of areas of training:
  - 1) dissertations accepted for defense (including doctoral students from other universities);
  - 2) dissertations withdrawn from consideration (including doctoral students from other universities);
  - 3) dissertations that have received negative reviews from reviewers (including doctoral students from other universities);
  - 4) dissertations with a negative decision based on the results of defense (including doctoral students from other universities);
  - 5) dissertations aimed at revision (including doctoral students from other universities);
  - 6) dissertations aimed at re-defense (including doctoral students from other universities)

**Chairman of the Dissertation Council**

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*(signature, surname, name, patronymic (if any))***Academic Secretary of the Dissertation Council**

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*(signature, surname, name, patronymic (if any))*

Seal date \_\_\_\_\_, 20\_\_

## Appendix 2

**Conclusion of the Ethics Commission of  
International University of Information Technologies JSC**

1.	Doctoral student's full name	
2.	Speciality (educational doctoral program)	
3.	Period of doctoral studies	
4.	Dissertation topic, date of approval	
5.	Data on scientific consultants - full name (if any), positions and places of work, academic degrees, citizenship	
6.	Research subjects	
7.	Violations in the planning, assessment, selection and conduct of scientific research	Violations identified or not identified. If violations are identified, they must be indicated.
8.	Violations in the process of disseminating scientific research results	Violations identified or not identified. If violations are identified, they must be indicated.
9.	How were the rights, safety and well-being of research subjects (in the case of wildlife and habitats) protected?	

Chairman of the Ethics Commission

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*(signature, surname, name, patronymic (if any))*

Secretary of the Ethics Commission

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*(signature, surname, name, patronymic (if any))*

## Appendix 3

## Written review from an official reviewer

S No.	Criteria	Compliance with the criteria (check one answer option)	Justification of the position of the official reviewer
1.	The topic of the dissertation (as of the date of its approval) corresponds to the directions of scientific development and/or government programs	1.1 Compliance with priority areas of scientific development or government programs:	
		1) The dissertation was completed within the framework of a project or target program financed from the state budget (indicate the name and number of the project or program) 2) The dissertation was completed within the framework of another state program (indicate the name of the program) 3) The dissertation corresponds to the priority direction of scientific development, approved by the Higher Scientific and Technical Commission under the Government of the Republic of Kazakhstan (indicate direction)	
2.	Importance for science	The work does/does not make a significant contribution to science and its importance is/is not well disclosed	
3.	Principle of independence	Level of independence: 1) high; 2) medium; 3) low; 4) no independence	
4.	Principle of internal unity	4.1 Justification of the relevance of the dissertation: 1) justified; 2) partially justified; 1) not justified	
		4.2 The content of the dissertation reflects the topic of the dissertation: 1) reflects; 2) partially reflects; 1) does not reflect	
		4.3. The purpose and objectives correspond to the topic of the dissertation: 1) correspond; 2) partially correspond; 1) do not correspond	
		4.4 All sections and provisions of the dissertation are logically interconnected: 1) completely interconnected; 2) the relationship is partial; 1) there is no relationship	
		4.5 New solutions (principles, methods) proposed by the author are reasoned and evaluated in comparison with known solutions: 1) there is a critical analysis; 2) partial analysis; 1) the analysis does not represent one's own opinions, but rather quotations from other authors	
5.	Principle of scientific novelty	5.1 Are the scientific results and provisions new? 1) completely new; 2) partially new (25–75% are new); 3) not new (less than 25% are new)	
		5.2 Are the findings of the dissertation new? 1) completely new;	

		2) partially new (25–75% are new); 3) not new (less than 25% are new)	
		5.3 Technical, technological, economic or management solutions are new and justified: 1) completely new; 2) partially new (25–75% are new); 3) not new (less than 25% are new)	
6.	Validity of the main findings	All main conclusions are/are not based on scientifically sound evidence or are reasonably well substantiated (for qualitative research and areas of training in the arts and humanities)	
7.	Basic provisions submitted for defense	It is necessary to answer the following questions for each provision separately: 7.1 Is the position proven? 1) proven; 2) rather proven; 3) rather not proven; 4) not proven 7.2 Is it trivial? 1) yes; 2) no 7.3 Is it new? 1) yes; 2) no 7.4 Application level: 1) narrow; 2) average; 3) wide 7.5 Is it proven in the article? 1) yes; 2) no	
8.	Principle of reliability Reliability of sources and information provided	8.1 Choice of methodology – is the methodology justified, is it described in sufficient detail 1) yes; 2) no	
		8.2 The results of the dissertation work were obtained using modern methods of scientific research and techniques for processing and interpreting data using computer technology: 1) yes; 2) no	
		8.3 Theoretical conclusions, models, identified relationships and patterns are proven and confirmed by experimental research (for areas of training in pedagogical sciences, the results are proven on the basis of a pedagogical experiment): 1) yes; 2) no	
		8.4 4 Important statements confirmed/partially confirmed / not supported by references to current and reliable scientific literature	
		8.5 The references used are/are not sufficient for the literature review	
9	Principle of practical value	9.1 The dissertation has theoretical significance: 1) yes; 2) no	

		9.2 The dissertation has practical significance and there is a high probability of applying the results obtained in practice: 1) yes; 2) no	
		9.3 Are the practice suggestions new? 1) completely new; 2) partially new (25–75% are new); 3) not new (less than 25% are new)	
10.	Quality of writing and design	Quality of academic writing: 1) high; 2) average; 3) below the average; 4) low.	

**Appendix 4****Attendance sheet for members of the Dissertation Council**

Meeting of the Dissertation Council at International University of Information Technologies JSC in the field of personnel training 8D061 Information and communication technologies

\_\_\_\_\_, 20\_\_\_\_, minutes No. \_\_\_\_\_.

Doctoral student's dissertation defense \_\_\_\_\_  
(Full name)

in the field of personnel training 8D061 Information and communication technologies in the specialty / educational program \_\_\_\_\_  
(code and name)

Surname, name, patronymic (if any) of the members of the Dissertation Council	Degree	Attendance at the meeting
1	2	3

Academic Secretary of the Dissertation Council \_\_\_\_\_  
(signature, full name)

**Note:**

1. The surname, name, patronymic of all members of the Dissertation Council are printed in the column "Surname, name, patronymic".

## Appendix 5

## Information about the doctoral student

\_\_\_\_\_

(surname, name, patronymic)

Photo  
3x4

1	Date and place of birth, citizenship, nationality	
2	Information about doctoral studies (university and period of study)	
3	Doctoral specialty	
4	Place of defense and date of defense of the dissertation	
5	Topic and language of the dissertation	
6	Scientific consultants (full name (if any), position, academic degrees, academic titles, citizenship)	
7	Official reviewers (full name (if applicable) availability), position, academic degrees, academic titles, citizenship)	
8	Number of publications, total, including:	
	in magazines from the List of Publications	
	in a foreign publication from the Web of Science database or Scopus (Scopus)	
	in materials of international conferences, including:	
	in materials of foreign conferences	
9	Labor activity	
Date of		Place of work, position
admission	dismissal	Location of the institution
10	Place of residence, contact details	

Academic Secretary of the Dissertation Council \_\_\_\_\_  
(signature, surname, name, patronymic)

Seal date \_\_\_\_\_, 20\_\_