

**MINISTRY OF EDUCATION AND SCIENCE OF THE REPUBLIC OF  
KAZAKHSTAN NJSC «K.ZHUBANOV AKTOBE REGIONAL UNIVERSITY»**

APPROVED  
by the Board of Directors  
NJSC «K.Zhubanov Aktobe  
Regional University»  
(Protocol № \_\_\_\_\_  
dated «\_\_» \_\_\_\_\_ 20\_\_ )



**RISK REGISTER, RISK MAP AND RISK RESPONSE ACTION PLAN (PLAN-  
REPORT OF MEASURES TO PREVENT THE OCCURRENCE OF RISKS) NJSC  
«K.ZHUBANOV AKTOBE REGIONAL UNIVERSITY»**

### Risk Register

<b>№ п/п</b>	<b>Name of the risk</b>	<b>Risk category, risk subcategory</b>	<b>Risk factors (causes)</b>	<b>Consequences of risk realization</b>	<b>Risk Owner</b>
1	Global financial crisis	Financial risks	The complex socio-political situation in the world	Solvency decrease of the population, students' number decrease, university income decrease	Board Member – Vice-Rector for Finance and Infrastructure
2	Regional geopolitical crisis	Political risks	The complex socio-political situation in the region	Outflow of young people and teaching staff to other countries, reduction in demand for university education	Board Member – Vice-Rector for Social and Educational Work
3	High competition in the market of educational services	Operational risks, control and monitoring risks of the quality of educational services	Reduced attractiveness of some educational programs, rapid obsolescence of educational resources	Students' number decrease, university income decrease	Board Member – Vice-Rector for Academic Affairs, Board Member – Vice-Rector for Finance and Infrastructure
4	Exodus of scientists due to more favorable prospects for the realization of their scientific and intellectual potential	Operational risks and legal risks, management risks and non-compliance risks	Availability of more favorable prospects for the realization of scientific and intellectual potential in foreign universities	Decrease of the number of teaching staff with academic degrees, non-compliance with the qualification requirements for educational activities	Board Member – Vice-Rector for Science and Innovation, Personnel Management Department
5	Educational migration, exodus of young people to foreign universities, students' number decrease	Strategic risks, corporate risks	The decline in the level of population welfare, the tuition fees increase, the exodus of school graduates to foreign universities, the high quality of educational services in foreign universities, the	Students number decrease, university income decrease	Board Member – Vice-Rector for Academic Affairs, Board Member – Vice-Rector for Finance and Infrastructure

			opportunity to study in foreign languages, which contributes to the competitiveness of graduates		
6	Insufficient stocked of the laboratory base, which requires expensive equipment	Operational risks, risks of scientific and innovative activity	Insufficient number of contracts with research institutes, branches of departments at enterprises, expensive industrial laboratory equipment	Non-compliance of the laboratory base with the requirements of the educational program	Board Member – Vice-Rector for Science and Innovation
7	Insufficient level of teaching staff proficiency in foreign languages	Operational risks, management risks	Insufficient number of teaching staff who mastered a foreign language, or teaching staff with IELTS, TOEFL certificates	Absence of teaching staff leading classes in English, including for the formation of multilingual groups	Board Member – Vice-Rector for Academic Affairs, Personnel Management Department
8	Insufficient funding for research and development	Strategic risks, corporate risks	Non-approval by the National Center for State Scientific and Technical Expertise of applications for the grant financing competition of the Ministry of Education and Science of the Republic of Kazakhstan	Decrease in the growth of publications in rating publications from the total number of publications	Board Member – Vice-Rector for Science and Innovation
9	Insufficient level of work with industrial enterprises to implement the results of scientific research.	Operational risks, risks of scientific and innovative activity	Weak university – industry relationship in the field of applied research	Reduction of innovation activity for solving operational and production tasks	Board Member – Vice-Rector for Science and Innovation
10	Rapidly changing requirements for IT skills of digitalization, automation	Operational risks, risks of administrative and economic activity	Changing requirements for IT skills, insufficient level of qualification in the use of innovative teaching methods, the introduction of innovative	Insufficient knowledge of the required IT skills by university graduates, insufficient digitalization and automation of university processes	Board Member – Vice-Rector for Academic Affairs, Department of Information

			methods of digitalization and automation		Technology and Digitalization
11	Lack of demand for educational programs	Operational risks, risks of educational activity	Insufficient work on professional orientation, changes in the labor market, consumer needs, graduate competence model	Lack of admission to the educational program, students number decrease	Board Member – Vice-Rector for Academic Affairs
12	Violation of deadlines for reporting to tax authorities, stat. management, etc.	Financial risks, reporting risks	Late submission of reports	Payment of fines and penalties	Board Member – Vice-Rector for Finance and Infrastructure
13	Non-fulfillment of the procurement plan for books, electronic resources, insufficient share of educational and methodological literature in the state language	Legal risks, risks of non-compliance with requirements	Absence of required literature in publications, high cost	Insufficient literature, non-compliance with the qualification requirements for educational activities	Member of the Board – Vice-Rector for Science and Innovation, Director of the Library

### Risk map

№	Name of the process	Name of the risk	Causes of risk	Risk probability score	Probability of risk consequences
1	Formation of the university budget	Global financial crisis	The complex socio-political situation in the world	4 – high, the event is likely to happen in the next 2 years	Solvency decrease of the population, students' number decrease, university income decrease
2	Development of patriotic feelings	Regional geopolitical crisis	The complex socio-political situation in the region	4 – high, the event is likely to happen in the next 2 years	Solvency decrease of the population, students' number decrease, university income decrease
3	Provision of educational services	High competition in the market of educational services	Reduced attractiveness of some educational programs, rapid obsolescence of educational resources	5 – very high, the event is likely to happen in the next year	Students' number decrease, university income decrease
4	Implementation of research activities	Exodus of scientists due to more favorable prospects for the realization of their scientific and intellectual potential	Availability of more favorable prospects for the realization of scientific and intellectual potential in foreign universities	3 – average, the event is likely to occur 1 time in 3 years	Decrease of the number of teaching staff with academic degrees, non-compliance with the qualification requirements for educational activities
5	Formation of a contingent of students	Educational migration, exodus of young people to foreign universities, students' number decrease	The decline in the level of welfare of the population, the increase in tuition fees, the outflow of school graduates to foreign universities, the high quality	4 – high, the event is likely to happen in the next 2 years	Students number decrease, university income decrease

			of educational services in foreign universities, the opportunity to study in foreign languages, which contributes to the competitiveness of graduates		
6	Creating a laboratory base	Insufficient stocked of the laboratory base, which requires expensive equipment	Insufficient number of contracts with research institutes, branches of departments at enterprises, expensive industrial laboratory equipment	3 – average, the event is likely to occur 1 time in 3 years	Non-compliance of the laboratory base with the requirements of the educational program
7	Formation of multilingual learning groups	Insufficient level of teaching staff proficiency in foreign languages	Insufficient number of teaching staff who speak a foreign language, or teaching staff with IELTS, TOEF certificates	4 – high, the event is likely to occur in the next 2 years	Absence of teaching staff leading classes in English, including for the formation of multilingual groups
8	Financing of scientific projects of the Ministry of Education and Science of the RK	Insufficient funding for research and development	Non-approval by the National Center for State Scientific and Technical Expertise of applications for the grant financing competition of the Ministry of Education and Science of the Republic of Kazakhstan	3 – average, the event is likely to occur 1 time in 3 years	Decrease in the growth of publications in rating publications from the total number of publications
9	Research commercialization of	Insufficient level of work with industrial enterprises to implement the results of scientific research.	Low interaction of the university and industrial enterprises in the field of applied research	4 – высокая, событие скорее всего произойдет в ближайшие 2 года	Reduction of innovation activity for solving operational and production tasks
10	Formation of IT skills of students, information infrastructure of the	Rapidly changing requirements for IT skills of digitalization, automation	Changing requirements for IT skills, insufficient level of qualification in the use of	4 – high, the event is likely to occur in the next 2 years	Insufficient knowledge of the required IT skills by university graduates,

	university		innovative teaching methods, the introduction of innovative methods of digitalization and automation		insufficient digitalization and automation of university processes
11	Ensuring admission to Bachelor's, Master's, and doctoral programs	Lack of demand for educational programs	Insufficient work on professional orientation, changes in the labor market, consumer needs, graduate competence model	3 – average, the event is likely to occur 1 time in 3 years	Lack of admission to the educational program, students number decrease
12	Timely provision of reports	Violation of deadlines for reporting to tax authorities, stat. management, etc.	Late submission of reports	4 – high, the event is likely to occur in the next 2 years	Payment of fines and penalties
13	Acquisition of the library fund	Non-fulfillment of the procurement plan for books, electronic resources, insufficient share of educational and methodological literature in the state language	Absence of required literature in publications, high cost	4 – high, the event is likely to occur in the next 2 years	Insufficient literature, non-compliance with the qualification requirements for educational activities

Head of department (full name) \_\_\_\_\_ «\_\_» \_\_\_\_\_ 20\_\_  
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**Risk response action plan (plan-report of measures to prevent the occurrence of risks)**

(name of the division)

<b>Name of the risk</b>	<b>Measures to eliminate the risk</b>	<b>Responsible</b>	<b>Deadlines for execution</b>	<b>Execution</b>	<b>Confirmation documents</b>
Global financial crisis	Cost reduction of minor importance. Participation in funded international grants and projects.	Board Member – Vice-Rector for Finance and Infrastructure	Constantly		
Regional geopolitical crisis	Active popularization of state policy and national values among young people through various events aimed at developing patriotic feelings	Board Member – Vice-Rector for Social and Educational Work	Constantly		
High degree of competition in the educational services market	Increasing the attractiveness of educational programs, providing high-quality educational services provided with appropriate educational resources, improving customer feedback, increasing the level of employment	Board Member – Vice-Rector for Academic Affairs, Board Member – Vice-Rector for Finance and Infrastructure	Constantly		
Outflow of scientists due to more favorable prospects for the realization of their scientific and intellectual potential	Stimulating and creating conditions for the implementation of the results of scientific research.	Member of the Management Board – Vice-Rector for Science and Innovation, HR Department	Constantly		
Educational migration, outflow of young people	Development of measures to attract and retain graduates of schools, colleges and talented	Board Member – Vice-Rector for Academic Affairs,	Annually		



to foreign universities, decrease in the number of students	youth. Ensuring the improvement of academic quality. Training in educational programs of higher and postgraduate education in three languages.	Board Member – Vice-Rector for Finance and Infrastructure			
Insufficient staffing of the laboratory base, which requires expensive equipment	Purchase of equipment, conclusion of contracts with research institutes, universities, continuation of work on opening branches of departments at enterprises. Creation of laboratories within the Center of Academic Excellence.	Board Member – Vice-Rector for Science and Innovation	Until 2024		
Insufficient level of teaching staff proficiency in foreign languages	Conducting courses on advanced study of foreign languages for university teachers through the Department of International Cooperation	Board Member – Vice-Rector for Academic Affairs, Personnel Management Department	Constantly		
Insufficient funding for research and development	Attracting investors to finance research and development	Board Member – Vice-Rector for Science and Innovation	Constantly		
Insufficient level of work with industrial enterprises to implement the results of scientific research.	Improving the relationship with industry of the region. Determination of the forms of encouragement of employees who ensure the implementation of the results of scientific research.	Board Member – Vice-Rector for Science and Innovation	Constantly		
Rapidly changing requirements for IT skills of digitalization, automation	Organization of advanced training courses on the use of innovative teaching methods, automated information systems, digital classes, information security	Board Member – Vice-Rector for Academic Affairs, Department of Information Technology and Digitalization	Constantly		
Lack of demand for educational programs	Work on professional orientation, the opening of new OP, located at the junction of the specialty of the unclaimed OP	Board Member – Vice-Rector for Academic Affairs	Constantly, as needed		
Violation of deadlines for reporting to tax	Ensuring timely submission of reports	Board Member – Vice-Rector for Finance and Infrastructure	Constantly		

*Unofficial translation. For reference only.*

authorities, stat. management, etc.					
Non-fulfillment of the procurement plan for books, electronic resources, insufficient share of educational and methodological literature in the state language	Budget adjustment by exclusion, or reoriented purchase directions. Constant monitoring of the price conjuncture of the book market and loan interchangeability.	Member of the Board – Vice-Rector for Science and Innovation, Director of the Library	During the year		

Head of department (full name) \_\_\_\_\_ «\_\_» \_\_\_\_\_ 20\_\_\_\_  
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