| | |
|---|---|
| | JSC «Kazakh University of Technology and Business named after K. Kulazhanov» |
| | QUALITY MANAGEMENT SYSTEM |
| | Methodological recommendation |

**APPROVED**
Rector of
JSC «KazUTB named after K. Kulazhanov»
_____ L.K. Baibolova
«10» September 2026

# METHODOLOGICAL RECOMMENDATIONS ON PREPARATION OF PLANNING AND ACCOUNTING DOCUMENTATION KazUTB-DSD-MR-9.1.3-2026-11

Astana, 2026

| | | |
|---|---|---|
| Version: 2.0 | CI: DOHS | Regisration №_____ on EDM |

## FOREWORD

These Methodological Recommendations were developed by the Department of Strategic Development (DSR) of JSC «KazUTB named after K. Kulazhanov».

These Methodological Recommendations are approved by the Rector through personal signature on the title page and come into effect on the date of signing.

The requirements of these Methodological Recommendations apply to the preparation of annual plans and reports of JSC «KazUTB named after K. Kulazhanov».

Compliance with the requirements of the Methodological Recommendations is monitored by Vice Rectors by area of activity.

Periodic review of these Methodological Recommendations is conducted by the Head of the Quality Management System Department (QMSD) at least once every three years.

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## 1. GENERAL PROVISIONS AND PROCEDURE DESCRIPTION

1.1 **Annual Work Plan** – one of the mandatory documents in the activities of all units of JSC «KazUTB named after K. Kulazhanov».

1.2 Work planning is an important management tool for the activities of a structural subdivision (SS), ensuring rational resource allocation, coordination of activities, and achievement of set goals with maximum efficiency and within optimal timeframes.

1.3 **Annual Work Plan of the SU** is prepared on the basis of the Development Programme of JSC «KazUTB named after K. Kulazhanov» for 2026–2029 (target indicators), annual plans by activity areas, and the annual action plan for the development and maintenance of the QMS of JSC «KazUTB named after K. Kulazhanov».

1.4 Each year, heads of SS of JSC «KazUTB named after K. Kulazhanov» develop and have their Annual Work Plans approved by the head of the management unit or supervising vice rector (according to the organisational structure).

**1.5 Annual Report** – a document that is part of the reporting documentation system of JSC «KazUTB named after K. Kulazhanov» and serves as a tool for implementing the management control function.

1.6 **Annual Report of the SU** – an analysis of measurable performance monitoring indicators across key activity areas, showing dynamics compared to previous years (charts, diagrams, tables), and an analysis of planned indicator achievement.

1.7 These Methodological Recommendations contain guidance on formatting report text, structural organisation, and presentation of specific types of illustrative materials.

**1.8 *Completion Instructions:***

1.8.1 This template combines two mandatory reporting documents provided in the «Methodological Recommendations for Preparing Planning and Reporting Documentation» **(KazUTB- DSD -MR-9.1.3-2025-11):** the annual report on SS activities **(see F. DSD -9.1.3-2026-11-02)** and the report on QMS functioning in the SS **(see F. DSD -9.1.3-2026-11-07).**

1.8.2 The content section of the template is additionally linked to the album of «Process Information Cards» **(KazUTB- DSD -PIC-5.3/9.3-2026-02):** indicators, risks, and process content specified in the process card, for which the given structural subdivision is the owner or manager, are transferred to the corresponding report sections as a basis for analysis.

**1.8.3 Who uses the template:** intended for heads of structural subdivisions of JSC «KazUTB named after K. Kulazhanov» - departments, directorates, divisions, centres, services, - except for chairs and faculties, for which **F. DSD -9.1.3-2026-01-05 and F. DSD -9.1.3-2026-01-06.**

## 2. PROCEDURE FOR WORKING WITH TEMPLATES

2.1 Before filling in the template, determine which process(es) from the «Process Information Cards» album is assigned to your SS as owner or manager **(see F. DSD -9.1.3-2026-01-04)**.

2.1.1 Fill in the title page: full name of the SS, reporting period, full name of the SS head and the authorising official.

2.1.2 «Introduction» section — no more than 1 page of printed text: brief analysis of SS activities and key achievements for the reporting period.

2.1.3 «Main Body» section - description of all areas of SS activity with completion deadlines; if a task is not completed — state the reason. Text is supported by figures; indicators are compared with planned values and with the same period of the previous year (tables, diagrams, and charts are recommended).

2.1.4 The «Process Indicators and Risks (per Process Card) » section is filled in based on information from the process information card: actual indicator values are compared against targets; risk status is updated as of the end of the reporting period.

2.1.5 The «QMS Functioning Report» section is mandatory for all SU.

2.1.6 «Conclusion» section - findings, assessment of SS effectiveness for the reporting period, proposals for improving activities in the next period.

2.1.7 Do not leave table cells empty: where data is unavailable, insert a dash – rather than leaving the cell blank.

## 3. FORMATTING REQUIREMENTS

| Parameter | Requirement |
|---|---|
| **Format** | A4 |
| **Margins** | Left — 3 cm, Right — 1 cm, Top — 2 cm, Bottom — 2 cm |
| **Font** | Times New Roman, 12 pt (smaller sizes permitted in tables and appendices) |
| **Line Spacing** | Single |
| **Alignment** | Justified |
| **Paragraph Indent** | 1.25 cm |
| **Page Numbering** | Continuous, Arabic numerals, centred at the bottom of the page; the title page is not numbered but is counted in the total |
| **Tables** | Table title is placed above the table, left-aligned, without paragraph indent; empty cells are not permitted — insert a dash where data is unavailable |

### 3.3 Deadlines and Approval Procedure

3.3.1 The annual SS activity report is submitted: for the academic year — no later than September; for the calendar year — no later than January of the following year.

3.3.2 The QMS functioning report for the SS is submitted for the academic year no later than September of the current year.

3.3.3 The annual report and the QMS functioning report of the SS are prepared by the SS head in Russian and Kazakh.

3.3.4 The annual report is approved by the official supervising the SS (head of the directorate or supervising vice rector).

3.3.5 The QMS functioning report is approved by the Rector and endorsed by the supervising vice rector and/or the official supervising the SS, the Director of DSR, and the Head of QMSD.

3.3.6 Paper and electronic copies are stored in the corresponding nomenclature folder of the SU.

## 4. PROCEDURE FOR WORKING WITH (F. DSD-9.1.3-2026-01-05 and F. DSD-9.1.3-2026-01-06) FOR CHAIRS AND FACULTIES

4.1 Chairs submit annual work reports for the academic year and the Chair Readiness Certificate for the new academic year (F. DSD -9.1.3-2026-01-05) by 25 June of the reporting year, and store them in accordance with the chair's file nomenclature. The annual chair work report shall be discussed at a chair meeting, endorsed by SS heads and approved by the faculty dean.

4.2 The title page of the chair's activity report shall be formatted according to form (**F. DSD -9.1.3-2026-01-05**).

4.3 Faculties, based on departmental reports and their own sources of documented information, prepare consolidated reports and submit them electronically (title pages as scanned copies with endorsement and approval results) no later than 30 June of the reporting year, and store them in accordance with the faculty's file nomenclature. The annual report shall be reviewed at a Faculty Council meeting.

4.4 The title page of the faculty annual activity report shall be formatted according to form (**F. DSD -9.1.3-2026-01-06**).

4.5 The annual chair work report is prepared according to form (**F. DSD -9.1.3-2026-01-05**)

and consists of the following main sections:

4.5.1 ***CHAIR PROFILE***

4.5.2 Tasks and Achievements: listing of key Development Programme tasks for the chair and their fulfilment for the reporting period.

4.5.3 Academic Work: report on teaching load and analysis of intermediate and final assessment results.

4.5.4 Internationalisation: international cooperation and external/internal outgoing/incoming academic mobility of students and teaching staff.

4.5.5 Research Activity: scope of publication activity at the chair. Organisation and conduct of scientific events, including research work (undergraduate, master's, doctoral), grant funding.

4.5.6 Educational (Extracurricular) Work: organisation of extracurricular activities. Preparation of students for international and national olympiads.

4.5.7 Personnel Policy: Professional development of teaching staff and chair personnel.

4.5.8 Material and Technical Resources: availability of material-technical base and its use in the educational process.

4.5.9 Monitoring and Feedback: post-accreditation monitoring of EPs at the chair; analysis of satisfaction results among students, employers, and other stakeholders.

4.6 The annual faculty work report is prepared according to form (**F. DSD -9.1.3-2026-01-06**) and consists of consolidated data presented by chairs, discussed at the Faculty Council, and includes the following main sections:

4.6.1 ***Faculty Profile***

4.6.2 Tasks and Achievements: key faculty achievements; listing of main Development Programme tasks for the faculty and their fulfilment for the reporting period.

4.6.3 Academic Work: faculty structure, qualitative/quantitative staffing, teaching load report, professional development of teaching staff and personnel, student enrolment dynamics.

4.6.4 Internationalisation: international cooperation and academic mobility.

4.6.5 Research Activity: scope of publication activity. Organisation and conduct of scientific events, including research work (undergraduate, master's, doctoral), grant funding.

4.6.6 Educational Work: participation in student community activities. Preparation of students for international and national olympiads.

4.6.7 Material and Technical Resources: innovative software products. Publication plan execution report. Faculty classroom capacity.

4.6.8 Faculty Career Guidance Work: information on activities aimed at attracting applicants.

4.6.9 Consumer Satisfaction Monitoring: analysis of satisfaction results among students, employers, and other stakeholders.

4.6.10 4.6.10 Based on the consolidated report, a SWOT analysis shall be conducted with preventive actions specified.

4.7 ***Endorsement, Signing, and Storage of Annual Reports at Chairs and Faculties:***

4.7.1 Chair reports shall be endorsed with relevant SSs according to form (**F. DSD -9.1.3-2026-01-05**). Chair reports are printed in one copy and stored according to the chair file nomenclature. The electronic version of the annual report must be sent for endorsement, approval, and familiarisation via the Electronic Document Management (EDM) system to all relevant SSs.

4.7.2 Endorsement of the faculty annual work report according to form (**F. DSD -9.1.3-2026-01-06**) shall be conducted with supervising vice rectors by area of activity. The report is printed in one copy and stored according to the faculty file nomenclature.

## 5. PROCESS RISKS AND PREVENTION ACTIONS
## RISK PREVENTION ACTIONS

| 5.1 Risks associated with the process: | 5.2 Risk Prevention Actions: |
|---|---|
| – inadequate communication, poorly functioning internal and external | – timely distribution of documented information and ensuring access by interested parties; |

| | |
|---|---|
| documented information exchange channels;<br>– low-quality or absent monitoring of activity indicators by responsible officials;<br>– non-compliance with the requirements of these Methodological Recommendations and approved forms.<br>– deliberate concealment of reliable data for personal gain. | – monitoring of all indicators within the strictly designated period;<br>– implementation of oversight by responsible officials;<br>– continuous monitoring, assessment, analysis, and comparison of results. |

## 6. RESPONSIBILITIES AND AUTHORITIES

| Subdivision / Position | Authorities |
|---|---|
| **Rector** | – coordinating the assessment of activities of SSs, chairs, and faculties;<br>– using assessment data for management decision-making. |
| **Vice Rectors by Activity Area** | – using only up-to-date Methodological Recommendations;<br>– coordinating activities within these Methodological Recommendations by area;<br>– using assessment data for management decision-making. |
| **DSD**<br>**QMSD** | – updating these Methodological Recommendations;<br>– registering reference copies, archiving QMS documented information, and communicating to SS heads;<br>– annual activity planning;<br>– annual preparation of annual activity reports;<br>– annual preparation of QMS functioning reports;<br>– organising and coordinating activities at specific process stages and ensuring the quality of final results. |
| **Deans** | – using only up-to-date Methodological Recommendations;<br>– annual faculty activity planning;<br>– QMS Functioning Report **F. DSD-9.1.3-2026-01-06**<br>– annual preparation of annual activity reports;<br>– annual preparation of QMS functioning reports;<br>– organising and coordinating activities at specific process stages and ensuring the quality of final results; |
| **Heads of Chairs** | – using only up-to-date Methodological Recommendations;<br>– annual activity planning;<br>– annual preparation of annual chair activity reports per **F. DSD-9.1.3-2026-01-05**;<br>– QMS Functioning Report **F. DSD-9.1.3-2026-01-07**<br>– annual preparation of QMS functioning reports per **F. DSD-9.1.3-2026-01-07**;<br>– discussing the report at the chair meeting; submitting to the dean no later than 25 June of the reporting year;<br>– organising and coordinating specific process stages and ensuring the quality of final results. |
| **Heads of Directorates and SU** | – using only up-to-date Methodological Recommendations;<br>– annual SS activity planning per form **F. DSD-9.1.3-2026-01-01.**<br>– annual preparation of annual activity reports;<br>– annual preparation of QMS functioning reports per form **F. DSD**– organising and coordinating activities at specific process stages and ensuring the quality of final results; |

**APPENDICES**

**F. DSD - 9.1.3-2026-11-01**

**FORM**
**for work planning in structural subdivisions**
*for departments, directorates, divisions, centres, services*

**JSC «Kazakh University of Technology and Business named after K. Kulazhanov»**

**«Approved»**
**Vice Rector by Activity Area**
**_____Full Name**
**"_____"_____20____**

**WORK ACTIVITY PLAN**
**SU (**specify name**)**
**for ACADEMIC YEAR / CALENDAR YEAR (**specify year**)**

| № | Activity Name | Deadline | Responsible Executor / Co-executor | Completion Note |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |
| … | | | | |

**Head of SU _____Full Name**

**Astana, 20__**

**F. DSD-9.1.3-2026-11-02**

## Comprehensive Annual Reporting Template for SS

*includes annual SS report; QMS Functioning Report F. DSD-9.1.3-2026-11-03*

**JSC «Kazakh University of Technology and Business named after K. Kulazhanov»**

**«Approved»**
**Vice Rector by Activity Area**
**_____Full Name**
**"_____"_____20____**

**ANNUAL ACTIVITY REPORT**

**_____**

*(name of SS in accordance with the organisational structure of JSC «KazUTB named after K. Kulazhanov»)*

**for 20____–20____ academic year / for 20____ calendar year**
*(keep as appropriate)*

**Astana, 20__**

**ANNUAL ACTIVITY REPORT**
**OF THE STRUCTURAL SUBDIVISION**
**1 STRUCTURAL SUBDIVISION PROFILE**

| Field | Value |
|---|---|
| **Full name of SS** | *name of structural subdivision per organisational structure* |
| **Head of SS (Full Name, Position)** | *Full Name, Position* |
| **Contact Information** | *phone, extension, e-mail* |
| **Reporting Period** | *20__–20__ academic year / 20__ calendar year* |
| **Report Submission Date** | *[date]* |
| **Official Supervising the SS** | *Full Name, Position* |
| **Number of SS Employees** | *established headcount / actual headcount* |

**1.2 Link to Process Information Card**

Specify the process(es) from the album «Process Information Cards» KazUTB- DSD -PIC-5.3/9.3-2026-02, of which this structural subdivision is the owner or manager. Information is transferred from the process card without changes; if necessary, rows may be added for multiple processes.

| Field | Value |
|---|---|
| **Process Name** | *process name per card, e.g.: «Personnel Management»* |
| **Process Card ID Number** | *e.g.: KazUTB-M/H-PIC-7.1.2/7.2-2026-18* |
| **Process Category** | *Governing / Core / Supporting* |
| **Process Owner** | *per process card* |
| **Process Manager (SS)** | *name of SU* |
| **Process Objective** | *per process card* |
| **Supplier Processes** | *per process card* |
| **Consumer Processes** | *per process card* |

*Reference: the process registry of the PIC album and corresponding owners/managers is provided in* **F. DSD -9.1.3-2026-11-04** *of this template.*

## 2 INTRODUCTION

Section volume - no more than 1 page of printed text.

Brief analysis of SU activities for the reporting period: key areas of work, most significant achievements and results, their alignment with the objective of the process(es) assigned to the SS.

## 3 MAIN BODY

This section contains a description of all areas of SS activity with activity completion deadlines; where a task is not completed — reasons and difficulties are stated. The narrative is supported by quantitative and qualitative indicators, compared with planned values and the same period of the previous year. If necessary, appendices are added: tables, diagrams, figures.

### 3.1 ANNUAL WORK PLAN EXECUTION

The table is filled in based on the annual SS work plan per form F.DSR-9.1.3-2026-11-01.

| № | Activity Name | Planned Deadline | Actual Deadline | Responsible Executor | Completion Note / Reason for Non-Completion |
|---|---|---|---|---|---|
| 1 | | | | | |
| 2 | | | | | |

### 3.2 DYNAMICS OF KEY PERFORMANCE INDICATORS

The table includes process effectiveness assessment indicators from the process card («Assessment Indicators» / «Key Indicators» section), as well as other significant SS performance indicators.

**IMPORTANT: transfer ALL indicators from the «Key Indicators» / «Assessment Indicators» section of the process card without omissions — this is a mandatory QMS requirement. An empty cell in the «Target Value» column is not permitted: if no value has been set - enter "to be established" with the target date.**

| Indicator Name | Planned Value | Actual Value, Reporting Period | Value for Previous Period | Trend / Comment |
|---|---|---|---|---|
| | | | | |
| | | | | |

*It is recommended to supplement this section with charts or diagrams showing indicator dynamics over 2–3 reporting periods.*

### 3.3 DESCRIPTION OF ACTIVITY AREAS

Sequentially disclose the process content per the process card: activity planning; implementation of activities; indicator monitoring; results analysis; corrective actions and improvements. For each area — work completed, deadlines, results, difficulties, and their causes.

### 3.4 PROCESS INDICATORS AND RISKS (PER PROCESS CARD)

This section is filled in based on the «Assessment Indicators», «Risks», and «Process Content» sections of the process information card assigned to the SS.

### 3.5 IMPLEMENTATION OF PROCESS ASSESSMENT INDICATORS

| Assessment Indicator (from process card) | Target Value | Actual Value | Assessment / Comment |
|---|---|---|---|
| | | | |
| | | | |
| | | | |

### 3.6 PROCESS RISK STATUS

| Risk (from process card) | Was Risk Realised in Reporting Period | Risk Level | Measures Taken / Comment |
|---|---|---|---|
| | | | |
| | | | |
| | | | |

**IMPORTANT: all risks from the «Risks» section of the corresponding process card are transferred to the table — regardless of whether they materialised during the reporting period. The «Was Risk Realised» column is filled with: «Yes» / «No» / "Partially". Additional risks identified in the current period are added in rows below.**

### 4 CONCLUSION

Findings for the reporting period; assessment of the effectiveness of work done in relation to set goals and objectives; proposals for improving SS activities in the next reporting period.

**F. DSD-9.1.3-2026-11-03**

## Comprehensive QMS Functioning Report Template for SS

### QMS FUNCTIONING REPORT IN THE STRUCTURAL SUBDIVISION

This section is prepared according to the form and is a mandatory part of the SS annual report. It is approved by the Rector and endorsed by the supervising vice rector, the official supervising the SS, the Director of DSR, and the Head of QMSD.

### EFFECTIVENESS OF INTERNAL AND EXTERNAL QMS / QMS-EP AUDITS

Conclusion on conformity of SS activities to requirements: *(conforms / does not conform to established requirements — keep as appropriate)*

*If there are unclosed audit records in the SS, Table 1 must be completed.*

*Table 1 – List of Unresolved Non-Conformities Identified in Internal/External QMS/QMS-EP Audits*

| SU Abbrev. | ISO 9001:2015 / 37001:2016 Clause | Non-Conformity Description | Responsible Executor | Required Corrective Actions | Reasons for Non-Resolution | Actions Taken |
|---|---|---|---|---|---|---|
| | | | | | | |
| | | | | | | |

### RISK MANAGEMENT

The risk register and action plan are formed based on the "Risks" section of the corresponding process card and supplemented by risks identified during SS activities in the reporting period.

*Table 2.1 – Risk Passport*

| No. | Process Name | Risk Name | Causes | Probability (1–5) | Impact (1–5) | Risk Level (1–25) = col.5 × col.6 |
|---|---|---|---|---|---|---|
| 1 | | | | | | |
| 2 | | | | | | |

*Table 2.2 – Risk Mitigation Action Plan-Report*

| № | Process Name | Risk Name | Risk Level | Risk Mitigation Measures | Responsible (Full Name) | Implementation Deadline | Supporting Documented Information |
|---|---|---|---|---|---|---|---|
| **High Risk Level (15–25 points)** | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| **Medium Risk Level (5–12 points)** | | | | | | | |

Conclusion on effectiveness of risk management actions: *(effective / ineffective — keep as appropriate)*

## 2.3 ACTIVITY IMPROVEMENT

*Table 2.3.1 – Completion of Measures to Address Deficiencies and Improve Activities Based on the Previous Reporting Period (mandatory)*

| Improvement Measures / Actions | Supporting Documented Information / References | Note (reasons if measure not completed) |
|---|---|---|
| | | |
| | | |
| | | |

*Table 2.3.2 – Proposals for Improving Activities in the Next Academic Year (mandatory)*

| Improvement Measures / Actions | Deadline | Expected Result | Responsible for Execution |
|---|---|---|---|
| | | | |
| | | | |

**Endorsed:**

_____ (Full Name, Supervising Vice Rector)
"_____"_____20__

_____ (Full Name, Official Supervising the SU)
"_____"_____20__

_____ (Full Name, Director of DSD)
"_____"_____20__

_____ (Full Name, Head of QMSD)
"_____"_____20__

_____ (Full Name, Head of SU)
"_____"_____20__

### 3. Process Registry of the «Process Information Cards» Album — KazUTB-DSR-PIC-5.3/9.3-2026-02

*Use the table to identify the process(es) assigned to your SS and transfer its identification data to section 1.2 of this report.*

*Note: the «Process Owner» column corresponds to the field in the process card. Each card also specifies the Process Manager - the structural subdivision directly responsible for executing the process. Information is transferred to section 3.2 of the report from the «Process Manager» field of the corresponding process card.*

| № | Process Name | Category | Process Owner | ID Number |
|---|---|---|---|---|
| 1 | University Strategic Development | Governing | President / Rector | KazUTB-M/H-PIC-4.1/6.3-2026-01 |
| 2 | Quality Management System Management | Governing | Rector | KazUTB-H-PIC-4.4-2026-02 |
| 3 | Risk Management | Governing | President / Rector | KazUTB-M/H-PIC-6.1-2026-03 |
| 4 | Regulatory Document Management | Governing | President / Rector | KazUTB-M/H-PIC-7.5-2026-04 |
| 5 | Management Review | Governing | President / Rector | KazUTB-M/H-PIC-9.3-2026-05 |
| 6 | Digital Development | Governing | President / Rector | KazUTB-M/H-PIC-7.1.3-2026-06 |
| 7 | International Activities | Governing | Rector | KazUTB-H-PIC-8.1/8.2-2026-07 |
| 8 | Public Information | Governing | Rector | KazUTB-H-PIC-8.4.3-2026-08 |
| 9 | Enrolment Formation and Student Admission | Core | Vice Rector for Educational & Social Work | KazUTB-VRESoW-PIC-8.2.1/8.2.2-2026-09 |
| 10 | Development and Updating of Educational Programmes | Core | Vice Rector for Academic Affairs | KazUTB-VRAA-PIC-8.3-2026-10 |
| 11 | Implementation of the Educational Process | Core | Vice Rector for Academic Affairs | KazUTB-VRAA-PIC-8.5-2026-11 |
| 12 | Design and Delivery of Continuing Education Programmes | Core | Vice Rector for Science & Innovation | KazUTB-VRSoI-PIC-8.1-9.1-2026-12 |
| 13 | 5. RESEARCH ACTIVITY | Core | Vice Rector for Science & Innovation | KazUTB-VRSaI-PIC-8.3-2026-13 |
| 14 | Educational (Extracurricular) Work | Core | Vice Rector for Educational & Social Work | KazUTB-VREaSW-PIC-8.2/7.2-2026-14 |
| 15 | Social Work | Core | Vice Rector for Educational & Social Work | KazUTB-VREaSW-PIC-8.2/7.2-2026-15 |

| | | | | |
|---|---|---|---|---|
| 16 | Final Assessment and Graduation | Core | Vice Rector for Academic Affairs | KazUTB-VRAA-PIC-8.6-2026-16 |
| 17 | Employment and Employer Engagement | Core | Vice Rector for Academic Affairs | KazUTB-VRAA-PIC-8.2/9.1.2-2026-17 |
| 18 | Personnel Management | Supporting | President / Rector | KazUTB-M/H-PIC-7.1.2/7.2-2026-18 |
| 19 | Financial Management and Budgeting | Supporting | President / Rector | KazUTB-M/H-PIC-7.1-2026-19 |
| 20 | Infrastructure and Equipment Management | Supporting | Vice Rector for Administrative & Economic Affairs | KazUTB-VRAEA-PIC-7.1.3-2026-20 |
| 21 | Procurement | Supporting | Vice Rector for Administrative & Economic Affairs | KazUTB-VRAEA-PIC-8.4-2026-21 |
| 22 | Document Management and Archives | Supporting | President / Rector | KazUTB-M/H-PIC-7.5.3-2026-22 |

**F. DSD -9.1.3-2025-08-05**

**Comprehensive Annual Reporting Template for Chair**

*includes annual plan, chair report, annual faculty report; QMS Functioning Reports — per F. DSR-9.1.3-2025-08-07*

**JSC «Kazakh University of Technology and Business named after K. Kulazhanov»**

**«Approved»**
**Dean of Faculty**
**_____Full Name**
**"_____"_____20____**

**WORK ACTIVITY PLAN**
**(**specify name**)**
**for ACADEMIC YEAR / CALENDAR YEAR (**specify year**)**

| № | Activity Name | Deadline | Responsible Executor / Co-executor | Completion Note |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |
| … | | | | |

**Head of Chair _____Full Name Date**

**Astana, 20__**

**F. DSD-9.1.3-2025-08-05**

**JSC «Kazakh University of Technology and Business named after K. Kulazhanov»**

**Faculty _____**

**«Approved»**
**Dean of Faculty**
**_____Full Name**
**"_____"_____20____**

**ANNUAL WORK REPORT**
**of Chair _____**
for 20____–20____ academic year

Report reviewed at chair meeting _____
«_____»_____year Minutes No. _____

Head of Chair _____ _____
(Full Name) (Signature)

**Astana, 20__**

## 1. CHAIR PROFILE

| | |
|---|---|
| **Chair Name** | Chair "_____" |
| **Head of Chair (Full Name)** | |
| **Contact Information** | 8 (727) 2935288 ext.___ |
| **Report Submission Date** | |
| **Educational Programmes at Chair** | Bachelor's:<br>Master's: |

## 2. TASKS AND ACHIEVEMENTS

2.1 Main achievements of the chair. *(Table is pre-filled as an example)*

| № | Section | Indicator / Description | Notes |
|---|---|---|---|
| 1 | Introduction | Chair name, main training areas. | E.g.: Department of Information Technology, training of bachelor's and master's students in IT. |
| 2 | Student Enrolment | Number of students: bachelor's, master's, doctoral. | Example: 120 bachelor's students, 30 master's students, 5 doctoral students. |
| 3 | Educational Activity | Updating of educational programmes; final assessment results. | 2 programmes updated; average final assessment score: 4.5 out of 5. |
| 4 | Research Activity | Number of publications, grant participation, conference organisation. | Example: 10 Scopus publications, 2 grants, 3 conferences held. |
| 5 | Publication Activity | Publications in Q1/Q2 journals, WoS, Scopus. | Example: 5 articles in Q1 journals, 3 WoS articles. |
| 6 | Educational (Extracurricular) Work | Activities held: tutor hours, training sessions, student campaigns. | Example: 10 events, 50 students participated. |
| 7 | International Cooperation | Academic mobility, participation in international projects. | Example: 2 lecturers participated in internships, 3 students went on exchange. |
| 8 | Personnel Policy | Number of lecturers: doctors of science, candidates, PhDs, young staff. | Example: 2 doctors, 5 candidates, 3 PhDs, 2 young lecturers. |
| 9 | Infrastructure | Laboratory use, equipment updates. | Example: 30% of laboratory base updated, 2 new courses introduced. |
| 10 | Issues and Proposals | Key issues, proposed solutions. | Example: Need to increase funding for laboratory modernisation. |
| 11 | Plans for Next Year | Tasks in educational, research, and extracurricular work. | Example: increase publications by 20%, hold 5 new events. |

**2.2 Main tasks of the chair.** *(Table is pre-filled as an example)*

| № | Goal / Activity | Target Indicator | Responsible Persons | Notes |
|---|---|---|---|---|
| **1** | **Increase publications in Q1/Q2 journals** | 15% growth | Head of Chair | Workshops on preparing articles for Q1/Q2 journals. |
| **2** | **Develop new curriculum programmes** | 2 programmes | Head of Chair, Lecturers | Introduce contemporary disciplines reflecting labour market demands. |
| **3** | **Increase grant participation** | 3 new grants | Lecturers | Prepare applications for national and international competitions. |
| **4** | **Academic Mobility** | 5 students, 2 teaching staff | International Affairs Office | Participate in exchange programmes and internships. |

**2.3 2.3 Data on Admission, Student Enrolment, and Graduation by Level of Study**

**2.3.1 Admission Indicators by Chair EP**

| EP | | Admission Indicators | | | | | |
|---|---|---|---|---|---|---|---|
| | | 20__–20__ a.y. | | | 20__–20__ a.y. | | |
| № | Name | | | | Enrolled in EP | | |
| | | Total | Grant | Contract | Total | Grant | Contract |
| **Bachelor's** | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| **Master's** | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| **Doctoral** | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| **Total for Faculty:** | | | | | | | |

## 3. ACADEMIC WORK.

### 3.1 Fulfilment of Individual Teaching Plans of Chair Faculty

| № | Faculty Full Name | Position | Rate | Plan / Actual | TW | TMW | OMW | research | EW/PW | PD | TOTAL | Reason for Non-Fulfilment |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| 2 | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| …… | | | | | | | | | | | | |

### 3.2 Completion of Thesis/Projects and Master's Dissertations/Projects

| No. | Indicators | Bachelor's Thesis/Project | | Master's Dissertation/Project | |
|---|---|---|---|---|---|
| | | bachelor's | | Number | % |
| | | Number | % | | |
| 1 | Total number of defended graduation works, including: | | | | |
| 1.1 | commissioned by enterprises and institutions: TP/TW | | | | |
| | Startup project: TP/TW | | | | |
| | Standard TP/TW | | | | |
| | Comprehensive TP/TW | | | | |
| | Case TP/TW | | | | |
| | Research TP/TW | | | | |
| 2 | Number of graduation works recommended: | | | | |
| 2.2 | for publication | | | | |
| | for implementation of key results | | | | |
| 3 | Number of graduates awarded distinction diploma | | | | |
| 4 | Number of graduates recommended for master's study | | | | |

*Note. Fill in the table for the reporting period.*

## 4. INTERNATIONALISATION

### 4.1 International Exchanges and Internships

| Chair | | Number of Students | | | | | |
|---|---|---|---|---|---|---|---|
| | | 20 –20 a.y. | | | 20 –20 a.y. | | |
| | | No. of signed int'l agreements on study and internships | No. of student winners of international competitions and olympiads | No. of grants and scholarships won by students | No. of signed int'l agreements on study and internships | No. of student winners of international competitions and subject olympiads | No. of grants and scholarships won by students |
| Bachelor's | | | | | | | |
| | | | | | | | |
| Master's | | | | | | | |
| | | | | | | | |
| Doctoral | | | | | | | |
| | | | | | | | |

### 4.2 External Outgoing Academic Mobility of Students

| № | Full Name | EP | Year | Country | University | Dates |
|---|---|---|---|---|---|---|
| Bachelor's | | | | | | |
| | | | | | | |
| Master's | | | | | | |
| | | | | | | |
| Doctoral | | | | | | |
| | | | | | | |

*Note. Fill in the table for the reporting period.*

### 4.3 External Incoming Academic Mobility of Students

| № | Full Name | EP | Year | Country | University | Dates |
|---|---|---|---|---|---|---|
| Bachelor's | | | | | | |
| | | | | | | |
| Master's | | | | | | |
| | | | | | | |
| Doctoral | | | | | | |
| | | | | | | |

*Note. Fill in the table for the reporting period.*

### 4.4 Internal Outgoing Academic Mobility of Students

| № | Full Name | EP | Year | Region | University | Dates |
|---|---|---|---|---|---|---|
| Bachelor's | | | | | | |
| | | | | | | |
| Master's | | | | | | |
| | | | | | | |

| Doctoral | | | | | | |
|---|---|---|---|---|---|---|
| | | | | | | |

*Note. Fill in the table for the reporting period.*

**4.5 Academic Mobility of Chair Teaching Staff**

| № | Full Name | Position | Academic Degree / Title | Discipline | No. of Credits | Host Institution (Country, University) | Period |
|---|---|---|---|---|---|---|---|
| | | | | | | | |
| | | | | | | | |

*Note. Fill in the table for the reporting period.*

**4.6 Foreign Lecturers Involved in the Educational Process**

| № | Full Name Teaching Staff | Position | Academic Degree / Title | Disciplines | Country | Primary Place of Work |
|---|---|---|---|---|---|---|
| | | | | | | |
| | | | | | | |

*Note. Fill in the table for the reporting period.*

**4.7 Number of International Exchanges and Business Trips of Chair Teaching Staff**

| № | Full Name Lecturer or Researcher | Academic Degree / Title | Name of university or research centre where the lecturer/researcher was invited | Country of the university or research centre | E-mail of lecturer or researcher |
|---|---|---|---|---|---|
| | | | | | |
| | | | | | |

*Note. Fill in the table for the reporting period.*

## 5. RESEARCH ACTIVITY

**5.1 Research Work of the Chair**

| № | Indicators | For the latest calendar year | |
|---|---|---|---|
| | | Acad. Year | Acad. Year |
| | | 20__–20__ a.y. | 20__–20__ a.y. |
| 1 | Total research funding volume, tenge:<br>–— budgetary: | | |
| 1.1 | –— extra-budgetary: | | |
| 2 | Prepared and published by faculty and staff (no. of items):<br>— monographs: | | |
| 3 | Ratio of students participating in research to total EP enrolment (%):<br>— in olympiads:<br>— in academic competitions:<br>— in academic conferences: | | |

| | | | |
|---|---|---|---|
| **4** | **Number publications students** | | |
| **5** | **Number of international business trips / internships** | | |
| **6** | **Number of publications by chair researchers in ranked international databases, including:<br>— included in Web of Science** | | |
| **6.1** | **— included in Scopus** | | |
| **7** | **Number of publications by chair researchers in journals recommended by CQASE of the Ministry of Education and Science of the RoK** | | |
| **8** | **Number of protective documents received** | | |
| **9** | **Number of Production Implementation Acts** | | |
| **10** | **Number of prepared applications and submitted research projects for funding competitions** | | |
| **11** | **Number of ongoing initiative research works** | | |
| **12** | **Number of international research projects** | | |
| **13** | **Number of defended dissertations** | | |
| **14** | **Number who continued studies in master's and doctoral programmes** | | |
| **15** | **Number of research schools conducting research** | | |
| **16** | **Number of academic, academic-practical, and academic-methodological events held:<br>- — national conferences:** | | |
| **16.1** | **— international conferences** | | |
| **16.2** | **— international seminars:** | | |
| **16.3** | **— national seminars:** | | |

**5.2 Organisation of student research works (by EP) at the Chair**
**Level: bachelor's / master's / doctoral**

| EP Code and Name | Number of Students | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | 20__–20__ a.y. | | | | | 20__–20__ a.y. | | | | |
| | Total Students | No. of Final-Year Students | No. of Thesis Works Implemented | No. of Articles (conferences, journals, media) | No. of Graduates Enrolled in Master's | Total Students | No. of Final-Year Students | No. of TP/TW, MD/MP.DD Implemented | No. of Articles (conferences, journals, media) | No. of Patents, Authorship Rights, etc. |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |

## 6. EDUCATIONAL (EXTRACURRICULAR) WORK

### 6.1 Educational and Extracurricular Work with Students

**Information must be presented in accordance with the sections of the educational work plan.**

| № | Activity Name | Date | Responsible | Completion Note (links to supporting evidence) |
|---|---|---|---|---|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |
| … | | | | |

### 6.2 Results of International and National Olympiads.

| № | Full Name | Group | Year of Participation | Event Location | Result |
|---|---|---|---|---|---|
| | | | | | |
| | | | | | |

## 7. PERSONNEL POLICY

### 7.1 Quantitative and Qualitative Indicators of Teaching Staff — 20_–20__ Academic Year (filled in Excel format, Appendix 1)

| № | Last Name, First Name, Patronymic (if applicable) | Academic degree, specialty, year awarded | Academic title, specialty, year awarded | Honorary titles and state awards of the Republic of Kazakhstan, sports title "Honoured Coach" | Primary Place of Work (org. address) | Secondary Place of Work (part-time) |
|---|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
| | | | | | | |
| | | | | | | |
| | | | | | | |

### 7.2 Professional Development of Teaching Staff and Chair Personnel

| Academic Year | Teaching Staff, total | Personnel, total | Completed professional development at leading universities, enterprises, organisations | |
|---|---|---|---|---|
| | | | Teaching Staff | Personnel |
| 20__-20__ | | | | |

## 8. MATERIAL AND TECHNICAL RESOURCES

### 8.1 Innovative Software Products (virtual laboratories, simulators, etc.) Used by Chair Faculty in the Educational Process

| №№ | Educational Programme | Lecturer Full Name | Discipline Name | Virtual Labs, Simulators, etc. | Confirmation |
|---|---|---|---|---|---|
| 1. | | | | | |

**8.2 Publication Plan Execution Report**

| No. | Name | Discipline | Author (Responsible) | Publication Type | Volume (pp.) | Language | Print Run | Manuscript Submission Deadline (per plan) | Completion Note (publication details) | Reasons for Non-Execution |
|---|---|---|---|---|---|---|---|---|---|---|
| **FACULTY _____** | | | | | | | | | | |
| **Chair _____** | | | | | | | | | | |
| **1** | | | | | | | | | | |
| **2** | | | | | | | | | | |

***Note. Fill in the table for the reporting period.***

## 9. MONITORING AND FEEDBACK

**9.1 Report on Fulfilment of Recommendations from External Expert Groups by EP or EP Clusters**

| № | External Expert Group (EEG) Recommendations | Name of Planned Activity to Implement EEG Recommendation | Responsible Executor | Deadline | Completion Note: % completion and list of completed work |
|---|---|---|---|---|---|
| **Standard 1. (*(Specify Standard Name)*** | | | | | |
| | | | | | |
| | | | | | |
| **Standard 2. ……..** | | | | | |
| | | | | | |
| | | | | | |

**9.2 Consumer Satisfaction Monitoring.**
**Results of student satisfaction assessment regarding the content and quality of the educational process by discipline.**

| No. | Discipline | Total No. of Students | No. of Respondents | Criterion | | | | | | | | | | Satisfaction with the Academic Discipline |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Criterion 1 | Criterion 2 | Criterion 3 | Criterion 4 | Criterion 5 | Criterion 6 | Criterion 7 | Criterion 8 | Criterion 9 | Criterion 10 | |
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |

## 10. CAREER GUIDANCE WORK OF THE CHAIR

**10.1 Information on Activities Aimed at Attracting Applicants** ***(for each case specify: activity name, date, full names of participating lecturers, target audience, approximate number of participants, other specific information; provide your assessment of the activity's effectiveness)***

| Indicators | Target Audience | No. of Participants | Activity / Date / Lecturer Names |
|---|---|---|---|
| ***Organisational and Public Outreach Work*** | | | |
| **Participation in organising and holding meetings between applicants and faculty teaching staff, representatives of in-demand professions** | | | |
| **Participation in preparing promotional materials for applicants: handbooks and brochures about the faculty, specialties, information sheets, flyers, posters, etc.** | | | |
| **Participation in organising and holding subject olympiads to assess applicant knowledge levels, develop cognitive activity, and build career motivation** | | | |
| **Participation in organising and holding Open Days of JSC «KazUTB named after K. Kulazhanov»and faculty open days** | | | |
| **Other** | | | |
| ***Work with School Students on Career Guidance*** | | | |
| **Informing students about the faculty and specialties of JSC «KazUTB named after K. Kulazhanov»** | | | |
| **Other** | | | |
| ***Work with School Principals and Class Teachers on Career Guidance*** | | | |
| **Interaction with class teachers to identify students' abilities, inclinations, and preparation level** | | | |
| **Questionnaires on career guidance work at school** | | | |
| **Other** | | | |
| ***Work with Parents on Career Guidance*** | | | |
| **Participation in parent-teacher meetings** | | | |
| **Informing parents about faculty specialties** | | | |
| **Providing information on admission rules, labour market development prospects, and targeted personnel training** | | | |
| **Explaining the role of parents in career guidance — the choice of profession** | | | |
| **Other** | | | |

**F. DSD-9.1.3-2026-11-06**

**Comprehensive Annual Reporting Template for Faculty**
*includes annual plan, annual faculty report; QMS Functioning Reports — per Appendix*

**JSC «Kazakh University of Technology and Business named after K. Kulazhanov»**

**«Approved»**
**Vice Rector for Academic Affairs**
**_____Full Name**
**«_____»_____20____**

**WORK ACTIVITY PLAN**
**(**specify name**)**
**for ACADEMIC YEAR / CALENDAR YEAR (**specify year**)**

| № | Activity Name | Deadline | Responsible Executor / Co-executor | Completion Note |
|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 |
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |
| … | | | | |

**Dean _____Full Name Date**

**Astana, 20__**

**ANNUAL FACULTY REPORT FORM**

**JSC "Kazakh University of Technology and Business named after K. Kulazhanov"**

**Faculty _____**

**«Approved»**
**Vice Rector for Academic Affairs**
**_____Full Name**
**"_____"_____20___**

**REPORT**

**of Faculty _____**

**for 20____–20____ academic year**

Report reviewed at a Faculty Council meeting
«_____»_____year
Minutes No. _____

Dean _____ _____
(Signature) (Full Name)

**Astana, 20__**

## 1. FACULTY PROFILE

| | |
|---|---|
| **Faculty Name** | **Faculty _____** |
| **Head of SS (Full Name)** | |
| **Contact Information** | **8 (727) 2935288 ext.___** |
| **Self-Assessment Report Submission Date** | |
| **Faculty Educational Programmes** | **Bachelor's:**<br>**Master's:** |

## 2. FACULTY TASKS AND ACHIEVEMENTS

### 2.1 Main tasks of the faculty planned for the reporting period

**(*Table is pre-filled as an example)***

| № | Section | Indicator / Description | Notes |
|---|---|---|---|
| **1** | **Introduction** | Faculty name, main training areas. | E.g.: Faculty of Engineering and IT, training of bachelor's and master's students in IT and engineering. |
| **2** | **Student Enrolment** | Number of students: bachelor's, master's, doctoral. | Example: 120 bachelor's students, 30 master's students, 5 doctoral students. |
| **3** | **Educational Activity** | Final assessment results. | Share of A; A- relative to total grades: 13%. |
| **4** | **Research Activity** | Number of publications, grant participation, conference organisation. | Example: 10 Scopus publications, 2 grants, 3 conferences held. |
| **5** | **Publication Activity** | Publications in Q1/Q2 journals, WoS, Scopus. | Example: 5 articles in Q1 journals, 3 WoS articles. |
| **6** | **Educational (Extracurricular) Work** | Activities held: tutor hours, training sessions, student campaigns. | Example: 10 events, 50 students participated. |
| **7** | **International Cooperation** | Academic mobility, participation in international projects. | Example: 2 lecturers participated in internships, 3 students went on exchange. |
| **8** | **Personnel Policy** | Number of lecturers: doctors of science, candidates, PhDs, young staff. | Example: 2 doctors, 5 candidates, 3 PhDs, 2 young lecturers. |
| **9** | **Infrastructure** | Laboratory use, equipment updates. | Example: 30% of laboratory base updated, 2 new courses introduced. |
| **10** | **Issues and Proposals** | Key issues, proposed solutions. | Example: need to increase funding for modernisation of laboratories. |
| **11** | **Plans for Next Year** | Tasks in educational, research, and extracurricular work. | Example: increase publications by 20%, hold 5 new events. |

### 1.2 Main tasks of the faculty planned for the reporting period

**(Table is pre-filled as an example)**

| № | Goal / Activity | Target Indicator | Responsible Persons | Notes |
|---|---|---|---|---|
| **1** | **Increase** | 15% growth | Head of Chair | Workshops on preparing |

| | | | | |
|---|---|---|---|---|
| | **publications in Q1/Q2 journals** | | | articles for Q1/Q2 journals. |
| **2** | **Develop new curriculum programmes** | 2 programmes | Head of Chair, Lecturers | Introduce contemporary disciplines reflecting labour market demands. |
| **3** | **Increase grant participation** | 3 new grants | Lecturers | Prepare applications for national and international competitions. |
| **4** | **Academic Mobility** | 5 students, 2 teaching staff | International Affairs Office | Participate in exchange programmes and internships. |

**2.3 Strategic Directions of the KazUTB Development Plan**

| **No.** | **Target Indicators** | **Unit** | **Reporting Year** | |
|---|---|---|---|---|
| | | | **Plan** | **Actual** |
| **STRATEGIC DIRECTION 1.** | | | | |
| **Goal:** | | | | |
| **Task 1.** | | | | |
| **1** | | | | |
| **2** | | | | |
| **3** | | | | |
| **…** | | | | |
| **Task 2.** | | | | |
| **1** | | | | |
| **2** | | | | |
| **3** | | | | |
| **…** | | | | |
| **STRATEGIC DIRECTION 2.** | | | | |
| **Goal:** | | | | |
| **Task 1.** | | | | |
| **1** | | | | |
| **2** | | | | |
| **3** | | | | |
| **…** | | | | |
| **Task 2.** | | | | |
| **1** | | | | |
| **2** | | | | |
| **3** | | | | |
| **…** | | | | |
| **STRATEGIC DIRECTION 3.** | | | | |
| **Goal:** | | | | |
| **Task 1.** | | | | |
| **1** | | | | |
| **2** | | | | |
| **3** | | | | |
| **…** | | | | |
| **Task 2.** | | | | |
| **1** | | | | |

| | | | | |
|---|---|---|---|---|
| 2 | | | | |
| … | | | | |

## 3. ACADEMIC WORK

### 3.1 Faculty Structure: graduating chairs, university-wide chairs, research and educational laboratories and centres, etc.

| № No. | Chair Name | Educational Programmes offered at the Chair | | |
|---|---|---|---|---|
| | | Bachelor's | Master's | Doctoral |
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |
| 4 | | | | |
| 5 | | | | |

*Note. Fill in the table for the reporting period.*

### 3.2 Qualitative / Quantitative Faculty Staffing

#### 3.2.1 Quantitative and Qualitative Indicators of Teaching Staff — 20_ –20__ Academic Year

| № | Chair | Number of Faculty Teaching Staff | | | | | |
|---|---|---|---|---|---|---|---|
| | | Total | Full-time | Full-time Faculty with Academic Degree | | Industry Practitioners Involved in Teaching | Foreign University Lecturers |
| | | | | Number | Share, % of total | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

*Note. Fill in the table for the reporting period, conduct analysis.*

#### 3.2.2 Professional Development of Teaching Staff and Faculty Personnel

| Academic Year | Teaching Staff, total | Personnel, total | Completed professional development at leading universities, enterprises, organisations | |
|---|---|---|---|---|
| | | | Teaching Staff | Personnel |
| 20__-20__ | | | | |
| | | | | |
| | | | | |

*Note. Fill in the table for the reporting period, conduct analysis.*

### 3.3 Data on Admission, Student Enrolment, and Graduation by Level of Study

#### 3.3.1 Admission Indicators by Faculty EP

| Name EP | | Admission Indicators | | | | | |
|---|---|---|---|---|---|---|---|
| | | 20__–20__ a.y. | | | 20__–20__ a.y. | | |
| | | Enrolled in Faculty | | | Enrolled in Faculty | | |
| № | | Total | Grant | Contract | Total | Grant | Contrac |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | | | | | t |
| **Bachelor's** | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| **Master's** | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| **Doctoral** | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| **Total for Faculty:** | | | | | | | |

***Note: conduct analysis of admissions.***

**3.3.2 Student Enrolment Dynamics**

| **Indicators** | **For the Academic Year** | | |
|---|---|---|---|
| | **bachelor's** | **master's** | **doctoral** |
| **Students enrolled — total:** | | | |
| **including:**<br>- **transferred from other universities** | | | |
| - **reinstated and other** | | | |
| **Students departed — total:** | | | |
| **including:**<br>- **transferred to other universities** | | | |
| - **at own request** | | | |
| - **due to academic failure** | | | |
| - **other** | | | |
| - **for violation of academic discipline and contract conditions** | | | |

***Note. Fill in the table for the reporting period.***

**3.4 Number of Graduates by Faculty EP**

| **EP Name** | **Academic Year** | |
|---|---|---|
| | **20__-20__** | **20__-20__** |
| | | |
| **Bachelor's** | | |
| | | |
| | | |
| **Master's** | | |
| | | |
| | | |
| **Doctoral** | | |
| | | |
| | | |
| **Total for Faculty** | | |

**3.5 Teaching Load Report**

| **No.** | **Chair Name** | **Number of Hours** | **Explanation** |
|---|---|---|---|

| | | 1st Academic Period | | 2nd Academic Period | | For the Academic Year | | of Deviations |
|---|---|---|---|---|---|---|---|---|
| | | Plan | Actual | Plan | Actual | Plan | Actual | |
| 1 | | | | | | | | |
| 2 | | | | | | | | |
| | Total for Faculty | | | | | | | |

*Note: 1. Provide explanations for cases of over- and under-fulfilment of the planned teaching load.*

*2. Fill in the table for the reporting period.*

## 4. INTERNATIONALISATION

### 4.1 International Exchanges and Internships

| Chair | Number of Students | | | | | |
|---|---|---|---|---|---|---|
| | 20 –20 a.y. | | | 20 –20 a.y. | | |
| | No. of signed int'l agreements on study and internships | No. of student winners of international competitions and olympiads | No. of grants and scholarships won by students | No. of signed int'l agreements on study and internships | No. of student winners of international competitions and subject olympiads | No. of grants and scholarships won by students |
| Bachelor's | | | | | | |
| | | | | | | |
| | | | | | | |
| Master's | | | | | | |
| | | | | | | |
| | | | | | | |
| Doctoral | | | | | | |
| | | | | | | |
| | | | | | | |

### 4.2 List of Joint Double-Degree Educational Programmes with Foreign Universities

| № | Chair | Partner University | Students Enrolled in JEP | |
|---|---|---|---|---|
| | | | total | admission |
| Bachelor's | | | | |
| | | | | |
| | | | | |
| Master's | | | | |

| | | | | |
|---|---|---|---|---|
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## 4.3 Mobility

### 4.3.1 External Outgoing Academic Mobility of Students

| № | Chair | EP | Number | Country | University | Dates |
|---|---|---|---|---|---|---|
| **Bachelor's** | | | | | | |
| | | | | | | |
| **Master's** | | | | | | |
| | | | | | | |
| **Doctoral** | | | | | | |
| | | | | | | |

*Note. Fill in the table for the reporting period.*

### 4.3.2 External Incoming Academic Mobility of Students

| № | Chair | EP | Number | Country | University | Dates |
|---|---|---|---|---|---|---|
| **Bachelor's** | | | | | | |
| | | | | | | |
| **Master's** | | | | | | |
| | | | | | | |
| **Doctoral** | | | | | | |
| | | | | | | |

*Note. Fill in the table for the reporting period.*

### 4.3.3 Internal Outgoing Academic Mobility of Students

| № | Chair | EP | Number | Region | University | Dates |
|---|---|---|---|---|---|---|
| **Bachelor's** | | | | | | |
| | | | | | | |
| **Master's** | | | | | | |
| | | | | | | |
| **Doctoral** | | | | | | |
| | | | | | | |

*Note. Fill in the table for the reporting period.*

## 4.4 Academic Mobility of Faculty Teaching Staff

| № | Chair | Number of Teaching Staff | Number of Personnel | Host Institution (Country, University) | Note |
|---|---|---|---|---|---|
| | | | | | |
| | | | | | |

*Note. Fill in the table for the reporting period.*

# 5. RESEARCH ACTIVITY

## 5.1 Research Work of the Faculty

| № | Indicators | For the latest calendar year | |
|---|---|---|---|
| | | Acad. Year | Acad. Year |
| | | 20__–20__ a.y. | 20__–20__ a.y. |

| | | | |
|---|---|---|---|
| **1** | **Total research funding volume, tenge:<br>-— budgetary:** | | |
| **1.1** | **-— extra-budgetary:** | | |
| **2** | **Prepared and published by faculty and staff (no. of items):<br>— monographs:** | | |
| **3** | **Ratio of students participating in research to total EP enrolment (%):<br>— in olympiads:<br>— in academic competitions:<br>— in academic conferences:** | | |
| **4** | **Number publications students** | | |
| **5** | **Number of international business trips / internships of teaching staff** | | |
| **6** | **Number of publications by chair researchers in ranked international databases, including:<br>— included in Web of Science** | | |
| **6.1** | **— included in Scopus** | | |
| **7** | **Number of publications by chair researchers in journals recommended by CQASE of the Ministry of Education and Science of the RoK** | | |
| **8** | **Number of protective documents received** | | |
| **9** | **Number of Production Implementation Acts** | | |
| **10** | **Number of prepared applications and submitted research projects for funding competitions** | | |
| **11** | **Number of ongoing initiative research works** | | |
| **12** | **Number of international research projects** | | |
| **13** | **Number of defended dissertations** | | |
| **14** | **Number who continued studies in master's and doctoral programmes** | | |
| **15** | **Number of research schools conducting research** | | |

| | | | |
|---|---|---|---|
| **16** | **Number of academic, academic-practical, and academic-methodological events held:<br>- — national conferences:** | | |
| **16.1** | **— international conferences** | | |
| **16.2** | **— international seminars:** | | |
| **16.3** | **— national seminars:** | | |

**5.2 Organisation of student research works (by EP) at the Faculty**
**Level: bachelor's / master's / doctoral**

| EP Name | Number of Students | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | 20__–20__ a.y. | | | | | 20__–20__ a.y. | | | | |
| | Total | No. of Final-Year Students | No. of Thesis Works Implemented | No. of Articles (conferences, journals, media) | No. of Graduates Enrolled in Master's | Total Students | No. of Final-Year Students | No. of Thesis Works Implemented | No. of Articles (conferences, journals, media) | No. of Patents, Authorship Rights, etc. |
| | | | | | | | | | | |

## 6. EDUCATIONAL AND EXTRACURRICULAR WORK WITH STUDENTS

*Information must be presented in accordance with the sections of the educational work plan*

| № | Activity Name | Date | Responsible | Completion Note (links to supporting evidence) |
|---|---|---|---|---|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |

## 7. MATERIAL AND TECHNICAL RESOURCES

### 7.1 Innovative Software Products (virtual laboratories, simulators, etc.) Used by Faculty Teaching Staff in the Educational Process

| № | Educational Programme | Lecturer Full Name | Discipline Name | Virtual Labs, Simulators, etc. | Confirmation |
|---|---|---|---|---|---|
| | | | | | |
| | | | | | |
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| | | | | | |

### 7.2 Faculty Publication Plan Execution Report

| No. | Name | Discipline | Author (Responsible) | Publication Type | Volume (pp.) | Language | Print Run | Manuscript Submission Deadline (per plan) | Completion Note (publication details) | Reasons for Non-Execution |
|---|---|---|---|---|---|---|---|---|---|---|
| **FACULTY _____** | | | | | | | | | | |
| **Chair _____** | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |

***Note. Fill in the table for the reporting period.***

## 8. FACULTY CAREER GUIDANCE WORK

### 8.1 Information on Activities Aimed at Attracting Applicants *(for each case specify: activity name, date, full names of participating lecturers, target audience, approximate number of participants, other specific information; provide your assessment of the activity's effectiveness)*

| Indicators | Target Audience | No. of Participants | Activity / Date / Lecturer Names |
|---|---|---|---|
| *Organisational and Public Outreach Work* | | | |
| **Participation in organising and holding meetings between applicants and faculty teaching staff, representatives of in-demand professions** | | | |

| | | | |
|---|---|---|---|
| **Participation in preparing promotional materials for applicants: handbooks and brochures about the faculty, specialties, information sheets, flyers, posters, etc.** | | | |
| **Participation in organising and holding subject olympiads to assess applicant knowledge levels, develop cognitive activity, and build career motivation** | | | |
| **Participation in organising and holding Open Days of JSC "KazUTB named after K. Kulazhanov" and faculty open days** | | | |
| **Other** | | | |
| ***Work with School Students on Career Guidance*** | | | |
| **Informing students about the faculty and specialties of JSC "KazUTB named after K. Kulazhanov"** | | | |
| **Other** | | | |
| ***Work with School Principals and Class Teachers on Career Guidance*** | | | |
| **Interaction with class teachers to identify students' abilities, inclinations, and preparation level** | | | |
| **Questionnaires on career guidance work at school** | | | |
| **Other** | | | |
| ***Work with Parents on Career Guidance*** | | | |
| **Participation in parent-teacher meetings** | | | |
| **Informing parents about faculty specialties** | | | |
| **Providing information on admission rules, labour market development prospects, and targeted personnel training** | | | |
| **Explaining the role of parents in career guidance — the choice of profession** | | | |
| **Other** | | | |

***Note. Fill in the table for the reporting period.***

## 9. CONSUMER SATISFACTION MONITORING

### 9.1 Report for Analysis of Student, Employer, and Other Stakeholder Satisfaction Results (*Table is pre-filled as an example*)

| Category | Assessment Criterion | Average Score | Comment | Improvement Recommendations |
|---|---|---|---|---|
| **Students** | Teaching quality | 4.2 | Generally positive feedback, but some remarks | Strengthen work with lecturers, increase interaction in classes |
| | Availability of study materials | 3.8 | Insufficient quantity of current materials | Update library and increase access to online resources |
| | Administrative support | 4.0 | Good level of support, but some delays in responses | Optimise the process of responding to student queries |
| **Employers** | Graduate competencies | 4.1 | Well prepared, but gaps in soft skills | Organise communication skills development training |
| | Alignment of programmes with market requirements | 3.9 | Some programmes do not meet current requirements | Update curricula jointly with employers |
| | Level of interaction with JSC "KazUTB named after K. Kulazhanov" | 3.5 | Insufficient awareness of partnership opportunities | Increase communication activity with employers |
| **Other Stakeholders** | Participation in community projects | 4.3 | High rating, active student participation | Support and expand projects, increase reach |
| | Awareness of JSC "KazUTB" activities | 3.7 | Insufficient transparency and availability of information | Develop a communication and information strategy |

## 10. FACULTY SWOT ANALYSIS

| Strength | Weaknesses |
|---|---|
| • | • |
| **Opportunities** | **Threats** |
| • | • |

**F. DSD -9.1.3-2026-11-07 (Mandatory)**

**QMS FUNCTIONING REPORT FORM**

*used by all SSs, chairs, and faculties as part of annual reports*

**JSC «Kazakh University of Technology and Business named after K. Kulazhanov»**

**«Approved»**
Rector of JSC «KazUTB named after K. Kulazhanov»
_____Full Name
"_____"_____20____

**REPORT**
**on QMS Functioning**

_____

***(name of structural subdivision, faculty, etc.)***
**for _____ academic year**

**Astana 20___**

**1. Effectiveness of Internal and External QMS / QMS-EP Audits**

1.1 Conclusion on conformity of SS activities: *conforms / does not conform to established requirements* (keep as appropriate).

1.2 If there are *unclosed records*, Table 1 must be completed.

**Table 1 – List of Unresolved Non-Conformities Identified in Internal/External QMS/QMS-EP Audits**

| SS Abbrev. | Clause ISO 9001:2015/ 37001:2016 | Non-Conformity Description | Responsible Executor | Required Corrective Actions | Reasons for Non-Resolution | Actions Taken |
|---|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
| | | | | | | |

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

**2. Risk Management**

**Table 2.1 - Risk Passport**

| No. | Process Name | Risk Name | Causes | Probability of Risk Consequences | Probability (1–5 points) | Impact (1–5 points) | Risk Level (1–25 points) = col.6 × col.7 |
|---|---|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
| | | | | | | | |
| | | | | | | | |

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

**Table 2.2 – Risk Mitigation Action Plan-Report**

| No. | Process Name | Risk Name | Risk Level | Risk Mitigation Measures | Responsible Full Name | Implementation Deadline | Supporting Documented Information on Risk Resolution |
|---|---|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
| High Risk Level (15–25 points) | | | | | | | |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| **Medium Risk Level (5–12 points)** | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

***Conclusion on effectiveness of risk management actions (<u>effective / ineffective</u>)*** **(keep as appropriate).**

**3. Activity Improvement**

**Table 3.1 – Completion of Measures to Address Deficiencies and Improve Activities *Based on the Previous Reporting Period* (mandatory)**

| Improvement Measures / Actions | Supporting Documented Information / References | Note (state reasons if measure not completed) |
|---|---|---|
| | | |
| | | |
| | | |

**Table 3.2 – Proposals for Improving Activities in *the Next Academic Year* (mandatory)**

| Improvement Measures / Actions | Deadline | Expected Result | Responsible for Execution |
|---|---|---|---|
| | | | |
| | | | |

**Endorsed:**

_____ (Full Name, Supervising Vice Rector)
"_____"_____20__
_____ (Full Name, Dean / Supervising Official per Structure)
"_____"_____20__
_____ (Full Name, Director of DSD)
"_____"_____20__
_____ (Full Name, Head of QMSD)
"_____"_____20__
_____ (Full Name, Head of SU)
"_____"_____20__

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

**APPROVAL SHEET**

| Position | Full name | Date | Signature |
|---|---|---|---|
| Vice-Rector for AA | Askarbekov E.B. | 09.09.2026 | |
| Vice-Rector for R&I | Aibuldinov Y.K. | 09.09.2026 | |
| Vice-Rector for SA&SD | Berdigaliuly S. | 09.09.2026 | |
| Director of the DSD | Orazalina D. K. | 09.09.2026 | |
| Head of the QSMD | Ernst A. | 09.09.2026 | |

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

**FAMILIARIZATION SHEET**

| Position | Full name | Date | Signature |
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**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 introduction | Full name of the person making the changes | Signature of the person who made the changes |
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**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 |
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