

Appendix No 1 to the minutes of the
IREC meeting No 84,
Dated August 21, 2019

AUTONOMOUS ORGANIZATION OF EDUCATION
"NAZARBAYEV UNIVERSITY"

**Procedures/Bylaws for the NU IREC Sub-Committee for Graduate School of
Education**

Approved by the decision of the Institutional Research Ethics Committee of autonomous organization of
education "Nazarbayev University"

Minutes No 84 dated August 21, 2019



NAZARBAYEV UNIVERSITY

PROCEDURES/BYLAWS FOR THE NU IREC SUB-COMMITTEE FOR GRADUATE SCHOOL OF
EDUCATION

TITLE OF COMMITTEE: Graduate School of Education Institutional Research Ethics Committee

PURPOSE: The purpose of the Graduate School of Education Institutional Research Ethics Committee {hereinafter - GSE IREC) is to review all exempt and expedited student-led research protocols submitted by students in the Graduate School of Education. The GSE IREC will function as a sub-committee of the Nazarbayev University Institutional Research Ethics Committee {hereinafter - NU IREC) and will be integrated within the existing GSE Research Committee.

RATIONALE: Because of the large number of students in GSE who need to conduct a research project as part of requirements for graduation and because of the need to have a mechanism in place for timely reviews and timely responses for student proposals, an IREC subcommittee devoted exclusively to the review of student research proposals for GSE is needed.

MEMBERSHIP: The GSE IREC will be composed at least of TWO members. Members will be nominated by the Dean from existing members of the GSE Research Committee. The goal is to keep the committee relatively small so that it can meet as required and with some expediency. All GSE IREC members are required to follow institutional requirements and complete the course in "IRB Members - Basic/Refresher" provided by Collaborative Institutional Training Initiative (CITI program) every three years. GSE's representatives to NU IREC cannot be simultaneously members of the GSE IREC to avoid potential conflict of interest.

SUBMISSION & REVIEW PROCESS: The following procedures are to be followed for all student research projects:

1. Applications should be submitted directly to GSE IREC using the online GSE ethics application forms. The link to the online application will be sent by the GSE IREC on the dates set by the Vice-Dean for Academic Affairs to all students, who are expected to defend their thesis in a particular academic year.
2. The student is ultimately responsible for successful submission and completion of the GSE IREC process. The student's supervisor should assist the student in preparing and completing ethics applications using the guidelines provided by GSE IREC in the Thesis Guidelines for each of the Programs. The supervisor controls the quality of the application by signing off on the ethics application form. Prior to

applying for ethics approval, students must complete CITI training. The type of training is determined from the NU IREC guidelines depending on the type of study in terms of nature of the risks for the participants. Students have to submit CITI training certificates required for student investigators 8 module course 'Students conducting no more than minimal risk research' in case of a minimum risk review 'Social & Behavioral Research Investigators' in case of more than minimum risk research. A copy of CITI training certificate is submitted together with the ethics application to GSE IREC.

3. Proposals deemed to entail more than minimal risk will be sent directly by students to NU IREC, while those entailing just minimal risk will be reviewed by GSE IREC and the approval will be reported to NU IREC.
4. GSE IREC will seek guidance from NU IREC about minimal risk research and will assure that those submitting follow the same submission requirements as noted in the NU IREC procedures.
5. The primary review of a protocol will be assigned to one faculty member of GSE who does NOT have direct conflict of interest with the research project. The Student's adviser cannot be one of the reviewers, but should have reviewed the application carefully prior to signing off and thus giving permission for the student to submit it through the online system. An Admin staff will be responsible for the distribution of the applications with the support of the NUGSE IREC members. The reviewer where possible should be someone familiar within that area of research i.e. Inclusive Education. The Admin person assigned to this task will check the application is complete, prior to distribution to a Faculty member.
6. Upon receipt of reviews, the GSE IREC members with support of the administration will review the full set of documents submitted. Once the application has been reviewed, the decision will be based primarily on the risk that the research has for participants and for researchers, the type of participants included, and the procedures to ensure the confidentiality of data and anonymity of participants' identity based on the following principles of ethical research:
 - o Beneficence
 - o Justice
 - o Respect for persons
 - o Privacy of participants, and
 - o Informed Consent

. There are five possible outcomes:

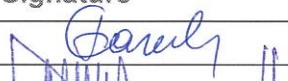
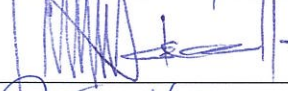
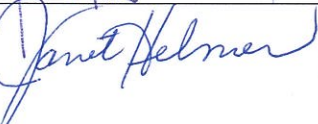
- a. To grant approval for the study. In this case, the student can start the data collection process.
- b. To grant approval for the study, subject to minor changes, to be discussed with the supervisor. In this case, the student can start the data collection process after discussing the minor issues indicated by the reviewers.

- c. To request additional information/clarification to determine approval. In this case, GSE IREC will request additional materials from the student or return incomplete proposals to the student.
 - d. To refer the application for NU IREC review. This will be when the reviewers consider that the study entails more than minimal risk and it requires a full review by the NU IREC committee and the complete CITI training for more than minimal risk research (17-module course).
 - e. To reject the application.
7. The decision of GSE IREC will be sent to the student and faculty supervisor in both electronic and paper format.

8. Written confirmation of approval will be effective for one year from the approval date. However, all modifications to a pre-approved study (e.g., recruitment process, administering materials) will need to be submitted to the committee for approval. Unanticipated events involving risk to participants refers to any experience that has taken place during the course of a research project that, in the opinion of the faculty supervisor, was harmful to a participant or others, increased the risks of harm in the research, or had an unfavorable impact on the risk/benefit ratio for the participant(s). Such events must be reported to the NU IREC committee as soon as possible after their occurrence. The NU IREC Committee will determine if any modification to the approved application is required. Suspension of the study should only be done in collaboration with NU IREC.

SUBMISSION TIMELINES: Recognizing the time constraints imposed on projects, the GSE IREC will make every effort to work with researchers to process proposals promptly. Students must plan for and allow adequate time for the review process (approximately 3 weeks, for minimal risk studies). Non-minimal risk studies will need to be submitted at least three months prior to the beginning of the study. The later in the semester a proposal is received, the more difficult it will be to accomplish the review within 3 weeks.

List of Approvals:

Position	Name	Signature	Date
Dean	Aida Sagintayeva		20/09/19
General Director for Research	Tsediso Michael Makoelle		20/09/19
Chair of the Research Committee	Janet Helmer		20/09/19