

Type of document: Code

Code: K-UN-01

Document title: Ethical Code of Researchers of EI «Almaty Management University»

Edition: 2

Process owner: Science Department

Process:

Review period: 2 years

Effective date starts: 27.10.2021

Review date: 26.02.2025

Cancellation date: _____ 20 _____

Grounds for cancellation: _____ 20 _____

Review date: _____ 20 _____

Approved by: _____ 20 _____

	Position	Name	Signature	Date
Agreed:	Vice-Rector for Science	T.K. Buldibayev		
	Director of the Science Management Department	N.A. Budnikova Developed by:		
Developed by:	Chief Manager of the Science Department	A.Z. Turalin		

Contents

1	Purpose and Scope of Application	3
2	References	3
3	Key Terms and Abbreviations	3
4	Responsibility	4
5	Principles of Research Ethics	5
6	Ethical Standards	5
7	Ethical Review of Research and Dispute Resolution	11
Appendix 1	Application Form to the Ethics Committee with Attachment	13
Appendix 2	Form of the Ethics Committee Conclusion	16

1. Purpose and scope

1.1. This Code of Ethics for Researchers at Almaty Management University (hereinafter referred to as the Code) has been developed on the basis of the Model Rules of Scientific Ethics, approved by Order of the Minister of Science and Higher Education of the Republic of Kazakhstan No. 529 dated November 20, 2024.

1.2. The Code defines the principles and standards of research ethics that should guide the faculty, staff, and students in their research activities.

1.3. The goal is to promote the formation of a research culture at Almaty Management University (hereinafter referred to as AlmaU) and commitment to the Declaration on Science and the Use of Scientific Knowledge.

1.4. The Code is binding on the F&S, including part-time employees, staff, and students enrolled in bachelor's, master's, MBA, doctoral, and DBA programs at all stages of research activities.

1.5. The principles of scientific ethics and ethical standards govern scientific research activities, interaction with research participants and colleagues, and attitudes towards AlmaU and society as a whole.

2. References

2.1. This Code has been developed on the basis of the regulatory legal acts of the Republic of Kazakhstan and the internal regulatory documents of AlmaU:

1) On the approval of the Model Rules for the Activities of Higher and Postgraduate Education Institutions, approved by Order of the Minister of Education and Science of the Republic of Kazakhstan No. 595 of October 30, 2018;

2) On the Approval of Standard Rules for Scientific Ethics, approved by Order of the Minister of Science and Higher Education of the Republic of Kazakhstan No. 529 dated November 20, 2024;

3) On the Approval of Rules for Awarding Degrees, approved by Order of the Minister of Education and Science of the Republic of Kazakhstan No. 127 dated March 31, 2011;

4) On personal data and its protection, Law of the Republic of Kazakhstan dated May 21, 2013;

5) Regulations on checking written works for plagiarism based on the Strike Plagiarism system (P-AKD-10);

6) Regulations on the Activities of the Ethics Committee for the Evaluation of Research at YO Almaty Management University (hereinafter referred to as the Ethics Committee) (RG-REK-01);

7) Rules for the use of artificial intelligence in the educational process and scientific research at YO Almaty Management University (PR-UN-01).

3. Basic concepts and abbreviations

3.1. The following basic concepts and abbreviations are used in this Code:

1) AlmaU — Almaty Management University educational institution.

2) PPC — teaching staff.

3) AI — artificial intelligence.

- 4) Conflict of interest — a situation in which material or immaterial factors create or may create obstacles to the independent and impartial performance of a researcher's duties.
- 5) Informed consent — a fundamental process for ensuring respect for people as research participants and guaranteeing

the voluntary and informed nature of their participation in the research. This means that no research can take place unless the research participant is fully informed about the essential elements of the research and the education researcher has obtained consent to participate in the research from the participant or their legal representative.

- 6) Reasoned refusal is the right of a researcher or AlmaU to refuse to participate in research in cases where its conduct is harmful to health, violates the law, AlmaU policy, this Code, and/or negatively affects the researcher, society, and/or the environment.
- 7) Plagiarism - the use in a written work of someone else's text or other copyrighted material (specific experience, experimental data, results obtained, ready-made statistics, other people's tables, diagrams, figures published in paper or electronic form, or obtained from other sources) without a full reference (i.e., without indicating the author's name and source of borrowing) or with references, but in such a way that the volume and nature of the borrowings are excessive and call into question the independence of the work performed. Mismatch between the reference numbers at the end of quotations and the source number in the list of references is also considered plagiarism.
- 8) Copying is the reproduction of texts and works of others in one's own work in such a way that verification establishes the fact of such reproduction. In addition, borrowing text from one's own earlier works is also considered copying.
- 9) Self-plagiarism is a type of plagiarism where the author uses all or part of their own previously produced text when writing a new work.
- 10) Confidentiality is the researcher's obligation not to use personal data about research participants for any purpose other than THAT for which it was provided. The conditions for the collection, processing, and storage of personal data are ensured in accordance with the PK Law "On Personal Data and Its Protection."
- 11) Ethics Committee - a collegial body that makes decisions on the compliance of dissertations and/or research with the principles and standards of the Code of Ethics.

4. Responsibility

- 4.1. AlmaU is responsible for creating and maintaining favorable conditions for conducting research activities that promote good faith in research, including providing access to scientific and technical information resources and operating a system of incentives for research activities.
- 4.2. Faculty, staff, and students are required to follow the principles of research ethics and ethical standards when conducting research activities.
- 4.3. Ignorance of the principles and standards of the Code does not exempt one from responsibility for non-compliance.
- 4.4. For AlmaU employees, including part-time employees, who violate the principles and standards of this Code, disciplinary measures are applied in accordance with the rules of internal labor regulations and the employment contract.

4.5. For AlmaU students who violate the provisions of this Code, measures are applied in accordance with the provisions of this Code and the training contract, up to and including expulsion. In cases of detected cheating or plagiarism in doctoral or master's dissertations (master's projects), disciplinary measures are taken immediately, up to and including expulsion.

5. Principles of Research Ethics

5.1. Honesty and integrity

- Responsible use of knowledge in all fields of science without abuse.
- Conducting quality research in the interests of all those it may affect.
- Observing honesty and fairness at all stages of research.

5.2. Intolerance toward cheating and plagiarism. Respect for intellectual property.

5.3. Competence and professionalism in research activities.

5.4. Responsibility for results before society, the scientific, and academic community.

- Applying research results for the benefit of society without abuse, distortion, or manipulation.

5.5. Openness of research results

- Openness of research results, communication at all stages of research, and striving for dissemination of results through publications and discussions with the scientific community.

5.6. Freedom of scientific creativity

- Freedom of beliefs and self-expression, tradition of critical thinking, and an atmosphere of open discussion of research issues and results.

5.7. Responsible planning and conducting of research

- Not using methods in planning, execution, and evaluation of research that are deemed unreliable by the scientific community.

5.8. Objectivity

- Striving for objectivity and impartiality in conducting research and interpreting data.

5.9. Self-improvement in the field of research ethics

- Striving for continuous self-improvement and development of ethical principles.

6. Ethical Standards

6.1. Absence of conflict of interest

6.1.1. In conducting research, faculty, staff, and students must act in the interests of research participants.

6.1.2. In the planning and conduct of research, faculty, staff, and students must pay due attention to potential conflicts of interest between individuals and organizations.

6.1.3. In research applications, publications, and public presentations, as well as when conducting any expert evaluations, faculty, staff, and students must disclose existing conflicts of interest that may affect the credibility of research results and expert assessments.

6.1.4. Upon discovery of a conflict of interest, faculty, staff, and students must take measures to manage, eliminate, or minimize it.

6.1.5. Faculty, staff, and students must disclose conflicts of interest when acting as an independent expert, member of a research group, or reviewer of a research work.

6.2. Information about risks and benefits of research

6.2.1. In planning and conducting research, faculty, staff, and students must identify potential risks of harm to participants and take necessary measures to eliminate or minimize them.

6.2.2. Faculty, staff, and students must inform participants about potential risks for them, society, and the environment before research begins.

6.2.3. In conducting research, faculty, staff, and students must avoid negative impact on participants' emotional state and health.

6.2.4. Faculty, staff, and students must inform research participants about potential benefits of participation.

6.3. Informed consent

6.3.1. Before conducting research, faculty, staff, and students must obtain informed consent from participants.

6.3.2. If research involves external participants whose involvement requires official approval, faculty, staff, and students must obtain permission from the appropriate person, authority, or organization.

6.3.3. Potential participants must be fully informed about the research before giving consent. Such consent is documented and serves as a bilateral agreement between the researcher and the participant, which becomes the starting point of communication between them before the study begins and continues throughout.

6.3.4. Informed consent is drafted in free form. Faculty, staff, and students are responsible for drafting the text of the informed consent. It must be written in language understandable to the potential participant and must include, but not be limited to, the following information:

- a. research objectives;
- b. participant selection procedure;
- c. brief description of the research;
- d. notice of voluntary participation;
- e. notice of the possibility of withdrawal at any stage;
- f. description of possible risks or inconveniences;
- g. description of expected benefits for society and individuals;
- h. description of confidentiality and data protection measures;
- i. conditions of payment for participation (if any);
- j. contact person for research-related questions.

6.4. Justified refusal

6.4.1. AlmaU does not restrict academic freedom and does not force faculty, staff, or students to conduct research.

6.4.2. AlmaU, faculty, staff, and students must refuse to conduct research when it causes harm to health, violates laws, University policies, this Code, and/or negatively affects the researcher, society, and/or the environment.

6.5. Use of proper research methods

6.5.1. Faculty, staff, and students must use proper methods, base conclusions on critical analysis of obtained data, and ensure completeness and objectivity in presenting and interpreting results.

6.5.2. Faculty, staff, and students must be familiar with regulatory documents and standards governing research and strictly comply with them.

6.6. Ensuring confidentiality and access to data

6.6.1. In planning and conducting research, faculty, staff, and students must take necessary measures to ensure data protection and confidentiality.

6.6.2. When working with personal data of participants, faculty, staff, and students must comply with legal acts on protection, storage, and use of personal data.

6.6.3. When collecting and processing personal data in research, faculty, staff, and students must anonymize them.

6.6.4. Information obtained from participants in accordance with informed consent is confidential.

6.6.5. When granting access to third parties, including research group members or partner organizations, responsibility for confidentiality is shared.

6.6.6. Faculty, staff, and students are independently responsible for ensuring security of confidential information on all media and during transfer by any communication channels.

6.6.7. Faculty, staff, and students may disregard confidentiality in cases of:

a. using publicly available personal data: biographical directories, phone or address books, publicly available electronic resources, media. Publicly available personal data are those exempt from confidentiality requirements under Kazakh legislation and freely accessible with subject's consent;

b. participant's consent to disclose personal information;

c. information obtained at a public event or in a public place where confidentiality and informed consent are not required.

6.7. Ensuring safety when working with vulnerable research participants

6.7.1. Depending on methodology, faculty, staff, and students may work with various categories of participants (e.g., low-income individuals, persons with disabilities).

6.7.2. Faculty, staff, and students must design safe participation methods for such categories, guided by their interests.

6.7.3. Faculty, staff, and students must inform vulnerable participants (or their legal representatives) of risks. Any unexpected harm must be immediately reported to them or their representatives.

6.7.4. Faculty, staff, and students bear moral responsibility for any significant impact on such categories of participants.

6.8. Publication and dissemination of research results

6.8.1. Authors must provide original and reliable materials.

6.8.2. Authors guarantee absence of plagiarism and proper citation.

6.8.3. The Code requires recognition of every researcher making a significant contribution and sharing responsibility among co-authors, while prohibiting forced inclusion of colleagues.

6.8.4. Faculty, staff, and students must take responsibility for participation in all publications, funding applications, research reports, and related materials.

6.8.5. Authors must indicate AlmaU affiliation and are responsible for journal choice.

6.8.6. Authors recognize that publications shape reputations of both themselves and AlmaU and must publish in quality journals, avoiding predatory publishers. Quality journals are defined as peer-reviewed, indexed in Web of Science, Scopus, RSCI, recommended by HAC, COXON, etc., with strong scientometric indicators, and not blacklisted.

6.8.7. Authors must not use intermediary companies offering writing and/or publication services.

6.8.8. Plagiarism in any form (uncited quotations, paraphrasing, or appropriation of results)

or attempts to bypass plagiarism detection systems are unethical and unacceptable. Authors bear joint responsibility.

6.9. Cooperation and collaboration with external stakeholders

6.9.1. In projects, faculty, staff, and students must maintain professionalism, comply with this Code, and uphold ethical standards in collaboration with colleagues both domestic and international.

6.9.2. They must not damage reputations of colleagues or AlmaU. Proven unethical actions must be openly and fairly reviewed by the Ethics Committee.

6.9.3. Faculty must not obstruct student collaboration with external researchers or institutions.

6.9.4. Faculty and staff may act as experts/reviewers provided impartiality, objectivity, and confidentiality are maintained.

6.9.5. Faculty and staff must not join research groups or review works in areas outside their expertise.

6.10. Presentations by faculty, staff, and students at scientific and public events

6.10.1. In criticism or debates, they must adhere to fairness, objectivity, professionalism, and independence.

6.10.2. In public discussions, they must not exceed the limits of their professional competence and must separate professional judgments from personal opinions.

6.10.3. Misinterpretation of facts or coercion in expert opinions is unacceptable.

6.11. Regulation of experiments on animals and humans

6.11.1. Faculty, staff, and students must recognize potential dangers to individuals, animals, society, economy, or nature caused by untested scientific knowledge.

6.11.2. AlmaU, faculty, and staff recognize that some research may require experiments on humans or animals. Such studies must strictly follow laws, this Code, with full informed consent, proper permits, and participant's right to withdraw at any time.

6.11.3. Experiments without qualified personnel are prohibited.

6.11.4. Faculty, staff, and students must treat animals and other objects of research with care and respect. Research on animals is only permitted when no alternative exists, for scientific progress, and when suffering is avoided.

6.11.5. AlmaU and/or faculty, staff must provide necessary conditions for experiments.

6.12. Avoiding negative environmental impact

6.12.1. Faculty, staff, and students must take all measures to prevent environmental harm.

6.12.2. Research must not harm the environment. If harm is unavoidable, it must be minimized, and the environment restored after completion.

6.13. Mental well-being of researchers

6.13.1. Faculty, staff, and students must recognize responsibility before society. Before starting research, they must be in a satisfactory emotional state.

6.13.2. In interaction with participants, they must follow methodology and avoid provocations. If emotionally unstable, research must be stopped, and the supervisor and/or Ethics Committee informed.

6.14. Prohibition of discrimination and bullying

6.14.1. Faculty, staff, and students must adhere to equality and avoid discrimination based on race, gender, social status, politics, religion, or other grounds.

6.14.2. Behavior aimed at humiliation, intimidation, harassment, hostility, or insults violates this Code.

6.14.3. Research must remain depoliticized, i.e., objective and independent of political factors.

6.15. Research documentation and accountability

6.15.1. Faculty, staff, and students must maintain clear, accurate documentation at all stages for verification and reproducibility.

6.15.2. Completed works must become AlmaU's property to ensure continuity and student learning.

6.15.3. Project leaders and executors are accountable before auditing bodies for reporting and financial documentation.

6.16. Use of AI in research and publications

6.16.1. When AI is used, reference to it is mandatory.

6.16.2. AI may be used as a tool for statistical processing of empirical data or big data sets.

6.16.3. The use of AI applications to create text, images, or graphs, as well as for data collection or analysis, must be disclosed.

7. Ethical Review of Research and Dispute Resolution

7.1. An Ethics Committee operates for the ethical evaluation of research projects, doctoral dissertations, or other research works.

7.2. Faculty and staff of AlmaU may be invited to the Committee.

7.3. The Committee considers applications from faculty, staff, and doctoral students regarding compliance of research or dissertations with ethical standards (Appendix 1).

7.4. Based on its review, the Committee issues a decision on compliance with ethical standards and absence of violations in planning, evaluation, selection, conduct, and dissemination of results, including protection of rights, safety, and well-being of research objects, including living nature and the environment (Appendix 2).

7.5. In reviewing works, the Committee evaluates compliance with the following criteria:

- a. project fully complies with ethical standards and may be implemented;
- b. project generally complies and may be implemented after minor corrections not significant ethically;
- c. project does not fully comply and may be implemented after revision and re-review;
- d. project does not comply and cannot be approved.

7.6. Faculty, staff, and students may appeal the Committee's decision.

7.7. Faculty, staff, and students must report unacceptable behavior including fabrication, falsification, plagiarism, negligence, unjustified authorship, concealment of contradictory data, misleading methods, or other questionable actions.

7.8. Official complaints about violations must be submitted in writing to the Information Resource Department, with the right to voluntary motivated withdrawal. Anonymous complaints are not considered. Faculty, staff, and students are responsible for accuracy and completeness of submitted information.

7.9. If direct application of this Code is impossible, the Committee may rely on AlmaU's internal documents or its professional judgment.

7.10. The Committee is responsible for impartial review, thorough evaluation, adherence to fairness, objectivity, professionalism, and independence, clearly separating professional

judgment from personal opinions.

7.11. All disputes must be resolved with mutual respect and based on verified facts.

、

、

、

Appendix F
Application Form to the Ethics Committee

To the Chair
of the Ethics Committee for Research Evaluation
NPE "Almaty Management University"
From a Doctoral Student of the School

Full Name (in full): _____

Contacts: _____
(mobile phone, email address)

Application

I hereby request the Ethics Committee for Research Evaluation to review the materials of the dissertation research at its meeting and issue the corresponding conclusion.

Dissertation topic: _____

The dissertation was completed in the specialty: _____
(please indicate the code of the specialty or the field of study).

Author of the dissertation: _____

Signature, date: _____

Appendix to the Application

Project Description

1. Title of dissertation/research	
2. Purpose and brief abstract	
3. Project supervisor (full name, academic position)	
4. Contact information of the project supervisor (e-mail, phone)	
5. Division/School where the dissertation/research is conducted	
6. Duration of the research / doctoral study period	
7. Sources of research funding (applies only to R&D)	

9. Brief description of the research methodology. Methods of data collection used in the project	A. Laboratory experiment B. Field experiment C. In-depth / unstructured / semi-structured interview D. Mass survey/testing (in the form of a personal interview or self-completion) E. Focus group F. Observation G. Other (please specify) <i>It is possible to attach to the application the tools used for data collection (experiment or observation protocol, questionnaire, interview or focus group guide, etc.), including the informed consent form.</i>		
Please answer the following questions regarding the conduct of the research by marking YES, NO, or NOT APPLICABLE, in accordance with your research plan:			
1. Are the research participants informed about the purpose of the research and their level of participation in the study? <i>If "NO" is chosen, please provide an explanation below.</i>	YES	NO	
2. Have the research participants been informed that their participation is voluntary? <i>If "NO" is chosen, please provide an explanation below.</i>			

3. Have the research participants been informed that their participation is voluntary? If “NO” is chosen, please provide an explanation below.	YES	NO	
4. If the research involved audio or video recording of participants’ behavior, was their consent requested for the recording? <i>If “NO” is chosen, please provide an explanation below.</i>	YES	NO	NA
5. Were participants informed of their right to withdraw from the study for any reason at any time before or during the research? <i>If “NO” is chosen, please provide an explanation below.</i>	YES	NO	
6. In the case of a survey/testing, was it ensured that respondents had the option to refrain from answering or skip a question if they did not wish to respond? <i>If “NO” is chosen, please provide an explanation below.</i>	YES	NO	NA
7. Was personal information about respondents collected during the research? <i>If “YES” is chosen, please specify what kind of information is planned to be collected.</i>	YES	NO	NA
8. Is the confidentiality of the collected personal data ensured, so that in the case of publication of the research results it will not be possible to identify to whom the data belong? <i>If “YES” is chosen, please describe how confidentiality will be ensured.</i> <i>If “NO” is chosen, please provide an explanation below.</i>	YES	NO	NA
9. In the case of an experiment, did any pre-trained participants take part in any role? <i>If “YES” is chosen, please provide an explanation below.</i>	YES	NO	NA

Appendix 2

Form of the Conclusion of the Ethics Committee

**Conclusion of the Ethics Committee on the Evaluation of Research
NCE “Almaty Management University”**

1	Full name of the doctoral student/researcher	
2	Specialty (educational program) of the doctoral or master's program – position	
3	Period of study in the doctoral program	
4	Dissertation topic, date of approval	
5	Information about academic advisors — full name (if applicable), position and place of work, academic degrees, citizenship	
6	Research objects	
7	Violations during the planning, evaluation, selection, and conduct of research	
8	Violations during the dissemination of research results	
9	How were the rights, safety, and well-being of research subjects ensured (in case of living organisms and environment)?	

**Minutes of the Ethics Committee on the Evaluation of Research
NCE “Almaty Management University”
No. ____ dated «_» _____ 202**

Chairperson of the Committee	signature	Full name
Secretary of the Committee	signature	Full name