

NPJSC “Abylkas Saginov Karaganda Technical University”	<b>Code of the business ethics</b>	Code III-01-2022 Version No. 01 Dated 2022.06.06 Page 1 of 10
--	------------------------------------	--

---

## **CODE OF THE BUSINESS ETHICS**

**Code III-01-2022**

**Karaganda**

NPJSC “Abylkas Saginov Karaganda Technical University”	<b>Code of the business ethics</b>	Code III-01-2022 Version No. 01 Dated 2022.06.06 Page 2 of 10
--	------------------------------------	--

## **1 Field of application**

1.1 This code of the business ethics (hereinafter referred to as Code) of the Non-profit Joint-stock Company “Abylkas Saginov Karaganda Technical University” (hereinafter referred to as Company) contains obligatory rules of the corporate culture and behaviour, which are applicable to all dutyholders and employees of the company, regardless of the level of their position.

1.2 The code does not describe all possible cases and situations, which a dutyholder/employee of the company can encounter, when performing his official duties, but contains the basic principles of solving complex ethical situations.

1.3 Non-fulfillment of the code’s requirements can be a reason for bringing the dutyholder/employee of the company to disciplinary responsibility within the limits, prescribed by the legislation of the Republic of Kazakhstan and in some cases, it can result in the measures of civil and criminal prosecution.

## **2 Normative references**

The code uses references to the following normative documents:

Standard of the Republic of Kazakhstan ISO 9000-2017 (ISO 9000:2015) “Quality Management System. General provisions and glossary”.

Documented procedure V-01-2022 “Documented information management”.

## **3 Terms, definitions and abbreviations**

Terms, definitions and abbreviations are used in the code, according to the Standard of the Republic of Kazakhstan ISO 9000-2017 (ISO 9000:2015) “Quality Management System. General provisions and glossary”, in addition to them, the following terms and their definitions are established:

AMP – administrative and managerial personnel;

AWD – Administrative Work Department;

DP – documented procedure;

Dutyholders are members of the Board of Directors, members of the Management Board, deans, leaders of the structural divisions;

A sole shareholder is the Ministry of Education and Science of the Republic of Kazakhstan;

An interested party is a party, the realization of whose rights, provided for by the legislation and charter, is related to an activity of the company;

A conflict of interests is a situation, where a personal interest of the employee or dutyholder of the company affects or can affect the impartial performance of his official duties;

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

A counterparty is an individual or legal entity with whom a contract/agreement has

NPJSC “Abylkas Saginov Karaganda Technical University”	<b>Code of the business ethics</b>	Code III-01-2022 Version No. 01 Dated 2022.06.06 Page 3 of 10
--	------------------------------------	--

been concluded or is planned to be concluded;

A corporate culture is values, principles, norms of behaviour and attitudes, which are specific for the company;

Students are people, who study under the bachelor’s degree program, master’s degree program, doctoral program – students, graduate students, doctoral students of the company;

PD – Personnel Department of the company;

ATS – academic teaching staff;

QMR – quality management representative;

A worker, employee is a person, who has labour relationships with the company and directly performs a work, as per a labour contract;

RK – Republic of Kazakhstan;

ESS – educational support staff;

LD – Legal Department of the company.

#### **4 Responsibility and authority**

4.1 This code is approved by the Chairman of the Management Board – Rector of the company on the title page.

4.2 A developer of the code is responsible for content, structure and drawing up an approved code. A decision of the final version of the code is made by QMR.

4.3 A compliance officer and the leaders of the structural divisions are responsible for informing the employees of the company about requirements of the code. A familiarization record must be made in the “Familiarization sheet” (Appendix B).

4.4 Leaders of the divisions are responsible for preservation, unauthorized copying the documents of quality management system (QMS), including this code, situated in the division, and the leakage of official information.

#### **5 General provisions**

5.1 The code has been developed on the basis of the current legislation of the Republic of Kazakhstan and generally recognized principles and norms of the business ethics.

5.2 The purpose of the code is development of the corporate culture in the company and building an effective interaction with interested parties by means of usage of the best behaviour practice.

5.3 The company accepts and follows the requirements of this code in relations with the sole shareholder, dutyholders and employees of the company, other interested parties and the company in general, for making corporate decisions, both strategically important ones and in everyday situations, which the dutyholders and the employees of the company encounter.

NPJSC “Abylkas Saginov Karaganda Technical University”	<b>Code of the business ethics</b>	Code III-01-2022 Version No. 01 Dated 2022.06.06 Page 4 of 10
--	------------------------------------	--

## **6 Values and principles of the ethics**

6.1 The core corporate values of the company are:

- meritocracy: fairness and objectivity in assessment of the contribution and achievements of every person;
- respect: treating other team members with respect;
- honesty: honesty inside the company and towards its partners;
- openness: openness to contacts and partners;
- team spirit: cooperation for achieving better results from joint activity;
- trust: commitment to a culture of the mutual aid and trust;
- fight against corruption, zero tolerance for corruption.

6.2 The activity of the company is based on relations of the company and all interested parties, which are built on compliance with the requirements of ethics and rules of behaviour. Observance of the mutual obligations is a necessary condition of the constructive work.

## **7 Ethical norms of the company**

7.1 The company undertakes the following obligations:

- it ensures observance and respect for human rights;
- it aspires after ensuring that all its relationships with the interested parties would be mutually beneficial;
  - it creates equal conditions for improvement of the professional qualification of employees, aspiring after self-education and professional development in accordance with the programs of training and professional development of the employees;
  - it provides the employees with payment of the remuneration for work, depending on the level of qualification, complexity and quality of the performed work;
  - it does not allow discrimination on racial, religious, national, sexual, age, political and other grounds; selection and promotion of the personnel is carried out only on the basis of compliance with qualification requirements, taking into account professional abilities, knowledge and skills;
  - it takes all measures to ensure safety and labour protection of the employees in accordance with the current legislation and also creates safe working conditions for the employees;
  - it ensures non-disclosure of the confidential information within the limits, prescribed by the legislation and internal documents of the company;
  - it creates conditions for an open and trust-based dialogue between the dutyholders and the employees of the company in cases of conflicts formation, takes preventive measures to prevent labor disputes and conflicts, uses mediation procedures;
  - it evaluates and encourages initiative ideas and proposals of the employees, the realization of which has a positive effect for the company;

NPJSC “Abylkas Saginov Karaganda Technical University”	<b>Code of the business ethics</b>	Code III-01-2022 Version No. 01 Dated 2022.06.06 Page 5 of 10
--	------------------------------------	--

- it does not allow to give any privileges and benefits to individual dutyholders and employees except on a legal basis, with obligatorily providing everyone with equal opportunities;
- it is responsible for making decisions, which are free from formation of the conflict of interests at any stage of this process, from the dutyholder to any employee, who makes the decisions;
- it ensures conscientious fulfillment of the obligations, entrusted with the employees of the Company, including fulfillment, based on the principles of academic honesty and norms of the academic policy of the company;
- it ensures responsibility of the student and the employees of the company for their violation of the principles of the academic honesty and the norms of the academic policy of the company;
- it ensures transparency and openness during the procedure of competitive selection of the academic teaching staff and control over the transparency of procedures in the company;
- it ensures that the procedures of state purchases are carried out in strict accordance with the current legislation of the Republic of Kazakhstan.

7.2 Interaction of the company with the state bodies is carried out in accordance with the requirements of the legislation of RK, the Charter, the Code and other internal documents of the company, on the basis of independence of the parties, in compliance with the principle of preventing corruption actions and other illegal actions, made by both the state bodies and the dutyholders, and the employees of the company.

## **8 Corporate culture and ethics**

8.1 The dutyholders and the employees of the company must make a contribution to development of the corporate culture in the company, understanding and observing the requirements of ethics, preventing violations and sharing their knowledge with colleagues in the field of ethics.

8.2 The dutyholders and the employees of the company must form a corporate spirit and maintain the compliance with the requirements of the code in the following ways:

- personal explanatory meetings with subordinates;
- own example, i.e. the usage of your behavior as an example for the employees;
- ensure understanding for everyone that the compliance with the requirements is an obligatory factor of effectiveness in the workplace.

8.3 All employees of the company can take part in festive or sporting events. They can also make proposals on holding activities, the purpose of which will be to increase the corporate spirit among the employees of the company.

### **8.4 The dutyholders and the employees of the company must:**

8.4.1 respect the state symbols — the State Flag, the State Emblem, the State Anthem;

8.4.2 respect corporate symbols;

NPJSC “Abylkas Saginov Karaganda Technical University”	<b>Code of the business ethics</b>	Code III-01-2022 Version No. 01 Dated 2022.06.06 Page 6 of 10
--	------------------------------------	--

8.4.3 observe generally accepted moral and ethical norms, respect the state language and other languages, traditions and customs of peoples;

8.4.4 be polite and tactful;

8.4.5 be intolerant of indifference and rudeness;

8.4.6 provide support and assistance to the colleagues;

8.4.7 always orally thank for help, even if it is not fully provided;

8.4.8 be a personal example of adherence to the requirements of the code, labor discipline, respectful and solicitous attitude towards the company, its traditions, history, property;

8.4.9 value business reputation of the company, refrain from participating in activity, which contradicts or damages interests of the company, thwart any attempts to defile its honor and authority;

8.4.10 share a mission of the company and associate their mission with corporate one in the professional activity;

8.4.11 take full responsibility for assumed obligations and realization of the goals and tasks, set by the company, be involved in the results of the company’s activity;

8.4.12 observe the labor discipline;

8.4.13 performing their official duties, show a high culture, responsibility, conscientiousness, academic honesty and objectivity, be guided by the principles of mutual respect, tactfulness and kindness;

8.4.14 aspire after professionalism, constantly improving the level of their knowledge, studying domestic and foreign experience, and scientific achievements;

8.4.15 observe the requirements for the safety and labour protection, fire safety, industrial safety and production sanitation at the workplace;

8.4.16 inform an employer about an arisen situation, which is a threat to a life and health of people, safety of the company’s property and employees, as well as the formation of downtime;

8.4.17 follow the rules of electronic document flow of the company and keep all necessary documentation in good condition;

8.4.18 not disclose information, being state secrets, an official, commercial or another secret, protected by law, which has become known to them due to execution of the work obligations;

8.4.19 agree business trips, appeals to higher bodies, as well as publications in mass media with the employer in written form;

8.4.20 compensate the employer for a caused damage within the limits, prescribed by the legislation of the Republic of Kazakhstan;

8.4.21 carry out a purposeful work of the fight against corruption in the company, within their competence;

8.4.22 take measures of the formation of anti-corruption culture;

8.4.23 observe and ensure the observance of clear, fair and objective principles of the academic honesty and norms of the academic policy of the company;

NPJSC “Abylkas Saginov Karaganda Technical University”	<b>Code of the business ethics</b>	Code III-01-2022 Version No. 01 Dated 2022.06.06 Page 7 of 10
--	------------------------------------	--

8.4.24 ensure the promotion and protection of the academic honesty, the norms of the company’s academic policy, which are the result of mutual efforts of all students and employees of the company;

8.4.25 assist in making investigations on violations of the principles of ethics and the rules of behaviour.

**8.5 Teachers and employees of the company must not:**

8.5.1 allow actions, which can discredit a distinguished title of the teacher and employee of the company;

8.5.2 characterize other individuals and legal entities directly or indirectly, that can affect their dignity and honor, cause a court examination on protection of the honor, dignity and reputation, including in the mass media, via social networks;

8.5.3 humiliate the dignity of colleagues, students and other individuals, use a coarse language, show familiarity and arrogance;

8.5.4 be rude and inattentive, during performance of their official duties;

8.5.5 discuss private lives of the colleagues, students or their disadvantages in the presence of the students;

8.5.6 come in a drunken state, drink alcoholic beverages in the company, smoke in places, which are not intended for this;

8.5.7 take gifts or monetary remuneration from the students, counterparties;

8.5.8 spread religious ideas, as well as opinions and attitudes, which contradict unity between nations and interfaith harmony;

8.5.9 be late for work, reduce the time of giving classes or performance of their official duties, miss them without a good reason;

8.5.10 abuse their official powers towards the students, allow a biased attitude to the students and subjectivity in assessment of their knowledge;

8.5.11 spread unreliable information about decisions of the company’s administration and activity of its divisions.

**8.6 A leader of the structural division must:**

8.6.1 be guided by the principles of transparency and impartiality, when making the decisions;

8.6.2 make managerial decisions, which meet the requirements of the code;

8.6.3 find time for creating the corporate spirit among the subordinates, unifying people into a team, united by a common mission, values and principles of the company;

8.6.4 provide pieces of advice and instruct the subordinates;

8.6.5 form the culture of behaviour, where the employees freely express concern over non-observance of the requirements of ethics and the rules of behaviour; encourage the compliance with the requirements of ethics and the rules of behaviour by the personal example;

8.6.6 not hurt the dignity, self-respect and personal status of the subordinates;

8.6.7 be able to admit his own mistakes towards the subordinates and not torment them because of constructive criticism, addressed to him;

8.6.8 create friendly and business atmosphere in the team.

NPJSC “Abylkas Saginov Karaganda Technical University”	<b>Code of the business ethics</b>	Code III-01-2022 Version No. 01 Dated 2022.06.06 Page 8 of 10
--	------------------------------------	--

## **9 Public relations**

9.1 The company monitors the observance of high ethical standards in relations with the public and the mass media. The company does not allow the spread of unreliable information, concealment and/or distortion of the facts in public speeches of the managerial employees, information and advertising materials or other public relations' activities.

9.2 Only authorized dutyholders and employees of the company have the right to publicly speak, comment events of the company or make any statements on behalf of the company in the mass media, including the social networks.

9.3 When speaking on behalf of the company, the employees must observe generally accepted standards of the professional behaviour and ethics, spread only reliable information and also prevent the spread of information, which kindles social, racial and national discords.

9.4 The dutyholders and the employees of the company should not publicly give their opinion, concerning an official activity and the activity of the company in general, if it:

- does not correspond to basic areas of the activity of the company;
- discloses official information of the company;
- contains unethical utterances, addressed to the dutyholders and the employees of the Company.

## **10. Control measures and responsibility**

10.1 The corporate culture equally concerns all dutyholders and employees of the company.

10.2 The dutyholders and the employees of the company must know and strictly adhere to the requirements of the code, and inform about any violations of the requirements of the company.

10.3 To achieve strategic goals of the company, the dutyholders of the company make business decisions, taking into account core values and the requirements of ethics, and bear full responsibility for realization of the tasks, given to them.

10.4 The company encourages the employees, who are ready for an open discussion of the code and has a positive attitude to any constructive proposals in terms of its improvement.

10.5 A violation of the code's provisions is considered as an action, which is incompatible with the status of teacher and employee of the company.

10.6 The following measures can be taken in case of a violation of the code's norms:

- recommendation of making public apologies;
- discussion of the behaviour at the meeting of structural division and/or the Ethics Council of the company;
- disciplinary punishment.



NPJSC “Abylkas Saginov Karaganda Technical University”	<b>Code of the business ethics</b>	Code III-01-2022 Version No. 01 Dated 2022.06.06 Page 9 of 10
--	------------------------------------	--

10.7 The dutyholders and the employees of the company, as well as business partners and the interested parties have the right to contact a direct leader and/or compliance officer on questions, concerning the requirements of the code and/or ethical issues, which have arisen in the course of work, as well as the facts of requirements' violations of the code, committed offences, which discredit the title of teacher, corruption and other illegal actions.

Violation materials are sent to the Ethics Council for consideration.

10.8 Recommendations, accepted by the Ethics Council, are presented to be considered by the Chairman of the Management Board - Rector of the company and approved by him in accordance with the established procedure.

## **11 Agreement, approval and introduction**

11.1 This code is agreed by QMR, a director of AWD, a leader of LD, the chairman of the trade union committee of teachers and employees, and is drawn up in the “Approval sheet” (Appendix A).

11.2 The code is translated into Kazakh and English for the purpose of further posting on the official website of the company.

11.3 The code, having a signature of the developer and agreeing signatures, is submitted by the developer for approval.

11.4 The date of introduction of the code is the date of approval/agreement of the code. The code comes into force at the moment of its approval.

11.5 The approved code is given for keeping to the Center of Quality Management and Accreditation in paper form.

## **12 Availability ensuring**

Divisions are provided with copies of the code by means of posting on the official website of the company.

## **13 Keeping**

13.1 After an electronic version of the code has been posted on the company's website, executors acquaint themselves with it and put their signature in the familiarization sheet (Appendix B). Responsibility for familiarizing the employees with the code is born by the head of department and/or a leader of the division in the departments and divisions.

13.2 The leader of the division is responsible for replication, registration of copies, unauthorized usage and preservation of the code.

13.3 The full version of the code is kept in electronic form; a title page and the familiarization sheet are kept in printed form.

NPJSC “Abylkas Saginov Karaganda Technical University”	<b>Code of the business ethics</b>	Code III-01-2022 Version No. 01 Dated 2022.06.06 Page 10 of 10
--	------------------------------------	---

## **14 Analysis and updating**

14.1 The code is checked, analysed and updated:

- in case of reorganization/renaming the company;
- in case of a change of the strategy, policy and goals of the company in the field of quality;
- in case of detection of the non-conformity processes, internal and/or external audits;
- in case of changes of the legislative, regulatory and contractual requirements for settlement of the conflict of interests.

14.2 The code must be checked (reviewed) once a year.

14.3 The developer is responsible for an analysis and updating the code.

14.4 The code must be updated by the developer within the period of not more than 5 working days from the date of receipt of new information.

14.5 The availability of respective versions of the code in the places of their application is ensured by electronic versions.

14.6 Providing and responsibility for the availability of current versions of the code in workplaces, in the divisions are entrusted to leaders of the divisions.

## **15 Making modifications in the code**

15.1 Making modifications in this code must be carried out in accordance with the documented procedure V-01-2022.

15.2 The code is revised in case of changes of the legislation or when it is necessary.

15.3 If the requirements of the legislation change, this code is valid until the moment of its change, to the extent allowed by the current legislation, at the moment of its application.

15.4 Making the modifications in the original of the code are carried out by the developer. The Center of Quality Management and Accreditation must post an updated version on the official website of the company within the period of not more than 5 days.