	JSC «Kazakh University of Technology and Business named after K. Kulazhanov»
	QUALITY MANAGEMENT SYSTEM
	Documented procedure

APPROVED
Rector of
JSC «KazUTB named after K. Kulazhanov»
_____L.K. Baibolova
«11» may 2026

RISK MANAGEMENT
KazUTB-DSD-DP-6.1-2026-03

Astana , 2026

Version: 2.0	**CI:** DONS	**Registration №** _____ **on EDM**

FOREWORD

This DP was developed by the Department of Strategic Development of JSC «KazTBU named after K. Kulazhanov».

This DP is approved by the Rector with a personal signature on the title page.

This DP is mandatory for all JV JSC «KazUTB named after K. Kulazhanov» in terms of their activities related to QMS.

Periodic verification of this DP shall be carried out by the Head of the CSR at intervals not exceeding 3 years, in accordance with the procedure KazUTB-DSR-DP-7.5-2026-01.

Amendments to this DP shall be developed based on the results of its application or in case of changes in the requirements specified in paragraph 4.

To consider the documented procedure «Risk Management» KazUTB-UOKiA-DP-6.1-2025-22, approved on June 18, 2025, invalid.

1. TERMS AND DEFINITIONS

DERMIN	DEFINITION
Analysis	- activities undertaken to establish suitability, adequacy and effectiveness of the object under consideration for achieving the established goals
Risk analysis	- the process of understanding the nature of risk and determining the level of
Anti-corruption policy of K. Kulazhanov KazUTB JSC	- legal, administrative and organizational measures aimed at reducing corruption risks, forming an anti-corruption culture, increasing public confidence in the activities of JSC «KazTBU named after K. Kulazhanov».
Probability, possibility	- the chance that something could happen
Impact of risk	- the impact of the realized risk on the achievement of the goals of the educational organization
Documented information	- information that the organization must manage and maintain, and the medium on which it is contained.
Documented procedure	- a document establishing a single document for JSC «KazTBU named after K. Kulazhanov» the procedure for describing processes, the powers and responsibilities of officials, information flows, including the registration of data and records on quality
Stakeholder	- a person or organization that may be affected, affected or perceived to be affected by a decision or activity.
Risk Identification	- the process of detecting, recognizing and describing risks.
Source of risk	- an element that, alone or in combination with others, may lead to the emergence of a risk.
Context of the organization of education	- a set of internal and external factors that can affect the approaches of the organization of education to the development and achievement of its goals.
Risk criteria	- rules according to which the significance of the risk is assessed.
Risk management	- coordinated actions to manage the organization taking into account the risk.
Risk assessment	- the process of determining the level of risk by assigning to each risk the amount of possible damage and the probability of such damage, in order to further develop risk management measures.
Risk Management Policy	- officially formulated general intentions and directions of activity of the educational institution.
Consequence of risk	- problems or opportunities that may arise as a result of the risk materializing
Acceptable risk	- risk, the level of which is permissible and justified based on economic and social considerations. The risk of the operation of the facility is acceptable if its value is so insignificant that for the sake of the benefit received from the operation of the facility, the company is ready to take this risk
Cause of risk	- a phenomenon or circumstance as a result of which a risk may arise.
Process	- a set of interrelated and interacting types of activity that transforms inputs and outputs.
Risk	is a threat or possibility that an action or event will adversely or beneficially affect the ability of JSC «KazTBU named after K. Kulazhanov» to achieve its goals.

Quality Management System	- Part of the management system aimed at quality.
Risk management system	- a set of processes, methods, information systems aimed at achieving the goals and objectives of risk management.
Events	- the occurrence or change of a number of certain circumstances
Risk management	is a process through which risks are identified, assessed, then prioritized and managed in order to support informed decision-making and maximize the implementation of opportunities throughout JSC «KazTBU named after K. Kulazhanov».
	- the process of developing and implementing management decisions designed to minimize the possibility of a negative result and minimize possible losses associated with its implementation.
Establishing the context	- determination of external and internal parameters taken into account in the implementation of risk management, and establishment of the scope of application.
Frequency	- the number of events that occurred during a certain period of time.
Continuous improvement	- repetitive activity to increase the ability to meet requirements.

2. ABBREVIATIONS AND NOTATIONS USED

Reduction	Full name
JSC «KazUTB named after K. Kulazhanov»	Joint-Stock Company «Kazakh University of Technology and Business named after K. Kulazhanov»
KazUTB-DSD-IKP-5.3/9.3-2026-02	«Album of Information Maps of Processes»
KazUTB-DSD -DP-7.5-2026-01	Documented Procedure «Documented Information»
KazUTB-DSD-DP-10.2-2026-	Documented Procedure «Nonconformities and Corrective Actions»
KazUTB-DSR-DP-9.2-2026-	Documented procedure «Internal Audit»
KazUTB-DSR -DP-9.3-2026-	Documented procedure «Management Analysis»
ICP Album	Album of information card of processes
BP	Educational work
DP	The procedure is documented
CaLSO	Compliance and Legal Support Office
DSD	Department of Strategic Development
IS	International Standard
This DP	Documented procedure «Risk Management» KazUTB-DSD-DP-6.1-2026-03.
R&AO	Rating and Accreditation Department
QMSO	Quality Management System Office
CMK	Quality Management System Office
SD	Structural department
QO	Quality Officer

3. GENERAL PROVISIONS AND DESCRIPTION OF THE PROCEDURE

3.1 This DP defines the procedure for identifying, analyzing and assessing risks, eliminating risks and their causes in JSC «KazTBU named after K. Kulazhanov» to prevent their recurrence.

3.2 This DP is part of the internal control and management mechanisms of JSC «KazTBU named after K. Kulazhanov».

3.3 This DP is intended for the integration of risk management into the overall management system of JSC «KazTBU named after K. Kulazhanov» and has been developed in accordance with the requirements of ISO 31000-2018 «Risk Management. Management».

3.4 Risk management is integrated into the processes of strategic planning, management analysis, formation of KPIs of structural units, as well as into the activities of collegial management bodies of JSC «KazTBU named after K. Kulazhanov».

3.5 This BO defines the main approach JSC «KazTBU named after K. Kulazhanov» to risk management and provides recommendations on how JVs should assess and manage risks in their day-to-day activities.

3.6 This DP ensures that informed decisions are made so that the activities of JSC «KazTBU named after K. Kulazhanov» are effective and sustainable.

3.7 This DP is mandatory for application in all JV of JSC «KazTBU named after K. Kulazhanov».

3.8 ***«Principles of risk management in JSC KazTBU named after K. Kulazhanov».***

3.8.1 Risk management in JSC «KazTBU named after K. Kulazhanov» is carried out in accordance with the principles of ISO 31000:2018 and is based on the following provisions:

3.8.2 integration into the system of strategic and operational management;

3.8.3 Structured and systematic;

3.8.4 adaptation to the specifics of the activities of structural subdivisions;

3.8.5 involvement of management and employees;

3.8.6 Dynamic and timely review;

3.8.7 use of reliable and up-to-date information;

3.8.8 Consideration of human and organizational factors;

3.8.9 Focus on continuous improvement.

3.9 ***Risk management of educational programs*** of JSC «KazTBU named after K. Kulazhanov» is carried out throughout the entire life cycle of the educational program and is an integral part of the education quality management system.

3.9.1 Risk management of educational programs (hereinafter referred to as EP) of JSC «KazTBU named after K. Kulazhanov» is an integral part of the education quality management system and is carried out in accordance with the requirements of ISO 31000:2018, ISO 9001:2015 and internal regulatory documents of JSC «KazTBU named after K. Kulazhanov».

3.9.2 The EP is considered as an independent object of risk management, since it directly affects the achievement of the strategic goals of JSC «KazTBU named after K. Kulazhanov», the quality of graduate training, the results of accreditation and the reputation of the university.

3.9.3 EP risk management is carried out throughout the entire life cycle of the educational programme, including the following stages:

- design and development of an educational program;
- licensing and (or) accreditation of the educational program;
- implementation of the educational program;
- assessment of learning outcomes and academic progress of students;
- Updating, revising and closing the educational program.

3.9.4 ***The owner*** of the risks of the educational program is the head of the educational program (or other official appointed by the order of JSC «KazTBU named after K. Kulazhanov», who is responsible for:

- identification of risks and opportunities of the SE;
- Analysis and assessment of EP risks;
- development and implementation of measures to manage the risks of the educational program;

- monitoring the effectiveness of the measures taken.

3.9.5 Identification of risks of educational programs is carried out taking into account:

- the requirements of state compulsory education standards and regulatory legal acts of the Ministry of Higher Education of the Republic of Kazakhstan;
- the requirements of professional standards and expectations of employers;
- correspondence of the learning outcomes of disciplines to the learning outcomes of the educational program;
- personnel, material and technical and information support of the EP;
- indicators of academic performance, expulsions and the contingent of students;
- the results of internal and external audits, accreditations and ratings.

3.9.6 ***EP risk management is carried out*** throughout the entire life cycle of the educational program, including the following stages:

- design and development of an educational program;
- licensing and (or) accreditation of the educational program;
- implementation of the educational program;
- assessment of learning outcomes and academic progress of students;
- Updating, revising and closing the educational program.

3.9.7 ***Risk management measures for*** educational programs are included in the work plans of faculties and departments, and the results of monitoring the risks of the EP are considered during the analysis of the QMS management of JSC «KazTBU named after K. Kulazhanov».

3.9.8 An unscheduled review of the risks of educational programs is carried out in the following cases:

- changes in regulatory requirements in the field of higher education;
- preparation and passage of institutional or program accreditation;
- significant changes in the contingent of students;
- reorganization of structural subdivisions of JSC «KazTBU named after K. Kulazhanov».

3.10 ***To identify and manage*** the risks of the EP, apply the Risk Management Checklist of the educational program in the form **F.DSD-6.1-2026-03-03.**

It is mandatory to use the form F.DSD-6.1-2026-03-03 when:

- annually with the report of the departments;
- before accreditation;
- in case of a decrease in the KPI of the EP (including the results of ratings);
- when the head of the subdivision is changed.

4. GOALS AND OBJECTIVES OF RISK AND OPPORTUNITY MANAGEMENT

4.1 ***Objectives of risk and opportunity management:***

4.1.1 Ensuring the guarantee of achieving the strategic goals of JSC «KazTBU named after K. Kulazhanov»;

4.1.2 increasing the probability of achieving the goals of the processes under uncertainty;

4.1.3 prevention of situations that negatively affect the achievement of the goals of processes, as well as identification of opportunities for improvement;

4.1.4 preservation and maintenance of effective and efficient operation of the QMS of JSC «KazTBU named after K. Kulazhanov»;

4.1.5 Reduction of losses associated with the elimination of the consequences of risks;

4.1.6 provision and formation of data for strategic planning of goals and activities of JSC «KazTBU named after K. Kulazhanov» (including determination of directions for improvement of QMS and quality policy), allowing to lead to improvement of its activities;

4.1.7 Achievement of continuous improvement of the processes of JSC «KazTBU named after K. Kulazhanov».

4.2 ***Objectives of risk and opportunity management:***

4.2.1 identification and assessment of risks and opportunities affecting the achievement of strategic goals of JSC «KazTBU named after K. Kulazhanov»;

4.2.2 providing information about potential risks and opportunities when making management decisions;

4.2.3 timely informing the management of JSC «KazTBU named after K. Kulazhanov» and interested parties about the presence of risks and opportunities;

4.2.4 Formation of an action plan to eliminate risks;

4.2.5 Implementation of measures to minimize the likelihood of risks and their negative impact on the goals of processes and maximize the probability of opportunities and their positive impact on the goals of processes;

4.2.6 monitoring of risk and opportunity management activities;

4.2.7 Risk management is carried out by the head of the relevant JD / (process owner) of JSC «KazTBU named after K. Kulazhanov» on an ongoing basis.

5. RISK IDENTIFICATION

5.1 This AP assists in the risk management cycle – to identify risk.

5.2 The following tools are available for risk identification:

5.2.1 monitoring in the course of the activities of JSC «KazTBU named after K. Kulazhanov» and its main processes helps to identify potential problems that may pose a risk to the JV;

5.2.2 feedback – to listen to the feedback and recommendations that the JV receives on its activities during audits (internal and external), some of which may be accepted as a possible (perceived) risk;

5.2.3 Key problems – emerging problems that have a risk of recurrence;

5.2.4 data analysis – a review of regular reports on the activities of the JV, which may identify certain trends in possible or perceived risks;

5.2.5 review of the existing, identified risks in the course of the analysis of the JV process;

5.2.6 New opportunities – opportunities may be presented that may be useful, but at the same time present new possible or perceived risks.

5.2.7 rating results (QS, THE, Atameken NCE);

5.2.8 appeals from students and employees;

5.2.9 Results of external accreditations.

5.3 ***Identification of risk/opportunity***

5.3.1 Heads of joint ventures/process owners identify risks/opportunities and issue a Risk Passport in the form **F.DSD-6.1-2026-03-01** ***at least 1 time per academic year.***

5.3.2 Responsibility for the identification of risks and opportunities at the level of the joint venture is borne by the heads of the relevant joint ventures, at the level of processes – by the owners of the corresponding processes.

5.3.3 In identifying a risk/opportunity, the relevant SD manager/process owner shall identify and document the following information:

- risk/opportunity (name)/formulation (description) of the risk;
- the reason for the occurrence of the risk/opportunity;
- the probability of the occurrence of a risk/opportunity;
- possible consequences of the risk/opportunity.
- the level of significance/materiality of the risk

5.4 Risk management of educational programs is carried out at the following stages:

5.4.1 design of the educational program;

5.4.2 licensing and accreditation;

5.4.3 implementation of the educational program;

5.4.5 Monitoring and evaluation of learning outcomes;

5.4.6 updating and revising the educational program.

6. BASIC RISK CATEGORIES

6.1 In accordance with the ICP Album and in this DP, JSC «KazTBU named after K. Kulazhanov» has identified risks at the level of JSC «KazTBU named after K. Kulazhanov», which

may entail possible or expected risks.

6.2 Table of risks at the level of JSC «KazTBU named after K. Kulazhanov»:

Risk category	Short description	Link to Process Risks
Financial stability of «KazTBU named after K. Kulazhanov» JSC	Risks associated with financial stability. This may include recruiting applicants for the new academic year, budget allocation and financial management, and no research grants.	Yes – risks in the process
The building and property of «KazTBU named after K. Kulazhanov» JSC	Risks associated with the ownership of JSC «KazTBU named after K. Kulazhanov», which may have a fundamental impact on the institution's ability to conduct training and research.	Yes – risks in the process
IT Infrastructure	Risk associated with information technology infrastructure – this can include cybersecurity, Internet governance.	Yes – risks in the process
Management and processes of «KazTBU named after K. Kulazhanov» JSC	Risks associated with the management and processes of JSC «KazTBU named after K. Kulazhanov», which may affect the institution's ability to operate effectively.	Yes – risks in the process
Employees of «KazTBU named after K. Kulazhanov» JSC	Risks associated with the recruitment, retention, support and motivation of JSC «KazTBU named after K. Kulazhanov». This may also include risks related to employee inclusion and diversity.	Yes – risks in the process
Students of «KazTBU named after K. Kulazhanov» JSC	Risks associated with the recruitment of applicants and the support of students. This can also include the inclusion and diversity of the student body.	Yes – risks in the process
Studies of «KazTBU named after K. Kulazhanov» JSC	All risks associated with the study, including but not limited to equipment, culture, funding, and collaboration.	Yes – risks in the process
Educational activities of «KazTBU named after K. Kulazhanov» JSC	All risks associated with educational activities, including but not limited to teaching and learning, the assessment and examination process, and student support.	Yes – risks in the process
Environment of «KazTBU named after K. Kulazhanov» JSC	All risks related to environmental sustainability are energy use, water management, and CO2 emissions.	No – risks in the process
Anti-corruption risks of «KazTBU named after K. Kulazhanov» JSC	All risks associated with the anti-corruption process.	No – risks in the process
Archiving and transparency of documentation of «KazTBU named after K. Kulazhanov» JSC	Any risks associated with the preservation, protection, documentation, and possible improper storage or loss of personal files of employees or students of JSC «KazTBU named after K. Kulazhanov».	No – risks in the process
Reputation of JSC «KazTBU named after K. Kulazhanov» JSC	Reputational risks elsewhere.	No – risks in the process

7. RISK MANAGEMENT PROCESS

7.1 SD managers are the owners of the processes described in the ICP.

7.2 For the convenience of risk management, a risk assessment methodology has been created in this AP.

7.3 This risk assessment methodology complies with the principles set out in the international standards ISO\IEC 27001, ISO\IEC 27005, ISO\IEC 31000.

7.4 ***The risk management process*** includes the following stages:

7.4.1 identification, analysis and assessment of the level of risks;

7.4.2 Identification of risk treatment options;

7.4.3 risk handling;

7.4.4 Determination of the level of residual risks after their treatment;

7.4.5 Risk monitoring.

7.5 The risk management process consists in summarizing all available information on the probability of occurrence, the significance of potential consequences from the occurrence of risks for «KazTBU named after K. Kulazhanov» JSC, processing risks to an acceptable level and monitoring risks.

7.6 Risk/Opportunity Analysis and Assessment

7.6.1 Risk analysis includes consideration of the causes and sources of risks and opportunities, their positive and negative consequences and the likelihood that these consequences may occur.

7.6.2 At the stage of risk and opportunity analysis, the head of the joint venture/process owner assesses the probability of the occurrence of each risk/opportunity, the consequences of the event and its level in accordance with the developed list. The probability of risk occurrence and the consequences of exposure to the risk are estimated in points on a scale from 1 to 5 points.

Risk assessment criteria		**Score**
Probability of risk occurrence		
Very high	The event is expected to happen. Conditions for this necessarily arise over a fairly long period of time (5 times or more per year)	**5**
Significant	An event can happen. The conditions for this arise quite regularly and/or within a certain period of time (4 times a year)	**4**
Essential	Evidence sufficient to suggest the possibility of an event (3 times a year)	**3**
Moderate	A rare event that took place earlier occurs in some cases (2 times a year)	**2**
Minimum	The event occurs in exceptional cases, it is almost impossible to assume that such a factor will arise (1 time a year)	**1**
Consequences of exposure to risk		
Very strong	It is difficult to recover from the consequences associated with this risk	**5**
Significant	The consequences of the risk are significant, but can only be corrected to a certain extent	**4**

Significant	The consequences of the risk are significant, but can be completely corrected	**3**
Moderate	The impact of the risk/opportunity is negligible	**2**
Minimum	Absence of any significant consequences when the risk/opportunity materializes	**1**

7.6.3 The level of risk/opportunity is determined by the formula:
Risk Value = Probability*Consequences (Damage).

Low Risk	Risk is controlled and does not pose an immediate threat or impact
Medium risk level	The risk has the potential to move into the red zone, it requires management and close monitoring, but there is no immediate threat that could have a significant impact
High Risk	Risk requires active influence on the part of management. Risk is an immediate threat and its consequences will be significant

	Level of risk/opportunity (Crazy Level Map)					
Influence	**5 Very high level**	**5**	**10**	**15**	**20**	**25**
	4 High level	**4**	**8**	**12**	**16**	**20**
	3 Intermediate level	**3**	**6**	**9**	**12**	**15**
	2 Low level	**2**	**4**	**6**	**8**	**10**
	1 Very low level	**1**	**2**	**3**	**4**	**5**
		1 Very low level	**2 Low level**	**3 Intermediate level**	**4 High level**	**5 Very high level**
	Probability					

7.6.4 Depending on the level of risk, management decisions are made:
7.6.4.1 **Low risk - acceptable (1-4 points) -** ***No risk management measures are taken.***
7.6.4.2 **Medium level of risk (5-12 points) -** Unacceptable level of risk. If necessary, risk management measures are developed aimed at reducing the level of risk to an acceptable level. The decision on the expediency of developing appropriate measures depending on the level of management of this risk is made by the rector, vice-rector, the owner of the process, the head of the joint venture. The impact of the consequences is carried out by making operational management decisions, taking into account the available material, technical and human resources.
7.6.4.3 **High level of risk (15-25 points) -** Unacceptable level of risk. Risk management measures are developed to reduce the level of risk to an acceptable level. Risk requires constant monitoring, analysis and evaluation by management.

7.7 ***Risk management, preliminary control***

7.7.1 Risk management (pre-control) includes the selection of one or more tools/(action options) to minimize the likelihood of risks and their negative impact on process objectives.

7.7.2 When planning measures to eliminate risks, the head of the relevant JV/process owner analyzes information on the possibilities of eliminating risks, possible deadlines for elimination and the necessary resources.

7.7.3 After filling out the risk passport, the head of the relevant JV/process owner fills out a plan of measures to eliminate the identified risks in the form **F. DSD-6.1-2026-03-02.**

7.7.4 The effectiveness of the measures is assessed by determining whether the risk/opportunity has occurred or not. The heads of the joint venture, together with the management of «KazTBU named after K. Kulazhanov» JSC analyze the measures taken to reduce risks in order to form requirements for subsequent measures and conclusions on strategic changes in the activities of «KazTBU named after K. Kulazhanov» JSC.

7.7.5 ***The level of risk of the OP is determined*** in accordance with the risk assessment matrix established by this **DP KazUTB-DSD-DP-6.1-2026-03.**

7.8 ***Monitoring of risks/opportunities*** is carried out:

7.8.1 in the course of the operational activities of the joint venture and, if necessary, reflected in the minutes of the meetings of the joint venture, minutes of meetings of collegial bodies in other documentation;

7.8.2 when conducting internal audits (reflected in internal audit plans and reports);

7.8.3 when analyzing the functioning of processes in the JV;

7.8.4 when analyzing the management of the QMS of «KazTBU named after K. Kulazhanov» JSC.

7.8.5 Assessment of the effectiveness of the implementation of risk management measures and measures to implement opportunities is carried out by process owners and managers of the joint venture by confirming the fact of the implementation of measures and the fact of risk reduction.

7.8.6 ***Process owners organize the collection, analysis, clarification, systematization and ranking of information on risks/opportunities with mandatory monitoring of the implementation of measures to manage the most important risks/opportunities. The results of the risk monitoring analysis are annually reflected in the process self-analysis report (Management Analysis report).***

7.9 An unscheduled review of risks is carried out in the following cases:

7.9.1 changes in regulatory requirements;

7.9.2 Institutional or programme accreditation;

7.9.3 reorganization of the structure of «KazTBU named after K. Kulazhanov» JSC;

7.9.4 Material deviation in KPIs.

8. DOCUMENTED INFORMATION ON RISK MANAGEMENT

8.1 Lists of documented information registered in the JV, their forms, responsibility for registration, place and terms of storage are given in the relevant documents of the QMS of «KazTBU named after K. Kulazhanov» JSC.

8.2 ***List of documented information under this DP:***

8.2.1 Passport of risks of the joint venture/process in the form **F. DSD-6.1-2026-03-01;**

8.2.2 EP risk passport in the form **F. DSD-6.1-2026-03-01-OP;**

8.2.3 Plan-report of measures to eliminate the identified risks in the form **F. DSD-6.1-2026-03-02;**

8.2.4 For the heads of the SD, before filling out the risk passport, it is mandatory to check the Checklist F.DSD-6.1-2026-03-03.

9. RESPONSIBILITIES AND AUTHORITY

9.1 The owner of this procedure is the Rector, Management Company for KazTBU named after K. Kulazhanov" JSC.

9.1.1 Employees of «KazTBU named after K. Kulazhanov» JSC participate in identifying risks

by providing information, suggestions and feedback within the framework of the activities of structural subdivisions.

9.2 Responsibilities under this procedure and the distribution of authority are presented in the table:

SP	Responsibilities and Authority
Rector, MC «KazUTB named after K. Kulazhanov» JSC	- Development and implementation of DP; - process management; - organization of work on the preparation of the Management Analysis Report.
DSM	- verification of documented QMS information for compliance with the requirements of quality standards; - updating the documented procedure; - archiving of documented QMS information; - organization of work on the collection of initial data from the heads of processes / joint ventures (plan report of measures to eliminate the identified risks).
Process owners	- identification of risks and opportunities and issuance of a Risk Passport in the form **F. DSD-6.1-2026-03-01**; - analysis of risks and opportunities; - assessment of risks and opportunities; - Processing of risks and opportunities (plan and report of measures to eliminate the identified risks in the form **F. DSD-6.1-2026-03-02);** - monitoring and revision; - informing the participants in the process.
Heads of the joint venture, management company of the QMS	- identification of risks and opportunities and issuance of a Risk Passport in the form **F. DSD-6.1-2026-03-01**; - analysis of risks and opportunities; - assessment of risks and opportunities; - Processing of risks and opportunities (plan and report of measures to eliminate the identified risks in the form **F. DSD-6.1-2026-03-02);** - monitoring and revision; - informing the employees of the joint venture.
Head of the educational program	- identification, analysis, assessment and monitoring of the risks of the educational program; - analysis of risks and opportunities; - assessment of risks and opportunities; - monitoring and revision;
All employees	- use of exclusively updated documented information of the QMS on risks.

10. CONFIDENTIALITY

10.1 This DP is an internal regulatory document of «KazTBU named after K. Kulazhanov» JSC and is not subject to presentation to other parties, except for experts of certification bodies during the certification audit, consumer partners with the permission of the Rector of «KazTBU named after K. Kulazhanov».

APPLICATIONS

F. DSD-6.1-2026-03-01 (mandatory)

RISK PASSPORT

_____in the _____/_____ academic year.
(name of the structural department)

No p/n	Process Name	Name of risk	Causes	Probability of risk consequences	Probability(1-5 points)	Consequences (1-5 points)	Risk level (1-25 points) = gr.6*gr.7
1	2	3	4	5	6	7	8

Head of the joint venture/Head of the _____ process (full name)
"____"_____ 20__

F.DSD-6.1-2026-03-01-(EP)

RISK PASSPORT OF THE EDUCATIONAL PROGRAM

Name of the educational program: _____Level of education: bachelor's / master's / doctoral studies (leave the necessary) Structural department (faculty / department): _____Academic year: _____ / _____

No p/n	Stage of the EP life cycle	Name of risk	Causes of occurrence	Probability (1-5)	Aftermath (1–5)	Risk Level (V×P)	Risk status
1	2	3	4	5	6	7	8
	Designing of the EP						
	Implementation of the EP						
	Assessment of the LO						
	Contingent of students						
	Accreditation of the EP						

Head of the Educational Programme _____ /Full name/Signature _____ Date "_" _____ 20___

F. DSD-6.1-2026-03-02 (mandatory)

RISK ELIMINATION ACTION PLAN

_____ in the _____/_____ academic year.

(name of the structural department)

No #	Process Name	Name of risk	Risk level	Risk mitigation measures	Responsible Full name	Implementation timeline	Supporting documented information containing information on the elimination of the risk
1	2	3	4	5	6	7	8
High risk level (15-25 points)							
Medium risk level (5-12 points)							

Head of the structural department/Head of the _____ process (full name)

"____"_____ 20__

F. DSD-6.1-2026-03-03

CHECK-LIST OF RISK MANAGEMENT OF THE EDUCATIONAL PROGRAM

Indicator	Data
Name of the subdivision	
EP Code and Level	
Faculty / Department	
Head of the Educational Department (full name)	
Academic Year	
Date of filling	

(ISO 31000 – Context-setting)

№	Criterion	Yes/No	Note
1	**CONTEXT AND COMPLIANCE WITH THE OS**		
1.1	Compliance with the State Educational Standards and Regulatory Acts of the Ministry of Higher Education of the Republic of Kazakhstan		
1.2	Taking into account professional standards and the labor market		
1.3	Stakeholders identified		
1.4	Connection of the EP with the strategy of KazTBU		
2	**DESIGN AND STRUCTURE OF THE SUB**		
2.1	PLO* are formulated and measurable		
2.2	CLOs* are aligned with PLOs		
2.3	The CLO-PLO matrix is relevant		
2.4	The curriculum is balanced		
2.5	Syllabuses are updated		
3	**HR AND RESOURCE RISKS**		
3.1	Sufficient qualification of the teaching staff		
3.2	Balanced PPP Load		
3.3	MTB complies with EP		
3.4	LMS and e-resources are sustainable		
4	**IMPLEMENTATION OF THE OP AND CONTINGENT**		
4.1	Implementation of the plan for the recruitment of applicants in		

	accordance with the development plan of KazUTB JSC		
4.2	Monitoring progress		
4.3	Deduction Analysis		
4.4	Academic mobility / internship		
5	**ASSESSMENT OF LEARNING OUTCOMES**		
5.1	Assessment tools are CLO-compliant		
5.2	PLO Assessment Done		
5.3	Corrective actions defined		
6	**ACCREDITATION RISKS**		
6.1	Taking into account the standards of accreditation agencies		
6.2	The evidence base has been formed (all supporting documents)		
6.3	Comments of previous accreditations were taken into account (corrective actions were taken)		

FINAL ASSESSMENT

☐ EP risks **acceptable**
☐ Required corrective action
☐ Revision of EP **required**

Brief conclusions of the head of the OP:_____

Approving:

Position	Name	Signature	Date
Head of the Educational Program/ Head of the Department			
Dean			

* PLO - the results of learning of the EDUCATIONAL PROGRAM, that is, **what a graduate of the program should be able to do and know**, and not in a separate subject.

*CLO is the results of learning in one discipline, that is, **what a student should be able to and know** in a particular subject.

EXAMPLE OF RISK ASSOCIATED WITH PLO

EP Risk: PLOs Are Not Achieved by Graduates

Causes:

- non-PLO disciplines
- Formal CLOs
- Incorrect assessment tools

Consequences:

- Problems with accreditation
- Low quality of graduates
- reputational losses

F. DSD-7.5-2026-01-02 (mandatory)

APPROVAL SHEET

Position	Full name	Date	Signature
Vice-Rector for AA	Askarbekov E.B.	08.05.2026	
Vice-Rector for R&I	Aibuldinov Y.K.	08.05.2026	
Vice-Rector for SA&SD	Berdigaliuly S.	08.05.2026	
Director of the DSD	Orazalina D. K.	08.05.2026	
Head of the QMSD	Ernst A.	08.05.2026	

F. DSD-7.5-2026-01-03 (mandatory)

FAMILIARIZATION SHEET

Position	Full name	Date	Signature

F. DSD-7.5-2026-01-04 (mandatory)

CHANGE REGISTRATION SHEET

The number of the changed In the case of the	Change Notice Number	Number of sheets (pages)				Total sheets (after changes)	Date of submission	Full name of the person making the changes	Signature of the person who made the changes
		changed	replaced	new	cancelled				

F. DSD-7.5-2026-01-05 (mandatory)

PERIODIC INSPECTION RECORD SHEET

Verification Date	full name of the person, who performed the Verification	Signature of the person, who performed the check	Wording of comments