

**APPROVED**  
**at a meeting of the**  
**Scientific Council**  
**NJSC «Al-Farabi KazNU».**  
**Minutes No.10 dated**  
**May 13, 2023.**

**The program of the entrance exam for applicants to the PhD**  
**for the group of educational programs**  
**D072 – «Management and administration»**

**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.

<b>Block</b>	<b>Points</b>
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 before the entrance exam.

**2. Procedure for the entrance examination.**

1. Applicants for doctoral studies in the group of educational programs D072 – «Management and administration» 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 «Management»**

#### **TOPIC 1: Goals and objectives of management**

**Subtopics:** The concept of management, its necessity. Definitions of management. Management as a special kind of activity, its specificity. Organization as an object of management: components, levels, main processes. Elements of the control process. Management functions. Management personnel and their roles. Required managerial skills and qualities

#### **TOPIC 2: Evolution of management thought**

**Subtopics:** Classical School in Management Schools of Human Relations and Behavioral Sciences. A quantitative approach to management. Systemic and situational approaches. Theory 7-S. American, European and Japanese governance models. "New philosophy of management"

#### **TOPIC 3: Internal and external environment of the organization**

**Subtopics:** Content of the concept of "organization environment". Internal environment and its variables: managers, employees, culture. Organizational culture, its elements and types. External environment of direct and indirect impact. Characteristics of the external environment. The organization's reactions to changes in the external environment.

#### **TOPIC 4: Management ethics and social responsibility of the organization**

**Subtopics:** The concept of management ethics. Criterial Approaches to Ethical Decision Making. Ways to improve the ethical behavior of managers and ordinary workers. Problems of ethics and social responsibility in domestic organizations.

#### **TOPIC 5: Management Decision Making**

**Subtopics:** The concept of a management decision and its places in the management process. Classification of management decisions. Factors influencing the decision making process Group decision making. The effectiveness of the solution. Decision-making principles. Steps for making a rational decision

#### **TOPIC 6: Strategic management**

**Subtopics:** The concept of strategic management, its necessity and features. The essence and significance of strategic planning. Strategy, its elements and levels. Strategy Formulation: Key Stages and Tools. Variety of strategies: corporate strategy and its types; business strategy and its types; functional strategies of the organization.

#### **TOPIC 7: Management structure**

**Subtopics:** The concept of the management structure and the factors that determine it. Building a vertical structure: division of labor, chain of command, delegation of authority, rule of governance, centralization and decentralization, coordination. Departmentalization. Functional, divisional and matrix structures. Team structure and network structure.

#### **TOPIC 8: Communication in the organization**

**Subtopics:** Concept and role of communications in management. Communication process, its elements and stages. Forms of interpersonal communication and their barriers. Forms of organizational communications, their barriers. Types of communication networks. Communication management in the organization.

#### **TOPIC 9: Motivation of personnel in the organization**

**Subtopics:** Concept and Model of Motivation. Development of the concept of motivation by different schools of management. Substantial theories of motivation: A. Maslow's theory of the hierarchy of needs; F. Herzberg's two-factor theory; McClelland's theory of acquired needs; ERG theory by K. Alderfer. Procedural theories of motivation: theory of justice, theory of expectations; model. Concept and classification of management methods. Basic principles of management.

#### **TOPIC 10: Leadership in the organization**

**Subtopics:** The Nature of Leadership and Its Basis. Balance of power and its forms. Effective leadership style: approach from the standpoint of personal qualities; behavioral and situational approaches. Classification of leadership styles in a behavioral approach. R. Blake's managerial grid. Situational leadership theories of Fiedler, Hersey-Blanchard, Reddin, Vroom-Yetton. Leadership of women

#### **TOPIC 11: Group Management**

**Subtopics:** Groups in the organization and their types. Informal groups and their reasons. Management of an informal group. Characteristics of groups and their effectiveness. Group processes. Building and Managing Teams - Advantages and Disadvantages of Working in Teams

#### **TOPIC 12: Conflict and stress management**

**Subtopics:** The nature and types of conflicts in the organization. Causes and consequences of conflicts. Methods for resolving a conflict situation. Causes of stress and its reduction

#### **TOPIC 13: Organizational Change Management**

**Subtopics:** The nature, model and stages of the change management process. Types of organizational change. Conflict resolution methods. The concept of organizational development.

#### **TOPIC 14: Self-management**

**Subtopics:** The Necessity, Nature, and Benefits of Self-Management. Symptoms and causes of the irrational organization of the work of managers. Self-management tools: "life curve", time series for ranking life goals, analysis of your strengths and weaknesses, prioritization using ABC analysis and the Eisenhower principle. Delegation: meaning, rules, reasons for the resistance of subordinates and leaders.

#### **TOPIC 15: Human Resource Management**

**Subtopics:** Changing the place of human resource management in the organization. Objectives and functions of HR management. Strategic and operational roles of the Chechen Republic management. Stages of HR management. Attracting an efficient workforce. HR planning, sources, methods and criteria for recruitment and selection of personnel. Building an efficient workforce. Personnel training and development. Career management. Maintaining a high efficiency of the workforce. Determination of the personnel remuneration system.

#### **TOPIC 16: Control in the organization**

**Subtopics:** The concept of control, its purpose and scope. Stages of the control process. Forms of operational control. Forms of organizational control. General characteristics of the control method. The system of internal control of the organization.

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- 6.Мастерство менеджмента. - М.: Росмэн, 2017. - 864 с.
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5. Бугаков В.М. Управление персоналом: Учебное пособие /В.П. Бычков, В.М. Бугаков, В.Н. Гончаров; Под ред. В.П. Бычкова. М.: НИЦ ИНФРА-М, 2017. - 237 с.
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Discipline «**Strategic management**»

**TOPIC 1: Introduction to strategic management.**

**Subtopics:** Features of modern business. Teaching strategic management. Managerial characteristics in strategic management.

**TOPIC 2: Developing a strategy, mission and development goals for companies.**

**Subtopics:** Concept of strategy. Vision and mission of the organization. The goals of the organization. Missions and development goals of large domestic (joint) companies.

**TOPIC 3: Strategic analysis of the internal environment of the company.**

**Subtopics:** Directions and types of analysis. Value chain analysis. Key Success Factors (KFU). Portfolio analysis.

**TOPIC 4: Strategic analysis of the environment of the firm.**

**Subtopics:** Application of SWOT Analysis. Analysis of the macroenvironment of the company (PEST analysis). Analysis of the external microenvironment of the company.

**TOPIC 5: Types of strategies.**

**Subtopics:** Basic (reference) strategies. Competitive strategies. Leadership strategy through cost savings. Differentiation strategy. Focusing strategy. Product renewal strategy.

**TOPIC 6: Strategic planning.**

**Subtopics:** Rules and Methods of Planning. Strategic and tactical planning. Strategy implementation and master plans.

**TOPIC 7: Business planning strategy.**

**Subtopics:** Purpose of a business plan. The structure and content of the business plan.

**TOPIC 8: Integration strategies.**

**Subtopics:** Strategic Alliances and Joint Ventures. Horizontal and vertical integration. Insourcing and outsourcing. Mergers and acquisitions of companies. Defense strategies against hostile takeovers.

**TOPIC 9: Integration in a public-private partnership.**

**Subtopics:** Management of interaction between government and business. Signs and forms of public-private partnership. Historical experience. Mechanisms for the implementation of public-private partnerships. Production sharing agreements.

### **TOPIC 10: Balanced Scorecard in Strategic Management.**

**Subtopics:** Structure and Principles of the Balanced Scorecard (BSC). Balanced Scorecard projections. Features of the application of the balanced scorecard.

### **TOPIC 11: Corporate and Competitive Strategies**

**Subtopics:** Strategic management pyramid and levels of company strategy. Integration strategies. Concentrated growth strategies. Diversified growth strategies. Competitive strategies

### **TOPIC 12: Strategic Change Management**

**Subtopics:** Major Areas of Strategic Change. Complex methods of making changes in the organization

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5. Волкогонова, О.Д. Стратегический менеджмент: Учебник / О.Д. Волкогонова, А.Т. Зуб. - М.: Форум, 2016. - 240 с.

## Discipline «Project management»

### **TOPIC 1: Concept of project management**

**Subtopics:** Relationship between project management and investment management. The relationship between project management and functional management. Preconditions for the development of project / economic management methods. Prospects for the development of project management. Transition to project management: tasks and stages of solution.

### **TOPIC 2: Fundamentals of Project Management**

**Subtopics:** Classification of basic concepts of project management. Classification of project types. Purpose and strategy of the project. The result of the project. Managed project parameters. Project environment. Project cycle. Structuring projects. Functions and subsystems of project management. Project management methods. Organizational structures of project management.

### **TOPIC 3: International Standards and Certification in Project Management**

**Subtopics:** Standards applicable to the project management system of an organization as a whole and to assess the level of maturity of the organizational project management system. International Project Management Certification. International Project Management Association (IPMA) certified. American Project Management Institute (PMI) Certified

### **TOPIC 4: Pre-investment phase of the project**

**Subtopics:** Basic Concepts. Stages of implementation of the pre-investment phase. The composition of the main pre-design documents. Design analysis. Assessment of the viability and financial feasibility of the project

### **TOPIC 5: Investment and operational phases of the project**

**Subtopics:** Composition of project documentation. Management of development of project documentation. Stages of development of project documentation. Purchasing and supply engineering. Organization of quality control. Technical Supervision.

### **TOPIC 6: Organizational Structures of Project Management**

**Subtopics:** General principles of building organizational structures for project management. Organizational structure and system of relationships between project participants. Organizational structure and content of the project. Organizational structure of the project and its external environment. General sequence of development and creation of organizational structures for project management. Modern methods and tools for organizational modeling of projects.

### **TOPIC 7: Project Finance**

**Subtopics:** Sources and organizational forms of project financing. General Provisions. Sources of financing. Organizational forms of financing. Organization of project financing. Basic definitions. Features of the project financing system in developed countries. Advantages and Disadvantages of Project Finance. Prospects for using the project financing method

### **TOPIC 8: Evaluation of the effectiveness of investment projects**

**Subtopics:** Basic principles for evaluating the effectiveness of investment projects. Initial data for calculating the effectiveness of the project. Key performance indicators of the project. Evaluation of the effectiveness of the investment project. Impact of risk and uncertainty in assessing project performance

### **TOPIC 9: Project management system in the company**

**Subtopics:** The essence of the project management system. Corporate standards of project management. Corporate project management system. Management of programs and project portfolios. Organizational maturity of companies. Training of company personnel in the field of project management

### **TOPIC 10: Project planning**

**Subtopics:** Basic concepts and definitions. Planning processes. Planning levels. Work Breakdown Structure (WPP). Appointment of those in charge. Identification of major milestones. Typical planning mistakes and their consequences. Detailed planning. Network planning. Communication of estimate and scheduling. Resource planning. Documenting the project plan.

### **TOPIC 11: Project control and regulation**

**Subtopics:** Objectives and Content of Project Control. Monitoring of project activities. Measurement of work progress and analysis of results. Making decisions. Change management.

### **TOPIC 12: Project Cost Management**

**Subtopics:** Basic Principles of Project Cost Management. Estimation of the project cost. Project budgeting. Project cost control methods. Cost reporting

### **TOPIC 13: Project Quality Management**

**Subtopics:** Basic Principles of Quality Management. Quality management methods. Project quality management. Application of international standards in quality management systems. The procedure for preparing enterprises and organizations for certification for compliance with the requirements of an international standard.

### **TOPIC 14: Project Resource Management**

**Subtopics:** Resource Management Processes. Project resources. Resource management processes. Basic principles of project resource planning. Resource procurement management. The main tasks of procurement and supply. Legal regulation of procurement and supplies. Organizational forms of procurement. Basic requirements for procurement and supply management

### **TOPIC 15: Risk Management**

**Subtopics:** Basic concepts and structure of risk management. Methods for analyzing project risks. Risk mitigation techniques. Organization of work on risk management

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4. Соснин, Э.А. Управление инновационными проектами: учебное пособие / Э.А. Соснин. - Рн/Д: Феникс, 2018. - 256 с.

## Discipline «**Innovative management**»

### **TOPIC 1: Trends and varieties of forms of development, development management**

**Subtopics:** Foundations of Development Theory. Types and forms of development. Development as the main goal of innovation management. Development trends. General characteristics of modern development trends. The dynamics of scientific revolutions. Dynamics of development of innovation management

### **TOPIC 2: Innovations as an object of innovative management**

**Subtopics:** Basic Concepts of Innovation Management. Fundamentals of innovative management

The main aspects of development management. Implementation of the development management process. Feedback in control systems. Basic principles of managing various systems. Management of innovation processes

### **TOPIC 3: The emergence, formation and main features of innovation management**

**Subtopics:** Main features of innovation management. The essence of innovation and innovation. Types and types of innovations. Measuring innovation activity. Goals of innovation and ways to achieve them. General conditions for the implementation of innovative activities. Innovation as a factor of competitiveness. Innovation activity and its role in economic practice

### **TOPIC 4: Organization of innovation management**

**Subtopics:** General Issues of Organization of Innovation Management. Organization of innovation management at the macroeconomic level. Organization of innovation management at the mesoeconomic level. Organization of innovation activities at the microeconomic level.

### **TOPIC 5: Development of programs and projects of innovations**

**Subtopics:** Concept and types of innovative projects and programs. Innovation policy as the basis for the development of programs and projects of innovations. Methodological base for the development and implementation of innovative projects and programs. Development of innovation programs. Development and implementation of innovative projects. Development and implementation of innovative multi-projects. Modeling the processes of introducing innovations into investment multi-projects

### **TOPIC 6: Creating an enabling environment for innovation**

**Subtopics:** Key aspects related to creating an enabling environment for innovation. The newest international division of labor in the era of informatization as a macroeconomic basis for the formation of favorable conditions for innovation. Trends and prospects for the development of innovations as an investment object. Trends and prospects for the development of innovative activities of enterprises in modern conditions

### **TOPIC 7: Forms of innovative management**

**Subtopics:** General characteristics of organizational forms of innovation management. Technoparks as an interfirm organizational form of innovative development. Venture companies as forms of innovative development. Endowment funds as a promising form of innovation management development. Quality management of innovative projects for the creation and development of business incubators. Mechanism for managing the quality of innovative projects for the creation and development of business incubators

### **TOPIC 8: Innovative games**

**Subtopics:** Models of the innovation process. Modification of the macroeconomic model of Leontiev's input-output balance, demonstrating the process of innovative development. Microeconomic modeling of innovative development processes. General aspects of modeling innovative development management processes. Description of the mathematical model for creating innovative products in a single-purpose setting.



### **TOPIC 9: Forecasting in innovation management**

**Subtopics:** Forecasting Macroeconomic Development Problems. Macroeconomic Forecasting of Development Prospects for Innovation Management. Time models of economic development management processes .. Dynamic forecasting

### **TOPIC 10: Innovation management and strategic management in models**

innovative development of the economy

**Subtopics:** Ways of making decisions based on the analysis of strategic development schemes. Assessment of the development prospects of the organization by GAP-analysis. The BGG matrix of the organization's development strategy. A variant of using the Thompson and Strickland model in developing development strategies.

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## Discipline «Human resources management»

### **TOPIC 1: Conceptual Foundations of Human Resource Management Theory**

**Subtopics:** Actualization of the problem of human resource management. Correlation of concepts

"Personnel management" and "human resource management", "human resource" and "human capital". Goals, objectives and functions of human resource management.

### **TOPIC 2: Evolution of the Human Resource Management Function**

**Subtopics:** Human Resource Management from a Historical Perspective. Human resource management functions of modern corporations. Activities and roles in human resource management.

### **TOPIC 3: Human Resource Formation**

**Subtopics:** Personnel Planning. Recruiting and hiring. Development of a compensation system

### **TOPIC 4: Human Resource Development**

**Subtopics:** Staff Motivation. Staff training. Assessment of labor resources. Career development and leadership in the organization

### **TOPIC 5: The problem of the role of culture in human resource management**

**Subtopics:** Concept and Perspectives of Organizational Culture. Organizational and national culture. Differences in national cultures. Organizational Culture Management

### **TOPIC 6: International experience in human resource management**

**Subtopics:** Major Trends in Human Resource Management in International Companies. The American Approach to Human Resource Management. Human resource management. European model of human resource management. Japanese model of human resource management. The problem of human resource management in developing countries.

### **TOPIC 7: Strategic Human Resource Management**

**Subtopics:** Human Resource Management Processes. Organization development strategies and personnel management. The main methods of planning the number of personnel.

### **TOPIC 8: Effective HR Management**

**Subtopics:** Relationship of the personnel management system with the goals of the organization. Compliance of the personnel management system with the state of the external environment and the culture of the organization. The integrity of the personnel management system. Participation of the organization's management in the personnel management process. Competent and evolving HR service.

### **TOPIC 9: Personnel Management of Crisis Enterprises**

**Subtopics:** The Crisis of the Organizational System and Its Impact on the Labor Sphere. Anti-crisis management and the role of the bankruptcy administrator in the general complex of recreational activities. Informational, potential and applied models of personnel management during the period of bankruptcy restructuring.

### **TOPIC 10: Modern approaches to human resource management**

**Subtopics:** Personnel in a modern organization. The essence of human resource management. New concept of human resource management. Political and organizational aspects of human resource management. Human resource management system.

### **TOPIC 11: Human Resource Development**

**Subtopics:** Personnel Planning. Recruiting and recruiting. Development of a compensation system. Professional orientation and adaptation.

### **TOPIC 12: Human Resource Development**

**Subtopics:** Staff Motivation. Staff training. Assessment of labor resources. Career development and leadership in the organization.

### **TOPIC 13: International Aspects of Human Resource Management**

**Subtopics:** Globalization and Human Resource Management. Foreign experience in human resource management. The main directions of human resource management in international companies. Global manager.

### 3. List of references.

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