APPROVED at a meeting of the Scientific Council NJSC «Al-Farabi KazNU». Minutes No.10 dated May 23, 2022.

The program of the entrance exam for applicants to the PhD for the group of educational programs D071 - «State and local government»

## 1. General provisions.

- 1. The program was drawn up in accordance with the Order of the Minister of Education and Science of the Republic of Kazakhstan dated October 31, 2018 No. 600 "On Approval of the Model Rules for Admission to Education in Educational Organizations Implementing Educational Programs of Higher and Postgraduate Education" (hereinafter referred to as the Model Rules).
- 2. The entrance exam for doctoral studies consists of writing an essay, passing a test for readiness for doctoral studies (hereinafter referred to as TRDS), an exam in the profile of a group of educational programs and an interview.

Block	Points
1. Essay	10
2. Test for readiness for doctoral studies	30
3. Exam according to the profile of the group of the educational program	40
4. Interview	20
Total admission score	100/75

3. The duration of the entrance exam is 4 hours, during which the applicant writes an essay, passes a test for readiness for doctoral studies, and answers an electronic examination. The interview is conducted on the basis of the university separately.

#### 2. Procedure for the entrance examination.

- 1. Applicants for doctoral studies in the group of educational programs D071- «State and local government» write a problematic / thematic essay. The volume of the essay is at least 250-300 words.
  - 2. The electronic examination card consists of 3 questions.

# Topics for exam preparation according to the profile of the group of the educational program.

# Discipline «Theory and practice of public administration»

# Topic 1. Content of public administration

Policies and objectives of public administration. The state as the leading entity in the management of the country. Theoretical and practical orientation of public administration. Public sources of public administration objectives. Legal form of consolidation of the objectives of public administration. Specificity and classification of public administration functions. Functions of public authorities. Power as a sign of governance. The main features of public administration. Mechanism of public administration. The concept of the development of public administration in the Republic of Kazakhstan until 2030: the construction of the "human-centric" model "People First."

# Topic 2. Responsibility in public administration

Legal laws governing public relations. Social management, strengthening regulation and management, dispersal of power and management centers, system of public administration. Essence, concept and peculiarities of political rights and freedoms in public administration. Responsibility in public administration as a prerequisite for the implementation of state decisions. "Responsibility" and "duty" as interrelated concepts in public administration. Duties, responsibilities and rights of a public servant. Personal responsibility in public administration. Powers and responsibilities of ministers, their accountability and strategic monitoring of their activities.

#### Topic 3. Organizational structure of public administration

The state body as a systemic element of the organizational structure of public administration. Characteristics of the state body: functional, legal, organizational. Statutory characteristics of a public authority. Factors affecting the organizational structure of public administration. Functions of the State. Personnel of the state body. The main institutions for the implementation of state decisions. Classification of state bodies according to various grounds: functions of the state, competence, territorial scale of activity. Building the organizational structure of public administration. Linear, functional, linear-functional, software-target, matrix bases for forming control structures. Organizational structure of public administration in the Republic of Kazakhstan.

# Topic 4. Anti-corruption policy and public administration objectives

Anti-corruption tools. Preventive (soft) and reactionary (hard) methods of fighting corruption. Training, personal policy and organizational and cultural development as soft methods of combating corruption. Subjects of corruption offences. Basic anti-corruption principles. The general management of the team, the placement and selection of personnel, the organization and control of the labor of subordinates, the maintenance of discipline, expressed in the application of measures of encouragement and the imposition of disciplinary sanctions as organizational and administrative functions of subjects of public administration. Financial responsibility for the management and disposal of property as an administrative and economic function of subjects of public administration. The Anti-Corruption Act and its contents. The purposes of the law.

## **Topic 5. Formation and implementation of state policy**

Public policy as a deliberate activity of public administration bodies to solve socially significant problems and achieve positive goals of sustainable development of society and ensuring national security. The structure of public policy as an activity to implement the goals and objectives of public administration. Public interest and national security. Problems of classification of public policy and its systemic characteristics. Determinants of the general, internal and external environment of the public administration system and their impact on public policy. Constitutional framework and legal framework of public policy. Prioritizing policies. Mechanism for the implementation of public policy. Government bodies involved in the implementation of public policy. Types and directions of state policy.

Topic 6. Development and decision-making in public administration

State decision as a scientific concept. Political and administrative public decisions. State decision characteristics: authority, range, information security, technology and style, types, practical significance. Evaluation of the effectiveness of government decisions. Concept and classification of normative legal acts of the Republic of Kazakhstan. Hierarchy of normative legal acts. Basic and derivative legal acts. Legislative and by-laws. Regulations, provision, rules, instruction as derivative types of regulations.

Planning, preparation and approval of draft normative legal acts. Specific features of the normative legal act. Details, structure and style of presentation of the text of normative legal acts of the Republic of Kazakhstan. Procedure for adoption and publication of normative legal acts. The effect of regulatory legal acts in time, space and persons. State registration of normative legal acts of central and other executive bodies.

## Topic 7. Management activities and phases

Administrative procedures. Main stages of the management process. Individual legal acts. Management relationships and their classification. Relations between public authorities and citizens. Relations between public authorities and directly subordinate facilities. Legal regulation of management relations. Centralized and decentralized management of management processes. Peremptory, permissible, advisory legal norms. The concept of subjective law. Acts of realization of subjective rights and obligations. Reasons for the emergence, change and termination of managerial legal relations. Enforcement acts, legal status.

# Topic 8. Decentralization of public administration and development of local self-government in Kazakhstan

The problem of centralization and decentralization of public administration. Process and types of decentralization of public administration. Deconcentration of power. Conceptual model for the separation of powers between central and local authorities. Decentralization within ministries, from centre to region and from the State to the private sector. Main provisions of the Law "On Local Government and Self-Government in the Republic of Kazakhstan." Ensuring public participation in local issues. Forms of citizen participation in local self-government. Principles and forms of state regulation of local self-government activities. State support for local self-government.

## Topic 9. Concept of a new model of public service in the Republic of Kazakhstan

Tasks and functions of the public service in the Republic of Kazakhstan. Principles of a meritocracy, efficiency, effectiveness, transparency and accountability to society as basis of professionalizing of a system of public service. Processes of receipt and termination of public service. Motivation of public servants. Ethics and image of public servants. Management of the public service in the Republic of Kazakhstan. Goals and objectives of the new model of public service in the Republic of Kazakhstan. Law "On Public Service of the Republic of Kazakhstan".

## Topic 10. State regulation of the economy of the Republic of Kazakhstan

Key goals of macroeconomic regulation as ensuring economic growth, economic stability and social justice. Methods of state regulation of the economy. Business support. Creating conditions for institutional and structural reforms to support entrepreneurship. Import substitution policy. State regulation of industrial development. State regulation of the agro-industrial complex. Monetary regulation instruments. Open market operations. Digitalization of the economy of the Republic of Kazakhstan.

#### 3. List of references.

(Theory and practice of public administration )

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- 1. Конституция Республики Казахстан. 30 августа 1995 года (с изменениями и дополнениями 23.03.2019 г.)
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- 7. Сансызбаева Г.Н., Мухтарова К.С., Аширбекова Л.Ж. Теория государственного управления. Алматы: Қазақ университеті, 2015. 317 с.

#### **Additional:**

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- 3. Наумов С.Ю. Теория государственного муниципального управления: учеб. пособие / Сергей Юрьевич Наумов, Светлана Владимировна Сергушко, Анна Александровна Подсумкова.- М.: Форум, 2011.- 319 с.- (Проф. образование).
- 4. Зеркин Д.П., Игнатов В.Г. Основы теории государственного управления: Курс лекций. Москва: ИКЦ «МарТ»; Ростов н/Дону: издательский центр «МарТ», 2011. 544 с
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- 6. Есимова Ш.А. Экономическая эффективность системы государственного управления Республики Казахстан: теория, методология, практика.- Туркестан, 2010.
- 7. Закон РК «О государственной службе» от 23 ноября 2015 года № 416-V ЗРК (с изменениями и дополнениями по состоянию на 24.05.2021 г.)
  - 8. Закон РК «О противодействии коррупции» от 18 ноября 2015 года № 410-V ЗРК.

# Discipline «Strategic planning and budgetary processes in public administration»

# Topic 1: Concept, essence and necessity of strategic planning in public administration

The essence and content of state management of the economy. Goals, objectives and functions of state management of the economy. Scientific bases of planning and forecasting. The need for planning and forecasting in the economy.

## Topic 2: Strategic planning as a type of management activity of state bodies.

Forecasting and planning as functions of the state. Types of plans in public administration. The essence of the concept of central planning and market concept. The main tasks of the Ministry of National Economy of Kazakhstan. The essence and role of indicative planning in improving the efficiency of public administration. The principles of strategic planning.

## Topic 3: State budget, its forecasting and planning.

The new system of state planning is the basis of the budgetary process. The state budget is the main financial plan of the country. State balance concept. Budget deficit and sources of its coverage. Forecasting state budget revenues. National Fund of Kazakhstan: purposes of creation and functions.

**Topic 4: Structure, rules for the development and implementation of government programs.** General provisions of the rules for the development and implementation of state programs. Basic requirements for government programs. The structure of the state program. The procedure for the development, approval, monitoring and evaluation of the implementation of state programs.

# Topic 4: SWOT analysis as a strategic planning tool.

Purpose and main tasks of SWOT analysis. Scope of SWOT analysis. SWOT analysis matrix. SWOT analysis technology. SWOT analysis rules.

Topic 6: The system of state strategic planning and forecasting is a tool for the formation of long-term priorities for the state's activities.

State planning system of Kazakhstan. Strategic development plan of the Republic of Kazakhstan. Documents of the State Planning System of Kazakhstan. Development Strategy of Kazakhstan until 2050. Strategy 2030 and Strategy 2050: interconnection and continuity.

# **Topic 7: Demographic forecasting in the public administration system.**

Development of demographic forecasts. The most significant projected indicators of demographic projections. Demographic balance. The process and stages of developing demographic projections. Classification of factors of demographic development.

Topic 8: Methodology and methods of developing macroeconomic plans in the activities of government bodies.

Methods for developing plans. Expert assessment methods. Balance method in planning. Normative planning method. Extrapolation and modeling methods. Target-programmed methods and features of their application.

- Topic 9: Strategic planning and development priorities of the social sphere of the national economy. The role of strategic planning in improving the quality and standard of living of the population. Features of forecasts in the social sphere. Social development forecast system. Classification of factors affecting the standard of living.
- Topic 10: Prospects for the development of systems of state strategic planning and forecasting in Kazakhstan. Strategic planning is an effective tool for public administration. Concept for the implementation of a results-based state planning system. The main tasks of changes in the state planning system. The concept of improving the State Planning System.

### 3. List of references.

(Strategic planning and budgetary processes in public administration)

#### Main:

- 1. Крутиков В.К., Дорожкина Т.В., Зайцев Ю.В., Федорова О.В. Макро-экономическое планирование и прогнозирование. Учебно-методическое пособие. Калуга: Издательство «Эйдос».2014. 112 с.
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- 3. Аналитический доклад. «Анализ систем стратегического планирования и прогнозирования Республики Беларусь, Республики Казахстан и Российской Федерации».- М., 2014
- 4. Стратегическое планирование: учеб. пособие / М. Н. Руденко, Е. Д. Оборина, Д. Н. Письменников; Перм. гос. нац. исслед. ун-т. Пермь, 2014. 96с.
- 5. Макроэкономическое планирование и прогнозирование : учебник / А.Н. Сёмин, Ю.В. Лысенко, М.В. Лысенко, Э.Х. Таипова. Москва : КНОРУС, 2018. 308 с.
- 6.Яркова, Т.М. Макроэкономическое планирование и прогнозирование : учебное пособие / Т.М.Яркова; М-во с.-х. РФ; федеральное гос. бюджетное образов. учреждение высшего образов. «Пермский гос. аграрно-технолог. ун-т им. акад. Д.Н.Прянишникова».— Пермь : ИПЦ «Прокрость», 2018. 292 с.

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#### **Additional:**

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- 2.Прогнозирование и планирование деятельности предприятия: учебное пособие / сост.: Ж.Н. Моисеенко; Донской ГАУ. Персиановский: Донской ГАУ, 2019. 154 с.
- 3.О Концепции формирования и использования средств Национального фонда Республики Казахстан. Указ Президента Республики Казахстан от 8 декабря 2016 года № 385
- 4. Казахстан 2030. Процветание, безопасность и улучшение благосостояния всех казахстанцев. Послание Президента страны народу Казахстана 1997 года. https://adilet.zan.kz/rus/docs/K970002030\_
- 5. Стратегия "Казахстан-2050": новый политический курс состоявшегося государства. Послание Президента Республики Казахстан Лидера Нации Н.А. Назарбаева народу Казахстана, г. Астана, 14 декабря 2012 года. https://adilet.zan.kz/rus/docs/K1200002050

## Discipline «Organization and planning of scientific research»

# **Topic 1: Classification of scientific research.**

Distinctive features of the theoretical and empirical basis of scientific knowledge. Logical scheme and stages of scientific research. Fundamental, applied and exploratory research.

# Topic 2: Science and science research.

Science as a sphere of human activity. The goal of science is the knowledge of the objective world. Factors influencing the transformation of science into a productive force. The influence of science on the development of humanity.

# Topic 3: Development of a hypothesis and research concept.

The concept of a scientific problem, its formulation. Choosing a research topic. Formulation of a hypothesis for scientific research. Relevance and novelty of the topic of scientific research. Determination of the goal and objectives of the research.

## Topic 4: Theoretical knowledge. Scientific research methods.

Cognition levels: theoretical and empirical. Analysis and synthesis. Comparison. Abstraction and concretization. Generalization and formalization. Induction and deduction. Idealization. Analogy. Modeling. Thought experiment.

# Topic 5: Empirical knowledge. Scientific research methods.

The empirical basis of scientific knowledge. Observation is the foundation of empirical knowledge. Types of observations. Experiment as a research method. Modeling is a method of scientific knowledge.

## Topic 6: Plagiarism. The ethical principles of the researcher.

The content of the term "plagiarism" and the reasons for its appearance. List the basic principles and norms of the ethics of science. The use of ethical principles in scientific activity Plagiarism and means of its search.

# Topic 7: Documentary sources of information. Organization of reference and information activities.

Sources of scientific information. Reference and bibliographic service. Bibliographic indexes. Search system for scientific information on the research topic. Advantages of working with catalogs and filing cabinets.

# Topic 8: Systems approach: methodology, features and advantages.

Methodology of a systems approach in scientific research. Preconditions for the emergence of a systematic approach. System analysis. Characteristic features of complex systems. Open and closed systems. Advantages of a systems approach.

# **Topic 9: Method for modeling scientific research.**

Model concept. The advantages of the modeling method. Classification of models. Basic requirements for modeling. Stages of modeling. Modeling as a means of reflecting the properties of material objects. Extrapolation as a research method.

# Topic 10: Implementation and testing of scientific research results.

Commercialization of scientific research results. Forms of implementation of research results. Approbation is a condition for the truth of the research results. Writing a scientific article. Preparation of the theses of the report.

## 3. List of references.

(Organization and planning of scientific research)

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- 2.Пономарев А.Б. Методология научных исследований: учеб. пособие / А.Б. Пономарев, Э.А. Пикулева. Пермь: Изд-во Перм. нац. исслед. политехн. ун-та, 2014. 186 с.
- 3.Огурцов А.Н., Близнюк О.Н. Научные исследования и научная информация.- Харьков, HTУ «ХПИ», 2011.-400с.
- 4.Кошурников А.Ф. Основы научных исследований: учебное пособие./ Мин-во с.-х. РФ, федеральное гос. бюджетное образов. учреждение высшего проф. образов. «Пермская гос. с.-х. акад. им. акад. Д.Н. Прянишникова». Пермь: ИПЦ «Прокрость», 2014. –317 с.
- 5. Меледина Т.В., Данина М.М. Методы планирования и обработки результатов научных исследований: Учеб. пособие. СПб.: НИУ ИТМО; ИХиБТ, 2015. 110 с.
- 6. Методология научных исследований : методические рекомендации / сост. Т.М. Яркова; М-во с.-х. РФ, федеральное гос. бюджетное образов. учреждение высшего образования «Пермский гос. аграрно-технолог. уни-верситет им. акад. Д.Н. Прянишникова», каф организации производства и предпринимательства в АПК. Пермь: ИПЦ «ПрокростЪ», 2018. –63 с.
- 7. Севриков В.В. Методология и организация научных исследований. Минск: Мисанта, 2011. 333 с.
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- 9.Цеховой А.Ф. Организация научно-исследовательской и инновационной деятельности: учеб. пособие: для магистрантов спец. 6M051800 Управление проектами / А. Ф. Цеховой, М. А. Карлинская. Алматы : ССК, 2017. 134 с.

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- 3.Методология и методы научных исследований в экономике и менеджменте: пособие для вузов / Завьялова Н.Б., Головина А.Н., Завьялов Д.В., Дьяконова Л.П., Мельников М.С. и др.; под ред. Н. Б. Завьяловой, А.Н. Головиной Москва- Екатеринбург:, 2014. 282 с.
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# Discipline «Innovations in the system of state and local government»

# Topic 1. Innovative paradigm in state and local government.

The essence of the innovation paradigm in state and local government. Basic concepts of the innovation economy. Features of innovative development of Kazakhstan as an object of the innovation process. Introduction of innovations in the field of public administration as a basis for administrative reform to improve the quality of public services.

# Topic 2. Issues of application of integrated management innovations in the system of state and local government.

Application of new management technologies in state and local government. Problems of implementation of innovative management technologies in the system of state and local government. The use of benchmarking in the system of state and local government. NPM - a new model of society management, the main ideas and provisions.

# Topic 3. Innovative technologies in state and local government

Defining the goal of innovation management. Choosing an innovation management strategy. Definition of innovation management techniques. Development of an innovation management program. Organization of work on the implementation of the program. Monitoring the implementation of the planned program. Analysis and evaluation of the effectiveness of innovation management techniques. Adjustment of innovation management techniques.

# Topic 4. Innovative technologies of public administration based on the application of the program-target approach

Program and target management in state and local government. Development of project management in public administration. The use of franchising in state and local government. Features of fundraising as a tool of public-public partnership.

# Topic 5. Marketing technologies and methods in the system of state and local government

Methodological and historical aspects of territory marketing. Features of the implementation of territory branding in modern conditions. Development and implementation of a marketing plan for the development of territories.

## Topic 6. Digitalization of public administration.

Chronology of the digitalization of public administration in the Republic of Kazakhstan. Global trends in digitalization and international experience. Digitalization of the activities of state bodies: the concept of the information society, e-government, open government.

## Topic 7. Project management in state and local government

Project management in state and local government. Implementation of project management in the State service of the Republic of Kazakhstan. Project management and the public sector. Digitalization of project management in state and local government.

#### 3. List of references.

(Innovations in the system of state and local government)

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- 4. Мемлекеттік және жергілікті басқару жүйесіндегі инновациялар. Аширбекова Л.Ж., Смагулова Г.С., Есенжигитова Р.Г.Оқу құралы. Алматы, Қазақ Университеті, 2020 ж. 172 б.
- 5. К.С. Мухтарова, А.Т.Мылтыкбаева, Л.Ж.Аширбекова. Государственное и местное управление. Учебное пособие. Қазақ универитеті. 2018 г.-126 с.

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- 3. Наумов, С.Ю. Теория государственного муниципального управления: учеб. пособие / Сергей Юрьевич Наумов, Светлана Владимировна Сергушко, Анна Александровна Подсумкова.- М.: Форум, 2011.- 319 с.- (Проф. образование).

## Discipline «Management of state programs and projects»

## Topic 1: Design-target approach in the public administration system

The concept and models of performance-based budgeting. Application of the program-design approach in the Republic of Kazakhstan and abroad. The method of budget planning based on the program-target approach. Government projects and programs. Classification of projects and programs based on various criteria.

# Topic 2: Methodological foundations for the development and implementation of state programs.

State programs: essence, principles of formation. The procedure for the development of a state program. Criteria as a measure for evaluating the effectiveness of programs. The structure of the state program and the composition of the submitted materials. Requirements for the content of the state program. The main stages of the development of the state program. Financial support for the implementation of the state program. Decision making process. Decision making concept. Classification of tasks solved in the decision-making process in the development of programs. Expert analytical methods as methods of predictive and preplanned analysis of the situation. Quantitative methods: directions of application in the process of target program planning and management.

## Topic 3: State programs of the Republic of Kazakhstan

The state program of the Republic of Kazakhstan as a document defining the goal, objectives, results, main directions and instruments of state policy aimed at achieving goals and implementing the priorities established by the Development Strategy of Kazakhstan until 2050. List and content of State programs of the Republic of Kazakhstan.

## Topic 4: Management of the implementation of the state program.

Measures and terms for the implementation of the state program. Change in the timing of the implementation of measures, affecting the implementation of the main parameters of the state program. Adjustments to the state program. The role of monitoring and control in the management system for the implementation of the state program. Monitoring the implementation of the state program: goals, objects, sources, methods, subjects and results. Objects of monitoring of the state program: values of indicators (indicators) of the state program; progress in the implementation of the main measures of the state program. Sources of monitoring the state program: data of official statistical observation.

# Topic 5: Indicators, goals, objectives of government programs.

General functions of government programs. Legal regulation of the formation of state programs. The place of state programs in the system of strategic management of the country. Goals, objectives of state programs. Structural and functional model of program management.

# Topic 6: Assessment of the effectiveness of the state program

Methodology for assessing the effectiveness of the implementation of the state program. Using the results of monitoring the implementation of state programs when assessing their effectiveness and preparing conclusions on the progress of the state program. Revealing deviations of actual results in the reporting year from the planned ones and reasoned justification of the reasons: deviations of the values of indicators achieved in the reporting period from the planned ones, as well as changes in this regard in the planned values of indicators for the coming period; significant underperformance of some indicators in combination with over fulfillment of others or significant over fulfillment for most—of the planned indicators in the reporting period. Types of effects of government programs. Indicators of the effectiveness of government programs.

# Topic 7: Project activities in the public administration system

Features of project management inherent in the public sector. International project management standards. Stages of implementation of a project management system in a government agency. Features of the application of the principles of project management in government agencies. Problems in the process of implementing the principles of project management and ways to overcome them.

#### 3. List of references.

(Management of state programs and projects)

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- 1. Добролюбова, Е.И. Методическое пособие по разработке (коррекции) и организации реализации государственных программ: учебно-методическое пособие. [Электронный ресурс] / Е.И. Добролюбова, В.Н. Южаков. М.: Издательский дом «Дело» РАНХиГС, 2014. 114 с.
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- 3. Отчетность по реализации государственных программ. https://www.kdb.kz/reporting-on-implementation-of-programmes/
- 4. Ехлаков, Ю.П. Управление программными проектами. Стандарты, модели: Учебное пособие / Ю.П. Ехлаков. СПб.: Лань, 2019. 244 с.
- 5. Соловьев, А.И. Государственная политика и управление: учебное пособие для вузов / под ред. А.И. Соловьева. –М.: Аспект Пресс, 2017. –480 с.
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- 7. Государственное стратегическое управление: монография / под. общ. ред. проф. Ю.В. Кузнецова. СПб.: Питер, 2014. 320 с.
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- 1. Тамбовцев В.Л. Теории государственного регулирования экономики. Учебное пособие. М.: «Издательство «Проспект», 2016. 158 с.
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- 3. Практикум по методологии программно-целевого планирования: методические указания / сост. А.В. Карпушкина. Челябинск: Издательский центр ЮУрГУ, 2017.–12 с

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