



Regulations on the Research Work of PhD Doctoral Students

Version 1

2023 y.

RRWPDS IRD 02.2037 – 2020

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By Order of the Chairman of the
Board
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INTERNAL REGULATORY DOCUMENTS

REGULATIONS


ON THE RESEARCH WORK OF PHD DOCTORAL STUDENTS

RRWPDS IRD 02.2037 - 2020

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Preface

1. DEVELOPED AND SUBMITTED by the department of science and innovation in cooperation with the quality Committee

(name of the structural unit that developed the RRWPDS)

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1 Scope of application

These regulations have been developed with the aim of establishing general requirements for the organization, planning, and conduct of doctoral research work (DRW) in the departments and divisions of the S. Seifullin Kazakh Agrotechnical University that provide or participate in the training of doctors of philosophy (PhD) and profile doctors.

2 Normative references

This Regulation contains references to the following regulatory documents:

Law of the Republic of Kazakhstan № 319-III dated July 27, 2007, “On Education” (with amendments and additions dated July 7, 2020).

Law of the Republic of Kazakhstan № 407-IV dated February 18, 2011, “On Science” (with amendments and additions dated October 28, 2019).

State mandatory standard for postgraduate education. Doctoral studies, approved by Order of the Minister of Education and Science of the Republic of Kazakhstan № 604 dated October 31, 2018.

The qualification requirements for educational activities and the list of documents confirming compliance with them, approved by Order № 391 of the Minister of Education and Science of the Republic of Kazakhstan dated June 17, 2015. (with amendments and additions dated November 16, 2018, № 634).

Award rules for academic degrees, approved by Order of the Minister of Education and Science of the Republic of Kazakhstan № 127 dated March 31, 2011 (with amendments and additions made by Order № 127 dated April 30, 2020).

OS IRD 01.1011 - 2020 Organization standard. Internal regulatory documents. Rules for the structure, presentation, and formatting of quality management system documentation.

OS IRD 01.1014 - 2020 Organization standard. Internal regulatory documents. Rules for development, coordination, and approval of the division's regulations.


DP IRD 01.1006 - 2020 Internal regulatory documents. Documented procedure. Document management.

DP IRD 01.1007 – 2020 Internal regulatory documents. Documented procedure. Managing quality records.

3 Definitions

In this Regulations, the following basic concepts and definitions are used:

Doctoral studies: Postgraduate education, whose educational programs are aimed at training personnel for scientific, pedagogical, and/or professional activities, with the award of a Doctor of Philosophy (PhD) degree (doctorate in the field) with the mandatory completion of at least 180 academic credits

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Doctoral student: A person enrolled in a doctoral program.

Science: a sphere of human activity whose function is to study the laws of nature, society, and thought, and to develop and theoretically systematize objective knowledge about reality for the purpose of rational use of natural resources and effective management of society;

Profile doctor: a degree awarded to persons who have completed a doctoral program in the relevant field of professional activity and defended a dissertation in the Republic of Kazakhstan or abroad, recognized in accordance with the procedure established by the legislation of the Republic of Kazakhstan;

Doctor of Philosophy (PhD): a degree awarded to persons who have completed a doctoral program in science and education and defended a dissertation in the Republic of Kazakhstan or abroad, recognized in accordance with the procedure established by the legislation of the Republic of Kazakhstan;

Doctoral research work (DRW) or experimental research work (DERW): doctoral research work, including conducting independent scientific research, experiments to expand existing knowledge and acquire new knowledge, scientific internships, preparation of scientific publications, writing and defending doctoral dissertations;

Doctoral dissertation: A doctoral student's scientific work, representing independent research, in which theoretical propositions are developed, the totality of which can be classified as a new scientific achievement, or a scientific problem is solved, or scientifically sound technical, economic, or technological solutions are presented, the implementation of which makes a significant contribution to the development of the country's economy.

4 The designations and abbreviations

SCS of RK - State Compulsory Standard of the Republic of Kazakhstan

S. Seifullin KATRU - S. Seifullin Kazakh Agrotechnical Research

University

SRW - Scientific research work

SRWD - Scientific research work of a doctoral student

USTC –The University Scientific and Technical Council

DSI – Department of Science and Innovation


AAD – Academic Affairs Department

AC – Academic Council

IRD – Internal regulatory documents

5 Responsibilities and powers

5.1 The deans of faculties, heads of departments providing training for doctoral students at the S. Seifullin Kazakh Agrotechnical Research University

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(hereinafter referred to as KATRU), and scientific supervisors of doctoral students are responsible for the implementation of these Regulations.

5.2 The Director of the Department of Science and Innovation (hereinafter referred to as DSI) is responsible for the development of these Regulations.

5.3 Responsibility for the implementation and management of the processes specified in this regulation lies with the Deputy Chair of the Management Board for Science, Innovation and International Relations.

5.4 The draft regulation must be agreed with the Member of the Board – Vice-Rector for Operational Activities, Member of the Board – Vice-Rector for Scientific and Innovative Activities, Financial Director, Director of the Department of Science and Innovation, Director of the Legal Service, Chief Manager of the Quality Committee (hereinafter referred to as the QC), who shall indicate their approval on the «Approval Sheet» (Appendix A);

5.5 The head of the relevant department is responsible for bringing the approved Regulations to the attention of university employees. A record of familiarisation must be made in the «Approval Sheet» (Appendix B).

6 General provisions

6.1 The scientific component of the doctoral programme consists of the doctoral student's scientific research (hereinafter referred to as R&D) or experimental research (hereinafter referred to as E&R) work, scientific publications, and the writing and defence of a doctoral dissertation.

6.2 Research and development work is organised by the university's graduating departments.


6.3 The topics of doctoral dissertations are approved for doctoral students within the framework of research programmes carried out by the research schools of the faculties that produce the departments.

7 Organisation of research work

7.1 Scientific supervision of doctoral students pursuing a PhD degree is carried out by at least two advisors appointed from among doctors or candidates of science, or doctors of philosophy (PhD), one of whom is a scientist from a foreign university.

The rates of payment for expenses and remuneration of foreign consultants are determined by the Board's decision on an annual basis. A standard form of contract with foreign advisors is provided in the Regulations on PhD Studies at S. Seifullin KATRU, approved by Order No. 125 of the Chairman of the Board of NJSC S. Seifullin KATRU dated 19 March 2014.

Scientific supervision of doctoral students applying for a degree in the field is carried out by at least two consultants appointed from among doctors or

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candidates of science, or doctors of philosophy (PhD), one of whom is a highly qualified specialist in the relevant field or area of activity.

7.2 Scientific advisors and doctoral dissertation topics are reviewed at meetings of departments, faculties, scientific and technical councils, and the university's Academic Council, and are approved by order of the chair of the university's Board. Orders approving scientific advisors and doctoral dissertation topics are submitted by departments/faculties.

The topic of the dissertation (as of the date of its approval) must correspond to the areas of scientific development that are formed by the Higher Scientific and Technical Commission under the Government of the Republic of Kazakhstan in accordance with paragraph 3 of Article 18 of the Law “On Science” and/or state programmes.

The qualifications of the approved scientific advisors must comply with the Qualification Requirements approved by Order of the Minister of Education and Science of the Republic of Kazakhstan No. 391 of 17 June 2015.

The head of the graduating department is responsible for ensuring that the topic of the doctoral dissertation and the qualifications of the scientific advisor comply with the established requirements.

7.3 Doctoral students' research work should be carried out in departments that have highly qualified academic and teaching staff, as well as the necessary laboratory, research and scientific and methodological facilities.


7.3 Graduating departments should cooperate with leading foreign accredited educational and scientific institutions, research centres, international professional associations and communities in order to utilise advanced foreign experience in training highly qualified specialists and to attract competent foreign specialists to provide scientific guidance and advice to students.

7.4 The planning of doctoral students' research work is carried out on a semester basis in accordance with the working curricula of educational programmes.

7.5 PhD students, under the guidance of scientific consultants, develop individual work plans that include the following sections:

- individual curriculum;
- dissertation topic with justification and structure;
- dissertation completion plan;
- individual plan of scientific research/experimental research work;
- the plan of scientific publications and internships;
- internship plan.

An individual research/experimental research plan is drawn up for the entire period of mastering the doctoral program, broken down by semesters and years, and approved by the appointed scientific consultants of the doctoral student. If necessary, the individual research plan may be revised annually.

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7.5 Scientific advisors are responsible for ensuring that doctoral students comply with academic discipline, fulfill their individual work plans, and submit their dissertations on time.

7.6 Doctoral students have the opportunity, in accordance with their training profile, to carry out the experimental part of their work at research institutes and scientific organizations with which bilateral agreements have been concluded.

7.7 As part of their DSRW(ERW), doctoral students undergo scientific (foreign) internships (under the guidance of a foreign scientific advisor) at scientific and educational organizations and/or organizations in relevant industries or fields of activity in order to familiarize themselves with innovative technologies and new types of production. The total duration of scientific internships during the entire period of doctoral studies is up to 3 months. To apply for a scientific internship, documents must be submitted to department of science.

8. Doctoral student research work

8.1 During the period of DSRW(ERW), a doctoral dissertation is completed, and the final result of DSRW(ERW) is the defense of the doctoral dissertation.

8.2 The volume of doctoral research (experimental research) work is 123 academic credits in the total volume of the doctoral program.


8.3 Writing and defending a doctoral dissertation is included in the final assessment and accounts for 12 academic credits of the total volume of the doctoral program.

8.4 The main requirements for DSRW(ERW) enrolled in a PhD program are:

- 1) to correspond to the main subject area of the doctoral program in which the doctoral dissertation is being defended;
- 2) be relevant and contain scientific novelty and practical significance;
- 3) be based on modern theoretical, methodological, and technological achievements in science and practice;
- 4) be based on modern methods of data processing and interpretation using computer technologies;
- 5) be carried out using modern scientific research methods;
- 6) contain scientific research (methodological, practical) sections on the main provisions being defended.

8.3 The main requirements for ERW are:

- 1) to correspond to the main topics of the doctoral program in which the doctoral dissertation is defended;
- 2) be relevant and contain scientific novelty and practical significance;
- 3) be based on modern achievements in science, technology, and production and contain specific practical recommendations, independent solutions to complex, cross-functional management tasks;
- 4) be carried out using advanced information technologies;

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5) contain experimental and research (methodological, practical) sections on the main provisions being defended.

8.5 The doctoral dissertation must be carried out in accordance with the principles of independence, internal unity, scientific novelty, reliability and practical value, and academic integrity, which means:

1) the principle of independence - the dissertation is written independently and demonstrates the doctoral student's personal contribution to science, the development of technology and techniques;

2) the principle of internal unity - the dissertation has internal unity, all sections and provisions of the dissertation are logically interrelated; the scientific provisions, results obtained, and recommendations correspond to the goals and objectives set out in the dissertation. The new solutions (principles, methods) proposed by the author are argued and evaluated in comparison with known solutions;

3) Principle of scientific novelty – the scientific results, propositions, recommendations, and conclusions of the dissertation are original, and the dissertation includes:

- new scientifically substantiated theoretical and/or experimental results, the totality of which qualifies as a new scientific achievement or has significant importance for the development of specific scientific fields;


- or scientifically grounded technical, technological, economic, or managerial solutions, the implementation of which makes a significant contribution to the development of the country's economy.

4) Principle of reliability – the results of the dissertation work are obtained using modern methods of scientific research and techniques for processing and interpreting data, including the use of computer technologies (if applicable). The identified relationships and patterns are proven and confirmed by experimental research (for natural, technical, and agricultural sciences). The results are validated through a pedagogical experiment (for specialties in the “Education” group).

5) Principle of practical value of the dissertation – in a dissertation of applied nature, information is provided about the practical application of the scientific results obtained by the author, confirmed by certificates of authorship, patents, intellectual property certificates, implementation reports, and other official documents. In a dissertation of theoretical nature, recommendations are given for the application of the scientific conclusions.

5) Principle of Academic Integrity – compliance by the doctoral student with the rights and legitimate interests of other authors, and the absence of:

- the use and/or appropriation of texts, ideas, hypotheses, conclusions, methods, research results, graphs, codes, images, or works of other authors without reference to the author and the source of borrowing, as well as the use of other authors’ texts with synonymous substitution of words and expressions without changing the meaning, including the use of text translated from another language (plagiarism);

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- instances of using one's own material, factual and numerical data without referencing oneself and/or the source of self-citation (self-plagiarism);
- references to non-existent sources, provision of unreliable data and/or results, records or reports of them (fabrication);
- manipulation of research materials, equipment, images, illustrations, or processes, resulting in the distortion of research materials in the dissertation (falsification).

8.6 The doctoral dissertation undergoes a plagiarism check (verification of borrowed content without referencing the author and the source), which is carried out using the university's "AntiPlagiat" software by the graduating department, as well as by JSC "National Center for State Scientific and Technical Expertise".

9. Main Results of Research and Development Work (RDW)

9.1 The final result of the RDW (or ERDW – Experimental Research and Development Work) is the doctoral dissertation.

9.2 The results of the research work must be documented in written form (as a report), which the doctoral student is required to present publicly at the end of each academic year at a meeting of the graduating department.

9.3 The main scientific results of the dissertation for the degree of Doctor of Philosophy (PhD) or Doctor in Profile must be published prior to the dissertation defense in scientific publications in accordance with the Rules for Awarding Academic Degrees, approved by Order No. 127 of the Minister of Education and Science of the Republic of Kazakhstan dated March 31, 2011.

9.4 The report on the international (or remote) scientific internship must be presented by the doctoral student at the meeting of the graduating department following the completion of the internship.

10. Coordination and Monitoring of the Research and Development Work (RDW)


10.1 The implementation of all types of RDW is monitored by the graduating departments.

10.2 Coordination and control by the dean's office include:

- 1) Coordination/preparation of orders for the approval of doctoral dissertation topics and scientific advisors for doctoral students;
- 2) Monitoring the work of doctoral students and their scientific advisors, and organizing interim assessments of the doctoral students' research work.

10.3 Coordination and control by the Department of Science (DS) include:

- 1) Reviewing the compliance of appointed scientific advisors and dissertation topics with the established requirements;
- 2) Planning and organizing international (remote) scientific internships;
- 3) Assisting in the organization of doctoral dissertation defenses.

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10.4 General monitoring, control, and coordination of doctoral students' RDW processes are carried out by the Department of Academic Affairs (DAA).

10.5 Based on the results of the individual research plan, at the end of each academic year, the doctoral student is given a final evaluation ("certified"/"not certified") by the academic advisor, the departmental RDW coordinator, and the head of the department.

11. Procedure for Making Amendments

11.1 Amendments to this Regulation may be made only with the permission of the Member of the Board – Vice-Rector for Operational Activities, and must be officially documented with his (their) signature(s). The pages removed from the amended version of the Regulation shall be stored together with the document authorizing the amendments.

11.2 The introduction and approval of amendments to the Regulation shall be carried out in accordance with the requirements of the internal regulatory document DP IRD 01.1006-2023, clause 8.4.1.

11.3 Amendments to the Regulation shall be made by the Senior Quality Control Manager, with a mandatory entry in the “Amendment Registration Sheet” (Appendix B).

12. Storage and Distribution

12.1 The head of the unit-developer is responsible for transferring the approved Regulation (original) for storage to the Quality Control Department (QC).

12.2 The Quality Control Department (QC) is responsible for the storage and distribution of the Regulation to the structural units of the Department of Postgraduate and Research Activities (DPRA).

12.3 The Regulations of the DPRA are registered electronically in the electronic document management system and distributed to all university departments.

