

**APPENDIX A - CODE OF ETHICS**

**NAZARBAYEV INTELLECTUAL SCHOOLS  
AUTONOMOUS EDUCATIONAL ORGANISATION (AEO)**

**CODE OF ETHICS**  
for conducting research in education

**Astana 2015**

**Content**

*PREAMBLE* .....2

1 PURPOSE .....3

2 BASIC PRINCIPLES .....3

3 ETHICAL STANDARDS FOR RESEARCHERS .....4

    3.1 Personal Characteristics of Researchers .....4

    3.2 Research Implementation .....4

        3.2.1 Access to Research Sites .....4

        3.2.2 Informed Consent .....5

    3.3 Confidentiality and Access to Information.....6

    3.4 Publication of Research.....7

        3.4.1The Importance of Publication .....7

        3.4.2 Research Results Falsification.....7

        3.4.3 Plagiarism.....7

        3.2.4 Authorship Credit .....8

4. ETHICAL STANDARDS FOR NAZARBAYEV INTELLECTUAL SCHOOLS AEO.....8

    4.1 Competence of Researchers .....8

    4.2 Conditions for the Conduct of Research .....8

    4.3 Support for the Implementation of Ethical Requirements.....8

    4.4 Acceptance of Research as Critical Engagement .....8

## ***PREAMBLE***

The present “Code of Ethics for conducting research in education” is developed on the basis of best educational research practices undertaken by the British Educational Research Association (BERA) and American Educational Research Association (AERA) as well as considerations arising from experience of research in Kazakhstan.

The Code of Ethics of Nazarbayev Intellectual Schools (AEO) is a set of norms and values upon which researchers in education build their professional work.

This Code of Ethics is a regulatory document.

## 1 PURPOSE

The primary **purpose** of this Code of Ethics is to set out the principles and standards that researchers should observe in the conduct of their research as well as the obligations that fall on Nazarbayev Intellectual Schools AEO as an organization in relation to such research.

These principles and standards should be used as guidelines for the professional work of the researcher. They are a basis for the regulation of ethical behavior of the education researcher and provide recommendations on issues that may arise in the course of research.

The Code of Ethics comprises three principles and a set of ethical standards.

## 2 BASIC PRINCIPLES

**The basic principles** guiding the researchers and Nazarbayev Intellectual Schools AEO in determining the ethical conduct of research are as follows:

✓ *Adherence to professional standards*

Education researchers will conduct their work in accordance with appropriate scientific, academic, professional and technical standards to assure the quality of their work.

✓ *Honesty, transparency, integrity*

Educational researchers have a particular obligation to represent what they observe and the fruits of their inquiry honestly and fearlessly. They should be transparent about the conduct of the research, so that is readily exposed to critique; acknowledge its limitations, the contributions to the research made by others and the source of sponsorship and as far as is possible make it available for scrutiny by peers and the general public.

✓ *Respect for human rights, their dignity and diversity*

Researchers should protect the rights, welfare and dignity of the research participants. They should strive to eliminate bias in their work and should not accept any forms of

discrimination based on race, ethnicity, gender, age, religion, language, health conditions, and social status.

### **3 ETHICAL STANDARDS FOR RESEARCHERS**

Education researchers should apply the following ethical standards in their research and professional activities. Education researchers should be familiar with this Code of Ethics and apply it in the process of their research in education. Lack of awareness or misunderstanding of the ethical standards is not a ground for unethical conduct.

#### **3.1 Personal Characteristics of Researchers**

##### *✓ Competence*

Education researchers who engage in research, teaching, practice, or service, should be suitably qualified by education training or experience, have current scientific, academic and professional information in the field of their professional activities and seek constantly to improve their professional skills.

##### *✓ Discrimination and harassment*

Education researchers should not engage in discrimination and harassment in their professional work based on race, ethnicity, culture, nationality, gender, age, religion, language, health conditions or social status. They should treat colleagues with respect and consideration at all times.

#### **3.2 Research Implementation**

Education researchers should promote the integrity of the research and ensure that it complies with the ethical principles of research in the planning and implementation of the research, and dissemination of the research results. They do so in order to increase knowledge, to minimize the possibility that results will be misleading, and to protect the rights of research participants.

##### **3.2.1 Access to Research Sites**

Researchers should seek and receive permission from the responsible person or authority for access to a research site (such as a school or government department).

### 3.2.2 Informed Consent

Education researchers should not involve people in their research without obtaining the informed consent from the research participants or their legal representatives.

#### ✓ *Informed consent process*

In case informed consent is required for participation in the research, education researchers prior to the research should enter into an agreement with research participants or their legal representatives which: clarifies the nature of the research and researchers' responsibilities; highlights any risks associated with participation; and emphasizes the voluntary nature of participation and the participant's right to withdraw at any stage.

Education researchers are not required to ask for informed consent when (1) research involves minimal risk to the research participants, and (2) research cannot practicably be implemented when consent is required for participation. Education researchers should understand that such exceptional cases require the approval from the ethics committees or, when there is no such an authority, approval from another authority that has experience with ethical issues.

#### ✓ *Informed consent of students and subordinates*

When undertaking research in their organization where research participants are students or subordinates, education researchers should pay particular attention to the protection of prospective research participants from negative consequences of withdrawing or declining from participation as well as their participation.

If children (for these purposes young people aged up to 18) should be involved in the research, education researchers should seek consent from their parent or legal representatives.

#### ✓ *Use of recording devices*

Education researchers should obtain the informed consent from research participants, students, employees, co-workers, clients and others prior to photographing, video or audio recording. An exception is when research is being carried out in the public places and it is not anticipated that recording would cause harm to certain individuals.

### 3.3 Confidentiality and Access to Information

✓ *Confidentially or not?*

Some, but not all, research will be conducted on the basis that information provided by participants will be treated as confidential. The first obligation of the researcher is to be entirely open with participants as to the level of confidentiality that the researcher is guaranteeing.

✓ *Maintaining confidentiality*

Confidentiality agreements are established between education researchers and other participants of the research at the beginning of the scientific, academic, business or professional relationship and are reviewed periodically as required by research conditions.

Education researchers should take necessary precautions to protect confidential information related to research participants, students, employees, clients and others. Education researchers should not allow the use information obtained from research participants, students, employees or clients for any other purpose.

There should be in all cases a clear definition of those who are entitled to access to confidential information, and no one else should be allowed access.

✓ *Limits of confidentiality*

Education researchers should be familiar with all laws, regulations or other circumstances that may limit the guarantee of confidentiality. Research participants, students, employees, clients, and others should be informed in advance of any limitations to this guarantee as required by the ethical standards.

Confidentiality is not required with respect to observation in the public places, or activities that take place in other places where confidentiality is not prescribed by law.

✓ *Anticipating possible use of information*

In cases when research requires maintaining personal identifiers in the data base or systems of records, education researchers should remove those identifiers before the information becomes publicly available.

In cases when removal or masking of identifiers is impossible, education researchers should obtain consent from individuals whose personal information will be transferred to or reviewed by other researchers.

✓ *Storage and electronic transmission of confidential information*

Education researchers should provide secure protection for confidential data and information when storing, delivering, or transferring it over computer networks or other electronic devices.

✓ *Anonymity of sources*

Education researchers should not disclose in their papers, lectures, websites or other means of mass media confidential information related to research participants, students, clients, which has been obtained in the process of their work unless the consent is obtained from those individuals or their legal representatives.

### **3.4 Publication of Research**

#### **3.4.1 The Importance of Publication**

Publication serves several purposes. It is part of the research process, since it exposes work to critical scrutiny by one's peers and a wider public. It also is one means to disseminate new knowledge and understanding. Education is a field of great public interest, and researchers should seek as far as possible to put the results of their work in the public domain.

#### **3.4.2 Research Results Falsification**

Researchers have a particular obligation for the honesty and integrity of their work. Education researchers should not fabricate data or falsify research findings in proposing, conducting or analyzing research, or reporting research results.

#### **3.4.3 Plagiarism**

In their publications, papers, presentations, teaching practice, education researchers should explicitly identify and reference the authors of research papers that were used in their work, whether published or not, or electronically available. They should not draw on text from other sources without explicit acknowledgement by conventional referencing of the source from which it is drawn.



### **3.2.4 Authorship Credit**

Researchers in education need to make sure that everyone who has contributed significantly to the intellectual product is included in the list of authors. Authors should be listed in alphabetic order (without reference to seniority or otherwise) unless one author has contributed the major part of the text in which case he or she may be listed as first author.

## **4. ETHICAL STANDARDS FOR NAZARBAYEV INTELLECTUAL SCHOOLS AEO**

The ethical conduct of educational research places obligations on Nazarbayev Intellectual Schools AEO as an employer and sponsor of research as well as on individual researchers. Specifically:

### **4.1 Competence of Researchers**

The organization should ensure that those employed to conduct research are suitably-qualified by education, training or experience to carry out the task.

### **4.2 Conditions for the Conduct of Research**

The organization should ensure that its researchers have the time and resources to carry out research to high professional and academic standards.

### **4.3 Support for the Implementation of Ethical Requirements**

The organization should ensure that all those carrying out research on its behalf understand the requirements of this Ethical Code and support them in meeting its requirements. This includes but is not limited to providing secure storage of confidential data.

### **4.4 Acceptance of Research as Critical Engagement**

The organization should acknowledge that research involves questioning and critique and should be welcoming of research reports that provide critical engagement with contemporary developments as well as reassuring endorsement of them.