

**MINISTRY OF SCIENCE AND HIGHER EDUCATION OF THE  
REPUBLIC Kazakhstan  
NAO "Aktobe Regional University named after K. Zhubanov"**

"APPROVED"  
by the Board's decision  
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**PERSONNEL POLICY**

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**THE PREFACE**  
**DEVELOPED BY the HR Department**

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## **Content**

1. General provisions.....	4
2. Main goals and objectives.....	4
3. Regulatory documents.....	5
4. Basic concepts.....	5
5. Main directions of personnel policy implementation.....	6
6. Procedure for appointment of administrative and managerial personnel.....	10
7. Appointment procedure for teaching staff and researchers.....	12
8. The rights, duties and responsibilities of university managers and staff in the implementation of personnel policy.....	12
9. Criteria for evaluating the implementation of HR policy directions.....	13
10. Risk management.....	14

## **1. General provisions**

1.1. The personnel policy of NAO Aktobe Regional University named after K.Zhubanov (hereinafter referred to as the University) is 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 HR policy defines the goals and objectives in the field of work with personnel. The principles, norms and rules of work with the staff of the University consolidate the core values of the University, defining its corporate culture.

1.3 The mission of HR Policy is to provide the necessary number of staff with the right qualifications and motivation to work in order to implement University strategies.

1.4 The personnel policy is developed by the university's top management and defines the basics of working with personnel and their requirements. The personnel policy of the University is reflected in the Charter, Internal Labor Regulations and other internal Regulations.

1.5 The personnel policy implemented at the K.Zhubanov ARU is designed to strengthen the confidence of employees in the relevance of their work, fair evaluation of activities to ensure the long-term high economic potential of the University, the preservation and enhancement of its intellectual capital.

## **2. Main goals and objectives**

2.1 The purpose of the University's Personnel Policy is to create a system for the formation and development of the University's personnel with a high level of professionalism necessary to solve the strategic tasks set for the University and to realize its Mission.

2.2 In order to achieve this goal, it is necessary to solve the following tasks:

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

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

- a 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;

- the 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 assessment;
- continuity and consistency of the personnel training process and the personnel reserve of the University;
- succession and renewal of University staff;
- maintaining a favorable psychological climate in the University's workforce.

### **3. Regulatory documents**

- 3.1. The Constitution of the Republic of Kazakhstan (adopted in a national referendum on August 30, 1995).
- 3.2. Labor Code of the Republic of Kazakhstan dated November 23, 2015 No. 414 V
- 3.3. Law of the Republic of Kazakhstan dated July 27, 2007 No. 319-III "On Education".
- 3.4. The Law of the Republic of Kazakhstan dated February 18, 2011 No. 407-IV "On Science".
- 3.5 The Law of the Republic of Kazakhstan dated November 18, 2015 No. 410-V "On Combating Corruption".
- 3.6 Order of the Ministry of Education and Science of the Republic of Kazakhstan dated 10/30/2018 No. 595 "On Approval of Standard Rules for the activities of educational organizations of appropriate types" (Appendix No. 5 "Standard Rules for the activities of educational organizations implementing educational programs of higher and (or) postgraduate education"), (with amendments and additions by Order of the Ministry of Education and Science of the Republic of Kazakhstan No. 207 dated 05/18/20 and No. 414 dated 09/25/20);
- 3.7 Order of the Ministry of Education and Science of the Republic of Kazakhstan dated 06/17/2015 No. 391 "On approval of qualification requirements for educational activities and a list of documents confirming compliance with them" in revision of the Order of the Minister of Education and Science of the Republic of Kazakhstan dated 06/05/2020 No. 231;
- 3.8 The rules of competitive replacement of positions of the teaching staff and researchers of the NAO Aktobe Regional University named after K. Zhubanov.
- 3.9 The Charter of the University, as well as other regulatory documents regulating the educational activities of universities.

### **4. Basic concepts**

**The following concepts are used in this document:**

- 4.1. Personnel policy is an integral part of the strategic policy of the university, which includes a system of norms and rules that allows bringing human resources in line with the goals and mission of the university.
- 4.2. Personnel potential of the university – staff members and specialists who have entered into an employment relationship with the university.

4.3. Staffing is a system of principles, forms and methods of forming the necessary quantitative and qualitative staff, aimed at improving human resources and its effective use.

4.4. Personnel work is the activity of administrative and managerial personnel in planning, selecting and creating university personnel, forming a personnel reserve, training, and evaluating work personnel, ensuring professional and job growth, staff rotation and their social protection.

4.5. Qualification - the degree and type of professional training of an employee, the availability of knowledge, skills and abilities necessary to perform a particular job.

4.6. The personnel reserve is a circle of promising people from among doctoral students, young scientists, masters, employees for further personnel development and staffing of the university.

4.7. Corporate culture is a system of corporate values, work style and norms of behavior shared by the majority of employees University;

4.8. Job description is an organizational and legal document that defines the main functions, duties, rights and responsibilities of an employee of an organization when carrying out activities in a certain position.

5. Main directions of personnel policy implementation The main directions of the Personnel Policy implementation at the University are:

- the personnel support system;
- recruitment, placement and adaptation of staff;
- personnel assessment and development (training, advanced training);
- formation and training of the personnel reserve;
- preservation and maximum effective use of human resources;
- motivation and stimulation of work;
- creation of decent working conditions;
- development of corporate culture.

### **5.1 Staffing system**

5.1.1 The personnel management system is based on the structural divisions of the university that interact with each other and ensure the implementation of the principles of Personnel policy.

5.1.2. The University's personnel policy is implemented by structural divisions based on long-term professional development plans. every senior and scientific-pedagogical employee of the university.

5.1.3. Long-term planning (for a period of at least 3 years) is carried out in order to bring the personnel of the unit to high-quality standards (settling down, average age, effectiveness of educational and methodological work, research and development, etc.).

5.1.4 Planning of personnel needs is carried out through the following measures:

- analysis (quantitative and qualitative) of the personnel structure, elimination of duplication of functions between departments within the University;
- improvement of normative-based methods for determining the number of staff by category: teaching staff (teaching staff), administrative and managerial staff (AUP), teaching and support staff (ATC), maintenance and other personnel (OP); -

standards of numbers should become an effective tool for balancing imbalances and establishing the optimal number of all categories of employees;

- focus on personnel needs in the context of development directions University, taking into account the level of turnover, natural staff loss, additional needs;
- constant and regular assessment of the state of human resources.

5.1.5. Personnel training and advanced training are carried out through Master's, doctoral, and additional education programs.

5.1.6. The activities carried out by the HR support system and aimed at solving the tasks of the HR policy include:

- 1) Master's degree training;
- 2) advanced training of the university's management staff (rector and vice-rectors of the university, deans, deputy deans, heads of departments, heads of structural divisions);
- 3) professional development of university teachers;
- 4) an invitation to hire highly qualified personnel, including those with knowledge of the English language (if they have a certificate).

## **5.2 Recruitment, placement and adaptation of personnel**

5.2.1 Personnel selection and placement is carried out through interviews and on the basis of a transparent competitive selection procedure for teaching staff and researchers to fill vacant positions, providing equal opportunities for all candidates who meet the required qualification requirements to objectively assess their professional qualities.

5.2.2. The main criteria are:

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

5.2.3. When appointing employees to positions, one of the main criteria for selecting a candidate is the effectiveness of previous work, which proves and allows us to confidently assume the effectiveness and success of his work in the new position. The selection of candidates for vacant positions is based on the principles of gender equality, equality of races and nationalities, and equality of social status., religious beliefs, 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 realizing the career expectations of University employees, forming a "social elevator".

5.2.4. Personnel policy involves the implementation of measures to adapt new employed employees, contributing to the effective use of their professional and creative potential. Due to the specifics The adaptation of new employees is carried

out by managers and employees (mentors) of structural divisions in accordance with the established requirements and adaptation goals.

### 5.3 Personnel assessment and development

5.3.1 Periodic staff assessment with the provision of feedback to the employee on his professional activities and working behavior is a management tool that helps plan, direct and motivate the activities of subordinates.

5.3.2. An objective assessment of the personnel's activities is carried out by:

- development of basic performance indicators, taking into account the specifics of each type of activity;
- development of employee performance assessment systems.

5.3.3. The results of an employee's performance assessment are the basis for an increase in pay, the establishment of incentive payments, career advancement, enrollment in the personnel reserve, determination of training needs, and may also serve as grounds for transfer to another position and dismissal.

5.3.4. Continuous development of University staff (competencies, ranks, skills of employees) takes a leading place in ensuring the competitiveness and efficiency of the University. A mandatory component of the professional development system is to increase the level of managerial competencies among managers at all levels of university management.

5.3.5. The professional development system 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 symposiums, conferences, seminars, trainings, etc. qualifications and relevant training programs should be related to the objectives of developing specific areas of University activity.

### **5.4 Formation and training of the personnel reserve**

5.4.1 The work on the formation and training of the personnel reserve is one of the priorities in the activities of the heads of all structural divisions.

5.4.2 The creation and development of a personnel reserve involves solving the following tasks:

- development of criteria for evaluating and organizing the selection of employees with high potential;
- development and implementation of individual development plans employees who are in the personnel reserve;
- development and implementation of a system of rotation and replacement of positions, motivation of the process of rotation of employees in the personnel reserve.

5.4.3. Personnel reserve plans are drawn up according to management levels:

- 1) Dean's reserve (heads of departments, teaching staff);
- 2) reserve of department heads (teaching staff with academic and academic degrees);
- 3) reserve of heads of structural divisions (employees of divisions).

5.4.4 Work with the personnel reserve of the university includes:

- 1) planning based on the availability of vacant positions in the university, search and monitoring prospective employees of the university and other organizations to invite them to existing and projected vacant positions.



2) preliminary recruitment of candidates to the reserve, obtaining information about their business, professional and personal qualities.

### **5.5 Maintaining and maximizing the effective use of human resources**

5.5.1. The personnel policy should create the basis for the preservation and effective use of the university's human resources potential. The realization of this task is possible by:

- optimization of the organizational structure of the university by eliminating duplication of functions and small structural units;
- optimization of the number of staff;
- systematic work on the training and advanced training of teaching staff and staff;
- creating conditions for attracting and retaining young teachers and other employees, providing opportunities for their professional and career growth;
- systematic work on the formation of an effective personnel reserve, including using such forms as postgraduate and additional education;
- work to retain and retain highly qualified, experienced staff and faculty.

### **5.6 Motivation and incentives**

5.6.1 The motivation system should include the following elements:

- differentiated remuneration, taking into account the individual contribution of each employee to the final result of the activity of both a specific structural unit and the university as a whole, as well as the result of his work on improving the level of professionalism;
- opportunities for professional and career growth;
- opportunities for scientific, professional, and creative self-realization.

5.6.2. The procedure for determining incentive payments to employees is transparent and objective, and the amount of wages is more than predictable.

### **5.7 Creating decent working conditions**

5.7.1 The effectiveness and success of work is largely determined by the conditions created in the workplace.

5.7.2 The primary tasks that are solved through the implementation of the personnel policy are:

- development of a well-thought-out layout of university departments, which will avoid spontaneous redevelopment of individual premises, and reduce the associated non-production costs;
- organization of mandatory periodic medical examinations of employees.

### **5.8 Strengthening the corporate culture**

5.8.1 The HR policy is aimed at strengthening the corporate culture The University is guided by the following core corporate values: respect, honesty, team spirit, and trust.

5.8.2 The creation of a positive image contributes to the formation and promotion of the corporate spirit, a positive socio-psychological atmosphere in the workforce.

## **6 The procedure for appointing administrative and managerial personnel to positions**

6.1. The process of appointing a supervisor is a complex activities related to the preparation of necessary documentation, assessment and coordination actions caused by a high level of responsibility when deciding on an appointment.

6.2. Candidates are selected from the personnel reserve for this position by the head of the structural unit in conjunction with the Personnel Management Department.

6.3. In the absence of a candidate from the personnel reserve of a structural unit, the personnel management department selects candidates for a senior position from the personnel reserve. related departments, in their absence - from among the most trained employees of the structural unit in which the vacancy occurred.

6.4. The final agreed decision on a suitable candidate is made after analyzing the employee's personal data for compliance with the qualification requirements of the position and the results of the assessment of his immediate supervisor.

6.5. After agreeing on the final candidate , the accompanying documentation is prepared, which includes:

- application for transfer;

- an idea of an appointment to a managerial position, where the following are indicated: personal information about the candidate and the position held; whether the candidate is in reserve for the appointed position; the position to which the employee is appointed, basic education and advanced training for the previous 5 years; the results of evaluation procedures (competition, psychological assessment, assessment of professional knowledge, assessment of work activity and recommendations based on the evaluation results. The document also reflects additional information: the level of knowledge of a foreign language, participation in various projects, outstanding disciplinary penalties, scientific and scientific-pedagogical activities.; brief description of labor and social activities.

All the information provided ends with the conclusion of the direct supervisor on the availability of the necessary skills to work in this position and the candidate's readiness for appointment.

6.6. Appointment to the position of Chairman of the Board-Rector and Vice-Rector for Academic Affairs is carried out by decision of the founder of the university.

6.7. Vice-rectors are appointed by decision of the University's Board of Directors.

6.8. The appointment of deans, heads of departments and teaching staff is carried out on a competitive basis.

6.9. The appointment of the directors of the relevant departments is carried out by by decision of the Chairman of the Board-Rector, based on prior approval with the supervising Vice-Rector.

6.10. If the approval is positive, the candidate writes an application and is sent for transfer or appointment to a senior position in the HR department to prepare an order.

6.11. The application with approval visas and the submission are submitted to the Personnel Management Department for registration of employment relations, in accordance with the requirements of the labor legislation of the Republic.

Kazakhstan. Appointments to senior positions of the university are made by order of the Rector.

## **7. The procedure for appointment of teaching staff and researchers**

7.1. If there is a vacant positionfor faculty and researchers, the Director

of the Personnel Management Department, in agreement with the Rector, places an announcement of the competition on the University's website at least fourteen calendar days before the date of completion of the acceptance of documents.

7.2. Persons wishing to participate in the competition submit an application (in any form) addressed to the head of the university with the necessary documents attached, including documents confirming the candidates' compliance with the qualification requirements for scientific and pedagogical activities. In this case, the submission of an incomplete package of documents specified in the announcement is the basis for refusal in any form to accept the application.

7.3. The competition for the positions of the faculty and researchers of the ARU named after K.Zhubanov is conducted in accordance with the Regulation "Rules of competitive filling of positions faculty and researchers of the ARU named after K.Zhubanov".

7.4. Based on the results of the competition for the positions of faculty and researchers of the ARU named after K.Zhubanov, an employment contract is concluded in accordance with the labor legislation of the Republic of Kazakhstan.

7.5. The conclusion of an employment contract is carried out after the end of the meetings of the competition committee, but not later than 10 calendar days later. Based on the application and the employment contract, the HR department issues a hiring order signed by the Rector of the University.

## **8. The rights, duties and responsibilities of university managers and staff in the implementation of personnel policy**

### **8.1. The heads of all levels of the university are obliged to:**

- to form and regulate the university's personnel policy in accordance with the requirements of labor legislation;
- to form a personnel reserve in the relevant structural divisions and provide places for young specialists (selection and inclusion of promising undergraduates, graduates of MS Bolashak, AEO Nazarbayev University in the personnel reserve for teaching positions);
- to promote the creation of a professional development system for university staff.

### **8.2. The heads of all levels of the University have the right to:**

- develop strategic and operational plans for the reproduction and development of the university's human resources;
- create material and moral incentives for the professional growth of university staff.

### **8.3. University staff have the right to:**

- request and receive regulations and necessary information on the personnel development of the university;
- undergo advanced training and internships to improve their professional level.

### **8.4. University staff are required to:**

- comply with the regulations and Regulations of the University, aimed at achieving the goals and mission of the university;

- constantly improve their own professional qualifications, study and implement best practices in accordance with the field of professional activity.
- perform official duties, conduct active scientific, educational , methodical and educational work.
- all employees who do not have academic degrees are recommended to study for a doctoral degree during 3 years of work at the university in order to obtain a PhD degree.
- Doctors (PhD) are recommended to receive the academic title of associate professor within 3 years after defending their doctoral dissertation (PhD) (associate professor).
- to implement trilingual education, actively study and improve the degree of language proficiency (official, Russian and English).

### **8.5 Responsibility of University managers and staff**

8.5.1. Managers at all levels and university staff are personally responsible for non-fulfillment of tasks, regulations , plans, and comprehensive personnel policy programs.

## **9. Criteria for evaluating the implementation of HR policy directions**

9.1. The evaluation of the implementation of the directions of personnel development and personnel policy is carried out according to two factors:

- a) the effectiveness of the impact of personnel development and personnel policy on achieving the goals of the university.
- b) high-quality performance of tasks by responsible performers in the implementation of personnel policy directions.

9.2. Evaluation criteria:

- improvement of personnel indicators;
- the results of the competitive selection of teaching staff and researchers;
- stability of the team (balance and dynamics of employees - dismissed employees, dynamics of age and gender characteristics of employees);
- an increase in the number of highly qualified specialists with academic degrees and titles;
- satisfaction of the university staff with their professional activities;
- qualitative changes in the motivational climate at the university;
- acceptance and compliance with the norms of corporate policy by the university staff.
- motivation and stimulation.

## **10. Risk management**

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

10.2 HR risk management is a process that begins at the HR policy development stage and covers the entire HR management system at all levels.

10.3 The source of risks is both the external and internal environment.

10.4 The main reasons for the risk, on the one hand, are objective incompleteness or insufficiency of information, on the other hand, subjectivity of information perception and the possibility of incorrect decision-making by the supervisor or employee, insufficient involvement of the employee in internal policy University.