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HSE KAZGUU – FALL TERM 2021

PHD THESIS GUIDELINES

The thesis is a key and central part of the Doctoral degree programme. The thesis is a confirmation of an independent researcher’s skills gained during the study period. It must represent an original and independent piece of research generating new knowledge, critically evaluating and exploring relevant ideas, and relating them to a broader knowledge context. With the thesis, a PhD Candidate must demonstrate a systematic understanding of an academic field, research methods used, and the ability to independently conduct empirical research of a publishable quality confirmed by appropriate publication(s).

MILESTONES AND DEADLINES

- **December, 20:** Detailed research proposal submission;
- **End of every academic year:** written work and report submission for the Annual Progress Review (APR) – see HSE Graduate Programmes Handbook;
- **Every Spring starting from Year 2:** presentation on HSE Research Showcase.

THESIS SUPERVISION

Each PhD student is assigned to a supervisor(s). The supervisor is a qualified person with a PhD degree or equivalent in the related field actively involved in the research. The supervisor might be assigned from the school faculty members or from higher educational institutions, research centres, public and private companies with expertise in the related field.

Supervisor's responsibility:

- Supervisor guides a student throughout the PhD thesis. The supervisor helps the student to formulate a research topic, identify relevant literature, and develop a research design in order to carry out the thesis in conformity with academic principles and expectations. Supervisor also comments and gives feedback on the draft for the thesis through different stages. Supervisor duties do not include providing proofread of the thesis.
- Supervisor and student should establish a schedule of regular meetings with a student (not less than one meeting per month). During the meeting PhD students are expected to discuss their research in progress. They have to submit a brief report after each meeting to Canvas. This will be routinely monitored by the programme administration.
- Submission of the thesis is possible only after the official approval received from the supervisor(s). The approval ensures an appropriate quality of the thesis. The quality of the **submitted** thesis is the supervisor's responsibility (main supervisor, in case of more than one supervisor).

THESIS SUBMISSION

The PhD thesis approved for submission by supervisor should be submitted through Canvas as a text-based PDF file. In line with the KAZGUU academic policy, it should be done in Canvas which routinely checks all written works via Turnitin. The policy declares **zero plagiarism tolerance**.

The thesis then to be considered by the Academic Quality Committee of the Higher School of Economics (HSE AQC). The PhD Candidate will be present at the AQC meeting to address possible questions and receive feedback. In exceptional cases, the AQC reserves the right to not approve proceeding to the defence. The AQC decision should include a clear and transparent justification for the decision and further recommendations.

According to the current regulations, the PhD defence could only be done by the special Expert Councils. The Expert Councils are organized at different universities across the country. At the moment, there is no Expert Council at KAZGUU for Economics though this might change in the future. Please consult with the Vice Dean for Graduate Studies, Research and Development for the list of acting Expert Councils available for your thesis submission.

Furthermore, the thesis defended in the Councils along with the relevant documentation should be sent to the Academic and Research Quality Assurance Committee under the Ministry of Education and Science (ARQAC) which awards the degree. The ARQAC verifies the quality of the thesis and its compliance with the principles of independence, internal unity, scientific novelty, reliability and applicability, and academic integrity.

ENGLISH AND USEFUL RESOURCES

The thesis must be written in English and proofread to ensure the language is of sufficient quality to be understood. You can use British English or American English but be consistent throughout your text. To improve your written academic English skills, you might consider free online tutorial developed by academic publishers covering the common mistakes when writing in English, such as this one: <https://www.springernature.com/gp/authors/campaigns/writing-in-english>.

For useful advice on writing an academic paper in Economics consider the following resources:

- *Economical Writing* (2nd edition, Waveland Press) by Deirdre McCloskey available at <https://ucema.edu.ar/~dl/CURSOS/Taller de Tesis MAE/McCloskey Economical Writing.pdf>
- *A Guide for the Young Economist* (M.I.T. Press, 2001) by William Thomson available at the KAZGUU library
- Citation style for papers and theses in Economics - https://www.reed.edu/economics/resources/econ_citationguide.pdf.

THESIS STRUCTURE

Thesis in Economics might be organised as a traditional form of a dissertation (treatise) where one (or sometimes several) topic(s) is explored throughout the text that includes literature review, main body paragraphs and conclusion and discussion. Alternatively, it can be organised as a set of (normally, three) academic essays each of which is organised as a more or less independent but interrelated separate academic article. Each of these forms has its own strengths and weaknesses. If the thesis only includes one ample topic it might be more efficient to structure it as a “classic” treatise. If – as often the case for empirical quantitative Economics – it constitutes of at least three smaller relatively independent topics (research questions) linked by a common area, it might be more efficient to organise it as a set of academic essays. The common title, in this case, might sound like “Essays in [field] Economics”, for example, “Essays in Labour Economics”. More about different thesis structures can be found at <https://www.aeaweb.org/conference/2013/retrieve.php?pdfid=84>.

When choosing the form of thesis please consult with your supervisor.

PUBLICATIONS

According to the current regulations a PhD Candidate must have published academic article(s) in recognised peer-reviewed journals before submission of the thesis. The number of publications depends on the quality of the journals:

<i>International peer-reviewed journals</i>	<i>Local recognised journals recommended by the Quality Assurance Committee of the Ministry of Education and Science</i>
One article published at journal: <ul style="list-style-type: none"> - with JCR impact factor, or - indexed by Web of Science Core Collection (Arts and Humanities Citation Index), or - indexed by Science Citation Index Expanded (Social Sciences Citation Index), or - having the Scopus CiteScore highest percentile of 25 and above 	Three articles
One article published at journal: <ul style="list-style-type: none"> - with JCR impact factor, or - having the Scopus CiteScore highest percentile of 25 and above - and one articles published at journal: 	No articles required

<ul style="list-style-type: none"> - ranked Q2-Q4 JCR, or - having the Scopus CiteScore highest percentile of 50 and above 	
one articles published at journal: <ul style="list-style-type: none"> - ranked Q1 JCR 	No articles required

Journal Citation Reports (JCR) is a yearly publication by Clarivate Analytics. It is integrated with the Web of Science (WoS) – an electronic version of the Science Citation Index. JCR provides information about academic journals in the natural sciences and social sciences, including their impact factors. The list of indexed journals is available at the Clarivate website – search for “Journal Citation Reports. Full journal list”.

Arts and Humanities Citation Index (A&HCI) is a citation index by Clarivate Analytics. It indexes more than 1,800 journals across 28 arts and humanities disciplines.

Social Sciences Citation Index (SSCI) is a citation index by Clarivate Analytics. It indexes more than 3400 journals across 58 social sciences disciplines. Leading journals in Economics are presented on the list. You can search for an indexed journal at <https://mjl.clarivate.com/search-results>.

CiteScore is an alternative to JCR introduced by Elsevier more recently. It is based on the citations recorded in the Scopus database unlike JCR measuring WoS database journals. Journals are ranked according to their yearly average number of citations. To find more about journals’ percentiles and ranks search at <https://blog.scopus.com/posts/how-to-explore-compare-and-track-journal-citation-impact-with-citescore-metrics>.

List of local journals recommended by the Quality Assurance Committee of the Ministry of Education and Science is found at

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

https://www.nlrk.kz/index.php?option=com_content&view=article&id=1096:perechen-nauchnykh-izdaniy-rekomenduemykh-komitetom-dlya-publikatsii-osnovnykh-rezultatov-nauchnoj-deyatelnosti&catid=159:chitatelyam&lang=ru&Itemid=538

REGULATORY FRAMEWORK AND TYPOGRAPHY

The regulatory framework for PhD studies and thesis is provided by the following document:

- Об утверждении Правил присуждения степеней. Приказ Министра образования и науки Республики Казахстан от 31 марта 2011 года № 127. Зарегистрирован в Министерстве юстиции Республики Казахстан 13 мая 2011 года № 6951. (<https://adilet.zan.kz/rus/docs/V1100006951>)

Requirements on the thesis format are set centrally and available at https://nauka.kz/upload/files/instrukciya_po_oformleniyu_dissertacii.pdf