

KROK UNIVERSITY
Order № 1-3

*Translated into English from the official version
and approved by the Rector of KROK University on January 04, 2022*

On the Establishment of an Anti-Corruption System

In compliance with the Law of Ukraine “On Prevention of Corruption”, the Order of the National Agency on Corruption Prevention (hereinafter – NACP) No. 277/21 dated May 27, 2021, for the purpose of establishing an effective anti-corruption system at the “KROK” University, and pursuant to the Rector’s Order No. 115-2 dated November 29, 2021 (regarding the development of local regulatory acts of the University),

I HEREBY ORDER:

1. To approve the *Regulations on the Authorized Person for Anti-Corruption Activities and on Prevention and Detection of Corruption* at the Higher Educational Institution “KROK University of Economics and Law” (hereinafter – the University) (Appendix 1).
2. The University’s Authorized Person for Anti-Corruption Activities (hereinafter – the Authorized Person), Nakonetchna N., shall:
 - Provide consultative assistance to University employees on compliance with anti-corruption legislation;
 - Exercise control over the submission by the Department of Human Resources and Documentation of a document on the imposition of disciplinary sanctions on an employee who has committed a corruption or corruption-related offense, for the purpose of submitting the relevant information to the Unified State Register of Persons Who Have Committed Corruption or Corruption-Related Offenses, maintained by NACP;
 - In cooperation with the Department of Human Resources and Documentation, conduct checks for conflicts of interest and ensure compliance with other prohibitions and restrictions established by the Law of Ukraine “On Prevention of Corruption” during the appointment or transfer of employees;
 - Exercise control over compliance by employees with the restrictions and prohibitions defined by the Law of Ukraine “On Prevention of Corruption”;
 - Ensure measures for compliance with financial control requirements within the University;
 - Carry out activities to protect whistleblowers’ rights.
3. The Director of the Department of Human Resources and Documentation, Palanyuk O., shall organize coordination with the University’s Authorized

Person for Anti-Corruption Activities regarding draft orders and instructions on the University's core activities, including:

- Orders on the University's structure;
 - Orders on the composition of working and advisory bodies;
 - Orders approving templates of contracts with employees and students;
 - Orders approving the composition of commissions and councils (tender, lease, pricing, University development, etc.);
 - Orders concerning bonuses, allowances, and staffing decisions on the appointment of heads of structural units, as well as in cases of conflict of interest arising during the establishment of employment relations.
4. The Chairperson of the Tender Committee and other working (advisory) bodies responsible for financial and property matters shall invite the Authorized Person to participate in their meetings.
5. To establish a *Commission for the Assessment of Corruption Risks in the University's Activities* composed of:

Chairperson of the Commission:

- Nakonetchna N., Vice-Rector for Academic and Corporate Governance

Members of the Commission;

- Starchyk A., Vice President of the University for Security Affairs;
- Sushko A., Head of the Legal Department;
- Baldyk D., Deputy Head of the Department of Mathematical Methods and Statistics;
- Palanyuk O., Director of the Department of Human Resources and Documentation.

Secretary of the Commission:

- Palanyuk O., Director of the Department of Human Resources and Documentation.

6. To approve the *Regulations on the Commission for the Assessment of Corruption Risks in the University's Activities* (Appendix 2).
7. The Chairperson of the Commission, Nakonetchna N., shall:
- Organize the work of the Commission and submit, by February 1, 2022, the Commission's Work Plan for 2022 for approval;
 - Ensure coordination of the Commission's work with the Authorized Person;
 - Develop measures for identifying and eliminating internal corruption risks and monitor their implementation;
 - Develop proposals for the development of "KROK" University in the field of corruption prevention.
8. The Director of the Department of Human Resources and Documentation, Palanyuk O.Y., shall ensure the provision of up-to-date information to the Authorized Person regarding employees authorized to perform functions of the state for the purpose of maintaining operational records of declaration subjects.

9. Heads of structural units shall inform their employees that, in the event of a conflict of interest, they must submit a notice of conflict of interest to their immediate supervisor within one day.
10. To approve the *Procedure for Handling Reports of Possible Facts of Corruption or Corruption-Related Offenses, Other Violations of the Law of Ukraine "On Prevention of Corruption", and for the Protection of Whistleblowers at "KROK" University* (Appendix 3).
11. To introduce the use of an internal reporting channel for possible facts of corruption or corruption-related offenses, and other violations of the Law of Ukraine "On Prevention of Corruption", in accordance with the above-mentioned Procedure.
12. The Authorized Person shall ensure the confidentiality of whistleblower reports.
13. Control over the implementation of the Order belongs to the Rector of KROK University.

Appendix 1 to Order No. 1-3 dated January 4, 2022**APPROVED**

by the Rector's Order No. 3-1 dated January 4, 2022

REGULATION**on the Authorized Person for the Prevention and Detection of Corruption****I. General Provisions**

1. This Regulation defines the main tasks, functions, and rights of the Authorized Person for the Prevention and Detection of Corruption (hereinafter referred to as the Authorized Person).

2. The terms used in this Regulation shall have the meanings defined in the Law of Ukraine "On Prevention of Corruption" (hereinafter referred to as the Law).

3. The Authorized Person is an independent and functionally autonomous official who operates for the purpose of organizing and implementing measures for the prevention and detection of corruption as provided by the Law. The Authorized Person is appointed to a separate position established in the University's staffing schedule, which is assigned the powers to perform the functions of the Authorized Person. Alternatively, the Authorized Person may be designated by assigning the functions of the Authorized Person to one of the University's employees.

The designation of a University employee as the Authorized Person must not result in a real or potential conflict of interest in connection with the performance of the Authorized Person's duties.

In the absence of the Authorized Person due to temporary incapacity, leave, or other reasons, their duties shall be performed by another person (with their consent) designated by the Rector of the University.

4. The Rector of the University shall ensure guarantees of the Authorized Person's independence from influence or interference in their work. The Authorized Person shall be provided with a separate office and the material and technical resources necessary for the performance of their assigned tasks.

5. Interference in the activities of the Authorized Person during the exercise of their powers, as well as the assignment of duties to the Authorized Person that do not belong to or go beyond their powers or restrict the performance of their assigned tasks, is prohibited.

6. In their activities, the Authorized Person shall be guided by the Constitution and laws of Ukraine, as well as by decrees of the President of Ukraine, resolutions of the Verkhovna Rada of Ukraine, acts of the Cabinet of Ministers of Ukraine, and other regulatory legal acts, including this Regulation.

7. The Authorized Person is prohibited from disclosing restricted-access information obtained in connection with the performance of official duties, except in cases established by law.

II. Main Tasks and Functions of the Authorized Person

1. The main tasks of the Authorized Person are:

- 1) development, organization, and control over the implementation of measures to prevent corruption offenses and offenses related to corruption;
 - 2) organization of work to assess corruption risks in the University's activities, preparation of measures to eliminate them, and submission of relevant proposals to the Rector of the University;
 - 3) provision of methodological and consultative assistance on compliance with anti-corruption legislation;
 - 4) implementation of measures to identify conflicts of interest, facilitation of their resolution, and informing the Rector of the University and the National Agency on Corruption Prevention (hereinafter – the National Agency) about identified conflicts of interest and measures taken to resolve them;
 - 5) monitoring compliance with anti-corruption legislation at the University;
 - 6) consideration of reports on violations of the Law's requirements;
 - 7) exercising powers in the field of whistleblower protection in accordance with the Law;
 - 8) informing the Rector of the University, the National Agency, or other specially authorized entities in the field of anti-corruption, in cases provided by law, about violations of legislation in the field of prevention and counteraction to corruption.
2. In accordance with the assigned tasks, the Authorized Person shall:
- 1) develop draft acts on issues of prevention and detection of corruption within the relevant body;
 - 2) provide methodological and consultative assistance to employees and structural units of the University on compliance with anti-corruption legislation;
 - 3) monitor compliance with anti-corruption legislation at the University;
 - 4) cooperate with the National Agency and other specially authorized entities in the field of anti-corruption;
 - 5) submit information on their activities to the National Agency by February 10 of the year following the reporting year;
 - 6) notify the National Agency within ten working days in case of changes in structure, staffing, contact details, or the Authorized Person;
 - 7) organize work to assess corruption risks in the University's activities, prepare measures to eliminate them, submit proposals to the Rector of the University, and participate in the work of the commission for corruption risk assessment;
 - 8) endorse draft acts related to core activities and personnel matters (staffing) regarding the appointment and dismissal of heads of structural units;
 - 9) take measures to identify conflicts of interest and facilitate their resolution, inform the Rector of the University about identified conflicts of interest and measures taken to resolve them;
 - 10) cooperate with whistleblowers, ensure the protection of their rights and guarantees as provided by the Law;
 - 11) organize the operation of internal reporting channels for possible corruption or corruption-related offenses and other violations of the Law, receive and organize the review of information reported through such channels;

12) verify received reports of possible corruption or corruption-related offenses and other violations of the Law;

13) notify the Rector of the University in writing about corruption offenses or corruption-related offenses and other violations of the Law committed by University employees to ensure compliance with parts two, four, and five of Article 65-1 of the Law;

14) organize and participate in internal investigations conducted to identify the causes and conditions that led to the commission of corruption or corruption-related offenses or other violations of the Law, based on submissions from specially authorized entities or instructions from the National Agency;

15) maintain records of University employees held liable for committing corruption or corruption-related offenses;

16) carry out other measures for the prevention and detection of corruption.

III. Rights of the Authorized Person

1. To fulfill the assigned tasks, the Authorized Person has the right to:

1) access documents and information managed by the University, subject to legal restrictions, and make or receive copies thereof;

2) request documents or their copies from other structural units of the University, including those containing restricted-access information (except state secrets);

3) process information, including personal data, in compliance with personal data protection legislation;

4) summon and interview individuals whose actions or inactions relate to facts reported by whistleblowers, including the Rector and Deputy Rectors of the University;

5) contact the National Agency regarding violations of whistleblower rights or the rights of their close relatives;

6) submit proposals to the Rector of the University for disciplinary action against employees found guilty of violating the Law;

7) exercise other powers defined by the Law aimed at comprehensive consideration of reports on corruption or corruption-related offenses and other violations of the Law, including whistleblower reports and protection of their rights and freedoms;

8) obtain written explanations from University officials and employees regarding circumstances that may indicate violations of the Law concerning the prevention and resolution of conflicts of interest and other established requirements, restrictions, and prohibitions;

9) initiate before the Rector of the University the issue of conducting an audit of the organization of anti-corruption work at the University;

10) request information from structural units of the University regarding the implementation of measures provided for in the University's anti-corruption program;

11) correspond with other authorized units (authorized persons), the National Agency, and other specially authorized entities in the field of anti-corruption on matters within the competence of the Authorized Person;

12) submit proposals to the Rector of the University for improving the work of the Authorized Person.

IV. Authorized Person

1. The Authorized Person shall be appointed to and dismissed from the position in accordance with the procedure established by law.

2. The Authorized Person is accountable and subordinate to the Rector of the University.

3. The Authorized Person ensures the timeliness and completeness of the performance of the tasks and duties assigned to the Authorized Person.

4. The Authorized Person signs and sends notifications to specially authorized entities in the field of anti-corruption regarding violations of the Law committed by University employees, including the Rector of the University.

Appendix 2 to Order No. 1-3 dated January 4, 2022

APPROVED

by the Rector's Order No. 3-1 dated January 4, 2022

**REGULATION
on the Commission for Assessing Corruption Risks in the Activities
of KROK University**

I. General Provisions

- 1.1. This Regulation is developed in accordance with the Law of Ukraine "On Prevention of Corruption" and defines the legal status, general organizational and procedural principles of the Commission for Assessing Corruption Risks in the activities of KROK University (hereinafter – the Commission).
- 1.2. The Commission is a collegial body responsible for addressing specific issues related to the assessment of corruption risks at the Higher Education Institution "University of Economics and Law 'KROK'" (hereinafter – the University), composed of University employees.
- 1.3. In its activities, the Commission is guided by the Constitution and laws of Ukraine, decrees of the President of Ukraine, resolutions of the Verkhovna Rada of Ukraine adopted in accordance with the Constitution and laws of Ukraine, acts of the Cabinet of Ministers of Ukraine, decisions of the National Agency on Corruption Prevention, University regulations, and this Regulation.

II. Principles of the Commission's Activity

- 2.1. The composition of the Commission and its Regulation are approved by the Rector's order. The Commission shall consist of no fewer than five members.
- 2.2. The Commission is headed by its Chairperson, appointed by the Rector's order. The Chairperson appoints a Secretary from among the Commission members and defines the functions of each member. In the absence of the Secretary, their duties are performed by another member designated by the Chairperson.
- 2.3. The working format of the Commission is meetings, which are valid if at least two-thirds of the members are present. Meetings are convened by the Chairperson as needed.
- 2.4. The main tasks of the Commission are:
 - 1) conducting assessments of corruption risks in the University's activities;
 - 2) developing proposals based on the assessment results to eliminate identified corruption risks;
 - 3) preparing proposals for the draft anti-corruption measures for the current year and amendments to the University's anti-corruption program.
- 2.5. Decisions on matters considered at Commission meetings are made by a simple majority vote. In case of a tie, the Chairperson's vote is decisive. Decisions are documented in minutes signed by all members present and approved by the Rector.

The minutes are prepared within two working days and signed by the Chairperson and Secretary. A copy is shared with all Commission members.

2.6. The main functions of the Commission in accordance with its tasks are:

- 1) planning activities for assessing corruption risks and submitting the plan for approval to the Chairperson; revising the plan as needed during different stages of the assessment;
- 2) analyzing the University's external and internal environment to identify risks in regulations and organizational-management activities;
- 3) organizing the collection of information from various sources to identify corruption risks;
- 4) identifying corruption risks;
- 5) assessing corruption risks;
- 6) preparing a report on the results of the assessment and proposals for measures to eliminate or reduce identified risks;
- 7) developing proposals for amendments to the University's anti-corruption program based on the assessment;
- 8) coordinating and monitoring the implementation of anti-corruption measures for the current year;
- 9) conducting quarterly monitoring of the implementation of the University's anti-corruption program;
- 10) cooperating with public organizations, associations, and other civil society institutions on matters within the Commission's competence;
- 11) performing other duties as assigned by the Rector.

2.7. Commission members have the right to:

- 1) hear representatives of University structural units on matters within the Commission's competence and issue relevant instructions;
- 2) receive information from University units necessary to fulfill the Commission's tasks;
- 3) involve University employees not part of the Commission in its work, in accordance with legislation;
- 4) submit proposals to University management to improve anti-corruption efforts;
- 5) use University material resources to support their activities.

2.8. Commission members are obliged to:

- personally attend all Commission meetings;
- comply with current legislation and this Regulation;
- adhere to confidentiality rules;
- perform other actions as required by law.

2.9. The Chairperson of the Commission:

- 1) organizes the Commission's work and ensures necessary conditions;
- 2) approves the work plan for corruption risk assessment;
- 3) determines the list of issues for consideration at meetings;
- 4) ensures that all members present can participate in discussions and express their opinions;

- 5) communicates Commission decisions to the Rector.
- 2.10. The Secretary of the Commission ensures:
- 1) preparation of draft agendas for Commission meetings;
 - 2) notification of members and invited persons about the date, time, location, and agenda of meetings;
 - 3) preparation of meeting minutes;
 - 4) preparation of other documents necessary for the Commission's work.
- 2.11. The Chairperson of the Commission is personally responsible for the fulfillment of the functions assigned to the Commission.

Appendix 3 to Order No. 1-3 dated January 4, 2022

APPROVED

by the Rector's Order No. 3-1 dated January 4, 2022

PROCEDURE

for Handling Reports of Possible Corruption or Corruption-Related Offenses, Other Violations of the Law of Ukraine "On Prevention of Corruption," and Whistleblower Protection at the Higher Education Institution "University of Economics and Law "KROK"

1. General Provisions

1. This Procedure for handling reports of possible corruption or corruption-related offenses, other violations of the Law of Ukraine "On Prevention of Corruption," and whistleblower protection at the Higher Education Institution "University of Economics and Law "KROK" (hereinafter – the Procedure) is developed to ensure proper organization of work with reports of violations of the requirements of Part 4, Article 53 of the Law of Ukraine "On Prevention of Corruption" (hereinafter – the Law). It outlines the mechanism for individuals intending to report corruption, the principles and foundations of handling such reports, the review algorithm, and whistleblower protection tools at the Higher Education Institution "KROK University of Economics and Law" (hereinafter – the University).
2. The terms used in this Procedure shall have the meanings defined in the Laws of Ukraine "On Prevention of Corruption" and "On Information."
3. A report of a violation of the Law may be submitted by any person anonymously.
4. The requirements for anonymous reports and the procedure for their review are defined by the Law.
5. An anonymous report shall be considered if it contains information about a specific person and factual data that can be verified.
6. An anonymous report shall be reviewed within no more than 15 days from the date of receipt. If the information cannot be verified within this period, the Authorized Person for the Prevention and Detection of Corruption (or the person performing their duties) may extend the review period to up to 30 days from the date of receipt.
7. The Law does not specify timeframes for reviewing reports submitted by whistleblowers with authorship. Therefore, the University shall be guided by Part 5 of Article 53 of the Law to regulate this matter.

2. Principles and Foundations of Report Handling

8. The organization of work with reports of violations of the Law at the University is based on the following principles:
 - Awareness and knowledge: informing about the possibility to submit a report and the University's authority to review it;

- Accessibility: ensuring unobstructed access to submit a report; the submission process must be convenient;
- Trust: informing about the implementation of state guarantees for whistleblower protection;
- Responsibility: ensuring that the University's leadership organizes work with reports;
- Effectiveness: responding to cases of violations of the Law;
- Transparency: informing whistleblowers about how their reports are reviewed;
- Analysis and review: systematic evaluation and adjustment of the report handling process.

9. Principles of organizing work with reports of violations of the Law:

- Integrity: the behavior of University officials involved in handling whistleblower reports must comply with the Law and generally accepted ethical standards;
- Protection of whistleblower rights: University officials with access to reports must understand the risks whistleblowers face when submitting reports and during the subsequent establishment of violations;
- Confidentiality: during the collection, use, and storage of information, officials must comply with legislation on non-disclosure of whistleblower identity;
- Feedback: maintaining communication with the whistleblower, even if the report is anonymous;
- Impartiality: reports must be reviewed objectively and without bias, regardless of prior interactions between the whistleblower and the University;
- Objectivity: information obtained during the review must be fully and objectively assessed;
- Equality: ensuring equal treatment of all whistleblowers, regardless of age, gender, nationality, religion, etc.

3. Organization of Report Handling – Guidelines

10. The organization of work with reports of violations of the Law at the University shall be carried out in accordance with the Law and this Procedure.

Information Disclosure

In line with the principles of report handling, and to ensure whistleblower trust, the University shall publish contact information of the University and the Authorized Person for the Prevention and Detection of Corruption on its official website.

Channels for Submitting Reports

11. Reports of violations of the Law may be submitted in writing or orally. Written reports may be submitted:

- by mail to the address: KROK University, 30-32 Tabirna Street, Kyiv, 03113. If sent by mail, the report should be marked with: "Regarding Corruption";
- in person by the whistleblower to the Authorized Person for the Prevention and Detection of Corruption;
- via electronic communication by sending an email to: appeal@krok.edu.ua

Report Handling Procedures

12. Registration of reports of violations of the Law marks the beginning of the official report handling process.
13. Reports received by mail, electronically, or directly from the whistleblower, including during personal meetings, shall be registered by the Authorized Person for the Prevention and Detection of Corruption in the Whistleblower Report Logbook.
14. To ensure clear and coordinated actions in reviewing reports, the Authorized Person shall follow the following procedure:
 - determine whether the report meets the content requirements of the Law. If not, the whistleblower should be informed (if a feedback channel is available);
 - if the report meets the content requirements of the Law, determine whether the information and facts presented fall within the University's scope of review;
 - if the report is outside the University's competence, it must be forwarded to the appropriate specially authorized entity in the field of corruption detection.
15. If the information provided in the report regarding violations of the Law is confirmed, the Authorized Person for the Prevention and Detection of Corruption (or the person performing their duties) shall take measures to stop the identified violation, eliminate its consequences, and, in cases of detecting a corruption offense or crime, inform the specially authorized entities in the field of corruption detection.
16. In connection with the submitted report of a violation of the Law, the whistleblower may report persecution of themselves or their close relatives. If information is received about:
 - a threat to the life, housing, health, or property of the whistleblower or their close relatives – law enforcement agencies must be contacted to apply legal, organizational, technical, and other protective measures as provided by the Law of Ukraine "On Ensuring the Safety of Persons Involved in Criminal Proceedings";
 - dismissal or coercion to resign, disciplinary action, or other negative measures by the manager or employer (transfer, certification, change of working conditions, refusal to appoint to a higher position, salary reduction, etc.), or threats of such measures against the whistleblower or their family member – the National Agency on Corruption Prevention must be contacted.
17. For each received report, it is recommended that the Authorized Person create a corresponding case file.

Verification of Information Contained in the Report

18. Reports received by the University shall be subject to verification.
19. Employees whose responsibilities relate to the subject matter of the report may be involved in its review.
20. The Authorized Person for the Prevention and Detection of Corruption assigned to verify the information shall have the right to:
 - invite the applicant and other persons (with their consent) involved in the facts that led to the report and obtain from them (with consent) oral and written

- explanations, and other documentary materials (or copies) related to the verification of the information in the report;
- contact the applicant if necessary to clarify the information and obtain oral or written explanations and other documentary materials (or copies) regarding the content of the report, with their consent;
 - review and study documents related to the verification of the information in the report in accordance with established procedures.
21. Based on the results of the report review, a reasoned oral response shall be provided, and a written response if requested by the applicant (provided a feedback channel is available).
22. If signs of a criminal or administrative offense are identified, the specially authorized entities in the field of corruption detection, as defined by the Law, shall also be informed.
23. The Authorized Person for the Prevention and Detection of Corruption shall ensure prompt response to whistleblower reports.
24. To make decisions for the prompt review of reports and to respond appropriately to violations of the Law at early stages, the Authorized Person shall have the right to request from other University employees:
- information and materials necessary to fulfill assigned tasks;
 - oral and written explanations on issues arising during the verification of reports;
 - access to and review of relevant documents on-site, make copies if necessary, and attach them to the case file;
 - conduct meetings to ensure continuous analysis and improvement of the report review process.
25. The Authorized Person for the Prevention and Detection of Corruption is prohibited from disclosing or otherwise using for personal gain any information contained in the report, as well as any other information related to the receipt and review of the report, except as provided by law.

Monitoring Compliance, Appealing Decisions, and Awareness-Raising

26. Monitoring compliance with the requirements established in this Procedure for organizing work with reports of violations of the Law shall be carried out through:
- checking the timeliness of whistleblower report reviews;
 - publishing information on the University's website regarding the number and outcomes of reviewed reports.
27. Appeals against decisions made based on the review of reports shall be conducted in accordance with applicable legislation.

Analytical, Educational, and Preventive Work to Promote Reporting

28. To ensure continuous monitoring of the implementation of anti-corruption tasks as defined by the Law, ongoing analysis of work with reports of violations of the Law shall be conducted.

29. The Authorized Person for the Prevention and Detection of Corruption shall regularly analyze the materials of report reviews, summarize the results, and identify the causes of repeated whistleblower submissions.
30. The Authorized Person shall oversee the implementation of such analysis.
31. Analytical materials that do not contain restricted-access information and general results of report handling shall be published on the University's website.
32. To expand the practice of reporting and encourage potential whistleblowers, citizens shall be informed in a clear and accessible manner about legal protection guarantees and available reporting channels.
33. Since a person's willingness to report violations of the Law depends on awareness of their rights, responsibilities, and guarantees, University employees shall also be informed that they or their family members cannot be dismissed or coerced to resign, subjected to disciplinary action, or exposed to other negative measures (transfer, certification, change of working conditions, refusal of promotion, salary reduction, etc.), or threatened with such measures due to reporting violations of the Law by another person.
34. The University's website shall contain information about the methods and channels for submitting reports of violations of the Law and the legal guarantees for whistleblower protection.