

THE ACCREDITATION, CERTIFICATION AND
QUALITY ASSURANCE INSTITUTE

ACQUIN

AWARDS THE SEAL OF APPROVAL



FOR THE

INSTITUTIONAL ACCREDITATION

OF THE NON-PROFIT JOINT-STOCK COMPANY

***"CASPIAN UNIVERSITY OF TECHNOLOGIES AND ENGINEERING NAMED AFTER
SH. YESSENOV"***

THE ACCREDITATION IS VALID UNTIL 30 SEPTEMBER 2028.

BAYREUTH, 31 MARCH 2022

A handwritten signature in blue ink, appearing to read "S. Kempgen".

PROF. DR. SEBASTIAN KEMPGEN
CHAIRMAN OF THE BOARD

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ИНСТИТУТ АККРЕДИТАЦИИ, СЕРТИФИКАЦИИ
И
ОБЕСПЕЧЕНИЯ КАЧЕСТВА

ACQUIN

ПРИСУЖДАЕТ СЕРТИФИКАТ КАЧЕСТВА



ИНСТИТУЦИОНАЛЬНАЯ АККРЕДИТАЦИЯ

НЕКОММЕРЧЕСКОЕ АКЦИОНЕРНОЕ ОБЩЕСТВО
**"КАСПИЙСКИЙ УНИВЕРСИТЕТ ТЕХНОЛОГИЙ И ИНЖИНИРИНГА
ИМЕНИ Ш.ЕСЕНОВА"**

АККРЕДИТАЦИЯ ДЕЙСТВИТЕЛЬНА ДО 30 СЕНТЯБРЯ 2028 Г.

г. Байройт, 31 Марта 2022 г.

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ПРОФЕССОР, ДР. СЕБАСТЬЯН КЕМПГЕН
ПРЕДСЕДАТЕЛЬ АККРЕДИТАЦИОННОЙ КОМИССИИ

Assessment Report and Accreditation Recommendation

Institutional Accreditation of
Caspian State University of Technology and Engineering named after Sh.Yessenov
Aktau, Kazakhstan

I Procedure

Date of contract: 25 December 2020

Date of the submission of self-assessment report: 11 August 2021

Date of site visit: 05-07 October 2021

Attendance by ACQUIN office: Dr. Jasmine Rudolph

Accreditation decision: 07 March 2022

Peer review experts:

- Professor Dr. Sholpan Yessimova, Akhmet Yassawi International Kazakh-Turkish University, Vice-President
- Professor Aigul Iskakova, Mukhtar Auezov South Kazakhstan University, Vice-Rector for Strategic Development and Internationalization
- Professor Dr. Klaus Kreulich, Munich University of Applied Sciences, Vice-President for Innovation and Quality of Education
- Professor Dr. Anett Mehler-Bicher, Mainz University of Applied Sciences, Vice President for Digitalization and Research
- Manfred Groß, IUNworld GmbH, Head of the department Quality Management and Accreditation
- Daniel Irmer, École de MINES ParisTech in Paris, PhD student Materials Science

The Assessment Report of the peer-review experts is based on the self-assessment report of the Higher Education Institution (HEI) and extensive discussions with the HEI management, the board of trustees, deans, heads of study programmes, lecturers, staff representatives, students, and alumni.

The basis of the Assessment Criteria is part 1 of the “Standards and Guidelines for Quality Assurance in the European Higher Education Area” (ESG) in the current official version. Further, the assessment considers criteria for the institutional accreditation of non-state higher education institutions of the German Council of Science and Humanities (WR) („Guidelines for the accreditation of non-state higher education institutions” Section B.IV). At the same time the national context, particularly the national regulations regarding the establishment of study programmes, are taken into account.

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II Introduction

The experts would like to thank the representatives of the HEI as well as students for taking part in the discussions and willingly sharing information and their views during the site visit. The discussions are valuable not only for the assessment of the institution but also for a better understanding of the legal and sociocultural context of the local higher education system.

The evaluation basis for the peer-review experts is the self-assessment report of the HEI as well as intensive discussions during the site visit with the HEI management, board of trustees, representatives of the holding company, deans, head of study programs, study programme coordinators, teachers, lecturers, administrative staff, students, and graduates.

The main objective of the accreditation procedure is to assess the quality of the study programmes and compliance with the "Standards and Guidelines for Quality Assurance in the European Higher Education Area" (ESG). The ESG standards are applied as the main assessment criteria in the international accreditation procedure. They are completed with criteria for the institutional accreditation of non-state higher education institutions of the German Council of Science and Humanities (WR) („Guidelines for the accreditation of non-state higher education institutions“ Section B.IV). In addition, the respective country-specific criteria and standards are taken into account.

A group of experts was set up, which ensured that all areas relevant to the accreditation procedure (e.g., legal, structural, social, etc. aspects) as well as the ESG, the WR criteria, and national criteria were considered. The peer-review experts include professors, representatives of the professional practice, and the student representative. A certificate with the ACQUIN seal is awarded upon accreditation of the institution.

1 Short profile of HEI

Caspian State University of Technologies and Engineering named after Sh. Yessenov was founded in 1976, operates on the basis of the Charter approved on 25.05.2020 by the State Property and Privatization Committee of the Ministry of Finance of the Republic of Kazakhstan and registered in the Department of Justice of Mangistau region of the Republic of Kazakhstan, has a state license for the right to conduct educational activities in the field of higher and postgraduate education.

Non-profit joint-stock company "Caspian University of Technologies and Engineering named after Sh.Yessenov " (hereinafter NJSC" Yessenov University ") was established in accordance with the Decree of the Government of the Republic of Kazakhstan dated October 11, 2019 and operates on the basis of the Order of the State Property and Privatization Committee of the Ministry of Finance of the Republic of Kazakhstan No. 314 dated 25.05.2020.

The founder of " Yessenov University " (hereinafter-the University) is the Government of the Republic of Kazakhstan represented by the State Property and Privatization Committee of the Ministry of Finance of the Republic of Kazakhstan.

The subject of the activity of the NJSC " Yessenov University" is the provision of educational services in the field of higher, postgraduate, technical and professional, post-secondary and additional education.

The general management of the activities of NJSC " Yessenov University" , with the exception of issues referred by Law and this Charter to the competence of the Sole Shareholder, is carried out by the Board of Directors of NJSC " Yessenov University" .

Educational activities are carried out according to the following forms of studying: full-time, using distance technologies, dual. The multi-level structure of education of the NJSC " Yessenov University" implements educational curricula of the following levels of education: technical and professional, post-secondary education, higher, postgraduate education, additional education, non-formal education. At the same time, various educational programs of postgraduate education can be implemented according to the terms and level of training of specialists. We are preparing for 20 Master's degree programs and 4 doctoral programs. In the implementation of the educational mission, Yessenov University closely cooperates with the regional, regional executive bodies, as well as with SMEs, which contributes to the effective implementation of educational programs.

The location of the university in a dynamically developing region with a high purchasing power of the population contributes to the increase in the added value of graduates of Yessenov University. The needs of the region are taken into account when forming educational programs – employers, local executive bodies take part in the discussion of the needs of the regional labor market, being members of the academic committee.

III Implementation and assessment of the criteria

1 Institutional Profile and Strategy: Strategic Planning, Mission and Vision

The HEI has a clear mission statement in which the institutional profile, strategy, and objectives of the HEI are defined. The mission is consistent and complies with international standards. Academic bodies have adopted the mission, which is publicly available. The HEI has adequate resources to fulfil its mission and strategic planning [Examination Area 1].

Implementation

The mission, vision, and strategic goals of the university have been approved by the decision of the Board of Directors. The development strategy of Yessenov University is formulated in accordance with the State Program for the Development of Education and Science of the Republic of Kazakhstan for 2020-2025, which considers the integration of education and science, creating conditions for the commercialization of intellectual property products, where education is considered as one of the most important factors in the country's social development. The involvement of teaching staff and students in the development and implementation of documents, including missions, strategies, is ensured by discussing the aims of faculties and structural units, attracting competent experts from the teaching staff, employees in the development of program documents. Developing the mission of Yessenov University, a mechanism has been laid for its formation, revision, and monitoring in the context of implementing the vision and strategy. This mechanism was based on the principles of team development, collegial approval, analysis of the implementation of strategic plans, revision of the mission and strategy, considering external and internal changes. The work plans of all collegial bodies of Yessenov University are formed considering the tasks of developing the strategy of Yessenov University. In this regard, the results of considering planning issues by collegial bodies are part of monitoring the effectiveness of implementing the strategy.

The mission of Yessenov University is to educate, inspire and promote research for the sustainable development of the Mangystau region.

The vision of Yessenov University is to become a leading center for education, science, and culture of the Caspian region with a high reputation and recognition.

The university's goals are:

1. Transformation of the university into a regional scientific and educational hub aimed at solving regional problems
2. Development of human capital - the formation of a personality with high social and civic responsibility, cultural values

3. Formation of a center of academic excellence
4. Formation of a strong corporate culture within the team
5. Development of social and campus infrastructure
6. Improvement of the university management system through the digitalization of business processes
7. Further enhancement of Yessenov University brand value

The adopted mission required the staff of Yessenov University to determine strategic priorities related to the development of the university in line with world educational trends; increasing pedagogical and scientific potential; maintaining the continuity of scientific schools and scientific and pedagogical personnel; providing the transport and communication complex of the country with the need for highly qualified specialists.

Currently, Yessenov University is in the process of a great transformation. This places different demands on training, research, and development programs in general.

The priorities of strategic development are determined by the state objectives of the development of the higher education system and the interests of the participants in the educational process:

1. The university recognizes itself as the custodian of humanistic values, contributes to the socio-economic, cultural development of the region, forms the intellectual elite of society.
2. The university, continuing the traditions of classical education, implements the principles of academic freedom, innovative educational standards, introduces innovative teaching technologies.
3. The university takes responsibility to create conditions for maintaining the continuity of scientific schools and training scientific and pedagogical personnel of a new formation.
4. The university considers it necessary to justify scientific activity on the principles of the relevance of scientific research, the promotion of research individuality, the development of fundamental science.
5. The university promotes the introduction of promising developments of scientists into production, commercialization of the results of scientific activity.
6. The university actively integrates into the world scientific and educational space, considers the general trends in the development of higher education and science, introduces international quality standards.

7. The university, creating conditions for academic mobility, develops international cooperation with the leading scientific and educational centers of the world. The academic potential of the university is open to other regions of Kazakhstan, near and far abroad.

8. The university provides conditions for the professional growth of teachers and the personal development of students.

9. The university supports gifted students, promising scientists, talented teachers.

The strategy focuses on the development of the university as a center of attraction, with the aim of creating professional expert regional communities (oil workers, geologists, ecologists, economists, etc.), professional certification, the development of dual training in all educational programs.

The strategy of Yessenov University is the result of the work with the entire team for several months: interviews were conducted with various focus groups (rector, vice-rectors, heads of structural divisions, students, employees), strategic sessions, including with the participation of partners and industry managers in the areas of development "Academic development", "Research", "Contribution to the development of the region", "Corporate culture", "Effective management", "Digitalization Strategy". The strategy of the university was discussed at the level of departments, faculties, a general meeting of the staff, a meeting of the Academic Council.

Every half-year a report on the implementation of the indicators of the strategic plan of the faculties is heard at the academic council, according to the areas of activity - by vice-presidents - at the academic council.

Conflicts of goals are discussed (at the stage of strategy development) at the faculty level at strategic sessions, at which each of the deans of faculties, schools, and the director of the academy expresses his opinion on a particular indicator, goals, and other indicators of the strategy. The identified problems are further considered at the level of the executive body. After all the discussions, certain decisions are made on strategic directions. In general, the strategy was developed in the following areas:

1. Academic development
2. Development of science and innovation. the main directions of science development
3. International cooperation and internationalization of academic activities of the university
4. Educational activities, social development, and marketing
5. Infrastructure development
 - 5.1. Development of university automation
 - 5.2. Development of social infrastructure and campus infrastructure

6. Corporate culture and people

7. Effective management

The vice-presidents are responsible for each of the directions of the strategy, who also, together with the deans, carefully consider all conflicts arising on the issues and goals of the strategy.

After the adoption and approval of the strategy at the collegial level, a step-by-step process of its implementation began. Strategic goals and objectives are considered for a certain planned period. Strategic indicators are annually reflected in the Operational Plan of the University for 2020-2025, the Indicative Plan of the university for the academic year. The university monitors and controls the implementation of the Strategy through the implementation report of the Indicative Plan for the academic year. According to the results of its implementation, the KPIs of managers are determined.

The success of the university's strategy is determined by the results that it receives during the reporting period, for example, by the university's rating, employment indicators, the university's reputation both at the local and national levels. Thus, according to the rating of the university in previous years the university took 15, 17, 18 places. Employment indicators have also improved compared to the previous period.

The university's strategy focuses on the development of the university as a center of attraction, with the aim of creating professional expert regional communities (oil workers, geologists, ecologists, economists, etc.), professional certification, the development of dual training in all educational programmes.

The main priorities for the university are to improve the quality of services provided, the competitiveness of the university by improving educational programs, attracting qualified personnel, improving the skills of personnel, taking good positions in the ranking of the best universities in the world, developing entrepreneurship, being useful to the region with the results of scientific research, inter-national certification of graduates according to the programs they are trained in, the formation of new educational programs according to the Atlas of New Professions. The priority programs are Tourism, Marine equipment and technologies, Ecology.

Assessment

The Yessenov University has made it its central task to develop a quality culture that applies uniformly at all levels of the university, is accepted by all university members and is constantly reviewed and further developed. In the assessment of the expert group, the university has a very good formal quality assurance policy, in which all control loops are closed, interlock very well and work together. The instruments of internal quality assurance are publicly accessible and known to

all staff and students. The quality assurance policy covers all relevant areas and informs all university members regularly and transparently about the use of the quality assurance instruments. All relevant bodies are also appropriately involved in the process of further developing quality assurance and the coordination processes of the various bodies were explained in the discussion rounds. All important bodies and institutions are sufficiently involved in the development and implementation of the policy. All relevant areas are covered and are publicly accessible.

However, it is noticeable that the process landscape of the Yessenov University could still be better written down. The expert group therefore recommends that a process manual with process flow diagrams and a process landscape be created, in which the responsibilities and functions of the various bodies are described, as well as information on binding documents and regulations within the university. The process manual should also show the decision-making hierarchies as well as the appeal procedures within the HEI. Yessenov University has a mission statement, which is transparent and considers the different areas (teaching, learning, research) and stakeholders. The mission of the university is reflected in all its areas of activity. Yessenov University profile is realistic and aims to strengthen the region.

The mission statement also reflects the present and future priorities and there is a development plan. Yessenov University clearly defines its role within the higher education system and within society. The Mission Statement is publicly available, and it is implemented within the university. The objectives of the university are clearly defined, and they are plausibly related to the profile of the university. The university monitors the achievement of its objectives in a reasonable way.

Finally, there are enough resources for strategic planning, competences, and responsibilities are adequately defined.

Conclusion

The criterion is fulfilled.

2 Governance, Organization and Administration

Responsibilities, decision-making processes, and decision-making competencies are clearly defined and integrated into statutes. Organisation and management structures are adequate to the tasks and objectives of the institution and assure freedom in teaching and learning [Examination Area 2].

Implementation

The founding document of the non-profit joint-stock company " Caspian University of Technologies and Engineering named after Sh.Yessenov" (hereinafter referred to as the Company) is the Charter that defines its name, location, legal basis for the organization and functioning of the Company, the procedure for the formation and competence of its bodies, the conditions for the reorganization and termination of its activities and other provisions that do not contradict the legislation of the Republic of Kazakhstan.

On the basis of the Decree of the Government of the Republic of Kazakhstan No. 752 dated 11.10.2019. "On some issues of higher educational institutions, the Ministry of Education and Science of the Republic of Kazakhstan" Republican State Enterprise on The right of economic management "Caspian State University of Technology and Engineering named after Sh. Yessenov" by Order No. 314 of 25.05.2020 of the Chairman of the State Property and Privatization Committee of the Ministry of Finance of the Republic of Kazakhstan "On the creation of a non – profit joint-stock Company " Caspian University of Technology and Engineering" (hereinafter-NJSC/Company) was transformed into a Company. The Company's Charter was registered with the Department of Justice on 04.06.2020. On the basis of which amendments were made to the National Register of Business Identification Numbers of information on the termination of the activities of the Republican State Enterprise at the Sh. Yessenov Caspian State University of Technology and Engineering and on the establishment of the Sh. Yessenov Caspian University of Technology and Engineering. The Company was established in accordance with the Decree of the Government of the Republic of Kazakhstan dated October 11, 2019, No. 752 "On certain issues of higher Educational Institutions of the Ministry of Education and Science of the Republic of Kazakhstan" .

The competence of the Government of the Republic of Kazakhstan in the field of state property management, in accordance with paragraph 4 of Article 11 of the law of the Republic of Kazakhstan "On State Property" includes making a decision on the creation, reorganization, change of name and liquidation of legal entities... in respect of which the Republic of Kazakhstan acts as the sole shareholder. Guided by the above article, in accordance with Article 14 of the Law of the Republic of Kazakhstan dated on March 1, 2011, No. 413-IV "On State Property" , paragraph 6 of the Charter of the NJSC, the Founder of the Company is the Government of the Republic of

Kazakhstan represented by the State Property and Privatization Committee of the Ministry of Finance of the Republic of Kazakhstan.

In accordance with Article 15 of the law of the Republic of Kazakhstan "On State Property", paragraph 7 of the Company's Charter, the Ministry of Education and Science of the Republic of Kazakhstan is the authorized body in the relevant industry exercising the right to own and use a 100% state stake in the Company, respectively, the Sole shareholder.

The right to participate in the management of the Company is exercised by the state in accordance with the Civil Code of the Republic of Kazakhstan, the law of Republic of Kazakhstan "On Joint-Stock Companies" dated 13.05.2003 No. 415-II, the Law of the Republic of Kazakhstan "On State Property" dated 11.03.2011 No. 413-IV, the Charter of the Company, the Corporate Governance Code of the Company, internal documents of the Company regulating the activities of bodies.

At the same time, the spheres of influence on the activities of state bodies on the activities of the Company are strictly regulated and delimited.

Thus, the Sole Shareholder independently makes decisions on all issues referred to its competence by Article 14 of the Law of the Republic of Kazakhstan "On Joint-Stock Companies" and Section 15 of the Company's Charter, except for the following issues specified in paragraph 2 of Article 177 of the Law of the Republic of Kazakhstan "On State Property":

- 1) making amendments and (or) additions to the company's charter or approving it in a new version;
- 2) change in the size of the authorized capital;
- 3) approval of the annual financial statements and distribution of the company's net income for the reporting financial year;
- 4) making a decision on the company's participation in the creation or activities of other legal entities by transferring part or several parts of assets amounting to twenty-five percent or more of all assets owned by the company;
- 5) determination of the quantitative composition, term of office of the board of directors, the election of its members and early termination of their powers, as well as determination of the amount and conditions for payment of remuneration to members of the board of directors;
- 6) introduction and cancellation of the "golden share";
- 7) cancellation of decisions taken by the board of directors on issues related to the internal activities of the company.

The issues specified in paragraphs 1) -7) are considered and decisions on them, in accordance with paragraph 3 of Article 177 of the law of Republic of Kazakhstan "On State Property", are taken

jointly with the authorized body for state property – the Committee on State Property and Privatization of the Ministry of Finance of the Republic of Kazakhstan.

In general, the Company exercises its rights on the basis of the Charter, which defines the legal basis for the organization of activities and functioning, the procedure for the formation and competence of its bodies, the conditions for the reorganization and termination of its activities, the procedure for relations with other organizations.

Also, in accordance with paragraph 1 of Article 3 of the law of the Republic of Kazakhstan "On Joint-Stock Companies", the Company has the property that is separate from the property of the Sole Shareholder and is not responsible for their obligations.

Accordingly, the Company disposes of its property belonging to it by right of ownership independently in accordance with the competence provided for by the laws of the Republic and the Charter of the Company.

The bodies of the university, as well as the tasks and competencies, are clearly stated both in the charter and in the Organizational structure, the Regulations of the Society.

In accordance with paragraph 1 of Art. 37 of the Civil Code of the Republic of Kazakhstan, a legal entity acquires civil rights and assumes responsibilities only through its bodies acting in accordance with legislative acts and constituent documents.

The powers of each of the Company's bodies are strictly delimited on the basis of the legislation of the Republic of Kazakhstan regulating the activities of joint-stock companies.

At the same time, each of the bodies of the Society acts within the framework of the rights and obligations specified in the law and cannot interfere with the activities of the Society in a manner not provided for by law.

The Sole Shareholder controls and manages the activities of the Company as a whole on the basis of Articles 14, 36 of the ZRK "On Joint Stock Companies", Art. 15 "On state property" and section 15 of the Charter.

The Board of Directors carries out general management of the Company's activities on all issues, except for those referred to the exclusive competence of the Sole Shareholder and the executive body.

In accordance with paragraph 21 of Art. 14, paragraph 18 of Art. 15 ZRK "On State Property" in cases where the Sole Shareholder has been transferred the rights to own and use the state block of shares, representatives of the authorized bodies of both the industry and state property, appoint their representative to the corresponding board of directors of the joint-stock company, in which the only shareholder (participant) is the state.

In this case, representatives of the Ministry of Education and Science of the Republic of Kazakhstan and the KGIP of the Ministry of Finance of the Republic of Kazakhstan became members of the Board of Directors of the Company and they act within the powers provided for in Article 177 of the ZRK "On State Property".

The powers of the Board of Directors itself are provided for in Art. 53 ZRK "On Joint Stock Companies", clause 71 of the Charter. The mechanism of action, powers, formation, creation of committees, regulation of the activities of the Board of Directors are provided for by Articles 72-101 of the Charter, the Regulation on the Board of Directors of the Company.

Sub-clause 7, clause 65 of Section 15 of the Charter of the Company, determination of the number of members, the term of office of the Board of Directors, the election of its members and early termination of its powers, as well as determination of the amount and conditions for payment of remuneration and compensation of expenses to members of the Board of Directors for the performance of their duties, are attributed the sole shareholder of the Company.

Branches and representative offices operate on the basis of the regulations approved by the Management Body (Board of Directors) of the Company. By order of the Minister of Education and Science 408 of 09/23/2020, a Board of Directors was appointed, consisting of 7 members, including 2 independent directors, President-Rector, Director of the Department of Higher and Post-graduate Education of the Ministry of Education and Science of the Republic of Kazakhstan, heads of the banking sector, large industrial enterprises, educational organizations of the region and RK. Members of the Board of Directors are elected for a term of 3 years

The authorized body in the relevant industry, exercising the right to own and use 100% state block of shares of the Company, is the Ministry of Education and Science of the Republic of Kazakhstan (hereinafter - the Sole Shareholder). The Sole Shareholder considers issues and makes decisions within the competence of the general meeting of shareholders in accordance with the legislation of the Republic of Kazakhstan. Decisions on issues referred to the competence of the general meeting of shareholders by the legislation of the Republic of Kazakhstan and this Charter are made by the Sole Shareholder independently, with the exception of issues that are resolved in agreement with the Committee for State Property and Privatization of the Ministry of Finance of the Republic of Kazakhstan.

The Company is a non-profit organization that does not pursue income generation as the main goal of its activities and does not distribute the received net income in favour of the Sole Shareholder of the Company. The company cannot be transformed into a commercial organization

The society has the status of an educational organization that implements independently developed educational curricula, independently determines the ratio of students and faculty, the pro-

cedure for admission to training, the use of its own norms and standards of the study load, educational, scientific, scientific and technical, entrepreneurial, production and economic, innovative and methodological activities, forms and amounts of remuneration.

The income received as a result of the Company's activities is used exclusively for the development of the Company and the creation of the necessary conditions for its employees and students.

Financing of the educational activities of the Company under the state educational order is carried out in the manner prescribed by legislation, by an authorized body in the relevant industry on the basis of an annually established standard, determined per student.

Funding for the scientific and scientific and technical activities of the Society for basic, grant, and program-targeted funding is carried out by the authorized body in the relevant industry on the basis of an annually established standard.

The Company is entitled to receive bank loans in the manner prescribed by the current legislation.

The general management of the Company's activities, with the exception of issues referred by the Law and this Charter to the competence of the Sole Shareholder, is carried out by the Board of Directors of the Company. Branches and representative offices operate on the basis of the regulations approved by the Management Body (Board of Directors) of the Company. The exclusive competence of the Board of Directors includes such issues as:

- 1) determination of the priority directions of the Company's activity;
- 2) making a decision on the placement (sale), including on the number of placed (sold) shares within the number authorized shares, method, and price of their placement (sale);
- 3) making a decision on the redemption of the placed shares by the Company and the price of their redemption;
- 4) creation of committees of the Board of Directors of the Company and approval provisions on them;
- 5) preliminary approval of the annual financial statements Society;
- 6) approval of the organizational structure and staffing Society;
- 7) consideration, formation of a list of persons applying for the position President - Rector of the Society and sending him for consideration Republican Commission;
- 8) determination of the quantitative composition of the Vice - Presidents of the Company, their term of office, and the election of Vice - Presidents (with the exception of President - Rector of the Society), as well as early termination of their powers and disciplinary action;

9) determination of the size of official salaries and conditions of remuneration and bonuses for

the President - Rector, Vice - Presidents of the Company, and the chief accountant.

The collegial governing bodies of Yessenov University are the Academic Council, the Research Council, the Public Council, and the Production Council. The activities of the Academic Council are based on publicity and collective discussion of issues within its competence.

In its activities, the Academic Council of the University is guided by the legislation of the Republic of Kazakhstan and this Regulation, which determines the procedure for electing and organizing the work of the Academic Council, holding its meetings, making decisions, and monitoring their implementation. The Academic Council considers and makes decisions on issues of scientific, educational, methodological, and educational activities that require a collegial decision. Meetings are held once a month, in accordance with the approved plan

The Academic Council of Yessenov University is created by the order of the President-Rector of the Caspian University of Technologies and Engineering named after Sh. Yessenov.

The Academic Council includes:

- 1) President-Rector - ex officio;
- 2) vice presidents;
- 3) heads of educational departments (deans, heads of departments);
- 4) representatives of the teaching staff;
- 5) representatives of student and public organizations of the University.

Academic Council (hereinafter AC). The AU implements the academic policy of the university and is a collegial advisory and advisory body for managing the educational and educational activities of the university. The composition of the AU is approved by the order of the President-Rector, which includes:

- 1) Vice Presidents, the Chairman of the AU is the Vice President for AR
- 2) heads of structural and educational units (deans of faculties/schools/academies);
- 3) President of the Student Council "UNION".

The AS determines the directions and mechanisms of quality management of higher and post-graduate education, recommends new educational technologies for implementation in the educational process.

The AS provides the educational process with high-quality educational and methodological literature. The regulation is the main document that defines the general organizational and methodological requirements for the implementation of the AS of educational and methodological works. In some cases, the recommendations of the AU are submitted for consideration and approval of the Academic Council.

The tasks of the AU are:

- Coordination of educational and methodological activities of the university, educational and methodical work of faculties (schools, academies).
- Organization of control and monitoring of the quality of methodological support of educational activities of the university, analysis, and systematization of UML in priority areas of improvement, and intensification of the educational process.
- Analysis, development of proposals for the improvement and implementation of new technologies, methods, methods, and tools for the implementation of EP at the university.
- Carrying out activities to generalize and disseminate advanced teaching experience and informatization of education.
- Determination of priority areas of activity in the field of quality management of higher and postgraduate professional education focused on creating conditions for the integration of the university into the global educational space.
- Ensuring compliance with the principle of academic honesty in the field of educational and methodological activities of the university.
- Organization of control and monitoring of book availability in all areas of training;
- Coordination and development of activities to improve the qualifications of teaching staff and employees.

Research Council (hereinafter RC). RC is a consultative and advisory body in the field of formation and practical implementation of research and innovation activities. The composition of the RC is approved by the order of the President-Rector, which includes:

- 1) Vice Presidents, Vice President for R&D - Chairman of the RC
- 2) heads of structural and educational units (deans of faculties/schools/academies, heads of departments);
- 3) a representative from among students - the President of the Student Council " UNION" .

RC determines promising areas of scientific and scientific and technical activities of the university, develops appropriate proposals aimed at improving scientific activities, determines effective forms

of integration of scientific and educational activities, their impact on scientific activities in the preparation of specialists, promotes the development of international cooperation in the field of scientific, technical and innovative development of the university, assists in the training of scientific personnel and the improvement of scientific qualifications of teaching staff. The process of management and decision-making is attended by: vice presidents, scientists, professors, heads of structural divisions and university students. As members of the IS, they are actively involved in the formation and practical implementation of research and innovation activities of the university.

Public Council (hereinafter PC). The PC is an advisory body for consideration and decision-making and carries out intra-university coordination, control, and monitoring on issues of social and educational direction, corporate culture and ethics, anti-corruption activities, public relations, ensuring that public opinion, initiative, and the principle of democracy are taken into account in the work of all structures at the university. The composition of the PC is approved by the order of the President-Rector, which includes:

- 4) Vice Presidents
- 5) heads of structural and educational units (deans of faculties/schools/academies);
- 6) heads of research centres;
- 7) representatives of the teaching staff;
- 8) a representative from among doctoral students.

OS activity is based on publicity and collective discussion of issues within its competence. In its activities, the CB by these Regulations, which determines the procedure for the election and the rules for organizing the work of the Academic Council, holding its meetings, making decisions and monitoring their implementation. In some cases, recommendatory decisions of the PC are submitted for consideration by the Academic Council.

The Works Council (hereinafter WC) is a collegial body that is created to consider, organize and control the administrative support of the university.

Faculties/schools/academies councils function at faculties, which consider the mechanisms and possibilities for the implementation of an indicative development plan for each academic year. The faculty/school/Academy Council includes deans, vice-deans, department heads/leaders of educational programs, teaching staff, and students. On the basis of the faculty/academy/school, the Quality Assurance Commissions have been formed, making decisions on the content and conditions of the implementation of educational programs, on the assessment policy and other academic issues of the faculty (academy, school), organizing a survey of students for the conformity of the quality of educational programs and (or) disciplines/modules, for the presence of facts of violation of academic integrity. The Quality Assurance Commission includes teachers, students,

undergraduates and other academic staff of the university. The meeting of the Quality Assurance Commission is attended by representatives of the administrative and managerial staff of the university and stakeholders. Also, academic committees have been formed that develop educational programs that are in demand by the labour market.

Academic bureaus operate at faculties/schools/academies that coordinate and control educational and methodological work in order to improve the training of specialists in the educational programs of the faculty. At the academic bureaus, expert commissions have been formed, which include stakeholders (external), students, teachers who are involved in the examination of educational programs. Any activity of Yessenov University, any project, or any individual decision should ultimately contribute to the achievement of one single goal - to increase the effectiveness of education. The efforts of all services of the university and its management should be focused only on the optimization of educational processes and on the growth of the quality of education in general. The development of scientific areas, the attraction of additional non-budgetary sources, automation projects - all these important areas must be consistent with the overall strategic goal of the university - improving the quality of educational services.

Of particular importance in ensuring the quality of educational services is the coordination of various areas of the university's activities by the administration of the university.

The key figure in the scientific and educational process at the university is the teacher, and the administration and infrastructure of the university act as an operator, creating and providing the necessary conditions for the teacher and student for their productive interaction.

Coordination between faculties is carried out in matters of general education, development of educational programs, joint organization of events, student life. The coordination itself or joint activities are planned and carried out at the level of the dean's offices of faculties/schools.

The existing Committees and working commissions and groups are aimed at collegial decision-making on issues and activities of the university, thereby reducing corruption risks and increasing the involvement of colleagues and employees in the decision-making process. The creation of these collegial bodies is determined by the policy of the Minister of Education and Science of the Republic of Kazakhstan.

In the 2020-21 academic year, the organizational structure of the university includes 4 faculties, the School of Education and the Maritime Academy, 21 departments, a maritime training and training centre, a military department, a college, 27 structural divisions. (see Appendices 10, 11 - Structure of AUP and PPP).

The governing body of the university, which is formed by the election of its members, the sole shareholder responsible for general management and control over its activities is the Board of

Directors. The board of directors is a management body accountable to the general meeting of shareholders, providing strategic management of the organization and control over the activities of the board.

The Board of Directors performs its functions in accordance with the Law on State Property, the Law on Joint Stock Companies, the Charter of the Company, the Corporate Governance Code, the Regulation on the Board of Directors, and other internal documents of the Company.

According to the Corporate Governance Code, the board of directors pays special attention to issues related to:

- 1) determining the development strategy (directions and results);
- 2) election (re-election), remuneration, succession planning, and supervision of the activities of the head and members of the executive body.

The documents governing the selection and appointment of the management staff of the university are:

- 1) The procedure for the selection and appointment of the executive body - the president - the rector (approved by the decision of the Board of Directors No. 1 dated 02.10.2020);
- 2) The procedure for the selection and appointment of vice presidents (approved by the decision of the Board of Directors No. 3 dated 04.12.2020).

The President-Rector, Vice-Presidents are appointed by the decision of the Board of Directors for a period of up to 3 years.

The regulations of the university provide provisions on conflict situations in the normative document "Rules of Ethics" paragraph 8 "Conflict Situation". Paragraph 8 presupposes the prevention of potential conflict situations and the resolution of conflicts through bilateral and multilateral constructive and effective negotiations is encouraged.

In order to maintain corporate solidarity, a favourable academic atmosphere, and a positive image, the university has adopted a dispute resolution policy.

The quality assurance policy is part of the strategic management and is considered together with other documents: mission, strategic development plan, academic policy, internal quality assurance standards of the university. Internal quality assurance policy and standards are the basis of a logically built and consistent internal quality assurance system of the university. The system is a cycle of continuous improvement and supports the development of a quality culture at all levels of the Company's functioning.

The internal quality system of education of the university is formed on the principles of consistency, comprehensiveness, and adaptability. The policy in the field of ensuring the quality of

the educational program is implemented at all levels of the university: the first managers and heads of structural divisions provide the necessary organizational level for all types of university activities. The personal responsibility of all participants in the educational process is reflected in the official functional responsibilities, which ensures a clear regulation of the duties and powers of all employees. The heads of all structural divisions are responsible for ensuring that the activities of the divisions correspond to certain goals, tasks, and functions. Detailed responsibility for quality assurance and improvement is distributed according to the Regulations on structural divisions, Regulations on collegial bodies and job descriptions.

The activities of the university are financed in accordance with the development plan at the expense of its own income and budgetary funds received in the manner determined by the budgetary legislation of the Republic of Kazakhstan.

The main principle of the organization of financial management at Yessenov University is to focus on the strategic goals of the development of the university. The university carries out the current planning and distribution of financial resources, based on the mission of the university in accordance with the principles, goals, objectives. The purpose of the activity is to create the necessary conditions for obtaining a multi-level professional education aimed at the formation, development and professional development of an individual based on national and universal values, achievements of science and practice and ensuring a high-quality level of educational services in accordance with state educational standards, creating the most favourable conditions for work of students, professional development of the teaching staff.

The expenses of the university are planned taking into account the strategic goals related to educational, scientific, educational, financial, and economic activities.

Budget planning is carried out in accordance with the legislation of the Republic of Kazakhstan, taking into account the financial condition of the university and the strategic priorities of its development.

The financial resources of the university are distributed according to the following items: salaries, travel expenses, taxes and other budget receipts, the purchase of materials, fixed assets, textbooks, utilities, maintenance and capital repairs, and other expenses.

Yessenov University carries out its financial and economic activities on the basis of the Development Plan, which is formed for five years with the allocation of the current planned year. The forms of the Development Plan were approved by Order of the Minister of National Economy of the Republic of Kazakhstan dated February 14, 2019, No. 14.

The system of accounting and financial reporting is maintained in accordance with the Law of the Republic of Kazakhstan "On accounting and financial reporting" dated February 28, 2007, No. 234 and the accounting policy of the university.

The financial management of Yessenov University includes such elements as:

- planning - in the process of which the financial service prepares financial information and helps to form financial plans for decisions regarding the activities of Yessenov University;
- control - in the process of which the financial service prepares reports on the implementation of the plan, in which the actual results are compared with the planned results. Through the report, managers have the opportunity to examine activities that are at odds with the plan;
- communication - finance helps the communication process by establishing and maintaining an effective reporting system.

To formalize the facts of economic activity, standard forms of primary documents are used, provided for by legislative acts and regulatory documents.

The mechanism for organizing external financial control at the university is regulated by the legislation of the Republic of Kazakhstan. The auditing bodies are the Ministry of Education and Science of the Republic of Kazakhstan, the Department of Internal Audit for the Mangistau Region of the Financial Control Committee of the Ministry of Finance of the Republic of Kazakhstan.

Every year, the university provides the Ministry of Education and Science of the Republic of Kazakhstan with reports on the movement of finances: reports on the implementation of the Development Plan, balance sheet, depository of financial statements.

The financial stability and viability of the university are determined by the sources of its own funds, which are all receipts for the provision of educational services.

Tuition fees are set in accordance with current legislation on the basis of Article 62 of the Education Law. Tariffs for the provision of educational services are developed annually in accordance with the resolution of the Government of the Republic of Kazakhstan "On approval of the state educational order for the training of specialists with higher and postgraduate education."

Own funds are invested in strengthening the material and technical base of the university, replenishing book funds, computer technology, laboratory and classroom equipment.

One of the key tasks of analysing the financial condition of a university is the study of indicators that reflect its financial stability. It is characterized by a stable excess of income over expenses, free manoeuvring of funds, and their effective use in the process of current and financial activities.

Significant financial receipts from extrabudgetary activities make it possible to direct funds for additional payments to the official salaries of employees, to apply various forms of material incentives.

The revenue side of the university's budget is formed mainly from the receipt of funds from training students on a paid basis and the provision of various types of services.

The university has financial stability, a strict system of control over the distribution and sale of resources. The financing policy is based on strict compliance with the legislative acts of the Republic of Kazakhstan. The financing system is implemented at the university on the principles of efficiency, priority, efficiency, responsibility, transparency.

Investment activity is associated with significant risk, which is typical for a market economy. Investment risk is understood as the likelihood of unforeseen financial losses (reduced profit, income). Non-systematic (specific) risk is characteristic of a particular enterprise. The negative consequences of this risk can be prevented or significantly reduced through more rational management of educational activities. For this, the university has developed a system of payment for tuition under contracts.

Payment for students studying on a paid basis is made on a prepayment basis: full-time education - monthly, in the amount of 1/10 of the annual amount. In order to reduce the risk of reducing the number of students, the university introduced the position of the executive secretary of the selection committee, whose duties include monitoring the implementation of vocational guidance work at faculties/schools among school graduates, organizing the work of the selection committee, year-round admission of applicants and their parents on admission issues. to university.

The existing mechanism for the allocation of financial resources is part of the process approach to the management system. In this regard, funds are allocated to provide educational, methodological, research, educational, economic activities. In addition, the expenses include financial resources that form the salary fund, bonus fund, material assistance fund, fund for advanced training of teachers, fund for promoting cultural leisure and healthy lifestyles. Thus, the premium fund is intended to encourage students and teachers who take an active part in the scientific, cultural, and sports life of the university. The material aid fund is intended to provide financial support for orphans, students with disabilities, employees with single-parent families, etc. The Advanced Training Foundation promotes the professional development of teachers who travel to participate in scientific conferences, seminars, courses. The Foundation for the Promotion of Cultural Leisure and Healthy Lifestyles is aimed at supporting cultural and sports initiatives, the functioning of medical services, and recreation centres.

An important requirement for reporting is its transparency, understanding of the reporting data by stakeholders. The results of the financial and economic activities of the university are annually heard by the Minister of Education and Science of the Republic of Kazakhstan.

In order to ensure the conditions for the full implementation of the plans, the university carries out constant control and monitoring of financial resources management based on the information disclosure system:

- forming analytical reporting on the financial and economic activities of the university;
- report on the implementation of plans for financial and economic activities.

The reporting period for ready-made statements is the calendar year from January 1 to December 31. Financial statements are drawn up in the national currency of the Republic of Kazakhstan - tenge. The financial statements consist of a balance sheet, a profit and loss statement, a cash flow statement, a statement of changes in equity and an explanatory note.

The issues of assessing the effectiveness of the use of financial resources are discussed systematically at meetings of the approved councils. To date, the book fund is sufficient for the implementation of the educational process, replenishment occurs only through the renewal of educational and methodological literature.

The University complies with the standards of expenses determined by the legislation of the Republic of Kazakhstan for higher educational institutions. The distribution of financial resources and the formation of tangible assets is based on the feasibility of developing the university's activities and the need to comply with financial standards.

In accordance with the Charter, the management of the Company is carried out by the President-Rector of the University, who bears personal responsibility for the financial and economic activities and the safety of the property of the University, acts on the principles of one-man management and independently solves all issues of the University in accordance with its competence, determined by the legislation of the Republic of Kazakhstan and the Charter of the University.

Considering that the university, being a legal entity, has a single current account, therefore, structural divisions cannot independently manage funds, however, every year the divisions participate in the distribution of funds for the coming year.

The purchase of works, goods and services is carried out in accordance with the current legislation of the Republic of Kazakhstan; therefore, the public procurement plan is discussed with all structural divisions of the university. The formed plan is approved by the president-rector of the Society.

The Internal Audit Service exercises control over the financial and economic activities of the Company. According to paragraphs. 10 clause 71 of the Charter, determination of the quantitative

composition, term of office of the Internal Audit Service, appointment of its head and members, as well as early termination of their powers, determination of the procedure for work, the amount and conditions of remuneration and bonuses to employees of the Internal Audit Service, pp. Clause 10 of clause 71 of the Charter is attributed to the exclusive competence of the Board of Directors.

The activities of the internal audit service are regulated by clauses 119-125 of the Charter, the Regulations on Internal Audit, and the Job Responsibilities of Internal Audit Officers.

The Internal Audit Service prepares opinions on issues submitted for consideration by the Board of Directors.

The officials taking a significant part in the work of the Company are members of the Board of Directors, President-Rector and Vice-Presidents.

According to section 17 of the Charter, the current activities of the Company are managed by the President-Rector.

The President of the Company has organizational skills, also works in active interaction with the Sole Shareholder and constructively build a dialogue with them, the board of directors, employees and other interested parties. Accountable to the board of directors, responsible for the implementation of the development plan and decisions made by the board of directors and the general meeting of shareholders. According to paragraphs. 8, 9, clause 71 of the Charter, the number of vice presidents, their election, and their term of office are determined by the Board of Directors. Also, considers the issue of early termination of their powers, bringing them to disciplinary responsibility and makes a decision on them. He also determines the size of the official salary, terms of remuneration and bonuses to the executive body, vice presidents and the chief accountant.

Unlike vice presidents, election, determination of the term of office, early termination of office, bringing to disciplinary responsibility of the President-Rector of the Society, in accordance with cl. 1, 2, clause 65 of the Charter refers to the prerogative of the Sole Shareholder.

The activities of the executive body are evaluated by the Board of Directors. The main assessment criterion is the achievement of the set KPIs, which are approved by the Board of Directors of the Company.

The results of the assessment have an impact on the amount of remuneration and incentives.

Members of the Board of Directors include persons who are not employees of the university; members of academic committees at faculties/schools include stakeholders.

The management policy of educational activities and the effectiveness of its functioning are based on the creation of a highly efficient well-coordinated organizational structure of the university,

which ensures the unity of stable relationships between structural units that carry out educational, educational, methodological, scientific, educational, financial and economic activities necessary to achieve the goals set by the University Strategy.

The organizational structure is formed under the influence of the university's strategy, corresponds to the profile and allows for teaching, research and administrative functions. The structure is the configuration of the management system, within the framework of which the tasks established by the strategy are distributed among the organizational units, the powers and responsibilities of managers are determined, and a system of job relationships is established. In connection with the change in the form of management from a "republican state enterprise" to a "non-profit joint stock company" and the corresponding transformation, in June 2020, the process of developing a new university strategy began, and the organizational structure was optimized. In the new strategy of the university, much attention is paid to improving the efficiency of management processes and organization of the educational process, research work, administrative and financial and economic activities. When optimizing the organizational structure, the departments were transformed into offices and centres, within the framework of the pilot project, the Faculty of Pedagogy was transformed into the School of Education, the Faculty of Science and Technology was transformed into the School of Science and Technology, and the structure of other faculties was also revised.

Assessment

Responsibilities are clearly defined and officially formulated in binding statutes. The organizational and the management structure is in accordance with the objectives and tasks of Yessenov University and the structure does guarantee academic freedom in teaching and learning and research. Members of the university are sufficiently involved in decision-making processes, the main responsibility for teaching and learning and research lies with the professors and academics.

The university's activities are carried out through a strong hierarchical structure. The responsibilities of the bodies, members, etc. have been clearly defined. The organisational structure of the University consists of a number of structural units reflecting the main areas of activity of the University: These include administrative and management departments, pedagogical and scientific departments, pedagogical and auxiliary departments, scientific departments, and departments for maintaining and supporting the educational process.

Management functions, delineation of authority, rights, duties and responsibilities are fully defined and described in a transparent and accessible manner.

Individual curricula are drawn up on the basis of the teachers' experience, level of competence and research. Depending on their position, they have the choice to focus on academic or re-search work. They can also do a research internship.

The different areas within the university are closely connected through institutionalised meetings and exchange programmes. Everyone is very well informed and the individual statements are very congruent.

Yessenov University's financial activities are governed by internal documents, official guidelines and a long-term development plan.

Funds are convincingly allocated within the university.

Conclusion

The criterion is fulfilled.

3 Teaching and Learning

Objectives and content of study programmes are in accordance with the HEI's mission and strategy. Study programmes have an adequate academic standard, are well structured and have an adequate workload. They comply with national legal regulations. The processes of creating and implementing as well as revision of study programmes are clearly defined. The HEI offers professional support services for students. Support services have adequate staff [Examination Area 4, ESG Standard 1.2, ESG Standard 1.3, ESG Standard 1.4].

Implementation

The mission and vision of the university, as described in chapter 1 reflects in the offered study programmes and the strategy of teaching and learning within the university. To comply with the vision statement strategic goals for the area of teaching and learning are defined accordingly. The main goals are to contribute to the development of the region and gain regional importance but also to promote the internationalisation and language skills of the students. Therefore, multilingual and double degrees are implemented, and language courses are included in most study programmes. To meet regional expectations for the abilities of graduates, the local economy is evaluated continuously. After analysis of the employment market, higher demand for dual programmes was identified and therefore seven dual study programmes were launched.

On the other hand, the internationalisation strategy includes the introduction of double degrees. The goal of implementing these cannot always be met within the set time scope, due to the complexity of such study programmes.

The quality of the study programmes is evaluated on a regular basis. Student surveys are conducted, and the results are discussed in the relevant committees. Students are also involved in the process of developing existing study programmes and establishing new programmes.

Currently, the university offers seven dual study programmes, in which the students spent at least 40% of their time in the cooperating company. These are developed together with cooperating companies. The implementation of the programmes is stipulated between the university and the cooperation partner.

Assessment

The students are very satisfied with the implementation of the study programmes at Yessenov University, be it with regard to the content, the forms of teaching or the workload. The expert group also find no reason to assess this differently. Another positive aspect is the wide range of opportunities for stays abroad and the very good work of the Department for International Cooperation. This department is also responsible for cooperation opportunities for teachers abroad and actively supports them.

The supervision ratio and the relationship between students and teachers can also be rated extremely positively. The students describe an open communication culture and visualise an open door and convincing culture of short distances. In the event of problems, both teachers and students know the defined contact persons and receive great support there. In addition to this very well-functioning communication with deans and the like, the organised quality management was also positively explained: the regular evaluation of the study programmes always requires a careful implementation of necessary recommendations for action that advance the quality of the study programmes.

The mission and vision of the university, as described in chapter 1 reflects in the offered study programmes and the strategy of teaching and learning within the university. The experts approve the strategy of the study programme development with a regional focus taking into account internationalisation strategies. In the opinion of the peer-review experts, this strategy matches the position of the university in the local economy and is appropriate to go along with the further development of the region.

The quality of teaching is evaluated with student surveys. Based upon the results, the quality of teaching and learning is discussed on different levels and necessary measures are implemented. According to the university president, the nature of the quality assessment is focused rather on a qualitative than on a quantitative evaluation; therefore, the quality of teaching is not directly included in the indicators for strategic development.

The student perspective is taken into account through surveys, focussing also on their desires for new study programmes and the qualifications they wish to acquire. Additionally, students are part

of the commissions for the development of new and existing study programmes and of the decision-making boards (academic and faculty council). According to the deans, the evaluation of necessary qualifications by the students is detrimental for the quality development and a key aspect in the value of the offered programmes. In this process three main aspects are covered. After identifying the potential for a new study programme, a market analysis is executed, focussing on the content of similar study programmes and relevant qualification frameworks. Then student surveys are evaluated to identify qualifications demanded by students. Both are taken into account to formulate a brand-index. In the following a curriculum is discussed during at least two meetings with stakeholders, such as representatives of relevant businesses or industry and students, to establish a final version, which will be forwarded to the relevant commissions. After finalisation in the university committees, the programme is transferred to the Ministry of Education for approval. The whole process is designed, to firstly define necessary qualifications and then create a curriculum adequate to attain them. The development and optimisation of study programmes is guided by the brand-index and a happiness-index. Both tools have been established recently as measures within the quality development system of the university.

The experts affirm that the involvement of different stakeholders in the development of study programmes is consistent with the quality standard of the university and leads to the consistent optimisation of the study programme's quality.

The dual study programmes and double degree programmes are very popular and attract new students. To realise dual study programmes cooperation with an industrial or business partner are established, and the number of courses conducted at the university is defined, in addition, some courses are realised by the dual partner and external experts participate in the lectures at the university. These lectures, therefore, focus on the application of knowledge and competencies. The experts appreciate the strategy of the university to implement further dual programmes and acknowledge the established structure. They encourage the university to pursue their policy to modulate and fix contractually the qualifications acquired at the university and through the dual partner.

As the experts learnt during the discussions, a wide number of trainings are offered to the teaching staff. During the pandemic, they were trained in online teaching and blended learning, leading to an instant improvement in the quality of the online education, as the students confirmed in the discussion with the experts. Additionally, courses in the field of psychology, teaching skills, team skills and pedagogy are offered. According to the university management, the costs for external training can be covered by the university. During the pandemic, university teachers could obtain financial support for the acquisition of technical equipment for distance teaching.

The university financially supports the acquirement of language and specialisation certificates by the teaching staff.

The scientific supervisors for PhD students have to fulfil certain requirements defined by the Ministry of Education. They are in charge of two to three PhD students at the same time. The faculty council decides upon application about the affiliation with one internal supervisor. The PhD students equally have an international supervisor. The university helps the students to find an appropriate supervisor, as the PhD students themselves may have difficulties doing so.

The Young Scientific Council provides support to young researchers in developing their skills towards research and teaching methods. Patent registration and publications as well as scientific events can be financially supported by the Young Scientific Council. The doctoral students, who often receive a state-funded scholarship, can also work in part-time jobs at the university and participate in the teaching of undergraduate students.

As part of the doctoral studies professionalising competencies, such as scientific methods, lab work training, business plan development and academic writing are offered during the first year of the PhD. The experts appreciate the presented frame for doctoral studies.

The university offers student housing, which is according to the students available in a sufficient amount to meet the demand. The facilities are equipped with libraries and computer labs, providing internet connection. During the pandemic students in need were also provided with notebooks. For students in financially difficult situations, a partly scholarship for the study fees is available.

The learning environment is designed to ensure equal participation of Disabled students in the study programmes. This is mainly assured by the accessibility of the buildings and the availability of learning materials over the online platform. For example, several materials are transferred to audio format for blind students. In general, adjusted examinations conditions are established if necessary. Multiple modules are available for distance learning to enhance the accessibility. The experts value the universities effort to design an inclusive learning environment.

Possibilities for international exchange are organised over by the International Office and put out to tender to the concerned students. The modules offered by the partner HEI are evaluated toward their intersection with the required curriculum at Yessenov University and the candidates are checked for their eligibility. As only students with a state grant get a full scholarship for mobility phases, the financial situation of the students and their linguistic proficiency are the major obstacles for the realisation of academic mobility for students. The experts encourage the university to further pursue its goal to offer international mobility to as many students as possible.

Conclusion

The criterion is fulfilled.

4 Research

Research activities fit into the mission of the institution. The structure of the HEI and the general conditions support research activities. The teaching workload allows room for research. Recruitment policy should correspond to the research activities and research strategy of the institution [Examination Area 5, ESG Standard 1.8]

Implementation

According to Yessenov University, the main goal of scientific activities is to develop and improve the effectiveness of scientific research and innovative developments, contribute to the development of the region, and the integration of education, science, and production, and create conditions for the emergence of science-intensive technologies. According to the self-report, the university's research activities have been carried out in accordance with the strategic development plan for 2020-2025.

According to the self-report, research activities are coordinated and managed by the vice president for research and development. University research centres have been established to consider the main scientific and scientific-technical achievements of university scientists and to solve organizational measures related to scientific activities. In accordance with the principles of integrating science and higher education, and with the aim of implementing the university's development strategy, research centres have been established: a green technology research centre, a regional ecology and ecosystem monitoring centre, a desalination and water treatment research centre, a local history scientific research centre.

The University has a Research Council, which is a collegial advisory and consultative body responsible for the design, evaluation, and practical implementation of the University's research and innovation activities. The Research Council determines promising areas of the University's scientific and scientific-technical activities, develops appropriate proposals to improve the University's scientific activities, determines effective forms of integration of scientific and educational activities, their impact on scientific activities in the preparation of specialists, promotes the development of international cooperation in the field of scientific and technical and innovative development of the University. The teaching staff of the University publishes scientific articles in journals with impact factor and in publications included in the list of the Committee for Control of Education and Science of the Ministry of Education and Science of the Republic of Kazakhstan.

According to Yesenov University, it develops and updates its research strategy depending on the changes in scientific directions in the region and the State Program for the Development of Education and Science of the Republic of Kazakhstan. The teaching staff actively participates in this process and takes part in regional and international competitions and projects.

According to the self-report, the areas of research are determined by the priority tasks of Kazakhstan, the skills and qualifications of the scientific and teaching staff, and the tasks of the university, which are clearly reflected in the topics of research projects. For the scientific works of scientists to be evaluated, it is necessary to improve the quality and determine scientific directions. To improve the quality and quantity of scientific research work, the University has established research clusters.

According to the self-report, scientific research is carried out in close interaction with the educational process in the departments according to the individual work plans of the teachers and a seminal thematic plan of research work. A component of the system for planning the scientific development of the University is the annual research plan of the departments, which includes planning criteria creation and defence of master's theses, planned publications, and student research work.

The Research Council actively participates in the presentation of scientific research within the framework of doctoral and master's theses. The results of the University's scientific research are widely used in the preparation of lectures, the preparation of summaries, student projects, and theses, and are formalized through acts of introducing research results into the educational process.

According to Yesenov University, special attention is paid to the implementation of the results of scientific research in the production and educational process (patents, monographs published based on the results of research work of teachers, materials produced because of student practices and research work). At the University, research is conducted by the entire full-time faculty, doctoral students, graduate students, and undergraduate students in the priority development areas of the Republic. There are also certificates for patents (industrial designs and patents for copyrights) that are introduced into the educational process, thus establishing a link between science and education.

According to the University, the research activities of the teaching staff of the University are closely related to the ongoing research of teachers, the learning and teaching process. In the departments, a scientific and theoretical seminar is held monthly according to a fixed schedule, inviting prominent scientists, teachers, lecturers, and students at the university. The new paradigm in education demands from every teacher the unity of educational and research work and upgrading of his role in the system of training undergraduate students.

According to Yessenov University, in 2021-2022 a teaching-research position with a reduced workload to provide an opportunity to carry out research activities was established. University teachers who demonstrate the growth of scientometric indicators will change the nature of the teaching load: reducing the total standard number of hours, replacing the hours of lectures and

seminars with the managing course and diploma projects, conducting industrial practice, etc. The change in the position of the teacher's activity will be consolidated in the corresponding status of the teacher-researcher. In the long term, the university needs not individual researchers, but research teams rooted in the university and inscribed in its organizational culture.

Assessment

The structures and framework conditions support and promote research activity and corresponding activities in an appropriate manner. Through the Research Council, there is a fixed structure that focuses research, aligns it with the university's overarching strategy, and establishes research clusters.

In principle, teaching loads provide sufficient space for research. The establishment of a teaching/research position with a reduced workload will provide improved opportunities for conducting research activities. University faculty who can demonstrate very intensive research activities can reduce their teaching load. The change in teaching positions is consolidated by the corresponding status of teaching-researcher. In the long run, the university does not need individual researchers, but research teams rooted in the university and in its organizational culture.

Recruitment of scientists for research activities is done along with the research strategy of Yessenov University and meets the usual standards. Through the Research Council, scientists are involved in the formulation of Yessenov University's research strategy.

A major goal is a publication in relevant journals and appropriate conferences to increase the visibility of Yessenov University in the scientific community.

Conclusion

The criterion is fulfilled.

5 Resources

The HEI has adequate human and financial resources, infrastructure, and equipment to achieve its objectives. The academic staff recruitment process meets academic standards [Examination Area 3, Examination Area 6, Examination Area 7, ESG Standard 1.5, ESG Standard 1.6].

5.1 Human resources

Implementation

The construction of an effective system for the formation of the qualitative composition of the teaching staff in the context of the constantly accelerating process of updating knowledge is one of the priority tasks of the university. Based on the number of students and legal requirements, the university has an academic base consisting of full-time teachers and professors. The university staff for September 2020: 336 full-time teachers, 11 Doctors of Science, 19 PhD Doctors, 112 Candidates of Science, 131 Masters of Science, the percentage of graduation is 42.3%. Among the part-timers are 5 Doctors of Science, 2 Doctors of PHD, 9 Candidates of science, 8 Masters of Science. Basic administrative and management structural divisions are the President's Office, Vice President's Office for Academic Affairs, Vice President's Office for Research and Development, Student Affairs and Youth Communication Office, Finance Department, Human Resource Management, Information Technology Department, Office of Academic Standards and Quality Assurance, Registrar office, Center for the Development of Educational Resources, Career and vocational guidance Center, Institute of Continuing Education, Library, Department of Science and Research, International Office, Caspian Entrepreneurship Center, Marketing and Communication Department, Department of Social Support and Youth Development, Situational Control Center, Operations management in total 84 employees.

The faculty and staff of the university are awarded in connection with professional and national holidays.

The quantitative ratio of the teaching staff working part-time and full-time corresponds to the profile and institutional requirements, the number of full-time teaching staff is more than 90%. According to the qualification requirements for educational activities, the number of full-time teaching staff must be at least 60%.

The University provides the necessary balance between the educational, scientific, educational activities of teachers who implement EP. Teachers' working hours are transparent. The teaching load of the teaching staff is 500 hours for the 2020-2021 academic year. This workload allows to rationally distribute the workload and allocate time for scientific work: several hours a day are allocated weekly (depending on the daily workload of the working day) for work in the library and at the department.

For the formation of the workload and schedule of teachers, the administration strives to ensure a balance between teaching, educational, methodological, and scientific work, to provide an opportunity for the effective implementation of research and educational and methodological activities. Within the framework of the teaching staff program, the teaching staff constantly improves the intellectual level and quality of educational work.

Professional development of teaching staff is carried out by the Institute of Continuing Education (hereinafter - ICE) ICE is a structural subdivision of the Caspian University of Technologies and Engineering named after Sh. Yessenov. The mission of ICE is the development of innovative continuous education as a tool to meet the needs of an individual for self-development and maintaining professional activity throughout life. Since 2018, ICE conducts advanced training courses for AMP and teaching staff on educational programs and conducted courses under the state order of the "Enbek" program.

In 2019-2020, 19 teachers passed the international CELTA and TKT certifications.

The university has developed a rating assessment of the teaching staff activities. Indicators for assessing the teaching staff activities on key performance indicators are annually adjusted in accordance with the indicators of the strategic development program of the university.

The system contributes to the implementation of an effective personnel policy, the identification and development of individual abilities, professional skills and competencies, increased responsibility for the assigned work, the effectiveness of the teaching staff, employees, heads of structural divisions.

Yessenov University for improving language skills and obtaining an additional material promotion is given for CELTA, TKT certified teachers, as well as for teachers with IELTS 4.5 levels - in the amount of 25%, 5.0 - 50%, 5.5 - 75%, 6.0 and above - 100% of the official salary.

Improving the quality of teaching disciplines assigned to teachers, by the decision of the working group, is estimated in the form of a bonus in the amount of one official salary.

The rating is calculated for the academic year until May 30 of the current academic year.

The core subject disciplines are fully covered by full-time teachers and professors. In the case of opening a new discipline in the academic year, the teaching staff competition for the upcoming disciplines is opened, which allows attracting strong candidates to the university. Educational programs provide for the staff of the teaching staff. Before the upcoming academic year, HRM receives applications from faculties for opening a vacant position. Further, the staffing rate is formed, which allows seeing the number of teaching staff vacancies for the academic year.

Requirements for full-time professors and teachers are in accordance with legal regulations. The university has developed the qualification characteristics of the teaching staff.

The requirements of the Rules apply to the competitive filling of teaching staff and scientific workers vacant positions, provided for by the staffing table of the university. Vacant positions are formed based on the preliminary staff, calculated according to the total volume of the teaching load, excluding the contingent of the first year of study. Based on the calculation of the teaching load, it determines the number of vacancies in the faculty (school, academy). Persons who meet the qualification characteristics of the teaching staff are admitted to the competition:

- 1) teachers and university staff, including deans and vice-deans of faculties/schools, researchers;
- 2) third parties.

In case there is a vacant position of teaching staff, an announcement is placed on holding a competition for:

- 1) the website of the university;
- 2) Internet resources;
- 3) the electronic labor exchange of the Ministry of Labor and Social Protection of the Population of the Republic of Kazakhstan: www.enbek.kz. not less than thirty calendar days before the date of completion of documents acceptance.
- 4) members of the competition committee at least 5 (five) people from among the staff members according to the order of the President of the University.

The main tasks of the competition committee are:

- 1) providing equal opportunities for everyone to participate in the competition;
- 2) ensuring fair competition among the participants of the competition;
- 3) control over observance of objectivity, publicity of the competition;
- 4) ensuring that an objective decision is made.

People wishing to participate in the competition submit documents according to the list below.

University teachers who worked in the previous academic year, wishing to participate in the competition, submit the following documents:

- 1) CV;
- 2) documents confirming academic degree, academic title (if available);
- 3) retraining and advanced training certificates (if any, for the last three years);
- 4) list of scientific papers, publications, inventions, and scientific articles (if any, for the last three years).

The originals of scientific, educational, and methodological literature, publications, articles must be with you during the interview with the competition committee (e-version is allowed).

- 5) documents confirming international certification (if any);
- 6) a certificate on the presence or absence of information on records issued by the Committee on Legal Statistics and Special Records of the General Prosecutor's Office of the Republic of Kazakhstan on the commission of a criminal offense by a person;
- 7) certificate from a narcological organization about not being registered;
- 8) a certificate from a psychoneurological organization about not being registered;
- 9) individual long-term work plan (for the academic year);
- 10) individual professional development plan (for one year);
- 11) training materials (presentation, handouts, tools) for one of the taught disciplines (for a demo lesson in front of the competition committee);
- 12) presentation of the draft plan for the strategic development of the faculty (school, academy) - for the dean.

The competition consists of the following stages:

- 1) consideration of tender documentation.
- 2) review of the results of the KPI assessment (for university teaching staff).
- 3) conducting a demonstration class by the applicant in order to assess teaching skills based on the presentation of the discipline in the educational program according to the Methodological analysis of the lesson approved by the Academic Council.
- 4) conducting interviews with candidates according to the Competence Checklist approved by the Academic Council in order to assess additional professional and personal qualities of candidates for compliance with the university's qualification requirements and knowledge of regulatory legal acts in the field of higher and postgraduate education.
- 5) taking a decision.

The decision is taken by secret ballot. For voting, candidates are included in the voting ballot. Consent or disagreement with the candidate is expressed by choosing the answer "Agree" or "Disagree" for or against the name of each candidate.

The votes are counted by the secretary of the competition committee, who announces the results of voting for each candidate. All ballots are attached to the contest materials.

The decision of the competition committee is valid if at least 2/3 of the members participated in the voting.

A candidate receives a positive opinion if most of the committee members voted for him/her. In the case of equality of votes, the vote of the chairman of the commission is decisive.

Questions to the candidates asked by the members of the competition committee during its meeting and their answers are recorded in the form of comments by each member of the commission on paper, for further attachment to the minutes of the meeting.

6) summing up the results of the competition.

The recommendations of the competition commission are sent to the President-Rector for making a final decision.

The secretary of the commission informs the applicants who participated in the competition within 10 calendar days about the decision of the President-Rector.

The employment contract is concluded after the decision of the President-rector within 14 calendar days (*see Appendices 42 - Rules of Competitive replacement of teaching staff and administrative and management staff, see Appendices 43-Personnel Policy*).

The University is making the transition to grading assessment of the activities of the teaching staff, which will motivate, develop, and improve the professional development of each teaching staff member.

The University provides sufficient material and technical equipment in all departments. The university has a well-developed innovation ecosystem (3 educational and laboratory buildings, a library, a sports complex with a swimming pool and 2 sports halls, 3 student dormitories for 1250 places (we plan to build another dormitory for 500 places), first of all, foreign students are provided with a dormitory. And there are also catering facilities, a medical center, sports grounds for volleyball, football, tennis, basketball, spacious equipped classrooms and laboratories, an open-air training ground, branches of departments). The total training area is 54,323. 43 square meters. The total number of classrooms is 181 units, including lecture halls-7, laboratories-55, seminars-17, scientific-6, Zoom classrooms-2, an open-air training ground-1, as well as language and scientific centers-6.

The Faculty of Engineering has 3 research centers and 1 scientific and analytical expert laboratory:

1. Regional Center for Ecology and Monitoring of the Caspian Sea Ecosystems.
2. Research Center for Desalination and Water Purification.
3. Green Technology Research Centre.

In the 2021-2022 academic year, it was planned to open a teaching-research position with a reduced workload to provide an opportunity to carry out research activities. University teachers who demonstrate the growth of scientometric indicators will change the nature of the teaching load: reducing the total standard number of hours, replacing the hours of lectures and seminars with the managing course and diploma projects, conducting industrial practice, etc.). The change in the position of the teacher's activity will be consolidated in the corresponding status of the teacher-researcher. In the long term, the university needs not individual researchers, but research teams rooted in the university and inscribed in its organizational culture.

The internal quality assurance policy reflects the general approaches, key principles, and basic mechanisms established in the NJSC " Caspian University of Technologies and Engineering named after Sh.Yessenov" (hereinafter referred to as the Company) for quality assurance and the development of a culture of continuous quality improvement.

Internal Quality Assurance Policy of the Caspian University of Technologies and Engineering named after Sh.Yessenov reflects the connection between scientific research, teaching, and training and takes into account both the national and intra-university context.

Assessment

The University has developed a human resources management policy, including mechanisms and procedures for the selection of academic staff and researchers, and has integrated a system of key indicators for faculty members, deans of faculties, researchers and heads of departments into the University's activities. Responsibilities are clearly defined and officially formulated in binding statutes.

All established procedures and mechanisms for the selection and recruitment of staff at the University are set out in the University's regulations, which are published on the University's website. They are transparent and accessible to anyone who wishes to participate in the selection process.

The teaching staff have relevant degrees and publications: The University has 336 full-time teaching staff, 11 doctors of science, 19 doctoral candidates, 112 candidates of science, 131 masters of science, the percentage of graduation is 42.3%, the qualitative and quantitative composition of the teaching staff and researchers by faculty meets the requirements of the Ministry of Education of Kazakhstan and the University for the implementation of its development strategy.

The quality assurance policy of the Yessenov University reflects the link between scientific research, teaching and training and takes into account both the national and intra-university context.

The rules for hiring academic staff are clearly defined and based on scientific standards.

However, it is noticeable that the deans want to take on a lot of operational tasks. The review panel therefore recommends counteracting this so that the deans can concentrate more on their academic affairs. Another operational position should be established for the operational implementation of the study programmes and to relieve the deans.

Conclusion

The criterion is fulfilled.

5.2 Financial Resources

Implementation

The activities of the university are financed in accordance with the development plan at the expense of its own income and budgetary funds received in the manner determined by the budgetary legislation of the Republic of Kazakhstan.

The main principle of the organization of financial management at Yessenov University is to focus on the strategic goals of the development of the university. The university carries out the current planning and distribution of financial resources, based on the mission of the university in accordance with the principles, goals, objectives. The purpose of the activity is to create the necessary conditions for obtaining a multi-level professional education aimed at the formation, development and professional development of an individual based on national and universal values, achievements of science and practice, and ensuring a high-quality level of educational services in accordance with state educational standards, creating the most favorable conditions for work of students, professional development of the teaching staff.

The expenses of the university are planned taking into account the strategic goals related to educational, scientific, educational, financial and economic activities.

Budget planning is carried out in accordance with the legislation of the Republic of Kazakhstan, taking into account the financial condition of the university and the strategic priorities of its development.

The financial resources of the university are distributed according to the following items: salaries, travel expenses, taxes and other budget receipts, the purchase of materials, fixed assets, textbooks, utilities, maintenance and capital repairs and other expenses.

Yessenov University carries out its financial and economic activities on the basis of the Development Plan, which is formed for five years with the allocation of the current planned year. The forms of the Development Plan were approved by Order of the Minister of National Economy of the Republic of Kazakhstan dated February 14, 2019 No. 14.

The system of accounting and financial reporting is maintained in accordance with the Law of the Republic of Kazakhstan "On accounting and financial reporting" dated February 28, 2007 No. 234 and the accounting policy of the university.

The financial management of Yessenov University includes such elements as:

- planning - in the process of which the financial service prepares financial information and helps to form financial plans for decisions regarding the activities of Yessenov University;
- control - in the process of which the financial service prepares reports on the implementation of the plan, in which the actual results are compared with the planned results. Through the report, managers have the opportunity to examine activities that are at odds with the plan;
- communication - finance helps the communication process by establishing and maintaining an effective reporting system.

To formalize the facts of economic activity, standard forms of primary documents are used, provided for by legislative acts and regulatory documents.

The mechanism for organizing external financial control at the university is regulated by the legislation of the Republic of Kazakhstan. The auditing bodies are the Ministry of Education and Science of the Republic of Kazakhstan, the Department of Internal Audit for the Mangistau Region of the Financial Control Committee of the Ministry of Finance of the Republic of Kazakhstan.

Every year, the university provides the Ministry of Education and Science of the Republic of Kazakhstan with reports on the movement of finances: reports on the implementation of the Development Plan, balance sheet, depository of financial statements.

The financial stability and viability of the university are determined by the sources of its own funds, which are all receipts for the provision of educational services.

Tuition fees are set in accordance with current legislation on the basis of Article 62 of the Education Law. Tariffs for the provision of educational services are developed annually in accordance with the resolution of the Government of the Republic of Kazakhstan "On approval of the state educational order for the training of specialists with higher and postgraduate education."

Own funds are invested in strengthening the material and technical base of the university, replenishing book funds, computer technology, laboratory and classroom equipment.

One of the key tasks of analyzing the financial condition of a university is the study of indicators that reflect its financial stability. It is characterized by a stable excess of income over expenses, free maneuvering of funds and their effective use in the process of current and financial activities.

Significant financial receipts from extrabudgetary activities make it possible to direct funds for additional payments to the official salaries of employees, to apply various forms of material incentives.

The revenue side of the university's budget is formed mainly from the receipt of funds from training students on a paid basis and the provision of various types of services.

The university has financial stability, a strict system of control over the distribution and sale of resources. The financing policy is based on strict compliance with the legislative acts of the Republic of Kazakhstan. The financing system is implemented at the university on the principles of efficiency, priority, efficiency, responsibility, transparency.

Investment activity is associated with significant risk, which is typical for a market economy. Investment risk is understood as the likelihood of unforeseen financial losses (reduced profit, income). Non-systematic (specific) risk is characteristic of a particular enterprise. The negative consequences of this risk can be prevented or significantly reduced through more rational management of educational activities. For this, the university has developed a system of payment for tuition under contracts.

Payment for students studying on a paid basis is made on a prepayment basis: full-time education - monthly, in the amount of 1/10 of the annual amount. In order to reduce the risk of reducing the number of students, the university introduced the position of the executive secretary of the selection committee, whose duties include monitoring the implementation of vocational guidance work at faculties/schools among school graduates, organizing the work of the selection committee, year-round admission of applicants and their parents on admission issues. to university.

The existing mechanism for the allocation of financial resources is part of the process approach to the management system. In this regard, funds are allocated to provide educational, methodological, research, educational, economic activities. In addition, the expenses include financial resources that form the salary fund, bonus fund, material assistance fund, fund for advanced training of teachers, fund for promoting cultural leisure and healthy lifestyles. Thus, the premium fund is intended to encourage students and teachers who take an active part in the scientific, cultural, and sports life of the university. The material aid fund is intended to provide financial support for orphans, students with disabilities, employees with single-parent families, etc. The Advanced Training Foundation promotes the professional development of teachers who travel to participate in scientific conferences, seminars, courses. The Foundation for the Promotion of Cultural Leisure and Healthy Lifestyles is aimed at supporting cultural and sports initiatives, the functioning of medical services, and recreation centers.

An important requirement for reporting is its transparency, understanding of the reporting data by stakeholders. The results of the financial and economic activities of the university are annually heard by the Minister of Education and Science of the Republic of Kazakhstan.

In order to ensure the conditions for the full implementation of the plans, the university carries out constant control and monitoring of financial resources management based on the information disclosure system:

- forming analytical reporting on the financial and economic activities of the university;
- report on the implementation of plans for financial and economic activities.

The reporting period for ready-made statements is the calendar year from January 1 to December 31. Financial statements are drawn up in the national currency of the Republic of Kazakhstan - tenge.

The financial statements consist of a balance sheet, a profit and loss statement, a cash flow statement, a statement of changes in equity and an explanatory note.

The issues of assessing the effectiveness of the use of financial resources are discussed systematically at meetings of the approved councils. To date, the book fund is sufficient for the implementation of the educational process, replenishment occurs only through the renewal of educational and methodological literature.

The University complies with the standards of expenses determined by the legislation of the Republic of Kazakhstan for higher educational institutions. The distribution of financial resources and the formation of tangible assets is based on the feasibility of developing the university's activities and the need to comply with financial standards.

In accordance with the Charter, the management of the Company is carried out by the President-Rector of the University, who bears personal responsibility for the financial and economic activities and the safety of the property of the University, acts on the principles of one-man management, and independently solves all issues of the University in accordance with its competence, determined by the legislation of the Republic of Kazakhstan and the Charter of the University.

Considering that the university, being a legal entity, has a single current account, therefore, structural divisions cannot independently manage funds, however, every year the divisions participate in the distribution of funds for the coming year.

The purchase of works, goods and services is carried out in accordance with the current legislation of the Republic of Kazakhstan, therefore, the public procurement plan is discussed with all structural divisions of the university. The formed plan is approved by the president-rector of the Society.

The Internal Audit Service exercises control over the financial and economic activities of the Company.

Assessment

From the self-report and the online survey conducted by the university, 65 per cent of the budget is spent on staff salaries and university employees, 10-12 per cent on utilities, 23-25 per cent of the budget is spent on infrastructure development and acquiring the required library fund.

The university aims to attract investment from third parties and establish an endowment fund, which will also be used for infrastructure development and recruitment of international experts and lecturers, etc.

The university's financial model is stable, sustainable and transparent. The university management continuously prepares a forward-looking financial plan for the development of the university, which provides for the minimisation of risks and effective management of the university finances. The University's strategic and financial development plans demonstrate competent planning for student numbers. The strategic plans and the corresponding financial plans also for all upcoming investments reflect the needs of the market and the University's position in the higher education sector.

Conclusion

The criterion is fulfilled.

5.3 Facilities and Equipment

Implementation

The total area of the sports complex with gyms and games halls, sports halls, outdoor sports grounds is 15 048.57 m², which is 4.5 m² per student. These and other conditions allow the university to become a leader in the Caspian region in the training of specialists in demand.

The University provides teachers and students with access to all educational and material resources necessary for teaching and research.

Every year, the issue of book availability of disciplines is considered according to the plan of meetings of the Academic Council of the University, at which specific decisions are made on the replenishment and acquisition of the library fund. When replenishing the fund, all licensing requirements and legal acts in the field of education are taken into account.

Today, the library fund meets all the requirements and provides educational opportunities at the university.

The library's book stock is 395,906 copies. The fund of educational literature – 361499 copies, scientific literature-26840 copies. and fiction - 7553 copies.

In the library fund, there are electronic educational publications developed by teachers of Yessenov University, the number of which is 551 units. In 2020, 110 electronic documents were received. The university has reading rooms, a library subscription, a hall of scientific literature and periodicals with free access for students, undergraduates and teachers to the educational and scientific fund.

The introduction of modern forms of service allows students, as well as the teaching staff of the university to independently choose the right book, work in the reading room and have free access to leading electronic libraries: the Republican inter university electronic Library, Web of Science, Scopus, Springer, Epigraph, the Open University of Kazakhstan, the Kazakh National Electronic Library, the full-text electronic library of Kazakh National University named after Al-Farabi and Kazakh National Pedagogical University named after Abay (<https://Yessenov University.edu.kz/ru/biblioteka/>).

The fund of additional literature includes its own publications, abstracts and dissertations, official documents, state standards and building regulations, periodicals, dictionaries and reference books, fiction according to the program, encyclopedias presented in each reading room of the faculties.

The structure of the library has 5 reading rooms, a subscription for issuing educational literature for long-term use, a hall of scientific literature and periodicals, a recruitment department and a teamwork hall. All reading rooms are equipped with library equipment, new furniture, scanners and computers, connected to the Internet. Number of seats in the reading rooms:

Reading room No. 1 – 100 of them 20 seats are equipped with computers;

Reading room No. 2 – 84 seats;

Reading room No. 3 – 20 of them 10 seats are equipped with computers;

Reading room No. 4 – 20 of them 10 seats are equipped with computers;

Reading room No. 5-16 of them 10 seats are equipped with computers;

Hall of scientific literature and periodicals – 20;

Teamwork Hall – 10.

There are 270 seats in total, 50 of them are equipped with computers

The university library has a sufficient number of modern literature and textbooks on EP.

Assessment

The Yessenov University has provided a complete and reliable description of all resources in the report. The university's infrastructure is well developed and meets modern requirements for teaching and conducting excellent research. The university staff and students are equipped with all the devices, computers and equipment that enable the university to achieve its strategic goals.

Students have access to all facilities such as classrooms for lectures, study rooms for training and project work.

The library collection is very extensive. All degree programmes and disciplines are provided with the literature fund. There is access to international sources and databases, which are translated into English.

The material and information resources fully meet national requirements. The evaluators conclude that the university strives for continuous improvement of resources and competent management of these resources. In the interviews, students and lecturers emphasised that the availability of resources is always guaranteed and will be further developed.

Conclusion

The criterion is fulfilled.

6 Quality Assurance

The institution has adequate quality assurance procedures and mechanisms to ensure that the results of quality assurance procedures are for continuous improvement [Examination Area 2, ESG Standard 1.1, ESG Standard 1.7, ESG Standard 1.9, ESG Standard 1.10].

Implementation

Yessenov University has presented a comprehensive self-report, in which high-quality standards are expressed in all areas of the university. Yessenov University pursues the vision of being a "leading center of education, science and culture of the Caspian region, which has a high reputation and recognition". Yessenov University decision-makers are aware that the path to fulfilling this vision requires a consistent quality policy. To this end, Yessenov University has defined and anchored detailed quality regulations. These regulations are based on the one hand on country-specific legislative requirements and on the other hand on the ESG standards. In accordance with ESG 1.1, the internal quality assurance policy and standards of Yessenov University are made public. They are available on the university website (<https://Yessenov University.edu.kz/>).

It is the stated goal that the internal quality assurance policy should reflect the general approaches, key principles and basic mechanisms established at Yessenov University for quality assurance and the development of a culture of continuous quality improvement. The general provisions of the quality policy include:

“ - The policy is a part of strategic management and is considered together with other documents: mission statement, strategic development plan, academic policy, and internal quality assurance standards of the university.

- The internal quality assurance policy and standards are the basis of a logically structured and consistent internal quality assurance system of the Company. The system is a cycle of continuous improvement and supports the development of a quality culture at all levels of operation Companies.

- The policy is implemented through internal quality assurance processes and standards, that involve the participation of all divisions of the Company.”

A strategic aspect of Yessenov University's quality system is high-level academic education. The justification of the vision states: "One of the systemic problems of the region in the development of human capital is the outflow of young people to other regions, primarily to megacities due to the low quality of higher education. The university will strive to become a center of high-quality education with a guarantee of employment of graduates and the opportunity to create new jobs, lifelong learning using modern digital platforms, educational technologies, models of blended learning."

The responsibility for the permanent development of the quality system lies with the rectorate: "The university management assumes the role of a leader in the continuous improvement of the internal quality assurance system and ensuring its compliance with modern international standards, creates and ensures the functioning of collegial bodies and divisions: the Academic Council, Social Council, Work Council, the Quality Commission, the faculty/school/Academy Council". This strict allocation of competencies to university management was critically questioned by the reviewers, as the participation and assumption of responsibility by all university members is required for "lived" institution-wide quality improvement.

Assessment

During the online inspection, the expert group were able to convince themselves that quality policy and the structural anchoring of quality regulations are regarded by the decision-makers at Yessenov University as an essential basis for the future development of the university. It should be emphasized that the decision-makers see a connection to the understanding of quality in all 7 Yessenov University strategic directions. Thus, for Yessenov University, the quality policy is a means

for further development in the fields of action academic development, development of science and innovation, international cooperation and internationalization of academic activities, educational activities, social development and marketing, development of infrastructure, corporate culture and people, and effective management.

The overall responsibility for the quality system and the responsibility for strategic decisions for quality improvement at Yessenov University lies with the university management. During the online visit, however, it became convincingly apparent in the discussions with the various stakeholders how ultimately all decision-makers and likewise other university members, including students, jointly represent the high commitment to quality. The assumption of responsibility by the management is obviously not meant as a demarcation of quality activities, but rather serves to ensure the implementation of necessary quality processes at Yessenov University.

Part of quality management is the design and implementation of appropriate quality processes. For this purpose, an office for academic standards and quality assurance has been established at Yessenov University. The office is assigned to the Vice President for Academic Affairs; the overarching function of this organizational unit is described in Yessenov University 's strategic development plan under the strategic field of action "academic development": "to improve the quality of educational services, the university is working to create a logically structured and consistent internal policy in the field of quality assurance. To achieve this goal, the Department of Academic Standards and Quality Assurance was created. The internal quality assurance policy of the university should reflect the relationship between scientific research, teaching, and training and take into account both the national context in which the university operates and the intra-university one." The central organizational unit is complemented by quality commissions at the faculties of Yessenov University. This and similar organizational structures are regularly found in the European as well as international higher education area and have proven their worth in the context of accredited institutions.

Detailed documentation showing the distribution of responsibilities between the Office, the Commissions and other organizational units is described in the document "Regulation on the Policy and Standards of Internal Quality Assurance". The detailed list explains the respective quality assurance responsibilities for a total of 30 functionaries or functional units. In addition to the rector, the central committees, and the students, almost all organizational units are assigned a quality task. Here, the profound anchoring of the Yessenov University's understanding of quality becomes visible once again.

In addition to the many strengths of Yessenov University's quality system, the evaluators see room for improvement in the way documentation is presented and prepared. For a simple recording and comprehensibility of all structural connections as well as the quality assurance processes, the

documentation should be enriched with organizational and process flow diagrams of the quality system. Although the Yessenov University representatives were able to explain questioned processes for study program development and other topics during the online visit with reference to the explicit extensive descriptions in the 51 appendices of the self-report, a visual and schematized illustration in the form of standardized process flow diagrams is still useful and is strongly recommended for the further maintenance of the quality system. In the current presentation, the documentation of the quality system is spread over numerous appendices and the main body of the self-report. This results in numerous avoidable redundancies. Accordingly, a compact and systematic summary in the form of a quality manual is recommended.

The central basis for quality assurance and improvement of study programs at Yessenov University is an annual data collection in which students and university staff are surveyed: "Once a year, there are: a survey of students on the Canvas platform, a survey of employers, a survey of teaching staff, a survey of graduates. Annually, the competencies of the teaching staff are evaluated for grading and motivation."

Results from surveys and other data collection are presented to the Academic Council. The committee draws conclusions on possible quality deficits and derives appropriate measures for improvement. The decisions of the Academic Council should contribute to the goals of the quality regulations.

In order to close control loops and implement findings for quality improvement in all areas of the university with the participation of as many university members as possible, Yessenov University follows the Japanese "KAIZEN concept" for optimizing processes.

The interplay of different evaluations, the broad distribution of responsibility among almost all organizational units, and the option for all university members to participate in improvements to university quality within the framework of the KAIZEN idea were evaluated by the reviewers as purposeful and successful. The broad anchoring of these ideas became very clear in the online discussions. In the view of the evaluators, it is therefore ensured overall that Yessenov University has adequate mechanisms to assure that the results of quality assurance procedures are used for a continuous enhancement.

Conclusion

The criterion is fulfilled.

7 Internationalisation

This criterion only applies in those cases where internationalisation is part of the institutional strategy [Vision and Objectives on Internationalisation].

Implementation

In Kazakhstan, international cooperation in the education field is carried out based on the legislation of the Republic of Kazakhstan and international treaties of the Republic of Kazakhstan. Educational organizations, by the specifics of their work, have the right to establish direct links with international educational, scientific, cultural, and international organizations, and foundations, make bilateral and multilateral cooperation agreements, participate in international exchange programs for students, undergraduates, doctoral students, teachers, and researchers, join international non-governmental organizations (associations) in the field of education” (The Law of the Republic of Kazakhstan “On Education” Chapter 10, Article 65 https://online.zakon.kz/Document/?doc_id=30118747).

The internationalization of Yessenov University is part of the institutional strategy (Strategic direction 3. International cooperation and internationalization of academic activities of the university (<https://Yessenov University.edu.kz/ru/university/>)).

The mission is to promote the internationalization of the university through the development of international relations and partnerships, positioning it in the global educational space. For internationalization tasks, the university sets a goal - to increase the efficiency of educational and research activities; to expand the mobility of teaching staff and students by international standards of educational services quality.

The internationalization of Yessenov University is carried out in the following areas:

- External internationalization of the university, including:
 - development of external academic mobility.
 - participation in international educational programs and research projects.
 - organization of guest lectures, webinars, online conferences.
 - participation in international conferences and events.
 - participation in international ratings.
- Internal internationalization of the university:
 - attracting international students and international teachers.
 - invitation of international personnel to the position of top manager of the university.
 - development of the trilingual education program at the university.
 - internationalization of scientific research.
- Development of international cooperation, which is determined by:

- development of partnership with international scientific centers, institutes, organizations.

-joining the world's international associations, networks, consortia.

International activities at the university are accompanied by an International Office, the structural unit that implements the policy of internationalization and manages international affairs. It is responsible for the administration and development of international cooperation of the university, including student and staff exchange programs, double degree programs, scientific cooperation with academic partners, etc. ([https://Yessenov University.edu.kz/ru/international-cooperation /](https://Yessenov University.edu.kz/ru/international-cooperation/))

To date, the university has signed 100 memoranda and agreements on cooperation in the field of education and science with international partner universities, is a member of International Associations (Association of State Universities of the Caspian Countries, Association of Silk Road Countries/Universities, and Consulting Companies, The Euroasian Universities Association (EUA), member of the Great Charter of Universities) (<https://Yessenov University.edu.kz/en/zarubezhnye-vuzy-partnery-po-godam>).

In addition, the university is conducting relevant work on joining the International Association of Maritime Universities (IAMU).

Academic mobility.

Academic mobility of teachers and students at Yessenov University is carried out based on the Order of the Minister of Education and Science of the Republic of Kazakhstan dated May 14, 2020 No. 203 "On approval of the Rules of direction for studying abroad, including within the framework of academic mobility" (https://online.zakon.kz/Document/?doc_id=35046858).

An independent expert commission (hereinafter referred to as the Commission) is established to select applicants (students) for academic mobility, approved by the Ministry of Education and Science of the Republic of Kazakhstan, which includes experts under the areas of specialties, with a total work experience in the specialty of at least 3 (three) years.

The Commission conducts a personal interview with applicants to determine: the level of awareness and reasonableness of the choice of specialty, university, and country of study; the level of preparation for studying abroad.

The main criteria for the selection of applicants are:

- 1) the level of knowledge of a foreign language according to the point system;
- 2) the average score of the education document according to the point system;

3) evaluation by an independent Expert Commission. For bachelor's degree applicants, the average score of the certificate of secondary education corresponds to a score of at least 4.0 (out of 5.0);

When selecting for training within the framework of academic mobility, the advantage is given to applicants: (in the following sequence):

- 1) applicants with a high GPA score (Grade Point Average - Grade Point Average - average diploma score);
- 2) applicants with a high score in a foreign language;
- 3) orphans or students left without parental care;
- 4) disabled since childhood or disabled;
- 5) applicants from large families.

The University provides informational and organizational support to selected applicants; facilitates the receipt of an official invitation from a foreign university; issues an order to send them to study abroad; sends them, monitors their academic performance and stay abroad; analyzes the received academic credits and their accounting in the student's curriculum, and is also responsible for the compliance of educational programs.

Funding within the framework of academic mobility can be carried out at the expense of:

- 1) funds of the republican budget within the framework of the state educational order;
- 2) income received by higher educational institutions from the sale of paid services;
- 3) grants from employers, social, academic, and scientific partners, international and domestic foundations, and scholarships;
- 4) personal funds of applicants.

Academic mobility programs are implemented by the conditions of relevant memoranda and agreements between Yessenov University and partner universities. Most of these agreements are based on the principle of parity.

In the 2020-2021 academic year, the University implemented the following activities within the framework of external academic mobility:

- 30 students - 27 of them - outgoing mobility (Azerbaijan Technological University and Belgorod State National Research University) and three students - incoming mobility (Azerbaijan Technological University).

- 11 doctoral students departed for academic mobility (2 - Pomeranian Academy in Slupsk, 5 - National Academy of Sciences of Azerbaijan, 1 - Russian Academy of Sciences, 2 - MSU and 1 - Sultan Qaboos University);

- 16 undergraduates departed to Astrakhan State Technical University).

In the period from January 6 to January 25, 2020, 34 MBA/EMBA undergraduates completed a scientific internship at Istanbul Aydin University (Istanbul, Turkey).

Of course, the university could attract most of the students within the framework of academic mobility (external and internal), but the COVID-19 pandemic and lockdowns in all countries, including Kazakhstan, suspended this program in 2020.

In the 2021-2022 academic year:

- 26 students of EP 6B011101-Tourism are being trained in academic mobility at the Belgorod State National Research University;

- 2 students of Computer engineering are studying at a Modern Technical University (Ryazan, Russia);

- 2 students of the "Finance and Accounting" and "Audit" will study at the University of Bielsko-Biala (Poland).

Within the framework of incoming external mobility: 9 students of the Modern Technical University (Ryazan, Russia) are being trained within the framework of incoming mobility - at Yessenov University in the EP "Computer Engineering and Software."

In the conditions of the new reality and with the transition of most educational organizations to distance learning, the academic exchange has become available to a larger circle of people (virtual mobility).

In the first half of 2021, 37 out of the planned 50 participants of outgoing academic mobility, and 9 out of 10 incoming mobility were achieved, which gives reason to assume the achievement of goals.

As for the academic mobility of teaching staff (outgoing), 42 people have improved their qualifications in international partner universities over the past three years, 21 of them (outgoing) and 21 (incoming) - to Astrakhan State Technical University (Russia).

Information about academic mobility programs is published on the International Cooperation page on the University's website www.Yessenov University.edu.kz, in announcements on the website, and is also brought to the students' attention through the departments.

After the competition results announcement, the International Office organizes work on sending students' documents to partner universities.

Applicants for participation in the academic mobility program at the expense of personal funds independently cover all costs, including tuition, accommodation, transportation costs, visa, medical insurance, etc., unless provided by the agreement between the partner universities.

Participation financing in international programs such as Erasmus+, DAAD, UGARD, Fulbright, etc., is carried out according to the financing rules of each academic mobility program.

International students.

Within the framework of the internationalization program, 877 international students from near and far abroad study at Yessenov University: Uzbekistan - 495, Turkmenistan - 352, Azerbaijan - 17, China - 4, Georgia - 3, Russia - 2, Afghanistan - 1, Iran - 1, Turkey - 1, Pakistan - 1, for whom the necessary conditions for educational, scientific, sports and leisure activities have been created. In the current academic year, ten students from Nigeria came to study in the educational program "Foreign language: 2 foreign languages."

The support of international students is carried out based on the Regulations on the Adaptation of International students, approved by the Decision of the Public Council, and the main directions of which are defined:

- organization, coordination of the activities of all structural units for planning work on the adaptation of international students, creating conditions for familiarizing students with the specifics of the educational process at the university;
- socio-pedagogical and psychological support of the process of international students adaptation (provision of social guarantees to international students, development of a system of moral and material incentives, prevention of maladaptation conditions, assistance in the professional adaptation of international students);
- cultural and leisure activities (creating conditions for students to participate in the cultural life of the university);
- organization of visa support and preparation of invitation letters, timely registration of international citizens on migration registration and extension of migration registration;
- close cooperation with representative offices and consulates of foreign countries in the Republic of Kazakhstan to ensure favorable conditions of stay for international citizens at the university;
- free medical care for all international students within the framework of the agreement between the university and the Akerke Medical Clinic;

- additional classes for international students experiencing problems related to the language barrier.

Such diverse and interesting extracurricular work helps international students to faster adapt to new conditions, achieve certain success in learning Russian and Kazakh languages.

The adaptation process and support of international students are carried out by the International Department and the Department of Social Work.

Yessenov University also fruitfully cooperates with Embassies, consulates of countries in Kazakhstan to create awareness and attract students, teachers, and researchers in various fields.

So, On February 1, 2021, representatives of the Islamic Republic of Iran, led by H.Malakooti Far, the Consul General of the Islamic Republic of Iran in Aktau, visited Yessenov University (https://Yessenov_University.edu.kz/ru/iran-islam-respublikasynyn-%d3%a9kilderi-Yessenov_University-ge-keldi/).

On May 28, the Head of the Political Department of the Embassy of the United States of America, Mr. Steven Gee, paid an official visit to Yessenov University (https://Yessenov_University.edu.kz/ru/stiven-dzhi-myrzamen-kezdesu/).

On May 31, there was a meeting with the Consul General of the Federal Republic of Germany, Mrs. Christiana Markert (https://Yessenov_University.edu.kz/ru/kristiana-markertpen-kezdesu/).

Thus, the cooperation organization with diplomatic missions is one of the most crucial tasks in achieving the strategic goals of the university's development.

Double-diploma education.

Three partner universities signed agreements on double-diploma education:

1) With the Azerbaijan State Maritime Academy in maritime specialties. The program was adapted through negotiations and a corresponding agreement. The general education program of the Marine Academy of the Yessenov University coincides by 90% with the educational programs of the Makarov State University of Marine and River Fleeting 3 key areas: navigation, ship mechanics, and ship-electromechanics, in which most Russian universities work.

2) With Tongmyong University (South Korea), majoring in Mechanical Engineering and IT universities at the stage of adaptation of the EP;

3) With Karakalpak State University named after Berdakh, majoring in Oil and Gas Engineering.

According to the program of double-diploma education with Astrakhan State University, work is underway to develop educational programs "Economics" "Management" within the memorandum framework.

To expand double-diploma programs and enhance academic mobility, the University conducts 30% of all subjects in English. Additionally, the university provides the educational curriculum of 8 multilingual programs: Ecology, Oil and Gas Engineering, Biology, Mathematics, Foreign Language, International Relations, Ship Navigation, Management. English-taught disciplines commence from the second year of the program. Starting from the first year, English language courses are organized for students willing to study in multilingual groups.

The Center of the Korean Center, the coordinator of the Shi Mon Center (South Korea), operates within the memorandum framework of cooperation on the double-diploma education program with Tonmen University (South Korea).

In addition, the University at the Yessenov Language Centre has organized language courses for all students whose teachers are native speakers:

- English (Speaking club, preparation for IELTS, etc.) - Nwaefido Benedicta, (TESOL Master, Nigerian citizen);
- Turkish - Orujov I.Yessenov University., a citizen of Azerbaijan;
- Farsi - Malakutifar Jalal, Iranian citizen;
- Korean - Kin Seungtae, Seol Imsun (South Korea);
- Italian – Giovanni Marino (Italy).

In addition, according to the approved indicative plan, it is planned to introduce TESOL (Teaching English language for Speakers of Other Languages) in the new academic year. It is also expected that the new stage of Erasmus+ will give impetus to the creation of new double-diploma programs for master's degrees.

International projects.

Within the Erasmus+ framework, Yessenov University participates in 4 international projects:

•**KUTEL**-Kazakhs universities to foster quality assurance processes in Technology Enhanced Learning (2018-2021).

Participation in the project will give the University access to quality assurance standards (QA), will be able to improve teaching methods by implementing a quality assurance system (QA) in blended learning, a methodology for ensuring the quality of courses based on technology, and e-learning.
<https://Yessenov University.edu.kz/ru/uxiship-erasmus/>

•**UXISHIP (ERASMUS+) (2019 – 2022)**

In the framework of the project, the University will be able to upgrade teaching methods by introducing a system of quality assurance (QA) in blended learning and will be able to improve the methodology of quality assurance of the courses based on technology and e-learning, to activate students' competence of the ICT professions on the development of startups through interdisciplinary modular courses in higher education (UXiship) (<https://Yessenov University.edu.kz/en/kutel-erasmus/>)

• **PICASP “Pilot courses on practical business based on cooperation between universities and enterprises for the development of the Caspian region” (2021-2023).**

Within the framework of the project, the University will develop new teaching methods, including practical business in entrepreneurship and small medium-sized businesses, develop a course on entrepreneurship and management, and improve the exchange of best practices between European partners through academic mobility <https://Yessenov University.edu.kz/ru/picasp/>.

• **GEOCLIC - “New courses in geospatial engineering for adaptation of coastal ecosystems to climate change” (2021-2024)**

The project will develop innovative educational programs and include new disciplines related to the prevention and elimination of oil and chemical spills, workshops on environmental aspects of port operations, etc. <https://Yessenov University.edu.kz/ru/geoclic/>

In addition, the University joined the project “CASPIAN HUB ON SUSTAINABLE DEVELOPMENT GOALS” and Caspian SDU, created to combine the efforts and initiatives of stakeholders to promote the implementation of the UN Sustainable Development Goals in the Caspian region <https://aogu.edu.kz/caspianhub/>

International scientists' invitation program.

The program of attracting international scientists to universities in Kazakhstan is carried out within the Ministry of Education and Science of the Republic of Kazakhstan budget financing and extra-budgetary funds of the University, as well as within the framework of international scientific projects. Yessenov University has developed a Regulation “On the procedure for attracting international specialists to Yessenov University” which was reviewed and approved by the decision of the Research Committee (Protocol No. 4 of 10.02.2021). The program is aimed at:

- increasing the level of internationalization in the European University;
- encouraging the active implementation of the principles of the Bologna Process;
- increasing the competitiveness of the University;
- creating an attractive image of the University in society;

- promoting the development of educational programs;
- development of joint research projects;
- implementation of joint master's and doctoral degree double-diploma programs with international partner universities.

Financing of programs to attract international specialists to work in the University is carried out: at the cost of the state budget within the framework of state educational and research programs; at the expense of the University; at the cost of partner organizations; from the sponsorship and other funds not prohibited by the legislation of the Republic of Kazakhstan.

The criteria for attracting international specialists are as follows:

- Scientists should be from the TOP 500 best universities in the world according to the QS rating;
- For stays of 14 days or a period of 1 semester, or more;
- The scientist's H-index should be at least 4.

The costs of attracting international specialists include the following:

material costs (actual cost of material inputs produced on the organization and conduct of training invitees); payment of the fee (reward) by agreement of the parties; the cost of food during the negotiations (breakfasts, business lunches, dinners, including restaurants, cafes, etc.); living expenses; transportation security; costs associated with obtaining a visa, medical insurance; the cost of interpreter services.

13 international specialists working at the university from Bulgaria, Nigeria, USA, Ukraine, Romania, Turkey, Great Britain and Italy. In addition, contracts have been drawn up within the framework of collaboration with international scientists to conduct joint scientific research and consultations on the studied problems of doctoral students in the specialty 6D060800 – Ecology. In February 2020, 3 doctoral students of the University (Baymukasheva Shynar, Dzhumasheva Kamshat, Boranbayeva Asia) completed a scientific internship at Bogazici University, Istanbul (Turkey). During the Internship with a foreign scientific consultant, doctoral students worked together on their doctoral dissertations and received consultations from university professors Turgut Tüzün Onay and Burak Demirel.

Also, on March 4 and 5, 2021, Yessenov University arranged several events with the participation of Professor Anjan Ghosh, the director of the Silk Road Case Center, who held a training seminar for the teaching staff of the university on the topic "Preparation of Business cases and their application in the educational process." This seminar aimed at using innovative pedagogical technologies in the educational process, within the framework of the project "Guest Lecture" for students

of the Faculty of Business and Law, gave a lecture on “Entrepreneurship and the creation of startups” (<https://Yessenov University.edu.kz/ru/mejmandyq-d%d3%99ris-zhobasy-ayasynda/>).

In the next academic year, two foreign specialists are planning to come with guest lectures - the University of Aberdeen (Great Britain) and the Pomeranian Academy in Slupsk (Poland).

According to several Yessenov University professors, the involvement of international specialists became an incentive to attend English language courses and ensured the practical application of the language during lectures, seminars, and round tables with the participation of international professors.

Assessment

The internationalization of the University is a part of the institutional strategy and is aimed at expanding external and internal internationalization and the development of international cooperation.

All forms of internationalization (academic mobility, invitation of an international scientist, etc.) are regulated according to the legislation of the Republic of Kazakhstan. The University has a positive trend of teaching students under the academic mobility program in English, attracting international scientists. All recruitment conditions are transparent. There are double-diploma programs, regulated by the current legislation of the Republic of Kazakhstan, and internal institutional provisions of partner universities.

Due to the above, the expert group recommends further strengthening internationalization by increasing educational programs in the English language, academic mobility, implementation of joint and double-degree programs. By expansion of the internationalization of research potential through collective research projects with foreign partner universities.

Conclusion

The criterion is fulfilled.

IV Recommendation to the Accreditation Commission of ACQUIN

- 1 Assessment of compliance the Standards and Guidelines in the Higher European Area (ESG) in the actual official version and the German Council of Science and Humanities (WR)

The institutional structures and performance were assessed on the basis of the "Standards and Guidelines for Quality Assurance in the European Higher Education Area" (ESG), criteria for the institutional accreditation of non-state higher education institution of the German Council of Science and Humanities (WR) („Guidelines for the accreditation of non-state higher education institutions“ Section B.IV), and the national or other relevant regulations.

The expert group concludes that the ESG standards 1.1 (Policy for quality assurance), 1.2 (Design and approval of programmes), 1.3 (Student-centred learning, teaching and assessment), 1.4 (Student admission, progression, recognition and certification), 1.5 (Teaching staff), 1.6 (Learning resources and student support), 1.7 (Information management), 1.8 (Public information), 1.9 (Ongoing monitoring and periodic review of programmes) and 1.10 (Cyclical external quality assurance) are fulfilled.

The expert group concludes that the WR examination areas 1 (Institutional conception, profile, and development objectives), 2 (Governance structure, organization, and quality management), 3 (Staff), 4 (Study and teaching), 5 (Research), 6 (Equipment (rooms and facilities)) and 7 (Funding) are fulfilled.

The assessment criteria are as follows:

Institutional Profile and Strategy (Mission and Vision)

The HEI has a clear mission statement in which the institutional profile, strategy, and objectives of the HEI are defined. The mission is consistent and complies with international standards. Academic bodies have adopted the mission, which is publicly available. The HEI has adequate resources to fulfil its mission and strategic planning.

The criterion is fulfilled.

Governance, Organisation and Administration

Responsibilities, decision-making processes and decision-making competencies are clearly defined and integrated into statutes. Organisation and management structures are adequate to the tasks and objectives of the institution and assure freedom in teaching and learning.

The criterion is fulfilled.

Teaching and Learning

Objectives and content of study programmes are in accordance with the HEI's mission and strategy. Study programmes have an adequate academic standard, are well structured and have an adequate workload. They comply with national legal regulations. The processes of creating and implementing as well as revision of study programmes are clearly defined.

The HEI offers professional support services for students. Support services have adequate staff.

The criterion is fulfilled.

Research

Research activities fit into the mission of the institution. The structure of the HEI and the general conditions support research activities. The teaching workload allows room for research. Recruitment policy should correspond to the research activities and research strategy of the institution.

The criterion is fulfilled.

Resources

The institution has adequate human and financial resources, infrastructure, and equipment to achieve its objectives. The academic staff recruitment process meets academic standards.

The criterion is fulfilled.

Quality Assurance

The institution has adequate quality assurance procedures and mechanisms to ensure that the results of quality assurance procedures are for continuous improvement.

The criterion is fulfilled.

Internationalisation (Optional Criterion)

The HEI has an internationalisation strategy which is consistent with the strategy of the institution. The activities in the area of internationalisation fit into the internationalisation strategy.

The criterion is fulfilled.

2 Accreditation Recommendation

The peer-review experts recommend an unconditional institutional accreditation of Caspian State University of Technology and Engineering named after Sh.Yessenov.

The peer-review experts recommend the following recommendations:

Recommendations

- A process manual with process flow diagrams and a process landscape should be created with a description of responsibilities and functions of the different positions as well as information on binding documents and regulations within the university. The process manual should also show decision-making hierarchies as well as appeal processes with the university.
- QM handbook in the area of teaching and learning of the QM processes should be created.
- The deans should concentrate on academic matters and be relieved of operational tasks. Another position should be established for the operational implementation of the study programmes.
- The internationalization of the university should be further strengthened. This could be done through the implementation of more international English degree programmes, participating in international research projects, by attracting international lecturers and promotion of academic mobility.

V Decisions of the Accreditation Commission of ACQUIN

Based on the evaluation report of the expert group and the statement of the Higher Education Institution, the Accreditation Commission of ACQUIN made on the 07 March 2022 the following decision unanimously:

The Caspian State University of Technology and Engineering named after Sh.Yessenov is for the first time institutionally accredited without conditions. The accreditation is limited until 30 September 2028.

The following recommendations are given for the further development:

- A process manual with process flow diagrams and a process landscape should be created with a description of responsibilities and functions of the different positions as well as information on binding documents and regulations within the university. The process manual should also show decision-making hierarchies as well as appeal processes with the university.
- QM handbook in the area of teaching and learning of the QM processes should be created.
- The deans should concentrate on academic matters and be relieved of operational tasks. Another position should be established for the operational implementation of the study programmes.
- The internationalization of the university should be further strengthened. This could be done through the implementation of more international English degree programmes, participating in international research projects, by attracting international lecturers and promotion of academic mobility.