

 SATBAYEV UNIVERSITY	NON-COMMERCIAL JOINT STOCK COMPANY « KAZAKH NATIONAL RESEARCH TECHNICAL UNIVERSITY NAMED AFTER K.I.SATPAYEV »	
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**PERSONNEL POLICY OF
KAZNRTU NAMED AFTER K. I. SATBAYEV**

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FOREWORD

1 DEVELOPED by HR Service of NJSC "Kazakh National Research Technical University named after K.I. Satbayev"

2 AGREED

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1 GENERAL PROVISIONS

1.1 Personnel policy of NJSC “Kazakh National Research Technical University named after K. I. Satbayev” (hereinafter – the University) – a holistic, strategically oriented policy in the field of human resource management. The personnel policy is implemented in strict accordance with the requirements of the legislation of the Republic of Kazakhstan and internal acts of the University.

1.2 The personnel policy defines the goals and objectives in the field of work with the staff of the University, the principles, norms and rules of work with the personnel, and establishes the University's core values that define its corporate culture.

2 MAIN GOALS AND OBJECTIVES

2.1 **Purpose** of the University's Personnel policy is to create a system for the formation and development of the university's personnel, which has a high level of professionalism necessary to solve the strategic tasks, assigned to the University, the realization of its Mission.

2.2 Objectives of Personnel policy

To achieve the set goal, the following tasks need to be accomplished tasks:

- development of the regulatory framework for the University's Personnel policy;
- analyses (quantitative and qualitative) of the current provision of human resources, the state and development of human resources potential of the university;
- development of forecasts, determination of current and future needs for the university's human resources;
- organization and conducting of competitive selection of university employees, methodological and informational support, development of measures for the implementation of decisions of competitive commissions;
- formation of the personnel reserve and ensuring its effective use;
- development of proposals for creating conditions and stimulating University staff to professional growth.
- attracting, developing and retaining highly professional employees: introduction of advanced personnel management methods;

2.3 Principles of personnel policy

The main principles of the University's Personnel Policy are:

- strict compliance with the norms of the Constitution, labor legislation;
- democratic approach to University personnel management;
- equality of opportunities for growth (according to the principles of meritocracy) and the realization of professional potential, initiative and creativity of university staff;

- focus of personnel policy on the growth of professional competence of university staff, on stimulating their activities;
- high level of requirements and objectivity in personnel evaluation;
- continuity and consistency of the training process of the staff and reserve of the university;
- continuity and renewal of University personnel.

3 REGULATORY DOCUMENTS

- Constitution of the Republic of Kazakhstan;
- Law of the Republic of Kazakhstan “On Science and Technology Policy”;
- Law of the Republic of Kazakhstan “On countering corruption”;
- Law of the Republic of Kazakhstan ‘On Education’;
- Law of the Republic of Kazakhstan ‘On Languages’;
- Labor Code of the Republic of Kazakhstan;
- Standard rules of activity of organisations of higher and postgraduate education, approved by the order of the MES RK from 30.10.2018 №595, in the wording of the order of the Minister of Science and Higher Education of RK from 02.08.2023 №379;
- Charter of NJSC ‘Kazakh National Research Technical University named after K.I. Satbayev’;
- Quality policy of NJSC K. I. Satbayev KazNRTU;
- Code of Corporate Ethics (rules of service ethics of NJSC KazNRTU employees);
- Regulations for competitive filling of positions of directors of institutes of KazNITU named after K.I. Satbayev;

4 DEFENITION

The following terms are used in this document:

4.1 Personnel policy is an integral part of the strategic policy of the university.

It includes a system of norms and rules to bring the human resources potential in line with the university's goals and mission.

4.2 Personnel potential of the university - full-time employees and specialists who have labour relations with the university. Personnel work - activities of the administration, heads of structural divisions on planning, selection and creation of the university staffing, formation of the personnel reserve, training, evaluation of personnel performance, ensuring professional and job growth, rotation of personnel and their social protection.

4.3 Personnel reserve - a circle of promising persons from among doctoral students, young scientists, masters, employees for further personnel development and staffing of the University.

4.4 An employment instruction is a document that clearly defines the main duties, requirements, rights and responsibilities of an employee in the performance of his/her job duties. the Unified Qualification Directory is the basis for the development of job descriptions. Job descriptions are developed by the head of the subdivision for his/her direct subordinates and approved by the Rector. The first copy is kept in the Department of Strategic Planning, the second - in the structural subdivision, with signatures of familiarization.

5 MAIN DIRECTIONS OF IMPLEMENTATION OF THE PERSONNEL POLICY

The main directions of implementation of the Personnel Policy at the University are:

- planning of personnel needs;
- recruitment, adaptation and placement of personnel;
- evaluation of personnel;
- Personnel development (training, professional development);
- formation of the personnel reserve;
- preserving and maximizing the efficient use of human resources potential;
- motivation and stimulation of labor;
- creation of decent labor conditions;
- development of corporate culture;
- application of information technologies in the personnel management process.

5.1 Planning for staffing needs

To ensure the successful implementation of this direction, the following activities should be carried out:

- analyzing (quantitative and qualitative) the personnel structure, eliminating the duplication of functions between units within the University;
- improvement of normative and substantiated methods of determining the number of personnel by categories: teaching staff (TPS), administrative and managerial staff (AMS), educational and auxiliary staff (EAS), service and other staff (AS);
- headcount standards should become an effective tool for imbalances alignment and establishing the optimal number of all categories of employees;
- focus on the staff needs in the context of the University's development directions, taking into account the level of the staff turnover, the natural loss of the staff, and the additional need;

– continuous and regular assessment of the state of human resource capacity.

5.2 Staff selection, placement and adaptation

The selection and placement of personnel is based on a transparent procedure of competitive selection for vacant positions, providing equal opportunities to all candidates who meet the qualification requirements and an objective assessment of their professional qualities.

The main criteria for this are:

- high professionalism;
- integrity;
- focus on results;
- initiative;
- responsibility;
- aspiration for development and self-improvement;
- ability to work in a team;
- respect for colleagues and partners.

In appointing employees to positions, one of the main criteria for selecting a candidate is the performance of previous work, which proves and allows us to assume with confidence the effectiveness and success of his/her work in the new position.

Candidates for vacant positions are selected on the basis of the principles of gender equality, equality of race and nationalities, equality of social status, religion, political beliefs, principles of meritocracy, a reasonable combination of internal personnel reserve and external resources, while all other things being equal, preference will be given to “internal” candidates, thus expanding the opportunities for the implementation of career expectations of the University employees, forming a “social lift”.

Recruiting and selection of personnel can be carried out not only by the in-house HR Service, but also, if necessary, by using the services of professional recruitment agencies.

The Personnel policy involves the implementation of measures to adapt newly hired employees, contributing the effective use of their professional and creative potential.

Due to the specifics of the positions, the adaptation of new employees is carried out by managers and employees (mentors) of structural subdivisions in accordance with the established requirements and adaptation goals.

5.3 Personnel assessment

Periodic personnel assessment with the provision of the feedback to the employee on his/her professional performance and work behavior is a management tool that helps to plan, direct and motivate the activities of subordinates.

An objective assessment of personnel performance is carried out through:

- development of key performance indicators taking into account the specifics of each type of activity;

- development of performance evaluation systems for employees.

The results of an employee's performance evaluation are the basis for the pay increases, incentive payments, career advancement, enrolment in the talent pool, determination of training needs, and may also serve as grounds for transfer to another position and dismissal

5.4 Staff development

Continuous development of the University personnel (competences, titles, abilities, skills of employees) takes the leading place in ensuring the competitiveness and efficiency of the University.

An essential component of the professional development system is to raise the level of managerial competences among managers at all levels of university management.

The system of professional development includes training and internships, both directly at the University and outside it, in particular in foreign universities, as well as participation in Kazakhstani and international symposia, conferences, seminars, trainings, etc.

The objectives of professional development and relevant training programmes should be related to the objectives of the development of specific areas of the University's activities.

5.5 Formation of personnel reserve

Personnel reserve is a group of employees who have the ability to perform managerial activities and meet the requirements for a position of a particular rank. The creation and development of the personnel reserve involves the following tasks:

- development of criteria for assessing and organizing the selection of high-potential employees;

- development and implementation of individual development plans for employees in the personnel reserve;

- development and implementation of a system of rotation and replacement of positions, motivation of the rotation process of employees in the personnel reserve.

5.6 Preservation and maximum efficient use of human resources potential

The Personnel policy should create a basis for the preservation and effective use of the University's human resources potential. The realization of this task is possible through:

- optimization of the university's organizational structure by eliminating duplication of functions, small structural subdivisions;

- optimization of the number of personnel;

- harmonization of the university's staff schedule in accordance with the admission plan, student contingent, student training directions;

- arrangement of systematic work on training and professional development of teachers;
- involvement of faculty members in internal projects in the field of university development;
- arrangement of systematic work on reproduction of personnel potential, including: formation of conditions for attracting and retaining young faculty members and other employees, providing opportunities for their professional and career growth; active work in institutes on selection of promising students and young faculty members recommended for Master's and Doctoral studies;
- systematic work on the formation of an effective talent pool, including such forms as postgraduate and additional education;
- work to retain and retain highly qualified, experienced staff and faulty staff, forming the 'golden fund' of KazNRTU employees.

5.7 The rights and responsibilities of university employees in the implementation of the Personnel policy

5.7.1 Employees of the University have the right to:

- request and receive normative acts and necessary information on the University's personnel development;
- undergo professional development and internships to improve their professional level.

5.7.2 The staff of the University should:

- continuously improve their own level of professional qualification, study and implement best practices in accordance with the field of professional activity, as well as involve students, residents, masters and doctoral students of the University in this work;
- fulfil their official duties, conduct active scientific, teaching, methodological and educational work;
- all staff members from among the faculty staff who do not have academic degrees, during 5 years of work at the university it is recommended to study in doctoral studies to obtain a PhD degree;
- PhD doctors are recommended to obtain the academic title of associate professor (assistant professor) within 3 years after defending their PhD thesis;
- for realizing trilingual education actively study and improve the degree of language proficiency (state, Russian and English).

5.8 Motivation and stimulation

At the University, conditions for self-realization and effective work of the staff should be created, a team of professional, talented and active employees willing and able to bring maximum benefit to the University should be formed.

The motivation system should include the following elements:

- differentiated labor remuneration, taking into account the individual contribution of each employee to the final result of activity, both of a particular

structural unit and the university as a whole, as well as the result of his/her work on increasing the level of professionalism;

- a system of non-material motivation;
- opportunities for professional and career growth;
- opportunities for scientific, professional and creative self-realization.

The procedure for determining incentive payments to employees will be transparent and objective, and wages will be more predictable.

5.9 Creating decent working conditions

The effectiveness and success of labor is largely determined by the conditions created at the workplace.

The primary tasks that are addressed through the implementation of Personnel policy are:

- development of a well-thought-out layout of the university's subdivisions, which will make it possible to avoid spontaneous repurposing of individual premises and reduce associated non-production costs;
- organization of compulsory periodic medical examinations of employees, creation of an information database on the condition of classrooms and offices, which will serve as a basis for the development of a repair plan.

5.10 Developing a corporate culture

The objectives of this area are to:

- informing each employee of the Mission and strategic goals of the University;
- creation and development of corporate values and social norms regulating the behavior of the University employee, development of rules of corporate communication and corporate style;
- development and maintenance of an atmosphere conducive to innovative activity of the personnel;
- effective implementation of changes of any type, elimination of resistance on the part of personnel and motivation to achieve results;
- building staff loyalty.

5.11 Using information technologies in the process of HR Service's work.

For automating the work of the HR Service within the University, an information system (IS) is being created to automate the main areas of personnel management work:

- personnel accounting;
- personnel document management;
- automation of personnel search and recruitment processes;
- personnel training.

Automation of daily work on personnel records involves the creation of personnel databases integrated with the databases of other University services (accounting, registrar office).

Personnel document management is implemented in the framework of the EDMS used at the University and makes it possible to transfer the maintenance of personnel documents into a digital format. Information technologies make it possible to search for personnel in the Internet environment. Automation in the field of personnel training is aimed at self-education of personnel and involves the formation of scientific and practical base to ensure this process.

6 PROFESSIONAL DEVELOPMENT

High level of professional competences of the University staff is maintained and developed in the system of continuous training and professional development aimed at the implementation of the University's strategic objectives.

The main focus of this process is on in-house training, which comes in a variety of forms:

- on-the-job training;
- mentoring;
- intra-university seminars and trainings;
- master-classes for employees with the involvement of leading domestic and foreign specialists.

Learning is planned and conducted in order to prepare for the challenges facing the University and to improve the professional level of the staff.

7 EMPLOYEE MOTIVATION AND REMUNERATION ON LABOR RESULTS

7.1 Motivation of university employees is a fair assessment of the contribution of each employee, stimulating employees to achieve the tasks set before them with a high degree of effectiveness and efficiency.

7.2 To achieve this objective the following arrangements are required to be realized:

- implementation of monitoring and control over the implementation of set tasks and goals, a system for assessing the performance of employees;
- implementation of a motivating and transparent remuneration system based on the level of qualification, competence and performance of employees;
- motivation of the faculty staff to conduct scientific research, corporate and educational work;
- provision of employees with various social payments, material incentives and assistance in special cases, ensuring social guarantees and standards of social protection of workers;
- non-material motivation through recognition of employees' merits for high performance, as well as the introduction of a system for presenting employees for corporate, state and other awards and distinctions

8 «GOLDEN FUND» KAZNRTU EMPLOYEES

The main purpose of forming the 'golden fund' of the university staff is to preserve and maximize the use of highly qualified and experienced staff, effective transfer of professional experience to young staff and teachers. An open-ended labor contract is concluded with the employees included in the 'golden fund' of the University. There are a number of requirements for inclusion in the 'golden fund':

8.1 For the faculty staff: assessment of scientific, pedagogical, expert activities and length of service at the university:

- length of service at KazNRTU named after K.I. Satpayev – from thirty years or more;
- availability of an academic degree and academic title;
- development of textbooks, teaching aids for higher and/or postgraduate education, recommended by the Educational and Methodological Association in the areas of training;
- publication of monographs on issues of higher and/or postgraduate education recommended by the Academic Council of the organisation in the fields of training;
- availability of publications in cited scientific publications Q1, Q2;
- availability of articles in journals with non-zero impact indexed in international databases;
- management of defended dissertation works;
- management of international and / or republican scientific, scientific and technical programmes, grant funding projects
- availability of the implemented scientific result under the contract with foreign and / or republican organizations;
- availability of departmental and governmental awards of the RK, KazSSR, USSR, internal awards of KazNRTU named after K.I. Satbayev.

9 RISK MANAGEMENT

The effectiveness of the work of employees depends on the constant monitoring and consideration of various internal and external risk factors.

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

Both the external and internal environment serves as a source of risks.

The main reasons of risk, on the one hand - objective incompleteness or insufficiency of information, on the other hand - subjective perception of information and the possibility of making the wrong decision by a manager or employee, insufficient familiarity of the employee with the internal policy of the University

Name and risk description	Reasons of risk	Consequences of risk	Risk prevention and reduction measures	Supporting documents
Staff turnover	Lack of motivation and stimulation of staff activities	Reduction in the number of professional and qualified employees	Motivation and stimulation of personnel activity, carrying out activities to improve the qualifications of employees.	Employment contract, the University's regulatory documents on motivation and incentives for employees.
Submission of knowingly false information about oneself by an applicant for a vacant position	Lack of thoroughness in examining the documents submitted by the applicant.	Recruiting under-qualified staff or even staff who are not eligible to work at the university	Requirement of a complete set of documents from the applicant prior to execution of the Labor Agreement. Inclusion of items containing full information about the applicant in the Personal Sheets. Requesting information from previous employers about newly hired employees.	Complete application package, including completed personal references, character references, letters of recommendation, and CV.
Theft of material assets of the university	Lack of control	Financial losses, material damage to the university	Signing of a contract on material liability	Contract
Violation of confidentiality of information	Intentional/unintentional disclosure of confidential information by a staff member	Distorted image of the University, loss of image	Signing of confidentiality agreement	Agreement
Non-compliance of the employee with the qualification requirements of the position held	Subjective approach in a certain position and salary of an employee	Irrational and inefficient effective utilization of personnel	Approval of Personnel Selection Rules for each category of employees. Approval of unified criteria for determining the salary level of employees	Regulatory documents on selection of employees. Qualification requirements for the positions of KazNRTU. Indicators and criteria for determining the level of official salary.

Amendment record sheet

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

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