

**NON-COMMERCIAL JOINT STOCK COMPANY
"S. SEIFULLIN KAZAKH AGROTECHNICAL RESEARCH UNIVERSIT"**

Approved

Order No. 135-N dated 20.04. 2023

Chairman of the Board - Rector

NJSC " S. Seifullin Kazakh

Agrotechnical Research University "

K.M. Tireuov



POSITION

**ABOUT THE COUNCIL FOR COMPLIANCE CONTROL AND
CORPORATE ETHICS**

Astana, 2023

1. General provisions

1. The Council for Compliance Control and Corporate Ethics of the Non-profit Joint Stock Company " S.Seifullin Kazakh Agrotechnical Research University " (hereinafter referred to as the Council) is a permanent collegial advisory body whose main activity is the identification, assessment and analysis of compliance risks, monitoring the quality of educational services, ensuring compliance with the requirements of legislative and other regulatory legal acts, as well as principles of integrity, pedagogical ethics and anti-corruption culture.
2. The Council in its activities is guided by the Constitution of the Republic of Kazakhstan, the Laws of the Republic of Kazakhstan “On Combating Corruption”, “On Education”, the Concept of Anti-Corruption Policy of the Republic of Kazakhstan for 2022-2026, approved by Decree of the President of the Republic of Kazakhstan dated February 2, 2022 No. 802. , the Labor and Civil Code, as well as other regulatory legal acts of the Republic of Kazakhstan in the field of combating corruption and this Regulation.
3. The Chairman and composition of the Council is approved by the order of the Chairman of the Board - the Rector of the Company. The Council is made up of staff, faculty, students, NGO representatives and others.

2. Scope of application

4. This Regulation is an internal regulatory document of the Company and determines the activities of the Council for Compliance Control and Corporate Ethics, settlement of conflicts of interest in the Company.
5. This Regulation is mandatory for use in the work of all structural divisions of the Company.

3. The main activities of the Council

6. The main activities of the Council are:
 - 1) study of the causes and conditions contributing to the manifestation of corruption in Society, and preparation of proposals to improve the legal, economic and organizational mechanisms of the functioning of the Company (its divisions) in order to eliminate the causes of corruption;
 - 2) development of methodological foundations for combating corruption in Society;
 - 3) providing advisory assistance to the subjects of the Company's anti-corruption policy on issues related to the application in practice of the

general principles of official behavior of employees, as well as students, undergraduates and other categories of students in the Company;

4) acceptance and verification of applications and appeals received by the Council, other information about the participation of officials and other employees of the Company in corrupt activities;

5) collection, analysis and preparation of information for the management of the Company on the facts of corruption and development of recommendations for their elimination;

6) preparation of proposals for improving the legislation of the Republic of Kazakhstan in the field of legal support for combating corruption;

7) creation in the Company of a pure moral climate, conducive to the establishment of a high-quality upbringing and educational process by its divisions;

7. The Council, within its competence, has the right to:

1) create commissions for areas of activity;

2) monitor and analyze the state of anti-corruption mechanisms in the Company;

3) hear at its meetings at least once every six months the information of the heads of the commissions, as well as according to a separate schedule of the structural divisions of the Company on the implementation of anti-corruption legislation;

4) send materials to law enforcement and other authorized state bodies for conducting inspections and taking other measures provided for by law on the facts of committing corruption offences;

4. Competence of the Council

8. The Council in accordance with the areas of activity:

1) carry out preliminary consideration of applications, messages and other documents received by the Council;

2) requests information, clarifications on the issues under consideration from the officials of the Company, and, if necessary, invites them to its meetings;

3) makes decisions on the considered issues within the competence of the Council, and comes up with proposals and recommendations to the management of the Company and heads of structural divisions;

4) controls the implementation of decisions taken by the Chairman of the Board - Rector of the Company on issues of combating corruption;

5) decides on the organization of the activities of the Council and the commissions included in its

structure

6) creates working groups on issues considered by the Council;

7) interacts with anti-corruption bodies established in the Republic of Kazakhstan;

8) attracts specialists, experts, representatives of the press, public organizations and political parties to work in the Council;

9) ensures that the requirements of the anti-bribery management system are embedded in the organization's processes;

10) evaluates the performance indicators of the structural divisions of the company in combating corruption and the effectiveness of the anti-corruption management system;

11) analyzes applications for the purchase of goods-tangible assets, works and services from the structural divisions of the Company and adopts recommendations on their feasibility and the need to amend the approved public procurement plan;

12) coordinates the conduct of anti-corruption monitoring and internal analysis of corruption risks, based on the analysis, measures are being developed to combat corruption in the Company;

13) takes part in the development, implementation, support, analysis and improvement of the anti-corruption policy and management system;

14) organizes monitoring, recognition, prevention of compliance risks, including the identification and analysis of corruption-dangerous areas of the Company's activities;

15) ensures 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;

16) exercise other powers in accordance with the activities of the Council.

5. The working procedure of the Council

9. The work of the Council is managed by the Chairman of the Council.

10. Chairman of the Council:

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

- approves the work plan of the Council 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 - the Rector of the Company ideas on the imposition of penalties on violators of labor discipline, anti-corruption legislation and pedagogical ethics;
- promptly submits information to the Chairman of the Management Board - the Rector of the Company on conflicts of interest of the Company's employees and their settlement.

11. Deputy Chairman of the Council:

- performs functions according to the distribution of duties between the chairman of the Commission and his deputy;
- during the absence of the chairman of the Council, directs the activities of the Council;
- within its competence, performs other instructions of the chairman of the Council.

12. Members of the Council:

- make proposals to the work plans of the Council;
- 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 Council's activities;

13. Council meetings are held as needed, but at least once a quarter.

14. By decision of the Chairman of the Council or his deputy, extraordinary meetings of the Council may be held.

15) ensures 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;

16) exercise other powers in accordance with the activities of the Council.

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- approves the work plan of the Council 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 - the Rector of the Company ideas on the imposition of penalties on violators of labor discipline, anti-corruption legislation and pedagogical ethics;
- promptly submits to the Chairman of the Management Board - the Rector of the Company information on conflicts of interest of the Company's employees and their settlement

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- during the absence of the chairman of the Council, directs the activities of the Council;
- within its competence, performs other instructions of the chairman of the Council.

12. Members of the Council:

- make proposals to the work plans of the Council;
- 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 Council's activities;

- take an active part in the work of the Council and are not entitled to delegate their powers to other persons;
- must comply with the requirements of this Regulation.

13. Council meetings are held as needed, but at least once a quarter.

14. By decision of the Chairman of the Council or his deputy, extraordinary meetings of the Council may be held.

15. The agenda and procedure for consideration of issues at meetings of the Council are approved by the Chairman of the Council.

16. Meetings of the Council are chaired by the Chairman of the Council, and in his absence, the Deputy Chairman of the Council. The Secretary of the Council keeps minutes of the meeting.

17. The meeting of the Council is considered competent if at least 2/3 of its members are present at it.

18. Decisions of the Council are made at its meeting by a simple majority of votes from the total number of members of the Council present at the meeting and come into force after its approval by the Chairman of the Council. Members of the Council have equal rights in making decisions.

19. The basis for holding an extraordinary meeting of the Council is information about the fact of corruption on the part of an employee of the Company, received by the Chairman of the Board - Rector of the Company from law enforcement, judicial or other state bodies, from organizations, officials or citizens.

20. The information received is considered by the Council if it is presented in writing and contains the following information:

- 1) last name, first name, patronymic of the employee and his position;
- 2) description of the fact of corruption;
- 3) information about the source of information.

21. The composition of the Council is updated as necessary by issuing an order of the Chairman of the Board - the Rector of the Company.

