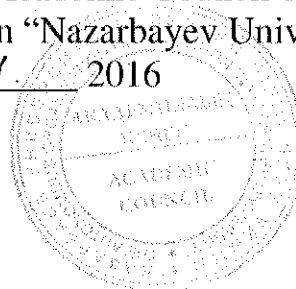


**AUTONOMOUS ORGANISATION OF EDUCATION
“NAZARBAYEV UNIVERSITY”**

**PH.D. IN SCIENCE, ENGINEERING AND TECHNOLOGY – THESIS
FORMAT REGULATIONS**

Approved by the resolution of the Academic Council of
the autonomous organization of education “Nazarbayev University”
Minutes # 61 of 30.11. 2016



Astana 2016

Abbreviations and Definitions

PhD: Doctor of Philosophy in Science and Engineering.

PPC: PhD Program Committee.

SDO: School's Doctoral Office.

TC: Thesis Committee.

TEAC: Thesis Examination Arrangement Committee.

University: the autonomous organization of education "Nazarbayev University".

For the purposes of this Regulations University is the home institution.

1. Thesis Examination Regulations

1.1. The thesis

1. The final title of the thesis is approved when the TEAC and PPC approves the examination arrangements for the candidate, and may not be altered thereafter without the approval of the PPC, unless the examining team makes an explicit recommendation for a revision, following the viva.

2. The thesis must include a statement of the candidate's objectives and acknowledge published and other sources of material consulted (including an appropriate bibliography) and any assistance received.

3. Where a candidate's research programme was part of a collaborative project the thesis must contain a clear statement of the candidate's individual contribution and of the extent of the collaboration.

4. There must be an abstract of normally a maximum of 400 words bound into the thesis which provides a synopsis of the thesis stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject.

5. The candidate is free to publish material in advance of the thesis but reference should be made to any such work in the thesis. Students wishing to include a copy of this published material in both the print and electronic versions of the thesis should first ensure that their agreement with the publisher permits the inclusion of this material. Material should then either be bound in with the thesis or be placed in an adequately secured pocket at the end of the thesis, with adequate acknowledgement of the original source of publication.

6. Permission from the rights holders to include third party copyright material is not required for the examined thesis but is essential for publication online. Before the thesis is made available electronically, the candidate should follow all required procedures confirming that all clearances have been obtained. If clearances cannot be obtained for all third party material, the candidate should be asked to provide a second, edited electronic version which can be added to the University Repository.

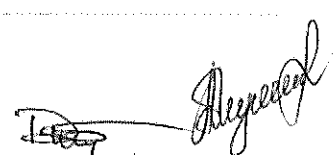
7. A thesis should normally be in A4 format, but approval may be given for a thesis to be submitted in another format when it is apparent that the contents would be better expressed in that other format.

8. The text should normally comprise a maximum of 80,000 words for doctorates in science, engineering and technology related disciplines

9. It is expected that where a thesis is accompanied by other material, such as exhibited work, it will be shorter in length. Word count excludes text contained in references or appendices, but includes text contained in footnotes.

10. A candidate's thesis shall normally be made available to the public. In the case of theses which contain confidential material, it will be necessary to restrict access until the obligation of the confidentiality has expired.

1.2. Submission of the final thesis



15/07/2017

11. The following requirements must be adhered to in the submission of the final thesis:

- 1) One perfect-bound copy of each PhD thesis shall be lodged in the SDO.
 - 2) One permanent-bound copy of each PhD thesis shall be lodged with the University library.
 - 3) One permanent-bound copy for student's collaborating establishment (if applicable).
 - 4) One electronic copy version in PDF to be deposited with the SDO.
12. Additional copies of theses for supervisors should be made through agreement between the PhD student and their supervisor.

1.3. Examination of the thesis

13. Following the completion of the examination and assessment process of a Research Degree through the TC, the examiners shall be able to recommend to the PPC one of the following:

- 1) that the candidate be awarded the degree for which he/she is registered;
- 2) that the candidate be awarded the degree for which he/she is registered subject to minor amendments being made to the thesis. Minor amendments can either take the form of:

minor editorial corrections, for which the maximum time permitted is normally 6 (six) weeks; or

minor deficiencies, for which the maximum time permitted is normally 12 (twelve) weeks;



- 3) that the candidate be permitted to re-submit for the degree and be re-examined with or without an oral examination. The maximum time for re-submission for re-examination is normally 18 (eighteen) months for full-time students;

- 4) that the candidate not be awarded the degree and not be permitted for re-examination.

14. Following the requirement of minor amendments and the submission of the revised thesis, the examiners will decide whether or not the amendments are adequate. Should the revised thesis still not meet the required standard of the award, the examiners may request further iterations of the thesis within the permitted timescales in order to satisfy the requirements of the award. However, where these remain unmet the examiners will be required to produce a written report detailing how the revised thesis has not met the required amendments. Where this follows first submission, the candidate will be offered the opportunity to submit a revised thesis for re-examination.

15. If the recommendation of a pass subject to minor deficiencies which have not been met concerns a re-examination, the examiners will be required to produce a written report and make recommendations.

16. Where it is decided, on the recommendation of the examiners, that the degree not be awarded and that no re-examination be permitted, the examiners shall

be required to prepare an agreed statement of the deficiencies of the thesis and the reason for their decision to be forwarded to the candidate by the University.

17. The degrees of PhD may be awarded posthumously, on the basis of a thesis completed by the candidate who is ready for submission for examination.

18. In any such case, the evidence submitted shall be such as to make it clear that the candidate would have been likely to have been successful had the oral examination taken place.

1.4. Re-examination

19. Re-examination may be permitted; normally only once.

20. The forms of re-examination may include:

1) the thesis only to be re-examined after revision, without holding a second oral examination;

2) a re-examination of the thesis after revision and the holding of a second oral examination;

3) a second oral examination after due time, without the need to revise or re-submit the thesis;

4) the holding of a different form of examination to test the candidate's abilities.

21. Following the completion of the re-examination and assessment process of a Research Degree, the examiners shall be able to recommend to the University one of the following:

1) that the candidate be awarded the degree for which he/she is registered;

2) that the candidate be awarded the degree for which he/she is registered subject to minor amendments being made to the thesis. Minor amendments can either take the form of:

minor editorial corrections, for which the maximum time permitted is normally six weeks; or

minor deficiencies, for which the maximum time permitted is normally twelve weeks;

3) that the candidate not be awarded the degree.

1.6. Grounds for appeals against examination decisions

22. Requests for a review of an examination decision concerning a research degree examination are permitted on the following grounds only:

1) that there were circumstances affecting the candidate's performance of which the examiners were not aware during the examination process, and of which the candidate could not reasonably have been expected to inform the examiners in advance;

Accepted

2) that there was evidence of procedural irregularity in the examination process (including administrative error) of such a nature as to cause doubt as to whether the result might have been different had there not been such an irregularity;

3) that there was evidence of improper conduct, prejudice or bias on the part of one or more of the examination team. Candidates may not otherwise challenge the academic judgement of the examiners.

23. Any review panel to deal with appeals shall not be constituted as an examinations board and shall not have any authority to set aside the decision of the examiners and thereby to recommend the award of the Degree. The review panel may recommend a particular course of action to the SDO and the TC. The Director of PhD Studies will mediate possible resolution.

A handwritten signature in black ink, appearing to read 'Deyang', is located in the bottom right corner of the page. The signature is written in a cursive style and is positioned above a horizontal line that spans the width of the page.

2. Guidelines for the presentation of the thesis

24. Please ensure that the format of the text is consistent throughout the thesis.

1) Copies of the thesis shall be presented in a permanent and legible form either in typescript or print. Where copies are produced by any photocopying processes, these must be of a permanent nature. Where word processor and printing devices are used, the printer must be capable of producing text of a satisfactory quality.

25. The Main Text must conform to the following:

1) The abstract should not normally be more than one page of A4 in length, or no more than 400 words.

2) The thesis should be printed on white A4 paper between 70g/m² and 100g/m².

3) Permission from the examining body must be sought if non A4 paper is used.

4) Pages which are larger than A4 will be reduced when microfilmed. Writing therefore may become illegible.

5) Large illustrations should be folded to fit A4 size and should not extend across both pages of the thesis.

6) If the thesis contains photographs you may substitute good photocopies in the copy which is to be sent to the University library.

7) If color is used, the quality must be of a good standard for reproduction purposes. Please ensure that pages where color is used are marked 'Original in Color'.

8) The thesis should be printed on one side of the paper, right hand pages (rectos) only for examination purpose, but can be printed double-sided for the final version.

9) The left margin should not be less than 40mm to allow for binding and the others should not be less than 15mm.

26. Other material submitted with the thesis must conform to the following:

1) Materials not bound with the text should be inserted into a pocket on the inside back cover of the thesis or separate volume or container in an acceptable format.

2) They should be clearly marked to avoid being lost.

27. Permanent Binding must conform to the following:

1) The binding should be of a fixed type so that leaves cannot be removed or replaced.

2) The front and rear boards should have sufficient rigidity to support the weight of the work when standing upright.

3) Each volume should not be more than 70mm thick.

4) The color of the binding should be arbelave buckram (navy blue).



5) The outside front board should bear the title of the work in gold leaf in at least 24pt type. The full name of the candidate, the qualification and the year of award should also be shown on the front board.

6) The spine of the work should bear the qualification, the name and initials of the candidate, and the year of award.

28. Perfect binding must conform to the following:

1) Perfect binding (also known as Temporary or Soft Cover binding) should be card front and back with a strip of navy blue book cloth covering the spine. The pages should be glued together.

2) The color of the card should be adagio (pale blue).

3) The outside cover should bear the title, the name and initials of the candidate, the qualification and the year of submission should also be shown on the front cover, in black ink Size 24 pt.

29. Submission of videos, CDs and DVDs must conform to the following:

1) Candidates submitting CD or DVD should present these in a wallet attached to the back cover of the thesis.

30. Typography must conform to the following:

1) Character size should be not less than 2mm for capitals and 1.5mm for lower case. (Arial 12pt, Times New Roman 12pt and Helvetica 12pt are suggested fonts and sizes). Care should be taken when using smaller character size for notes as legibility may be lost when copies are made.

2) Division of end of line words should be avoided.

3) One-and-a-half spacing, or double if necessary, must be used in typescript except for indented quotations or footnotes where single spacing may be used.

4) Paragraphs should be either; (i) flush left with additional space between paragraphs, or; (ii) indented 5-10 mm with no additional spaces between paragraphs; opening paragraphs and those that follow headings are not indented.

5) Right-hand justification of text is discretionary;

6) Method (i) should be used if paragraphs are numbered.

31. Tables must conform to the following:

1) Locate any tables used close to the first reference in text. If there are numerous references or tables, locate them at end of text.

2) Allocate 1 table per page as far as possible. If the table extends to more than

3) one page, headings should appear on both.

4) Number and title should appear below each table, in that order.

5) Each row/column to clearly labelled or headed.

6) Character size as in 6 above.

32. The Candidate's Declaration must include the following statement should within the thesis (Annex).

33. Headings must conform to the following:

1) Headings should not normally be centered.

2) Consistency is essential throughout the text.

3) If used, a header should appear on the top line of the page, in a smaller size than the main text, but only in the main text. Information included should cover: - name; year of submission; page; etc.

34. Pagination must conform to the following:

1) Numbers - normally Arabic.
2) Illustrations and tables should be numbered in a separate sequence from the pagination

3) Pages should be numbered consecutively through the main text, including photographs and/or diagrams which are included as whole pages and should be at the bottom in the middle of each page. Please note that the title page should be counted but not numbered.

4) Avoid blank pages, but if used it should carry the word 'BLANK' and the page number.

35. Notes should conform to the following:

1) Footnote: a note that appears at the foot of a page and separated from the main text and each other, preceded by an asterisk, sign or number and relates to that in the corresponding text. Used to explain terms or put something into context and is essential for understanding the text. Can be in smaller character size.

2) Endnote: notes that appear at the end of a section, chapter or book which contain additional information and references or are attributing quotes etc. These should be listed in numeric or alphabetic order.

3) If using numbers to indicate a note, make sure that they are clear, consecutive and not likely to be confused with others (such as those for tables or illustrations).

36. The Bibliography section should conform to the following:

1) Make sure that the bibliographic style is consistent throughout, and in keeping with that used by your academic discipline. Refer to the School Office if in doubt.

2) Your supervisor may recommend that you use a particular style. There are various referencing styles each with their own rules for the arrangement, layout and punctuation of references. Different subject disciplines tend to favor a particular style, e.g. the MLA style is widely used in the humanities, APA in psychology and psychology related disciplines, and the author-date style (Harvard) is used in both the arts and sciences. With the exception of the Harvard style, the referencing style guides published by MLA, APA etc. provide detailed instructions and examples to help you understand the rules. These guides are available in the University library.

37. The Front and end pages should conform to the following:

1) Order of text: Abstract, contents, list of tables/illustrations/accompanying material, acronyms and definitions, preface, acknowledgements, author's declaration.

2) End page order: glossary, list of references, bibliography, appendices.

3. Bookbinders

38. You will require the services of a professional bookbinder to produce your thesis. Most printing and printing finishing companies no longer deal with individual theses.

39. It is important that the permanent-bound thesis is bound in an arbelave buckram cover. Please allow the binders as much time as you can. If you anticipate needing copies at short notice for your examiners, it is advisable to make contact to alert them well in advance to expect the order.

40. The specimen of title page is to be printed in at least 24pt type to include the following information:

- 1) the title of the work in full;
- 2) the full name of the candidate;
- 3) the award for which the degree is submitted in partial fulfilment of its requirements;
- 4) that the degree is awarded by University;
- 5) the collaborating establishment, if any;
- 6) the month and year of submission in which the final version of the thesis was approved by the examiners.

For example:

ION TRAJECTORIES AT COLLISIONLESS SHOCKS IN SPACE PLASMAS PHILIP
NEWMAN

A thesis submitted in partial fulfilment of the requirements of Nazarbayev University for the degree
of Doctor of Philosophy

July 2014

41. The presentation of the final permanent and perfect bound theses requires the specimen wording of the front board to conform to the following:

- 1) to be printed in at least 24pt type;
- 2) gold leaf to be used for the final permanent bound thesis;
- 3) the title of the work in full;
- 4) the full name of the candidate;
- 5) the qualification;
- 6) the year of submission in which the final version of the thesis was approved by the examiners.

For example:

ION TRAJECTORIES AT COLLISIONLESS SHOCKS IN SPACE PLASMAS



Declaration

I declare that the research contained in this thesis, unless otherwise formally indicated within the text, is the original work of the author. The thesis has not been previously submitted to this or any other university for a degree, and does not incorporate any material already submitted for a degree.

Signed

Dated

[Handwritten signature]

PHILIP NEWMAN

PHD
2014

42. The specimen wording of spine for permanent bound theses only, must contain the following information:

- 1) the name and initials of the candidate;
- 2) the qualification;
- 3) the year of submission in which the final version of the thesis was approved by the examiners;
- 4) gold leaf to be used for the final permanent bound thesis.

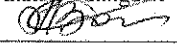


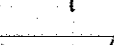
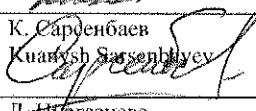
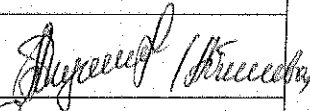

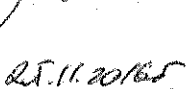
PHD

P NEWMAN

2014

Approved

КЕЛЕСУ ПАРАҒЫ/APPROVAL SHEET/ЛИСТ СОГЛАСОВАНИЯ
PH.D. IN SCIENCE, ENGINEERING AND TECHNOLOGY THESIS FORMAT REGULATIONS
ПРАВИЛА ОФОРМЛЕНИЯ ТЕЗИСА PH.D. В ОБЛАСТИ НАУКИ, ИНЖЕНЕРИИ И ТЕХНОЛОГИИ
ҒЫЛЫМ, ИНЖИНЕРИЯ ЖӘНЕ ТЕХНОЛОГИЯ САЛАСЫНДАҒЫ PH.D. ТЕЗИСТЫҢ РЕСІМДЕУ ЕРЕЖЕСІ

Item/ Атауы/ Наименование	Structural subdivision/ Құрылымдық бөлімшенің атауы/ Наименование структурного подразделения	Name and signature of a responsible person, date of approval/ Т.А.Ж., жауапты тұлғаның қолы, визаның қойылған күні / Ф.И.О., подпись ответственного лица, дата визирования	Position, name and signature of a resp. person, date of approval / Лауазымы, Т.А.Ж., нақты орындаушының қолы, визаның қойылған күні / Должность, Ф.И.О., подпись конкретного исполнителя, дата визирования
DEVELOPMENT/ ӘЗІРЛЕУ/ РАЗРАБОТКА	School of Engineering / Инженерия мектебі / Школа инженерии	А.Вахгельт Anatoli Vakhguel 	Р.Уитби Raymond Whitby 
REVIEW/ КЕЛІСУ/ СОГЛАСОВАНИЕ	Vice Provost for Academic Affairs/ Академиялық мәселелер жөніндегі Вице-проректор/ Вице-проректор по академическим вопросам/	Л. О'Доннелл Loretta O'Donnell 	
	Legal Department / Заң департаменті / Юридический департамент	К. Сарденбаев Kuanysb Sarsenbalyev 	
	Department of Documentational Support / Құжаттамасын қамтамасыз ету департаменті / Департамент документационного обеспечения	Л. Нургазиева Leila Nurgaziyeva 	 25.11.2015

Исп: Маркабаева Г.
Тел: 70-46-29