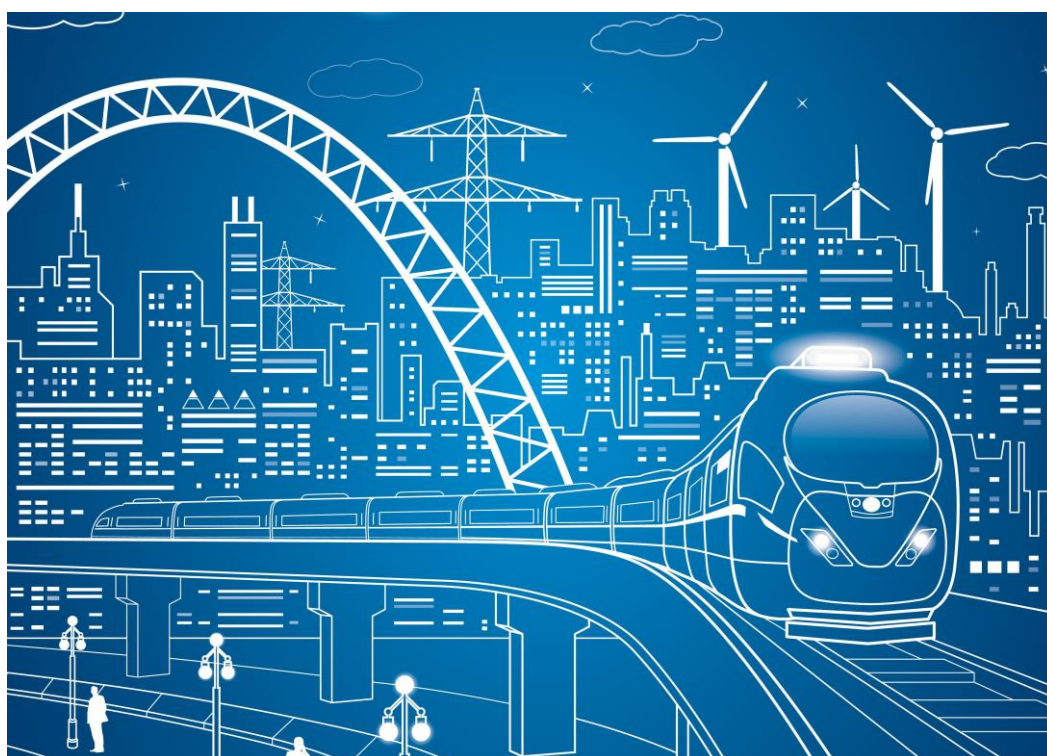


ҚАЗАҚСТАН РЕСПУБЛИКАСЫ
ҒЫЛЫМ ЖӘНЕ ЖОҒАРЫ БІЛІМ МИНИСТРЛІГІ

Л.Н. ГУМИЛЕВ АТЫНДАҒЫ ЕУРАЗИЯ ҰЛТТЫҚ УНИВЕРСИТЕТІ
КӨЛІК – ЭНЕРГЕТИКА ФАКУЛЬТЕТІ



***«КӨЛІК ЖӘНЕ ЭНЕРГЕТИКАНЫҢ ӨЗЕКТІ МӘСЕЛЕЛЕРІ:
ИННОВАЦИЯЛЫҚ ШЕШУ ТӘСІЛДЕРІ» XI ХАЛЫҚАРАЛЫҚ
ҒЫЛЫМИ-ТӘЖІРИБЕЛІК КОНФЕРЕНЦИЯСЫНЫҢ БАЯНДАМАЛАР
ЖИНАҒЫ***

***СБОРНИК МАТЕРИАЛОВ
XI МЕЖДУНАРОДНОЙ НАУЧНО – ПРАКТИЧЕСКОЙ
КОНФЕРЕНЦИИ: «АКТУАЛЬНЫЕ ПРОБЛЕМЫ ТРАНСПОРТА И
ЭНЕРГЕТИКИ: ПУТИ ИХ ИННОВАЦИОННОГО РЕШЕНИЯ»***

***PROCEEDINGS OF THE XI INTERNATIONAL SCIENTIFIC-PRACTICE
CONFERENCE «ACTUAL PROBLEMS OF TRANSPORT AND ENERGY:
THE WAYS OF ITS INNOVATIVE SOLUTIONS»***

Астана, 2023

УДК 656+620.9
ББК 39+31
А43

Редакционная коллегия:

Председатель – Курмангалиева Ж.Д. Член Правления – Проректор по науке, коммерциализации и интернационализации; Заместитель председателя – Кокаев У.Ш. декан транспортно-энергетического факультета, к.т.н., доцент; Султанов Т.Т. – заместитель декана по научной работе, к.т.н., доцент; Арпабеков М.И. – заведующий кафедрой «Организация перевозок, движения и эксплуатация транспорта», д.т.н., профессор; Тогизбаева Б.Б. – заведующий кафедрой «Транспорт, транспортная техника и технологии», д.т.н., профессор; Байхожаева Б.У. – заведующий кафедрой «Стандартизация, сертификация и метрология», д.т.н., профессор; Сакипов К.Е. – заведующий кафедрой «Теплоэнергетика», к.т.н., доцент; Жакишев Б.А. – заведующий кафедрой «Электроэнергетика», к.т.н., доцент.

А43 Актуальные проблемы транспорта и энергетики: пути их инновационного решения: XI Международная научно – практическая конференция, г. Астана, 16 марта 2023/Подгот. Ж.Д. Курмангалиева, У.Ш. Кокаев, Т.Т. Султанов – Астана, 2023. – 709с.

ISBN 978-601-337-844-2

В сборник включены материалы XI Международной научно – практической конференции на тему: «Актуальные проблемы транспорта и энергетики: пути их инновационного решения», проходившей в г. Астана 16 марта 2023 года.

Тематика статей и докладов участников конференции посвящена актуальным вопросам организации перевозок, движения и эксплуатации транспорта, стандартизации, метрологии и сертификации, транспорту, транспортной техники и технологии, теплоэнергетики и электроэнергетики.

Материалы конференции дают отражение научной деятельности ведущих ученых дальнего и ближнего зарубежья, Республики Казахстан и могут быть полезными для докторантов, магистрантов и студентов.



реактивных двигателей и мазуту, выпускаемым в обращение на единую таможенную территорию Таможенного союза.

ТР ТС 013/2011 утвержден Решением Комиссии Таможенного союза от 18 октября 2011 г. № 826 и распространяется на выпускаемое в обращение и находящееся в обращении на единой таможенной территории Таможенного союза топливо.

В Республике Казахстан сформировались тенденции, аналогичные общемировым тенденциям – увеличение потребления и изменение ассортимента потребляемых нефтепродуктов, ужесточение требований к качеству топлива, усиление требования к окружающей среде.

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УДК 006.032

METHODOLOGICAL FOUNDATIONS FOR THE DEVELOPMENT OF ANTI-CORRUPTION MANAGEMENT

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Corruption is a serious problem of our time. At the moment, there is a growing concern about corruption around the world, as there is a consensus that corruption is universal. It exists in all countries, both developed and developing, in the public and private sectors, as well as in non-profit and charitable organizations. Understanding that bribery has become one of the most common problems in all spheres of life and the fight against corruption is being conducted all over the world.

According to ISO 37001: 2016, bribery is the offering, promise, transfer, acceptance or request of an undue advantage of any value (whether financial or non-financial), directly or indirectly and regardless of location, in violation of applicable law, as an encouragement or reward to a person acting or refraining from acting in relation to the performance of duties. this person [1].

Organizations all over the world face the same risk, regardless of whether they are directly or indirectly involved in this type of crime. However, it is not enough just to have good regulations, laws,

and prosecutions. Effective management in organizations is considered a tool for preventing bribery. Prevention of bribery should be considered in the same way as quality and safety management. A significant number of international organizations have responded to the changing legal and ethical environment by implementing anti-bribery management systems in their organizations to ensure that the organization and its employees do not violate anti-bribery laws. It is considered that organizations do not sufficiently exercise internal control within their own competence. Organizations should also take reasonable steps to ensure that their partners, agents, consultants, subcontractors, and suppliers adopt anti-bribery programs.

A global trend in the development of corporate governance in recent years is to increase the requirements of standards of transparency, openness and ethical behavior of companies. Infamous cases of financial fraud at Enron, WorldCom, and Parmalat have influenced the development of corporate governance, accounting, and internal controls to prevent reporting fraud. In order to increase transparency and openness, an increasing number of companies publish non-financial statements, disclose information on websites and consult with stakeholders, r.etc.^[2]. International anti-corruption mechanisms make an important contribution both to the development of international anti-corruption cooperation and to the development of national anti-corruption legislation. Such mechanisms include anti-corruption international standards contained in a number of international treaties, and a system of international institutions specifically designed to combat corruption. Until the 1990s, the fight against corruption was mainly conducted at the national level and national anti-corruption legislation was mainly developed. However, the scale of this negative phenomenon has truly taken on a global scale, which necessitated the adoption of a number of international legal acts and standards^[3]. It is known that international standards such as ISO 9001 "Quality Management System", ISO 37001 "Anti-bribery Management system", ISO 19600: 2014 "Compliance Management System", etc. are successfully implemented in governmental and non-governmental organizations, which is considered an additional mechanism for transparency and integrity in the organization.

Internationally recognized standards - are fundamental provisions, rules, and requirements aimed at improving the performance of States both within the country and at the international level in the fight against crime. International legal standards are reflected in certain documents, agreements, regulations, conventions, declarations, and rules in the form of norms, principles, and recommendations. The standards are not equal in their legal status, but they are united in expressing the desire of the international community to coordinate as much as possible the policies, means and methods of activity of each State aimed at combating crime. The goal of the international standard is to support the creation of a global culture that combats bribery and builds trust and confidence in the business world, as well as in institutions. It is for this reason that the prevention of bribery is becoming a global initiative, starting with individual awareness and ending with organizations that are responsible for promoting the prevention of bribery. This goal can only be achieved through commitment, transparency and compliance with the anti-bribery management framework set out in the international standard ISO 37001.

In October 2012, the British Standards Institute (BSI), a member of the International Organization for Standardization (ISO) from the United Kingdom, submitted a proposal to it for the development of a new international standard that would allow organizations around the world to create and implement effective anti - corruption measures. Since 2013, the Technical Committee ISO / PC 278 "Anti-corruption Management System" has started developing a new standard [5]. In October 2016, the ISO (International Standardization Organization) issued the Anti-Bribery Management System Standard (ISO 37001) based on the British BS 10500 standard to assist organizations in preventing, detecting and combating bribery in order to improve ethical business culture. It is designed to help organizations set up a system, strengthen current control by maintaining and improving the anti-bribery compliance program. It should be emphasized that this standard will help reduce the risk of bribery and will be able to demonstrate to stakeholders that the organization has adopted internationally recognized best practices.

The international standard ISO 37001 applies to all types and sizes of organizations that wish to implement the necessary measures aimed at preventing, detecting and countering corruption,

promoting the trust and confidence of key stakeholders, shareholders and potential investors, minimizing the costs, risk and damage associated with engaging in bribery, reducing corruption risks and achieving a reputation for integrity by implementing the anti-bribery management system policy.

ISO 37001 has been specifically designed to provide a flexible framework for addressing organizations' existing legal obligations under anti-bribery legislation in any country. In accordance with this, ISO 37001 covers all the main requirements. ISO 37001 requires companies to take a number of steps, many of which will be familiar to those who have experience creating and implementing robust anti-bribery compliance programs. The first step is to evaluate the company's overall risk structure and profile to inform it of the specific policies, procedures, and controls needed to combat fraud. This includes an assessment of the size and structure of the organization, the location and industry sectors in which it operates or intends to operate, the complexity of its activities and operations, its business partners, the nature and extent of its interactions with government officials, and all applicable legal, regulatory, contractual, and professional rules to which it is subject. organization. Based on consideration of relevant factors, the organization should conduct a corruption risk assessment to determine which of its key employees and business partners pose a high level of corruption risks.

This standard defines the requirements and provides specific guidelines for the development, analysis, implementation and improvement of the anti-corruption management system. The anti-corruption standard can function independently or be integrated into the overall management system in order to combat the phenomenon related to the organization's activities: corruption in the public, private and non-profit sectors; bribery on the part of the organization; bribery on the part of the organization's personnel acting on its behalf or in its interests; bribery on the part of the organization's business partners acting on its behalf or in its interests; bribery in relation to the organization; bribery in relation to the organization's personnel in connection with the organization's activities; bribery in relation to the organization's business partners in connection with the organization's activities; direct and indirect bribery (for example, a bribe received by a third person or given to a third person) ^[4].

ISO 37001 requires an organization's top management to adopt an anti-bribery policy and management system, assume responsibility for that system and integrate it into the organization's existing structure, and ensure that adequate and appropriate resources, both financial and human, are allocated to implement the anti-bribery program. In addition, senior management should assign the "anti-corruption compliance function" responsibility for overseeing, implementing, and maintaining the program. The compliance function may be external to the organization, but it must have direct and operational access to the organization's governing body.

The organization's anti-bribery policy itself should establish the following principles:

- to ban bribery;
- to ensure compliance with all applicable anti-bribery laws;
- to encourage employees to express their visions confidentially, without fear of reprisals, even if this leads to job loss.
- to explain the authority and independence of the compliance function;
- to explain the consequences of non-compliance with the norms, principles and standards adopted by the organization.

The ISO 37001 management system establishes a bridge between two different cultures: management systems and organizational activities, and anti-corruption plans. Therefore, the organization's anti-corruption policy, combined with the ISO 37001 management system requirement, does not mean that no corruption can occur in the organization, but it does mean that the organization has done everything reasonably possible to prevent corruption in the organization. The new high-level structure provides for coordination with other rules on management systems. Similar testing of the Deming Cycle (PDCA) in most ISO management systems is extremely obvious and covers tools to improve processes, development, and quality management. The Deming cycle and rational administration are integrated into the management of actions within the structure in order to create a complete quality system. Plan-Do-Check-Act (PDCA) is the operating principle of the ISO 37001 standard.

Plan: Responsibility and role of the organization-delegation of decision-making, internal and external analysis, formation of anti-bribery policies, risk assessment, definition of an Action Plan, definition of auxiliary actions.

Do: Implementation of the action plan, financial and non-financial control, gifts, donations and similar incentives, informing, investigating.

Check: Verification: monitoring and measurement, internal audit, review.

Act: Continuous improvement.

It is proved that business cannot develop productively in an environment where there is established corruption and difficulties with the functioning of the executive and judicial branches of government. Consistent implementation of the state anti-corruption policy has led to the creation of the necessary legislative prerequisites for combating corruption. In order to minimize the possibility of corruption and bribery in business, the Government of Kazakhstan has introduced amendments to the Criminal Code that allow legal entities to be held accountable for corruption offenses. However, corruption has not disappeared. Its vitality lies in the fact that it finds a breeding ground in the minds of people, in their vices and moral defects.

The business community, as the results of various studies show, believes that successful prevention and fight against corruption involve the use of two main measures:

1) introduction of large (multiple) fines for bribes, which means increasing the responsibility of bribe takers;

2) public examination of the legislation for its "non-corruption", clarity of wording in it. Measures to prevent corruption in the business environment also include:

- completeness and transparency of legislation;
- reduction of state participation in the economy;
- exclusion of conflicts of interest;
- adoption of the code of ethics for civil servants;
- electivity of civil servants.

Gaps in the normative legal regulation of various spheres of activity are fertile ground for corruption. This is a systemic and long-term problem for Kazakhstan. The solution to this problem depends not only on the state, but also on how effective the society-government-business dialogue will be. In modern conditions, the core of the anti-corruption culture in the business-environment is its socially responsible behavior. Social responsibility of business -is the voluntary duty of entrepreneurs to implement such policies, make such decisions and follow such areas of activity as are desirable from the point of view of the goals and values of society.

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