

Abylkas Saginov Karaganda Technical University NPJSC	Regulations on the Commission for Compliance Control and Quality Assurance	IRD III-03-2022 Version 01 Date 2022/07/04 Page 1 out of 7
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REGULATION

**ON THE COMMISSION FOR COMPLIANCE CONTROL AND
QUALITY ASSURANCE**

IRD III-03-2022

Karaganda

НАО «Карагандинский технический университет имени Абылкаса Сагинова»	Положение о комиссии по комплаенс-контролю и обеспечению качества	ПВД III-03-2022 Версия 01 Дата 2022.07.04 Стр. 2 из 7
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1 Scope

1.1 This Regulation on the Commission for Compliance Control and Quality Assurance (hereinafter referred to as the Regulation) is a regulatory document that establishes requirements for administrative and legal assignment to the Commission for Compliance Control and Quality Assurance (hereinafter referred to as the Commission) of Abylkas Saginov Karaganda Technical University Non-profit Joint Stock Company (hereinafter referred to as the Company) of its status, organizational structure, functional duties, powers (rights) and responsibilities.

1.2 This Regulation on the Commission are obligatory for the guidance by all the members of the Commission in their work.

1.3 Regulation on the Commission is included in the set of documentation for the Company's quality management system.

2 Regulatory references

This Regulation uses references to the following regulatory documents:

RK ST ISO 9000-2017 (ISO 9000:2015) “Quality management system. Basic provisions and glossary”.

DP V-01-2022 "Documented information management".

3 Terms, definitions and abbreviations

This Regulation provides terms, definitions and abbreviations in accordance with RK ST ISO 9000-2017 (ISO 9000:2015) “Quality management system. Basic provisions and glossary”. In addition to them, the following terms and their definitions are established:

DP is a documented procedure;

DAW is the Department of Administrative Work of the Society;

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

Corruption is the illegal use by persons holding a responsible public position, persons authorized to perform public functions, persons equated to persons authorized to perform public functions, officials of their official (official) powers and related opportunities in order to obtain or extract personally or through intermediaries of property (non-property) benefits and advantages for themselves or third parties, as well as bribery of these persons by providing benefits and advantages;

PD is the personnel department of the Company;

IRD is an internal regulation document;

The staff is the teaching staff of the Company;

Prevention of corruption is activities of the subjects of countering corruption to study, identify, limit and eliminate the causes and conditions that contribute to the commission of corruption offenses by developing and implementing a system of preventive measures;

НАО «Карагандинский технический университет имени Абылкаса Сагинова»	Положение о комиссии по комплаенс-контролю и обеспечению качества	ПВД III-03-2022 Версия 01 Дата 2022.07.04 Стр. 3 из 7
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QMR is the Quality management representative;

Combatting corruption is activities of anti-corruption entities within their powers to prevent corruption, including the formation of an anti-corruption culture in society, the identification and elimination of the causes and conditions conducive to the commission of corruption offenses, as well as the identification, suppression, disclosure and investigation of corruption offenses, and elimination of their consequences;

RK is the Republic of Kazakhstan;

RK ST is a standard of the Republic of Kazakhstan;

AP is the auxiliary personnel;

LD is the legal department of the Company.

4 Responsibility and powers

4.1 This Regulation is approved by the Chairman of the Academic Council, Chairman of the Board, Rector of the University.

4.2 Responsibility for the content, structure and design of the approved Regulation lies with the Chairman of the Commission. The decision on the final version of the Regulation is made by the QMR.

4.3 Responsibility for bringing to the attention of the members of the Commission the requirements of the Regulations lies with the Chairman of the Commission. A record of familiarization must be made in the "Familiarization Sheet" (Appendix B).

4.4 Responsibility for safety, unauthorized copying the documents of the quality management system (QMS), including this Regulation located in the Commission and the leakage of official information lies with the Chairman of the Commission.

5 General provisions

5.1 The Commission is a permanent collegial body whose main activity is to identify, to assess and to analyze compliance risks, monitor the quality of educational services, ensure control over compliance with the requirements of legislative and other regulatory legal acts, as well as the principles of integrity, pedagogical ethics and anti-corruption culture.

5.2 The Commission is established in order to implement the Anti-corruption Standard, to comply with the Charter, the Internal Regulations and the Code of Business Ethics of the Company, the requirements of external and internal regulatory legal acts, identify risk areas, manage conflicts of interest, combat corruption, as well as other measures aimed at forming principles integrity, anti-corruption culture and quality assurance of educational services.

5.3 In its activities, the Commission is guided by the Constitution of the Republic of Kazakhstan [1], the Laws of the Republic of Kazakhstan "On Education" [2], "On Combating Corruption" [3], the Labor Code of the Republic of Kazakhstan [4], the Civil Code of the Republic of Kazakhstan [5], other legislative and regulatory acts of the Republic of Kazakhstan, the Charter [6], the Internal Regulations [7], the Code of

НАО «Карагандинский технический университет имени Абылкаса Сагинова»	Положение о комиссии по комплаенс-контролю и обеспечению качества	ПВД III-03-2022 Версия 01 Дата 2022.07.04 Стр. 4 из 7
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Business Ethics [8], the Anti-Corruption Standard [9] and other internal regulatory documents of the Company, this Regulation.

6 Basic tasks and functions of the Commission

6.1 Monitoring, recognizing, preventing compliance risks, including identification and analysis of corruption-hazardous areas of the Company's activities.

6.2 Analyzing and developing proposals to reduce compliance risks.

6.3 Monitoring the quality of educational services.

6.4 Ensuring control over compliance with the requirements of legislative and other regulatory legal acts, as well as the principles of integrity, pedagogical ethics and anti-corruption culture.

6.5 Ensuring the implementation of measures aimed at preventing and resolving conflicts of interest, combating corruption, forming and observing the principles of integrity, pedagogical ethics and anti-corruption culture, creating an intra-university system for ensuring the quality of education.

7 Procedure for organizing and powers of the Commission

7.1 The composition of the Commission is approved by the Chairman of the Board, Rector of the Company on the proposal of the Compliance officer of the Company.

7.2 The Commission consists of Chairman, his deputy and members of the Commission.

7.3 Chairman of the Commission:

- heads the Commission and coordinates its activities in accordance with these Regulations;

- approves the work plan of the Commission and controls its implementation;

- prepares recommendations and proposals for reducing compliance risks, strengthening discipline, preventing and preventing offenses, ensuring anti-corruption legislation and the quality of educational services;

- requests explanatory notes on issues of non-fulfillment of functional duties, violations of labor and executive discipline, including non-fulfillment of the principles of integrity, pedagogical ethics and anti-corruption culture of officials and employees of the Company;

- submits for consideration by the Chairman of the Board, Rector of the Company the ideas of imposing penalties for violators of labor discipline, anti-corruption legislation and pedagogical ethics;

- promptly submits information to the Chairman of the Management Board, Rector of the Company of the conflicts of interest of the Company's employees and their settlement.

7.4 Deputy Chairman of the Commission:

- performs functions according to the distribution of duties between the chairman of the Commission and his deputy;

НАО «Карагандинский технический университет имени Абылкаса Сагинова»	Положение о комиссии по комплаенс-контролю и обеспечению качества	ПВД III-03-2022 Версия 01 Дата 2022.07.04 Стр. 5 из 7
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- during the absence of the Chairman of the Commission, directs the activities of the Commission;

- within its competence, performs other assignments of the Chairman of the Commission.

7.5 Members of the Commission:

- make proposals to the work plans of the Commission;

- involve, in accordance with the established procedure, the structures of the Society, youth public associations for the development of issues within the scope of the Commission;

- take an active part in the work of the Commission and are not entitled to delegate their powers to other persons;

- must comply with the requirements of this Regulation.

7.6 The Secretary of the Commission is a member of the Commission without the right to vote in the decision of the Commission.

7.7 The Commission has the right:

- to request information and documents needed to fulfill the tasks of the Commission from the heads of structural subdivisions and other specialists of the Company;

- to invite and to hear at the meetings of the Commission representatives of the administration of the Company, deans, heads and employees of structural divisions, the teaching staff, the AP and students of the Company.

8 Organization and procedure for the Commission work

8.1 The Commission carries out its activities in accordance with the annual plan that is drawn up on the basis of proposals from members of the Commission and approved by the decision of the Commission.

8.2 The main form of the Commission work is a meeting. Commission meetings are held as needed.

8.3 The date and time of the meetings, including extraordinary meetings, is determined by Chairman of the Commission.

8.4 The presence of members of the Commission at meetings of the Commission is obligatory. If it is impossible to attend the meeting, the members of the Commission have the right to express their opinion on the issues under consideration in writing.

8.5 Meetings are considered eligible if they are attended by at least 50% of the total number of members of the Commission.

8.6 When making decisions, all the members of the Commission have the right to vote (with the exception of the secretary of the Commission) and have equal powers.

8.7 In the absence of Chairman of the Commission or if it is impossible for Chairman of the Commission to take part in the meeting of the Commission, his duties are performed by the Deputy Chairman of the Commission.

8.8 In case of equality of votes, the Chairman's vote is decisive.

8.9 Representatives of the public can be invited to the meetings of the

НАО «Карагандинский технический университет имени Абылкаса Сагинова»	Положение о комиссии по комплаенс-контролю и обеспечению качества	ПВД III-03-2022 Версия 01 Дата 2022.07.04 Стр. 6 из 7
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Commission, in agreement with Chairman.

9 Coordination, approval and implementation

9.1 This Regulation is coordinated with the QMR, the director of the DAW, the head of the LD, Chairman of the Trade Union Committee of teachers and employees. and is drawn up in the "Approval Sheet" (Appendix A).

9.2 The Regulation is translated into Kazakh and English for the purpose of further posting on the official website of the Company.

9.3 The Regulation with the developer's signature and approval signatures is submitted by the developer for approval.

9.4 The date of introduction of the Regulation is the date of its approval. The Regulation comes into effect at the moment of its approval.

9.5 The approved Regulations are transferred for storage to the CQM&A on paper.

10 Accessibility

Providing the copies of the Regulation is carried out by posting on the official website of the Company.

11 Safekeeping

11.1 After the electronic version of this Regulation is posted on the official website of the Company, the executors get acquainted with it and put their signature on the familiarization sheet (Appendix B).

11.2 Responsibility for replication, accounting of copies, unauthorized use and safety of the document lies with the head of the department.

11.3 The full version of the document is stored in electronic form, and the title page and familiarization sheet in printed form.

12 Analyzing and updating

12.1 Verification, analyzing and updating the Regulations are performed:

- in case of reorganization/renaming the Company;
- when changing the strategy, policy and goals of the Company in the field of quality;
- upon detecting non-conformity processes, during internal and/or external audits;
- in case of changes in legislative, regulatory and contractual requirements for the settlement of conflicts of interest.

12.2 Verification (review) of the Regulation should be performed once a year.

12.3 The developer is responsible for analyzing and updating the Regulation.

12.4 The Regulation must be updated by the developer within the period of not

НАО «Карагандинский технический университет имени Абылкаса Сагинова»	Положение о комиссии по комплаенс-контролю и обеспечению качества	ПВД Ш-03-2022 Версия 01 Дата 2022.07.04 Стр. 7 из 7
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more than 5 working days from the date of receipt of new information.

12.5 The availability of the relevant versions of the Regulations in the places of their application is ensured by electronic versions.

13 Amendments to the document

13.1 Amendments to this Regulation must be made in accordance with DP V-01-2022.

13.2 This Regulation is revised in case of changes in legislation or as necessary.

13.3 Amendments to the original Regulation are introduced by the developer. The CQM&A must post an updated version on the official website of the Company within the period of not more than 5 days.