
REGULATION

ON THE BOARD FOR ETHICS

IRD III-04-2022

Karaganda

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1 Scope

1.1 This Regulation on the Board for Ethics (hereinafter referred to as the Regulation) is a regulatory document that establishes the requirements for the administrative and legal assignment to the Board for Ethics (hereinafter referred to as the Board) 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 The Regulation is obligatory for the guidance in the work by all the members of the Board.

2 Regulatory references

The 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".

Charter of Abylkas Saginov Karaganda Technical University NPJSC.

Internal regulations Abylkas Saginov Karaganda Technical University NPJSC.

Code of Business Ethics of Abylkas Saginov Karaganda Technical University NPJSC.

Anti-corruption standard of Abylkas Saginov Karaganda Technical University NPJSC.

Code of Honor for students, undergraduates and doctoral students of Abylkas Saginov Karaganda Technical University NPJSC.

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;

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 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 Regulations lies with the Chairman of the Board. The decision on the final version of the Regulations is made by the QMR.

4.3 Responsibility for bringing to the attention of the members of the Board the requirements of the Regulations lies with Chairman of the Board. 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 Board, and leakage of official information is Chairman of the Board.

5 General provisions

5.1 The Board is a consultative and collegial body that considers issues of labor discipline, compliance with anti-corruption laws, the Code of Business Ethics, the Code of Honor for students, undergraduates and doctoral students of the Company.

5.2 Decisions of the Board are advisory in nature for Chairman of the Board, Rector of the Company.

5.3 The Board was established in order to implement the Code of Business Ethics of the Company and the state policy on combating corruption, eliminate the causes and conditions for the occurrence of corruption, eradicate abuses and suppress offenses based on the formation of an environment of zero tolerance for any offenses in the Company's team.

5.4 The Board in its activities 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 legal acts of the Republic of Kazakhstan, the Charter [6], the Internal Regulations [7], the Code of Business Ethics [8], the Anti-Corruption Standard [9] and other internal regulatory documents of the Company, these Regulations.

6 Basic tasks and functions of the Board

6.1 Considering applications from the employees, students of the Company on the facts of offenses, violations of the provisions of the Charter, the Anti-Corruption Standard, the Internal Regulations, the Code of Business Ethics and the Code of Honor of students, undergraduates and doctoral students of the Company.

6.2 Initiating disciplinary measures on the revealed facts of violations.

6.3 Ensuring the implementation of measures aimed at the formation and observance of the principles of integrity, business ethics and anti-corruption culture in the Company.

6.4 Ensuring the protection of the rights and interests of employees and students of the Company.

6.5 Informing employees and students of the Company on the problems of corruption; issues of combating offenses and violations of the Charter, the Anti-Corruption Standard, the Internal Regulations, the Code of Business Ethics and other internal regulatory documents of the Company.

6.6 Developing recommendations and proposals for strengthening labor and educational discipline, preventing and preventing offenses, ensuring anti-corruption legislation.

7 Procedure for organizing and powers of the Board

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

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

7.3 Chairman of the Board:

- heads the Board and coordinates its activities in accordance with the Regulations;
- approves the work plan of the Board and controls its implementation;
- timely ensures the consideration of applications from employees and students of the Company on the facts of offenses, violations of the provisions of the Charter, the Anti-Corruption Standard, the Internal Regulations, the Code of Business Ethics and the Code of Honor of students, undergraduates and doctoral students;

- submits for consideration to Chairman of the Board, Rector of the Company submissions on the adoption of disciplinary measures on the considered facts of violations;

- prepares recommendations and proposals for strengthening discipline, preventing and preventing offenses, and ensuring anti-corruption legislation;

- 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;

- gives appropriate instructions to his deputy, secretary and members of the Board, monitors their implementation.

7.4 Deputy Chairman of the Board:

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

- during the absence of Chairman of the Board, directs the activities of the Board;

- within its competence, performs other instructions of the chairman of the Board.

7.5 Members of the Board:

- make proposals to the work plans of the Board;

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

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

- must comply with the requirements of the Regulation.

7.6 The Secretary of the Board is a member of the Board with the right to vote in the decision of the Board.

7.7 The Board has the right:

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

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

8 Organization and procedure for the Board work

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

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

8.3 The date and time of the meetings is determined by Chairman of the Board.

8.4 The presence of members of the Board at meetings of the Board is obligatory. Members of the Board are not entitled to delegate their powers to other persons. If it is impossible to attend the meeting, the members of the Board 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 Board members.

8.6 All the members of the Board, when making decisions, have the right to vote and have equal powers. In case of equality of votes, the chairperson's vote is decisive.

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8.7 At the meeting of the Board, in agreement with Chairman of the Board, representatives of the administration of the Company, deans, leaders, employees of structural divisions, the teaching staff, the AP and students of the Company can be invited to clarify issues within their authority.

8.8 Representatives of the public who have the right to make proposals on the merits of the issues under discussion can be invited to meetings of the Board, in agreement with Chairman of the Board.

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 the 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 approval the Regulation. The Regulation comes into effect at the moment of its approval.

9.5 The approved Regulation is 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

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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 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.