

**КЕНЖЕҒАЛИ САҒАДИЕВ
АТЫНДАҒЫ
ХАЛЫҚАРАЛЫҚ БИЗНЕС
УНИВЕРСИТЕТИ**



**KENZHEGALI SAGADIYEV
UNIVERSITY OF
INTERNATIONAL BUSINESS,
UIB**

APPROVED
by the Academic Council of UIB
Minutes No. 6 dated 26.01.2024
Chair – Makhmetova A.M.

REGULATION

**ON THE ETHICS COMMITTEE OF THE SCIENTIFIC COUNCIL
“KENZHEGALI SAGADIYEV UNIVERSITY OF INTERNATIONAL
BUSINESS” LLP**

EDITION 3

Effective from the date of signing

Almaty, 2024

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Document Passport

Document Type	Regulation
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Owner of the original	QAC

Approval Sheet

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1. Общие положения

1.1 This Regulation defines the procedure for the establishment and operation of the Ethics Committee of the Scientific Council of *Kenzhegali Sagadiyev University of International Business* LLP (hereinafter – UIB or the University), responsible for ensuring compliance with the norms of scientific ethics, rules of professional conduct, and standards of interaction among employees, students, master’s students, and doctoral students of UIB (hereinafter – the Ethics Committee or the Committee).

1.2 In its activities, the Ethics Committee is guided by the Constitution of the Republic of Kazakhstan, the Law of the Republic of Kazakhstan “On Science,” the Charter of *Kenzhegali Sagadiyev University of International Business* LLP, the Regulation “On PhD Doctoral Studies,” the Code of the Republic of Kazakhstan “On Public Health and the Healthcare System,” as well as this Regulation.

1.3 The primary function of the Ethics Committee is to support the University in ensuring that employees, students, master’s students, and doctoral students of UIB comply with scientific ethics, professional conduct rules, and standards of interaction in the planning, evaluation, selection, execution, and dissemination of research results. This includes safeguarding the rights, safety, and wellbeing of research subjects (living organisms and natural environments), as well as preventing ethical violations and addressing any consequences should they occur.

2. Tasks of the Ethics Committee

2.1 The tasks of the Ethics Committee are as follows:

- establishing ethical standards, rules of professional conduct, and norms of interaction for employees, students, master’s students, and doctoral students of UIB in the field of scientific research, ensuring that they duly and responsibly fulfil their professional duties;

- resolving ethical conflicts and providing assistance, including confidential consultations, with the goal of maintaining a favourable moral and psychological climate within the UIB working environment;

- verifying compliance with ethical and professional standards during the planning, evaluation, selection, execution, and dissemination of research results, including ensuring the protection of the rights, safety, and wellbeing of research subjects (living organisms and natural environments).

2.3 The Ethics Committee does not consider cases related to violations of the legislation of the Republic of Kazakhstan committed by employees, students, master’s students, or doctoral students of UIB.

3. Powers of the Ethics Committee

3.1 Studying, summarising, and disseminating the experience of other scientific organisations regarding the implementation of ethical principles of scientific research in their practice.

3.2 Reviewing letters and statements submitted to the Ethics Committee by employees, students, master’s students, and doctoral students of UIB.

3.3 Reviewing doctoral dissertations submitted by doctoral students to ensure the absence of violations during the planning, evaluation, selection, execution, and dissemination of research results, including the protection of the rights, safety, and wellbeing of research subjects (living organisms and natural environments).

3.4 Considering issues related to violations of ethical norms and requirements in scientific research committed by employees, students, master’s students, and doctoral students of UIB.

3.5 In accordance with a decision to conduct an inquiry into alleged violations of ethical norms, the Ethics Committee is entitled to:

- involve specialists in relevant fields (law, management, psychology, economic security, and others);

- invite applicants and other individuals whose information may help clarify the circumstances and support an objective decision.

3.6 The Ethics Committee may apply various measures to individuals who violate ethical norms and rules in the field of scientific research.

The following acts may be considered violations of scientific ethics:

- false statements, provision of false information
- falsification of scientific data;
- violation of intellectual property rights: unauthorised use (plagiarism); unlawful appropriation of research methods and ideas (idea theft); unauthorised publication or disclosure of unpublished works, findings, hypotheses, theories, or scientific methods; claiming co-authorship with another person without their consent;
- harm caused to another person’s scientific work;
- active involvement in violations of scientific ethics committed by others: awareness of falsification carried out by others; co-authorship of falsified publications.

Sanctions imposed in cases of confirmed ethical violations depend on the severity of each proven breach and include measures provided for under the labour, civil, and criminal legislation of the Republic of Kazakhstan.

4. Chair and members of the Ethics Committee

4.1 The Committee is composed of employees and experts who possess the professional knowledge required to carry out the Committee’s work.

4.2 The Committee includes individuals who have no direct ties to those submitting applications. Members of the Committee may include academic staff engaged in research in relevant fields, as well as members of the University’s administrative and managerial staff.

4.3 The Chair of the Ethics Committee is the Chair of the Scientific Committee.

The Chair of the Ethics Committee:

- oversees the activities of the Ethics Committee and organises its work;

- signs all documents issued on behalf of the Ethics Committee.

4.4 Members of the Ethics Committee:

- personally participate in the meetings of the Ethics Committee. If unable to attend, members must inform the Chair of the Committee and state the reason for their absence no later than one day before the meeting;
- ensure the confidentiality of all information received and prevent unauthorised disclosure of information obtained in the course of the Committee’s work;
- take part in developing the Committee’s work plan, meeting agendas, and proposals for matters related to scientific ethics to be reviewed.

4.5 The Secretary of the Ethics Committee:

- manages documentation;
- informs and convenes Committee members for meetings;
- prepares meeting agendas and records the minutes;
- facilitates communication between Committee members and applicants;
- prepares documents for Committee meetings.

5. Organisation of the work of the Ethics Committee

5.1 Meetings of the Ethics Committee are held as necessary, but not more than twice per month.

5.2 When preparing for a meeting of the Ethics Committee, the Chair—taking into account suggestions from Committee members—shall:

- determine the date, time, and venue of the meeting;
- approve the agenda of the meeting;
- determine the list of materials and documents required for consideration of the items on the agenda;
- determine the list of individuals who may be invited to the meeting but are not Committee members;
- address other matters related to preparing and organising the meeting.

5.3 Meetings of the Ethics Committee are chaired by the Chair of the Ethics Committee.

5.4 A meeting of the Ethics Committee is considered valid if more than half of its members are present.

5.5. Decisions on matters under consideration are made by a majority vote of the members present, through open voting. In the event of a tie, the Chair’s vote is decisive.

5.6 If a Committee member disagrees with a decision, their comment shall be attached as an appendix to the meeting minutes.

6. Procedure for conducting inspections

6.1 An inspection is carried out based on instructions from the heads of structural units, statements submitted by employees, students, master’s students, and

doctoral students of UIB, as well as by individuals not affiliated with UIB if the issue concerns violations of scientific ethics committed by persons affiliated with UIB.

6.2. An inspection includes:

- obtaining written and oral explanations, as well as documents related to the matter under review;
- analysing reports generated by plagiarism-detection software;
- identifying signs of violations of scientific ethics requirements;
- taking other actions necessary to ensure an objective inspection, within the powers of the Ethics Committee established by this Regulation.

6.3 The Ethics Committee’s Conclusion based on the results of the inspection must contain an objective assessment of the issue under review and include:

- conclusions confirming the absence of violations of scientific ethics, rules of professional conduct, or norms of interaction during the planning, evaluation, selection, execution, and dissemination of research results, including protection of the rights, safety, and wellbeing of research subjects (living organisms and natural environments);
- well-reasoned conclusions confirming the accuracy of the facts described in the written statement regarding alleged violations of ethical norms;
- conclusions confirming the existence of violations of scientific ethics, rules of professional conduct, or norms of interaction in the planning, evaluation, selection, execution, and dissemination of research results, including protection of the rights, safety, and wellbeing of research subjects;
- necessary recommendations and proposals.

6.4 The Conclusion based on the results of the inspection is reviewed at a meeting of the Ethics Committee.

6.5 All concerned parties must be acquainted with the Conclusion.

7. Procedure for obtaining an Opinion on the compliance of a doctoral dissertation with ethical standards

7.1 For consideration at an extended meeting of the department graduating doctoral students, an Opinion on compliance with ethical standards issued by the Ethics Committee of the educational institution where the doctoral student studied is required, based on a written application from the doctoral student.

7.2 The following documents must be submitted to the Ethics Committee for review:

- an application addressed to the Chair of the Ethics Committee (Appendix 1);
- the doctoral dissertation;
- reviews by scientific supervisors;
- a certificate (report) of the plagiarism check from the “StrikePlagiarism.com” system;
- a list of publications produced within the dissertation research, certified by the Academic Secretary of the University.

7.3 To ensure objectivity, the Committee meeting is held with the mandatory participation of the doctoral student and the domestic scientific supervisor.

7.4 Based on the discussion and voting results, an Opinion on compliance with ethical standards is issued (Appendix 2), confirming the absence of violations during the planning, evaluation, selection, execution, and dissemination of research results, including protection of the rights, safety, and wellbeing of research subjects. If less than 75% of the Committee members participating in the vote support the decision, a repeated discussion of the dissertation is conducted.

8. Final provisions

8.1. This Regulation enters into force on the date of its approval by Order of the President of UIB.

8.2 Based on the results of its activities, the Committee prepares an annual report and submits it to the Scientific Committee.

Appendix 1

To the Chair of the Ethics Committee
at Kenzhegali Sagadiyev
University of International Business, UIB

From the doctoral student of _____
the Department of _____
Full name _____
Contacts: _____
(mobile phone, e-mail address)

Application

It is requested that the materials of the dissertation research be reviewed at a meeting of the Ethics Committee and that an appropriate conclusion be issued.

Dissertation title: _____.

The dissertation has been completed in the speciality: _____ (indicate speciality code or field of study).

Author of the dissertation

Full name

Signature, date

Appendix 2

Conclusion of the Ethics Committee of Kenzhegali Sagadiyev University of International Business

№	Full name of the doctoral student	
1	Speciality (doctoral educational programme)	
2	Period of doctoral study	
3	Title of the dissertation, date of approval	
4	Information on academic supervisors, full name (if applicable), positions and workplaces, academic degrees, citizenship	
5	Research subjects	
6	Violations identified during the planning, evaluation, selection, and conduct of the research	Violations identified or not identified. If violations are identified, they must be specified.
7	Violations identified during the dissemination of research results	Violations identified or not identified. If violations are identified, they must be specified.
8	How were the rights, safety, and wellbeing of the research subjects protected (if research involved living organisms and/or natural environments)?	

Chair

_____ (signature, surname, first name, patronymic (if applicable))

Secretary

_____ (signature, surname, first name, patronymic (if applicable))