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REGULATION

ON THE ETHICAL COMMISSION OF KARAGANDA TECHNICAL UNIVERSITY

KTU IRD IV-08-2021

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Karaganda

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Effective date 2021.10.04
(year, month, date)

1 General provisions

1.1 This Regulation establishes the requirements for the activities of the ethical commission of the NLC "Karaganda Technical University" (hereinafter referred to as the Ethical Commission) to consider issues of ethical norms, rules of professional conduct and relationships of doctoral students of the Karaganda Technical University (hereinafter referred to as the University) in the process of carrying out scientific research and preparing dissertations for defense.

1.2 The Ethics Commission in its activities is guided by the Laws of the Republic of Kazakhstan "On Education" and "On Science", the State mandatory Standard of Postgraduate Education (Doctoral studies), the Charter of the University, as well as this Regulation.

2 Tasks of the Ethics Commission

The main tasks of the Ethics Commission are:

2.1 Contributing to the achievement of the goal – the establishment of ethical norms, rules of professional behavior and relationships between participants in the research activities of the University within the framework of the implementation of educational programs of postgraduate education.

2.2 Resolving ethical conflicts, providing assistance, including consultations, in order to ensure a favorable moral and psychological climate in the process of planning, evaluating, selecting, conducting and disseminating the results of dissertation research, including the protection of the rights, safety and welfare of research objects.

3 Authority of the Ethics Commission

3.1 Study, generalization and dissemination of the experience of other universities on the implementation of the principles of ethical standards in the practice of their activities.

3.2 Consideration of letters and applications received by the Ethics Commission from participants in the implementation of educational programs of postgraduate education in scientific and research activities.

3.3 The Ethics Commission, in accordance with the decision to verify the facts of violation of ethical standards, has the right:

- to attract specialists in the relevant fields (law, management, international relations, economic security and others);
- invite applicants and other persons for hearing, whose information will help to clarify all the necessary circumstances and make an objective decision.

3.4 The Ethics Commission may apply various measures of influence to the violator of ethical norms in accordance with the legislation of the Republic of Kazakhstan.

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4 Chairman and members of the Ethics Commission, their rights and obligations

4.1 The Chairman of the Ethics Commission is the Vice-Rector for Scientific Work of the University, who:

- directs the activities of the Ethics Commission and organizes its work;
- signs all documents issued on behalf of the Ethics Commission.

4.2 The Vice-Chairman of the Ethics Commission is the Chairman of the Expert Council of the University.

4.3 Members of the Ethics Commission:

- personally participate in the meetings of the Ethics Commission.
- ensure compliance with the confidentiality regime of the information received and do not allow unauthorized disclosure of information that became known to them during the work of the commission;

- participate in the formation of the work plan of the Ethics Commission, the agendas of its meetings, proposals for the introduction of ethical conduct issues for consideration.

5 Organization of the work of the Ethics Commission

5.1 Meetings of the Ethics Commission are held as necessary.

5.2 In preparation for the meeting of the Ethics Commission (hereinafter referred to as the meeting), its chairman, taking into account the proposals of the Commission members:

- determines the date, time and place of the meeting;
- approves the agenda of the meeting;
- determines the list of materials and documents required for consideration of issues on the agenda of the meeting;
- determines the list of persons invited to the meeting who are not its members;
- resolves other issues related to the preparation for the meeting.

5.3 A meeting of the Ethics Commission is competent if more than half of the total number of members of the Ethics Commission are present at it.

5.4 The conclusion on the issue under consideration is adopted by a majority vote of the members of the Ethics Commission present at the meeting by an open vote. In case of equality of votes, the vote of the Chairman of the Ethics Commission is decisive.

5.5 The decisions of the Ethics Commission are formalized by a protocol with the preparation of an appropriate conclusion.

6 The procedure for conducting inspections on violations of norms and requirements

6.1 The verification includes:

- receipt of written statements and documents related to the issue under review;
- identification of signs of ethical violations;
- implementation of other actions ensuring objective verification within the powers of

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the Ethics Commission.

6.2 The conclusion of the Ethics Commission on the results of the audit should contain an objective assessment of the issue under review and include:





- reasoned conclusions confirming the reliability of the data contained in the written statement about the facts of violations of ethical standards of conduct;
- necessary recommendations and suggestions.

6.3 All interested persons get acquainted with the conclusion of the Ethics Commission.

**Appendix A
(mandatory)**

F.04-2020

Coordination sheet

Position	Name	Date	Signature
QMR	Zhetessova G.S.	04.10.21.	
Chief accountant	Abiltussupova A.H.	30.09.21.	
Head of the CQM&A	Zhunussova G.Ye.	27.09.21.	
Vice rector for scientific work	Khuangan N.	24.09.21.	

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Appendix B
(mandatory)

F.05-2020

Familiarization sheet

Position	Name	Date	Signature