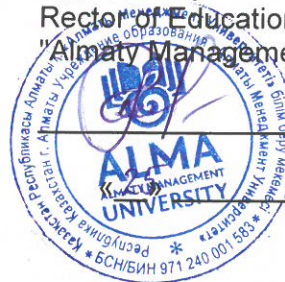




ALMA
ALMATY MANAGEMENT
UNIVERSITY

Approved by
Rector of Educational Institution
"Almaty Management University"



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Content

1. Purpose of the document	3
2. Scope of the document	3
3. References	3
4. Terms and abbreviations	3
5. Responsibility	4
6. General Provisions	5
7. Organization of work with appeals	5
7.1. Registration and accounting of appeals	5
7.2. Consideration of appeals.	5
7.3. Making a decision on the appeal.	6
7.4. Responses to appeals.	5
7.5. Storage of materials of appeals	6
8. Timeframes for consideration of appeals	6
9. Non-disclosure of information in connection with the consideration of appeals	7
10. Rights of students when considering appeals	7

	R-UCHR-01	Consideration of employee requests	Edition 1	Page 3 of 6
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1. Purpose of the document

This document defines the requirements and procedure for organizing the reception and consideration of appeals/ complaints and applications from employees. This document does not regulate relations that are governed by labor legislation, including issues considered by the Conciliation Commission.

2. Scope of the document

The requirements of this Regulation are mandatory for implementation by structural divisions of AlmaU participating in the process of receiving, registering and reviewing appeals/complaints and applications.

3. References

This Regulation has been developed in accordance with the Constitution of the Republic of Kazakhstan, the Law of the Republic of Kazakhstan "On Education", the Model Rules for the Activities of Higher and Postgraduate Education Organizations and other internal documents of AlmaU.

Internal regulatory documents

PR-UCHR-03 Internal Labor Regulations

K-UCHR - Code of Corporate Ethics

4. Terms and abbreviations

An anonymous request is a request for which it is impossible to establish authorship; there is no signature, including an electronic digital signature, or the postal address of the applicant.

A complaint is an appeal about the violation of the rights, freedoms and legitimate interests of an employee, failure to implement decisions taken on appeals, or illegal actions of AlmaU officials.

Applicant is a person who has submitted an appeal to AlmaU, an official, to challenge legal rights and interests.

An application is one of the forms of appeal containing an employee's request for assistance in realizing his rights, freedoms and legitimate interests or the rights, freedoms and legitimate interests of other persons.

Request - a request from employees to provide information or a document on issues of interest of a personal or public nature .

An appeal is an individual or collective, written or electronic proposal, statement, complaint or request.

A proposal is a type of appeal, the purpose of which is to draw attention to the need to improve the work of AlmaU , to recommend specific ways and means of solving the tasks set before AlmaU.

A repeated appeal is an appeal received from the same person on the same issue at least twice, in which:

- the decision taken on the previous appeal is appealed;
- a report is made about the untimely consideration of a previously submitted application if the established period for consideration has expired since the time of its receipt, but the applicant has not received a response;
- other shortcomings made during the consideration and resolution of the previous appeal are indicated.

A petition is a collective message or proposal sent to the University in the form of an electronic document and considered in accordance with the law.

Registration of an appeal is the recording in an accounting information document of brief data on the content of the appeal and the assignment of a registration number to each appeal received.

Documentolog – a program on electronic document flow management at AlmaU .

RK – Republic of Kazakhstan

PAD – personnel administration department.

5. Responsibility

5.1. **Head of the PAD** is responsible for:

- Timely verification of applications and documents related to the application;
- Launching requests via Documentolog, transferring them for consideration to entities and officials for further study and decision-making;
- Monitoring the timeliness of processing requests and the safety of review materials in the personal files of employees;
- Timely response to requests.

5.2. **Heads of structural divisions** are responsible for:

- timely decision-making on appeals;
- ensure the timeliness, completeness and quality of the response preparation;

5.3. **Legal Department** is responsible for:

- provision of legal assistance in identifying violations of the law;

conducting an official investigation if necessary;

5.4. **Ombudsman** is responsible for:

timely adoption of decisions on issues related to the Ombudsman's area of activity;

5.5. Corporate Ethics Committee is responsible for:

- identification and establishment of disciplinary reasons and conditions giving rise to complaints.

5.6 **Chancery** is responsible for:

- timeliness of insertion of the full package of documents on the request into the "Documentolog" electronic document management system.

All participants are responsible for the quality of their decisions, actions/inactions.

6. General Provisions

6.1. The appeal may be in electronic form and/or on paper. In the appeal, employees indicate their last name, first name, patronymic if available, IIN, postal address or contact phone number. The appeal must be signed by the applicant or certified by an electronic digital signature. When filing a complaint, the reasons for the appeal and requirements, the date of filing, the employee's signature, the list of attached documents and other information provided for by the legislation of the Republic of Kazakhstan are indicated.

6.2. The following are not subject to consideration:

- anonymous requests;
- containing obscene words, with personal insult;
- appeals that do not set out the essence of the issue;
- repeated appeals that do not present new arguments or newly discovered circumstances, if there are comprehensive inspection materials on them and the applicants were provided with a response in the established manner;
- an appeal in which the requirements of paragraph 6.1 are not met.

7. Organization of work with requests

7.1. Registration and accounting of requests

7.1.1. Appeals from employees can be received both electronically and on paper. Appeals are accepted and registered by the office via the "Documentolog" electronic document management system. The office forwards the appeal to the Rector, who instructs the supervising vice-rectors and the HR managing director to organize work on reviewing the request.

7.1.2. Repeated appeals are registered in the same way as initial requests.

7.1.3. Appeals from the same person on the same issue, sent to several addressees, are considered as independent appeals and should not be counted as repeated.

7.2. Consideration of appeals.

7.2.1. After registration, appeals are sent for consideration to structural divisions in accordance with the issues of the appeal. It is not allowed to send employee complaints for consideration to those officials whose actions are being appealed.

7.2.2. In complex and confusing situations, a working committee may be created to consider the appeal and a committee meeting may be organized.

7.2.3. The performers (heads of the structural division) have the right to:

- request and receive information necessary for considering appeals from the relevant structural divisions of AlmaU, in the manner and under the conditions established by the legislation of the Republic of Kazakhstan.

- send commission members to the sites to verify the circumstances stated in the appeals.

- initiate an internal investigation.

- take other measures for an objective, timely resolution of the issues raised by the author of the appeal, and to identify and establish the causes and conditions giving rise to the complaints.

7.3. Making a decision on the appeal.

7.3.1. Based on the results of reviewing appeals containing requests, demands, and proposals, one of the following decisions is made:

- on full or partial satisfaction of the appeal;

- on refusal to satisfy the appeal with the justification for making such a decision.

7.3.2. Based on the results of the complaint review, one of the following decisions is made:

- recognize the complaint as unfounded and stop its consideration. In this case, moral and material claims may be made against the applicant in accordance with the procedure established by law;

- recognize the complaint as justified and the fact as confirmed. In this case, measures are taken against the AlmaU employees whose actions (inactions) were the cause of the complaint;

- send it to the Legal Department for an official investigation.

7.3.3. The response decision is provided in Kazakh or Russian, depending on the language in which the application was submitted.

7.3.4. Decisions on appeals must be reasoned with reference to specific regulatory documents and internal rules that refute or confirm the applicant's arguments.

7.3.5. In the absence of any recommendations, demands, petitions, or requests, the appeals will be taken into account.

7.4. Responses to appeals.

7.4.1. After the decision is made, the applicant is informed of the decision taken with the justification for the decision taken, either orally or in writing.

7.4.2. Information that discloses state or commercial secrets or personal data of an employee may not be transferred.

7.4.3. The head of PAD is responsible for ensuring that the response is delivered to the applicant in a timely manner.

7.5. Storage of the appeals material.

7.5.1. After the review of the appeal is completed, together with the review materials and correspondence, it is transferred to the PAD for inclusion in the employee's personal file.

8. Application review periods

8.1.1. Decisions on issues that do not require additional study and verification are made within 15 working days from the date of their receipt by the PAD.

8.1.2. In cases where additional study or verification is required, the review period may be extended to no more than two months.

8.1.3. The applicant is notified of the extension of the period for consideration of the application within three working days from the date of the extension of the period for consideration.

8.1.4. The time limits relating to labor disputes between employees are regulated by the current labor legislation.

8.1.5. The head of PAD is responsible for monitoring compliance with the deadlines for reviewing appeals.

9. Non-disclosure of information in connection with the consideration of appeals

9.1. All information received by AlmaU employees during the consideration of the appeal is official and is considered restricted information.

10. Rights of employees when considering appeals

10.1. The applicant who has filed the appeal has the right to:

- submit additional documents and materials in support of your request or request that they be requested;
- present your arguments to the person considering the appeal;
- familiarize themselves with the materials related to the consideration of their appeal, participate in the consideration of the appeal, if this does not violate the rights and freedoms of other persons;
- receive a reasoned response in written or oral form regarding the decision taken;
- demand compensation for damages if they were the result of violations of the established procedure for considering appeals;
- appeal the actions (inaction) of officials or the decision taken on the appeal;
- re-apply with the provision of facts on newly discovered circumstances, when appealing a decision made on a previous appeal, if the appeal was left without consideration or the deadlines for consideration of the appeal were violated.

10.2. The procedure for considering employees' appeals to AlmaU is established in accordance with this Regulation, the Code of Corporate Ethics, and the Internal Labor Regulations.