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## **Rules of Ethics**

**Karaganda**

## 1 Scope

These Rules of Ethics (hereinafter referred to as the Rules) of the Non-Commercial Joint Stock Company "Karaganda Technical University" (hereinafter referred to as the University) is applied in relations between the University, employees, students and all interested parties, which are based on compliance with the requirements of ethics and rules of conduct.

Failure to comply with the requirements of the Rules may serve as a basis for bringing an employee studying to disciplinary responsibility, within the limits established by the legislation of the Republic of Kazakhstan, and in some cases may entail measures of civil and criminal prosecution.

## 2 Regulatory references

This Standard uses references to the following normative documents:

IS ISO 9000: 2015 Quality management system. Basic Provisions and Glossary.

IS ISO 9001:2016 Quality management system. Requirements.

## 3 Terms, definitions and abbreviations

These Rules contains terms, definitions and abbreviations in accordance with IS ISO 9000: 2015 Quality management system. Basic Provisions and Glossary, in addition to them, the following terms and their definitions are established:

AMP – administrative and management personnel;

DAW – department of administrative work;

DP – a documented procedure;

Officials – members of the Board of Directors, members of the Management Board, vice-rectors, deans, heads of structural divisions, other officials;

Sole shareholder – Ministry of Education and Science of the Republic of Kazakhstan;

Interested person – a person, the exercise of whose rights provided for by law and the Charter, is associated with the activities of the University;

KTU – Karaganda Technical University;

Conflict of interests – a situation in which the personal interest of an employee or official of the University affects or can affect the impartial performance of his official duties;

Compliance risks – risks of non-compliance with the requirements of the legislation of the Republic of Kazakhstan or internal documents of the Company;

Corporate culture – specific to the University values, principles, norms of behavior and attitudes;

PD – personnel department of the University;

R – Rules;

ATS – Academic Teaching Staff;

QMR – Quality Management Representative;

Employee, worker – a person who has an employment relationship with the University and directly performs work under an employment contract;

RK – Republic of Kazakhstan;

QMS – Quality Management System;

ST RK – Standard of the Republic of Kazakhstan;

TEP – training and educational personnel;

LD – legal department.

## 4 Liability and powers

4.1 The Chairman of the Academic Council - Rector of the University approves these Rules.

4.2 The Compliance Officer is responsible for the content, structure and design of the approved Rules. The decision on the final version of the Rules is made by the QMR.

## 5 General provisions

5.1. These Rules are developed in accordance with the Law of the Republic of Kazakhstan "On Education", the Labor Code of the Republic of Kazakhstan, Order of the Minister of Education and Science of the Republic of Kazakhstan dated May 11, 2020 No. 190 "On some issues of pedagogical ethics", the Charter, Anti-Corruption Standard, Internal Regulations and others internal regulatory documents of the University.

5.2. The purpose of these Rules is to develop the corporate culture at the University and build effective interaction with interested persons through the application of best practices of behavior.

5.3. The University accepts and follows the requirements of these Rules in relations with the Sole Shareholder, officials and employees of the University, other interested persons and society in general, for making corporate decisions, both strategically important and in everyday situations faced by officials and employees of the University.

## 6 Values and principles of ethics

6.1. The fundamental corporate values of the University are:

- Meritocracy: justice and objectivity in assessing the contribution and achievements of everyone.

- Respect: Treating other team members with respect.

- Honesty: honesty within the University and towards to your partners.

- Openness: openness to contacts and partners.

- Team spirit: collaboration to achieve better results from joint activities.

- Trust: Commitment to a culture of mutual help and trust.

- Anti-corruption, zero tolerance for corruption.

6.2. The University's activities are based on the relationship between the

University and all interested persons, which are built on compliance with the requirements of ethics and rules of conduct. Observance of mutual commitments - a necessary condition for constructive work.

## **7 Ethical standards of relationships**

### ***7.1. University takes on the following commitments:***

- ensures compliance with and respect for human rights;
- committed to ensuring that all of its relationships with interested persons are mutually beneficial;
- creates equal conditions for professional development of employees seeking self-education and professional development in accordance with training and professional development programs for employees;
- provides the University employees with remuneration payments depending on the skill level, complexity and quality of the work performed;
- does not allow discrimination on racial, religious, national, gender, age, political and other grounds; the selection and promotion of personnel is carried out solely on the basis of compliance with qualification requirements, taking into account professional abilities, knowledge and skills;
- takes all measures to ensure the safety and health of workers in accordance with applicable law, and also creates safe working conditions for workers;
- provides for the protection of confidential information within the limits established by the legislation and internal documents of the University;
- creates conditions for an open and trusting dialogue between officials and employees of the University in cases of conflicts, takes preventive measures to prevent labor disputes and conflicts, uses mediation procedures;
- evaluates and encourages initiative ideas and suggestions of employees, the implementation of which has a positive effect on the University;
- does not allow the provision of any privileges and benefits to individual officials and employees other than on a legal basis, with the obligatory provision of equal opportunities for all;
- responsible for making decisions free of conflicts of interest at any stage of the process, from the official to any employee of the decision-making.

### ***7.2. State bodies***

The interaction of the University with state bodies is carried out in accordance with the requirements of the legislation of the Republic of Kazakhstan, the Charter, these Rules and other internal documents of the University, on the basis of the independence of the parties, in compliance with the principle of preventing corruption and other illegal actions, both by state bodies and by officials and employees of the University.

## **8 Obligations of University officials and employees**

### ***8.1. University officials and employees must:***

8.1.1. Respectfully treat state symbols - National Flag, National Emblem, National Anthem;

8.1.2. Respect corporate symbolism;

8.1.3. Observe generally accepted moral and ethical standards, respectfully treat the state language and other languages, traditions and customs of peoples;

8.1.4. Be polite and correct;

8.1.5. Be intolerant of indifference and rudeness;

8.1.6. Provide support and assistance to colleagues;

8.1.7. Always verbally thank for the assistance, even if it was not fully.

**8.2. *Officials and employees of the University undertake the following obligations:***

8.2.1. Carefully study, understand and conscientiously follow the requirements of ethics and the rules of conduct established by these Rules, the Rules of Pedagogical Ethics, the Charter, the Internal Regulations, the Anti-Corruption Standard, the Code of Academic Integrity of the teaching staff and University staff and other internal documents of the University;

8.2.2. Conscientiously, professionally, efficiently and impartially perform their duties and responsibilities;

8.2.3. Respect the honor and dignity of the individual. Prevent the use of methods of physical, moral and mental violence;

8.2.4. Prevent actions that could discredit the high title of a pedagogical worker of the Republic of Kazakhstan;

8.2.5. Be responsible for the obligations assumed, regardless of status and position;

8.2.6. Provide assistance in investigating ethics and code of conduct violations;

8.2.7. Do not give the characteristics of other individuals and legal entities, directly or indirectly, that may affect their dignity and honor, result in legal action for the protection of honor, dignity and reputation, including in the media, through social networks;

8.2.8. Make management decisions, the relevant requirements of the Rules;

8.2.9. Show adherence to the requirements of the Rules by example;

8.2.10. Spend time creating a corporate spirit among subordinates, team building into a team united by a common mission, values and principles of the University;

8.2.11. Advise and mentor subordinates;

8.2.12. Be guided by the principles of transparency and impartiality when making decisions;

8.2.13. Provide reliable information on time, without violating confidentiality standards and taking into account the decisions and acts of the authorized body and internal documents of the University;

8.2.14. Promote a culture of behavior in which employees of the University freely express concern non-compliance with ethical requirements and rules of conduct. Encourage ethics and conduct by example;

8.2.15. Observe labor discipline;

8.2.16. Comply with the requirements for labor safety and protection, fire safety, industrial safety and industrial sanitation in the workplace;

8.2.17. Take care of the property of the University;

8.2.18. Inform the employer about a situation that poses a threat to the life and health of people, the safety of the property of the University and employees, as well as about the occurrence of downtime;

8.2.19. Not to disclose information constituting state secrets, official, commercial or other secrets protected by law, which became known to him in connection with the performance of his labor duties;

8.2.20. Compensate the damage caused to the employer within the limits established by the legislation of the Republic of Kazakhstan;

8.2.21. Timely respond to appeals, as well as to publications of the media;

8.2.22. Take measures to timely pay taxes and other obligatory payments to the budget, including pension funds, as well as the salaries of University employees;

8.2.23. Conduct, within the limits of their competence, purposeful work to combat corruption at the University;

8.2.24. Ensure compliance with the norms of corruption legislation of the Republic of Kazakhstan in the activities of the University;

8.2.25. Conduct anti-corruption monitoring in the activities of the University;

8.2.26. Take measures to build an anti-corruption culture;

8.2.27. Form and ensure compliance with anti-corruption standards in the activities of the University;

8.2.28. Ensure that clear, fair and objective principles of academic integrity and the University's academic policy are upheld;

8.2.29. To ensure the promotion and protection of academic integrity, the norms of the University's academic policy, which are the result of the mutual efforts of all students and staff of the University;

8.2.30. Ensure the conscientious fulfillment of obligations imposed on the University staff, including those based on the principles of academic integrity and the norms of the University's academic policy;

8.2.31. Ensure responsibility of the student and the University staff for their violation of the principles of academic integrity and the norms of the University's academic policy;

8.2.32. Ensure high responsibility of the staff of the University, instilling the principles of academic honesty and the norms of the academic policy of the University, based on mutual respect and justice;

8.2.33. Ensure transparency and openness in the procedure for competitive selection of faculty and control over the transparency of procedures at the University;

8.2.34. Ensure the conduct of public procurement procedures at the University strictly in accordance with the current legislation of the Republic of Kazakhstan;

8.2.35. Provide publication on the official website of the University of tariffication and staffing, taking into account the requirements of the current legislation of the Republic of Kazakhstan;

8.2.36. Take measures for non-disclosure of official secrets, as well as leakage of official information;

8.2.37. To coordinate in writing with the employer business trips, appeals to higher authorities, as well as publications in the media.

## **9 Rules of conduct**

### ***9.1. Corporate culture***

9.1.1. The officials and employees of the University should contribute to the development of the corporate culture at the University by understanding and adhering to the requirements of ethics, preventing violations and sharing with colleagues their knowledge in the field of ethics.

9.1.2. Officials and employees of the University should form a corporate spirit and maintain compliance with the requirements of the Rules in the following ways:

- personal explanatory meetings with subordinates;
- your own example, that is, using your behavior as a model for employees;
- ensure there is a general understanding that compliance is a must for efficiency in the workplace.

9.1.3. University officials and employees must speak correctly and respectfully during negotiations.

9.1.4. All employees of the University can take part in corporate entertainment or sports events. They can also make proposals for holding events themselves, the purpose of which will be to increase the corporate spirit among employees.

9.1.5. Officials and employees of the University are obliged to comply with the rules of electronic document management of the University and keep in order all the necessary documentation. All employees of the University must keep their workplace in a neat and presentable form.

### ***9.2. Public Relations***

9.2.1. The University maintains high ethical standards in relations with the public and the media. The University does not allow the dissemination of false information, concealment and / or distortion of facts in public speeches of executives, its information and advertising materials or other public relations events.

9.2.2. Only authorized officials and employees of the University have the right to publicly speak, comment on events of the University or make any statements on behalf of the University in the media, including social networks.

9.2.3. When speaking on behalf of the University, employees are required to comply with generally accepted standards of professional conduct and ethics, disseminate only reliable information, and also prevent the dissemination of information that incites social, racial and national hatred.

9.2.4. The officials and employees of the University should not publicly express their opinion on the issues of the performance and activities of the University in general, if it is:

- does not correspond to the main directions of the University's activities;
- discloses the proprietary information of the University;
- contains unethical statements about the officials of the University.

### ***9.3. Control measures***

9.3.1. Officials and employees of the University are obliged to strictly adhere to the requirements of the Rules and report any violations of the requirements of the University.

9.3.2. To achieve the strategic goals of the University, the officials of the University make business decisions taking into account the fundamental values and requirements of ethics, and are fully responsible for the implementation of the tasks assigned to them.

9.3.3. The relevant employees of the University, according to their competence, are obliged to respond to problems related to violation of ethical requirements by:

- taking timely measures to correct the situation and eliminate deficiencies;
- taking / proposing effective disciplinary measures in the manner prescribed by law;
- consultations with the relevant structural units / bodies of the University with the provision of the necessary information.

These actions must be formalized in accordance with the internal procedures of the University.

9.3.4. The University encourages employees who are ready for an open discussion of the Rules, and has a positive attitude to any constructive suggestions for improving it.

9.3.5. For questions regarding the requirements of the Rules and / or ethical issues arising in the course of work, as well as on the facts of violations of the requirements of the Rules, committed misconduct, discrediting the title of a teacher, corruption and other illegal actions, officials and employees of the University, as well as business partners and interested persons have the right contact your line manager and / or the ethics and anti-corruption officer.

Materials on violations are sent to the Ethics Council for consideration.

9.3.6. Recommendations adopted by the Council on Ethics for the practical application of the Implementing Rules, in the prescribed manner are submitted to the Rector of the University and approved them.

## **10 Institute of the *Ethics and the Anti-Corruption Officer***

### ***10.1. Qualification requirements and the basic functions***

The duties of the Ethics and the Anti-Corruption Officer is assigned to the Vice-Rector of the University.

The main functions of the Ethics and the Anti-Corruption Officer is to collect information on non-compliance with the provisions of the anti-corruption legislation of the Republic of Kazakhstan, the Rules, the Charter, the Anti-Corruption Standard and other internal regulatory documents of the University, initiate the consideration of disputes on these violations, consult employees, officials on the provisions of anti-corruption legislation, Of the Rules, Charter, Anti-Corruption Standard and other internal regulatory documents of the University.

### ***10.2. Ethics and the Anti-Corruption Officer may:***

- initiate procedures to identify violations of anti-corruption legislation, the Rules, the Charter, the Anti-Corruption Standard and other internal regulatory documents of the University, both on the basis of received applications and on their own initiative;

- apply personally to employees, officials on issues of non-compliance with anti-corruption legislation, Rules, Charter, Anti-corruption standard and other internal regulatory documents of the University;
- provide employees, officials with explanations and interpretations of the provisions of anti-corruption legislation, the Rules, the Charter, the Anti-Corruption Standard and other internal regulatory documents of the University.

***10.3. The Ethics and the Anti-Corruption Officer must:***

- provide protection (within the framework of the procedures established by labor legislation) of employees for the period of procedures for considering disputes on violations of anti-corruption legislation, the Rules, the Charter, the Anti-Corruption Standard and other internal regulatory documents of the University, in the event of situations of their forced dismissal due to initiation of consideration such cases;
- participate in the consideration of issues related to non-compliance with anti-corruption laws, Rules, Charter, Anti-corruption standard and other internal regulatory documents of the University;
- keep records of requests from employees, officials, as well as business partners and interested parties on non-compliance with the provisions of anti-corruption legislation, Rules, Charter, Anti-corruption standard and other internal regulatory documents of the University;
- within 15 (fifteen) working days provide explanations of the provisions of the Rules to the employees of the University in case of their request;
- observe independence and impartiality in considering disputes on non-compliance with anti-corruption laws, Rules, Charter, Anti-Corruption Standard and other internal regulatory documents of the University;
- ensure the anonymity of the employee, official who applied for violation of the provisions of the Rules (if they wish to remain anonymous).