**MINISTRY OF HEALTH OF THE REPUBLIC OF KAZAKHSTAN**

**RSE on REM "RESEARCH INSTITUTE FOR BIOLOGICAL SAFETY PROBLEMS"**

**APPROVED BY**

**Acting Director General of**

**"Research Institute for
Biological Safety Problems”**

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***Q U A L I T Y M A N A G E M E N T S Y S T E M***

**REGULATIONS ON THE ANTI-CORRUPTION COMPLIANCE SERVICE OF RSE on REM "RESEARCH INSTITUTE FOR BIOLOGICAL SAFETY PROBLEMS" OF THE MINISTRY OF HEALTH OF THE REPUBLIC OF KAZAKHSTAN**

**P-QMS-RIBSP-25.0-2023**

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|  | Verification period | – | 2025  |

**Gvardeyskiy**

**Zhambyl region, 2023**

**1. General Provisions**

1. This Regulation on the Anti-Corruption Compliance Service in the RSE on the REM "Research Institute for Biological Safety Problems" of the Ministry of Health of the Republic of Kazakhstan (hereinafter referred to as the Regulation and the Enterprise) has been developed in accordance with paragraph 3 of Article 16 of the Law of the Republic of Kazakhstan "On Combating Corruption" (hereinafter referred to as the Law) and the Model Regulation on Anti-Corruption Compliance Services in Quasi-Public Sector Entities (hereinafter referred to as the Model Regulation).

2. This Regulation defines the goals, objectives, principles, functions and powers of the compliance service (responsible person) in the Enterprise.

3. The following basic concepts are used in this Regulation:

1) anti-corruption compliance - a function to ensure compliance by quasi-public sector entities and its employees with the legislation of the Republic of Kazakhstan on combating corruption;

2) internal analysis of corruption risks - identification and study of the causes and conditions conducive to the commission of corruption offenses;

3) conflict of interest - a contradiction between the personal interests of persons holding a responsible public position, persons authorized to perform state functions, persons equated to them, officials and their official powers, in which the personal interests of these persons may lead to non-performance and (or) improper performance of their official duties;

4) corruption offense - an unlawful offence (action or inaction) that has signs of corruption, for which administrative or criminal liability is established by law;

5) corruption risk - the possibility of occurrence of causes and conditions conducive to the commission of corruption offenses;

6) prevention of corruption - the activities of anti-corruption entities to study, identify, limit and eliminate the causes and conditions conducive to the commission of corruption offenses, through the development and implementation of a system of preventive measures;

7) authorized body for combating corruption - a state body that carries out the formation and implementation of the anti-corruption policy of the Republic of Kazakhstan and coordination in the field of combating corruption, as well as the prevention, detection, suppression, disclosure and investigation of corruption offenses, and its territorial divisions.

4. The Enterprise shall determine a structural unit or responsible person (compliance officer) performing the functions of an anti-corruption compliance service, the main task of which is to ensure compliance of the Enterprise and its employees with the legislation of the Republic of Kazakhstan on combating corruption. At the same time, the responsible person performing the functions of the anti-corruption compliance service is determined taking into account the potential conflict of interest.

5. A structural unit or a responsible person (compliance officer) performing the functions of an anti-corruption compliance service shall be determined by the decision of the attestation commission of the Enterprise, in the absence of a commission, by the General Director of the Enterprise.

6. The anti-corruption compliance service (compliance officer) shall exercise its powers independently of the executive body, officials of the Enterprise, shall be accountable to the General Director and shall be independent in ensuring compliance with the requirements of the legislation of the Republic of Kazakhstan on combating corruption.

7. Methodological support to the anti-corruption compliance service (compliance officer) shall be provided by the authorized anti-corruption body and its territorial subdivisions.

8. It is not allowed to combine the functions of the anti-corruption compliance service with the functions of other structural divisions of the Enterprise.

**2. Goals, objectives, principles, functions and powers of anti-corruption compliance services (compliance officer)**

9. The main purpose of the activities of the anti-corruption compliance service (compliance officer) is to ensure compliance by the Enterprise and its employees with the legislation of the Republic of Kazakhstan on combating corruption.

10. Tasks of the anti-corruption compliance service (compliance officer):

1) ensuring the introduction of tools for the prevention and prevention of corruption offenses by the Enterprise and its employees;

2) effective implementation of the system of anti-corruption measures in the Enterprise;

3) conducting an internal analysis of corruption risks in the Enterprise;

5) ensuring compliance with the basic principles of combating corruption in accordance with the Law.

11. The Enterprise, when implementing and performing anti-corruption compliance functions, shall be guided by the following principles:

1) the sufficiency of powers and resources allocated to perform the functions of anti-corruption compliance;

2) the interest of management in the effectiveness of anti-corruption compliance;

3) information transparency of the activities of the anti-corruption compliance service;

4) independence of the anti-corruption compliance service (compliance officer);

5) continuity of anti-corruption compliance;

6) improvement of anti-corruption compliance;

7) continuous improvement of the competencies of specialists performing the functions of anti-corruption compliance.

12. Functions of the anti-corruption compliance service (compliance officer):

1) ensure the development of:

the Enterprise's internal anti-corruption policy;

anti-corruption instructions for employees of the Enterprise;

internal policy for identifying and resolving conflicts of interest in the Enterprise;

anti-corruption standard, in accordance with anti-corruption legislation;

internal anti-corruption action plan;

a document regulating the procedure for informing employees of the Enterprise about facts or possible violations of anti-corruption legislation;

a document regulating issues of corporate ethics and conduct;

2) collects, processes, summarizes, analyzes and evaluates information relating to the effectiveness of the anti-corruption policy in the Enterprise;

3) participates in the external analysis of corruption risks in the activities of the Enterprise, carried out by a joint decision of the first heads of the authorized body for combating corruption and the Enterprise;

4) monitor the identified corruption risks in the Enterprise and the measures taken to mitigate and eliminate them;

5) conducts explanatory activities on anti-corruption issues and the formation of an anti-corruption culture in the Enterprise;

6) organize anti-corruption training seminars for employees of the Enterprise;

7) ensure control over compliance by employees of the Enterprise with the anti-corruption policy and issues of corporate ethics and behavior;

8) contributes to the formation of a culture of relationships that meets generally accepted moral and ethical standards in the staff of the Enterprise;

9) ensure compliance by persons equated with persons authorized to perform state functions, financial control measures and anti-corruption restrictions established by the Law, within the competence of the anti-corruption compliance service (compliance officer);

10) develop and monitor the implementation of the internal action plan on anti-corruption issues by the structural divisions of the Enterprise;

11) take measures to identify, monitor and resolve conflicts of interest, including in matters of employment, procurement and business processes of the Enterprise;

12) take measures to resolve the issues of giving and receiving gifts in the Enterprise;

13) carry out a comprehensive due diligence of counterparties;

14) conducts official inspections on the basis of appeals (complaints) about the facts of corruption in the Enterprise and / or participates in them;

15) monitors and analyzes changes in anti-corruption legislation, judicial practice in cases related to corruption in the Enterprise;

16) assesses the effectiveness of the implementation of anti-corruption measures by structural units and employees of the Enterprise;

17) hears information from structural divisions and employees of the Enterprise on anti-corruption issues;

18) make recommendations to the General Director on the elimination of identified corruption risks, improving the efficiency of internal processes for organizing the activities of the Enterprise;

19) depending on the specifics of the Enterprise's activities, performs functions related to compliance, business ethics, sustainable development, if such functions do not affect independence and do not create a conflict of interest;

20) interact with the authorized body for combating corruption and state bodies, quasi-public sector entities, public associations, as well as other individuals and legal entities.

21. By the decision of the attestation commission of the Enterprise, in the absence of a commission, the head of the anti-corruption compliance service (compliance officer) shall be appointed as the General Director of the Enterprise and the term of his powers, the amount of remuneration and remuneration shall be determined.

14. The head of the anti-corruption compliance service (compliance officer) shall ensure the fulfillment of the tasks assigned to the anti-corruption compliance service.

15. By the decision of the General Director of the Enterprise, on the recommendation of the head of the anti-corruption compliance service (compliance officer), the structure, staffing (quantitative composition), term of office, work procedure and other conditions of remuneration of employees of the anti-corruption compliance service shall be determined and their appointment shall be made.

16. The functional duties, rights and responsibilities of the head (compliance officer) and employees of the anti-corruption compliance service shall be determined by job descriptions or documents defining the official rights and obligations of the employee, developed on the basis of the Regulations on anti-corruption compliance services and approved by the General Director of the Enterprise.

17. The head of the anti-corruption compliance service (compliance officer) shall submit to the attestation commission a proposal on the structure and staffing of the anti-corruption compliance service, in the absence of the commission, to the General Director of the Enterprise.

18. Documents and requests sent on behalf of the anti-corruption compliance service (compliance officer) to other structural divisions of the Enterprise, departments and subordinate organizations on issues within the competence of the anti-corruption compliance service (compliance officer) shall be signed by the head of the anti-corruption compliance service (compliance officer).

19. The head (compliance officer) and employees of the anti-corruption compliance service shall constantly improve their professional qualifications by participating in training events conducted by authorized bodies and professional organizations in the field of compliance.

20. Within the framework of its activities, the Anti-Corruption Compliance Service (Compliance Officer) shall:

1) request and receive information and materials from the structural divisions of the Enterprise, including those constituting commercial and official secrets;

2) initiates the submission of issues within their competence for consideration by the General Director of the Enterprise;

3) conduct official inspections on incoming reports of possible corruption offenses or violations of the legislation of the Republic of Kazakhstan on combating corruption;

4) require managers and other employees of the Enterprise to submit written explanations within the framework of official investigations;

5) develop proposals for improving the anti-corruption legislation of the Republic of Kazakhstan and send them to the authorized body for combating corruption;

6) participates in the development of draft internal documents within its competence;

7) create information channels for informing employees of the Enterprise about the facts of the presence or potential possibility of violation of anti-corruption legislation in the Enterprise, or making proposals to improve the effectiveness of anti-corruption measures in the Enterprise;

21. In carrying out its activities, the anti-corruption compliance service (compliance officer) shall:

1) maintain the confidentiality of information about the Enterprise and its affiliates, insider information that became known during the period of exercising the functions of anti-corruption compliance, if it does not contain data on an impending and (or) committed corruption offense;

2) ensure the confidentiality of persons who have applied for alleged or actual facts of corruption, violations of the corporate code of ethics and other internal documents on anti-corruption issues in the Enterprise;

3) timely inform the General Director of the Enterprise about any situations related to the presence or potential possibility of violation of anti-corruption legislation;

4) bring to the attention of the authorized body for combating corruption about the cases of preparing, committing or committed corruption offenses that have become known;

5) does not interfere with the established mode of operation of the Enterprise;

6) comply with official and professional ethics.

22. Employees of the anti-corruption compliance service (compliance officer) shall not:

1) participate in inspections of the processes in which they participated during the previous three years;

2) engage in activities that could prejudice the impartiality of the inspection or be perceived as causing such damage;

3) use confidential information for personal interests;

4) violate the norms of business ethics;

5) accept gifts and use services, as a result of which the independence, objectivity and impartiality of the anti-corruption compliance service (compliance officer) may be damaged or which may be perceived as causing such damage;

6) take part in inspections, internal investigations and other activities that may lead to a conflict of interest.

23. The management of the Enterprise shall:

1) contribute to the creation of an effective environment for the activities of the anti-corruption compliance service (compliance officer), assist in the implementation of its goals, objectives, functions and responsibilities, in the exercise of rights;

2) carry out administrative (organizational and technical) support for the activities of the anti-corruption compliance service (compliance officer), including providing the necessary opportunities, assets and resources for its activities, including information systems and applications (access to the necessary databases) and other goods, works, services;

3) provide the head (compliance officer) and employees of the anti-corruption compliance service with training and certification opportunities on the activities of the anti-corruption compliance service, social and communication skills and competencies.

24. The interaction of the anti-corruption compliance service (compliance officer) with the structural divisions of the Enterprise shall be based on mutual courtesy and correctness in work.

25. Employees of the structural divisions of the Enterprise shall assist the anti-corruption compliance service (compliance officer) by:

1) provision of documents and information necessary for the implementation of the tasks and functions of the anti-corruption compliance service (complanation officer), taking into account the features established by subparagraph 1) of paragraph 14 of the Model Regulations;

2) objective discussion of the identified risks and violations;

3) joint solution of emerging issues and problems.

**3. Reporting of anti-corruption compliance services**

26. The anti-corruption compliance service (compliance officer) shall quarterly send information on the anti-corruption measures taken in the Enterprise to the authorized anti-corruption body.

At the request of the authorized anti-corruption body, additional information is sent on the anti-corruption measures taken in the Enterprise.

37. The Anti-Corruption Compliance Service (Compliance Officer) shall periodically report to the General Director of the Enterprise.

In the event of possible corruption offenses on the part of the General Director of the Enterprise, the anti-corruption compliance service (compliance officer) applies to the authorized state bodies in accordance with paragraph 1 of Article 24 of the Law.

DP-QMS-RIBSP-1.0-2022/third edition/

Appendix E

**CHANGE REGISTRATION SHEET**

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| **№****p / n** | **Decision to amend** | **No. of the section, subsection, paragraph to which the changes apply** | **Sheet numbers** | **Total sheets** | **Page Number** | **Date of modification**  | **The person making the changes** |
| **The document on the basis of which the changes are made** | **Identification** **code** | **Changed** | **New** | **Cancelled** | **Full name** | **Signature** |
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Appendix D

**REVIEW WORKSHEET**

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