

# Decision of the FIBAA Accreditation and Certification Committee

11<sup>th</sup> Meeting on September 20, 2023

## PROGRAMME ACCREDITATION

<b>Project Number:</b>	20/075 (cluster 1)
<b>Higher Education Institution:</b>	KIMEP University
<b>Location:</b>	Almaty, Kazakhstan
<b>Study programmes:</b>	PhD in Accounting and Audit PhD in Finance
<b>Type of accreditation:</b>	re-accreditation



The FIBAA Accreditation and Certification Committee has taken the following decision:

According to § 7 (6) in conjunction with § 9 (1) of the FIBAA General Terms and Conditions within the framework of procedures for the award of the FIBAA Quality Seal for Programmes from January 1, 2021, the study programmes are re-accredited.

Period of Accreditation: July 6, 2023, and finishing on July 5, 2030.

The FIBAA Quality Seal is awarded.

## Assessment Report

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**Higher Education Institution (HEI):**  
KIMEP University, Almaty, Kazakhstan

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**Doctoral programmes:**

1. PhD in Accounting and Audit
2. PhD in Finance

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**Qualification awarded on completion:**

1. PhD in Accounting and Audit
2. PhD in Finance

# General Information on the Study Programmes

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**Brief description of the study programmes:**

The study programmes PhD in Accounting and Audit and PhD in Finance have a workload of 180 ECTS credits within three to five years. They include an educational component with core courses, elective courses, specialisation courses and internships (45 ECTS credits) as well as a research component with research work and authoring a dissertation (135 ECTS credits). Within the study plan requirements, the PhD student can individually choose elective and specialisation courses and decide upon the area of research and dissertation within the subjects of accounting and audit or finance. Graduates achieve the PhD in Accounting and Audit or PhD in Finance. Upon completion of the PhD programmes, graduates in accounting and audit or finance are qualified to work as senior administrators in auditing and taxation departments, financial experts in government and private agencies, financial assurance advisors in legislative and legal settings, and financial analysts.

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**Type of study programmes:**

PhD programmes

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**Projected study time and number of ECTS credits assigned to the study programmes:**

3-5 years, 180 ECTS credits

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**Mode of study:**

Full-time; 5-6 candidates

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**Didactic approach:**

Study programme with obligatory class attendance

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**Double/Joint Degree programmes:**

No

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**Scope (planned number of parallel classes) and enrolment capacity:**

5 – 6 students

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**Programme cycle starts in:**

Fall semester

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**Initial start of the programmes:**

2018

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**Type of accreditation:**

Re-accreditation

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**For re-accreditation: last accreditation period:**

July 6, 2018 to July 5, 2023 (with a provisional prolongation till September 30, 2023)

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**Accreditation in one cluster (cluster 1) with:**

Bachelor of Accounting and Audit

Bachelor of Finance

Master of Accounting and Audit

Master of Finance

# Procedure

A contract for the re-accreditation of the PhD in Accounting and Audit programme (PhD in Accounting and Audit) and the PhD in Finance programme (PhD in Finance) was made between FIBAA and KIMEP University on June 21, 2022. On February 26, 2023, the HEI submitted a self-evaluation report, which included a detailed description of the programmes and further documents in order to prove that the criteria for programme accreditations are met.

At the same time, FIBAA appointed a review panel<sup>1</sup>. The HEI has agreed with the chosen experts. The panel consisted of:

## **Christoph Back**

Leuphana University Lüneburg, Germany,  
Student of Business Administration (B.Sc.)

## **Prof. Dr. Stephanie Hehn**

University of Applied Sciences Ludwigshafen, Germany  
Professor of General Business Administration  
(Corporate Finance and Capital Market Theory)

## **Prof. (FH) Ing. Mag. Robert Kotal**

Raiffeisenlandesbank AG, Vienna, Austria  
Chief Compliance Officer Raiffeisen-Holding  
Banking and Finance, Accounting and Audit

## **Prof. Zamzagul Sultanova PhD**

Zhangir Khan West Kazakhstan Agrarian-Technical University, Uralsk, Kazakhstan  
Associate Professor of Economics and Management Department  
(Finance, Money Circulation and Credit, International Economics)  
Head of International Cooperation Department

## **Prof. Dr. Jochen Zimmermann**

University of Bremen, Germany  
Professor of Accounting  
(Corporate Accounting, Controlling, Business Administration)

FIBAA project manager:

Dr. Birger Hendriks

The assessment is based on the self-evaluation report, amended by further documents, as requested by the panel, and an on-site visit. The on-site visit took place on April 17 and 18, 2023, at the HEI's premises in Almaty. The same cluster included an appraisal of the programmes Bachelor of Accounting and Audit programme (Bachelor of Accounting and Audit) and the Bachelor of Finance programme (Bachelor of Finance) as well as of the Master of Accounting and Audit programme (Master of Accounting and Audit) and the Master of Finance

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<sup>1</sup> The panel is presented in alphabetical order.

programme (Master of Finance). At the end of the on-site visit, the panel has given brief feedback on its first impressions to representatives of the HEI.

The assessment report based on this was delivered to the HEI for comment on August 21, 2023. The statement on the report was conveyed on August 30, 2023. It has been taken into account in the report at hand.

# Summary

The programmes PhD in Accounting and Audit and PhD in Finance, offered by KIMEP University, Almaty, Kazakhstan fulfil the FIBAA quality requirements for doctoral programmes and can be re-accredited by the Foundation for International Business Administration Accreditation (FIBAA) for seven years starting on July 6, 2023 (the date when original accreditation period expired) and finishing on July 5, 2030. The programmes are in accordance with the national and the European Qualification Frameworks and the European Standards and Guidelines in their applicable version valid as of the time of the opening of the procedure, and in accordance with the Bologna Declaration.

The panel members identified one area where the programmes could be further developed:

- The panel recommends all syllabi include recommended readings that are up to date and guarantee actual information (see chapter 3.1).

The measures that the HEI takes in order to implement the recommendations of the panel members will have to be considered during the re-accreditation.

There is a criterion in which the programmes exceed the quality requirements:

- Internationality of the Teaching Staff (see chapter 4.1).

For the overall assessment of the programmes, please refer to the quality profile at the end of this report.

# Information

## Information on the Institution

Established in 1992, KIMEP University (KIMEP) is an independent, non-profit higher education institution in Kazakhstan. KIMEP is licensed and has been attested by the Kazakhstan Ministry of Education and Science (MES - now MSHE) as a higher education institution (HEI) authorised to provide educational services. In January 2012, KIMEP obtained its university status.

KIMEP currently offers 35 degree programmes for students including 15 undergraduate, 13 Master and seven Ph.D. The programmes are offered in Business Administration, Finance, Marketing, Management, Accounting and Audit, Economics, International Journalism, Public Administration, International Relations, International Law and English pedagogy.

The programmes at hand are conducted by the Bang College of Business (BCB)<sup>2</sup>. Besides, KIMEP includes College of Social Sciences (CSS), College of Humanities and Education (CHE), Law School and Executive Education Center that are supported by various units at the University level. Specialised Bachelor programmes in the fields of accounting and audit as well as finance have been offered since 2013.

Based on Fall 2022 data, there are 101 non degree and 2,126 degree students at KIMEP. Included are 303 international degree students. Overall, KIMEP degree students represent 35 different countries. Currently, there are 101 full-time faculty at KIMEP. Sixty-six percent of the University's full-time faculty members hold doctoral degrees, among them 64 with Ph.D. or equivalent degree (DBA, DJur<sup>3</sup>) and three Doctors of Science. There are 24 Ph.D. holders at BCB. The overall faculty/degree student ratio for KIMEP is 19.14 students per faculty. KIMEP has 14,214 KIMEP alumni.

BCB's PhD programmes are the newest degree programmes offered at the KIMEP University. Currently it accounts for 23 students in BCB's PhD Programmes: four students and seven students in PhD Programmes in Finance and Accounting, respectively.

BCB was awarded four PhD programme licenses in August 2017 by the Ministry of Education and Sciences (MES, now MSHE): PhD in Accounting and Audit, PhD in Finance, PhD in Management, and PhD in Marketing. The BCB aims to strengthen its position further to become an internationally recognized university. To achieve this, in addition to providing "world class" education, BCB also intends to become "world class" in research and intellectual contribution. 2018 National IQAA Ranking assessed KIMEP University as 'Leader in the Development of Science and Innovations' in Kazakhstan. BCB faculty members regularly publish articles in top ranked international journals. Also, BCB has the strategic plan to gradually move from a 'teaching oriented' to 'teaching and research oriented' business school by maintaining a good balance between 'teaching excellence' and 'research excellence' endeavours. A balanced teaching and

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<sup>2</sup> See Organigram in Annex 1.

<sup>3</sup> The degree Juris Doctor is mainly used in the US and Canada (a professional degree without a dissertation).



research school would mean a teaching load of no more than 3 courses per semester. Therefore, KIMEP tries to improve the teaching load (see also chapter 4.1 below).

KIMEP is legally structured as a joint-stock, non-profit organisation, which offers higher education services. Although 60 % of KIMEP shareholders are private and 40 % shares belong to the Kazakhstan government, KIMEP does not receive any funding from the government .

Kazakhstan became the 47th participating country in the European Higher Education Area (EHEA) and the Bologna Process under the 2010 Budapest-Vienna Declaration. MSHE<sup>4</sup>, as the responsible ministry, has instituted the European Credit Transfer System (ECTS).

## **Further development of the programme, implementation of recommendations from previous accreditation, statistical data**

The programmes at hand were accredited for the first time by FIBAA on July 6, 2018. In the report, the experts gave recommendations that will be dealt with within this report in the respective context. In particular, the then panel recommended KIMEP:

- The number of PhD degree holders among the respective staff should be expanded, so the recommendation of the panel. Until this can be finalised the University should consider setting up an adequate network of outside advisers, to ensure adequate supervision for a broad variety of research aspects (see chapter 4.1).
- In order to improve the access to literature, especially for students who work and study at the same time, KIMEP should expand the access to the library with an external online access to the digital resources (see chapter 4.4).

Meanwhile, these recommendations have been put into action.

BCB has combined the existing DBA programme with the new PhD programmes by fall 2018 to respond to higher demand for PhD degrees compared to DBA degrees. In addition, BCB operation will be more efficient with one type of doctoral programme rather than two. In both programmes there are seven students currently.

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<sup>4</sup> Ministry of Science and Higher Education.

# Description and Appraisals in Detail

## 1. Goals and Strategy

### 1.1 Objectives of the Doctoral Programmes

The educational objectives of both programmes are to train highly qualified scholars and leaders in education policy and management. They should have excellent research skills, demonstrate the ability to make significant, original scientific contributions to knowledge in the field of education policy, and are capable of transforming the education system at the level of single organisations, larger regions, and the country as a whole. This interdisciplinary programme aims at developing the following qualifications in its graduates: systemic and critical understanding of education policy and education management, advanced leadership, research skills, strategic planning, evaluation, communication and interpersonal skills. The differences between the subjects Accounting and Audit on the one hand and Finance on the other come mainly into effect in the dissertation.

In consideration of the programme missions and goals the PhD programmes have established a set of learning objectives. Upon completion of the programmes, PhD graduates should be able to exhibit the following skills:

1. Application of appropriate research methods (qualitative, quantitative and combined) in the field;
2. Critical thinking, decision making and creativity;
3. Theoretical knowledge of body of literature in the relevant discipline or interdisciplinary field;
4. Identification of problems and issues in the discipline or interdisciplinary field;
5. Significant intellectual contribution to the relevant discipline or interdisciplinary field;
6. Gaining analytical skills and expertise in the relevant discipline or interdisciplinary field;
7. Demonstration of oral and written communication skills;
8. Publication of high impact journal and conference papers in the discipline or interdisciplinary field;
9. Teaching skills at the higher education levels;
10. Proactive teamwork;
11. Cultural awareness and global impact of research in relevant area;
12. Social and legal responsibility and ethical values.

### Appraisal:

The doctoral programmes correspond to the goals of the European and national qualification framework. The doctoral programme and the pursued qualification and competency goals are matched with each other.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
1.	STRATEGY AND OBJECTIVES					
1.1	Objectives of the Doctoral Programme			X		

## 1.2 Positioning of the Doctoral Programmes in the education market

In addition to KIMEP, there are seven more universities in Almaty which offer a PhD in Accounting and Audit and a PhD in Finance: Kazakh National University, University of International Business, Almaty Management University, Turan University, Caspian University, and Narxoz University. Only two of them are offering PhD programmes on a full time 100 % state scholarship basis (Narxoz University and Kazakh National University). Therefore, KIMEP has the view that there is ample opportunity to grow these programmes in order to meet the high demand for doctorate degrees originating from high quality educational institutions, such as KIMEP. The University expects to meet the need and demand of the market (as demonstrated by the recent market survey completed by KIMEP's Quality Assurance and Institutional Research Department (QAIR)).

This demographic composition and trend are considered positive for the recruitment of university-bound students at least for the next ten years. Strong demand for undergraduate programmes enables BCB to offer high-level doctoral programmes. In addition, due to the central and downtown location in the city which is a centre of economic activities of the country and its composition of population with multiple ethnicity and religions, migration of foreign people into the country is expected to increase substantially, especially for the Chinese ethnic group. This trend provides BCB opportunities to recruit international students from the foreign professionals labour pool residing within the country.

Due to its international orientation, KIMEP is able to offer programmes entirely in English, thereby distinguishing its positioning from programmes of other universities and attracting international students.

### Appraisal:

The panel notes that KIMEP University continuously analyses the educational market with the perspective of ten years' time. It takes both doctoral programme to be positioned convincingly in the postgraduate education market due to the described profile and the pursued qualification and competency goals.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
1.	STRATEGY AND OBJECTIVES					
1.2	Positioning of the Doctoral Programme in the educational market			X		

### 1.3 Positioning of the Doctoral Programmes in the Job Market for Graduates

The main objectives of the doctoral programmes are to train local faculty and brilliant students to engage in research and publication and raise the intellectual capacity of local candidates to provide distinguished knowledge in accounting and finance both locally and internationally. As a consequence, this can reduce dependence on foreign faculties. Local candidates will get an opportunity to advance their education and career goals inexpensively while remaining employed. This will be a cost-effective way to increase the supply of teachers and researchers with terminal degrees in BCB. Additionally, these terminal doctoral degree holders can lead the local and regional universities and research institutes in the future.

Proficiency in English at the professional level of KIMEP graduates allows them to freely communicate and disseminate their research among world international events, which, according to the national qualifications framework, is one of the personal and professional competencies for doctoral students.

According to KIMEP<sup>5</sup>, upon completion of the PhD programmes, graduates in accounting and finance are also qualified to work as senior administrators in auditing and taxation departments, financial experts in government and private agencies, financial assurance advisors in legislative and legal settings, and financial analysts. They can pursue careers in financial management consultancy, financial director, capital budgeting, senior auditor, senior accountant, chief financial officer, corporate finance training, and research and analytics for international, state, and private organizations.

#### Appraisal:

In the research fields the doctoral programmes with special focus on professional qualification for science and research are positioned convincingly due to the described profile and the pursued focus of research. The doctoral programmes are also strongly positioned outside the science and research field by taking into account the professional qualification for employment in business or in public administration due to the described profile and the pursued focus of research.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
1.3	Positioning of the Doctoral Programme in the Job Market for Graduates					
1.3.1	in the research fields			X		
1.3.2	outside the research fields			X		

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<sup>5</sup> See SER p. 60.

## 1.4 Positioning of the Doctoral Programmes in the Strategic Concept of the Higher Education Institution

The national education system recognises the need to increase the efficiency of the higher education sector in Kazakhstan by improving its internationalisation (for example, by introducing a requirement for supervisors and doctoral candidates to have publications in international journals and by attracting foreign consultants to participate in the supervision of PhD theses). KIMEP can contribute to this goal through its international orientation. Recognising its role in Kazakhstan, KIMEP is committed to offering PhD programmes as a way to promote excellence in higher education in Kazakhstan.

As KIMEP seeks to strengthen its status as a research institution, the doctorate programme goes in line with the University's vision and long-term strategies. Therefore, the doctoral programmes are a necessary step to support this strategic orientation. In addition to producing qualified industry professionals, educators, translators, and education leaders, the University has launched its PhD programmes to meet the growing demand for pedagogically trained scholars and researchers for Kazakhstan and Central Asia. A PhD in accounting or in finance will provide specialised graduate students with the opportunity to pursue an academic career that will transform the education system of the country and region.

### Appraisal:

KIMEP has described the goal-oriented integration of the doctoral programmes in its strategic concept and presented in a comprehensive manner.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
1.4	The Positioning of the Doctoral Programme in the Strategic Concept of the Higher Education Institution			X		

## 1.5 Gender Equality and Equal Opportunities

KIMEP is committed to a policy of equal opportunity for learning opportunities to all qualified individuals in the PhD programmes. The University is also committed to the principles of continuing life-long education. It does not discriminate against any individual or group on the basis of race, ethnicity, nationality, religion, gender, social or sexual orientation, creed, marital status, physical disabilities, remote area location, age or any non-academic subjective criteria. Any information concerning an applicant's disability provided during the admissions process is voluntary and leads to the specific services once eligibility is proven through professional document-

tation to KIMEP Medical Center. It is maintained in accordance with laws relating to confidentiality. No limitations are placed on the number or proportion of persons with disabilities who may be admitted or enrolled<sup>6</sup>.

## Appraisal:

The higher education institution fulfils its tasks in these doctoral programmes by promoting gender equality and the enforcement of general prohibitions on discrimination. A claim for disadvantage compensation for disabled students in terms of temporal and formal requirements in the programmes as well as for all concluding or accompanied certificates of achievement and within the framework of aptitude testing procedures is ensured.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
1.5	Gender Equality and Equal Opportunities			X		

## 2. Admission

Admission requirements for all types of students are recorded in the KIMEP “Admission Policy”, which is annually reviewed and issued. State admission legislation applies when making admission decisions, including the Law of the Republic of Kazakhstan on Education, Standard Rules of Admission to Academic Institutions Offering Undergraduate Education, Standard Rules of Admission to Academic Institutions Offering Graduate Education, and Rules for Students’ Transfer and Reinstatement, as well as the Kazakhstan Government Order<sup>7</sup>. KIMEP and its academic units review specific requirements for the submission of documents and criteria of admission of students to each programme on an annual basis. Requirements are approved by the University Academic Council (or its standing committee during the summer period) as well as by the President’s Cabinet.

Admission to the PhD programmes is based on high standards. KIMEP seeks to enrol outstanding students who have demonstrated the potential to succeed through leadership and talent and who have also shown evidence of their capability to contribute to the community. Admission is granted to candidates deemed most likely to complete and benefit from the programme. The final decision on admission is based on a comprehensive assessment of the applicant’s overall qualifications and commitment to the programme.

KIMEP has created procedures for applying and accepting individuals with diverse academic histories and academic needs: Kazakhstani and international applicants, undergraduate stu-

<sup>6</sup> See KIMEP Catalogue 2022, p. 5.

<sup>7</sup> Order 701 dated July 9, 2013.

dents (graduates of high schools and professional vocational schools, transferring and reinstating students), graduate students, and non-degree students for short and long-term study terms (international summer school, exchange programme, adult learner programme).

Entry Requirements for admission to the PhD in Accounting and Audit as well as in Finance include:

- A Master's degree or equivalent from a nationally attested or internationally recognized university;
- Proficiency of English language (TOEFL IBT at least 46, TOEFL PBT at least 453 or IELTS scores of at least 5.5). Applicants who have received their diplomas located in countries where English is the state or official language, and these universities have specialised accreditation from the accreditation agencies officially recognised by OECD member states are exempted from English proficiency requirement if the Master degree is not older than five years. Graduates of double degree programmes between KIMEP and partner universities are also exempted.
- At least three years of experience in a corporate, government, academia or non-profit organisation.

The documentation needed for the application procedure includes:

- The online application form for doctoral admission: <https://www.kimep.kz/ext/application/online/>,
- A copy of the transcript (diploma supplements) with grades,
- Valid international certificates proving the knowledge of the English language,
- At least two professional letters of recommendation,
- A typed statement of purpose (500 words or less) that states the applicants academic and professional interests; how the applicant will benefit from the PhD programme professionally and personally; the applicant's strength and qualities that will enable him/her to complete a rigorous Doctoral Programme; and specific reason for choosing KIMEP. In addition, the proposal should state the applicant's area of research interest, research questions and methodologies that will help to write research paper. For a successful research proposal, the University expects the applicant to familiarise with current research via a literature review in the accounting and finance areas, where research gaps will be identified.
- A professional resume,
- Kazakh citizens only: Complex exam administered by MSHE<sup>8</sup>. Detailed information about exam requirements and passing scores are available on the National Testing Centre website <https://testcenter.kz/en/>
- In some cases, especially with foreign applicants, the KIMEP Department of Student Recruitment and Admission (DSRA) has the right to request additional documents (e.g., licenses for educational activity of organisations issuing the diplomas, confirmations of attestation and accreditation, confirmations of degree, specialization and diploma).
- Foreign citizens must submit the following documents before registration for any courses<sup>9</sup>:

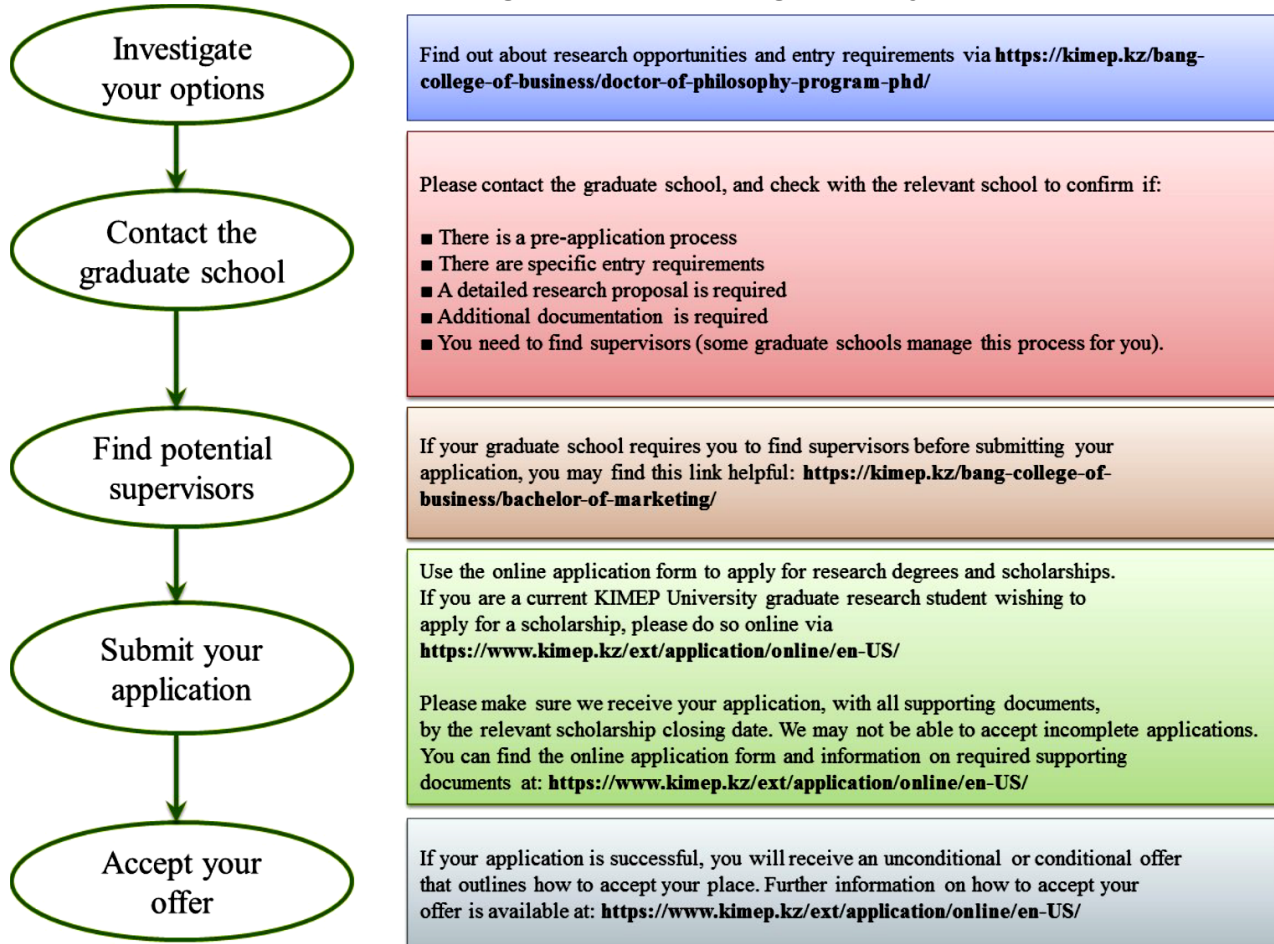
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<sup>8</sup> Ministry of Science and Higher Education of Kazakhstan.

<sup>9</sup> According to Kazakhstan's Law on Migration, Chapter 5.

- Financial statement on availability of funds to cover accommodation and tuition in accordance with the educational services contract.
- Criminal background check from their country of origin.

### Admission procedures for PhD Programme illustrated graphically:



**Note.** Applicants will work under the guidance of at least two supervisors, who will provide advice and support throughout the research degree. A positive relationship with supervisors is essential. However, support from supervisors does not guarantee admission, nor does it guarantee a scholarship or financial assistance.

KIMEP provides counselling to prospective students both in-person as well as through a dedicated IT system. Prospective students can receive in-person counselling services from faculty and staff members at “Open House” events on topics such as admission procedure, programme information, scholarships and financial aid, exchange and academic mobility, dual degree opportunities, and career opportunities. DSRA specialists provide assistance and answers to all questions regarding the application process year-round. They organise more than 200 annual events such as open houses, educational fairs, exhibitions, and teacher days throughout Kazakhstan and abroad to provide information directly to prospective students. In addition to the DSRA, the University has appointed ‘KIMEP University Admission Liaison Officers’ in China. For distance counselling services, DSRA has developed a dedicated IT system to provide infor-



mation to prospective students. A 24-hour telephone service ([Smartcall](#)), online interactive service ([Chatra](#)), and applicant portal ([Check Your Admission Status](#)) provide necessary information regarding admission, selection, and other counselling services.

In collaboration with the Deans, faculty, and DSRA, KIMEP's Office of Academic Affairs plans, organises, conducts and reports on the entrance exams that lead to admission decisions. DSRA works closely with MSHE on issues related to the required state examinations (the Complex Exams for PhD applicants). The DSRA director appoints responsible officers and informs state bodies.

Admission decisions are separate from financial aid considerations. By admitting a student to academic programmes KIMEP does not make any representation regarding financial aid.

Upon completion of the recruitment and admission process, DSRA provides detailed reports to KIMEP departments and administration, and to the state authorities (MSHE and the National Statistical Agency of the Republic of Kazakhstan). All applicants receive letters of admission, letters of access to non-degree educational services, or letters of rejection with reasons. Appropriate orders are approved by the President and serve as grounds for the start of study at KIMEP.

In general, information packages are sent to admitted students addressed to the email address indicated in the application form. The package includes the admissions letter, important contacts, information about orientation programmes, terms and conditions of tuition payment, registration for foundation and degree courses, medical requirements, and more. Applicants who did not fulfil the admissions requirements may contact the DSRA in order to take part in the next admission round and to voluntarily participate in the special preparatory programme.

Extracts from the "Policy on Application and Student Admission to Undergraduate and Graduate Programmes" regulating the rules of admission of applicants to undergraduate and graduate programmes, as well as transferring and reinstating students, are published on the KIMEP website in the section "For Applicants": <https://www.kimep.kz/prospective-students/en/admission/>.

According to planned recruitment activities, the University prepares and publishes materials for internal and external advertisement: brochures, booklets, and informational bulletins. KIMEP has also created information boards to place information on majors available in the colleges, as well as extracts from Admission Rules in Kazakh, Russian, and English. Materials for KIMEP Admission Rules and special Applicant memos are prepared for applicants.

KIMEP's Marketing, Communications, and Public Relations Departments, arrange to have information on specialisations offered by the University along with Admission Rules broadcast on radio, placed in public displays on the streets of Almaty and other cities of the country, and published on official digital platforms and KIMEP's social media: Facebook, Vkontakte, Instagram, and popular websites.

## Appraisal:

KIMEP's admission conditions and procedures for doctoral students are properly defined and transparent. The selection procedure satisfies the legal requirements. Students can get information as well as advice from KIMEP University on the prerequisites and all aspects of the doctoral studies.

The decision on admission is based on transparent criteria and it is clearly communicated; rejections are reasoned. The responsibilities are clearly regulated.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
<b>2.</b>	<b>ADMISSION</b>					
2.1	Admission conditions and procedures			X		
2.2	Selection Procedure			X		
2.3	Transparency of the Decision on Admission			X		

### 3. Implementation

#### 3.1 Structure

Projected study time	3 to 5 years
Number of Credits	180 ECTS credits /75 KIMEP credits
Workload per CP	30 hours
Number of courses	8 modules of theoretical study
Number of contact hours	360 contact hours (one academic hour is 50 minutes).

The credit system that is used at KIMEP University in parallel to the ECTS - the “KIMEP credits” - follows the American credit hour system and is oriented at necessary contact hours for each lecture whereas the ECTS includes contact hours as well as the self-study time per course. As the Republic of Kazakhstan is a member of the European Bologna Process the universities are required to use the ECTS only<sup>10</sup>.

The doctoral programmes structurally consist of two parts: During the first year, students are trained with theoretical study courses (core courses, elective courses and specialisation courses). During the second and third year, they write their dissertation and do research work including internships.

#### Structure of the programmes PhD in Accounting and Audit and PhD in Finance

Requirements	ECTS credits
<b>Educational Component</b>	<b>45</b>
<b>Program Foundation Requirements</b>	<b>25</b>
Core Courses	10
Elective Courses	5

<sup>10</sup> See above „Information on the Institution”.

Pedagogical Internship	10
<b>Program Specialisation Requirements</b>	<b>20</b>
Specialisation Courses	10
Research Internship	10
<b>Research Component</b>	<b>123</b>
Research Work	53
Dissertation	70
<b>Final Attestation</b>	<b>12</b>
<b>Total</b>	<b>180</b>

The curriculum of the PhD programme will be designed to follow (generally) the 2022 GOSO<sup>11</sup> (State Standards). The GOSO require a total of 180 ECTS credits which includes 45 ECTS credits course work and 123 ECTS credits of research and dissertation work plus final attestation (12 ECTS credits)..

### PhD Indicative Study Plan in Accounting and Audit/ Finance

Fall 2022, 20 ECTS credits	Spring 2023, 25 ECTS credits
Business Research Methods – 5 ECTS credits Academic Writing – 5 ECTS credits Elective course – 5 ECTS credits Dissertation I – 5 ECTS credits (Research Proposal)	Specialisation course I – 5 ECTS credits Specialisation course II – 5 ECTS credits Dissertation II – 15 ECTS credits (Literature Review & Data Collection)
Fall 2023, 36 ECTS credits	Spring 2024, 36 ECTS credits
Research Internship – 10 ECTS credits  Dissertation III - 15 ECTS credits (Research Methodology)  Research Work I - 11 ECTS credits	Dissertation IV – 15 ECTS credits (Data Collection & Analysis)  Pedagogic Internship – 10 ECTS credits  Research Work II- 11 ECTS credits
Fall 2024, 37 ECTS credits	Spring 2025, 26 ECTS credits
Dissertation V – 15 ECTS credits (Analysis & Interpretation)  Research Work III – 11 ECTS credits  Research Work IV- 11 ECTS credits	Dissertation VI - 5 ECTS credits (write-up thesis)  Research Work V- 9 ECTS credits  Dissertation defence – 12 ECTS credits

The programme objectives of both doctoral programmes aim at achieving that students acquire excellent research skills, demonstrate the ability to make significant, original scientific contributions to knowledge in the field of education policy, and are capable of transforming the education system at the level of single organisations, larger regions, and the country as a whole. The

<sup>11</sup>State Obligatory Standard of Postgraduate Education GOSO for Doctorate programmes, MES Order No. 182 dated 05 May 2020.

programme structures focus on training students in research and enabling them to write their dissertations.

The doctoral programmes requirements for research are twofold: (1) a student must take a qualifying exam in order to demonstrate proficiency in the knowledge acquired through course work and be admitted to the candidate status; and (2) undertake appropriate research activities that lead to conference presentations and journal publications according to the requirements of MSHE.

The PhD programmes follow the same regulations for degree awards system at KIMEP. After completion of all the coursework and the dissertation, the Chair of the Doctoral Council convenes all members. The Doctoral Council has final approval of conferment of the doctoral degree. The details of the duration, mentoring, examinations, dissertation, elaborately specified in the Doctoral Handbook are approved by the Doctoral Council and the Academic Council of the KIMEP. The minimum requirements for graduation are:

1. Be admitted to candidacy. Before admission to candidacy, a doctoral student must pass a final attestation in the field of concentration;
2. Complete the curriculum requirements with a minimum cumulative 3.33 GPA;
3. Have no incomplete coursework;
4. Publish or have accepted for publication 4 (four) research papers: (3) three in local journals approved by MSHE and 1 (one) an international paper in a peer reviewed journal;
5. Complete all requirements for the degree within three years for full-time or request an extension from the Doctoral Council. Extension may be offered in exceptional cases if there is a strong justification;
6. Be registered for at least three dissertation hours the semester of the defence. The student does not need to be registered the semester of graduation if the student has defended the dissertation in a previous semester;
7. Successfully defend the dissertation;
8. Approval of final copy of dissertation by the Doctoral Council including all accompanying forms.

Unless otherwise permitted, each PhD student must be enrolled in the KIMEP PhD programme for a minimum period of 2 years of residency. PhD students who begin the programme at KIMEP but take a leave to attend a foreign university as part of an official exchange will have the time at the foreign university counted towards their residency requirement. A student's enrolment in the doctoral programme may be terminated if he/she fails to make satisfactory progress toward the degree. Termination from the programme is upon recommendation of the Doctoral Council and subject to final approval by the majority of the Doctoral Council members. If a student's enrolment in the programme is terminated, he/she will be notified in writing with the reasons for the termination clearly explained. Conditions under which the student may be terminated include:

1. Failure to achieve satisfactory progress in the programme. Satisfactory progress includes, but is not limited to, failure to maintain at least a 3.3 cumulative GPA each semester
2. Failure to complete all requirements for the degree within six years for full time and eight years for part time students.

3. Academic dishonesty or unethical behaviour in any course, research or other doctoral activities at KIMEP. Students should familiarise themselves with all University and BCB policies and regulations regarding ethical conduct.
4. At student's request.

The curricula, courses and schedules of the PhD programmes are planned in advance and available for each cohort in the electronic format (from the programme's website) and in the student portal before the starting of each academic year. The classes are scheduled in the evenings during the work week and on weekends and the learning objectives stated in the syllabi guide students to manage their workload and help acquire skills related to the learning objectives. Usually there are no classes during the daytime on weekdays since a majority of the students are working.

The overall curriculum and organisation schedule of the teaching process shall help students settle all elements of learning so that the programme structures are in a balanced manner. The students also know from the syllabus what is expected of them. Every course syllabus states the subject matter, learning objectives, and requirements. It includes details such as the course contents, class durations, assignments. Also teaching materials and recommended readings are described in the course syllabus as well as the goals and learning outcomes of the courses. All the course descriptions are linked with the umbrella learning outcomes of the programme.

## Appraisal:

The panel is convinced that the structure of both doctoral programmes corresponds with their objectives, and it properly connects the range of courses with the research tasks of the doctoral students. The structural requirements of the doctoral programme are accounted for by taking into account the national and higher education specific requirements in a doctoral degree regulation.

In terms of law and of fact the status of PhD students is regulated properly.

The range of courses are described according to content, scope/duration, requirements, required reading, degree and the qualifications/competencies (outcome oriented) to be achieved. However, the panel recommends that all syllabi include recommended readings that are up to date and guarantee actual information.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
<b>3.</b>	<b>PROGRAMME DESIGN</b>					
3.1	Structure					
3.1.1	Structural Setup of the Doctoral Programme			X		
3.1.2	Doctoral Degree Regulations			X		
3.1.3	Status of the Doctoral Students			X		
3.1.4	Module Description			X		

## 3.2 Content

The PhD programmes seek to develop qualified business academic and business professionals. The coursework is distributed between research methods, major and electives subjects. The research methods requirements consist of coursework in research design and techniques which will assist the student in developing a research proposal and conduct empirical research. The elective courses train students for functioning as a business academic conducting both discipline-based and interdisciplinary research in a context of a business school. The major courses are designed to provide in depth disciplinary knowledge and understanding, critical for developing the dissertation proposal and conducting dissertation research. Moreover, the programmes require a different set of analytical, writing and research skills.

**Both programmes** include the following **Core Courses**:

Course Title	ECTS Credits	Prerequisites
Business Research Methods	5	none
Academic Writing	5	none

The **PhD programme in Accounting and Audit** contains the following additional courses:

**Elective Courses** (Students may choose one of the following two courses):

Course Title	ECTS Credits	Prerequisites
Modern Research Studies	5	none
Course of the students choice	5	none

**Specialisation Courses** (Students may choose two of the following courses):

Course Title	ECTS credits	Prerequisites
Accounting Research Perspectives	5	none
Contemporary Accounting Research (Quantitative research methods)	5	none
Modern Trends in Accounting Research	5	none
Critique Analysis of Accounting Research (Qualitative research methods)	5	none
Accounting Related Capital Markets Research	5	none
Management Accounting Research	5	none
Judgement and Decision Making in Accounting	5	none
Auditing	5	none
Taxation	5	none

**Internships** (both are obligatory):

Course Title	ECTS Credits
Pedagogical Internship	10
Research Internship	10

**Research Work:**

Course Title	ECTS Credits
Research Work	53
Dissertation	70

**Final Attestation:**

Course Title	ECTS Credits
Dissertation writing up and Defence	12

The **PhD programme in Finance** includes the following additional courses:

**Elective Courses** (Students may choose one of the following two courses):

Course Title	ECTS Credits	Prerequisites
Modern Research Studies	5	none
Any specialisation course	5	none

**Specialisation Courses** (Students may choose two of the following courses):

Course Title	ECTS Credits	Prerequisites
Theory of Finance	5	none
Corporate Finance	5	none
Financial Markets and Institutions	5	none
Investment Management	5	none
Financial Derivatives	5	none

**Internships** (both are obligatory):

Course Title	ECTS Credits
Pedagogical Internship	10
Research Internship	10

**Research Work:**

Course Title	ECTS Credits
Research Work	53
Dissertation	70

**Final Attestation:**

Course Title	ECTS Credits
Dissertation writing up and Defence	12

Doctoral courses are offered to all doctoral students and include subjects such as Academic Writing, Investments Management, Financial Institutions and Markets, Corporate Finance, Theory of Finance, Modern Research Studies in Finance, Business Research Methods, Pedagogical Internship, Critique Analysis of Accounting Research (Qualitative Research Methods) and Modern Trends in Accounting and Audit as well as Contemporary Accounting Research (Quantitative Research Methods).

The PhD dissertation is a scholarly research work, involving the analysis of a specific problem in the area of specialisation, evaluation of the results of the analysis, which serves as a basis for developing specific proposals and implementing the appropriate solution to the problem. The students will present an oral defence of their dissertation in front of the members of the dissertation committee, in a public forum.

The evidence of science and research-based teaching of the doctoral programmes are implicitly integrated in the programme structures. The students need to complete internships and experimental research work before graduating from the programmes. Therefore, doctoral programmes must include a pedagogic and a research internship. Pedagogical internships can be held during theoretical learning not interrupting student's academic process. In this event, PhD students may be required to conduct classes in undergraduate and graduate programmes. The PhD Research Internship introduces students to the most current theoretical, methodological and technological achievements of domestic and foreign science, application of practical skills, up-to-date scientific research methods, processing and interpretation of experiment data in dissertation research. The content of research internships is determined by the topic of thesis research.

The curriculum of the PhD programme is designed in such a way that students receive sufficient training on different research methods. Students attend research methodology modules such as Business Research Methods, Academic Writing, Research Internship, Research Work, and Pedagogical Research. Students are required to take an academic writing course and to prepare journal and conference papers to be submitted to international reputed publications and conferences. Students are expected to cover 75 ECTS credits of experimental research work, individually directed research studies, called Research Projects, including research seminars. Doctoral students are encouraged to concentrate and focus on their area of research interests from the very beginning of their studies in the PhD programme. A faculty member teaching Business Research Methods is requested to direct students to concentrate on their research proposal. From the second semester of the second year, the students dive into 33 ECTS credits (11 ECTS credits per semester) of dissertation work. While training to become independent researchers, students are also taught to conduct policy and programme evaluation. The overall aim of the programme is to equip students with a set of technical skills in academic writing, research methods and tools, and policy analysis in accounting and finance that will help them in the future career choices and work. The Academic Council of KIMEP reviews the curricula to ensure alignment with the National Qualifications Framework and also oversees continuous academic quality assurance.

Research courses are designed to help students to develop research proposal, methodology, collect and analyze data. The outcome of experimental research courses includes publishing research findings in local (approved by MSHE) and international journals (WOS<sup>12</sup> or Scopus). Experimental Research -1 course to prepare a conference paper. It will be considered as equivalent to 4 credit hours and can register for this course any time after the enrolment in the programme. This course/research work should be completed before registering for final attestation and doctoral dissertation preparation. Moreover, in a Research course students shall prepare a journal paper. Students should register for this course after passing the qualifying examinations. They should complete this course before defence of the final PhD thesis.

The table below demonstrates groups of courses of the PhD in Accounting and Auditing and the PhD in Finance linked to the relevant intended learning outcomes related to theoretical knowledge, expected qualifications, and practical competencies development. The matrix table shows the correspondence between coursework and Intended Learning Outcomes (ILO) of the programmes. Courses are aimed at qualification development, competency development and advanced training. They are offered in such a way that allows the student to build on the

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<sup>12</sup> Database Web of Science



knowledge and skills gained in the core courses. In addition, there are courses specifically aimed at improving competence in qualitative and quantitative research methods. All courses require some kind of research work. In general, the ultimate goal of the doctoral programme is to prepare students to conduct independent research and contribute to an existing literature, which will eventually fill the gap.

### **Intended Learning Outcomes (ILO) of the Courses of PhD in Accounting and Audit, and PhD in Finance Programmes**

<b>Intended Learning Outcomes for the Degree of PhD</b>	<b>Activities contributing to the achievement of the intended learning outcomes and through which fulfilment of the outcomes can be shown</b>					
	<b>Core Courses</b>	<b>Elective Courses</b>	<b>Specialized Courses</b>	<b>Pedagogical Internship</b>	<b>Research Internship</b>	<b>Research Work and Dissertation</b>
1. Apply appropriate research methods (qualitative, quantitative and combined) in the field	√		√		√	√
2. Exhibit critical thinking, decision making and creativity	√	√				√
3. Apply theoretical knowledge of body of literature in the relevant discipline or interdisciplinary field	√		√		√	√
4. Identify problems and issues in the discipline or interdisciplinary field					√	√
5. Produce significant intellectual contribution to the relevant discipline or interdisciplinary field					√	√
6. Gain analytical skills and expertise in the relevant discipline or interdisciplinary field	√	√	√			
7. Demonstrate superior oral and written communication skills	√			√		√
8. Produce publication of high impact journal and conference papers in the discipline or interdisciplinary field					√	√
9. Develop teaching skills at the higher education levels				√		
10. Collaborate proactively in teamwork	√	√	√	√	√	

Intended Learning Outcomes for the Degree of PhD	Activities contributing to the achievement of the intended learning outcomes and through which fulfilment of the outcomes can be shown					
	Core Courses	Elective Courses	Specialized Courses	Pedagogical Internship	Research Internship	Research Work and Dissertation
11. Appreciate cultural awareness and global impact of research in relevant area				√	√	√
12. Practice social and legal responsibility and ethical values	√			√	√	√

The curricula of both PhD programmes are designed in such a way that students receive extensive training on research and publications skills, especially gaining knowledge on how to conduct research by employing advanced statistical and econometrical software: Stata, Eviews, SPSS and others. Students attend Research Methodology as well are required to prepare journal and conference papers to be submitted in international reputed journals and conferences. In addition to these requirements, students are expected to do experimental research work, which includes periods from two months to a full semester in a partner university outside of Kazakhstan as well as Individual Directed Research Study. Doctoral students are encouraged to concentrate and focus on their area of research interests from the very beginning of their studies at the PhD programme. A faculty member teaching Business Research Methods is requested to direct students to concentrate on their research proposal. This research proposal may be presented later during fall semester of the Year 2 of studies at the programme.

In the PhD programmes, students are attending courses from different subject areas to improve their understanding of knowledge and research questions from multidisciplinary perspectives. This is considered as “value-added” and contributing to studying the problems from different angles and bridging the gaps between subjects and functional areas to get a better picture or enhance productivity and gain efficiency.

PhD students are expected to present and discuss their research work and findings, knowledge and outcomes with their colleagues and an academic audience via various research and academic conferences. They must meet MSHE requirements to publish the following: three articles in domestic ministry registered journals, one article in peer-reviewed academic journal, one publication within the proceedings of the international conference.

### Appraisal:

The panel takes the view that the concept of the doctoral programmes (profile elements, unique selling points) and the concrete implementation of the learning objectives are matched with each other. The competency concerning enhanced participation in the research field is the issue at the heart of the implementation.

The teaching presents the status of scientific knowledge in accordance with objectives, and it takes into account the associated relevant research.

The courses and other events are aimed at qualification and competency development and are meaningfully interlinked. The goals of a doctoral degree according to the national qualification framework are fulfilled.

The offer covers the relevant requirements of the discipline to achieve the pursued research competency of the doctoral students. It corresponds with the focus of research of the scientists and doctoral students involved in the programme. The courses on different research methods and approaches to science are part of the curriculum.

Multidisciplinary qualifications in the doctoral programme are communicated in a target appropriate manner. It especially enables the doctoral students to discuss the knowledge gained in the specialised fields with their colleagues, to present it in front of an academic audience and to communicate it to laypeople. It promotes the ability to manage a team and to carry forward the social, scientific or cultural progress in their respective professional environment.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
<b>3.</b>	<b>PROGRAMME DESIGN</b>					
3.2	Content					
3.2.1	Logic and Conceptual Consistency			X		
3.2.2	Science and Research Based Teaching			X		
3.2.3	Focus of the Curriculum on Qualification and Competency Development			X		
3.2.4	Technical Offers			X		
3.2.5	Multidisciplinary Qualifications			X		

### 3.3 Examination Procedures

PhD students must successfully complete all coursework, and the dissertation defence within a maximum of three years for full-time and six years for part-time students after commencing the programme. PhD students may apply for additional time to complete the programme under extraordinary circumstances. A student is eligible to go with final attestation after completing all coursework with a GPA of 3.33 or higher (irrespective of catalogue of entry). The following procedure is implemented: The Doctoral Council decides when the student will take the final attestation. No earlier than registering for their last course but not later than completing all coursework, the PhD student should notify the Doctoral Council of being ready to undertake the examination. The Doctoral Council must approve any exceptions.

A student must maintain a cumulative 3.33 GPA throughout the programme. Courses in which grades below "B-" are received are not accepted for the PhD degree. Grades received in courses transferred from another institution are not included in calculation of the grade point average. If a grade of "C+" or lower is received, the student must repeat the course. The Council must

approve more than one retake. When the GPA is calculated, the grade for the repeated course will substitute for the original grade. Grades of “I” (incomplete) turn to “F” if work is not completed by the seventh week of the following semester. A student who obtains a GPA below a 3.33 is placed on academic probation. A student on academic probation who fails to obtain a cumulative 3.33 GPA the following semester will be suspended from the programme. The Doctoral Council may allow the student, under special circumstances, one additional semester to improve his / her GPA.

In their dissertations all doctoral programme students must demonstrate that they have acquired the skills and competencies to produce high-quality research<sup>13</sup>. According to the KIMEP PhD Handbook, students are urged to think about a dissertation topic early in their studies. In defining a dissertation topic, the student collaborates with her or his course instructor and dissertation advisor in the choice of a topic for the dissertation. The dissertation proposal will be evaluated in terms of problem significance, suitability of theories applied, research design, and expected data collection and analysis.

In compliance with MSHE requirements, the overall research work of the PhD student should be:

1. Related to the main research topics of the doctoral programme, on which the doctoral dissertation is defended,
2. Relevant and contain scientific novelty and practical significance,
3. Based on modern theoretical, methodological, and technological achievements of research and practical work,
4. Based on modern methods of processing and interpreting data using computer technology,
5. Carried out using modern methods of scientific research,
6. Contain research (methodological, practical) sections on the main provisions of defence.

After successful passing of dissertation courses, a student is allowed to register for thesis defence which is organised in accordance with the State Mandatory Standards of Higher and Post-Graduate Education, as laid out in the PhD Handbook. The PhD students in accounting and audit or in finance must present an oral defence of their dissertation in front of the members of the dissertation committee in a public forum.

## Appraisal:

The examinations are composed in such a manner that the achieved qualifications and competencies can be determined and assessed. This includes, above all, that the certificates of achievement aim for a systematic understanding of the research discipline and the control of the research methods which are applied in this field of research. In addition, the certificates of achievement are aimed at a contribution of research which expands the frontiers of knowledge and withstands a national/international assessment conducted by scientists.

The examinations are properly organised in terms of number, distribution, process, form registration. The disadvantage compensation is regulated.

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<sup>13</sup> State Obligatory Standard of Postgraduate Education GOSO for Doctorate programmes, MES Order No. 182 dated 05 May 2020.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
<b>3.</b>	<b>PROGRAMME DESIGN</b>					
3.3	Examination Procedures					
3.3.1	Examinations			X		
3.3.2	Organisation of the Examination Procedure			X		

### 3.4 Didactical Concept

The didactical concept for all programmes is shaped by a commitment to academic freedom and increasing the role of faculty in the academic decision-making process. The teaching faculty is expected to take into consideration subject-specific didactic requirements by choosing appropriate teaching and learning methods which are described in the syllabi. Usually, faculty members of the doctoral programme employ a variety of teaching methods such as academic journal article reviews, project work (team and individual), class discussions, independent reading, chapter reviews, different tests and exams, class and home assignments on verbal presentations, lectures, guest lectures, (conferences), field work and research on course related topics. Almost all the courses in a PhD programme use journal article reviews to improve students' theoretical knowledge and research implications as well as critical thinking of different subject areas with varied methodological approaches. Using a diverse range of teaching methods aims at training the learners' skills of communication, critical thinking, analytical skills, knowledge, behaviour, values and study experiences.

Didactic methods and approaches include developing cognitive abilities in the subject matter, enhancing existing skills, and modelling professional behaviour. To reach these intended learning outcomes, a set of goals has been developed for each programme course. The emphasis is on the content, and the instructor provides scaffolding support to ensure students gain the necessary skills and expertise.

The core of the methodology is the training of competences among students using a student-centred approach. The overarching didactical concept of the PhD programme is oriented towards the programme objectives and active learning. For example, in almost all courses, the students are asked to read critically, evaluate, and integrate research ideas and findings, assess research methods and data.

For the last 14 years, KIMEP regularly organised the annual KIMEP International Research Conference (KIRC) in which doctoral students are strongly recommended to present their research papers. Doctoral students avail themselves of this opportunity to develop their professional networks with KIRC participants from all around the world.

To ensure sustainable progress in the PhD programme, a doctoral adviser is assigned to each doctoral student at the beginning of their first year in the programme. The advisor works with the doctoral student to design a degree plan that best meets students' needs according to their

backgrounds and goals. Because everyone's background and goals are unique, degree plans vary from student to student. Completed degree plans should be submitted to the Doctoral Council or approval by the end of the student's first year in the doctoral programme.

Upon completion of all required courses or during the student's last semester of coursework, a Doctoral Dissertation Committee (the Committee) is constituted. The Committee must consist of five members of which at least one, and no more than two, may be outside member(s). The role of the outside member of a doctoral dissertation committee is to bring in a different perspective on the subject. The outside member should be academically qualified and fulfil the requirements endorsed by the research committee and should have expertise in a field related to the dissertations area. Faculty from other universities can be approved to sit on doctoral dissertation committees. The Doctoral Council requires all committee members who do not have regular or tenured KIMEP faculty appointments to have (a) a PhD, (b) a current academic position, and (c) recent publications.

## Appraisal:

The panel is convinced that the didactical concepts of both doctoral programmes are developed in accordance with the respective objectives. They are particularly aimed at enabling doctoral students to be able to carry out critical analyses, evaluations and syntheses of new and complex ideas.

Irrespective of the teaching objectives and curricular requirements, the courses are executed according to the didactical concept with a mix of methods.

Both programmes promote the exchange of experiences and research results among the doctoral students and contribute towards broadening the research-based knowledge.

Being allocated to a supervisor and with the responsibility of arranging an adequate Doctoral Dissertation Committee both in fact and in law conceptually secures a continual and intensive professional, methodological and scientific supervision of the doctoral students. A corresponding planning in the time budget is ensured.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
<b>3.</b>	<b>PROGRAMME DESIGN</b>					
3.4	Didactic Concept					
3.4.1	Logic and Comprehensibility of the Didactic Concept			X		
3.4.2	Diversity of the Teaching Methods			X		
3.4.3	Networking of the Doctoral Students			X		
3.4.4	Scientific Supervision			X		

### 3.5 Professional Competencies/Employability

The PhD programme students undertake coursework, research internships and writing the dissertation to graduate from the programmes. By completing these components of the respective programme, students can achieve professional competencies to work in both academia and in industry. KIMEP helps the doctoral students make significant career choices, find a job or get a promotion.

The PhD programmes are designed to broaden the horizons of students by offering fundamental knowledge that can be applied to all kinds of situations while also supporting personal and leadership development. This includes Leadership Development Programme seminars for students on career-related topics as well as one-to-one coaching by faculty members.

#### Appraisal:

Both doctoral programmes are intended to convey the doctoral students with professional qualification in the scientific and research-oriented fields of activity. In doing so, the professional qualification is aimed both at a research-oriented activity (including teaching) as well as a practical vocational activity.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
3.	PROGRAMME DESIGN					
3.5	Professional Competencies / Employability			X		

## 4. Scientific Environment and Framework conditions

### 4.1 Teaching Staff

KIMEP aims at sustaining a pool of high-quality core business administration faculty which is of central importance for the continued achievement of the programme's overarching goals of:

- Promoting excellence in the study and practice of business administration<sup>14</sup> through the building and strengthening of the analytical, problem-solving, and leadership capacities of its graduates;
- Training students who as graduates can effectively manage and successfully transform organisations both in Kazakhstan and internationally;
- Preparing high-quality decision-makers and business leaders capable of solving contemporary business problems in a dynamic and competitive global marketplace ethically and in a socially-responsible manner.

<sup>14</sup> KIMEP subsumes accounting, finance, management, marketing, information systems and operations management under "Business Administration" as generic term (see SER p. 9).

As for the academic staff, KIMEP has elaborated the following overview:

**BCB Faculty Composition. Fall 2022 (unless specified as FTE<sup>15</sup> the numbers relate to headcount)**

	Indicator for the School			Indicator for the School
<b><u>Core faculty</u></b>	<b>Female</b>	<b>Total</b>	Number of core faculty with foreign professional or study experience	16
Number of academic staff members	15	30	Ratio FTE students / FTE core faculty	45.5
Full professors	0	4	Core faculty hired in last 3 years (FTE)	13
Associate professors	4	5	Core faculty departed in last 3 years (FTE)	17
Assistant professors	8	15	<b><u>Adjunct faculty</u></b>	
Other	3	6	Total number of adjunct faculty	21
Full-time equivalent (FTE)	15	30	Full-time equivalent (FTE)	11.5
Number holding a doctoral degree	12	23	<b><u>Visiting professors in current year</u></b>	1
Number teaching in executive education courses	3	6	Number from foreign institutions	1
Number of non-nationals	0	8	Number from domestic institutions	0
Number of nationalities (citizenship)	1	6	<b><u>Teaching and research assistants on short-term contracts</u></b>	35

**Notes:**

1. Core faculty: Qualified academic staff employed on a permanent basis and for whom the institution is the sole or principal employer. Permanence is indicated by an open-ended contract or by a fixed-term contract of a minimum of 2 years.
2. Number of non-nationals: Double passport holders are always be counted as nationals, if one of the passports is the domestic one.
3. Number of core faculty with foreign experience: Number of core faculty (excluding foreign only passport holders) with significant professional/work experience or study abroad (e.g., completed a degree), i.e., living abroad for at least one full year (i.e. not made up of part years).
4. Adjunct faculty: Teaching staff for whom the school is not the primary employer or who work for the school on a part-time basis under a permanent or an occasional contract.
5. Visiting professors in current year: Academic staff that are core faculty at another academic institution and visit the school to teach for a consecutive period of not less than 2 weeks.
6. In describing the size of the faculty, the "full-time equivalent" (FTE) is the total of faculty contract days divided by 5, assuming that 5 is 100% employment.
7. The ratio FTE students / FTE core faculty is calculated by dividing the number of full-time equivalent students by the number of full-time equivalent core faculty.

<sup>15</sup> Full-time equivalent.



Faculty assigned to deliver courses at the PhD in Accounting and Auditing and PhD in Finance programmes have the teaching requirement as part of their workload. The average teaching load is 12 credits per semester for a faculty member. As part of this, faculty members may be requested to teach one specialised and one general required course depending on their areas of expertise and interest.

KIMEP has installed a formal process of teaching staff hiring, which is outlined in internal regulations<sup>16</sup> and in compliance with Government regulations<sup>17</sup>. The hiring process is conducted by competition with qualification requirements. All candidates applying to fill any teaching staff positions in KIMEP must meet the qualification requirements for the positions of employees of higher educational institutions. The academic qualifications of the teachers selected to deliver classes are aligned with the academic requirements set by BCB and follow the programme objectives. For teaching at the undergraduate level, faculty members must have at least a Master's degree. A doctorate degree is required for teaching any graduate programme.

Moreover, a minimum of three years of teaching experience in higher education including examination methods, English proficiency, and evidence of remote instructional design are required. During interviews, special attention is given to assessment and feedback practices. Interviews are conducted with all prospective faculty by a committee, during which more detailed questions about teaching philosophy and assessment style are asked. In some cases, job candidates are asked to give a demo lesson.

Few faculty members not holding a doctoral degree, are either professionally qualified (PQ) or are currently pursuing the DBA/PhD degree at KIMEP or at a foreign university. Faculty members are strongly encouraged to continue conducting and publishing research. BCB provides research and teaching enhancement support. Faculty members are given the possibility of research-based teaching remission, including doctoral (DBA/PhD) research.

BCB encourages faculty members to engage in scholarly research to update their knowledge on a continuous basis. All faculty members and graduate students are encouraged to participate in internationally scholar research-based events: international round table research discussions, international research seminars and academic conferences. KIMEP provides statistical and econometrical software and databases to conduct empirical research, such as: STATA, Eviews, R-programming, SPSS, and Eikon. Also; BCB motivates scholars to conduct empirical research by collaborating with different internationally accredited universities.

Faculty members in the BCB originate from six countries (Kazakhstan, Turkey, Bangladesh, New Zealand, US, and Pakistan), with educational backgrounds from different countries. The share of international faculty members and core local faculty with substantial academic or professional experience is 73 %. The full-time faculty is supported by local adjuncts, many of whom are professionally qualified and possess either academic or professional experience.

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<sup>16</sup> See KIMEP University Faculty Code of Practice (as of September 2022), Appendix VI-11.

<sup>17</sup> Order No. 635 of the Ministry of Education and Science of RK dated 14 Dec. 2007 on "Regulations of Competitive Hiring and Selection of Faculty and Researchers in the Institutions of Higher Education", Order No 391 dated 17 June 2015, and Order No 339 dated 14 July 2021.

All foreign and Kazakhstani faculty members are diverse in gender, language, ethnicity, religion, and personal background, as Kazakhstan is a multilingual and multicultural society with the co-existing cultures of Kazakh, Russian, Turkish, Tatar, German, Uzbek, Uyghur, Korean, Chinese, and other ethnicities.

The BCB core faculty publications in international outlets in recent years include academic and practice-oriented research articles in journals, books, and conference proceedings papers. BCB faculty research has been recognised with awards from the Web of Science and Emerald Publishing. Building on the expertise, BCB annually organises an [international research conference](#) for researchers, practitioners and students.

There are opportunities for faculty to collaborate and interact. Deans, the Associate Deans and the respective Department Chairs ensure internal collaboration and overall administration. At the beginning of each academic year, the BCB Dean forms committees for internal cooperation and the smooth operation of the programmes, assigning full-time faculty to serve in departmental and university-level committees. Each of those committees are required to meet regularly to discuss all the related issues and report to the Dean on a continuous basis.

The BCB Dean holds 'Weekly Administrative Meetings' to coordinate all routine operational and strategic decisions of different departments and research centres. The Dean also periodically convenes 'General Faculty Meetings' to improve internal cooperation among the faculty members. The BCB Research Office organises weekly research seminars to promote joint research and internal research cooperation among the faculty members. Department Chairs organise departmental meetings to promote internal communication and coordination among faculty members.

## Appraisal:

The structure and number of teaching staff corresponds with the requirements of the doctoral programme. The necessary professional breadth and depth in scientific education and the research sponsorship of the doctoral students is ensured. The contractual situation of the teaching staff guarantees a continuous execution of the doctoral programme. A balanced gender ratio is pursued among the teaching staff.

The scientific qualification of the teaching staff corresponds to the national requirements. The scientific qualifications are consistent with the focal points of the doctoral programmes and the strategic planning of higher education institutions. The research activities correspond with the orientation of the doctoral programmes, and they support the scientific education of the doctoral students. The pedagogical qualification of the teaching staff corresponds to the task, and it has been proven.

The panel particularly welcomes that almost all teachers have relevant international experiences in research projects and/or teaching activities abroad.

There are regular events concerning programme coordination in the faculty which take place.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
4.	<b>ACADEMIC ENVIRONMENT AND FRAMEWORK CONDITIONS</b>					
4.1	Teaching Staff					
4.1.1	Structure and Number of Teaching Staff			X		
4.1.2	Scientific Qualification of the Teaching Staff			X		
4.1.3	Pedagogical Qualification of the Teaching Staff			X		
4.1.4	Internationality of the Teaching Staff		X			
4.1.5	Internal Cooperation within the Faculty			X		

## 4.2 Cooperation and Partnership

Scientific integration is considered one of the necessary priorities of BCB's doctoral programmes. The University has established links and partnerships with more than 100 universities from North America, Europe and East Asia that offer exchange programmes which provides doctoral students to attend joint research opportunities, visiting and exchange programmes, summer schools, and study abroad programmes. KIMEP was a partner of Erasmus Mundus international educational consortia. Projects were aimed at the academic cooperation between partner universities, at students and faculty and staff mobility and enhancing the quality of education and services rendered. During 2015-2017 KIMEP was a part of Erasmus+ Project and together with 19 other universities to implement the international credit mobility of students and of faculty. Within the programme strategic sustainable partnerships were formed with such HEIs as Ljubljana University, Slovenia; Thomas Bata University, Czech Republic; Tartu University, Estonia; National University of Public Services, Hungary; Gratz University, Austria.

PhD students are encouraged to attend academic conferences to develop professional networks with researchers from other countries and write joint journal articles. They also actively participate in the annual KIMEP University Research Conference (KIRC), which provides a platform to network with academic researchers. BCB also arranges support activities like training sessions on how to write conference abstracts, or more informal help with research and conferences. PhD workshops and opportunity for academic mobility serve as a starting point in networking for doctoral students.

## Appraisal:

Cooperations with higher education institutions and other scientific establishments are an integral part of the programme. The doctoral students are encouraged to participate in relevant conferences or to take part in other scientific events and establishments.

The scientific networking has a recognisable benefit for doctoral students.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
4.	ACADEMIC ENVIRONMENT AND FRAMEWORK CONDITIONS					
4.2	Cooperation and Partnership					
4.2.1	Scientific Integration of the Doctoral Students			X		
4.2.2	Networking the Scientists			X		

## 4.3 Programme Management

The KIMEP Programme Managers coordinate the activities of everyone involved in the respective programme and have to ensure that the programme runs smoothly. Activities of all BCB programmes within the academic year are analysed and documented on a regular basis and reported to the BCB Dean in terms of academic affairs. The programme activities are reported to the Associate Deans to monitor the organisational performance.

Intensive cooperation between BCB administration and its faculty members of respective programmes are required for decision-making on all academic issues. BCB programme management collaborates closely with the Dean and the Registrar's Office to provide necessary support related to registration, course scheduling, classroom assignment, and on-time grade submission. Faculty members and students are informed about the programme, schedule, course requirements and expectations, and other necessary details. The students evaluate the performance of the instructors near the end of every course. Administrative support teams assess the student course evaluation results regularly and develop future improvement plans accordingly.

The Doctoral Programme Office maintains routine documentation of all programme related issues. Also, the Academic Affairs office publishes details of the PhD programme contents, curriculum and examination regulations in both printed and electronic versions in the "KIMEP Catalog". Details of the course contents, exam papers and grade distributions are maintained in the form of a 'Course Management System' which is mandatory for all faculty members at the end of the semester. All the course management documents are available electronically for administrative review and the evaluation process. At the institutional level, QAIR maintain documentations and regularly reports to MSHE and other national and international authorities.

## Appraisal:

The structural organisation, the decision-making processes, competencies and responsibilities are established and implemented accordingly. Those involved are included in the decision-making process.

Management support concerning the allocation of tasks and persons are transparent and efficiently guaranteed both qualitatively and quantitatively.

The requirements in terms of content, structure, design, duration, study process and examinations are recognised through suitable documentation and publication, especially online. The interested parties also have access to the documentation in electronic form and it provides transparency.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
<b>4.</b>	<b>ACADEMIC ENVIRONMENT AND FRAMEWORK CONDITIONS</b>					
4.3	Programm Management					
4.3.1	Structural Organisation			X		
4.3.2	Management Support			X		
4.3.3	Documentation of the Doctoral Programme			X		

## 4.4 Material Resources

KIMEP's campus consists of eight buildings, including the two main academic buildings: Valikhanov Building and the New Academic Building; the Olivier Giscard d'Estaing Library (OGEL), and the Dostyk Building (administration building). The University campus hosts the Residence Hall for students and own apartments, as well as the apartment in Samal micro-district for foreign faculty and top-managers; also, there is a plant building and a publishing and printing department building.

Dostyk Building was constructed in 1954. It hosts BCB, College of Humanities and Education (CHE), Sports Center and the university administration. It also hosts two auditoria with a total area of 105 square meters, 118 offices with the total area of 3,418 sqm. Since 1992 the building was reconstructed several times. In 2016 the cosmetic renovation of Sports Center was done together with renovating the faculty offices at the third and fourth floors for the total area of 2,258 sqm. In 2017 the major repairs were performed at the third floor, including corridors and offices (500 sqm). In 2017 the capital reconstruction of the West wing of the building was undertaken, with installing the modern engineering equipment, the new furniture and the new equipment for

teaching in the classrooms. The reconstruction of the North wing of the building was done in 2018-2021 in accordance with modern requirements and tendencies.

The Valikhanov Building was constructed in 1975. It hosts College of Social Sciences (CSS), Computer and Information Systems Center, the canteen with an area of 1,013.2 sqm, a coffee shop, a stationery shop and a copying centre. The building is a host for 40 classrooms and 136 offices. Academic rooms, besides the general classrooms, include six computer labs, three conference halls, a media laboratory for journalism department and the specialized classroom for teaching arts.

The New Academic Building was commissioned in the fall of 2008. The total area of the building amounts to more than 6000 sqm out of which 2,30 sqm are teaching facilities. It hosts 21 classrooms, three computer labs and a recreation area with wireless KIMEP LAN and Internet access. The building also hosts the School of Law. These classrooms and offices are maintained on the basis of scheduled maintenance work. In 2017 a Starbucks coffee shop was opened on the second floor of the building.

The Residence Hall Building was constructed in 1972 and designed for 424 students to reside in double or triple rooms. The Building also hosts the modern Executive Education Center, the Medical Center, the Office of Student Affairs, the International Office and the Career and Employment Center and a canteen. In 2013-2014 the first of three stages of major repairs were done at the first, fourth and fifth floors, including the lounge rooms and study rooms between the 2nd and the 5th floor (2,358 sqm), as well as of the façade and of entrance of the building; one of existing elevators was replaced by the modern one, and a partial replacement of the old furniture was done. The second stage was completed in 2015 and includes a major renovation of the third floor with partial replacement of the old furniture (1,149 sqm). The final stage was completed in 2016 (1,149 sqm).

For faculty Housing, KIMEP owns 2/3 of the apartment house located on campus, in which there are 18 furnished 2-rooms and 3-rooms apartments for faculty and management of the University. Besides annual enhancements of educational operations KIMEP pays attention to advancement of a healthy lifestyle. The University has a modern indoor Sports Centre and a football field. Besides, jointly with “Bank of Astana” in 2016 the workout site was opened on campus. In 2018 the University has constructed a new open-air basketball and volleyball court.

The two above mentioned academic buildings and the residence hall are equipped with ramps, elevators; automatic sliding doors are installed at entrances to academic buildings. In addition, special buttons are installed at the entrances to all buildings to call staff if any assistance is needed. Since the buildings are of quite old construction, gradual reconstructions are conducted. Reconstructions meet all current building standards, including standards required for students with special educational needs.

Reconstruction of the Valikhanov Building was carried out between 2017 and 2021. A stationary lift (mini elevator) at the cafeteria entrance was installed adding to previously installed elevators. All entrances to buildings are equipped with tactile tiles and buttons to call staff for assistance. Each floor is equipped with specialised restrooms for people with disabilities.

## Teaching Facilities

Building Location	Area sqm	Seating Capacity	Screens	OHP	LCD	Computer	TV Set	Video	Telephone	Tribune	Air-Con.
Valikhanov	3432	2326	44	31	41	249	4	3	0	33	62
CCE	130	48	2	2	2	2	2	2	2	2	4
Dostyk	2258	151	2	2	2	25	1	0	2	2	8
Library	2719	69	2	2	2	87	0	5	3	1	3
New Acad.	2301	1,107	15		20	126	2	2	0	21	24
<b>Total</b>	<b>10,840</b>	<b>3,701</b>	<b>65</b>	<b>37</b>	<b>67</b>	<b>489</b>	<b>9</b>	<b>12</b>	<b>7</b>	<b>59</b>	<b>101</b>

Notation: OHP - Overhead projector; LCD – Display

Seventy-three classrooms are equipped with LCD-projectors, LCD-panels, and computers, which allow multimedia presentations and access to file servers, electronic materials, and the Internet during lectures. Conference halls, such as the Great Hall and the High-Tech Conference Hall, are equipped with all necessary hardware to run multimedia presentations for groups of varying size. There are also 11 study rooms available with wireless Internet.

The Olivier Giscard d'Estaing Library (OGEL) is located in a separate building on the University campus with an area 2,719 sqm and can serve up to 350 students at a time. OGEL users are not only students, teachers and staff of KIMEP, but also KIMEP alumni. The library works 64.5 hours per week: on weekdays from 8.30 to 20.00, on Saturday from 10.00 to 19.00. OGEL facilities include public reading areas for the library's circulating collection and for reference, periodicals, and reserves materials; a conference room, two independent study laboratories with computer workstations, which provide access to electronic resources. The library has 87 computers with unlimited access to the Internet at the disposal of its users. The library's conference room and computer laboratory are equipped with all necessary software and hardware to run multimedia presentations.

KIMEP owns one of the biggest English-language library collection in Central Asia<sup>18</sup>. The library collection includes 100,583 print copies (of these 70,869 in English), and 21 international and local electronic resources, which comprise over 700 thousand full-text documents (e-books, magazines, conference materials, legislative acts of Kazakhstan and foreign countries) and can be accessed from any computer on campus: CARD (the library's own bibliographic database), Ebook Central, EBSCO EconLit, EBSCO Business Source Complete, EBSCO Ebooks, Emerald, Encyclopaedia of Public International Law in Asia, JSTOR, Hein Online's Core collection, Paragraph, Polpred, ProQuest One Business, Sage Premier, Scopus, Taylor & Francis Ebooks, Taylor & Francis Social Science and Humanities eJournals, The Chronicle of Higher Education, TOL, Lexis, Web of Science and Zakon. The remote access is organised to 15 electronic databases, so now library users can access these resources from any place outside the campus. Bibliographic records of all print literature are entered into an electronic catalogue (KIMEP uses AMLIB as its library management system), which is accessible to all users both in the library and through KIMEP website.

The library is constantly developing a book collection and its electronic resources. Twice a year library organises textbook orders, that usually include reference and research titles requested

<sup>18</sup> See SER p. 82.

by the faculty and students. The budget allocated for acquisition of learning resources for 2022-2023 academic year will allow increasing the library collection for nearly 1,000 print books, renewing subscriptions for the existing electronic resources and subscribing to two new electronic databases.

In order to ensure students with necessary literature for the study programmes, OGEL provides the Textbook Rental Service. Every student may take the necessary course title for rent for a semester. Usually the library acquires the number of copies assigned for the relevant course equal to 30-50% of the planned enrolment number. Also 3-5 copies from this amount go to reserve collection, which is created to make the course titles available for all students. Reserve titles can be used only in the library reading rooms and can be checked out for the overnight loan. So if a student cannot take the course title for rent, there is always a copy in the library available for reading.

Eleven library staff members provide a wide range of services to all users: open access to the entire book collection; selection of books on the subject; individual consultations, presentations, trainings, orientation sessions to entering students and new faculty, seminars, webinars on the use of the electronic catalogue and electronic databases.

Annually, the QAIR<sup>19</sup> conducts a survey among students and graduates regarding the work of all departments, including the library, and all their recommendations and comments are analysed and taken into account in the future direction of the Library in providing services.

## Appraisal:

The quantity, quality and IT equipment of the classrooms correspond to the necessities described for the programmes, especially for research. The requirements for disabled students are adequately taken into account. A sufficient number of workplaces for doctoral students are available.

Within OGEL a reference library is available. Literature, magazines and databases are up-to-date and current in terms of the study contents and research activities of the doctoral students. Online access for technical literature is guaranteed. Outside the University the doctoral students have digital access to a large section of the literature and journals needed. The most important databases are accessible free of charge.

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<sup>19</sup> KIMEP Quality Assurance and International Research Department.



Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
4.	<b>ACADEMIC ENVIRONMENT AND FRAMEWORK CONDITIONS</b>					
4.4	Material Resources					
4.4.1	Quality of the Classrooms and Working Places			X		
4.4.2	Equipment (Literature, Journals, Databases) of the Library			X		

## 4.5 Finance Planning and Financing

BCB was established in 2003 as an autonomous academic unit within KIMEP. It is the largest college of the university, accounting for almost two-thirds of total KIMEP students. BCB generates more than 60% of total revenues of the University and operates with a financial surplus, which ensures smooth financing and sustainability of all BCB Programmes. KIMEP's main income is based on the tuition fees in particular from the Bachelor programmes (more than 84%), whereas the Master programmes contribute around 3.6 % and the Doctoral programmes 1.5 % (in the academic year 2022/23). The University achieves a yearly surplus of about 2 million €. More detailed Information on the School's Financial Situation has been presented to the panel.

KIMEP offer full tuition fee scholarship to highly deserved applicants of PhD programmes. Details of the scholarship and financial supports for PhD programmes are available in the Financial Aid and the Doctoral Programme Office of the University.

### Appraisal:

In accordance with the objectives, the finance planning takes into account the staff planning for scientific employees/doctoral positions. The necessary financial basic equipment and financing security are guaranteed for the period of accreditation.

In accordance with the objectives the higher education institution guarantees the financial protection of the doctoral students.

Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
4.	ACADEMIC ENVIRONMENT AND FRAMEWORK CONDITIONS					
4.5	Finance Planning and Financing					
4.5.1	Finance Planning and Financing of the Doctoral Programme			X		
4.5.2	Financial Support and Scholarship Programmes			X		

## 5. Quality Assurance

KIMEP's Quality Assurance system (QA) is based on its "University policy for quality assurance in education". Its task is enhancing the quality of teaching, research, personnel as well as improving key stakeholders' satisfaction and operational effectiveness. The QA includes both academic and non-academic areas of University functioning. The task of quality management is to review and coordinate the University units' activities that are critical in terms of achieving quality requirements. The QA functions as a dynamic and continuous process, which implies the constancy of the quality assurance process in the form of a continuous repetition of the PDCA (Plan-Do-Check-Act) cycle.

In its QA Policy KIMEP has established a framework for quality assurance that is compatible with mechanisms for institutional, departmental, and programme quality assurance. This framework is embedded in each college and in every department, both academic and non-academic.

The academic structure of KIMEP enables the management to oversee all colleges and academic affairs departments, programmes and curriculum, faculty, budget, and assessment strategies. Each college or academic division is responsible for creating their own continuous quality assurance process to include annual and cyclical programme reviews of each aspect. Annual programme reviews are limited in scope to particular programme learning outcomes, and include overviews of curriculum, faculty, finances, student learning, and programme effectiveness. Full programme reviews occur every 3-5 years and incorporate thorough assessments of the same information in addition to an overview of all programme learning outcomes and student learning assessments.

Information from both annual and cyclical reports is used to revise the curriculum and programme effectiveness, as well as to determine market needs, student interest, value added, and financial impact. Both types of programme review are completed in the fall semester following the academic year in which data was collected and analysed. After completion, programme reviews are sent to the Vice President of Academic Affairs, Curriculum Review Committee, QAIR<sup>20</sup>, and the Admission and Scholarship Standing Subcommittee for review and feedback.

<sup>20</sup> Office of Quality Assurance and Institutional Research.

For major issues or revisions, programme reviews are presented to the Academic Council and the President's Cabinet.

QAIR is responsible for collaboration between different units at KIMEP – executive, management, departmental, and programmatic – in order to provide necessary information to support strategic decision-making and quality assurance systems, which promote integrity and effectiveness across the University. The primary roles of the office are as follows:

- Provide the information and analysis necessary to support decision-making at the institutional level and within colleges / divisions,
- Undertake such reviews and audits as necessary to safeguard the integrity and quality of the institution's activities,
- Advise the institution on quality implications of proposals, policies and strategic plans.

QAIR conducts the student evaluations as well as annual alumni surveys regarding employment and overall satisfaction with the quality of KIMEP's education. It also determines the students' success rates every semester and acts as a liaison between state bodies, higher education institutions, and both national and international agencies to share best practices and develop strategies for the benefit of the community as a whole. Additionally, upon request they carry out various studies that investigate particular quality aspects in individual programmes or separate areas of the University's performance.

The Academic Council of KIMEP has to manage general academic affairs, to oversee academic quality assurance and curriculum review, and to develop recommendations for further approval by the President's Cabinet and the Board of Trustees. College Deans, the Director of the Admission and Financial Aid Office, and the Deputy to the President for Student Recruitment & Admission have representation on this committee, directly or by proxy, and provide administrative support for the committee.

This committee reviews the curriculum to ensure alignment with the National Qualifications Framework, that each programme submits viable programme reviews, and oversees continuous academic quality assurance. The function of the committee is to evaluate, analyse, and determine the appropriateness of any new programmes or courses, or of changes to existing programmes. It further establishes criteria for quality assurance controls over all matters of academic import, and makes recommendations concerning admission and scholarship, including additional criteria and student enrolment rules not covered by state standards for each major.

The President's Cabinet as the executive body of KIMEP has the right to make decisions on any issues of KIMEP operations that are not covered by Kazakhstan's legislation and are not governed (according to the Charter) by other bodies and officials of KIMEP, including financial management, strategic planning, development of organisational structure of the institution, and resolution of departmental or programmatic issues.

The BCB College Council oversees all college PhD Programmes and sets the overall guidelines for programmes. The overall aim of the Council is to ensure excellence in research training and the timely completion of dissertations and courses of study. The committee is responsible for administering the relevant regulations and for advising on all matters of policy relating to these degrees. The College Council has preliminary approval of all faculty appointments for dissertation committees. Therefore, it is crucial to have the faculty status of outside committee members verified as early as possible, especially those outside KIMEP.

Based on similar interests identified during the application process, a doctoral programme advisor is assigned to each student within the first semester of study. This main local advisor (or co-

advisors in some cases) assists the student in planning a programme of study to meet degree requirements 90 % of the time. The second, external advisor, mentors the student approximately 10 % of the time.

Doctoral students' satisfaction with the quality of academic programmes is done via Student Perception of Instruction Survey (SPIS). SPIS is completed via an evaluation sheet, which includes questions on professionalism of faculty, methods of teaching, and content and relevance of the discipline, all of which is evaluated according to a 5-point scale. Survey results are presented in the form of report, which is submitted for consideration of top management of the university. The average scores are placed onto the Intranet, accessible to each faculty member, department chair, and KIMEP's top management.

The Faculty Satisfaction Surveys measure the level of faculty satisfaction pertaining to working conditions, professional development and leadership at KIMEP to further develop the university's status as an outstanding employer and academic institution. The survey has been conducted every spring semester since the 2005-06 academic year on an anonymous and voluntary basis. All faculty members are invited to take part in the survey. This also includes functions as supervisors for PhD students. Survey results are presented to management and faculty in the form of a report that highlights both strong and weak points of KIMEP's working conditions and compares overall satisfaction with data from previous periods. The collected responses are components of efforts to create a better working and learning environment.

Graduates of PhD programmes are invited to participate in KIMEP Alumni Surveys. MSHE also periodically evaluates the programmes. All assessments have indicated a satisfactory level of programme management and quality assurance in the PhD programmes.

## Appraisal:

A quality assurance procedure systematically ensures continuous monitoring and further development of quality in terms of content, processes and results. The responsibilities are clearly defined.

The quality assurance of the doctoral programme is systematically embedded in the quality concept for the research of the faculty and the higher education institution.

Regular evaluations of the programmes' implementations are carried out by the doctoral students as well as by supervisors according to a predefined procedure; the results are discussed internally and find their way into the process of quality development.

There is a regular external evaluation according to a predefined procedure; the results are discussed internally and find their way into the process of quality development.

**Quality Ratings**

		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
<b>5.</b>	<b>QUALITY ASSURANCE</b>					
5.1	Quality Assurance in terms of Contents, Processes and Results			X		
5.2	Inclusion of Quality Assurance in a Superordinate Quality Concept			X		
5.3	Evaluation by Doctoral Students			X		
5.4	Evaluation by Supervisors			X		
5.5	Evaluation by Third Parties (Graduates, external Peers, Stakeholders)			X		

# Quality Profile

Institution: KIMEP University, Almaty, Kazakhstan

Programmes: PhD in Accounting and Audit and PhD in Finance

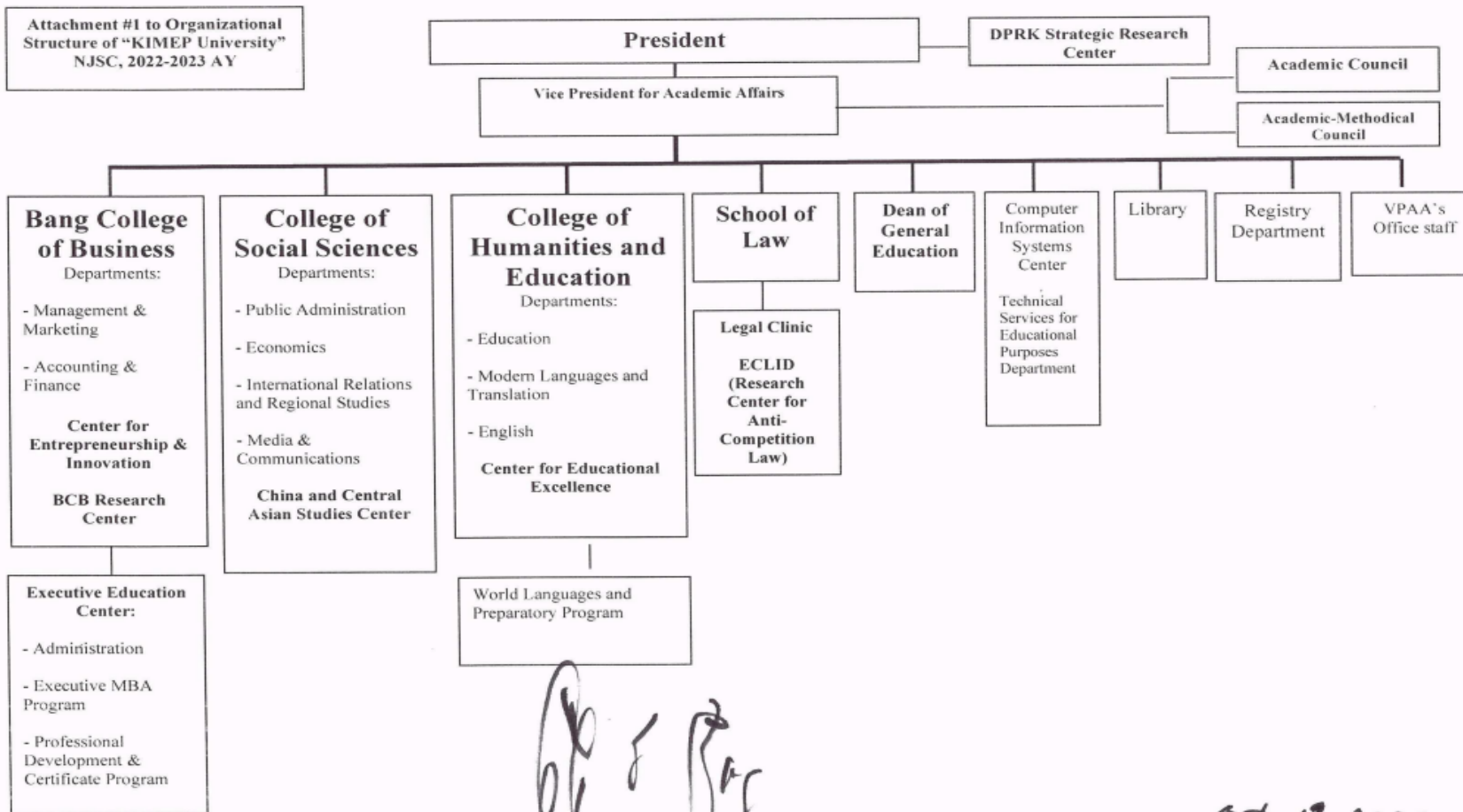


Quality Ratings		Excellent	Exceeds quality requirements	Meets quality requirements	Does not meet quality requirements	not relevant
<b>1.</b>	<b>STRATEGY AND OBJECTIVES</b>					
1.1	Objectives of the Doctoral Programme			X		
1.2	Positioning of the Doctoral Programme in the education market			X		
1.3	Positioning of the Doctoral Programme in the Job Market for Graduates			X		
1.3.1	In the research fields			X		
1.3.2	Outside the research fields			X		
1.4	The positioning of the Doctoral Programme in the Strategic Concept of the Higher Education Institution			X		
1.5	Gender Equality and Equal Opportunities			X		
<b>2.</b>	<b>ADMISSION</b>					
2.1	Admission conditions and procedures			X		
2.2	Selection procedure			X		
2.3	Transparency of the Decision on Admission			X		
<b>3.</b>	<b>IMPLEMENTATION</b>					
3.1	Structure					
3.1.1	Structural Setup of the Doctoral Programme			X		
3.1.2	Doctoral Degree Regulation			X		
3.1.3	Status of the Doctoral Students			X		
3.1.4	Module Description			X		
3.2	Contents					

3.2.1	Logic and Conceptual Consistency			X		
3.2.2	Science and Research Based Teaching			X		
3.2.3	Focus of the Curriculum on Qualification and Competency Development			X		
3.2.4	Technical Offers			X		
3.2.5	Multidisciplinary Qualifications			X		
3.3	Examination Procedures					
3.3.1	Examination			X		
3.3.2	Organisation of the Examination Procedure			X		
3.4	Didactical Concept					
3.4.1	Logic and Comprehensibility of the Didactic Concept			X		
3.4.2	Diversity of the Teaching Methods			X		
3.4.3	Networking of the Doctoral Students			X		
3.4.4	Scientific Supervision			X		
3.5	Professional Competencies/Employability			X		
4.	<b>SCIENTIFIC ENVIRONMENT AND FRAMEWORK CONDITIONS</b>					
4.1	Teaching Staff					
4.1.1	Structure and Number of Teaching Staff			X		
4.1.2	Scientific Qualification of the Teaching Staff			X		
4.1.3	Pedagogical Qualification of the Teaching Staff			X		
4.1.4	Internationality of the Teaching Staff		X			
4.1.5	Internal Cooperation within the Faculty			X		
4.2	Cooperation and Partnership					
4.2.1	Scientific Integration of the Doctoral Students			X		
4.2.2	Networking the Scientists			X		
4.3	Programme Management					
4.3.1	Structural Organisation			X		

4.3.2	Management Support			X		
4.3.3	Documentation of the Doctoral Programme			X		
4.4	Material Resources					
4.4.1	Quality of the Classrooms and Working Places			X		
4.4.2	Equipment (Literature, Journals, Databases) of the Library			X		
4.5	Finance Planning and Financing					
4.5.1	Finance Planning and Financing of the Doctoral Programmes			X		
4.5.2	Financial Support and Scholarship Programmes			X		
<b>5.</b>	<b>QUALITY ASSURANCE</b>					
5.1	Quality Assurance in terms of Contents, Processes and Results			X		
5.2	Inclusion of Quality Assurance in a Super-ordinate Quality Concept			X		
5.3	Evaluation by Doctoral Students			X		
5.4	Evaluation by Supervisors			X		
5.5	Evaluation by Third Parties (Graduates, external Peers, Stakeholders)			X		





Approved: Dr. Chan Young Bang, President of "KIMEP University" NJSC

Date: Oct. 13, 2022