

"Kazak Kultytyk Kyzdar Pedagogical University" KAEK		NJC "Kazakh National Women's Pedagogical University"
HR DEPARTMENTI		HR DEPARTMENT
EREJE.		RULES
1 REDAKSYASY		EDITION 1.

«APPROVED»
by the decision of the Board of NJC
"Kazakh National Women's
Pedagogical University"
from "26" 04 2024
years.
Minutes No. 6/03-2024

PROPOSAL
on the Ethics Council
NJC "Kazakh National Women's
pedagogical university"

N 025 SPE NAO KNJPU/HR-24

Reg. No. 30
Exh. No. original

г. Almaty, 2024

CONTENTS.

1	General provisions.....	3
2	Regulatory references.....	3
3	Terms and definitions	3, 4
4	Purpose, objectives, principles and rights.....	4, 5
5	Organisation of the Council's activities	5-9
6	Development and amendments.....	9
7	Harmonisation, storage, distribution.....	9
8	Appendix 1.....	10-11
9	Appendix 2.....	12
	Approval sheet	13
	Familiarisation sheet	14
	Sheet for registration of amendments and additions	15

1. GENERAL PROVISIONS

1.1. The Regulations on the Ethics Council of NJC "Kazakh National Women's Pedagogical University" (hereinafter - the Regulations) determines the status, powers and organisation of activities of the Ethics Council of NJC "Kazakh National Women's Pedagogical University" ((hereinafter - the University/Society).

1.2. The Ethics Council (hereinafter referred to as the Council) is a collegial body established in the Company, which considers the issues of compliance with ethics, labour regulations and internal regulatory documents (hereinafter referred to as the IRD) by regular employees of the Company, including teaching staff (hereinafter referred to as the Faculty), administrative and management staff (hereinafter referred to as the Management Board), educational and auxiliary staff (hereinafter referred to as the Auxiliary Staff) and service staff (hereinafter referred to as the Service Staff), with the exception of the Chairman and members of the Management Board, as well as employees directly subordinated to the Chairman and members of the Management Board.

1.3. The Board may be contacted by individuals and/or entities regarding ethics issues with staff employees.

1.4. The Council shall carry out its activities in accordance with the laws of the Republic of Kazakhstan "On Combating Corruption", these Regulations, other normative legal acts and shall be guided by the principles of legality, objectivity and fairness, ethics, consideration of public opinion and publicity, application of corruption prevention measures.

1.5. The Regulations are part of the Company's regulatory documentation and its requirements are mandatory.

2. Regulatory references

The Regulations have been developed taking into account the requirements of the following documents:

- Labour Code of the Republic of Kazakhstan;
- Law of the RK "On Education";
- Law of the RK "On the Status of a Teacher";
- Law of the RK "On Combating Corruption";
- Articles of Association of the Company;
- Development Programme of NJC "Kazakh National Women's Pedagogical University" for 2023-2029 a set of works for the purpose of formation and effective use of motivated and highly productive personnel (development strategy) of the Company;
- Order of the Minister of Education and Science of the Republic of Kazakhstan "On Some Issues of Pedagogical Ethics";

3. Terms and definitions

The terms and definitions used in the Regulations apply:

<i>Ethics Council</i>	-	a collegial body established in the Company, approved by the order of the Chairman of the Management Board-Rector or authorised person, which carries out a comprehensive assessment of compliance with ethics, by full-time employees of the Company
<i>PPPs and persons of equivalent status</i>	-	Institute Director, Deputy Institute Director, Programme Leader, Professor, Associate Professor (Associate Professor), Senior Lecturer, Lecturer
<i>a disciplinary offence discrediting the Company</i>	-	is a clear obstruction of physical or legal persons in the realisation of their rights, freedoms and legitimate interests; Deliberate actions aimed at undermining the credibility, image and trust of something or someone. It is the dissemination of false, inaccurate or distorted information that causes a person or organisation to lose public confidence.
Settlement agreement	-	agreement of the parties to terminate the dispute amicably on the basis of concessions and mutual satisfaction of counterclaims (reconciliation of the parties)

4. Purpose, objectives, functions and rights

4.1. The purpose of the Council is to protect the rights and welfare of individuals working for the Society, to create safeguards for their fundamental rights, and to help foster a positive and inclusive academic corporate culture for the Society.

4.2. The main objectives of the Council are:

- 1) development of measures aimed at the development of the Company's values and principles and prevention of corruption and violations of the norms of official ethics, including disciplinary offences that discredit the Company;
- 2) taking measures to ensure that regular employees increase the level of responsibility in observing the Company's values and principles and work ethics;
- 3) making recommendations and proposals on the coordination of the Council's activities and interaction with the Disciplinary Council;

4.3. In accordance with its main tasks, the Council shall fulfil the following functions:

- 1) reviewing the results of corruption risk analyses;
- 2) review of the results of work on prevention of violations of the legislation on education and anti-corruption and on compliance with official ethics;
- 3) elaboration of recommendations and proposals for improving the forms and methods of corruption prevention;
- 4) Consideration of the results of monitoring and control over compliance with ethics

- and prevention and avoidance of ethics violations;
- 5) consideration of disciplinary cases in relation to the Company's regular employees who have violated the norms of service ethics;
 - 6) advisory support for the Company's employees;
 - 7) prevention of violations of the norms of official ethics;
 - 8) protection of the rights and interests of the Company's employees;
 - 9) formation of a favourable moral and psychological climate of the Company;
 - 10) ensuring compliance with GNI in the Company;
 - 11) Analysing the causes and conditions that contributed to the impairment of GND;
 - 12) assessment of the validity of the received materials;
 - 13) conducting an independent ethical and legal (comprehensive, complete) and objective investigation of the circumstances necessary and sufficient for the correct consideration of the issue of disciplinary liability of the Company's employees;
 - 14) Assist in ensuring the integrity of regulatory documents;
 - 15) notifying the Company's employees and other stakeholders of the seriousness of /responsibility for violations of the IAP;
 - 16) creation of conditions to ensure compliance with the values of the Society.
- 4.4 The Council within its competence shall have the right to:
- 1) to hear at its meetings the regular employees of the Company;
 - 2) request documents, materials and information necessary to fulfil its tasks;
 - 3) request explanations and (or) clarifications from the Company's regular employees;
 - 4) to make proposals to the Company's head on conducting official investigations into the facts of violation of norms of official ethics by regular employees, including disciplinary offences discrediting the Company;
 - 5) to make recommendations and proposals to the Company's Head on strengthening of service discipline, implementation of measures aimed at prevention of corruption and prevention of violations of the norms of service ethics;
 - 6) make recommendations to the Head of the Company on bringing employees to disciplinary responsibility for violations of the norms of service ethics, including for committing disciplinary offences that discredit the Company;
 - 7) to submit for consideration to the Company's manager proposals on consideration of responsibility of regular employees who unreasonably failed to fulfil the Council's recommendation;
 - 8) to submit for consideration to the Company's head proposals on bringing to disciplinary responsibility of regular employees for violations of norms of service ethics, including for committing disciplinary offences discrediting the Company;
 - 9) involve experts and specialists to give opinions;
 - 10) works on the conclusion of an amicable agreement between the parties (reconciliation of the parties).

5. Organisation of the Council's activities

5.1. The composition of the Council shall be formed by the Chairman and members of the Council. The number of the Council members shall be odd and not less than 9 persons.

5.2. The Board shall consist of the following individuals:

- 1) Chairman of the Council - Vice-Rector for Research and International Co-operation (member of the Board);
- 2) Deputy Chairman of the Attestation Commission - Chief of Staff;
- 3) Vice-Rector for Strategic Development and Social Work (member of the Management Board);
- 4) Vice-Rector for Academic Affairs (member of the Board);
- 5) Vice-Rector for Infrastructural Development (member of the Management Board);
- 6) digital officer;
- 7) Chairman of the local trade union of employees;
- 8) Head of the mental health centre (psychologist);
- 9) a person who enjoys influence, recognition (Kenesbaev Serik Muktarovich, Doctor of Pedagogical Sciences, Professor);
- 10) Secretary of the Board - Senior Manager for Recruitment and Talent Management.

5.3. The composition of the Council shall be appointed by order of the Chairman of the Board-Rector of the Company.

5.4. The composition of the Council shall be approved by order of the Chairman of the Management Board-Rector of the Company. The composition of the Council may be revised once a year at the initiative of the Chairman of the Management Board-Rector or the Chairman of the Council.

5.5. A meeting of the Board shall be deemed competent if a majority of the Board members are present at the meeting. The voting procedure (secret or open) shall be determined by the Chairman of the Board in each particular case.

5.6. Meetings of the Council shall be held in accordance with its work plan, as well as when necessary, but at least once every two months.

5.7. A member of the Council may not participate in the discussion and voting on a disciplinary case if he or his close relatives living together with him are related to the person against whom the disciplinary case has been initiated by family relations or are in official or other dependence on the said person.

It is the responsibility of the Board member to declare the circumstances precluding their participation in the discussion and voting prior to the Board meeting.

5.8. The Council shall adopt decisions by a simple majority of votes of the members of the Council present at the meeting. In case of equality of votes, the vote of the presiding officer shall be decisive. Members of the Ethics Council may not abstain from voting.

5.9. In the absence of the Chairman of the Board, the Vice-Chairman or one of the members of the Board shall perform the duties of the Chairman on his/her instructions.

5.10. The meeting of the Council shall be drawn up in the form of minutes (Annex 1 to the Regulations), which shall be signed by the Chairman and the Secretary of the

Council.

5.11. The Regulations shall be *binding on* all employees of the Company.

5.12. A Board member should be *objective, impartial in the performance of their assigned functions*, interpretation of results should not be influenced by private opinion or individual judgement *and keep information confidential*:

- 1) *reliability*: relative freedom from the influence of situational factors;
- 2) *credibility*: the actual level of violations is assessed;
- 3) *Accessibility*: the work process must be understood by the Company;
- 4) *Effectiveness*: the implementation of activities should actually contribute to the development and improvement of the Company as a whole.

6. The Board shall not include persons:

- 6.1. recognised by a court as incapacitated or with limited legal capacity;
- 6.2. deprived by a court of the right to hold positions in the field of education for a certain period of time;
- 6.3. who have been sanctioned for committing an administrative corruption offence;
- 6.4. previously convicted or released from criminal liability for criminal offences on the basis of paragraphs (3), (4), (9), (10) and (12) of part one of article 35 or article 36 of the Code of Criminal Procedure of the Republic of Kazakhstan;
- 6.5. dismissed for negative reasons from the educational system and organisations, from law enforcement agencies, special state bodies and courts, military service;
- 6.6. dismissed for a disciplinary offence discrediting the Company;

7. Rights and duties of the Chairperson and members of the Board

7.1. The Chairman of the Board is at liberty to:

- 1) submits a work plan to the Council for review and approval;
- 2) organises and manages the activities of the Council;
- 3) determines the agenda, place and time of meetings of the Board;
- 4) convenes and presides at meetings of the Board;
- 5) determines the rapporteur on a particular issue under consideration at a meeting of the Board;
- 6) exercises general control and bears responsibility for its activities and decisions, observance of the schedule, rules and procedures for holding meetings, ensuring in the work of the Council an environment of exactingness, objectivity and goodwill, unity of conditions for all employees in whose relations the issue is considered;
- 7) reports annually to the Company's management on the results of the Council's work;
- 8) within the competence of the Board, initiates, suspends and renews disciplinary cases;
- 9) based on the results of consideration of issues at the meeting of the Board, send information and materials on misdemeanours committed by persons for consideration

to the head of the Company;

10) on the proposal of the Chairman of the Board, a member of the Board may be removed from the Board in cases:

- non-attendance of the Council meetings more than three times during the year, except for the time of temporary disability, release from work to perform official or public duties, being on leave, business trip;
- termination of employment and union representative;
- committing unlawful guilty acts or omissions confirmed in the manner prescribed by law;
- showing bias and personal interest when considering issues within the competence of the Council;
- expressing their wish to resign from the Council.

7.2. Board members are at liberty to:

- 1) make proposals on the Council's work plan and the agenda of meetings;
- 2) Participate in the preparation of materials for the meetings of the Council and its draft decisions;
- 3) participate in the discussion of issues under consideration by the Board;
- 4) study the materials, ask questions;
- 5) Participate in the discussion of the results and evaluations of each employee, and express their opinion;
- 6) participate in meetings without the right of substitution.

7.3. Board members are required to:

- 1) to attend meetings of the Board at the prescribed times;
- 2) immediately notify the Chairman of the Board if he/she is unable to attend a meeting;
- 3) participate in voting when the Council takes decisions;
- 7) treat their duties in good faith, be as objective and impartial as possible, and report conflicts of interest to the Chair of the Board;
- 8) The work of the Council is based on the principles of respect for the rights and freedoms of employees, compliance with the law, collegiality, democracy, completeness and comprehensiveness of the study of the received material, objectivity, individual approach to the assessment of the situation, taking into account the opinion of the team; if an issue is received with the participation of one or more members of the Council, the members of the Council shall be discussed on a general basis in accordance with the procedure established by these Rules;
- 9) participate in preparation of materials for the Council meetings and drafts of its decisions;
- 10) The Vice-Chairman replaces the Chairman in case of his/her absence, assists in the organisation and implementation of the process on the issue under consideration;
- 11) have the right to a dissenting opinion, which, if expressed, shall be stated in writing and attached to the minutes;
- 12) replacement of absent members of the Board is not allowed;
- 13) to be released from immediate labour duties for the duration of the Board meeting;

- 14) are responsible for making a qualified and objective judgement in the employee's relationship;
- 15) are responsible for non-disclosure of confidential information on verification materials;
- 16) Prior to consideration of the issue at the meeting of the Board, the Secretary shall, in the manner and cases established by law, conduct an official investigation, during which the circumstances and information relevant to the case shall be studied;

8. The main tasks, functions and powers of the Secretary of the Board:

8.1. secretary's main tasks:

- 1) Ensuring the activities of the Council;

8.2. basic functions of a secretary:

- 1) information-analytical, organisational-legal and other support for the Council's activities;
- 2) Conducting official investigations into violations of ethical standards, including disciplinary offences that discredit the Company;
- 3) The secretary of the Board shall be responsible for preparation of meetings, timely and correct keeping of minutes of meetings and shall not be entitled to take part in the voting procedure;
- 4) the Secretary of the Council shall, at least three days before the meeting, notify the employee(s) in writing of the time and place of the meeting for their attendance at the meeting (Appendix 2 to the Regulations - Notice).

8.3. The Secretary, within the limits of his/her competence, shall have the right to:

- 1) to conduct official investigations into violations of the norms of service ethics, including disciplinary offences that discredit the Company;
- 2) request from officials and responsible persons the materials, information and explanatory statements necessary for the implementation of official investigations;
- 3) Engage specialists and consultants in relevant fields to participate in official investigations and provide opinions;
- 4) Involve in official investigations the Company's employees whose competence includes consideration of the issues raised in the course of the official investigation.

9. Employee's rights in an ethics review:

- 9.1. obtaining written information about the matter in question;
- 9.2. familiarisation with all materials on the issue under consideration;
- 9.3. defence of his rights and legitimate interests by all means not contrary to the law, either personally or through a representative in accordance with the procedure established by the legislation of the Republic of Kazakhstan;
- 9.4. Provide additional input to the Board;
- 9.5. give explanations, comments, objections on the materials submitted to the Council;

9.6. Receipt of the Council's decision in writing.

9.7. The employee is obligated to:

- 1) to appear at the Council meeting at the prescribed time;
- 2) Provide explanations related to the employee's misconduct upon the request of members of the Board.

10. Consideration of the matter against the staff member shall be suspended for a period:

- of the employee's temporary disability;
- being on holiday or travelling on business;
- exemption from the performance of his official duties for the duration of his official or public duties;
- being on training, retraining, professional development courses and internships.

10.1. The secretary shall take measures to notify the persons in whose respect the issue of liability is being considered of the place and time of the meeting of the Council;

10.2. the Board holds a meeting in the presence of the staff member. If the employee fails to attend a meeting of the Board for a valid reason, the consideration of his/her issue shall be postponed to a later date specified by the Board;

10.3. consideration of a disciplinary case at a meeting of the Board may take place without the participation of persons held liable, if they have been duly notified of the time and place of the meeting of the Board at least three days prior to the meeting and in case of failure of the employee to appear without a valid reason;

10.4. Proper notification in this Regulation is defined as notification of a person by letter, registered mail or telegram, which is delivered to him/her personally or to one of the adult members of the family living together with him/her against a receipt or by other means of communication ensuring the recording of the notification or summons;

10.5. In considering the employee's liability at the meeting, the Board shall resolve the following issues:

- 1) whether there was a specific act (omission) that is the basis for considering the employee's liability;
- 2) whether this action (inaction) constitutes a disciplinary offence and in violation of which legal provisions it was committed;
- 3) whether the misconduct was committed by the employee;
- 4) whether the employee is guilty of committing the offence;
- 5) Whether the deadlines for considering the employee's liability have been met;
- 6) what type of penalty is recommended to be imposed on the employee.

11. The Council is authorised to take the following decisions on the results of consideration of the issues received:

- to accept the Settlement Agreement of the parties (approximation of the parties);
- Conducting prevention of violations of ethics or GNI;
- to refer the matter to the Disciplinary Board for consideration.

- reject the appeal due to the lack of grounds (supporting documents) for consideration of the issue;

11.2 When making a decision, the Board shall be guided by the requirements of labour and other legislation of the Republic of Kazakhstan and other internal regulatory and legal documents of the Company;

11.3. proceedings against a staff member and the decisions taken on the basis thereof may be made public only with the staff member's written consent.

12. The board has jurisdiction over the following matters:

- violation of official ethics;
- a breach of academic integrity;
- violation of the Company's GNI;
- violation of labour regulations by the Company's employees.

13. Development and amendments

13.1. Development, amendments and additions to the Regulations are developed by the Director of HR Department and approved by the Chairman of the Board - Rector or his authorised person.

14. Harmonisation, storage, distribution

14.1. The registration, storage and distribution of the original Regulation shall be carried out by the Division of Documentary Management and Archives.

14.2. The Regulation shall be coordinated with the responsible person of the Division of Documentation and Archives and with the following managers:

- 1) HR Department;
- 2) Head of the legal department;
- 3) Chief of Staff;
- 4) Provosts and digital officer.

14.3. The Director of the HR Department is responsible for keeping a copy of the hard copy and a copy of the electronic version and for distributing the scanned approved version of the Regulation.

14.4. The electronic version of the approved Regulations shall be placed on the Company's official website.

Annex 1
to the Rule on the Ethics Council
of "KazNatsZhenPU" NAO,
approved by the decision of the
Board from "____"

____ 2024, Minutes

No. _____

PROTOCOL NO. _____

Ethics Council meetings

NJC "Kazakh National Women's Pedagogical University"

" ____ " _____ 20 ____ г.

Председатель _____

Секретарь _____

Board Members:

Agenda:

Consideration: _____

In discussing the agenda, the speakers were:

1. Name, performance, etc.
2. Name, performance, etc.

Having heard the parties and reports and having considered the available materials, the Ethics Council has adopted the following decision:

No. n/a	FULL NAME	Position held	Council Decision	Voting results
			- to accept the Settlement Agreement of the parties (approximation of the parties); - Conducting prevention of violations of ethics or GNI;	Za- Oppose-

			<ul style="list-style-type: none"> - refer the matter to the Disciplinary Board for consideration. - reject the appeal due to the lack of grounds (supporting documents) for consideration of the issue; 	
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Chairperson

FULL NAME_____
signature

Secretary

FULL NAME_____
signature

Members

FULL NAME_____
signature

Annex 2
to the Rule on the Ethics Council
of "KazNatsZhenPU" NJC,
approved by the decision of the
Board from "____"
_____, 2024, Minutes
No. _____

KazNatsZhenPU NJC
Notice of the Ethics Council
meeting

Institute: _____
Chair: _____
Position: _____
Employee: _____

The Board of Ethics notifies you that _____
_____ is scheduled for "____" _____ 20____ in the office of
_____ (office # _____).

Date of the meeting: "____" _____ 20____ at _____ hrs. _____ min. at.
Venue of the meeting: 114 Gogol St., Almaty.

Chairman of the Ethics Council

(FULL

NAME)

Khabarlamamen tanystymen, bir danasyn aldym / I am familiarised with the
notification. One copy was received _____:

(FULL NAME)

_____, "____" _____ 202____ gyil/year.
(koly)/(employee signature)

APPROVAL SHEET

[illegible]

FAMILIARISATION SHEET

[illegible]

17 out of 17