 <b>SATBAYEV UNIVERSITY</b>	<b>NON-PROFIT JOINT STOCK COMPANY "KAZAKH NATIONAL RESEARCH TECHNICAL UNIVERSITY named after K.I. SATPAYEV"</b>	
<b>QMS Level 2 Document</b>	<b>Documented procedure</b>	<b>DP KazNRTU 502</b>
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## **MANAGEMENT ANALYSIS**

**DP KazNRTU 502**

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English translation prepared by the Department of Strategic Development of NJSC  
"Kazakh National Research Technical University named after K.I. Satpayev"

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## MANAGEMENT ANALYSIS

### Documented procedure № 502

#### 1 APPLICATION

1.1 The Management Analysis procedure defines the processes of analysis of the management system by the management of the Kazakh National Research Technical University named after K.I. Satpayev (hereinafter referred to as the University) in order to ensure the continued suitability, adequacy and effectiveness of the quality assurance system through periodic analysis and assessment of its condition, as well as to find opportunities to improve this systems.

1.2 The analysis of the University's management system is carried out by the University's Top Management. All employees are required to comply with the requirements of this procedure.

1.3 This procedure applies to all departments of the University.

1.4 For clarity, Appendix B presents a block diagram and input/output matrices of the “Management Analysis process”.

#### 2 REGULATORY REFERENCES

This procedure contains references to the following legal and regulatory documents:

- Law of the Republic of Kazakhstan dated July 27, 2007 No 319-III "On Education".
- Law of the Republic of Kazakhstan dated December 30, 2020 No. 396-VI "On Technical Regulation".
- Law of the Republic of Kazakhstan dated July 05, 2008 No. 61-IV "On accreditation in the field of conformity assessment".
- International quality standards ISO series 9000, 45000, 14000.
- ISO/IEC 17025-2017. General requirements for the competence of testing and calibration laboratories.
- Standards and Guidelines for Quality Assurance in the European Higher Education Area. ENQA report. 2015. (Standards and recommendations for quality assurance in the European Higher Education Area (ESG)).
- Order of the Minister of Education and Science of the Republic of Kazakhstan dated December 10, 2003 No. 822 "On the development and implementation of a quality management system in higher professional education organizations".
- Rules for the organization of the educational process on credit technology of education in organizations of higher and (or) postgraduate education approved by

Order of the Minister of Science and Higher Education of the Republic of Kazakhstan dated April 5, 2023 No. 145.

- Charter of the Non-profit Joint-stock Company "Kazakh National Research Technical University named after K.I.Satpayev".
- The NJSC Development Program for 2023-2027 approved by Government Decree No. 401 dated May 26, 2023;
- Quality policy of KazNRTU named after K.I.Satpayev;
- Orders of the rector of KazNRTU named after K.I.Satpayev.

### 3 TERMS, DEFINITIONS AND ABBREVIATIONS

#### 3.1 Terms and definitions

This procedure uses terms and definitions according to ISO 9000, as well as those taken from the normative documents on the basis of which it was developed.

<b>Management analysis</b>	systematic, documented activities of the organization's management in order to determine the suitability, adequacy, effectiveness and effectiveness of the University's quality system with a certain frequency (once a year).
<b>Audit (verification)</b>	A systematic, independent and documented process for obtaining objective evidence and evaluating it objectively to determine the extent to which it meets the audit criteria
<b>Internal regulatory document</b>	a document developed and approved at the University. The scope of such an instrument is limited to the University
<b>Quality assurance of education</b>	all types of coordinated activities for the leadership and management of the university in relation to quality and including quality planning, quality management, quality assurance, quality assessment and quality improvement
<b>Quality planning</b>	the part of management aimed at setting quality objectives and the necessary work processes, as well as the appropriate resources to achieve the objectives
<b>Quality Management</b>	methods and types of activities of the university of an operational nature used to meet the requirements for the quality of education
<b>Quality Assurance</b>	part of quality management aimed at ensuring confidence that the requirements for the quality of education will be met
<b>Quality control</b>	a part of quality management aimed at meeting quality requirements
<b>Quality Improvement</b>	a part of quality management aimed at increasing the ability to meet quality requirements
<b>Docks – documented information</b>	the information required to be managed and maintained by the organization and the medium on which it is contained
<b>Quality</b>	the degree to which the set of inherent characteristics of the object meets the requirements of the
<b>Qualification</b>	level of training, profession, specialty

<b>Copy</b>	a document identical to the original, intended for direct use in the development, production, testing, etc. of products
<b>Corrective action</b>	action to eliminate the cause of the nonconformity and prevent its recurrence
<b>Correction</b>	Action to resolve a detected nonconformance Note 1. Correction can be carried out in combination with corrective action. Note 2. Corrections may include, for example, alterations or reduction of gradation
<b>Mismatch</b>	Failure to comply with the requirement
<b>Organizational structure</b>	obligations, powers and relationships presented in the form of a scheme according to which the organization performs its functions
<b>Responsibility</b>	the consequences of non-fulfillment or improper performance of the assigned functional duties established by the rules of law
<b>Plan</b>	a document defining the activities aimed at achieving the Goals
<b>Original document</b>	a copy of the document executed by original signatures, having the original details of coordination and approval (seal - if necessary, signature, date, registration number), suitable for reproduction
<b>Politics</b>	The intentions and direction of the organization as formally articulated by senior management
<b>Preventive action</b>	action to eliminate potential nonconformities or another possible undesirable situation
<b>Protocol</b>	a document that records the course of discussion of issues and decision-making at meetings, meetings, etc.
<b>Procedure</b>	An established way of doing a job or process
<b>Process</b>	A set of interrelated and interacting activities that use inputs to produce planned results
<b>Improve</b>	Action to improve performance
<b>Management of non-conforming products</b>	actions taken to ensure that non-conforming products will not be provided to the consumer
<b>Goal</b>	the result that must be achieved in a certain period.

### 3.2 Notations and abbreviations

<b>IRD</b>	Internal regulatory documents	<b>MSEC</b>	International standard
<b>State Educational Standards</b>	State compulsory standard of education	<b>NJSC KazNRTU</b>	Non-Profit Joint Stock Company "Kazakh National Research Technical University"
<b>DSD</b>	Department of Strategic Development	<b>QAD</b>	Quality Assessment Department

<b>DP</b>	Documented procedure	<b>WG</b>	Working Group on the Development, Implementation and Improvement of the Quality System
<b>ESG</b>	Standards and Guidelines for Quality Assurance in the European Higher Education Area	<b>EMC</b>	Educational and Methodological Council
<b>ISO</b>	International Organization for Standardization	<b>F</b>	Form

## **4 QUALITY ASSURANCE SYSTEM REVIEW PLANNING**

4.1 The analysis of the quality system by the University management is planned, as a rule, for June based on the results of work for the previous academic year.

4.2 If necessary, an unscheduled analysis of the QMS by the University management is possible (during certification, when identifying significant inconsistencies, etc.).

4.3 Prior to the start of work on the management analysis, an order "On the procedure and timing of the management review for the past period" is issued, the draft of which is prepared by the head of the QAD in agreement with the director of the DSM.

4.4 In the process of preparing this order, the QAD DSD develops the attached work plan, which includes the following sections: preparation of input data, analysis and design of output data ([F KazNRTU 502-01](#)) with the identification of process managers who must submit their reports to the Specified Time.

## **5 INPUT DATA FOR MANAGEMENT ANALYSIS**

5.1 On the basis of the order "On the procedure and timing of the analysis Management for the past period" and the plan attached to it The Process Managers submit their reports ([F KazNRTU 502-02](#)). At the same time, they are responsible for the accuracy of the information provided.

5.1 The collection and control of the execution of reports for management analysis is carried out by the QAD DSD.

5.2 The Head of the QAD reviews, analyzes, summarizes the received materials and, if necessary, requests explanations or additional data .

5.3 The Head of QAD, under the guidance of the Director of DSD, prepares a draft report "Management Analysis" guided by the requirements of Appendix A :

- new edition of the University's Quality Policy (if necessary);
- new edition of the University 's Quality Objectives .

5.4 Draft documents "Management Analysis", the University's Policy and Objectives in the field of quality are submitted to the top management for consideration.

5.5 When preparing the document "Management Analysis", it is recommended to adhere to the following sequence of presentation:

- the status of the measures envisaged by the previous analysis (*implementation of the recommendations of the previous analysis*);
- changes in the state of external and internal factors;
- information on the functioning and effectiveness of the system (*implementation of plans, decisions and programs, work with personnel and the state of performance discipline, assessment and analysis of the results of internal/external inspections, customer satisfaction, including work on complaints and claims, work with non-conformities*);
- compliance of resources (*resources allocated and used for the implementation of the Goals, including personnel, training costs, finances, equipment, construction, major repairs, etc.*);
- the effectiveness of the actions taken to process risks and realize opportunities (*to what extent the Goals have been achieved*);
- Opportunities for improvement (*information about problems in the implementation of goals, including lack of resources, recommendations for improvement (to eliminate the causes of problems)*).

5.6 По возможности достигнутые результаты должны быть представлены в сравнении с данными прошлых периодов.

## **6 OUTPUT OF THE UNIVERSITY MANAGEMENT ANALYSIS**

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6.1 The draft report is submitted to the top management for review. The Head also determines the time of the general meeting to familiarize the University staff with the results achieved.

6.2 When speaking at the general meeting, it is recommended to adhere to the following order of presentation:

- Goals for the past period;
- effectiveness of the QMS;
- problems encountered and recommendations for improvement;
- decisions taken, including decisions on the allocation of resources;
- new Policy;
- new Goals;
- deadlines for the next management review;
- answers to questions that have arisen.

6.3 The minutes of the meeting are kept by an employee of the DSD or another appointed person, which is drawn up in accordance with DP KazNRTU 403.

## **7 AMENDMENTS TO INTERNAL REGULATORY DOCUMENTS**

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7.1 Decisions made in the process of management analysis usually require changes to internal regulatory documents.



- 7.2 Guidance on completing the next management review:
- analyzes the need for changes ;
  - organizes the release of separate documented procedures and a new edition of the Management System Manual .

## 8 RISK MANAGEMENT

<b>Risk</b>	<b>Causes of occurrence</b>	<b>Effects</b>	<b>Measures to reduce and prevent risks</b>
Untimely submission of the Management Review report	<ul style="list-style-type: none"> <li>– Untimely submission of the University's SD reports</li> <li>– Provision of inaccurate information</li> </ul>	<ul style="list-style-type: none"> <li>– Low effectiveness of the performed work;</li> <li>– Failure of the external audit for compliance with ISO 9001:2015 requirements;</li> </ul>	<ul style="list-style-type: none"> <li>– Rector's order specifying the deadlines for report submission;</li> <li>– Monitoring the provision of accurate information.</li> </ul>

### List of forms of DP KazNRTU 502

<b>№</b>	<b>The name of the document</b>	<b>Form</b>	<b>Storage location</b>	<b>Term Storage</b>
1	Management Analysis preparation Plan	F KazNRTU 502-01	DSD	constantly
2	Department report	F KazNRTU 502-02	DSD	constantly
3	The Institute's report	F KazNRTU 705-11	OR	constantly

**Appendix A****REQUIREMENTS FOR UNIVERSITY POLICY**

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1 The top management of the University periodically analyzes the effectiveness of the University's Policy in accordance with the requirements of this procedure. The main purpose of such an analysis is to determine the suitability of the Policy for continuous improvement.

2 Senior management policies are reviewed when the Policy:

- does not achieve effectiveness, i.e. the policy does not really work;
- does not correspond to the general intentions of the organization;
- does not provide a basis for the development of the Goals and their effectiveness;
- does not ensure mutual understanding of the staff with the top management of the University;
- has become obsolete due to the changed conditions of activity.

3 When revising the Policy, the following requirements must be followed:

- The policy should correspond to the real intentions of the organization in relation to the declared field and to the type of activity of the University;
- The policy should reflect a commitment to continuous improvement of the performance of the management system;
- The policy should contain the commitment of the University's top management to meet the requirements of consumers, regulations and other stakeholders.

4 In revising the Policy, it is recommended that the applicability of the seven principles be considered.

**REQUIREMENTS FOR THE GOALS OF THE UNIVERSITY**

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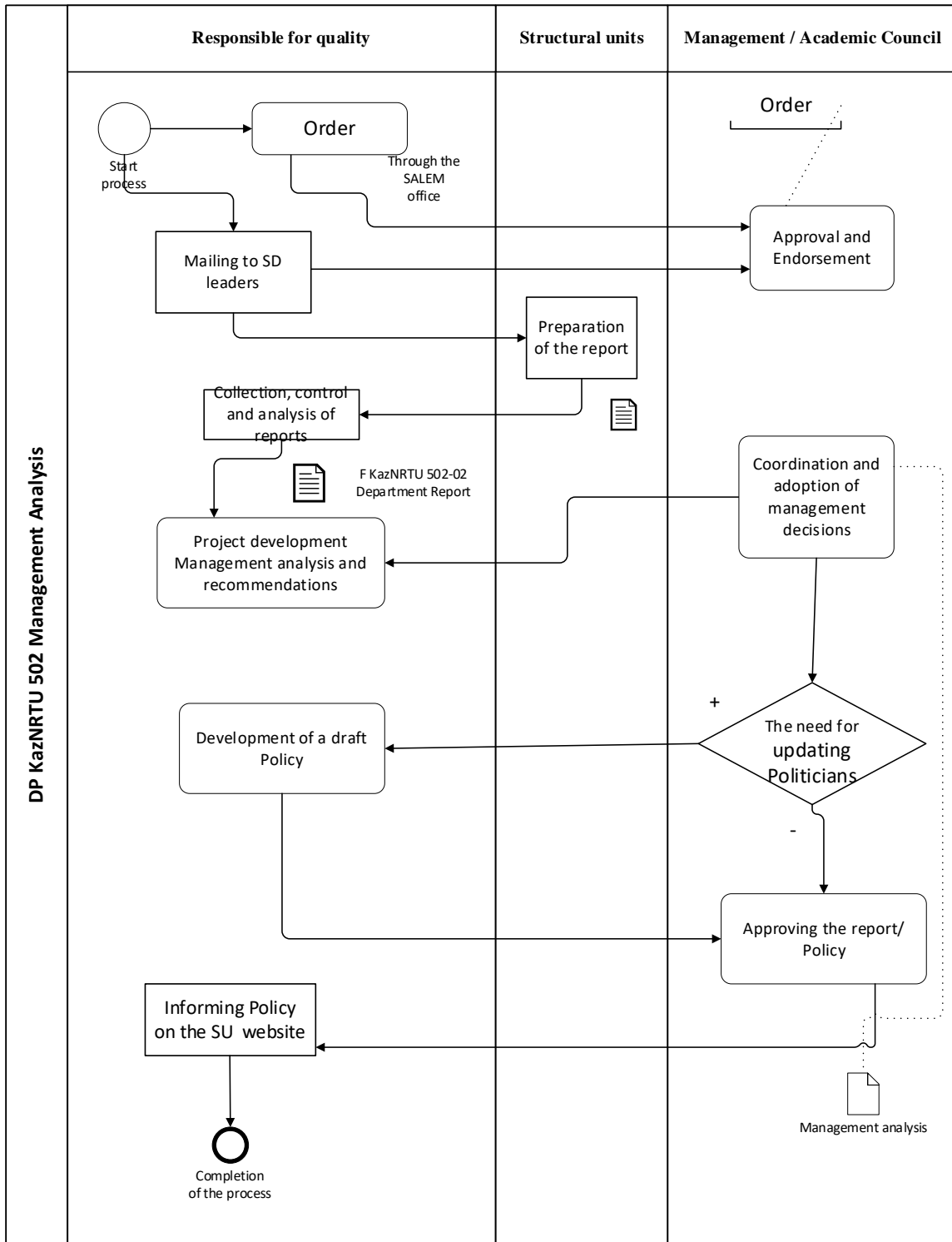
1 On the basis of the Policy, KazNRTU develops Goals for:

- meeting the requirements of Consumers and/or interested parties;
- achieving compliance of the University's products with the established requirements;
- continuous improvement of management systems.

2 The objectives of the University should:

- not contradict the University Policy;
- be measurable, i.e. their effectiveness can be checked within the established timeframe;
- allow for data collection and subsequent analysis based on the results of their achievement or non-achievement.

**Block diagram**



## Change Registration Sheet \_\_\_\_\_

Serial number changes	Section, paragraph document	Type of change (replace, cancel, add)	Number and date notice	Change made	
				Date	Last name and initials, signature, position