

Institutional Review Board

Policy Manual

**FALL 2024**

Preface

Welcome to the **Institutional Review Board (IRB) Manual[[1]](#endnote-1)**. This document serves as a comprehensive guide for the ethical conduct of research involving human subjects, outlining compliance with relevant regulations and detailing the submission and review processes. It functions as an educational resource for researchers and establishes accountability to protect participant rights and welfare.

To obtain IRB approval, researchers must complete and submit the following required documents:

1. Ethics Application Form
2. Risk Evaluation Form
3. Informed Consent Form (*for adult participants*)
4. Informed Assent Form (*for minors*)
5. Code of Conduct for Researchers
6. Permission to Conduct Research (*if data is collected from a single organization, approval of the organization is necessary to use their premises/involve their members as participants*)
7. Data Collection Tool
8. Additional documentation (*provided to the participants, or those helping with the research such as gatekeepers, data collectors, or assistants*).

These documents are critical for a thorough review process. Ensure all sections are completed before submission to the IRB. All submissions must be made by the last working day of each month, with the IRB review taking place during the first two weeks of the following month. Faculty supervising graduate theses and dissertations are advised to make sure their students adhere to the criteria and guidelines outlined in the KIMEP IRB Manual, available at KIMEP [IRB](https://www.kimep.kz/en/).

**Research That Does Not Require IRB Approval**

Research utilizing existing data, documents, or records may not require Institutional Review Board (IRB) approval under certain conditions:

1. **Publicly Available Data**: data, documents, or records accessible to the public.
2. **Non-Public Data with Permission**: non-public data where permission has been granted by the controlling individual or institution.
3. **Simple Observation**: observing public behavior without interacting with individuals.
4. **Educational Research**: on teaching methods and curricula using anonymized aggregate data to ensure individual identities are protected.

In both cases, researchers must ensure that their use of data adheres to applicable ethical standards and legal requirements, even when IRB approval is not mandated.

**Important Note**

All research intended for publication that involves human subjects requires IRB approval. IRB applications with missing documents or signatures will not be considered.

Thank you for your commitment to maintaining ethical research standards.

23.09.2024

Hala Abdelgaffar  
Head of IRB, KIMEP University

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# Institutional Review Board (IRB) and its purpose

The Institutional Review Board (IRB) at KIMEP University ensures that research, involving human participants or addressing particularly sensitive topics, is conducted ethically and with minimal risk. This commitment extends to protecting the participants, researchers, supervisors, and KIMEP University as a whole.

**Composition and Operation of the IRB:**

* **Membership:** The IRB consists of one full-time faculty member from each college or academic division at KIMEP, including those not affiliated with a specific college. One member is appointed as chair each academic year through a simple majority vote. Meetings to review research proposals require the presence of at least three members. Decisions are made by a simple majority of those present.
* **Responsibilities:** The IRB is responsible for establishing policies and guidelines for research involving human participants or sensitive topics. It reviews and approves research proposals based on these policies. Research cannot proceed without IRB approval and must be discontinued if approval is revoked. Additionally, the IRB monitors approved research projects, requiring bi-annual or annual reports based on the project's risk level. Details on reporting requirements are provided in the official approval letter.

**Purpose of This Terms of Reference (ToR):**

The primary objectives of this ToR are to:

1. Clarify when students, faculty, and researchers must apply for IRB review and approval.
2. Outline the process and conditions for obtaining IRB approval.

This ToR is modelled on guidelines from U.S. and European universities and IRBs, with efforts made to simplify procedures and requirements. It considers the specific context of social science research at KIMEP and the unique challenges faced in Kazakhstan and Central Asia.

Feedback from the KIMEP community is welcomed to refine and finalize this ToR and for future revisions, which will be conducted by the IRB as needed.

This ToR should be read in conjunction with the flowcharts in the Annex. Relevant documents for the application process are available on the university website under the IRB section.

# Definitions

**IRB:** The Institutional Review Board at KIMEP University (as detailed above).

**Research or Research Project:** A systematic investigation, including development, testing, and evaluation, intended to contribute to generalizable knowledge. In this guide, this applies to research conducted by both graduate students and faculty, whether as part of thesis or for publication.

**Researcher:** Any individual employed by KIMEP or intending to conduct research at KIMEP or use its facilities or resources.

**Main Researcher:** The lead individual responsible for overseeing a research project.

**Graduate:** Any student enrolled in a KIMEP Masters or Ph.D. program or another institution who plans to conduct research at KIMEP or use its facilities or resources.

**Supervisor:** A faculty member who oversees graduate students’ research but does not conduct the research themselves.

**Contact Person:** A researcher designated to handle inquiries and concerns from research participants. This person may be the same as the main researcher, as decided by the research team. For student research, the contact person is typically the supervisor.

**Faculty:** Any full-time or adjunct faculty member or researcher employed by KIMEP or another institution.

**Sensitive Research:** Research involving politically, psychologically, or culturally sensitive topics—such as corruption, terrorism, or religion—or research that poses reputational, economic, or legal risks to KIMEP University. Sensitive research also includes studies involving vulnerable populations.

**Participant:** Any individual who engages with the research through personal contact with the researcher, such as by participating in interviews or completing surveys.

**Minor:** An individual under the age of 18.

**Adult:** An individual aged 18 or older.

**Vulnerable Individuals:** Those in special need of protection, including minors, individuals in positions of power, individuals with limited ability, individuals with mental disabilities, immigrants, and those at risk of social exclusion, regardless of age.

**Risk to the Human Participant:** Any significant and reasonably foreseeable risk of harm—physical, psychological, social, economic, reputational, or legal—that may arise from the research process or the dissemination of research results.

**Informed Consent Form:** The form available on the university website that must be completed and signed by every adult participant before they engage in any research project, in accordance with this ToR.

**Participant Information Sheet:** A document outlining the ethical implications of the research project, provided to participants to help them understand the study and address any questions they may have.

**Assent Form:** A form available on the university website that must be completed and signed by minor participants (aged 7 to 17) before participating in any research project, in accordance with this ToR. For minors and adults with limited ability, legal guardians must also complete and sign a consent form to permit the minor's participation in the research.

# Types of research for which IRB review and approval must be sought

Researchers must apply for IRB review and obtain IRB approval for a research project in the following situations:

* **Research Involving Human Participants:** This includes any research where there is personal interaction (either online or in person) between the researcher(s) and the participants, under these conditions:
  + (a) The participants are minors or especially vulnerable individuals.
  + (b) The participants are adults and the research poses a risk to them.

Check the risk evaluation form for more information.

* **Sensitive Research Topics:** Research on topics considered sensitive, which may include political, cultural, psychological, or other potentially controversial issues.

The flowchart in Annex I provides a visual guide to when IRB review and approval are required.

# When IRB Review and Approval Are Not Required

Researchers do not need to apply for IRB review and approval in the following cases:

* **Publicly Available Data:** Research using data, documents, or records that are publicly accessible.
* **Non-Public Data with Permission:** Research using data, documents, or records that are not publicly available, but where the researcher has obtained permission from the individual or institution that holds or controls these materials.
* **Simple Observation:** Research that involves observing public behavior without further interaction or contact with individuals.
* **Educational Research:** Research on instructional techniques, curricula, classroom management methods, or other aggregate data that has been anonymized to the point that individuals cannot be identified.

# Responsibilities of the Supervisor or Main Researcher

The supervisor or main researcher is responsible for:

* **Determining IRB Requirement:** Assessing when IRB review and approval are required according to this ToR.
* **Approving/ Applying for IRB Approval:** Submitting the necessary application for IRB review or approval when required.
* **Providing Information:** Ensuring participants receive the Participant Information Sheet to make an informed decision about their participation.
* **Obtaining Consent:** Collecting signed Informed Consent Forms or Assent Forms from all participants or their legal guardians, ensuring they are aware of their rights in the research project.
* **Document Availability:** Ensuring that the Informed Consent Form and Participant Information Sheet are accessible in all data collection materials or digital platforms. For oral interviews, participants should be provided with or made aware of these documents and their rights.
* **Securing Permissions:** Obtaining necessary permission letters from organizations where the research will be conducted.
* **Ensuring Privacy and Confidentiality:** Safeguarding participants' privacy and the confidentiality of collected data throughout the research process.
* **Ethical Training:** Ensuring that all research team members have received ethical training before data collection commences and are familiar with the ToR's contents, requirements, and procedures. (For more information on training, you may refer to the following web-based learning program and certification: <https://elearning.trree.org>).
* **Filing Documentation:** Submitting the following documents to the relevant Dean at KIMEP after IRB approval:
  + Proposal/Ethical application form
  + Signed Informed Consent/Assent Forms
  + Any additional forms included in the application
  + Minutes of the IRB meeting granting approval (or rejections) and any IRB directives on the research
* **Permission Evidence:** Providing evidence of permission to use non-publicly accessible research data.
* **Ethical Conduct:** Ensuring that the research project and the dissemination of results are conducted ethically at all times.

# Responsibilities of the Dean or Head of Department

The Dean or Head of Department where the researcher is based is responsible for:

* **Document Management:** Opening and maintaining a file for archiving all documents related to IRB review and approval as outlined in the previous section.

The Dean or Head of Department does not oversee the compliance of the research with this ToR.

# Informed Consent or Assent

Informed consent is mandatory whenever research involves human participants. This ensures that participants are fully aware of and agree to their involvement in the study.

* **For All Participants:** Each participant must sign the Informed Consent Form, available on the IRB website, after receiving information from the Participant Information Form, also available on the IRB website.
* **For Minors:** The supervisor or main researcher must obtain signed Informed Assent from the parents or legal guardians of minor participants. Additionally, minors aged 7 to 17 must provide an Assent Form.
* **For Adults with impaired decision-making capacity:** Individuals with restricted legal capacity or recognized by the court as incapable should be represented by their legal guardians whom should sign their Assent Form.
* **For Adults:** When research involves adults and there is a risk to participants, an informed consent form must be included in all data collection materials. Even if there is no risk, the form must still be provided. The supervisor or main researcher is responsible for ensuring that participants can easily access and read the informed consent form.

# Application for IRB Review and Approval

When IRB review and approval are required, the supervisor or main researcher must submit the following to the IRB Chair:

* **Research Project Description:** Include:
  + (a) Purpose and goals
  + (b) Data collection methods
  + (c) Sensitivity of the topic
  + (d) Plans for disseminating results
  + (e) Ethical considerations Refer to the recommended application form on the IRB website.

# Process of IRB’s review and approval

Once the IRB Chair has determined that an application is complete and meets the requirements outlined in this ToR, they will notify the applicant that no further information is needed or, alternatively, request additional information. Following this, the IRB Chair will convene a meeting to review the application.

The IRB will approve the research project if a majority of the members present at the meeting are satisfied with the following conditions:

* **Complete Submission:** The applicant has provided all required information in accordance with this ToR.
* **Voluntary Participation:** Participation in the research project is entirely voluntary at all stages.
* **Consent Procedures:** The procedures for obtaining consent from participants comply with this ToR.
* **Data Privacy and Safety:** The methods for collecting and storing data, as well as the process for disseminating research results, respect participant privacy and confidentiality. The project should not pose significant risk of physical, psychological, social, economic, reputational, or legal harm to participants.
* **Purpose and Security of Data:** Data will be used solely for the purposes for which consent was obtained and will be stored and destroyed appropriately.
* **Institutional Reputation:** The research and its dissemination do not present significant risk to KIMEP University’s reputation.

The IRB’s decision, whether for approval or rejection, will be communicated to the applicant and recorded in the meeting minutes. If the project is rejected, the applicant will be informed of the reasons for rejection and provided with details on how to re-apply, including any additional requirements for a successful application.

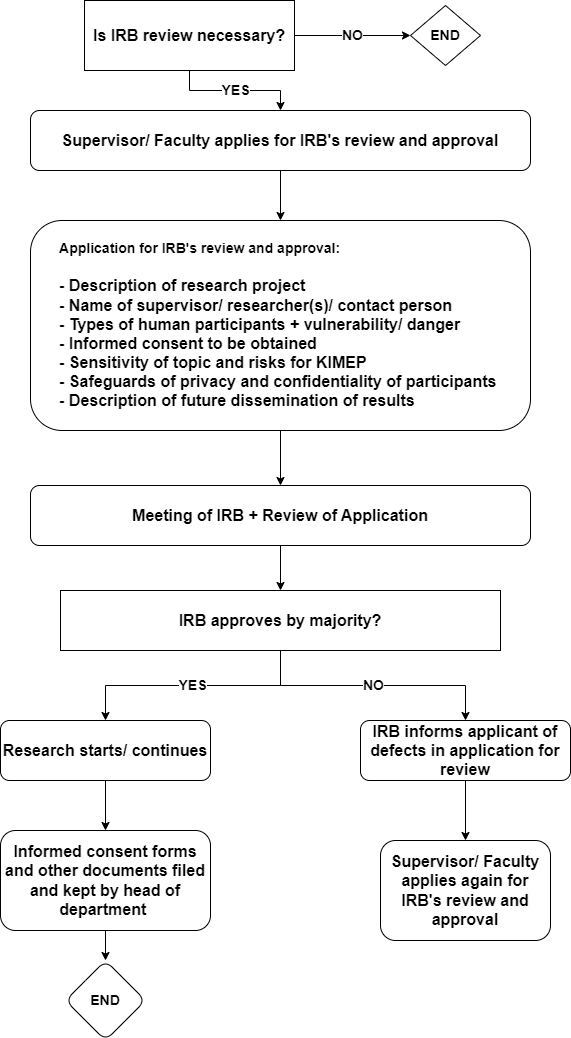
# Approval Communication

The IRB will issue an official letter to the applicant signed by the Chair of the Board. This letter will be CC’d to the Dean or Head of Department of the main researcher if they are affiliated with KIMEP. The letter will include:

* The IRB approval number, which consists of the year of approval followed by a sequential number indicating the order of approvals for that year (e.g., 2024-10 denotes the 10th approved project of 2024).
* Any additional recommendations from the committee.
* Requirements for monitoring reports, if applicable.

The approval number will be formatted as follows: the four-digit year of approval, a hyphen, and a sequential number reflecting the total number of approvals issued to date (e.g., 2024-10).

# *Annex:* Process for making decisions on requested IRB review and approval *(flowchart)*





# RISK LEVEL DESCRIPTORS FOR HUMAN PARTICIPANTS BASED ON INTERNATIONAL STANDARDS

* 1. **Introduction**

This document outlines risk level descriptors (RLDs) informed by internationally recognized standards including the Belmont Report, Declaration of Helsinki, and European Code of Conduct for Research Integrity Guidelines. It addresses potential risks to participants, researchers, and other stakeholders, providing guidelines applicable across various research disciplines.[[2]](#footnote-1)

* 1. **Definition of Key Terms**

**2.1 Risk to the Human Participant:** Any significant and reasonably foreseeable risk of harm—physical, psychological, social, economic, reputational, or legal—that may arise from the research process or the dissemination of research results.

**2.2. Signatures:** Name and signature of the supervisor or researcher(s) and the contact person.

**2.3 Participant Information:** Types of participants involved (e.g., minors, adults, especially vulnerable individuals).

**2.4 Risk Assessment:** Description of any risks to participants.

**2.5 Informed Consent:** Outline the type of informed consent required and the method for obtaining it, including whether it will be included in data collection materials or digital platforms.

**2.6 Privacy and Confidentiality:** Details on how participant privacy and data confidentiality will be protected.

**2.7 Code of Conduct:** A set of guidelines outlining acceptable behaviors and ethical standards for individuals within an organization or profession.

**2.8 Proof of Ethical Training:** Certificate demonstrating that an individual has completed training on ethical principles and practices relevant to their field.

**2.9 Participant Information Form:** A detailed form providing information to participants.

Submit the above information using the application form on the university website. The main researcher may also include any additional documents deemed relevant for the IRB's review. The process for applying for IRB review and approval is detailed in the flowchart in Annex I.

**2.10 Harm:** Harm includes any adverse effects on a participant’s well-being. This includes physical, psychological, social, economic, or reputational damage. An assessment of harm is required before research begins, involving a detailed risk-benefit analysis by both the researcher and the ethics committee.

**2.11 Benefits:** Benefits are categorized as direct or indirect. Direct benefits enhance the participant’s well-being or interests. Indirect benefits may improve the scientific knowledge, policy, or community programs.

**2.12 Vulnerability:** Vulnerability describes the heightened risk faced by participants who may have limited capacity or resources to protect their own interests. This can arise from limited access to rights, opportunities, or power, or exposure to positions of power. Vulnerability varies based on individual and contextual factors.

**2.13 Adverse Event:** An adverse event is any undesirable occurrence experienced by a participant during the research, whether or not related to the research activities.

**2.14 Conflict of Interest:** A conflict of interest occurs when personal interests or responsibilities might compromise the researcher’s professional obligations. Declared conflicts of interest must be managed to prevent increased research risk.

**2.15 Risk Minimization:** Researchers must implement measures to minimize risks while achieving research objectives. Effective risk management involves proactive risk reduction strategies.

**2.16 Risk Mitigation:** Researchers must establish clear measures and precautions to prevent or mitigate identified risks throughout the research process.

* 1. **RISK LEVELS for RESEARCH WITH ADULT PARTICIPANTS**

The following table incorporates risk level descriptors adapted from internationally recognized guidelines, such as those from the **Belmont Report**, **Declaration of Helsinki**, and **European Code of Conduct for Research Integrity Guidelines**.

**Table 1: Risk Levels for Research with Adult Participants**

|  |  |  |
| --- | --- | --- |
| Risk Category | Definition | Explanation and/or Examples |
| No Risk | No direct interaction with human participants, animals, or the environment. | * Systematic reviews * Literature review * Analysis of publicly available documents * Secondary data analysis where no personal data is involved |
| Minimal Risk | Risks or discomforts anticipated are no greater than those encountered in everyday life. | * Research where the only foreseeable risks involve minimal discomfort or inconvenience. * Market research surveys * Non-sensitive opinion surveys * Studies involving non-sensitive data, such as general business practices or market trends |
| Moderate Risk | Research involves potential risks of harm or discomfort, but with reasonable measures for mitigation. | * Research with risks that are reasonable given the potential benefits. * Collection of sensitive personal data (e.g., detailed financial information) * Research involving vulnerable groups (e.g., low-income individuals) * Use of personal identifiers * Research on sensitive business issues with identifiable data |
| High Risk | Research presents a significant risk of harm or discomfort, with potential for serious adverse effects. | * Research involving high risks that need careful management. * Research on highly sensitive topics (e.g., illegal activities) * Involves vulnerable or marginalized populations (e.g., individuals facing severe economic hardship) * Studies with invasive procedures (e.g., biometric data collection) * Research involving severe psychological or financial distress |

**Key Considerations:**

* **No Risk**: Typically involves theoretical research or analysis of publicly available information where no direct interaction with participants is required.
* **Minimal Risk**: Involves everyday risks and discomforts, such as those encountered in routine activities, with limited impact on participants.
* **Moderate Risk**: Research may include collection of personal or sensitive data but includes safeguards to protect participants.
* **High Risk**: Involves substantial risks and requires stringent measures to minimize harm, often involving sensitive or vulnerable groups.

These descriptors are designed to help researchers in business and management assess the potential risks associated with their research and ensure ethical considerations align with internationally recognized standards.



# RISK EVALUATION FORM

**Risk Assessment Table for Research Studies**

This Risk Evaluation Form is developed in line with international research ethics standards, drawing from established guidelines by organizations such as the World Health Organization (WHO), the U.S. Department of Health & Human Services (HHS), and the Declaration of Helsinki. It incorporates best practices from leading institutions, including Harvard University’s Committee on the Use of Human Subjects, Stanford University’s Institutional Review Board (IRB), and the University of California System. Their standards ensure a thorough assessment of potential risks, prioritizing participant safety and ethical research conduct.

**Section 1: Study Overview**

**Research Title:** [Insert Research Title Here]

**Principal Investigator:** [Insert Name Here]

**Contact Information:** [Insert Email and Phone Number Here]

**Date of Submission:** [Insert Date Here]

**Brief Description of the Study:**

[Provide a concise summary of the research purpose, methodology, and participant involvement.]

**Participant Population:**

[Describe the demographics of the participants (age, gender, etc.).]

**Section 2: Risk Assessment**

**Who is Exposed to the Hazard?** (e.g., participants of the research, including university staff, students, children, and other research subjects).

**Assessing Risk:** Use the table below to determine your risk level based on potential harm and likelihood:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Potential Harm | Unlikely | Possible | Likely | Almost Certain |
| None | No harm. | No harm. | No harm. | No harm. |
| Low | Minor issues | Minor issues | Minor issues | Minor issues |
| Moderate | Moderate risk | Moderate risk | Moderate risk | Moderate risk |
| High | High risk | High risk | High risk | High risk |
| Very High | Very high risk | Very high risk | Very high risk | Very high risk |

**Definitions of Potential Harm:**

**None**: No expected harm to participants. This applies to studies involving anonymous surveys or data collection on non-sensitive topics where participation does not elicit any physical or emotional risk.

**Low**: Minor issues may arise, such as brief discomfort or slight emotional distress (e.g., temporary frustration during surveys). This includes risks associated with the collection of data from vulnerable populations, such as children, where additional support may be required.

**Moderate**: Situations that could result in time away from regular activities, increased anxiety, or temporary emotional upset due to the nature of questions asked (e.g., discussing sensitive topics). This is particularly relevant in qualitative studies where deeper personal insights are explored.

**High**: Risks involving serious emotional or psychological impact, which could necessitate intervention (e.g., discussions around trauma). This includes the potential for severe legal implications if sensitive data is mishandled. Extra care is required when collecting data from vulnerable groups, such as individuals with mental health challenges or children.

**Very High**: Circumstances that pose immediate risks to participants' safety or well-being, including psychological harm or threats to life. This includes studies that may unintentionally provoke severe reactions in participants, especially vulnerable individuals, necessitating rigorous ethical oversight and safety protocols.

**Mitigation Strategies:**

**For Moderate to Very High Risks:** Describe specific precautions you will implement:  
[Detail measures here.]

**Effectiveness of Precautions**: (Will these precautions reduce the inherent risk?)

[Provide comments here.]

**Residual Risk Assessment:** Select the remaining risk level:

None Low Moderate High Very High

**Note:** If the residual risk is not in the "None" or "Low" range, additional measures may be necessary, or you may need to redesign your research proposal. Consult with relevant oversight bodies for higher-risk studies.

**Post-Study Feedback Mechanism:**

Include a section for feedback from participants to evaluate risk management effectiveness.

* 1. **Experience Overview**: Ask participants to describe their overall experience during the study. This may include aspects such as comfort, clarity of instructions, and any concerns they had.
  2. **Risk Management Evaluation**: Include specific questions related to risk management, such as:

1. Did you feel safe during the study? (Yes/No)
2. Were the risks explained to you clearly before participation? (Yes/No)
3. Did you encounter any unexpected emotional or physical discomfort? (Yes/No; if yes, please describe)
   1. **Suggestions for Improvement:** Provide an open-ended section where participants can offer suggestions for enhancing safety and comfort in future studies.
   2. **Final Comments**: Allow space for any additional comments or feedback participants may want to provide.

**Section 3: Risk Mitigation Strategies**

1. **Measures to Minimize Risks:**

[Outline steps taken to reduce identified risks, including informed consent processes, researcher training, and support resources for participants.]

1. **Data Protection and Confidentiality:**

[Describe how participant data will be protected, including anonymization, secure storage, and access restrictions.]

1. **Emergency Procedures:**

[Detail procedures for addressing adverse events or participant distress during the study.]

**Section 4: Participant Information**

1. **Informed Consent Process:**

[Explain how informed consent will be obtained and the information provided to participants.]

1. **Withdrawal from Study:**

[Outline participants' rights to withdraw from the study at any time without penalty.]

**I confirm that an appropriate risk assessment has been conducted.**

**Signature of Principal Investigator:**

**Signature of Principal Researcher:**

**Date:**

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| IRB Stamp |

# INFORMED CONSENT FORM

**Title of the Research Study:**Click here to enter text.

**Ethics Reference Number:**Click here to enter text.

**Principal Researcher/Supervisor:**Click here to enter text.

**Postgraduate Student (if applicable):**Click here to enter text.

**Address:**Click here to enter text.

**Contact Number:**Click here to enter text.

**Introduction**

Please read this information carefully. It explains the details of this study. If you have any questions, feel free to ask the researcher or the person explaining the research. Your participation is voluntary. If you choose not to participate, it will not affect you in any way. You may withdraw from the study at any time, even if you initially agree to participate.

This study has been approved by the Institutional Review Board (IRB) of KIMEP University (IRB Number: [00000-00-A1]). The study will adhere to strict ethical guidelines and principles. IRB members or other relevant individuals may review the research records if necessary.

**Study Details**

Provide a brief description of the research.

**Consent**

I give my full consent to the collection of my personal data. The researcher has also explained to me (a) the purpose of the research, (b) my expected involvement (c) expected duration, (d) the data collection methods to be used and storage of data, (e) any reasonably foreseeable risks or discomforts I may experience, (e) that the information I provide will remain confidential and will only be used for the purposes of this research project, (f) compensation/cost (g) that I can contact the contact person indicated above in case I have any questions or complaints related to this research project and (g) that I am aware that my participation is fully voluntary and I may discontinue my participation at any time.

**Additional Information**

* If you have any further questions or concerns, please contact the researcher.
* For any unresolved issues or complaints, please contact VPAA Office Manager or the Head of IRB Committee.
* You will receive a copy of this consent form for your records.

**Participant Declaration**

By signing below, I, [Participant’s Name], consent to participate in the research study titled “[Study Title].”

I confirm that:

* I have read this consent form or it was explained to me in a language I understand.
* The research was clearly explained to me.
* I had the opportunity to ask questions and received satisfactory answers.
* I understand that my participation is voluntary and that I am not being pressured to participate.
* I may withdraw from the study at any time without negative consequences.
* I understand that I may be asked to leave the study early if the researcher deems it necessary or if I do not adhere to the study plan.

**Signature of Participant:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Declaration by Person Obtaining Consent (if not the Researcher)**

I, [Name], declare that:

* I have explained the contents of this consent form to [Participant’s Name].
* I did/did not use an interpreter.
* I encouraged the participant to ask questions and took adequate time to answer them.
* I am satisfied that the participant understands all aspects of the research.
* I provided the participant with time to discuss the study with others if they wished.

**Signature of Person Obtaining Consent:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Declaration by Researcher**

I, [Researcher’s Name], declare that:

* I have explained the contents of this consent form to [Participant’s Name] or it was explained by [Name of the person who explained].
* I did/did not use an interpreter.
* I encouraged the participant to ask questions and was available to answer any additional questions.
* The informed consent was obtained by an independent person.
* I am satisfied that the participant understands all aspects of the research.
* I am satisfied that the participant had sufficient time to discuss the study with others if they wished.

**Signature of Researcher:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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|  |  |

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| --- |
| IRB Stamp |

# INFORMED ASSENT FORM

*Adapted from guidelines for research with minors (*between 7 and 17 years of age)*, including the Belmont Report, the Declaration of Helsinki, and CIOMS Guidelines.*

**Title of the Research Study:**Click here to enter text.

**Ethics Reference Number:**Click here to enter text.

**Principal Researcher/Supervisor:**Click here to enter text.

**Postgraduate Student (if applicable):**Click here to enter text.

**Address:**Click here to enter text.

**Contact Number:**Click here to enter text.

**Introduction**

This form helps you understand what the research is about and what will be asked of you. It is important for you to know that participating in this study is completely voluntary. You do not have to join, and if you choose to, you can change your mind at any time.

The Institutional Review Board (IRB) at KIMEP University (IRB Number: [00000-00-A1]) has approved this study, and we will follow strict ethical guidelines.

**Study Details**

[Briefly describe the purpose and goals of the research.]

**Assent**

I give my full assent (permission) to the collection of my personal data. The researcher has also explained to me (a) the purpose of the research, (b) what I will need to do (c) how long it will take (d) the data collection methods to be used and storage of data, (e) any possible risks or discomforts I may experience, (e) that the information I provide will remain confidential (no-one will know my name) and will only be used for the purposes of this research project, (f) compensation (if I will receive money or not)/cost (g) that I can contact the person indicated above in case I have any questions or complaints related to this research project and (g) that I am aware that my participation is fully voluntary (no-one is forcing me) and I may discontinue (stop/end) my participation at any time.

**Additional Information**

* If you have any further questions or concerns, please contact the researcher.
* For any unresolved issues or complaints, please contact VPAA Office Manager or the Head of IRB Committee.
* You will receive a copy of this consent form for your records.

**Participant Declaration**

By signing below, I, [Participant’s Name], agree to take part in the research study titled “[Study Title].”

I confirm that:

* I have read this form or it was explained to me in a language I understand.
* I understand what the research is about and what will be asked of me.
* I had the chance to ask questions, and all my questions have been answered.
* I know that participating is voluntary, and I can choose not to join or leave the study at any time without any negative effects.
* I understand that I may be asked to leave the study early if it is in my best interest or if I do not follow the study plan.

**Signature of Participant:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Signature of Witness (if applicable):** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Declaration by Person Obtaining Assent (if not the Researcher)**

I, [Name], declare that:

* I have explained this form to [Participant’s Name] clearly and in detail.
* I *did/did not* use an interpreter.
* I encouraged the participant to ask questions and provided answers to their satisfaction.
* I am confident that the participant understands the research and their role in it.
* I gave the participant time to discuss their participation with others if they wished.

**Signature of Person Obtaining Assent:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
**Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Declaration by Researcher**

I, [Researcher’s Name], declare that:

* I have explained the content of this form to [Participant’s Name] or had it explained by [Name], who I trained for this purpose.
* I did/did not use an interpreter.
* I encouraged the participant to ask questions and was available to answer them.
* The assent was obtained by an independent person.
* I am satisfied that the participant understands all aspects of the research.
* I am confident that the participant had sufficient time to discuss the study with others if they wished.

**Signature of Researcher:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_



# CODE OF CONDUCT FOR RESEARCHERS

**Applicability:**  
This Code of Conduct applies to all researchers, student researchers, and affiliate researchers at KIMEP University.

**Commitment to Ethical Standards:**  
As a researcher at KIMEP University, I commit to adhering to the following:

1. **Institutional Review Board (IRB) Rules:** I will comply with all regulations and guidelines established by the KIMEP IRB.
2. **KIMEP University Policies:** I will follow all applicable policies and procedures of KIMEP University.
3. **National and International Laws:** I will abide by all relevant national and international laws and regulations pertinent to my field of study.
4. **Ethical Principles:** I will uphold the ethical principles and responsibilities as outlined in the Code of Ethics and Research Conduct of [Insert Relevant Authority or Document] (e.g., Singapore Statement on Research Integrity, British Psychological Society, American Psychological Association).

**Responsibility:**  
By signing this Code of Conduct, I acknowledge my full responsibility for the ethical execution of my research projects. I pledge to conduct all research activities with integrity and respect for ethical standards.

**Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Name:** Click here to enter text.

**Position/Title:** Click here to enter text.

**Date:** Click here to enter text.



# PERMISSION TO CONDUCT RESEARCH

**KIMEP University, Bang College of Business**  
[Insert affiliation (e.g., Department) and contact details]

[Insert addressee details]  
[Contact Person]  
[Organization Name]  
[Organization Address]

[Date]

**Dear Title [Insert Name],**

**Re: Permission to Conduct Research at [Insert Organization Name]**

My name is [Insert Applicant’s Name(s)], and I am currently pursuing a [Insert Qualification] in the [Insert School] at KIMEP University. I am writing to request permission to conduct research at [Insert Organization Name].

As part of my [graduate studies/research/faculty role] at KIMEP University, I am undertaking a research study titled “[Insert Title or Brief Description of Research].” This research aims to [briefly describe the purpose and significance of the study and why your organization has been selected].

[Edit the previous paragraphs as required].

The study involves [briefly describe the research activities, such as collecting data from staff, faculty, minors, etc., accessing a specific database, or inviting individuals to participate]. If applicable, participants will be asked to [describe data collection methods, e.g., complete questionnaires, participate in interviews, or engage in focus group discussions]. Data collection will take place [provide details on location, timing, and whether it will occur on the organization’s premises or during work hours]. Participants may also be [audio or video recorded, if applicable].

Participation is entirely voluntary, and individuals will be asked to provide written or verbal consent before participating. All responses will be treated confidentially, with personal identifiers and the name of the organization kept anonymous unless explicitly stated otherwise. Privacy will be maintained in all published materials and reports resulting from this study.

The findings from this research will be disseminated through [indicate where the results will be shared, e.g., a dissertation, academic journals, or a book chapter]. Participants will not be compensated, but they will have the right to withdraw from the study at any time without facing any negative consequences. There are no foreseeable risks associated with participating in this study. [If there are risks, please outline them here.]

All research data will be [describe data handling procedures, such as destroyed, preserved anonymously for future research, etc.].

I kindly request written permission to carry out this research at your organization. The permission letter should be on your organization's official letterhead, signed, dated, and specifically address me by name and include the title of my study.

Please let me know if you require any additional information. I look forward to your favorable response at your earliest convenience.

Yours sincerely,

[Insert Your Name]  
[Insert Your Contact Number]  
[Insert Your KIMEP Email Address]

|  |  |  |
| --- | --- | --- |
| |  | | --- | | IRB Stamp | |  |

# PARTICIPANT INFORMATION SHEET

**Title of the Research Study:**Click here to enter text.

**Ethics Reference Number:**Click here to enter text.

**Principal Researcher/Supervisor:**Click here to enter text.

**Postgraduate Student (if applicable):**Click here to enter text.

**Address:**Click here to enter text.

**Contact Number:**Click here to enter text.

**Introduction**

Thank you for considering participation in our research study. This information sheet provides details about the study to help you decide whether you want to participate. Your involvement is entirely voluntary. You have the right to refuse participation or withdraw from the study at any time without any negative consequences.

The Institutional Review Board (IRB) at KIMEP University (IRB Number: [00000-00-A1]) has reviewed and approved this study, ensuring that it adheres to strict ethical guidelines.

**Study Details**

**What is this Study About?**  
[Provide a brief description of the research study and its objectives.]

**Why Are We Asking You to Participate?**  
[Explain the purpose of your participation and its importance to the research.]

**What Will You Be Asked to Do?**  
[Detail the activities or tasks you will be required to complete as part of the study.]

**Will You Receive Any Compensation or Face Any Costs?**  
[State if there will be any financial compensation or costs associated with participating in the study.]

**What Are the Possible Benefits and Risks? How Will Risks Be Prevented?**  
[Describe the potential benefits of the study and any risks involved. Explain how these risks will be minimized.]

**How Will This Study Benefit You?**  
[Explain any direct benefits you might gain from participating.]

**How Will Your Confidentiality and Privacy Be Protected?**  
[Detail how your personal information will be kept confidential and what measures are in place to protect your privacy.]

**How Will the Findings or Samples Be Used?**  
[Describe how the data or samples collected will be used and if they will be shared with others.]

**How Will Your Data Be Stored and Destroyed?**  
[Explain how your data will be securely stored and how it will be disposed of once the study is completed.]

**How Will You Learn About the Results of This Research?**  
[Describe how and when you will be informed of the results, if applicable.]

**Additional Information**

* If you have any questions or concerns about the study, please contact [Name] at [Contact Information].
* For any unresolved issues or complaints about the research, you can reach the IRB at [Contact Information] or email @kimep.kz.
* You will receive a copy of this information sheet for your records.

Thank you for taking the time to read this information. Your participation is greatly appreciated.



# IRB RESEARCH MONITORING REPORT

Confidential! This document contains sensitive information intended solely for the applicant and the IRB of KIMEP University. If you receive this document in error, please destroy it or return it to the IRB immediately. Unauthorized use, distribution, or copying of this document is illegal and punishable.

Please complete the following sections as indicated:

Sections A to E: All researchers

Section B: Only for quantitative research

Section C: Only for qualitative research

Section D: Only for previously collected data or biological samples

Section E: Amendments

Section F: Status of the study

|  |
| --- |
| **SECTION A: GENERAL INFORMATION AND PROGRESS** |

1. Principal Investigator/Supervisor

Surname: Click here to enter text.

Name: Click here to enter text.

Initials: Click here to enter text.

Title: Click here to enter text.

College: Click here to enter text.

Department: Click here to enter text.

E-mail: Click here to enter text.

Office number: Click here to enter text.

Cellphone: Click here to enter text.

1. Student Details: Click here to enter text.

Surname: Click here to enter text.

Name: Click here to enter text.

Initials: Click here to enter text.

Title: Click here to enter text.

Student ID number: Click here to enter text.

College: Click here to enter text.

Department: Click here to enter text.

E-mail: Click here to enter text.

1. Details of approved proposal

Title: Click here to enter text.

IRB approved number: Click here to enter text.

Risk level: None Minimal Moderate  High

Approval date: Click here to enter a date.

Expire date: Click here to enter a date.

Are there any affiliated studies linked to this project? Click here to enter text. If yes, please indicate

Title: Click here to enter text.

Researchers/students

|  |  |  |
| --- | --- | --- |
| **Surname** | **Name** | **Department, University** |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. |

1. If funded, does the project still meet the necessary requirements? Yes No
2. Give a short summary of the progress to date.

Click here to enter text.

1. Describe any ethical issues that may have arisen.

Click here to enter text.

1. Describe how the research process have been monitored up to now.

Click here to enter text.

1. If any external organizations had to monitor the process, please provide detail.

Click here to enter text.

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| **SECTION B: ONLY FOR QUANTITATIVE RESEARCH** |

1. Initial intended number of participants: Click here to enter text.
2. Actual number of participants: Click here to enter text.
3. Number of participants who withdrew by choice. Please provide reasons.

Click here to enter text.

1. Number of participants who withdrew due to adverse events. Please provide reasons.

Click here to enter text.

1. Number of participants lost to follow-up. Please provide reasons.

Click here to enter text.

|  |
| --- |
| **SECTION C: ONLY FOR QUALITATIVE RESEARCH** |

1. How many participants actively participated? Click here to enter text.
2. How was data saturation obtained?

Click here to enter text.

1. Number of participants who withdrew by choice. Please provide reasons.

Click here to enter text.

1. Number of participants who withdrew due to adverse events. Please provide reasons.

Click here to enter text.

1. Number of participants lost to follow-up. Please provide reasons.

Click here to enter text.

|  |
| --- |
| **SECTION D: ONLY FOR PREVIOUSLY COLLECTED DATA OR BIOLOGICAL SAMPLES** |

1. Biological samples
2. How many biological samples were planned to be used? Click here to enter text.
3. How many actual samples have been examined? Click here to enter text.
4. Databases
5. Was the received database anonymized? Please describe the process.

Click here to enter text.

1. Was the data base password protected? Click here to enter text.

|  |
| --- |
| **SECTION E: AMENDMENTS** |

Was the study amended or changed in the past year? Please describe.

Click here to enter text.

Was approval obtained for the amendment? Please provide details.

Click here to enter text.

|  |
| --- |
| **SECTION F: STATUS OF THE STUDY** |

1. Has the study been completed and does this serve as the final report? Click here to enter text.
2. Has the study been terminated? Click here to enter text.
3. Provide date: Click here to enter a date.
4. Provide reason: Click here to enter text.
5. Was the IRB notified? Click here to enter text.
6. Does the project have to continue into the following year? Click here to enter text.

**Certification**

By signing below, I certify that the information provided in this report is accurate and complete.

**Full Name and Surname:** Click here to enter text.

**Signature:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Date:** Click here to enter text.

1. The **Institutional Review Board Policy Manual** has been amended by the head of IRB, revised by committee members, and approved by the IRB committee and the VPAA Office. These updates ensure that the manual meets the specific requirements of KIMEP University’s IRB in accordance with international standards.

   Vice President of Academic Affairs Office

   Dr. Damian Andreas Riviez

   [d.riviez@kimep.kz](mailto:d.riviez@kimep.kz)

   VPAA Office Manager

   Aliyeva Zukhra

   [zukhra@kimep.kz](mailto:zukhra@kimep.kz)

   Head of IRB:

   Dr. Hala Abdelgaffar

   [h.abdelgaffar@kimep.kz](mailto:h.abdelgaffar@kimep.kz)

   IRB Committee Members contributing to review of the manual:

   Dr. Herman Grobler

   [h.grobler@kimep.kz](mailto:h.grobler@kimep.kz)

   Dr. Aigerim Mussabalinova

   [a.mussabalinova@kimep.kz](mailto:a.mussabalinova@kimep.kz)

   Dr. Aishabibi Dukenbayeva

   [a.dukenbayeva@kimep.kz](mailto:a.dukenbayeva@kimep.kz) [↑](#endnote-ref-1)
2. * Belmont Report:

   URL: [The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research](https://www.hhs.gov/ohrp/sites/default/files/the-belmont-report-508c_FINAL.pdf)

   * Declaration of Helsinki:

   URL: [Declaration of Helsinki – Ethical Principles for Research Involving Human Subjects](https://www.wma.net/wp-content/uploads/2016/11/DoH-Oct2008.pdf)

   * European Code of Conduct for Research Integrity Guidelines:

   URL: [The European Code of Conduct for Research Integrity](https://allea.org/code-of-conduct/) [↑](#footnote-ref-1)