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|  <b>SATBAYEV<br/>UNIVERSITY</b> | <b>NON-COMMERCIAL JOINT STOCK COMPANY «KAZAKH<br/>NATIONAL RESEARCH TECHNICAL UNIVERSITY NAMED<br/>AFTER K.I.SATPAYEV»</b> |                       |
| <b>QMS Level 2 Document</b>  | <b>Documented procedure</b>  | <b>DP KazNRTU 601</b> |
|  | <b>Edition № 1<br/>from «_02_»_08_2022 y.</b>  |                       |

**STAFF**

**DP KazNRTU 601**

Almaty 2022

## PREFACE

English translation prepared by the HR Service of NJSC "Kazakh National Research Technical University named after K.I. Satpayev"

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## **STAFF**

### **Documented Procedure № 601**

#### **1 GENERAL PROVISIONS**

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1.1 This “Staff” procedure has been developed for the purpose of managing the HR Service documents.

1.2 The requirements of this procedure apply to the processes of working with the HR Service personnel.

1.3 All work under this procedure is supervised by the Director of the HR Service.

1.4 The procedure is mandatory for all University employees involved in the processes of working with HR Service personnel.

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 during audits of management systems, as well as to consumer partners (at their request) with the permission of the Chairman of the Board-Rector.

#### **2 MAIN TASKS**

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2.1 The main tasks of the HR Service are:

- organization of work on recording and analyzing the movement of personnel, the need for them, and assessing their qualifications;
- organizing and conducting competitions for filling vacant positions of academic staff personnel, directors, deputy directors of institutes and heads of departments;
- recruitment of personnel as needed,
- adaptation of new employees
- compliance with procedures and standards of current labor legislation during procedures for hiring, transferring, moving, and dismissing employees.

#### **3 TERMS, DEFINITIONS AND ABBREVIATIONS**

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3.1 Terms and definitions

This documented procedure uses terms and their definitions from ISO 9001-2015 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 recurrence of an event, preventive action is taken to prevent the occurrence of an event.

**Release** – permission to proceed to the next stage of the process.

**Product** – result of the process.

### 3.2 Abbreviations

**QMS** – Quality management system;

**EC** – Employment contract;

**AS** – Academic staff;

**AMP** – Administrative and Management Personnel;

**ESP** – Educational and Support Personnel;

**SP** – Service Personnel;

**LC** – Labor Code;

**DP** – Documented Procedures.

## 4 RESPONSIBILITY

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4.1 The HR Service is responsible for hiring, selecting and appointing personnel, terminating, concluding and extending employment contracts.

4.2 The HR Service is responsible for recording and processing orders for business trips within the territory of the Republic of Kazakhstan.

4.3 The heads of structural divisions and the HR Service are responsible for organizing and conducting, analyzing the results of the assessment of personnel competence.

4.4 The heads of structural divisions and the HR Service are responsible for planning the career of personnel, rotation of personnel.

4.5 The heads of structural divisions and the Department of Youth and Sports Affairs (DYSA) are responsible for the education of personnel, the formation of corporate culture.

## 5 PROCESS DESCRIPTION

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5.1 Planning of personnel needs. The number of personnel is determined by the Staffing Schedule (F KazNRTU 601-01) and is maintained by the Department of Economics and Planning (DEaP).

The number of department staff – academic staff, educational and support personnel is approved by the beginning of the academic year.

Planning of needs in personnel is carried out by writing a draft of a staffing schedule by the Department of Economics and Planning for the coming year, then it is transferred to the Director of the Department of Economics and Planning to supplement the draft of a staffing schedule in terms of the size of the staff's salaries, then the staffing schedule is approved by the Chairman of the Board - Rector and transferred for storage to the Director of the Department of Economics and Planning - Chief Accountant. A copy of the approved staffing schedule is transferred to the HR Service. In case of changes in the staffing schedule, a copy is transferred to the HR Service within 1 working day from the date of approval.

5.2 Determining the requirements for personnel competence. Heads of structural divisions determine the requirements for personnel competence based on job descriptions, qualification requirements, and the specifics of the performed work. Heads of structural divisions provide the HR Service with the requirements for personnel competence for each position, drawn up in the form of job descriptions approved in the established order. The originals of job descriptions and Regulations on structural divisions are stored in the Department for Strategic Development. Copies of job descriptions and Regulations are transferred for use to the relevant structural divisions and to the HR Service of the University.

The HR Service is guided by the approved job descriptions and the Regulation for the selection and hiring of personnel KT 029-06-05.03.02-2022 “Qualification requirements for the positions of employees of KazNRTU named after K.I.Satpayev” when assessing competence, transferring, planning professional growth, and dismissing personnel.

### 5.3 Personnel selection and assessment of competence upon hiring

5.3.1 When the need for additional personnel arises, the heads of structural divisions prepare a Service Note (F KazNRTU 403-03) addressed to the Chairman of the Board - Rector / supervising Vice-Rector, in which they justify the need to introduce a job unit into the staffing schedule, describe - for the performance of which functions, what duties are supposed to be assigned to the job unit and with the Service Note, submit it to the Chairman of the Board - Rector / supervising Vice-Rector for approval. After approval, the Service Note is submitted to the DEaP (Department of Economics and Planning) for inclusion in the staffing schedule.

5.3.2 Recruitment of personnel for vacant positions of administrative and managerial personnel, educational and support personnel and SP. If the need arises, the heads of structural divisions fill out and sign the form “F KazNRTU 601-15 Application for personnel recruitment”, which is then agreed with the Department of Economics and Planning. Then the application is sent to the Director of the HR Service for consideration and further work. The Director of the HR Service forwards the application to the Chief Manager of the HR Service to develop a layout of the announcement and agree on the timing and platforms for posting (enbek.kz, the official pages of the University on social networks, the University website). Then the received responses are initially reviewed by the HR Service managers for compliance with the qualification requirements, then the selected responses are sent to the head of the structural division that submitted the application for an interview in order to assess the candidate’s competence by interviewing him/her, guided by job descriptions, and checking practical skills (if necessary). After the interview, the head of the structural division must inform the HR Service about the results of the interview.

5.3.3 The selection of an academic staff for chairs is carried out on the basis of a competition based on the requirements, set out in the Law of the Republic of Kazakhstan “On Education” dated July 27, 2007 No. 319-III (paragraphs 2) and 3), paragraph 2, Article 43-1 and paragraph 1, Article 45).

The needs for additional hiring of an academic staff is agreed upon by the heads of chairs with the director of the institute, with the Department of Planning and Organization of the Educational Process, with the Department of Economics and Planning. After agreement, the institutes submit lists of vacant positions of the academic staff of the institute by chairs, signed by the director of the institute, to the Department of Planning and Organization of the Educational Process. Based on the submitted lists of institutes, the Department of Planning and Organization of the Educational Process compiles a consolidated list of vacant positions of the academic staff at the University and approves it with the supervising vice-rector and the Chairman of the Competition Committee. The approved list of vacancies is transferred to the HR Service and to the secretary of the Competition Committee.

Information about the competition for the selection of the academic staff and personnel is carried out by the HR Service by sending information with a list of vacancies, qualification requirements, the text of the announcement of the Competition (in Kazakh, Russian and English) approved by the Chairman of the Competition Committee to the Public Relations Center for posting on the official website of the University and posting the announcement on the official pages of the University in social networks.

Applications for participation in the Competition for vacant academic staff positions, as well as copies of documents from applicants, are accepted online through the official website of the University in the “Vacancies” section.

The selection of the academic staff from among the applicants who submitted documents to participate in the competition is carried out at meetings of the competition committee, in accordance with the Law of the Republic of Kazakhstan “On Education”, dated July 27, 2007 No. 319-III (paragraphs 2) and 3), paragraph 2, Article 43-1 and paragraph 1, Article 45), QR 029-06-05.03.02.-2022 “Qualification requirements for the positions of employees of KazNRTU named after K.I.Satpayev” and Order 029-06-01.3.02-2020 “Rules for competitive replacement of positions of the academic staff of the NJSC “Kazakh National Research Technical University named after K.I. Satpayev”.

5.3.4 HR Service specialists collect documents from applicants for vacant positions and create lists of potential employees:

- for the academic staff – online collection of documents according to the established list, posted on the official website of the University in the “Vacancies” section F KazNRTU 601-05;

- for the positions of AMP, ESP, SP - documents required for employment, in accordance with Article 32 of the Labor Code of the Republic of Kazakhstan (F KazNRTU 601-05), resume and employee introduction (F KazNRTU 403-10).

5.3.5 The head of the structural unit selects potential candidates for a newly introduced or vacant position by reviewing resumes, selected by the HR Service, conducting interviews to assess the candidate’s competence by interviewing him/her, guided by job descriptions, and checking practical skills (if necessary).

If the head of the structural unit makes a positive decision, the applicant prepares a package of documents: an application for employment (filled out by the applicant in the HR Service personally, in writing, according to the sample), a

presentation by the head of the structural unit, a copy of the identity card, copies of educational documents with appropriate appendices/transcripts, while diplomas of a foreign university, as well as appendices/transcripts to them, must be translated into Kazakh/Russian and nostrified (nostrification is not required for diplomas obtained during training under the Bolashak program) in accordance with the order of the Minister of Science and Higher Education of the Republic of Kazakhstan No. 268, dated 12.06.2023 “On approval of the Rules for the recognition of educational documents”, documents confirming work experience in the specialty and work experience in accordance with Art. 35 of the Labor Code of the Republic of Kazakhstan and other documents, in accordance with the requirements provided for in Art. 32 of the Labor Code of the Republic of Kazakhstan. The candidate provides a complete package of documents to the HR Service to assess the candidate’s compliance with the qualification requirements for the position.

5.3.6 If necessary, the candidate’s package of documents is transferred to the Member of the Management Board - Vice-Rector for Administrative, Social and Educational Work / the supervising Vice-Rector for an interview with the candidate.

The decision on hiring / refusal is made by the Member of the Management Board - Vice-Rector for Administrative, Social and Educational Work.

If the decision is positive, the Member of the Management Board - Vice-Rector for Administrative, Social and Educational Work transfers the candidate’s package of documents to the HR Service with the resolution “Accept” or “Refuse hiring” for the appropriate actions.

#### 5.4 Recruitment

Employment is carried out in accordance with the Labor Code of the Republic of Kazakhstan, by concluding an Employment Contract in the HR Service, according to the samples (F KazNRTU 601-04), agreed with the Department of Legal Support and Public Procurement and the preparation of an order on employment. In case of changes in working conditions, an Additional Agreement to the Employment Contract is concluded with the employee in the HR Service, according to the sample (F KazNRTU 601-04 P - Additional Agreement to the Employment Contract on Extension, F KazNRTU 601-04 Pr - Additional Agreement to the Employment Contract on Transfer, F KazNRTU 601-04 S - Additional Agreement to the Employment Contract on Combination).

5.4.1 Recruitment of personnel involves the following operations:

- the candidate completes application form F 601-03 for employment according to the established form (filled out in the University’s HR Service, in writing, in person);
- signing of the EC by the candidate in accordance with the form approved by the Department of Legal Support and Public Procurement;
- The employment application is signed by the immediate supervisor of the department and the director of the structural unit where the applicant will work in the future, in the Department of Economics and Planning (confirmation of the availability of the job unit) of the Department of Finance and Management, for the teaching staff additionally in the Department of Planning and Organization of the Educational Process (confirmation of hours), by the supervising Vice-Rector.



Then the application is countersigned by the Member of the Management Board - Vice-Rector for Administrative, Social and Educational Work - resolution on issuing an order on hiring / on refusal to hire. When deciding to hire a candidate, the Member of the Management Board - Vice-Rector for Administrative, Social and Educational Work also signs the EC completed by the candidate. Both documents (the application and the EC) are transferred to the HR Service for further processing of the candidate's hiring.

- The HR Service receives and checks documents in accordance with the List of documents required to form a Personal File (the file also contains the Consent to data processing (F KazNRTU 601-22), familiarization with internal documents of F KazNRTU 601-23), the Sheet of notes on passing the briefing/registration (F KazNRTU 601-25), the Sheet of Confidentiality Agreement (F KazNRTU 601-26).

- formation of a Personal File, filling out the T-2 card;  
- in the future, the T2 form is supplemented with personal information, passport data, information on education, length of service, position held (or on transfers within the university), types and periods of vacations.

- drawing up an inventory of the Personal File (F KazNRTU 601-09);

5.4.2 The procedure for concluding, amending and supplementing an employment contract is carried out in accordance with Article 33 of the Labor Code of the Republic of Kazakhstan.

The signing of the EC is the following operations:

- receiving from the Member of the Management Board - Vice-Rector for Administrative, Social and Educational Work the candidate's application with a resolution on issuing an order on hiring and a signed EC with the candidate;

- forming an order on personnel hiring and transferring the order for approval to the Head of the Department of Legal Support and Public Procurement, the Director of the Department of Financial and Management Affairs - Chief Accountant, the supervising Vice-Rector, the Member of the Management Board - Vice-Rector for Administrative, Social and Educational Work;

- after approval, the order is registered in the "Registration Journal of Orders on Personnel" (F KazNRTU 601-07) and activated in the HR database, a copy of the order is transferred to the Department of Finance and Management, an extract from the order is filed in the employee's personal file;

- familiarization of the candidate with the order against signature;

- registration of the Employment Contract in the Registration Journal of Employment Contracts (F KazNRTU 601-06);

- making an entry in the employee's work record book on hiring. Data on employees' work records are entered into the Book of accounting for the movement of work records (F KazNRTU 06-05-08);

- information about the employee and the personal file number are entered into the "Book of accounting of personal files of employees" (in alphabetical order)" (F KazNRTU 06-05-10);

- information about the hiring of a new employee is entered into the Republican electronic database enbek.kz no later than 5 (five) working days from the date of the employment order;

- familiarization of the employee with the internal regulations of KazNRTU, the Regulation on the structural unit, job description with a note in the sheet of familiarization of the employee with the internal regulations of KazNRTU is carried out in the structural unit, at his/her place of work.

When hiring, the HR Service informs the employee about mandatory training in the relevant departments and issues a sheet of notes on completing the training/registration (F KazNRTU 601-25), which the new employee must return with notes on completing the training within 3 (three) working days to the HR Service. The completed form, with notes on completing the training, is filed in the employee's personal file. In order to inform about newly hired employees, HR sends a copy of the order to the military registration sector for their military registration.

5.4.3 When signing an employment contract, an employee may be given a probationary period to check the employee's suitability for the position held in accordance with Art. 36 of the Labor Code of the Republic of Kazakhstan.

During the probationary period, work must be carried out with the employee to adapt him/her to the team within the timeframes according to the stages described in P 029-06-05.3.02-2022 "Regulations on the adaptation of new employees of KazNRTU named after K.I. Satpayev". 10 days before the end of the probationary period, the employee's Head must provide the HR Service with all the results of the adaptation period, in accordance with the Appendices described in P 029-06-05.3.02-2022 "Regulations on the adaptation of new employees of KazNRTU named after K.I. Satpayev" to assess the results of the employee's probationary period.

In case of failure to pass the probationary period, the employee's probationary period is extended, or the employment contract is terminated in accordance with Art. 37 of the Labor Code of the Republic of Kazakhstan.

5.5 The term of the employment contract is determined by the provisions of Article 30 of the Labor Code of the Republic of Kazakhstan.

5.6 Competence assessment.

5.6.1 Competence assessment of personnel when hiring an employee for the positions of AMP, ESP and SP is carried out by means of an interview with the head of the department.

5.6.2 Competence assessment of the teaching staff in the event of a transfer to another teaching staff position is carried out by means of a Competition for filling vacant teaching staff positions.

5.6.3 All necessary information is stored in the employee's Personal File.

5.6.4 The records of persons who have reviewed the personal files of employees are kept in the Journal of issuing personal files of employees (F KazNRTU 601-24). Transfer and relocation of personnel to the positions of AMP, ESP, SP is carried out in accordance with Art. 38, 40, 41, 42, 43, 44, 45, 46, 47 of 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.

Transfer at the initiative of an employee within the university is carried out on the basis of a written application from the employee addressed to the Member of the Board - Vice-Rector for Administrative, Social and Educational Work, a submission from the head of the structural unit (F KazNRTU 403-10) to which the employee is being transferred and an order is issued on the transfer to another place of work / another position.

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

Information on employee transfers is entered into the Personal Card T-2. Within 10 (ten working) days from the date of issuance of the relevant order, information on changes (transfer/relocation of an employee) is entered into the Republican Electronic Database enbek.kz.

All orders on transfers, relocations, long-term intra-republican business trips of personnel are recorded by the chief manager of the HR Service in the "Registration Log of Orders on Personnel" (F KazNRTU 601-07).

Information on the terms of opening (closing) of temporary disability certificates of employees (F KazNRTU 601-11) is stored in the "Registration Log of Employees' Sick Leave Certificates" (06-05-21).

5.8 To send employees on a business trip, the head of the structural unit provides the Director of the HR Service with a memo agreed upon with the supervising vice-rector, the director of the Department of Finance and Accounting - chief accountant and approved by the Member of the Management Board - Vice-Rector for Science and Corporate Development, indicating the purpose of the trip, the timing, the source of funding and, if necessary, the business trip plan and cost estimate.

Employees are sent on business trips based on an order endorsed by the University Management. Orders on short-term intra-republican business trips, on work and study leaves are registered in the "Registration Log of Orders on Personnel-k" (F KazNRTU 601-12).

Upon returning from a business trip, the employee, within the first day, provides the management with a certificate/certificate/diploma of completion of training, if the business trip was related to advanced training, or a written report, in any form, on the completion of assigned tasks.

#### 5.9 Granting of vacations.

In accordance with Article 87 of the Labor Code of the Republic of Kazakhstan, employees are granted the following types of leave:

- paid annual labor leave (basic and additional);
- social leave (leave without wage, study leave, leave in connection with pregnancy and the birth of a child (children), adoption of a newborn child (children), leave without pay to care for a child until he or she reaches the age of three, leave

for screening tests in an amount of no more than three working days during the year, leave for registration with a medical doctor due to pregnancy up to twelve weeks in an amount of no less than three working days).

The duration of vacations is regulated by Art. 88, 89, 97, 98, 99, 100 of the Labor Code of the Republic of Kazakhstan, as well as other regulatory legal acts of the Republic of Kazakhstan, labor, collective agreements and acts of the employer.

Calculation of the duration of paid annual labor leave, determination of the period, procedure and order of provision, procedure for transferring and recalling from paid annual labor leave is carried out in accordance with Art. 90, 91, 92, 93, 94, 95 of the Labor Code of the Republic of Kazakhstan.

Labor leave is granted in accordance with the Schedule of Labor Leaves (F KazNRTU 601-14), approved by the Member of the Board - Vice-Rector for Administrative, Social and Educational Work / Supervising Vice-Rector, the employee's application, the terms of the employment contract and the Labor Code of the Republic of Kazakhstan on the basis of an order.

5.10 Extension of employment contracts of University employees is carried out in accordance with the Labor Code of the Republic of.

5.11 Dismissal of personnel.

Termination of an employment contract with an employee is carried out on the grounds and in the manner provided for in Articles 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60, 61, 62 of the Labor Code of the Republic of Kazakhstan.

An employment contract may be terminated on the following grounds:

- termination of the employment contract by mutual agreement of the parties;
- upon expiration of the employment contract;
- at the initiative of one of the parties;
- due to circumstances beyond the control of the parties;
- in connection with the employee's transfer to another employer;
- the employee's refusal and not to continue the employment relationship;
- the employee's transfer to an elective job (position) or his/her appointment to a position that excludes the possibility of continuing the employment relationship, except for cases stipulated by the laws of the Republic of Kazakhstan;
- violation of the terms of the employment contract.

The basis for the HR Service to prepare a draft order on termination of the employment contract is:

- at the initiative of the employee: a personal statement of the employee indicating the reason for dismissal, signed by the immediate supervisor, the head of the structural unit, the supervising vice-rector and the Member of the Management Board - Vice-Rector for Administrative, Social and Educational Work.

- at the initiative of the employer: a memo from the head of the structural unit, acts on violation of labor discipline F 601-16, signed by the supervising vice-rector and the Member of the Management Board - Vice-Rector for Administrative, Social and Educational Work.

The HR Service issues an order to terminate the employment contract with the employee, which is signed by the Head of the Department of Legal Support and Public Procurement of Legal Support, the Director of the Department of Financial

and Management Services - Chief Accountant, the supervising Vice-Rector and is submitted for signature to the Member of the Management Board - Vice-Rector for Administrative, Social and Educational Work.

The employee being dismissed is familiarized with the order by signature. According to the order, an entry is made in the work record book of the employee being dismissed, cases are transferred, and material assets are handed over to the head of the department or another employee of the structural department appointed by the head of the department.

When an employee is dismissed, the full settlement is made in accordance with the current Labor Code of the Republic of Kazakhstan and on the basis of the Bypass Sheet (F KazNRTU 601-21). The movement of personnel is recorded in the “Journal of hired and dismissed employees” (F KazNRTU 601-13).

All orders not related to personnel are registered in the “Registration log of orders for core activities” in the Department of Documentation Support and Development of the State Language.

When reducing the number or staff of employees, employees are familiarized with the notice of reduction (F KazNRTU 601-17) by personal signature and the order is registered in the “Registration log of notifications” (F KazNRTU 601-18).

#### 5.12 Issuance of certificates.

When full-time university employees apply, the HR Service provides a “Certificate from the Place of Employment” (F KazNRTU 601-19), which is registered in the “Journal of Registration of Issuance of Certificates of Work Experience and Place of Employment in NJSC “KazNRTU named after K.I.Satpayev” (F KazNRTU 601-20).

## **6 DOCUMENTATION AND ARCHIVING**

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6.7 The original of the documented procedure, after expiration, cancellation or replacement, is stored in the Department of Strategic Development for 3 years.

6.8 The quality records generated in the course of work according to this documented procedure include the forms given in Table 1.

6.9 Quality records are maintained in accordance with the requirements of procedure DP KazNRTU 404 “Management of quality records”.

## **7 CHANGE PROCEDURE**

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7.7 The decision to change this procedure is made on the basis of proposals from other university departments, the results of the analysis of established conformities and anticipated non-conformities, as well as recommendations from internal and external audits.

## **8 PROCESS INFORMATION**

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8.7 Incoming information

| <b>№</b> | <b>Document name</b>   | <b>Supplier</b>               | <b>Deadline for submission</b>                                    | <b>Notes</b> |
|----------|--|-------------------------------|---|--------------|
| <i>1</i> | <i>2</i>   | <i>3</i>                      | <i>4</i>  | <i>5</i>     |
| 1        | Application for personnel  | Heads of structural divisions | As needed   |              |
| 2        | Resume, package of documents, recommendations                    | Candidate for the position    | Upon hiring/on demand   |              |
| 3        | Application form for a job candidate/employee                    | Head of Departments           | When hiring/transferring  |              |
| 4        | Job descriptions   | Heads of structural divisions | When hiring/transferring to another position                      |              |
| 5        | Regulations on the division                                      | Head of Departments           | When creating a division  |              |
| 6        | Adaptation of a new employee                                     | Head of Departments           | During the probationary period                                    |              |
| 7        | Report on the results and achievements of employees for the year | Heads of structural divisions | One month before the procedure for extending employment contracts |              |

### 8.8 Outgoing information

| <b>№</b> | <b>Document name</b>  | <b>Person responsible for provision</b> | <b>Deadline for submission</b>            | <b>Notes</b>   |
|----------|---|---|---|--|
| <i>1</i> | <i>2</i>  | <i>3</i>                                | <i>4</i>                                  | <i>5</i>   |
| 1        | Staffing schedule   | DFaM                                    | Before the start of the new academic year |  |
| 2        | List of applicants for a vacant or new position                                   | Director of HR Service                  | As resumes arrive                         | in free form   |
| 3        | List of documents required for the formation of a Personal File                   | Chief Manager of HR Service             | When applying for a job                   | Free form list   |
| 4        | "Checklist" for familiarization with QMS documents and other regulatory documents | Manager of a structural division        | When applying for a job                   | It is used when familiarizing with the Quality Policy, and with other documents – in structural divisions. |

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| 5              | Order of hiring/dismissal                  | Member of the Board - Vice-Rector for Administrative, Social and Educational Work / Supervising Vice-Rector | As employees are hired/dismissed | University letterhead               |
| 6              | Employment contract                        | Member of the Board - Vice-Rector for Administrative, Social and Educational Work                           | As the signing progresses        | Form of agreement in the HR Service |
| 7              | EC Registration Log                        | Chief Manager of HR Service   | As the EC is registered          |                                     |
| 8              | Vacation schedule                          | Member of the Board - Vice-Rector for Administrative, Social and Educational Work / Supervising Vice-Rector | Until April 30                   | List of forms                       |
| 9              | Log of registration of orders on personnel | Chief Manager of HR Service   | Constantly                       |                                     |

## **9 EVALUATION OF EFFICIENCY AND PROCESS PERFORMANCE**

| <b>№</b> | <b>Quality assessment indicator</b>  | <b>Results Registration Form</b>  |
|----------|--|---|
| 1        | Availability of criteria for personnel competence                          | Job descriptions Competency assessment sheet (Appendix 2, P 029-06-05.3.02-2022)                    |
| 2        | Staff awareness  | "Checklist" for familiarization with QMS documents and other regulatory documents, Job descriptions |
| 3        | Maintaining relevant records of education, training, skills and experience | Personal card of a form T-2<br>Personal file  |

## **10 RISK MANAGEMENT**

10.7 The effectiveness of the HR Service depends on the implementation of continuous monitoring and consideration of various internal and external risk-generating factors.

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

Risks arise from both external and internal environments.

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

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

- formation of goals, objectives and requirements for personnel;
- recruitment and selection of employees, training and development, personnel movement;
- implementation of labor motivation;
- remuneration and incentives, performance evaluation.

It is necessary to take into account that the corresponding risks arise at each stage of the personnel management process, but at the same time there are conditions for their minimization.

10.8 The main risk groups arising in the personnel management system:

- risks when hiring an employee;
- risks associated with poor quality of personnel provision;
- risks after dismissal of employees from the university.

10.2.1 Risk when hiring an employee at the university.

The main damage can be done to the public image if the hired employee does not meet the requirements, and the university may suffer financial losses. The following reasons can be the source of the risk of selecting an unsuitable candidate:

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

10.8.1 Risks associated with identifying the compliance of job qualification requirements and the quality indicators of new employees applying for this job. The cause of job risk should also be sought in the irrational distribution of functional responsibilities in the staffing schedule 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, to which additions and changes are not made, but a document in which the capabilities of the candidate for the vacant position will be analyzed.

10.8.2 If the procedure for dismissing employees is incorrect, it is possible that the university will suffer moral damage in the form of negative advertising, as well as financial damage if the offended employee goes to court.

### **Types of risks, signs of occurrence and ways to prevent them**

| <b>Types of risks in working with personnel</b> | <b>Form of negative manifestation and possible consequences</b> | <b>Indicators of the occurrence of risk events</b> |
|---|---|--|
| <b>Quantitative risks</b>                       |   |  |



|   |   |   |
|---|---|---|
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| Overstaffing  | Additional costs for its maintenance  | Reduction in the number of students admitted, introduction of new, more progressive work technologies.  |
| Lack of staff   | Inability to provide full-scale service to consume  | Increasing the number of students, expanding business in various areas, and the emergence of new, more priority areas.  |
| Risks of imbalances in the number of personnel in different departments | Additional costs for maintaining personnel in some departments and overworking employees in other departments, and, as a consequence, the impossibility of full-scale implementation of work in individual areas. | Changing the priorities of the departments' activities, reducing certain types of activities and developing other, more promising areas.  |
| <b>Qualitative nature</b>   |   |   |
| Insufficient qualifications   | Errors in financial transactions with corresponding losses  | Increased staff turnover, decreased proportion of employees with relevant professional education at the university  |
| Low responsibility  | 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 disclosure of information                     | Disclosure of commercial secrets – associated financial losses and deterioration of image   | The appearance of new employees from unverified or unreliable sources and their access to information that is a commercial secret.  |
| Disloyalty in the form of corruption or embezzlement                    | Direct financial losses   | The appearance of new employees from unverified or unreliable sources who do not have appropriate recommendations, weakening of control, access to material assets of employees who have had problems with the law in the past. |
| Disloyalty in other forms   | Realization of other security threats, non-financial losses   | The emergence of psychologically unbalanced and morally unstable people at the university, the dismissal of employees who could spoil the university's image  |

**List of Forms 601**

| <b>№</b> | <b>Document name</b>  | <b>Form</b>      | <b>Storage location</b> | <b>Storage period</b>                           |
|----------|---|------------------|-------------------------|---|
| 1        | Staffing schedule   | F KazNRTU 601-01 | DFM                     | in accordance with the nomenclature             |
| 2        | Journal of issuing copies of documents for accounting                             | F KazNRTU 601-02 | HR Service              | in accordance with the nomenclature             |
| 3        | Employment contract   | F KazNRTU 601-04 | HR Service              | in accordance with the nomenclature             |
| 4        | Supplementary agreement to the employment contract                                | F KazNRTU 601-05 | HR Service              | in accordance with the nomenclature             |
| 5        | Employment contract registration journal  | F KazNRTU 601-06 | HR Service              | in accordance with the nomenclature             |
| 6        | Log of registration of orders on personnel (personnel)                            | F KazNRTU 601-07 | HR Service              | in accordance with the nomenclature             |
| 7        | Book of records of issuance of employees' work books                              | F KazNRTU 601-08 | HR Service              | in accordance with the nomenclature             |
| 8        | Case inventory  | F KazNRTU 601-09 | HR Service              | in accordance with the nomenclature             |
| 9        | Book of accounting of data and personal files of employees (in electronic format) | F KazNRTU 601-10 | HR Service              | in accordance with the nomenclature             |
| 10       | Registration log of temporary disability certificates of employees                | F KazNRTU 601-11 | HR Service              | in accordance with the nomenclature             |
| 11       | Log of registration of orders on personnel (personnel relations) personal account | F KazNRTU 601-12 | HR Service              | in accordance with the nomenclature             |
| 12       | Journal of records of hired and dismissed employees                               | F KazNRTU 601-13 | HR Service              | in accordance with the nomenclature             |
| 13       | Schedule of labor holidays  | F KazNRTU 601-14 | HR Service              | in accordance with the nomenclature             |
| 14       | Act on violation of labor discipline  | F KazNRTU 601-16 | HR Service              | in accordance with the storage period of the PF |
| 15       | Notification  | F KazNRTU 601-17 | HR Service              | in accordance with the storage period of the PF |

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|----------------|--|--------------------------------|------------|---|--|
| 16             | Notification Registration Journal  | F KazNRTU 601-18               | HR Service | in accordance with the nomenclature             |  |
| 17             | Certificate from place of work   | F KazNRTU 601-19               | HR Service |   |  |
| 18             | Journal of issuing certificates of work experience and place of employment | F KazNRTU 601-20               | HR Service | in accordance with the nomenclature             |  |
| 19             | Bypass sheet   | F KazNRTU 601-21               | HR Service | in accordance with the storage period of the PF |  |
| 20             | Consent to data processing   | F KazNRTU 601-22               | HR Service | in accordance with the storage period of the PF |  |
| 22             | Familiarization sheet with internal documents                              | F KazNRTU 601-23               | HR Service | in accordance with the storage period of the PF |  |
| 23             | Journal of a personal file issuance  | F KazNRTU 601-24               | HR Service | in accordance with the nomenclature             |  |
| 24             | Briefing and registration sheet  | F KazNRTU 601- 25              | HR Service | in accordance with the nomenclature             |  |
| 25             | Confidentiality Agreement (F KazNRTU 601-26)                               | F KazNRTU 601-26               | HR Service | in accordance with the storage period of the PF |  |

### List of Block Diagrams 601

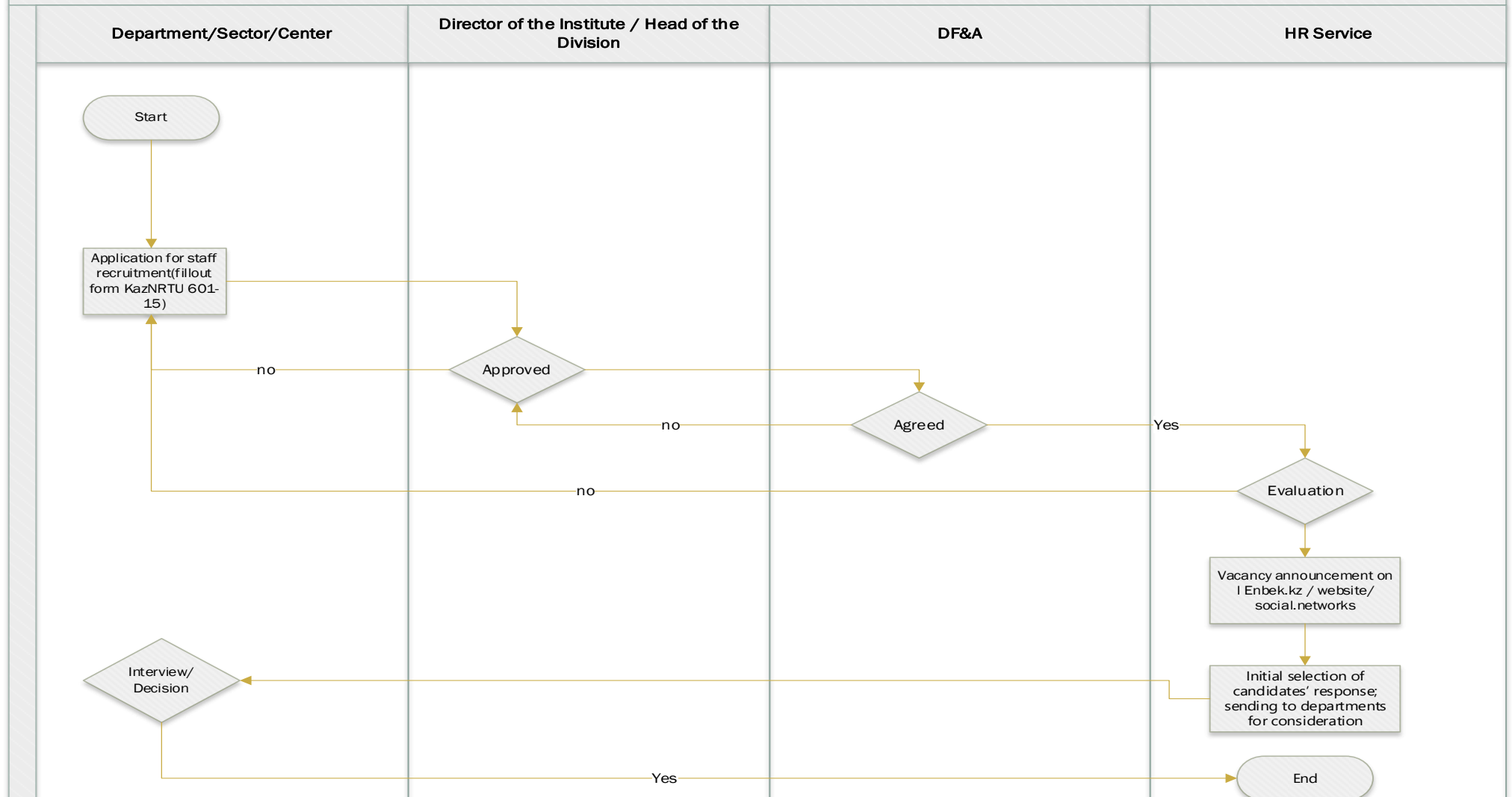
| №№ | Name  | Supplement Number | Notes |
|----|---|-------------------|-------|
| 1  | Business process “Search for candidates” (for AMP, ESP, SP)   | Supplement 1      |       |
| 2  | Competition for vacant teaching staff positions   | Supplement 2      |       |
| 3  | Recruitment to work as a teaching staff member based on the results of the competition                          | Supplement 3      |       |
| 4  | Hiring other workers  | Supplement 4      |       |
| 5  | Dismissal of the AMP, ESP, SP   | Supplement 5      |       |
| 6  | Dismissal of the academic staff   | Supplement 6      |       |
| 7  | Annual paid leave of the academic staff   | Supplement 7      |       |
| 8  | Annual paid leave of the AMP, ESP, SP, Directors of institutes, deputy directors of institutes, heads of chairs | Supplement 8      |       |
| 9  | Maternity leave   | Supplement 9      |       |
| 10 | Unpaid leave to care for a child until he or she reaches 3 years of age   | Supplement 10     |       |

|                |                   |                                |  |               |  |
|----------------|-------------------|--------------------------------|--|---------------|--|
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| 11             | Leave without pay | Supplement 11                  |  |               |  |
| 12             | Study leave       | Supplement 12                  |  |               |  |
| 13             | Business trip     | Supplement 13                  |  |               |  |

# Business Process Flowchart

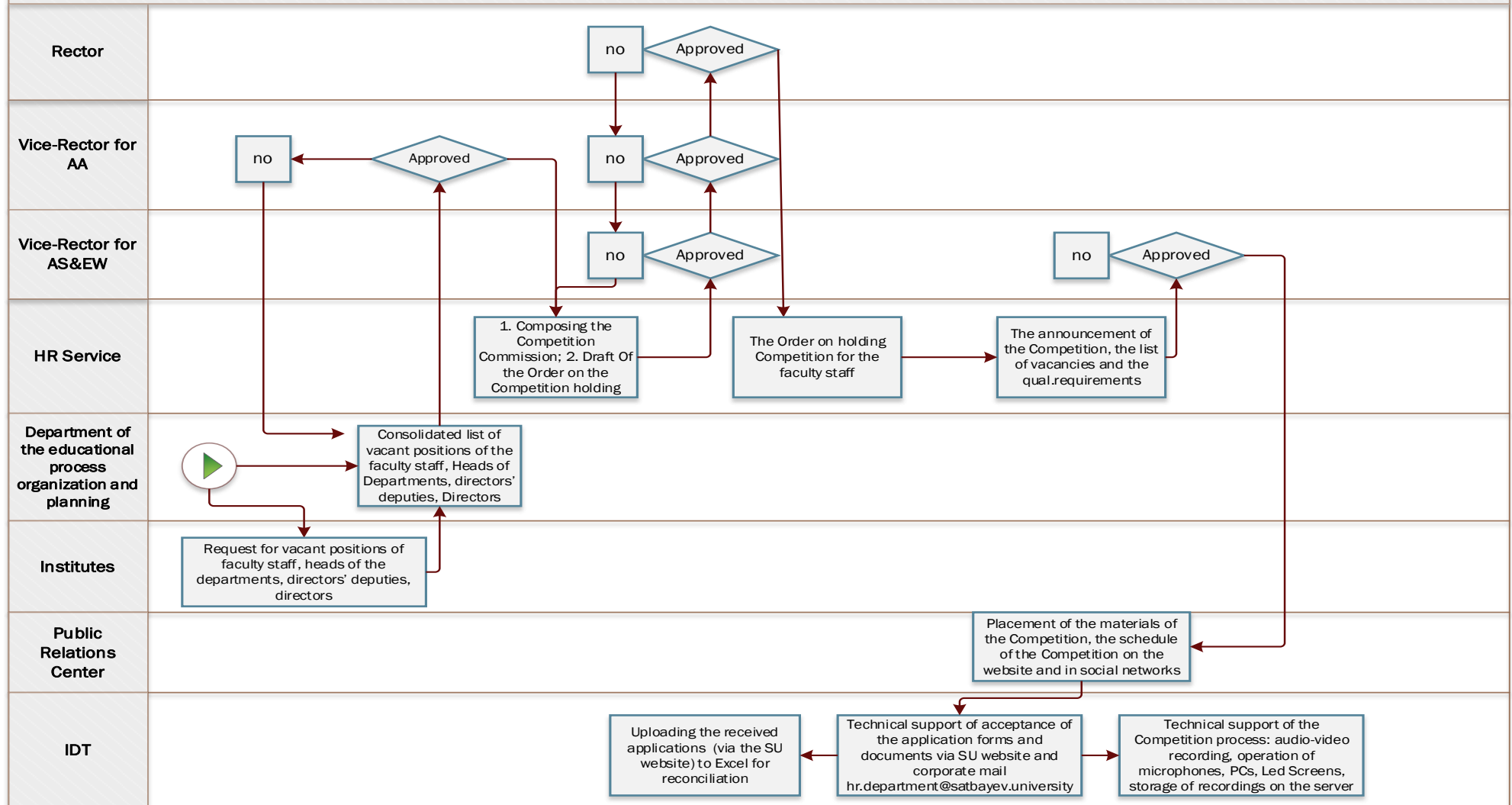
## Supplement 1

Documented procedure 601 "Personnel". Business process «Personnel search»



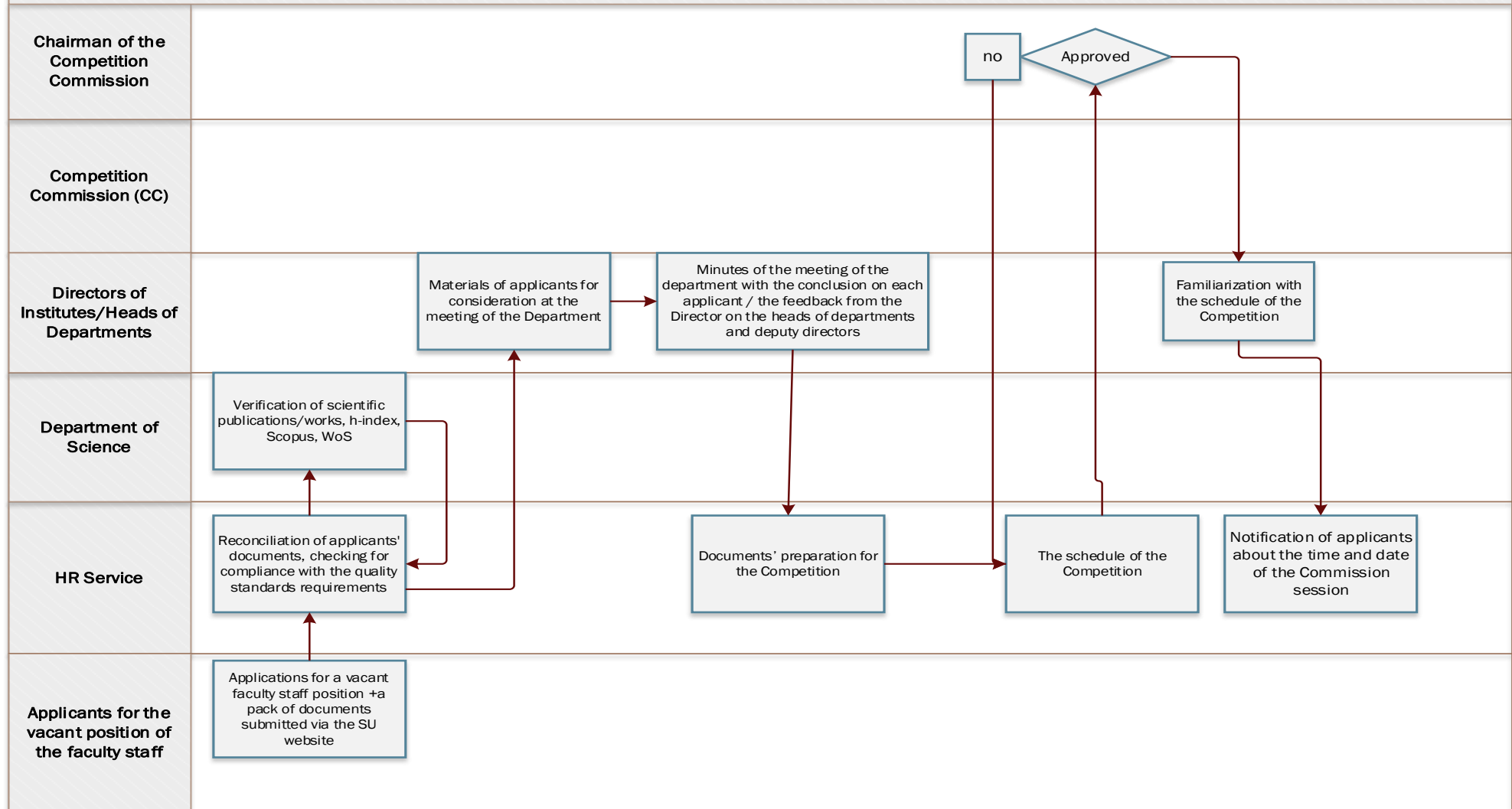
**Supplement 2**

**Documented procedure 601 "Personnel". Business process "Competition of faculty staff". Stage 1. Preparation**



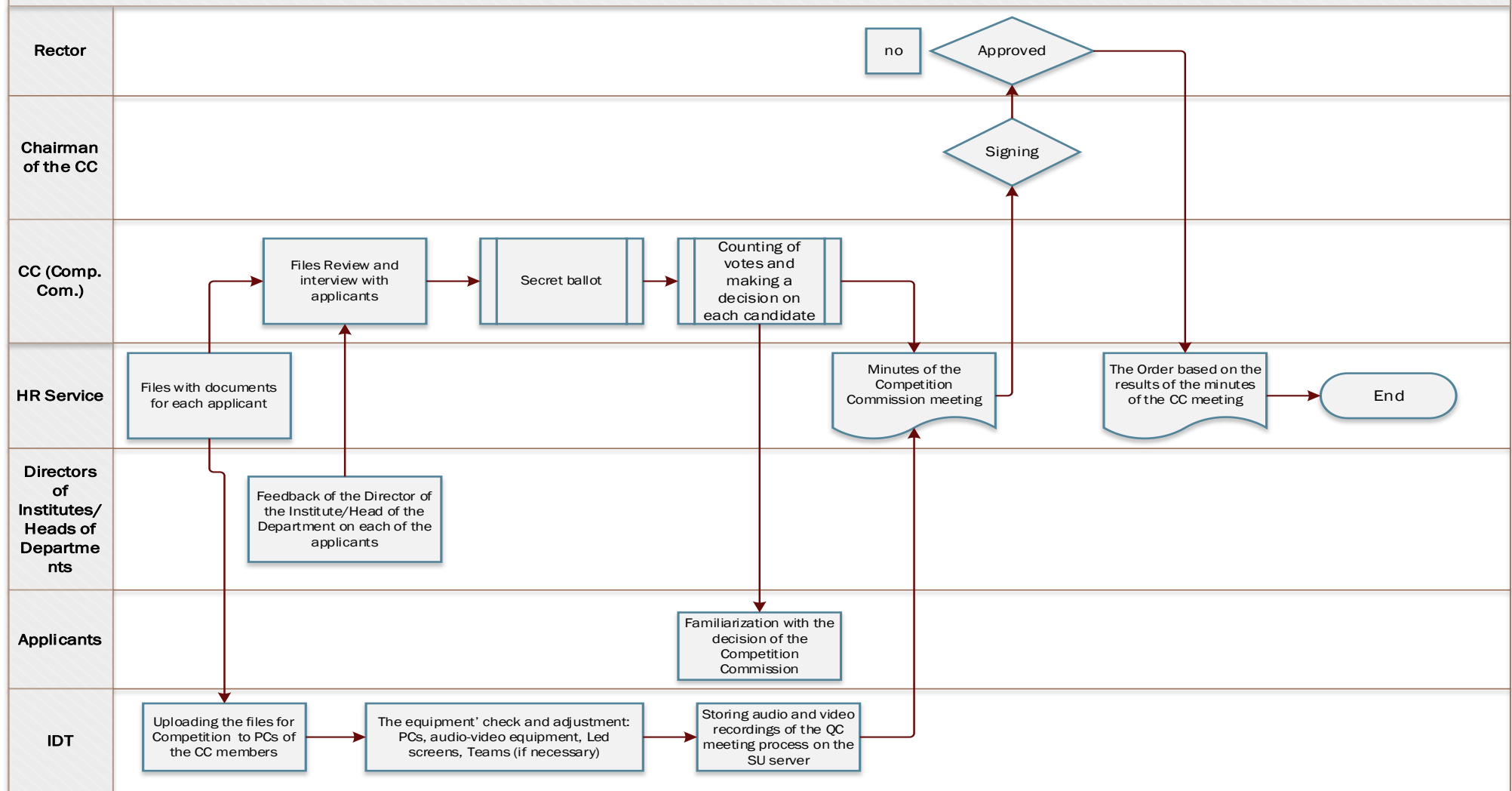
### Supplement 2

**Documented procedure 601 "Personnel". Business process "Competition of faculty staff". Stage 2. Pre-competition**



**Supplement 2**

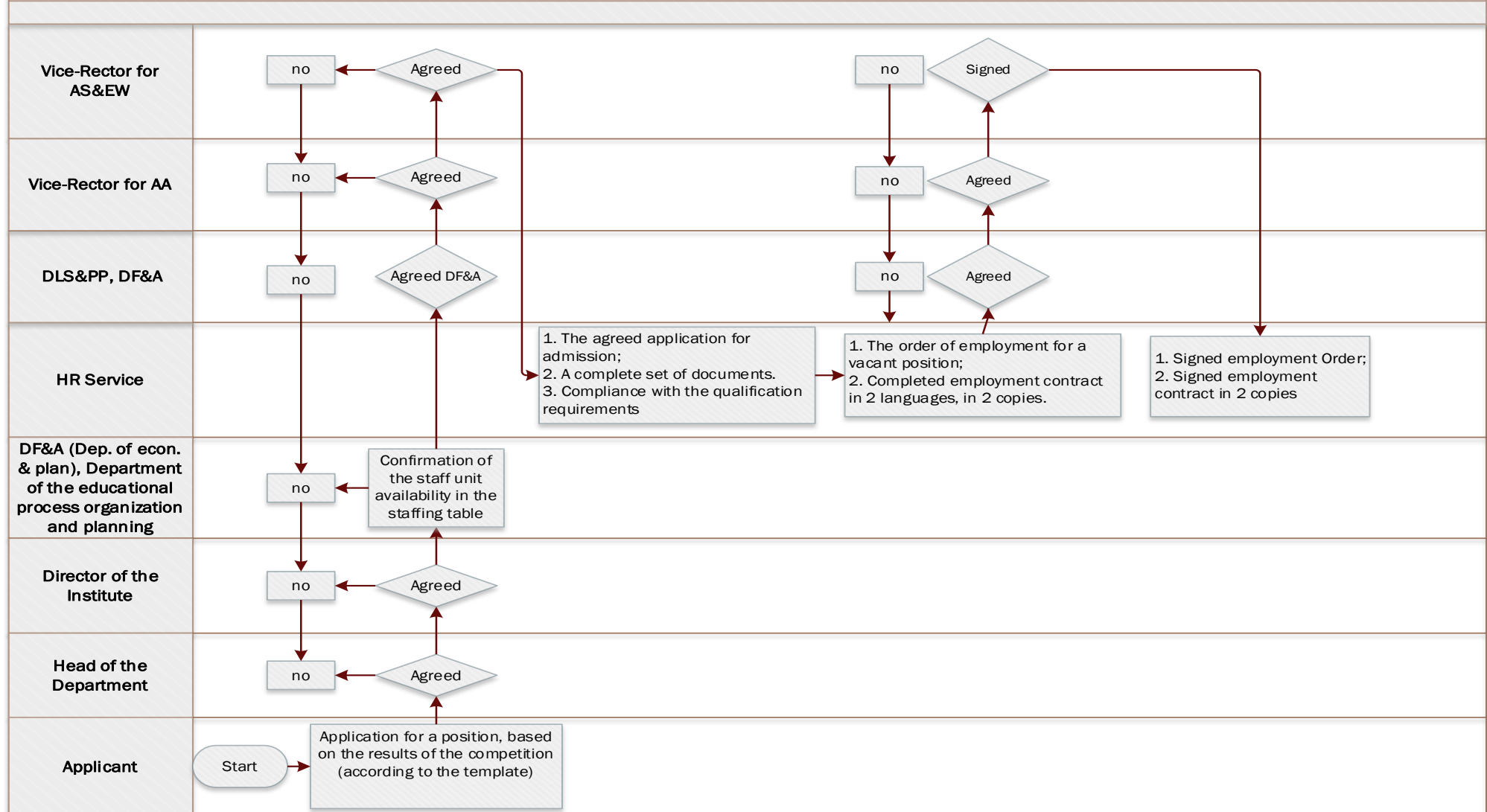
**Documented procedure 601 "Personnel". Business process "Competition of faculty staff". Stage 3. Competition**





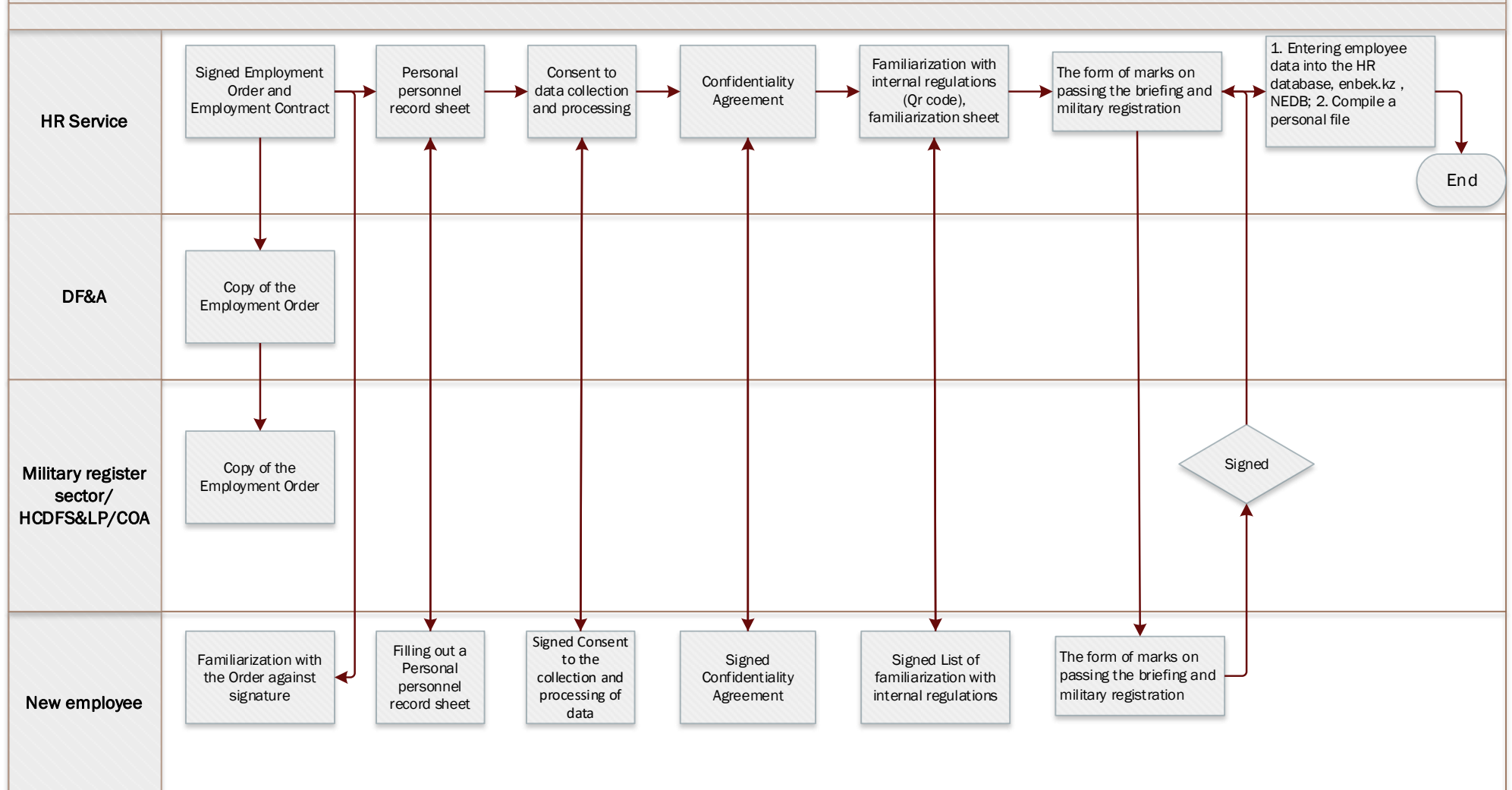
### Supplement 3

**Documented procedure 601 "Personnel". Business process. "The employment procedure for hiring the faculty staff. Stage 1. Registration of employment"**



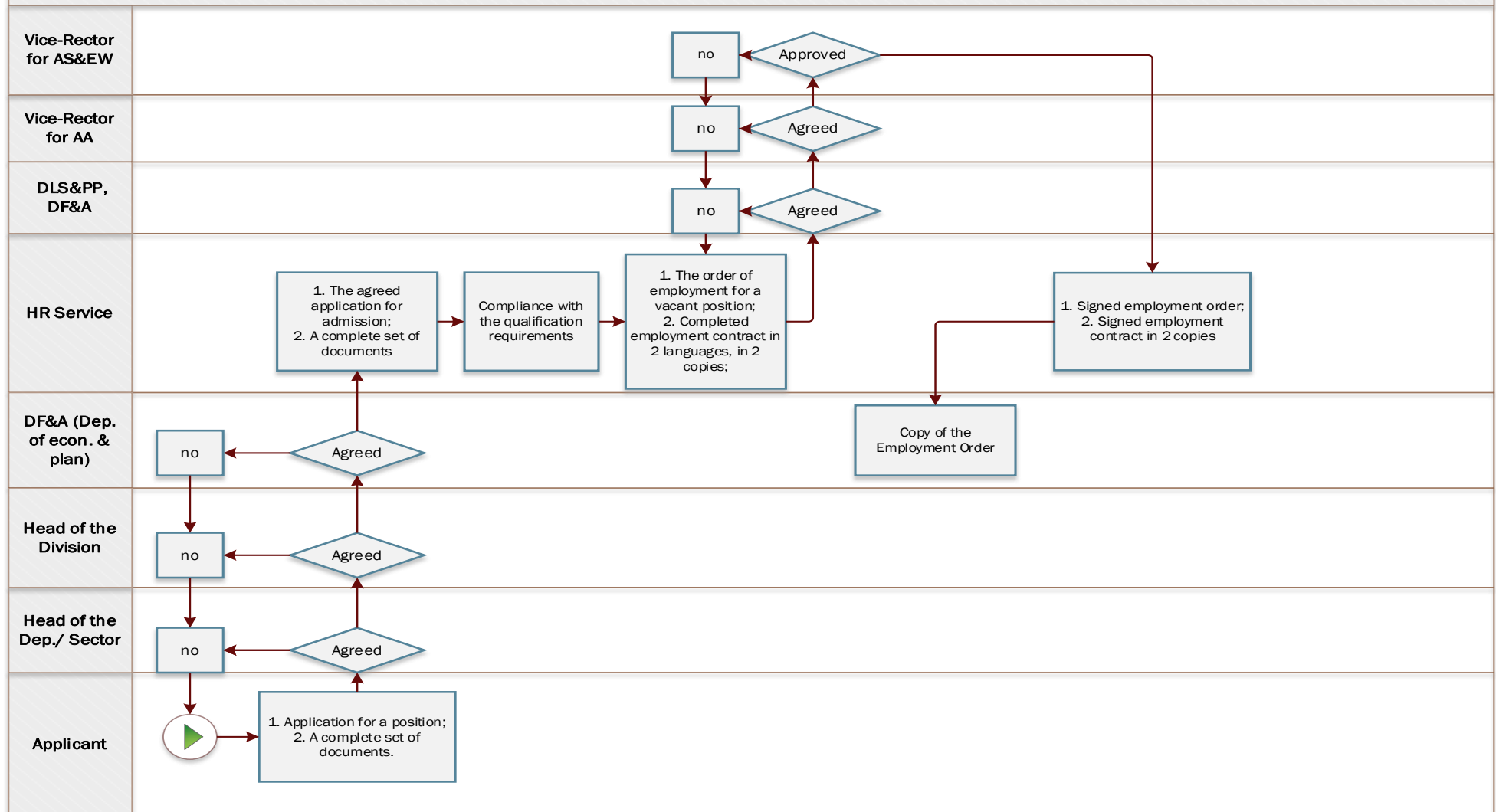
### Supplement 3

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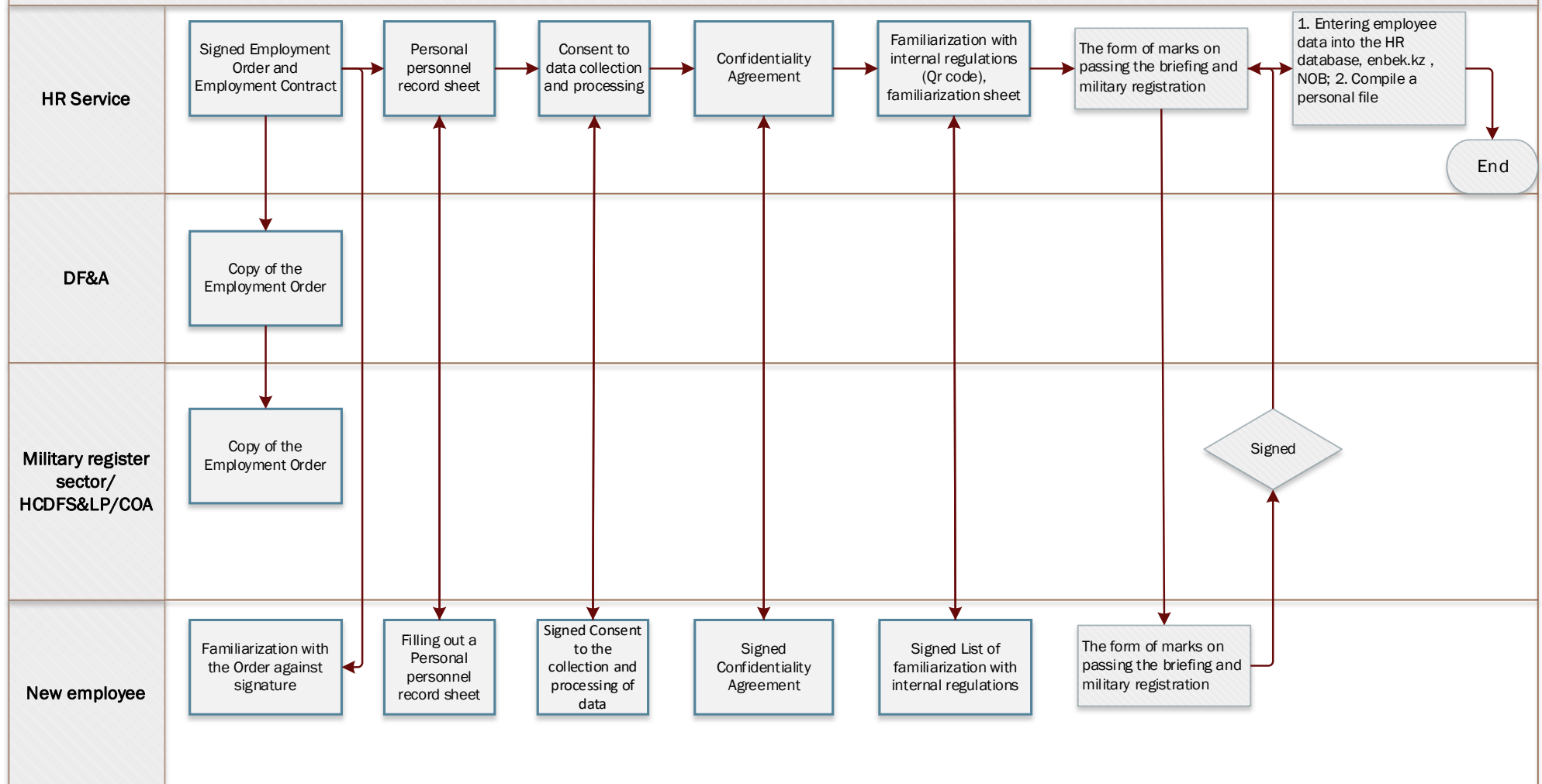
### Supplement 4

Documented procedure 601 "Personnel". Business process. The employment procedure for hiring the AMS, TSS, MS staff. Stage 1. Registration of employment



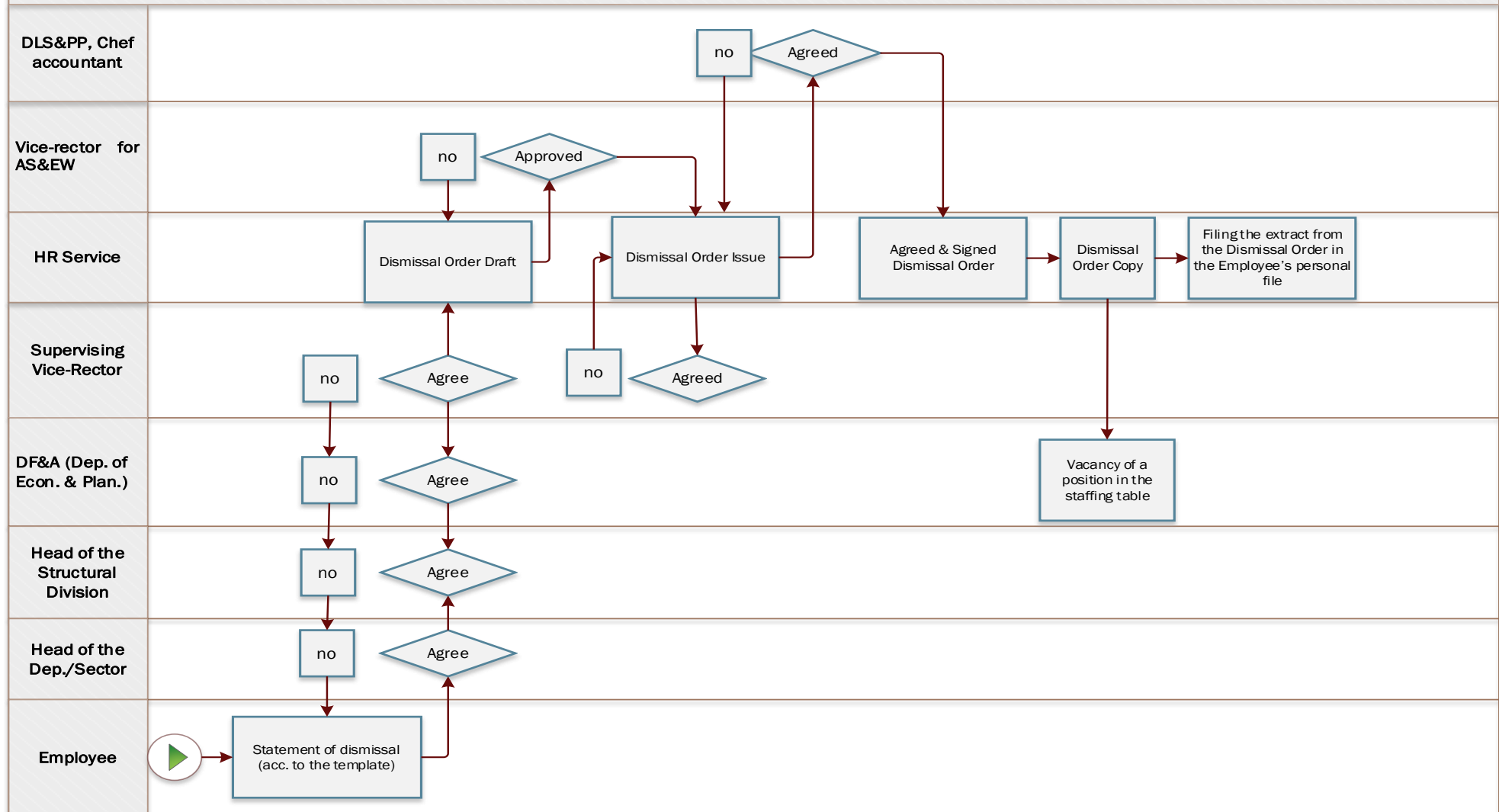
**Supplement 4**

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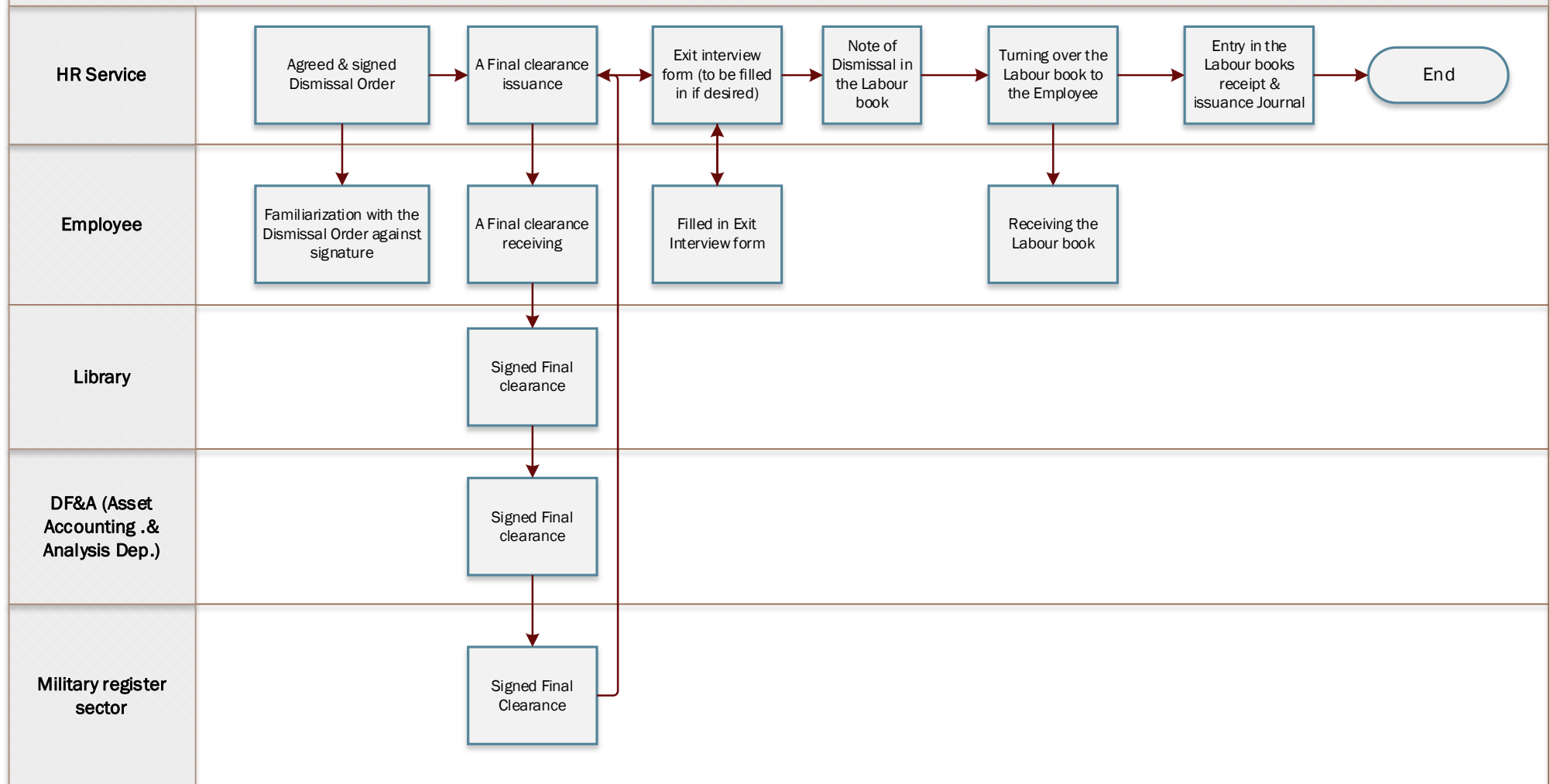
**Supplement 5**

**Documented procedure 601 "Personnel". The business process "Dismissal of AMS, TSS, MS on the initiative of an employee". Stage 1. The Order**



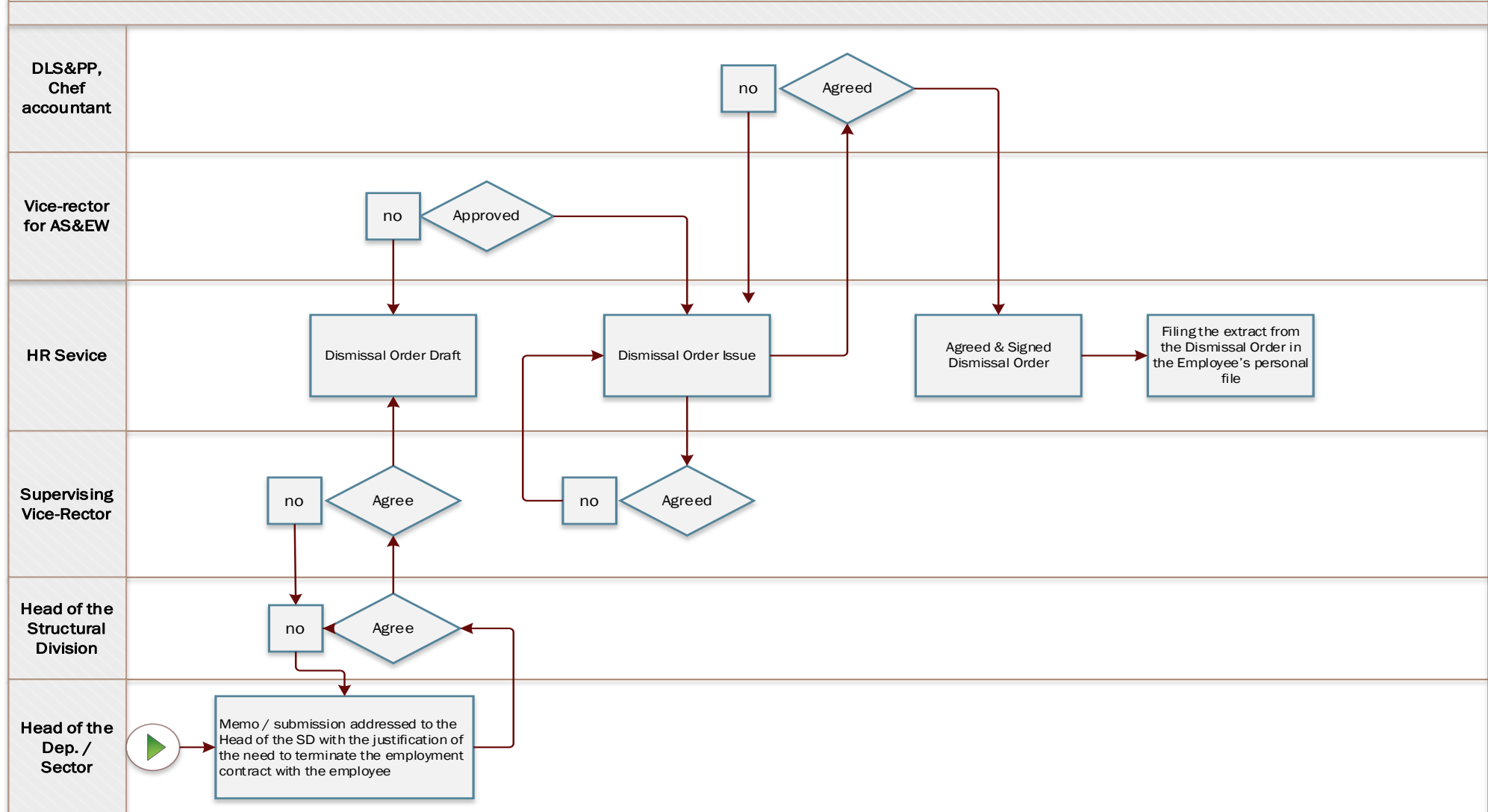
**Supplement 5**

**Documented procedure 601 "Personnel". The business process "Dismissal of AMS, TSS, MS on the initiative of an employee". Stage 2. Final**



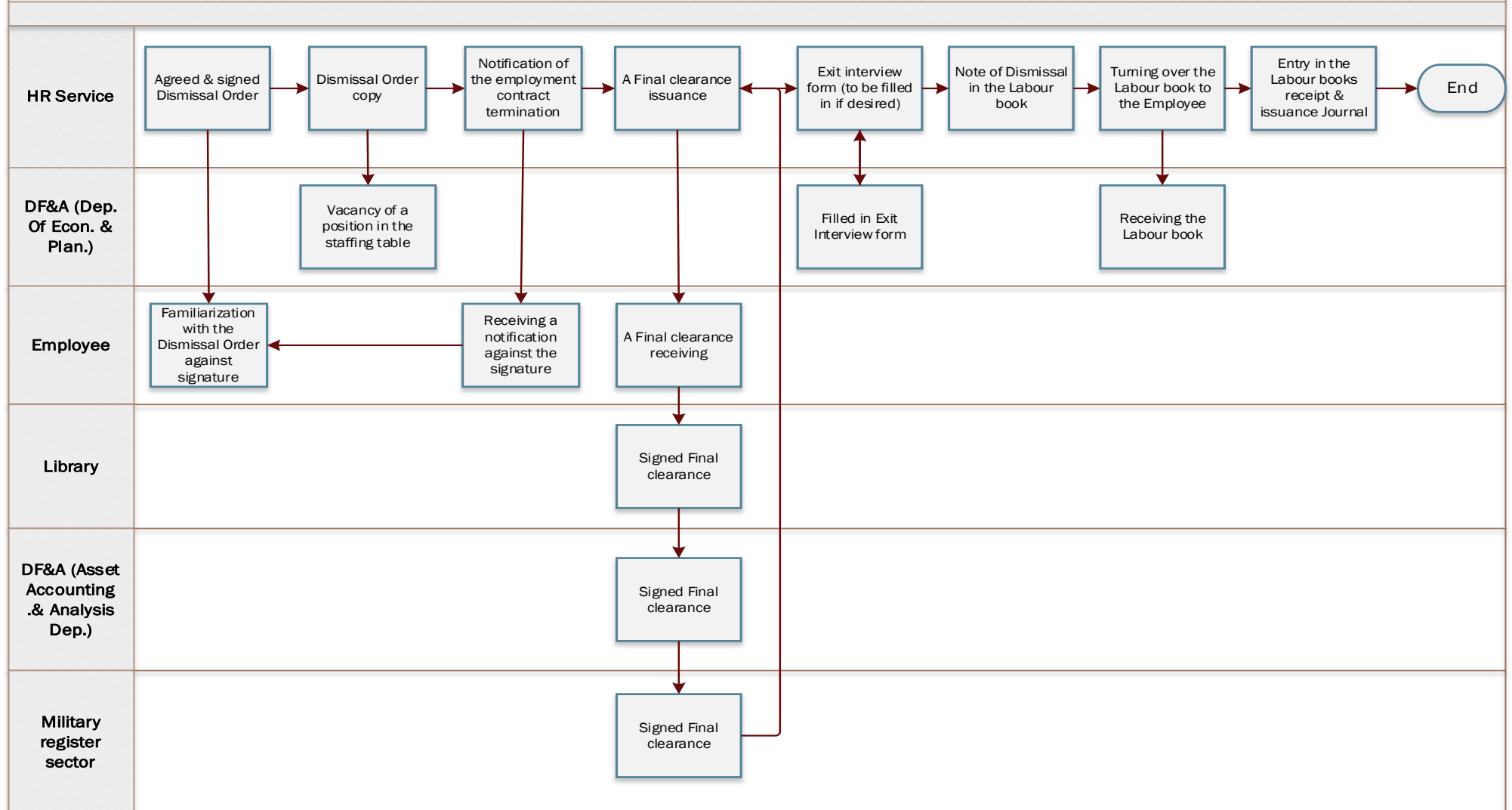
### Supplement 5

Documented procedure 601 "Personnel". The business process "Dismissal of an employee of AMS, TSS, MS on the initiative of the employer". Stage 1. The Order



### Supplement 5

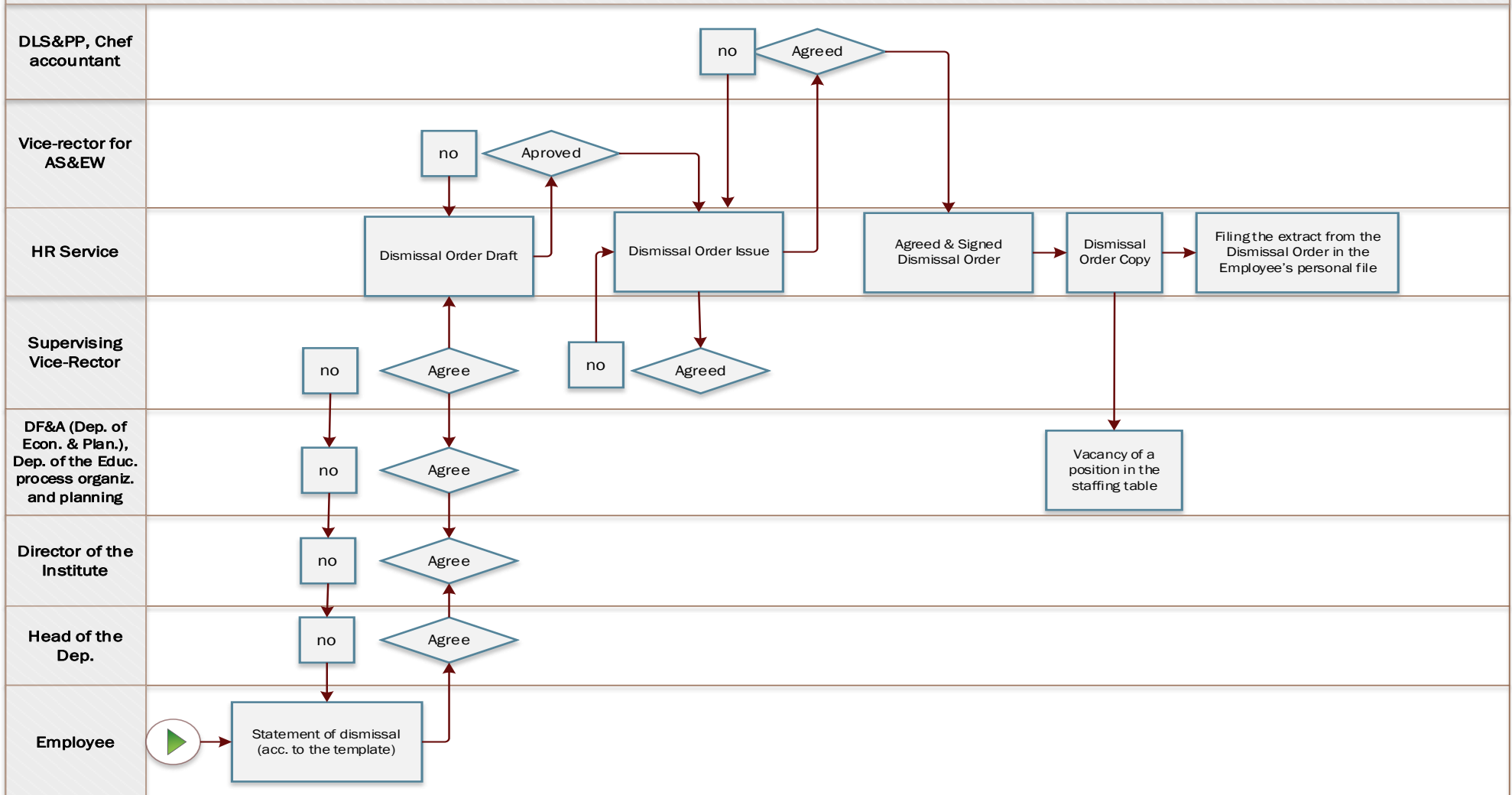
**Documented procedure 601 "Personnel". The business process "Dismissal of an employee of AMS, TSS, MS on the initiative of the employer". Stage 1. Final**





**Supplement 6**

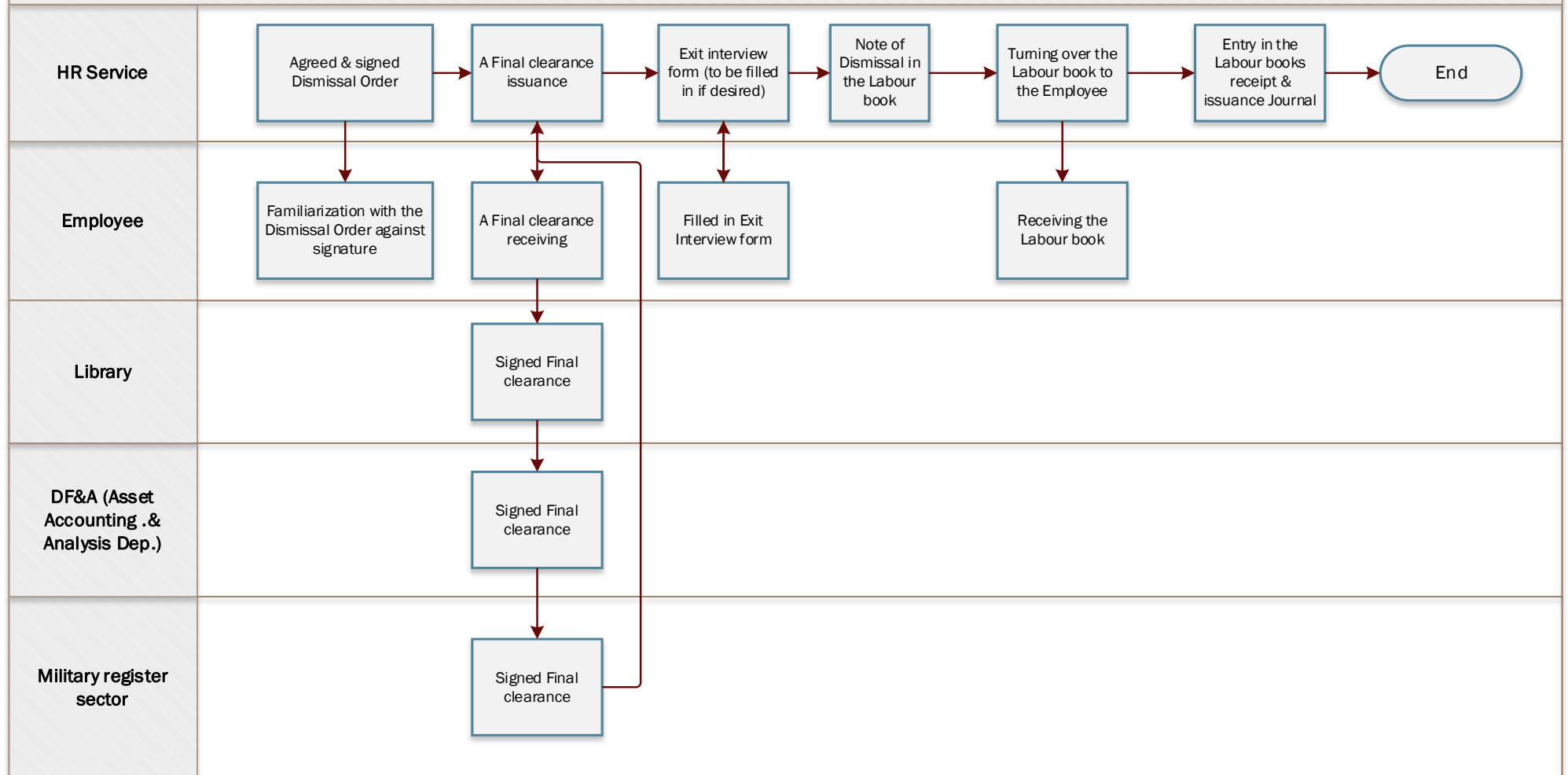
**Documented procedure 601 "Personnel". Business process "Dismissal of faculty staff at the initiative of the employee". Stage 1. The Order**



**Supplement 6**

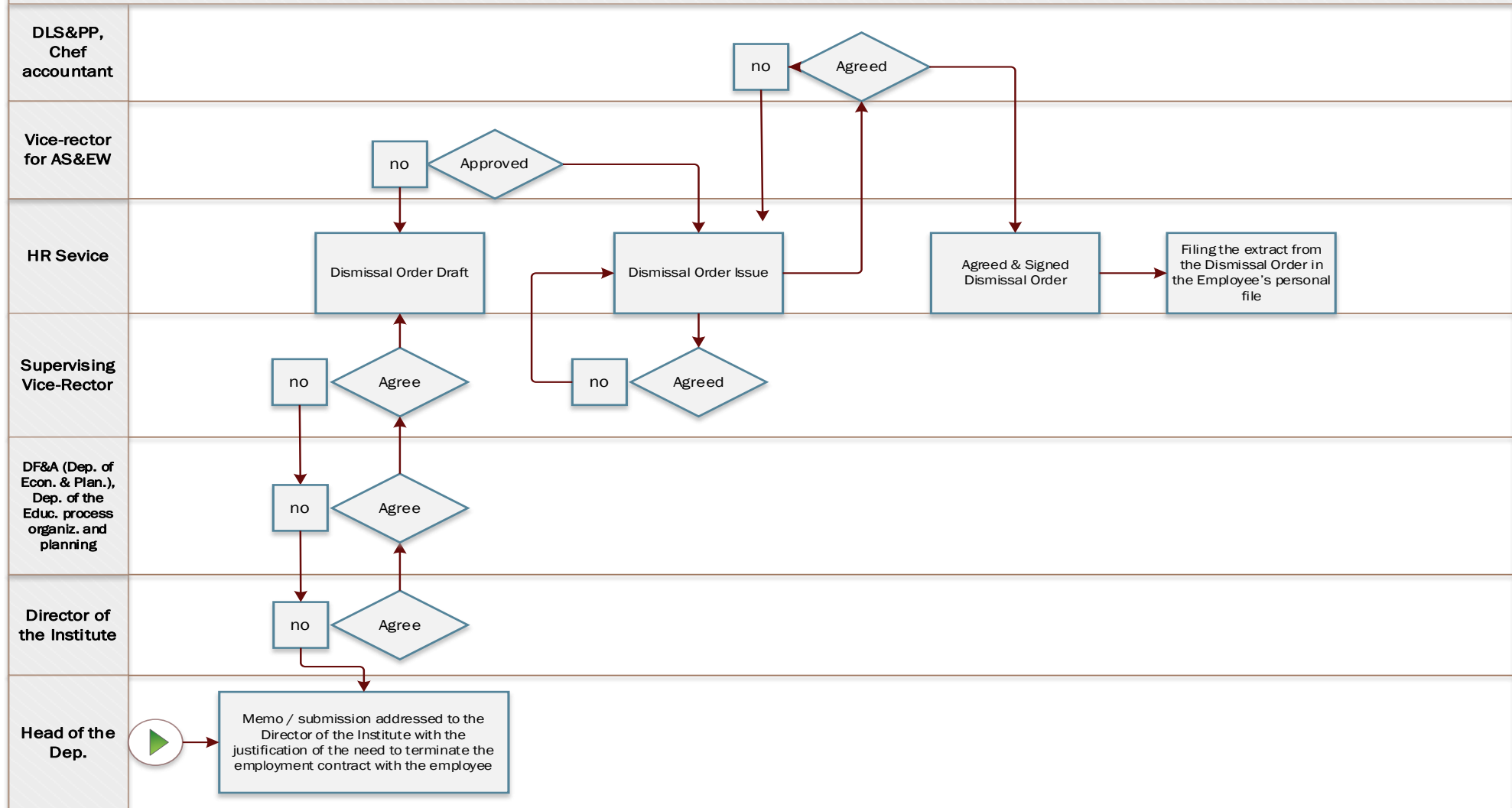
**Documented procedure 601 "Personnel". Business process "Dismissal of faculty staff at the initiative of the employee".**

**Stage 2. Final**



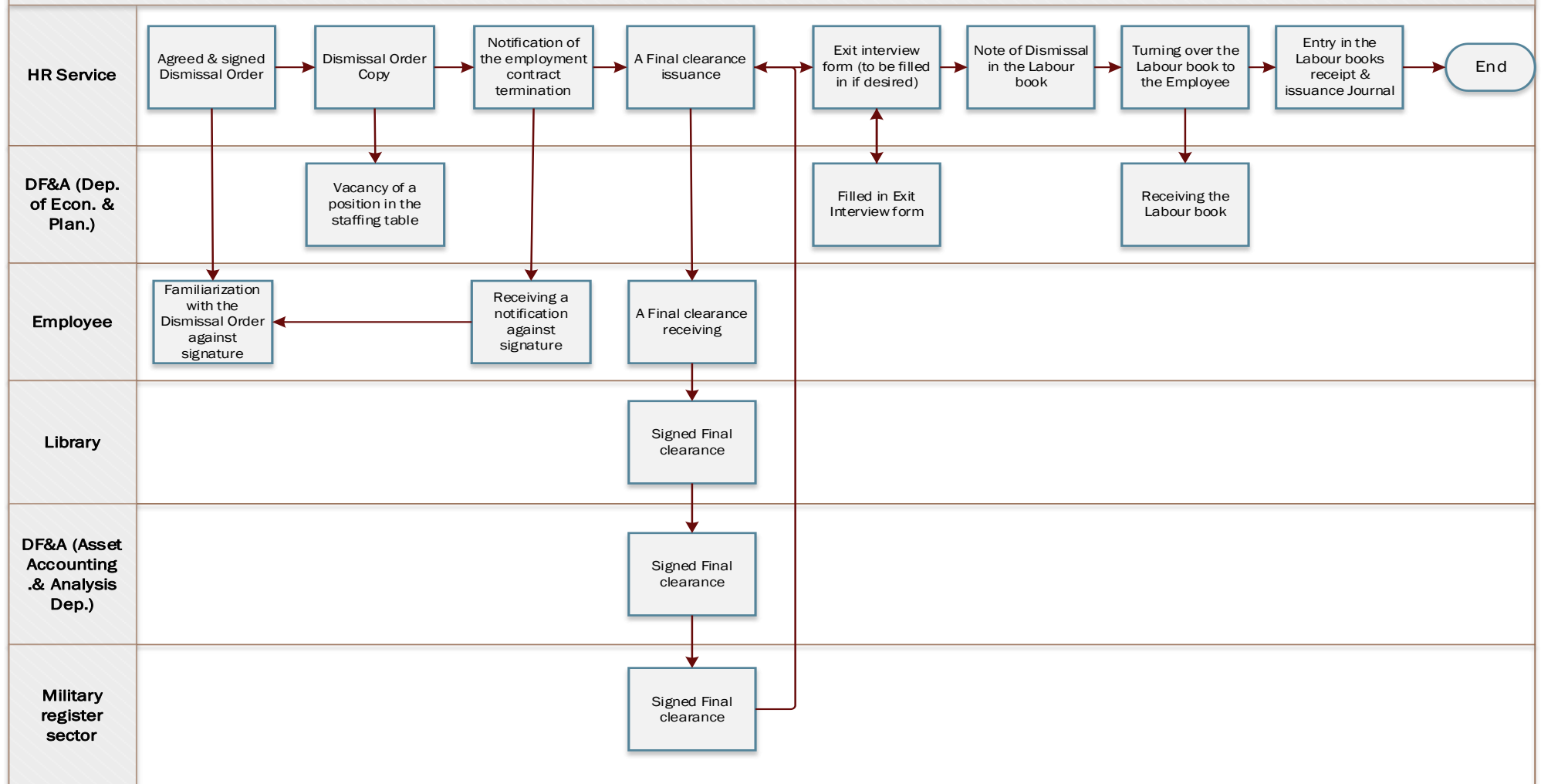
### Supplement 6

Documented procedure 601 "Personnel". Business process "Dismissal of a faculty staff member at the initiative of the employer". Stage 1. The Order



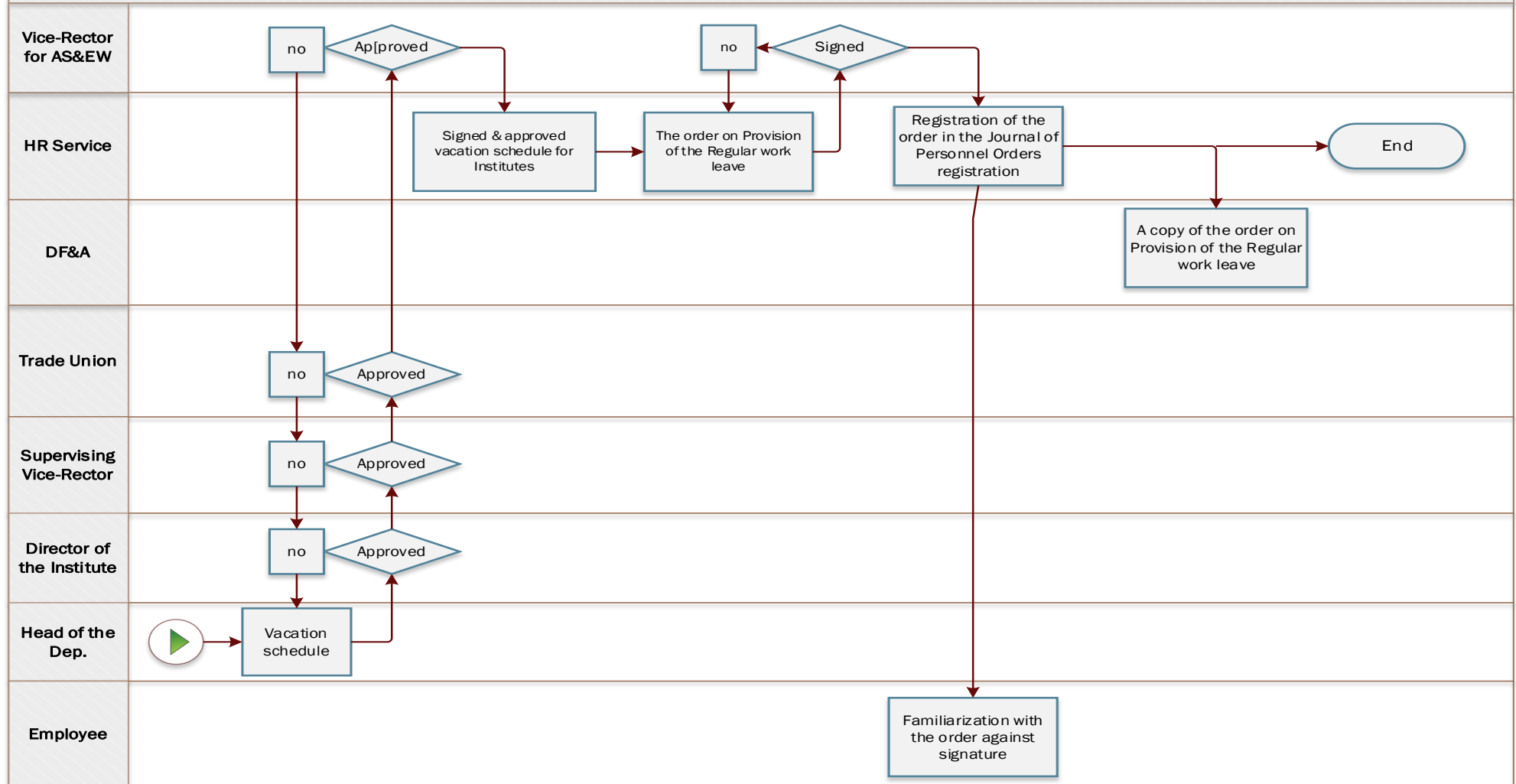
### Supplement 6

**Documented procedure 601 "Personnel". Business process "Dismissal of a faculty staff member at the initiative of the employer". Stage 2. Final**



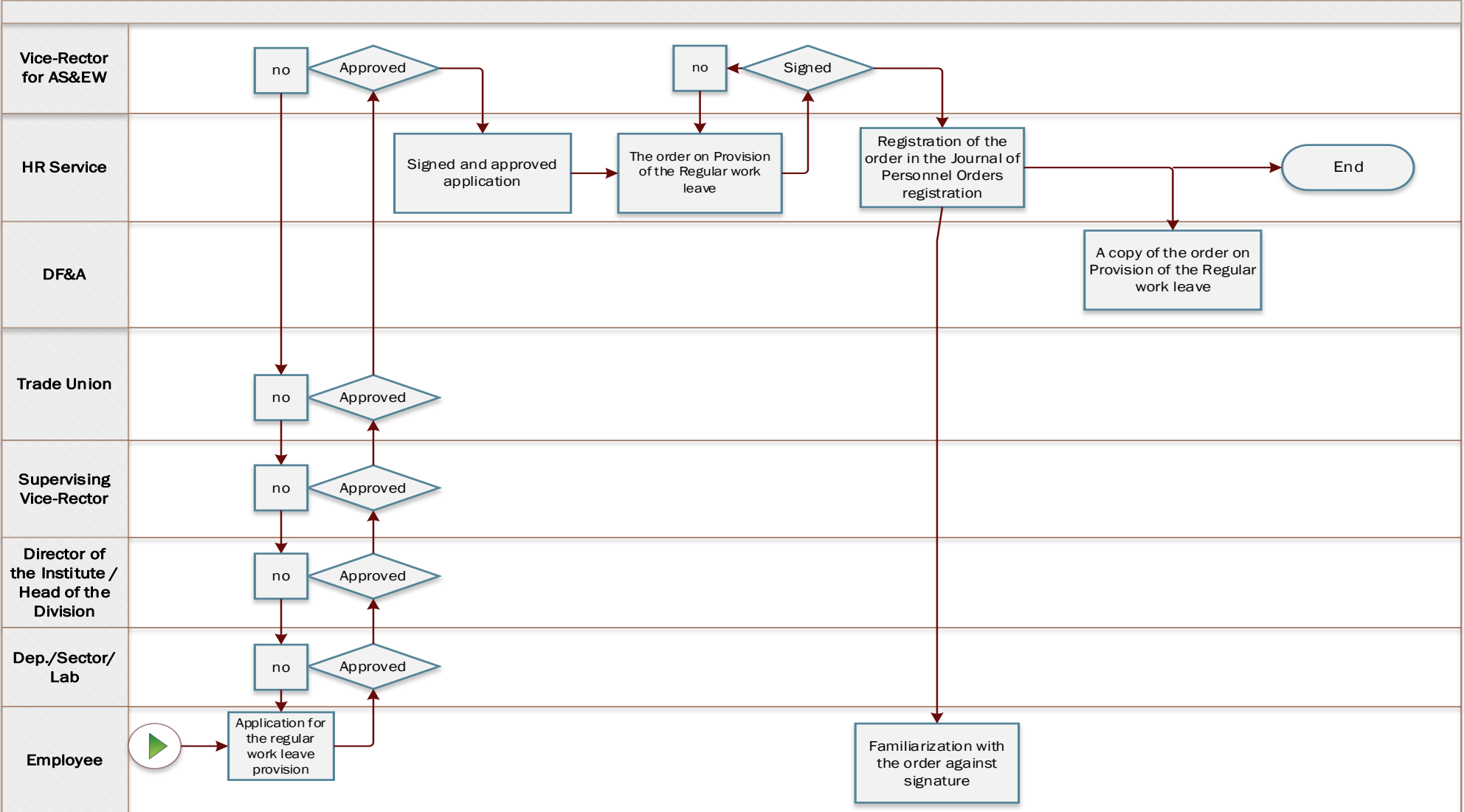
**Supplement 7**

**Documented procedure 601 "Personnel". Business process. Work leave. Faculty staff**



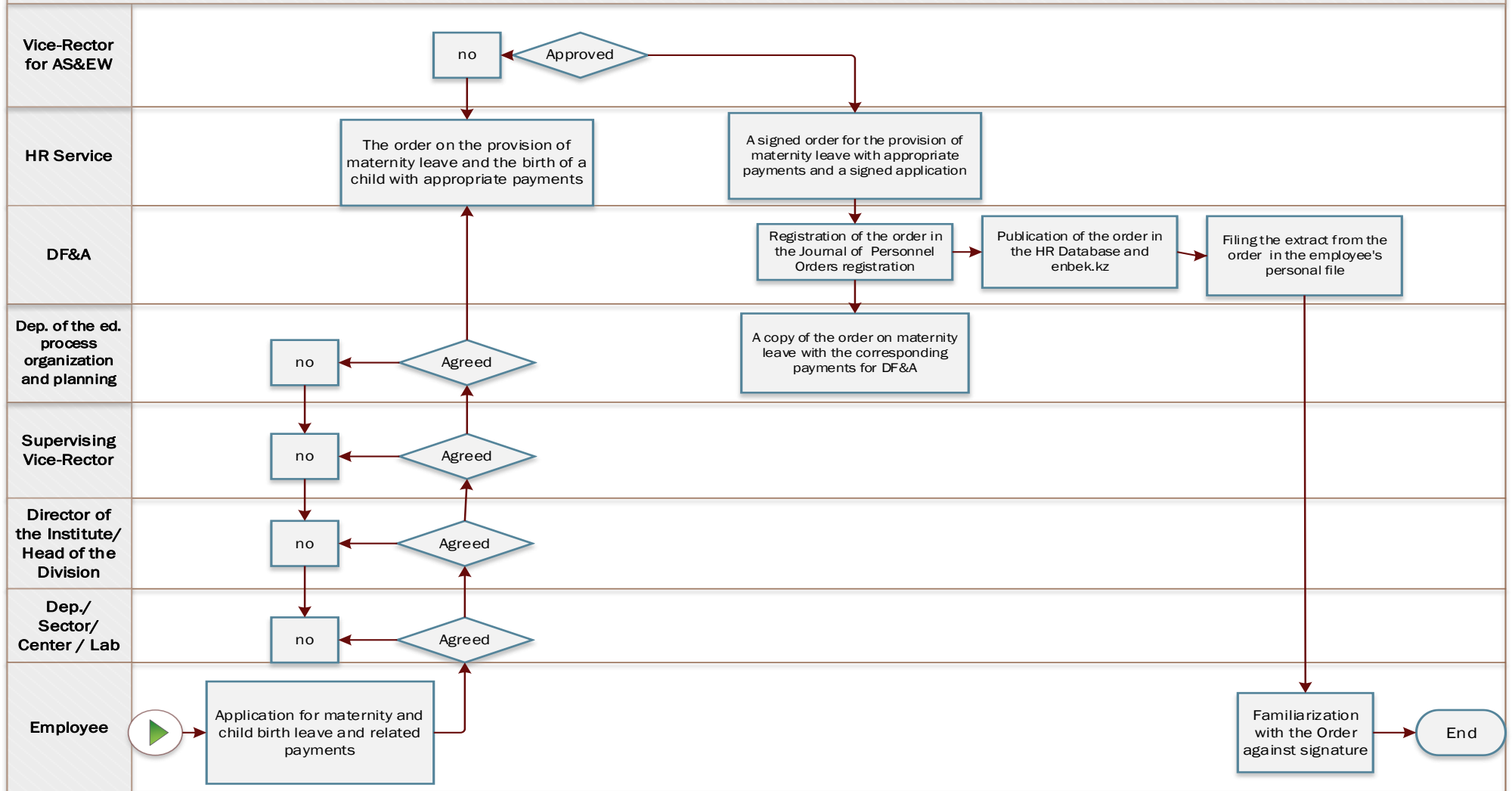
**Supplement 8**

**Documented procedure 601 "Personnel". Business process. Work leave. AMS, TSS, MS, Directors of Institutes, Deputy Directors of Institute, Heads of Departments**



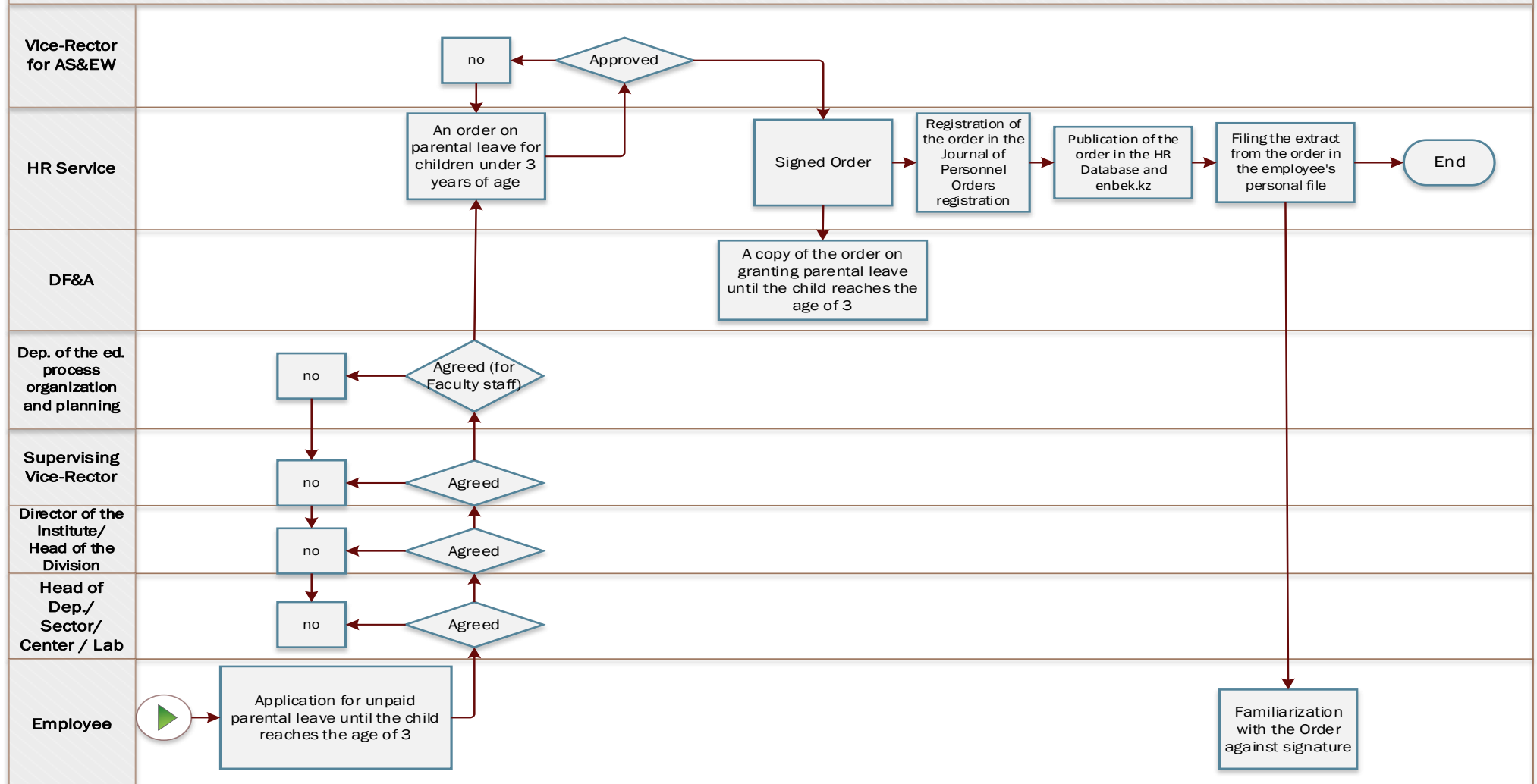
Supplement 9

Documented procedure 601 "Personnel". Business process. Maternity leave



**Supplement 10**

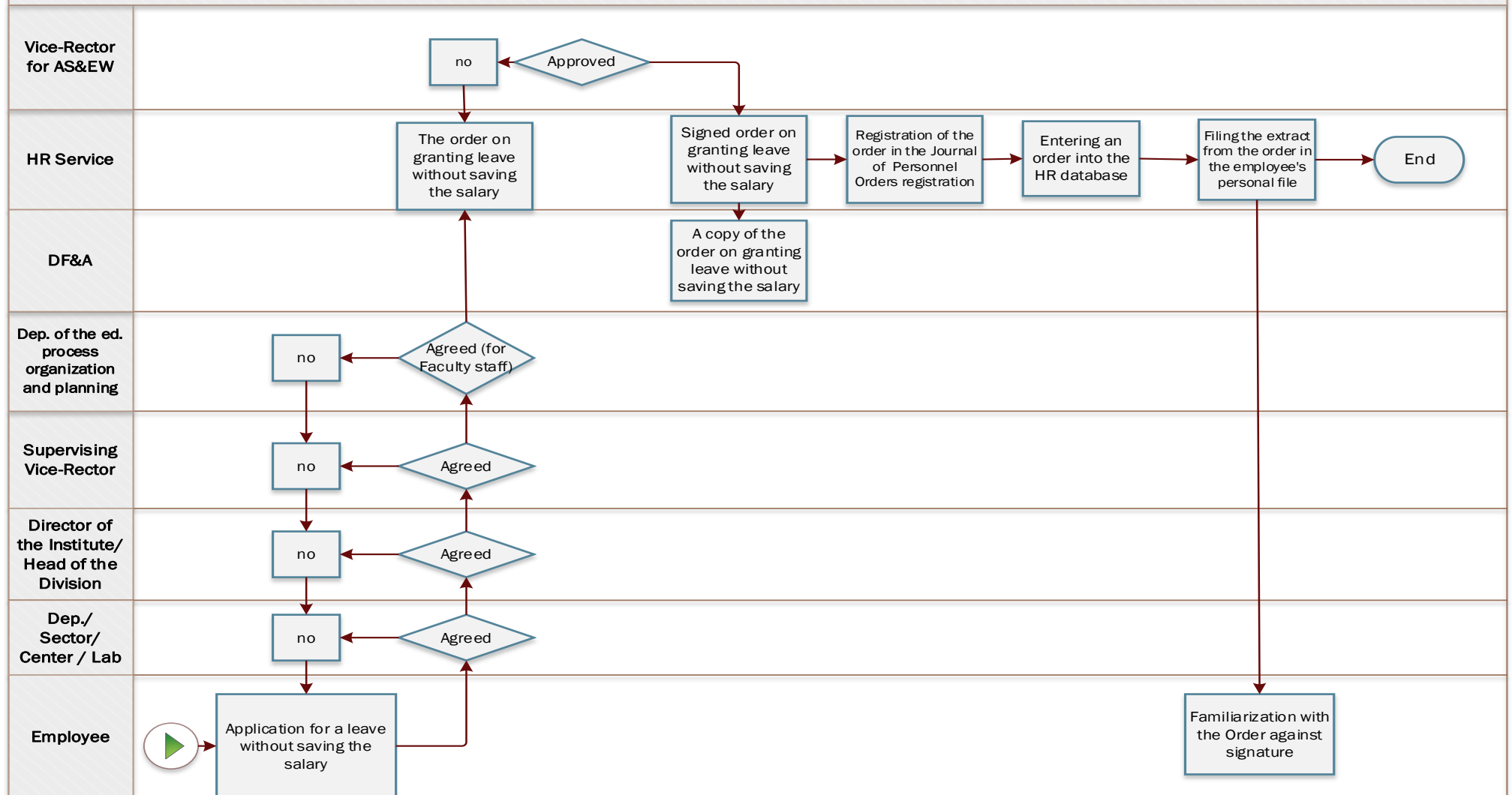
**Documented procedure 601 "Personnel". Business process. Parental leave**





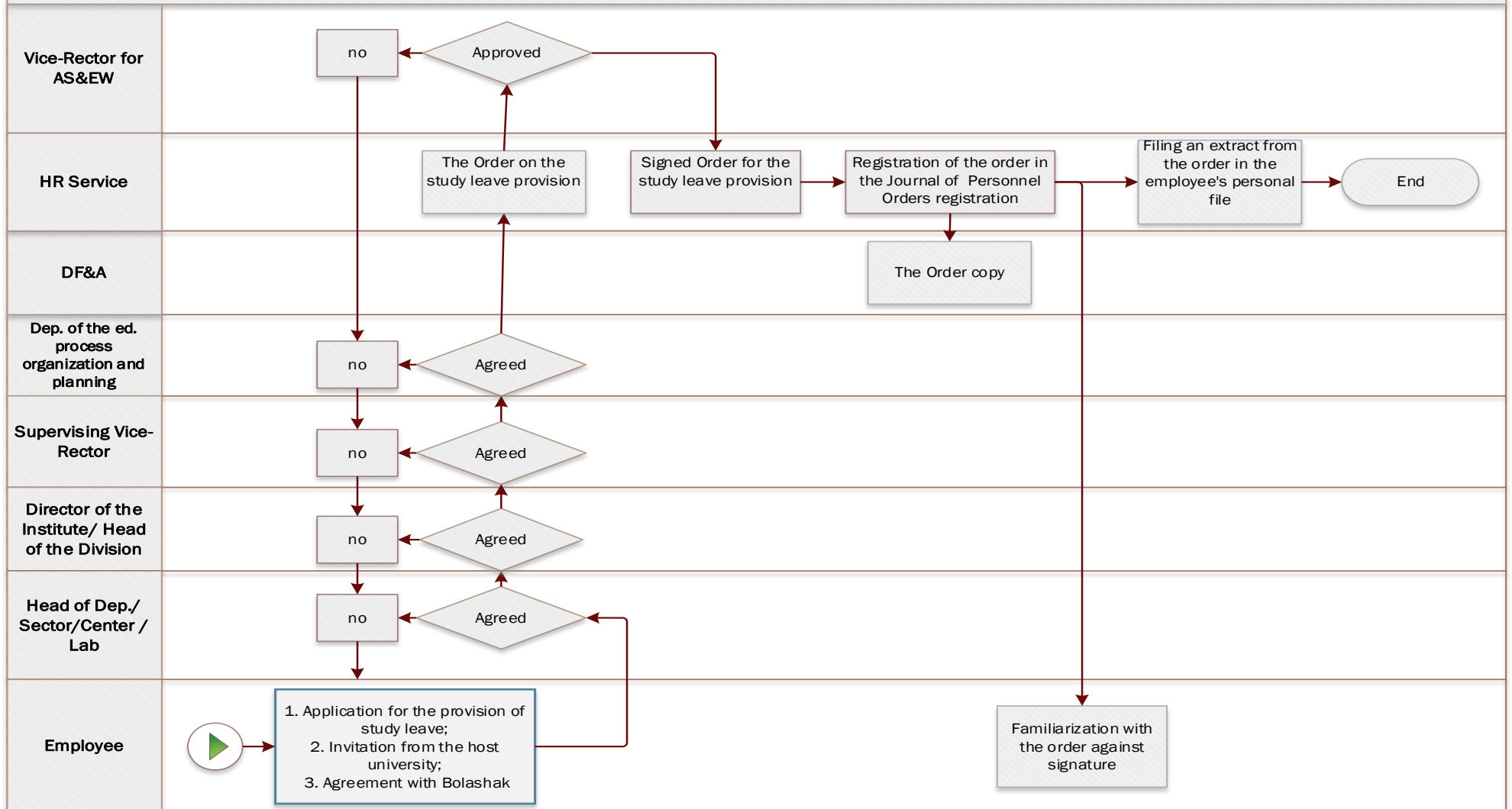
**Supplement 11**

**Documented procedure 601 "Personnel". Business process. Leave without pay**



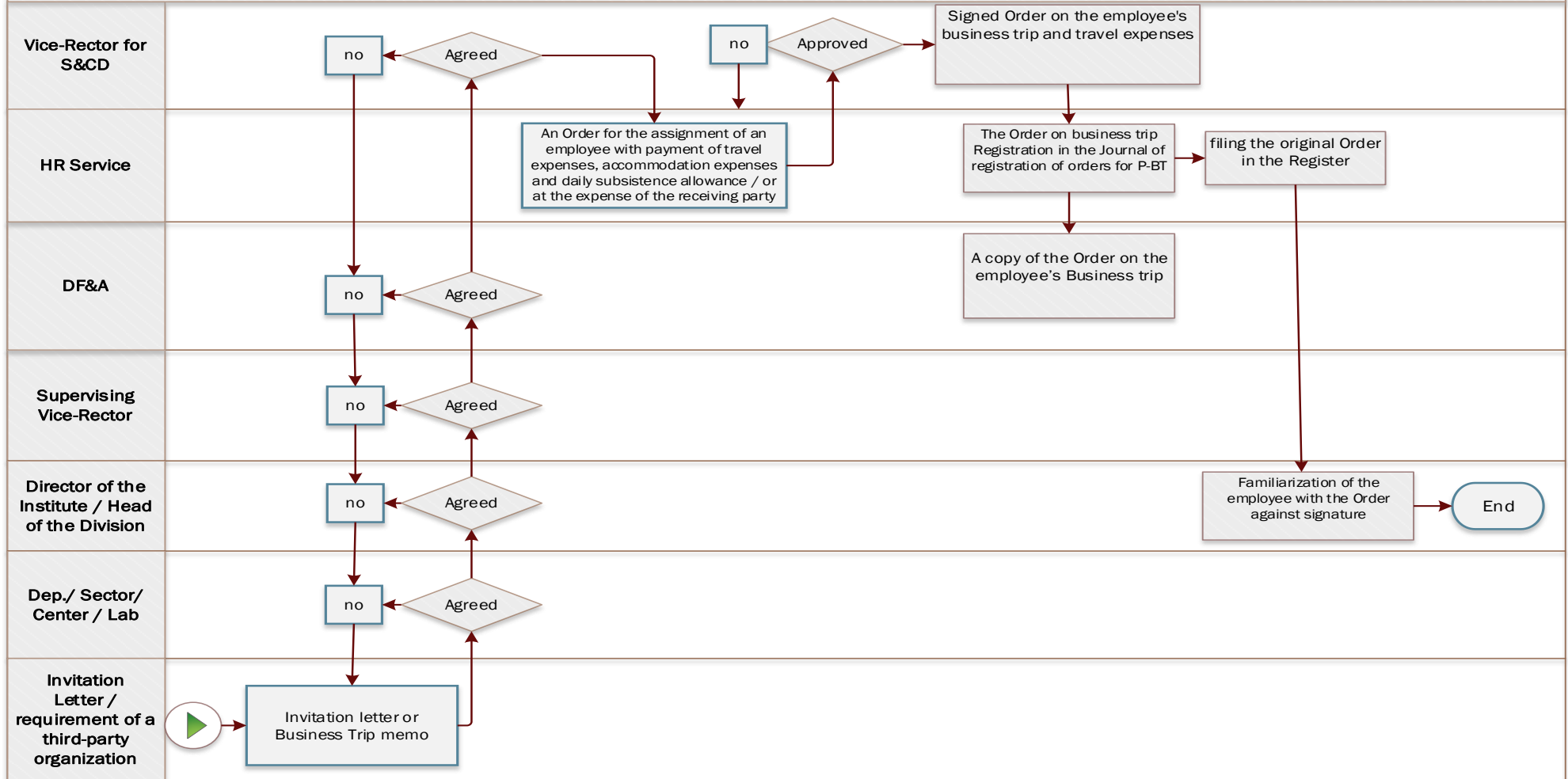
**Supplement 12**

**Documented procedure 601 "Personnel". Business process. Educational leave**



**Supplement 13**

**Documented procedure 601 "Personnel". Business process "Business Trip"**



## Change Registration Sheet

| Change order number | Section, paragraph of the document | Type of change (replace, cancel, add) | Notification number and date | Change made |   |
|---------------------|------------------------------------|---------------------------------------|------------------------------|-------------|---|
|                     |                                    |                                       |                              | Date        | Last name and initials, signature, position |
|                     |                                    |                                       |                              |             |   |