



2020

Master's Dissertation Guidelines

HIGHER SCHOOL OF ECONOMICS
M.NARIKBAYEV KAZGUUU NIVERSITY

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Master’s Dissertation

The Master’s Dissertation of HSE KAZGUU is a research that form an integral part of the Master’s degree programme.

Topics of the research may cover a wide range of areas as they reflecting major disciplines of Higher School of Economics which are economics, finance, management, psychology, international relations, etc.

The objective of research is to gain a better understanding of the major theoretical and conceptual debates around a selected topic, formulate a research question, identify the relevant literature, develop a methodology, define relevant key players and stakeholders, set up surveys to collect relevant data, conduct applied qualitative and quantitative research, and produce a substantial report of between 10 000 and 12 000 words (including refernces) of length that reflects a thorough understanding of the chosen topic, including a set of policy-relevant recommendations.

Supervisor’s Roles and Responsibilities

Supervisor is a qualified person with a graduate degree in the related filed or with an experience in related industry. Supervisor might be assigned from the school faculty members or from higher educational institutions, research centres, public and private companies with an expertise in the related field.

Supervisor guides the student throughout the master dissertation/project. Supervisor helps student to formulate research topic, identify relevant literature, and to develop research design in order to carry out master’s dissertation/project in conformity with academic rules and criteria. Supervisor also comments and gives feedback on draft for the dissertation through different stages.

- Supervisor duties do not include providing proof-reading of the dissertation/project.
- Supervisor and student should establish a schedule of meetings. The schedule should be designed in alignment with Academic Calendar and major milestones (please, see the relevant section).
- A supervisor should conduct not less than three meetings per semester within the assigned supervision period. The purpose of these meetings is to evaluate the student's progress and manage any difficulties. A student is expected to be proactive and prepared before the meeting. A supervisor is not expected to direct and describe every step that should be taken but rather guide a student in the right direction. After every meeting, a student should fill in the Meeting Report Form (please, see Annex). A student should indicate the outcome of the meeting and key actions. The form is reviewed by the supervisor and accepted as evidence of the conducted meetings. In case of absence of meetings due to student/supervisor's actions, the complaint should be filed by the relevant party and transferred to the Academic Committee.
- At the end of the first semester within the assigned supervision period, a student should submit a research proposal. A research proposal is an indication of research intentions. Any changes in the

research proposal should be approved by the research supervisor. The research proposal should include the following sections:

- *A working title*
- *Aim, objectives, and research questions*
- *Preliminary Literature Review*
- *Research Methodology*
- *Timetable including draft submission*
- *Word limit is between 2000-3000 words, 12 font, single-spaced*
- *The research proposal will be checked on plagiarism by the research supervisor. In case of any violation of academic honesty, a case will be transferred to the Disciplinary Committee.*
- A student should provide two major drafts prior preliminary defence as defined in the dissertation timeline. The supervisor will grade each draft, and the average grade will be assigned as a grade for scientific research work of the Master student.
- The first draft should include full Introduction, Literature Review, and suggested Research Design (including theoretical framework and research methodology).
- The second draft should include full Introduction, Literature Review, Methodology (including corrections and feedback from the review of the first draft), data analysis, model description, and presentation of the main results and tests.
- The second draft should be provided two weeks prior preliminary defence.

Ethical Issues

If a student is planning to collect primary data for her/his dissertation she/he needs to complete an Ethical Review Form (Appendix 6). This applies whether a student is using face-to-face methods or remote methods (surveys, Skype/Zoom interviews etc.). The form should be returned to student's supervisor, who needs to sign it off in order to confirm that he or she is satisfied that a student has given due consideration to any ethical concerns. A student should discuss with a supervisor any potential or actual ethical concerns that arise during the research process so that to address them.

Some of the most common ethical issues during the research process include:

- Avoiding harm

A student should seek to ensure that respondents are not adversely affected (psychologically, physically, socially, financially, etc) by their participation in the research.

- Accuracy

A student should never consider fabricating data or falsifying information given. Researchers have an ethical duty to report information obtained accurately.

- Anonymity

A student should inform respondents that they have a right to anonymity. Even when respondents are willing to be named in the research, a student should be aware of the risk of unintended negative consequences or repercussions. If in doubt, it is better not to name the respondent. Students are advised to be aware of the risk of unintentionally identifying respondents (for instance, by referring to their job positions and/or address).

- Consent

Respondents should freely consent to participating in research. They should not be pressurised or coerced into participation. Consent will only be meaningful and “informed” if they fully understand the nature, purpose and likely consequences of a student’s study.

- Confidentiality

Research data should be treated as confidential and stored securely until the dissertation has been marked, at which point it should be destroyed. Any personal data collected should not be used for purposes other than those for which they were collected. Where sensitive information is supplied by respondents, a student should consider whether or not it should be recorded at all.

- Covert data collection methods

Covert methods should be used only if absolutely necessary; that is, there are no overt methods capable of obtaining the required information. Proposed uses of covert methods should always be discussed with student’s dissertation supervisor beforehand, and would probably need to be sanctioned via the HSE’s full ethical review procedure. If such methods are to be used, protecting the anonymity of research subjects is essential, especially if the research is undertaken in non-public spaces.

- Dissemination

It is important for a student to disseminate her/his research widely, in order for it to achieve maximum impact. This is also important from an ethical standpoint if a student has made promises to research subjects or participating organisations to share your research findings with them.

- Gatekeepers

Where respondents are accessed via “gatekeepers”, the informed consent of the respondents should still be sought, and the interests of the gatekeepers should be protected.

- Trust

Relationships between a student and respondents should be based, as far as possible, on trust. As a researcher, a student should be careful not to act in a way that could undermine this trust.

- Raising expectations

A student should take care to avoid inflating the expectations of respondents as to the likely outcomes of the study. This can be avoided by giving very clear and realistic information about the study and making sure that it is fully understood.

- Vulnerable participants

Special care is needed where potential research subjects are children or other vulnerable persons who may not be able to give informed consent. For Masters Dissertations, HSE advises against collecting data from children or from adults who do not have the capacity to provide informed consent.

- Withdrawal

Respondents should be made aware that they have a right to withdraw from the study at any stage, and for any data that they have provided to be withdrawn.

- Privacy

The privacy of respondents should be respected. Respondents also have the right to reject the use of electronic recording equipment, such as video cameras and other recording devices.

- **Payment**

In general, payment should not be made to research participants, as this may be viewed as a form of coercion. However, some consideration may be given to reimbursing expenses (such as travel expenses) or paying for refreshments.

A student should study carefully the University's Handbook on Ensuring Academic Integrity.

Finally, for those considering fieldwork trips it is essential to consider the ethical implications in relation to the Coronavirus pandemic. Many countries around the world or some regions in Kazakhstan will continue to be affected by the pandemic for the foreseeable future, and within these countries are many people who are at particularly high risk of infection. It is essential to consider the risks of transmitting the virus through face-to-face contact, even in countries where infection rates are relatively low. There is also the risk that if you become ill yourself you may be adding to the pressure on local health services that are already struggling to cope. Difficult ethical judgements may well need to be made and it is essential that you discuss these issues with your supervisor before going ahead with fieldwork.

Milestones and Deadlines

- **Research Proposal Submission** - deadline is 25th of December. Supervisor publishes grade for proposal in the Canvas (standard grading scale from A to F is applied)
- **First Draft Submission** - it should be submitted before Preliminary Defense. Supervisor publishes grade for proposal in the Canvas (standard grading scale from A to F is applied)
- **Preliminary Defense** - defense of the preliminary results. It's a 10-minute presentation for the Evaluation Committee. The Committee provides general feedback and access to the final defense. Date: 24-25th of April.
- **Final Defense** - Date:24-25th of May. Final grade is published. No appeal is allowed.

Dissertation Structure

A dissertation should consist of (1) preliminary pages, which are supposed to be numbered using Roman numerals, and (2) the paper, which is numbered using Arabic numerals.

1. The preliminary pages must appear in the following order:

- Title page (i);
- Signature page (ii);
- Table of contents (iii);
- List of tables (iv);
- List of illustrations (v).

Should any element of the preliminary pages be longer than one page, number the pages consecutively. The preliminary pages should appear in this order but not necessarily with the page numbers shown above.

2. The dissertation proper should be numbered using Arabic numerals, and the numbering begins with 1 and runs consecutively to the end. It should contain the following sections:

- Introduction;
This section should be explaining the motivation of the topic and brief description of the results.
- Main body;

This section comprises literature review, methodology, data analysis, model description, and presentation of the main results and tests.

- Concluding remarks;
This section simply concludes and gives some general information about perspectives for further research in this area.
- Bibliography;
It comprises the list of references of all publications used in a Dissertation.
- Appendices;
An appendix contains supplementary material that is not an essential part of the text itself but which may be helpful in providing a more comprehensive understanding of the research.

Title Page: Do not number it. (Appendix 1)

Signature Page: As part of the overall completion process, the student must separately submit one signature page. The signature page should bear the original signature of the supervisor and signatures of all students, the authors of the dissertation. (Appendix 2).

Text: Every effort should be made to have the manuscript as perfect as possible in form and appearance. Pages containing handwritten corrections, typewritten strikeouts and unsightly erasures and the like will not be accepted.

If publication of the dissertation is anticipated, the medium of publication likely to be used should be considered when preparing the manuscript. If it is known in advance that the dissertation will be published by a particular publisher or journal, the editorial practices of that publisher or journal should be followed. The form of footnotes and bibliography, in particular, may vary with different publishers and journals.

Type and Spacing Standard: Typeface Times New Roman set to print 12 fonts is acceptable. Typing or printing should be double-spaced, except for footnotes (single-space footnotes, with double spacing to separate one note from the next).

The width should be as follows: left - 1.65 mm., upper - 1.75 mm., right - 1.65 mm., lower - 2.25 mm.

Footnotes: Footnotes are drawn up as subscripts with end-to-end numbering in accordance with the requirements Publication Manual of the American Psychological Association (APA Publication Manual), 6th edition. In the case of links to sources contained on the Internet, the full address to the source must be indicated. Footnotes may be used as a source of clarifying information.

Page Numbers: Be consistent. Put all page numbers in Arabic at the middle bottom of the page.

Dating the Dissertation: If you complete your dissertation in May of 2019, the date on your submission should be May 2019.

Abstract: Dissertation must be accompanied by an abstract. The abstract should, in a concise manner, present the problem of the dissertation, discuss the materials and procedure or methods used, and state the results or conclusions. Mathematical formulas, diagrams, and other illustrative materials should be avoided. The abstract should not be part of the dissertation itself nor should it be included in the table of contents. It should be headed as follows:

Abstract of (TITLE OF DISSERTATION), by (AUTHOR'S NAME), HSE KAZGUU University, May (YEAR IN WHICH DEGREE IS TO BE AWARDED).

The abstract should be prepared carefully since it will be published without editing or revision. The abstract should be double-spaced and may not exceed 350 words (maximum 2,450 characters — including spaces and punctuation — about 70 characters per line with a maximum of 35 lines). The abstract should be included to the research work.

Additional requirement to printed version

A master's dissertation should be in A4 format of a document in printed and electronic form with the extension .doc or .docx. A dissertation presented in a different format is not allowed to Final Defence. The master's dissertation should be submitted through Canvas as a text-based PDF file. The file submitted may appear in the KAZGUU's electronic library. A dissertation will be subject to web searches and unrestricted downloads unless the students request to have the dissertation or dissertation unavailable for download outside of KAZGUU. Master's students who have not defended master's theses (projects) are entitled to

re-defence in the next academic period. The results of the Defence of a master's dissertation (project) are not subject to appeal by a graduate student.

Submission of the Final Dissertation

When the dissertation is submitted electronically to the Graduate School of the HSE KAZGUU, it must be in final form. It may not be revised in any way after it is presented. The dissertation will not be accepted and the student's degree will not be conferred if any item from this list is missing or incomplete:

1. Clearance Document from KAZGUU Office Registrar indicating that all outstanding debts have been paid;
2. Two copies of the abstract (besides the abstract included in the Master's dissertation);
3. Turnitin report on plagiarism detection conducted by the Supervisor and review of the supervisor;
4. One signed signature page;
5. One Review of a reviewer whose qualification (academic degree) corresponds to the profile of the research (project), which gives a comprehensive description of the dissertation (project) and a reasoned conclusion about the possibility of awarding an academic master's degree in the relevant specialty (Appendix 3);
6. Two copies of the Master's Dissertation (The first copy in A5 format is subject for submission to HSE Graduate Office, the second version can be printed in A4 format and is subject for submission to the members of the Committee)

Dissertation-based publication

All Master's theses will be open documents. HSE KAZGUU will not recommend the awarding of the Master's degree until the dissertation or dissertation is submitted to the Graduate School and accorded unlimited distribution status.

Exceptions to this requirement will be made only if there is a letter from a supervisor stating that the dissertation will be published within one year after the degree is awarded and that requests that circulation of the dissertation be withheld for twelve months after the degree is conferred.

According to the Ministry of Education requirements, Master's students are expected to publish an article/conference paper during the term of study. The list of suggested journals for publications is presented in Annex. Please, contact your supervisor prior the publication.

Preliminary Results Defense

The aim of the Preliminary results defense is to provide students feedback that should be used for further improvements and minor changes.

Preliminary results defense is a presentation followed by Q&A session. The examination board may ask various questions regarding the content of the presented research.

Time limit for presentation is 10 minutes. Presentation should include main sections of the dissertation:

- Introduction;

This section should be explaining the motivation of the topic and brief description of the results.

- Main body;

This section comprises literature review, methodology, data analysis, model description, and presentation of the main results and tests.

- Concluding remarks;

This section simply concludes and gives some general information about perspectives for further research in this area.

- Bibliography;

It comprises the list of references of all publications used in a Dissertation.

The recommendations are following:

- Prepare slides in a professional and competent manner. Avoid grammar mistakes, typos, etc. Include appropriate labels, signs, references, etc.

- Try to manage all technical problems prior to the defense. Make an extra copy of your files if needed. Check your Internet connection before the presentation starts.

- Deliver your presentation in a professional way.
- Apply provided feedback to improve and enhance your work.

Final Results Defense

The aim of the final results defense is evaluation of student's research. Received grade will be transferred to student's diploma.

Defense is a presentation followed by Q&A session. The examination board may ask various questions regarding the content of the presented research.

Time limit for presentation is 15 minutes. Presentation should include main sections of the dissertation:

- Introduction;

This section should be explaining the motivation of the topic and brief description of the results.

- Main body;

This section comprises literature review, methodology, data analysis, model description, and presentation of the main results and tests.

- Concluding remarks;

This section simply concludes and gives some general information about perspectives for further research in this area.

- Bibliography;

It comprises the list of references of all publications used in a Dissertation.

Annexes

APPENDIX 1

Ministry of Education and Science of the Republic of Kazakhstan

M. Narikbayev KAZGUU University

«Approved for Defense»

Supervisor _____

«__» _____ 20__

MASTER'S DISSERTATION (PROJECT)

«The International Transit Corridor “Western Europe – Western China” and its role in the development of the Republic of Kazakhstan»

specialty 6M020700 - «Translation Studies»

Written by

Supervisor

Nur-Sultan, 20__

APPENDIX 2

M. Narikbayev KAZGUU University

**THE INTERNATIONAL TRANSIT CORRIDOR “WESTERN EUROPE – WESTERN CHINA” AND ITS ROLE IN
THE DEVELOPMENT OF THE REPUBLIC OF KAZAKHSTAN**

John Smith

April 26, 2020

«Approved»

Supervisor’s First and Last Name _____

Supervisor’s Signature _____

«__» _____ 20__

Nur-Sultan, 20__

REVIEW

Review should include comments on:

- the relevance of the master's dissertation (project) topic;
- degree of compliance of the master's dissertation (project) with the stated purpose;
- the availability of a critical review of literature, practical materials, its completeness and analysis sequence on the problem of the master's dissertation (project);
- the presence of reasoned conclusions on the results of the master's dissertation (project);
- the degree of originality of the results;
- shortcomings and weaknesses of the master's dissertation (project);
- the design of the master's dissertation (project) and the style of presentation of the material;
- assessment of the master's dissertation (project).

Reviewer

_____ **First and Last Name, degree, job title**

Signature

RECOMMENDED JOURNALS FOR PUBLICATION

Перечень научных изданий, рекомендуемых Комитетом для публикации основных результатов научной деятельности на 24.07.2020

	Әлеуметтік ғылымдар және қызмет көрсету / Социальные науки и услуги	
80.	Л.Н. Гумилев атындағы Еуразия ұлттық университетінің хабаршысы. Педагогика, психология, социология сериясы. Саяси ғылымдар, аймақтану, шығыстану, түркітану сериясы.	10.07.2012 ж. №1082
	Вестник Евразийского национального университета им. Л.Н. Гумилева. Серия педагогика, психология, социология. Серия политические науки, регионоведение, востоковедение, тюркология	10.07.2012 г. № 1082
81.	С.Торайғыров атындағы Павлодар мемлекеттік университетінің хабаршысы Вестник Павлодарского государственного университета им. С.Торайғырова	10.07.2012 ж. №1082 10.07.2012 г. №1082
82.	Казахстан – Спектр (КИСИ).	10.07.2012 ж. №1082
83.	Абай ат. Қазақ ұлттық педагогикалық университетінің хабаршысы	10.07.2012 ж. №1082
	Вестник Казахского национального педагогического университета им. Абая.	10.07.2012 г. №1082
	Экономика	
84.	Вестник Национальной инженерной академии Республики Казахстан.	10.07.2012 г. №1082
85.	Казахстан – Спектр (КИСИ).	10.07.2012 г. №1082
86.	Экономика және статистика.	10.07.2012 ж. №1082
	Экономика и статистика	10.07.2012 г. № 1082
87.	Экономика: стратегия және практика.	10.07.2012 ж. №1082
	Экономика: стратегия и практика.	10.07.2012 г. № 1082
88.	Қазақ экономикалық хабаршысы	10.07.2012 ж. № 1082

	Казахский экономический вестник.	10.07.2012 г. № 1082
89.	ҚазҰУ хабаршысы. Экономика сериясы	22.11.2012 ж. №1544
	Вестник КазНУ. Серия экономическая.	22.11.2012 г. № 1544
90.	Аграрлық нарық проблемалары	27.12.2012 ж.№1735
	Проблемы агрорынка.	27.12.2012 г.№1735
91.	Қарағанды университетінің хабаршысы (экономика сериясы)	15.03.2013 ж. № 532
	Вестник Карагандинского университета (серия экономика).	15.03.2013 г. № 532
92.	"Тұран" университетінің хабаршысы - Вестник университета «Туран».	30.05.2013 ж. №894
93.	Central Asian Economic Review	05.03.2014 г.№412 название изменено 14.08.2017 г. №1193
94.	Статистика,есеп және аудит.	17.10.2016 ж. №1027
	Статистика, учет и аудит.	17.10.2016 г. № 1027
94-1.	Мемлекетік аудит - Государственный аудит	19.04.2019 ж. № 405
94-2.	Л.Н.Гумилев атындағы ЕҰУ хабаршысының экономика сериясы	25.04.2019 ж. № 427
	Экономическая серия Вестника ЕНУ имени Л.Н. Гумилева	25.04.2019 г. № 427
94-3	Қазақ экономика, қаржы және халықаралық сауда университетінің жаршысы	15.11.2019 г. №771
	Вестник Казахского университета экономики, финансов и международной торговли	15.11.2019 г. №771

Meeting Minutes Report

Student's Name	
Supervisor	
Date and Time of Meeting	
Agenda for the Meeting	1 2 3 4
Overview of the previous meeting and tasks completed (please, indicate what tasks were completed and what were not)	1. 2. 3. 4.
Tasks to accomplish for the next meeting	1. 2. 3. 4.

This section is to be filled by Research Supervisor

Are you satisfied with the level of student's preparation?	
Is the student making progress?	
Additional Comments	

Ethical Review Form

Higher School of Economics M.Narikbayev KAZGUU University is concerned about ethical issues related to research. A student should review “Ethics in Research” section in Master’s Dissertation Guidelines and have a discussion with a supervisor regarding ethical consideration in research.

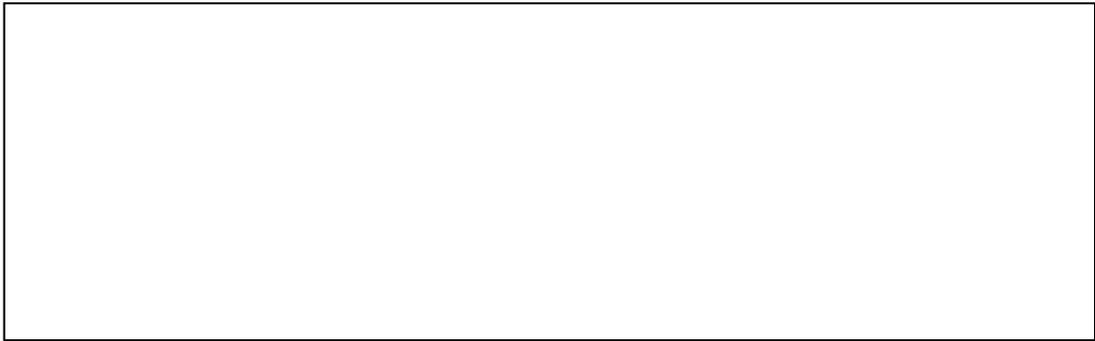
Research Ethics Approval form should be filled prior to the start of data collection. A supervisor should sign a form as a sign of confirmation. A supervisor might contact Disciplinary and Ethics committee in case if there are some doubts on research and expert’s opinion is required.

Name of a Student	
Degree Programme	
E-mail	
Supervisor’s Name	

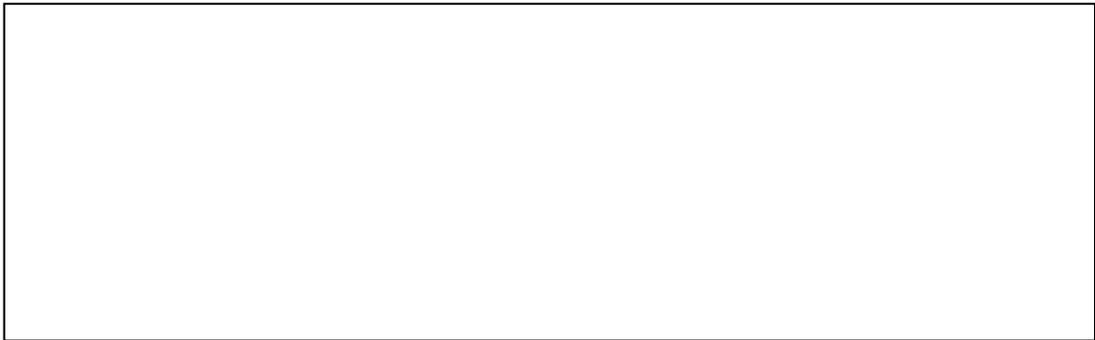
1. Does your research involve vulnerable groups? (Yes/No) _____
2. Does your research involve sensitive topics? (Yes/No)_____
3. Does your research may potentially harm (psychologically/physically/financially, etc) participants? (Yes/No) _____
4. Describe outline and objectives of your research.

5. Describe your research design and how human participants will be involved

6. Describe potential risks of your research to your human participants and how you are going to avoid these risks.



7. Describe how anonymity of respondents will be ensured.



8. Describe how informed consent will be provided.



9. Describe how you will ensure privacy of data collection.

10. Describe how data will be stored throughout and in the end of the project.

Student's Name

Student's Signature

Date

Supervisor's Name

Supervisor's Signature

For Supervisor's: Contact Disciplinary and Ethics Committee, if there are any ethical issues that seems controversial and unclear. Send this form and provide your explanation.