



**YESSENOV**  
UNIVERSITY

**APPROVED**  
**by the decision of the Research Council**  
**(Protocol №3 dated 26/01/2021)**

**POSITION**  
**ABOUT THE DISSERTATION COUNCIL**

**AKTAU 2020**

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## 1.PURPOSE AND SCOPE OF APPLICATION

The Regulation on the Dissertation Council (hereinafter referred to as the Regulation) defines the procedure for the activities of the dissertation councils of Yesenov University.

This Regulation has been developed on the basis of:

1) The Law of the Republic of Kazakhstan "On Education" dated 07/27/2007 (with amendments and additions);

2) The Law of the Republic of Kazakhstan "On Science" dated 02/18/2011 No. 407-IV (with amendments and additions);

3) The model regulations on the dissertation Council approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan dated 03/31/2011 No. 126 (with amendments and additions);

4) The rules for awarding degrees approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan dated 03/31/2011 No. 127 (with amendments and additions);

5) The Charter of the NAO "Caspian University of Technology and Engineering named after Sh. Yesenov", approved by the Order of the Ministry of Finance of the Republic of Kazakhstan dated 06/04/2020 No. 11933-1943.

## 2.ABBREVIATIONS AND DESIGNATIONS

Yesenov University, University	-	NAO "Caspian University of Technology and Engineering named after Sh. Yessenova"
RK	-	The Republic of Kazakhstan
Ministry of Education and Science of the Republic of Kazakhstan	-	Ministry of Education and Science of the Republic of Kazakhstan
DC	-	Dissertation Council
PhD	-	Doctor of Philosophy, doctor by profile
CQASMESRK	-	Committee for Quality Assurance in the field of education and Science of the Ministry of Education and Science of the Republic of Kazakhstan
NCSSTE	-	Joint Stock Company "National Center for State Scientific and Technical Expertise"

## 3. GENERAL PROVISIONS

3.1. The DS is a collegial body that defends the dissertations of doctoral students and petitions the authorized body (COXON) to award the degree of Doctor of Philosophy (PhD), a doctor in the profile.

3.2. The dissertation councils of Yesenov University were established in accordance with the order of the Chairman of COXON dated 01/23/2020 No. 25 "On the opening of dissertation councils for the defense of doctoral dissertations for the award of the degree of Doctor of Philosophy (PhD), doctor in profile at Yesenov University in the specialties 6D060800 (8D05201) – Ecology, 6D070800 (8D07210) – Oil and Gas business, 6D070600 (8D07208) – Geology and exploration of mineral deposits.

3.3. This Regulation comes into force from the date of approval and is valid until replaced by a new one. Changes and additions are made by the decision of the Academic Council and also come into force from the moment of their adoption.

#### **4.THE COMPOSITION OF THE DISSERTATION COUNCIL AND THE PROCEDURE FOR ITS ELECTION**

4.1. The Dissertation Council is established by order of the President-Rector of the University.

4.2. The dissertation Council consists of:

- 1) the Chairman of the DS;
- 2) Deputy Chairman of the DS;
- 3) Academic Secretary of the DS;
- 4) Members of the DS.

4.3. The composition of the DS is elected for a term of 3 years and consists of at least 6 (six) members.

4.4. The Chairman, the Deputy Chairman of the DS, the academic Secretary of the DS are elected at the meeting of the DS, other members are elected by open voting at the general meeting of the faculty.

4.5. Chairman of the Dissertation Council:

- 1) convenes regular and extraordinary meetings of the DS;
- 2) conducts meetings of the DS;
- 3) signs the minutes of the dissertation council and extracts from them;
- 4) organizes the work of the dissertation council and ensures its activities;
- 5) solves other issues of organizing the activities of the dissertation council.

4.6. Deputy Chairman of the Dissertation Council:

- 1) performs the duties of the chairman of the dissertation council in his absence;
- 2) performs other powers granted to him by the Chairman of the DS.

4.7. Secretary of the Dissertation Council:

1) responsible for the record keeping of the dissertation Council;  
2) collects materials and proposals for the long-term and current planning of the activities of the dissertation council.

The secretary of the dissertation council should know:

- 1) governing documents defining the activities of the dissertation council;
- 2) rules for awarding academic degrees;
- 3) rules for awarding academic titles;
- 4) rules of record keeping.

4.8. At least 2/3 (two thirds) of the members of the DS must have a Hirsch index of at least 3 (three) or publications in peer-reviewed international scientific journals:

1) in the areas of training 8D05 Natural Sciences, mathematics and Statistics, 8D06 Information and Communication Technologies, 8D07 Engineering, manufacturing and construction industries – at least 3 (three) publications in the publications included in the first three quartiles according to the Journal Citation Reports of Clarivate Analytics (Clarivate Analytics) or having a CiteScore percentile index in the Scopus database (Scopus) of at least 35 (thirty-five) in at least one of the scientific fields corresponding to the areas of training;

2) for other areas of training, at least 2 (two) publications over the past 5 (five) years in publications included in the first three quartiles according to the Journal Citation Reports of Clarivate Analytics (Clarivate Analytics) or having a percentile indicator in the Scopus database CiteScore (Sitescore) of at least 35 (thirty-five) in at least one of the scientific fields corresponding to the field of study.

4.8. Early termination of the powers of a member of the dissertation council is carried out by open voting on the basis of:

- 1) written notification of withdrawal from the dissertation council on his own initiative by a person elected by the general meeting;
- 2) an order on the dismissal of persons elected by the dissertation council.

## **5.TASKS AND FUNCTIONS OF THE DISSERTATION COUNCIL**

### 5.1. Tasks of the Dissertation Council:

- 1) conducting the defense of dissertations of PhD students at the proper high level;
- 2) a petition to the COXON of the Ministry of Education and Science of the Republic of Kazakhstan for the award of the degree of Doctor of Philosophy (PhD), doctor in profile.

### 5.2. Functions of the Dissertation Council:

- 1) acceptance of documents for the defense of a dissertation;
- 2) appointment of the date of defense and official reviewers of the dissertation work;
- 3) creation of a commission from among the members of the DS (hereinafter referred to as the Commission of the Dissertation Council) to check the dissertation for the use of borrowed material by a doctoral student without reference to the author and the source of borrowing (plagiarism);
- 4) conducting a public defense of a doctoral dissertation;
- 5) withdrawal of the thesis from the defense.

5.3. At the end of the calendar year, the DS submits to the Committee a report on the work of the dissertation council in accordance with Annex 2 to this Regulation.

### 5.4. Members of the Dissertation Council:

- 1) provide objective, complete and reliable information;
- 2) do not allow the concealment of data related to the defense of the dissertation;
- 3) react to the facts of violation of scientific ethics;
- 4) when making a decision, they are free from the influence of public opinion, one of the parties or third parties;
- 5) take measures to prevent and resolve conflicts of interest;
- 6) in the course of their activities, they do not use rude, offensive expressions, accusations that damage the honor and dignity of other members of the council, doctoral students, scientific consultants and official reviewers.

In case of detection of facts of non-compliance with the requirements specified in this paragraph, a member of the dissertation council is excluded from its composition.

5.5. In case of improper performance of more than 3 (three) functions established in this Regulation, the chairman, deputy and Academic Secretary of the DS are replaced.

## **6.THE PROCEDURE FOR ORGANIZING THE WORK OF THE DISSERTATION COUNCIL**

6.1. In order to defend dissertations, the doctoral student submits the following documents to the DS:

- 1) reviews from domestic and foreign scientific consultants;
- 2) a positive conclusion of the extended meeting of the department and (or) the structural unit;
- 3) dissertation in hardcover and on electronic media;
- 4) a list of scientific papers and their copies;
- 5) the conclusion of the Ethical Commission of the university where the doctoral student studied, on the absence of violations in the process of planning, evaluating, selecting, conducting and distributing the results of scientific research, including the protection of the rights, safety and well-being of research objects (wildlife and habitat).

The dissertation is submitted in Kazakh, Russian, or English.

6.2. The Secretary of the DS registers the submitted documents and submits them to the Dissertation Council within at least 2 (two) working days.

6.3. No later than 10 (ten) working days from the date of receipt of documents, the DS determines the date of defense of the dissertation and appoints two official reviewers with an academic degree (Doctor of Sciences, Candidate of Sciences, Doctor of Philosophy (PhD), doctor of profile) or an academic degree of Doctor of Philosophy (PhD), doctor of profile or Doctor of

degree PhD, Doctor of Philosophy, and at least 5 (five) scientific articles in the field of doctoral research.

6.4. The protection date does not exceed 3 (three) months from the date of appointment of the protection date. When setting the date of protection, the order of receipt of doctoral students' documents is observed.

6.5. When appointing official reviewers, the DS is guided by the principle of independence of reviewers and scientific consultants from each other.

They are not appointed as official reviewers:

- 1) COXON employees;
- 2) co-authors of the doctoral student on the works published on the topic of the dissertation;
- 3) the heads and employees of the structural divisions of the university and (or) the scientific organization where the dissertation was performed and (or) research work is being carried out, for which the doctoral student is a customer or contractor (co-executor).

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

- 1) notification of the upcoming defense indicating the address, date and time (1 (one) month before the set date of protection);
- 2) dissertation (1 (one) month before the set date of defense, available for at least 5 (five) months after the defense of the dissertation);
- 3) an abstract in the state, Russian, and English languages with a total volume of at least 1 (one) printed sheet (1 (one) month before the set date of protection);
- 4) the list of publications of the doctoral student (1 (one) month before the set date of protection);
- 5) reviews of scientific consultants (1 (one) month before the set date of protection), which are available for at least 5 (five) months after protection;
- 6) reviews from official reviewers (15 (fifteen) working days before the set date of protection);
- 7) video recording of the protection in full, installation is not allowed (placed within 5 (five) working days after protection and available for at least 5 (five) months after protection);
- 8) the conclusion of the DS on the refusal to award the degree of Doctor of Philosophy, doctor of the profile (posted within 5 (five) working days after the defense and available for at least 5 (five) months after the defense);
- 9) the decision of the appeals commission (if available, posted within 5 (five) business days after the decision is made and available for at least 5 (five) months after the decision is made);
- 10) the report on the work of the dissertation council in accordance with Appendix 2 to this Regulation (posted within 15 (fifteen) working days after the end of the calendar year);
- 11) announcements of changes in the date, time, place of the defense and the replacement of official reviewers (if any);
- 14) information on the composition and procedure of the dissertation Council;
- 15) information on the availability of a licensed loan detection system, including international databases with expiration dates.

6.7. When publishing a dissertation 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 in the text of the dissertation are not allowed. The university's Internet resource provides the opportunity to post informal reviews on the content of the dissertation with further presentation of them for defense. Unofficial reviews, for which it is impossible to establish authorship and the author's e-mail address is missing, are not submitted for protection.

6.8. The DS sends a notice of the upcoming defense to COXON within 5 (five) business days from the date of admission to the defense.

6.9. Within 10 (ten) working days after admission to the defense, the DS sends the dissertation for verification of the use of plagiarism by the doctoral student on domestic and international databases in the National Scientific Research Center.

6.10. The examination of dissertations containing state secrets or information for official use for the use of borrowed material by a doctoral student without reference to the author and the source of borrowing is carried out in the National Scientific Research Center or commission in military, special educational institutions and (or) scientific organizations subordinate to the national security bodies 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.

6.11. A copy of the dissertation on paper and (or) electronic media is transferred to the university library. Within 7 (seven) working days after the defense, copies of the dissertation on electronic media are transferred by the Secretary of the DS 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).

6.12. If the review does not comply with the requirements of the DS, no later than 10 (ten) working days before the defense, returns the review to the official reviewer for additional consideration or replaces the official reviewer.

The replacement of official reviewers is also carried out in case of a written refusal or inability to carry out a review. If the decision to replace the official reviewer is made less than 15 (fifteen) working days in advance, the date of protection is postponed.

6.13. If there are facts of plagiarism indicated in the NCGNTE certificate, in the reviews of official reviewers and unofficial reviews on the university's Internet resource, the DS Commission checks the dissertation for plagiarism. The conclusion on the results of the examination is submitted to the dissertation council no later than 8 (eight) working days before the defense of the dissertation.

6.14. The Dissertation Council, based on the conclusion of the DS Commission, no later than 7 (seven) working days before the defense, decides on the admission of the doctoral student to the defense or withdraws the dissertation from the defense. The DS informs the doctoral student about the decision within 2 (two) working days, and the relevant information is posted on the university's Internet resource (except in cases of defending dissertations containing state secrets and information for official use).

The doctoral student has the opportunity to withdraw the thesis from the defense, but no later than 7 (seven) working days before its defense.

6.15. The Dissertation Council provides a video recording of the dissertation defense in full, installation is not allowed.

6.16. The Secretary of the DS forms the attestation file of the doctoral student, which is sent to COXON within 30 (thirty) calendar days after the defense of the doctoral dissertation. The following documents are attached to the doctoral student's attestation file:

- 1) a cover letter-a petition on the letterhead of the university, signed by the chairman of the DS, indicating the date of sending the dissertation to the NCGNTE (with the exception of dissertations containing state secrets or 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) a list and copies of scientific publications on the topic of the dissertation;

- 4) a copy of the identity document;

- 5) the NCGNTE certificate for checking the dissertation for plagiarism. For a dissertation containing state secrets or information for official use, a certificate is submitted to the commission in military, special educational institutions and (or) scientific organizations subordinate to the national security bodies 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 on checking the dissertation for plagiarism;

6) the attendance list of the members of the DS in accordance with Annex 3 to this Regulation;

7) a video recording in full and the minutes of the meeting of the DS for the defense of the dissertation, signed by the chairman and the secretary;

8) a copy of the transcript on the development of a professional doctoral study program;

9) information about the doctoral student in the form according to Appendix 4 to this Regulation.

6.17. A dissertation on which a negative decision was made by the Committee or the DS is submitted for re-defense in accordance with the procedure established by this Regulation.

When submitting a dissertation for re-defense, the DS appoints 3 (three) members of the dissertation council, who draw up a conclusion on the elimination of violations in the dissertation established earlier. The conclusion is posted on the university's Internet resource at least 10 (ten) working days before the defense and is read out at the dissertation defense.

6.18. An appeal against a negative decision of the dissertation council is submitted by a doctoral student in any form within 2 (two) months from the date of the relevant decision.

6.19. If an appeal is filed against the decision of the DS, then the positive conclusion of the appeals commission and the dissertation are sent to COXON within 15 (fifteen) calendar days for making a final decision.

The decision of the appeal commission is communicated to the doctoral student within 5 (five) working days from the date of its adoption and posted on the university's Internet resource.

6.20. Disputes not settled by this Regulation, including on issues of refusal to award the degree of Doctor of Philosophy (PhD), doctor in profile, restoration of the deadline for filing an appeal, are resolved in court, established by the legislation of the Republic of Kazakhstan.

## **7.THE PROCEDURE FOR HOLDING A MEETING OF THE DISSERTATION COUNCIL**

7.1. Meetings are held as necessary. A meeting of the dissertation council is considered competent if at least 2/3 (two thirds) of its members participated in its work, with the mandatory participation of at least 3 (three) specialists in each specialty (field of training) from among the members of the DS.

7.2. The members of the DS are required to attend the meetings. A member of the DS must inform the Chairman in writing in advance (no later than three hours before the start of the meeting) about the inability to attend the meeting for a valid reason.

7.3. The participation of members of the dissertation council at the dissertation defense meeting on-line in the form of a videoconference is also taken into account (no more than 1/3 (one third) from the composition of the dissertation council).

7.4. In the absence (for a good reason) of one of the official reviewers, his review is read out by the Secretary of the DS. Official reviewers are allowed to speak at this meeting of the dissertation council on defense online in the form of a videoconference.

7.5. The Chairman, deputy Chairman and secretary of the Dissertation Council may not perform their duties at a meeting of the DS in the case when the dissertation of a doctoral student is being considered, for whom they are scientific consultants. By the decision of the dissertation Council, the duties of the chairman of the DS are assigned to the deputy chairman, the duties of the deputy chairman and secretary are assigned to other members.

In cases of simultaneous absence of the Chairman, the Vice-Chairman and the Secretary, the meeting of the DS is not held.

7.6. The duration of the speech of the doctoral student, scientific consultants and the closing speech of the chairman, established by the chairman of the DS meeting, should not exceed, as a rule: for the main report – 20 minutes, co-report - 10 minutes, closing speech – 5 minutes, other speeches – 3 minutes.



## **8.VOTING AND DECISION-MAKING PROCEDURES**

8.1. The decision of the DS meeting is taken by open vote. Members of the DS who are scientific consultants, direct supervisors or are closely related to a doctoral student do not participate in the voting.

8.2. Each member of the DS has one vote. The decision of the DS is valid if it is made by two thirds of the members present. In case of equality of votes of the members, the vote of the Chairman of the DS is decisive.

8.3. The decision of the dissertation council is considered to be adopted positively if 2/3 (two thirds) or more of the members who participated in the meeting voted for it. If less than 2/3 (two thirds) of the members of the DS who participated in the meeting voted for a positive decision, a negative decision is made.

8.4. When making a negative decision, the DS draws up a conclusion, which reflects which requirements of this Regulation, the Rules for awarding degrees approved by the order of the Ministry of Education and Science of the Republic of Kazakhstan, the dissertation does not meet. The conclusion of the DS on the refusal to award the degree of Doctor of Philosophy (PhD) or doctor by profile is posted on the university's Internet resource in accordance with subparagraph 8) of paragraph 6.6. of this Regulation.

8.5. If it is impossible to hold a DS meeting offline, it is allowed to hold or participate online. Decisions taken by absentee voting have the same force as decisions taken by face-to-face voting at meetings of the DS.

8.6. The Dissertation Council shall hold a secret ballot to make one of the following decisions:

1) apply to the Committee to award the doctoral candidate a Doctor of Philosophy (PhD) degree or a doctor in the profile;

2) do not apply to the Committee to award a doctoral candidate a Doctor of Philosophy (PhD) degree or a doctor in the profile.

8.7. Ballots are distributed for secret voting indicating whether a doctoral student is worthy of a PhD degree. An online questionnaire is conducted in an online secret ballot. Each member of the DS has one vote. The decision of the DS is valid if it is made by two thirds of the members present. In case of equality of votes of the members, the vote of the Chairman of the DS is decisive.

8.8. The minutes of the meetings of the DS are kept by the secretary until the expiration of the retention period according to the nomenclature of the DS cases, then they are archived by the university according to the act.



**Form**

Report on the work of the Dissertation Council

Dissertation Council \_\_\_\_\_ by  
\_\_\_\_\_ (name of the  
university) by specialty (field of training) \_\_\_\_\_.

The report contains the following information:

1. Data on the number of meetings held.
2. Surnames, first name, patronymic (if any) of the members of the dissertation council who attended less than half of the meetings.
3. A list of doctoral students indicating the organization of training.
4. A brief analysis of the dissertations reviewed by the Council during the reporting year, highlighting the following sections:
  - 1) analysis of the subject of the reviewed works;
  - 2) the connection of the topic of the dissertation with the directions of science development, which were formed by the Higher Scientific and Technical Commission under the Government of the Republic of Kazakhstan in accordance with paragraph 3 of Article 18 of the Law "On Science" and (or) state programs;
  - 3) analysis of the level of implementation of the results of dissertations in practice.
5. Analysis of the work of official reviewers (with examples of the most substandard reviews).
6. Proposals for further improvement of the scientific personnel training system.
7. The number of dissertations for the degrees of Doctor of Philosophy (PhD), doctor by profile in the context of specialties (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 received negative reviews from reviewers (including doctoral students from other universities);
  - 4) dissertations with a negative decision based on the results of the defense (including doctoral students from other universities).

Chairman of the Dissertation Council \_\_\_\_\_ ( signature, surname and initials)

Academic Secretary of the Dissertation Council \_\_\_\_\_ ( signature, surname and initials)

Print date " \_\_\_\_ " \_\_\_\_\_ 20\_\_ year

**Form**

Attendance list of members of the Dissertation Council

Council meeting from "\_\_\_" \_\_\_\_\_ 20\_\_ year, Protocol №. \_\_\_\_\_

Doctoral thesis defense \_\_\_\_\_ (last name,  
first name, patronymic (if any)) in the specialty (field of training) \_\_\_\_\_

Surname, first name, patronymic (if any) of the members of the dissertation council	Degree	Attendance at the meeting (signature)
1	2	3

Academic Secretary of the Dissertation Council

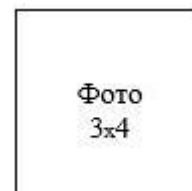
\_\_\_\_\_  
( signature, surname and initials)

**Form**

Information about the doctoral  
student

\_\_\_\_\_

( last name, first name, patronymic (if any))



1	Date and place of birth, citizenship, nationality		
2	Information about doctoral studies (university and period of study)		
3	The specialty of the doctoral program		
4	Place of defense and date of defense of the thesis		
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 any), position, academic degrees, academic titles, citizenship)		
8	The number of publications, total, including:		
	in publications recommended by the Committee		
	in a foreign publication from the Web of Science database or Scopus (Scopus)		
	in the materials of international conferences, including:		
9	in the materials of foreign conferences		
	Work experience		
Date	Place of work, position	Location of the institution	
reception	layoffs		
10	Place of residence, contact information		

Academic Secretary of the Dissertation Council

\_\_\_\_\_

(signature, surname and initials)

Print, date " \_\_ " \_\_\_\_\_ 20\_\_ year

