

	Institution «Ekibastuz Engineering and Technical Institute named after Academician K.Satpayev»	Quality management system	
		Regulation on the compliance officer	Changes № _____ Date _____ Inst. _____



APPROVING

Rector of EITI named

after academician K.Satpayeva

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QUALITY MANAGEMENT SYSTEM

REGULATION ON THE COMPLIANCE OFFICER

I «Ekibastuz engineering and technical institute named after academician K.Satpayev»	
«Regulation on the compliance officer»	

Introduction

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1. General provisions

1.1 This Regulation regulates the activities of the compliance officer for the implementation of anti-corruption compliance functions in the Establishment of the Ekibastuz Engineering and Technical Institute named after Academician K. Satpayev (hereinafter referred to as the Institute).

1.2 Anti-corruption compliance refers to ensuring that the Institute and its employees comply with the legislation of the Republic of Kazakhstan in the field of anti-corruption.

1.3 The Compliance Officer is appointed directly by the President and is accountable only to him.

1.4 A person who has a higher education and at least 1 (one) year of work experience may be appointed to the position of compliance Officer.

1.5 The functional duties, rights and responsibilities of a compliance officer are defined in their job description or in other documents defining the employee's official rights and obligations.

2. Goals, objectives and principles of the compliance officer

2.1 The main purpose of the compliance Officer is to ensure that the Institute and its employees comply with the anti-corruption legislation of the Republic of Kazakhstan, as well as monitor the implementation of anti-corruption measures.

Compliance Officer's tasks:

2.2 ensuring that the Institute and its employees comply with the requirements of the legislation of the Republic of Kazakhstan in the field of anti-corruption, as well as improving the policy and practice in the field of anti-corruption;

2.3 identification and assessment of corruption risks;

2.4 effective implementation of the system of anti-corruption measures in accordance with the anti-corruption legislation;

2.5 organization and conduct of events aimed at developing the principles of integrity and anti-corruption culture;

2.6 ensuring clear and effective interaction between the Institute and the authorized anti-corruption body;

When implementing anti-corruption compliance, follow the following principles:

2.7 the interest of the organization's management bodies in the effectiveness of anti-corruption compliance;

2.8 regular assessment of corruption risks;

2.9 continuity of implementation of anti-corruption compliance at the Institute;

2.10 improving anti-corruption compliance.

3. Functions of the Compliance Officer

To perform tasks, the compliance officer is assigned the following functions:

- 1) development of internal documents on anti-corruption issues at the institute, a document regulating the procedure for informing employees of the institute about facts or possible violations of anti-corruption legislation, conducting anti-corruption activities, a document regulating corporate ethics and behavior;
- 2) making proposals on changing the existing or canceling internal documents of the institute that do not comply with the anti-corruption policy;
- 3) conduct awareness-raising activities on anti-corruption issues and the formation of an anti-corruption culture;
- 4) taking measures to identify, monitor and resolve conflicts of interest;
- 5) control over compliance of the institute's employees with anti-corruption legislation, including internal documents of the institute, aimed at forming an anti-corruption culture and academic integrity;
- 7) conducting an internal analysis of corruption risks and coordinating efforts to reduce them;
- 8) ensuring public disclosure of information on the results of the internal analysis of corruption risks,
- 9) conducting official inspections based on appeals (complaints) about the facts of corruption and / or participating in them;
- 10) providing assistance to the authorized anti-corruption body in conducting an external analysis of corruption risks of the institute's activities;
- 11) monitoring and analysis of changes in anti-corruption legislation, judicial practice in cases related to corruption;
- 12) organization of interaction of the institute with interested state bodies, public organizations on the formation of the principles of integrity and anti-corruption culture;
- 13) collecting, processing, summarizing, analyzing and evaluating information related to the effectiveness of the institute's anti-corruption policy;
- 14) participation in an external analysis of corruption risks in the institute's activities, carried out by a joint decision of the first heads of the authorized anti-corruption body and the institute;
- 15) promote the formation of a culture of mutual relations that meets generally accepted moral and ethical standards in the institute's staff;
- 16) taking measures to resolve issues of giving and receiving gifts at the institute;
- 17) participates in the preliminary assessment of potential counterparties;
- 18) assessment of the effectiveness of the implementation of anti-corruption measures by structural divisions and employees of the institute;
- 19) making recommendations to the head of the Institute on eliminating identified corruption risks, improving the efficiency of internal processes of organizing the institute's activities.

4. Rights and obligations of the Compliance Officer

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

2) initiate the submission of issues related to the competence of the compliance officer for consideration by the manager;

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

4) organize and conduct meetings on issues within their competence;

5) observe the confidentiality of information about the subject, insider information that became known during the period of performing the functions of a compliance officer;

6) ensure the confidentiality of persons who have contacted the compliance officer on alleged or actual facts of corruption, violations of the corporate code of ethics and other internal policies and procedures related to anti-corruption compliance;

7) promptly inform the manager about any situations related to the presence or potential possibility of violations of anti-corruption legislation;

8) perform other actions that do not contradict the legislation of the Republic of Kazakhstan.

9) The compliance officer has the right to create information channels (for example, a helpline or hotline), through which citizens can report information about the existence or potential possibility of violating anti-corruption legislation, or make suggestions for improving the effectiveness of anti-corruption measures.

Registration sheet for changes, additions, and revisions to the document

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