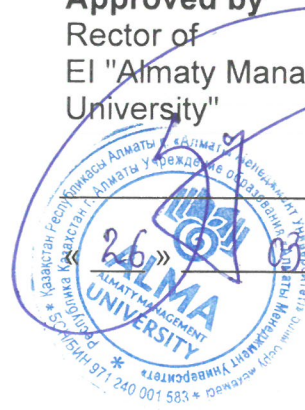




ALMA
ALMATY MANAGEMENT
UNIVERSITY

Approved by
Rector of
EI "Almaty Management"
University"



_____ T. Buldybayev

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1. Purpose of the document

This Regulation defines the status, goals, objectives, functions, and powers, as well as the procedures for the organization and operation of the University's Ethics Committee, including the procedures for reviewing submissions, conducting meetings, and issuing recommendations.

2. Scope of application

The requirements of this Regulation apply to University employees, students, and other persons interacting with the University in cases provided for by internal regulatory acts.

3. References

In its activities, the Committee is guided by the Constitution of the Republic of Kazakhstan, the Labor Code of the Republic of Kazakhstan, the Law of the Republic of Kazakhstan "On Education," the Law of the Republic of Kazakhstan "On Personal Data and Their Protection," other regulatory legal acts of the Republic of Kazakhstan, the University Charter, the Code of Corporate Ethics, this Regulation, and other internal regulatory acts of the University.

4. Terms and abbreviations

The following terms and abbreviations are used in these Regulations:

AUP — administrative and managerial personnel.

Corporate ethics — a set of norms and rules of conduct.

Corporate culture — a system of values, traditions, and behavioral norms.

Conflict of interest — a situation in which a person's personal interest influences or may influence the objective, impartial, and conscientious performance of their duties.

Code — the University Code of Corporate Ethics.

EO — educational organization.

University — EO "Almaty Management University."

Employee — an individual who is in an employment relationship with the University.

Faculty — teaching and academic staff.

Ethical violation — non-compliance with the norms of the Code of Corporate Ethics and other internal regulations. Responsibility

5. Responsibility

5.1. The Chair of the Ethics Committee is responsible for:

- organizing the Committee's activities;
- ensuring compliance with deadlines for reviewing materials;
- ensuring the objectivity and legality of decisions made;
- submitting an annual report on the Committee's activities.

5.2. Members of the Ethics Committee are responsible for:

- the objectivity, independence, and soundness of decisions made;
- maintaining confidentiality;
- preventing and disclosing conflicts of interest;

- non-disclosure of personal data and official information.
- 5.3.** The Secretary of the Ethics Committee is responsible for:
- timely notification of all participants about the place and time of meetings;
 - preparing and distributing the agenda and materials for meetings;
 - organizational support for the review of submissions;
 - documenting the Committee's decisions in the form of minutes;
 - ensuring that the minutes are signed by the Committee members who participated in the meeting;
 - document management and archiving.
- 5.4.** Members of the Committee and other persons involved in its work are liable for the disclosure of information constituting official and other legally protected secrets, in accordance with the legislation of the Republic of Kazakhstan.
- 5.5.** Decisions of the Ethics Committee are advisory in nature.

6. General Provisions

6.1. Main Goals, Objectives, and Functions

6.1.1. The Ethics Committee is a collegial advisory and consultative body of the University.

6.1.2. The Ethics Committee is established to ensure compliance with corporate ethics standards; to prevent and resolve conflicts of interest; and to review submissions related to business conduct.

6.1.3. Main objectives:

- ensure compliance with the Code of Corporate Ethics;
- review submissions;
- prevent and resolve conflicts of interest;
- foster corporate culture;
- prepare recommendations for the University management.

6.1.4. The Ethics Committee performs the following functions:

- reviews submissions and materials;
- analyzes cases of violations of corporate ethics standards;
- develops recommendations;
- provides консультации to employees and students;
- participates in the development and revision of internal regulations;
- promotes the enhancement of ethical culture.

6.1.5. The Committee does not impose disciplinary sanctions and does not replace procedures provided for by labor legislation.

6.2. Composition and Formation Procedure of the Ethics Committee

6.2.1. The composition of the Ethics Committee is approved by an order of the Rector.

6.2.2. The Ethics Committee shall consist of no fewer than 5 (five) members in the following structure:

- Chair;
- Deputy Chair;
- Members of the Committee;
- Secretary.

6.2.3. The Chair organizes the work of the Ethics Committee and conducts its meetings.

6.2.4. In the absence of the Chair, their functions are performed by the Deputy Chair.

6.2.5. The Secretary is appointed from among employees of the HR or Legal Department.

6.2.6. A meeting is deemed quorate if at least two-thirds of the Committee members are present.

6.2.7. Decisions are adopted by a simple majority of votes.

6.2.8. In the event of a tie, the Chair's vote is decisive.

6.2.9. The participation of the person concerned is ensured, taking into account their right to participate or their written refusal.

6.2.10. Members of the Committee shall not use their position for personal gain.

6.3. Regulations of the Ethics Committee

6.3.1. The Ethics Committee carries out its activities through meetings.

6.3.2. Meetings may be held in person, remotely, or in absentia.

6.3.3. The Committee's activities are based on the principles of legality, objectivity, collegiality, and confidentiality.

6.3.4. The Secretary notifies Committee members and interested parties no later than 3 (three) working days in advance.

6.3.5. The Committee has the right to:

- request written explanations;
- review documents and materials;
- invite interested parties.

6.3.6. The period for reviewing a submission shall not exceed 30 calendar days.

6.3.7. A meeting may be held with or without the participation of the concerned person in case of written consent or repeated absence.

6.3.8. Based on the results of the review, the Ethics Committee:

- determines whether a violation has occurred;
- evaluates the submitted materials;
- formulates recommendations.

6.3.9. If signs of a disciplinary offense are identified, the Ethics Committee submits recommendations to the Rector.

6.3.10. Decisions are documented in the form of minutes.

6.3.11. A Committee member has the right to express a dissenting opinion.

6.3.12. The minutes are submitted to the Rector.

6.4. Conflict of Interest Resolution

6.4.1. Members of the Ethics Committee shall act objectively and in good faith.

6.4.2. In the event of a personal interest, a Committee member must disclose it prior to the consideration of the matter.

6.4.3. In case of a conflict of interest, the Committee member shall recuse themselves and shall not participate in the review or voting.

6.4.4. Information on a conflict of interest shall be recorded in the meeting minutes.

6.4.5. In case of a conflict of interest involving the Chair, their functions shall be performed by the Deputy Chair.

6.5. Procedure for Submitting an Application to the Ethics Committee

6.5.1. An application may be submitted by an employee, student, or other person.

6.5.2. Applications may be submitted on issues related to violations of corporate ethics standards, conflicts of interest, or other ethical matters.

6.6. Form and Content of the Application

6.6.1. An application may be submitted via email at ethics.committee@almau.edu.kz, through the University's office, or via the University's electronic document management system (Documentolog).

6.6.2. The application is subject to mandatory registration.

6.6.3. The application shall include (Appendix 2):

- full name of the applicant (if available);
- status;
- contact details;
- substance of the application;
- attached materials (if any).

6.6.4. Anonymous applications shall not be considered, except in cases provided for by the legislation of the Republic of Kazakhstan.

6.7. Registration and Preliminary Review

6.7.1. The application is registered and submitted to the Chair of the Ethics Committee.

6.7.2. Within 3 (three) working days, the Chair determines whether the application falls within the competence of the Ethics Committee.

6.7.3. If it does not, the application is returned to the applicant.

6.8. Guarantees for the Applicant

6.8.1. The review is carried out in compliance with the principles of objectivity, confidentiality, and avoidance of conflicts of interest.

6.8.2. The applicant is protected from retaliation and other adverse consequences.

6.8.3. In case of knowingly false information, liability shall arise in accordance with the legislation of the Republic of Kazakhstan.

Appendix No. 1
to the Regulations on the Ethics Committee of ALMAU

Schedule of the Ethics Committee meetings

No	Month	Meeting Date (monthly on the last Thursday)	Note
1	September		
2	October		
3	November		
4	December		
5	January		
6	February		
7	March		
8	April		
9	May		
10	June		
11	July		
12	August		

Appendix 2

**Sample application
to the Ethics Committee**

**To the Chairman of the Ethics
Committee of
EI "Almaty Management University"**

(full name, position)

from _____

(Full name)
position/status (TS, AMP, student, etc.)
structural unit/School
contact phone number,
email address

STATEMENT

I request that the Ethics Committee consider the issue related to the violation of the University's corporate ethics standards/Code of Corporate Ethics.

The essence of the appeal:

(description of the situation, circumstances, participants, date and place of the event)

I believe that the specified actions (inactions) may contradict the following principles and (or) provisions of the Code of Corporate Ethics:

(if any, indicate specific standards)

I ask the Ethics Committee to assess the circumstances outlined and, within its competence, consider the possibility of developing recommendations for resolving this situation.

I attach the following materials to the application (if available):

1. _____
2. _____

I have been warned about the consequences of providing knowingly false information.

« _____ » _____ 20____

_____/_____
signature / Full name