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**M. Auezov South-Kazakhstan State University**



**GUIDELINES FOR INTERNAL QUALITY ASSURANCE  
IN DOCTORAL STUDIES**

**Shymkent - 2019**

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## **1 Application area**

1.1 These Guidelines for internal quality assurance in doctoral studies (GIQD) define the goal, objectives, sequence and principal provisions of the internal quality assurance system of doctoral studies at the RSE on REM “M. Auezov South Kazakhstan State University” (hereinafter - SKSU).

1.2 This GIQD is a compulsory guide for officials and staff involved in the organization and implementation of doctoral educational programmes, and is a part of the documentation of SKSU quality management system.

1.3 GIQD is a copyright object, and its transfer to third parties without rector permission is not allowed.

## **2 Normative references**

2.1 The GIQD uses references to the following regulatory documents:

- State compulsory standard of postgraduate education (Approved by an order of the Minister of Education and Science of the Republic of Kazakhstan dated October 31, 2018, No.604;
- Typical rules for admission to studies in educational organizations implementing educational programmes of postgraduate education (Approved by an order of the Minister of Education and Science of the Republic of Kazakhstan dated October 31, 2018, No. 600;
- Typical rules for the activities of educational organizations of relevant types, approved by an order of the Minister of Education and Science of the Republic of Kazakhstan dated October 30, 2018, No. 595;
- Rules for organization of the studying process on credit training technology, approved by an order of the Minister of Education and Science of the Republic of Kazakhstan dated April 20, 2011, No. 152, with changes and additions dated October 12, 2018, No. 563);
- Rules for the award of degrees, approved by an order of the Minister of Education and Science of the Republic of Kazakhstan dated March 31, 2011, No. 127, with changes and additions dated September 28, 2018, No. 512;
- MS ISO 9000-2007 Quality Management Systems. Principal provisions and vocabulary;
- MS ISO 9001-2008 Quality Management Systems. Requirements;
- QMS SKSU PR 4.01-2012 Documental management;
- QMS SKSU PR 6.03-2014 Process management for staff qualification development;
- QMS SKSU PR 7.02-2015 Management of educational and organizational processes;
- QMS SKSU PR 7.03-2015 Management of educational and methodical processes;
- QMS SKSU PR 7.04-2015 Training classes. General requirements for the organization, contents and conducting classes;
- QMS SKSU PR 7.07-2012 Management of research work of the teaching staff;

- QMS SKSU PR 7.11-2015 Organization of academic mobility of students;
- QMS SKSU PR 7.13-2015 Managing the process of enrollee selection. Identification and traceability;
- QMS SKSU PR 7.27-2013 Organization and conducting the professional practice of master students and doctoral students;
- QMS SKSU PR 7.28-2013 Organization and conducting the research work of master students and doctoral students;
- QMS SKSU PR 7.29-2013 Organization of internship for master students and doctoral students;
- QMS SKSU PR 8.01-2012 Quality Management System. Procedure. Internal audit;
- QMS SKSU PR 8.04-2012 Quality Management System. Procedure. Internal control over the education quality;
- QMS SKSU PR 8.05-2012 Quality Management System. Procedure. Comprehensive assessment of activity of the teaching staff, departments and faculties;
- QMS SKSU PR 8.06-2015 Managing the process of the current monitoring of progress, intermediate and final certification;
- QMS SKSU PR 8.07-2012 Quality Management System. Procedure. Evaluation of customer satisfaction;
- Code of Academic Integrity.

**as well as European documents:**

- Standards and guidelines for quality assurance in the European Higher Education Area (ESG) (new edition) (Approved at the Yerevan Conference of Ministers of Education on May 14-15, 2015);
- Salzburg principles accepted in 2005;
- Salzburg II Recommendations (Recommendations for the implementation of the Salzburg Principles) accepted in 2010;
- 7 Principles for Innovative Doctoral Training;
- The European Code of Conduct for Research Integrity, published March 24, 2017.

**3 Terms and definitions**

The GIQD uses the terms and definitions in accordance with MS ISO 9000: 2007, the State Compulsory Standard of Postgraduate Education (approved by the Resolution of Government of the Republic of Kazakhstan dated August 23, 2012, No. 1080).

**Doctoral studies** - postgraduate education, which educational programmes are aimed at personnel training for scientific, pedagogical and (or) professional activities with the award of Doctor of Philosophy (PhD) degree, or Doctor of Science.

**Doctoral student** - a person, trained at the doctoral studies;

**Doctoral thesis** is a doctoral student's research, an independent research in which theoretical concepts are developed, the totality of which can be qualified as a new scientific achievement, or a scientific problem is solved, or scientifically grounded technical, economic or technological solutions are set out, the introduction of which makes a significant contribution to the country's economy development.

**Doctor of Science** – is a degree awarded to persons who have mastered a doctoral programme in a relevant field of professional activity and have defended a doctoral thesis in the Republic of Kazakhstan or outside its borders, recognized in the manner prescribed by the legislation of the Republic of Kazakhstan;

**Doctor of Philosophy (PhD)** is the degree awarded to persons who have mastered the doctoral programme in the scientific and pedagogical field and have defended a thesis in the Republic of Kazakhstan or outside its borders, recognized in the manner prescribed by the legislation of the Republic of Kazakhstan;

**The individual curriculum** (hereinafter referred to as IC) is a student's curriculum, independently formed by him for each academic year with the help of an adviser on the basis of the educational programme and the catalog of elective disciplines;

**The working curriculum** (hereinafter referred to as the WC) is a training document developed by the educational organization independently on the basis of the educational programme and doctoral students' individual curricula.

#### **4 Notation and abbreviations**

The following abbreviations are used in the Guidelines for quality assurance in doctorate:

GIQD - guidelines for quality assurance in doctoral studies;

SCES - State compulsory educational standard;

RQM - representative of the quality management;

HS - Higher School

STC - Scientific and Technical Council;

SHC - Scientific and Humanitarian Council;

QMS - quality management system;

QS - quality service;

SC - curriculum;

IPE - Institute of Postgraduate Education;

RWDS - research work of doctoral students;

EMCS - educational-and-methodical complex of the specialty;

EMCD - educational-and-methodical complexes of discipline;

TS - teaching staff;

EML - educational and methodical literature;

CCES MES RK - Committee for the Control of Education and Science of the Ministry of Education and Science of the Republic of Kazakhstan;  
SRWD – scientific research work of doctoral student;  
ERWD – experimental research work of doctoral student;  
HS – Higher school;  
CED - catalog of elective disciplines;  
EIC - educational information center.

## **5 Responsibility and authority**

5.1 Rector of SKSU approves GIQD.

5.2 RQM is responsible for the implementation and management of the GIQD.

5.3 RQM is responsible for the compliance of the GIQD provisions and requirements of MS ISO 9001: 2008 standard.

5.4 Heads of departments involved in the implementation of a specific stage are responsible for the organization and coordination of activities for the implementation of specific stages of the procedure of organizing and conducting research work of doctoral students and the quality of final results in the departments.

5.5 The heads of departments are responsible for safety and unauthorized copying of the QMS procedures in the division, and the service information leakage.

5.6 The director of the Institute of Postgraduate Training is responsible for management of this GIQD in accordance with the QMS of SKSU PR 4.01-2012 for doctoral educational programmes.

5.7 The RQM and director of the IPE are responsible for implementation of requirements specified in the GIQD.

5.8 The Director of the IPE makes changes in the GIQD with a mandatory mark in the “List of registration of changes”.

## **6 Process Description**

### **6.1 Quality assurance policy**

6.1.1 The quality assurance policy is formulated based on the development strategy of the university and complies with the mission, goal and objectives of the university.

6.1.2 The SKSU mission is to form the country's intellectual elite based on new knowledge generation and the university transformation into an entrepreneurial university.

6.1.3 The main strategic goal of the university is to transform it into a research and entrepreneurial university, providing training in close cooperation with employers.

To improve institutional efficiency and an image, the university sets itself the following main tasks:

*in educational activities:* improving the activity of industrial councils, developing new programmes in collaboration with employers, developing dual personnel training, expanding multilingual education, spreading the experience of developing educational programmes of State Programme of Industrial Innovative Development to all programmes, expanding entrepreneurial education;

*in research activities:* expanding the area of applied research, the creation of interdisciplinary research groups, development of research projects in collaboration with enterprises, focus of scientists on solving problems of the region and regional industry;

*in innovation activity:* creation of own industrial base, development of innovation infrastructure and project support system, creation of conditions for the development of youth entrepreneurship;

*in the activity on formation of the modern image of the university:* improving the university positions in international and national ratings, independent national institutional accreditation according to international standards, expanding international relations of the university in the scientific and educational space, university recognition by international and national organizations in quality.

6.1.4 The following SKSU objectives aimed at improving the quality of doctoral education are given below:

- Formation of an effective and demanded portfolio of doctoral educational programmes;
- Improving the quality of an educational process in doctoral studies;
- Equipping laboratories with modern equipment for personnel training in the framework of industrial innovative development;
- Expansion of the integration of industry and the educational process with the introduction of innovative achievements in the production and the educational process, the commercialization of scientific activity results;
- Internationalization of doctoral educational programmes: inviting the best foreign specialists;
- Expansion of international experience in the implementation of joint educational programmes;
- The introduction of effective mechanisms for the selection and certification of professional personnel;
- Ensuring sustainable demand for university graduates by improving the educational process and adjusting training areas in accordance with demands of the modern labor market;
- Formation and development of new Kazakhstan's patriotism, based on national unity, tolerance and achievement of Kazakhstan's people dream in the framework of "Manglic El" movement.

6.1.5 University top management, faculty and doctoral students are actively involved in the planning, implementation and monitoring of all processes carried out at the university. The participation of managers at all levels in achieving the goals is performed through participation in the work of the Academic and Methodical Council, administration meetings, meetings and methodical seminars, working groups, university commissions, audit teams.

Participation of teaching staff and doctoral students in the university management is ensured by their right to be elected to the collegial management bodies, to make proposals for improving the educational process. Doctoral students are involved in the process of planning, implementing, monitoring the university activities also through university-wide youth organizations.

6.1.6 In order to coordinate the activities of structural subdivisions in the organization of the quality assurance system, a Quality Coordination Council, a Department for Strategic Development and Quality Management have been created at SKSU; a university strategic development plan has been developed, and an ISVUZ information system for quality management has been implemented.

6.1.7 The university has accepted and approved the main regulatory documents defining the Quality Culture Policy: the University Charter, the Internal Regulations, the Code of Corporate Ethics of SKSU, which establish uniform requirements for the quality of performance of professional duties by teachers and university staff. These requirements are determined on the basis of the ethical norms and values of the university environment, the convictions and aspirations of the authoritative part of the collective body, the expectations and demands of effective public practice, thereby ensuring the development of corporate culture and quality culture.

6.1.8 Corporate culture is a decisive factor determining the effectiveness of the university (Code of Corporate Ethics SKSU). In the context of the development of corporate culture at the university, great attention is paid to the work on introducing students to the norms and values of the university, their quick adaptation to the conditions of university life, traditions of the university; to the prevention of possible negative phenomena in student groups caused by interpersonal or interfaith misunderstanding; to creating a cult of knowledge and stimulating students' interest in scientific work.

6.1.9 The system of quality assurance of SKSU educational services includes five levels of organization:

- the first level is carried out by the university administration;
- the second level is the faculty / dean of the higher school and the institute of postgraduate education;
- the third level is the department;
- the fourth level is represented by doctoral students, teachers and graduates;
- the fifth level is represented by the employers.



**The first level** of organization of the quality assurance system in SKSU is implemented by the university administration through the Coordinating Council for Quality, the Academic Council, the Scientific and Technical / Humanitarian Council in the following areas:

- analysis of the relevance of doctoral thesis topics;
- organization and planning the educational process;
- quality of all types of studies;
- provision of doctoral students with educational-and-methodical complexes of discipline (EMCD) in accordance with SCES;
- use of hardware and software in the educational process;
- staffing;
- analysis of the effectiveness of scientific consultants;
- professional development of faculty (teaching staff).

**The second level** of organization of the quality assurance system in SKSU is performed by the IPE / dean's office through the Council of the higher school, the final attestation and examination commissions in the following areas:

- analysis of curricula and teaching means;
- identification of the level of formation of doctoral students' key competencies, academic progress and independent work organization;
- analysis of an examination session taking into account the progress of doctoral students;
- analysis of the degree of individual doctoral curriculum completion;
- analysis of the effectiveness of research conducted by a doctoral student;
- analysis of doctoral theses themes and their relationship with the research conducted at the faculty / higher school;
- analysis of reports of scientific consultants;
- analysis of quality of training the graduates based on the results of final certification;
- analysis of teaching staff activities, the state of its training and qualification development;
- monitoring the implementation of practices;
- studying the state and use of teaching, informational and library support;
- analysis of the effectiveness of international internships / academic mobility of doctoral students.

At the faculty / higher school level, the quality of academic work is checked by the inspection commissions, which check the quality of teaching, educational and methodological literature used in the training doctoral student. Results of the inspection are discussed at a meeting of the faculty / high school Council.

The final state attestation of students is performed to determine the degree of learning requirements of state compulsory standards, which is confirmed by the estimates obtained during the comprehensive exam.

**The third level** of quality assurance system organization in SKSU is implemented by the department in the following directions:

- monitoring the quality of doctoral training and determination of ways for further improvement;
- analysis of doctoral students' writing skills, preparation of applications for inventions, etc.;
- analysis of the quality of doctoral students' publications;
- monitoring the quality of teaching staff qualification for training classes;
- material and technical support of the educational process;
- current control of knowledge;
- monitoring the attendance of doctoral students;
- control over the mastering of practical skills by doctoral students and their independent work;
- analysis of reports of chairmen of state certification commissions;
- summarizing international doctoral internships;
- analysis of expert opinions on the developed educational programmes;
- analysis of career growth of graduates.

At the department level, the quality of classes is checked in accordance with the approved schedules of intra-departmental control in the form of mutual visits and open classes. The results of mutual visits are analyzed at the department meetings and, if necessary, corrective measures are implemented.

**The fourth level** of quality assurance system organization in SKSU the doctoral students, graduates and teachers realize in the following directions:

- satisfaction of doctoral students with the quality of organization of the learning process, practice, internship and research / experimental research;
- teaching staff satisfaction with job organization;
- evaluation of graduates' learning outcomes.

The results of the survey are analyzed, documented, and based on the analysis, necessary changes are introduced in the curricula, teaching methods and organization of the educational process.

**The fifth level** of quality assurance system organization in SKSU the employer performs on the basis of results of graduates' practices and activities.

Quality assurance of programmes and qualifications includes:

- development and publication of planned learning outcomes;
- constant control over the curriculum development, the design and contents of educational programmes;
- available learning resources;
- educational-and-methodical complexes of specialties and disciplines;
- approved educational programmes;
- educational programmes agreed with employers;
- monitoring the progress and achievements of doctoral students;
- periodic evaluation of programmes at the department;
- accreditation of educational programmes;

- constant interaction with employers, representatives of the labor market and other organizations;

- participation of doctoral students in quality assurance procedures.

6.1.10 The policy of academic integrity of students is reflected in the Code of Academic Integrity of University Students. The tools of ensuring academic integrity are following:

- automation of processes related to the assessment of knowledge, movement of the contingent, excluding the influence of the human factor;

- organization of the system of internal work with students (advisers, dean offices, registration office, organization of a system for receiving feedback (rector's blog, trust boxes, student council).

6.1.11 The University provides for conditions for realization of academic freedom of students. Electronic versions of learning and methodical materials, schedule of classes and exams, and academic achievements of students are posted on the student's personal page on the portal.ukgu.kz information portal.

6.1.12 The University pursues a policy of forming and developing an anti-corruption outlook and behavior among students and teachers in order to ensure information transparency and accessibility of educational services.

## **6.2 Development and approval of doctoral programmes**

6.2.1 The doctoral studies are implemented in accordance with the Legislation of RK and Salzburg principles, which characterize the key role of doctoral programmes and training of scientific personnel in the framework of the Bologna process.

6.2.2 The development of doctoral educational programmes is performed in accordance with the National Qualifications Framework, industry frameworks, professional standards (if any), Dublin descriptors and the European Qualifications Framework.

6.2.3 Doctoral educational programmes are developed by graduating departments in specific directions of training in accordance with the classifier of specialties of higher and postgraduate education of the Republic of Kazakhstan on the basis of typical (main) curricula of doctoral specialties, and approved by the university rector.

6.2.4 For doctoral educational programme development the working groups are created, which include leading teachers and doctoral students.

Educational programmes (**EP**) are discussed at the department meeting, then sent for external examination to employers on the profile of personnel training. Internal expertise is carried out by an expert group established at the faculty level from among the leading teachers. The EP and expert opinions are submitted to the methodical commission of the faculty / higher school. The University Academic Council approves the EP on the recommendation of the Educational and Methodical Council.

6.2.5. Doctoral educational programmes are developed in two directions: scientific-and-pedagogical and specialized ones. The PhD educational

programme has a scientific and pedagogical orientation and involves fundamental educational, methodological and research training and in-depth study of disciplines in relevant areas of science for the system of higher and postgraduate education and the scientific field.

6.2.6 Educational programmes for training Doctor of Science proposes fundamental educational, methodological and research training and in-depth study of disciplines in relevant areas of science for the sectors of the national economy and social sphere: education, medicine, law, art, economics, business administration and in the military area.

6.2.7 The structure of doctoral educational programme includes two components: educational and scientific, determining the contents of education. The structure of the doctoral educational programme consists of:

- 1) theoretical training, including the study of the cycle of basic and major disciplines;
- 2) practical training of doctoral students: various types of professional practices, scientific or professional internships;
- 3) research (experimental research) work, including the implementation of a doctoral thesis;
- 4) final certification.

The labour intensity of study and research work of students is determined by the amount of mastered knowledge and measured in academic credits.

6.2.8. Doctoral educational programmes in terms of professional training are developed on the basis of studying the experience of foreign universities and research centers that implement accredited programmes for training PhD or Doctors of Science.

The contents of the doctoral educational programme includes:

- a theoretical course;
- a research / experimental research programme, including a doctoral thesis / project fulfillment;
- practice (pedagogical, research, production); - intermediate and final certification.

6.2.9 Programmes of disciplines and modules, as a rule, have an interdisciplinary and multidisciplinary nature, providing personnel training at the junction of a number of knowledge areas.

6.2.10 Doctoral educational programmes are developed on a modular basis and contain goals, learning outcomes and competencies. For each educational programme, training is carried out on the basis of a set of educational and methodical support, which includes: a working curriculum for the educational programme; catalog of elective disciplines; educational and methodical complexes of disciplines.

6.2.11 The contents of doctoral education is based on a competence model that forms key competences for students, aimed at training competitive and qualified personnel capable of independent thinking and ensuring the

progressive scientific-technical, socio-economic and cultural development of society taking into account the country's development prospects.

Key competencies include general competencies and professional competencies.

General competencies determine the overall socio-cultural development of an individual with high spiritual and moral qualities, his research competencies, as well as the ability of a graduate to create and transfer new knowledge.

General competencies reflect learning outcomes achieved in the process of studying an educational programme and demonstrating knowledge of scientific concepts of world and Kazakhstan's science in the relevant field, understanding current trends, directions and regularities of domestic science development in the context of globalization and internationalization, the ability to generate their own new scientific ideas, to communicate their knowledge and ideas to the scientific community, expanding the boundaries of scientific cognition.

Professional competencies are developed for each educational programme based on professional standards, taking into account the requirements of the labor market, expectations of employers, interests of students and the social needs of society.

Professional competencies reflect learning outcomes achieved in the process of mastering the educational programme.

At the same time, the learning outcomes reflect the level of competencies achieved by the students and confirmed by the assessment, confirming the knowledge, understanding and skills that demonstrate upon completion of studying the academic discipline and / or the module and / or the educational programme as a whole.

6.2.12 The curricula of educational programmes in doctoral specialties are coordinated with employers and approved by the rector based on the decision of the Academic Council of the university.

6.2.13 The scientific component of the educational programme is formed from the research work (SRWD) or experimental research work (ERWD) of the doctoral student, scientific publications, writing and defending a doctoral thesis.

6.2.14 Themes and candidatures of scientific supervisors / scientific advisers of doctoral theses are considered at the scientific and methodical seminars of departments, Councils of faculties / HS. Formed themes of doctoral research theses are discussed at the STC / SHC and recommended by them for approval at the Academic Council of SKSU.

6.2.15 The research work of the doctoral student should:

- correspond with the main issues of the educational programme on which the doctoral thesis is defended;
- be relevant, contain scientific novelty and practical significance;
- be based on modern theoretical, methodical and technological achievements of science and practice;

- be based on modern methods of processing and interpreting data using computer technologies;
- be performed using modern research methods;
- contain research (methodical, practical) sections on main protected provisions.

6.2.16 The experimental research work of a doctoral student should:

- correspond with the main issues of the educational programme on which the doctoral thesis is defended;
- be relevant, contain scientific novelty and practical significance;
- be based on modern achievements of science, technology and production and contain specific practical recommendations, independent solutions of managerial tasks of an integrated, cross-functional nature;
- be performed using advanced information technologies;
- contain experimental research (methodical, practical) sections on the main protected provisions.

6.2.17 The research work results of the doctoral student should be published in scientific journals, as well as reported at scientific conferences. The final result of the research / experimental research work of the doctoral student is completion of the thesis for the degree of Doctor of Philosophy (PhD) or Doctor of Science.

6.2.18 The thesis for the degree of Doctor of Philosophy (PhD) or Doctor of Science (doctoral thesis) is a qualifying final work, which is an independent scientific research containing new scientific results. The requirements for the structure and contents of doctoral theses are determined by the relevant regulatory documents.

6.2.19 Practice for students of doctoral educational programmes is carried out with the aim of developing practical skills of research, teaching and professional activities.

6.2.20. The standard duration of mastering the doctoral educational programme is 3 years. An early award of the degree of PhD or Doctor of Science is allowed in a case of early mastering the educational and scientific components of the educational programme, successful passing a comprehensive exam on the specialty and defending a thesis for the degree of PhD or Doctor of Science.

### **6.3 Student-centered learning, teaching and assessment**

6.3.1 A student is the central figure of the educational process at SKSU. All stages of a doctoral student's life cycle are regulated by a set of documents. Doctoral students are actively involved in the design and implementation of quality assurance procedures at the university.

6.3.2 Organization of the doctorate educational process must meet the requirements of the state compulsory standard of doctorate studies and provides for the creation of the most favorable conditions for the student mastery of

doctoral educational programmes. The possibility of individual planning of the educational trajectory is provided for doctoral students.

6.3.3 In order to support doctoral students in the formation of the individual curriculum and mastering the educational programme during the period of study, advisers from among the teachers of the graduating departments are appointed.

6.3.4 One academic term is prescribed for doctoral students. The number of weeks by type of activities can vary, while the average weekly workload of a doctoral student should not exceed 57 hours, which includes theoretical training, experimental research work, including the thesis / project fulfillment, practice, and final attestation.

6.3.5 Mastering the doctoral educational programme is implemented in the form of classroom (contact) and outside (independent) work of the student.

6.3.6 Doctoral training classes should be conducted mainly in active creative forms (case study, business games, panel discussion, debates, round tables, seminars, etc.) using modern educational technologies.

6.3.7 The faculty/higher school and the graduating department are responsible for the methodical support of doctoral education process. The graduating department develops following documents for each specialty of doctoral studies:

- catalog of elective disciplines (CED) of educational programmes;
- educational and methodical complexes of disciplines (EMCD), including working training programmes and syllabuses;
- materials for classroom work on each discipline (module): texts of lectures, plans for seminars, practical and laboratory classes with a breakdown into sections, indicating weeks and the schedule for completion of current control, types of knowledge control;
- materials for independent work of doctoral students: a list of tests, assignments, self-control materials for each discipline (module), a list of compulsory and additional literature on the topics of IWDS, IWDT, a schedule of individual consultations on educational and scientific issues;
- materials for implementation of knowledge control: written assignments and tests, exam tickets, schemes of business games, trainings, thematic issues of discussions, round tables;
- materials for conducting practices: plans and programmes of practices, forms of reporting documentation;
- materials for research / experimental research (programmes, schedules of scientific seminars, etc.).

All methodical instructions are considered at the department meetings, at the meetings of methodical commissions of faculties / higher schools are recommended for publication by the Educational and Methodical Council of the university.

6.3.8 The current attestation of doctoral students mastering the educational doctoral programmes is performed to assess the volume and level of mastering the study component of the educational programme, the implementation of the programme of research / experimental work and professional practices.

6.3.9 Doctoral students are provided with a reference guide, which reflects the university's academic policy in the doctorate field, rights and duties of doctoral students, methods of assessing progress, requirements for final state attestation.

6.3.10 During the first 2 months of study the students of doctoral educational programmes develop and approve individual working plans, which include the following sections:

- individual plan of research / experimental research work;
- plan of passing the practice;
- thesis theme with justification and a structure;
- thesis implementation plan;
- plan of scientific publications and internships for doctoral students in recognized world research centers and in higher educational institutions of foreign countries.

6.3.11 The individual curriculum (IC) is the basis for mastering the study component of the educational programme. The individual curriculum reflects the individual trajectory of the doctoral student. If necessary, IC can be updated annually.

6.3.12 The individual plan of the doctoral student research / experimental research work (IPRW / IPERW) is compiled for the entire period of mastering the educational doctoral programme broken down by years. The plan of research / experimental research work indicates the theme of the doctoral research, the direction of research, terms and form of reporting. The IPRW / IPERW of the doctoral student must be approved by all members of the doctoral advisory committee.

6.3.13 The plan of scientific publications of the doctoral student should contain an approximate subject of publications, titles of scientific publications in which he plans to publish the paper, terms to publish the paper. The doctoral student internship plan should include a comprehensive internship programme with a goal and objectives, internship period and reporting forms.

6.3.14. Individual working plans of doctoral students are considered on a meeting of the faculty / high school council, agreed with the Institute of Postgraduate Education and approved by the Vice-Rector responsible for Research and Innovations.

6.3.15 The maximum number of academic credits included in the doctoral student IC must correspond to the number of academic credits established by the working curriculum (WC) for the current semester and year of study, respectively.



6.3.16 Doctoral students are responsible for the preparation of their individual curricula and the completeness of their training programme in accordance with the requirements of the working curriculum of the educational programme.

6.3.17 It is allowed for students to master academic disciplines during the summer semester, up to 6 weeks in order to eliminate academic debts, eliminate differences in the curriculum when returning from academic leave or transfer from another university, or to make adjustments to their individual curriculum. To master the required number of academic credits in summer semester terms, the student must register for no more than 9 credits, no later than 3 days before the beginning of the summer semester.

6.3.18 Training in the summer semester is performed on a fee basis, with the exception of the elimination of academic indebtedness arising from student stay on academic leave only for students trained on the state educational order.

6.3.19 For doctoral students, who have mastered the credits on theoretical training in domestic and foreign organizations of education and science, credits on disciplines are counted according to the approved curriculum. The question of the equivalence of credits is considered in each case by the department together with the IPE. The student presents a transcript indicating the disciplines mastered in a foreign university, with the number of credits earned and grades.

6.3.20 Scientific consultants of doctoral students and heads of graduating departments are responsible for the timely approval of doctoral students' individual working plans.

6.3.21 Graduate departments that implement the training the doctoral students should organize the research work of students in order to study the latest theoretical, methodological and technological achievements.

6.3.22 Research / experimental research work of doctoral students is planned on semesters in accordance with the working curricula of educational programmes. At the end of each academic term students defend a presentation of conducted research results at a meeting / scientific and methodical seminar of the graduating department in the presence of a scientific consultant.

6.3.23 The research / experimental research work of doctoral students includes:

- performance of research works on the thesis theme;
- preparation of scientific publications on the thesis theme;
- foreign scientific internship.

6.3.24 The requirements for the structure and contents of doctoral theses are determined by the relevant regulatory documents of the university. Before the defense doctoral theses are subjected to mandatory check for plagiarism revelation in the National Centre of State Scientific-and-technical Expertise.

6.3.25 Within the framework of RWDS (ERWDS), in order to familiarize with innovative technologies and new productions, doctoral students must pass a

scientific internship in scientific organizations and / or organizations of relevant industries or fields, including abroad.

6.3.26 A student presents a report on the results of scientific / foreign internship at the graduating department meeting.

6.3.27 The main scientific results of the dissertation for the degree of Doctor of Philosophy (PhD), Doctor of Science are published before the thesis defense in at least 7 (seven) publications on the thesis theme, including:

- one publication in international peer-reviewed scientific journal;
- at least 3 papers in scientific publications included in the list of scientific publications recommended for publishing main results of the research activities, approved by the authorized body;
- 3 publications in Proceedings or theses of international conferences, including 1 paper published in Works of foreign conferences.

6.3.28 Main provisions of dissertation (design) works submitted for the defense should be presented in scientific / methodical publications of doctoral students.

6.3.29 Attestation of research / experimental-research results of doctoral students is conducted in accordance with the approved procedures of the university (QMS SKSU PR 7.28-2013 Organization and conduct of research work of master students and doctoral students).

6.3.30 The practice of doctoral students is a significant component of the professional training of highly qualified specialists. The practice is conducted in organizations that are practice bases - at enterprises, universities, research institutes, institutions, organizations, etc.

6.3.31 The educational programme of PhD scientific and pedagogical doctoral studies includes research and student teaching practices, in specialized doctoral studies it includes an industrial practice.

6.3.32 Research practice is conducted to study the latest theoretical, methodological and technological achievements of domestic and foreign science, as well as to consolidate practical skills of applying modern methods of scientific research, processing and interpretation of data in the dissertation research.

6.3.33 Pedagogical practice is conducted to obtain new knowledge, skills and practical skills in the field of teaching methods in the higher education system. Pedagogical practice is conducted in the period of theoretical training without interruption of the study process. During the student teaching practice, doctoral students may be involved in conducting classes on bachelor and master programmes.

6.3.34 Professional (industrial) practice is conducted to consolidate theoretical knowledge gained in the learning process, and for formation of necessary professional skills and competencies, as well as mastering the advanced experience.

6.3.35 The contents of research and professional (industrial) practices is determined by the theme of student's dissertation research.

6.3.36 The practices of doctoral educational programme student are conducted according to approved academic calendar in the amount established by the relevant state compulsory education standard.

6.3.37 Conducting research and professional (production) practices of students is conducted on the basis of organizations, enterprises, institutions and research organizations on a contractual basis.

6.3.38 Pedagogical practice is conducted on the base of the graduating department of SKSU.

6.3.39 The teaching and methodical guidance of the practice and the quality control of its implementation are provided by the graduating department, where the doctoral student is trained.

6.3.40 The graduating department conducts preliminary training the trainees, including familiarization with the goal and objectives of various types of practices, also issues tasks for the practice, requirements for developing practical programmes, rules for processing and execution of practice results, completing the practice diary; it also introduces the procedure for the practice report defense, etc.

6.3.41 The graduating departments develop practice programmes for doctoral studies, which are approved by the Director of the Institute of Postgraduate Education, and provide trainees with the necessary educational and methodical documentation.

6.3.42 By order of the rector, a practice supervisor and a practice base are appointed. The practice supervisor organizes necessary training of the trainees before the start of the practice, provides consultations for the trainees, reviews the reports of the trainees, gives feedback on their work.

6.3.43 Reports of students on pedagogical, research and industrial practice should include material collected, analyzed and systematized during the internship. Reports of students are heard and approved at scientific seminars of graduating departments.

6.3.44 Intermediate and final certification of students of doctoral educational programmes is carried out to assess the volume and level of mastering the educational and scientific component of educational programmes, the degree of formation of necessary skills and competencies, as well as the compliance of graduates of educational programmes with the requirements for candidates for a degree of PhD or Doctor of Science.

6.3.45 Evaluation of educational achievements of students of doctoral educational programmes in the framework of intermediate attestation is certified using various forms of control and attestation, defined by the Typical rules for the current monitoring of progress, intermediate and final attestation of students in higher educational institutions

6.3.46 The procedure for preparation and organization of exams, the requirements for conducting examinations are regulated in the QMS of SKSU PR 8.06 - 2015 “Managing the process of conducting current monitoring of progress, intermediate and final attestation”.

6.3.47 Examinations are conducted to evaluate the student's work for the semester in each discipline, determine the degree of mastering theoretical knowledge by students, the degree of development of creative thinking, acquired skills of independent work, the ability to synthesize their knowledge and apply them in practice.

6.3.48 The exam schedule is compiled by the registrar's office in collaboration with the Institute for postgraduate education; it is approved by the Vice-Rector responsible for academic and methodical work. The exam schedule is compiled in accordance with the individual curriculum of the student and communicated to doctoral students 1 month before the beginning of the examination session.

6.3.49 The content of exam questions is determined by the teacher who teaches the relevant course in accordance with the approved programme of an academic discipline. When compiling exam questions, the teacher takes into account the possibility of verifying learning outcomes. Exam questions, as a rule, contain an open problem and require the student to be creative in solving it.

6.3.50 The following forms of examinations are used: oral, written, creative, case studies.

6.3.51 The final examination of students of doctoral educational programmes is implemented in terms prescribed by an academic calendar and curricula of educational programmes in the form of passing a comprehensive exam and thesis defense.

6.3.52 A comprehensive examination in the specialty is a form of state control of the student's educational achievements, aimed at determining the compliance of acquired knowledge and skills with the requirements of the state compulsory standard of education in the specialty.

6.3.53 Doctoral dissertation defense is a form of state control over the compliance of a scientific / experimental study conducted by an applicant with the requirements for qualifying graduate work of a doctoral candidate. The thesis work should serve as evidence of the applicant's deep knowledge in the area under study, the formation of theoretical thinking skills, the ability to form hypotheses and to conduct information collection. Evaluation of candidate research activities is performed on the basis of a set of objective criteria: scientific erudition, professionalism, theoretical and applied significance of scientific works.

6.3.54 The main criterion of the completeness of the educational process for training PhDs or Doctors of Science is the mastering of at least 75 academic credits by a doctoral student, of which at least 15 are academic credits for theoretical studies and at least 5 academic credits are for practice.

6.3.55 Consideration of complaints of doctoral students by the top management of the university is performed:

- at regular meetings of the rector with doctoral students;
- through functioning the open personal blog of the university rector;
- through appeal commissions during examination sessions;
- through the application of doctoral students to the university administration on visiting days and hours.

Complaints and claims of doctoral students, obtained as a result of an anonymous survey and during meetings with the university administration, are mandatory recorded, and information is analyzed at various levels of the university (advisors - department - dean's office / higher school - vice-rector - rector), after which appropriate decisions are accepted.

#### **6.4 Student admission, performance, recognition and certification**

6.4.1 The University performs purposeful work on the formation of a motivated and talented contingent of doctoral students.

6.4.2 Enrollment of doctoral students is carried out by the university admission commission.

For applicant admission for doctoral studies, an admission commission is organized, the chairman of which is the university rector. The commission should include vice-rectors and deans of faculties / higher schools, representatives of public organizations.

6.4.3. Persons with a master degree and work experience of at least 1 year are admitted to doctoral studies.

Applicants to the doctoral program provide international certificates confirming the foreign language knowledge in accordance with European competencies (standards) of foreign language proficiency:

English: TOEFL ITP - at least 460 points,  
TOEFL IBT - - at least 87 points,  
TOEFL - at least 560 points,  
IELTS - at least 5.5;

German: DSH, Niveau C1 / Level C1,  
Niveau C1 / C1 level;

French: TFI - at least level B1;  
DELF - level B2,  
DALF - level C1,  
TCF - at least 400 points.

6.4.4 Citizens of the Republic of Kazakhstan and stateless persons entering a doctoral programme pass the entrance exam for a group of doctoral educational programmes only in the university they are applying for.

Admission of foreigners to master and doctoral studies and residency is implemented on a fee basis. Foreigners get free post-graduate education on a

competitive basis in accordance with the state educational order in accordance with international agreements of the Republic of Kazakhstan.

Admission of foreign citizens to study on a fee basis postgraduate educational programmes is performed for a calendar year in accordance with the university academic calendar.

6.4.5 Examinations commissions for groups of educational programmes are formed for the period of entrance examinations for doctoral studies. The examination commissions for groups of educational programmes are formed from the university teaching staff with a degree of Doctor or Candidate of Science or PhD in the relevant specialty.

Retake of entrance exams is not allowed.

6.4.6 To ensure compliance with uniform requirements and resolve disputes, an appeal commission is created. The appeal commission works with each person individually.

6.4.7 Persons who scored the highest total grade at least 150 points in the sum of entrance exams on 100-point grading scale are enrolled for training on the state educational order.

Enrollment of doctoral students is performed by the university admission committee on the basis of the entrance exam on groups of doctoral educational programmes and a certificate confirming the foreign language knowledge in accordance with European competences (standards) of foreign language proficiency.

6.4.8. When enrolling in a university, doctoral students independently choose an educational programme from the relevant group of educational programmes.

6.4.9 The enrollment of persons for targeted training of doctors of philosophy (PhD) under the state educational order is carried out on a competitive basis.

6.4.10 Training in PhD doctoral studies is carried out on the basis of educational programmes of master studies, in the profile doctoral studies, including the DBA programmes - on the basis of master studies or higher specialized education, equivalent to the profile master studies. At that at the “entrance” in a case of coincidence of the profile of doctoral educational programme with the master programme, the learning outcomes of the previous level of education are automatically recognized; in a case of a mismatch of the profile of doctoral educational programme with the master programme, prerequisites for mastering are established.

The list of necessary prerequisites and terms of their mastering are determined by the university independently. Prerequisites are mastered on a fee basis.

Upon admission of a master of profile training in a doctoral PhD programme, he is additionally set up as an educational programme for a pedagogical profile of a pedagogical master programme as prerequisites.

6.4.11 Students trained in doctoral studies at M. Auezov SKSU have rights and obligations determined by the Law of the Republic of Kazakhstan “On Education”, “On Science”, normative acts of the MES RK, the Charter, the Guidebook for master students and doctoral students, the Code of Corporate Ethics of M.Auezov SKSU.

6.4.12 Doctoral students are obliged to timely and efficiently perform all types of work prescribed by the individual working plan.

6.4.13 Doctoral students are required to:

- at the end of each stage of work prescribed by individual plans, submit in time all necessary written materials;
- keep a record of comments and feedback received from their scientific leaders / consultants;
- observe established deadlines for submission of reports (on study and research / experimental research, on foreign internships, etc.);
- speak at the scientific and methodical seminars at the faculty / higher school level;
- observe the provisions of European Code of Conduct for Research Integrity;
- inform in time the relevant administrative departments of the university about the change of name, address of residence and contact details;
- discuss in time with scientific leaders, consultants and advisors any problems that arise, take the initiative in solving them;
- complete in time writing a doctoral thesis.

6.4.14 Doctoral students enrolled for training on the state educational order, must conclude in time a contract and fulfill its conditions. In accordance with the agreement, a doctoral student who is trained in pedagogical specialties is obliged to work at state educational organizations for at least three years after graduation from a university.

Doctoral students, who studied in other specialties on the basis of the state educational order, work in organizations, regardless of their form of ownership, for at least three years after graduation.

6.4.15 Doctoral students have the right to apply to heads of graduating departments for assistance in finding scientific consultants and for solving other organizational issues.

6.4.16 In the event of a conflict between a doctoral student and his scientific adviser / members of the advisory commission, the doctoral student has the right to apply to the conciliation commission to resolve controversial issues. If necessary, the faculty council may decide to remove the scientific adviser from the management and appoint a new scientific adviser to a doctoral student.

6.4.17 All controversial issues arising in the implementation of doctoral educational programmes are resolved in the manner established by the legislation of the Republic of Kazakhstan.

6.4.18 Other rights and obligations of doctoral students at M.Auezov SKSU, which are not provided for by these Rules, are governed by the regulatory legal acts of the Republic of Kazakhstan.

6.4.19 Training in doctoral educational programmes is implemented only full-time. The academic year in doctoral studies consists of academic periods (semesters), including terms of theoretical training and research (experimental research) work, control terms - periods of intermediate certification / final control, final certification and terms of practice and holidays. The duration of one academic period is 15 weeks. The terms of academic and control periods, periods of practice and vacations, as well as periods of organizational activities within the academic year are indicated in the academic calendar of doctoral studies. The duration of holidays in the academic year is at least 7 weeks.

6.4.20 The academic calendar of doctoral studies is developed by the University IPO, approved by the Chairman of the Academic Council of M. Auezov SKSU and communicated to students of educational programmes by employees of IPE, no later than 1 month before the start of the new academic year.

6.4.21 The terms, place and duration of the classroom work of doctoral students within academic and control periods, as well as the period of practice, are governed by schedules approved by the Vice-Rector for Academic and Educational-Methodical Work. Schedules of classes, pedagogical practice, intermediate and final attestation are prepared by a faculty manager and IPE specialists, who are responsible for the timely provision of schedules, as well as informing students and teaching staff of doctoral educational programmes no later than 2 weeks before the beginning of the relevant period. Director of IPO is responsible for the timely approval of schedules.

6.4.22 Collection of information on the academic performance and progress of a doctoral student on the implementation of an individual plan is conducted in an automated system ISVUZ.

6.4.23 Types of attestation of academic performance - current control, mid-term control, intermediate attestation (final control), final attestation.

6.4.24 Current control of the progress of doctoral students is a systematic check of educational achievements of a doctoral student conducted by a teacher in current classes in accordance with the working programme of the discipline.

6.4.25 Mid-term control is verification of doctoral student educational achievements, conducted in the middle and at the end of the academic period, during which the discipline is studied, which includes the results of current control and affixing the results of rating control to the attestation list.

The general policy on the evaluation of students, including the timing of the assessment, assessment criteria, methods and forms of conduct, is reflected in the discipline syllabuses.



6.4.26 Intermediate attestation (final control) of doctoral students is a procedure conducted to assess the quality of students' mastery of the academic discipline after completing its study in the form of an exam.

6.4.27 Attestation of doctoral students' study work is carried out on the following basis:

- students who did not get a number of academic credits on the theoretical training established by the state compulsory educational standard in the specialty and curriculum of the educational programme are retrained in non-prescribed disciplines on a fee basis;

- final assessment of knowledge consists of the total assessment of doctoral student workload to acquire knowledge and the results of intermediate certification (exams);

- if according to the results of intermediate attestation the doctoral student did not get credits in all subjects, he has the right to re-examine the disciplines on a fee basis.

6.4.28 The duration of periods of the final control - examination sessions and the number of exams is determined in accordance with the approved working curriculum of the educational programme and the academic calendar. The organization and conduct of examination sessions is entrusted to Institute of Postgraduate Education.

6.4.29 Attestation of academic progress of doctoral students is performed in accordance with an Academic policy of the university.

6.4.30 Students who didn't get the established GPA transfer score remain on re-training. The student, left on re-training, has the right to study according to the previously adopted individual curriculum or form a new individual curriculum, developed in the prescribed manner.

6.4.31 A student who has earned a transfer point and transferred to the next year of study, in the presence of academic indebtedness, re-examines the relevant disciplines for a fee.

6.4.32 Students of educational programmes - holders of state educational grants who are left for re-training, are deprived of an educational grant and continue further education on a fee basis.

6.4.33 Students of educational programmes - holders of educational grants who have earned a transfer point and transferred to the next course of study who have academic debts must re-examine the relevant disciplines and pass exams on them for a fee without losing the educational grant.

6.4.34 Evaluation of the results of the internship of student practice is equal to the estimates of theoretical training, taken into account when calculating the total GPA and transfer of students to the next year of study.

6.4.35 The final grade on practice is set based on the results of the student's defense of the internship report and consideration of the review and professional characteristic of the intern presented by the practice supervisor.

6.4.36 The current control of the research / experimental research work of students of doctoral programmes is carried out by the advisory commissions of doctoral students. To set an assessment of current control, the results of RWDS/ERWDS are recorded by students at the end of each semester in the form of a report. The score is set in the statement. The number of credits allocated for performing research work in a specific academic period is determined by the working curriculum of the educational programme.

6.4.37 When setting marks for current control, the supervisors and advisory commissions of students assess the following parameters:

- a) the quality of experimental work;
- b) the number and quality of presentations at scientific / methodical seminars;
- c) the quantity and quality of scientific / methodical publications on the theme of RWDS/ERWDS.

6.4.38 Doctoral students submit one copy of each semester progress report on RWDS/ERWDS, as well as annual reports on study and research work certified by members of the consulting commission and the dean of the faculty / higher school.

6.4.39 The organization of research / experimental-research work of students in doctoral studies is implemented at graduating departments provided with highly qualified scientific and pedagogical personnel, necessary laboratory-research and scientific-methodical bases.

6.4.40 Research / experimental research work of students, which is interdisciplinary in nature, can be performed on the basis of two or more faculties or departments, laboratories of IRLIP, SAPA.

6.4.41 Research / experimental research work of students in doctoral studies is implemented in accordance with the approved individual working plan. The graduating departments must ensure the compliance of themes of dissertation research carried out by doctoral students with the directions of the research activities of the department and the faculty and involve students of doctoral educational programmes to participate in research projects carried out by the graduating departments and research institutes of the university.

6.4.42 Scientific consultants of doctoral students should create all the necessary conditions for the research work of students (provide access to the necessary sources and resources; provide assistance and advice in the implementation of the dissertation research; provide feedback on the materials presented by the students; provide, if necessary, research the work of students in third-party educational and scientific organizations, including well-known world foreign centers; facilitate the preparation for publication of research results, solve other issues arising in the course of doctoral student mastering the educational programme.

6.4.43 The scientific consultant of the doctoral student must give an objective assessment of the completed dissertation research of the student and prepare him for the procedure of thesis public defense.

6.4.44 Deans, heads of departments, scientific advisers of doctoral students are responsible for the quality and effectiveness of programmes, as well as for an adequate selection of bases of scientific internships, research and professional practice of students.

6.4.45 Final attestation of students is a form of state control of the educational achievements of the doctoral candidate, aimed at determining scientific-theoretical and research-analytical level of the doctoral student, formed professional and managerial competencies, readiness for independent performance of professional tasks and compliance of its training with the requirements of the professional standard and the educational programme.

6.4.46 The final state attestation of doctoral students is performed in terms prescribed by the academic calendar and working curricula of educational programmes, and includes thesis preparation and defense.

6.4.47 Admission to the doctoral thesis defense is issued by the university rector order based on an extract of department meeting decision concerning recommendation for doctoral thesis defense signed by graduating department head.

6.4.48 General organization and control of performance of doctoral thesis defense, as well as monitoring the work of dissertation councils are implemented by the IPE.

6.4.49 Doctoral theses are defended at a meeting of dissertation councils, the composition of which is approved by the authorized body in the field of education.

6.4.50 Thesis for the degree of Doctor of Philosophy (PhD) or a Doctor of Science must pass preliminary defense at the graduating department and be checked for plagiarism at the National Center of State Scientific and Technical Examination (NCSSTE).

6.4.51 Doctoral dissertation defense is performed in the presence of:

- positive reviews from domestic and foreign scientific consultants;
- positive conclusion of extended department meeting;
- at least 7 scientific publications, including 3 publications on the thesis topic in scientific journals recommended by a Committee on Control in the Sphere of Education and Science of RK, 1 publication in an international peer-reviewed scientific journal with non-zero impact factor, 3 publications in proceedings of international scientific conferences, including 1 paper in works of foreign conferences;

Articles in international peer-reviewed journals are taken into account depending on the direction of training, namely:

- 1) for a group of specialties Natural sciences, Technical sciences and technologies - in publications with a non-zero impact factor in the database of

information company Clarivate Analytics (Web of Science Core Collection, Clarivate Analytics or included in the database Scopus, Pubmed, zbMath, MathScinet, Agris , Georef, Astrophysical journal;

2) for other groups of specialties - in publications with a non-zero impact factor or indexed in the database of the information company Clarivate Analytics (Web of Science Core Collection, Clarivate Analytics) or included in the database Scopus, JSTORE.

- opinions of two official reviewers containing a comprehensive description of the dissertation and a reasoned conclusion about the possibility of awarding the degree of PhD or Doctor of Science.

6.4.52 Doctoral dissertation defense is provided with video recording and recorded with a stenograph. The dissertation council conducts a secret vote to make a decision on a petition to the Committee to award a doctoral degree of PhD or Doctor in the relevant specialty, or to refuse to award this degree.

6.4.53 When making a positive decision on awarding a degree of a Doctor of philosophy or a Doctor of Science, the scientific secretary of the dissertation council forms the attestation file of the doctoral candidate, which must be submitted to the CCSES MES RK within 30 days after doctoral thesis defense at the dissertation council.

6.4.54 Doctoral candidates within 5 working days after successful defending the thesis must submit to the National Center of State Scientific and Technical Examination (NCSSTE) 1 copy of the thesis in unbroken form and 2 copies of the dissertation record card for microfilming and state registration.

6.4.55 The term of consideration of doctoral students' attestation affairs is 4 (four) months from the date of their registration in CCSES MES RK. In the absence of documents of attestation doctoral affairs or their non-compliance with the established requirements, consideration shall be discontinued until the submission of relevant documents.

6.4.56 Compliance of dissertations to the requirements of the Rules for the award of scientific degrees is established in CCSES MES RK on the basis of the conclusion of the Expert Council for the relevant groups of specialties. CCSES MES RK on the basis of the conclusion of the Expert Council decides on the award / refusal of the doctoral degree and issues the appropriate order.

6.4.57 Individuals who are awarded the degree of PhD or Doctor of Science are awarded state diplomas.

6.4.58 A graduate of a specialized doctoral programme may engage in scientific and pedagogical activity only in cases when he has mastered the cycle of pedagogical disciplines and teaching practice. This cycle is mastered during the additional academic period (if it is not provided by the educational programme), after which it is issued a corresponding certificate to the main diploma.

6.4.59 A doctoral candidate who has completed a full course of theoretical study of doctoral educational programme, but has not completed a scientific

component, is given the opportunity to re-master academic credits of a scientific component and to defend a dissertation in subsequent years on a fee basis.

A doctoral candidate who has mastered the full course of theoretical study of the doctoral education programme, who has completed the scientific component, but has not defended his doctoral dissertation (project), the learning outcomes and academic credits are assigned and the opportunity to defend the dissertation in subsequent years is provided on a fee basis.

## **6.5 Teaching staff**

6.5.1 The main goal of the personnel policy is to implement the strategy of the university by involving staff. Principles of strategic management and personnel development have been developed, new methods and systems for professional improvement and retraining are put into practice; personnel development and development of regulatory and methodological materials for the functioning of the entire personnel management system are being implemented.

6.5.2 The university applies the system of moral and material motivation of the university staff. Measures are realized to improve working conditions and create favorable conditions for creative activity and career growth.

6.5.3 The Code of Corporate Ethics of SKSU establishes a mandatory model of behavior for each employee of SKSU, regardless of the position held. The model of teaching staff behavior of the faculty has as an organic part of its political and legal, moral and aesthetic culture and corporate principle in the implementation of the educational process.

6.5.4 A faculty / higher school and a graduating department attract the most highly qualified teachers and scholars to the educational process of the doctoral studies, and in order to ensure the high quality of training the specialists, the cooperation agreements with leading scientific, scientific-and-educational, industrial and scientific-and-industrial centers are concluded on relevant directions of preparation of training doctors. Graduate departments provide doctoral educational programmes with bases for practices and scientific internships.

6.5.5 Teachers widely use such interactive teaching methods as the case method, portfolio building, individual and group projects, mind maps, business and role-playing games, discussions and trainings.

6.5.6 With the aim of purposeful and continuous improvement of professional competencies and pedagogical skills of teaching staff, the university has developed a system of professional development for teaching staff, which is implemented in the form of training in thematic and language courses, passing industrial and scientific internships.

6.5.7 Mastering the doctoral education programme by students is carried out under the guidance of scientific consultants in accordance with the individual working plan.

6.5.8 The scientific management of doctoral candidates for the degree of Doctor of Philosophy (PhD) is implemented by at least 2 consultants appointed from among doctors or candidates of sciences, or PhDs, one of whom is a scientist from a foreign university.

6.5.9 If necessary, students can be appointed consultants in related fields of science.

6.5.10 Professional adequacy of students' research supervisors / scientific advisers should be confirmed by scientific publications in domestic and foreign periodicals, in proceedings of international conferences, as well as a textbook or a study guide. In addition, the supervisor must have at least 5 years of research experience after defending a doctoral / candidate thesis.

6.5.11 Scientific supervisors / advisers of doctoral students are involved in the development and approval of individual working plans for doctoral students, direct their educational and research / experimental research work. Scientific consultants are responsible for doctors' observance of work discipline, realization of doctoral student individual working plan and the timely submission of the dissertation work.

6.5.12 Scientific supervisors / advisers of doctoral students are approved by the university rector order according to the representations of councils of faculties / higher schools, STC, SHS during the first two months of study.

6.5.13 Heads of the graduating departments where doctoral students are trained are responsible for timely submission of students' scientific advisers for consideration by the faculty / higher school council.

6.5.14 The decision to change the scientific adviser of the doctoral student, to appoint consultants in related fields of science, etc. is adopted by the University Academic Council on the presentation of the graduating department.

6.5.15 Scientific consultants in the doctoral advisory commission assess the doctoral student's academic training at least once a year, if necessary, adjust his individual working plan and bring relevant information to the graduating departments, the faculty's dean's office and the IPE.

6.5.16 Scientific advisers of doctoral students annually report at a meeting of the faculty / higher school council on the progress of students' mastering the educational programmes.

## **6.6 Learning resources and student support system**

6.6.1 The material-and-technical base of the university provides for all types of laboratory and practical classes, research work of doctoral students, provided by the curricula, and complies with current sanitary and technical standards.

6.6.2 The material-and-technical and social base of the university is yearly upgraded by updating the computer park, laboratory equipment, educational and office furniture, sports equipment, purchasing multimedia and printing

equipment, conducting fiber optic networks, restoring facades of buildings, current and capital repairing training buildings and student halls.

6.6.3 The graduating departments are responsible for providing the research work of doctoral students with the necessary laboratory-and-technical and information resources and for continuous current control of the research work carried out.

6.6.4 To provide information to doctoral students, the following information-educational complexes and systems are functioning: a information-and-educational portal [www.portal.ukgu.kz](http://www.portal.ukgu.kz), a library website with an access to the electronic library [www.lib.ukgu.kz](http://www.lib.ukgu.kz), informational distance learning system [www.sdo.ukgu.kz](http://www.sdo.ukgu.kz).

6.6.5 As a platform for providing a single point of an access to electronic information resources, a library site has been developed (<http://lib.ukgu.kz>) with an access to the university's electronic library, a distributed electronic catalog, remote access resources, the organization of a virtual referral service, news feed and other services.

6.6.6 Doctoral students, like other users of the university, have free on-line access to full-text multidisciplinary databases: SpringerLink, Scopus, Plenipotentiary, Thomson Reuters ISI Web of Knowledge, ScienceDirect, Lan "EBSCO", to electronic versions of scientific journals (on the platform of the Scientific Electronic Library), to Kazakhstan databases: "KazPatent", "Epigraph", "Zan", "RMEB".

6.6.7 For doctoral students, training sessions are conducted on working with scientific citation databases and on teaching academic writing skills.

6.6.8 For research, doctoral students are provided with jobs, the Internet, the material-and-technical base of departments, research institutes, research centers and research laboratories of the university. An access to accredited university laboratories is provided.

6.6.9 Invitation of scientists from leading universities of the near and far abroad is yearly practiced to give lectures to doctoral students of the university.

6.6.10 Doctoral students are involved in the implementation of grant and contractual research projects on topics related to the implementation of doctoral research.

6.6.11 The university supports doctoral students in the creation of start-up projects through training, promotion and opening of companies.

6.6.12 Throughout the entire period of study, doctoral students is given the opportunity to use resources of supporting services: the registration office, the advisory service, the council of young scientists, the employment department, the center for international cooperation, the Center of Bologna Process and academic mobility, etc.

6.6.13 Students have the opportunity to pass foreign internships during the implementing educational programmes.

## **6.7 Information Management**

6.7.1 The university provides a comprehensive system for collecting and analyzing information on all major processes.

6.7.2 All information for doctoral educational programmes' implementation is collected through the information system of the university.

6.7.3 A comprehensive approach to the development of information system management is being implemented at the university.

6.7.4 The developed automated learning management system allows to solve most of the problems: to create all the organizational and accounting documents from one database that includes all the necessary information for all specialties and forms of study for many years of work. The special value of this system is its openness, the possibility of any adjustment, if necessary, the creation of various forms of reports, high speed of execution of documents.

6.7.5 In the SKSU, the electronic database is constantly updated, including information on the university internal environment:

- about the degree of students' satisfaction with the education quality and other services and analysis of changes in their needs (results of the survey);

- about the analysis of students' enrollment in SKSU, the analysis of operational information about the students' enrollment during the admissions company;

- analysis of the effectiveness of individual marketing activities (contests, open days, etc.).

The information collected is brought to the attention of interested parties and is the basis for making management decisions.

6.7.6 The university forms a consolidated annual analysis of the university (in July of each year) in the following areas:

- The structure of university training in basic educational programmes (including analysis of student contingent movement);

- implementation of programmes (results of implementation of working plans of departments, analysis of progress and work with underperforming students, educational and extracurricular work with students, monitoring the training quality). This report-analysis is brought to the attention of all faculties / higher schools, departments and divisions and is the basis for making corrective and preventive decisions that are included in the form of certain activities in the working plan for the new academic year.

6.7.7 The university constantly monitors the employment of doctoral graduates.

6.7.8 Informational-and-educational portal [www.portal.ukgu.kz](http://www.portal.ukgu.kz) provides for doctoral students an information about the study process in SKSU. SKSU doctoral students have the opportunity to view in real time on the portal missed classes, academic performance, rating points in all current semester disciplines, an exam schedule.



## **6.8 Public Information**

6.8.1 The dissemination of information about the university and its educational programmes is carried out through the following channels:

- through the official website of the university [www.ukgu.kz](http://www.ukgu.kz) and pages on social networks;

- through exhibitions held at the university, graduate fairs, conferences, round tables, forums and other events;

- through the coverage of the university's activities in the regional and republican mass media: use of own television studio, printing house, "University" newspaper, scientific journals published, annual holding of Open Doors Days at faculties, social networks, cooperation with media representatives, with state institutions of the region, the participation of senior management in the discussion of current issues on TV programmes and radio.

- through partner universities, cooperating enterprises and organizations.

6.8.2 M.Auezov SKSU is a leading university in the region, therefore, it is constantly in the focus of public attention. The university has a multi-channel feedback system, focused on students, staff and stakeholders.

6.8.3 The main forms of feedback are following ones: rector's mail in the form of complaints and suggestions boxes located in each training building, as well as the rector's blog.

6.8.4 Up-to-date information on events and achievements of the university is published in the "News" section on the university's website.

6.8.5 The University's website contains a list of doctoral specialties, rules for admission to doctoral studies at SKSU, the procedure for accepting documents for admission to doctoral studies, and the procedure for conducting entrance examinations.

6.8.6 The pages of the departments publish information about educational programmes.

6.8.7 On the university's website in the section are posted announcements about the upcoming defenses of dissertations and posted annotations of dissertations.

6.8.8 After defending a thesis, the full text of the doctoral thesis is stored in the university's library.

6.8.9 The University's website publishes full information on SKSU dissertation councils: position, composition of the dissertation council, annual work reports, video of the defense procedure, etc.

## **6.9 Continuous monitoring and periodic programme evaluation**

6.9.1 Monitoring the quality of educational services in SKSU is ensured by the implementation of the following activities:

1. A systematic analysis of quality of the educational process at the semester beginning and upon its completion, namely documents: modular educational programmes, curricula, planned learning outcomes, teaching

materials, monitoring methods, etc. to confirm that the data correspond to the input characteristics of the design and (or) development of educational programmes. The external expertise of the developed modular educational programmes is also practiced.

Results of the analysis and follow-up actions are documented and monitored.

2. A systematic analysis of the degree of customer satisfaction, conducted by the department of sociological research. According to the survey results, appropriate measures are taken.

SKSU measures the level of customer satisfaction in obtaining basic services related to training, such as: information support for training courses, consultations, etc. The established methods for collecting and storing data correspond to the conditions of service provision and information needs established in SKSU.

3. Internal audits at SKSU are carried out on the basis of a plan approved by the rector, in which the regularity of checking each component of the system is scheduled at least once a year.

Reports or summary data on the audit results contain conclusions of auditors and, if necessary, proposals related to the activities to be undertaken on their basis. If an internal audit reveals disadvantages and mismatching, then corrective and preventive actions are applied to identify and eliminate their reasons.

4. Monitoring and process measurement. The university establishes methods for measuring and monitoring the processes of the life cycle of educational services, which must meet the conditions of their behavior. The methods used provide for the information collection, which allows to judge how educational processes and the educational service created with their help meet the requirements of consumers. The accepted monitoring parameters include:

- control of readiness of teaching materials;
- verification and assessment of student performance;
- monitoring curriculum compliance with current requirements;
- checking the readiness of classroom fund for classes;
- analysis of the university's performance in terms of material resources consumption and management;
- monitoring of administrative systems;
- continuous testing of the suitability of existing equipment and production capacities;
- quality control of training processes by the planned mutual visit of faculty members with registration of attendance and recording analysis;
- control of the accuracy and objectivity of the assessment of students' knowledge and skills.

5. Monitoring and measurement of products. The control of doctoral students' knowledge quality is carried out at certain stages in accordance with

the working curriculum. Methods of control and measurement of educational services are based on the ranking of the point score of student performance.

SKSU has developed and operates a comprehensive assessment of the activities of teaching staff, departments and faculties. Developed special forms of records for the calculation of rating the specialty, academic discipline, student rating in all disciplines.

Information obtained through measurements and monitoring allows the university to manage mismatching and continuously improve the educational process.

6. Accreditation. Once every five years, doctoral educational programmes are accredited by an independent agency. In the post-accreditation period, the educational programme must undergo external monitoring in order to analyze changes and improvements.