**PhD Applicant's Guide to Entry into Defense**

**The process of preparation for defense consists of several stages.**

**First stage:** if there are necessary publications to enter the defense (clause 6 of the Rules for awarding degrees, as amended on 03/09/2021):

- at least 1 article or review in an international peer-reviewed scientific journal that has an impact factor according to the JCR data and is indexed in the Web of Science Core Collection database (sections Arts and Humanities Citation Index, Science Citation Index Expanded, Social Sciences Citation Index) **or** CiteScore percentile indicator of at least 25 in the Scopus database and 3 articles in journals from the List of Publications;

- at least 2 articles or 1 article + 1 review in international peer-reviewed scientific journals indexed in the Web of Science Core Collection database (sections Arts and Humanities Citation Index, Science Citation Index Expanded, Social Sciences Citation Index and included in the first three quartiles by impact factor according to JCR data **or** having a CiteScore percentile score of at least 35 in the Scopus database;

- or the presence of a chapter in a monograph (the doctoral student owns at least 3 printed sheets), which was published by Elsevier, Brill, CRC Press, DeGruyter, Edward Elgar Publishing, John Wiley & Sons, McGraw Hill, Palgrave Macmillan, Peter Lang, Prentice Hall, Routledge, Sage Publications, Springer Nature, Taylor and Francis, Wolters Kluwer (hereinafter referred to as trusted publishers) **or** a university publisher in the top 100 US News Best Global Universities Rankings or Academic Ranking of World Universities or Times Higher Education World University.

If there is one scientific article in a journal that is in the first quartile in terms of impact factor according to the JCR or has a CiteScore percentile of at least 75, no other publications are required.

**The process of recovery in doctoral studies.**

A doctoral student who has mastered the full course of theoretical training of the doctoral educational program, who completed research and development work, but did not defend a doctoral dissertation, is awarded learning results and academic credits and is given the opportunity to defend a dissertation within two years after graduation on a free basis, and in subsequent years on a paid basis in the amount of at least 4 academic credits.

Doctoral students of previous graduates need to be reinstated for doctoral studies in order to undergo pre-defense and further defense.

To do this, the doctoral student should write an application addressed to the supervising vice-rector with a request to restore him to the number of doctoral students for submission to the University Academic Council.

If necessary, you can also add to the application:

- making adjustments to the topic of the dissertation,

- change of scientific consultant

- in case of expiration of 3 years after graduation, it is mandatory to approve the scientific substantiation of the dissertation research (research proposal).

The following documents are attached to the application:

1) an application addressed to the supervising Vice-Rector (previously signed by the domestic supervisor, head of the department, director of the institute) + presentation by the director of the supervising Institute;

2) an extract from the meeting of the department + an extract from the Academic Council of the Institute;

3) orders for enrollment, expulsion, approval of the topic and scientific consultants;

After approval by the Academic Council of the University, the doctoral department issues an order for restoration.

**Second phase. Pre-protection.**

Before accepting documents for defense, the university where the doctoral candidate was trained conducts a preliminary discussion of the dissertation at an extended meeting of the department. Passing an extensive meeting at the supervising department (pre-defense). According to p.p. 3.1 - 3.4. Regulations on the DC (dissertation council) of Satbayev University.

In 10-15 days in advance, place an announcement on the holding of an extended meeting of the department on the university's website http://official.satbayev.university.

**Third stage. Conclusion of the Ethics Commission.**

To obtain the Conclusion of the Ethics Commission, a doctoral student who has passed an extended meeting of the department writes an application addressed to the supervising Vice-Rector for consideration by the Ethics Commission of the dissertation research materials.

The doctoral candidate sends the following documents in pdf format to the Secretary of the Ethics Commission:

- statement;

- dissertation;

- annotation;

- reviews of domestic and foreign scientific consultants;

- minutes of the extended meeting of the department (structural unit) where the dissertation was completed, with a decision on the recommendation for defense;

- internal certificate of checking the dissertation for plagiarism;

- list of publications.

**Fourth stage.**

 The following documents are submitted to the DC of Satbayev University:

- an application addressed to the chairman of the dissertation council on accepting a dissertation for defense;

- reviews of domestic and foreign scientific consultants, certified at the place of work of the consultant. The translation of the opinion of a foreign consultant must be notarized. For dissertations containing state secrets, feedback from a domestic consultant;

- minutes of the extended meeting of the department, where the dissertation was carried out with a positive conclusion and a recommendation for defense, approved by the supervising Vice-Rector of the university where the doctoral candidate was trained;

- dissertation in hardcover, in 3 copies and on electronic media (CD-disk) (if the dissertation is defended in the form of a dissertation work);

- a list of scientific papers, certified by the chief scientific secretary of the university where the doctoral student studied, and copies of publications;

- the conclusion of the Ethics Commission of the university where the doctoral student studied that there are no violations in the process of planning, evaluating, selecting, conducting and disseminating the results of scientific research, including the protection of the rights, safety and well-being of research objects (objects of wildlife and habitat).

**Fifth stage.**

After setting the date for the defense, the DС appoints official reviewers, guided by the principle of independence from each other of reviewers, scientific consultants.

The dissertation council places the following materials on the defense of doctoral students on the Satbayev University Internet resource:

1) notification of the upcoming defense indicating information about the doctoral candidate, temporary members of the dissertation council and official reviewers, the form of dissertation submission, address, date and time (1 (one) month before the date of the defense, available on a permanent basis);

2) dissertation (1 month before the date of defense);

3) annotation in Kazakh, Russian, English with a total volume of no more than 15 pages (1 month before the date of protection);

4) list of doctoral candidate's publications (1 month before the date of the defense);

5) reviews of scientific consultants (1 month before the date of the defense), which are available for at least 5 months after the defense;

6) reviews of official reviewers (5 working days before the date of defense);

7) video recording of the defense in full, editing is not allowed (posted within 5 working days after the defense and available for at least 5 months after the defense);

8) conclusion of the Ethics Commission;

9) information on organizing the meeting of the dissertation council online (online) in the form of a videoconference.

**Sixth stage. After the defense**

1. Within 5 working days after the defense, submit to the Department of Doctoral Studies one copy of the extract from the minutes of the meeting of the DC for the defense on the award / refusal of the PhD degree, signed by the chairman of the DC, the academic secretary of the DC.

An extract from the minutes of the meeting of the DC for the defense on awarding the degree of Doctor of Philosophy PhD in the Doctoral Studies Department is accompanied by a document indicating the name of the dissertation topic in three languages, a copy of the identity card.

The order to award the PhD degree is issued in three languages and posted on the university website within 10 working days. Further, the university issues a PhD diploma of its own sample on the right of a university with a special status.