

**Non-profit Limited Company
“Karaganda Technical University”**

**REGULATION
on Research Ethics**

2021

1. General provisions

1.1 This Regulation establishes the requirements for the scientific activities of NLC "Karaganda Technical University" (hereinafter referred to as the University) for the observance of ethical principles and norms, rules of professional behavior and relationships of University scientists in the process of performing scientific research.

1.2 The Regulation has been developed in accordance with the following regulatory documents:

- Law of the Republic of Kazakhstan "On Education" dated July 27, 2007 No. 319-III;

- Law of the Republic of Kazakhstan "On Science" dated February 18, 2011 No. 407-IV;

- Law of the Republic of Kazakhstan "On Combating Corruption" dated November 18, 2015 No. 410-V.

- Charter of NLC "Karaganda Technical University" approved by order No. 335 dated May 29, 2020

1.3 Research ethics is a set of moral principles that determine implementation of all the stages of research from planning to organizing the research process and publishing results.

2. Main objectives

2.1. Establishing ethical standards, rules of professional behavior and relationships between the performers of research work (hereinafter - R&D) of the University;

2.2. Ensuring a favorable moral and psychological climate in the process of planning, evaluating, selecting, conducting and disseminating the results of scientific research including protecting the rights, safety and well-being of research objects;

2.3 Ensuring the improvement of the research work quality;

2.4. Preventing corruption and violations of research ethics in science and creativity, discrediting scientific and creative activities at the University;

2.5. Ensuring an increase in the level of responsibility of the teaching staff (hereinafter - the faculty), employees and students of the University in compliance with research ethics in science.

3. Principles of research ethics

3.1 The activities of scientists (researchers) of the University should be based on the values and principles proceeding from the fundamental human rights to freedom of research and respect for the rights and legitimate interests of research participants.

3.2 Principles of research ethics are as follows:

- *Respect*

• to respect the human right to participate in research;

• to provide a person and/or his legal representative with the opportunity to consciously and voluntarily participate or refuse to participate in the research at

any of its stages without any consequences;

- to prevent violations of human rights and freedoms, incl. inviolability of private life, personal and family secrets, to protect his honor and dignity.

- *Benefit*

- to minimize potential risks of harm to research participants, researchers themselves and society in the course of the development of the research methodology, its implementation, dissemination and application of the results;

- to strive to maximizing the benefits of research for the individual and society;

- to show special concern for protection of the rights, freedoms and interests of vulnerable research participants;

- to show sensitivity to the individual, ethnic, cultural, linguistic, socio-economic, educational and other characteristics of the research participants.

- *Fairness*

- to select research participants with an open mind, to be guided solely by the research methodology;

- not to put the interests of some research participants above the others;

- to contribute to reducing inequality and ensuring equity in society.

- *Conscientiousness*

- to inform honestly and courageously the public of one's research avoiding bias and self-interest;

- to acknowledge openly the strong and weak points of one's research;

- to respect the work of research participants and authors of sources.

- *Accountability*

- to take all the measures to avoid conflicts of interests in research;

- to disclose the source of research funding;

- to discuss the research openly, thoroughly and constructively with everyone who has an interest in it;

- to disseminate research results widely.

- *Professionalism*

- to participate in research appropriate to the qualifications of an educational researcher;

- to consult with experts if necessary;

- to improve continuously one's professional research competences.

3.3 Research ethics implies an honest and trusting relationship based on mutual respect that leads to free exchange of ideas, opinions, the results of one's creativity and scientific research.

3.4 The principles and norms of this Regulation also apply to the activities of an education researcher as a supervisor of master and doctoral students, a teacher, an expert and a reviewer, as far as is appropriate in each specific case.

4. The teaching staff, employees and students of the University are obliged:

4.1 To refer responsibly to selecting the scientific supervisor of the topic;

4.2 Not to allow cases of scientific research repeating by other authors;

4.3 When conducting scientific and creative research, to respect the research

results of other authors, not to allow treating the author and the results of his work in a dismissive or negative form;

4.4 To recognize the author's right to his opinion, in case of disagreement with him in a correct and respectful form to provide evidence of his innocence;

4.5 To observe ethical standards when carrying out experiments, creative projects, if necessary, to obtain permission to use someone else's material, territory, filming people, etc.;

4.6 To comply with the norms of safety and ethical attitude towards the environment including protection of the rights, safety and well-being of research objects (objects of wildlife and habitat);

4.7 To avoid manifestations of cases of dishonesty in R&D;

4.8 To know the normative legal documents on copyright, their observance and protection;

4.9 To respect the intellectual property of others and to respect copyright;

4.10 Not to allow disclosure of confidential information.

5. Violation of research ethics

5.1 Forgery, falsification of the data or results of scientific research and/or other documents;

5.2 Indication of non-existent sources of information;

5.3 Ignoring the data that contradict the research results;

5.4 Imposing co-authorship on colleagues, etc.;

5.5 Assignment, denial or suppression of the intellectual and/or material contribution of other participants in the scientific, creative process;

5.6 Appropriation of the results of someone else's intellectual, scientific, creative work (plagiarism);

5.7 Inappropriate criticism of colleagues due to personal antipathy, competition or other motives not related to the quality of the evaluated research work or creative project.

6. Control over compliance with research ethics

6.1 In order to form and to develop a favorable research environment at the University, an Ethics Commission was formed (order No. 347 of August 26, 2020). Vice-rector for scientific work was appointed the Chairman of the Ethics Commission. The Ethics Commission makes decisions taking into account the fundamental requirements of ethics and is fully responsible for the decisions made.

6.2 The Ethics Commission of the University, according to its competence, is obliged to respond to problems associated with violation of the principles of research ethics by means of:

- taking timely measures to correct the situation and to eliminate deficiencies;
- taking effective disciplinary measures in accordance with the procedure established by law;

- conducting consultations with the relevant structural divisions of the University providing them with the necessary information. These actions must be formalized in the minutes in accordance with the internal procedures of the

University.

6.3 The teaching staff, employees and students of the University are obliged to adhere strictly to the principles of research ethics and to report any violations thereof.

6.5 Recommendations adopted by the Ethics Commission in the prescribed manner are submitted for consideration to the Chairman of the Board, Rector of the University and approved by him.