APPLICANT'S GUIDE FOR THE PHD DEGREE ON DISSERTATION DEFENSE

The procedure for preparing for the defense consists of several stages, and you are required to:

I. To submit the dissertation for the pre-defense stage

1. Submit the following documents to the Office for the Preparation and Certification of Scientific Personnel (hereinafter – OPCSP, 13th floor, office ***13-03***, chief specialists, tel. 377-35-45, ext. 11-35, 14-85) to confirm readiness for the defense:

1) List of scientific publications in the format of Form 2.3, certified by the academic secretary and sealed by the faculty, along with copies *(a sample is available on the website);*
2) Reviews from domestic and international scientific supervisors, certified at the supervisors' respective workplaces (Attention! Reviews must be submitted to the applicant prior to the pre-defense). For certification of the review by the domestic scientific supervisor (a faculty member of KazNU), one (1) copy of the review, sealed by the faculty, must be submitted to OPCSP. The translation of the review from the international scientific supervisor must be notarized.

2. One (1) month prior to the extended faculty meeting, the dissertation must be submitted for review to at least two (2) experts holding academic degrees in the relevant field of doctoral research. The reviewers are appointed by the chairperson of the extended faculty meeting.

3. The minutes of the extended faculty meeting with an unequivocal recommendation to proceed to the defense must be signed by the chairperson and secretary of the meeting, certified by the head of OPCSP (10th floor, office 10-09), approved by the Vice-Rector for Research and Innovation (10th floor, office 10-01), and authenticated with the official seal in the KazNU Registry Office (7th floor, office 705). To certify the minutes, one (1) copy of the minutes, sealed by the faculty, must be submitted to OPCSP.

4. Obtain/verify the Universal Decimal Classification (UDC) code for the dissertation at the National Library of the Republic of Kazakhstan.

5. Copies of orders on approval of the dissertation topic and scientific supervisors, as well as the order on admission to the dissertation defense. **(For doctoral students from other universities, if the university does not issue an order on admission to defense, the order on expulsion upon completion of credit requirements may serve as a substitute.)**

6. Transcript confirming completion of the professional doctoral program (Keremet system).

7. Copies of diplomas of higher and postgraduate education, with transcripts.

8. A concise dissertation abstract in Kazakh, Russian, and English *(each consisting of 5 pages).*

9. Re-approval of the research proposal **– required for those who completed their studies three or more years ago (extract from the department meeting confirming the relevance of the topic).**

10. After collecting the above-mentioned documents and receiving confirmation from OPCSP specialists, and in the absence of any remarks from OPCSP for previous graduates who **failed to defend in due time**, the applicant must apply **for**

reinstatement for defense at the Keremet CSC Student Department.
The following documents must be submitted:

1) an application addressed to the Rector indicating the number of dissertation defense credits: 4 credits for doctoral graduates prior to 2021, and 12 credits for those graduating after 2022 (must be pre-signed by the domestic supervisor, Head of Department, Dean of the Faculty, Head of OPCSP (office 10-09), Director of the Department of Academic Affairs (office 802), and Vice-Rector for Research and Innovation (office 1001);
2) a copy of the payment receipt (Accounting Office, office 206);
3) transcript (issued by the Registrar's Office).

II. To submit the documents to the dissertation council

1. ***Submit the following documents*** to the Dissertation Council (hereinafter – the Council):

1) application from the doctoral candidate addressed to the Rector requesting admission to the dissertation defense, with a resolution from the Vice-Rector for Research and Innovation Development of the university;
2) reviews from the domestic and international scientific supervisors;
3) positive conclusion from the extended meeting of the department and/or research laboratory;
4) the dissertation, which must contain references to the doctoral candidate's own publications in accordance with Clauses 5-1 and 6 of the Rules for the Award of Academic Degrees;
5) an abstract in three languages (Kazakh, Russian, and English) with a total volume of at least one (1) printed sheet;
6) list of scientific publications and their copies;
7) extracts from orders on the approval of the dissertation topic and appointment of scientific supervisors, as well as the order on admission to the dissertation defense;
8) transcript;
9) conclusion of the University's Ethics Committee.

To obtain this document (for KazNU doctoral candidates), the following materials must be sent to the email address: leckaznu@gmail.com:

Application addressed to the Chairperson of the University Research Ethics Committee (REC);
Dissertation abstract in three languages;
CV of the doctoral candidate;
CV of the domestic supervisor;
CV of the international supervisor.

10) Doctoral candidates from other universities must submit a cover letter on the official letterhead of their institution addressed to the Rector of KazNU.

Document submission is handled by the Academic Secretary of the Dissertation Council, who registers the documents within no more than two (2) working days and forwards them to the Council. No later than ten (10) working days from the date of document submission, the Council shall determine the date of the defense and appoint two reviewers.

III. After the defense date and reviewers have been appointed

1. ***Submit the following documents*** to OPCSP for publication of the defense announcement on the university's online platforms ***(the submission format and content are not subject to modification).***

The documents must be submitted through the Academic Secretary to the OPCSP corporate email and must include 11 files:

1) notification in Kazakh, Russian, and English languages in Word format as three separate files. ***Example file names***: Хабарландыру Байжанов ГС, Извещение Байжанов ГС, Announcement Bayzhanov GS *(a sample template is available on the official website);*

2) dissertation in PDF format with copy protection enabled. ***Example file name***: Диссертация Байжанов ГС;

3) dissertation abstract in Kazakh, Russian, and English in PDF format as three separate files, with a total volume of at least one (1) printed sheet. ***Example file names***: Аңдатпа Байжанов ГС, Аннотация Байжанов ГС, Abstract Bayzhanov GS;

4) List of the doctoral candidate's scientific publications in both Word format and PDF format (scanned version of the certified document). ***Example file name***: Список публикаций Байжанов ГС;

5) Reviews from the scientific supervisors in PDF format (scanned and certified versions). ***Example file names***: Отзыв 1 Байжанов ГС, Отзыв 2 Байжанов ГС;

Attention, Applicant!

Templates must be downloaded exclusively from the official KazNU website at the time of document preparation, as templates and this guide are periodically updated!

- prepare a referral letter to the National Center for Grading, Testing, and Expert Review (NCGTRE) through the academic secretary's office at the Salem office for registration (*sample letter available on the website*). Submit the dissertation to the NCGTRE for plagiarism checking. The dissertation must be submitted on a **CD** in Word format. Please bring a copy of your identification card and 18,000 KZT for payment. A certificate will be issued within 10 working days, which must be presented to the academic secretary of the Dissertation Council.

- prepare notification letters for the reviewers through the academic secretary's office at the Salem office (*sample letter available on the website*). Provide the reviewers with the dissertation. Reviews from official reviewers will be posted on the university's website **15 (fifteen) working days** before the defense date. Reviews must be certified at the reviewers' primary workplace.

- the review from a KazNU staff reviewer: One copy must be certified by the faculty's dean's office, and the second copy must be certified by the head of OPCSP and authenticated with the university's official seal in the Registry Office.

- appendix 1 of the Standard Regulations for the Dissertation Council, completed for temporary members and reviewers, must include at least 5 (five) publications related to the dissertation topic. **Signatures of the reviewers and secretary are not required, and no seals are needed.**

2. Submit the dissertation to the KazNU library in hardcover (stitched) format and on a CD with the abstract in three (3) languages as separate PDF files. A library certificate must be presented to the academic secretary of the Dissertation Council.

IV. After the defense

Within two working days after the defense, submit to the Office for the Preparation and Certification of Scientific Personnel (OPCSP) an extract from the minutes of the Dissertation Council meeting regarding the awarding/denial of the PhD degree, signed by the Council Chairperson, the Secretary of the Council, and certified by the faculty seal.

1. **Within seven (7) calendar days**, send the dissertation to the National Center for Grading, Testing, and Expert Review (NCGTRE) for microfilming, along with a cover letter on the OPCSP letterhead signed by the Council Chairperson (*sample letter available on the website*).

For this, you must prepare the following:

1) the dissertation (in unbound form);
2) abstract in three languages;
3) UDC (dissertation registration card) in Kazakh and Russian in 3 (three) copies each, certified with the official seal;
4) list of the doctoral candidate's scientific publications.

The electronic versions of all documents must be saved in Word format on a CD.

Submit the following to the NCGTRE:

- dissertation in printed form with a signature on the title page, unbound, placed in a folder with a tie – 1 copy;
- abstract (in three languages) in printed form – 1 copy for each language;
- CD containing: dissertation (Word), abstract in three languages (Word), UDC (dissertation registration card) (Word), DEK (dissertation report card) (Word), list of the doctoral candidate's publications (PDF);
- UDC (dissertation registration card), DEK (dissertation report card) – 3 copies, printed on thick paper (thicker than regular paper), A4 format, usually sold in folders with 10 sheets, the same paper used for annual grant reports; double-sided printing, signed by the Council Chairperson, with the KazNU official seal **(Registry Office, 7th floor).**
- a cover letter signed by the Council Chairperson through the "Salem office";
- a copy of the doctoral candidate's identification card;
- list of the doctoral candidate's publications (approved, signed by the doctoral candidate, signed by the faculty secretary/secretary of the research institute/organization, and stamped by the faculty/human resources department/organization).

2. **Within seven (7) working days**, prepare and send copies of the dissertation in hardcover (stitched) format and on a CD with the abstract in three (3) languages as separate PDF files to the National Academic Library of the Republic of Kazakhstan (with a cover letter through the Salem office; sample letter available on the website) and the National Library of the Republic of Kazakhstan (without the cover letter). When sending to the National Academic Library of the Republic of Kazakhstan (Nur-Sultan), indicate your personal email address to receive a scanned version of the certificate, as well as a contact phone number in case the CD is damaged or unreadable.

When submitting the CD to the National Library of the Republic of Kazakhstan (Almaty), the CD must be placed in a hard case with an insert

displaying the same information as the title page of the dissertation, along with 1 copy of the dissertation in hardcover.

3. Obtain an updated transcript from CES with credits awarded for the dissertation defense. Doctoral candidates from other universities must provide a cover letter signed by the Chair of the Dissertation Council in order to receive the updated transcript (*sample is available on the website*).

4. Within seven (7) calendar days after the defense, submit a video recording of the defense to the OPCSP for posting on the university website. The video must be on a DVD in one of the following formats: **AVI, MPEG4, or MOV** (the video must be merged into a single file).

5. Within twenty (20) calendar days after the defense, finalize the defense protocol, review it with the Dissertation Council's academic secretary, and obtain the signature of the Council Chairperson.

6. Compile and verify the *ATTESTATION FILE* at the OPCSP, which must then be submitted to the academic secretary of the Dissertation Council **within thirty (30) calendar days** after the doctoral dissertation defense. **Attestation files submitted after this period will not be accepted.**

The Attestation File must include ***the following documents:***

1) Inventory list of documents included in the attestation file;
2) Application by the doctoral candidate for admission to the defense with a resolution by the university Vice-Rector (original);
3) Dissertation in hard (stitched) binding;
4) Dissertation with abstract in three languages on an electronic medium (CD), and printed versions of the abstract in three languages;
5) List of publications on the dissertation topic and copies thereof **(signed by the candidate and the academic secretary, stamped by the faculty, with date);**
6) Original certificate from the NCGTRE confirming the dissertation was checked for unreferenced borrowed material **(original)**;
7) Original reviews by the academic advisors, certified by their employer (including a notarized translation of the review by the foreign advisor in the dissertation language) **(OPCSP + official seal, dated before pre-defense);**
8) Original reviews by two (2) official reviewers, certified by their employer **(if the reviewer is a KazNU employee – OPCSP + official seal, dated 10 working days before the defense);**
9) Attendance sheet of Dissertation Council members (template available on website) **(OPCSP + registry seal);**
10) Video recording of the Dissertation Council's defense session (on DVD);
11) Protocol of the defense session, signed by the Council Chairperson and Secretary **(OPCSP + registry seal, with date);**
12) Copies of diplomas of higher and postgraduate education, including diploma supplements (transcripts); in case of a name change by the candidate, a document confirming the name change must be provided;
13) Cover letter to the Dissertation Council (for doctoral candidates from other universities) (original);
14) Conclusion by the Dissertation Council's expert reviewers;
15) Copy of the transcript confirming completion of the doctoral educational program **(CES + signature of the Vice-Rector for Academic Affairs + registry seal);**

16) Personal data sheet, certified by the HR department of the doctoral candidate's university **(HR department seal);**
17) Protocol of the extended department meeting where the dissertation was completed, containing a positive conclusion and recommendation for defense **(OPCSP + Vice-Rector for Research and Innovation + official seal);**
18) Certificates from three libraries confirming that copies of the dissertation have been submitted to their collections **(originals);**
19) Extracts from official orders confirming: the approval of the dissertation topic and academic advisors; permission to defend. For candidates from other universities, if their institution does not issue a separate order for defense admission, an extract from the order on expulsion or completion of credits may serve as a replacement **(OPCSP + registry seal if the candidate is from KazNU);**
20) Dissertation Registration Card with registration from JSC NCGTRE;
21) Conclusion of the University's Ethics Committee.

The inventory form is available on the website in both languages.

After the academic secretary checks the attestation file, page numbers must be added to the document inventory list in blue ink and all pages of the attestation file must be numbered.

Documents certified by OPCSP (e.g., attendance sheet, document inventory) are stamped after the dissertation is bound and reviewed by the academic secretary.

The language of the defense and all accompanying documents must match the language of the dissertation. For dissertations written in English, accompanying documents may be submitted in Kazakh or Russian, except for the pre-defense and defense protocols, and the reviews by academic advisors and official reviewers.

Additional Information:

1. Regulatory documents, instructional letters, and sample templates for documents required during the dissertation defense process and attestation file preparation are available on the official university website: https://farabi.university → Science → Dissertation Councils → Documents → Regulatory Documents. Direct link: https://farabi.university/science/dissertation-advice?&active_tab_order=2

2. When preparing the dissertation and abstract, candidates must follow the "Guidelines for Formatting a Dissertation for the Degree of Doctor of Philosophy (PhD), Doctor of Profile" *(Instructional document available on the website).*

3. The National Center for Scientific and Technical Information (NCSTI) is located at: 221 Bogenbai Batyr Street, Almaty, Phone: +7 (727) 378-05-09