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To the Dissertation Council
of the Kazakh-American Free University
Educational programme 8D04101 "Management"

# ACT OF IMPLEMENTATION

of the results of the doctoral research of Alexander Neske

This act confirms that the results of the dissertation of Alexander Neske on the topic "Managing sustainability-related complexity in supply chains: A capability-based managerial framework for organizational response", prepared for the degree of Doctor of Philosophy (PhD) in the educational programme 8D04101 "Management", have been reviewed and accepted for use at Bank CenterCredit JSC.

**Place of implementation:** Bank CenterCredit JSC, Almaty, Republic of Kazakhstan.

**Period of implementation:** August 2026.

**Object of implementation.** Three interconnected results of the research have been accepted for use.

**1. The Capability Maturity Score.** The method assesses public reporting against 30 GRI disclosures in four domains — Strategy, People, Process and Technology — on a three-level scale: 0 — the disclosure is absent, 1 — described, 2 — evidenced. It produces a score for each domain, a composite score and a list of the disclosures that lack evidence. The dissertation contains such an assessment of the report of Bank CenterCredit JSC (ESG Report 2023): Strategy — 100.0, People — 100.0, Technology — 100.0, Process — 35.7, composite score — 85.0 out of 100. This is the second-highest result among the 20 assessed reports of Kazakhstani companies. The gap is concentrated in the Process domain: although the bank has a procurement policy requiring suppliers to comply with labour, environmental and ethical standards, the reporting does not disclose procedures for ESG audits of suppliers, for their training or for the assessment of actual impacts. The disclosures GRI 308-1 and 414-1 (new suppliers screened using environmental and social criteria), 308-2 and 414-2 (negative impacts in the supply chain and actions taken), 407-1, 408-1 and 409-1 (risks of violations of freedom of association, child labour and forced or compulsory labour at suppliers) do not reach the evidenced level. The bank verifies the assessment against its internal data and repeats it for its next report.

**2. Routing diagnosis and determination of the response type.** On the basis of the two field conditions — perceptual convergence of requirements (PC = 2) and prevalent cross-firm orchestration (OR = 1) — Bank CenterCredit JSC is assigned to the Co-Developer type (decision rule DR3) out of the four possible types: Internal-first, Co-Developer, Selective Joiner and Collaborative-first. This response type means that the requirements placed on the bank by its stakeholders are already aligned with one another, whereas industry mechanisms of joint verification have not yet taken shape in Kazakhstan. Accordingly, it is appropriate for the bank not to wait for ready-made schemes but to take part in shaping them together with industry partners, while building its own capabilities in parallel.

**3. The capability build-out plan for 90 days and 12 months for the Co-Developer type.** For this response type the dissertation sets out the following sequence of actions across the four domains.

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| Capability domain | First 90 days | 12-month horizon |
|---|---|---|
| **Technology** | Extension of the existing ESG data layer to indicators shared with industry partners; pilot implementation of two data-exchange interfaces (APIs) with partner banks | Publication of an open exchange protocol, version 0.9, and verification of data exchange in both directions; interfaces kept modular |
| **Process** | Pilot of supplier development with shared metrics and risk-based escalation; mandatory auditable logging of the pilot results | Scaling of the pilot and preparation for joining an external assurance scheme for procurement and ESG procedures |
| **People** | Appointment of a second data steward and of a category integrator to the working group | Build-up of an internal team to interact with industry schemes as they mature; planning of replacement capacity for seconded staff |
| **Strategy** | Creation of a cross-functional working group before industry standards mature; mapping of legitimacy concerns and publication of the group charter | If orchestration rises — a Make-or-Join review and reallocation of at least 20 percentage points of the action portfolio towards collaborative forms |

Progress is measured by three performance indicators, the definitions of which are adopted from the research:

| | |
|---|---|
| **T2M — time to mitigation** | Number of days from validated detection of a non-conformity to verified closure of the corrective action; reported as median and 95th percentile |
| **ATC — auditable tier coverage** | Share of spend, suppliers or sites within the verified scope as a percentage of the total relevant scope |
| **CC/S — coordination cost** | Coordination cost per unit of covered spend |

**Form of use:** self-assessment of the latest published ESG report using the CMS method; setting of disclosure priorities in the preparation of the next report; update of the ESG roadmap; development of criteria for the pre-qualification and subsequent audit of suppliers in procurement procedures; preparation for external assurance of ESG information.

**Effect obtained:** the gaps in the evidence base in the Process domain have been identified and prioritized ahead of the next reporting cycle; the sequence of actions for 90 days and 12 months has been defined, including the supplier development pilot; the definitions of the indicators T2M, ATC and CC/S have been established for regular managerial control.

The results of the dissertation research have been used in the practical activity of Bank CenterCredit JSC. The research relies exclusively on the publicly published reporting of the bank; internal information of the bank was not included in the text of the dissertation.

This act is issued for submission to the Dissertation Council of the Kazakh-American Free University.

**С уважением,**
**Директор центрального отделения** **Нургазина Жанар Абусагитовна**

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