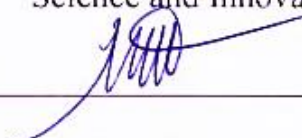

PROVISION

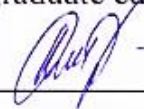
ON THE COMMISSION FOR ETHICAL EVALUATION OF SCIENTIFIC RESEARCH

IDR VI-06-2025

Developed by:
Board Member – Vice rector of
Science and Innovation



Head of the department of
postgraduate education



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1 Scope of application

1.1 These provisions address issues related to compliance with ethical standards applied in the Non-Commercial Joint-Stock Company «Abylkas Saginov Karaganda Technical

University» (hereinafter referred to as the University).

1.2 This provision has the status of an internal regulatory document and is mandatory for execution.

2 Normative references

1. The commission for ethical evaluation of scientific research in its activities is guided by the laws of the Republic of Kazakhstan «On education» dated July 27, 2007 No. 319-III, «On science» dated February 18, 2011 No. 407-IV, orders «On approval of the model provision on the dissertation council» dated March 31, 2011 No. 126, «On approval of the state compulsory standards of higher and postgraduate education» dated July 20, 2022 No. 2, «On approval of the rules for awarding degrees» dated March 31, 2011 No. 127, the charter of the university, as well as this provision.

3 Terms, definitions and abbreviations

Doctoral studies are postgraduate education, the educational programs of which are aimed at training personnel for scientific, pedagogical and (or) professional activities, with the award of a Doctor of Philosophy (PhD) degree (doctor in the field) with the mandatory completion of at least 180 academic credits.

A doctoral student is a person studying for a doctorate.

Doctor of Philosophy (PhD), doctor in profile – degrees awarded to persons who have completed a doctoral program in a scientific and pedagogical or profile direction in the relevant field of professional activity and defended a dissertation in the Republic of Kazakhstan or abroad, recognized in the manner established by the legislation of the Republic of Kazakhstan.

Dissertation councils are collegial bodies at higher and/or postgraduate education institutions (hereinafter referred to as HEI) that conduct the defense of doctoral dissertations.

Ethical norm — a system of common values and ethical rules that an organization requires its employees to follow.

The ethical review committee for scientific research is a committee that considers issues of ethical standards, rules of professional conduct, and relationships between doctoral students and faculty teaching staff.

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4 General provisions

This provision establishes the requirements for the activities of the ethical assessment commission scientific research of the university (further - commission) to consider issues of ethical standards, rules of professional conduct and relationships between doctoral students of the university and the teaching staff in the process of carrying out scientific research and preparing dissertations for defense.

5 Tasks of the ethical review committee for scientific research

The main tasks of the commission for the ethical assessment of scientific research are:

5.1. Assistance in achieving the goal - establishing ethical standards, rules of professional conduct and relationships between participants in the University's research activities within the framework of the implementation of postgraduate educational programs.

5.2. Resolving ethical conflicts, providing assistance, including consultations, with the aim of ensuring a favorable moral and psychological climate in the process of planning, evaluating, selecting, conducting and disseminating the results of dissertation research, including protecting the rights, safety and well-being of research subjects.

6 Powers of the committee for ethical assessment of scientific research

6.1. Study, generalization and dissemination of the experience of other universities in implementing the principles of ethical standards in the practice of their activities.

6.2. Review of letters and applications received by the commission for the ethical assessment of scientific research from participants in the implementation of postgraduate educational programs in scientific research activities.

6.3. The commission for the ethical assessment of scientific research, in accordance with the decision to conduct an investigation into violations of ethical standards, has the right to:

- attract specialists in 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.

6.4. The commission for ethical assessment of scientific research may apply various measures of influence to the violator of ethical standards in accordance with the legislation of the Republic of Kazakhstan.

7 Chairman and members of the commission for ethical assessment of scientific research, their rights and responsibilities

The Commission includes a minimum of 8 members, including the Chairman.

7.1. The Chairman of the Commission for Ethical Assessment of Scientific Research is

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the Board Member - Vice-Rector for Research of the University, who:

- manages the activities of the commission for the ethical assessment of scientific research and organizes its work;
- signs all documents issued on behalf of commissions for the ethical assessment of scientific research.

7.2. Responsible secretary the commission for the ethical assessment of scientific research is an employee of the department of science and innovation, which:

- carries out office work;
- organizes meetings of the commission for the ethical assessment of scientific research;
- organizes the collection of materials necessary for the work of the commission.

7.3. Members of the committee for ethical assessment of scientific research:

- personally participate in meetings of the commission for the ethical assessment of scientific research.
- ensure compliance with the confidentiality regime of the information received and do not allow the unauthorized disclosure of information that has become known to them during the work of the commission;
- participate in the formation of the work plan of the commission for the ethical assessment of scientific research, the agenda of its meetings, and proposals for consideration of issues of ethical behavior.

8 Organization of the work of the commission for the ethical assessment of scientific research

8.1. The meeting of the commission for the ethical assessment of scientific research (hereinafter referred to as the meeting) is held as necessary.

8.2. In preparation for 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 necessary for consideration of the 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 preparation for the meeting.

8.3. A meeting is valid if more than half of the total number of members of the Ethics Commission are present.

8.4. The conclusion on the issue under consideration is adopted by a majority of votes of those present at the Meeting by open vote. In the event of a tie, the vote of the chairman of the commission for the ethical assessment of scientific research is decisive.

8.5 Decisions of the meeting are recorded in minutes with the preparation of a corresponding conclusion.

9 Procedure for conducting inspections on violations of norms and requirements

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9.1. The check includes:

- receipt of a written application (Appendix 1, 3) and documents related to the issue being verified;
- identifying signs of violation of ethical standards, including absence of plagiarism;
- implementation of other actions that ensure objective verification within the powers of the commission for the ethical assessment of scientific research.

9.2. The conclusion of the commission for the ethical assessment of scientific research (Appendix 2, 4) based on the results of the inspection must contain an objective assessment of the issue being inspected and include:

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

9.3. All interested parties shall be familiar with the commission's conclusion.

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Appendix 1 (required)

F.VI-06-01

Sample Application for Review by the Ethics Review Committee scientific research

**To the Chairman of the Committee for
Ethical Evaluation of Scientific Research
NPJSC «Abylkas Saginov Karaganda
Technical University»
Full name**

STATEMENT

I request that you review and provide an opinion on the absence of violations of ethical standards in the process of planning, evaluating, selecting, conducting and disseminating the results of scientific research, including the protection of the rights, safety and well-being of the research subjects of the PhD candidate/doctor in the profile (full name of the doctoral candidate).

I inform you that:

1. Full name admitted to doctoral studies on a competitive basis (order number and date) without violations.
2. To supervise the doctoral dissertation of Full name., by order of the rector (No. from date), the following scientific consultants were appointed:

Full name - scientific and/or academic degree and place of work;

Full name - scientific and/or academic degree and place of work.

who meet the requirements for scientific consultants.

3. The topic of the doctoral dissertation Full name. was reviewed at the Scientific and Technical Council and approved by the decision of the Academic Council of the University (date and order number) as amended:

in the state language: «___»

in Russian: «___».

in English: «___».

4. An individual work plan for a doctoral student (Full name.) has been drawn up and approved by the decision of the Academic Council of the University (date and minutes number) without violating the requirements of the State Compulsory Standards of Higher and Postgraduate Education of the Republic of Kazakhstan.

5. Dissertation research does not involve materials that have restrictions («For Official Use Only», «Confidential», or only within the organization).

6. When completing the dissertation research, the following was used (list of certified equipment and software).

7. During his/her doctoral studies, Full name. regularly, at least once per term, presented reports at the department seminar «Department Name» and the University Scientific and Technical Council on the progress of his/her dissertation work and passed the corresponding academic certification for the implementation of the individual work plan with a positive decision.

8. Based on the results of the term training, Full name. passed the relevant academic certification for the implementation of the individual work plan with positive conclusions, without comments based on the results of each term.

9. In the process of preparing a doctoral dissertation Full name:

- 9.1. Published _ articles

No.	Article Title	Country, journal title and output data, scientometric indicators	Authors
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- 9.2. Presented _ reports at conferences:

No.	Title of the abstract of the report	Country, conference title and publication details	Authors
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- 9.3 Received a patent for a utility model:

No.	Name	Registration number and date	Authors
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- 9.4 Received _ a certificate of state registration of rights to copyright objects:

No.	Name	Number and date	Authors
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Continued Appendix 1

9.5 Additional information

9.5.1 As part of the individual curriculum in the first year of study (full name of doctoral student), pedagogical (terms) and research internships (terms) were completed.

9.5.2 As part of the individual study plan (terms), (full name of doctoral student) completed a research internship at (place and topic of internship (if any)).

9.5.3 The results of scientific research and development were used and implemented in the educational/production process (Name of the higher education institution, research institute, enterprise, etc.) (implementation certificate (term)).

9.5.4 The results of scientific research and development will be used ...

10. The results of scientific research and technological developments do not require special measures to protect the rights, safety and well-being of objects associated with the use of the results of the dissertation.

Scientific consultant

(signature)

(Full name)

Doctoral student

(signature)

(Full name)

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Appendix 2 (required)

F. VI-06-02

CONCLUSION NPJSC «Abylkas Saginov Karaganda Technical University»

1.	Full name of the doctoral student	
2.	Educational program (Specialty) of doctoral studies	
3.	Doctoral study period	
4.	Dissertation topic, approval date	
5.	Information about scientific consultants - full name (if any), positions and places of work, academic degrees, citizenship	
6.	Objects of research	
7.	Violations in the process of planning, evaluation, selection and implementation of scientific research	
8.	Violations in the process of dissemination of scientific research results	
9.	How were the rights, safety and well-being of research subjects (if there were living nature objects and habitats) protected?	

Chairman of the Commission

(Signature)

**Board Member - Vice-Rector for
Research and Development**

Secretary of the Commission

(Signature)

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Appendix 3 (required)

F.VI-06-03

Sample application for consideration by the committee for the ethical evaluation of scientific research

**To the Chairman of the Ethics Committee
Evaluation of Scientific Research
NPJSC «Abylkas Saginov Karaganda
Technical University»
Full name**

STATEMENT

Please review and provide an opinion on the absence of violations of ethical standards in the process of planning, evaluating, selecting, conducting and disseminating the results of scientific research, including the protection of the rights, safety and well-being of the research subjects of the applicant/author (full name, position, rank, department).

I inform you that:

1. The topics within which the research was conducted in the editorial office:

in the state language: «___»

in Russian: «___».

in English: «___».

2. Research does not involve materials that have restrictions («For official use only», «Confidential», or only within the organization).

3. When conducting the study, the following was used (list of certified equipment, software, etc.).

4. In the process of performing work/research Full name:

4.1. Published _ articles

No.	Article Title	Country, journal title and output data, scientometric indicators	Authors
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4.2. Presented _ reports at conferences:

No.	Title of the abstract of the report	Country, conference title and publication details	Authors
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4.3. Received a patent for a utility model:

No.	Name	Registration number and date	Authors
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4.4. Received _ a certificate of state registration of rights to copyright objects:

No.	Name	Number and date	Authors
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5. Additional information

5.1. As part of the work/research, (full name of applicant) completed a scientific internship at (place and topic of internship (if any)).

5.2. The results of scientific research and development were used and implemented in the educational/production process (Name of the educational institution, research institute, enterprise, etc.) (implementation certificate (if any)).

5.3. The results of scientific research and development will be used ...

6. The results of scientific research and technological developments do not require special measures to protect the rights, safety and well-being of objects associated with the use of the results of the dissertation.

Applicant

(signature)

(Full name)

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Appendix 4

(required)

F.VI-06-04

CONCLUSION

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1.	Full name of the author/s	
2.	Topic (project, article, etc.)	
3.	Objects of research	
4.	Violations in the process of planning, evaluation, selection and implementation of scientific research	
5.	Violations in the process of dissemination of scientific research results	
6.	How were the rights, safety and well-being of research subjects (if there were living nature objects and habitats) protected?	

Chairman of the Commission:

(Signature)

**Board Member - Vice-Rector for
Research and Development**

Secretary of the Commission:

(Signature)

F.01-2022

Approval sheet

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Appendix B (required)