

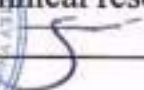
**NON-COMMERCIAL JOINT STOCK COMPANY
“SAKEN SEIFULLIN KAZAKH AGROTECHNICAL RESEARCH UNIVERSITY”**

Approved by

Order No. 135-N dated April 20, 2023

Chairman of the Board - Rector

NJSC “Saken Seifullin Kazakh
agrotechnical research university”


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ANTI-CORRUPTION INSTRUCTION

Astana, 2023

1 Scope of application

This Anti-Corruption Instruction (hereinafter referred to as the Instruction) of NJSC “S. Seifullin Kazakh Agrotechnical Research University” (hereinafter referred to as the Company) is mandatory for review and application by all structural divisions, employees and officials of the Company.

2 Normative references

The Instructions contain references to the following regulatory documents:

RQMS RK ISO 9000-2017 (ISO 9000:2015) “Quality management system. Fundamentals and vocabulary.

DP V-01-2022 "Documented Information Management".

3 Terms, definitions and abbreviations

The Instruction contains terms, definitions and abbreviations in accordance with RQMS RK ISO 9000-2017 (ISO 9000:2015) “Quality management system. Fundamentals and vocabulary”, in addition to them, the following terms and their definitions are established:

AD - Administrative Department;

Close relatives - individuals who are closely related (parents (parent), children, adoptive parents (adopters), adopted, full and half brothers and sisters, grandfather, grandmother, grandchildren), within marriage, as well as property with an official or an employee of the Company;

Bribe – accepted by a person personally or through an intermediary material values (objects or money) or any property benefit, or services for an action (or, conversely, inaction), in the interests of the bribe giver, which this person could or should have done by virtue of his official provisions;

Bribe solicitation – the demand by a person of a bribe under the threat of committing actions that may damage the legitimate interests of the bribe giver or persons represented by him, or the deliberate creation of such conditions under which he is forced to give a bribe in order to prevent harmful consequences for legally protected interests;

Official - a member of the Board of Directors or the Management Board of the Company;

DP - documented procedure;

Commercial bribery is the illegal transfer of money, securities or other property to a person performing managerial functions in the Company, as well as the illegal provision of property-related services to him for the use of his official position, as well as for general patronage or connivance in the service in the interests of a person, who make a bribery;

Conflict of interest – a situation in which the personal interest of an official or employee of the Company affects or may affect the impartial performance of their duties / official duties;

Corruption - offering, promising, giving and receiving illegal benefits, tangible and / or intangible, in any form, directly or through intermediaries, including in the form of a

bribe or commercial bribery; and / or mediation in the implementation of a corrupt act; and / or abuse of official position, abuse of authority, as well as other illegal use by an individual of his official position contrary to the legitimate interests of the Company, including for the purpose of obtaining illegal benefits, tangible and / or intangible, for himself or third parties, or illegal provision of such benefits to the specified person by other individuals;

TS – teaching staff (faculty);

RQM - representative of the quality management;

Countering corruption – the activities of employees and officials of the Company within their powers to prevent corruption, including the formation of an anti-corruption culture in the Company, the identification and elimination of causes and conditions conducive to the commission of corruption offenses, as well as the identification, suppression, disclosure and investigation of corruption offenses and elimination of their consequences;

Employee, member of staff - a person who has an employment relationship with the Company and directly performs work under an employment contract;

RK – Republic of Kazakhstan;

DLS – Department of Legal Support.

4 Responsibility and authority

4.1. This Instruction is approved by the Chairman of the Board - the Rector of the Company on the title page.

4.2. The developer of the Instruction is responsible for the content, structure and design of the approved Instruction. The decision on the final version of the Instruction is made by the **QMR**.

4.3. Responsibility for bringing the requirements of the Instruction to the attention of the Company's employees lies with the personnel department, heads of structural divisions and is controlled by the compliance officer. Introduction record must be made in the “Familiarization Sheet” (Appendix B).

4.4. Responsibility for the safety, unauthorized copying of documents of the quality management system (QMS), including this Instruction, located in the subdivision, and the leakage of service information are borne by the heads of subdivisions.

5 General provisions

5.1. This Instruction defines situations of corruption and establishes the procedure for the actions of officials and employees of the Company in the event of their occurrence.

5.2. The requirements given in the Instructions are the minimum necessary and should not be considered as exhaustive and / or limiting for a particular case.

6 Possible situations of corruption and commercial bribery, as well as the procedure in case of their occurrence

6.1. Taking and giving a bribe is illegal in the Republic of Kazakhstan and falls under the Criminal Code and the Code of Administrative Offenses.

6.2. The subject of a bribe may be:

- objects, money, including: currency, bank checks and securities, products made of precious metals and stones, cars, food, appliances, household appliances and other goods, apartments, summer cottages, country houses, garages, land plots and other real estate;
- benefits: treatment, repair and construction work, sanatorium and tourist vouchers, trips abroad, payment for entertainment and other expenses free of charge or at a reduced cost;
- a veiled form of a bribe - a bank loan on credit or under the guise of paying off a non-existent debt, paying for goods bought at a lower price, buying goods at an overpriced price, formation of fictitious employment contracts with the payment of wages to the bribe taker, his relatives, friends, obtaining a soft loan, overstating fees for lectures, articles, and books, “accidental” casino winnings, debt forgiveness, rent reductions, higher interest rates on loans, etc.

6.3. It is important to comply with the restrictions, prohibitions and requirements for the exclusion or settlement of conflicts of interest, the obligation to notify the head of the structural unit, the compliance officer about appeals in order to induce corruption offenses, other obligations established by the university in order to combat corruption.

It should be noted that some words, expressions and gestures can be perceived by others as a request (hint) to give a bribe.

Such expressions include, for example:

- “It is difficult to solve the issue, but it is possible”;
- “Thank you - you can't spread it on bread”;
- “Let's agree”;
- “We need stronger arguments”;
- “We need to discuss parameters”;
- “Well, what shall we do?” etc.

Discussing certain topics with representatives of organizations and students, especially with those whose benefit depends on the decisions and actions of officials and employees of the Company, may also be perceived as a request for a bribe.

These topics include, for example:

- low level of salary and lack of funds to meet certain needs;
- the desire to acquire this or that property, receive this or that service, go on a tourist

trip or for treatment;

- lack of employment for relatives of an official;
- recommendations to support a charitable foundation, a specific sports team, etc.

6.4. In order to avoid possible provocations on the part of citizens who applied for the service, representatives of legal entities, officials inspecting the activities of the unit:

• do not leave office premises unattended, where there are visitors and personal items (clothing, briefcases, bags, etc.);

• in the event that any foreign objects are found in the workplace or in personal belongings after the visitor leaves, without taking any independent action, immediately report to the management.

6.5. In case of extortion of a bribe:

• behave extremely carefully, politely, without fawning, avoiding reckless statements that could be interpreted either as readiness or as a categorical refusal to accept the subject of a bribe and/or commercial bribery;

• listen carefully and memorize exactly the conditions offered to you (amount of a sum, name of goods and nature of services, terms and methods of transferring a bribe, form of commercial bribery, sequence of resolving issues);

• try to postpone the issue of the time and place of the transfer of the subject of a bribe and / or commercial bribery until the next conversation and suggest a place that is well known to you for the next meeting;

• do not take the initiative in the conversation, more “work for the reception”, let the interlocutor “speak out”, tell you as much information as possible;

• inquire about guarantees for resolving your issue if you agree to give a bribe or commit commercial bribery;

• If you have a voice recorder, try to record (covertly) a proposal about the subject of a bribe and/or commercial bribery;

• report this fact in the form of a memo to the higher management and the compliance officer;

• apply with a written or oral report on the impending crime to the authorized body for combating corruption.

6.6. If you have encountered manifestations of corruption or become an unwitting witness to illegal corruption violations, you need to:

• report this fact in the form of a memo to the compliance officer;

• apply with a written or oral report to the authorized body for combating corruption.

6.7. Regarding conflicts of interest:

• be committed to any potential conflict of interest;

• take measures to prevent any possibility of a conflict of interest;

• notify your line manager in writing of any conflict of interest or the possibility of it occurring as soon as you become aware of it;

• take measures to resolve the conflict of interest that has arisen in agreement with the immediate supervisor;

• change the official position of an employee who is a party to a conflict of interest, up to his removal from the performance of official duties in the prescribed manner, and (or) his denial of the benefits that caused the conflict of interest;

• contact the Compliance Officer if it is impossible to resolve a conflict of interest.

7 Responsibility of managers for corruption offenses of subordinates

7.1. In order to strengthen measures aimed at preventing corruption, a rule is provided that implies the personal responsibility of managers whose subordinates have committed a corruption offense, commercial bribery and other criminal offenses in the performance of their functional duties and their guilt has been proven in court.

7.2. In the event of a criminal prosecution of an employee of the Company on the facts of committing a corruption offense, commercial bribery and other criminal offenses in the performance of his functional duties, this employee, in accordance with the Labor Code of the Republic of Kazakhstan, is suspended from the performance of his duties until the end of investigative actions or the entry into force of a judicial act. The immediate supervisor of this employee is obliged to take 7 appropriate measures to remove the employee from the performance of his duties.

7.3. The disciplinary responsibility of a leader for a corruption offense of a subordinate involves the issuance of:

- remarks;
- reprimand;
- severe reprimand;
- termination of the employment contract at the initiative of the employer on the grounds provided for by the Labor Code of the Republic of Kazakhstan.

7.4. It should be taken into account that in case of committing an offense of a corruption nature by a direct subordinate, the manager bears personal responsibility after 3 months from the date of appointment to this position. At the same time, the above liability does not apply to the manager who independently reported the fact of a corruption offense committed by his direct subordinate, in accordance with Article 24 of the Law of the Republic of Kazakhstan “Anti-Corruption Act”.

7.5. An employee who reports the fact of a corruption offense, commercial bribery and other criminal offenses in the performance of the Company’s employee of their functional duties, or otherwise assists in combating corruption, commercial bribery and other criminal offenses in the performance of their functional duties by the Company’s employees is under the protection of the state and is encouraged in the manner established by the Government of the Republic of Kazakhstan. This provision does not apply to persons who knowingly provided false information about the fact of a corruption offense, who are subject to liability in accordance with the law.

7.6. Information about an employee who assists in combating corruption, commercial bribery and other criminal offenses in the performance of their functional duties by the Company’s employees is a state secret and is provided in the manner prescribed by law. Disclosure of this information entails liability established by law.

8 Agreement, approval and implementation

8.1. The coordination of this Instruction is carried out with the QMR, directors of the DAA, AD, DLS, the chairman of the trade union committee of teachers and employees. and is drawn up in the “Agreement Sheet” (Appendix A).

8.2. The instruction is translated into Kazakh for the purpose of further posting on the official website of the university.

8.3. The instruction with the developer’s signature and approval signatures is submitted by the developer for approval.

8.4. The date of introduction of the Instruction is the date of approval/approval of the Instruction. The instruction comes into effect at the moment of its approval.

8.5. The approved Instruction is transferred for storage in DAA, QMS on paper.

9 Information assurance

Provision of subdivisions with copies of the Instruction is carried out by posting on the official website of the Company.

10 Electronic filing

10.1. After the electronic version of the Instruction is posted on the Company’s website, the executors get acquainted with it and put their signature on the familiarization sheet (Appendix B). At the departments and subdivisions, the head of the department and / or the head of the subdivision is responsible for familiarizing the employees with the Instruction.

10.2. Responsibility for replication, accounting of copies, unauthorized use and safety of the Instructions lies with the head of the department.

10.3. The full version of the Instructions is stored in electronic form, and the title page and familiarization sheet in printed form.

11 Analysis and updating

11.1. Verification, analysis and updating of the Instruction: - in case of reorganization/renaming of the Company;

- when changing the strategy, policy and goals of the Company in the field of quality;

- upon detection of non-conformity processes, during internal and / or external audits;

- in case of changes in legislative, regulatory and contractual requirements for the settlement of conflicts of interest.

11.2. The Instruction must be checked once a year.

11.3. The developer is responsible for the analysis and updating of the Instruction.

11.4. Updating the Instructions should be carried out by the developer within a period of not more than 5 working days from the date of receipt of new information.

11.5. The availability of the relevant versions of the Instructions in the places of their

application is ensured by electronic versions.

11.6. Ensuring and responsibility for the availability of current versions of 9 Instructions at workplaces in departments rests with the heads of departments.

12 Making amendments to the Instructions

12.1. Making amendments to this Instruction must be made in accordance with DP V-01-2022.

12.2. The instruction is revised in case of changes in legislation or as necessary.

12.3. In case of changes in the requirements of the legislation, this Instruction until the moment of its change is valid in the part that does not contradict the current legislation, at the time of its application.

12.4. Making amendments to the original Instructions are carried out by the developer. The QMS should post an updated version on the Company's official website within a period not exceeding 5 days.