



## **1. General Provisions**

1. These Regulations on the Anti-Corruption Compliance Service of the Non-Profit Joint-Stock Company “The L.N. Gumilyov Eurasian National University” (hereinafter referred to as the Regulations) were developed in accordance with the legislation of the Republic of Kazakhstan, Single Standard Regulations on Anti-Corruption Compliance Services in Quasi-Public Sector Entities, approved by Order No. 384 of the Minister of Energy of the Republic of Kazakhstan dated December 9, 2021 in order to assist in the implementation of anti-corruption compliance and the formation of a unified approach to the implementation of the anti-corruption policy of a quasi-public sector entity – NJSC “The L.N. Gumilyov Eurasian National University” (hereinafter referred to as the Company).

2. The Company defines structural units that carry out anti-corruption compliance in accordance with the Law of the Republic of Kazakhstan “On Combating Corruption” (hereinafter referred to as the Law) and internal documents of the Company.

3. The anti-corruption compliance service is formed by a decision of the Board of Directors of the Company.

4. The functional duties, rights and responsibilities of employees of the anti-corruption compliance service are determined by the relevant job descriptions, which are developed on the basis of these Regulations and are approved by the Board of Directors of the Company.

## **2. Terms and Definitions**

5. The following basic terms and definitions are used in these Regulations:

1) anti-corruption compliance is the function of ensuring compliance by the Company and its employees with the legislation of the Republic of Kazakhstan in the field of anti-corruption, assigned to one of the divisions of the Company;

2) conflict of interests is a contradiction between the personal interests of persons equated to persons authorized to perform state functions and their official powers, in which the personal interests of these persons may lead to non-performance and (or) improper performance of their official duties;

3) a corruption offense is an unlawful guilty act (action or omission) that has signs of corruption, for the commission of which administrative or criminal liability is established by law;

4) corruption risk is a possibility of causes and conditions that contribute to the commission of corruption offenses;

5) prevention of corruption is the activity of the subjects of combating 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.

### **3. Status of the Anti-Corruption Compliance Service**

6. The anti-corruption compliance service is a subdivision of the Company, independent from other structural divisions, subordinated and accountable to the Board of Directors of the Company.

7. The anti-corruption compliance service is independent in taking and implementing measures to combat corruption in the Company.

8. The anti-corruption compliance service may not be involved in work related to the competence of other structural divisions of the Company, as well as in the development or execution of programs and projects that are not within its authority.

9. Employees of the anti-corruption compliance service are subject to the provisions of the Company's internal regulatory documentation.

### **4. Goals, Objectives, Principles and Functions of the Anti-Corruption Compliance Service**

10. The main purpose of the anti-corruption compliance service is to ensure compliance by the Company and its employees with the Law "On Combating Corruption", as well as monitoring the implementation of anti-corruption measures.

11. Tasks of the anti-corruption compliance service include:

ensuring compliance with external regulatory requirements and best international practices on anti-corruption issues;

ensuring compliance with the basic principles of anti-corruption in accordance with the Law;

identification, assessment and reassessment of corruption risks;

effective implementation of a system of anti-corruption measures in accordance with the Law.

13. Anti-corruption compliance services are guided by the following principles:

administration's commitment to the effectiveness of anti-corruption compliance;

sufficiency of powers and resources required to perform the tasks of the anti-corruption compliance service;

independence of the anti-corruption compliance service;

information openness of the anti-corruption compliance service;

continuity of anti-corruption compliance;

improving anti-corruption compliance.

13. Functions of the anti-corruption compliance service include:

1) development of an internal anti-corruption policy in the Company;

2) development of anti-corruption instructions for the Company's employees, taking into account the specifics of the Company's activities;

- 3) implementation of explanatory activities on anti-corruption issues and the formation of an anti-corruption culture in the Company;
- 4) promotion of corporate ethical values;
- 5) control over compliance by the Company's employees with anti-corruption legislation, as well as the corporate ethics code (if any);
- 6) organization of training of the Company's employees on anti-corruption issues;
- 7) development and monitoring of the implementation by structural units of the internal anti-corruption program in the activities of the organization and employees;
- 8) coordination of work on the internal analysis of corruption risks in the Company's activities in accordance with the current regulatory legal acts of the authorized anti-corruption body, with the involvement of representatives of civil and business community institutions;
- 9) participation in an external analysis of corruption risks in the Company's activities carried out by a joint decision of the first heads of the authorized anti-corruption body and the Company;
- 10) management of corruption risks in the Company;
- 11) measures to identify, monitor and resolve conflicts of interest, including in matters of employment;
- 12) measures to resolve issues of gifts and representation expenses in the Company;
- 13) verification of counterparties in financial transactions;
- 14) internal inspections on the basis of appeals (complaints) about the facts of corruption in the Company and/or participation in them;
- 15) monitoring for compliance by the Company's employees belonging to the category of persons equated to persons authorized to perform state functions with anti-corruption restrictions in accordance with the Law;
- 16) assessment of the effectiveness of the implementation of anti-corruption measures by structural units and employees of the Company;
- 17) hearings of relevant information from the Company's structural divisions and employees on anti-corruption issues;
- 18) making recommendations to the head of the Company on the elimination of identified corruption risks, improving the efficiency of internal processes of the organization of the Company's activities;
- 19) sending reports and information on the anti-corruption measures taken to the authorized anti-corruption body;
- 20) development, on a quarterly basis, of reports to the Board of Directors or other independent management body of the Company.

## **5. Appointment and Dismissal from Office**

14. The structure and staffing (quantitative composition) of the anti-corruption compliance service are approved by the Board of Directors and included in the staffing of the Company.

15. The Head of the anti-corruption compliance service is appointed by a decision of the Board of Directors of the Company adopted by a simple majority of votes of the members of the Board of Directors.

16. The issue on appointment or dismissal of the head of the anti-corruption compliance service is submitted to an in-person meeting of the Board of Directors. The presence of a candidate for the position of head of the anti-corruption compliance service at the specified meeting is mandatory.

**17. A person appointed to the position of the head of the anti-corruption compliance service must meet the following requirements:**

- 1) higher education, preferably in the fields of legal or economic sciences;
- 2) work experience of at least 5 years;
- 3) work experience in the field corresponding to the functional areas of the position is desirable for at least 3 years;
- 4) work experience in senior positions for at least 3 years;
- 5) high level of knowledge of regulatory legal acts of the Republic of Kazakhstan, international standards related to higher education, anti-corruption; priority areas of development of the basics of pedagogy; theory and methods of management of educational systems; financial and economic activities of educational institutions; rules on labor protection and fire safety;
- 6) fluency in Kazakh, Russian and preferably English;

**18. An officer of the anti-corruption compliance service must meet the following requirements:**

- 1) higher education, preferably in the fields of legal or economic sciences;
- 2) work experience of at least 5 years;
- 3) work experience in the field corresponding to the functional areas of the position is desirable for at least 3 years;
- 4) high level of knowledge of regulatory legal acts of the Republic of Kazakhstan, international standards related to higher education, anti-corruption; priority areas of development of the basics of pedagogy; theory and methods of management of educational systems; financial and economic activities of educational institutions; rules on labor protection and fire safety;
- 5) fluency in Kazakh, Russian and preferably English;

19. An employment contract is concluded with a person appointed as the head of the Company's anti-corruption compliance service for a period determined by the decision of the Board of Directors.

20. An employment contract with the head of the anti-corruption compliance service is signed on behalf of the Company by the Chairman of the Management Board – Rector.

21. The Board of Directors has the right to make a decision on early termination of the powers of the head of the anti-corruption compliance service and termination of the contract concluded with them in accordance with the procedure established by law.

22. The decision on the appointment of a new head of the anti-corruption compliance service may be taken simultaneously with the decision on the early

termination of the powers of the current head of the anti-corruption compliance service.

23. If the Board of Directors makes a decision on termination of the powers of the head of the anti-corruption compliance service, the head draws up an act of acceptance and transfer of documents under their consideration, as well as documents to be stored. The specified documents under the act of acceptance and transfer are transferred to the new head of the anti-corruption compliance service (in case of their appointment) or to another employee of the anti-corruption compliance service under signature for subsequent transfer to the new head of the service after their appointment.

## **6. Rights and Obligations of the Anti-Corruption Compliance Service**

24. The anti-corruption compliance service has the right to:

1) request and receive information and materials from the Company's structural divisions, including those constituting commercial and official secrets, within the approved procedures regulated by the Company's internal documents;

2) initiate the submission of issues within their competence for consideration by the Board of Directors or other independent management body of the Company;

3) initiate official inspections on incoming reports of possible corruption offenses or violations of the legislation of the Republic of Kazakhstan on combating corruption;

4) require managers and other employees of the Company to submit written explanations as part of official investigations;

5) develop proposals to improve the anti-corruption legislation of the Republic of Kazakhstan and submit them for consideration by the authorized body for combating corruption;

6) participate in the development of drafts of internal regulatory documents within its competence;

7) provide consulting assistance in the work on combating corruption in the Company;

8) create information channels through which reports can be received about the presence or potential possibility of violations of anti-corruption legislation in the Company, or make proposals to improve the effectiveness of anti-corruption measures.

25. The anti-corruption compliance service is obliged to:

1) respect the confidentiality of information on the Company and its affiliates, insider information that became known during the implementation of the functions of the anti-corruption compliance service, if it does not contain data on an impending corruption offense;

2) ensure the confidentiality of persons who have applied for alleged or actual facts of corruption, violations of the corporate ethics code and other internal policies and procedures on anti-corruption compliance;

3) promptly inform the Board of Directors of the Company on any situations related to the presence or potential possibility of violation of anti-corruption legislation;

4) in cases of detection of signs of criminal or administrative corruption offenses in the actions of the Company's employees, transfer materials with relevant evidence to the authorized anti-corruption body;

5) not interfere with the established mode of operation of the Company;

6) comply with the requirements of official and professional ethics.

26. The anti-corruption compliance service ensures timely and high-quality performance of the functions and tasks assigned to it.

## **7. Reporting of Anti-Corruption Compliance Service**

27. Methodological and informational support to the anti-corruption compliance service is provided by the authorized anti-corruption body and its territorial divisions.

28. The anti-corruption compliance service submits, on a quarterly basis, an anti-corruption report to the Board of Directors of the Company.

## **8. Terms of Remuneration and Bonuses**

29. The size of the official salaries of the head and officers of the anti-corruption compliance service is determined by the Board of Directors of the Company and may change by a decision of the Board of Directors of the Company.

30. Salaries are calculated in accordance with the time sheet.

31. For the purpose of material interest of the head and officers of the anti-corruption compliance service in improving the efficiency of production and the quality of work, remuneration may be paid based on the results of work for the year. Bonuses based on the results of activities are paid depending on the results of work for the purpose of material encouragement for the successes achieved and improving the efficiency of work, are not permanent and are not taken into account when calculating the average salary.

Bonuses to the head and officers of the anti-corruption compliance service are not made during the probation period and in case they have not removed a disciplinary penalty.

32. The head and officers of the anti-corruption compliance service are provided with a paid annual leave of 30 (thirty) calendar days, as well as financial assistance in accordance with the internal regulatory documents of the Company.

## **9. Responsibility**

33. The head and officers of the anti-corruption compliance service must perform their duties in good faith.

34. The head and officers of the anti-corruption compliance service, in accordance with the procedure established by the legislation and internal documents of the Company, are responsible for:

1) proper performance of the tasks, functions, rights and obligations assigned to them;

2) losses caused to the Company by their actions (inaction);

3) disclosure of information constituting an official, commercial or other secret protected by law;

4) the use of insider information (restricted access information) available to them about the Company for personal purposes.

35. Disciplinary penalties may be applied to the head and officers of the anti-corruption compliance service in accordance with the established procedure for non-performance or improper performance of official duties by the decision of the Board of Directors of the Company.

## **10. Final Provisions**

37. These Regulations come into force from the date of approval by the Board of Directors of the Company.

38. Amendments and additions to these Regulations are made by the decision of the Board of Directors of the Company.

39. In case of non-compliance of certain conditions provided for by these Regulations with the current legislation, the norms of the current legislation of the Republic of Kazakhstan shall be applied.