

**«APPROVED BY»**  
**The chairman of the**  
**Research and Ethics Committee**  
**M.Narikbayev KAZGUU University**

\_\_\_\_\_ 20\_\_ year  
«\_\_\_\_» \_\_\_\_\_

**REGULATION**  
**ON RESEARCH AND ETHICS COMMITTEE**

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**Reg.#** \_\_\_\_\_

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**NUR-SULTAN**

**1 DEVELOPED AND INTRODUCED:** School of Liberal Arts  
M.Narikbayev KAZGUU University.

**2 DEVELOPER:** Director of School of Liberal Arts.

**3 CHECK PERIOD:** once a year

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## 1. Scope of use

1.1 Present regulation on the Research and Ethics Committee sets forth the requirements for monitoring and compliance with the academic issues of the School of Liberal Arts: monitoring the quality of general education programs, compliance with the norms and rules of the academic policy of M.Narikbayev KAZGUU University

1.2 Present regulation on the Research and Ethics Committee is mandatory for guidance in work by whole staff of the School of Liberal Arts.

1.3 Symbols and abbreviations:

1.3.1 the RK – the Republic of Kazakhstan;

1.3.2 the MES RK – the Ministry of Education and Science of the Republic of Kazakhstan;

1.3.3 KAZGUU – JSC “M.Narikbayev KAZGUU University”;

1.3.4 LSM – Legal Support Management;

1.3.5 SLA- School of Liberal Arts

1.3.6 JD – Job description;

1.3.7 TS – Teaching Staff;

1.3.8 EP – Educational program;

1.3.9 AQC – Academic Quality Committee;

1.3.10 REC – Research and Ethics Committee;

1.3.11 BC – Business Council.

## 2 General Provisions

2.1 The Research and Ethics Committee is the executive and decision-making body for research activities, as well as corporate and business ethics of the KAZGUU SLA.

2.2 Present regulation on the REC is developed in accordance with the legislation of the Republic of Kazakhstan and KAZGUU internal documents.

2.3 REC is guided by the Laws of the Republic of Kazakhstan "On Science", "On Education", "On Innovation Activities", the Charter of KAZGUU, regulatory documents of the Ministry of Education and Science of the Republic of Kazakhstan, orders and Present Regulation.

## 3. Aims of REC

3.1 The main aims of the Committee are:

3.1.1 development of research policy and ethics at SLA;

3.1.2 development of corporate and business ethics at SLA, support of a positive business image at SLA and settlement of conflict situations related to violation of ethical standards and educational rules.

## **4. Objectives and functions of REC**

### **4.1 Main objectives of REC:**

4.1.1 the creation of a regulatory framework for researches at SLA that meets the requirements of the legislation of the Republic of Kazakhstan in the field of regulation of the scientific work at universities;

4.1.2 planning and implementation of workshops aimed at increasing the scientific potential of teaching staff and students at SLA;

4.1.3 assistance to teaching staff and students at SLA in raising their scientific level and more fully realizing their creative capabilities;

4.1.4 creation of a favorable research environment and support for scientific research of teaching staff, young scientists and students;

4.1.5 coordination and arrangement of scientific research, the use of its results, arrangement of scientific seminars and conferences, scientific internships;

4.1.6 development of contacts with the Research Committees of other higher educational institutions, academic organizations, research institutions of the Republic of Kazakhstan and abroad;

4.1.7 organization of actual research projects, aimed for grants and other forms of support for scientific and other funds;

4.1.8 fundraising for scientific research implementation conducted by the teaching staff at SLA;

4.1.9 implementation of code of ethics; organization of a training system for business and corporate ethics, arrangement of internal discussions, meetings and conferences;

4.1.10 systematic study and monitoring of corporate ethics and business culture implementation at SLA;

4.1.11 regulation of conflict situations related to internal and external conflicts (in the university building, between students and teachers).

### **4.2. Main functions of REC:**

4.2.1 assessment of research work of teaching staff with appropriate recommendations for determining categories;

4.2.2 development of recommendations for publications;

4.2.3 preparation and publication of scientific papers, the involvement of researchers for double blind peer reviewing;

4.2.4 consideration of strategic and current issues in research, analysis and recommendations on research work;

4.2.5 implementation of the Code of Ethics at SLA, organization of a system for training business and corporate ethics, research ethics, internal discussions, meetings and conferences;

4.2.6 systematic study and monitoring of the state of corporate ethics and business culture at SLA;

4.2.7 consideration of conflict situations related to internal and external conflicts;

4.2.8 preparation of materials on REC competence for submission to SLA;

4.2.9 verification of teachers' research works in Turnitin system.

4.2.10 monitoring the presence of corruption issues and identifying hired work performers through a survey among students.

## **5. REC members**

5.1 The Committee includes young scientists and instructors recommended by SLA out of SLA teaching faculty.

5.2 Members of the Committee and their substitution are approved by SLA teachers' voting at open School with presence of a quorum of 2/3 SLA teachers. In the absence of a quorum, they meet again. The membership of the Committee is approved for one academic year.

5.3 Chairman of the Committee manages the Committee, and he/she is appointed by SLA faculty voting at open School with presence of a quorum of 2/3 SLA faculty. In the absence of a quorum, they meet again.

## **6. REC WORK REGULATIONS**

6.1 The Committee works in accordance with the plan drawn up and approved for each academic year. Committee meetings are documented in minutes.

6.2 Committee meetings are held at least once a month.

6.3 The decision of the Committee is considered adopted if more than half of those present voted for it. REC work regulations are set at the first meeting at the beginning of academic year.

6.4 Decisions of the Committee are taken by a simple majority of votes and are considered eligible. Issues can be solved by open or secret ballot.

6.5 All decisions and recommendations of the Committee are recorded in the minutes. The minutes are drawn up by the Secretary of the Committee and submitted for signature to the Chairman within two working days after the meeting of the Committee. Minutes are signed by the Chairman and Secretary of the Committee.

6.6 Decisions of the Committee are sent by e-mail to all members of the Committee, as well as to the officials involved in the implementation of the decisions of the Committee.

6.7 Minutes and materials of meetings of the Committee are documents of permanent storage. The original of the minutes and materials for it are stored with the Secretary of the Committee, who is responsible for their safety. After three years, the Minutes and the materials attached to them are transferred according to the inventory for archival storage to SLA Directorate.

## **7 REC full powers**

7.1 The Committee has the right to create commissions to study, prepare and resolve current and planned issues.

7.2 The Committee may involve SLA faculty in implementation of the decisions of the Committee.

7.3 The Committee may create temporary expert commissions and work collectives from among the teaching faculty, as well as invite specialists and experts from outside to implement scientific programs, projects, examination of teaching aids, textbooks and articles.

7.4 The Committee has the right to make decisions regarding students who violate the rules during exams in accordance with the Handbook on Ensuring Academic Integrity (Minutes of the meeting of the Academic and Research Council of M. Narikbayev KAZGUU University dated March 20, 2019 No. 3) and Decisions of the Committee on levels of academic dishonesty and acceptable consequences (Minutes No. 21 dated May 08, 2019) (Appendix A).

7.5 The Committee may consider violations of the Code of Ethics of SLA faculty (Appendix B) and make the first warning. In case of rude violation of the Code of Ethics or a repeated violation, REC brings this issue to SLA authority.

7.6 The Committee has the right to rely on material and organizational assistance from KAZGUU.

7.7 REC decisions signed by the Chairperson are subject to execution on time in the departments and other divisions at SLA.

## **8. Rights and obligations of REC members**

8.1 Members of the Committee have equal rights and bear equal responsibilities. Rights of Committee Members:

8.1.1 to take part in the meetings of the Committee, submit proposals for consideration which are falling within the competence of the Committee;

8.1.2 to take part in the discussion of all issues in accordance with the approved Regulations.

8.2 Responsibilities of Committee members:

8.2.1 to comply with these Regulations and implement the Committee's decisions, taken to the extent provided for by Regulation;

8.2.2 to accomplish obligations in accordance with the decisions of the Committee;

8.2.3 to actively participate in the work of the Committee, timely and accurately consider the materials submitted to the meeting of the Committee, provide written recommendations and suggestions;

8.2.4 to inform the Chairman or Secretary of the Committee beforehand of the inability to participate at the next meeting of the Committee, or of a case when it is impossible to accomplish instructions on time.

8.3 Expulsion from members of the Committee may occur in cases:

- 8.3.1 when a member of the Committee roughly violates this Regulation;
- 8.3.2 non-compliance with the decisions taken by the Committee;
- 8.3.3 written notice of member's decision to resign from the Committee;
- 8.3.4 in case of dismissal from KAZGUU University or REC liquidation.

8.4 The decision of exclusion from REC is recorded in the Minutes of the Committee meeting and drawn up by the order of the rector of KAZGUU University.

## **9. Inclusion of students to REC**

9.1 The Committee develops criteria for student candidates that are to be representatives of the REC and sends them to the president of student government of KAZGUU.

9.2 Based on the criteria, the president of the student government, together with his team, provides the Committee with a list and brief characteristics of the candidates.

9.3 Student representative of REC is elected by the majority of the representatives of the Committee.

9.4 A student who wishes to join the Committee must meet the following criteria:

9.4.1 have an interest in research (the availability of documents confirming active participation in various scientific conferences and projects will be an advantage);

9.4.2 know the academic policies of the university, as well as the Handbook on ensuring academic integrity;

9.4.3 follow the principles of ethics and academic integrity;

9.4.4 study at 2-4 year;

9.4.5 have GPA 3.0 and higher

9.5 In his work, student representative of REC should:

9.5.1 follow the current Regulation on the Committee, the Academic Policy of the University, as well as the Handbook on ensuring academic integrity;

9.5.2 actively participate in the work of the Committee;

9.5.3 follow the privacy policy;

9.5.4 timely notify the Chairman of the Committee of the inability of participating in the meeting of the Committee;

9.5.5 in case of refusal of representation in the Committee, notify the Chairman and the President of student government at least 2 weeks prior to leaving in writing.

## **10. REC Funding**

9.1 When it is possible Committee is financed by KAZGUU, as well as from by Kazakhstan and foreign scholarship funds.



9.2 To finance issues related to the publication of scientific papers, organization of conferences, business trips of Committee members, the Committee has the right to apply for the allocation of funds from KAZGUU.

## **11. Changes and amendments**

10.1 This provision is valid until canceled or replaced by a new one.

10.2 Changes and amendments to the Regulation are approved by members of the Committee in agreement with the Vice-rector for Academic Affairs at KAZGUU.

10.3 REC Chairman is responsible for changes and amendments to the original and recorded working copies.

## **11 Coordination, storage, and distribution**

11.1 Coordination of this provision is carried out with the Vice-rector for Academic Affairs at KAZGUU, SLA director, head of the Department for Strategic Planning and Human Resources, head of the Post-graduate department in the “Approval Sheet” (Appendix B).

11.2 The original of this provision is stored in the Department for Strategic Planning and Human Resources.

11.3 REC Chairman is responsible for the transfer of the approved provision (original) for storage to the Department for Strategic Planning and Personnel Management.

11.4 REC Chairman is responsible for the storage of the recorded working copy of the Regulation.

11.5 REC Chairman is responsible for REC employees have been read the present Regulation (Appendix D)



**EXTRACT FROM THE MEETING MINUTES of  
the Research and Ethics Committee (REC) from May 08, 2019 № 21**

**Chairperson:** Sagitova R.R.

**Voting committee members:** Akylbaeva I.M., Dauletbayeva D.D., Zekenova A.Zh., Rakisheva A.Sh., Sagitova R.R.

**Non-voting:** Bopurova Zh.T.

**Present:** coordinator of the English language department Ibrayeva AB, head of the History of Kazakhstan and Rukhani Zhagyru Center Sultangazy G.M., coordinator of the department of Kazakh and Russian languages K. Dyusupbaeva

**Meeting Agenda:**

Review of measures applied to students in case of violation of academic integrity during the examinations, based on the criteria specified in the Handbook on ensuring academic integrity (minutes of the meeting of the Academic and Research Council of M. Narikbayev KAZGUU University No. 3 dated March 20, 2019).

**With respect to the first issue, it was decided:**

1. The level of academic dishonesty, and, consequently, the level of measures applied to students in violation of academic integrity, during the examinations for the disciplines of the School of General Subjects will be determined according to the following criteria:

Criteria	Comments	Tariffs
<b>Criteria № 1. Violation history</b>	1. Violation history of the Regulation is one of the key points in determining appropriate measures. It should be noted that any subsequent violation of the provisions of the Regulation is considered as repeated, and points are awarded even in the case of various forms / types of violations (for example, plagiarism, and then conspiracy). This is due to the fact that explanatory measures were taken after the first violation; therefore, the subsequent violation could not have occurred unknowingly.	On the first violation - 100 points. On the second violation - 150 points. On the third and subsequent - 200 points.
<b>Criteria № 2. Academic level</b>	The academic level is an indicator of the preparedness of the academic community. Master students who have received a bachelor's degree in another educational institution, or second- or third-year students transferred to the University, are different from those who continuously studied at the University. This means that such learners need further clarification of the provi-	For first-year students - 70 points. For second- and third-year students, as well as for Master students, if a bachelor's degree was received in another university, - 115 points.

	sions of the Handbook. However, for graduate students, Master students at the University, doctoral students and staff, higher requirements are imposed, since their position implies that they should set an example for the rest of the academic community.	For graduate courses, Master students, if a bachelor's degree was received in the University, doctoral students and staff - 140 points.
<b>Criteria № 3. Type of task.</b>	The type of task will help determine in which time the violation occurred.	Exam - 60 points.
<b>Criteria № 4 Value.</b>	The amount of plagiarism or violation should affect the final decision. It should be noted that % of plagiarism should not be calculated automatically through the Turnitin report. To do this, the evaluator should thorough analysis of the text. <sup>1</sup>	Petty violations (whispering, hints, turns, absence in the room for more than 5 minutes, etc.) - 80 points. Not serious violations (the presence of a cheat sheet not related to the examination card, mobile phone, smart watch, and other technical devices) - 130 points. Grave violations (the presence of cheat sheet on the topic, mobile phone, smart watch, earphones, and other technical devices) - 225 points.
<b>Criteria №5 Intention.</b>	It is quite easy to establish the intention to breach deliberately the provision of the Regulation during the exam, as students are familiarized, both in writing and verbally, with the rules of behavior during the exam.	Cheating at control events -40 points. Conspiracy and other forms of fraud - 100 points. Submission of work written by a third party (regardless of whether this work is purchased or not) - 225 points.

Thus, if a first-year student commits a petty violation, then his total value will be 400 points, where:

1. Violation history - 150 points (second violation)
2. Academic level - 70 points (1st year)
3. Type of assignment - 60 points (exam)
4. Volume - 80 points (petty violation)
5. Intention - 40 points (cheating at a control event)

which corresponds to the 3rd level of academic dishonesty during the exam and the allowable consequence is a reproof. After the second comment, the score is reduced by 10%.

### **Level 3 (400 points or more)**

It is characterized as a set of petty violations in a small amount, committed by a community member for the first time and / or not entailing serious consequences, including those that could have been committed by accident or as a result of carelessness.

Acceptable consequences: 10% reduction in assessment, reproof.

### **Level 2 (450 points or more)**

It is characterized as a set of significant violations of Academic Integrity.

<sup>1</sup> Examination work are not checked via Turnitin, so the volume will be calculated according to the types of violation  
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Acceptable consequences: reduction in grade by 20%, academic probation for one year.

**Level 1 (545 points or more)**

It is characterized as a grave violation of academic integrity, as well as any violation committed during the period of academic probation.

Level 1 often includes: cheating (fraud) at control events, as well as other violations committed in a rude manner and / or having harmed the academic community and / or the reputation of the academic community.

Acceptable consequences: assessment of work as “unsatisfactory” (F) + academic probation up to one year.

*The chairman of the  
Research and Ethics Committee*

*R. Sagitova*

**FACULTY CODE OF ETHICS**  
**School of Liberal Arts**  
**JSC “M. Narikbayev KAZGUU University”**

**1. General Provisions**

1.1 This Faculty Code of Ethics of SLA (hereinafter referred to as the Code) is developed in accordance with the laws of the Republic of Kazakhstan, internal documents of KAZGUU School of Liberal Arts and generally accepted moral and ethical standards.

1.2 The purposes of this Code are:

1.2.1 consolidation of key values, principles, rules and norms of business ethics and behavior;

1.2.2 development of a unified corporate culture;

1.2.3 uniform understanding and fulfillment of business ethics.

**1. Values and principles of corporate ethics:**

**2.1 Competence** - to have the knowledge and experience necessary for the realization of professional and official duties.

**2.2 Honesty** - to be truthful, conscientious, principled, and reliable to the obligations assumed.

**2.3 Responsibility** - to bear responsibility for the obligations provided by the requirements of contractual relations, as well as be aware of social responsibility to students, the university, colleagues and society as a whole.

**2.4 Openness** - to be open to new information, innovations, and changes in the policy of SLA, provide reliable information in a timely manner to the Committee and the SLA authority to increase transparency and accessibility of information and improve the quality of reporting and accounting.

**2.5 Tolerance** - to respect colleagues, be honest and fair to them, regardless of their race, language, political and religious beliefs, gender, national and cultural affiliation.

**1. Corporate Ethics**

3.1. The faculty of SLA undertake the duties of performing professional functions in good faith within the framework of their duties, reasonably avoiding collective conflicts.

3.2. Each Employee is obliged to follow the principles provided by this Code in good faith, to comply with the requirements of employment and collective contracts, internal labor regulations, job descriptions and other internal documents of the university, as well as be aware of his / her personal responsibility for their breach or non-compliance.

3.3 Faculty of SLA shall promote stable and positive atmosphere in the team by their attitude to work and behavior.

3.4 Faculty of SLA shall care about the property of the university, rationally and use it effectively.

3.5 Faculty of SLA shall behave in such manner to avoid conflict of interest, neither in relation to oneself (or related persons), nor in relation to others.

3.6 Faculty of SLA shall comply with the rules, order and procedures provided by the KAZGUU internal documents.

3.7. Each Employee is obliged not to allow discrimination against colleagues based on gender, age, racial, political, and religious or other similar grounds.

3.8 Faculty of SLA should not allow gossiping, remarking or interviewing on any topic on behalf of KAZGUU without the direct assignment of the leadership.

#### **4 Behavior rules**

4.1. Relations with colleagues:

4.1.1 promote the establishment and strengthening of business and friendly relations as well as constructive cooperation in the team;

4.1.2 suppress or undertake other measures to prevent violations of official ethics by other public servants.

4.1.3 do not discuss personal and professional qualities of colleagues discrediting their honor and dignity in the team;

4.1.4 do not allow actions (omissions) that impede the performance of colleagues' duties.

#### **4.2. The relationship between authority and employees.**

Leaders in relations with subordinate employees should:

4.2.1 serve as an example of impartiality, justice, impudence, respect for honor and dignity of a person by their behavior;

4.2.2 show fairness and objectivity in assessing the results of their activities, as well as the application of incentive measures and penalties;

4.2.3 not use official position to influence their activities when resolving issues of unofficial nature;

4.2.4 not force to commit illegal acts, as well as acts incompatible with generally accepted moral and ethical standards;

4.2.5 not allow unfounded accusations, facts of rudeness, humiliation of dignity, tactlessness and incorrect behavior.

4.3 SLA faculty is recommended to comply with the following rules of business ethics:

4.3.1 immediately inform the Coordinator of the department of the reasons for absence from the workplace;

4.3.2 know in person and by name the structural units of KAZGUU.

#### **5. Confidentiality**

5.1 Confidential information is recognized as information classified as such in accordance with the legislation of the Republic of Kazakhstan and KAZGUU internal documents.

5.2 Any information of a confidential nature held by faculty of SLA shall be kept in secret.

5.3 Faculty of SLA with access to confidential information shall not disclose it to colleagues inaccessible to such information as well as to any third parties. Such restrictions are also applied for the time established by the university internal documents after Employee dismissal.

5.4 During and after a working day, whenever the Employee leaves his workplace, he/she shall make sure that documents containing confidential information are not left on his desktop

or another easily accessible place. All such documents shall be locked in cabinets or drawers and the computer shall be turned off or blocked.

5.5 Confidential information (in electronic, written or other form) shall not be taken out without the appropriate authority assignment. Upon dismissal, the Employee is obliged to leave all documents belonging to KAZGUU, files, reports and records containing information that is not intended for a wide range of persons, as well as all copies of documents containing this information.

## **6. Responsibility**

6.1 Compliance with the provisions of this Code is mandatory for all faculty of SLA.

6.2 All facts of violation of ethical standards in accordance with this Code shall be considered in accordance with the norms of the legislation of the Republic of Kazakhstan and the internal acts of KAZGUU.

## **7. Final provisions**

7.1. The Code of Ethics is approved by the decision of SLA Research and Ethics Committee.

7.2. As necessary, changes and / or amendments may be made to this Code in the prescribed manner.

*Appendix C*

**SIGN-OFF SHEET**

<b>Title</b>	<b>Name</b>	<b>Signature</b>	<b>Date</b>
1.	2.	3.	4.
Dean (Director) of SLA	Ibrayeva A. B.		
Vice-dean (vice-director) on academic matters of SLA	Bopurova Zh. T.		





