

QUALITY MANAGEMENT SYSTEM REGULATIONS ON THE PROCEDURE FOR REVIEWING EMPLOYEE COMPLAINTS	 SAKEN SEIFULLIN UNIVERSITY	S. Seifullin Kazakh Agrotechnical University
PPZHR QMS 08.8004 - 2020 Page 1 of 11 Version 1		

“Approved” Order of the Chair
of the Board No. 538-N
dated 16.10.2020

QUALITY MANAGEMENT SYSTEM
REGULATION
**on the Procedure for Handling Employee Complaints NJSC “S. Seifullin
Kazakh Agrotechnical University”**

PPRZHS SMK 08.8004 - 2020

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Nur-Sultan 2020

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1. Scope of Application

This Regulation establishes the administrative and legal requirements for defining the status, functional responsibilities, powers, and accountability of the unit responsible for handling complaints submitted by employees.

2. Normative References

- Civil Code of the Republic of Kazakhstan (General Part), adopted on 27 December 1994;
- Labor Code of the Republic of Kazakhstan dated 23 November 2015 No. 414;
- Law of the Republic of Kazakhstan No. 221-III dated 12 January 2007 “On the Procedure for Handling Appeals of Individuals and Legal Entities”;
- Law of the Republic of Kazakhstan No. 319-III dated 27 July 2007 “On Education”;
- State Program for the Development of Education and Science of the Republic of Kazakhstan for 2020–2025;
- Charter of NJSC “S. Seifullin Kazakh Agrotechnical University”;
- ISO 9000:2005 Quality Management Systems — Fundamentals and Vocabulary;
- ISO 9001:2015 Quality Management Systems — Requirements;
- QMS Standard CO QMS 01.1011-2017 — Rules for development and formatting of QMS documentation;
- QMS Standard CO QMS 01.1014-2020 — Rules for developing and approving unit regulations;

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– Documented Procedure DP QMS 01.1006-2020 — Documentation Management;

– Documented Procedure DP QMS 01.1007-2020 — Quality Records Management.

3. Abbreviations and Definitions

- KATU — S. Seifullin Kazakh Agrotechnical University;
- PPRZHR — Regulation on the Procedure for Handling Employee Complaints;
- PRK — Quality Management Representative;
- QMS — Quality Management System;
- SQ — Quality Service;
- DMPD — Department of Personnel Management and Documentation;
- PPS — Academic and Teaching Staff.

4. Responsibility and Authorities

4.1 The Director of the Department of Personnel Management and Documentation (DMPD) is responsible for developing this Regulation, including its content, formatting, approval, and implementation.

4.2 The draft Regulation must be agreed upon with the First Deputy Chair of the Board, the Director of DMPD, the Head of the Legal Department, and the Head of the Quality Service (SQ).

4.3 The Quality Management Representative (PRK) makes the final editorial decision on the draft Regulation, recorded in the “Approval Sheet” (Annex A).

4.4 The developing unit submits the draft Regulation to the Quality Service for registration. The SQ prepares the original version and collects all required approval signatures.

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4.5 The Quality Service prepares an implementation order, which is approved by the Chair of the Board.

4.6 The Head of the developing unit is responsible for informing relevant employees about the approved Regulation. Records of familiarization must be documented in the “Familiarization Sheet” (Annex B).

5. General Provisions

The purpose of this Regulation is to ensure timely processing of complaints submitted by employees of NJSC “S. Seifullin KATU,” to make appropriate decisions, prevent violations of employee rights when claims are substantiated, and restore violated rights.

6. Submission and Acceptance of Complaints

6.1 Every employee has the right to submit a complaint in any form, either personally or through a representative.

6.2 A personnel management specialist receiving an oral complaint clarifies the circumstances and attempts to resolve the issue immediately. If necessary, the specialist contacts the head of the relevant structural unit for additional information.

6.3 If the issues raised require verification or lie outside the competence of the personnel officer, the employee is advised to submit a written complaint addressed to the Chair of the Board, indicating contact details.

6.4 All written complaints are registered in the documentation sector; the clerk assigns the submission date and registration number and forwards the complaint to university management for decision routing.

6.5 The clerk marks the acceptance of the written complaint on the complainant’s copy and returns it to the complainant.

7. Consideration of Complaints

7.1 The complainant and their statements must be treated respectfully and without prejudice.

7.2 All circumstances mentioned in the complaint must be reviewed thoroughly to understand the essence of the problem. Additional information may be requested if needed for decision-making.

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During the review process, the responsible employee may discuss the complaint with individuals involved and/or request written explanations from them. If necessary, a commission may be established by order of the Chair of the Board.

7.3 With the participation of the lead legal officer, the legitimacy of the situation is assessed using relevant documents. As a result, a conclusion is made regarding whether the complaint is substantiated.

7.4 The findings of the complaint review must be used to prevent similar issues in the future.

8. Response to the Complaint

8.1 The standard timeframe for reviewing a complaint is 10–15 working days from the date of submission. If insufficient information is available within this period, the complainant must be notified.

8.2 The response must be justified. If the complaint is substantiated, corrective measures must be initiated immediately. If the complainant’s request is denied partially or fully, the explanation must be truthful and clear.

8.3 The reviewer coordinates the draft response with the Legal Service and the Director of DMPD, after which the package of documents is submitted for the Chair of the Board’s signature.

The signed response is forwarded to the documentation sector for registration and dispatch to the complainant.

9. Document Storage

The Head of the structural unit in which the complaint was reviewed is responsible for organizing the storage of the complaint and all related documents. These documents must be stored in the documentation sector.

10. Amendments Procedure

10.1 Amendments to this Regulation shall be made in accordance with QMS Standard CO QMS 01.1014-2020.

10.2 Amendments may only be introduced with the authorization of the Quality Management Representative (PRK) and must be formally documented with the appropriate signatures. Pages removed from the amended version must be stored together with the amendment authorization document.

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10.3 Amendments to the version stored in the Quality Service archive must follow Documented Procedure DP QMS 01.1006-2020 on Documentation Management.

10.4 Amendments are entered by the Quality Service specialist with mandatory notation in the “Amendment Registration Sheet” (Annex C).

11. Storage and Distribution

11.1 The Quality Service (SQ) is responsible for storing the original Regulation, duplicating it, and distributing controlled copies.

11.2 Copies of the Regulation are registered electronically in the ARTA SYNERGY electronic document management system and distributed to all university units.

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Annex A (Mandatory) Approval Sheet

Position	Full Name	Date	Signature
Quality Management Representative (PRK)	Abdyrov A.M.		
Director of DMPD	Alimzhanova D.B.		
Head of Legal Department	Kerimche A.S.		
Head of Quality Service (SQ)	Aldabergenova S.S.		

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Annex B (Mandatory)Familiarization Sheet

Position	Full Name	Date	Signature

Annex C (Mandatory)Amendment Registration Sheet

Modified Sheets	Replaced Sheets	New Sheets	Cancelled Sheets	Notice No.	Editor (Full Name)	Signature	Date