

Acting Director of the State Public Enterprise "Kostanay Polytechnic Higher College" of the Education Department of the Akimat of Kostanay region

"APPROVED"

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POSITION

about the anti-corruption compliance service

MSE "Kostanay Polytechnic Higher College" of the Education Department of the Akimat of Kostanay region

Chapter 1. General provisions

1. This anti-corruption regulation

compliance service was developed in accordance with paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On Combating Corruption" (hereinafter referred to as the Law).

2. This provision defines the goals, objectives, principles, functions and powers of persons performing the functions of anti-corruption compliance services.

3. Based on the specifics of its activities, the college approves the Regulations on the anti-corruption compliance service, taking into account the Model Regulations.

4. Regulations on the anti-corruption compliance service are posted on the official Internet resource of the college and is brought to the attention of all employees.

5. In these Regulations, the concepts are used in the following meaning:

1) anti-corruption compliance - a function to ensure compliance by the college and its employees with the legislation of the Republic of Kazakhstan on combating corruption;

2) internal analysis of corruption risks - identifying and studying the causes and conditions conducive to the commission of corruption offenses;

3) conflict of interest - a contradiction between the personal interests of persons holding a responsible public position, persons authorized to perform government functions, persons equated to them, officials and their official powers, in which the personal interests of these persons may lead to non-fulfillment and (or) improper performance of their official duties;

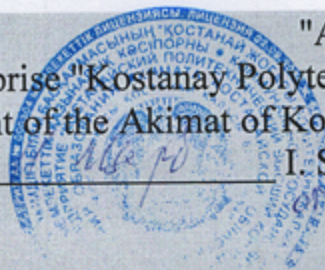
4) corruption offense - an unlawful guilty act (action or inaction) that has signs of corruption, for which administrative or criminal liability is established by law;

5) corruption risk - the possibility of the emergence of causes and conditions conducive to the commission of corruption offenses

6) prevention of corruption - the activities of anti-corruption entities to study, identify, limit and eliminate the causes and conditions conducive to the commission of corruption offenses, through the development and implementation of a system of preventive measures;

7) authorized anti-corruption body - a state body that carries out the formation and implementation of the anti-corruption policy of the Republic of Kazakhstan and coordination in the field of anti-corruption, as well as the prevention, detection, suppression, disclosure and investigation of corruption offenses, and its territorial divisions.

6. The college determines a structural unit or responsible person performing the functions of an anti-corruption compliance service; the main task of which is to ensure compliance by this organization and its employees with the legislation of the Republic of Kazakhstan on anti-corruption. At the same time, the responsible person performing



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the functions of the anti-corruption compliance service is determined taking into account the potential conflict of interest.

7. The anti-corruption compliance service or the responsible person performing the functions of the anti-corruption compliance service is formed by order of the director.

8. The anti-corruption compliance service exercises its powers independently of the executive body and college officials, is accountable to an independent management body and is independent in ensuring compliance with the requirements of the legislation of the Republic of Kazakhstan on anti-corruption.

9. Methodological support for the anti-corruption compliance service is provided by the authorized anti-corruption body and its territorial divisions.

10. Combining the anti-corruption function is not allowed compliance services with the functions of other structural divisions of the college.

11. If the Law and international standards in the field of anti-corruption establish requirements and approaches to organizing anti-corruption compliance that are not provided for by these regulations, these requirements and approaches are approved by the independent governing body of the college, in the absence of the specified body, the director of the college.

## Chapter 2. Goals, objectives, principles, functions and powers of the anti-corruption compliance service

12. The main goal of anti-corruption activities

The compliance service is to ensure compliance by the college and its employees with the legislation of the Republic of Kazakhstan on combating corruption, as well as monitoring the implementation of anti-corruption measures.

13. Tasks of the anti-corruption compliance service:

1) ensuring the implementation of tools for the prevention and prevention of corruption offenses by the college and its employees;

2) effective implementation of a system of anti-corruption measures in the college;

3) ensuring that the college conducts an internal analysis of corruption risks;

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

5) ensuring compliance with the basic principles of anti-corruption in accordance with the Law.

14. College, upon implementation

and the implementation of anti-corruption compliance functions is guided by the following principles:

1) sufficiency of powers and resources allocated to perform anti-corruption compliance functions;

2) management's interest in the effectiveness of anti-corruption compliance;

3) information openness of the activities of the anti-corruption compliance service;

4) independence of the anti-corruption compliance service;

5) continuity of implementation of anti-corruption compliance;

6) improving anti-corruption compliance;

7) continuous improvement of the competencies of specialists performing anti-corruption compliance functions.

15. Functions of the anti-corruption compliance service:

1) provides development:

internal anti-corruption policy of the college;  
anti-corruption instructions for college employees;  
internal policy for identifying and resolving conflicts of interest in the college;  
anti-corruption standard, in accordance with the law  
on anti-corruption;  
internal action plan on anti-corruption issues;  
a document regulating the procedure for informing college employees about facts or  
possible violations of anti-corruption legislation;  
document regulating corporate ethics issues  
and behavior;

- 2) collects, processes, summarizes, analyzes and evaluates information regarding the  
effectiveness of anti-corruption policy  
in college;
- 3) coordinates the internal analysis of corruption risks in the activities of the college  
in accordance with the Model Rules for Conducting Internal Analysis of Corruption  
Risks, approved by the Order of the Chairman of the Agency of the Republic of  
Kazakhstan for Civil Service Affairs and Anti-Corruption Affairs dated October 19,  
2016 No. 12 "On approval of the Model Rules for Conducting Internal Analysis of  
Corruption Risks" registered in the Register of State Registration of Normative Legal  
Acts under  
No. 14441);
- 4) participates in an external analysis of corruption risks in the activities of the college,  
carried out by a joint decision of the first leaders of the authorized anti-corruption body  
and a quasi-public sector entity;
- 5) monitors identified corruption risks  
in college and the measures taken to mitigate and eliminate them;
- 6) conducts explanatory events on anti-corruption issues and the formation of an anti-  
corruption culture in the college;
- 7) organizes anti-corruption training seminars for college employees;  
ensures control over compliance by college employees with the anti-corruption policy  
and issues of corporate ethics and conduct;
- 9) promotes the formation of a culture of relationships that corresponds to generally  
accepted moral and ethical standards in the college staff;
- 10) ensures compliance by persons equated to persons authorized to perform  
government functions with financial control measures and anti-corruption restrictions  
established by the Law,  
within the competence of the anti-corruption compliance service;
- 11) develops and monitors the implementation by the structural divisions of the college  
of an internal action plan on anti-corruption issues;
- 12) takes measures to identify, monitor and resolve conflicts of interest, including in  
matters of employment and procurement  
and business processes of the college;
- 13) takes measures to resolve donation issues  
and receiving gifts in college;
- 14) carries out a comprehensive check of the reliability of counterparties;
- 15) conducts internal audits based on requests (complaints)  
about facts of corruption in the college and/or participates in them;
- 16) monitors and analyzes changes in anti-corruption legislation, judicial practice in  
cases related to corruption in college;

17) assesses the effectiveness of the implementation of anti-corruption measures by structural divisions and employees of the college;

18) hears information from structural units and employees of the college on anti-corruption issues;

19) makes recommendations to the director of the college to eliminate identified corruption risks, improve the efficiency of internal processes for organizing the activities of the college;

20) depending on the specifics of the college's activities, performs functions related to issues of compliance, business ethics, and sustainable development, if such functions do not affect independence and do not create a conflict of interest;

21) interacts with the authorized anti-corruption body and government bodies, quasi-public sector entities, public associations, as well as other physical and legal entities.

16. By decision of the independent governing body of the college, in the absence of the specified body, the director of the college appoints the head of the anti-corruption compliance service

and the term of office, the amount of remuneration and terms of remuneration are determined.

7. The head of the anti-corruption compliance service ensures the implementation of the tasks assigned to the anti-corruption compliance service.

18. By the decision of the college director, on the recommendation of the head of the anti-corruption compliance service, the structure, staffing levels (quantitative composition), term of office, work procedure and other conditions of payment for employees of the anti-corruption compliance service are determined and their appointment is carried out.

19. The functional duties, rights and responsibilities of the head and employees of the anti-corruption compliance service are determined by job descriptions or documents defining the official rights and responsibilities of the employee, developed on the basis of the Regulations on the anti-corruption compliance service and approved by the director of the college.

20. The head of the anti-corruption compliance service submits to the independent governing body of the college a proposal on the structure and staffing of the anti-corruption compliance service, in the absence of the specified body, to the director of the college.

21. Documents and requests sent on behalf of the anti-corruption compliance service to other structural divisions of the college, departments falling within the competence of the anti-corruption compliance service are signed by the head of the anti-corruption compliance service.

22. The head and employees of the anti-corruption compliance service must constantly improve their professional qualifications by participating in training events conducted by authorized bodies

and professional organizations in the field of compliance

23. Anti-corruption compliance service within the framework of its activities:

1) requests and receives information and materials from the structural divisions of the college, including those constituting commercial and official secrets;

2) initiates the submission of issues within their competence to the college director for consideration by the college's independent governing body; in the absence of the said body;

3) conducts internal checks on incoming messages

about possible corruption offenses or violations of the legislation of the Republic of Kazakhstan on combating corruption;

4) requires managers and other college employees to submit written explanations as part of official investigations;

5) develop proposals for improving the anti-corruption legislation of the Republic of Kazakhstan and send

their authorized anti-corruption body;

6) participates in the development of draft internal documents within the limits of its competence;

creates information channels for college employees to report facts of the presence or potential violation of anti-corruption laws in the college, or to make proposals to improve the effectiveness of anti-corruption measures in the college;

24. When carrying out its activities, the anti-corruption compliance service:

1) maintains the confidentiality of information about the college and its affiliates, insider information that became known during the performance of anti-corruption compliance functions, unless it contains information about an impending and (or) committed corruption offense;

2) ensures the confidentiality of persons who apply on alleged or actual facts of corruption, violations of the corporate code of ethics and other internal documents on anti-corruption issues in college;

3) promptly informs the independent governing body of the college, and in the absence of the specified body, the director of the college about any situations related to the presence or potential possibility of violation of anti-corruption legislation;

4) bring to the attention of the authorized anti-corruption body about cases that have become known, being prepared, committed or committed corruption offences;

5) does not interfere with the established work schedule of the college;

6) observes official and professional ethics.

25. Employees of the anti-corruption compliance service should not: participate in reviews of processes in which they participated during the previous three years;

2) engage in activities that could harm or be perceived to harm the impartiality of the review;

3) use confidential information for personal interests;

4) violate business ethics standards;

5) accept gifts and use services as a result of which independence, objectivity may be harmed

and the impartiality of the anti-corruption compliance service or which may be perceived as causing such harm;

6) take part in inspections, internal investigations and other activities that may lead to a conflict of interest.

26. The college director must:

1) contribute to the creation of an effective environment for the implementation of the activities of the anti-corruption compliance service, provide assistance in fulfilling its goals, objectives, functions and responsibilities, in realizing rights;

2) provide administrative (organizational and technical) support for the activities of the anti-corruption compliance service, including providing the capabilities and assets necessary for its activities

and resources, including information systems and applications (access to the necessary databases) and other goods, works, services;

3) provide the head and employees of the anti-corruption compliance service with training opportunities

and certification on anti-corruption activities

compliance services, social and communication skills and competencies.

27. Interaction of the anti-corruption compliance service

with the structural divisions of the college is built on the basis of mutual politeness and correctness in work.

28. Employees of the college's structural units provide assistance to the anti-corruption compliance service by:

providing documents and information necessary to carry out the tasks and functions of the anti-corruption compliance service,

taking into account the features established by subparagraph 1) of paragraph 14 of these regulations;

2) objective discussion of identified risks and violations;

3) joint resolution of emerging issues and problems.

### Chapter 3. Reporting of the anti-corruption compliance service

29. The anti-corruption compliance service quarterly sends information on anti-corruption measures taken at the college to the authorized anti-corruption body.

At the request of the authorized anti-corruption body, additional information is sent on the anti-corruption measures taken at the college.

30. The anti-corruption compliance service periodically reports to the independent governing body of the college, determined by the legislation of the Republic of Kazakhstan, and in case of absence

of the said body, before the director of the college.

In the event of possible corruption offenses

on the part of the college director, the anti-corruption compliance service applies to authorized government bodies in accordance with paragraph 1 of Article 24 of the Law.