

СӘТБАЕВ  
УНИВЕРСИТЕТИ



NON-PROFIT JOINT STOCK COMPANY  
«KAZAKH NATIONAL RESEARCH TECHNICAL  
UNIVERSITY NAMED AFTER K.SATBAYEV»

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## PROVISION

**On the Ethical Commission**  
**NJSC «KazNRTU named after K. Satbayev»**

P 029-03-04.02.2.03-2025

Almaty 2025

**FOREWORD**

**1 DEVELOPED BY:** The Department for Scientific Project Support and Postgraduate Education of the Non-Profit Joint Stock Company “Satbayev University” (KazNRTU named after K. Satbayev)

Head of the Department of Doctoral Studies  
and Research Management

« 26 » 11 2025



M. Khvedelidze

**2 AGREED:**

Board Member – Vice-Rector for Science  
and Corporate Development

« 08 » 12 2025



E.Kuldeyev

/ Director of the Department for Scientific  
Project Support and Postgraduate  
Education

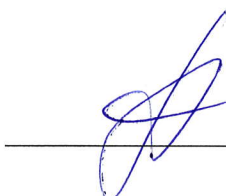
« 04 » 12 2025



Zh.Zhumadilova

Acting. Head of Legal Support and Public  
Procurement Department

« 04 » 12 2025



T. Abukenov

Head of Evaluation and Quality Department

« 26 » 11 2025



A. Sauranbaeva

Chief Manager of the Department of  
Doctoral Studies and Research  
Organization

« 28 » 11 2025



A. Myrzakhan

**3 APPROVED** by the decision of the Board of NJSC «KazNRTU named after Satbayev « 17 » 12 2025 119

**4 INTRODUCED**

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## 1 General provisions

1.1 This Statute of the Ethical Commission (hereinafter referred to as the Commission) has been drafted within the framework of the following normative legal instruments:

- Law of the Republic of Kazakhstan «On Education» of July 27, 2007 319-III,

- Law of the Republic of Kazakhstan «On science» of February 18, 2011 407-IV,

- «Model Regulations on the Dissertation Council», approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan dated 31.03.2011, 126 with amendments and additions introduced by the Order of the Minister of Education and Science of the Republic of Kazakhstan dated 09.03.2021.

- «Rules for the award of degrees», approved by the order of the Minister of Education and Science of the Republic of Kazakhstan dated 31.03.2011, 127 with amendments and additions introduced by the order of the Minister of Education and Science of the Republic of Kazakhstan dated 09.03.2021.

«Academic Policy of NJSC «KazNRTU named after K.I. Satpayev» from 02.12.2020 and «Code of Academic Honesty of NJSC KazNRTU named after K.I.Satpayev» from 27.12.2018.

- The state mandatory standard of postgraduate education, approved by the order of the Minister of Education and Science of the Republic of Kazakhstan dated October 31, 2018 604, with amendments and additions made by the order of the Minister of Education and Science of the Republic of Kazakhstan dated 05.05.2020.

1.2 The following concepts are used in this Regulation and its annexes:

*Application - application of the doctoral student of scientific research to the curator of the vice-rector on the consideration of the dissertation research and the issuance of conclusions*

*The Commission's Positive Conclusion is the endorsement of the Commission's Statement, which is a formal confirmation that the proposed study has been carried out in accordance with ethical standards.*

*Negative Conclusion of the Commission - Rejection of the Application by the Commission, which constitutes formal confirmation that the proposed study has not been carried out in accordance with ethical standards.*

## 2 Mission

The Ethical Commission of K.Satbayev KazNRTU is a permanent body under the Department of Science.



The purpose of the Commission is to monitor the ethical compliance of the researcher in the planning, evaluation, selection, conduct and dissemination of research results, including the protection of the rights, safety and well-being of research subjects (wildlife objects and habitats).

### 3 Composition of the Commission

The composition of the Commission and changes in it shall be approved by the order of the supervising Vice-Rector.

The Commission is composed of the following members:

- 1) Chairman;
- 2) Vice-Chairman. The Vice-Chair will act as Acting Chairman if the Chair is absent or claims a conflict of interest with the researcher
- 3) Representative of each institution nominated by the Director of the Institute.
- 4) Secretary.

### 4 Functions of the Commission

4.1 The main function of the Commission is to provide the Commission with an opinion on the absence of irregularities in the planning, evaluation, selection, conduct and dissemination of research findings, including the protection of the rights, security and well-being of research subjects (wildlife objects and habitats);

4.2 Provide an annual report on its activities.

### 5 Procedure for Obtaining an Opinion

5.1. The Commission shall issue an opinion on compliance with ethical standards on the basis of a written statement by the author of the study (in accordance with the form of annex 1 to this Regulation).

5.2. In order to obtain an opinion from the Commission, the author of the study must provide the following documents in pdf format:

- Declaration;
- thesis;
- annotation;
- reviews of domestic and foreign scientific consultants;
- protocol of the extended meeting of the department (structural subdivision), where the thesis was performed, with the resolution on the recommendation to protect;

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- internal certificate on the examination of the thesis for plagiarism;
- list of publications.

## 6 Organization of the activities of the Commission

6.1. The Commission shall meet as required (as applications are received) during the school year, either offline or online. The application of the doctoral student is considered at the meeting of the Commission, then all the materials of the thesis study are sent by the secretary to an expert in the direction of the doctoral student. The expert is preparing an opinion for the next meeting.

After reading the materials received, the members of the Commission make their comments during the meeting and openly vote for one of the solutions of the dissertation:

- There are no irregularities in the planning, assessment, selection, conduct and dissemination of scientific research, including the protection of the rights, safety and well-being of research objects (wildlife and habitat);
- There are irregularities 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 research objects (wildlife and habitat).

Meetings of the Commission shall be deemed to be lawful if they are attended by more than half of the members of the entire Commission.

6.3. The Secretary of the Commission shall, on the basis of the comments made and on the results of the voting, prepare an Opinion on Conformity with Ethical Standards (according to the form in accordance with annex 2 to this Regulation), which shall be signed by the Chairman and the Secretary of the Commission.

6.4. Decisions of the Commission shall be taken by a simple majority of votes of the number of persons present at the meeting. In the event of a tie, the President's vote is decisive. If the scientific consultant of the author of the thesis is a member of the Commission, he does not participate in the voting.

6.5. The Secretary of the Commission shall be responsible for the preparation, recording and storage of the Conclusions of the meetings of the Commission, as well as the documents thereto, in printed or electronic format.

6.6. The conclusion of the meeting of the Commission can be submitted at the request of the Dissertation Council, the Committee of Science of the Ministry of Education and Science of the Republic of Kazakhstan, COXON MES RK.

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## 7 Power

7.1. The Commission shall have the right to:

- 1) Review all doctoral theses;
- 2) To give a positive or negative opinion;
- 3) Suspend scientific research in cases of non-compliance with ethical standards by the research executor in the planning, evaluation, selection, conduct and dissemination of research results, including the protection of the rights, safety and well-being of research subjects (wildlife objects and habitats).



*Annex 1  
to the Statute of the Ethical Commission on  
KazNRTU.*

*Form*

**Vice-Rector**

**KazNRTU K.I. Satbayev**

from \_\_\_\_\_  
(Name of doctoral student)

\_\_\_\_\_  
(Specialty/EP)

\_\_\_\_\_  
(Name of the Department, Institute, at  
the basis on which the studies were conducted)

**Statement**

Please consider the materials of the thesis research at the meeting of the Ethical Commission and issue a conclusion.

Thesis: \_\_\_\_\_.

The dissertation was performed on specialty/EP: \_\_\_\_\_.  
(indicate code of specialty or training direction)

*Dissertation author (FIU)*

\_\_\_\_\_  
Signature

«\_\_\_\_» \_\_\_\_\_ 20\_\_.



*Annex 2  
to the Statute of the Ethical Commission on*

*KazNRTU K. Satbayev*

*Form*

### Opinion of the Ethics Commission of Satbayev University

1.	DOCTORAL CANDIDATE	
2.	Specialty (educational program) doctoral studies	
3.	Doctoral period	
4.	Thesis, date of approval	
5.	Data on scientific consultants - F.I.O. (if available), positions and places of work, academic degrees, citizenship	
6.	Objects of research	
7.	Irregularities in planning, evaluation, selection and research	Violations detected or not detected. If irregularities are detected, they must be identified.
8.	Violations in the dissemination of research results	Violations detected or not detected. If irregularities are detected, they must be identified.
9.	How were the rights, safety and well-being of research subjects protected (in the case of wildlife and habitat)?	

Chairman of the Ethics Commission

\_\_\_\_\_ (signature, surname, first name, patronymic)

Secretary of the Ethics Commission

\_\_\_\_\_ (signed, last name, first name, patronymic)

Approved by the decision of the Management Board from « 17.12 2025 MB

## Change sheet

[illegible]