

 <p>SATBAYEV UNIVERSITY</p>	<p>MINISTRY OF EDUCATION AND SCIENCE OF THE REPUBLIC OF KAZAKHSTAN</p> <p>NON-PROFIT JOINT-STOCK COMPANY "KAZAKH NATIONAL RESEARCH TECHNICAL UNIVERSITY named after K. I. SATBAYEV"</p>	
<p>QMS document Level 2</p>	<p>Documented procedure</p> <p>Edition № 1 "21" 11/2017</p>	<p>DP KazNRTU 601</p>

HR MANAGEMENT

DP KazNRTU 601

Almaty, 2017

INTRODUCTION

1 DEVELOPED by the Head of the Human Resources Department of Administrative Department of NJSC "Kazakh National Research Techni University named after K.I.Satbayev"

2 AGREED

Responsible for translation

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DP Forms KazNRTU 601

HR MANAGEMENT

Documented Procedure No. 601

1 GENERAL PROVISIONS

1.1 This procedure "Human Resource Management" is designed to manage the documents of the Human Resources Department of the Administrative Department (hereinafter referred to as AD).

1.2 The requirements of this procedure **apply** to the processes of the Human Resources Department of the Administration Department.

1.3 All work under this procedure is **controlled** by the head of the Human Resources Department of the Administrative Department - HR

1.4 The procedure is mandatory for all employees of the University involved in the processes of the Human Resources Department of the Administrative Department.

1.5 This procedure is an internal regulatory document of the University and is not subject to presentation to other parties, except for auditors of certification bodies when conducting management system audits, as well as to partner consumers (at their request) with the permission of the Rector of the University.

2 MAIN OBJECTIVES

2.1 The main objectives of the Human Resources Department are:

- organization of work on accounting and analysis of staff movement, their needs, assessment of their qualifications;
- organization and conduct of certification of employees, competition for filling positions of the teaching staff;
- organization of work with orders for the admission, dismissal, transfer of employees and the provision of vacations.

3 DEFINITION OF TERMS, SYMBOLS AND ABBREVIATIONS

3.1 Terms and definitions

This documented procedure uses the terms and their definitions from ISO 9001-2008 Quality Management Systems. Requirements.

A **procedure** is an established way of carrying out an activity or process.

A **process** is a set of interrelated and interacting activities that transform inputs into outputs.

Corrective action is an action taken to eliminate the cause of a detected nonconformity or other undesirable situation.

Corrective action is taken to prevent the reoccurrence of the event; preventive action is taken to prevent the occurrence of the event.

Release - permission to proceed to the next stage of the process.

Products are the result of a process.

3.2 Abbreviations

QMS - quality management system;

EC - employment contract;

TS –teaching staff;

AMS – administrative and management staff;

ESS– educational support staff;

SS – service staff;

LC – the labor code;

DP – documented procedures.

4 RESPONSIBILITY

4.1 Responsibility for hiring, selection and staff appointment, termination, conclusion and extension of the EC lies with the Human Resources Department.

4.2 Responsibility for accounting and execution of orders for staff secondment to advanced training courses lies with the Human Resources Department.

4.3 Responsibility for organizing, conducting, analyzing the results of the assessment of staff competence lies with the heads of structural divisions and the Human Resources Department.

4.4 Responsibility for staff career planning, staff rotation lies with the heads of structural divisions and the Human Resources Department.

4.5 The heads of structural subdivisions and the Educational and Social Work Department (ESWD) are responsible for the staff education, the formation of a corporate culture.

5 PROCESS DESCRIPTION

5.1 Staff planning needs

The number of staff is determined by the Staff schedule (F KazNRTU 601-01).

The number of staff of the departments – professorial-teaching staff, ESS is approved by the beginning of the academic year (F KazNRTU 601-43).

Staff planning needs is carried out by drawing up a draft staff schedule for the coming academic year or supplementing it by the head of the staff department on the basis of Staff Applications (F KazNRTU 601-02) from the heads of structural divisions.

The draft staff schedule is submitted to the Finance and Accounting Department (hereinafter referred to as FAD) for approval. The Director of the Finance and Accounting Department supplements the Draft Staff Schedule in terms of staff salaries, then the Staff Schedule is approved by the Rector and transferred to the Director of the Finance and Accounting Department - Chief Accountant. A copy of the approved staff schedule is transferred to the Human Resources Department (hereinafter – HR).

5.2 Determination of staff competence requirements

The heads of structural divisions determine the requirements for the competence of staff on the basis of job descriptions, qualification requirements, and the specifics of the work performed. The heads of structural divisions submit to the Human Resources Department the requirements for the competence of personnel for each position, drawn up in the form of job descriptions approved in the prescribed manner. The originals of job descriptions and Regulations on structural subdivisions are kept in the Corporate Development Department. The copies of job descriptions and Regulations are transferred for use to the relevant structural divisions of the university.

The Human Resources Department is guided by the approved job descriptions and Regulations for the selection and staff hiring, assessment of competence, relocation, professional growth planning, staff dismissal.

5.3 Recruitment and Competency Assessment in Hiring.

5.3.1 If there is a need for additional staff, the heads of structural divisions prepare a Service Note (F KazNRTU 403-03) addressed to the Rector, in which they justify the need to introduce an official unit into the staff list, describe what functions to perform, what duties are supposed to be assigned to the official unit and fill out the Staff Application (F KazNRTU 601-02) indicating clear requirements for the position and, together with the memo, submit it to the Rector for approval. After approval, the memo with the Application is transferred to the Human Resources Department.

5.3.2 The selection of professorial-teaching staff at the departments is carried out on the basis of a competition based on the requirements set forth in the regulatory document "Rules for the Competitive Substitution of Professorial-Teaching Staff Positions", approved by the Ministry of Education and Science.

Informing about the competition for the selection of professorial-teaching staff is carried out by the Human Resources Department through the media.

The selection of professorial-teaching staff from among the applicants who have submitted documents for participation in the competition is carried out at meetings of the competition commission in accordance with the Regulations on the competition commission, approved by the Ministry of Education and Science.

5.3.3 The Head of the Human Resources Department collects documents from applicants for a vacant position: for professorial-teaching staff - documents according to the established list and submission to the employee (F KazNRTU

403-10), for other university employees - resumes and generates lists of potential employees.

5.3.4 The head of the structural unit that submitted the application (except for institutes and departments) selects potential candidates for a newly introduced or vacant position by studying the resumes selected by the Human Resources Department.

The head of the Human Resources Department on the list invites selected candidates for an interview with the head of the structural unit for a preliminary assessment of competence.

The head of the Human Resources Department forms a package of documents for an interview: an application for employment (F KazNRTU 601-03), an identity card, documents on education and work experience in the specialty and other documents in accordance with the requirements provided for by the Labor Code of the Republic of Kazakhstan.

5.3.5 The head of the department evaluates the candidate's competence by interviewing him/her, guided by job descriptions.

The candidate's package of documents is submitted, if necessary, to the Rector for interviewing the candidate and making a decision on hiring.

If the decision is positive, the Rector submits to the Human Resources Department a package of documents of the candidate with a resolution on further actions.

5.4 Recruitment

Employment is carried out in accordance with the Labor Code of the Republic of Kazakhstan by concluding an Employment Agreement (F KazNRTU 601-05) and issuing an order for employment. In the event of a change in working conditions, an Additional Agreement to the LC (F KazNRTU 601 - 04) is concluded with the employee.

5.4.1 Staff Recruitment consists of the following operations:

- Acceptance and verification of documents, according to the List of documents required for the formation of a Staff file;
 - Formation of the Staff file, filling in the Personal Card T-2.
 - In the future, this form is supplemented with information on education, skills, experience, training, position held (or on movements within the university).
- Drawing up a case inventory (F KazNRTU 601-09)

Candidate's application for employment according to the established model.

- Approval of the application for employment by the head of the structural unit where the applicant will work in the future. Further, the application is submitted to the Rector for signature.

5.4.2 The conclusion of the EC is the following operations:

- Preparation of a draft EC by a specialist of the Human Resources Department in accordance with the form (F KazNRTU 601-05), which is submitted to the Rector and a lawyer for agreement with the terms of the contract. After agreement, the EC is signed by both parties.

- Registration of EC in the Journal of registration of labor contracts (F KazNRTU 601-06).\

- Registration of an order for staff on employment, acquaintance with the order under the signature.

- Registration of the Order in the Register of orders for staff (F KazNRTU 601-07 s).

- Entering an entry in the employment record book of an employee. Data on employment record book of employees are entered in the Book of accounting for the issuance of employment record books. (F KazNRTU 601-08); Information about the employee and the number of the personal file is entered in the "Book of accounting for data and employee's personal files (in an alphabetical order)" (F KazNRTU 601-10).

- Statistical accounting of employees in terms of qualitative, quantitative and demographic characteristics is carried out by issuing a staff form (F KazNRTU 601-13).

- The conclusion of an agreement on material liability is formalized by the order of the Rector (in the event that an employee hired will be a materially responsible person in accordance with job descriptions), an agreement on full liability (F KazNRTU 601-27) is registered in the Journal of registration of agreements on material responsibility (F KazNRTU 601-25) and is kept in FAD.

In case of dismissal (transfer) of a financially responsible person, the office department informs the FAD, HR Department of the Administrative Department about the upcoming termination of the employment contract with the financially responsible person on the day the application is received from him/her. The head of the structural unit determines the person for the transfer of material assets within 2 weeks from the date of writing the application. The head of the department for work with suppliers of the FAD organizes an inventory within 25 days from the date of receipt of the application from the financially responsible person. Accounting for documents sent to the accounting department is kept in the "Journal of distribution of copies of documents for accounting" (F KazNRTU 601-26).

Familiarization of the employee with the internal regulations of KazNRTU is carried out in the sheet of acquaintance of the employee with the internal regulations of KazNRTU - (F KazNRTU 601-28).

5.4.3 When concluding a EC, a probationary period may be established for an employee in order to verify the employee's compliance with the position held in accordance with the Labor Code of the Republic of Kazakhstan. The probationary period cannot exceed three months. 10 days before the expiration of the probationary period, the employee submits the following documentation to the Human Resources Department:

- brief report on the work done during the probationary period, in any form, approved by the immediate supervisor;

- characteristics and proposals for the employment of the employee.

If the probationary period is not passed, the probationary period is extended for the employee, or the EC is terminated.

5.5 Assessment of staff competence is carried out upon hiring, on a planned basis, as well as in the case of internal transfer from one position to another.

5.6 Assessment of the competence of administrative, managerial, educational and support and staff maintenance in accordance with Regulation P 029-002.08.3.05-2015.

5.6.1 The Human Resources Department prepares lists of employees who are required to undergo certification, certification schedule.

5.6.2 The Rector of the University, on the proposal of the Administrative Department, issues an order, which approves the composition of the Attestation Commission, the list of persons being attested, and the schedule for the attestation.

5.6.3 Familiarization of attested employees with the order is carried out by:
HR Department - directors of institutions, heads of departments,
heads of departments - employees of the department.

The fact of familiarization is certified by the signature of the attested employee in the familiarization sheet.

5.6.4 The Human Resources Department transfers the approved lists of attested employees to the directors of institutions, structural divisions responsible for questioning students and testing attested employees, to the chairman of the anti-corruption and disciplinary commission.

For attestation, employees of AMS, ESS, SS in the form (F KazNRTU 601-35).

5.6.6 The HR Department transfers the applications of the employees being attested and their attestation sheets with the data of the previous attestation to the secretary of the expert commission.

5.7 The package of attestation materials generated by the attested employee includes:

5.7.1 attestation sheet (F KazNRTU 601-38) for AMS, ESS, SS;

5.7.2 progress report;

5.7.3 list of published works, scientific papers and inventions (for the inter-certification period);

5.7.4 copies of documents on the completion of professional development courses;

5.7.5 extract from orders on the availability of incentives and penalties provided for by the Labor Code of the Republic of Kazakhstan (F KazNRTU 601-36) for the categories of AMS, ESS, SS;

5.7.6 a list of grants, patents, contracts and agreements for research and development work in which the employee participated, indicating his/her specific role;

5.7.7 feedback (representation) of the immediate supervisor on the work, containing the following information:

– about the pedagogical load being carried out;

- on the use of innovative teaching technologies in the educational process;
- on conducting demo classes, events indicating the assessment based on the results of the visit;
- on the quality of teaching, taking into account the results of independent surveys;
- about trainees - winners of Olympiads, competitions, conferences and other competitions (for the attested period);
- on the progress of full-time students with an indication of the average score for the last academic year in all taught disciplines;
- on participation in organizational and educational work;
- on the implementation of scientific programs;
- on the training of scientific and pedagogical staff;
- on the availability of teaching materials for reading disciplines;
- decision of the department (extract from the minutes of the meeting).

5.8 The report is compiled in accordance with the sections of the individual plan for the period from the date of the previous attestation or during the initial attestation from the date of entry to work.

5.9 The attestation sheet and its application are filled in by the person being attested and certified by the signature of the head of the department, director of the institution.

5.10 Feedback on the work is made by the immediate supervisor of the attested employee: the head of departments - directors of institutions, other categories of AMS, ESS - heads of structural divisions.

5.11 The heads of structural divisions, on the basis of the report of the attested person, the review of the head and other attestation materials, make a reasoned decision to recommend the employee for attestation in the declared position. The decision is made by voting of staff members of the department by a simple majority of votes.

5.12 The formation of a package of attestation materials is assigned to the attested employee, who submits it within the established time limits for consideration by the expert commission.

5.13 The chairman of the anti-corruption and disciplinary commission submits to the expert commission information about the employees, the materials on which were considered by the given commission (F KazNRTU 601-38).

5.14 The secretary of the expert commission fills in the card of the attested employee of AMS, ESS, SS (F KazNRTU 601-36) and supplements the package of attestation materials for each attested with his application, attestation sheet with the data of the previous attestation, card of the attested person.

5.15 The expert commission analyzes the attestation materials for compliance with the established requirements of the Standard Qualification Characteristics of the Positions of Pedagogical Workers and these Regulations. If necessary, the expert commission may invite the certified employee and the head

of the department to the meeting. The conclusion of the expert commission is drawn up in the minutes.

5.16 The conclusion of the expert commission based on the results of the analysis of attestation materials and the attestation materials are transferred by the secretary of the expert commission to the attestation commission.

5.17 The meeting of the attestation commission ends with the adoption of a decision, which is drawn up in a minute. The minutes of the attestation commission and the attestation materials of employees are transferred by the secretary of the attestation commission for storage in the HR Department. HR Department employees familiarize the employee with the attestation sheet under note within ten days from the date of attestation.

5.18 Attestation of AMS, ESS, SS is carried out in accordance with the Regulations on the attestation of administrative, managerial, educational, support and service personnel.

5.19. All necessary information is kept in the Employee's Personal File.

Information about familiarization with the personal files of employees is reflected in the Journal of issuance of employees' personal files (F KazNRTU 601-14).

5.20 Staff competency assessment is carried out on a scheduled basis once a year. Staff competency assessment consists of the following operations:

- The head of the structural subdivision prepares a short Report on the results and achievements of the employee for the past year in a free form, including compliance with the requirements of the QMS, and submits it to the Human Resources Department.

- The Human Resources Department prepares a "Submission for an employee" (F KazNRTU 403-10), which indicates credentials, length of service at the university, data on awards, penalties for the past year and transfers to the Rector along with the "Report on the results and achievements of the employee for the past year".

5.21 Staff competence assessment in case of internal transfer from one position to another is carried out:

- upon formation (presence) of a vacant position;
- in case of changes in legislative, normative acts;
- when the employee completes the training initiated by the university;
- when taking corrective and preventive actions on the facts of consumer dissatisfaction, deviations from the requirements of the QMS of the university;
- in case of occurrence of other internal and external facts requiring staff competence assessment;
- in case of changes at the university that entailed an unscheduled staff competence assessment.

5.22 Staff transfer and relocation is carried out in accordance with the Labor Code of the Republic of Kazakhstan.

The transfer of an employee can be carried out:

- At the initiative of the employee;
- At the initiative of the employer.

The transfer at the initiative of the employee within the university is carried out on the basis of a written application (F KazNRTU 601-03) of the employee, the presentation of the head of the structural unit (F KazNRTU 403-10) and is issued by an order for transfer to another place of work.

Transfer within the university at the initiative of the employer is carried out on the basis of a memo (F KazNRTU 403-03) of the head of the structural unit, signed by the Rector, and with the written consent of the employee. It is issued with an order for transfer to another place of work.

Information about employees' transfers is recorded in the Personal card T-2.

All orders for transfers, relocation, long-term intra-republican and foreign staff business trips are recorded by a specialist of the Staff Department in the "Journal of registration of staff" (F KazNRTU 601-07 s). Orders on short-term intra-republican and foreign business trips, labor and educational holidays are registered in the register of staff orders with the letter "S" - staff relations s / k (F KazNRTU 601-12 s / c).

Information about the timing of opening (closing) sheets of temporary disability of employees is stored in the folder "Information on sheets of disability for employees" (F KazNRTU 601-11)

5.23 In order to send employees on a business trip, the head of the structural unit prepares a memo approved by the Rector, indicating the purpose and, if necessary, a business trip plan.

Secondment of employees is carried out on the basis of an order with the issuance of a travel certificate (F KazNRTU 601-15). Registration of orders in the journal of registration of orders on business trips (F KazNRTU 601-15).

Further, the signed travel certificate is registered in the Journal for the issuance of travel certificates (F KazNRTU 601-17) and issued to the business traveler/seconded.

Registration of travel certificates for those arriving from outside is carried out in the Journal of registration of travel certificates for visitors from outside (F KazNRTU 601-18).

Upon arrival from a business trip, the employee provides the management with a certificate (certificate, diploma) on completion of training during the first day if the business trip was related to professional development training or a written report, in any form, on the fulfillment of the assigned tasks.

5.24 Vacation is granted:

- Labor;
- On pregnancy and childbirth;
- Childcare;
- Unpaid leave
- Training

Labor leave is provided in accordance with the Schedule of labor holidays (F KazNRTU 601-23), approved by the Rector, the employee's application, the terms of the EC and the Labor Code of the Republic of Kazakhstan on the basis of the Rector's order.

5.25 Staff dismissal

Termination of the EC is carried out in accordance with the Labor Code of the Republic of Kazakhstan.

An employment contract may be terminated:

- After the expiry of the term;
- Due to circumstances beyond the control of the parties.

The employment contract can be terminated:

- By agreement of the parties;
- At the initiative of one of the parties.
- In connection with changes in the organizational structure.
- On other grounds provided for by legislative acts.

The basis for the preparation by the Human Resources Department of a draft order to terminate the EC is:

At the initiative of the employee:

- Personal statement of the employee indicating the reason for dismissal, endorsed by the head of the unit and signed by the Rector.

At the initiative of the employer:

- memorandum of the head of the department;
- Acts on the violation of labor discipline (F KazNRTU 601-33).

The Human Resources Department issues an order to terminate the EC, which is endorsed by a lawyer, the head of a structural unit, and submitted to the Rector for signature.

The dismissed employee gets acquainted with the order under signature, according to which an entry is made in the employment record books, the transfer of cases, the delivery of material assets to the head of the unit or another employee of the structural unit appointed by the head.

All orders that are not related to staff are registered in the Journal of registration of orders for the main activity (F KazNRTU 601-29).

Calculations upon dismissal of a university employee are made in accordance with the current Labor Code of the Republic of Kazakhstan and on the basis of the Bypass List (F KazNRTU 601-22). Accounting for the staff movement is kept in the Journal of hired and dismissed employees (F KazNRTU 601-30).

5.26 Issuance of certification

The Human Resources Department, when applying to university employees or resigned employees, provides certificates from the place of work (F KazNRTU 601-19), which are registered in the "Journal of the issuance of certificates of length of service and place of work" (F KazNRTU 601-20).

5.27 Employees undergo introductory safety training (F KazNRTU 601-21).

5.28 In order to register and record employees, leaders of topics on research activities, a "Journal of Registration of Scientific Research Works on Topics" is maintained (F KazNRTU 601-24).

5.29 Persons familiarized with the employees' personal files are kept in the "Journal of Issuance of Employees' Personal Files (F KazNRTU 601-14).

5.30 When reducing the number or staff of employees, employees are familiarized with the notification (F KazNRTU 601-31). Notification registration log (F KazNRTU601-32).

6 DOCUMENTING AND ARCHIVING

6.1 The original of the documented procedure after the expiration, cancellation or replacement is kept in the Corporate Development Department for 3 years.

6.2 Quality records generated during the course of this documented procedure include the forms shown in Table 1.

6.3 Quality records are kept in accordance with the requirements of the procedure DP KazNRTU 404 "Quality records management".

7 CHANGE ORDER PROCEDURE

7.1 The decision to change this procedure is made on the basis of proposals from other departments of the university, the results of the analysis of identified and foreseeable inconsistencies, as well as the recommendations of internal or external audits.

Table 1

List of Forms 601

№	Document name	Form	Storage location	Storage period
1	Staff Schedule	F KazNRTU 601-01	FAD	In accordance with the nomenclature
2	Staff Application	F KazNRTU 601-02	HR department	«
3	Application	F KazNRTU 601-03	HR department	– « –
4	Additional agreement to the employment contract	F KazNRTU 601-04	– « –	– « –
5	Employment contract	F KazNRTU 601-05	– « –	– « –
6	Register of employment contracts	F KazNRTU 601-06	HR department	– « –
7	Staff Order Register	F KazNRTU 601-07	– « –	– « –
8	Book of accounting for the issuance of university employees' record books	F KazNRTU 601-08	– « –	– « –
9	Case description	F KazNRTU 601-09	«	«
10	Book of accounting of data and employees' personal files (in alphabetical order)	F KazNRTU 601 - 10	HR department	

№	Document name	Form	Storage location	Storage period
11	Information about sheets of employees' temporary disability (folder)	F KazNRTU 601-11	_ « _	_ « _
12	Staff Order Register (staff relations)	F KazNRTU 601-12 p F KazNRTU 601-12 p/ s	_ « _	_ « _
13	Employee logbook	F KazNRTU 601-13	«	“
14	Journal of issuance of employees' personal files	F KazNRTU 601-14	_ « _	_ « _
15	Business trip certificate	F KazNRTU 601-15	_ « _	_ « _
16	Journal of registration of business trips orders	F KazNRTU 601-16	_ « _	_ « _
17	Journal of issuance of business trips certificates	F KazNRTU 601-17	_ « _	_ « _
18	Journal of registration of business trips certificates of visitors from outside	F KazNRTU 601-18	_ « _	_ « _
19	Certificate of employment	F KazNRTU 601-19	«	“
20	Journal of issuance of certificates of experience and place of work	F KazNRTU 601-20	HR department	
21	Logbook of introductory safety briefing	F KazNRTU 601-21	AD	_ « _
22	Bypass sheet	F KazNRTU 601-22	«	“
23	Vacation schedule	F KazNRTU 601-23	«	“
24	Journal of registration of scientific research papers by topics	F KazNRTU 601-24	HR department	_ « _
25	Journal of registration of agreements on material liability	F KazNRTU 601-25	DFM	_ « _
26	Journal of distribution documents copies for accounting	F KazNRTU 601-26	HR department	
27	Contract on full individual liability	F KazNRTU 601-27	FAD	“
28	Sheet of familiarization of the employee with the internal regulatory documents of KazNITU. Appendix (to a personal file)	F KazNRTU 601-28	HR department	_ « _
29	Journal of registration of orders for core activities	F KazNRTU 601 -29	HR department	
30	Register of accepted and dismissed employees	F KazNRTU 601-30	HR department	_ « _
31	Notification	F KazNRTU 601-31	HR department	-«-
32	Notification Log	F KazNRTU 601-32	HR department	“
33	Labor Discipline Violation Act	F KazNRTU 601-33	HR department	“
34	Application	F KazNRTU 601-34	HR department	“
35	Attestation sheet	F KazNRTU 601-35	HR department	“
36	Card of the person being attested	F KazNRTU 601-36		
37	Extracts from orders on the presence of incentives and penalties	F KazNRTU 601-37	HR department	_ « _
38	Conclusion of the anti-corruption and disciplinary commission	F KazNRTU 601-38		

8 PROCESS INFORMATION

8.1 Incoming information

№	Document name	The supplier	Submission period	Note
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1	2	3	4	5
1.	Staff Application	Heads of structural departments	In case of need	
2.	Resume, Recommendation	Potential employee	In case of need	
3.	Form of representation for an employee	Heads of department	Upon hiring	
4.	Official instructions	Heads of department	Upon hiring	
5.	Division Regulations	Heads of department	When creating subdivisions	
6.	Report on the results and achievements of employees for the year.	Heads of department	1 month prior to the assessment of staff competence	Free form

8.2 Outgoing information

№	Document name	Responsible person for the provision	Submission period	Note
1	Staff Schedule	DFM	Before the start of the academic year	
2	Lists of applicants for a vacant or new position	Head of Human Resources	As soon as the CV is received	Free form
3	"List of documents required for the formation of the Personal file"	Human Resources Specialist	When applying for a job	Free form
4	"Checklist" for familiarization with the QMS documents and other regulatory documents	Human Resources Specialist	When applying for a job	It is used when getting acquainted with the Quality Policy, with other documents - in structural divisions
5	Hiring / dismissal order	Rector	As the employee is hired/dismissed	University letterhead
6	Employment contract	Rector, Employee	To the extent	The form of the contract is given in the "Atlas of Forms"
7	EC registration log	Human Resources Specialist	As EC is registered	
8	Vacation Schedule	Rector	Until April 30	Form List
9	Staff Order Register	Human Resources Specialist	constantly	
10	Journal of accounting for business trips certificates of employees who went on a business trip	Human Resources Specialist	constantly	

9 EVALUATION OF THE EFFECTIVENESS AND EXECUTION OF THE PROCESS

№ п	Quality assessment indicator	Result Registration Form
1	Availability of staff competence criteria	Official instructions Competence Assessment Sheet
2	Staff awareness	"Checklist" for familiarization with the QMS documents

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		and other regulatory documents Official instructions
3	Maintenance of relevant records of education, training, skills and experience	Personal card form NT 2 Personal file

10 RISK MANAGEMENT

10.1 The effectiveness of the department depends on the implementation of constant monitoring and consideration of various internal and external risk factors.

Staff risk management is a process that begins at the stage of developing a staff management strategy and covers the entire staff management system at all its levels.

The source of risks is both external and internal environment.

The main reasons for the risk, on the one hand, are the objective incompleteness or insufficiency of information, on the other hand, the subjectivity of the perception of information and the possibility of making the wrong decision by the manager or employee, the low level of involvement of the employee in the internal policy of the University.

The staff management process is continuous and should include the following elements:

- formation of goals, objectives and staff requirements,
- recruitment and selection of employees, training and staff development,
- rationalization of labor motivation,
- remuneration and incentives, evaluation of performance. It must be taken into account that the corresponding risks arise at each stage of the staff management process, but at the same time there are conditions for their minimization.

10.2. The main groups of risks arising in the staff management system:

- Risks in hiring employees.
- Risks associated with low-quality staffing.
- Risks after the dismissal of people from the company.

10.2.1 The risk arises when hiring an employee at the University. The main damage can be done to the image in the eyes of the public if the hired employee does not meet the requirements, and the University may suffer financial losses. The source of the risk of selecting an unsuitable candidate may be the following reasons:

- incorrect assessment of candidates at the stage of selection of candidates;
- reassessment of the candidate's professional level, underestimation of the candidate's previous work experience, incompatibility with an already established team, low candidate motivation, discrepancy between the company's goals and the individual's personal goals.

10.2.2 It is necessary to highlight the risks associated with identifying the compliance of the qualification requirements for the position and the quality

indicators of new employees applying for this position. The cause of job risk should also be sought in the irrational distribution of functional responsibilities in the staff list or in a distorted job description. To minimize this risk, it is necessary to form a reasonable structure of positions, powers and responsibilities and use as a tool not a job description, which does not include additions and changes, but a document in which an analysis of the candidate's abilities to fill a vacant position will be carried out.

10.2.3 With an incorrect procedure for dismissing employees, both moral damage to the company in the form of anti-advertising and financial damage are possible if the offended employee goes to court.

Types of risks, signs of occurrence and ways of their prevention

The name and description of the risk	Risk causes	Risk Consequences	Risk Prevention/Reduction Measures
Quantitative risks	Staff excess / Overstaffing	Additional maintenance costs	Reduction in student enrollment, introduction of new more advanced technologies
	Lack of staff		
	A variety of risks in working with staff		
	Risks of disproportions in the number of staffs of various departments		
Staff turnover			

A variety of risks in working with staff	The form of negative manifestations and possible consequences	Risk event indicators
1. Quantitative risks		
Staff excess / Overstaffing	Additional maintenance costs	Reduction in student enrollment, introduction of new more advanced technologies
Lack of staff	The impossibility of a full-scale customer service	Increasing the number of students, expanding the business in various directions, the emergence of new higher priority prospects
A variety of risks in working with staff	The form of negative manifestations and possible	Risk event indicators

	consequences	
Risks of disproportions in the number of various departments staff	Additional costs for the maintenance of some departments staff and overload of employees of other departments and, as a result, the impossibility of full-scale performance of work in individual sections	Change of priorities in the activities of divisions, reduction of certain types of activities and development of other more perspective areas
Qualitative character		
Insufficient qualification	Errors in ongoing financial transactions with corresponding losses	Growth of staff turnover, decrease in the share of employees with the appropriate professional education at the enterprise
Low liability	Violations in the process of performing specific work with associated losses	Deterioration of labor discipline, increase in cases of untimely completion of tasks
Disloyalty in the form of information disclosure	Disclosure of trade secrets - associated financial losses and deterioration of the image	The emergence of new employees from unverified or unreliable sources and their access to information that is a commercial / trade secret
Disloyalty in the form of corruption or embezzlement	Direct Financial Loss	The emergence of new employees from unverified or unreliable sources that do not have appropriate recommendations, the weakening of control, the admission to material assets of employees who have had problems with the law in the past.
Disloyalty in other forms	Implementation of other security threats, non-financial losses	The appearance at the enterprise of psychologically unbalanced people and morally unstable, the dismissal of employees who can spoil the image of the enterprise.

Amendment record sheet

Sequential number of amendments	Section, paragraph of the document	Type of amendment (amend, cancel, add)	Notification number and date	Amendment made	
				Date	Surname and initials, signature, position