



# **Regulation on the Ethics Committees of the Higher Schools**

**Астана 2026**

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## 1. General Provisions

1.1 This Regulation defines the status, objectives, functions, composition, powers, operational procedures, and decision-making process of the Ethics Committees of the Higher Schools (hereinafter – the “Committee”).

1.2 The Committee is a collegial advisory and consultative body of a Higher School within the structure of M. Narikbayev KAZGUU University JSC (hereinafter – the “University”), established and operating in accordance with this Regulation.

The formation and approval of the composition of the Committee shall be carried out in accordance with Section 4 of this Regulation.

1.3 In its activities, the Committee shall be guided by:

- the Law of the Republic of Kazakhstan dated July 27, 2007 No. 319-III “On Education” and other regulatory legal acts of the Republic of Kazakhstan;
- the Code of Conduct of M. Narikbayev KAZGUU University;
- the Handbook on Ensuring Academic Integrity;
- the Guidelines on the Use of Artificial Intelligence (AI) in Academic Activities;
- the Academic Policy of M. Narikbayev KAZGUU University;
- the Regulations of the Higher Schools;
- other internal normative acts of the University.

1.4 The Committee shall carry out its activities independently and impartially, guided by the principles of legality, objectivity, fairness, protection of the rights of participants, procedural transparency, and confidentiality of information.

Procedural transparency shall be ensured by informing the parties about the procedure for consideration of a request and the decision adopted. Materials related to the consideration of requests, personal data, and other restricted information shall not be disclosed, except as provided by the legislation of the Republic of Kazakhstan and internal normative acts of the University.

## **2. Main Objectives and Functions of the Ethics Committee**

2.1 The primary objective of the Committee is to ensure and promote the development of a culture of academic integrity, corporate ethics, mutual respect, and trust among students, faculty members, and staff of the University.

2.2 To achieve this objective, the Ethics Committee performs the following functions:

- prevention of unethical conduct by students and staff and promotion of a positive academic environment and reputation of the Higher Schools and the University;
- consideration of requests concerning alleged violations of academic integrity and corporate ethics;
- analysis and generalisation of practice relating to cases of violations of academic integrity and corporate ethics;
- preparation of recommendations and clarifications for students, faculty members, and staff regarding compliance with academic integrity, academic culture, and corporate ethics;
- participation in the development of proposals aimed at improving the Handbook on Ensuring Academic Integrity and the Code of Conduct of the University;
- implementation of educational and awareness-raising activities for students, faculty members, and staff in the field of ethics and academic culture.

## **3. The Ethics Committee members**

3.1 The Committee shall be formed from among faculty members, administrative staff, and representatives of students (undergraduate, master's, and doctoral students).

The Committee shall consist of no fewer than seven permanent voting members, including representatives of all departments of the Higher School. Representatives of students shall constitute no less than twenty percent of the total number of voting members of the Committee.

The Director of the Higher School, deputy directors, heads of educational programmes, and department coordinators may be included in the Committee as permanent non-voting members.

3.2 The number and personal composition of the Committee shall be determined in accordance with the principles of representativeness and collegiality. The procedure for formation and approval of the Committee shall be defined in Section 4 of this Regulation.

3.3 The Committee shall include a Chairperson, a Secretary, permanent voting members, and non-voting members.

3.4 The term of office of Committee members shall be one year. The Committee shall remain in office until a new composition is elected and approved in accordance with the established procedure.

3.5 The same person may not serve as Chairperson or Secretary of the Committee for more than four consecutive years and may not serve as a member of the Committee for more than six consecutive years.

3.6 Persons related to each other by close kinship or marriage may not simultaneously serve as members of the Committee.

3.7 Members of the Committee shall maintain confidentiality of information obtained during the consideration of requests, including personal data of students and staff. Members of the Committee shall sign a non-disclosure agreement. Disclosure of confidential information shall entail liability in accordance with internal normative acts of the University and the legislation of the Republic of Kazakhstan.

#### **4. Formation and Approval of the Committee**

4.1 The personal composition of the Committee shall be formed at the level of the Higher School upon nomination by the Director of the Higher School from among faculty members, administrative staff, and representatives of students (undergraduate, master's, and doctoral students).

The Chairperson of the Committee shall be included in the personal composition of the Committee upon nomination by the Director of the Higher School and shall be approved in accordance with Clause 4.3 of this Regulation.

4.2 Representatives of students shall be included in the composition of the Committee upon nomination by the Director of the Higher School, based on a decision (nomination) of the student self-government body of the respective Higher School or in accordance with another procedure established by the University.

4.3 The personal composition of the Ethics Committee and any amendments thereto shall be approved by the Provost of the University upon submission by the Director of the Higher School in accordance with internal normative acts and approval procedures in force at the University

4.4 The Secretary of the Committee shall be appointed by the Chairperson of the Committee in agreement with the Director of the Higher School from among the members of the Committee.

4.5 In the event of termination of powers of a voting member of the Committee, the Director of the Higher School shall, within five working days from the date of termination (i.e., from the occurrence of the circumstances giving rise to such termination), submit to the Provost of the University a proposal for inclusion of a new member in the composition of the Committee. The new member shall be included in the Committee upon approval by the Provost of the University.

## **5. Rights and Responsibilities of Committee Members**

5.1 Members of the Committee have the right to:

- receive information, materials, and explanations necessary for the consideration of matters within the Committee's competence;
- propose items for inclusion in the agenda of Committee meetings;
- participate in discussions of agenda items and in voting;
- express a dissenting opinion, which shall be attached to the minutes of the Committee meeting;
- initiate the convening of an extraordinary meeting of the Committee.

5.2 Members of the Committee are required to:

- actively participate in the work of the Committee and its meetings;
- act in good faith and impartially;
- maintain confidentiality of information obtained in connection with participation in the activities of the Committee;
- declare recusal in the event of a conflict of interest;
- comply with the standards of academic integrity, corporate ethics, and professional ethics.

5.3 The Chairperson of the Committee shall:

5.3.1 Organise the work of the Committee, convene and determine the date, time, venue, and format of Committee meetings.

5.3.2 Prepare the draft agenda of the Committee meeting and ensure the inclusion of items proposed by Committee members.

5.3.3 Preside over meetings and ensure compliance with the established procedures governing the Committee's activities.

5.3.4 Sign the minutes of the Committee meeting and, where necessary, extracts from the minutes.

5.3.5 Where necessary, initiate the involvement of invited persons and experts, as well as the establishment of working groups within the Committee's competence.

5.4 The Secretary of the Committee shall:

5.4.1 Provide organisational, technical, and documentary support for the activities of the Committee.

5.4.2 Ensure the preparation and distribution of notices and materials for Committee meetings, as well as the collection and systematisation of submitted materials.

5.4.3 Keep the minutes of Committee meetings, ensure their proper preparation and signing, and ensure the timely transmission of extracts from the minutes and/or other Committee documents to the relevant parties within the timeframes established by this Regulation.

5.4.4 Ensure the proper storage of minutes and materials of Committee meetings in accordance with the established procedure.

## **6. Procedure for Meetings and Documentation of Decisions**

6.1 Meetings of the Committee shall be held as necessary. Meetings may be conducted in on-site, remote, or hybrid format.

6.2 A quorum for decision-making shall constitute no less than half of the voting members of the Committee.

6.3 Decisions shall be adopted by a majority vote of the members present at the meeting. In the event of a tie, the Chairperson vote shall be decisive.

6.4 Decisions of the Committee shall be advisory in nature and shall not constitute disciplinary sanctions or other mandatory measures of liability. The recommendations of the Committee shall be reviewed by the University authorised bodies and/or the Higher Schools within their respective competence, with the adoption of a final decision and its formalisation in accordance with the established procedure.

6.5 The minutes of the meeting shall be prepared by the Secretary and signed by the Chairperson and the Secretary within five (5) working days from the date of the meeting. Thereafter, the Committee shall provide the parties concerned (the applicant and the person in respect of whom the request was considered) with an extract from the minutes (in the part relating to them), and shall forward the full minutes of the meeting (and, where necessary, annexes thereto) to the management of the respective Higher School, the Provost, and/or other authorised structural units of the University via corporate e-mail and/or in accordance with internal normative acts of the University.

6.6 Upon completion of the semester/trimester, all materials of the Committee meetings shall be transferred for storage in the University archive in accordance with the established procedure.

## **7. Appeal Procedure**

7.1 In the event of disagreement with a decision of the Committee, the applicant shall be entitled, within five (5) working days from the date of receipt of the extract from the minutes, to submit to the Provost of the University a reasoned request for review of the Committee's decision.

7.2 Upon receipt of the request referred to in Clause 7.1 of this Regulation, the Provost of the University shall organise a review of the Committee's decision by an *ad hoc* commission.

The *ad hoc* commission shall be established by an order (instruction) of the Provost of the University. The composition of the commission and the procedure governing its work (terms of reference) shall be approved by the Provost of the University.

7.3 The *ad hoc* commission, acting under the chairmanship of the Provost, shall review the case materials and the arguments of the applicant and shall prepare a conclusion within the time period specified in the order (instruction) establishing the *ad hoc* commission.

Following the review, the conclusion shall record one of the following outcomes:

- to uphold the decision of the Committee;
- to cancel the decision of the Committee and adopt a new decision following the review in accordance with this Regulation;
- to uphold the Committee's conclusion as to the existence of a violation, but, taking into account the circumstances of the case, to determine a different manner of implementation of the Committee's decision, including non-application of the recommended measure or its modification (mitigation); in such case, the fact and classification of the violation shall be taken into account in the event of repeated violations.

## **8. Interaction with Management and Other Bodies**

8.1 The Committee shall be entitled to initiate the consideration of ethical matters at the level of the Higher School and at the University-wide level.

8.2 The management of the Higher Schools shall ensure that the Committee is provided with the necessary organisational and technical conditions for the performance of its functions.

### 8.3 Alternative Procedural Mechanism

For the purpose of ensuring an appropriate response to complex or insufficiently clear situations involving potential violations of academic integrity by staff members, an alternative procedural mechanism is established, which does not constitute a disciplinary sanction.

In such cases, the respective Higher School or another structural unit of the University may submit to the Provost a proposal for the establishment of an ad hoc commission.

The composition of the ad hoc commission may include representatives of:

1. the Legal Support Department;
2. the Department of Strategy and HR;
3. the management of the respective Higher School;
4. collegial bodies of the Higher Schools (where necessary).

The powers, tasks, and composition of the *ad hoc* commission shall be determined by a separate order (instruction) of the Provost of the University.

The activities of the *ad hoc* commission shall be evaluative and advisory in nature and shall be carried out in strict compliance with the labour legislation of the Republic of Kazakhstan and other applicable regulatory legal acts.

#### 8.4 Delimitation of Competence (Routing of Requests)

8.4.1 The Committee shall consider requests and materials relating to academic integrity of students and corporate ethics (academic culture) within the educational and University environment, within the objectives and tasks of the Committee.

8.4.2 The Committee shall consider materials relating to behavioural violations of students in cases of systematic (repeated) misconduct or where the violation is substantial in nature, including where previously applied measures have failed to prevent further violations, where strict measures affecting the status of the student are under consideration, or where collegial ethical assessment and formulation of recommendations are required.

The Committee shall consider behavioural violations of students in the following cases:

- systematic (repeated) commission of violations;
- substantial nature of the misconduct;
- established ineffectiveness of previously applied disciplinary measures;
- necessity of measures affecting the legal or academic status of the student;
- necessity of a collegial ethical assessment and formulation of recommendations.

8.4.3 The Committee shall not consider requests that do not relate to academic integrity or corporate ethics (academic culture), as well as requests of an exclusively administrative character.

8.4.4 The Committee shall not substitute the University authorised bodies and Higher Schools empowered to impose disciplinary sanctions or other mandatory measures.

8.4.5 In matters requiring binding managerial decisions, the Committee shall act within its competence and shall prepare a conclusion and recommendations to be submitted to the Director of the Higher School.

8.4.6 Upon receipt of a request, the Committee shall conduct a preliminary assessment of whether the matter falls within its competence.

8.4.7 Where a request does not fall within the competence of the Committee, the materials shall be returned to the applicant with an indication of the general grounds (without substantive evaluation) and, where appropriate, with a recommendation to apply to the authorised body or structural unit.

8.4.8 Following consideration of a request, the Committee shall issue a decision (conclusion) in accordance with the established procedure. Implementation of the recommendations shall be carried out by the authorised bodies of the University and Higher Schools within their respective competence.

## 8.5 Interaction and Request for Materials

8.5.1 For the purpose of full, comprehensive, and objective consideration of a request, the Committee shall be entitled to request from structural units of the University and Higher Schools the information and materials necessary for the review of the request, subject to confidentiality and personal data protection requirements.

8.5.2 The requested information and materials shall be provided within the timeframes established by the University internal normative acts, or, in the absence thereof, within a reasonable period of time.

## 9. Final Provisions

9.1 Amendments and additions to this Regulation shall be introduced and approved in accordance with the procedure established by the University internal normative acts.

9.2 Matters not regulated by this Regulation shall be resolved by the Ethics Committee through the adoption of a procedural decision within its competence, in compliance with the principles set forth in this Regulation and with due regard to the University internal normative acts.

9.3 This Regulation shall enter into force on the date of its approval in accordance with the established procedure and shall supersede previously effective regulations governing the Ethics Committees of the University Higher Schools.