

«META UNIVERSITY»  
жауапкерлігі шектеулі  
серіктестік



Товарищество с ограниченной  
ответственностью  
«META UNIVERSITY»

**APPROVED BY**

**President of META University**

**K.M. Kassymbekov**

**INTERNAL QUALITY ASSURANCE SYSTEM**

**Documented Procedure**

**RISK MANAGEMENT**

**Effective Date: August 2025**

**Registration No.: META-R-DP-6.1-2026-01**

## 1. Document title

Documented procedure "Risk Management" META -R-DP- 6.1-2026-01 .

## 2. Developer

Rector of META University .

## 3. The purpose of developing the document

3.1 Identify, analyze and manage risks and opportunities to ensure achievement of META's strategic objectives University .

3.2 Planning and implementing appropriate actions to ensure the processes of development, implementation, operation and, as a result, increasing the effectiveness and efficiency of the QMS, achieving improved results and preventing adverse consequences.

## 4. Normative references

1. ISO 9001:2015; ISO 9000:2015; ISO 31000:2018; ISO 27001:2022; ISO 37001:2016;
2. META Charter University ;
3. Quality Policy;
4. Information Security Policy;
5. Anti-corruption policy;
6. META's internal regulations University .
7. META Process Map University .

## 5. Terms and definitions

<b>TERM</b>	<b>DEFINITION</b>
<b>Analysis risk</b>	the process of understanding the nature of a risk and
<b>Risk</b>	the impact of uncertainty on goal achievement.
<b>Risk management</b>	coordinated actions to manage the organization
<b>Risk assessment</b>	determining the level of risk by analyzing the
<b>Probability , opportunity</b>	the chance that something might happen
<b>Documented procedure</b>	a document establishing a uniform procedure for the description of processes, the powers and responsibilities of officials, information flows, including the registration of data and quality records for the ATU
<b>Identification risk</b>	the process of detecting, recognizing and describing risks.
<b>Consequence risk</b>	problems or opportunities that may arise as a result of the risk being realized

<b>Process</b>	a set of interrelated and interacting activities that transform inputs and outputs.
<b>Constant improvement</b>	repetitive activity to increase the ability to meet requirements.

## 6. Abbreviations used

<b>Reduction</b>	<b>Complete Name</b>
META University .	
SWOCK	internal quality assurance system
SP	structural division
DP	documented procedure;
KP	process map.

## 7. General Provisions

7.1 This procedure defines the procedure for identifying, assessing, treating and monitoring risks in all META processes University .

7.2 Risk management is integrated into strategic and operational management.

7.3 This document ensures that informed decisions are made so that META activities The University was efficient and sustainable.

7.4 This DP is part of the internal control and management mechanisms.

7.5 This DP is intended to integrate risk management into the overall management system of META University and has been developed in accordance with the requirements of ISO 31000-2018 “Risk Management. Guidance”.

## 8. Objectives and tasks of risk management

8.1 Ensuring the achievement of strategic goals;

8.2 prevention of adverse consequences;

8.3 maintaining the effectiveness of the QMS;

8.4 ensuring continual improvement.

## 9. Risk identification

9.1 Risks are identified by process owners annually.

9.2 Tools: data analysis, audit, feedback, SWOT analysis, performance monitoring.

## 10. Basic risk categories

10.1 In accordance with the CP and this DP, META University has defined risks at the META University level that may entail possible or anticipated risks.

10.2 Risk table at the META university level

<b>Category risks</b>	<b>Brief description</b>	<b>Relationship with process risks</b>
Financial stability	Risks related to financial sustainability. These may include enrollment for the new academic year, budget allocation and financial management, and the lack of research grants.	Yes , there are risks. By process
Building and property	Risks associated with the property of META UNIVERSITY LLC , which may have a fundamental impact on the institution's ability to conduct teaching and research.	Yes , there are risks. By process
IT infrastructure and cybersecurity	Risk associated with information technology infrastructure – this may include cybersecurity, internet network management.	Yes , there are risks. By process
Management and processes	Risks associated with the management and processes of META UNIVERSITY LLP that may affect the institution's ability to operate effectively.	Yes , there are risks. By process
Personnel	Risks associated with the recruitment, retention, support, and motivation of META UNIVERSITY LLC employees. This may also include risks related to employee inclusion and diversity.	Yes , there are risks. By process
Students	Risks associated with student recruitment and support. This may also include the inclusion and diversity of the student body.	Yes , there are risks. By process
Scientific	All risks associated with the study, including but not limited to limited by equipment, culture, funding and cooperation.	Yes , there are risks. By process
Academic	All risks associated with educational activities, including but not limited to teaching and learning, assessment and examination processes, and student support.	Yes , there are risks. By process

Ecological	All risks related to environmental sustainability – energy use, water management, and CO <sub>2</sub> emissions .	No – there are risks By process
Archiving and transparency of documentation	Any risks associated with the preservation , protection, documentation, and possible improper storage or loss of personal files of employees or students of META UNVERSITY LLC.	No – there are risks By process
Reputation	Risks associated with reputational issues elsewhere.	No – there are risks By process
Anti-corruption risks	All risks associated with the anti-corruption process.	No – there are risks By process

## 11. Risk management process

11.1 The heads of the SP are the owners of the processes described in the CP.

11.2 For convenience, risk management in this DP has created a risk assessment methodology.

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

11.4 The risk level is defined as the product of probability and consequences (1–25 points).

11.5 Identification → Analysis → Evaluation → Processing → Monitoring → Reporting.

*11.6 Risk/Opportunity Analysis and Assessment:*

11.6.1 Risk analysis involves considering the causes and sources of risks and opportunities, their positive and negative consequences and the likelihood that these consequences may occur.

11.6.2 During the risk and opportunity analysis phase, the SP manager/process owner assesses the probability of each risk/opportunity, the consequences of the event, and its severity in accordance with the developed list. The probability of risk occurrence and the consequences of risk impact are assessed on a scale of 1 to 5.

Criteria assessments risk		Score in points
<b>Probability occurrence risk</b>		
Very high	The event is expected to occur. The conditions for this to occur are certain to occur over a sufficiently long period of time (5 or more times per year).	<b>5</b>
Significant	The event can occur. The conditions for this to occur occur fairly regularly and/or within a certain time interval (4 times year).	<b>4</b>

Essential	There is sufficient evidence to suggest the possibility of an event (3 times a year)	3
Moderate	A rare event that has occurred previously occurs in isolated 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 (once a year)	1
<b>Consequences of risk exposure</b>		
Very strong	It is difficult to recover from the consequences associated with this risk.	5
Significant	The consequences of the risk's realization are significant, but can only be corrected to a certain extent.	4
Essential	The consequences of the risk's realization are significant, but can be completely corrected.	3
Moderate	The consequences of the risk/opportunity being realized are insignificant	2
Minimum	Absence of any significant consequences if the risk/opportunity is realized	1

**Risk assessment criteria table**

11.6.3 The level of risk/opportunity is determined by the formula:

$$\text{Risk value} = \text{Probability} * \text{Consequences (Damage)}.$$

<b>Low risk</b>	the risk is controlled and does not pose an immediate threat or impact
<b>Medium risk level</b>	the risk has the potential to move into the red zone, it requires management and careful monitoring, but there is no immediate threat that could have a significant impact
<b>High risk level</b>	The risk requires active management intervention. The risk represents an immediate threat, and its consequences will be significant.

**Risk Levels Table**

		Risk/opportunity level (visual map of levels)				
<b>Influence</b>	<b>5 Very high level</b>	5	10	15	20	25
	<b>4 High level</b>	4	8	12	16	20
	<b>3 Intermediate level</b>	3	6	9	12	15
	<b>2 Low level</b>	2	4	6	8	10
	<b>1 Very low level</b>	1	2	3	4	5
			<b>1 Very low level</b>	<b>2 Low level</b>	<b>3 Intermediate level</b>	<b>4 High level</b>
	<b>Probability</b>					

## Risk Assessment Heat Map

11.6.4 Depending on the risk level, management decisions are made:

11.6.4.1 **Low risk level - acceptable ( 1-4 points) - *No risk mitigation measures are taken.***

11.6.4.2 **Average risk level ( 5-12 points) - Unacceptable risk level.** If necessary, risk management measures are developed to reduce the risk to an acceptable level. The decision on the advisability of developing appropriate measures, depending on the risk management level, is made by the rector, vice-rector, process owner, or head of the joint venture. Risk management consists of general monitoring and control of the risk. Mitigation of the impact of consequences is achieved through operational management decisions, taking into account available material, technical, and human resources.

11.6.4.3 **High risk level ( 15-25 points) - Unacceptable Risk level.** Risk management measures are developed to reduce the risk level to an acceptable level. Risk requires continuous monitoring, analysis, and assessment by management.

### 11.7 *Impact on risk, conducting preliminary control*

11.7.1 Impact on risk (preliminary control) involves the selection of one or more tools /( options of measures) to minimize the likelihood of risks and their negative impact on the objectives of the processes.

11.7.2 When planning risk mitigation activities, the head of the relevant SP/process owner analyzes information on the possibilities of risk mitigation, possible timeframes for mitigation, and the necessary resources.

11.7.3 After filling out the risk passport, the head of the relevant SP/process owner fills out a plan-report of measures to eliminate the identified risks in the form **F. R-6.1-2024-10-02.**

11.7.4 The effectiveness of measures is assessed by determining whether a risk/opportunity has occurred. Jointly with management, the SP managers analyze the risk mitigation measures taken to formulate requirements for subsequent measures and draw conclusions regarding strategic changes in **META University's activities .**

### 11.8 *Monitoring of risks/opportunities* is carried out:

11.8.1 during the operational activities of the joint venture and, if necessary, is reflected in the minutes of the meetings of the joint venture, the minutes of the meetings of collegial bodies and other documentation;

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

11.8.3 when conducting an analysis of the functioning of processes in the joint venture;

11.8.4 when conducting an analysis of university management

11.8.5 The effectiveness of the implementation of risk management measures and measures to realize opportunities is assessed by process owners and heads of the SP by confirming the fact of implementation of measures and the fact of risk reduction.

11. 8.6 *Process owners organize the collection, analysis, refinement, systematization, and ranking of risk/opportunity information, with mandatory monitoring of the implementation of management activities for the most critical risks/opportunities. The results of the risk monitoring analysis are reflected annually in the process self-assessment report (the "Management Analysis" report).*

## 12. Documented information

12.1 Lists of documented information registered in the SP, their forms, responsibility for registration, place and storage periods are given in the relevant documents of the University's META QMS.

12.2 List of documents:

12.2.1 Risk passport;

12.2.2 Action plan and report;

12.2.3 Management Analysis Report.

## 13. Responsibility and authority

13.1 The owner of this procedure is the Rector.

SP	Responsibility and authority
<b>Rector</b>	strategic control; procedure owner
<b>Owners processes</b>	risk identification and management; Risk and Opportunity Analysis Assessing risks and opportunities Handling risks and opportunities
<b>Employees</b>	compliance with procedural requirements.

## 14. Confidentiality

14.1 The document is an internal regulatory act of META University and is provided to third parties only during certification or accreditation procedures.

## 15. Appendices

F. META -P-6.1- 2026-01

### RISK PASSPORT

Category: "IT Infrastructure and Cybersecurity" in the 202\_/202\_ academic year

Item No.	Name of the process	Name of the risk	Reasons	Probability of risk consequences	Probability (1-5 points)	Consequences (1-5 points)	Risk level (group 6*group 7)
1	Access and account management	IT -01 - Phishing and account compromise (mail/ LMS )	Weak passwords, lack of MFA , low user awareness	Personal data leakage , mailings on behalf of the university, unauthorized access to systems	2	4	8
2	Backup and Recovery / Endpoint Protection	IT-02 - Ransomware/ encryption files	Vulnerabilities, macros, local administrator rights	Downtime, data loss, disruption of exams/classes	2	4	8
3	Network and Internet access management	IT -03 - Internet connection failure at the provider	One provider , no reservations	LMS /email/payment unavailability , disruption of online learning	2	3	6
4	Wireless network management ( Wi - Fi )	IT -04 - Overload/poor Wi - Fi coverage	Weak access points, many devices, interference	Complaints, disruption of classes, impossibility of online tests/exams	3	3	9
5	Managing access rights to data and systems ( PDn )	IT -05 - Personal data leak due to incorrect access rights	"Shared Folders," extra roles, no access auditing	personal data requirements , reputational risks	2	5	10
6	Patch management	IT -06 - Vulnerabilities due to untimely updates	No patch management	Hacking, downtime, disruption of service availability	3	4	12
7	Management of external IT services ( SaaS /cloud)	IT -07 - Key service failure ( LMS / ERP /mail/cloud)	Outage at the supplier	Stopping processes (training, document flow, communications)	1	4	4
8	Control contractors and integrations	IT -08 - Incident due to contractor (accesses, integrations)	Weak contractual information	Leak / compromise , breach PDn	1	5	5

			security requirements				
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Head of the process \_\_\_\_\_ Abdibatyrov M.U.

### RISK PASSPORT

Category: "Personnel" in the 202\_/202\_ academic year

Item No.	Name of the process	Name of the risk	Reasons	Probability of risk consequences	Probability (1-5 points)	Consequences (1-5 points)	Risk level (group 6*group 7)
1	Campus energy consumption (E)	Increase in electricity consumption	Expansion of infrastructure, increase of equipment	Increase in operating expenses	2	3	6
2	Water Resources Management (E)	Inefficient use of water	Lack of automated control	Moderate increase in utility costs	2	2	4
3	Waste Management (E)	Insufficient waste sorting	Low environmental culture	Moderate impact on ESG image	2	2	4
4	Carbon footprint (E)	Lack of systematic accounting of CO <sub>2</sub>	The calculation methodology for Scope 1-2 has not been implemented.	Slowing achievement of ESG indicators	2	3	6
5	Inclusive educational environment (S)	Insufficient level of accessibility for OOP	Limited resources	Limiting equal access to education	2	3	6

Process Manager \_\_\_\_\_ Auelbek B.A.

## RISK PASSPORT

Category: " Students " in the 202 /202 academic year

Item No.	Name of the process	Name of the risk	Reasons	Probability of risk consequences	Probability (1-5 points)	Consequences (1-5 points)	Risk level (group 6*group 7)
1	Recruitment of students	Shortage of contingent	Increased competition, demographic factors	Decrease in income, failure to meet recruitment plans	2	3	6
2	Admission and enrollment	Low quality of typing	Insufficient academic preparation of applicants	Rising academic failure rates	2	2	4
3	Implementation of educational programs	Academic failure	Insufficient adaptation of first-year students	Increase in academic debt	2	3	6
4	Contingent management	Voluntary expulsion	Financial difficulties, transfer to other universities	Decrease in the safety of the contingent	1	2	2
5	Social support for students	Social and psychological maladjustment	Stress, high academic workload	Declining academic performance	1	2	2
6	Academic integrity control	Violation of the principles of academic honesty	Insufficient level of academic culture	Reputational risks	1	3	3
7	Inclusive education	Insufficient conditions for students with special educational needs	Limited resources of the adapted environment	Limiting equal access to education	2	2	4
8	International activities	Decline in the proportion of international students	External geopolitical factors	Declining international attractiveness	2	3	6
9	Educational work	Disciplinary violations	Low student engagement	Conflict situations	1	2	2
10	Employment of graduates	Low employment rate	Mismatch of competencies with labor market requirements	Declining attractiveness of the university	3	3	9

Head of the process \_\_\_\_\_ Nurgazieva L.A.

## RISK PASSPORT

Category: "Scientific" in the 202\_/202\_ academic year

<b>Item No</b>	<b>Name of the process</b>	<b>Name of the risk</b>	<b>Reasons</b>	<b>Probability of risk consequences</b>	<b>Probability (1-5 points)</b>	<b>Consequences (1-5 points)</b>	<b>Risk level (group 6*group 7)</b>
1	Campus energy consumption (E)	Increase in electricity consumption	Expansion of infrastructure, increase of equipment	Increase in operating expenses	2	3	6
2	Water Resources Management (E)	Inefficient use of water	Lack of automated control	Moderate increase in utility costs	2	2	4
3	Waste Management (E)	Insufficient waste sorting	Low environmental culture	Moderate impact on ESG image	2	2	4
4	Carbon footprint (E)	Lack of systematic accounting of CO <sub>2</sub>	The calculation methodology for Scope 1-2 has not been implemented.	Slowing achievement of ESG indicators	2	3	6
5	Inclusive educational environment (S)	Insufficient level of accessibility for OOP	Limited resources	Limiting equal access to education	2	3	6
6	Social involvement of faculty and students (S)	Declining engagement levels	High workload, formal approach	Decreased satisfaction	2	3	6
7	Corporate Culture and Communications (S)	Lack of transparency of internal processes	Lack of awareness	Local conflict situations	2	2	4

Process Manager \_\_\_\_\_ Zhuniskaliev T.T.

## RISK MANAGEMENT

Category: " Academic " in the 202 \_/202 \_ academic year

<b>No. 1 p/p</b>	<b>Name of the process</b>	<b>Name of the risk</b>	<b>Reasons</b>	<b>Probability of risk consequences</b>	<b>Probability (1-5 points)</b>	<b>Consequences (1-5 points)</b>	<b>Risk level (group 6*group 7)</b>
1	Development and updating of OP	Mismatch of educational programs with labor market requirements	Lack of employer involvement	Declining competitiveness of graduates	1	3	3
2	Implementation of the educational process	Poor quality of teaching	Insufficient level of pedagogical competencies of teaching staff	Declining student satisfaction	1	3	3
3	Knowledge control	Violation of the objectivity of assessment	Human factor, lack of standardization	Appeals, reputational risks	2	3	6
4	Educational and methodological support	Inadequacy/obsolescence of teaching materials	Untimely updating of materials	Declining quality of education	1	2	2
5	Organization of the examination session	Technical issues with online assessment	IT system failures	Exam postponement, student complaints	1	2	2
6	Academic mobility	Low academic mobility of students and faculty	Limited number of partnerships	Declining internationalization	2	2	4
7	Management of VR/dissertations	Untimely protection of VR	Violation of the training schedule	Extension of training periods	1	2	2
8	PPS load	Teacher overload	Uneven load distribution	Declining quality of teaching	1	3	3
9	Internal quality control	Insufficient effectiveness of internal audits	Formal approach	No systemic problems are identified	2	3	6
10	Digitalization of learning	Low usage of LMS and EdTech	Insufficient digital competencies	The Declining Effectiveness of Blended Learning	2	3	6

Head of the process \_\_\_\_\_ Nurgazieva L.A.

## RISK PASSPORT

Category: " Ecological " in the 202 /202 academic year

<b>Item No .</b>	<b>Name of the process</b>	<b>Name of the risk</b>	<b>Reasons</b>	<b>Probability of risk consequences</b>	<b>Probability (1-5 points)</b>	<b>Consequences (1–5 points)</b>	<b>Risk level (group 6*group 7)</b>
1	Campus energy consumption (E)	Increase in electricity consumption	Expansion of infrastructure, increase of equipment	Increase in operating expenses	2	3	6
2	Water Resources Management (E)	Inefficient use of water	Lack of automated control	Moderate increase in utility costs	2	2	4
3	Waste Management (E)	Insufficient waste sorting	Low environmental culture	Moderate impact on ESG image	2	2	4
4	Carbon footprint (E)	Lack of systematic accounting of CO <sub>2</sub>	The calculation methodology for Scope 1–2 has not been implemented.	Slowing achievement of ESG indicators	2	3	6
5	Inclusive educational environment (S)	Insufficient level of accessibility for OOP	Limited resources	Limiting equal access to education	2	3	6
6	Social involvement of faculty and students (S)	Declining engagement levels	High workload, formal approach	Decreased satisfaction	2	3	6
7	Corporate Culture and Communications (S)	Lack of transparency of internal processes	Lack of awareness	Local conflict situations	2	2	4
8	Integrating ESG into Strategy (G)	Insufficient formalization of ESG KPIs	Lack of fixed indicators	Slowing down strategic transformation	2	3	6
9	Anti-corruption system (G)	Formal nature of control procedures	Insufficient internal audit	Reputational risks	2	3	6
10	Non-financial reporting (G)	Lack of a systemic ESG report	The GRI/ISSB model has not been implemented	Limited transparency for stakeholders	2	3	6

Head of the process \_\_\_\_\_ Moldagaliyeva D.Zh. "

### RISK PASSPORT

Category: " Archiving and Transparency of Documentation" in the 202 \_/202 \_ academic year

<b>Item No</b>	<b>Name of the process</b>	<b>Name of the risk</b>	<b>Reasons</b>	<b>Probability of risk consequences</b>	<b>Probability (1-5 points)</b>	<b>Consequences (1-5 points)</b>	<b>Risk level (group 6*group 7)</b>
1	Document flow and archiving	Partial loss of individual electronic documents	Human factor , errors downloads	A rare occurrence when a backup is available	1	2	2
2	Storage personal affairs students	Untimely update archival records	Employee workload, lack of automatic reminders	There may be some inaccuracies without significant impact	1	2	2
3	Access to documents	Limited transparency of access to archival data	Insufficient regulation right access	There may be delays in providing information	1	3	3
4	Electronic archive	Glitch local servers storage	Technical malfunctions	The consequences are minimal due to backups	1	2	2
5	Documentation processes	Non-compliance united templates documents	Insufficient awareness employees	Affects convenience, but not safety	1	1	1

Process Manager \_ \_\_\_\_\_ Bubenbaeva G.Zh.

## RISK PASSPORT

Category: " Reputation " in the 202\_/202\_ academic year

<b>Item No.</b>	<b>Name of the process</b>	<b>Name of the risk</b>	<b>Reasons</b>	<b>Probability of risk consequences</b>	<b>Probability (1-5 points)</b>	<b>Consequences (1-5 points)</b>	<b>Risk level (group 6*group 7)</b>
1	Media and PR	Negative media coverage	Insufficient information policy	Deterioration of the university's image	2	3	6
2	Social media	Negative comments and news items	Lack of prompt response	Local reputational losses	2	3	6
3	Partnerships	Public conflict with a partner	Misalignment of expectations	Declining stakeholder trust	2	3	6
4	Academic environment	Public complaints from students	Lack of communication	Temporary decline in applicants' confidence	2	2	4
5	International activities	Negative reviews from international students	Adaptation difficulties	Declining international attractiveness	2	3	6

Head of the process \_\_\_\_\_ Moldagaliyeva D.Zh. "

## RISK PASSPORT

Category: " Compliance Services " in the 202\_/202\_ academic year

<b>Item No.</b>	<b>Name of the process</b>	<b>Name of the risk</b>	<b>Reasons</b>	<b>Probability of risk consequences</b>	<b>Probability (1-5 points)</b>	<b>Consequences (1-5 points)</b>	<b>Risk level (group 6*group 7)</b>
1	Reception applicants	Risks violations procedures	Human factor	Reputational consequences	2	3	6
2	Evaluation	Conflict interests	Absence control	Decrease trust	2	3	6
3	Procurement	Violation procedures	Inadequate control	Financial losses	2	3	6
4	Document flow	Non-compliance regulations	Formal approach	Comments inspectors organs	1	3	3

Head of the process \_\_\_\_\_ Seidakhmetov A.Zh.

**RISK MITIGATION ACTION PLAN-REPORT**

Category: "IT Infrastructure and Cybersecurity" in the 202 \_/202\_ academic year

**Medium risk level (5–12 points)**

*(within the adapted model, the residual risk is 2–3 points – a controlled, preventive level)*

Item No.	Name of the process	Name of the risk	Risk level	Risk mitigation measures	Responsible	Implementation deadlines	Supporting documented information
1	Access and account management	IT -01 - Phishing and account compromise (mail/ LMS )	20	Implement MFA , conditional access, training + phishing simulations, login logging	Head of Information Technology (IT ) Department	60 days	MFA policy ; MFA rate report ; login logs; training program; mailing/simulation protocols
2	Backup and Recovery / Endpoint Protection	IT-02 - Ransomware/ encryption files	15	3-2-1 backups, immutable /offline copy, EDR , macro disabling, network segmentation	Head of Information Technology (IT ) Department	90 days	Backup policy; recovery test report; EDR /antivirus reports; macro policy; network segmentation scheme
3	Internet access management	IT -03 - Refusal Internet channel from the provider	12	Second channel (another provider), auto-switching ( failover ), monitoring	Head of Information Technology (IT ) Department	45 days	Agreements/ SLAs with providers; failover configuration statement ; availability monitoring reports
4	Wireless network management ( Wi - Fi )	IT -04 - Overload/ poor coverage Wi - Fi	12	Radio coverage audit, AP plan, QoS , separate staff	Head of Information	60 days	Wi -Fi audit report ; AP placement plan; QoS settings; staff /

				/ student / guest networks	Technology (IT ) Department IT		student / guest network regulations
5	Managing access rights to data and systems ( PDN )	IT -05 - Personal Data Leak due to incorrect access rights	15	Regular role review, principle of least privilege, DLP /labeling, logging	IB + owners systems	90 days	Role matrix; access audit reports; access logs; DLP policy /data classification
6	Patch management	IT -06 - Vulnerabilities due to untimely updates	16	Centralized patch management , update windows, and patch percentage reporting	Head of Information Technology (IT ) Department	60 days	Update schedule; patch compliance reports; update window plan; change log
7	Management of external IT services ( SaaS /cloud)	IT -07 - Failure key service ( LMS / ERP / mail / cloud)	8	Plan B : Workarounds, Export Critical Data, RTO / RPO , Communications	Head of Information Technology (IT ), Process Owners	30-90 days	Business Continuity Plan ( BCP ) for services; workaround instructions; export protocols; notification templates
8	Control contractors and integrations	IT -08 – Incident due to the contractor (accesses, integrations)	10	Information security requirements in SLA , access restrictions, separate accounts, logging	Head of Information Technology (IT ) Department , Lawyer, Information Security	90 days	SLA /agreement templates with information security requirements; contractor access registry; access logs; access issuance/revocation certificates

Head of the process \_\_\_\_\_ Abdibatyrov M.U.

## RISK MITIGATION ACTION PLAN-REPORT

Category: "Personnel" in the 202\_/202\_ academic year

**Average risk level (5–12 points)**

*(within the adapted model, the residual risk is 2–3 points – a controlled, preventive level)*

Item No.	Name process	Name risk	Level risk	Events By management risk	Responsible	Deadlines implementation	Confirming documentation
1	Recruitment of PPS	Insufficient sedateness	9	Annual analysis of the teaching staff; recruitment of candidates with degrees through a competitive selection process	HR Director	Annually	PPS report; orders for admission
2	Retention staff	Care key teachers	9	Monitoring staff stability; workload distribution taking into account the risk of dismissal	HR Director	Constantly	Protocols meetings ; sheets loads
3	Distribution loads	Discrepancy profile discipline	6	Verification of qualification compliance when approving the academic workload	HR Director	Before beginning academic year	Protocol of the US; distribution loads
4	Promotion qualifications	Insufficient IT competence	4	Planned increase qualifications of teaching staff	HR Director	By PC plan	Certificates ; PC plan
5	Motivation	Decrease involvement	6	Using the current system of rating the faculty	HR Director	Constantly	Rating Regulations; Evaluation Report

Process manager \_\_\_\_\_Auelbek B.A.

## RISK MITIGATION ACTION PLAN-REPORT

Category: " Students " in the 202\_/202\_ academic year

**Medium risk level (5–12 points)**

*(within the adapted model, the residual risk is 2–3 points – a controlled, preventive level)*

<b>Item No.</b>	<b>Name of the process</b>	<b>Name of the risk</b>	<b>Risk level</b>	<b>Risk mitigation measures</b>	<b>Responsible</b>	<b>Implementation deadlines</b>	<b>Supporting documented information</b>
1	Recruitment of students	Shortage of contingent	6	Strengthening career guidance; digital marketing; expanding partner schools; monthly monitoring of the recruitment funnel	Director of the Marketing Department	During the year	Career guidance plan, recruitment reports, meeting minutes
2	Admission and enrollment	Low quality of typing	4	Establishing minimum threshold scores; analyzing applicant profiles; adjusting grant profiles	Executive Secretary of the PC	Admissions campaign	Admissions Committee Report, Analytical Report
3	Implementation of the OP	Academic failure	6	Early identification system for "risk groups"; advisory support; additional consultations; GPA monitoring	Director of the Department of Academic Affairs	Every semester	GPA register, department meeting minutes
4	Contingent management	Voluntary expulsion	2	Survey of reasons for leaving; individual	Director of the Department of Student Affairs,	Constantly	Analytical report on the safety of the contingent

				consultations; flexible payment schedules	Deans of the School		
5	Social support	Psychological maladjustment	2	Psychological services; adaptation week; stress management training	Director of the Department of Student Affairs, Psychologist	During the year	Action plan, consultation log
6	Academic integrity	Violations of academic integrity	3	100% VR verification in the anti-plagiarism system; training seminars; disciplinary policy	Director of the Department of Academic Affairs	Constantly	Anti-plagiarism reports, disciplinary committee minutes
7	Inclusive education	Insufficient conditions for OOP	4	Accessibility audit; adaptation of educational materials; appointment of an inclusion coordinator	Vice-Rector for Academic Affairs	During the year	Audit report, order on the appointment of a coordinator
8	International activities	Decline in the proportion of international students	6	International recruiting; English-language OPs; partnership agreements	Department of International Cooperation and Academic Mobility	During the year	Agreements, contingent statistics
9	Educational work	Disciplinary violations	2	Student Code; preventive meetings; involvement in student organizations	Director of the Department of Student Affairs, Deans of the School	Constantly	Protocols, reports on disciplinary cases
10	Employment	Low employment rate	9	Career Center development ; contracts with employers; 6-month employment monitoring;	Head of the Career Growth Center	During the year	Employment report, contracts with employers

				adjustment of the OP to the market			
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Head of the process \_\_\_\_\_ Nurgazieva L.A.

### RISK MITIGATION ACTION PLAN-REPORT

Category: "Scientific" in the 202\_/202\_ academic year

**Medium risk level (5–12 points)**

*(within the adapted model, the residual risk is 2–3 points – a controlled, preventive level)*

Item No.	Name of the process	Name of the risk	Risk level	Risk mitigation measures	Responsible	Implementation deadlines	Supporting documented information
1	Management of research and grant projects	Insufficient external funding	12	Establishment of a working group on grant support; conducting internal reviews of applications; organizing training seminars on application preparation	Vice-Rector for Research and International Affairs ; Deans of Schools	Constantly, annually	Creation of a working group; minutes of seminars; register of submitted applications
2	Human resources for science	Outflow of scientific personnel	12	Introduction of KPI incentives; participation of faculty in international	Rector; Vice-Rector for Science and International	During the school year	KPI orders; project contracts; HR reports

				projects; reduction of the administrative burden on active researchers	Activities, HR Department;		
3	Publishing activities	Low publication activity	9	Organization of consulting support for publications; partial reimbursement of APC; conducting trainings on academic writing	Vice-Rector for Science and International Affairs ; Department of Science	2 times a year	Funding for publication activities ; training programs; WoS / Scopus publication report
4	Laboratory research	Absence necessary scientific equipment	8	Formulation of a laboratory equipment plan; inclusion of equipment purchases in the budget and grant applications; attraction of extra-budgetary funds; development of partner laboratories	Department of Finance and Accounting; Department of Science	During the academic year / according to the procurement plan	Procurement plan; budget requests; equipment supply contracts; commissioning certificates
5	Scientific culture	Violation of academic integrity	8	Mandatory anti-plagiarism checks for all publications; conducting educational seminars; and approving a Code of Academic Integrity .	Department of Science; Compliance Service	Constantly	Anti-plagiarism system reports; Compliance Service protocols ; order approving the Code of Ethics

6	International cooperation	Declining levels of international partnership	6	Expanding the partner network; submitting Erasmus + applications; supporting academic mobility	Vice-Rector for Research and International Affairs	2 times a year	Signed MoUs ; applications to international programmes; mobility reports
7	Implementation of research and development	Delays in project completion	6	Quarterly monitoring of R&D stages; control of procurement procedures; appointment of responsible coordinators	Project Managers; Finance and Accounting Department	Quarterly	Monitoring protocols; project reports; implementation schedules

Process Manager \_\_\_\_\_ Zhuniskaliev T.T.

## RISK MITIGATION ACTION PLAN-REPORT

Category: " Academic " in the 202\_/202\_ academic year

**Average risk level (controlled, 2–3 points)**

*(within the adapted model, the residual risk is 2–3 points – a controlled, preventive level)*

<b>Item No.</b>	<b>Name of the process</b>	<b>Name of the risk</b>	<b>Risk level</b>	<b>Risk mitigation measures</b>	<b>Responsible</b>	<b>Implementation deadlines</b>	<b>Supporting documented information</b>
1	Development of the OP	Mismatch of the OP with the labor market	3	Annual audit of the OP with the participation of employers; updating the RUP; implementation of disciplines at the request of the industry	Director of the Department of Academic Affairs	Once a year	Protocols of the UMS, employers' opinions
2	Implementation of the educational process	Poor quality of teaching	3	Advanced training for teaching staff; mutual visits to classes; student surveys	Vice-Rector for Academic Affairs	During the year	PC certificates, survey reports
3	Knowledge control	Violation of the objectivity of assessment	6	Development of uniform rubrics; anonymous testing; appeals committee	Director of the Department of Academic Affairs	Every semester	Orders, appeal protocols
4	Educational and methodological support	Obsolescence of teaching materials	2	Annual updating of teaching and methodological documents; monitoring of uploads to the LMS	School Deans	Before the start of the school year	Register of teaching aids
5	Examination session	Technical glitches	2	Backup servers; system testing before the session	Head of Information Technology ( IT) Department	Before the session	IT Testing Report

6	Academic mobility	Low mobility	4	Expanding international agreements; informing students	Department of International Cooperation and Academic Mobility	During the year	Agreements, mobility reports
7	VR management	Untimely protection	2	Monitoring the final qualifying work schedule; students' interim reports	Program leaders of the OP	During the year	VR schedules, school protocols
8	PPS load	Teacher overload	3	Load balancing optimization; clock monitoring	Director of the Department of Academic Affairs	Annually	Calculation of hours of distribution of pedagogical load
9	Internal quality control	Formal approach	6	Internal auditor training; corrective action analysis	Director of Academic Affairs	Once a year	Report on the inspection carried out
10	Digitalization of learning	Low LMS usage	6	Training faculty on LMS; KPIs for digital activity	Information Technology (IT ) Department	During the year	LMS statistics

Head of the process \_\_\_\_\_ Nurgazieva L.A.

### RISK MITIGATION ACTION PLAN-REPORT

Category: " Environmental " in the 202\_/202\_ academic year

**Average risk level (5–12 points)**

*(within the adapted model, the residual risk is 2–3 points – a controlled, preventive level)*

Item No.	Name of the process	Name of the risk	Risk level	Risk mitigation measures	Responsible	Implementation deadlines	Supporting documented information
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1	Campus energy consumption (E)	Increase in electricity consumption	3	Energy audit; implementation of LED lighting; monitoring of energy consumption by buildings	Director of the Administrative and Economic Department	During the year	Energy audit report, modernization certificates
2	Water Resources Management (E)	Inefficient use of water	2	Installation of metering devices; flow monitoring; preventive inspections	Director of the Administrative and Economic Department	Constantly	Accounting journals, inspection reports
3	Waste Management (E)	Insufficient waste sorting	2	Implementation of a separate waste collection system; information campaign	Director of the Administrative and Economic Department, Marketing Department	During the year	Orders, photographs, reports
4	Carbon footprint (E)	Lack of CO <sub>2</sub> accounting	3	the Scope 1–2 calculation methodology ; database formation	Vice-Rector for Development	Annually	ESG report, carbon footprint calculation
5	Inclusive educational environment (S)	Insufficient level of accessibility	3	Accessibility audit; infrastructure modernization; teaching staff training	Vice-Rector for Academic Affairs	During the year	Audit report, orders, reports
6	Social Engagement (S)	Declining engagement levels	3	Satisfaction surveys; wellbeing programs ; management meetings	Director of the Department of Student Affairs	Every semester	Survey reports, meeting minutes
7	Corporate Culture (S)	Lack of transparency in communications	2	Regular town hall meetings; publication	Rector, vice-rectors	Quarterly	Protocols, publications

				of management reports			
8	Integrating ESG into Strategy (G)	Insufficient formalization of ESG KPIs	3	Inclusion of ESG indicators in the 2025–2030 Strategy; consolidation of KPIs	Vice-Rector for Development	Until the end of the school year	Updated strategy, KPI list
9	Anti-corruption system (G)	Formal nature of procedures	3	Conducting internal audits; anti-corruption training for employees	Compliance officer	Annually	Audit report, training certificates
10	Non-financial reporting (G)	Lack of ESG report	3	Preparation and publication of an annual ESG report (GRI/ISSB)	Vice-Rector for Development	Annually	Publication of the ESG report

Head of the process \_\_\_\_\_ Moldagalieva D.Zh. "

### RISK MITIGATION ACTION PLAN-REPORT

Category: "Archiving and Transparency of Documentation" in the 202\_/202\_ academic year

**Medium risk level (5–12 points)**

*(within the adapted model, the residual risk is 2–3 points – a controlled, preventive level)*

Item No.	Name process	Name risk	Level risk	Events By management risk	Responsible	Deadlines implementation	Supporting documented information
1	Document flow and archiving	Partial loss electronic documents	2	Regular backups ; data recovery testing	Department informational technologies , DDO	Quarterly	Inspection reports
2	Storage personal affairs students	Untimely update archival records	2	Implementing update checklists;	Registrar's Office	Monthly	Acts OR

				automatic reminders			
3	Access to documents	Limited transparency access	3	Access rights regulation; setting up roles in the system	Information Technology Department, Head of SP	For years	Access orders, system settings
4	Electronic archive	Glitch servers storage	2	Using cloud backup; technical monitoring	Department informational technologies	Constantly	Monitoring reports, system logs
5	Documentation processes	Non-compliance templates	1	Employee training; implementation of unified templates	DDO	Once a year + if necessary	VND , approved templates

Head of the process \_\_\_\_\_ Bukenbaeva G.Zh.

### RISK MITIGATION ACTION PLAN-REPORT

Category: " Reputation " in the 202 \_/202\_ academic year

**Medium risk level (5–12 points)**

*(within the adapted model, the residual risk is 2–3 points – a controlled, preventive level)*

Item No.	Name of the process	Name of the risk	Risk level	Risk mitigation measures	Responsible	Implementation deadlines	Supporting documented information
1	Media and PR	Negative media coverage	3	PR strategy development; speaker	Director of the Marketing Department	Constantly	PR plan, media monitoring reports

				appointments; media monitoring			
2	Social media	Negative comments	3	Response procedures; daily monitoring of social media	Director of the Marketing Department	Constantly	Monitoring log
3	Partnerships	Public conflicts	3	Securing contractual obligations; regular meetings with partners	Vice-Rector for Development	During the year	Meeting minutes, agreements
4	Academic environment	Complaints from students	2	Help desk support; anonymous requests; prompt feedback	Director of the Department of Student Affairs	Constantly	Register of appeals, reports
5	International activities	Negative reviews from international students	3	Adaptation program; supervision; satisfaction survey	Department of International Cooperation and Academic Mobility	Every semester	Survey reports

Head of the process \_\_\_\_\_ Moldagalieva D.Zh. "  
 \_\_ " \_\_\_\_\_ 2026

### RISK MITIGATION ACTION PLAN-REPORT

Category: " Compliance Services " in the 202\_/202\_ academic year

**Medium risk level (5–12 points)**

*(within the adapted model, the residual risk is 2–3 points – a controlled, preventive level)*

<b>Item No.</b>	<b>Name of the process</b>	<b>Name of the risk</b>	<b>Risk level</b>	<b>Risk mitigation measures</b>	<b>Responsible</b>	<b>Implementation deadlines</b>	<b>Supporting documented information</b>
1.	Reception students	Risk violations procedures	6	Monitoring the commission's work; transparent criteria; recording decisions in minutes	Compliance officer	During the period reception	Protocols commissions ; orders
2.	Evaluation	Conflict interests	6	Approved assessment criteria; appeals committee; LMS monitoring	Compliance officer	Constantly	Corruption Risk Assessment Procedure; Appeal Protocols
3.	Procurement	Non-compliance procedures	6	Verification of procurement documentation; control of approvals	Compliance officer	By plan	Protocols purchasing commissions
4.	Document flow	Non-compliance internal regulations	3	Conducting training; annual information on the requirements of anti-corruption legislation	Compliance officer	Annually	Briefing log; compliance service report

Head of the process \_\_\_\_\_ Seidakhmetov A.Zh.

« \_ » \_ 2026