

Approved by the order of the
Chairman of the
Board - Rector
NJSC "S. Seifullin KATRU"
№183-H from "31" March 2025

PROCEDURE FOR REVIEWING COMPLAINTS FROM EMPLOYEES

1 Scope of application

1.1 These Regulations on the procedure for reviewing complaints from employees (here in after referred to as "the Regulations") establish requirements for the administrative and legal framework for the process of filing and reviewing complaints by employees of NC JSC "S. Seifullin Kazakh Agrotechnical Research University" (here in after "KATRU").

1.2 This Regulation is essential for the effective management of all departmental employees in their work.

1.3 The Regulation is included in the package of internal regulatory documents (here in after referred to as the "IRD"). The National Autonomous Organization " NC JSC "S. Seifullin Kazakh Agrotechnical Research University" (here in after "KATRU").

2 Regular references

This Regulation refers to the following relevant regulatory documents:

- The Civil Code of the Republic of Kazakhstan.
- The Labor Code of the Republic of Kazakhstan.
- The Administrative Procedure Code of the Republic of Kazakhstan.
- The Law of the Republic of Kazakhstan on Education.
- The Law of the Republic of Kazakhstan on Science and Technology.
- The Charter of the National Autonomous Organization NC JSC "S. Seifullin Kazakh Agrotechnical Research University" (here in after "KATRU")

3 Responsibility and authority

3.1 The Director of the Administrative Department (here in after referred to as "AD") is responsible for the development of the regulation, specifically for its content. The Quality Committee (here after "QC") is responsible for designing, approving, and implementing the regulation.

3.2. The project of regulation should be coordinated with the following members of the management board: the vice-rector for operations, the director of the administrative department (AD), the director of legal services, and the head of the Quality Committee (QC).

3.3 The final version of the project of regulation is decided upon by the supervisory vice-rector.

3.4 The development team submits the project of regulation for registration to the central committee, which then the projects of final regulation and collects approval signatures.

3.5 The QC prepares a plan for its implementation, which is then approved by the chairman of the board, the rector.

4 General Terms

The aim of establishing a complaints procedure is to ensure timely consideration of complaints from staff members of NC JSC "S. Seifullin Kazakh Agrotechnical Research University" (here in after "KATRU") and to make appropriate decisions on them, preventing any violations of staff members' rights if their claims are justified, and to restore any violated rights.

In this context, a complaint constitutes one form of appeal, which contains a request from a participant in the administrative process to restore or safeguard rights, freedoms, or legitimate interests that have been infringed by an administrative decision, action (or lack thereof).

5. Submission and Acceptance of the Complaint

5.1 Every employee of NC JSC "S. Seifullin Kazakh Agrotechnical Research University" (here in after "KATRU") has the right to submit a complaint personally or through a legal representative. The complaint must be submitted in written form (either on paper or electronically).

The complaint states:

1. The full name of the complainant;
2. The position and department of the complainant;
3. The name of the official or entity whose action is being challenged;
4. The circumstances on which the complainant bases their claims and evidence;
5. The date of filing of the complaint;
6. The signature of the complainant;
7. A list of any documents attached to the complaint.

5.2 The circumstances related to the complaint of the employee (here in after referred to as «the complainant») have been clarified by an employee of NC JSC "S. Seifullin Kazakh Agrotechnical Research University" (here in after "KATRU"), who has accepted it.

If necessary, an employee from the NC JSC "S. Seifullin Kazakh Agrotechnical Research University" (here in after "KATRU") may contact other departments for

further information.

5.3. The complaint is recorded in AD, the AD employee records the date of receipt and registration number of the complaint and submits it to the Chairman of the Board for resolution. The Rector appoints a person responsible for considering the complaint. The recording, registration, processing, return, and withdrawal of complaints are carried out in accordance with these regulations.

5.4 The employee of AD who has received a written complaint will make a note of receipt on a copy of the complaint and return it to the complainant.

6 Consideration of complaints

When considering a complaint, it is assumed that:

6.1 The complainant's statements should be considered without prejudice and in a respectful manner.

6.2 The situation referred to in the complaint should be considered thoroughly, which makes it possible to understand the essence of the problem. The person reviewing the complaint, if necessary, makes a proposal to provide additional data necessary for making a decision.

When addressing a complaint independently, the relevant employee of NC JSC "S. Seifullin Kazakh Agrotechnical Research University" (here in after "KATRU") shall have the right to consult with the individuals concerned and/or obtain written explanations from them. Should the need arise, a panel for collegial review may be constituted by order of the Chair of the Board - Rector, in order to examine the complaint.

6.3 In order to clarify the reasons for a complaint, with the participation of the head of a relevant department and the legal counsel, the legality of an incident is determined based on relevant documents. Following this process, a determination is made as to whether the complaint may be deemed valid.

6.4. The outcome of the complaint process should be utilized to prevent similar issues from occurring at NC JSC "S. Seifullin Kazakh Agrotechnical Research University" (here in after "KATRU") in the future.

7. Response to the complaint

7.1 The period for reviewing complaints is 20 working days from the date the complaint is received. If sufficient information has not been collected within this period to allow a decision to be made, a notification will be issued to the complainant.

7.2. The response to a complaint should be well-reasoned. If the allegations of the complainant are substantiated, it is essential to immediately proceed with their resolution. In the response to the complainant, partial or full dissatisfaction with their claims should be explained truthfully and transparently. The refusal to address the complaint should be justified.

7.3 The employee reviewing the complaint will coordinate the draft response with the legal team and the Director of the AD. Afterwards, they will submit the response, together with any relevant materials, for signature to the Chair of the Board - Rector.

Once the response has been signed, it will be sent to the AD for recording and forwarding to the individual who submitted the complaint.

8. Saving documents

The storage of the complaint and any documents collected in relation to its consideration shall be organized by the Head of the relevant structural unit. Such documents shall be maintained in accordance with the established procedures of the Administration.

9. Responsibility

9.1. The Administration is responsible for ensuring the proper implementation of the requirements set forth in these Regulations.

9.2. The head of the Quality Committee is responsible for ensuring the safety of internal regulatory documents within the department and preventing unauthorized copying or leakage of any official information.

10. Final provisions

10.1. These Regulations are mandatory requirements for all employees of NC JSC "S. Seifullin Kazakh Agrotechnical Research University" (here in after "KATRU").

10.2. This Regulation may be modified and supplemented as required.

11. Designations and abbreviations

This Regulation refers to the following key terms and abbreviations, and their respective definitions:

- NC JSC "S. Seifullin Kazakh Agrotechnical Research University" (here in after "KATRU")
- Regulation – A regulation on the process for reviewing complaints from employees.
- IRD– internal regulatory documents;
- AD – Administrative Department;
- TTS – the teaching staff.