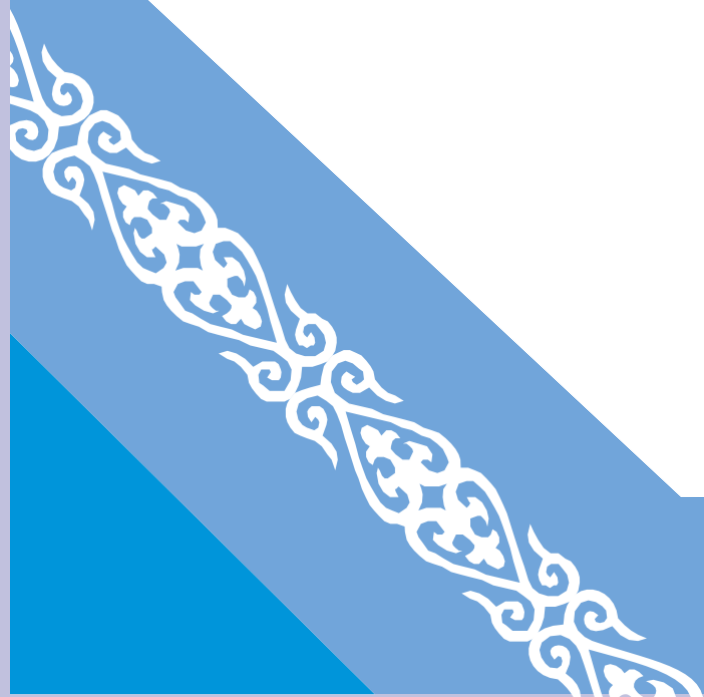




**«СЕМЕЙ ҚАЛАСЫНЫҢ ШӘКӘРІМ АТЫНДАҒЫ УНИВЕРСИТЕТІ» КеАҚ**  
**НАО «УНИВЕРСИТЕТ ИМЕНИ ШАКАРИМА ГОРОДА СЕМЕЙ»**

**SHAKARIM UNIVERSITY of SEMEY NJSC**  
**ETHICS RULES**



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**Semey  
2021**

Shakarim University of Semey NJSC Ethics Rules *approved by Chairman of the Board – Rector Yerdembekov B.A. 08.04.2021 y.*

## GENERAL PROVISIONS

1. The University Ethics Rules have been developed in accordance with the provisions of the legislation of the Republic of Kazakhstan, taking into account the requirements of the International Labor Organization, the Charter, the Code of Corporate Governance, and other internal regulations of the University and represent rules and regulations that guide university employees.

2. The purpose of these Rules is to develop corporate culture at the University and build effective interaction with stakeholders through the application of best behavioral practices.

3. The University accepts and follows the requirements of these Rules in relation to the sole shareholder, officials, and employees of the University, other stakeholders, and society as a whole, to make corporate decisions, both strategically important and in everyday situations faced by officials and employees University.

4. These Rules use the following concepts and terms:

***Ethics*** is a set of ethical principles and standards of business conduct that guide the University's officials and employees in their activities;

***Officials*** include the Rector, Vice-rectors, and other officials.

***A stakeholder*** is a person whose exercise of rights provided for by the Legislation and the Charter is related to the activities of the University;

***Rules*** are the University Ethics Rules. Conflict of interest is a situation in which the personal interest of an employee or official of the University affects or may affect the impartial performance of his official duties;

***Corporate culture*** is University-specific values, principles, norms of behavior and attitudes;

***An employee*** is a person who has an employment relationship with the University and directly performs work under an employment contract;

## CHAPTER 1. VALUES AND PRINCIPLES OF ETHICS

1.1. The fundamental corporate values of the University are:

- Meritocracy. Fairness and objectivity in assessing everyone's contributions and achievements.
- Respect. Treating other team members with respect.
- Honesty. Honesty within the University and to its partners.
- Openness. Openness to contacts and partners.
- Team Spirit. Collaboration to achieve better results from joint activities.
- Trust. Commitment to a culture of mutual assistance and trust.
- Anti-corruption. Zero tolerance for corruption.

1.2. The activities of the University are based on the relationship between the University and all stakeholders, which are built on compliance with the requirements of ethics and rules of conduct. Compliance with mutual obligations is a necessary condition for constructive work.

## CHAPTER 2. ETHICAL STANDARDS OF RELATIONSHIPS

### 2.1. University officials and employees

2.1.1. The University shall have the following obligations:

- ensuring observance and respect of human rights;

- striving to ensure that all its relationships with stakeholders are mutually beneficial;
- creating equal conditions for improving the professional qualifications of employees seeking self-education and professional development in accordance with training and professional development programs for employees;
- providing University employees with remuneration for work depending on the level of qualifications, complexity, and quality of the work performed;
- prohibiting discrimination on racial, religious, national, gender, age, political, or other grounds; selecting and promotes personnel solely on the basis of compliance with qualification requirements, taking into account professional abilities, knowledge, and skills;
- taking all measures to ensure the safety and labor protection of workers in accordance with current legislation, and also creating safe working conditions for workers; ensuring non-disclosure of confidential information within the limits established by law and internal documents of the University;
- creating conditions for an open and trusting dialogue between officials and employees of the University in cases of conflicts, taking preventive measures to prevent labor disputes and conflicts, using mediation procedures”;
- evaluating and encouraging initiative ideas and proposals from employees, the implementation of which has a positive effect on the University;
- prohibiting 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 everyone;
- bearing responsibility for making decisions free from the emergence of a conflict of interest at any stage of this process, from an official to any employee making decisions;
- allowing officials to be sent both within the Republic of Kazakhstan and abroad (by agreement with the sole shareholder).

### ***2.3. Public authorities***

**2.3.1.** The interaction of the University with public authorities is conducted 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 on the part of public authorities and on the part of officials and employees of the University.

## **CHAPTER 3. RESPONSIBILITIES OF OFFICIALS AND EMPLOYEES OF THE UNIVERSITY**

### **3.1. University officials and employees should:**

- respect the national symbols (the National Flag, the National Emblem, the National Anthem);
- respect corporate symbols;
- observe generally accepted moral and ethical standards, respect the state language and other languages, traditions, and customs;
- be polite and correct; be intolerant of indifference and rudeness; provide support and assistance to colleagues;
- always verbally thank for assistance, even if it is not fully provided;

### **3.2. Officials and employees of the University assume the following obligations:**

- carefully study, understand and conscientiously follow the ethical requirements and rules of conduct established by the Rules;
- conscientiously, professionally, effectively and impartially perform their official functions and duties;
- bear responsibility for the obligations assumed regardless of status and position;
- assist in investigations into violations of ethical principles and rules of conduct;
- legal entities directly or indirectly, which may affect their dignity and honor, which may lead to legal proceedings to protect honor, dignity and reputation, including in the media (through social networks);
- make managerial decisions that comply with the requirements of the Rules;
- demonstrate commitment to the requirements of the Rules by personal example;
- devote time to creating a corporate spirit among subordinates, uniting the team into a team united by a common mission, values, and principles of the University; advise and mentor subordinates;
- when making decisions, must be guided by the principles of transparency and impartiality;
- provision of reliable information promptly, without violating confidentiality standards and taking into account the decisions and acts of the Sole Shareholder and internal documents of the University;
- creating a culture of behavior in which University employees freely express concerns about non-compliance with ethical requirements and rules of conduct. Encourage compliance with ethical requirements and rules of conduct by personal example.
- observe labor discipline;
- comply with the requirements for occupational safety and health, fire safety, industrial safety and industrial sanitation in the workplace;
- treat the property with care;
- inform the employer about a situation that has arisen that poses a threat to the life and health of people, the safety of the property of the employer and employees as well as about the occurrence of downtime;
- not disclose information constituting state secrets, official, commercial, or other secrets protected by the law, that became known whilst performing job duties;
- compensate the employer for damage caused within the limits established by the Code and other laws of the Republic of Kazakhstan;
- respond promptly to requests as well as to publications in the media;
- take measures for timely payment of taxes and other obligatory payments to the budget, including pension funds, as well as salaries of university employees;
- carry out, within their competence, targeted work to combat corruption at the University;
- ensure compliance with the norms of corruption legislation of the Republic of Kazakhstan in its activities and the activities of the OHPE;
- conduct anti-corruption monitoring in the activities of OHPE;
- take measures to create an anti-corruption culture;
- formulate and ensure compliance with anti-corruption standards in the activities of OHPE;
- ensure compliance with clear, fair and objective principles of academic integrity and the norms of academic policy of OHPE;

- ensure the promotion and protection of academic integrity, the norms of the academic policy of the OHPE, which are the result of the mutual efforts of all students and staff of the OHPE;
- ensure the conscientious fulfillment of the obligations imposed on the OHPE employees, including those based on the principles of academic integrity and the norms of the OHPE academic policy;
- ensure the responsibility of students and OHPE employees for their violation of the principles of academic integrity and the norms of the OHPE academic policy;
- ensure high responsibility of OHPE employees, instilling the principles of academic integrity and norms of OHPE academic policy based on mutual respect and fairness;
- ensure transparency and openness during the competitive selection procedure for teaching staff and control the transparency of procedures in higher education institutions;
- ensure that public procurement procedures in OHPE are conducted strictly following current legislation of the Republic of Kazakhstan;
- hold reporting meetings jointly with the supervisory board in front of groups of students' parents, OHPE and the public, including on the expenditure of budgetary and extra-budgetary funds as well as the financial and economic activities of OHPE;
- ensure publication on official online resources of OHPE tariffications and staffing schedule of OHPE taking into account the requirements of the current legislation of the Republic of Kazakhstan;
- take measures to ensure non-disclosure of official secrets as well as leakage of proprietary information;
- coordinate in writing with the employer business trips, appeals to higher authorities, as well as publications in the media.

## **CHAPTER 4. RULES OF CONDUCT**

### ***4.1. Corporate culture***

**4.1.1.** University officials and employees shall contribute to the development of the corporate culture at the University by understanding the requirements of the Rules of Ethics sharing with other colleagues their knowledge of the principles of ethics, accepted rules of business conduct, complying with ethical requirements and preventing violations.

**4.1.2.** University officials and employees shall promote the corporate spirit and maintain compliance with the requirements of the Code in the following ways:

- personal explanatory meetings with subordinates; own example, that is, using one's behavior as a model for employees;
- ensure everyone understands that compliance is essential to effectiveness in the workplace.

**4.1.3.** Officials and employees of the University shall adhere to business attire during the performance of their official duties.

**4.1.4.** University officials and employees shall speak correctly and respectfully during negotiations.

**4.1.5.** All University employees can take part in corporate entertainment or sporting events. They can also make proposals for events aimed at increasing corporate spirit among employees.

**4.1.6.** Officials and employees of the University are required to comply with the University rules for document management and keep all necessary documentation in order. All University employees shall keep their work area neat and presentable.

## **4.2. Public Relations**

**4.2.1.** The University is committed to maintaining high ethical standards in its 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 statements by senior officials, its information and advertising materials or other public relations activities.

**4.2.2.** Only authorized officials and employees of the University have the right to speak publicly, comment on University events or make any statements on behalf of the University in the media, including social networks, and these public statements must be approved by the sole shareholder.

**4.2.3.** When speaking on behalf of the University, employees are obliged to comply with generally accepted standards of professional conduct and ethics, disseminate only reliable information, and also not allow the dissemination of information that incites social, racial and national hatred.

**4.2.3.** Officials and employees of the University shall not publicly express their opinions on issues of official activity and the activities of the University in general if it:

- does not correspond to the main activities of the University;
- discloses proprietary information of the university; contains unethical statements addressed to University officials.

## **4.3. Control measures**

**4.3.1** Officials and employees of the University must strictly adhere to the requirements of the Rules and report any violations of the requirements to the University.

**4.3.2.** Officials of the University to achieve the University's strategic goals make business decisions taking into account the fundamental values and ethical principles, and bear full responsibility for the implementation of the assigned tasks.

**4.3.3.** Relevant University employees, according to their competence, are required to respond to problems related to violations of ethical requirements by:

- taking timely measures to correct the situation and eliminate deficiencies;
- taking/proposing effective disciplinary measures in accordance with the procedure established by law;
- holding consultations with the relevant structural divisions/authorities of the University and providing them with the necessary information.

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

**4.3.4.** The University encourages employees who are ready to openly discuss the Rules and welcomes any constructive proposals for its improvement.

**4.3.5.** For questions regarding the requirements of the Rules and/or ethical issues that arose during the work, as well as violations of the requirements of the Rules, corruption and other illegal actions, officials and employees of the University, as well as business partners and stakeholders are entitled to contact:

- the immediate supervisor and the authorized Ethics Commissioner;
- if circumstances of violation by University Employees of the approved ethical requirements are revealed, materials for decision-making are sent for consideration to the University HR service or the Sole Shareholder.

## **CHAPTER 5. INSTITUTION OF ETHICS COMMISSIONER**

### **5.1. Rights and responsibilities of the Ethics Commissioner**



- The Ethics Commissioner is appointed by the Rector of the University once every 2 years.

- The main functions of the Ethics Commissioner are the collection of information about non-compliance with the provisions of the Rules, consultation of employees and officials on the provisions of the Rules, initiation of consideration of disputes regarding violation of the provisions of the Rules and participation in it.

**5.2.** The Ethics Commissioner is entitled to:

- initiate procedures to identify violations of the Rules both based on received requests and on one's initiative:

- contact employees and officials personally regarding issues of non-compliance with the Rules;

- provide explanations and interpretations of the provisions of the Rules to employees and officials.

**5.3.** The ethics officer is obliged to:

- provide protection (within the framework of the procedures established by labor legislation) of employees during the period of procedures for considering disputes regarding violations of the Rules, in the event of situations of their forced dismissal due to the initiation of consideration of such cases;

- participate in the consideration of issues regarding non-compliance with the Rules;

- keep records of requests from employees, officials, business partners and stakeholders regarding non-compliance with the provisions of the Rules;

- within 5 (five) working days, provide explanations of the provisions of the Rules to University employees if they contact them;

- maintain independence and impartiality in the consideration of disputes regarding issues of non-compliance with the Rules;

- ensure the anonymity of an employee or official who has filed a complaint regarding a violation of the provisions of the Rules (if you wish to remain anonymous).

## **CHAPTER 6. CONCLUSION**

6.1. In order to update and improve, the University Rector reviews and improves the requirements of these Rules, analyzes the extent to which they are implemented in practice, and also, if necessary, makes changes and/or additions to them, taking into account suggestions and recommendations of stakeholders.

6.2. Recommendations, the adoption of which is necessary for practical application of the implementation of the Rules, may, in the prescribed manner, be submitted for consideration to the University Board and approved by it.

## **CHAPTER 7. RESPONSIBILITY**

7.1 The parties bear responsibility in accordance with the current legislation of the Republic of Kazakhstan, the employment contract, these Rules, as well as decisions and acts determined by the employer.