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### **Issues of transformation of the national model of development of small innovation business in Kazakhstan Republic**

**Abstract.** The development of individual entrepreneurship acquires special significance in the analyzed period in the light of the modern development of market relations. The most flexible, economical and quickest way to solve the problems of economic diversification, the formation and saturation of the consumer goods market is able to a greater extent only small and medium-sized businesses that do not require large start-up investments and guarantee a high speed of financial resources turnover. Therefore, the high degree of development of small innovative business is a necessary component of the modern system of market economy.

**Key words:** Innovative development, innovative activity of an enterprise, innovation, entrepreneurship, development of small and medium-sized businesses, innovative projects, national innovation system.

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**Introduction.** In the modern world, in the context of globalization of world markets for goods and services, innovations are the basis for the qualitative transformation of the production potential of the economic system, the intellectualization of the economy and improving the standard of living of the population while strengthening the interdependence and mutual influence of various spheres of social life and activity.

Small businesses are most susceptible to innovations in managerial and production activities, highly adaptable to external factors, quick turnover of funds, and also a high level of specialization of production and labor, as they have the ability to make decisions more quickly and flexibly. The most important distinguishing feature of the functioning of small enterprises (SM) in developed countries is that they provide about half of all innovations, the amount of which per unit of cost, is often greater than in medium and large enterprises, and the speed of their development is one third higher. For example, in the United States, small innovative firms create 24 times more innovations than large firms. [one]

Therefore, in developed countries, MPs are in a more favorable position compared to large enterprises, since they are guaranteed by the state inviolability of private property, broad economic independence and freedom of action, support for fair competition and the fight against monopolistic activities, concessional lending and financing, and substantial assistance in provision of investment.

At the same time, in the UK, small and medium-sized enterprises participate in the implementation of state innovation programs. In Japan, special mechanisms are used to financially



support small innovative enterprises, the basis of which is soft loans. If a regular loan in modern Japan can be obtained at 4-8%, then a “soft loan” for small innovative enterprises means half this interest rate for using a loan. The stimulation of the cooperative activity of small innovative enterprises is carried out by combining small enterprises into cooperatives or cooperatives. In the event of bankruptcy, small enterprises receive the support of the respective insurance funds for protection against chain bankruptcies, and the legislation exempts deductions from these funds from taxation [2].

**Setting goals:**

- analysis of the innovative development of the Republic of Kazakhstan;
- Based on the analysis, the identification of areas of stimulating economic growth of individual entrepreneurship in Kazakhstan.

Goal. Based on the study of the effective activities of individual entrepreneurship, the development of proposals for improving innovation, improving the work of small businesses in Kazakhstan.

**Research methods.** When writing an article, the following methods were applied: analysis and synthesis, systematic analysis and statistical methods.

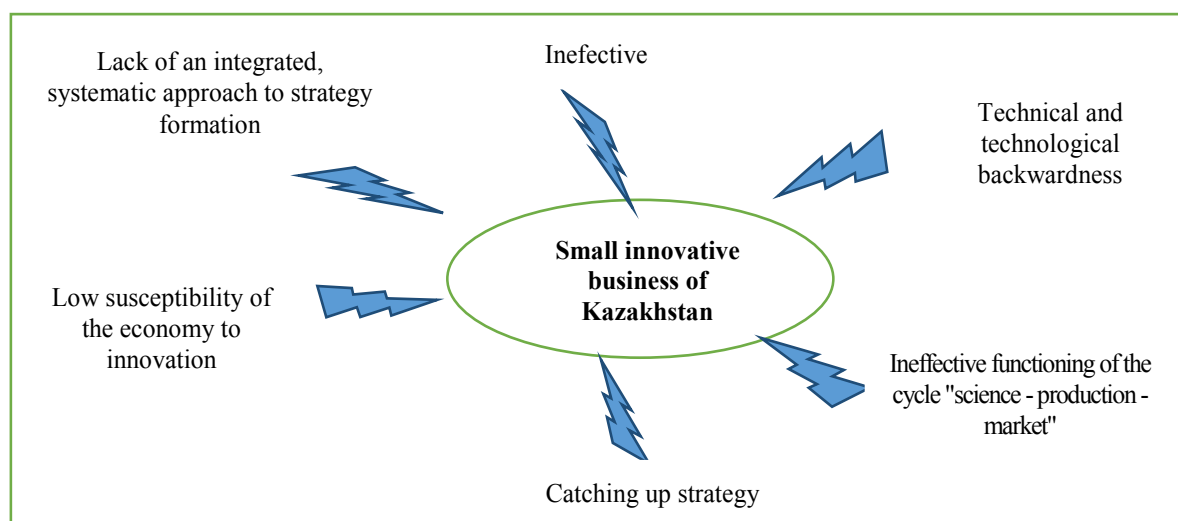
Taking into account world experience, one of the endogenous forces of Kazakhstani society leading the republic to sustainable development should be a civilized, modern small innovative entrepreneurship that can withstand competition in a globalized economy. As the President of the Republic of Kazakhstan N.A. Nazarbayev in his Message to the people of Kazakhstan, it is important to «strengthen the trend of innovative industrialization» and not without the help of small and medium-sized businesses, which by 2050 «will produce at least 50 percent of Kazakhstan’s GDP,» instead of the current 20 percent.

Domestic small enterprises are interested in innovation, but cannot realize their maximum potential for objective reasons. This is primarily due to the extreme degree of deterioration of fixed assets. Since the creation of competitive products involves the use of innovative technologies and high-quality resources, the majority of industrial enterprises are not ready for technological modernization.

The problem that restrains the innovative activity of small enterprises is the imperfect process of reproduction of innovations, the destroyed system of financing R&D. It is characteristic that in modern conditions the enterprises themselves are more oriented to the previous methods of work, in which they continue to create their products without establishing reverse flows of communication with consumers.

One way or another, according to experts, in the current Kazakhstani conditions there are no any effective incentives that encourage both manufacturers to widely use innovations and investors to finance their development and implementation. According to experts, in Kazakhstan there is no noticeable progress towards the formation of an innovative economy. By its macroeconomic indicators, Kazakhstan belongs to middle-income countries, but according to the KEI index (the level of knowledge application in the economy), a country can only be compared with countries such as Kenya and Mongolia, where population incomes are much lower. In general, as experts say, an assessment of the current situation in Kazakhstan suggests that the formation of effective mechanisms to support and introduce innovations remains a weak link in the national innovation system.

One of the most acute problems of the Kazakhstani economy is the poor adaptation of enterprises in the real sector of the economy to the conditions of the modern market, manifested in technical and technological backwardness and, as a consequence, low competitiveness of products. The hypertrophied development of the financial and commercial sectors to the detriment of the real sector (industry, agriculture, transport, communications) leads, as practice has shown, to unstable growth and, ultimately, to crisis phenomena in the country’s socio-economic situation. (picture 1)



Picture 1 – Kazakhstan Small Innovative Business Development Model

The innovative development of entrepreneurship requires a systematic approach, since it is not considered as one-sided causal relationships leading from R&D to innovation, but as a process of interaction and feedback between the whole complex of economic, social, organizational and other factors that determine the creation and commercialization of innovations.

Thus, in the new technological order, where high-tech and high-tech industries dominate, the main factor that ensures the implementation of state innovation policy is innovative entrepreneurship, the effectiveness of which directly depends on strategic management.

Meanwhile, Kazakhstan, responding to global challenges of the twenty-first century by deepening Eurasian integration, as the President of the Republic of Kazakhstan N.A. Nazarbayev, must carry out socio-economic modernization, strengthen the economy, make society stable, increasing its well-being and quality of life. An optimal balance between economic success and the provision of public goods is possible with fair competition in the regions of the Republic of Kazakhstan, high rates of economic development, and an efficiently functioning industrial complex.

One of the main factors stimulating the implementation of this strategic goal is the development of small and medium-sized businesses, conducive to the sustainable development of various regions of the republic through the use of their competitive advantages. Small business plays an important role in the development of the innovative economy of the state, investing in high technology high-tech areas of production. The restructuring of Kazakhstan's small business in an innovative focus will prepare the business for the development of large technical enterprises that contribute to the recovery and development of the entire national economy.

Small business seems to be the main source of innovation, the generator of fresh ideas, and its very development provides the opportunity for innovative development of the economy. Under the current conditions of globalization, the traditional division of the economy into branches or sectors is losing its importance, and the cluster approach is coming to the fore as the most effective tool for increasing the region's competitiveness and intensifying the innovative development of the economy. Therefore, an in-depth study of the experience of creating and functioning innovative clusters will have undoubted interest and practical benefit. The innovation cluster, being a highly effective form of acquiring a significant level of competitiveness, is an informally organized group uniting the efforts of various organizations (industrial firms, research centers, institutes, personal traders, municipal authorities, social organizations, etc.). As a result of the formation of

the cluster, it is guaranteed that a system for disseminating fresh ideas, knowledge, technologies and innovations is provided.

Small business in innovation provides innovative processes in the economy, contributing to the improvement of production and management, creates a demand for new developments, ensuring continuous progress.

Small Business Benefits:

- in small forms of entrepreneurship, the most favorable conditions for creativity are created, which in itself is individual in nature;

- creative activity by its nature is alien to the excessive organization characteristic of large enterprises, at the same time it is characterized by the desire for freedom, which is an important condition for achieving the expected results;

- in small enterprises, the inventor, owner and manager often act in the same person, which virtually eliminates the main contradiction of corporate governance;

- the production activity of small innovative enterprises is distinguished by their narrow subject specialization, which involves the concentration of efforts and funds in the final stages of creating an innovation and in the first stages of its distribution. Therefore, in fact, the enterprise begins scientific and production activities with experimental development, the purpose of which is to achieve high technology products and quickly establish its industrial production;

- unit costs for research and development at small high-tech enterprises are often several times higher than those of large enterprises, which contributes to their faster and more effective appearance on the innovation market;

- New information technologies create favorable conditions for small enterprises to function.

As general principles for organizing the innovative activity of an enterprise, researchers call [4]:

1. Target orientation, that is, the organization of innovation should contribute to the continuous flow of the innovation process. By continuity is meant the integrity of the innovation system, which should help to overcome the negative aspects in the transfer of information through the stages of the innovation cycle;

2. Systematic innovation, that is, the presence of clearly defined functions, their executors and the interactions between them;

3. Adaptability as the most adequately reflecting the influence of factors of the external, internal environment of the enterprise on the processes of creating innovations, taking into account the trends of their change;

4. The optimal combination of powers and responsibilities of units;

5. Profitability, that is, the organization of innovative activity should contribute to the optimal effectiveness of the innovation process by reducing the innovation cycle, increasing the competitiveness of new products, timely response to consumer requests, etc. ;

6. Hierarchy, that is, ensuring hierarchical interaction between the elements of innovative activity at any vertical and horizontal levels of the system.

Along with this, the practice of innovative activity of the enterprise chose the specific principles of its organization [5]:

1. Creating an atmosphere that stimulates the search and development of innovations;

2. The focus of innovation on the needs of the consumer;

3. Priority areas of innovation work stem from the goals and objectives of the enterprise;

4. The organization of innovations is carried out on the principle of parallel implementation;

5. Innovation is in the competence of the leader and his functions are to formulate strategic innovative problems, goals and directions of organizational development;

6. Units engaged in innovative activities should have the unity of the tasks to be solved and their set should be optimal;

7. The entire potential of the enterprise is attracted to innovation. The key tasks of organizing the innovation activity of any enterprise are [6]:

1. Planning innovative activities of the organization. Planning for innovation begins with the formulation of a mission, which is expressed in the orientation of the organization's activities on innovation. The next step is to determine the strategic directions of innovation and setting goals in each of them. Then the management of the organization selects the optimal development strategy for each direction. Based on the innovation strategy, long-term, medium-term and short-term plans are formed, which are implemented on the basis of specific actions of managers and employees.

2. Organization of innovation. This function is to shape the processes and structures supporting innovation. While the formation and implementation of strategies aimed at development through innovation is not a rarity today, the creation of specific structures that allow managing ideas (potential innovations) is characteristic of only a small number of companies.

3. Motivation of participants in innovation. Motivation is one of the most discussed issues in management. Formation of a favorable organizational culture; creation of a creative team capable of achieving goals; the establishment of an effective system of remuneration of labor - all these are tasks of staff motivation.

4. A systematic assessment of the results of innovation. Innovation activities must be constantly evaluated in order to verify the correctness of the chosen strategy and take corrective actions in time.

An analysis of the current state of the country's innovative development shows that in 2017, 4.4 billion tenge has been spent on basic research, from which the innovation process directly begins, by research institutes, higher education institutions, engineering, design and technological organizations of the country. In 2017, 688 research and development departments operated at enterprises and organizations of Kazakhstan.

Industrial enterprises of Kazakhstan use a wide range of forms for acquiring new technologies and software. The most popular form in 2017 was the acquisition of the right to patents, licenses for the use of inventions, utility models, industrial designs - 82 units (50.0%), including 67 (40.9%) in Kazakhstan. The acquisition of research and development results amounted to 5 units (3.0%).

An analysis of the current state of domestic science shows that the state provides it with legal, organizational and financial support. However, a number of problems are still relevant. Today, in Kazakhstan, the share of expenditures on science is 0.24% of the country's GDP, while the share of expenditures on science recommended by the International Academic Council for developing countries is 1–1.5% of GDP

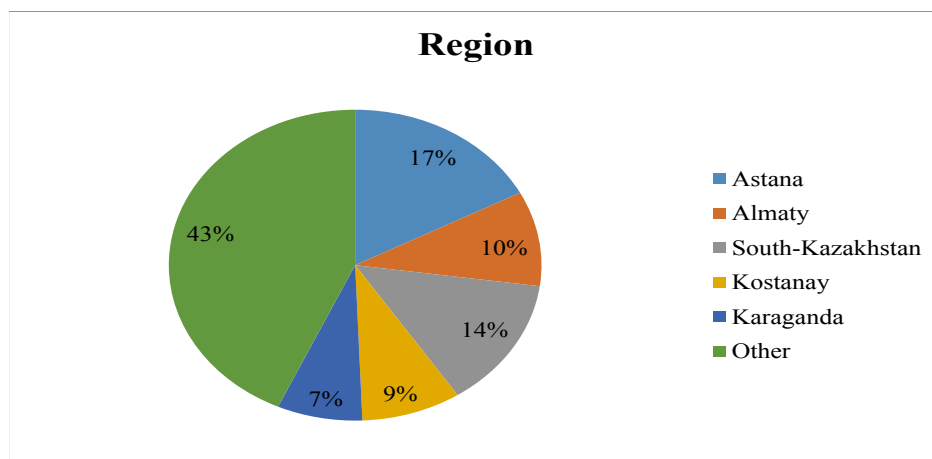


Figure 1 - The number of created and used new technologies and facilities by region of Kazakhstan in 2017

As shown in the diagram, the North Kazakhstan region occupies the highest percentage in the implementation and creation of new technologies in the regions of Kazakhstan. The connection with the commissioning of wind generators, the construction of which used advanced world technologies in the field of alternative energy, will reduce energy costs to 6.3 million tenge per month and will cover 100% of the partnership's electricity needs

The analysis shows that innovation activity at the country's industrial enterprises is still at a low level. In 2016, out of 10,096 enterprises where statistical monitoring of innovation was conducted, only 399 business entities had technological innovations (in 2015 - 447 enterprises). The susceptibility of industrial enterprises to innovative processes, which is characterized by the share of active enterprises, the innovative activity of Kazakhstan enterprises in 2016, as in 2015, amounted to only 4.0%. For comparison: the share of innovatively active enterprises in the USA is about 50%, in Turkey - 33, Hungary - 47, Estonia - 36, Russia - 9.1% [1, p. 15-17].

The volume of innovative products in 2016 in Kazakhstan decreased by 26% compared to 2015 and amounted to 82 597.4 million tenge, innovative services were provided by 13 854.6 million tenge. Among the innovative products of industrial enterprises, the largest share was occupied by products newly introduced or undergoing significant technological changes - 88.9%, products that underwent improvement amounted to 9.2%, other innovative products - 1.9%. The main types of innovation activities of enterprises with completed innovations in 2016 were the introduction of new technologies, equipment, materials - 51.2%, research activities - 12.6%, design and development activities - 3.1%, participation in research -technical programs - 2.0%.

Capital and current expenses for technological innovations in 2016 amounted to 61 050.9 million tenge (in 2015 - 11 3460.1 million tenge), including the cost of acquiring machinery and equipment related to technological innovations, amounted to 78, 2% The costs of research and development of new products, production processes - 15.7%, the acquisition of new technologies - 2.1%, which reinforces the trend towards innovative dependence on industrialized countries.

The main share in investment of innovative projects falls on own funds of enterprises - 88.6%, the republican budget - 8.1%, foreign investments - 1.6%.

Resultsof discussion. In general, the country's accelerated transition to an innovative path of development largely depends on its scientific and technical potential, which is understood as the totality of human, material, technical, information and organizational resources intended for the scientific substantiation of solutions to the problems facing the country.

**Conclusion.** The solution to this problem should be carried out from two sides. Firstly, economic entities themselves should develop an internal mechanism to increase innovative activity, focused, first of all, on the fullest possible use of the intellectual potential of their employees and the formation of an appropriate "creative" organizational culture. Secondly, state, first of all, regional authorities should pursue a systematic policy of stimulating innovative activity of economic entities, using various levers and methods developed in domestic and foreign practice of state regulation of the innovation process.

In general, if we compare the results with the indicators of developed countries of the world, then we have not yet reached a sufficient level of innovative activity of enterprises, and the efficiency of using the costs of technological innovation is not so significant.

The main reasons restraining the innovative activity of enterprises are the weak demand for innovation from industrial enterprises, a lack of financial resources for the development of science and innovation, and a shortage of highly skilled workers in high-tech sectors of the economy. In addition, the prevailing number of acquired new technologies over the number of transferred scientific developments and technologies, which indicates a low level of implementation of domestic scientific developments and technologies.

In our opinion, the state should pay more attention to mechanisms to stimulate the innovative activity of enterprises, then the latter will be interested in scientific development and research



[7,8].

To solve these problems, institutional conditions are needed, in particular, improving the legislative framework and mechanisms of interaction between the state and the private sector, and the integration of science and production. In this regard, information and analytical support is of great importance, since the results of marketing and technological studies of markets and industries will help identify niches in international markets for Kazakhstani business. It is necessary to use the principles of coordination and motivation to coordinate the activities of all participants.

The main tool for innovative development should be government programs as complexes that are interconnected in terms of resources, time frames and executors of events, providing an effective solution to the most important scientific and technical problems in priority areas of economic development. At the same time, the formation of a national innovation system and information market, as well as the creation of modern means of communication, are important areas of stimulation and development of the domestic innovation economy.

This is due to the fact that for the creation and full functioning of the legal and regulatory system it is not enough to adopt a standard set of laws, it is also necessary to develop mechanisms and a structure for protecting legal norms that guarantee their mandatory implementation by all agents of the economy, including the state. Compliance with these principles requires systematic interaction among all participants in the innovation process.

It is necessary to create an effective national innovation system that would promote the promotion of innovation with the participation of not only industrial enterprises, but also research, design organizations, the financing and stimulation of which should be carried out in close connection with the complex of measures throughout the entire research-production cycle «. At the same time, the central role should be played by industrial enterprises, which form the demand for the knowledge economy, namely they transform knowledge into intellectual capital. It is no coincidence that Kazakhstan's lagging behind the global level in the development of industrial production is not based on a low level of research and development, but on a weak infrastructure of innovation and lack of motivation for producers to introduce innovations as a way of competition.

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### **Қазақстан Республикасында шағын инновациялық кәсіпкерлікті дамытудың ұлттық моделін трансформациялау мәселелері**

**Аңдатпа.** Жеке кәсіпкерлікті дамыту нарықтық қатынастардың қазіргі заманғы дамуы тұрғысынан талданып отырған кезеңде ерекше маңызға ие болады. Экономиканы әртараптандыру, тұтыну тауарлары нарығын қалыптастыру мен молықтыру проблемаларын неғұрлым икемді, үнемді және тез тәсілмен шешуге үлкен бастапқы салымдарды талап етпейтін және қаржы ресурстары айналымының жоғары жылдамдығына кепілдік беретін шағын және орта бизнес ғана қабілетті. Сондықтан шағын инновациялық бизнесті дамытудың жоғары дәрежесі нарықтық экономиканың қазіргі заманғы жүйесінің қажетті құрамдас бөлігі болып табылады.

**Түйін сөздер:** инновациялық даму, кәсіпкерліктің инновациялық қызметі, , инновация, кәсіпкерлік, шағын және орта бизнесті дамыту, инновациялық жобалар, ұлттық инновациялық жүйелер.

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### **Вопросы трансформации национальной модели развития малого инновационного предпринимательства в Республике Казахстан**

**Аннотация.** Развитие индивидуального предпринимательства приобретает особое значение в анализируемый период в свете современного развития рыночных отношений. Наиболее гибким, экономичным и быстрым способом решить проблемы диверсификации экономики, формирования и насыщения рынка потребительских товаров является малый и средний бизнес, не требующий больших стартовых вложений и гарантирующий высокую скорость оборота финансовых ресурсов. Поэтому высокая степень развития малого инновационного бизнеса является необходимой составляющей современной системы рыночной экономики.

**Ключевые слова:** инновационное развитие, инновационная деятельность предприятия, инновация, предпринимательство, развитие малого и среднего бизнеса, инновационные проекты, национальная инновационная система.

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### **The concept of quality in the field of healthcare**

**Abstract:** In this paper, on the basis of the analysis of the definition of “quality”, a literature review was conducted with the aim of improving the medical care quality, as well as optimizing costs in the healthcare field. The purpose of this article is to clarify the concept of quality, therefore, the analysis of the concept of “quality” in dynamics is carried out to determine ways to improve the quality management system in the healthcare field, the detection of critical attributes is important for clarification, further development of tools and the design of a new methodological base. This article can be used in healthcare organizations, politics and economics to improve performance indicators. The presented theoretical and practical data contribute to a more complete and consistent understanding of the components necessary to improve the performance of organizations in the healthcare field as well as increase public affiance.

**Key words:** quality, healthcare, innovation management, enterprise, medical service, management quality system, service.

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**Introduction.** The state of human health has an unconditional socio-political relevance, also it is a key factor of production activities and can be evaluated in economic (cost) equivalents, for instance, in lost profit and additional expenses related with the maintenance of citizens health as it was highlighted above.

The labor activity efficiency and duration of every human depends on the health state.

The condition of population health is in the zone of state strategic interests in this regard.

Ensuring the proper quality of medical care while optimizing costs is a fundamental goal of healthcare organizations, it is impossible to achieve positive outcomes without increasing the efficiency of managing these organizations.

Developed countries, in order to maintain competitiveness, carry out decisive actions in the following areas: science and technology, education, healthcare.

**Task.** The concept of quality has changed over the time, so in the 50th of the 21st century, products and services that corresponded to the standard were qualitative, but market relations did not show the viability of this relationship, since compliance with the standard does not guarantee the demand for this product or service. The ratio expanded to correspond the requirements by the 60th, but as competition increased every year, it was necessary to supplement the quality aspect of cost-effectiveness by the 70th, it became necessary to produce products and provide services at the price category at which they could be sold. Further development of the concept and aspects of quality were identified along with the path of meeting and anticipating the needs of consumers.

Based on the definition, it is important to know to achieve which goal and what tasks it is necessary to form the quality of service and it is important to determine the potential of healthcare enterprises.

**Goal.** The strategic goal is to enter the top 30 developed countries of the world and the category of countries with an innovation-oriented economy, at the state level.

To achieve this goal, it is necessary to identify the ways to improve the system of management of quality in the healthcare organizations.

In our opinion, it is important to form innovation management in the healthcare field, since the innovative activity of healthcare enterprises is not high enough, therefore it is important to design innovative approaches and mechanisms by improving the quality characteristics of medical care.

**History.** Ensuring the proper quality of medical care while optimizing costs is a fundamental task of healthcare organizations, the achievement of which is impossible without increasing the efficiency of management of these organizations.

The scientific foundations of the healthcare economy formation, necessary for the procedures development of assessing the quality of medical care, as well as the effectiveness of medical organizations, are discovered by Adler Y.P., Aristova O. V., Andryushchenko O.E., Abramova A.Y., Ulumbekova G.E. and etc.

Theoretical and methodological issues related to the quality management of medical services are described in the works of Agalakov V.I., Kukovyakina S.A., Kukovyakina N.D., Adzhiev M.E., Arshinova N.A., Odnovolova O.T., Popova Z.F., Atsel E.A., Fomina A.V., Bykova J.E., Valid M.S., Zaitseva N.V. and others. Theoretical and applied aspects of process-oriented control are studied in the works of Kasatov A. D., Kunts G., Smagina M. N, Gerasimova B. I, Parkhomenko L. V., Yamshikova A., Tkach O., Ardasova O. and others.

A study conducted by McKinsey with the participation of employees from the London School of Economics, Harvard and Stanford Universities, showed the influence of management practices in healthcare organizations over the quality and effectiveness of medical care. According to the results obtained during the analysis of 1,200 medical organizations from seven countries, it was found that, through effective management, health organizations are able to maintain and enhance the quality of medical services even with limited funding conditions.

Process-oriented management and the system of quality management were first applied in practice of enterprises, therefore, many approaches and principles of process management in healthcare are well founded. However, there are various differences in worldwide practice of control methods, which apply in other economic activities and health protection of citizens due to their industry specifics. Nevertheless, the standardization of medical organizations activities, the implementation of automated information and analytical systems, the building of quality management system in medical organizations can be considered as the main reasons of methods convergence for evaluation the quality of services.

**Research methods.** The implementation of wide range of measures imply that the application of a science-based approach to the formation of increasing the economic efficiency of enterprises is required for satisfactory solution of the problems in the healthcare field. Conservative approach to the formation of strategic plans leads to accumulation of mistakes of past years and, as a result, they do not adequately reflect the ongoing and expected changes, in the internal and external environment, of healthcare enterprises.

Hence, it can be concluded that an effective quality management system in healthcare organizations is based on providing the population with quality services and is possible only if the organizational and economic tools for managing the healthcare sector are improved with the subsequent streamlining of business processes of medical activity.

**Results / discussion.** In the production of goods or provision of services, the priority aim is to determine the requirements and expectations of customers and the criteria for accurate evaluation, it activates the production of products or the provision of better services, to increase the range of products and the number of services and warranty obligations. Only by such methods can you prove yourself in the competition. All mentioned above can be summarized by the table of concepts of quality (table 1).

Table 1

**Development of the concept of quality**

Author	Definition of the «quality «concept
Aristotle (3rd century BC)	The difference between the subjects. Differentiation on the basis of «good - bad.»
Hegel (XIX century AD)	Quality is, first of all, certainty identical with being, so that something ceases to be what it is when it loses its quality.
Chinese version	The hieroglyph denoting quality consists of two elements - “balance” and “money” (quality = balance + money), therefore, quality is similar to the concept of “high class”, “expensive”.
Shuhart (1931)	Quality has two aspects: Objective physical characteristics; Subjective side: how good a thing is.
Ishikawa (1950)	Quality is a property that really satisfies consumers.
Juran (1979)	Suitability for use (intended use); Subjective side: quality is the degree of customer satisfaction (for realization of quality, the manufacturer must find out the requirements of the consumer and make his products so that they satisfy these requirements).
GOST 154467-79	Product quality – is a set of product properties that determine its suitability to satisfy certain needs in accordance with its purpose.
ISO 8402:1994p.2.1	Quality – is a set of an object characteristics related to its ability to satisfy the established and anticipated needs.
ISO 9000	Quality - the level of characteristics conformity with the requirements.

The ISO 9000 standard establishes that quality assurance is a part of the quality management, the actions of which are aimed to ensure that all requirements in terms of quality are performed.

Quality management is a coordinated set of activities, including development, management and planning - aimed at leadership, management in the aspect of quality.

The meaning of the concept - quality assurance - this is a process of directed, necessary measures in the aggregate to meet the quality requirements - in the process of production the steps stipulated by technology are gradually carried out.

The generalized experience of production leaders can be divided into a number of internal and external factors from which quality depends (table 2).

Table 2

**Internal and external factors that affect quality**

External factors	Internal factors
Quality requirements (consumers, progress, competitors)	Material base (infrastructure, equipment, materials, finance)
Suppliers of capital, labor force, materials, energy, services	Use of advanced technologies
Legislation, state bodies	Effective management

The relationship is well illustrated by a cause-effect diagram presented in Figure 1 [16]

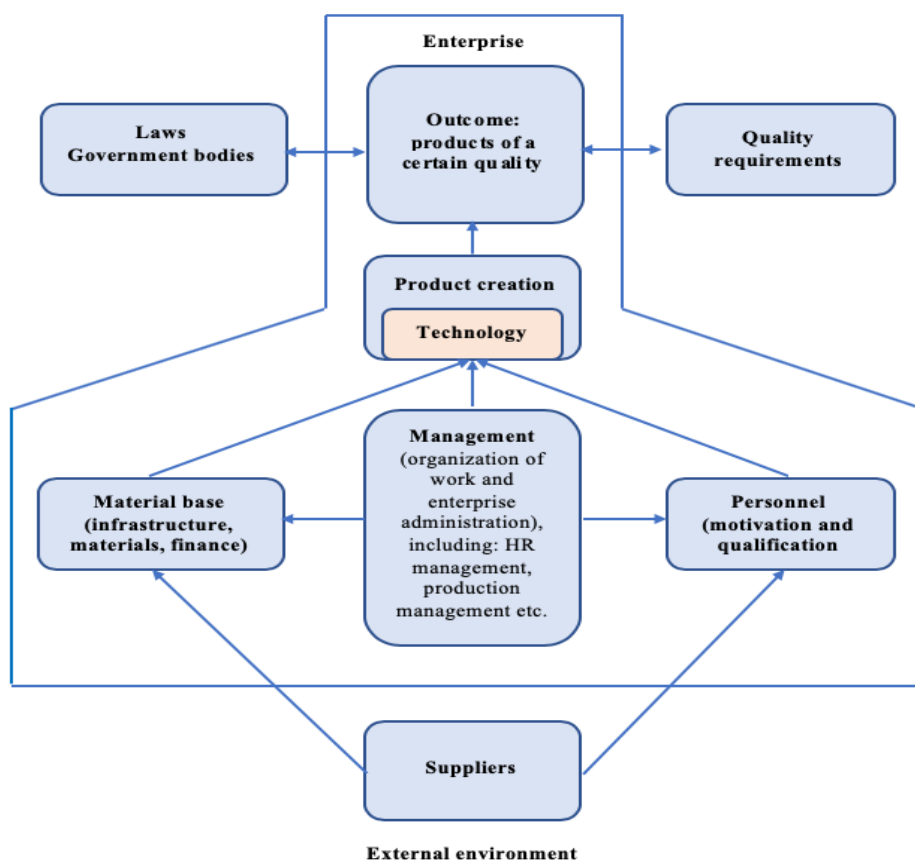


Figure 1 - Product Quality Assurance

This principle of interaction can be demonstrated by the diagram of the quality model (Figure 2).

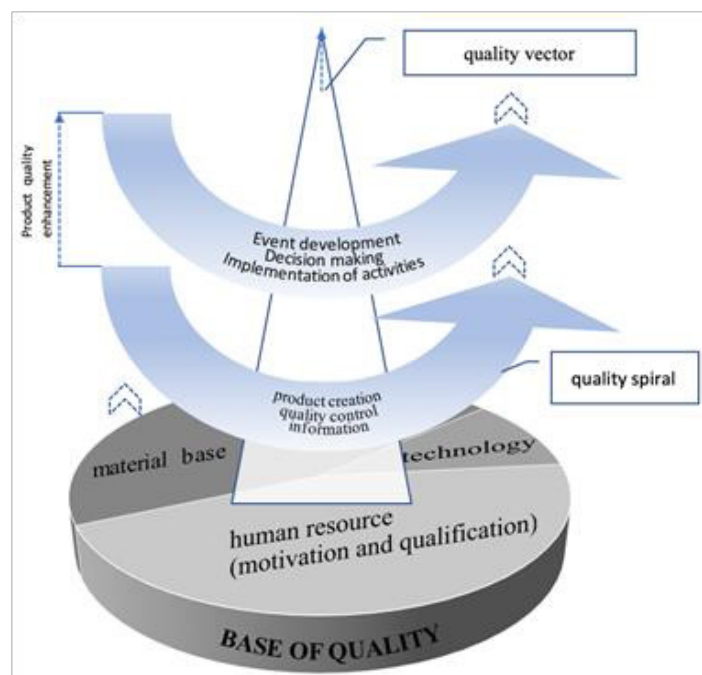


Figure 2 - Quality Model



The loop or spiral of quality shown in the figure above reveals managerial functions aimed to create a qualitative product. The quality vector demonstrates the influence of basic factors that depend on the material base, technologies, qualified and motivated personnel.

When the necessary elements are absent such as low material base, technologies, motivation and qualification, the quality vector becomes close to zero, the quality spiral remains flat without developing - It means that the quality management does not occur and products are produced without proper quality.

Quality management is different from the regular control, which is basically boils down to separating good products from bad ones. The quality of the product after completion of the production process cannot be changed as a result of control.

Quality management deals with the entire system of development, production, operation (consumption) and disposal of goods. The task of quality management is to establish the causes of defect, wherever it occurs, and then eliminate these causes and ensure the production of products of better quality.

The key factor in quality assurance is the human factor. An unmotivated employee will not perform well even on high-quality fancy equipment. Quality management should correctly organize the workflow without which it would be impossible to realize the material base and human resource [14].

Thus, the key principle in ensuring product quality is an effective management that takes into account external factors and manages internal ones with an emphasis on staff motivation [17].

The objects of product quality management are all elements forming a quality loop. In accordance with international ISO standards, the quality loop is understood to mean the product life cycle that has a ring shape (figure 3), including the following main stages: marketing; design and development of technical requirements, product development; material and technical supply; pre-production and development of technology and production processes; production; control, testing and inspection; packaging and storage; sales and distribution of products; installation; operation; technical assistance and service; disposal.

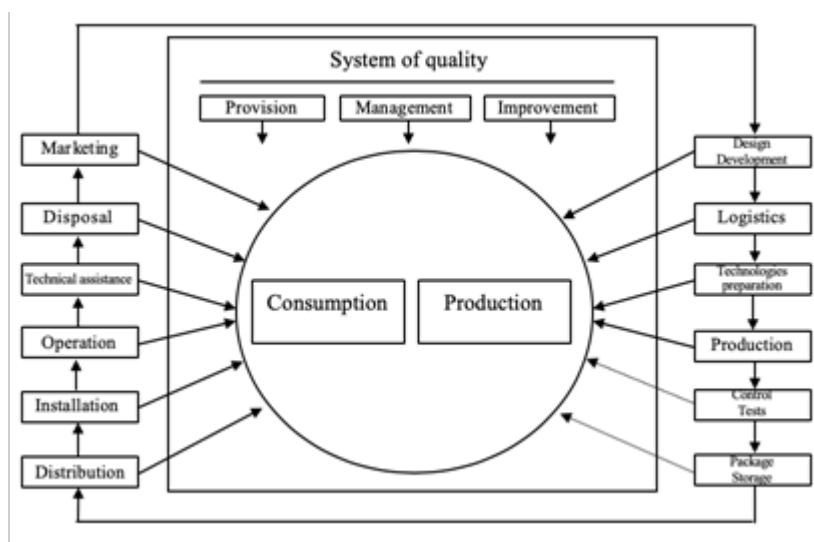


Figure 3 - Quality loop

It must be borne in mind that in practical activities for the purposes of planning, control, analysis, etc., these stages can be divided into components. The most important thing here is to ensure the integrity of quality management processes at all stages of the product life cycle.

Using the quality loop, the manufacturer interacts with the consumer and with all objects that provide solutions to product quality management problems [14].

Modern economic and scientific sources of both Kazakhstan authorship and foreign authors provide a variety of interpretations and definitions of “quality” as a concept.

So, American doctor of philosophy James Harrington, one of the leading gurus in the field of production quality, who is a management mentor, gives the following interpretation of the concept of quality - “quality – that is the consumer’s expectations that the consumer can get for the price he can spend , when there is a need for this, and high quality is exceeded expectations at lower prices than he originally anticipated.

In order to understand the definitions, there several more interpretations are presented. The German philosopher Hegel characterized quality [18] as direct certainty identical with being, as something that is due to its inherent quality, and losing its quality ceases to be what it was. This definition can be attributed to the fundamental definition of quality. In other words, this definition can be retold as properties and characteristics that are inherent in any object, which define it and distinguish it from another, the loss of a part of properties or characteristics results in the disappearance of the very object to which these properties and characteristics belong.

But it should be taken into account that the definition of a value in an applied key must obey the hierarchical connection of concepts and should not conflict with the fundamental definition. So the definition of quality as special, essential properties - the nature of things and an integral feature of the property of things violates the position of terminological science, since the quality in them has not only a combination of properties, characteristics, but also compliance with the requirements, which in turn is a satisfaction of needs. Such definitions lead to confusion of terms. Since the terms associated with the satisfaction of needs in the scientific world are already exist, this is an economic concept of utility, a political and economic concept of consumer value.

Thus, the ability of items of quality to participate in meeting the needs is utility, not quality. In such concepts, the relationship of people to these properties comes to the first role, and not as such properties themselves. This can be illustrated by the example of the concept of utility related to drugs, each individually possessing it’s quality, that is, the properties and characteristics inherent in a given remedy - may be useful, or it may be useless or even harmful depending on the situation.

In this regard, we can conclude that the relationship between utility and quality is expressed in a simple formula - utility is equal to quality plus satisfaction of needs. The understanding of quality in this form in its ratio with usefulness is constantly traced in everyday life, a certain level of quality is determined precisely by the attitude to it.

The confusion in the standards arose due to the discrepancy between the applied and fundamental definitions of quality as a term with the subsequent substitution of concepts. So the definition of utility, external properties is given in replacement of the internal properties of products - quality.

Such confusing moments are fraught with a logical trap, because following the logic, it can be concluded that quality is a power-law dependence of characteristics on requirements, and the product that does not fit the requirements is bad-quality, which is a mistake since there are no objects with lack of quality, with the lack of properties of any characteristics.

But the task is to figure out what constitutes an absolutely vague definition - quality, so that you can move on in the study. If you follow what is written in the standards, it turns out that at the same time, the same thing may or may not have quality, and this will depend only on customer satisfaction.

The result of this approach is that quality is a completely vague concept. This leads to the fact that a logical contradiction arises, because if an object exists, then it certainly has some characteristics, regardless of whether they are satisfied with anyone.



Therefore, it can be concluded that quality, taken out of context, is a neutral concept. Quality characterizes the subject, but does not affect either the bad or the good side. And only a consumer evaluation gives a positive or negative color in relation to the quality of the subject, depending on the level of its quality. The ambiguity of the quality formulations that are given in the standards is due to the fact that it is important for product manufacturers to emphasize the connection with the satisfaction of needs and thereby show compliance with the requirements of the sales market. But if to connect meeting the needs with the level and the required characteristics, then the applied definition of quality will correspond to the fundamental definition.

Factors that act and determine quality are divided into factors of external environment, which include the level of quality requirements from the side of consumers, the requirements imposed by the level of progress and the performance of competitors, the availability of capital and labor resources, as well as existing legislative acts in the field of quality. Internal factors include such indicators of the enterprise material base as finance, equipment, infrastructure, human resources, motivation of employees, the use of advanced technologies in both the preparatory and the executive phases. An important fact is the organization of work and management at the enterprise, a quality management system, including marketing, relationships with the consumer, quality control at each stage, prompt response to quality problems arising during production.

High-quality or low-quality products are terms for evaluating the level of quality of products in the context, but using such concepts it is necessary to be guided by the fact that qualitative product does not mean that it is good at the same time, but of such a thing as low-quality products, that is, if you literally understand the term is that production without any properties whatsoever, that is not possible.

Sometimes the term quality is used as individual characteristics of properties, and not as a combination of them, it occurs when it is necessary to indicate a high level of product quality that is distinguished by the set of some specific qualities that helps to gain a leadership in particular market segment.

To ensure the high quality of medical care, it is advisable that the provision of medical services to consumers is based on the principles of classical departmental medicine: *complexity, phasing, continuity and individual approach*, which, in the integrated medical care chain, meet all the basic human needs.

The priority in the activities of medical organizations is the primary provision of early diagnosis and prevention of morbidity, which includes:

- improving the quality of primary health care;
- organization of an early diagnosis and active disease prevention system (medical examinations and vaccinations);
- ensuring the availability of modern medical technologies;
- quality control of the treatment process;
- increase the list of services provided;
- equipping organizations with modern medical equipment, with a phased replacement of morally and physically obsolete.

**Conclusion.** In general, ensuring the proper quality of the medical services provided while optimizing costs is one of the main tasks of the healthcare organization, which is achieved, in particular, by increasing the efficiency of managing medical organizations. It should be noted that every human being has a definition of personal view of high quality healthcare, for instance, such a definition revolves around the ability to go to the provider or hospital of their choice; for others, access to specific types of treatment is paramount. Future research using this analysis of a theoretical data, integrated with an additional concepts, may yield vital cognition development in procuring of evidence-based decisions in the field of healthcare.

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### **Понятие качества в системе здравоохранения**

**Аннотация.** В данной статье на основе анализа определений понятия «качество» был проведён литературный обзор с целью повышения качества медицинской помощи, а также оптимизации издержек в сфере здравоохранения. Целью данной статьи является уточнение понятия качества, следовательно произведён анализ данного понятия в динамике для определения пути совершенствования системы менеджмента качества в сфере здравоохранения. Определение критических атрибутов имеет важное значение для внесения ясности, дальнейшего развития инструментов и построения новой методологической базы. Данная статья может быть использована для повышения показателей эффективности в организациях здравоохранения. Представленные теоретические и практические данные способствуют более полному и последовательному пониманию компонентов, необходимых для улучшения показателей организаций в сфере здравоохранения, а также повышению доверия со стороны населения.

**Ключевые слова:** качество, здравоохранение, инновационный менеджмент, предприятие, медицинские услуги, система менеджмента качества, услуги.

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### **Денсаулық сақтау жүйесіндегі сапа түсінігі**

**Аңдатпа:** Бұл мақалада «сапаны» анықтауды талдау негізінде медициналық көмектің сапасын арттыру, сондай-ақ денсаулық сақтау саласындағы шығындарды оңтайландыру мақсатында әдеби шолу өткізілді. Осы мақаланың мақсаты сапа ұғымын нақтылау болып табылады, демек денсаулық сақтау саласындағы сапа менеджменті жүйесін жетілдіру жолдарын анықтау үшін динамикада «сапа» ұғымына талдау жүргізілді, сыни атрибуттарды анықтау айқындылықты енгізу, құралдардың одан әрі дамуы және жаңа әдіснамалық базаны құру үшін маңызды мәнге ие. Бұл мақалада денсаулық сақтау ұйымдарында, саясатта және экономикада тиімділік көрсеткіштерін арттыру үшін пайдаланылуы мүмкін. Ұсынылған теориялық және практикалық деректер денсаулық сақтау саласындағы ұйымдардың көрсеткіштерін жақсарту үшін қажетті компоненттерді толық және дәйекті түсінуге, сондай-ақ халық тарапынан сенімді арттыруға ықпал етеді.

**Түйін сөздер:** сапа, денсаулық сақтау, инновациялық менеджмент, кәсіпорын, медициналық қызметтер, сапа менеджменті жүйесі, қызмет көрсету.

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### **Digital Technologies and their Effects on and Usefulness to the Competitive Potential of the Agricultural Sector**

**Abstract:** A digital economy is one of the key priorities of the modern world and is being used in all areas of society, including agriculture. Prospects for the development of agriculture can not be imagined without digital transformation. Digital economy in agriculture is aimed at satisfying the needs of the population in food, ensuring the growth of the agro-industrial complex, and especially the volume of export production, the growth of revenue from the use of resource potential, cost optimization and productivity increase.

The relevance of the study is the introduction of digital technologies in the field of agriculture, including drones, unmanned vehicles, automated robots. According to experts, the introduction of digital technologies will save 20-30% of the costs of agricultural enterprises. The main purpose of the article is to consider the issues of integrating digital technologies into agriculture.

**Keywords:** agriculture, competitiveness, digital technology, drones and equipment that does not have a driver.

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**Purpose and objectives of the research.** Taking into account the developmental strategies for agricultural sector in the economies of developed countries, increasing the profitability and productivity of the agro-industrial complex, attracting investments by means of digitalization, developing innovative digital technologies, and improving the efficiency and competitiveness of agricultural production.

**Research methods.** Comparison, systematization, classification and economic-mathematical modeling of economic and statistical indicators.

**Discussions and results.** The world has come to the era of digital globalization. Thanks to this, our country has started to use small, but fast, cheap and powerful smart devices in agriculture. Today, the most important services in the field of agriculture are easily performed. Digital technologies have accelerated spring fieldwork for foreign artisans.

Technology development makes life easier and makes it more comfortable. Artificial Intelligence gradually takes its place in all areas and engineers are developing many new projects. Currently, the development of non-pilot cars is gaining popularity. The President of the Republic of Kazakhstan N. Nazarbayev states that «unmanned machinery will remove the human factor and significantly reduce the cost of farming» [1].

According to experts, the introduction of digital technologies will save 20-30% of the costs of agricultural enterprises [2].

This technology has a lot to offer to farmers. First, it saves time. During spring fieldwork, it is clear that every minute of the year is expensive for entrepreneurs. Secondly, dispatchers, agronomists and mechanics will avoid making mistakes. Thirdly, this will help to address the shortage of agronomists, mechanics, economists and accountants in this sector in Kazakhstan.

Business managers can see the work done and done electronically. In the old system, the accountant would have to wait for the night shift to complete his accounting. Later, he would estimate how many hectares of land were planted. Now the situation is different. The results of all work will automatically come to the computer. You can do the job at night. Agronomists,

directors and economists can easily get acquainted with that information. They will be able to make future projections based on this data. It will be possible to track the tractors and their movements by installing appropriate technology. If necessary, the driver will also be given instructions. Technology makes it easier for economists and accountants to work. This is because it will allow them to know the amount of grain, and see what's going on in the wharf. At the same time, the accountants' jobs are made even easier, as they will need to calculate the sowing hectares only once. After all, the hectare figures will arrive on a daily basis. Even salaries of employees are calculated using this program. Thus, each employee will be paid a salary depending on the area of the field. This will make it much easier for economists to work. In addition, fuel burns, tractor shutdowns, and mechanized action will be easier to monitor. Unexpected shortages of fuel in some tractors will no longer be an issue, as workers will be able to monitor these via digital technologies. Now, managers of households can monitor every liter of diesel. It also predetermines how many hectares of fuel a tank will reach and how long it will be exhausted. Computers will run special dispatchers. They will watch out over all possible issues. The deficiencies will be known not only after work, but also when they are in progress. This allows you to quickly fix these bugs.

Digital technology has simplified the work of ordinary combine harvesters. Mechanisms have also been simplified. Because these specialists are only required to manage the equipment only in the direction the dispatcher has provided. And if he is misled, he will be informed immediately. There is an opportunity to correct the mistake right away. In general, thanks to such advantages, the speed of work has increased, and the quality of sowing has improved dramatically.

Thanks to the computers installed on the tractors, work has been made easier. This technology also shows any urgent problems. The amount of grain is being sowed is can also be monitored. The sequence in which the seeds are being planted can be observed. Working with such technology is not difficult. Working with vehicles without digital technology is a burden. It's up to the driver to look at it all. The condition of the tractor, fuel and fuel should also be monitored. Now the situation with modern technological equipment has improved.

With the help of digital technology, you can now monitor the state of sown areas. The chemical processing of crops and removing weeds can also be programmed into the technology and executed accordingly. With the help of these technologies, there is a great chance to reap an abundant harvest in autumn.

Foreign countries have long used digital technologies in agriculture. That is why they have a lot of experience in this business. Today, border specialists have made significant progress in eliminating errors, making quick decisions, and identifying the fertility of crops.

They use 3 main programs in agriculture. These allows work to develop in the direction of digital technology. The first of these projects is called exactfarming. With the help of this program, you can control labor in the fields. In the second program, observational equipment is installed on all units. The information provided by these mechanisms comes from the second Agrobank project. Thanks to this, specialists see the tractors' direction, speed and quality of work from a distance. The third program is called geosis. This innovation greatly simplifies the work. Thanks to this technology, it is possible to see sprouting of arable land. Through it, it is possible to determine the rate of growth and the state of grain crops.

The development of non-pilot vehicles is carried out in three directions: consumer (private car, taxi, city road network); production (special equipment); military (military equipment of different purposes). The introduction of drones contributes to the development of the world economy [3].

Works on the production of non-pilot agricultural machinery, self-piloted airplanes, and unmanned tractors are carried out in the world. An unmanned tractor made by CNH Industrial (FIAT Group) in Italy is completely non-wired. Manufacturers are convinced of the future of this development because the self-piloted tractor works faster in any weather, with any trailer; it can



perform any operation [4].

The tractor is equipped with several radars and video cameras. Its operation is controlled by the on-board computer system and the remote operator.

Detailed information about sowing and crop cultivation is pre-loaded onto the control system. If obstacles are detected, the operator will be responsible for further maneuvering [5].

Driverless machines - there are such technologies in agriculture. The potential of these machines is widely used in the development of ideas by technicians and ideas of production workers and implementation of technological operations in the production of agricultural products. In cattle breeding - robots for automated beef cattle, in plant breeding - working directly on field grounds, i.e. in planting and harvesting and for the transformation of products.

One of the promising directions of exact agriculture is unmanned aerial vehicles (drones). Drones are remotely controlled aircraft without a crew on board [6]. Drones have been used for commercial purposes since the early 1980s. In recent years, opportunities for practical use of drones have begun expanding [7, 8]. Unmanned aircraft are used to track and control the animals in the field of animal husbandry, and they are used to track field crops, collect data and process chemicals for crops.

Given these factors, we will perform a correlation-regression analysis and calculate the impact of digital technologies on the competitiveness of Kazakhstan's agriculture.

The regression indices show a two-way correlation relation, the mean value of the change in the mean value of  $x$  and the value of  $\chi$  in the  $X$  sign indicates  $X$ , and on the contrary, the change in the average value of the  $X$  sign shows  $x$ . The change in the signals at this time indicates that the timeline will not be eliminated. Regression of this sequence is one-sided [9].

To achieve this we get the following indicators, which influence the penetration of digital technology into the agricultural sector:

- level of innovation activity of farms in introducing digital technologies;
- internal costs for R & D;
- Number of broadband internet subscribers per 100 people, unit;
- Number of employees performing R & D, human;
- the number of Internet users aged 16-74 per 100 people;
- number of organizations (enterprises) engaged in R & D;
- share of organizations using computers, percent;
- share of organizations using intranet;
- average wage of agricultural workers;
- the number of active universities in the introduction of the CT;
- IT import, mln. USD;
- Total costs for information and communication technologies.

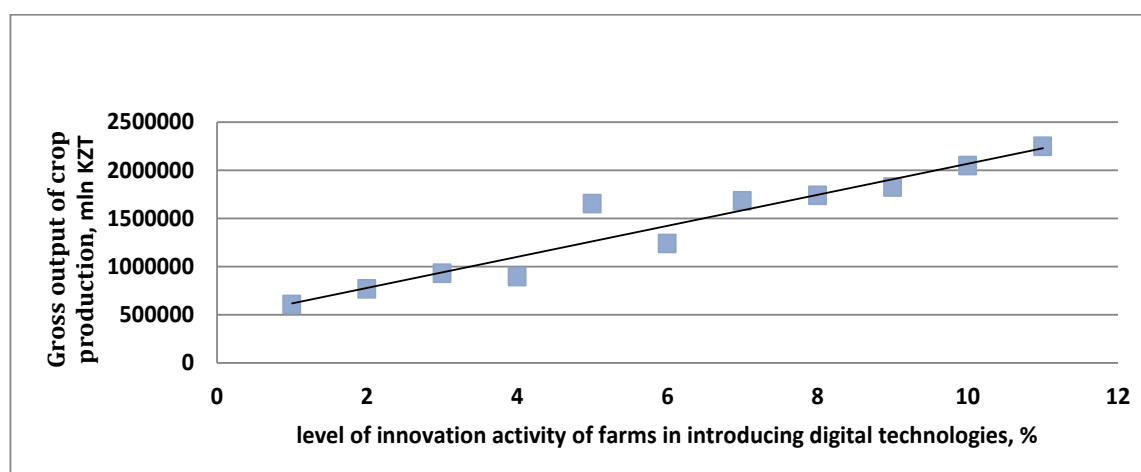
In the analysis, we first find that there is a link between the aggregate output of agricultural products and the quantitative technology indicators. We do this for correlation-regression analysis (Table 1).

Table 1

**Indicators of innovation activity of farms on introduction of gross output of agricultural products and introduction of digital technologies**

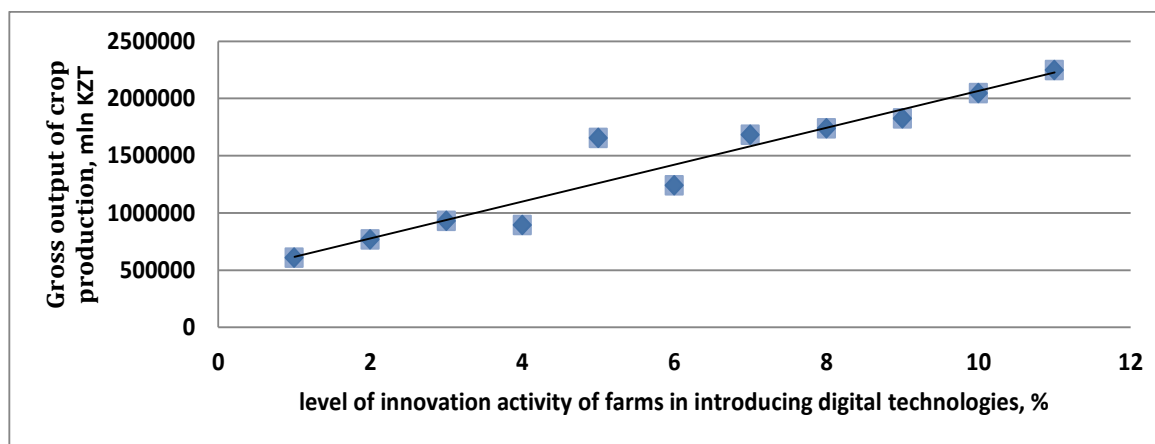
Year	Level of innovative activity of farms on introduction of digital technologies, percent	Gross output of agricultural products (services), mln. KZT		
		Crop production	Animal husbandry	Services in the industry
2008	4,0	770 239,6	628 601,0	5 652,0
2009	4,0	932 305,1	703 174,5	5 872,8
2010	4,3	895 425,2	920 777,3	5 871,7
2011	5,7	1 654 428,5	1 059 561,3	6 463,6
2012	5,7	1 241 517,0	1 145 437,3	6 664,7
2013	8,0	1 683 851,4	1 256 871,7	8 761,9
2014	8,1	1 739 436,4	1 393 762,0	10 479,7
2015	8,1	1 825 236,7	1 469 923,1	11 849,8
2016	9,3	2 047 580,8	1 621 541,4	15 271,1
2017	9,6	2 249 166,9	1 810 914,1	10 835,8

In the chart above, we have developed a schedule of dependencies on charts 1 and 2. As the graph shows, as the level of innovation activity of farms on the introduction of digital technologies increases every year, we see that the total output of crop production and cattle breeding grows accordingly.



Note: Created by the author

Diagram 1 - The dependence of the total volume of industrial output on the introduction of digital technologies in 2007-2017



Note: Created by the author

Diagram 2 - The dependence of total output of animal husbandry products on the introduction of digital technologies in 2007-2017

Indicators of activity level on introduction of gross output of agricultural products and introduction of digital technologies into farms between 2007 and 2017 show a steady dependence.

The following table identifies the regression and statistical dependence of the total output of plant and livestock products, the value of services provided in the agricultural sector and the introduction of digital technologies.

Table 2

**Regressive statistical dependence of the level of aggregate output of agricultural products (services) and introduction of digital technologies**

Indicators	Regressive statistical dependence of the level of aggregate output of agricultural products (services) and introduction of digital technologies		
	regressive statistical dependence coefficient for plant growing	coefficient of regressive statistical dependence on livestock	regressive statistical dependence coefficient for services in sectors
Multiple R	0,958301126	0,966228246	0,892735389
R-squared	0,918341047	0,933597024	0,796976475
Quantity R-squared	0,908133678	0,925296652	0,771598535
Standarderror	0,663401028	0,598229754	1,046037899
Control	10	10	10

The above table shows the interaction between plant breeding and gross output of livestock on the introduction of digital technologies into farms. It has a R factor ratio of 0.918 relative to plant husbandry, and the R-squared ratio of cattle breeding was 0.934. This means that the total output of crop production and cattle breeding is highly dependent on the introduction of digital technologies in the economy. Gross output of services in the agricultural sector indicates the average dependence on the introduction of digital technologies in the economy. According to this statistical dependence of the regression R squared is 0.797 coefficient.

To make this analysis clearer and more accurate we use multi-factor regression. For this purpose the dependent indicators that influence the increase of innovation activity of farms on introduction of digital technologies were chosen. These include: total output of agricultural products, investment in agriculture, internal expenditures for R & D, number of broadband Internet users per 100 people, number of R & D staff, number of 16-74 year olds per 100 people, Number of organizations (enterprises) involved in R & D, share of organizations using computers, share of organizations using intranets, average wage of employees in agriculture, active flour Imports of the University, the number of IT.

Using these indicators, we determine the effect of various factors on the introduction of digital technologies in the economy through regression.

Before beginning a regression analysis, it is necessary to establish a close relationship between the interdependent factors. We define it by the correlation coefficient. The correlation coefficient is the meter of the relationship between two random variables. If the correlation coefficient is close to +1 or -1, then the dependence is high. If the correlation coefficient is close to 0, then the connection between them is weak. The correlation analysis of indicators is shown in the table.

**Conclusion.** The correlation analysis of indicators indicated that not all indicators affect the level of innovative activity of the enterprises on introduction of digital technologies. The high bandwidth rated by the module is equal to or higher than the coefficient 0.85. In this regard, we deduct from the correlation analysis table of indicators the coefficients below the value of 0.85.

The correlation analysis of indicators shows that there are eight indicators that have a high impact on the innovative activity of enterprises in implementing digital technologies (Table 3). They are: X1 - total output of agricultural products, X2 - investment in agriculture, X3 - internal costs for R & D, number of broadband Internet users per X4 - 100, number of employees performing R & D, X6 - 100 the number of users aged 16-74 years per capita, X7 - the average salary of employees in the agricultural sector and the number of universities in the X8.

The general regression equation is calculated by the following formula: (1)

$$Y = b_0 + b_1X_1 + b_2X_2 \dots + b_nX_n$$

here

Y - indicator of dependence (in our case, level of innovative activity of farms on introduction of digital technologies);

X<sub>1</sub>, X<sub>2</sub> ..., X<sub>n</sub> – Factors;

b<sub>0</sub>, b<sub>1</sub>, b<sub>2</sub> ..., b<sub>n</sub> – coefficients.

Table 3

### Multidimensional regression

Year	Y (Innovative activity level of enterprises on introduction of digital technologies)	X1	X2	X3	X4	X5	X6	X7	X8
2008	4	1404 492,60	63 996 726	63 996 726	20246,6 4	16 304	15	36938	143

2009	4	1 641 352,40	74 001 924	22866,5	5	15 793	18	37307	148
2010	4,3	1 822 074,10	92 369 685	19457,5	6	17 021	32	40214	149
2011	5,7	2 720 453,40	98 628 464	21814,2	8	18 003	50	44986,1	146
2012	5,7	2 393 619,00	128 214 976	27089	10	20 404	68	51044,9	139
2013	8	2 949 485,00	142149262	29566	12	23 712	68	58304,2	128
2014	8,1	3 143 678,10	166397092	34196	12,2	25 793	68	66483,4	126
2015	8,1	3 307 009,60	167078229	37220,7	13	24 735	77	72507	127
2016	9,3	3 684 393,20	252929385	37078	13	22 985	80	81572	125
2017	9,6	4 070 916,80	352508272	37987,4	15	22 081	83	90757	122

Table 4

Regression statistics (Conclusion)

Multiple R	0,980742
R-squared	0,961856
Quantity R-squared	0,950958
Standard error	0,478848
Control	10

We implemented the results of the regression analysis using Excel (table 4). The regression statistics show that the correlation coefficient is equal to 0.980 (Multitude R). It shows a close link between factors. Determination coefficient R-squared equals 0.950. This model is interpreted as positive.

If we calculate the regression equation in the formula above, it will be as follows.

$$Y = 17,26357 + (1,6E-06 * 1\ 404\ 492,6) + (-2E-09 * 63\ 996\ 726) + (-4,5E-05 * 20246,6) + (-0,02088 * 4) + (1,49E-05 * 16\ 304) + (-0,00169 * 15) + (1,39E-05 * 36938) + (-0,10456 * 143)$$

Here,

Y - level of innovative activity of farms on introduction of ST,%;

X1 - Gross output of agricultural products, mln.

X2 - Investment in agriculture, thousand tenge;

X3 - internal costs for R & D;

X4 - Number of Broadband Internet subscribers per 100 people, units;

X5 - the number of R & D personnel executed;

X6 - the number of Internet users aged 16-74 per 100 people;

X7 - average wage of employees in agriculture, KZT;

X8 - The number of universities.

As a result of calculating the regression equation in the above formula, the influence of these factors (X1-X8) shows the growth of innovative activity of farms on introduction of digital technologies.

Finally, the new technologies are profitable for peasants. By using digital technologies, domestic farmers are less expedient and more profitable. But the introduction of these new

technologies into the farms creates some difficulties. It is desirable that there are more educated and qualified specialists in the country to implement it 100%.

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### **Сандық технологиялардың ауыл шаруашылығының бәсекелік қабілеттілігіне тигізетін әсері және тиімділігі**

**Аңдатпа.** Цифрлық экономика қазіргі әлемдегі басты басымдықтардың біріне айналуға және қоғамның барлық салаларында, соның ішінде ауыл шаруашылығында қолданыла бастады. Ауыл шаруашылығының даму перспективаларын сандық түрлендіріс елестету мүмкін емес. Ауыл шаруашылығындағы цифрлық экономика халықтың азық-түлікке деген қажеттілігін қанағаттандыруға бағытталған, агроөнеркәсіптік кешеннің, әсіресе экспорттық өндірістің өндіріс көлемінің, ресурстық әлеуетті пайдаланудан түскен табыстың өсуін, шығындарды оңтайландыруды және өнімділікті арттыруды қамтамасыз етеді.

Зерттеудің өзектілігі ауыл шаруашылығында сандық технологияларды дамытудан, соның ішінде дрондар, жүрізушісі жоқ техникалар, автоматтандырылған роботтардың жұмысын жасақтудан көрінеді.



Мамандардың пікірінше, цифрлық технологияларды енгізу ауыл шаруашылығы кәсіпорындарының шығындарының 20-30%-ын үнемдеуге мүмкіндік береді. Мақаланың басты мақсаты - ауыл шаруашылығына сандық технологияларды толықтай енгізу мәселелерін қарастыру.

**Түйін сөздер:** ауыл шаруашылығы, бәсекеге қабілеттілік, сандық технологиялар, дрондар, жүргізушісі жоқ техникалар.

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### **Влияние и эффективность цифровых технологий на конкурентоспособность сельского хозяйства**

**Аннотация.** Цифровая экономика является одним из ключевых приоритетов современного мира и используется во всех сферах жизни общества, включая сельское хозяйство. Перспективы развития сельского хозяйства невозможно представить без цифровой трансформации. Цифровая экономика в сельском хозяйстве направлена на удовлетворение потребностей населения в продуктах питания, обеспечение роста агропромышленного комплекса, особенно объема экспортной продукции, рост доходов от использования ресурсного потенциала, оптимизацию затрат и повышение производительности. Актуальность исследования связана с внедрением цифровых технологий в области сельского хозяйства, в том числе дронов, беспилотных машин, автоматизированных роботов. По мнению экспертов, внедрение цифровых технологий позволит сэкономить 20-30 % затрат сельскохозяйственных предприятий. Основная цель статьи - рассмотреть вопросы интеграции цифровых технологий в сельское хозяйство.

**Ключевые слова:** сельское хозяйство, конкурентоспособность, цифровые технологии, дроны, беспилотные техники.

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### **Environmental security in the context of human capital formation**

**Abstract.** The article deals with the human capital formed under the influence of the health system (health potential), education (qualification potential), environmental safety. The unfavorable ecological state of the Republic poses a real threat to the health of the population, including children, and therefore environmental safety is one of the main components of national security. Adverse environmental conditions significantly affect the physical development of the population and leads to the development of adverse factors in health, which is expressed in the formation of human capital. The article also presents the methodological basis for assessing the impact of anthropogenic and environmental factors on the quality of human capital. The analytical tools to diagnose the degree of environmental stress areas, to assess the impact of the environment on human health and the quality of human capital in General. The natural and financial potential of increasing ecological safety of territories is investigated.

**Key words:** ecological safety, human capital, environment, human resources.

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**Introduction.** The adoption of the “Strategy of industrial – innovative development of the Republic of Kazakhstan for 2003-2015” aims to achieve sustainable development of the country through diversification of economic sectors, contributing to the departure from the raw materials orientation, preparation of conditions for transition to a service-technological economy in the long term. Financial investments planned in the context of this strategy in individual sectors and industrial enterprises assume their intended use, the end result of which should be an increase in labor productivity and profits and ultimately an increase in the well-being of citizens [4].

The economic and political stability of the country, its economic and national security are impossible without solving environmental problems, and above all - environmental security. In his activity, a person, as a rule, does not realize that he violates the objective laws and laws of the flow of natural processes, causes undesirable changes for himself and does not foresee their consequences. But if until some time the mechanisms of biosphere self-regulation compensated for the human impact on the environment, then a feature of the present stage of the planet’s development is that the production system and the scope of human activity have reached scales comparable to those of natural phenomena.

The problem of environmental safety requires research and disclosure of the essence and content of the concept of «environmental safety». Currently, neither in the economic nor in other scientific literature there is no clear definition of this concept. Without clarifying the concept of “environmental safety” it is difficult to talk about the mechanism for solving the problem posed.

Ecological safety, as a branch of interdisciplinary knowledge, occupies a certain level in the systemic organization of modern science. In the Law «On Environmental Protection» the concept of «environmental safety» is considered as a state of protection of the natural environment and vital human interests from the possible negative impact of economic and other activities, natural and man-made emergencies, and their consequences. Ecological safety is understood to mean the state of protection of the vital interests of an individual, society, and the environment from threats arising from natural and anthropogenic influences.

The subjects of environmental safety are the individual, society, state, biosphere. Among

the objects of environmental safety, there are vital interests of security subjects: law, material and spiritual needs of the individual, natural resources and the natural environment as the material basis of state and natural development. From the standpoint of a systematic approach, environmental safety is a combination of legislative, technical, medical, biological and other measures aimed at maintaining a balance between the biosphere and anthropogenic, as well as natural external loads. Thus, the concept of «environmental safety» has a multifaceted structure, which presents theoretical and methodological foundations, including the unity of theory and socio-legal practice, allowing to regulate, manage, predict, prevent, and in case of occurrence, eliminate the development of environmental emergencies [17].

The conceptual approach to ensuring environmental safety is logical and is explained by the global threat of environmental disasters, which put humanity, as a biological species, on the brink of survival. Unfortunately, Kazakhstan has not yet created the conceptual foundations of a system for ensuring environmental safety, and the state began to form separate theoretical, legal (legislative) elements only in the early 90s of the last centuries. Practice shows that the current administrative and legal mechanisms for ensuring environmental safety still do not meet international standards and increased public needs.

In this regard, scientists, politicians, lawyers are faced with the task of developing and implementing a scientifically based concept of environmental safety, and of further developing environmental legislation. An important structural element of the concept is the complex development of the conceptual apparatus and its components, such as “environmental safety”, “environmental safety threats”, “environmental safety”, etc. The development of a modern concept of environmental safety is based on the idea of preventing and compensating for harm caused to the environment, the environment, health and property of citizens through pollution, damage, destruction, damage, irrational use of natural resources, destruction natural ecological systems and other environmental consequences of unsustainable anthropogenic activities. From the point of view of a modern economic approach to the study of human behavior, human capital - a set of knowledge and skills used to meet the diverse needs of man and society as a whole - is a complex productive factor that has a key impact on economic development. Therefore, the modern economy is called the economy of effective human resources, which emphasizes the main, decisive role of human capital in the development of the modern state and society. Human capital determines how effectively the state develops. Competitive human resources become the most significant in comparison with raw material resources, instead of «raw economy» comes «knowledge economy». Therefore, one of the main trends of the modern world is increased competition for qualified and highly skilled human resources. This rivalry is carried out not only among developed, but also rapidly developing countries, both at the global and regional levels.

The quality of human capital in any country may change under the influence of both external (migration processes, integration projects, etc.) and internal factors (identification processes, economic development dynamics, urbanization, the nature of reforms carried out in the country, etc.). In this regard, for any state, the issue of effective human resource management is paramount and determines the degree of its competitiveness in the modern world. Thus, the key to the management of human capital is the person and his capabilities. At the same time, this process has two interrelated directions [9,21]. On the one hand, human capital management is directly related to the development of the socio-cultural sector, the creation of sustainable conditions acceptable for the evolution of language, culture, education, health care, and national identity. In other words, the state forms an effective habitat and intellectual activity for its citizens, providing conditions for a high-quality life and effective self-realization. On the other hand, each person, guided by the priorities of personal growth, realizes the need to invest in the development of his country, through the self-realization of each is carried out the progressive growth of the whole country. Thus, human capital management is a self-sustaining and self-replicating system, in which the

conditions created and investments in human capital lead to the formation of a new human quality, which in turn contributes to the development of a new quality of life [16].

Human capital today is the most important component that determines the market value of a modern company. Obviously, it is human capital that acts as the foundation of a company's knowledge capital. In the conditions of aggravating competition of Kazakhstan and foreign companies, the ability to properly assess, develop and effectively use the human capital already accumulated by Kazakhstan organizations to date to maintain and strengthen their positions in the market is important [10].

Human capital in the structure of the intellectual capital of a company is basic and decisive for the successful development of other components, therefore intellectual capital, or intangible assets, is an important component in business valuation [6].

**Objective:** comprehensive institutional analysis of the problem of human capital in the context of active improvement of environmental safety and the processes of modern society.

**Problem statement:** To achieve this goal, the article aims to solve the following tasks: analyze the key points of the evolution of scientific views on the place and role of human capital in the system of social production; to reveal the main causes and consequences of the environmental crisis as a global phenomenon of the modern economy; to identify the objective logic of the historical development of the relationship «man-nature» in the structure of the productive forces; identify and analyze instruments for implementing the state's environmental and economic policy; on the basis of the analysis of empirical materials to identify the contradictions and problems of greening production; reveal the concept of quality of life in the context of environmental issues of human capital.

**History:** Human capital in economics is analyzed as the ability of people to participate in the production process. These are skills and abilities that are created by individuals by investing time in their learning, education and other activities that make the individual more productive. By investing in human capital, people set aside their current income in the hope of increasing their future.

At present, the ecological component is becoming more and more definitive in the theory of human capital [5]. Thus, according to Shchetinin V., the human health fund includes a part of human capital, a part of which is natural, hereditary, and a part acquired as a result of the expenditure of effort and resources of a person and the whole society. Human health is 10% dependent on the health care system, 20% on environmental conditions, 20% on genetic factors. The main factor (50%) is a person's lifestyle. «All costs associated with maintaining a healthy lifestyle, as well as part of environmental costs (associated with maintaining normal human activity in the environment), it is advisable to include in the investment in a person» [8].

In modern economic research, the thesis that a new type of person is becoming the subject of today's economy is increasingly heard. To replace the «economic man» Adam Smith is obliged to come «environmental man.»

In the concept of «environmental man», it is important to abandon assessments from the standpoint of theories of economic growth based on economic indicators and not taking into account (or not fully taking into account) aspects of the quality of life. It is an improvement in the quality of human life that becomes, and the farther, the more definite, the final result of economic development.

Ecological person is a comprehensively developed personality, aware of the value of the surrounding natural world, its dependence on it and doing everything possible to restore the harmony of man and nature, prevent the destruction of nature and save it for future generations [10,11].

According to Yu.N.Pakhomov, the main features of an ecological person are:

- integrity of the worldview (a person considers himself as an element, a subsystem of the

whole, living according to the laws of the whole);

- syncretic consciousness and thinking (a person operate on data from different sciences, uses the experience, traditions and customs of the past, takes into account the realities of the present and the prospects for the future);

- freedom of thought and creativity (the ability to make bold conclusions and generalizations, to put forward revolutionary hypotheses);

- the activity of the individual, the desire for self-realization (active human activity in the social and natural worlds, self-knowledge);

- the need to live in unity and harmony with people and nature [20].

The most important attribute of an ecological person is “ecological consciousness”, which should determine the choice of technology options, construction of enterprises and the use of natural resources.

Three variants of ecological consciousness are possible: first, the recognition by people of the birthright and the absolute power of nature, and, consequently, of their subordination to the elements of nature; secondly, recognition of man as the «crown of creation» and his rights to the unlimited use of natural wealth; and finally, thirdly, the recognition of the fact that a man is only one of many - and not the best! - samples of «living» matter. «The world perception associated with the first option was an attribute of primitive culture and correlated with the consciousness of the mythological type. As for the second and third types of the relationship of man to nature, their main foci arose and developed at different ends of the known and to the ancient «civilized» world: one - in the Mediterranean and Europe, the other - in Asia. This was partly due to the natural and climatic conditions: where the habitat is more «uncompromising» in relation to man, he more readily recognized «Authority» [22,23].

O.O. Bendasyuk distinguishes five types of ecological consciousness: archaic, cosmological, anthropological, technological, socio-ionic. The technological type of ecological consciousness, formed by the twentieth century, is based on unshakable confidence in establishing full control over nature, the possibility of managing it, and using it as a resource for human activity [7].

The means of forming environmental awareness are all areas that work with individual and public consciousness, including the education system, the media, law, state-building, political activity, etc.

Of particular importance in this regard are: the creation of a system of environmental education, education and propaganda; greening the selection, placement and retraining of personnel; creating and maintaining the prestige of professional environmental activities; the use of social movements in solving environmental problems; prevention and resolution of conflicts arising on environmental grounds (environmental-psychological media service); professional response to emerging threats of extreme situations; socio-ecological and ecological-psychological rehabilitation of territories and citizens.

**Method of research.** Currently, the range of approaches and methods for assessing human capital from the point of view of environmental safety is quite wide. At the same time, both cost and natural estimates are used to determine its value. The article implements the approach to the study of the problem with the position of the dialectical method, system approach, as well as historical-genetic, structural-level and other methods of scientific knowledge.

The field of environmental safety assessment of human capital development is devoted to a fairly large number of works, both foreign and domestic scientists. However, the division into specific groups of approaches and methods as such still does not exist. Therefore, first consider the traditional approaches to assessing the value of human capital, and then highlight the most well-known and widely used in practice methods of determining the value of human resources, identifying in the study of their advantages and disadvantages.



**Results/discussion.** The element of sustainability consists of several types of capital that should be replenished for future generations. It's physical, and environmental capital –the state of the environment and irreversible changes in it, and the number of minerals of prirodnii resources. Thus, environmental capital is the main element of the conceptual scheme of human development.

The original definition of ecological human may be based on the categories of «health», which consists of physical, mental, moral and intellectual health. In this case, the concept of the «ecological person» podrazumevaet a certain state of the body at the same time as fiziologicheskoi system, mind, and psyche.

The presence of all types is a source of human social activity, which is manifested as a result of the combination of professional and civic qualities. Social activity is also a qualitative characteristic of human environmental.

Thus, human health is one of the qualitative characteristics of human capital in modern conditions. In this context, health can be considered as the optimal physical and mental adaptation of the body to the environment, as a multi-level complex in a state of constant change. Improved health means increased activity in all areas of human activity, while deteriorating health leads to a reduction in the amount of potential activity and reduces the cost of human capital.

According to the world health organization (WHO), health is a state of complete physical, psychological and social well-being, not just the absence of disease and physical defects. Health –the natural capital of man, part of which is hereditary, part of the acquired as a result of the costs of the person and society.

Human capital in modern Kazakhstan is under threat due to the deterioration of General health and reduce the life of the working-age population. In this regard, the first place in the assessment of the state of human capital are the concepts of «quality of life», «healthy lifestyle», which are inseparable from the «healthy» state of the environment.

The state of the environment is characterized by a well-established and constantly improving statistical information system. In order to study the ecological well-being of the region and the impact of numerous factors on the state of the environment, the information basis of the work was not only the indicators of environmental statistics, but also other sources of information that allow to diagnose the causes of ecosystem disturbance.

Criteria for the level of environmental stress were selected typical for all municipal districts of the Republic, regardless of their geographical location, most clearly reflecting the impact of adverse environmental factors. Thus, on the basis of the system of indicators for each municipal formation of the Republic was built three-tier ecological chain: anthropogenic load – environmental pollution – human health (Fig. 1). At the same time, the work takes into account that the state of the environment is in close relationship with the potential of the municipalities of the Republic, that is, the possibility of preserving and restoring the ecosystem at the expense of its own natural resources, or through significant investments in environmental measures.

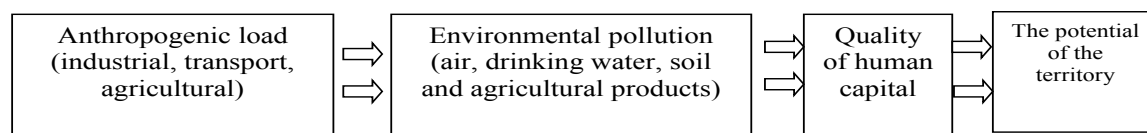


Figure 1- Three-link chain of diagnostics of ecological tension and its impact on the quality of human capital.

Note: compiled by the authors.

To identify the dynamics of human development and capital, for the analysis of social progress using the human development index. It is based on three indicators[12]:

1. life expectancy as a generalized expression of the health status of the population, which allows us to assess the real possibilities of labor potential;
2. educational level, which characterizes the amount of accumulated knowledge and skills;
3. the level of well-being of the adult population, which reveals the quality of life.

According to WHO, the «contribution» of the state of the environment (natural) to the health of each person is about 25-30%. In areas of environmental stress and environmental disasters, these figures are much higher.

There are the following medical and environmental factors affecting human health:

- direct influence of the environment (air, water, radiation, climatic conditions);
- indirect (industry, transport, agriculture) and indirect (policy, environment, health) impacts on human health.

The study of the effects of man-made accumulation of heavy metals and man-made pollution of the environment has now become extremely important for the health and safety of the population. The widespread contamination of the environment with heavy metals and their impact on health is generally well known. The results of the studies show the deterioration of environmental factors in large industrial cities, where there are huge emissions of harmful substances into the air. The danger of living in areas with high insolation, mineralization, water toxicity and violation of its structure, with pollution of phosphorus and chlorine containing pesticides, salts of heavy metals, defoliants is obvious to scientists and members of the public in different countries.

In this case, an important theoretical and practical importance is the establishment of regional patterns of influence on various functional indicators of the body of heavy metals, as well as the development of methodological foundations for the establishment of quantitative indicators. According to WHO (2015), according to the degree of danger of environmental impact, workers and the population among all pollutants of the 10 most dangerous chemicals in the first place are heavy metals – mercury, lead, copper, cadmium, arsenic, beryllium and zinc [13].

Also, according to WHO (2017), 1.7 million children die each year as a result of environmental pollution. More than one in every 4 deaths of children under 5 years of age is due to an unhealthy environment. According to two new WHO reports, environmental risks, such as indoor and outdoor air pollution, unsafe water, lack of sanitation and poor hygiene, claim the lives of 1.7 million children under the age of 5 each year. The first report «Inheriting a Sustainable World: Atlas on Children's Health and the Environment» («to Inherit a sustainable world: the Atlas of children's health and the environment») suggests that common causes of death in children from 1 month to 5 years from diarrhoea, malaria and pneumonia – preventable through interventions aimed at reducing the risks associated with the environment, such as access to safe water and clean fuels for cooking. Second report «don't pollute my future! The impact of the environment on children's health» («don't pollute my future! The impact of the environment on the health of children») provides a comprehensive overview of the impact of the environment on the health of children testifying to the extent of this problem. According to the report «World health statistics» ([zdoroviedetey.ru/node/8338](http://zdoroviedetey.ru/node/8338)) in 2016, 3 million people die each year as a result of environmental pollution.

Of these, WHO estimates that in 2016, about 58% of premature deaths due to air pollution occurred as a result of coronary heart disease and stroke, 18% as a result of chronic obstructive pulmonary disease or acute lower respiratory infections, and 6% as a result of lung cancer.

Numerous studies in Kazakhstan confirm the dynamics of the growth of the relationship between ecology and human health: the leading factor determining the negative trends in health is the aggressive impact of the environment. In Kazakhstan, less than 30% of healthy children are born (i.e., only one in 1,000 is absolutely healthy), and their share is projected to decline to 15-20% by 2015. There is a growing trend in genetic diseases: the birth rate of morons in 1992. it was 17%, at a critical level of 18%, after which the process of degradation of the nation becomes

irreversible[19].

In Kazakhstan, there is a critical situation in the field of creation and safety of working conditions for the life and health of workers, prevention of professionally caused diseases, poisoning, injuries. Extremely unfavorable working conditions persist in many sectors of the economy. They are caused, first of all, by the imperfection of technological processes, high wear of fixed assets, machinery and equipment, low efficiency of sanitary equipment, inattention to the issues of ensuring working conditions in the workplace.

All this naturally takes the problem of medical and demographic situation beyond health care (as a branch of the national economy), raising it to the geopolitical level, giving it the importance of the subject of national security in all its components: political, economic and state.

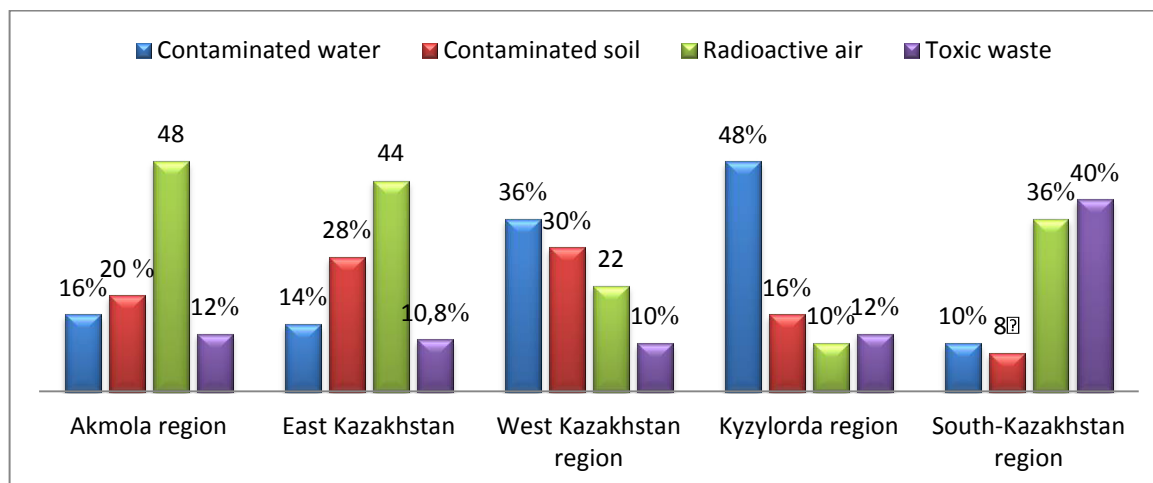


Figure 2 - the Main environmental factors affecting human health in the context of regions.  
Note: compiled by the authors

According to the world health organization (WHO), environmental risks cause the greatest damage to young children under five years of age, and the elderly aged 50-75 years, and more than 33% of children's diseases at this age are caused by environmental exposure. Who data were confirmed in our study, in particular by region, the following data were obtained:

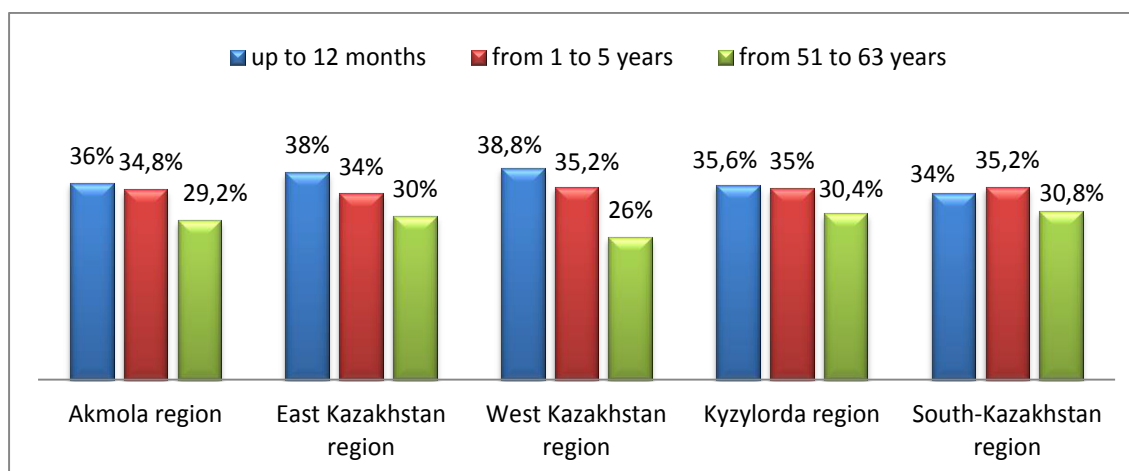


Figure 3 - Assessment of environmental-related diseases by age in the context of regions  
Note: compiled by the authors

Sociological research among specialists and representatives of state structures in all five regions (Akmola, East Kazakhstan, West Kazakhstan, Kyzylorda, South Kazakhstan region) was conducted in the following blocks: health, ecology and education. In the unit «ecology» was included in the main current problems in the protection of the environment. To the question on the assessment of legislation in the field of environmental protection (from environmental disasters, environmental pollution) and compliance with international standards of environmental safety, the answers by region were as follows:

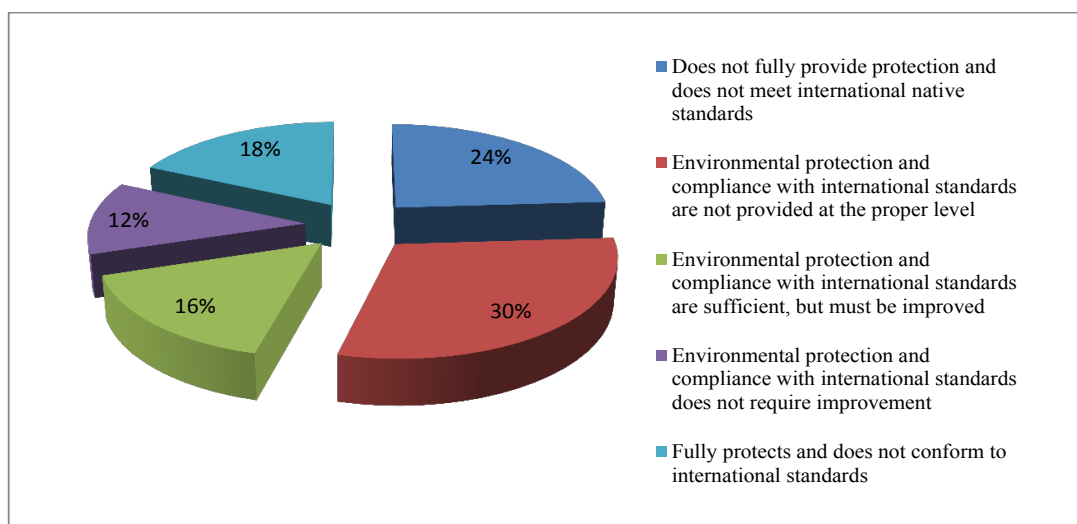


Figure 4 - Assessment of environmental legislation

Note: compiled by the authors

One of the health indicators of the younger generation is their anatomical and physiological characteristics. Many of the company's growth and its age-related changes has been well studied. Although, due to age characteristics, the child's body is most sensitive to environmental changes, it has not yet developed a sustainable adaptive response to the impact of various environmental factors, including anthropogenic ones. Consequently, the state of the child's body can be considered as one of the indicators of the state of the environment and the preservation of the health of the human population – as one of the most urgent problems of modern society. Unfavorable medical and demographic trends in the health of the population are observed:

- in reducing the total number of children;
- increase in infant and child mortality;
- a steady increase in morbidity rates associated with adverse changes against the background of socio-economic instability
- in the continuing deterioration of the environmental situation. High infant mortality, the level of which largely reflects the state of health of the population and the development of health care in the country, remains one of the urgent problems.

According to the statistics Committee of the Ministry of national economy of Kazakhstan, the population of the country as of October 1, 2017 amounted to 18 096.9 thousand people, including urban – 10 383.3 thousand people (57.4%), rural – 7 713.6 thousand people (42.6%). Compared to October 1, 2016, the population increased by 231.3 thousand people or 1.3%. But statistics showed that the number of births in this period amounted to 293.3 18 thousand people, which is 6.2% less than in the corresponding period of 2016[19].

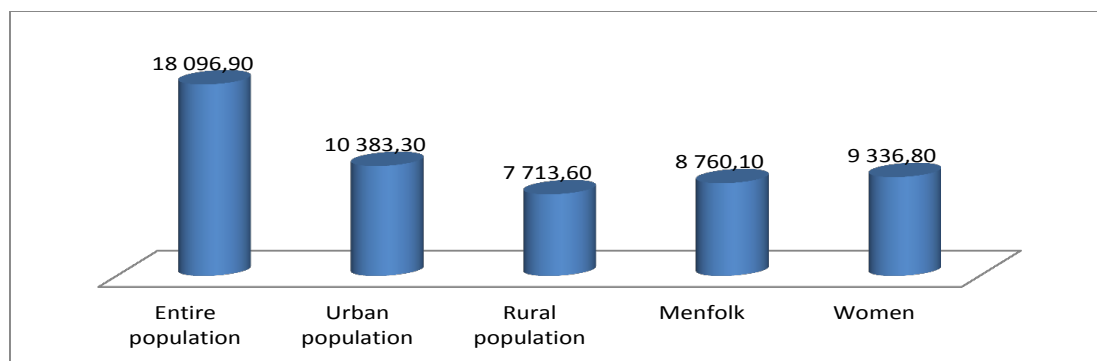


Figure 5 - Population in the Republic of Kazakhstan for 2018, thousand people.

Note: compiled by the authors

Intensive air pollution emissions of the metallurgical industry has a significant negative impact on physical development, the level of functional stress of the Central nervous system of schoolchildren, affects the neuro-emotional activity. In particular, the depressing effect of unfavorable environmental conditions on the rate of passage of nerve impulses of the Central nervous system, the development of premature protective braking of the system, as well as a decrease in mental performance [14].

In Kazakhstan, among the zones of environmental stress, one of the special places is occupied by East Kazakhstan, Karaganda, Pavlodar, Kustanai, Aktobe regions, and from the cities - Almaty, Ust-Kamenogorsk, Semey, Ridder, Khromtau, Kentau and other main pollutants of surface waters were zinc and lead. The content of lead in the air basin significantly exceeded hygienic standards (MPC) in the cities of Ust-Kamenogorsk and Almaty. This poses a great danger to public health, as evidenced by the high rates of non-carcinogenic hazards. In the cities of Kazakhstan, the main contribution to air pollution is made by road transport. The largest emissions from vehicles are observed in the cities of Almaty, Karaganda, Pavlodar, Shymkent, Taraz, Ust-Kamenogorsk. The chemical composition of the atmosphere of large industrial regions and complexes contributes to the formation of acid precipitation, which is most often observed in the cities of Temirtau, Pavlodar, Balkhash, Aktyubinsk, Atyrau[18].

**Conclusion.** According to the State Health Development Program of the Republic of Kazakhstan “Densaulyk” for 2016–2020, one of the reasons for the low level of health of citizens of the country is the preservation of adverse environmental conditions, water consumption and nutrition. The main directions of the implementation of the state program: the development of public health, as the basis of public health.

The main functions are: raising public awareness and its involvement in measures to prevent and reduce the harmful effects of various environmental factors, unhealthy diet and behavioral risks [1].

Issues of ensuring environmental and hygienic safety in modern conditions are complex. When examining each individual problem, questions of a systematic approach to determining the ways in which a person’s factors affect one or another factor become important. Improving the environment is one of the main areas of social policy implementation. In order to achieve sanitary and ecological well-being of the population, progress should be made in reducing the impact of environmental pollution on human health. In this regard, it is impossible to ensure the absolute purity of the environment or the absolute security of a person from its factors. Negative aspects of one character or another will always exist in the external environment.



The question is how much the induced risks of one or another factor will be reduced in real terms and by real means.

Entering the new century, Kazakhstan, like most states, has faced the most serious environmental problems, and now their decision has been elevated to the rank of state policy. In “Strategy 2030” of the Republic of Kazakhstan “improving nutrition, environmental cleanliness and ecology” is one of the priorities, as well as the Message of the President of the Republic of Kazakhstan N.A. Nazarbayev (from 10.01.2018), is to improve the health of citizens of Kazakhstan to ensure sustainable socio-demographic development of the country and is aimed, including at strengthening preventive measures, targeted research, improving the diagnosis, treatment and rehabilitation of major socially significant diseases [2,3 ].

In accordance with the Concept on the transition of Kazakhstan to a “green economy”, it is necessary to educate among the general public a new eco-culture on environmental protection. It is necessary to form among the population a responsible and economical attitude towards the use of energy, water and other natural resources, to teach separate collection of household garbage for its further processing.

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### **Адами капиталды қалыптастыру контекстінде экологиялық қауіпсіздікті қамтамасыз ету**

**Андатпа.** Мақалада Денсаулық сақтау жүйесі (денсаулық әлеуеті), білім беру (біліктілік әлеуеті), экологиялық қауіпсіздік әсерімен қалыптасатын адами капитал қарастырылады. Республиканың қолайсыз экологиялық жай-күйі халықтың, оның ішінде балалардың денсаулығына нақты қауіп төндіреді, сондықтан экологиялық қауіпсіздік ұлттық қауіпсіздіктің негізгі құрамдас бөліктерінің бірі болып табылады. Қолайсыз экологиялық жағдай халық организмінің физикалық дамуына елеулі әсер етеді және денсаулық жағдайында қолайсыз факторлардың дамуына әкеледі, бұл адам капиталын қалыптастырудан көрінеді. Сондай-ақ мақалада антропогендік және экологиялық факторлардың адами капиталдың сапасына әсерін бағалаудың әдіснамалық негіздері баяндалған. Аумақтардың экологиялық шиеленіс дәрежесіне диагностика жүргізуге, қоршаған орта жағдайының халық денсаулығына және жалпы адам капиталының сапасына әсерін бағалауға мүмкіндік беретін талдамалы құралдар ұсынылған. Аумақтардың экологиялық қауіпсіздігін арттырудың табиғи

және қаржылық әлеуеті зерттелген.

**Түйін сөздер:** экологиялық қауіпсіздік, адам капиталы, қоршаған орта, адам ресурстары.

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### **Обеспечение экологической безопасности в контексте формирования человеческого капитала**

**Аннотация.** В статье рассматривается человеческий капитал, формируемый под воздействием системы здравоохранения (потенциал здоровья), образования (потенциал квалификации), экологической безопасности. Неблагоприятное экологическое состояние республики представляет реальную угрозу здоровью населения, в том числе детей, следовательно, экологическая безопасность является одним из основных компонентов национальной безопасности. Неблагоприятная экологическая обстановка существенно отражается на физическом развитии организма населения и приводит к развитию неблагоприятных факторов в состоянии здоровья, что выражается в формировании человеческого капитала. Также в статье изложены методологические основы оценки влияния антропогенных и экологических факторов на качество человеческого капитала. Представлены аналитические инструменты, позволяющие провести диагностику степени экологической напряженности территорий, оценить влияние состояния окружающей среды на здоровье населения и качество человеческого капитала в целом. Изучен природный и финансовый потенциал повышения экологической безопасности территорий.

**Ключевые слова:** экологическая безопасность, человеческий капитал, окружающая среда, человеческие ресурсы.

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### **Current state of rice production in the Republic of Kazakhstan**

**Abstract.** The article analyzes the current state of rice production in foreign countries, i.e. a statistical overview of the dynamics of the rice supply indicator over the past five years. Rice production volume indicators are considered: total sown area, gross production, yields per centner per hectare by categories of farms and the share of output for export.

Productivity is analyzed by regions of the republic. The main areas with the highest and lowest indices of rice productivity per hectare were identified. The dynamics of their changes in recent years. The main trading partners, importers of these agricultural products of the republic are identified. Changes in the structure of the republic's rice export to the states of the Eurasian Economic Union, the Commonwealth of Independent States and other countries of the world are described. The main countries were identified, which occupy large shares in terms of purchases in the structure of the country's rice export. The main rice producers in the world are considered. The largest countries consuming rice have been identified. The trade turnover in the global rice market is analyzed.

Measures to improve rice production in consumer countries are considered and proposed.

**Key words:** rice, export, yield, Commonwealth of Independent States, Eurasian economic Union, acreage, agricultural enterprise, farm.

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**Introduction.** In rating of food production, rice is only on the third line, despite the fact that consumption is a leader. It should be noted that rice is in the main food category for half of the world's population. And the demand for this cereal will be stably high, since in many Asian countries rice is 85% as a staple food. There is no alternative to rice yet.

The average annual consumption of rice per person in the world is 57,5 kg. In Europe, this agricultural product is consumed at the level of 2-3 kg per person. In Russia, there are 5 kg of rice per year per inhabitant. This is ten times less than in Asia. Thus, a resident of Myanmar eats rice 45.5 times more than the average Russian, Vietnam - almost 43 times, China - 24 times [1].

The main area of use of rice is cooking. However, through industrial processing of rice, in addition to cereals, flour, starch and a drink, rice powder is also used, which is used in cosmetics. Waste after processing rice is used in the preparation of alcohol, beer. Rice bran and straw are fed as livestock feed. Rice straw is used to make tissue paper, cardboard, ropes, ropes, bags, and various wicker work.

There are more than 20 varieties on the market for this cereal, depending on the variety and degree of processing. A characteristic feature of rice is its color. The darker the color, the product is closer to the natural one and the more useful substances are stored in it [2].

**Material and research methods.** In order to conduct research on the topic of this article, general scientific methods were used, such as comparison, analysis of development indicators, and a systematic approach.

To study foreign experience, general scientific and special research methods were used, such as a review of the legal framework, the analytical method, economic and mathematical

calculations.

Well-known analytical, economic and statistical methods were applied in the context of the provisions of fundamental and applied research in the field of agricultural economics of both Kazakhstan and foreign scientists.

**Research results and discussion.** In 2018, turnover in the world rice market was estimated at \$ 20,2 billion. The main exporters were such countries as: - India (35% or \$ 7,05 billion US dollars), - Thailand (15% or \$ 3 billion US dollars), - Vietnam (8,7% or \$ 1,75 billion US dollars), - (8,2% or \$ 1,65 billion US dollars), - Pakistan (8% or \$ 1,63 billion US dollars). The largest importers of rice were China (8,5% or \$ 1,72 billion US dollars); Saudi Arabia (4,6% (\$ 0,933 billion US dollars), Iran (4,4% or \$ 0,891 billion US dollars), United Arab Emirates (3,5% or \$ 0,706 billion US dollars), the United States (3,4% or \$ 0,686 billion US dollars) [3].

The leading rice producers are China, India and Indonesia. Also in the top 10 of rice producers there are Bangladesh, Vietnam, Thailand, Myanmar, the Philippines, Nigeria, Brazil, Pakistan and the United States. In 2017, rice production in China reached 211,1 mln. tons, in India 163,7 mln. tons and Indonesia 79,4 mln. tons [4].

The most rice consuming countries in the world are China, India, Indonesia, Bangladesh, and Vietnam. Over 4 mln. tons of rice are bought by the Chinese every year. The country produces this cereal crop the most in the world, but rice is still not enough, because it is the main food of all segments of the population [5].

In Kazakhstan, rice production is self-sufficient. The security of the domestic market with this type of agricultural product is 192% [6].

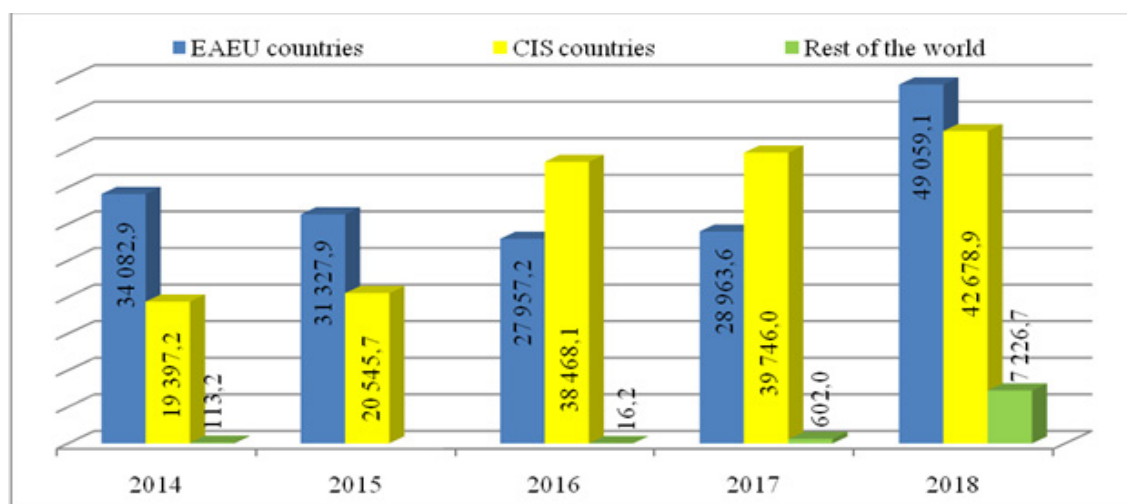
In 2018, rice export from Kazakhstan amounted to 98,9 thousand tons (hereinafter - thou. tons), which is 18,2% (29,6 thou.tons) more than in 2017. Over 2 years, the volume of exports increased by 48,9% (by 32,5 thou.tons), over three years - by 90.5% (by 47 thou.tons).

The value of exports in 2018 amounted to 22,1 mln. US dollars. Over the year, it increased by 56,1% (by 5,6 mln. US dollars), in two years it decreased by 28.9% (by 8,9 mln. US dollars), in three years - by 3,2% (by 0,7 mln. US dollars).

The key direction of rice export from Kazakhstan in 2018 is Russia. It accounts for 48,1% of all supplies of domestic rice (47,6 thou.tons). In second place is Tajikistan – 24,7 thou.tons (25%), the third line is Ukraine – 12,9 thou. tons (13,1%).

According to the results of 2018, the TOP-5 countries-buyers of domestic rice also included Afghanistan – 4576,4 thou.tons (4,6%), Mongolia – 2606,3 thou. tons (2,6%), Turkmenistan – 2563,9 thou.tons (2,6%), Azerbaijan – 2167,5 thou. tons (2,2%) [7].

In the rice export structure, the largest share falls on the EAEU countries. However, their share has declined in recent years. For 5 years, the share of the EAEU countries decreased from 63,6% in 2014 to 49,6% in 2018. In 2015, their share in exports amounted to 60,4%. For 5 years, exports to the CIS countries grew from 36,2% in 2014 to 43,1% in 2018. For 2 years, exports decreased from 57,8% in 2016 and 57,3% in 2017. The share of other countries in rice exports over the past 2 years has grown from 0,9% in 2017 to 7,3% in 2018.

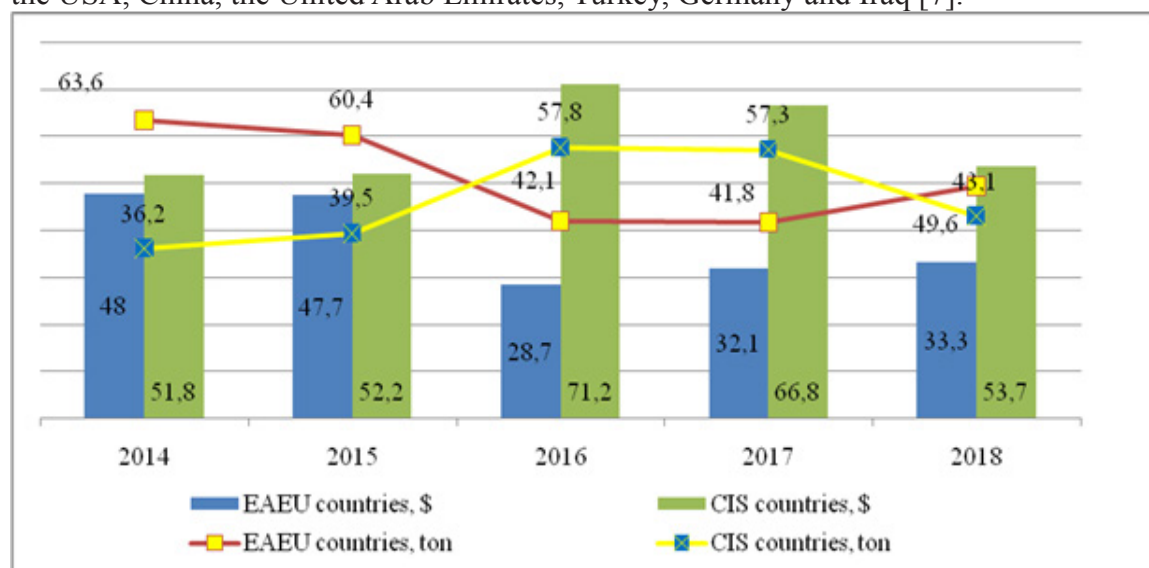


Note. Compiled by the authors [lk. 7]

Figure 1 – Rice exports by countries of the world, thou. tons

However, in value terms, the share of the EAEU countries in the structure of rice exports amounted to 33,3% (or 7,3 mln. US dollars) in 2018, while in 2014 it was 48% (or 9,9 mln. US dollars). In 2015, rice exports to the EAEU countries amounted to 47,8% (or 10,2 mln. US dollars) of total exports, in 2016 it decreased to 28,7% (or 8,9 mln. US dollars). It should be noted that the share of CIS countries in the export of rice in 2014 was 51,8% (or 10,7 mln. US dollars), in 2015 increased to 52,2% (or 11,1 mln. US dollars), in 2016 to 71,3% (or 22,1 mln. US dollars), in 2017 decreased to 66,8% (or 10,9 mln. US dollars) and in 2018 to 53,7% (or 11,8 mln. US dollars). This decrease is associated with an increase in the share of the rest of the world from 1,1% in 2017 to 13% in 2018.

The growth share of rest countries in the world was ensured by increasing the volume of rice export to Afghanistan from 399 tons in 2017 to 4576,4 tons in 2018, as well as in Mongolia from 195,7 tons to 2606,3 tons for the same period. Among foreign countries, rice is supplied to the USA, China, the United Arab Emirates, Turkey, Germany and Iraq [7].

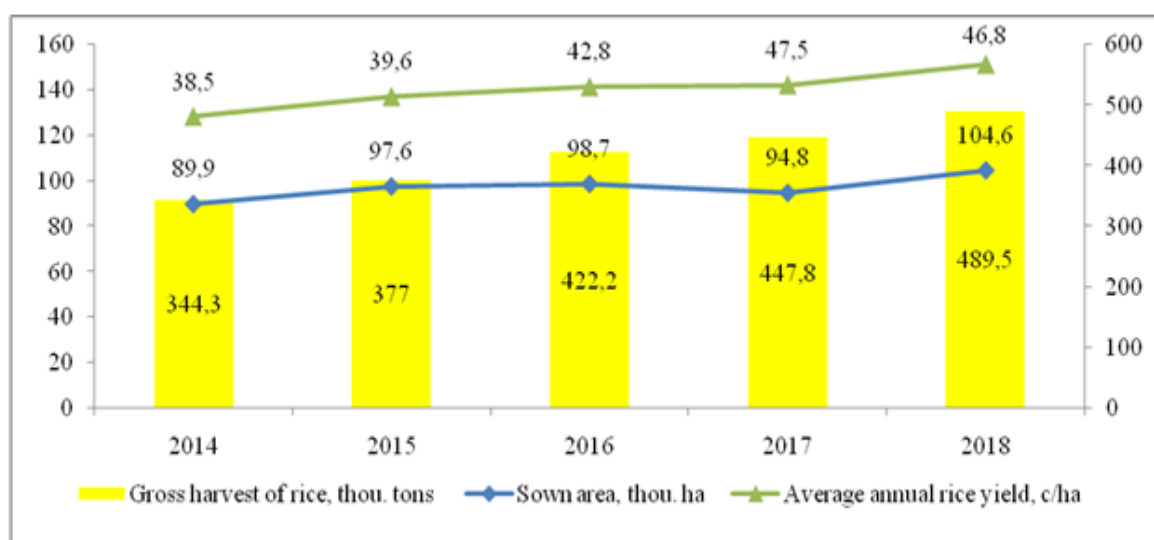


Note. Compiled by the authors [lk. 7]

Figure 2 – The share of EAEU and CIS countries in the total export of rice, %

The rice export share to other countries of the world, along with an increase in the volume of deliveries, increased revenue from sales. So, in 2018, the share in the volume of rice deliveries abroad increased from 0,9% (2017) to 7,3%. Accordingly, the share in revenue increased from 1,1% (2017) to 13%.

It should be noted that with a decrease in the volume of rice supplies for export to the EAEU countries by -8,1% in 2015, the volume of revenue from the supply increased by 2,1%. However, in 2017 the situation looked different. So, with an increase in supply by 3,6%, the volume of revenue from this operation decreased by -40,8%. A similar situation is observed in rice exports to the CIS countries. An increase in export volume by 3,3% is accompanied by a decrease in revenue by 50,4% over a given period of time. In addition, an increase in rice supplies to the EAEU countries in 2018 by 69,4% contributed to an increase in revenue by only 39,2%. The opposite situation is observed in exports to the CIS countries in 2016. An increase in supply by 87,2% leads to an increase in revenue by 98,6%.



Note. Compiled by the authors [lk. 8]

Figure 3 – Key indicators of rice production in Kazakhstan

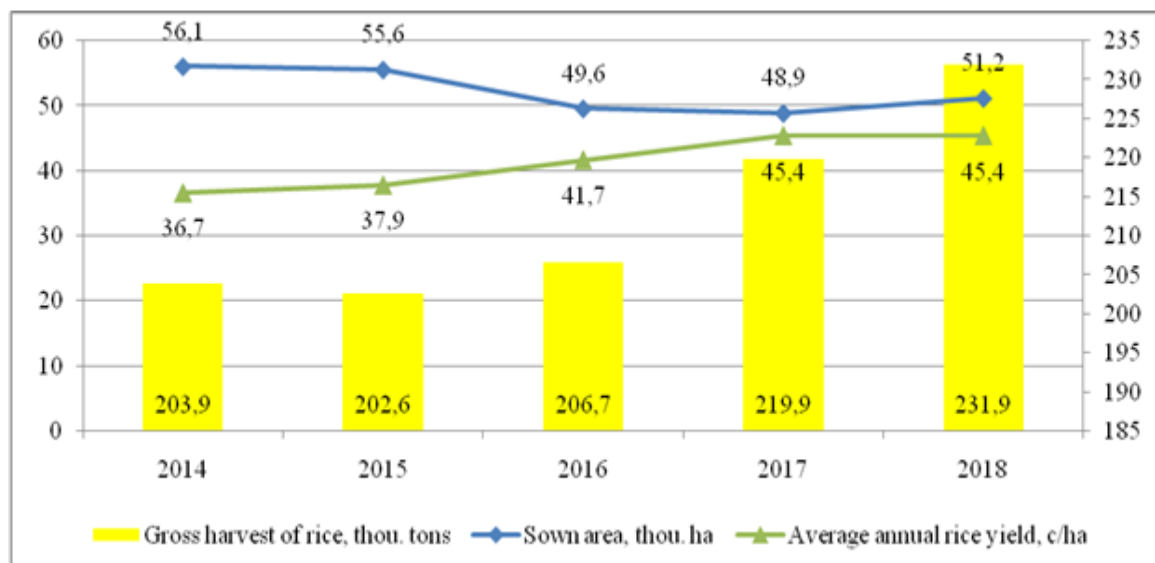
According to the statistics committee, rice cultivated areas in Kazakhstan in 2018 amounted to 104,6 thou.ha in farms of all categories, which is 10,3% (9,8 thou.ha) more than sown in 2017. Over 5 years, there was an increase in indicators by 16,4% (by 14,7 thou.ha) in comparison with 2014, over 10 years, the area increased by 38,2% (by 28,9 thou.ha) compared to 2009. In relation to 2000, the area under crops increased by 34,8 % (by 27 thou.ha) [9, 10].

The cultivation area over the past 5 years has been ensured by increasing the cultivated area of peasants and farms in the country. In 2017, individual entrepreneurs and peasant or farm households sowed 33,8 thou.ha, while in 2018 already 53,5 thou.ha.

However, there has been a decrease in sown area by agricultural enterprises in recent years. In 2014, 56,1 thou.ha were sown by agricultural enterprises, 55,6 thou.ha in 2014, and 51,2 thou.ha in 2018 (Figure 4).

Among the regions, Kyzylorda region is the leader in the harvested rice area. In 2018, 90,8 thou.ha of rice were sown (86,9% in total crops). Over the year, the area increased by 13,1% (by 10,5 thou.ha). Over the past 5 years, the harvested area of rice in the region increased by an average of 5,4%. Whereas, in the Almaty region decreased by -3,3%. On average, over 5 years, the Kyzylorda region accounts for 84,5% of the total cleaned area, Almaty region 12,8%, and South Kazakhstan region 2,7%.

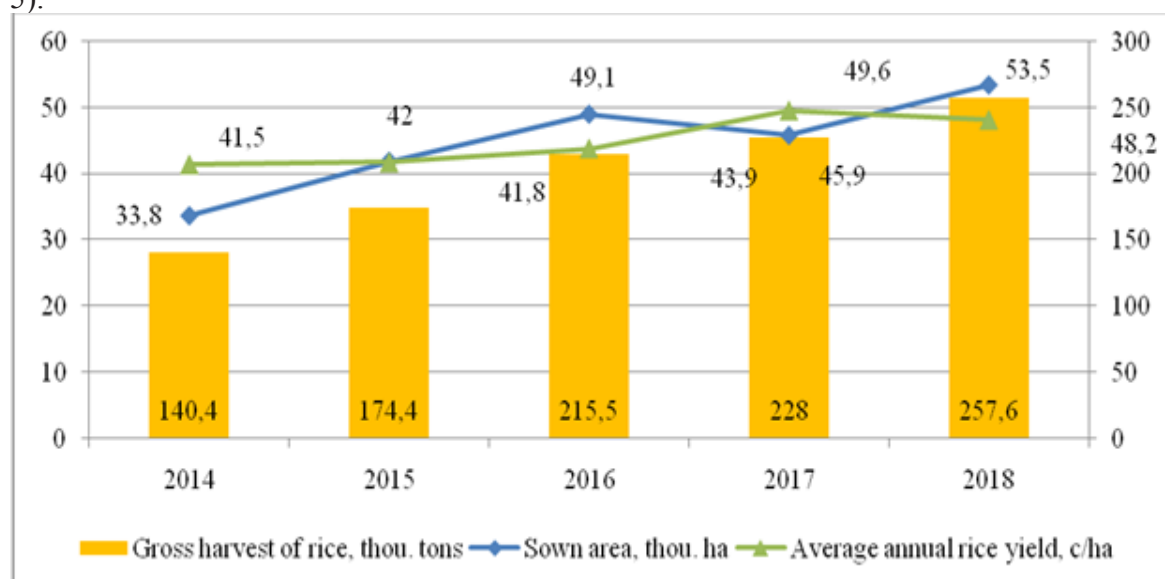
In 2018 production of rice in Kazakhstan was at the level of 489,5 thou.tons. Over the year, fees increased by 9,3% (by 41,7 thou.tons), over 5 years - by 42,2% (by 145,2 thou.tons) compared with 2014, over 10 years - by 92, 2% (by 234,8 thou.tons) compared with 2009, over 17 years (by 2000) - by 228,8% (by 275,5 thou.tons) [9, 10, 11].



Note. Compiled by the authors [lk. 8]

Figure 4 – Rice production by agricultural enterprises of the Republic

An increase of rice harvest took place both in agricultural enterprises and in individual entrepreneurs and peasant or farm enterprises. So, in 2014, agricultural enterprises collected 203,9 thou.tons, in 2017 - 219,9 thou.tons and in 2018 - 231,9 thou.tons. A similar situation is observed in individual entrepreneurs and peasant or farm enterprises. In 2014, this category of producers collected 140,4 thou.tons, then in 2016 - 215,5 thousand tons and in 2018 257,6 thou.tons (Figure 5).



Note. Compiled by the authors [lk. 8]

Figure 5 – Production of rice by peasant or farm enterprises of the Republic



There is a steady increase in gross rice harvest by individual entrepreneurs and peasant or farm enterprises. Over 5 years, the growth of gross rice harvest by individual entrepreneurs and peasant or farm enterprises averaged 16,6%, while for agricultural enterprises this indicator was 3,3%. As a result, the share of agricultural enterprises in the gross rice harvest in the country decreased from 59,2% in 2014 to 47,4% in 2018.

Among the regions in the rice harvest took, the Kyzylorda region is on the leader place. The region's share in the total rice production in the country at the end of 2018 amounted to 89,2% (436,8 thou.tons). In relation to 2017, fees increased by 10.9% (by 43 thou.tons). The area shows a steady increase in collection. So, in 2015, fees increased by 9,7% or 84% of the total republican indicator, in 2016 by 14,9% or 86,2%, respectively. The reduction is observed in the Almaty region. In 2014, the region collected 45,5 thou.tons, which amounted to 13,2% of the total collection in the republic. In 2018, 38,8 thou.tons were collected, or 14.7% less than in 2014. Thus, reducing the share of the region in the republic to 7,9%. However, in 2017, rice harvest growth reached 6,6% and 4% in 2016. In the South Kazakhstan region, rice harvest for 3 years decreased. In 2018, the decrease was -21% compared to the previous year, in 2017 by -24,1%, respectively. However, in 2016, rice harvest growth was 68,1%, and in 2015 36,6%.

Rice productivity in Kazakhstan in 2018 was at record levels, at least since 2000, and reached 46,8 centners per hectare (hereinafter - c/ha). Over the year, it decreased by 1,5% (by 0,7 c/ha), over 5 years, on the contrary, increased by 21,6% (by 8.3 c/ha) compared with 2014, over 10 years it increased by 38,9% (by 13,1 c/ ha) compared with 2009. Compared to 2001, the yield growth amounted to 57,6% (17,1 c/ha) [8, 9, 10].

The analysis of average annual indicators over a long period allows to largely exclude the influence of climatic factors and determine the contribution of the use of advanced technologies to the change in rice productivity in the country.

Rice productivity is the highest not in leading countries, but in such countries as Australia (102 c/ha), Egypt (95 c/ha), USA (86 kc/ ha), Turkey (81 c/ha) [12].

The agricultural productivity of rice in agricultural enterprises in 2014 amounted to 36,7 c/ ha, in 2016 41.7 c/ha, in 2018 reached 45,4 c/ha. The rice productivity of individual entrepreneurs and peasant or farm enterprises in 2014 was at 41,5 c/ha, in 2016 increased to 43,9 c/ha and in 2018 48,2 c/ha.

Rice productivity in the context of some regions is higher than the national average with the exception of the Almaty region. The highest rate of rice yield per hectare in the South Kazakhstan region. Over 5 years, the yield per hectare increased by 8,6% or 5,1 c/ha, reaching 64,7 c/ha. In 2018, yield growth was 12,5%, or 7,2 c/ha compared to 2017. It should be noted that the average annual rice yield in the republic grew until 2017. Over 5 years, rice productivity increased by 5,1%. Whereas in the Kyzylorda region by 5,5%. The lowest growth rate of rice yield is observed in the Almaty region. The average yield is 0,4%. In the South Kazakhstan region, this indicator is at the level of 2,3%. In Kyzylorda oblast, the yield indicator is higher than in the republic. In 2014, the yield was 39 c/ha, in 2016, 43,2 c/ ha, in 2018, 48,1 c/ha.

Over 5 years, the average annual yield was 60,1 c/ha in the South Kazakhstan region, 43,9 c/ha in the Kyzylorda region and 33,1 c/ha in the Almaty region [8, 9].

**Conclusion.** So, world rice production is growing every year. The rice production volume in recent years has reached half a billion tons. This situation was promoted by the maximum indicators of rice productivity and the expansion of sown areas in the largest producing countries. Along with this, rice consumption in the world is growing. The high demand for this culture from Asia and the countries of Sub-Saharan Africa due to the increase in the population contributes to maintaining this indicator at a stable high level [2]. Based on the foregoing, rice production remains one of the most profitable agricultural crops.

In the republic, the production of this type of agricultural product has a future. The total



sown area of rice has increased. Rice harvesting in the country annually shows steady growth. What contributes to the high average annual rice yield per hectare. Also, domestic rice producers annually increase the supply of this crop abroad. The country's potential in this direction is available. A favorable pricing environment, coupled with an increase in state support, as well as with an increase in the investment attractiveness of the sector (more and more farmers are engaged in rice), contributes to the growth of domestic production. The use of new technologies such as drip irrigation of fields, which is relevant when there is a lack of water, would increase the yield of rice per hectare. In addition, the use of the latest agricultural techniques would in the long term reduce the impact on soil fertility.

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### **Қазақстан Республикасында күріш өндірісінің қазіргі жағдайы**

**Аңдатпа.** Мақалада шет елдердегі күріш өндірісінің қазіргі жағдайына талдау жүргізілген, яғни, соңғы бес жылдағы күрішпен қамтамасыз ету индикаторының динамикасына статистикалық шолу жасалды. Күріш өндірісі көлемінің келесі индикаторлары: жалпы егіс алқабы, жалпы өнім, шаруашылықтардың санаттары бойынша әр гектардан центнерден өнім алу және экспортқа шығарылатын өнімнің үлесі қарастырылған.

Республиканың аймақтарындағы өнімділік көресткіші талданды. Бір гектарға шаққандағы күріш өнімділігінің ең жоғары және төмен көрсеткіштерін көрсеткен негізгі аудандар анықталды. Сондай-ақ, соңғы жылдардағы олардың өзгеру динамикасы. Негізгі сауда серіктестері, республиканың осы ауылшаруашылық өнімдерін импорттаушылар анықталды. Еуразиялық экономикалық одақ, Тәуелсіз Мемлекеттер Достастығы және әлемнің басқа да елдеріне күріштің республикалық экспорты құрылымындағы өзгерістер сипатталған. Елдің күріш экспорты құрылымында сатып алу бойынша үлкен үлесті алатын негізгі елдер анықталды.

Әлемдегі негізгі күріш өндірушілері қарастырылды. Күрішті тұтынатын ірі елдер анықталды. Әлемдік күріш нарығындағы сауда айналымы талдалды.

Мақалада шет елдердегі күріш өндірісінің қазіргі жағдайына талдау жүргізілген, яғни, соңғы бес жылдағы күрішпен қамтамасыз ету индикаторының динамикасына статистикалық шолу жасалды. Күріш өндірісі көлемінің келесі индикаторлары: жалпы егіс алқабы, жалпы өнім, шаруашылықтардың санаттары бойынша әр гектардың центнерінен өнім алу және экспортқа шығарылатын өнімнің үлесі қарастырылған.

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Тұтынушы-елдерге күрішті өндіруді жетілдіру бойынша шаралар ұсынылды.

**Түйінді сөздер:** күріш, экспорт, өнімділік, Тәуелсіз мемлекеттер достастығы, Еуразиялық экономикалық одақ, егіс алаңы, ауыл шаруашылығы кәсіпорыны, шаруа (фермерлік) қожалығы.

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### **Современное состояние производства риса в Республике Казахстан**

**Аннотация.** В статье проведен анализ современного состояния экспорта риса в зарубежные страны, т.е. статистический обзор динамики показателя поставок риса за последние пять лет. Рассмотрены показатели объема производства риса: общая посевная площадь, валовое производство,

урожайность из расчета «центнер на гектар» по категориям хозяйств и доля произведенной продукции, направленная на экспорт.

Проанализирована урожайность в разрезе областей республики. Выявлены области с наивысшими и наименьшими показателями урожайности риса с одного гектара, динамика их изменений за последние годы. Определены основные торговые партнеры и импортеры данной продукции сельского хозяйства нашей республики. Описаны изменения в структуре экспорта риса в государства Евразийского экономического союза, Содружества независимых государств и остальные страны мира. Указаны основные производители риса в мире. Выявлены крупнейшие страны-потребители риса. Проанализирован торговый оборот на мировом рынке риса. Также рассмотрены и предложены мероприятия по совершенствованию производства риса в странах-потребителях.

**Ключевые слова:** рис, экспорт, урожайность, Содружество независимых государств, Евразийский экономический союз, посевная площадь, сельскохозяйственное предприятие, крестьянское (фермерское) хозяйство.

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### **Justification of the economic feasibility of investing in an oil and gas company based on diversification of production and the choice of development strategy**

**Abstract:** Management of any business is based on the development of a strategy, its adaptation to the specifics of the company and implementation. The processes of developing a strategy are based on a thorough study of all opportunities and activities which consists in choosing common areas, markets developed, needs served, methods of competition, resources attracted and business models. The purpose of this article is to substantiate the economic feasibility of investing in an oil and gas company on the basis of production diversification and to make a choice of the company's development strategy. The investment portfolio for the study of oil and gas industry objects was analyzed, during which certain efforts were made to achieve the main goals - this is to preserve the volume of production and diversify oil production routes. The authors proposed strategic important directions for the development of the oil and gas company. Certain main strategic problems, the solution of which requires active marketing and research activities, in which the following factors must be provided: conducting active research in the oil and gas industry; marketing steps to generate revenue from oil sales. The development of a company's development strategy involves a series of activities as part of a long-term company development strategy; development of proposals for the formation of the investment policy of the company, improving the production activities of the company, implementing a range of measures to raise company funds in promising investment projects. There was an analysis conducted to estimate reasonability to invest according to a certain option and the calculation given of efficiency of using production capacities. The following methods were used: expert judgment, comparison, and analogy; analysis of documents and research materials.

**Key words:** economic feasibility, investment, oil and gas company, production diversification, choice, development strategy, efficiency.

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Kyzylorda region is the fifth largest oil and gas condensate producer in the country. In the total proven and recoverable oil reserves in the Republic of Kazakhstan, the share of deposits in the Kyzylorda region is slightly less than 5% [1]. At the same time, due to the transition of most of the fields to the third and fourth stages of development, in the absence of measures to increase and maintain the level of recovery from formations, oil and gas production continues to decline. In such circumstances, it is necessary to develop measures to improve the efficiency of oil and gas companies.

The main strategic problem and, therefore, the goal of the strategy is the «expansion» and «research» of the contract territories. The solution to this problem requires: active marketing and research activities, within the framework of which the following factors must be ensured: conducting active research work in the oil and gas industry; marketing steps to maximize oil revenue. The development of a development strategy for an oil and gas enterprise involves a series of activities. These are: the formation of a long-term development strategy for the company; development of proposals for the formation of the investment policy of the company, improving the production activities of the company, the implementation of a range of measures to raise company funds in promising investment projects; development of measures aimed at increasing profitability and increasing the value of company assets.

The management of any business is based on the development of a strategy, its adaptation



to the specifics of the company and implementation. The company's strategy is a comprehensive management plan that should strengthen the company's position in the market and ensure coordination of efforts, attracting and satisfying consumers, successful competition and achieving global goals [2].

One of the main problems of subsoil users in the Kyzylorda region, and in particular the company under study, is the utilization of associated gases at oil and gas fields [3]. During the analysis of the internal and external environment of the oil and gas company under study, the following disadvantages were noted: field development is at the final third stage; higher than average watering growth rates; stringent requirements of regulatory authorities; narrow market of service works and services; the workload of production capacities of the CGTU and CGTC (Complex gas treatment unit, Central gas treatment center) is at a low level.

These deficiencies can lead to the following negative consequences.

1) External to the company: the company's investment portfolio is not sufficient to maintain the achieved growth rates and the state of the enterprise can be described as transitional. In the near future, growth must be reduced. We can talk about the stability of profit growth, if the company can optimize the production of hydrocarbon products, tie the increase in production at the time of high prices for raw materials.

2) Internal in relation to the company: certain stresses can be created between workers inside the enterprise. There may be some problems in the system of material incentives for the company personnel. All this requires the urgent need for change in the enterprise.

In accordance with the specific capabilities of the enterprise, it is proposed to take the following strategic steps to achieve the main goals: to preserve the volume of production and diversify oil transportation routes, which is achieved by strengthening the strategically important directions presented in Figure 1.

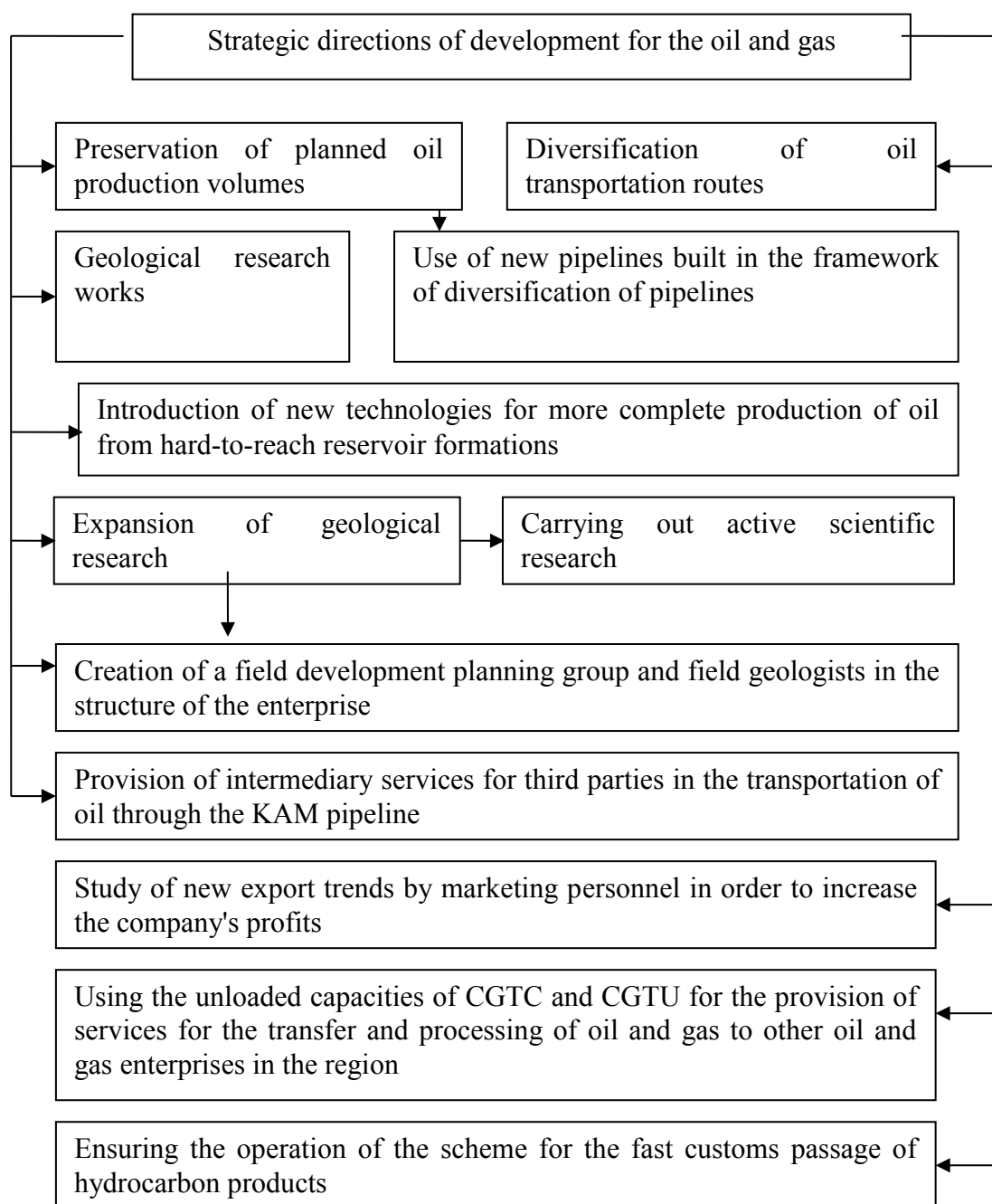


Figure 1 - The main strategic directions for achieving the goals of the oil and gas company

Note: Compiled by the authors on the basis of research and analysis of the oil and gas company.

Strengthening the company's position in the oil market in all types of activities and prospects for the development of the enterprise in the future will occur during the implementation of this strategy. This will ensure the growth of the company. The strategy is aimed at promoting services to provide customers - buyers with hydrocarbon raw materials (oil) and its specificity will be determined by real strategic opportunities and development prospects.

In a specific case, taking into account the capabilities of the company in accordance with the main goals, it is important to take strategic steps to achieve these goals. Due to the fact that over the past period, oil production has been decreasing from year to year, the task of maintaining

the planned production volume and diversifying oil transportation routes are goals within the framework of which it is necessary to maintain the level of oil produced and, if possible, increase oil production.

This is possible only by strengthening the following important strategic directions:

- to strengthen geological research, namely, to carry out mineral exploration to create a group of geologists and engineers;
- to use new pipelines built as part of the diversification of pipelines;
- for more complete production of oil from hard-to-reach formations of the field, introduce new technologies and, if possible, use the unloaded capacities of the CGTU and CGTC;
- the provision of intermediary services for third parties in the transportation of oil through the KAM pipeline.

The expansion of geological research involves the following steps: creating a field development planning group and field geologists in the enterprise structure; conducting active research work.

Diversification of pipeline routes involves the following steps:

- research of new export destinations by marketing staff in order to increase company profits;
- use of unloaded capacities of CGTC for the provision of services for pumping oil to other oil and gas enterprises in the region;
- ensuring the operation of the fast customs transit scheme for hydrocarbon products.

Thanks to the implementation of this strategy, the position of the oil and gas company in the market in the main activities and ensuring the growth of the company and its future prospects will be strengthened.

The specifics of a business strategy aimed at promoting services to provide customers with hydrocarbon raw materials will be determined primarily by strategic opportunities and prospects.

Therefore, the main strategic problem and, therefore, the task of the strategy is the «expansion» and «research» of the contract territories. Therefore, in this situation, strategically important areas were active marketing and research activities, within the framework of which the following factors should be provided such as conducting active research in the oil and gas industry and marketing steps to maximize oil revenue. In addition to research, it is necessary to develop measures to work with existing customers, as well as the creation and expansion of new ways of transporting hydrocarbons.

The process of developing a strategy is based on a thorough study of all possible areas of development and activity and consists in choosing the general direction, markets developed, needs served, methods of competition, attracted resources and business models [4]. In other words, strategy means choosing a company development paths, markets, methods of competition and business.

I. The formation of a long-term development strategy for an oil and gas company should be as follows:

1. The growth of company value and financial stability.
2. Optimization of oil and gas production and markets for oil and gas in accordance with changes in market conditions.
3. Reduction of capital costs.
4. The dynamic growth of free cash flow of the company.
5. Growth in the income of company shareholders.

II. The development of proposals for the formation of the investment policy of the company, the improvement of the investment activity of the company, the implementation of a set of measures for investing company funds in promising investment projects should contain:

1. Participation in tenders (organized by the Ministry of Energy of the Republic of Kazakhstan) for obtaining the right to explore and develop new oil and gas fields.

The competition for the subsoil use right is held by the competent authority or the local executive body of the regional, city of republican significance, the capital in accordance with the law “On Subsoil and Subsoil Use” [5]. Information about competition and its conditions are published in periodicals distributed throughout the Republic of Kazakhstan. All persons wishing to participate in the competition are entitled to receive information related to the procedure for the competition.

In case of the consent with the procedure for holding the tender, the tender participant shall submit an application no later than the deadline established by the tender conditions. The term provided to bidders for filing applications for participation in the tender for the subsoil use right may not be less than one month from the date of publication of the notification about the tender. An applicant who is eligible to participate in the tender shall, within the terms established by the terms of the tender, draw up a tender proposal for obtaining the right of subsoil use for exploration, production, combined exploration and production.

The tender proposal must contain:

- 1) the proposed size of the subscription bonus;
- 2) documents confirming the possibility of fulfilling the obligation to pay the declared signature bonus in full (own funds, bank guarantees);
- 3) the amount of expenses for the socio-economic development of the region and the development of its infrastructure;
- 4) obligations on local content in personnel, which should grow as the implementation of mandatory training programs and advanced training of Kazakhstani personnel;
- 5) obligations to train Kazakhstani personnel;
- 6) obligations on local content in goods, works and services necessary for the performance of work under the contract;
- 7) the amount of expenses for research, scientific and technical and development work in the territory of the Republic of Kazakhstan, necessary for the performance of work under the contract;
- 8) obligations to join the Memorandum of Understanding regarding the implementation of the “Extractive Industries Transparency Initiative in the Republic of Kazakhstan” prior to signing the contract, with the exception of tenders for subsoil use rights for common minerals and ground waters;
- 9) a copy of the document confirming payment for the acquisition of geological information.

The winner of the competition is determined by the results of consideration of competitive offers:

- 1) the size of the subscription bonus;
- 2) the amount of expenses for the socio-economic development of the region and the development of its infrastructure.

The deadline for summing up the results of the tender should not exceed fifteen days from the deadline for submitting tender proposals. The winner of the competition will conclude a subsoil use contract [6]. According to our assessment, significant financial costs will not be required to participate in the tender for the acquisition of new contracts for the field. On the part of the company, it will only be necessary to acquire the necessary geological information from the state in order to prepare an application for participation in the tender in a high-quality and professional manner.

2. Acquisition of a stake in companies engaged in the exploration and development of oil and gas fields adjacent to the oil and gas company.

In connection with the similar importance of the functional strategy for the development of new deposits, it is undoubted that special financing is necessary. To finance geological research, to increase the proven reserves of raw materials in new and existing fields, massive investments will be required.

The effective activity of firms, companies and organizations in the long term, ensuring high rates of their development and increasing competitiveness is largely determined by the level of their investment activity and the range of investment activity. Being a joint stock company, the company is constantly dependent on decisions made by shareholders, in particular investing in current economic and economic activities. Being a company for the extraction and primary processing of hydrocarbons, the company's management, as part of further development and a set of measures to increase profitability, could enter the local hydrocarbon production market in order to select promising companies for investments of both medium and long term nature.

The company, depending on the specific type of real investment, formulates the requirements for the investment project being developed. An investment project is an internal document for investment types that do not require large financial investments and are financed only from the company's own funds. Such a project, as a rule, includes an abbreviated list of sections and indicators, while the purpose of the investment project, its main parameters, the amount of necessary financial resources, as well as the performance indicators of this investment project are mandatory.

An investment project that requires a large amount of financing and for which external sources of financing are attracted allows first of all the company, and then external investors to comprehensively evaluate the expected effectiveness and feasibility of making specific real investments [7].

In this connection, that in this case, the project is associated with attracting external financing, the list of requirements for the investment project is growing significantly.

In our opinion, in this case, the investor or lender needs to have a complete picture of the investment project in which it takes part in financing. The project should include the main indicators of marketing, economic and financial performance, the amount of necessary financial resources and the timing of their return, strategic investment concept.

In addition, the analysis made it possible to describe new trends in the development of the oil and gas company, formulate hypotheses about the prospects of the enterprise, as well as identify alternative ways of successful functioning of the enterprise in the oil business market.

An important point is the identification of opportunities to increase the profitability of the enterprise. As already mentioned for our company, this is an increase in oil production. But, unfortunately, the reality does not allow increasing oil production since the enterprise is already at a late stage of field development with a declining production level. Undoubtedly, in such conditions, to enhance the competitiveness of the oil and gas company, it is necessary to look for new methods of doing business. One of these alternatives is the use of freed up and partly loaded production capacities by providing services to other oil organizations.

In the course of the analysis of the company's activities, several such areas were identified.

One of these areas is a gas processing plant. The volume of output depends on the volume of oil and gas production at the field. Now in the face of falling production volumes, the problem of the effective operation of the CGTU plant is acute.

To load the production capacity it is insufficient to have volume of associated gas produced at the field on the contract territory. In order to preserve the experienced and qualified specialists of the company, several options for the further operation of the plant were proposed.

Option 1 is the use of CGTU in the form of additional gas processing from the "CH" field and sending gas to the GTU (Gas Turbine Unit) to generate electricity.

Option 2 (less attractive) is the provision of services at a certain tariff to neighboring oil and gas companies for gas processing [8].

The study takes into account the option of supplying gas from the CH field based on the establishment of a consortium with another oil and gas company.

The gas reserves of the CH field are about 0.91 billion m<sup>3</sup>, of which 0.74 billion m<sup>3</sup> are



recoverable. This will make it possible to increase gas supply volumes to CGTU plants by 3.2 times and increase production volumes of liquefied propane-butane at the CGTU plants by approximately 63% and dry gas output for GTU by 57% (Fig. 2).

It can be seen from the figure that if a consortium is created, production indicators for gas utilization will improve significantly, and this indicates the success of the project in increasing the competitiveness of the CGTU and the oil and gas company in general.

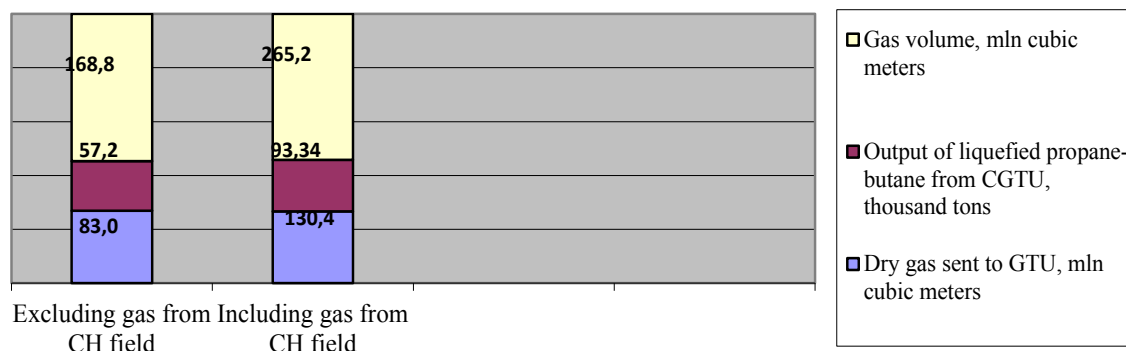


Figure 2 - Production and economic effect of the use of CGTU and GTU

Note - Source data [8].

In the calculation, actual data for 2014 (since we are talking about a project in which the years of the beginning of this study fall exactly this year) and forecast indicators in the horizon until 2020 were used. In both cases, the net income from the use of CGTU and GTU gives a positive value, where the net profit in the first and second options is 20.92 and 48.83 million US dollars, respectively. That is, the company's net income will be increased by almost 2.5 times (Table 1).

Table 1

#### Analysis of the effective use of CGTU and GTU

Indicators	Excluding gas from the CH field	Including gas from the CH field	Deviation, %
1. The volume of gas, million m3	168.8	265.2	157
2. The output of liquefied propane-butane from CGTU, thousand tons	57.2	93.34	163
3. Dry gas sent to gas turbines, mln. m3	83	130.4	157
4. The average price of liquefied propane-butane, tons/US dollars.	320	320	100
5. Income from the sale of propane-butane, mln. USD	18.3	29.87	163
6. Income from electricity generated by gas turbines, mln. USD	15.75	40.51	257
7. Operating expenses (CGTU, GTU), mln. USD	13.14	21.54	164
8. Net profit, million US dollars	20.92	48.83	233

Note - Compiled according to the source [8].

However, the table shows that the company, subject to the use of gas from the CH field, can increase revenue and, therefore, in the financial report can capitalize the amount of income on the value of the company. As a result of this, in the foreseeable future, the competitiveness of the oil and gas company may increase significantly.

For a better understanding of profit growth, see Figure 3, which describes in detail the process of generating net income.

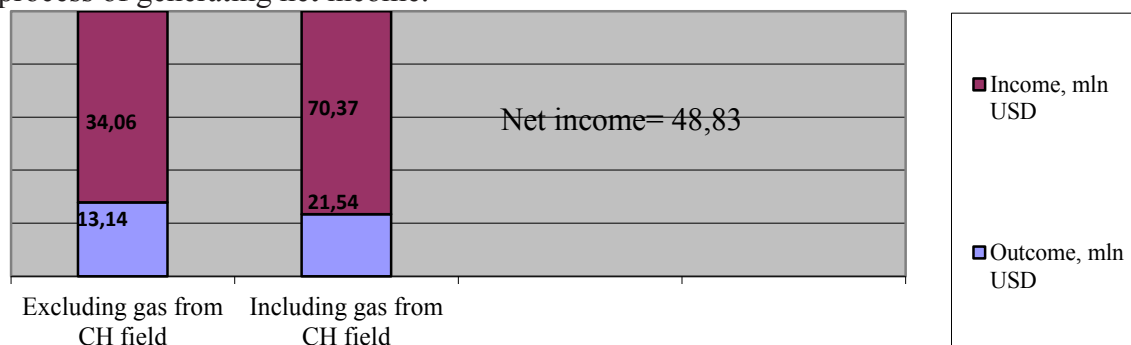


Figure 3 - The economic effect of the use of CGTU and GTU

Note - Compiled according to the source [8].

The oil and gas company decided to conduct pilot works for a period of 14 days for trial operation of production facilities included in the gas supply system from the CH field and the CGTU plant. This will be done in order to create a consortium.

The decision on the option associated with the reserves (predicted and proven recoverable) of hydrocarbon raw materials at the field does not allow increasing production volumes, and accordingly the geological and technical analyzes of the field development indicate a further decrease in production, which was also associated with a high water cut of production wells. This, in turn, involves high costs (an increase in the cost of oil and gas production), as one of the features of costs in the oil and gas industry. That is, our company cannot simultaneously reduce production personnel with a drop in oil production. In this case, the acquisition of new oil or gas fields can serve as a solution to this problem in the future.

These fields should be located near the main existing production facilities of the oil and gas company in order to use existing production facilities. One of these potential deposits is CH. No one is currently developing the field, since the oil and gas company is only an operator and must submit to the Board of Directors any types of operations that are not included in the main contractual activities of the company. In this regard, given that the co-owner of the CH field is one of the shareholders of the oil and gas company, it was proposed by our company to create a consortium to develop the CH field with the participation of all interested parties.

According to available information, the proven hydrocarbon reserves in the field are about 30 million tons of oil and 0.7 billion m<sup>3</sup> of gas, recoverable oil reserves are 20 million tons of oil and 0.46 billion m<sup>3</sup> of gas. The main production facilities of the company are concentrated on the territory of the deposit, and the enterprise has a sufficient volume of production capacities located in the immediate vicinity of the CH field, and the released production capacities on the CGTC. The transfer of the right to develop the CH field to the company and the existence of an existing gas processing plant of CGTU will prevent the construction of a similar facility to other oil and gas companies.

The company spent about 100 million US dollars on the construction of the plant. The similarity of the quality indicators of the hydrocarbons of the K and CH fields will allow using the CGTU for gas processing at both fields.

The use of gas treatment and gas treatment facilities owned by the oil and gas company, as well as other expensive production facilities, will create a reliable platform for the development of the CH field. At the same time, the construction of new facilities will be reduced as much as possible, which will increase the economic efficiency of the consortium. The main strategy for the development and production of the existing K field and potential CH will be the smooth use of production and labor resources from one field to another. Along with a decrease in oil production at the Kumkol field and an increase in production at CH, existing experienced and qualified specialists, as well as managerial personnel, will allow the company to develop several fields with the lowest production and general business expenses.

The acquisition of the right to develop a new field through the creation of a consortium will give the oil and gas company not only a new impetus in the development of the enterprise, but will also save jobs, which is very important for the social policy of the region. It is also possible to highlight significant improvements in the sphere of work and interaction of the personnel of the enterprise within the framework of the organizational structure, the system of business processes, as well as the management of the enterprise.

Based on the analysis, the formation of a long-term development strategy for the oil and gas company involves: optimizing many aspects of its activities in order to remain effective, able to overcome difficulties and timely respond to external and internal changes; the implementation of measures to implement effective management, the development of measures aimed at increasing profitability and increasing the value of the assets of the enterprise. A thorough study of all possible areas of development of the enterprise, the choice of general direction, market development, servicing needs, methods of competition, attracted resources and business models is the process of developing a strategy. Thus, the strategy means the choice by the enterprise of effective and efficient ways to develop the market, methods of competition and business, and the development of the strategy, its application and adaptation to the specific features of the enterprise lies at the heart of business management.

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### **Өндірісті әртараптандыру негізінде мұнай-газ компаниясын инвестициялаудың экономикалық орындылығын негіздеу және даму стратегиясын таңдау**

**Аңдатпа.** Кез-келген бизнесті басқару стратегияны жасауға, оны компанияның ерекшеліктеріне және оны іске асыруға бейімдеуге негізделген. Стратегияны әзірлеу үдерісі дамудың және қызметтің барлық мүмкін бағыттарын мұқият зерделеуге негізделген және жалпы бағытты, дамыған нарықтарды, қызмет көрсетілетін қажеттіліктерді, бәсекелестік әдістерін, тартылған ресурстар мен бизнес үлгілерді таңдаудан тұрады. Бұл мақалада өндірісті әртараптандыру негізінде мұнай-газ компаниясын инвестициялаудың экономикалық орындылығына негіздеме беру және компанияның даму стратегиясын таңдау мақсаты берілген. Зерттеу объектісі мұнай-газ компаниясының инвестициялық портфелі талданады, оның барысында негізгі мақсаттарға жету үшін белгілі бір стратегиялық қадамдар жасалады - бұл өндіріс көлемін сақтау және мұнай тасымалдау тәсілдерін әртараптандыру. Авторлар мұнай-газ компаниясын дамытудың стратегиялық маңызды бағыттарын ұсынды. Белсенді маркетингтік және зерттеу қызметін қажет ететін негізгі стратегиялық мәселе анықталды, оның аясында келесі факторлар қамтамасыз етілуі керек: мұнай-газ саласында белсенді ғылыми-зерттеу жұмыстарын жүргізу; мұнайдан түсетін табысты көбейтуге арналған маркетингтік қадамдар. Компанияның даму стратегиясын әзірлеу бірқатар іс-шараларды қамтиды, мысалы, компанияның ұзақ мерзімді даму стратегиясын қалыптастыру; компанияның инвестициялық саясатын қалыптастыру, компанияның өндірістік қызметін жетілдіру, перспективалық инвестициялық жобаларға компания қаражатын тарту бойынша бірқатар шараларды жүзеге асыру үшін ұсыныстар әзірлеу. Белгілі бір нұсқаға сәйкес инвестициялаудың орындылығына талдау жасалып, өндірістік қуаттарды пайдалану тиімділігінің есебі келтірілген. Қолданылған әдістер: сараптамалық бағалау, салыстыру және аналогия; зерттеу құжаттары мен материалдарын талдау.

**Түйін сөздер:** экономикалық негіздеме, инвестициялар, мұнай-газ компаниясы, өндірісті әртараптандыру, таңдау, даму стратегиясы, тиімділік.

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### **Обоснование экономической целесообразности инвестирования нефтегазовой компании на основе диверсификации производства и выбор стратегии развития**

**Аннотация.** В основе управления любым бизнесом лежит разработка стратегии, ее адаптация к специфике компании и реализация. Процесс выработки стратегии основывается на тщательном изучении всех возможных направлений развития и деятельности и заключается в выборе общего направления, осваиваемых рынков, обслуживаемых потребностей, методов конкуренции, привлекаемых ресурсов и моделей бизнеса. В данной статье поставлена цель: дать обоснование экономической целесообразности инвестирования нефтегазовой компании на основе диверсификации производства и сделать выбор стратегии развития компании. Проанализирован портфель инвестиций исследуемого объекта нефтегазовой компании, в ходе которого предприняты определенные стратегические шаги для достижения основных целей - сохранения объема добычи и диверсификации путей транспортировки нефти. Авторами предложены стратегические важные направления развития нефтегазовой компании. Определена основная стратегическая проблема, решение которой требу-

ет активных маркетинговых и научно-исследовательских мероприятий, в рамках которых должны быть обеспечены следующие факторы: проведение активных научно-исследовательских работ в нефтегазовой отрасли, маркетинговые шаги с целью максимизации дохода от реализации нефти. Выработка стратегии развития компании предполагает проведение ряда мероприятий, таких как формирование долгосрочной стратегии развития компании, разработка предложений по формированию инвестиционной политики компании, совершенствование производственной деятельности компании, реализация комплекса мероприятий по привлечению средств компании в перспективные инвестиционные проекты. Проведен анализ целесообразности инвестирования по определенному варианту и дан расчет эффективности от использования производственных мощностей. Использованы следующие методы: экспертная оценка, сравнение и аналогия, анализ документов и материалов исследования.

**Ключевые слова:** экономическая целесообразность, инвестирование, нефтегазовая компания, диверсификация производства, выбор, стратегия развития, эффективность.

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### **Justification of methodical approach to definition of the direction of development of the personal husbandries**

**Abstract:** The purpose of this article is to study the problems and the need to introduce a methodological approach to determining the direction of development of the personal husbandries in Kazakhstan.

The article substantiates the need for a methodological approach to determining the direction of development of the personal husbandries. The initial data and socio-economic conditions of functioning of farms of the population on which the initial information making calculations on justification of volume and structure of production in farms of the population is developed are resulted. Calculated and presented in the form of a table the volume of households, to fully meet the needs of food for families of different composition. The socio-economic development of the settlement and the type of development of the rural settlement, which directly affects the development of the personal husbandries, are also considered. There are three groups of settlements according to the level of development of the economy of the population, which contribute to the development of the economy. It is proposed to introduce the imputed return on assets indicator, this is the expected level of return on assets of the economy, provided that the profit will be realized and received, and the amount of production that is consumed personally by the owners of the economy and their families.

The methods and results obtained were used in the research of this problem. The works, thoughts and researches of domestic and foreign scientists were considered as theoretical and methodological foundations of the research work. In accordance with the objectives of the article, a systematic approach to the selection of information, quantitative and qualitative methods of studying and describing the current situation, as well as methods of economic-statistical and comparative analysis were used as the selected methods. Mathematical calculations were made, which served to identify the necessary methodological approach. The methodical approach which can be used in practice for justification of the optimum sizes and structure of production in farms of the population of citizens considering individual conditions of production in each concrete case was revealed.

**Key words:** personal husbandries, efficiency, productivity, village, rural population, agricultural crops, crop production, animal husbandry.

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**Introduction.** The modern stage of development of agriculture in the Republic of Kazakhstan is characterized by the presence and management of a large number of enterprises of various forms of ownership, such as agricultural enterprises, farms, households (personal subsidiary farms). The need for economic efficiency and determining the direction of the above entities requires comprehensive scientific research on the functioning of a mixed agrarian economy, the interaction of the prevailing forms of management and identify the most promising and economically viable forms of economic activities in agriculture.

One of the actual aspects in studying of activity of farms of the personal husbandries is a question of methodical approaches to definition of the direction of development and the optimum sizes of farms. In the economic literature, this question remains debatable. The optimal size of the land plot depends on many factors, and above all, on the type and technology of the production process. Market theory shows that for different types of production there are appropriate optimal

sizes of land. In addition, in each case, the size depends on the structure of the products grown and on the resources used, for example, for wheat cultivation, the optimal size of the fields should be sufficient for the use of combine harvesters.

Economies of scale are an important source of efficiency gains for large farms. The matter is that in agrarian production there are such technologies at which use economy on scales is reached. Although, it is obvious that in this case, the the land plot can be expanded not indefinitely, but to certain limits, after which further expansion becomes economically unprofitable [1, p.352].

Goals and objectives of the study. The purpose of the study is to determine the direction and optimal size of the personal husbandries and focus on their development.

Given the availability of literature on the study of the personal husbandries and their experience, there is a need to determine the direction of their development, which will give certain opportunities. To achieve this goal, the following tasks of theoretical, methodological and practical nature are set:

- to determine the factors influencing the development of the personal husbandries;
- to justify the most rational structures and parameters of the economy, depending on the specialization;
- to determine the economic efficiency of households, taking into account the consumption of products in the family and the volume of marketable products, depending on market conditions;
- to determine the volume of production depending on the composition of the family, and the stock of labor resources;
- to determine features of farming in the market.

**History of research.** Economic activity in the personal husbandries of the population is determined by the influence of numerous socio-economic factors. There are different approaches to the establishment of conditions affecting the development of the personal husbandries in the economic literature. All factors affecting the development of the personal husbandries are divided into two groups: group I, depending on the internal factors of the family and group II, depending on external factors. Moreover, the latter provide characteristics of the economic conditions on which both the needs and the ability of the family to run their household depend. Factors relating to the family reflect its socio-economic characteristics, which affect both the needs and the ability to run their own personal husbandries.

The economy of the personal husbandries in Kazakhstan is an economic form with a difficult fate. Along with the recognition of the right to its existence and the promotion of development, there have been periods of its restriction and curtailment, even the task of creating conditions for its complete extinction. But the real life contrary to the theory dictated the, especially in the context of insufficiently rapid improvement in the country's food situation [2].

The personal husbandries based on the right of possession or property of the land plot independently determine the direction of the activity, structure and volume of production, proceeding from own interests. The choice of production direction should be carried out taking into account a number of objective factors, the most important of which are:

- availability of land and its qualitative composition;
- family composition and number of able-bodied family members;
- provision of technical and financial means for the purchase of seed and planting material, as well as fuel and lubricants;
- location of the farm, proximity of markets for products, availability of vehicles and the possibility of processing products;
- availability of skills, abilities and qualifications in the conduct of a particular industry.

Following factors determine the features in the approaches when justifying production lines, volumes, or rather the optimal size and parameters of the personal economy.

Currently there are three types of households:

- the personal husbandries, which produce their products for themselves, focused on satisfying the needs of a family missing in the food;
- the consumer-commodity personal husbandries, providing family products, as well as being sources of additional cash income;
- the commodity of the personal husbandries focused mainly on the production of commodity products. This category uses up to one hectare of land, and sometimes more;

In this regard, it should be noted that due to the sharp reduction of acreage in all categories of management, the personal husbandries have the opportunity to use additional land without prejudice to other forms of management.

**Methods of research.** The works of domestic and foreign scientists devoted to the study of the personal husbandries, various actual problems and their effective development formed the theoretical, methodological and informational base of the study. Justifying the methodological approaches to determine the direction of development of the personal husbandries used general scientific approaches to the study of economics are scientific abstraction and extrapolation, induction and deduction, system analysis, description, methods of analysis and synthesis, methods of quantitative and qualitative study of reality, and also the method of mathematical calculations. On the basis of this, a number of studies have been conducted. For the abstract-logical method of studying this theme, a large amount of material from literary sources was investigated and analyzed.

**Research of result.** The infield currently ranges from 0.06 to 0.25 hectares, with an average of 0.15-0.20 hectares of land. On the basis of the Land code in the Republic of Kazakhstan it is allowed to have up to 25 hundredths of a hectare, including 15 on irrigated lands, these lands are presented free of charge. In addition, during the period of denationalization and privatization of state-owned enterprises, each member of the collective and the resident of the village and those wishing to run their own farm. Taking advantage of this right, some owners of farms of the population received them and use them for cultivation mainly forage crops.

To determine the direction of development of the personal husbandries, it is necessary to build a detailed task taking into account the objective information of each farmstead. In the conducted studies, the sources of initial information for determining the direction of development of population farms were the materials of the survey of population farms, statistical collections of the Republic and Turkestan (former South Kazakhstan) region, the standards of different sources studying population farms, also the information developed by the authors.

When determining the volume and structure of production in the personal husbandries, it is necessary to take into account a number of conditions in which they operate.

Since the rural population is not provided with food in the desired range through a distribution network, they provide themselves with food due to their the personal husbandries, as a rule, within science-based standards taking into account the traditional structure of the consumption of bread, potatoes, vegetables, milk, meat etc. In this regard, the original order should determine the range and quantity of products needed for self-sufficiency. For this purpose the following initial data are taken into account:

1. The family's need for food is calculated based on the recommended nutritional standards of the population. Consumption of bread products per capita per year is 95 kg, potatoes - 100 kg, vegetables - 146 kg, meat and meat products - 82 kg, milk and dairy products - 405 kg, eggs - 392 PCs. In each case, the types of production should be established taking into account the interests and inclinations of the owners of the farmstead and market demand.

2. To calculate the total volume of food production, it is necessary to take into account the number of family members, its gender and age composition. Therefore, it is advisable to use consumer units developed by A.V.Chayanov. According to its classification, an adult male is taken for – 1, a woman for 0,8 full eater, a child under 1 year for 0,1; a child from 1 year to 3 years

for 0,3; from 7 to 12 years for 0,5; from 13 to 17 years for 0,7 full eater. From the age of 18, the second generation, without distinction of sex, is accepted as 0,9 [3].

3. Qualitative indicators of the development of agricultural industries-crop yields and livestock productivity-are set for each particular farm according to past years, taking into account the fertility of the land. The productivity of animals-depending on the current productivity over the past three years.

4. The need and structure of feed for production, units of livestock products are established on the basis of group norms of feed consumption for the production of livestock and poultry in the personal husbandries [4].

With the above initial data and socio-economic condition for the functioning of the personal husbandries, and developed baseline information compiled calculations to substantiate the volume and structure of production in the personal husbandries for families of different composition, for example: a family of three people – two working adults and a child up to 3 years (or 2,1 consumer units of 1,16 conditional units of labor, the ratio of 1,7); a family of five people-two able-bodied, children of 10 and 14 years, a non-working pensioner-a woman (3,8 consumer units, 2,17 conditional labor units, the ratio of 1,8).

First, it is necessary to establish what size of the economy should have a family of the listed composition to meet only the needs of the family in food when farming on their own.

Knowing the family's need for food, scientifically based standards, livestock productivity and crop yields, it is not difficult to determine the volume of production for personal consumption. The results of the calculations compiled from the above initial data show that for a family of three people to meet only the needs of the family in food, 0.15 hectares are needed, provided that the basic farms are allocated hay and pastures. At the same time, it is advisable to approximately the following structure of acreage: potatoes - 0.54; fodder - 0.04; vegetables - 0.04 and other crops – 0.016 hectares. For a family of four people to fully meet the need for food, it is necessary to have 0.187 hectares with the following structure of cultivated areas: potatoes – 0.067; fodder-0.05; vegetables-0.05. For a family of five people for these purposes is required-0.224 hectares, including potatoes-0.075; fodder-0.064; vegetables-0.06 hectares.

To meet the needs of the family in food, it is advisable to have a farm for families of three people-0.56 cows, 3 goats, sheep, a goat of 8.5. birds and one pig. For families of four-0.8 cows, 5 head. sheep, 10.0 goat. birds. Families of five can have 1 cow, 1.5 head. pigs, 7 goat. sheep, 13.0 goat. birds (table 1).

Table 1

**The size of the personal husbandries, to fully meet the need for food for families of different composition**

Name of food	Family composition, people		
	3	4	5
The area of the plot, hectare including occupied under:	0,15	0,187	0,224
Potato	0.054	0,67	0,75
Vegetables	0,040	0,05	0,06
Fodder crop	0,04	0,05	0,64
Other	0,016	0,020	0,025
Number of animals, including:	0,56	0,8	1,0
Cows			
Sheeps	3,0	5,0	7,0



Pigs	1,0	1,0	1,5
Poultry	8,5	10,0	13,0
Annual labor reserves, hour	473,6	721,6	874,4
The share of annual labor costs in the total labor supply, %	72,8	89,9	75,2
Source: compiled by the authors on the basis of calculations			

The information from the table show that with the growth of the number of family members, the necessary land area, the number of livestock animals increases, which requires a lot of labor. Thus, the developed calculations reflect the existing relationship between the size of the economy and the size of the family. It testifies to production in them both productions for personal consumption, and for realization. Moreover, for the production and commodity part of the products in families of different sizes there is a stock of labor. In this regard, the next step is to calculate the total stock of labor resources in the family and its costs in the production of products for personal consumption.

The greatest difficulty is the establishment of labor costs. To calculate the labor costs for the year in crop production, technological maps for agricultural crops are compiled, based on the standard norms of production at horse-manual agricultural works [5, p.335; 6, p.150].

On a particular farm should consider the specific features of technology of cultivation of crops, level of mechanization and other labor Costs for service animals based on the studies of the time budgets of the rural population [7]. According to which 480 hours are spent on the conditional head of cattle in farms when distributing feed manually, watering from troughs, milking and removing manure manually. On one head of other branches of animal husbandry expenses of work can be calculated on the general economic coefficients of transfer of a livestock in conditional heads.

When calculating the stock of labor available to the family, it should be taken into account that in the production of private households are employed by different groups of the population by sex, age and employment in collective production. Men engaged in collective production during the agricultural season about 8-10 hours a day, work in the personal economy, as a rule, more. Women spend less time in the collective economy, so they spend more time in the personal economy than men. The share of the able-bodied population engaged in collective production accounts for 55-60% of the total labor costs of the personal husbandries. A significant part of labor costs – 30-40% and falls on the work of retired people and adolescents and about 4-10% - workers employed only in the personal husbandries [8,9].

The length of time spent on personal farming for retired people depends on their employment in collective production. Non-working retired people spend more time in the private sector, while men have more labor costs than women, who spend a lot of time on housekeeping. Most of the time working on the farm teenagers fall during the holidays. In all categories of workers employed in the personal husbandries, daily labor costs in the summer are about twice as high as in the winter.

According to the study of scientists like K.V.Kopach and D. Petrusheva, labor costs for maintaining the personal husbandries farms (households of the population) of collective production workers are: for men – on working summer days – 1-1. 13 hours. For women, labor costs are 0.72-1.07 and 1.43-2.14 hours in winter on working days and weekends, respectively, and 2.07 – 2.34 and 3.52-6.21 hours in summer. Non-working retired people have these costs, men-1.20 and 2.80 hours. Working retired people work in the private sector for 65-70% less than non-working. When working with children over 16 years of age, time costs are adjusted by 0.83 of the labor

costs in the the personal husbandries of an adult man. Children 12-16 years old spend about 1.5 times less time on work in the personal husbandries than older children. On the basis of the given labor costs by categories of employees, the total annual labor costs are calculated – the possible Fund of working time of each employee. Taking as a unit the annual labor costs in the personal husbandries of unemployed male pensioners, the coefficients of labor units are calculated (table 2) for all categories of workers that are necessary in determining the volume and structure of production in private households.

Taking this distribution of labor costs as a basis, you can get the distribution of total labor costs for the adult population. The distribution of total labor costs by months of the year in households is made by analogy and standards of agricultural enterprises, which differs little from the seasonality of labor in them.

Thus, on the basis of standard norms of production and technological cards the total stock of work for families of different number is calculated. Thus, for families of 3 people, the total labor supply is 1086,2 hours, 4 people - 1596,9 and 5 people – 2037,7 hours.

Table 2

**Normative labor costs in the personal husbandries by categories of employees**

Category of workers	Labor costs per year, hours	The coefficients of the conditional units of labor in households
Employable: The men	398,30	0,43
The women	687,90	0,73
Retired people, who work: The men	404,70	0,43
The women	316,76	0,34
Retired people, who don't work: The men	935,74	1,00
The women	732,40	0,78
Teenagers 12-16 years old	219,06	0,23
Over 16 years old	330,06	0,35
Source: compiled by the authors on the basis of calculations		

The socio-economic development of settlements has a great influence on the development of the personal husbandries. The larger the size of the settlement, the more developed its infrastructure, and the less developed the economy of the population.

In addition to the above factors, the development of the personal husbandries is influenced by the type of development of rural settlements. The best option that contributes to the development of the personal husbandries is when the owner of the farm lives in his own house, having a personal plot. Practically it is a house-estate with all necessary constructions. The owner of the farm is trying to expand his land, ennoble it, and improves the irrigation system.

A sharp reduction in the size of homesteads occurs already in the transition from their own home to the house of the enterprise. In this case there is a final (and perhaps the most significant) psychological transition from the peasant to the wage-earner. Further reduction of homesteads is observed in the presence of housing in an apartment building. If a villager does not live in his house, the reasons why he does not have or reduces the number of cattle in his personal household change radically.

Practical activities of households indicates the following: for more time-consuming types of livestock (cows, young cattle) is rural, living in houses of the enterprises, especially multifamily, have or reduce livestock mainly because of the reluctance to engage in cattle due to the lack of space for its contents. For these two reasons do not have or reduce the number of animals from 50 to 73%.

Thus, living in the homes of businesses, especially multi-family, means, in terms of farming population changing the setting of its maintenance: facilities for cattle are absent, and to build them at their own expense does not allow the psychology of the employee. For people living in their own homes, the main reason for the lack or reduction of livestock is the difficulty with feed. On the one hand, with a limited land area, economically weak farms can not allocate (sell) feed, on the other-it can be assumed that older workers live in their own homes, of course, forage for the winter is a difficult problem for them. Quite clearly there is a trend: the greater the proportion of own housing, the higher the desire to engage in livestock breeding, and priority is given to less labor-intensive species (sheep, young cattle) although noticeable, assume that in their own homes live older workers, of course, forage for the winter for them a difficult problem. The trend is quite clear: the greater the proportion of own housing, the higher the desire to engage in cattle breeding, with priority given to less labor-intensive types (sheep, young cattle), although there are noticeable differences in cows.

Regional differences are characteristic for the development of personal economy. According to the level of development of the economy of the population, it is necessary to distinguish three groups of settlements.

The first group includes urbanized settlements located near large cities. These are mainly district centers and large settlements. The population maintains farms of small size and mainly for the purpose of self-sufficiency in food. The level of marketability of such farms is low.

The second group includes settlements characterized by a high degree of agricultural opportunity. The population in them is occupied mainly in agriculture, these are branches of the former state farms and collective farms. They have preserved the traditional rural way of life, stimulating the conduct of personal farming. Products are produced both for self-sufficiency and for sale in the food market.

The third group includes settlements, the most disadvantaged in socio-demographic and economic terms. These are villages of the so-called outback with a poorly developed road network. They remained mostly elderly population. Material well-being of rural residents of the average level, social and consumer services-unsatisfactory. These factors affect the development of the personal husbandries. In the personal husbandries the production is made only for the purpose of satisfaction of the requirements. Livestock orientation is not typical here. For example, there are 64 heads of cattle per 100 yards. The development of the personal husbandries is mainly due to horticulture and sheep. The analysis revealed the following regularity: the proximity of the district to large railway stations or cities contributes to the increase of marketability of the personal husbandries, even if its size is not large.

The problem of the personal husbandries management by social groups is solved in different ways. Different in quantitative and qualitative composition, socio-economic status, and, accordingly, interests, families choose different ways of conducting the personal husbandries, react in their own way to the difficulties arising in this regard.

Economic efficiency of farms, it is foreseen that not only sold products but also the products used for personal consumption by the farm owners and their families. To this end, the imputed return on assets should be introduced into the calculation of the efficiency of households. Imputed return on assets is the estimated level of return on assets of the farm, provided that we take for sale, and, consequently, profit, and the amount of production that goes to the personal consumption of the owner of the farm and his family members.

One of the important points that must be taken into account in the management of personal husbandries, especially large high-quality, is the state of the market. Therefore, the system of personal economy should be formed taking into account the market environment and is determined by the supply and demand of goods, the level and ratio of prices, the development of market infrastructure. The influence of market factors is greater the higher the level of marketability of the economy.

The personal husbandries, as well as the peasant economy, has both consumer and commodity character, so we consider it wrong to assert that the economy of the population does not depend on market conditions in modern conditions. The owner of the farm, in addition to being an employee and a consumer, is also to some extent an entrepreneur. His functions as an entrepreneur include the assessment of the market situation in order to connect the factors of production in the appropriate system of the real situation, the organization of the production process, the sale of products and other factors of market requirements. Therefore, the market situation should be linked to the system of the personal husbandries [10].

Currently, 80% of the personal husbandries, regardless of family composition, sell their products on the market. Many families do not consume the required rate of production, leaving it for sale. For example, even families of 3 people sell 41% of vegetables (potatoes) and 60% of milk and meat, although they are believed to be natural. Farms of the population consisting of 5 or more people in General are highly commodity, working in the market as well as peasant farms. Modern life forces the peasants to sell as much as possible to the detriment of personal consumption, because this is the only source of real income.

The income from the personal husbandries of the population on average in the region is from 47% of total income per family member per month, and is almost equal in value to the sources of income in the family budget with the income of work at the enterprise [11].

**Conclusion.** In conclusion, it should be noted that the direction of development of the personal husbandries, despite the great potential for sustainability, depends on the overall state of the agricultural sector of the economy and the national economy as a whole. Effective management of the population is impossible without the using of resources of large public farms. Special attention should be paid to the issue of cooperation and integration of households with agricultural enterprises. Taking into account the total volume of agricultural products produced in the households of the population, we believe that it is now necessary to provide some support from the state to these farms. Taking into account the total volume of agricultural products produced in the households of the population, we believe that it is now necessary to provide some support from the state to these farms. It should be expressed in such forms as the provision of soft loans and loans to increase production of marketable products, subsidies and compensations in the production of relevant agricultural products, purchase of leasing of agricultural machinery and breeding animals, organization of marketing and guaranteeing a minimum level of purchase prices of agricultural produce etc. in addition, it is necessary to establish information and Advisory services to owners of farms of the population through the organization of specialized centers or units in the regions.

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### **Жұртшылық шаруашылықтарының даму бағытын анықтауға бағытталған әдістемелік тәсілді негіздеу**

**Аңдатпа.** Мақалада қазақстан халқы дамуының бағыттарын анықтау үшін әдістемелік тәсілді енгізу қажеттілігі мен өзекті мәселелерін зерттеледі.

Мақалада жұртшылық шаруашылығының даму бағытын анықтаудың әдістемелік тәсілінің қажеттілігі негізделген. Жұртшылық шаруашылықтарының жұмыс істеуінің бастапқы деректері мен әлеуметтік-экономикалық жағдайлары келтірілген, олар бойынша жұртшылық шаруашылығындағы өндіріс көлемі мен құрылымын негіздеу бойынша есептерді құрайтын бастапқы ақпарат әзірленген. Әртүрлі құрамдағы отбасы үшін азық-түлік өнімдеріне қажеттілікті толық қанағаттандыру үшін жұртшылық шаруашылықтарының көлемі кесте түрінде есептелген және ұсынылған.

Елді мекеннің әлеуметтік-экономикалық дамуы және ауыл қонысының құрылым түрі қаралды, бұл халық шаруашылығының дамуына тікелей әсер етеді. Шаруашылықтың дамуына ықпал ететін, жұртшылық шаруашылығының даму деңгейі бойынша үш елді мекен тобы аталған. Активтердің өзгермелі рентабельділігі көрсеткішін енгізу ұсынылды. Бұл шаруашылық активтерінің рентабельділігінің болжамды деңгейі болған жағдайда, өнім сатылып және пайда алынып, сондай-ақ шаруашылықтың меншік иелері мен олардың отбасы мүшелерінің өздері тұтынатын өнім санының болуымен сипатталады.

Мақалада зерттеу жұмысының теориялық және әдістемелік негіздері, нәтижелері мен әдістері кеңінен қолданылды. Мақала мақсаттарына сәйкес талданған әдістер: ақпаратты іріктеудің жүйелік тәсілі, ағымдағы жағдайды зерттеу мен сипаттаудың сандық және сапалық әдістері, экономикалық-статистикалық және салыстырмалы талдау әдістері қолданылған. Математикалық есеп-



тері орындалды, олар қажетті әдістемелік тәсілді анықтауға мүмкіндік берді. Әрбір нақты жағдайда өндірістің жеке жағдайларын ескеретін, азаматтардың халық шаруашылықтарында өндірістің оңтайлы мөлшері мен құрылымын негіздеу үшін практикада қолданылуы мүмкін әдістемелік тәсіл анықталды.

**Түйін сөздер:** жұртшылық шаруашылығы, тиімділік, өнімділік, ауыл, ауыл тұрғындары, ауыл шаруашылығы мәдениеті, өсімдік шаруашылығы, мал шаруашылығы.

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### **Обоснование методического подхода к определению направления развития хозяйств населения**

**Аннотация.** Целью данной статьи является изучение проблем и необходимости внедрения методического подхода к определению направления развития хозяйств населения Казахстана.

В статье обоснована необходимость методического подхода к определению направления развития хозяйств населения. Приведены исходные данные и социально-экономические условия функционирования хозяйств населения, по которым разработана исходная информация, составляющая расчеты по обоснованию объема и структуры производства в хозяйствах населения. Рассчитаны и представлены в виде таблицы объемы хозяйств населения, необходимые для полного удовлетворения потребностей в продуктах питания для семей разного состава. Также рассмотрены социально-экономическое развитие населенного пункта и тип застройки сельского поселения, что напрямую влияет на развитие хозяйств населения. Перечислены три группы поселений по уровню развития хозяйства населения. Предложено введение показателя вмененной рентабельности активов. Это предполагаемый уровень рентабельности активов хозяйства при условии реализации и получения прибыли и то количество продукции, которое потребляется лично собственниками хозяйства и членами их семей.

Теоретические и методические основы данного исследования - труды отечественных и зарубежных ученых. В соответствии с целями статьи были использованы такие методы, как системный подход к отбору информации, количественные и качественные методы изучения и описания текущей ситуации, а также методы экономико-статистического и сравнительного анализа. Произведены математические расчеты. Определен методический подход, который может использоваться на практике для обоснования оптимальных размеров и структуры производства в хозяйствах населения граждан. Он учитывает также индивидуальные условия производства в каждом конкретном случае.

**Ключевые слова:** хозяйство населения, эффективность, производительность, село, сельское население, сельскохозяйственные культуры, растениеводство, животноводство.

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### Corporate volunteering and its benefits

**Abstract:** The article is devoted to an in-depth study of corporate volunteering, its impact on the organization of enterprises, identifying its benefits. Volunteering is one of the social components of socially responsible companies. considered as a special management approach. The problem of volunteering has recently become a rather lively topic, both for individuals and for organizations. A large number of companies use volunteering as part of their activities and cannot imagine that they need to conduct business without volunteering. They allow employees to participate in volunteer events organized by the company in which they work. These companies also form the basis in many cases for better organization of this activity. The article mentions certain areas and types of volunteering and, what is equally important, what corporate volunteering is and what are its advantages for the company, for employees and non-profit companies involved.

**Key words:** volunteering, volunteer service, types and directions of volunteer activity, corporate volunteering and its advantages

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As mentioned in the previous chapter, volunteering is one of the social component pillars of socially responsible companies. Problematic of volunteering has been a relatively busy topic lately, both with individuals and organizations. A large number of companies use volunteering as part of their CSR activities and cannot imagine running a business without volunteering. They allow employees to engage in volunteer activities organized by the company they are employed with. These companies also create a foundation in many cases for better organization of these activities. In chapter is described, whatitis volunteering, as volunteering is defined by law. There are also mentioned individual areas and types of volunteer activities and, last but not least, what is corporate volunteering and what are its benefits for the company, for employees and involved non-profit companies. The benefits of corporate volunteering make it clear why companies are focused on volunteer activities in the application of CSR principles.

Definition of volunteering, and a volunteer. First, it is necessary to define volunteering. Concerning the definition, there is no consensus on the uniform wording, but according to Dekker and Halman (2003) we can find in the definitions of volunteering at least three common elements, namely: Volunteering is optional, is without a reward, and is in favor of others.

The fourth element is sometimes referred to as an organization, which is used in the definitions still rather often (Dekker et al., 2003).

Volunteering is a type of work that an individual or group of people chooses as their activity freely, is exercised for others and does not have any financial reward for them. There are two

types of volunteering: formal volunteer invading formal. Formal volunteer ingression help to others in the organizational context, that is, the work that is carried out in the organization or the one mediated by the organization. Informal volunteering is all work for helping others, which takes place outside the organizational context without the right to financial reward (Skovajsa et al., 2010).

A volunteer is a person who, without the right to a financial reward, provides his or her energy, time, know ledge and abilities to the benefit of other people or even society. He is the person who hopes to change things with which he or she is not satisfied, based on his/her efforts and sacrificed time. The volunteer activity carried out by the volunteer depends on the possibilities of the organization and the capabilities of the volunteer. In addition to the willingness of the volunteer to work without a financial claim, there are no further defined requirements. However, there are features that will help the volunteer in volunteering, and these are:

- Openness,
- Flexibility,
- the ability to cooperate,
- Sensitivity,
- Responsibility,
- Tolerance,
- Selflessness (Somro et al., 2006).

It is a great benefit for an organization that uses volunteer services if the volunteer works reliably and can be are quire mentor employees who receive some form of financial reward. On the other hand, the organization should take into account the talents of the volunteer and also leave him space for his creativity. With space for creativity, volunteers have the opportunity to actively engage in the organization's operation and can affect the organization's work. This can serve as am motivation or them because they feel to be a real part of the organization, so it really can change something. Volunteers for given tasks and functions must be selected based on their skills. Ideally, the volunteer should go through the classic selection procedure to see if he or she is fit for the position. Unfortunately, this is still not the rule at present, as organizations are pleased to be drawn up because of the lack of volunteers. However, this is not a good solution in the future as the organization's needs for a job need not meet the volunteer options, so the volunteer's work cannot adequately fulfill its purpose. There are two ways one can become a volunteer.

The first is that one is interested in a specific activity that he or she is interested in, and does not even know at the beginning, or does not consider the possibility to engage in this activity in volunteering. The second is that one is interested in volunteering as such and wants to get involved. After that, he searches for an organization or activity to which he or she wants to be actively involved. Volunteers in the Czech Republic are predominantly secondary and university students and women in their 50s and 60s. Students of secondary schools and universities have a lot of unused leisure time and also try to gain experience. Women in a given age range also usually have enough spare time because either they retire or move the children they cared about. They try to take advantage of the newly acquired time they have not done so far, and to be useful to other people (Somro et al., 2006).

The basic principle of being a volunteer is that the volunteer works without any financial compensation. There are still features that can be beneficial to him when performing these activities, but these are no longer stored. In order to make the volunteer work effectively so that his work is meaningful to the organization, he should carefully select his knowledge and skills for the work he is going to do.

## 2.2 Volunteering and Voluntary Service under the Act

The concept of volunteering in the Czech Republic is defined in Act No. 198/2002 Coll., On Voluntary Service (Volunteer Service Act), as amended, which governs the conditions under which



the state supports the volunteer service defined in this the law while defining the cases to which this law does not apply.

Volunteering, therefore, may not be exercised solely by the conditions laid down in this Act. However, if the conditions defined in the law are met, the state can support the volunteer service. Below are the basic definitions of volunteer service, the sending and receiving organizations and the volunteer as such by this law, as well as the conditions which must be met under this Act if volunteers request state support. Of course, there is a large number of volunteers who do not follow this law. This implies not only that the state does not support it, but also that they do not have to comply with the law - they do not have to meet the individual conditions, for example, to conclude a contract with the sending organization, to be over 15 years old,

In the law, the volunteer service itself is first defined as:»The activity where the volunteer provides:

- Assistance to the unemployed, socially disadvantaged, disabled, seniors, members of national minorities, immigrants, prisoners, drug addicts, domestic violence, as well as helping to care for children, young people and families in their free time,
- helping with natural, ecological or humanitarian disasters, protecting and improving the environment, preserving cultural heritage, organizing cultural or charitable events for the persons referred to in the first point, or
- helping with the implementation of development programs and within operations, projects and programs of international organization sand institutions, including international non-governmental organizations»(Act No. 198/2002Coll., on Voluntary Service and Amendments to Certain Acts, as amended).

Volunteer service is not an activity that an individual or a group satisfies their interests or that which is performed in the course of gainful or entrepreneurial activity, or an employment relationship, a service or a member state. Volunteer service may be short-lived if it is performed for less than three months. Otherwise it is long-term (Act No. 198/2002Coll., On Voluntary Service and on Amendments to Certain Acts, as amended).

The law further defines who is a volunteer under the Volunteer Service Act. The volunteer may be a natural person over 15 years of age. However, in the case of a volunteer service abroad, the individual must be over 18 years of age. The volunteer carries out volunteer work by a contract concluded with the sending organization. Where volunteering is carried out abroad, such contracts must always be in writing. If a natural person conducting a volunteer activity is in an employment relationship, service or membership, or a student, he/she then carries out volunteer work beyond his / her employment relationship, membership, school education or study. Voluntary activity is an obstacle to military service. If a person is a member of a social cooperative, he must not perform the volunteer activity for the benefit of the cooperative (Act No. 198/2002Sb., On Voluntary Service and Amendments to Some Acts, as amended).

The law also defines types of organizations. The sending organization must be a legal entity publicly beneficial with its registered office in the Czech Republic. The organization has to prove its public utility through a written declaration of the fulfillment of the conditions stated in Section 146 of the Civil Code. In the organizing organization, individual volunteers select, record, prepare for volunteer service, and volunteers conclude volunteer service contracts on condition that they have accreditation. Accreditation for the organization is granted by the Ministry of the Interior. Sending organization can settle contracts with recipient organization sand also conclude volunteer service contracts directly with volunteers for the benefit of the sending organization. This is possible provided the volunteer is volunteering activity outside of responsibilities, which they result from his / her membership of the sending organization and have no other legal relationship with the sending organization. The receiving organization is either a publicly beneficial legal entity or a natural person for whom a given volunteer service is performed. The receiving



organization is eligible to enter into a contract with the sending organization and can meet the obligations arising from the contract. The Volunteer Service Act further regulates the conditions and content of contracts, more detailed information on sending and receiving organizations, the use of volunteer services by the state and territorial self-governing units, and the possibilities of obtaining subsidies for sending organizations (Act No. 198/2002Sb., On Voluntary Service and on Amendments to Some Acts, as amended).

Types and areas of volunteer activities. Volunteering can be divided into several aspects. According to Břízová (2013), the first of them is the point of historical development, the second is the way the voluntary activity goes, the third role played by the voluntary activity in the organization, and the last, that is, the fourth aspect, is the time limitation of this activity. Also, individual types of volunteering will be described.

In terms of historical development, we divide volunteering into two models, namely the American model and the European model. The American model is managerially organized. This means that volunteer activities are run by volunteer centers run by professionals. They then look for people who are altruistically oriented and then engage them in volunteer activities. The European model of volunteering is sometimes also called a community model. In this case, the volunteers meet in a community such as a church, sports or youth organization, etc. These communities can then develop a volunteer center, which is usually focused on a certain type of volunteer activity or a particular age group (Břízová, 2013).

From how voluntary activity is pursued, two types are applied, name bottom-up volunteering and volunteering from outside. Bottom-up volunteering is based on the fact that an informal group of individuals (friends) will jointly start volunteer activities, gradually becoming an informal, structured group, and eventually become a registered non-profit organization. A very positive element here is the informality and enthusiasm of everyone in the organization, which can help overcome the initial difficulties. On the other hand, problems can arise if the organization reaches a certain level where professional management is needed, both the whole organization and the volunteers. For volunteer working in from the outside, it is no longer functioning structured organization with professionals who decide to start collaborating with volunteers, where appropriate, existing cooperation with volunteers when cooperation was rather random, structured and professional. Such a type may be an advantage of professional management of the organization; on the contrary, a new relationship may arise between original professionals and newly arrived volunteers, where professionals can perceive incoming volunteers as an undesirable new element in the organization. Professionals can perceive volunteers as someone who takes their jobs, or as someone who will give them new concerns, for example, by making volunteers unreliable and seeing in detail the work they perform, which may be uncomfortable for the professionals (Břízová, 2013).

The third type of volunteer activity is according to the role it plays in the organization. The first role played by volunteering in an organization is that volunteers have a direct dependence on the organization, which means that together with a small group of professionals volunteers are involved in meeting the organization's primary goals. Volunteers are the decisive force of the organization. This type is mainly used to provide humanitarian actions and environmental initiatives and campaigns. The second role is that that volunteers do activities together with professional staff, where volunteering is not the foundation of the organization's work. Volunteers involved in volunteer activities within an organization can, for example, help with bookkeeping, ironing, work at the reception, or provide charity business. It is set in such a way that if these activities were not provided by volunteers, they would have to be provided professionally. This type of voluntary activity is most often used in health or social facilities. For the third role, volunteering is not indispensable for organizing the organization, but it can facilitate organization operations and improve service delivery. Here we can talk of activities like excursions with clients, art and

language groups and the like (Břízová, 2013).

The last type of volunteer activity is determined in terms of timing. From this point of view, we distinguish three types of volunteer involvement, namely, participation in one-off events, long-term voluntary assistance, and voluntary service. Involvement of volunteers in one-off events consists of volunteer assistance once or several times a year. Volunteering is not much formalized and agreement with the volunteer is closed only in an oral form. It can be a help with benefit concerts, various campaigns, collections, etc. Long-term voluntary help is the help the volunteer performs regularly and repeatedly, for example, two hours each week, for the whole year. This type of volunteer help is very beneficial to the organization, as it is a regular activity. In this case, it is appropriate to draw up a cooperation agreement between the organization and the volunteer. The third time option is a volunteer service, which means a voluntary commitment to the volunteer work for a long time (several months or even years), mostly outside of your country. The cost of volunteering can be very high; this service is professionally organized (Břízová, 2013).

Areas, where volunteering is practiced, are many. Among the main ones, according to the Ministry of Education, Youth and Sports (2011), are:

- volunteering in the health service,
- In social services,
- In culture,
- In sports,
- volunteering with children and youth,
- In ecology,
- International volunteering and development cooperation,
- volunteering in emergencies,
- Corporate volunteering,
- Community volunteering,
- volunteering in churches and religious societies.

In the first chapter, Corporate Social Responsibility and its benefits were defined, below, what is corporate volunteering, which is one of the best ways to become a socially responsible company. At the same time, the benefits of corporate volunteering are described, namely the benefits for companies that organize these activities, the employees of companies that carry out volunteer activities them salve sand, last but not least, the benefits to public benefit organizations.

«Corporate volunteering is a joint promotion of public benefit organizations by the company and its employees: Employees (volunteers) invest their efforts, energy, and ideas, help with their work and deployment, the company pays the cost of their employees' time or aids its material. Through corporate volunteering, the company makes it clear that it is socially responsible to the community, the environment, and the region, in which it operates. In return, employees have the opportunity to personally meet the publicly beneficial environment, which very well develops personal values and a positive attitude towards the employer «(Business for Society, 2017).

More and more companies meet the principles of their corporate social responsibility through corporate volunteering. Business volunteering brings benefits to all parties involved in the activities (Business for Society, 2016).

Benefits for the company:

- Building employee loyalty to the company and company management - important is support and participation of the company management
- help a good cause,
- Confidence, satisfaction, and motivation while performing volunteer activities
- acquisition or enhancement of good will, positive awareness about company, brand loyalty, publicity in the media, and all related long-term increase in value and credibility of the company,
- The company becomes visible within the community in which it moves, which helps to

improve relationships of firms in the environment in which they are working,

- The company makes it clear to them that they are not afraid to sacrifice part of their funds to help where the aid is needed (Business for Society, 2017).

Employee benefits:

- Employees are more identifiable with a company that promotes socially responsible activities,

- Employees' self-confidence, satisfaction, and motivation to carry out volunteer activities,

- Employees develop their skills- such as communication skills,

- Employees have a good sense of work and help,

- Corporate volunteering helps cement the working team, enables collaboration with colleagues at new and unfamiliar situations and new environments

- Employees familiarize themselves with the world of public benefit organizations, which can inspire them and broaden their horizons,

- Can instantly see the outcome of their help (Business for Society, 2017).

Benefits for the nonprofit organization are numerous; volunteers can help them:

- Manually, such as assistance with moving, cleaning and repairs, gardening, repairing and cleaning of cultural monuments in the care of the environment

- work with clients, for example, when assistance assisting clients, escorting clients, taking part in leisure activities with clients,

- Organizationally, such as assistance with preparation of events and programs for clients (concerts, bazaars, markets, excursions or competitions),

- Professional training, mentoring, consultations, workshops, etc. (Business for Society, 2017).

The benefits outlined above show what drives employees to do volunteer work, motivates employers to support volunteer work, and why non-profit organizations are involved in these activities.

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### Корпоративтік еріктілік және оның артықшылықтары

**Аңдатпа:** Мақала корпоративтік еріктілікті терең зерттеуге, оның кәсіпорындардың қызметін ұйымдастыруға, оның артықшылықтарын анықтауға арналған. Еріктілік әлеуметтік жауапты компаниялардың әлеуметтік компоненттерінің бірі болып табылады. ерекше басқарушылық тәсіл ретінде қарастырылады. Еріктілік мәселесі соңғы уақытта жеке тұлғалар үшін де, ұйымдар үшін де қызу тақырыпқа айналды. Көптеген компаниялар волонтерлықты өз қызметінің бір бөлігі ретінде пайдаланады және оларға еріктісіз бизнес жүргізу керектігін елестете алмайды. Олар қызметкерлерге олар жұмыс істейтін компания ұйымдастырған волонтерлік іс-шараларға қатысуға мүмкіндік береді. Бұл компаниялар көптеген жағдайларда осы қызметті жақсы ұйымдастыру үшін негіз жасайды. Мақалада волонтерлік қызметтің жекелеген салалары мен түрлері көрсетілген және корпоративтік волонтерлік дегеніміз не және оның компания үшін, қызметкерлер мен тартылған коммерциялық емес компаниялар үшін артықшылықтары қандай екені маңызды.

**Түйінді сөздер:** еріктілік, еріктілік қызмет, еріктілік қызметтің түрлері мен бағыттары, корпоративтік еріктілік және оның артықшылықтары.

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### Корпоративное волонтерство и его преимущества

**Аннотация.** Статья посвящена углубленному изучению корпоративного волонтерства, его влияния на организацию деятельности предприятий, выявлению его преимуществ. Волонтерство является одним из социальных компонентов социально ответственных компаний и рассматривается как особый управленческий подход. Проблемы волонтерства в последнее время стали довольно оживленной темой как для отдельных лиц, так и для организаций. Большое количество компаний используют волонтерство как часть своей деятельности и позволяют сотрудникам участвовать в волонтерских мероприятиях, организованных самими компаниями. Данные компании также создают основу для лучшей организации этой деятельности. В статье рассматриваются отдельные области и виды волонтерской деятельности и, что не менее важно, специфика корпоративного волонтерства, его преимущества для компании, сотрудников и вовлеченных некоммерческих компаний.

**Ключевые слова:** волонтерство, волонтерская служба, виды и направления волонтерской деятельности, корпоративное волонтерство и его преимущества.

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### **The interaction of the labor market and the higher education system in contemporary conditions**

**Abstract.** To solve the problem of balancing the labor market is an important condition for the effective functioning and development of the national economy is to solve the problem of balancing the labor market. The consequences of the mismatch between the structure of demand for human resources and the structure of its supply are unemployment, decline in the standard of living, deterioration in the moral climate in society, and its stratification. At the same time, the shortage of labor in certain specialties affects the results of enterprises. The article is devoted to the problems of interaction between the higher education system and the labor market. Based on the use of the methodology for applying public-private partnership mechanisms, the areas of cooperation between employers and educational institutions are identified.

**Key words:** labor market, higher education, human resources, employment, market economy.

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**Introduction.** The development of the higher education system takes place in rather difficult conditions in Kazakhstan because of the processes of globalization and integration of the global educational space.

The integration of education and business is becoming a decisive factor in the preparation of competitive human resources demanded by the labor market.

Integrated educational structures provide high-quality training for new personnel in demand on the domestic and foreign labor markets, and technical and technological changes in the production process, based on the application of the latest knowledge and skills; contribute to the economic growth of the state. However, in contemporary circumstances, the lack of highly qualified specialists in the labor market is one of the factors hindering the full economic development of the country. As a rule, the main reason for these circumstances is the insufficient level of specialist training that does not meet the requirements of the modern labor market.

The innovative development of the state leads to the emergence of high-tech sectors of the economy, which in turn places higher demands on university graduates, who in the new conditions must have high competencies. Thus, the search for areas of interaction between the labor market and the higher education system in the preparation of highly qualified human resources becomes relevant.

**Source review.** The widespread use of information and communication technologies, the high-tech structure of modern production predetermine the need for such qualities as the ability to make innovative decisions, think analytically and creatively. Many authors [1-3] indicate that the employee's behavioral and moral characteristics (ability to work as a team member, decency, organization, etc.) become no less significant. All these points, in our opinion, determine the fact that in modern economic science the object of research is not just labor force, but human resources. This, according to many scientists [4-6], confirms the importance of the worker in the process of social production and, in turn, indicates the increasing role of higher education in the preparation of highly qualified human resources. Thus, we can attribute higher education to the phase of the formation of human capital, although education takes place in all other phases of the reproductive process.

At the same time, a review of the scientific sources [5,6] showed that economic relations at the

stage of formation of human resources in the higher education system are not limited to providing training for potential employees, raising and improving the qualifications of employees, as well as training highly qualified personnel for constantly changing production conditions. According to many authors [2,3], it should also be taken into account that the distribution of individual labor force over individual production sections takes place both at a separate production (enterprise) and throughout the entire economic system (country). The distribution of labor in society, as well as the exchange of activities of workers in the country and the enterprise, turns them into a single effective production force of the state. A quantitative characteristic of a single production force in the ore market is human resources [4]. In the process of expanded reproduction of labor, its distribution can be carried out in the form of personnel distribution: through the need to work out the training costs invested by the investor.

One of the features of the process of reproduction of human resources through the higher education system is the need for a certain, sufficiently significant period of time to prepare the necessary personnel. The learning process as a stage in the preparation of labor resources is determined by the prevailing conditions of material production [5,6]. The purpose of production determines the economic possibilities of its development and the tasks of education, since the income created in the production sphere is the source of the functioning of the higher education system. In our opinion, that is the reason why in the context of the formation and development of the knowledge economy, the requirements to the employee and, accordingly, to the higher education system are expanding. In this regard, the higher education system also needs large resources for normal functioning.

**Research methods.** The fundamental statements and conclusions of leading scientists specializing in the problems of the interaction of the labor market and the higher education system served as the basis of the research. The analysis was based on a set of methods and techniques used in economics and management, as well as economic sociology. In the article the methodology of applying mechanisms of public-private partnerships, which allowed to determine the areas of cooperation between employers and educational institutions were used.

**Results and discussions.** Nowadays, when preparing future specialists in higher education, it is necessary to take into account the importance of developing promising sectors of the economy, and it is also necessary to conduct an ongoing analysis of the competencies of future specialists.

Today, the following tasks are recognized as the most important:

- improving the quality of vocational education;
- institutional reform of the education system;
- development of a modern system of qualitative continuing professional education (CPE);
- increasing the investment attractiveness of the education system.

In Kazakhstan, the development of the higher education system takes place in a competitive environment. Due to economic modernization, the priority goal of any university in the country should be to have highly competitive specialists graduated. Alumnus should have a wide range of professional qualities, such as:

- adaptation in the social and professional fields;
- the ability to make independent decisions;
- stress resistance;
- ability to work in a team, etc.

The main criterion that links these and other qualities of a professional specialist is “competence”.

Achievements of modern science and practice present new requirements for a specialist, which must be taken into account in educational programs for training students.

An effective and rational way to increase the competitiveness of a specialist in the labor market is to introduce international educational programs into the studying process of a higher

institution to expand the range of educational paths.

Higher education should be the main mechanism for introducing promising students to science and also be the channel for the entering of qualified personnel in various sectors of the country's economy and in the system of research institutions.

One of the most important strategic tasks of the education system should be an increase in interest and the level of motivation for learning, the development of creative thinking, the ability to solve problems and non-standard tasks.

The choice of a system of instruments, forms and methods of teaching is today one of the important steps in organizing the educational process at a university. The modern and creative approach of the teacher to the educational process should be productive, educational in nature, and not only aimed at enhancing the cognitive activity of students. In modern conditions, there is an urgent need to change methods and forms of organization of the educational process in a university. The basis of professional training of students should be a competency-based model with a maximum focus on individualization of education.

Practice shows that serious employers willingly cooperate with leading universities and look forward to highly competitive specialists, taking part in joint scientific and educational projects. Thus, one of the directions for improving the quality of human resources should be the creation of a system of public-private partnership between employers and educational institutions, which will ensure the further development of higher education and the country's economy as a whole (Figure 1).

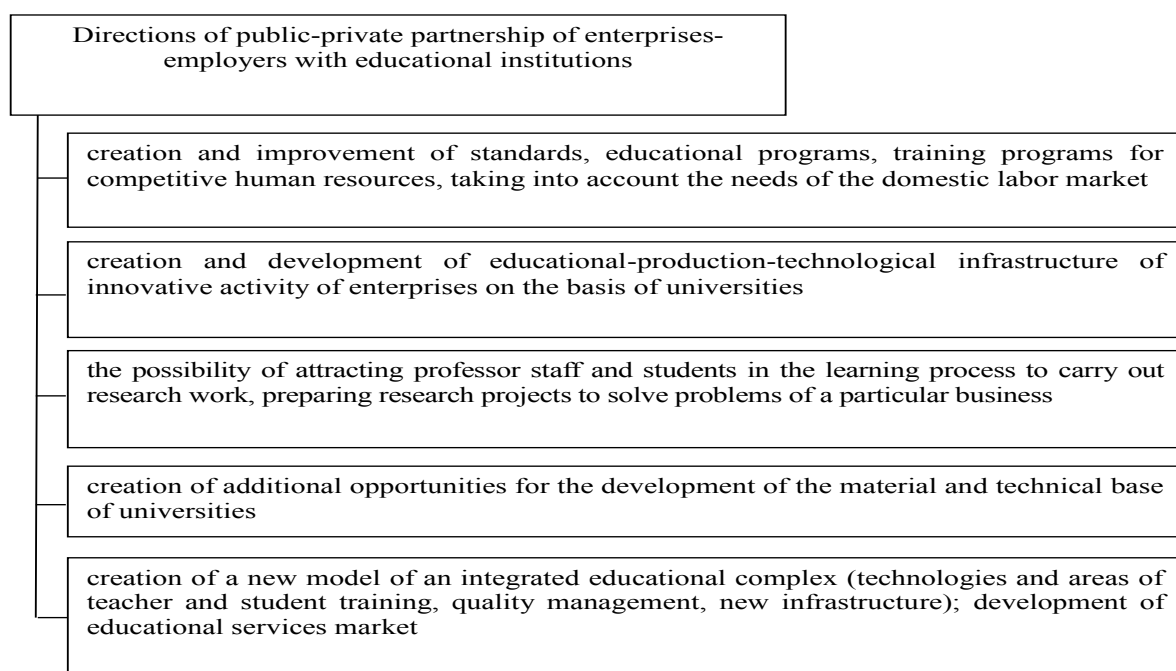


Figure 1. Public-private partnership of an educational institution with enterprises-employers  
Note - Compiled by the authors

The new mechanism of sustainable development of the higher education system, taking into account the above areas, in our opinion, should solve the following strategic tasks:

- the expansion of educational and scientific research activities of universities and other organizations of the higher education system based on the development of scientific schools and practice;
- The interaction of basic scientific research and university's vocational education;
- Strengthening the relationship of practice-oriented and scientific research components of

the university;

- in order to achieve the goal of higher education, the introduction of a competency-based approach that allows you to link professional competencies that meet modern realities and market requirements;

- increasing the level of training of competitive human resources in demand on the domestic labor market.

In modern conditions, there is a need to create a “road map” of public-private partnership between an educational institution and employing enterprises in the formation and development of human resources, for which it is necessary to write down in detail the expected results of multilevel interaction of the labor market and the higher education system (table 1).

Table 1

**Subjects of PPP and expected effects of interaction based on the results of the implementation of organizational and educational support**

Subject of partnership	Expected interaction results
Student's personality	<ul style="list-style-type: none"> <li>- reducing the cost of retraining.</li> <li>- professionally self-identified person.</li> <li>- professional adaptation of a future specialist.</li> </ul>
Professors	<ul style="list-style-type: none"> <li>- development of a training system that is sensitive to the demands of the labor market.</li> <li>- refresher training through industrial internships.</li> <li>- exchange of experience with specialists from production.</li> </ul>
Employer, professional community	<ul style="list-style-type: none"> <li>- optimization of costs for training (retraining) of personnel in the enterprise.</li> <li>- growth in labor productivity.</li> <li>- increase production efficiency.</li> <li>- reduction of production costs.</li> </ul>
State	<ul style="list-style-type: none"> <li>- financial safety of citizens.</li> <li>- reduction of unemployment rate.</li> <li>- reduction in the cost of retraining.</li> <li>- improving the quality and standard of living of the population</li> </ul>
Note - Compiled by the authors	

Accordingly, the interest of employers itself and professional communities to participate in interaction with the education system consists, first of all, in the benefits (results) that they will receive from the implementation of the mechanism of public-private partnership of the educational institution with enterprises-employers in the formation and development of human resources.

**Conclusion.** One of the ways to improve the quality of human resources is the creation of a system of public-private partnership between enterprises-employers and educational institutions, which allows for the further development of the education system, the labor market and the country's economy as a whole.

In modern conditions, there is a need to create a “road map” of public-private partnerships between educational institutions and enterprises-employers in the formation and development of human resources. The goal of creating a “road map” is to implement a program of strategic development of public-private partnerships between educational institutions and enterprises-employers in the formation and development of human resources that are in demand in the modern labor market.

In the system of higher education, it is also important to attract additional resources to increase its role in the formation and development of competitive human resources that are in demand on the labor market.

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### **Қазіргі жағдайдағы еңбек нарығы мен жоғары білім жүйесінің өзара байланысы**

**Андатпа.** Ұлттық экономиканың тиімді жұмыс істеуі мен дамуының маңызды шарты еңбек нарығының тепе-теңдік проблемасын шешу болып табылады. Адам ресурстарына сұраныс құрылымының оны ұсыну құрылымымен сәйкес келмеуінің салдары жұмыссыздық, өмір сапасының төмендеуі, қоғамдағы моральдық климаттың нашарлауы және оның стратификациясы болып табылады. Сонымен қатар, белгілі бір мамандықтардағы жұмыс күшінің жетіспеушілігі кәсіпорындардың жұмыс нәтижелерінен көрінеді. Мақала жоғары білім жүйесі мен еңбек нарығының өзара әрекеттесу мәселелеріне арналған. Мемлекеттік-жекеменшік серіктестік тетіктерін қолдану әдістемесін қолдану негізінде жұмыс берушілер мен оқу орындары арасындағы ынтымақтастық бағыттары айқындалады.

**Түйінді сөздер:** еңбек нарығы, жоғары білім, адами ресурстар, жұмыспен қамту, нарықтық экономика.



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### **Взаимодействие рынка труда и системы высшего образования в современных условиях**

**Аннотация.** Важным условием эффективного функционирования и развития национальной экономики является решение проблемы сбалансированности рынка труда. Следствием несоответствия структуры спроса на человеческие ресурсы структуре ее предложения являются безработица, снижение качества жизни, ухудшение морального климата в обществе, его расслоение. Одновременно дефицит рабочей силы по отдельным специальностям отражается на результатах деятельности предприятий. Статья посвящена проблемам взаимодействия системы высшего образования и рынка труда. На основе использования методологии применения механизмов государственно-частного партнерства определены направления сотрудничества предприятий-работодателей с образовательными учреждениями.

**Ключевые слова:** рынок труда, высшее образование, человеческие ресурсы, занятость населения, рыночная экономика.

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### **The formation of the marketing strategy of the enterprise in competition**

**Abstract.** The article is aimed at considering theoretical and practical approaches to the study of the development of the tourism industry based on the formation of a marketing strategy as a tool to ensure the competitiveness of firms in the field of tourism and hospitality.

The need for the development of strategic marketing with the aim of its application to determine the long-term prospects of enterprises providing tourist services is considered and substantiated.

The development of a marketing strategy is justified to determine the competitive advantages of a tourism enterprise, namely in terms of providing quality tourism services and its competitiveness in the world market.

The article analyzes the current state of the tourism industry in Kazakhstan and identifies the main factors determining the advantages and problems of the development of this industry in the context of globalization and offers recommendations on developing a marketing strategy for enterprises in the tourism industry.

**Keywords:** marketing, strategic marketing, tourism enterprise, competitiveness, tourism market, costs

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### **Introduction**

Theoretical aspects of the study of the development of the tourism industry at the present stage indicate that the effectiveness and importance of the marketing strategy in tourism has a high multiplicative effect, and therefore can stimulate the intensive development of the related and auxiliary industries and infrastructure complexes [1].

Strategic marketing of tourism enterprises is focused on satisfying market demand (needs and requirements) of consumers by creating new demanded and innovative tourism services, and increasing sales of these services by applying marketing promotion methods aimed at generating net profit.

A marketing strategy based on the principle of economic content is grouped into the following types: country marketing, marketing of goods and services.

The industry in question applies and uses in the formation of a competitive strategy - service marketing. This type of marketing is applicable for enterprises in the tourism industry, taking into account external and internal factors, the level, scope, capabilities and characteristics of the development of the tourism market.

### **Formulation of the problem**

From the point of view of a strategic object, the main problems that marketing solves are the following changes in the enterprise:

- definition of a specific goal;
- formation of a development strategy (methods and tools to achieve the ultimate goal).

Summarizing the scientific and theoretical approaches to determining the choice of marketing strategies for enterprises, it is possible to determine the following stages for the tourism industry:

- 1) marketing strategy design (development of strategies aimed at achieving the ultimate goal);
- 2) the formation of a common strategy of strategies to determine the effectiveness of the competitive advantages of the enterprise, taking into account the strategic goal of its development;

3) the choice of an alternative within the framework of the formed marketing strategy, their analysis and assessment of risk sustainability in order to achieve the strategic goals of tourism industry enterprises, to increase the content of marketing strategy achievement tools by developing effective strategy tactics.

An analysis of the scientific results and research of foreign scientists and economists in the field of the goal of the marketing strategy of tourism enterprises helps to draw certain conclusions:

- the implementation of the survival strategy, its essence leads to the fact that companies in the tourism industry should strive to maintain their position in the tourism market;
- search for new market segments, expansion and entry into new segments of the market and marketing of tourism services (growth strategy);
- the provision of quality tourist services for profit (the strategy of “skimming the cream”);
- business diversification - the formation of new services;
- improving the standard of living of the population - a social goal [2].

According to the authors of the scientific article, the definition of the competitive strategy of the country’s tourism industry should reflect the content of the goals of the marketing strategy of firms, while the strategic marketing of the enterprise itself should be interconnected with its goals and objectives and the functions of marketing.

Marketing research features include:

- analytical assessment of the tourism market;
- pricing policy for tourism services;
- by forming a market offer for popular tourist services;
- satisfaction of market demand and sales in the tourist market;
- ensuring the life cycle and promotion of tourism services;
- determination of an exclusively strategic nature with a long-term perspective of the choice of places for providing tourist services.

### **Goal**

The purpose of this study is to determine the significance and functions of marketing in the promotion of tourism services.

### **History**

This study was launched as part of a dissertation study of undergraduates and doctoral students in 2017 to design a concept for the development of tourism and hospitality in Kazakhstan.

Based on this study, an analysis of the current state of the tourism market was carried out and priorities for their development in Kazakhstan were determined.

### **Research methods**

In the process of writing a scientific article, empirical and statistical methods were used and applied, as well as the method of economic and mathematical modeling.

### **Results / Discussions**

The scientific article was condemned at conferences and the following results were generated:

The concepts of strategic marketing are theoretically substantiated based on a generalization of the scientific works of scientific economists and the author’s approach to the application of marketing strategies in the tourism market is presented taking into account the attractiveness and development prospects of the tourism industry. Marketing strategy as a tool for managing enterprises in the tourism industry allows the implementation and implementation of a systematic policy of enterprise growth in the tourism market, based on its competitive advantages.

1. A model of managing an enterprise in the tourism industry based on the methods of pricing tourism services by applying correlation and regression approaches to the interaction of pricing factors and tariffs for tourism services is presented.

## **Conclusion**

The results of scientific research allowed us to draw the following conclusions:

1. A pricing methodology for the services of travel agencies has been developed, while a travel agency determines the price of the services provided based on an analysis of the real market situation. At the same time, it is also necessary to compare strategic and tactical goals, assess the resource potentials and capabilities of the company, which contributes to the development of specific mechanisms for the marketing strategy of the enterprise.

2. The proposed model of pricing for tourism services allows you to obtain detailed, quantitative and qualitative information about a systematic approach to pricing, taking into account external and internal factors of the market, for making operational and strategic decisions.

3. To ensure the flexibility and efficiency of market prices for tourist services of a company (tariffs), as well as to form a competitive pricing strategy, it is necessary to take into account the current tasks in the enterprise, which in turn determines the competitive advantages of the tourism industry.

4. Competition is an important component of the market. At the same time, the survival of any company, taking into account the specifics of its activity and the market sector, depends on external and internal factors. Therefore, the competitiveness of tourism companies is determined by indicators of efficiency and profitability, but these indicators are purely economic components of a competitive strategy, the main thing is the ability to adapt the company to changing conditions in the market of the tourism industry. It is important to know your competitors in the market, therefore, companies providing tourism services need to conduct SWOT analysis in order to improve the quality of the company's competitive strategy. Accordingly, we have identified a number of priority areas for the development of the tourist industry, specifically for micro-entities of this market:

- 1) Creation in the organizational structure of the enterprise of the marketing service;
- 2) Continuous training on the development of professional competencies and policies of motivation;
- 3) Reducing total costs (fixed and variable) and increasing the volume of services, which affects the reduction in the cost of tourism services;

When forming the strategic goal of a travel agency, it is necessary to evaluate their own potential and methods when developing a marketing strategy in order to optimally distribute their resources to meet customer needs.

The process of forming a marketing strategy is shown in Figure 1.



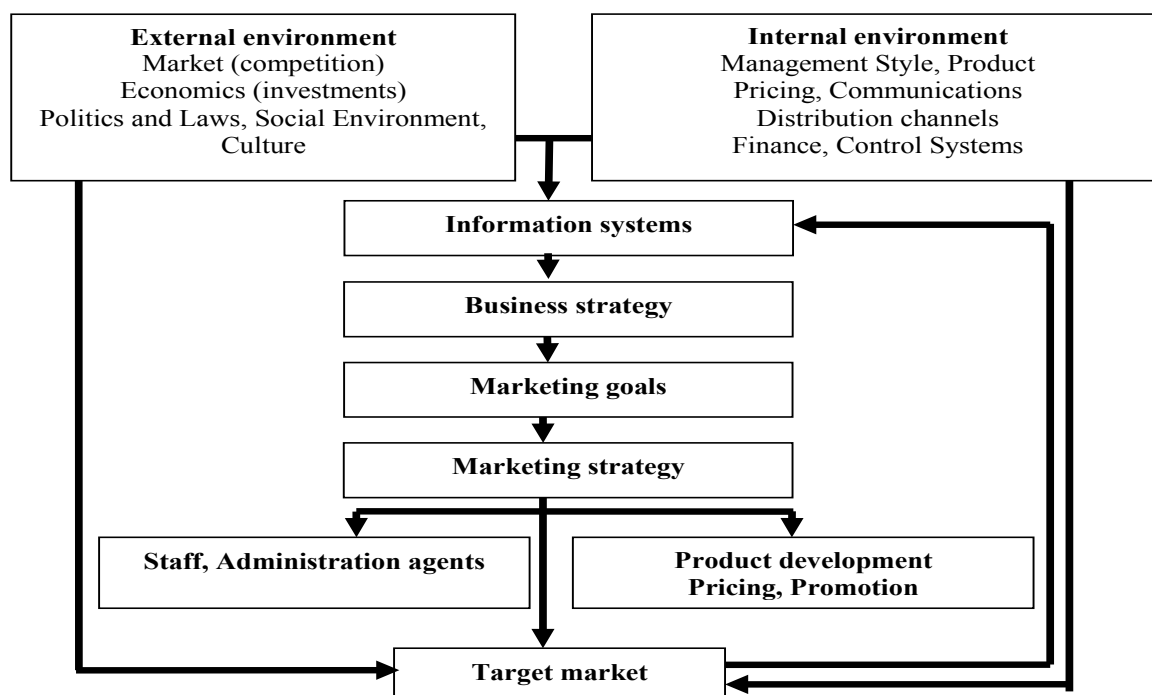


Figure 1. The process of forming a marketing strategy  
 Note: compiled by the authors based on [3]

Therefore, when developing a marketing strategy for an enterprise in the field of tourism, the following important aspects should be taken into account:

- definition of goals (mission) of the business;
- the study of internal and external market factors from the position of the company;
- assessment of opportunities and financial, labor and material resources for the organization of entrepreneurship;
- the formation of the goal of marketing;
- developing a strategy to achieve these goals;
- Creation of information systems and databases.

The strategy in the tourism industry, as Stephen Culver, professor at the Bournemouth University Graduate School of Services (UK), points out, is related to two main economic indicators - the level of business activity of consumers and the level of wages (income) of consumers allocated on vacation.

Foreign scientists identify five principles by which enterprises of various industries can form their marketing strategy (Figure 2).

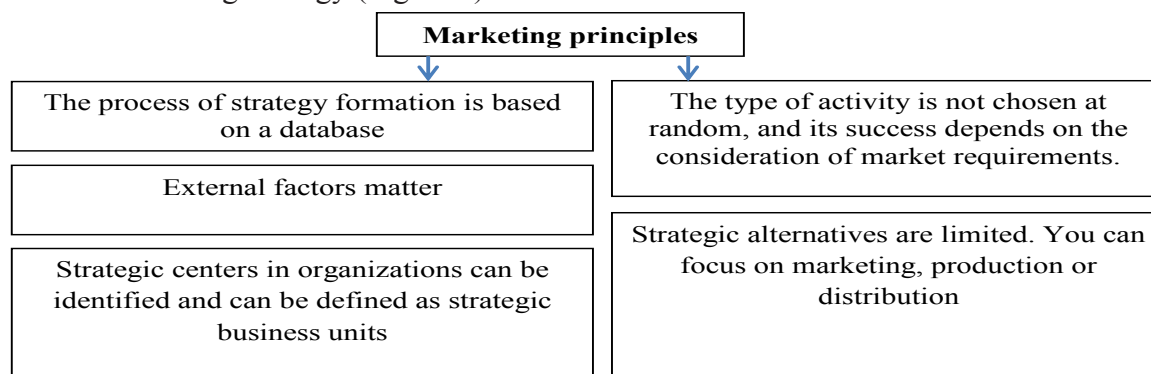


Figure 2. Principles of forming a marketing strategy  
 Note: compiled by the authors based on [4]

In the process of implementing the strategic marketing goals of the company, it is difficult to control the application of the marketing strategy. The following control methods are used:

- determination of the share of net profit from the business;
- analysis of load factors;
- organization and conduct of internal and external audits of the business environment to determine the success of the applied strategy;
- conducting research on individual products and the market itself [4].

Thus, it should be noted that the marketing strategy of tourism enterprises determines their position in the market of tourism services, depending on the marketing strategy. To build an effective marketing strategy, a travel company must determine its market position by conducting a SWOT analysis. Based on this method, you can determine your strengths and weaknesses. It is weaknesses that contribute to the development of specific proposals for their improvement, thereby building a competitive strategy based on marketing tools.

The key problems in the development of the tourism industry lie in the communication plane.

The first problem is the lack of established relations, coordination and effective interaction between players in the tourism market (tour operators, travel agents, travel agencies, service providers, associations, central and local executive bodies, etc.).

The second problem is weak branding, marketing and promotion of Kazakhstani tourist destinations, insufficient information support about places of tourism in Kazakhstan, even in the domestic market [5].

The process of forming a marketing strategy for tourism services should be considered in terms of the significance and content of external and internal factors, which can be grouped as follows:

- Factor I. Consumer demand (f1).
- Factor III. Distribution channels (f3).
- Factor IV. State
- Factor V. Production factor (f5).
- Factor VI. Management factor (f6).
- Factor VII. Structural and organizational factor (f7).

Of the proposed factors, in the process of forming a marketing strategy, an important pricing strategy is important, while external and internal factors interact and are interconnected, taking into account the characteristics of the tourism market and the strategy of pricing tourism services.

The current state of the tourism market of the Republic of Kazakhstan has its own peculiarity, which is evidenced by the development indicators of this industry: according to the Global Travel and Tourism Competitiveness Index of the World Economic Forum in 2017, Kazakhstan ranked 81st out of 136 countries, while positions were slightly improved.

The highest tourism development potential in Kazakhstan is reflected in the following rating indicators, which is reflected in Figure 3.

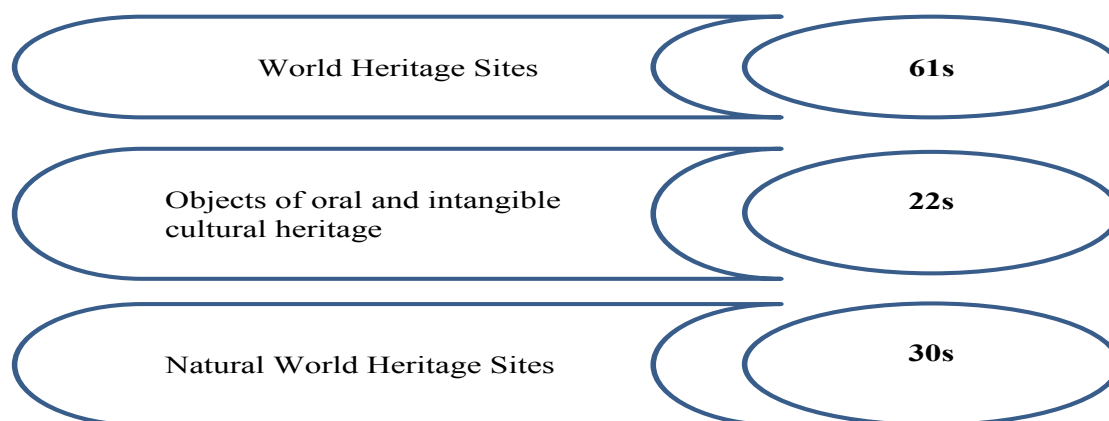


Figure 3. Rating indicators

Note: compiled by the authors based on [10]

Nevertheless, according to the World Economic Forum, factors are identified that worsen the rating of domestic enterprises in the tourism industry, as shown in table 1:

Table 1

**The deteriorating factors of rating indicators in the field of tourism**

№	Rating Indicators	Place
1	low quality of tourist infrastructure (hotels, resorts, cultural and entertainment facilities, etc.)	121
2	lack of open air traffic	121
3	visa difficulties	114
4	low quality of route	106
5	weak presence of car rental companies	113
Note: compiled according to the Committee on Statistics of the Republic of Kazakhstan		

The published results of the World Economic Forum ranking, apart from legislation and infrastructure, also indicate that marketing in the tourism industry is not well developed. At the same time, the following factors were noted, which restrains the development of tourism in Kazakhstan:

- low activity of marketing and promoting the country as a place of tourism;
- indicators of digital demand. Moreover, in terms of the number of online searches for cultural and recreational tourism, Kazakhstan is in 105th place (3 points out of 100);
- natural tourism - at 118th place (2 points out of 100).

As the analysis of statistical data shows, in 2018, 7762.3 billion tenge was attracted to the tourism industry of Kazakhstan in the total volume of investments in fixed assets, of which a little more than 1% - 80.8 billion was directed to the development of accommodation and food services tenge, which is 40% more than in 2016. In 2016, 0.9% of the total amount of attracted investments - 68.8 billion tenge was directed to the sphere of art, entertainment and recreation, which was also reduced by 40% compared to the previous period.

Large investment projects in the tourism industry are not being implemented, including due to the insufficient development of state support mechanisms and the lack of “long” and affordable money for industry entities [6].

Analysis of the current state of the tourism market is characterized by the following data.

So, for the period from 2016 to 2018, the number of hotels increased by 11.9% (from 1719 to 1923 units), and the number of hotel rooms increased by 2 times and, as of June 2018, reached 47.6 thousand units. The largest number of hotels is in the Almaty region -199, and the smallest in the West Kazakhstan region -39 units.

On average, in Kazakhstan for the first half of 2018, 24.5 rooms per hotel. The largest placements are located in Almaty, where 47.4 rooms are on average per 1 facility and 43.1 rooms in Astana, on average 11.8 rooms per North Kazakhstan region, and in the Zhambyl region 11.9 numbers, these are the smallest indicators in the republic.

Of the total number of hotels, 86.4% do not have a category, 22 hotels are five-star, 80 have four stars, 126 have three stars, 20 have two and 14 have one star.

An important factor negatively affecting the occupancy of hotels in the republic should be called the discrepancy between the price and quality of the hotel services provided.

In the formation of the volume of hotel services rendered, a significant share is still occupied by hotels with restaurants. The volume of services provided by hotels with restaurants in 2017 is 77 billion tenge (80.3%), hotels without restaurants account for 19.5 billion tenge (19.7%). According to the Statistics Agency of the Republic of Kazakhstan, the number of public catering facilities increased from 2 to 2017 more than 2 times and amounted to 19.343 thousand establishments. In the regional context, Almaty holds the leading position in the volume of catering services (41.502 billion tenge). Atyrau takes the second place (20.983 billion tenge), the third - Astana (16.069 billion tenge) [7].

Recently, the need for tourism and hotel-restaurant services continues to increase due to the intensive growth of the economy, including international events like “EXPO” and “Universiade”.

In 2017, the number of hotels amounted to 1,851 units, which is 132 hotels or 7.5% higher than in 2016 and 684 units (58.6%) higher than in 2013.

According to the results of the study, for the first half of 2018 the number of hotels reached 1923 units, the increase in the number of places in relation to the corresponding period of the previous year was 8.1%.

At the end of 2018, non-category hotels account for 1,661 units, or 86.4%. 262 hotels have a star category. The share of such placements is 13.6% of the total number of hotels (Figure 4).

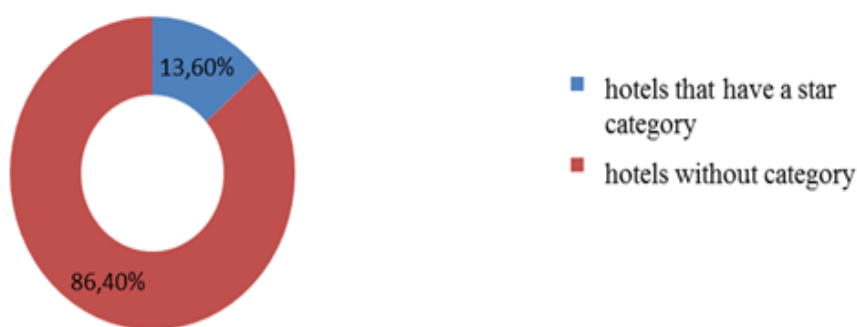


Figure 4. Category of hotels

Note: compiled by the authors based on [10]

An analysis of the activities of “3-star hotels” indicates that the largest number of accommodations belongs specifically to these categories of hotels, which is confirmed by their share in 2017 and 2018. this indicator amounted to 138 units or 51.4%, the number of 5-star hotels was 20 units (8.1%), 1-star hotels - 15 units (5.1%) (Figure 5).

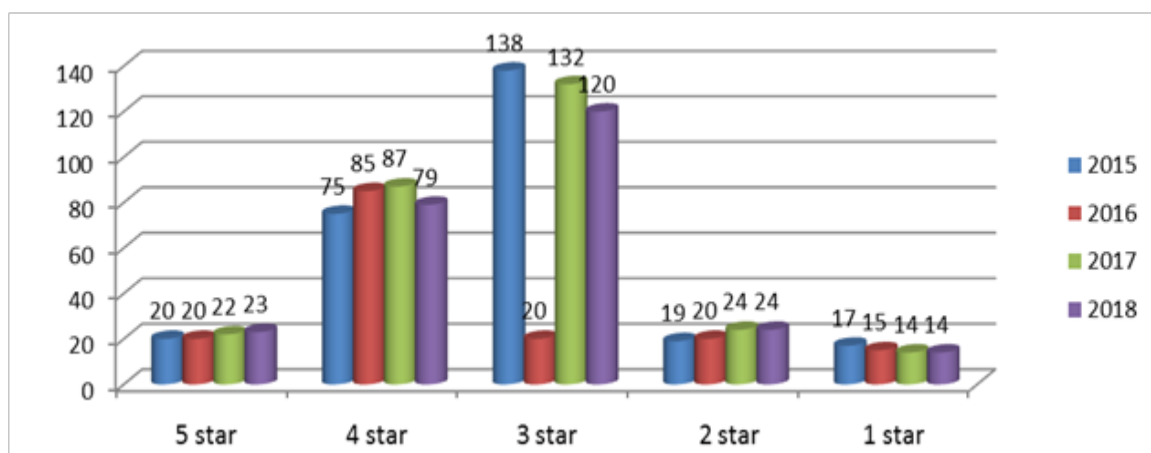


Figure 5. Number of placements by category

Note: compiled by the authors based on [10]

The global economic crisis has an impact on the development of the tourism industry as a whole. There is a price imbalance in the hotel services market, which hinders the development of the hotel sector and, accordingly, domestic tourism. It is this factor that affects the occupancy of hotels (Figure 6).

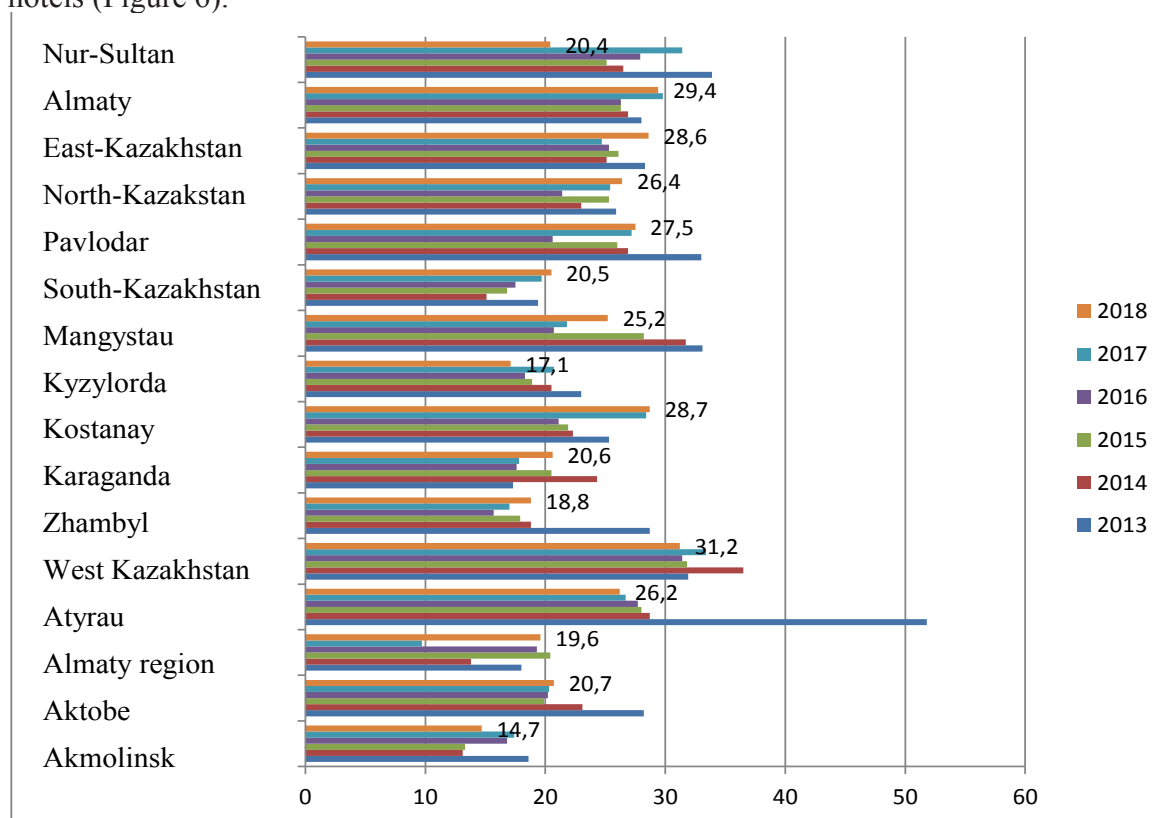


Figure 6. Dynamics of occupancy of hotel enterprises by regions of the Republic of Kazakhstan for 2013-2018

Note: compiled by the authors based on [10]

The results of the analysis of the statistical data of Table 1 allow us to conclude that the hotel occupancy rate (national average) in 2018 was 23.2%, which is 1.2% higher compared to 2016. The decrease in occupancy rate is due to the global economic crisis. As a result, many companies have



reduced travel expenses, including the cost of accommodation and the number of days of stay.

As of January 1, 2018, in the regional context, the occupancy rate indicates that the leaders are the West Kazakhstan region (32.4%), Atyrau (32.3%), Almaty (24.9%), East Kazakhstan (23.6%), North Kazakhstan (23.2%), Kostanay (23.2%), Pavlodar (22.8%) and Mangystau (22.3%) regions. Low occupancy rate in such regions as: South Kazakhstan (20.2%), Zhambyl (17.6%), Karaganda (16.6%), Pavlodar (14.5%), Astana (16.0), Almaty (17.3%) and Aktobe (15.9) regions, which is associated with the outdated and worn-out material and technical base of hotel complexes, the amenities of many hotel enterprises are located either on the floor or on the street [8].

In 2018, more than 5.5 million people served Kazakhstani hotels, motels and other accommodations. This is 237.2 thousand more than in 2017. However, growth did not occur in all regions. Demand for hotels fell in the Karaganda, Akmola, Pavlodar, West Kazakhstan regions, as well as in Nur-Sultan.

The situation has especially changed in the capital. In the year of the EXPO, Astana was visited by 989.2 thousand people, in 2018 - only 767.6 thousand (Figure 7).

**The number of visitors served by places in 2018, thousand people**

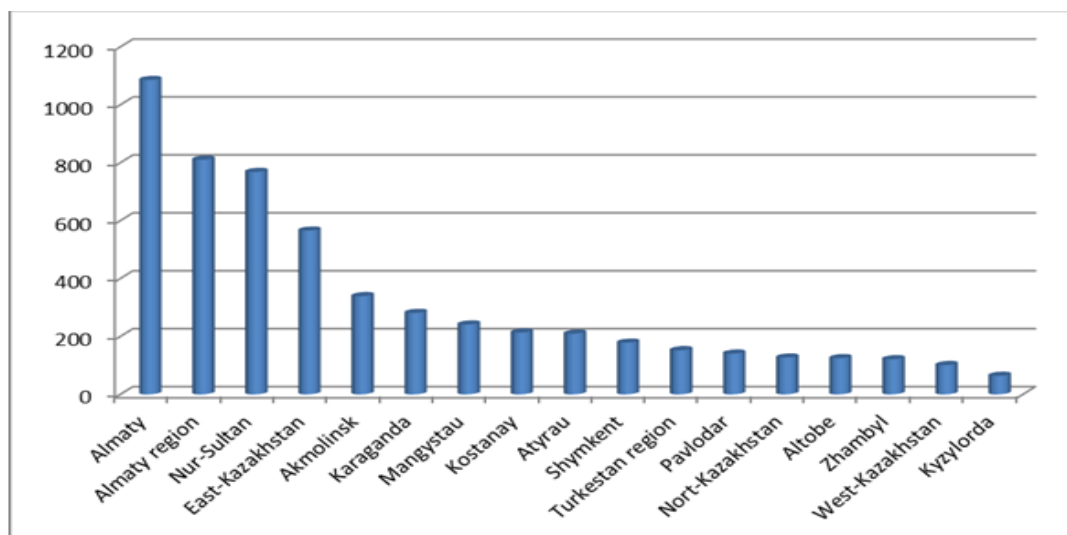


Figure 7. Number of visitors served by placements in 2018

Note: compiled by the author based on [7]

Currently, in the tourism industry, the main tourist center of Kazakhstan is Almaty and Almaty region, the city of Nur - Sultan is significantly inferior, and the lowest figure in the West Kazakhstan region is slightly more than 100 thousand.

industries in the regions of Kazakhstan are low, while the limiting factor is the low quality of service due to the lack of a competitive environment in this market.

Summing up the analysis of the tourism industry in Kazakhstan, one can note the development trends of this market: the hotel sector has a dynamic development, the number of hotel enterprises has increased 7 times, the one-time capacity 4.2 times, the number of visitors served 3.7 times over the past ten years, which primarily associated with the development of tourism.

An analysis of the current state and development of the tourism industry in Kazakhstan allowed the authors of this study to develop and propose a number of recommendations for improving the assessment of the quality of tourism services in terms of hotel activities, to determine the development priorities of this industry, as well as the prospects for the development of the tourism market in the country, based on a SWOT analysis according to the state of tourist services, which is shown in table 2.

Table 2

**SWOT analysis of the financial and economic activities of small and medium-sized companies in the tourism industry in 2019**

Weaknesses	Strengths
<ul style="list-style-type: none"> <li>-undeveloped system of rational management in the activities of medium and small enterprises in the tourism sector;</li> <li>- lack of marketing strategy;</li> <li>- high cost of tourism services for Kazakhstan consumers;</li> <li>- non-competitiveness of small and medium tourism enterprises;</li> <li>- low quality advertising and lack of marketing research;</li> <li>- not developed tourism market infrastructure.</li> </ul>	<ul style="list-style-type: none"> <li>- the presence of a permanent reserve of placements;</li> <li>- development of strategic management and marketing mechanisms based on a continuous analysis of the tourism business;</li> <li>- adaptation of foreign practice of tourism development in the Kazakhstan tourism industry;</li> <li>- development of pure competition in the market of tourist services;</li> <li>- development of the legislative framework of the tourism industry.</li> </ul>
Opportunities	Treatments
<ul style="list-style-type: none"> <li>- security improvements;</li> <li>- the predominance of outbound tourism over inbound tourism within the territory, constantly leading to a decline in the situation of the hotel industry and leading enterprises to bankruptcy, which leads to a reduction in tax crime;</li> <li>- weak legislative framework, lack of clear priorities for the industry;</li> <li>- development of tourism market infrastructure</li> <li>- expansion of advertising in the countries of near and far abroad, which ensures the availability of information through the use of digital technology in the development of the tourism market</li> </ul>	<ul style="list-style-type: none"> <li>- Improving the development of hotel chains, creating the basis for improving the quality of service;</li> <li>- development of a marketing system that increases the attractiveness and competitiveness of hotel services;</li> <li>- low level of customer safety;</li> <li>- low level of service in restaurants;</li> <li>- staff turnover in hotels and restaurants.</li> </ul>

According to analysts, the tourism and hospitality market is sufficiently developed in Kazakhstan only in the cities of Almaty and the city of Nur-Sultan. The structure of the tourist services market in these cities is represented mainly by local low-level hotels and high-quality brands, which leads to an unstable situation in the market.

At present, the domestic hotel services market needs comfortable and inexpensive hotels with the concept of “serviced apartments” (as a small apartment belonging to the structure of a hotel with its own kitchen, bathroom and bedroom), as well as hotels of a low price category, but exclusively for business travelers.

The authors proposed tools based on the use of the hierarchy analysis method (MAI) to build and select a development strategy for tourism enterprises in order to develop a marketing strategy.

This model involves the development of scientifically based mechanisms, taking into account the scientific and technological potential, production and marketing capabilities of tourism enterprises to achieve their goals.

Using the MAI model, one can select the priorities of the selected criteria. Table 5 presents

a matrix for pairwise comparison of the choice of marketing strategy of tourism and hospitality enterprises.

Table 5

**Matrix of pairwise comparison of the choice of a marketing strategy for competitive advantages**

Indicators	Strategies					Estimated figures		
	1	2	3	4	5	Generalized vector	Normalized vector	A priority
1. Reducing the cost of tourism services	1	4	5	2	5	2,4	1,06	1
2. Differentiation of travel services	1/4	1	1	3	1/3	1,11	0,12	4
3. Segmentation of the tourist market	1/5	1	1	1/5	1/2	0,6	0,04	5
4. Innovation	1/2	1/3	5	1	3	1,96	0,3	2
5. Immediate response to market demand	1/3	3	2	1/3	1	1,32	0,13	3
Amount	2,25	9,3	14	6,5	9,8			
Note: compiled by the authors based on [9]								

The procedure for filling this square matrix is carried out by independent experts and the following scheme:

1. The first strategy (reducing the cost of tourism services) is consistently compared with other strategies, as a result of which the first column and the first row are filled.

2. Pairwise comparisons are made in terms of the dominance of one of the elements over the other.

- if element A dominates element B, then the cell corresponding to row A and column B is filled with an integer, and the cell corresponding to row B and column A is filled with the inverse number to it;

- if element B dominates element A, the opposite happens: an integer becomes in position BA, and the reciprocal is automatically in position AB;

- if it is believed that A and B are the same, then a unit is put in both positions.

Thus, the comparison of the significance of the marketing strategy is carried out as follows: if, for example, the first element (lowering the cost of tourism services) has a greater impact on the future development of the tourism market than the second strategy, then it is assigned an integer (in this case, 4), and the second (differentiation of tourist services) (less important) is its reciprocal (i.e. 1/4). Similarly, the second column and second row are filled in, etc. until the matrix is completely filled [9].

3. Then, to determine the priority of the identified factors, the values of the generalized and normalized vectors are determined:

- usually the values of the generalized vector are determined in two ways: as the arithmetic mean and geometric mean. In this case, this indicator is calculated as the arithmetic average.

Speaking about measures to solve the investigated marketing strategy, we can offer the

following:

- 1) Creation of a marketing office;
- 2) development of a motivation policy and ensuring the improvement of professionalism of employees;
- 3) Reducing the cost of tourism services by reducing fixed and variable costs, which affects the increase in the volume of tourism services;
- 4) Development of a policy of working with consumers.

The calculation of the economic effect of the proposed measures, taking into account the information collected, allows us to make the following conclusion:

1) It is necessary to create and develop an information-analytical program for tourism and hospitality enterprises:

2) To attract (accept) marketing specialists with professional competencies (especially in the field of tourism) who could implement the principle of “lifelong learning”, which affects the quality of tourist services. For example, a marketer for conducting marketing research and events, a PR manager, for implementing public relations.

3) Implement the work of the enterprise, attracting popular social networks.

4) Work on the pricing policy of the enterprise.

The costs of improving marketing activities will pay off in 0.05 years, which is a very short time in the scale of the organization.

Thus, the marketing strategy of the company will ensure its competitiveness in the market of tourist services.

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### **Бәсекеге қабілеттілік жағдайында кәсіпорынның маркетингтік стратегиясын қалыптастыру**

**Аңдатпа.** Аталмыш мақалада туризм мен қонақжайлық сферасындағы кәсіпорындардың бәсекеге қабілеттілігін қамтамасыз ететін құрал ретіндегі маркетингтік стратегия негізінде туристік саланың дамуына зерттеудің теориялық және практикалық бағыттары қарастырылған.

Мақалада туристік қызметтерді көрсететін кәсіпорынның болашақтағы ұзақмерзімділігін анықтау үшін, оның алдағы уақытта сұранысты мақсатта пайдаланылатын маркетингтік стратегияны дамыту қажеттілігі қарастырылған және негізделген.

Маркетингтік стратегия қалыптастыру, туризм сферасындағы кәсіпорынның бәсекеге қабілетті басымдылығын анықтау үшін, ал нақты айтатын болсақ, сапалы қызмет көрсетуде әлемдік нарықта туристік қызметтер мен оның бәсекеге қабілеттілігіне маңыздылық жасалады.

Мақалада Қазақстанның туристік саласының қазіргі жағдайына талдау жасалынған және жаһандану жағдайында аталмын саланы дамыту мәселелері мен басымдықтарын анықтайтын негізгі факторлар анықталған. Сонымен қатар, осы мәселелерді қалпына келтіру үшін, туризм саласында қызмет көрсететін кәсіпорындар үшін маркетингтік стратегияны қалыптастыру бойынша ұсыныстар жасалынған.

**Түйін сөздер:** маркетинг, стратегиялық маркетинг, туристік кәсіпорындар, бәсекеге қабілеттілік, туристік нарық, шығындар.

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### **Формирование маркетинговой стратегии предприятия в условиях конкуренции**

**Аннотация.** Статья направлена на рассмотрение теоретических и практических подходов к исследованию развития туристической отрасли на основе формирования стратегии маркетинга как инструмента обеспечения конкурентоспособности фирм в сфере туризма и гостеприимства.

Рассмотрена и обоснована необходимость развития стратегического маркетинга с целью его применения для определения долгосрочных перспектив предприятий, оказывающих туристские услуги.

Разработка маркетинговой стратегии обоснована для определения конкурентных преимуществ предприятия сферы туризма, а именно, в части оказания качественных туристических услуг и их конкурентоспособности на мировом рынке.

В статье проанализировано современное состояние туристской отрасли Казахстана, определены основные факторы, определяющие преимущества и проблемы развития данной отрасли в условиях глобализации, и предложены рекомендации по разработке маркетинговой стратегии для предприятий в сфере туризма.

**Ключевые слова:** маркетинг, стратегический маркетинг, туристское предприятие, конкурентоспособность, туристский рынок, затраты.



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### **Public-private partnership development in Kazakhstan education**

**Abstract.** The purpose of the article is to analyze the application of public-private partnership mechanisms in projects in the education sector of Kazakhstan and develop proposals for its activation. There are were used general scientific research methods as observation, description, analysis and synthesis, as well as comparative, formal-logical and other methods of cognition in the research process. As the research information base was used the register of public-private partnership projects, which is maintained by the similarly named Center authorized to accompany public-private partnership projects in Kazakhstan. In this case, the sorting, calculation and interpretation of data on PPP (public-private partnership) projects in the field of education was carried out by the author independently from a large array of data presented in the registry.

In this article a relevant quantitative information on public-private partnership projects was demonstrated and analyzed in the field of education of the Republic of Kazakhstan in a regional and sectoral context. Apart from that, an analysis of public-private partnership projects in the field of education of republican significance was carried out, their characteristics were given. The forms and sources of project financing have been investigated, the features of the implementation of public-private partnership projects in the field of education of the Republic of Kazakhstan have been determined. Ways are proposed to increase the activity of the private sector in engaging in public-private partnerships in education by increasing their investment attractiveness.

**Key words:** Public-private partnership, education, projects, concession, trust management.

**DOI:** <https://doi.org/10.32523/2079-620X-2019-114-122>

Public-private partnership (PPP) in the field of education is a form of interaction between the state and business, in which, complementary to standard obligations, participants undertake to create conditions for the development of the education system in the territory in order to meet the needs of students, the business entity and the population living on territory [1]. Therewith, the benefit for the state lies in the transfer to the private trader of some functions that he can carry out more efficiently, as well as in reducing the burden on the budget. The benefit for business consists in providing a state guarantee for the consumption of its services in case of trust management, provision of land and premises for educational activities on a free or preferential basis, full compensation for the cost of construction of educational facilities in a concession.

The main foundation for the formation of PPP in Kazakhstan was laid with the adoption of the Law of the Republic of Kazakhstan “On Concessions” in 2006 [2], which regulated the basis of the concession agreement and allowed the participation of foreign investors in PPP projects. In general, terms, the Law clearly defined the scope of actions of the parties to the PPP (public-private partnership), however, it did not consider compensation for foreign exchange losses to foreign investors. For this reason, until 2016, only 2 large infrastructure projects based on PPP (public-private partnership) were implemented in Kazakhstan [3]. Meanwhile, the growing economic crisis, the decline in the income of the national fund, in parallel with the growing needs of the population in healthcare and education facilities, actualized the need to introduce other forms of PPP other than concessions.

To solve the problem of a shortage of kindergartens, the state began to cooperate with private kindergartens by establishing there a public procurement with per capita financing. At that time, other forms of cooperation between the private sector and the state were not possible

in the field of education. With the initiation of the scientific community, individual public figures and representatives of business communities, a draft Law on PPP was developed, providing non-concessionary forms of implementation of PPP projects, which was adopted in 2016 [4].

In general, it could be said that the approach of the Law on PPP is non-standard in comparison with the Law on Concessions. If earlier under the Law on Concessions, it was only possible to build or reconstruct objects, now it is possible to transfer functioning objects to the PPP mechanism by trust, lease, or a service contract. There was also the possibility of a private financial initiative, when an entrepreneur has a land plot or object in which it is possible to provide services to the population in the same field of education. The adoption of the Law allowed to almost completely solve the problem of the shortage of kindergartens in the regions of Kazakhstan, it also contributed to the organization of better nutrition in schools, the creation of training centers and gyms, and the repair of educational facilities by attracting private investment.

It seems clear that, it is much easier to improve the adopted separate Law on PPP than tack in existing related documents each time [5]. And after three years of its operation, it's safe to say that now the development of public-private partnership has received a new impetus in Kazakhstan. This can be judged by the number of projects being implemented: as of October 3, 2019, 1263 projects were registered in Kazakhstan, of which 615 projects have already concluded agreements. The total amount of attracted private investment exceeded 1 trillion tenge.

Today in the development of PPP in the field of education, the positive changes are noted. So, 48,5% of PPP (public-private partnership) projects out of their total number in the Republic of Kazakhstan are registered in the field of education. As of October 3, 2019, contracts were signed for 336 projects, 41 projects are at the competition stage, and contracts were canceled for 6 projects (table 1).

Table 1

**Description of PPP projects in the field of education of the Republic of Kazakhstan, as of October 3, 2019**

	<b>Projects</b>		<b>At the stage of competition</b>	<b>Terminated Contracts</b>	<b>Concluded Contracts</b>
	Amount	Share			
Total	1263	100.0	138	7	607
Education	612	48,5%	41	6	336
Note - compiled and calculated by the author on the basis of the Register of PPP projects of the PPP Center					

According to the Center for Public-Private Partnerships, the objects of the canceled projects were kindergartens for 230-320 places. The initiator of 5 projects was the state represented by local Education Departments and 1 project was initiated by a private entrepreneur. The state in these projects guaranteed the state order in the form of consumption of kindergarten services with per capita financing. Moreover, the initiative to terminate these contracts belongs to the state due to non-compliance with the terms of the contract by the concessionaire (private trader). The remaining information on terminated PPP (public-private partnership) contracts is presented in Table 2.

Table 2

**Information on terminated PPP contracts in the field of education**

<b>Region</b>	<b>Year of conclusion</b>	<b>Reason for termination</b>	<b>Type of contract</b>	<b>The total cost of the project</b>	<b>External Investments</b>
K o s t a n a y region	2017	By the decision of Special Interdistrict Economic Court of Kostanai Region, 16/09/2019	C o n t r a c t PPP (public-private partnership). T r u s t management of state property	895600	895600
K o s t a n a y region	2017	By the decision of Special Inter-district economic court of Kostanai region, 16/09/2019	C o n t r a c t PPP (public-private partnership). T r u s t management of state property	895600	895600
The East Kazakhstan region	2015	for non-compliance with the terms of the contract by the Concessionaire, 17/04/2017	O t h e r agreements	664600	664600
The East Kazakhstan region	2015	for non-compliance with the terms of the contract by the Concessionaire, 18/04/2017	O t h e r agreements	571900	571900
The East Kazakhstan region	2015	for non-compliance with the terms of the contract by the Concessionaire, 19/04/2017	O t h e r agreements	495500	495500
A k m o l a region	2016	By the decision of the Specialized Inter-district Economic Court of Astana city, 20/09/2018	No data		
Note - compiled and calculated by the author on the basis of the Register of PPP (public-private partnership) Projects of the PPP (public-private partnership) Center					

It should be noted that due to the termination of these Contracts, there were no state losses, since the form of state participation in these projects was to provide land plots for temporary use to private owners.

Of all 612 PPP projects in the field of education, 610 projects are implemented at local levels, the remaining 2 – are at the republican level. Let's consider them.

The first project is related to the creation, implementation and operation of the automated information system Kundelik in the Republic of Kazakhstan. The aim of the project is the cancellation of paper reporting forms (including journal and diary) in educational institutions in the Republic of Kazakhstan and a complete transition to the electronic version of journaling. The contract for this project was concluded on January 26, 2018 on a private initiative ("Kundelik LLP"), the project is currently in the operation, the service life is coming to an end in 2030. The state partner is the state represented by the Ministry of Education and Science of the Republic of Kazakhstan. The volume of attracted private investments covers the entire necessary amount for the implementation of the project and equals to 5,8 billion tenge [6]. State support measures for this project include: providing comprehensive legal and regulatory, technical, methodological and other support; guarantee of consumption during the implementation of the project.

The second project "Regional Center for Testing and Pedagogical Competence" was also initiated by a private trader ("U-FUTURE" LLP). As envisioned by the initiators, a network of testing centers will be created in 17 regions of the country. The network of regional testing centers to be created will be united by a single software, technical requirements and general testing administration rules. The purpose of the network of regional testing centers is standardization, increasing the transparency and fairness of external assessment procedures involving computer and paper testing. The project involves for both paper and online testing. The user can work on errors and get 11 analytical and statistical reports. Now, with the help of the UStudy service, it is possible to pass trial testing of UNT (Unified National Testing), as well as pass training video courses in various subjects [7].

The state support measure is to provide a guarantee of the consumption of services provided during the implementation of the Project. The guarantee of consumption is as follows: providing each Kazakhstani scholar with access and the opportunity to prepare for UNT (Unified National Testing) by passing trial tests with the provision of consulting and methodological assistance. The volume of attracted private investments for this project is 1,4 billion tenge.

Data on the sources of financing of PPP projects in the field of education of Kazakhstan are presented in Table 3.

Table 3

**Cost of PPP projects in the field of education by level of implementation**

	<b>Total cost of projects, billion tenge</b>	<b>Share of the total cost, %</b>	<b>The volume of attracted private investment, thousand tenge</b>	<b>Share of total investment, %</b>	<b>Budget financing</b>
Local level	106,3	93,6	46,4	86,6	59,9
Republican level	7,2	6,4	7,2	13,4	-



A 1 1 PPP(public- p r i v a t e partnership) projects in the field of education of the Republic of Kazakhstan	113.5	100	53,6	100	59,9
Note - compiled and calculated by the author on the basis of the Register of PPP projects of the PPP Center					

As can be seen from table 3, the total cost of PPP projects in the field of education amounts 113,5 billion tenge, more than half of this cost, or rather 53,6%, is covered by private investments, the rest are reimbursed by the state. 93,6% of the total cost of PPP projects in the field of education is concentrated at local levels. Therewith, out of 106,3 billion tenge, 86,6% are funded by private entrepreneurs, the remaining 13,4% - by the state.

In the regional context, the East Kazakhstan and Zhambyl regions show the greatest activity, the least -Shymkent, West Kazakhstan and Almaty regions (Figure 1).

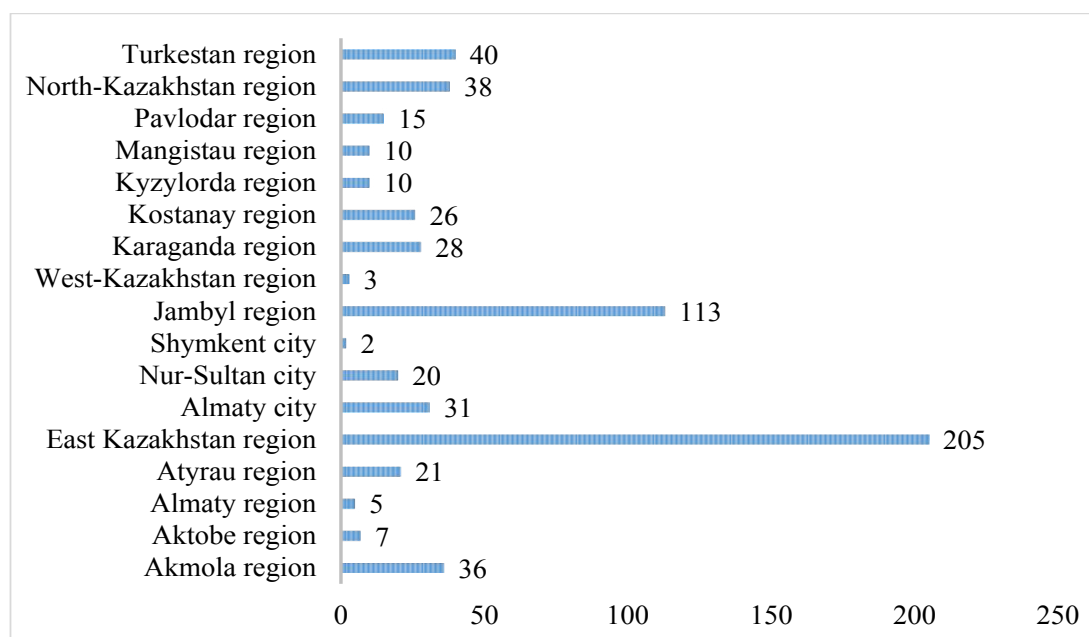


Figure 1 – The number of PPP projects in the field of education, as of October 3, 2019

Note - compiled and calculated by the author on the basis of the Register of PPP projects of the PPP Center.

As can be seen from Figure 1, the practice of applying PPP mechanisms in educational projects in the regions of the Republic of Kazakhstan is developing unevenly. So, 205 projects are being implemented in the East Kazakhstan region, only 3 in the West Kazakhstan region, and only 2 projects in Shymkent. The Zhambyl region in the number of PPP projects in the field of education is in second place in Kazakhstan with 113 projects. In other regions, the number of PPP projects in the field of education does not exceed 40 units. Thus, it can be concluded that the regions do not fully utilize the potential of PPPs in the field of education.

Let's consider the sectoral structure of PPP projects in the field of education (Figure 2).

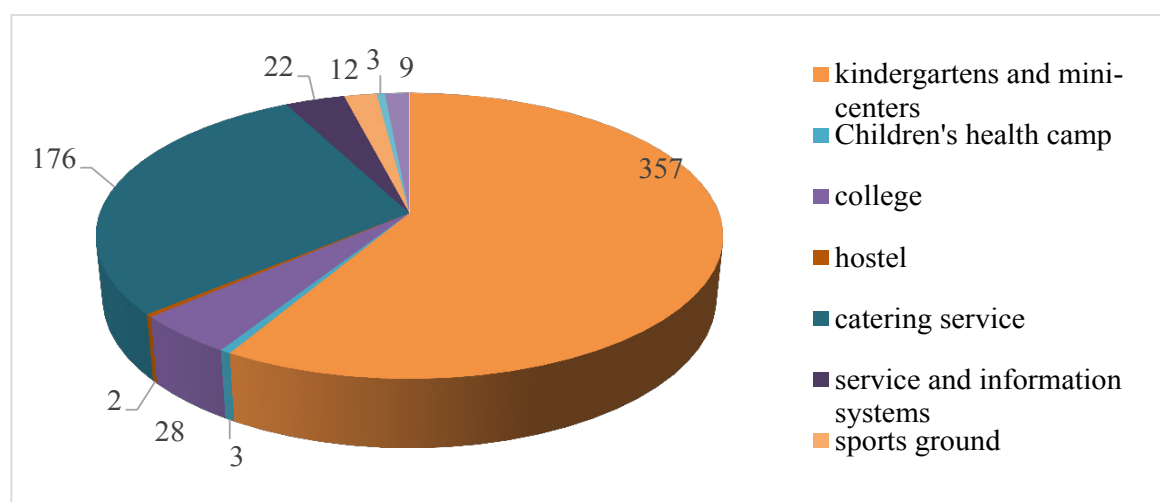


Figure 2 - Sectoral section of PPP projects in the field of education, as of October 3, 2019

Note - compiled and calculated by the author on the basis of the Register of PPP projects of the PPP Center.

As can be seen from the presented figure 2, of the total number of registered PPP projects in the field of education, 58% or 357 projects are carried out as part of the construction, operation and placement of state orders in kindergartens and mini-centers. The next popular area of PPP (public-private partnership) is catering in schools, 176 projects are registered in this area.

If classified by types the concluded contracts, then in most cases this is trust management and lease contracts. Trust management is mainly used in projects for the operation of kindergartens, training centers, colleges, and rental contracts in the field of school meals. These forms of PPP contribute to the development of per capita financing and dual education, open up new social standards - by transferring functions to the private sector, and also reduce current budget expenditures. In case of successful implementation of the project, the business gets the opportunity to transfer management costs of the educational object, measures of state support. And the state body (local council) within the framework of its participation in the project contributes to the development of intellectual capital of the private sector, reducing the one-time burden on the state budget, and the possibility of accelerated implementation of the social project [8].

The study allows us to draw the following conclusions:

1. Thus, today in the educational system of Kazakhstan, more PPP projects are concluded in comparison with other areas.

2. Along with this, the sectoral structure of PPP projects in the field of education is dominated by pre-school education facilities and colleges on a contractual basis and on the basis of trust management. Nevertheless, Kazakhstan can not yet brag about a large number of projects under the PPP in the field of secondary education for the following reasons. This is due to the fact that initially the partnership was aimed at eliminating the shortage of places in preschool education organizations, and in subsequent years the government took measures to strengthen the role of secondary technical education.

3. Uneven regional development in the application of the potential of PPPs in the field of education.

4. Weak implementation of PPP mechanisms in secondary education projects, which is due to the features of cooperation between business and the state in secondary education, which require time and development. The task of the state is to accelerate this process by creating appropriate conditions, implementing best international practices in national legislation.

In general, to stimulate the active use of PPP mechanisms in educational projects, the following measures should be taken:

1. Create additional preferences for private investment in the framework of the PPP project for the construction of secondary schools with their further reconstruction. It is necessary to realize that only by increasing the investment attractiveness of PPP projects, by which their effectiveness can be achieved.

2. It is necessary to oblige local akimats to the active use of contractual forms of PPP. As part of the Damu training programs, it is advisable to conduct a training cycle on the basics of PPP in order to increase entrepreneurship literacy and their involvement in PPP projects.

3. Large PPP projects in the field of education must be initiated by the state by the Ministry of Education and Science of the Republic of Kazakhstan. Such projects require very large investments, so there is a need to attract foreign investment or loans from international banks. Here the state can act as a guarantor of return on investment. In turn, the initiative to create such projects should be preceded by a study of foreign experience in this area and discussion of nuances with competent international experts. It should be noted that it is advisable to implement such projects at the republican level, since only at this level can the state guarantee compensation for foreign exchange losses, which is important for potential foreign investors.

The implementation of the proposed activities will contribute to increasing the investment attractiveness of PPP projects in the field of education. Enhanced use of mechanisms of PPP in the construction of schools and universities will unload the state budget for education, and a partial solution to the problem of the lack of secondary schools, an improvement in the infrastructure of universities, the establishment of interconnected activities of the educational process, university science and business.

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### **Қазақстанның білім беру сферасында мемлекеттік-жеке әріптестікті дамыту**

**Аңдатпа.** Мақалада Қазақстанның білім беру сферасындағы жобаларда мемлекеттік-жеке әріптестік тетіктерін қолданылуын талдау және оны белсендіру бойынша ұсыныстар әзірлеу болып табылады. Зерттеу барысында байқау, сипаттау, талдау және синтез сияқты жалпығылыми әдістер, сонымен қатар танымның салыстырмалық, формалды-логикалық және т.б. әдістері қолданылған.

Зерттеудің ақпараттық базасы ретінде Қазақстандағы мемлекеттік-жеке әріптестік жобаларының іске асуын қадағалауға өкілетті «Мемлекеттік-жеке әріптестік орталығы» жүргізетін реестр пайдаланылған. Осы реестрде көрсетілген мәліметтердің үлкен массивінен білім саласындағы жобалар бойынша мәліметтерді автор өзі іріктеп, есептеген және оларға интерпретация жасаған. Автор білім беру саласындағы мемлекеттік-жеке жобалар бойынша аймақтық және салааралық өзекті сандық көрсеткіштерді көрсетіп, талдау жасаған.

Республикалық маңызы бар жобаларға талдау жүргізіліп, баға берілген. Қазақстан Республикасындағы білім беру сферасындағы мемлекеттік-жеке әріптестік жобаларын іске асыру формалары, қаржыландыру көздері және ерекшеліктері анықталған. Білім беру саласындағы мемлекеттік-жеке әріптестік жобаларының инвестициялық тартымдылығын арттыру арқылы жеке сектордың оларға қатысуын белсендіру жолдары ұсынылған.

**Түйін сөздер:** мемлекеттік-жеке әріптестік, білім беру, жобалар, концессия, сенімгерлік басқару.

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### **Развитие государственно-частного партнерства в сфере образования Казахстана**

**Аннотация.** Целью статьи является анализ применения механизмов государственно-частного партнерства в проектах сферы образования Казахстана и выработка предложений по её активизации. В процессе исследования были применены такие общенаучные методы исследования, как наблюдение, описание, анализ и синтез, а также сравнительный, формально-логический и другие методы познания. В качестве информационной базы исследования был использован реестр проектов государственно-частного партнерства, который ведется одноименным Центром, уполномоченным сопровождать проекты государственно-частного партнерства в Казахстане. При этом сортировка, расчет и интерпретация данных по проектам ГЧП в сфере образования осуществлялись автором самостоятельно на основе большого массива представленных данных в реестре. В статье продемонстрирована и проанализирована актуальная количественная информация по проектам государственно-частного партнерства в сфере образования Республики Казахстан в региональном и отраслевом разрезах. Кроме того, проведен анализ проектов государственно-частного партнерства в сфере образования республиканского значения, дана их характеристика. Исследованы формы, источники финансирования проектов, определены особенности реализации проектов государственно-частного партнерства в сфере образования Республики Казахстан. Предложены пути повышения активности частного сектора в задействии в проектах государственно-частного партнерства в сфере образования путем повышения их инвестиционной привлекательности.

**Ключевые слова:** государственно-частное партнерство, образование, проекты, концессия, доверительное управление.

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### Foreign experience in supporting innovation

**Abstract.** The article analyzed the foreign experience of supporting innovation. The authors of the article were to consider the main financial, managerial and organizational-legal mechanisms used by leading countries in the field of innovative development to stimulate innovation. A list of the most frequently used measures to support and stimulate innovation is given. The scientific article outlines the role of the state in enhancing innovation in the leading economies of the world. With the help of the rank correlation coefficient of E. Spearman, the relationship between the share of GDP spent on research and development and its place in the Global Innovation Index developed by Cornell University, INSEAD Business School and the World Intellectual Property Organization was investigated. The result of the study of this relationship was that there is a direct moderate relationship between these two indicators.

**Keywords:** innovation, innovation activity, government support, international experience, financing, technopark, business incubator, rank correlation coefficient.

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**Introduction.** Activation of innovative activity is impossible without studying foreign experience of innovative activity. All changes in the innovation process management system in foreign countries are based on the introduction of new organizational forms of innovation management [1, 2]. A review of the literature shows that economically developed countries have accumulated extensive experience in organizing the innovation process over the past decades. The study of accumulated experience seems appropriate, since it will help in ensuring the absorption of innovations in domestic practice.

The main task of this research is to study the foreign experience of supporting innovative activities of enterprises by using various mechanisms of financial, managerial and organizational legal nature.

The practice of economically developed countries shows that sustainable economic growth in the modern world and conditions is associated with the level of introduction of new technologies and developments into production. According to some expert estimates, due to the introduction of innovations in these countries, GDP growth is achieved from 50 to 70%.

The role of the state in economically developed countries in terms of innovation stimulating is through the creation of regulatory, economic, financial, and organizational conditions. Purposeful regulation of innovation processes consists in their activation in all spheres and is carried out using direct and indirect impact methods. To a greater degree, stimulation of innovation activity is carried out by the state in the form of financial support through the placement of government orders on the market. Along with this, innovative firms are provided with tax and other benefits [3].

In developed countries, high innovation activity is manifested in a combination of product and process innovations in the high-tech sector, while in the manufacturing industry, product innovations are most prevalent [4].

**Research method.** The information in this scientific article is based on the works of domestic and foreign economic scientists, which were published in periodicals and posted on web-sites.

The source of the data was the publications of such organizations as: National Research University, Cornell University, INSEAD School of Business and World Intellectual Property

Organization.

In the process of conducting scientific research, dialectical methods of general scientific character and specific methods in economic research were used.

In the process of research, various methods were used: monographic, economic and statistical, expert assessments, as well as abstract-logical and comparative.

**The purpose of the article.** The purpose of writing this scientific article is studying the peculiarities of foreign experience of enhancing innovation.

**Results and discussion.** The leading position in the US innovative development was provided by state financial support for high-tech, technically advanced industries and industries that are of national importance and ensure the preservation of comparative advantages compared with other countries. Achieving the goal is carried out through state control of industries and sectors of industry of national importance and affecting the situation in them, most often using indirect methods of stimulation. One of the indirect methods of tax incentives is carried out both at the federal level and at the state level. A good example of providing tax incentives to enterprises engaged in innovative activities in the form of an investment tax credit showed that every dollar spent increases US economic activity by two dollars.

The peculiarities of the US innovation system include the emergence of institutions independent of the state (technology parks and venture funds) and the high activity of small innovative companies. At the same time, the active emergence of small innovative companies was due to the availability of funds through venture capital and special state programs.

The German experience in innovation support is based on financial support from the federal budget within the framework of targeted programs of the Federal Ministry of Education, Science, Research and Technology. Financial support is obtained for research and development that is of national importance for the country as a whole and aimed at raising domestic science and technology in certain areas to the world level. Priority is given to research and development that is long-term in nature, accompanied by high risk and requiring large expenditures in the financing of which private capital also participates, in particular inter-sectoral developments in the field of critical technologies.

So, back in the 1980s, in Germany there were made attempts to create and implement a state strategy for industrial development and innovation. In 2002, the concept of innovation policy was adopted, in which the priorities were the formation of an innovation culture, the creation of framework conditions that promote innovation, and the embodiment of research results into innovations. In 2006, the Strategy for Innovation and Technological Development was developed, which included new priorities in the technological sphere, taking into account global trends in the development of science and technology. The strategy identified 17 key sectors of priority importance for the economy for each of which development strategies were developed. In addition, as part of the implementation of this strategy, a number of projects were initiated on the cooperation of science and business and the development of clusters that are developing new technologies.

The peculiarity of the mechanism of financing national science and priority innovation and scientific-technical projects in Germany is the use of the institutional method of financing, that is, the state directs budget funds to organizations that conduct research directly. State financial support in Germany is provided in the form of grants, loans and tax incentives, assistance in the formation of equity, as well as state guarantees, preferential terms for the use of land [5, 6].

The main milestone of innovative development in Israel dates back to 1991, when the State Commission for Scientific and Technological Development was established. This commission identified the most appropriate form of stimulating the economy in the form of creating science parks and technology parks and identified priority areas: computer programming, biotechnology, medical equipment, environmental protection methods, fresh water production

methods, information and communication technologies. On this basis, the Government adopted a comprehensive program to stimulate innovative development, taking into account both the state of the global market and the specific features of Israel. Initially, technological business incubators were financed by the state, and in 2001 an economic analysis of their activities was conducted and it was concluded that attracting private capital should increase their productivity. Today, private financing of technological incubators is twice as much as the state. A network of consulting services has emerged and began to develop rapidly, designed to help young entrepreneurs navigate the demands of the modern market, develop business plans and find suitable strategic partners.

On the one hand, private business incubators lead scientists and engineers to potential investors and to real producers of finished products. On the other hand, they help investors to find the most promising areas of capital investment with the goal of ultimately obtaining maximum profit. Since the state is actively involved in the initial stages of research and development, the risk of unsuccessful investments is significantly reduced for private investors.

The militarization of the Israeli economy in the field of weapons improvement is an important catalyst for the technical progress of the country as a whole. On the one hand, many development projects commissioned by the military department, then find their application in the field of national economy. On the other hand, work at the forefront of technological progress, even if its main goal is to solve some military-technical problems, contributes to maintaining a high level of civilian production [7, 8].

In Japan, as well as in Germany, the state develops strategies and programs for innovative development. Fundamental research is carried out by state scientific institutions and is distinguished by a low level of implementation, while applied scientific research is most often conducted by research laboratories of large corporations. Since venture financing in the country has not been developed, the source of funds is government loans and resources of state banks. In addition, state and public financial corporations and agencies are engaged in lending innovation, but, unlike state banks, they need to obtain permission from the Japanese government of innovation project crediting.

In the 1980s, the Japanese government launched a large-scale technopolis creation program. In the framework of the "Technopolis" program, 20 technopolises of the prefectures of the country were created, which were lagging behind in economic development. On the territory of the technopolises, there were credit and tax incentives, firms were allowed to apply the accelerated depreciation method, and the state jointly participated in research laboratories and small firms. In addition, private capital was actively attracted to the technopark zone, and it was the place where university science and production were connected.

One of the fastest growing economies in the world is the economy of China. At the end of 2018, the share of China's GDP was 16.45% in world GDP, assenting only to US GDP. The peak of innovation development fell on the 11th five-year plan (2006-2010) with an active role and support of the state.

The active innovation policy, launched in the 1980s, was implemented by China through the implementation of targeted programs, more aimed at the development of foreign technologies. The innovation activity of enterprises was intensified locally in special economic zones, industrial parks, trade and economic development zones, etc. The "Fakel" program, adopted in 1988, provided for the construction of technology parks.

At present, there are 57 zones in China for the development of new and high state-level technologies. The rapid growth of technology parks was accompanied by the attraction of foreign investments. Favorable conditions have been created for potential investors: a reduced income tax rate; long term of cooperation agreements; freedom of transfer of funds by non-residents; exemption from income tax in case of reinvestment of incomes into the economy of free economic zones.

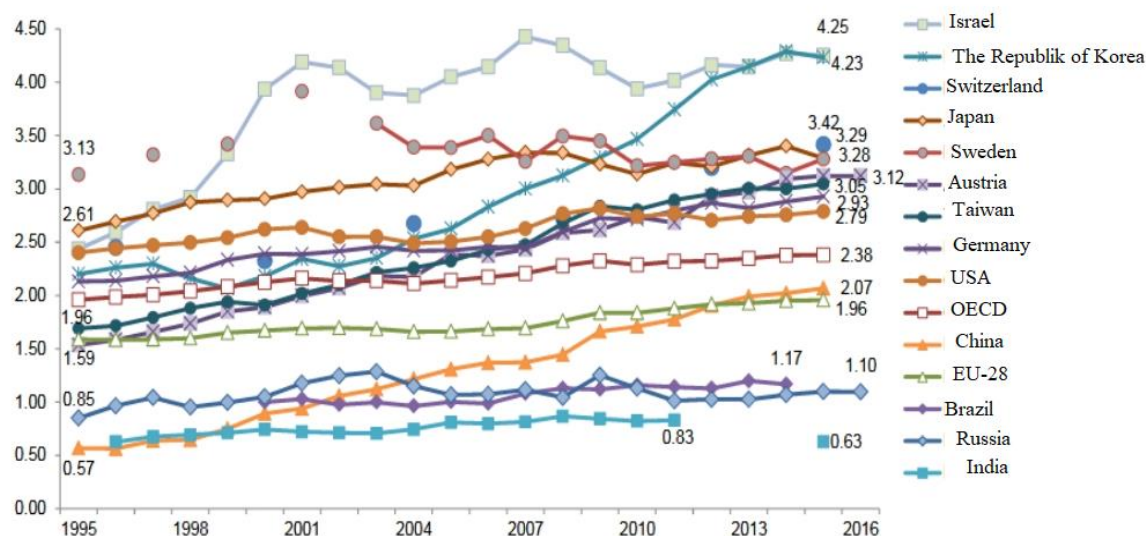
Today, China demonstrates to the world the efficiency of its industrial policy, implemented on the basis of a centralized system of planned macroeconomic regulation, and pursues a policy of accelerated development of the economy of the fifth technological order.

In addition to the listed activities, China pays great attention to the personnel potential of science. In the world of scientific publications, China ranks second. The scientific potential is increased by attracting foreign specialists (480 thousand specialists in 2009) and training and retraining of national personnel abroad. There is a policy of returning Chinese scientists from abroad to the country, they are provided with research grants, which are used to create business incubators and technoparks at universities. The result of such policy is that 60% of academics in China are repatriates. Such rapid growth of innovative technologies in China is provided by state support, the main measures of which are government subsidies and concessional loans [9].

Studying the experience of successful innovation development of the Republic of Korea allows us to identify a number of determining factors. First of all, it is the leading role of the state in the innovation process. The basis for creating an innovation system was a public-private partnership with the leading role of the state. Also, an important role in the commercialization of innovative technologies is played by chaebols, which represent a special form of financial-industrial groups in the form of a conglomerate. By the way, it was the chaebols who determined the economic situation and the active economic growth of the Republic of Korea after a long stagnation. In addition, the experience of innovative development of the Republic of Korea is characterized by the use of various sources of technology transfer; the growth of investments in higher education, science and social capital; the formation of regional industrial clusters; promoting the development of entrepreneurship and creative economy [10].

Government support for innovation results in an increase in the number and proportion of enterprises with innovative activity. So, the share of innovation-active enterprises is about 50% in the United States, while Germany (79.3%), Sweden (60%), Finland (58%) [11,12,13].

In general, world practice shows that the development of innovation is associated with the state of fundamental and applied science, as well as the level of innovation commercialization [14]. The indicator characterizing the degree of state participation in the scientific and technical progress is the amount of science funding. The share of GDP directed to research and development in some countries leading by this indicator is illustrated in Line graph 1.



Line graph 1. Dynamics of domestic research and development costs in the percentage of GDP  
Note: made by the author on the basis of data [15].



Thus, the share of GDP in research and development: amounted to over 4% in Israel and the Republic of Korea, over 3% in Switzerland, Japan, Sweden and Austria. The European Union recommends that all member countries increase the level of investment in science to 2.5% of GDP. Recent studies on the clustering of countries, the share of GDP expenditure allocated to R & D shows that there is a tendency for a number of countries (Norway, Slovenia, China, Ireland, the Czech Republic, Turkey, Greece, Poland and Bulgaria) to move from one group to another. Such rates of increase in spending on science create certain prerequisites for enhancing innovation in the countries noted [16].

One of the indicators characterizing the level and pace of innovative development of the countries of the world is the Global Innovation Index (GII), which ranks 126 countries by 80 parameters. This annual ranking is compiled and published by experts from Cornell University, INSEAD Business School and the World Intellectual Property Organization. According to the rating compiled on the basis of the results of 2018, the results are presented in Table 1.

Table 1

**Rating by GII in 2016-2018**

№	Country	Place in the GII rating				
		2016	2017	2017 to 2016	2018	2018 to 2017
1	Israel	21	17	+4	11	+6
2	The Republic of Korea	11	11	-	12	-1
3	Switzerland	1	1	-	1	-
4	Japan	16	14	+2	13	+1
5	Sweden	2	2	-	3	-1
6	Austria	20	20	-	21	-1
7	Germany	10	9	+1	9	-
8	USA	4	4	-	6	-2
9	China	25	22	+3	17	+5
10	Brazil	69	69	-	64	+5

Note: compiled by the author on the basis of data [17].

Table 1 shows the leaders of the rating and major participants in the world economy. In dynamics, Israel shows the best result, improving its positions in 2017, 2018 by 4 and 6 points, respectively.

Investigating the relationship between the share of GDP aimed at research and development and a place in the Global Innovation Index, we turn to E. Spearman's rank correlation coefficient [18]. This indicator is calculated not by the primary data, but by the ranks (sequence numbers) that are assigned to all values of the studied traits, arranged in ascending order. If the values of the attribute coincide, then the average rank is determined by dividing the sum of the ranks by the number of matching values.



Table 2

Auxiliary table for calculating the rank correlation coefficient

№	Country	Percentage of GDP for research and development $x$	Place in rating GII $y$	Ranks		Rank difference $d$	Rank difference square $d^2$
				on $x$	on $y$		
1	Israel	4,25	11	1	5	-4	1
2	The Republic of Korea	4,23	12	2	6	-4	2
3	Switzerland	3,42	1	3	1	2	3
4	Japan	3,29	13	4	7	-3	4
5	Sweden	3,28	3	5	2	3	5
6	Austria	3,12	21	6	9	-3	6
7	Germany	2,93	9	7	4	3	7
8	USA	2,79	6	8	3	5	8
9	China	2,07	17	9	8	1	9
10	Brazil	1,17	64	10	10	0	10
Totally							98

Rank correlation coefficient is determined by the formula:

$$\rho = 1 - \frac{6 \sum d^2}{n(n^2 - 1)} \quad (1)$$

where  $d^2$ - squared difference for each unit  $d=x-y$ .

Substitute the values from the auxiliary table into the formula:

$$\rho = 1 - \frac{6 * 98}{10(100 - 1)} = 0,41$$

Rank correlation coefficient was 0.41, which indicates a direct moderate relationship between the share of GDP directed to research and development and a place in the Global Innovation Index. Hence the conclusion that the amount of spending on science determines the level of innovative development in the country and to some extent determines its place in the global ranking.

**Conclusion.** The reviewed experience of stimulating innovation in the leading economies of the world has shown that its stimulation occurs with the participation of the state, in the form of various mechanisms developed and involved. The methods by which innovation is stimulated vary from country to country. The choice of such methods depends on the economic, political and other conditions of a country's development. By encouraging innovation, governments increase the efficiency of national innovation systems and create favorable conditions for enterprises to participate in science and technology. Studying the positive experience of innovative development of economically developed countries should not lead to the idea of blindly copying it, because any national economy has its own specific features.

Thus, the study of foreign experience in support of innovative activities has shown that

government support is directly related to the level of innovative development of the country and is necessary, primarily in terms of financial support for innovative programs and projects, the formation of innovative infrastructure, training personnel for the innovative sphere and the formation of perfect regulatory framework.

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### **Инновациялық қызметті қолдаудың шетелдік тәжірибесі**

**Аңдатпа.** Мақалада инновациялық қызметті қолдаудың шетелдік тәжірибесіне сараптама жасалды. Мақала авторлары инновациялық қызметті ынталандыру үшін жетекші елдердің инновациялық даму саласында қолданатын негізгі қаржылық, басқарушылық және ұйымдастырушылық - құқықтық қозғаушы күштерді қарастыруды міндет етті. Инновациялық қызметті ынталандыру мен қолдауда ең жиі пайдаланылатын шаралар тізімдемесі берілді. Ғылыми мақалада әлемнің жетекші елдеріндегі инновациялық қызметті жетілдірудегі мемлекеттің рөлі сипатталған. Э. Спирменнің аралық корреляция коэффициентінің көмегімен зерттеулер мен әзірлемелерге жұмсалған ЖІӨ үлесі мен оның Корнелл университеті, INSEAD Бизнес мектебі және Дүниежүзілік зияткерлік меншік ұйымы әзірлеген Ғаламдық инновациялық индекстегі орны арасындағы байланыс зерттелді. Осы қатынастарды зерттеудің нәтижесі осы екі көрсеткіш арасындағы тікелей қалыпты қарым-қатынас бар екендігі болып табылады.

**Түйінді сөздер:** инновация, инновациялық қызмет, мемлекеттік қолдау, шетелдік тәжірибе, қаржыландыру, технопарк, бизнес-инкубатор, аралық корреляция коэффициенті.

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### **Зарубежный опыт поддержки инновационной деятельности**

**Аннотация.** В статье был проведен анализ зарубежного опыта поддержки инновационной деятельности. Авторами статьи была поставлена задача рассмотреть основные финансовые, управленческие и организационно-правовые механизмы, используемые странами-лидерами в области инновационного развития для стимулирования инновационной деятельности. Приведен перечень наиболее часто используемых мер поддержки и стимулирования инновационной деятельности. В научной статье обозначена роль государства по активизации инновационной деятельности в ведущих экономиках мира. При помощи коэффициента ранговой корреляции Э. Спирмена исследована взаимосвязь доли ВВП, расходуемой на научные исследования и разработки, и места в рейтинге согласно Глобальному индексу инноваций, разрабатываемому Корнельским университетом, школой бизнеса INSEAD и Всемирной организацией интеллектуальной собственности. Результатом исследования указанной взаимосвязи явилось то, что между этими двумя показателями существует прямая умеренная связь.

**Ключевые слова:** инновация, инновационная деятельность, государственная поддержка, зарубежный опыт, финансирование, технопарк, бизнес-инкубатор, коэффициент корреляции рангов.

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### Financial support of agricultural enterprises by the results of their activities

**Abstract.** The article considers the issues of state financial support for agricultural enterprises with an assessment of the relationship between the results of their activities and the amount of financial resources provided. The financial support of the agricultural sector of the economy is based on uneven cash flow due to the influence of the seasonality factor, the objective need to use borrowed resources in production processes, the subsidized nature of the agricultural production itself, and others. It is proved that, based on the principles of a systematic approach, the optimization of the structure of the formation of financial resources should be considered from the point of view of interdependence and interaction with production efficiency. It is necessary to rationalize measures of state financial support for agricultural production and increase its effectiveness. It is necessary not only to increase the volume of funds allocated from the republican budget, but also to improve their use by providing financial resources to entities taking into account the results of their activities, and not depending on the size of their authorized capital. The experience of individual enterprises cited in the article testifies to the positive impact of financial and credit resources provided to agricultural producers, even in the difficult conditions of their functioning and despite problems in their financial support.

**Keywords:** state financial support, agricultural sector of the economy, production efficiency, agricultural production, methods of analysis of financial condition, subsidies, production indicators.

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**Methodology:** the use of methods for comparing calculated levels of dynamics according to the financial statements of enterprises.

**Introduction.** The current economic situation and the trends of its possible change predetermine the need to eliminate the shortcomings of the functioning of agricultural units identified at this economic stage, to make appropriate changes and adjustments to the mechanisms for distributing and bringing to the final recipient state financial resources. The current financial and lending policy in the field of the country's agro-industrial complex does not fully cover the organization of financing enterprises in the industry, and budget expenditures are generated without sufficient economic justification. It is also necessary to reconsider the existing approaches to the distribution of budget funds by directions and economic entities, to proceed with financing the most effective projects in areas that contribute to the growth of the competitiveness of the agricultural sector and the development of the country's economy.

Proceeding from this, in our opinion, one of the most difficult methodologically, but nevertheless requiring a solution, is the question of a quantitative assessment of the volume of budget funds provided to agricultural producers and the possibility of assessing their effective use.

A clear, accessible and open system of methods, levers and tools, as well as an effective mechanism for their use should ensure the objective distribution of financial resources and coordination of the behavior of business entities. Since **the main goal** is to ensure the effective development of agricultural production, it is necessary to create an effective system of state regulation and financial support for agriculture, combining the goals, methods, means and forms of influence and allowing to determine their effective combination in solving specific problems.

**Purposes.** The most common form of state financial support in our country is concessional lending to agricultural producers, we as a goal in this article, on the one hand, examined the effectiveness of intermediary activities of financial institutions providing such services. First of all, these are credit partnerships (CP) that directly provide financial services to agricultural producers. On the other hand, the results of the activities of direct recipients of financial resources - agricultural producers were analyzed.

**Main part.** The rural credit partnerships currently existing in our republic should provide trade and intermediary services and include elevators and granaries, breeding and slaughter centers, production shops for processing agricultural raw materials, shopping centers for selling products, etc. The presence, for example, of elevators is called upon to ensure an improvement in the quality of grain and, accordingly, an increase in its price, and the availability of breeding centers — the introduction of high-quality livestock breeds. Of course, elevators and granaries already exist in the village, but they do not belong to credit partnerships, which creates many difficulties, since their services even for storing and processing grain are too expensive for agricultural producers.

Since many credit partnerships, due to their low power, cannot cover the whole range of intermediary services needed by agricultural producers, it is necessary to combine credit partnerships into credit unions on the principles of cooperation. It should be noted that at present, associations for the storage and processing of agricultural products have been created and are being created in the republic, many of which are successfully functioning.

However, existing credit partnerships, associations, and even the Agrarian Credit Corporation itself, in essence, are intermediaries in the distribution of budget funds, and on a reimbursable basis. All of them represent the steps of the hierarchical ladder; each of them carries out, at its own level, “cutting coupons” legally. In essence, credit partnerships initially lost the basic idea of cooperation, since the concept of “credit partnership” meant organizing a mutual credit of partners, which was based on personal trust and the principle of non-profitability of their activities. In the modern concept of credit partnerships are practically no different from commercial banks, and very small banks. Therefore, in the future, a painless transformation of credit partnerships into agricultural banks is possible.

At the same time, the study of the contents of a number of scientific publications allows us to note that the ongoing globalization processes pose new questions from the point of view of theoretical, methodological and practical understanding of the directions and results of agricultural financing [1, 2, 3]. It should also be noted that, judging by the index of the ratio of growth rates of gross output and growth rates of volumes of financial support [4], i.e. in terms of the indicator that characterizes the level of effectiveness of such support, state financing and lending to agricultural producers is still ineffective.

Concerns are expressed that excessive government intervention in the agricultural sector could lead to serious imbalances and a negative impact on the functioning of the agricultural sector. In these conditions, it is necessary between the use of free market relations and government intervention in the agricultural sector to find the optimal mechanism of interaction.

From the materials of annually approved republican budgets it is not difficult to notice that huge budget funds are allocated for state support. The question now consists, first of all, of how effectively these funds are used, what is their return, how effective is the financial mechanism for regulating and stimulating agricultural production.

Since agricultural producers are rendered financial services, first of all, by credit partnerships (CP), let us consider the effectiveness of intermediary activities of such financial institutions. At the same time, we will evaluate the results of the activities of agricultural enterprises directly receiving allocated financial resources.

As objects for evaluating the activities of credit partnerships and agricultural enterprises, we chose CP “Tselinogradskoye” LLP in the Tselinogradsky district of the Akmola region and agricultural enterprises lending with this CP. As of 01.01.2018, the number of participants in the CP amounted to 57 agricultural entities, the authorized capital of the CP reached more than 229 million tenge. Due to the lack of data on the results of CP activities for 2018, we present some indicators characterizing the activities of the partnership.

Table 1

**Volumes of loans granted by CP in 2017**

Loan program	Amount of loans by types, tenge	
	Short-term	Long - term
Primary credit line	2 685 819 471	387 846 237
CP's own funds – «Trust» program	172 485 000	-
Total	2 858 304 471	387 846 237
	3 246 150 708	

Note: the table compiled by the author according to [5]

For the amount shown in table 1, more than 3.2 billion tenge, 25 agricultural enterprises were funded with a planned volume of 2.6 billion tenge. The allocation of such significant loan amounts was made possible due to the high growth rate of CP's loan portfolio (by 44%). Of these funds, 82.7% was provided for replenishment of working capital, including spring field and harvesting. 8.1% of the amount of loans issued was obtained for the acquisition of fixed assets. In addition, enterprises attracted loans to finance construction and installation works (3.8%), for urgent needs - 5.3% of the total amount of loans issued.

Table 2

**Volumes of loans granted by CP in 2018 (first half year)**

Loan program	Amount of loans by types, tenge	
	Short-term	Long - term
Primary credit line	1 797 866 677	701 239 182
CP's own funds – «Trust» program	112 700 000	-
Total	1 910 566 677	701 239 182
	2 611 805 859	

Note: the table compiled by the author according to

Note that in 2018, the size of loans only for the first half of the year amounted to 80.5% of the total loans allocated to farms of CT Tselinogradskoye for 2017 as a whole. Of this amount, 68.8% were received by farms for spring-autumn sowing and harvesting, 19.5% - for the purchase of agricultural machinery and equipment, and only the rest of the loans (about 10%) were used to purchase farm animals. It seems that CT should reconsider the structure of the loan portfolio in order to implement the State Agribusiness Development Program in terms of supporting the

development of dairy and beef cattle breeding. The partnership under review in question is a participant in state subsidies to agricultural producers.

Since 2014, when the program “Subsidizing for the reimbursement of part of the expenses incurred by subjects of agriculture in investing” was introduced, aimed at stimulating the renewal of the fleet of agricultural machinery and equipment, CP has provided subsidies to 7 enterprises total cost more than 34.8 million tenge.

Table 3

**CP indicators on subsidizing interest rates, thousand tenge**

Periods	S u b s i d i e s received	Number of borrowers	Listed subsidies	Returned to Budget
2015	33248,4	17	33135,0	113,4
2016	84265,4	26	84135,6	129,9
2017	187229,4	27	168805,8	862,8
2018	154038,5	32	151932,9	2105,5
Total	458781,7	102	455270,1	3211,6

Note: the table compiled by the author according to [5]

The data in table 3 indicate that CP over the past three years of the existence of the program “Subsidizing interest rates on loans” provided subsidies, the amount of which increases annually, but the amount of their return is unsatisfactory.

From the above data it is not difficult to notice that the government annually provides significant amounts from the budget to stimulate the development of the agricultural sector. Questions come up - what is the effectiveness of government support measures, how are agricultural producers' results taken into account when allocating credit resources, how is the targeted use of loans monitored?

CP reporting data show that in the analyzed year, the mass of profits from operating activities increased by 19.4%. A factor in the increase in profit was a significant decrease in administrative expenses (by 34%). Such a result of CP provides a sufficiently high level of profitability ratios of assets, equity and borrowed capital, as well as an acceptable level of cost recovery.

Table 4

**Lending indicators for agricultural producers of CP**

Indicators	2015	2016	2017	2018 (first half year)
Number of CP participants receiving loans	26	28	25	32
Loans issued, total, mln. tenge	1449,2	2515,9	3246	2611,8
including working capital loans	1301,9	1709,5	2858	1910,6
including loans for the acquisition of fixed assets and other purposes	147,3	806,4	387,8	701,2
A loan was issued for 1 participant on average, mln. tenge	55,7	61,1	129,8	81,6

Return of credit resources, million tenge	1120,4	1633,8	3288	1957,8
% loan repayment	77,3	95,6	101,3	74,9

Note: the table compiled by the author according to

According to the data in table 4, the status of lending to agricultural partnerships by credit partnerships, judging by the average rate of granting loans per participant, indicates that for the period under review there has been a generally positive dynamics in lending volumes.

However, the number of loan recipients and their total volumes vary by year. So, the most significant loan amounts were issued in 2017 - more than 3.2 billion tenge and for the first half of 2018 - more than 2.6 billion tenge. In general, these data show the development and effectiveness of the partnership itself. It should also be noted a satisfactory condition for the repayment of loans, since there is a fairly high level of loan repayment, which ranged from 95-101%.

Note that in general there is a low share of investments in fixed assets, i.e. this means that the share of long-term loans is still insignificant. In fact, the direction by agricultural producers of more significant amounts of credit resources to increase their assets would contribute to their further development, would indicate the renewal of fixed assets necessary to increase production and sales of agricultural products, improve technology and expand areas of activity.

Meanwhile, a study of the results of the activities of direct loan recipients suggests that the provision of loans to agricultural producers, subsidized interest rates on loans received have significantly improved the performance of production and financial activities of the majority of credit partnership participants.

So, in 2017, all CP participants assigned 107,171 ha for grain crops, of which 96501 ha belonged to legal entities - 90.0% and 10,670 ha - to individuals, or 10.0%. As in previous years, the majority of crops sown is wheat (over 80%). The ownership of all CP borrowers, the livestock stock, most of which was acquired through loans and borrowings, increased to 7,350 head of cattle, 658 head of small cattle, 2,072 head of horse and 10 head of camel.

Table 5

**Indicators of crop production JSC «Agrofirm» Aktyk»**

Indicators	2016		2017		2018		2018/2017 in %	
	wheat	barley	wheat	barley	wheat	barley	wheat	barley
Sown area, ha	20120	1200	20150	2600	18318	1200	90,9	46,1
Productivity, t / ha	13,2	57,3	9,2	10,9	12,3	30	133,4	2 , 7 раза
Gross yield, t	265170	68760	185375	28340	224910	36000	121,3	127,0

Note: the table was compiled by the author according to

The level of efficiency of using the loans received and, most importantly, how they influenced the production of gross agricultural output, can be judged by the results of the activities of one of the participants in the partnership - Agrofirm Aktyk JSC (table 5).

At the same time, we note that in the enterprises there is mainly a sowing of monoculture - wheat, sometimes barley with livestock. Existing problems with the sale of grain affect the repayment of obligations on subsidies received. Limited, sometimes lack of pasture and grasslands reduces the economic efficiency of livestock development by obtaining subsidies and loans for special programs.



**Conclusion and final results.** Thus, the implementation of state programs of financial support for agriculture is carried out by credit partnerships that directly finance agricultural producers. At the same time, CP, providing intermediary assistance in the distribution of lending resources allocated from the republican budget, demonstrates its financial stability and the effectiveness of its activities. In addition, by increasing the volume of loans issued to agricultural producers, subsidizing interest rates on loans received, the partnership contributes to a significant improvement in the production and financial performance of most participants in the credit partnership.

Progressive achievements in the development of individual agricultural enterprises as a whole show the effectiveness of attracting loans. The experience of such enterprises gives reason to argue that, *ceteris paribus*, financial and lending resources provided to agricultural producers contribute to the growth of production volumes. This is possible even despite the difficult conditions that exist both in their functioning and in their financial support. One of these conditions can be called the fact that in the practice of organizing the functioning of agricultural enterprises there are examples of a relatively high level of material costs. However, as the analysis shows, the rational use of production and financial resources, a high level of organization and management provide a high level of production and low cost of production.

The main recipients of loans are large agricultural enterprises, which mainly provide growth in agricultural production, especially in the crop sector. Peasant farms still do not have the opportunity to receive loans, especially long-term loans for the purchase of agricultural machinery, since the achieved production indicators remain quite low in terms of securing loans.

The final results of the production and financial activities of agricultural formation are more dependent on the forms of support that are provided to farms in the field of organizing production, providing them with equipment, fuels and lubricants and other resources. The efficiency of using the funds of the republican budget could be much higher if the actual receipt of budgetary funds to agricultural producers was carried out taking into account not only their seasonal and peak needs, but also taking into account agronomic terms and technological requirements. The same applies to the supply of agricultural machinery, pedigree cattle on leasing terms using budget funds.

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### **Ауыл шаруашылық кәсіпорындар іс-әрекетінің нәтижелері бойынша оларды қаржылық қолдау**

**Аңдатпа.** Экономиканың агроөнеркәсіптік кешенін қаржылық қолдау проблемалары бойынша әртүрлі дереккөздерді зерттеу аграрлық сектордағы қаржылық-несиелік қатынастарға мемлекеттің әсер ету жүйесі өзара байланысты экономикалық, құқықтық және ақпараттық салалар жиынтығын пайдалануға негізделгенін көрсетеді. Бұл жүйе шаруашылық жүргізуші субъектілердің нарықтық өзара әрекеттесуі үшін жағдайларды жүзеге асыру шеңберіндегі бағдарламалар мен іс-шараларды жүзеге асыруға, олардың тиімді жұмыс істеуі үшін оңтайлы жағдайларды жасауға, шаруашылық жүргізуші субъектілердің қаржы-шаруашылық қызметіне араласудың рұқсат етілген шекараларын бұзбай және олардың қаржылық тәуелсіздігін сақтауға ықпал етуі керек. Ауыл шаруашылық өндірісін мемлекеттік қаржылық қолдау шараларын оңтайландыру және оның тиімділігін арттыру қажет. Республикалық бюджеттен бөлінетін қаражат көлемін ұлғайту ғана емес, сонымен бірге субъектілердің жарғылық капиталының мөлшеріне тәуелді емес, олардың қызметінің нәтижелерін ескере отырып қаржылық ресурстармен қамтамасыз етіп, сол ресурстарды пайдалануын жақсарту қажет. Мақалада келтірілген жекелеген кәсіпорындардың тәжірибесі ауыл шаруашылығының тауар өндірушілеріне олардың жұмысының қиын жағдайларында да, оларды қаржылық қамтамасыз етудегі қиындықтарға қарамастан берілетін қаржылық-несиелік ресурстардың оң әсерін көрсетеді.

**Түйін сөздер:** мемлекеттік қаржылық қолдау, экономиканың аграрлық секторы, өндіріс тиімділігі, ауылшаруашылық өндірісі, қаржылық жағдайды талдау әдістері, субсидиялар, өндіріс көрсеткіштері

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### **Финансовая поддержка предприятий сельского хозяйства по результатам их деятельности**

**Аннотация.** Изучение различных источников по проблемам финансовой поддержки аграрного сектора экономики свидетельствует, что система государственного воздействия на финансово-кредитные отношения в агропромышленном комплексе основывается на использовании комплекса взаимосвязанных экономических, правовых и информационных направлений. Данная система должна способствовать осуществлению программ и мероприятий в рамках реализации условий рыночного взаимодействия экономических субъектов, созданию оптимальных условий их эффективного функционирования без нарушения допустимых границ вмешательства в финансово-экономическую деятельность хозяйствующих субъектов и одновременного сохранения их финансовой независимости. Необходимо осуществлять рационализацию мер государственной финансовой поддержки сельскохозяйственного производства и повышение ее результативности. Нужно не только увеличивать объемы средств, выделяемых из республиканского бюджета, но и рационализировать их использование, предоставляя финансовые ресурсы субъектам с учетом результатов их деятельности, а не в зависимости от размеров их уставных капиталов. Приведенный в статье опыт деятельности отдельных предприятий свидетельствует о положительном влиянии предоставляемых сельхозтоваропроизводителям финансово-кредитных ресурсов, даже в сложных условиях

их функционирования и несмотря на проблемы в их финансовой поддержке.

**Ключевые слова:** государственная финансовая поддержка, аграрный сектор экономики, эффективность производства, производство продукции сельского хозяйства, методика анализа финансового состояния, субсидий, производственные показатели.

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### **Lending to the real sector of the economy by banks of Kazakhstan**

**Abstract.** The article «Lending to the real sector of the economy by banks of Kazakhstan» is devoted to the study of the activities of commercial banks of Kazakhstan and their credit and financial support to enterprises of the main sectors of the economy. During the writing of the article, the authors set the goal of scientific research, which was to identify the role of commercial banks in lending to the real sector of the economy of Kazakhstan. For clarity and objectivity of the analysis, eight and twelve years were taken as the study period. In the course of the study, digital materials and data of the National Bank of Kazakhstan, second-tier banks were used, as well as various methods of analysis were used to make objective conclusions. The use of various research methods, such as analysis, synthesis, comparison, generalization and systematic approach allowed identifying periods of decline and increasing in lending to various sectors of the economy and small businesses. On the basis of the study conclusions were drawn.

**Keywords:** Banks, economy, loans, industry, agriculture, real sector, loan portfolio.

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**Introduction.** Currently, the state of the credit market of the country is greatly influenced by the lack of stability in the world economy, the decline in demand for the main Kazakh export commodities, lower incomes, the devaluation of the tenge, the growth of foreign currencies, inflation.

Under these conditions, a detailed review of existing credit relations will assess the state of the financial and credit system of the country, to determine the current problems of lending, contributing to the further improvement of credit relations, the credit system of the country as a whole. The banking sector of Kazakhstan is one of the main sources of financing of the real sector of the country's economy, and in this case, the formation of banks' resources are carried out through the monetary savings of the population. organizations. But in terms of replenishing long-term resources of enterprises of the main sectors of the economy, a key role is assigned to the state. Thus, the issues of lending to the real sector of the economy of Kazakhstan are quite relevant.

**The purpose of the article** is to identify the role of commercial banks in lending to the real sector of the economy of Kazakhstan.

**Problem statement.** To achieve this goal, the authors identified the following tasks: to analyze lending by banks to the real sector of the economy; to consider the industry structure of the loan portfolio; to identify the share of lending to small businesses; to show the structure of banks' credit to small businesses in the context of economic sectors; on the basis of the study to summarize and draw conclusions.

**History.** Such foreign scientists as Leontiev V.E., Radkovskaya N.P., Zhukov E.F., Tarkhanova E.A., Beloglazova G.N., Vorozhbit O.Yu., Terentyeva N.S. and others were engaged in research of historical, theoretical and practical questions concerning Bank crediting of economy.

Domestic scientists who devoted their works to the issues of crediting the economy include Abdilmanova Sh.R., Seitkasimov G.B., Khamitov N.N., Iskakov U.M., Lee V.D., Lisak B.I., etc.

**Method of research.** The methodological basis of the research is the dialectical method of cognition. In the process of research were used as General scientific methods (analysis, synthesis, induction, deduction, abstraction, generalization and system approach), theoretical and empirical methods, and special methods of knowledge (statistical methods).

Theoretical analysis and generalization of scientific literature, periodicals and statistics was carried out in order to identify various external and internal factors affecting the activities of commercial banks and their lending activities.

The analysis used statistical data of annual reports, documents, statistical and analytical materials of the National Bank and commercial banks. The methods of analysis, comparison, induction, deduction generalization and systematic approach allowed identifying periods of decline and increase in lending to various sectors of the economy and small businesses. For clarity and objectivity of the study were taken for analysis of eight and twelve-year periods.

**Results and discussion.** Despite the positive developments, the volume of lending by banks to the real sector of the economy as a whole does not meet its needs. Since 2011, there has been a slowdown in industrial production. The effect of external and internal factors is obvious. Periodically passing inflation, fall of national currency force banks to look for the directions where placement of means gives fast return. In view of this, the real sector of the economy is not attractive to them from the point of view of lending. [1, p. 110] For objective assessment and clarity, we have covered for analysis the last eight years of lending to the real sector of the economy for the period from 2011 to 2018, which are shown in table 1.



Table 1  
Loans to the economy of Kazakhstan in the context of industries for 2011–2018, billion tenge

Departments	2011		2012		2013		2014		2015		2016		2017		2018		01-08.2019	
	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %
Industry	1 053	12	1 194	12	1 283	11	1 369	11	1 699	13	1 812	14	1 982	15	2 024	15,5	1 834	14
Agriculture	336	4	322	3	375	3	485	4	654	5	675	5	695	5	490	4	251	2
Construction	1 306	15	1 397	14	1 383	13	1 143	10	992	8	956	8	915	7	753	6	680	5
Transport	354	4	424	4	396	3	434	4	609	4	561	4	573	4	593	4	506	4
Communication	44	1	78	1	90	1	97	1	136	1	148	1	98,7	1	71,8	0,5	138,6	1
Trade	1 828	21	1 999	20	2 207	20	2 420	20	2 645	21	2 674	21	2 020	17	1 801	14	1 705	13
O t h e r departments	3 860	44	4 544	46	5 558	49	6 158	50	5 939	48	5 884	47	6 422	51	7 358	56	8 110	61
Total in the republic	8 781	100	9 958	100	11 292	100	12 106	100	12 674	100	12 708	100	12 705	100	13 092	100	13 224	100
Changes in lending volumes, %	-	-	12	-	12	-	7	-	4	-	0,2	-	-0,02	-	3	-	1	-

As can be seen from the table on 01.01.2019, the industry structure of the loan portfolio is represented by the following main borrowers: industry-15.5%; agriculture-4%; construction-6%; transport-4%; communications-0.5%; wholesale and retail trade-14%; other industries-56% (table 1). Therefore, lending to industrial enterprises occupy the largest share in the total loan portfolio of second-tier banks, amounting to 01.01.2019-2024 billion tenge or 15.5% of the loan portfolio of the banking system of Kazakhstan. Total lending volumes for the year 2018, increased by 3% compared with the 2017 year — on-year and amounted to 13,092 trillion tenge. [2]

However, for the entire period under study from 2011 to 2018, loans to the economy of Kazakhstan in the context of sectors of the economy do not always grow evenly, and sometimes even stagnate. So if in the period from 2010 to 2011, 2012, lending growth averaged 12%, then in 2013 there is a slowdown in growth, and the volume of loans is already 7%, in 2014 4%, in 2015 0.2%, and in 2016 and at all (-0.02) % and only in 2018, as noted above, the growth began.

Table 2

**Bank loans to small businesses in the context of economic sectors for 2007-2018, billion tenge**

Departments	2009		2010		2011		2012		2013		2014		2015		2016		2017		2018	
	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %	b.kzt	share in %
Industry	166	9,7	125	8,9	192	14,3	187	13,2	152	11,8	229	12,8	321	15,6	388	12,9	372	13,3	348	14,7
Agriculture	95	5,6	68	4,9	62	4,6	54	3,8	43	3,4	81	4,5	85	4,1	206	6,9	363	13,1	198	8,4
Construction	271	15,9	194	14,0	233	17,4	229	16,2	133	10,4	233	13,0	269	13,1	405	13,5	330	11,8	249	10,5
Transport	43	2,5	52	3,8	40	3,0	50	3,5	57	4,4	85	4,8	137	6,7	148	4,9	151	5,4	149	6,3
Communication	19	1,1	12	0,9	19	1,4	21	1,6	22	1,7	22	1,2	17	0,8	16	0,6	11	0,4	17	0,8
Trade	698	40,8	527	38,1	414	30,9	460	32,6	392	30,6	603	33,7	663	32,2	1111	36,9	748	26,8	543	22,9
O t h e r departments	416	24,4	407	29,4	381	28,4	411	29,1	484	37,7	535	30,0	568	27,5	729	24,3	814	29,2	860	36,4
Total in the republic	1708	100	1385	100	1341	100	1412	100	1283	100	1788	100	2060	100	3003	100	2789	100	2364	100

Let's consider what is the situation of banks in lending to small businesses (Chart 1). For the analysis, the period from 2007 to 2018 was taken, which showed that the share of lending to small businesses from 2009 to 2013 falls from 22.3 to 11.1 percent, i.e. the share of lending fell by more than 11 percent or 425 billion tenge.

Compared with the minimum value, lending at the end of 2016, increased to 23.6%. At the end of 2018, the share of lending to small businesses (SMEs) decreased compared to the results of 2017 from 22.1% to 18.1%, a decrease of 4%. In General, there has been a decline in the share of lending to this sector over the past three years (2016-2018), although before that, in the period from 2013 – 2016, this indicator showed an increase. [3].

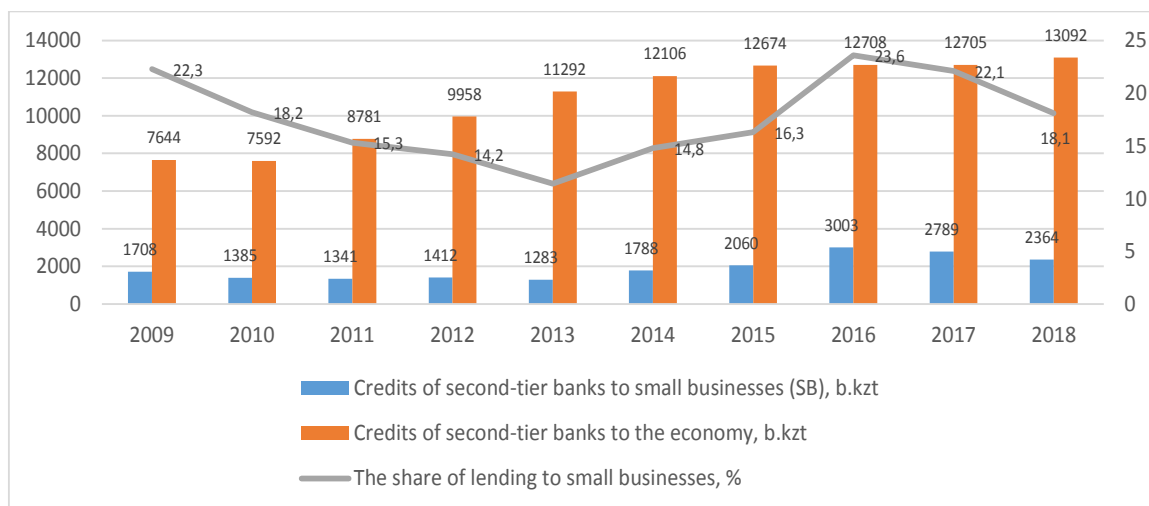


Chart 1. The loan portfolio of second-tier banks loans to the economy and small business

When comparing Table 1, Chart 1 and Table 2, Chart 2 we see that Bank loans to small businesses in sectors of the economy for the entire study period relative to total lending in the economy of Kazakhstan by industry is also not stable and is influenced by General economic factors.

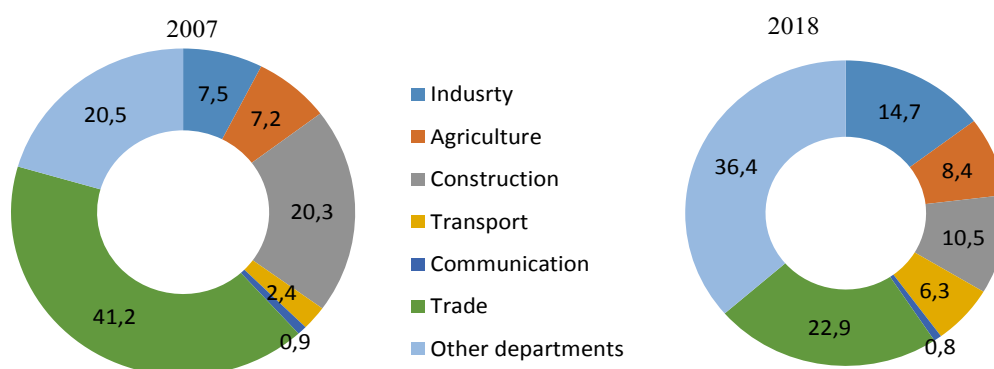


Chart 2. Credit structure of SME banks by sectors of the economy

Let us compare the change in the structure of lending by banks to small businesses by sectors of the economy (Chart 2). Compared with 2007 data, in 2018 the share of lending to agriculture remained virtually unchanged, with a slight increase of 1.2%. The share of lending to industries such as trade and construction fell by 18.3% and 9.8%, respectively. At the same time,

the share of lending to transport increased by 3.9%, industry-by 7.2%, the growth of lending to other industries amounted to 15.9% [2].

What is the reason for this situation, the sharp fall in the level of lending since 2014? In our opinion, this situation was provoked by the devaluation of the national currency on February 11, 2014, when the tenge fell by 20% from 154 tenge to 185 tenge per dollar. [4] This undoubtedly affected the overall economic situation in the country, as can be seen in Table 3

Table 3  
 the Dynamics of the gross domestic product of the country over the past decade [5]

Year	GDP (PPP) (b.usd)	GDP per capita (PPP) \$	GDP growth (real)	Inflation rate (%)	Unemployment (%)	Government debt (in % of GDP)
1992	122,7	7196	not given	not given	not given	not given
1993	↓ 114,0	↓ 6748	↓ -9,2%	↑ 1662,3%	not given	not given
1994	↓ 101,8	↓ 6444	↓ -12,6%	↑ 1402,0%	10,1%	not given
1995	↓ 95,4	↓ 6087	↓ -8,2%	↑ 176,3%	↑ 11,0%	not given
1996	↑ 97,7	↑ 6308	↑ 0,5%	↑ 39,1%	↑ 13,0%	not given
1997	↑ 101,0	↑ 6651	↑ 1,7%	↑ 17,4%	13,0%	not given
1998	↓ 100,2	↑ 6698	↓ -1,9%	↑ 7,3%	↑ 13,1%	not given
1999	↑ 104,4	↑ 7009	↑ 2,7%	↑ 8,4%	↑ 13,5%	not given
2000	↑ 117,3	↑ 7890	↑ 9,8%	↑ 13,3%	↑ 12,8%	not given
2001	↑ 136,2	↑ 9168	↑ 13,5%	↑ 8,4%	↓ 10,4%	not given
2002	↑ 151,8	↑ 10211	↑ 9,8%	↑ 5,9%	↓ 9,3%	17,6%
2003	↑ 169,2	↑ 11318	↑ 9,3%	↑ 6,5%	↓ 8,8%	↓ 15,0%
2004	↑ 190,6	↑ 12642	↑ 9,6%	↑ 6,9%	↓ 8,4%	↓ 11,4%
2005	↑ 215,8	↑ 14178	↑ 9,7%	↑ 7,5%	↓ 8,1%	↓ 8,1%
2006	↑ 246,2	↑ 15991	↑ 10,7%	↑ 8,6%	↓ 7,8%	↓ 6,7%
2007	↑ 275,3	↑ 17677	↑ 8,9%	↑ 10,8%	↓ 7,3%	↓ 5,9%
2008	↑ 289,9	↑ 18140	↑ 3,3%	↑ 17,1%	↓ 6,6%	↑ 6,8%
2009	↑ 295,6	↑ 18245	↑ 1,2%	↑ 7,3%	6,6%	↑ 10,2%
2010	↑ 321,1	↑ 19530	↑ 7,3%	↑ 7,1%	↓ 5,8%	↑ 10,7%
2011	↑ 352,3	↑ 21129	↑ 7,5%	↑ 8,3%	↓ 5,4%	↓ 10,1%
2012	↑ 376,7	↑ 22278	↑ 5,0%	↑ 5,1%	↓ 5,3%	↑ 12,1%
2013	↑ 405,8	↑ 23644	↑ 6,0%	↑ 5,8%	↓ 5,2%	↑ 12,6%
2014	↑ 430,8	↑ 24734	↑ 4,3%	↑ 6,7%	↓ 5,0%	↑ 14,5%
2015	↑ 440,7	↑ 24940	↑ 1,2%	↑ 6,7%	5,0%	↑ 21,9%
2016	↑ 451,2	↑ 25167	↑ 1,1%	↑ 14,6%	5,0%	↓ 21,0%
2017	↑ 477,6	↑ 26252	↑ 4,0%	↑ 7,4%	5,0%	↑ 21,2%
2018	↑ 509,6	↑ 27867	↑ 7,0	↑ 5,3%	↓ 4,8%	↑ 25,8

That undoubtedly influenced the General economic situation in the country. It is since 2013 that the level of the country's real GDP has been falling sharply from 6% to 1.1 in 2018. The inflation rate for the same period also showed a significant increase from 5.8 to 14%. The level of public debt for the same period also showed an increase from 12.6 to 21% (Table 3).

Consequently, the creditworthiness of commercial banks, their financial instability and the deterioration of the main General economic indicators led to a decrease in lending in General and lending to individual sectors of the economy. It took four years for commercial banks to stabilize the loan situation. Only since 2018, the General economic situation in the country began to show growth, which undoubtedly affected the activities of commercial banks.

**Conclusion.** Summing up the results of the study, it should be noted that lending to the real sector of the economy since 2014 by Kazakh banks has declined. Thus, if in 2014 there was a fall in the rate of lending, in 2015, 2016 lending to commercial banks in Kazakhstan was almost reduced to zero. The reasons for the decline in credit activity of banks are obviously the influence



of external and internal factors. As it turned out internal factors include:

- First, the impact of the next devaluation on February 11, 2014;
  - Second, the decline in the level of GDP per capita;
  - Third, the inflation rate for the same period showed a significant increase;
  - Fourth, the level of public debt over the same period also showed an increase;
  - Fifth, the growth of imports, in particular imports of consumer goods.
- Foreign economic factors are also important, which include:
- 1) Bad economic situation in BRICS countries;
  - 2) Capital flows from developing countries;
  - 3) Decrease in exports of Kazakh goods to Russia and other countries
  - 4) Free formation of the exchange rate of the Russian ruble [6]

The consequences of financial instability around the world, fluctuations in foreign markets, as well as the devaluation of the tenge, affected the quality of assets of second-tier banks, and in particular the quality of the loan portfolio. The decrease in lending by banks to the economy, as a consequence, affected the level of lending to the real sector of the economy of Kazakhstan.

However, the activity in lending to the real sector of the economy was largely ensured by state support through the implementation of a number of government programs aimed at lifting the country's economy.

The lack of full financing of the real sector of the economy by second-tier banks in Kazakhstan contributed to the activation of the state through the system of national holdings and development institutions.

The state uses banks as an intermediary in solving the main task-lending to the real sector of the economy. In the anti-crisis package of measures, commercial banks acted as the main channel, spending government resources in certain sectors of the economy to stabilize them.

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### Қазақстан банктерінің экономиканың нақты секторын несиелендіруі

**Аңдатпа.** «Қазақстан банктерінің экономиканың нақты секторын кредиттеу» тақырыбындағы мақала Қазақстанның коммерциялық банктерінің қызметін зерттеу және олардың экономиканың негізгі секторларының кәсіпорындарын кредиттік және қаржылық қолдау мәселелеріне арналған.

Мақала жазу барысында авторлар Қазақстан экономикасының нақты секторын несиелендірудегі коммерциялық банктердің рөлін анықтау үшін ғылыми зерттеудің мақсатын қойған.

Жүргізілген талдаудың көрнекілігі мен объективтілігі үшін зерттелетін кезең ретінде сегіз және он екі жыл алынды. Зерттеу барысында сандық материалдар мен Қазақстан Ұлттық Банкінің, екінші деңгейдегі банктердің деректері қолданылды, сондай-ақ объективті қорытынды жасауға мүмкіндік беретін талдаудың түрлі әдістері қолданылды. Талдау, синтез, жинақтау және жүйелі тәсілді салыстыру сияқты зерттеудің әртүрлі әдістерін пайдалану экономиканың түрлі секторларының да, шағын кәсіпкерлік субъектілерінің да кредит беру көлемінің құлдырау және ұлғаю кезеңдерін анықтауға мүмкіндік берді. Жүргізілген зерттеу негізінде қорытынды жасалды.

**Түйін сөздер:** банктер, экономика, кредиттер, өнеркәсіп, ауыл шаруашылығы, нақты сектор, кредиттік портфель.

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### Кредитование реального сектора экономики банками Казахстана

**Аннотация.** Статья «Кредитование реального сектора экономики банками Казахстана» посвящена вопросам исследования деятельности коммерческих банков Казахстана и их кредитной и финансовой поддержки предприятий основных секторов экономики. Цель научного исследования заключается в выявлении роли коммерческих банков в кредитовании реального сектора экономики Казахстана. Для наглядности и объективности проводимого анализа в качестве исследуемого периода были взяты восемь и двенадцать лет.

В исследовании использованы цифровые материалы и данные Национального банка Казахстана, банков второго уровня, а также применены различные методы анализа, позволяющие сделать объективные выводы. Использование различных методов исследования, таких как анализ, синтез, сравнение, обобщение и системный подход, позволило выявить периоды спада и увеличения объемов кредитования как различных секторов экономики, так и субъектов малого предпринимательства. На основании проведенного исследования были сделаны выводы.

**Ключевые слова:** банки, экономика, кредиты, промышленность, сельское хозяйство, реальный сектор, кредитный портфель.

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### **Interaction of the Republic of Kazakhstan second level banks with the Problem Loans Fund in working with problem loans**

**Abstract.** The article considers the issue of organizing work with bad loans between the Bad Credit Fund and second-tier banks in Kazakhstan. There was carried out the analysis of the current state of non-performing loans in the bank's portfolio. Effective ways to deal with bad loans, as well as the possibility of financing troubled asset management activities, by combining the bank with the Fund and the direct repurchase of «non-performing loans» are considered. The Fund's activities are aimed at improving the quality of loan portfolios of second-tier banks. Methods for determining the value of «non-performing loans» are also presented. In general, I believe that bad loans are one of the most important tasks of the bank. In the case of a market economy, working with problem loans will be one of the most pressing problems, and preventive lending measures will be taken.

**Keywords:** credit, problem loans, Problem Fund, National Bank, asset, liability, shares, credit risk, securities.

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In the context of macroeconomic instability and crisis phenomena, banks should pay special attention to risk assessment and management. Credit risks are one of the main risks in the banking sector. Experts and professionals among the main levels of credit risks consider the indicator NPL (Non – performing loans-non-performing and toxic loans). This indicator determines the quality of the loan portfolio in the banking sector.

The deterioration in the quality of the loan portfolio leads to a decrease in the risk appetite of banks, which is confirmed by the low level of approved loan applications. Most banks do not forecast an increase in the number of approved loan applications.

Instability of symbolically, a significant reduction in the rate of overdue loans in connection with the drop in demand for purchase mortgage imushestva at market prices, the high cost for banks to create a Fund in the national currency revaluation currency of the loan – all of these conditions lead to an increase in non-performing loans and create pressure on banks ' capital. At the same time, it is known that the real level of non-performing loans is smoothed through debt restructuring and withdrawal from the balance sheet. In the context of falling economic growth, restructuring has become the only mechanism for banks to ease the debt burden of borrowers.

In such circumstances, the potential volume of non-performing loans may be much higher. Analyzing particularly large debts in the banking sector, the National Bank of Kazakhstan found that the potential amount of NPL, including restructured debts, is 25% of the banks' loan portfolio.

The problem caused by the high level of non-performing loans is aggravated by the following conditions: low quality of collateral of banks in the form of insurance contracts, which have many grounds for refusing to pay for future property and money, insurance payments; low quality of collateral of individuals and enterprises.

In some banks, the share of «non-performing loans» exceeds 80% of the loan portfolio. In some banks, it is widely used to issue loans to persons who have a legal indirect relationship with the shareholders of the Bank. Some of these loans are non-refundable.

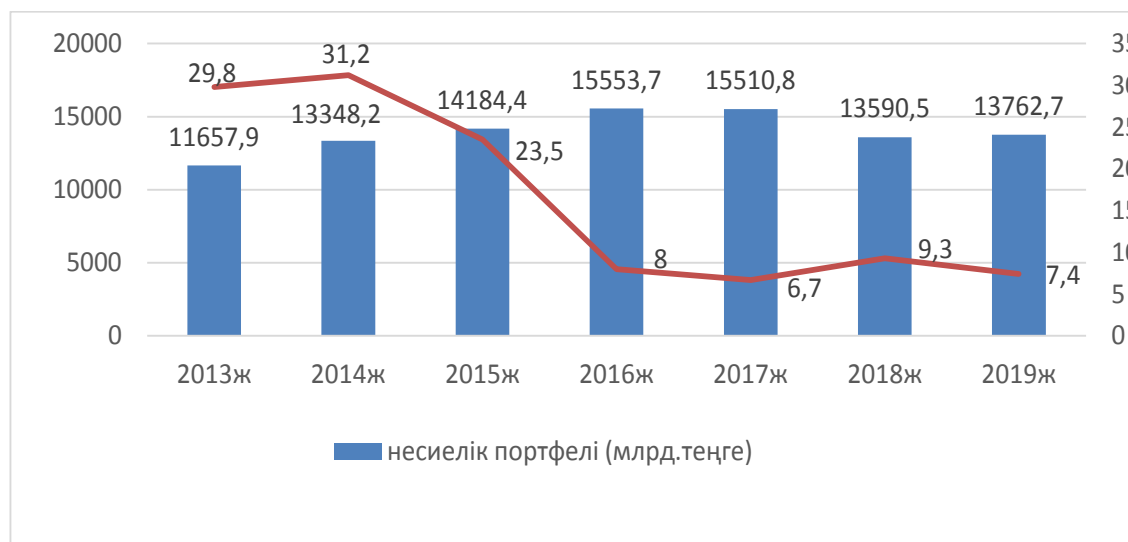
Freezing and postponing the solution of the above-mentioned problems to a later date, as it was observed in previous years, leads to a significant increase in systemic risks in the banking sector. The spread of these practices has been made possible due to many institutional weaknesses

related to the low responsibility of auditors and appraisers for the quality of reporting, the abolition of Supervisory judgment in assessing credit risk and the strengthening of the role of banks themselves in the formation of provisions in accordance with IFRS.

One of the urgent problems in ensuring the stable functioning of the financial system is the development and use of effective measures to clear the balance sheets of banks from loans with overdue payments of more than 90 days.

The situation with ensuring the quality and optimal structure of loan portfolios of Kazakh banks has not changed over the past few years. The practice of developed countries in solving the problem of «bad» loans shows that without an active policy and support from the state, the solution of the issue of «non-performing» loans can reduce the competitiveness of commercial banks in Kazakhstan, including in the integration processes within the Single Economic Union, and resistance to possible future shocks on world markets.

As 01.01.2019 g. loan portfolio (principal debt) in the banking sector of the Republic of Kazakhstan amounted to 13 762,73 billion, including loans with overdue payment over 90 days (NPL) amounted to 1 016,3 billion or 7.4% of loan portfolio (picture 1).



Picture1 - Credit portfolio of the banking sector in 2010-2019 and loans, with a payment delay of more than 90 days, at the beginning of the year

Note-based on the reporting materials of the National Bank of Kazakhstan [1]

In 2012-2017, the loan portfolio of the banking sector of the Republic of Kazakhstan increased from 10 472.8 billion tenge to 15 510.8 billion tenge or 32.5%, in 2018 this figure amounted to 13 590.5 billion tenge, which is 12.4% lower compared to 2017.

The share of loans with overdue payments over 90 days in the banking sector in 2010-2014 increased from 21.2% to 31.2%, in 2015-2017 decreased from 23.5% to 6, and in 2019 amounted to 9.3%, which is 2.6% higher compared to 2017.

Despite the current state of «non-performing» loans in the credit portfolio of commercial banks, measures aimed at adjusting the national currency and the deterioration of the macroeconomic situation (falling prices for the main export positions of the country) led to a decrease in the credit capacity of most Bank customers.

For example, as a result of studies conducted at large enterprises, the following is established:

- 1) Decline in economic activity in 2015-2017;
- 2) Deterioration of the financial and economic condition of enterprises.

Accordingly, the continuing high level on the balance sheets of banks remains one of the



problems constraining their credit activity.

As shown by the latest research on the credit market, despite the measures aimed at improving the credit portfolio, in 2018, 65.6% of banks the quality of the loan portfolio remained unchanged, 12.5% - the situation deteriorated further and 21.9% of banks the quality of the loan portfolio improved slightly.

In recent years, along with the traditional mechanisms of work used by banking organizations in dealing with « non-performing loans (collection, transfer to collection organizations, restructuring, write-off, etc.), it has become possible to use the following mechanisms:

- transfer of «non-performing loans» to the Problem Loans Fund;
- transfer of «non-performing loans» to doubtful asset management organizations;
- write-off of bad debts on «non-performing loans».

JSC «the Problem Loans Fund» was established on January 11, 2012 to assist in the recovery of the national economy through improving the quality of loan portfolios of second-tier banks by repurchasing non-performing assets, involvement in the economic turnover of repurchased assets through recovery and sale. The sole shareholder of the Fund is the Government of the Republic of Kazakhstan [2]

The main objective of the Fund: implementation of measures aimed at improving the quality of credit portfolios of commercial banks.

Main activities of the Fund:

- implementation of measures to repay loans issued to the state Rehabilitation Bank of the Republic of Kazakhstan from the Republican budget and the National Bank of the Republic of Kazakhstan;

- collection to the Republican budget of debt on loans previously issued at the expense of the Republican budget, as well as funds aimed at the fulfillment of obligations under state guarantees of the Republic of Kazakhstan;

- servicing of state-guaranteed loans and government loans;
- collection of accounts receivable;
- participation in rehabilitation procedures;
- repurchase of second-tier banks ' distressed loans;
- management of assets acquired from second-tier banks;
- issue of debt securities to Finance its activities.

The main mission of the Fund is to contribute to the recovery of the national economy through the redemption of distressed assets of banks, the issuance of debt securities and an integrated approach to asset management.

The strategic course of the Fund: improvement of the banking sector and involvement of repurchased non-performing loans in the economic turnover. The main objective of the Fund is to assist banks in the process of clearing «the balance sheet of» non-performing «loans in order to fulfill the strategic objective of improving the quality of the loan portfolio in the banking system and achieving the targets of the level of» non-performing « loans (not more than 10%), including through the provision of long-term conditional financing in the national currency.

The Fund of problem credits carries out the activity being guided by the following principles:

- 1) the Fund's mechanisms are an effective complement to other tools that form a set of solutions and infrastructure for dealing with non-performing loans, which, accordingly, does not create a conflict of interest when the Bank chooses the most appropriate way to manage distressed assets and does not contradict the task of consistently improving the quality of assets in the banking system as a whole;

- 2) Concentration on the target group of banks, based on the principle of «significance» and materiality» of the volume of» non-performing « loans, for a systematic solution to the problem of asset quality of the banking sector;

3) flexibility in pricing and selection of redemption methods (improving the quality of «non-performing» loans;

4) division of risks of subsequent decrease in the value of assets and mechanisms of compensation by banks of possible additional losses of the Fund;

5) active use of the competence and resources of the banks themselves in the management of «non-performing» loans.

The main purpose of the distressed assets Fund is to assist commercial banks in optimizing the quality of credit portfolios in the banking sector and achieving the target statistical volumes of «distressed» loans, as well as in «clearing» the balance sheet of «distressed» debts in order to implement strategic principles through the provision of long-term loans to the national currency.

At the same time, the possibility of cooperation with the Fund should be considered by banks along with other available tools for dealing with «non-performing» loans (forgiveness, write-off, sale or transfer to a subsidiary of the Bank acquiring doubtful and bad assets of the parent Bank, collection companies, etc.).

In General, the effectiveness of the Fund's cooperation mechanisms with banks proposed by this Concept will be determined by the activity of the banks themselves. Taking into account the international practice of funds and companies to work with «non-performing» loans, as well as the duration of the procedure for the implementation of measures to restore the value of «non-performing» loans, the term of the Fund should not exceed 15 years.

Currently, the joint Stock Company «Fund of problem loans» was reorganized by the decree of the Government of the Republic of Kazakhstan dated November 16, 2018 No. 766 by joining the joint stock company «company for rehabilitation and asset management» [3].

Joint stock company «rehabilitation and asset management Company» was established in 1998 on the basis of the State Rehabilitation Bank of Kazakhstan within the financial sector Program of the world Bank to strengthen the banking system of Kazakhstan and performs functions in the field of ensuring the return of loans allocated from the national budget.

The decision to merge the funds was made in order to combine homogeneous assets, eliminate duplicate functions, reduce costs and improve the quality of services through the consolidation of resources. In General, the reorganization measures will optimize the subordinated organizations of the Ministry for the implementation of the task set by the head of state to reduce the share of state participation in the national economy to the level of OECD countries — 15% of GDP by 2020. At the same time, the enlarged Fund retained its main mission — to promote the recovery of the national economy through the purchase of distressed assets of banks and an integrated approach to asset management.

Currently, the Fund is working in two strategic directions: improvement of the banking sector and involvement in the economic turnover of repurchased non-performing loans.

As part of the first direction, the Fund of distressed assets in order to optimize the quality of credit portfolios of the banking sector has carried out a number of activities. Thus, in order to ensure the stable operation of the country's financial market, the Fund in 2017 sent 3.8 trillion. KZT 2.1 trillion was transferred from the Republican budget for the redemption of problem loans, including, tenge to Finance the transaction concluded in 2017 with BTA Bank (19.6% of all expenditures of the Republican budget for 2017), the transaction amount was 2.6 trillion. the total market value of the Bank's assets amounted to 267.7 trillion tenge. tenge.

Since 2018, JSC « the Problem Loans Fund» began to actively raise funds through the issuance of bonds. The issue of debt securities is intended to support the operating activities of the Fund, as targeted transfers from the budget in the current year have not yet been provided. Thus, to support Tsesnabank JSC, the Fund allocated 1.1 trillion tenge, issuing bonds worth 450 billion tenge in 2018 and 604 billion tenge in 2019.

In August 2018, the Fund carried out a transaction on assignment of claims to borrowers

of Bank of Astana to the Fund in order to repay the Bank's debt to Astana LRT LLP for further implementation of the project « New transport system of Astana. LRT». Also, a Framework agreement was signed between the Government of Kazakhstan, the National Bank of Kazakhstan, KazAgro, the Fund, Tsesnabank and other persons to improve the agro-industrial complex of the country. Implementation of the Framework agreement is carried out in order to improve the agro-industrial complex of the Republic of Kazakhstan. September 25, 2018 between the Fund and JSC «Tsesnabank» signed a Contract of sale of assets in the amount of 450 billion tenge. The result of this transaction is to ensure food security of the agricultural sector and the preservation of jobs.

In September 2018, the Government and the national Bank decided to acquire a portfolio of agricultural loans. In January 2019, the distressed assets Fund listed bonds with a placement period of 15 years and an interest rate of 9% per annum, totaling 604 billion tenge, all funds received from this placement were intended for the acquisition of assets of Tsesnabank JSC.

In the second direction, the Fund is actively working to involve assets in the economic turnover. In order to improve the quality of purchased assets, measures will be taken to improve the health of borrowers and restore their solvency.

The Fund's assets at the end of the third quarter of 2018 amounted to 1 trillion tenge - more than 2.5 times more than at the end of 2017 (365.1 billion tenge). This growth is mainly due to an increase in repurchased claims on loans by more than 6 times, to 667.4 billion tenge. (pic.2)



Picture 2 - Assets of JSC «the Problem Loans Fund»

Note-taken from the financial report of JSC «distressed assets Fund [3]

According to the National Bank of Kazakhstan, as of July 1, 2018, the volume of loans issued by second-tier banks is 1 trillion.916,3 billion. In one month, the indicator decreased by 162.8 billion tenge and reached a one-and-a-half-year low. The volume of non-performing loans decreased: loans with a delay of payment of more than 90 days decreased by 32.8 million tenge by 1 trillion.4179,9 billion, the lowest level since April of 2017.

In turn, since the beginning of 2014, the National Bank has been working to improve and eliminate legislative restrictions in the application of the above-mentioned mechanisms. The main work is focused on increasing tax incentives when using them.

Based on the results of this work, amendments were made to the Tax code of the Republic of Kazakhstan, allowing banks to write off an asset (loan) without tax consequences, for which the right of claim is not terminated, if this asset (loan) no longer meets the criteria for recognition of the asset on the balance sheet. Thus, the work carried out and the extension of the tax benefit until 2016, which allows to forgive bad debts, should generally improve the quality of banks ‘

loan portfolios, provided that banks take active steps to «clean up» the balance sheet. In General, the Fund will operate in a competitive operating environment when banks choose a strategy for dealing with non-performing loans. In this regard, the main factor improving the competitiveness of the Fund and its attractiveness of cooperation for banks is the planned increase in the resource potential of the Fund [3].

During its activity, the Fund assessed the rights of banks' claims in the amount of 19.2 billion tenge, but the agreement on repurchase of the loan was reached only with one Bank - in the amount of 0.5 billion tenge.

Despite the 100% provisions formed, the banks are not ready to assign the rights of claim on the «non-performing» loan at a price taking into account the value determined by the independent appraisal company (NOC). On average, the market value of assets determined by the NOC for assets offered by banks is 80% lower than the total debt of the client under the Bank's claims. Despite the significant volume of non-performing loans eligible for transfer to the Fund (552 bln. tenge 30% of the loan portfolio of the largest banks or 26.2% of the loan portfolio of the banking system, without JSC «BTA Bank»), a major factor impeding the effective cooperation of banks with the Fund is the value of distressed assets [4].

Thus, the low efficiency of the Fund is due to the following reasons:

1) differences in the Fund's and the Bank's estimates of the fair value of a non-performing loan;

2) expectations of banks to restore the price of collateral and, accordingly, the preservation of assets on the balance sheet, while banks bear the operating costs of working with distressed assets;

3) insufficient intensity of the Supervisory process in relation to banks with a large volume of non-performing loans in portfolios;

4) legislative restrictions that reduce the effectiveness of interaction between banks and the Fund (Bank secrecy, re-registration of collateral with arrests, payment of state fees and charges, and a number of others);

5) insufficient financial capacity of the Fund due to its weak capitalization and low potential to attract additional financial resources (in debt markets);

6) attractiveness for banks of the mechanism of transfer of the «non-performing» loan to the DSB (preservation of control, no need to determine the compromise price, the possibility of obtaining cash flows from the use of the asset, its subsequent sale at a higher price).

Financial resources of the Fund will be formed due to the targeted transfer from the National Fund to the Republican budget for the capitalization of the Fund, as well as the possible issue of securities by the Fund.

At the Same time, the Fund's resource capabilities are increased due to the effect of leverage, which is legally limited at the level of 5:1.

According to prudential regulation, the Fund's bonds have zero risk, which in turn will contribute to the growth of their investment attractiveness for banks.

An additional incentive may be the possibility of accepting the Fund's bonds as collateral for Bank refinancing operations by the National Bank.

Given the commitment to the principle of «flexibility», an optional approach to asset class selection is proposed.

Thus, in the case of a direct buyback mechanism, the following criteria will apply:

- loans issued to legal entities-residents of the Republic of Kazakhstan, with a delay of more than 90 days;

- minimum loan amount;

- a wide range of collateral, including hard liens.

If the Fund due to the financing process to improve the quality of banks' balance sheets,

the Fund may also acquire rights of claim on financial flows from the broader list of assets (pool of assets), including secured loans to individuals residents and nonresidents of the Republic of Kazakhstan, and assets accepted by the Bank for the balance on the previously granted loans, taking into account the principle of uniformity.

The task force of banks will be formed based on the principle of materiality «and» significance «of the process of clearing loan portfolios of» non-performing «loans for the banking system as a whole, taking into account the economies of scale of the Bank and the volume of» non-performing «loans in the system.

The target group of banks will include banks with a volume of» non-performing «loans in the loan portfolio of more than 10% (priority will be given to banks with a large volume of» non-performing «loans and of interest to the operating activities of the Fund).

Mechanisms to improve the efficiency of the Fund and areas of cooperation with banks. The use of an adequate valuation of the acquired asset or security under the guarantee can significantly reduce the future risks of the Fund.

The concept provides for the Fund's cooperation with banks both with the involvement of NOC (according to the list agreed with the banks) and without its involvement [5].

As a way to reduce risks, it is possible to use the mechanism of AQR (asset Quality Reviews). This mechanism involves the possibility of attracting a wide range of audit and consulting companies, experts in the assessment of collateral assets, etc. At the same time, the Fund uses its own procedures for risk assessment and, depending on its degree, makes a decision on the need to attract NOC, the need to apply AQR, or not to use these mechanisms.

The Fund's cooperation with banks will include both direct repurchase of» non-performing «loans and the possibility of financing the Bank's management of distressed assets (conditional financing). It should be noted that the mechanism of direct redemption is more inherent in a number of risks:

- risk of future depreciation of the asset and, accordingly, losses for the Fund;
- the risk of high costs for the maintenance of assets, restoration of value and their subsequent sale.

The main role in reducing risks in this area will be played by fair value determined by an independent appraisal company.

Given the absence of an active market for distressed assets, discrepancies in the valuation of a non-performing loan between the Bank and the Fund may prove to be a significant obstacle to transactions.

In turn, within the framework of the direct buyout process, the following mechanisms can be used to achieve a «compromise» price between the Fund and the Bank:

1) parity of interest in determining the fair value of a» non-performing «loan can be achieved by» filtering «the estimates of several NPLs. At the same time, to obtain a narrower range of prices (based on NOC estimates), an independent audit company may be engaged to determine the adequacy of the NOC assessment procedures and their compliance with the assessment standards;

2) if the price of a «non-performing» loan determined by the Fund is unacceptable for the Bank, it may be acquired by the Fund at the price of the Bank. At the same time, the Bank provides coverage (in the form of a guarantee or option) of potential losses of the Fund for the difference between the purchase price and the price offered by the Fund, if the latter is lower. It should be noted that the Bank recognizes risks under the guarantee (option) associated with the «non-performing» loan. At the same time, given the significant level of impairment on these loans, this recognition will be partially realized and will lead to a decrease in the level of «non-performing» loans in the loan portfolio of the Bank.

The need for collateral under the guarantee (option) will be determined by the terms of the transaction and the risks of fulfillment of obligations by the Bank. In this case, the guarantee



(option) for the amount of the Fund's loss may be secured by cash, the Bank's claims on loans (except for «non-performing» loans), a pledge of shares or other liquid assets. For the period of validity (not more than 10 years) of the guarantee (option), the Bank may be limited in the distribution of dividends.

As part of this area of cooperation, along with the search for investors, the Fund can attract both banks themselves and specialized asset management companies, including organizations with state participation, such as JSC «company for rehabilitation and asset management».

In order to facilitate the effective recovery of the value of non-performing loans, the Concept provides for the possibility for the Fund to provide financial resources to banks as a result of their activities to improve the quality of assets.

This direction consists of various forms of providing financial resources and risk sharing between the Fund and the Bank. At the same time, the Concept does not limit or narrow the range of elements of cooperation between banks and the Fund described below, suggesting the possibility of various combinations of them in establishing specific contractual relations:

1) the main effect in this direction will be achieved through the active use of the competence of the banks themselves and their operational capabilities, complemented by the resource potential of the Fund. Assets are transferred to the management of the Bank, or to the management of the OSA, and can also be allocated to a special financial company (hereinafter-SFK), created by the Bank on the principles of securitization;

2) the Fund acquires Bank loans (with reverse transfer to trust management) or SFK bonds for money and (or) in exchange for its own bonds;

3) conditional funding from the Fund should take into account the time value of financial resources;

4) as part of the provision of conditional financing, possible additional losses of the Fund (including the temporary cost of financial resources) are covered by a guarantee (option) from the Bank or its shareholder for the amount of losses of the Fund. The need for collateral under the guarantee (option) is determined by the terms of the transaction and the risks of fulfillment of obligations by the Bank (third party). In this case, the guarantee (option) for the amount of the Fund's loss may be secured by cash, the Bank's claims on loans (except for «non-performing» loans), a pledge of shares or other liquid assets. For the period of validity (not more than 10 years) of the guarantee (option), the Bank may be limited in the distribution of dividends;

5) availability of a guarantee (option) on the part of the Bank implies that the risks associated with a «non-performing» loan should be reflected on the balance sheet of the Bank. Accordingly, the improvement in the Bank's balance sheet it is possible to achieve due to the presence of losses the Fund's shareholders or by a third party, as in this case risk passes to the level of a financial group or a third party;

6) the Bank's participation in the conditional financing program provides for the write-off of a «non-performing» loan within the provisions formed, provided that the criteria for derecognition of international financial reporting standards are met. At the same time, taking into account the amendments made to the Tax code of the Republic of Kazakhstan, write-off operations can be carried out by banks without tax consequences. In turn, the Supervisory process will assess the necessary adequacy of the Bank's actions for the adequate and fair recognition of assets on the balance sheet.

As an additional area of cooperation between the Fund and banks, the mechanisms of financing activities and the Fund's participation in the capital of the OSA will be studied, with subsequent amendments to the legislation if necessary.

A possible advantage of this arrangement is that the Fund can participate in the control of asset management. At the same time, the Bank receives the missing financial resources to fully restore the value of «non-performing» loans (including those providing for the completion of

projects of problem borrowers).

Additionally, in the event the restore cost above a certain Bank and the Fund, we have studied the mechanism of the issue of securities linked to financial flows from non-performing loans by analogy with the recovery notes, and various versions of the option providing for the possibility of redemption when the price of an asset. At the same time, the Bank bears not only the risks of future losses, but also receives the opportunity to benefit from the recovery of the value of «non-performing» loans in excess of expected values.

Under the cooperation mechanisms presented above, the Fund will be flexible in its work on the mechanism for determining the value of «non-performing» loans. In particular, but not limited to, the following formats of price determination will be possible:

- at book value;
- at fair value, defined by NOC;
- through the application of a fixed discount on a certain asset class.

In general, reducing the pressure of problem loans on the financial capital of banks will lead to the revision and optimization of the strategies second level and business models used by banks. It is also expected that banks will introduce new and effective functions, increase the activity of second-tier banks for the further development and expansion of digital technologies.

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## **ҚР-дағы екінші деңгейлі банктердің проблемалық несиелермен (ЕДПН) жұмыс жүргізудегі проблемалық несиелер қорымен (ПАҚ) өзара байланысы**

**Андатпа.** Мақалада проблемалық несиелер қорымен (келесіде - ПАҚ), екінші деңгейлі банктер арасындағы проблемалық несиелермен жұмыс жүргізу мәселесі қарастырылады. Банк портфеліндегі жұмыс істемейтін қарыздардың ағымдағы жағдайына талдау жасалынған. Проблемалық несиелермен күресудің тиімді жолдары қарастырылған.

Қордың банктермен бірігуі арқылы «жұмыс істемейтін» қарыздарды тікелей сатып алу арқылы, банктің проблемалық активтерді басқару қызметін қаржыландырудың мүмкіндігін туғызады. Банктердің несиелік портфеліндегі «жұмыс істемейтін» қарыздардың ағымдағы жағдайы талданып, зерттелген. Қор қызметі коммерциялық банктердің несиелік қоржынының сапасын оңтайландыруға бағытталған жұмыстары қарастырылған.

«Жұмыс істемейтін» қарыздардың бағасын айқындау тәсілдеріде көрсетілген. Жалпы алғанда мақалада Проблемалық несиелерді басқару банктің маңызды міндеттерінің бірі деп есептеймін. Нарықтық экономика жағдайында проблемалық несиелермен жұмыс жүргізу ең өзекті мәселелердің бірі.

**Түйін сөздер:** несиелік, проблемалық несиелер, проблемалық қор, ұлттық банк, актив, міндеттеме, акция, несиелік тәуекел, бағалы қағаздар.

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### **Взаимодействие банков второго уровня Республики Казахстан с Фондом проблемных кредитов в работе с проблемными кредитами**

**Аннотация.** В статье рассматривается вопрос организации работы с проблемными кредитами между Фондом проблемных кредитов и банками второго уровня в РК. Проводится анализ текущего состояния неработающих займов в портфеле банка. Рассмотрены эффективные пути борьбы с проблемными кредитами, а также возможности финансирования деятельности управления проблемными активами путем объединения банка с Фондом и прямого выкупа «неработающих займов». Деятельность Фонда направлена на улучшение качества кредитных портфелей банков второго уровня. Также представлены методы определения стоимости «неработающих кредитов». В целом, по мнению авторов, проблемные кредиты являются одной из важнейших задач банка. В условиях рыночной экономики работа с проблемными кредитами будет одной из наиболее актуальных проблем, и будут приняты превентивные меры кредитования.

**Ключевые слова:** кредит, проблемные кредиты, фонд проблемных кредитов, Национальный банк, актив, обязательство, акции, кредитный риск, ценные бумаги.

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ЕСЕП ЖӘНЕ АУДИТ  
УЧЕТ И АУДИТ  
ACCOUNTING AND AUDITING



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**Issues of implementation of the public budget policy of Kazakhstan**

**Abstract.** This article discusses the concept of budget, implementation of budget policy in Kazakhstan, budget expenditures, budget process in Kazakhstan, the main directions of budgetary policy and its implementation. On the basis of the Law of the Republic of Kazakhstan on the public budget the analysis of dynamics of indicators of structure and structure of the budget is carried out. There are stages of the budget process and documents to it. The content of the concepts of budget programs and the state budget is revealed. In order to effectively use and manage budget resources, the basics of adopting results-based budgeting and the need for adopting programmatic budgeting and programmatic cost classification were considered. It is important to assess the quality of budget policy implementation on the basis of indicators of strategic documents.

**Keywords:** budget policy, budget process, budget expenditures, budget deficit and surplus, budget program, Budget code.

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The budget is a calculation plan of the state, which allows to control the receipt of tax and non-tax revenues, on the one hand, and the process of using the resources of the Republican budget in accordance with the budget statement of expenditures, on the other hand [1]. State revenues and expenditures are made for a certain period and approved in the manner prescribed by law.

The semantic content of the budget are taxes and loans. They determine the state of the budget, depend on the amount of state revenues concentrated in the budget. Taxes and loans, in turn, are pre-determined by the legislation of reproduction [2].

The budget is an art in many respects of art, conducting financial economy and control of rationality of expenditure of national resources [3].

The budget has indirect relations through taxes and loans.

In modern conditions of implementation of budget policy in the Republic of Kazakhstan special attention was paid to effective spending of budget funds. The assessment of the budget policy is carried out according to the results of the activities of state bodies in the areas defined in the strategic documents of the Republic of Kazakhstan, as well as the dynamics of macroeconomic indicators [4].

Budget policy is one of the main instruments of economic policy of the state as a purposeful activity of the state to determine the main objectives and quantitative parameters of the formation of budget revenues and expenditures, public debt management [5].

The most important areas of budget policy are the collection of budget revenues, the implementation of budget obligations, the management of public debt and budget deficits.

Decree of the President of the Republic of Kazakhstan dated June 26, 2013 No. 590 approved



the concept of the new budget policy of the Republic of Kazakhstan «on approval of the Concept of the new budget policy of the Republic of Kazakhstan» [6].

The concept of the new budget policy was developed in accordance with the Address of the President of the Republic of Kazakhstan to the people of Kazakhstan dated December 14, 2012 «Strategy Kazakhstan-2050»: a new political course of the established state [7]. It is aimed at using budget resources within the limits of possibilities and reducing the deficit, ensuring a careful and thoughtful budget and financial process, investing in productive strategic national projects from the point of view of the long term with the use of a rigid system of selection of budget funds and funds of the National Fund.

The concept defines the vision, main approaches and directions of budget policy formation until 2020 and is aimed at ensuring the complexity of reforms in the field of public Finance.

Since gaining independence, Kazakhstan has formed the foundations of a modern system of public Finance management.

The state financial system that meets the conditions and requirements of the market economy, the legislative framework of financial support for the activities of public authorities at the Central and local levels have been created.

Program budgeting and program classification of expenses have been introduced. Sources of income with a breakdown between the Republican and local budgets are fixed on a permanent basis.

In order to achieve macroeconomic stabilization, the financing of the state budget deficit has been transferred to non-inflationary sources since 1998.

An important reform in the budget system of Kazakhstan was the creation in 2000 of the National Fund of the Republic of Kazakhstan in order to accumulate financial resources for future generations through the accumulation of oil revenues, as well as to reduce the dependence of the Republican budget on the situation on the world commodity markets. The national Fund has become an important tool to support macroeconomic stability in the country.

In 2004, the first budget code of the Republic of Kazakhstan was adopted, which streamlined and systematized the existing legislation in the budget system [8].

In order to ensure the interconnection of economic, strategic and budget planning, the division of powers between the Central state bodies and the levels of state administration, including in the budget system, was carried out.

The stability of inter-budgetary relations between the Republican and local budgets was ensured by legislative determination of the volume of transfers of a General nature for a three-year period.

In 2007, work began on creating a qualitatively new model of public administration based on the principles of corporate governance, efficiency, transparency and accountability to society. In order to form an integrated and effective system of state planning aimed at achieving strategic goals and implementing priority tasks of socio-economic development of the country, in December 2007, the Concept for the implementation of a results-based system of state planning was approved.

Based on the concept, a new Budget code of the Republic of Kazakhstan was adopted in 2008, creating a legislative basis for the transition to results-based budgeting. The transition from budget planning to a three-year budget for the year, which became the basis of a new model of state planning, was carried out.

Thus, since gaining independence, Kazakhstan has formed the foundations of a modern system of budget management. Created a unified system of regulation of budgetary relations, the same principles of the budgetary system introduced the mechanism of accumulation of oil revenues, a system of interbudgetary relations. At the same time, there are problems and negative trends in the formation of budget policy in the medium and long term, which can have a negative

impact on its effectiveness.

For several years, there has been a tendency to increase the obligations of the state, increasing the «budget dependency». Current expenditures increased from 59.6% in 2005 to 81.1% in 2013 in total state budget expenditures [9].

Current expenditures on support of housing and communal services, transport industry, agriculture and the volume of subsidies from the state budget are increasing every year.

Despite the annual growth of state budget expenditures, their effectiveness is declining.

At the same time, a tax policy that is not accompanied by an increase in the income base may not be adequate to the growing liabilities in the future. In the long run, this can lead to a balance of public finances.

Effective management of budget resources, as well as implementation are hampered by a large number of programs assigned to various government agencies. There is a duplication of funding directions and tools for the implementation of programs.

Due to the non-completion and continuation of structural reforms in Kazakhstan, as a country with a developing economy, it is quite difficult to ensure the stability of medium-term budget planning.

There is no comprehensive planning of budget investments, which reduces their effectiveness. Is the replacement of public with private investment. The problem of increasing the cost of projects built at the expense of budget funds remains unresolved. The coordinated investment policy of the quasi-public sector and budget investments will lead to a decrease in the efficiency of public investments.

In different phases of the economic cycle, the state budget is different. In a recession, budget revenues are reduced (as business activity is reduced, hence the tax base), the budget deficit on money (if it was initially) increases, and the surplus (if it was discovered) decreases. With growth, on the contrary, the budget deficit decreases (tax revenues, that is, budget revenues, will increase), and the surplus will increase.

The current situation shows a weak relationship between strategic and budget planning. The allocation of budget funds is carried out by estimates, not by the final result. The budget process in the Republic of Kazakhstan in schematic form is shown in figure 1.

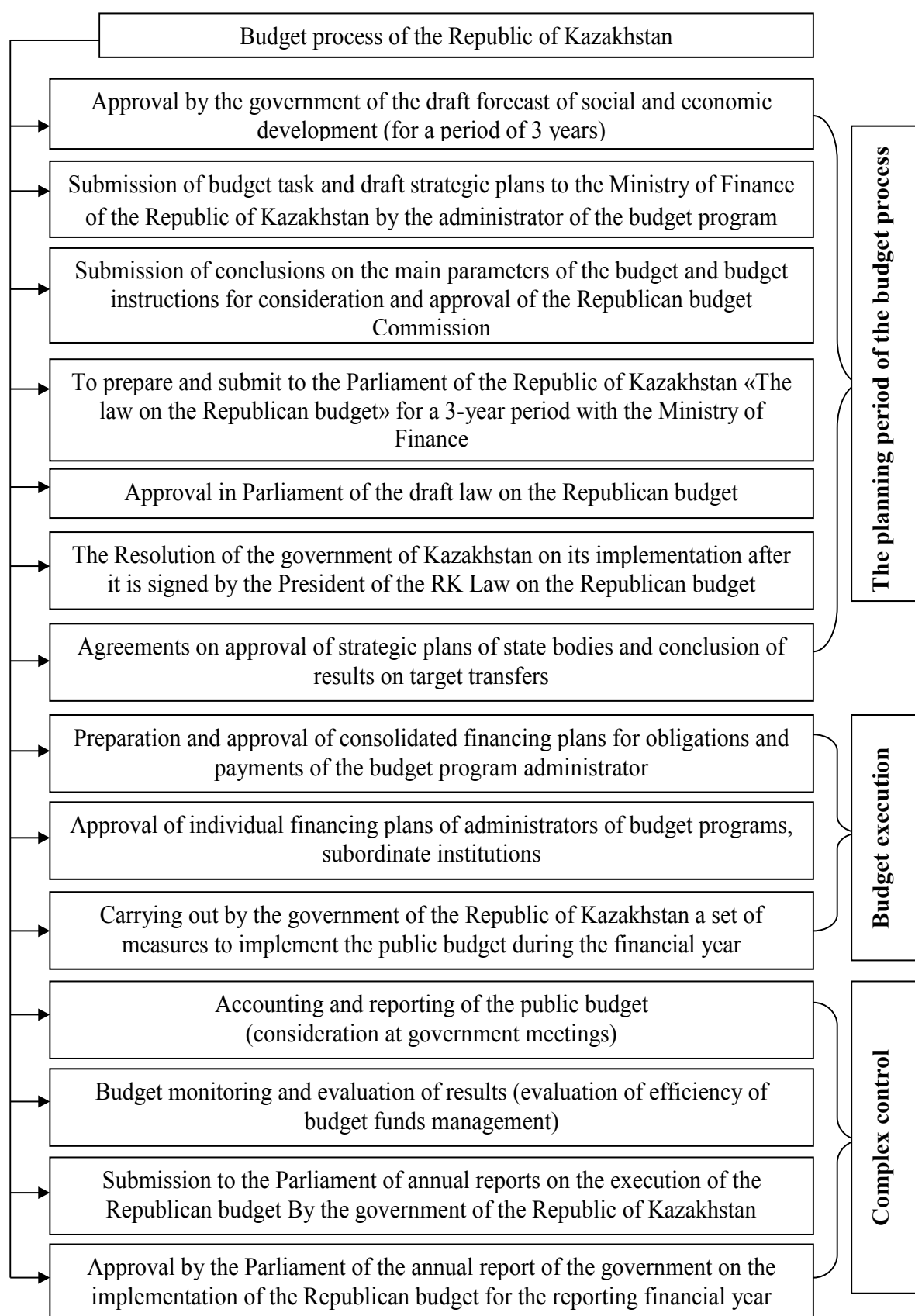


Figure 1. Budget process in the Republic of Kazakhstan  
 Note – Compiled by the author

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Concept of the state budget. The idea of a balanced budget becomes popular to the greatest extent with a negative attitude to the state budget deficit. Historically, three concepts concerning the state of the state budget are presented:

- 1) annually balanced budget idea;
- 2) balanced budget idea for the phases of the economic cycle (on a cyclical basis);;
- 3) the Idea of balancing the economy, not the budget (the idea of «functional Finance») [10].

To date, for a clear state of the budget policy of the Republic of Kazakhstan, it is necessary to analyze the dynamics of the budget for 2014-2018, indicated in table 1 [11].

Table 1

**Dynamics of indicators of the budget of the Republic of Kazakhstan  
for 2014-2018, mln. tenge**

№	Budget performance	2014 y	2015 y	2016 y	2017 y	2018 y
1	Total revenue, including:	6107448	5988005	7744000	9691457	8772318
1.1	Revenue	6034033	5874940	7648362	9609031	8651742
1.2	The amount of coverage of budget loans	72165	112115	91868	82426	120576
1.3	Proceeds from the sale of financial assets of the state	1250	950	3770	0	0
2	Budget cost	7190297	7237323	8646686	11177355	9655571
2.1	Cost	6574979	6864195	8045742	10699154	9353497
2.2	Budgetary credit	118743	190476	315031	282483	250268
2.3	Acquisition of financial assets	496575	182652	285913	195718	51806
3	Deficit	-1082849	-1249318	-902686	-1485898	-883253
4	The financing of the budget deficit	1082849	1256479	902686	1485898	883253
5	Deficit to GDP as a percentage	2,6	3	2	2,9	1,5

Note: compiled by the author according to the Law of the Republic of Kazakhstan on the public budget»

According to table 1, there is a tendency of growth of gross budget revenues in the period from 2014 to 2017, and in 2018 it is slightly reduced. Including revenues also have the same dynamics. The amount of coverage of budget loans in 2015 compared to 2014 increased by 55%, in 2017 compared to 2015 on the contrary will decrease by 26%, in 2018 compared to 2017 sharply increased by 32%.

Revenues from the sale of financial assets of the state also have a floating dynamics equal to zero in the period from 2017 to 2018.

Budget expenditures are an essential part of the effective implementation of budget policy. Budget expenditures of the Republic of Kazakhstan for the analyzed period 2014-2017 have only growth dynamics, i.e. growth by 55%, in 2018 compared to 2017 decreased by 14%. This is due to the reduction of budget revenues by 9% this year. However, the rate of decline in budget revenues below the rate of decline in budget expenditures is estimated as negative.

In 2018 compared to 2017 decreased by 13%.

During the analyzed years, the cost of acquiring financial assets decreased by 8.5 times from 2014 to 2018.

As a result of lower budget revenues and higher budget expenditures, the budget deficit also increased between 2014 and 2018. Thus, in 2016 compared to 2014 produced 180163 million dollars. in 2017, it rose sharply by 65%. The causes of budget deficit are many, for example, the overall recession of the state economy, rising costs of society, increase of social costs that do not meet the level of economic development, the growth of the shadow economy, etc.

For figure 2 the dynamics of revenues and expenditures of the budget of Kazakhstan for 2014-2018 is shown.

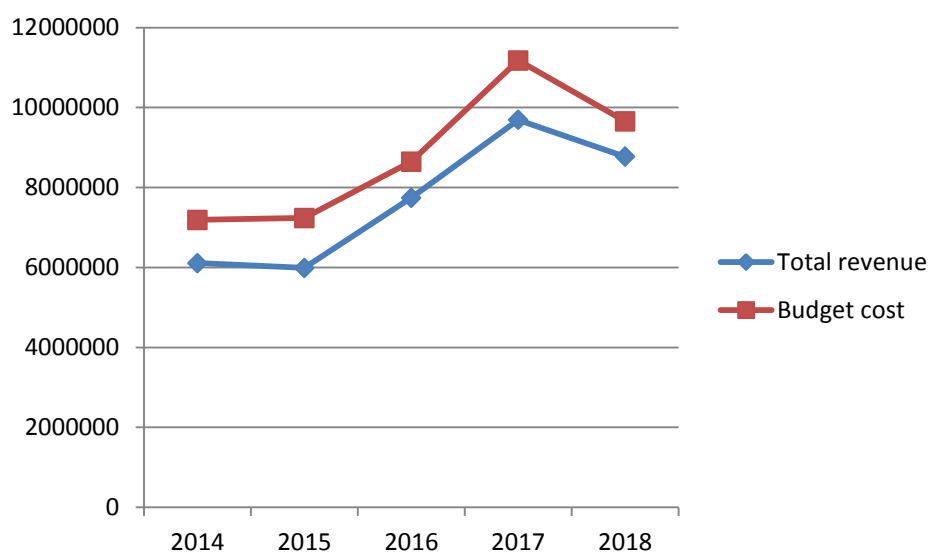


Figure 2. Decree of the Republic of Kazakhstan dated 2014-2018 dynamics of budget revenues and expenditures

Note: compiled by the author according to the Law of the Republic of Kazakhstan on the public budget

Budget deficits are usually covered in the following ways:

- the market for government debt;
- currency issue;
- tax increases [6].

It is important to determine the formation and expenditure of the budget of the Republic of Kazakhstan by analyzing the dynamics of the structure of its expenditure. The dynamics of the



structure of revenues and expenditures of the budget of Kazakhstan for 2014-2018 is shown in table 2.

Table 2

**Dynamics of the structure of revenues and expenditures of the budget of Kazakhstan for 2014-2018, million tenge**

№	Budget performance	2014	2015	2016	2017	2018
1	Total revenue, including:	100	100	100	100	100
1.1	Revenue	91,4	94,8	93,1	95,72	96,9
1.2	The amount of coverage of budget loans	1,65	2,63	3,64	2,527	2,59
1.3	Proceeds from the sale of financial assets of the state	6,91	2,52	3,31	1,751	0,54
2	Budget cost	100	100	100	100	100
2.1	Cost	98,8	98,1	98,8	99,15	98,6
2.2	Budgetary credit	1,18	1,87	1,19	0,851	1,37
2.3	Acquisition of financial assets	0,02	0,02	0,05	0	0
3	Deficit	-	-166469	-346632	-583212	-602645
4	The financing of the budget deficit	-	15,37	-27,75	64,61	-40,56
Note: compiled by the author according to the Law of the Republic of Kazakhstan on the public budget»						

Share of revenues in budget revenues in comparison with the structure of budget revenues and expenditures share of expenditures in budget expenditures analyzed period 2014-2018 if available on the basis of. Therefore, the budget deficit has grown over the years.

The quality indicator of budget policy is an aggregate index reflecting the ratio of the sum of points of indicators characterizing the most important directions of implementation of budget policy (income, expenses, budget balances and public debt), taking into account weight indicators, to the sum of the number of these indicators calculated for each financial year of the analyzed period. The indicators of budget quality assessment include such indicators as the coefficient of budget independence, the coefficient of budget dependence, the coefficient of budget stability, the effectiveness of financial policy [13].

In the process of formation, approval and execution of the budget, the balance (alignment) of state revenues and expenditures should be ensured. As a result of comparison of expenses and incomes it is possible to reveal their balance.

If revenues are greater than expenditures then the government faces a surplus or surplus. The opposite situation, i.e. the excess of expenditures over revenues, is called a budget deficit. Budget policy of the Republic of Kazakhstan for 2014-2018 indicators characterizing the quality assessment are given in table 3 [14].

Table 3

**Indicators characterizing the assessment of the quality and effectiveness of the budget policy of the Republic of Kazakhstan for 2014-2018**

№	B u d g e t performance	2014year	2015year	2016year	2017year	2018year
1	Gross domestic product, billion tenge	39 675,8	40 884,1	46 971,2	53 101,3	39 767,1
2	In % to the corresponding period of last year	104,2	101,2	101,1	104,0	104,1
3	Revenues to the state budget, billion tenge	7 321,3	7 634,8	9 308,5	11 567,7	10 808,6
4	% of GDP	18,0	18,7	19,8	22,4	27,2
5	Expenditures from the state budget, billion tenge	7 791,9	8 227,1	9 433,7	12 485,4	11 346,1
6	% of GDP	19,1	20,1	20,1	24,2	28,5
7	Deficit ( - ) / surplus ( + ) of the state budget, billion tenge	-1 086,7	-915,7	-737,7	-1 455,3	-833,1
8	% of GDP	2,8	-2,2	-1,6	-2,8	-2,1
9	State debt, billion tenge	5778,4	9300,2	11761,3	13988,2	16045,3
10	The ratio of budget	0,94	0,93	0,99	0,93	0,95
11	Indicators of fiscal sustainability	-	2,83	2,27	2,27	2,20
12	The performance of financial policy	-	1,26	0,80	1,0	0,97
13	Transfers, billion tenge	1955	2 456,4	2 855,5	4 414,3	2 600,0
14	Revenues net of transfers, billion tenge	5366,3	5 178,40	6 453,00	7 153,40	8 208,60
15	The coefficient of budgetary independence	0,73	0,68	0,69	0,62	0,76
16	The coefficient of budget based on	0,27	0,32	0,31	0,38	0,24
Note: compiled by the author according to the Agency of statistics of the Republic of Kazakhstan						

According to table 3 the analyzed period 2014-2018 budget coverage ratio is below 1, which means high budget expenditures from budget revenues. The indicator of fiscal sustainability shows a coefficient from 2.83 to 2.20, i.e. it tends to decrease.

The evaluation of the effectiveness of financial policy can be carried out by analyzing certain indicators. The budget dependency ratio is calculated by the ratio of revenues less transfers to total budget revenues for the analyzed period. The coefficient of budget dependence in 2014 was 0.73 and in 2015-2018 this indicator is at the level of 0.68-0.76, which means an increase in budget independence from transfers. Thus, the coefficient of budget dependence in 2014 amounted to 0.27 and tends to decrease in 2015-2018 and is 0.32-0.24.

Every year the number of legal entities created with the participation of the state increases, the costs of their capitalization increase. Funds allocated to quasi-public sector entities are used inefficiently, which is accompanied by the «sale» of assets.

The second stage of the budget process is budget execution. The main documents of this period are shown in figure 3 [15].



Figure 3. Key documents of the budget execution process

Note – compiled by the author

The centralization characteristic of the modern budget system leads to imbalances in the budget system. The system of targeted transfers to the regions, intended only to fulfill the supporting (balancing) nature, became the «second local budget». In 2012, transfers to the regions averaged 61.7% of the total revenues of local budgets. Funding from the public budget for regional activities has increased.

The existing experience of allocating targeted transfers to lower budgets has a number of problems. This is a large number of targeted transfers, complexity of planning, imperfection of the mechanism of transfer of funds to final recipients, transparency of responsibility between the administrator of the public budget programs and the local executive body, weakening of the independence of the regions in decision-making.

The current assessment of the effectiveness of local authorities does not have a direct stimulating effect necessary for the full implementation of results-based budgeting, does not imply a system of encouraging the achievement of high results, evaluation of efficiency. As a result, the independence, responsibility and efficiency of local authorities in solving the problems of socio-economic development of regions are reduced [16].

With the growth of accumulation of financial resources in the National fund, the full placement of its funds in financial instruments of foreign countries will allow not only to receive a stable investment income, but also to have a great risk.

Despite the measures taken by the National bank of the Republic of Kazakhstan to diversify foreign exchange assets, vulnerability to possible negative trends in the global financial market remains.

The need for a radical solution to the above problems and correction of negative trends, in turn, determines the need for the formation of a new budget policy. As criteria of efficiency of budgetary policy it is possible to present the following [17]:

- in general, the level of accumulation of budget revenues, in particular taxes;
- degree of fulfillment of budget obligations;
- dynamics of the budget deficit and the rate of growth of public debt;
- care about the amount of financial resources in the state budget, maintenance;
- the level of monetization of the budget deficit;
- the amount of foreign exchange reserves used to finance the budget deficit;
- dynamics of gross domestic product;
- unemployment rate;
- the degree of execution of legislative and equivalent acts on the budget.

The systems used in different countries have a common goal of improving the efficiency of public sector management, however, as the study of world experience shows, there is no single methodology and terminology.

The following conclusions can be drawn on improving the implementation of budget policy in Kazakhstan:

- the issues of improving public administration should be considered in conjunction with the issues of improving budget planning;
- careful consideration should be given to determining the appropriate sequencing of reforms to ensure that they are sustained;
- it is necessary to ensure the availability of appropriate conditions for the successful implementation of the correct program-target approach. As a rule, first of all it is necessary to ensure the order of execution of the adopted budgets;
- you need a pragmatic approach to the reform of public administration, i.e. any innovation must be based on country and regional characteristics and taking into account the existing peculiarities in specific areas of public service.;
- reforms need to pay great attention to the human factor. The failure of the transition from

cost-based to results-based budgeting was largely due to the lack of awareness of the objectives of the reforms, incentives to support them, active involvement in the implementation of reforms and the lack of sufficient authority to implement them;

- it is important to take care in advance of the capacity-building needed for reforms: the allocation of appropriate funds, the establishment of an institutional framework, the training of staff;

- the introduction and implementation of results-based budgeting is a multi-year integrative process, during which the methods of planning the socio-economic results of ministries and departments, measuring these results, as well as the forms of reports on their achievement will inevitably vary and improve. The budget process itself will also change, including the forms of submission of budget applications, their analysis and approval. It is necessary to envisage the introduction of effective mechanisms for continuous reassessment and clarification of the basic concepts of reforms.

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### **Қазақстанның республикалық бюджет саясатын жүзеге асыру мәселелері**

**Аңдатпа.** Берілген мақалада бюджет түсінігі, Қазақстанда республикалық бюджет саясатын іске асыру, бюджет шығындары, Қазақстандағы бюджеттік үрдісі, бюджет саясатының маңызды бағыттары мен оны жүзеге асыру тәртібі қарастырылған. Қазақстанның республикалық бюджет туралы заңының негізінде бюджет құрамы мен құрылымы көрсеткіштерінің динамикасына талдау жасалған. Бюджет үрдісінің кезеңдері мен оның құжаттары қарастырылған. Бюджеттік бағдарламалар мен мемлекеттік бюджеттің тұжырымдамаларының мазмұны ашылған. Бюджеттік ресурстарды тиімді пайдалану және басқару мақсатында нәтижеге бағытталған бюджеттеуді қабылдау негізі мен бағдарламалық бюджеттеу және шығыстарды бағдарламалық жіктеу қабылдану қажеттілігі қарастырылды. Бюджет саясатын жүзеге асырудың сапасын бағалауды стратегиялық құжаттар көрсеткіштерінің негізінде жасау маңызды.

**Түйін сөздер:** бюджет саясаты, бюджеттік үрдіс, бюджеттік шығындар, бюджет дефициті мен профициті, бюджеттік бағдарлама, бюджет кодексі.

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Казахстан*

### **Вопросы реализации республиканской бюджетной политики Казахстана**

**Аннотация.** В данной статье рассмотрены понятие «бюджет», реализация республиканской бюджетной политики в Казахстане, расходы бюджета, бюджетный процесс в Казахстане, важнейшие направления бюджетной политики и порядок ее реализации. На основании данных Закона Республики Казахстан о республиканском бюджете проведен анализ динамики показателей состава и структуры бюджета. Исследованы этапы бюджетного процесса и документы их реализации. Раскрыто содержание концепций бюджетных программ и государственного бюджета. В целях эффективного использования и управления бюджетными ресурсами рассматривались основы принятия бюджетирования, ориентированного на результат, и необходимость принятия программного бюджетирования и программной классификации расходов. Отмечена важность оценки качества реализации бюджетной политики на основе показателей стратегических документов.

**Ключевые слова:** бюджетная политика, бюджетный процесс, бюджетные расходы, дефицит и профицит бюджета, бюджетная программа, Бюджетный кодекс.

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### **Risk Assessment in Performance Audit: European Union Practice**

**Abstract.** This paper analyses one of the integral elements of audit methodology in public sector. Since the risk assessment is part of the audit at any stage it should be constantly reviewed throughout the assurance engagement. As an example of best practice, this article specifically discusses the methodology provided by European Court of Auditors. European Court of Auditors as well as independent Supreme Audit Institutions of European Union countries promote their rich experience in enhancing public accountability and financial management in third countries.

The article also pays attention to the risk factors in performance audit context and considers modern risk assessment approaches.

**Keywords:** state audit, performance audit, European Court of Auditors, risk assessment.

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In Kazakhstan and likewise throughout the world, risk evaluation process in state audit context has become extremely important since introduction of new public sector auditing conceptual framework. This has been caused by plenty of procedural standards and methodical documents issued by Supreme Audit Institution of the Republic of Kazakhstan. Procedural standard on performance audit describes risk assessment as an indispensable precondition for all directions of this type of audit. However, the complexity of performance audit in public sector demands thorough explanation of audit methodology.

This article first defines the term risk in general and then in context of performance audit. Identifies differences between conventional and modern approaches. Further the audit methodology provided by European Court of Auditors will be discussed in depth.

Risk is a future occasion or condition with a realistic probability of occurring and an adverse consequence or effect on the successful achievement of established goals and objectives if they occur [1]. The literature suggests three major peculiarities of risk:

1) risk relates to the future (it does not relate to the past or present as it is unchangeable. But, by altering current behaviour better outcomes could be expected in the future);

2) expected changes;

3) risk relates to a possibility of a choice, and simultaneously relates to the uncertainty which is a reason for that possibility [2].

Risk is an integral part of any activity and auditing as well. Initially, auditors considered the risk assessment process as an isolated area of auditing. By the time the importance of risk evaluation has become dominant feature of the assurance engagements. A great deal of audit methods has been created in order to minimize the probability of making decision. The difference between approaches described in detail in Table 1.

Table 1

#### **Comparison of the conventional and modern risk evaluation approaches**

The conventional approach	The modern approach
Risk evaluation is conducted occasionally (if there is a reason)	Risk evaluation is a constant and regular activity.



Risk determination and administration is the duty of the accounting and internal auditing departments	Risk determination and administration is the duty of all employees of the institution.
Fragmentation – each function runs independently.	Concentration – risk evaluation and administration are coordinated by supervisors
Control is concerned with avoiding any risk.	Control is concerned with reducing the risk to an acceptable low level.
Actions taken after the risk identification	Risk is anticipated and prevented by constantly observing risk controls.
Incompetent staff is a main source risk.	Inefficient processes are a main source of risk.

Note: adapted from [2]

Performance audit risk is a diversified term. There is no unified frameworks, also substantial differences exist in defining the notion. The reason for that is the various objects of the audit. They may have completely different functions, goals, missions and structures. Nevertheless, reviewing the methodological documents and reports of Supreme Audit Institutions of the European Union countries showed some common features in risk evaluation practice [3]:

1. result-oriented approach;
2. problem oriented approach;
3. system-oriented.

First approach evaluates the achievement of predetermined objectives. Second approach starts with the identified problems or issues, analyses its causes. The last one assesses the overall control system. There might be mixed approaches combining two or more of these approaches. Despite this 3E's (efficiency, effectiveness and economy) are permanent features of any performance audit.

As mentioned earlier the risk relates to all the stages of audit process (Figure 1).

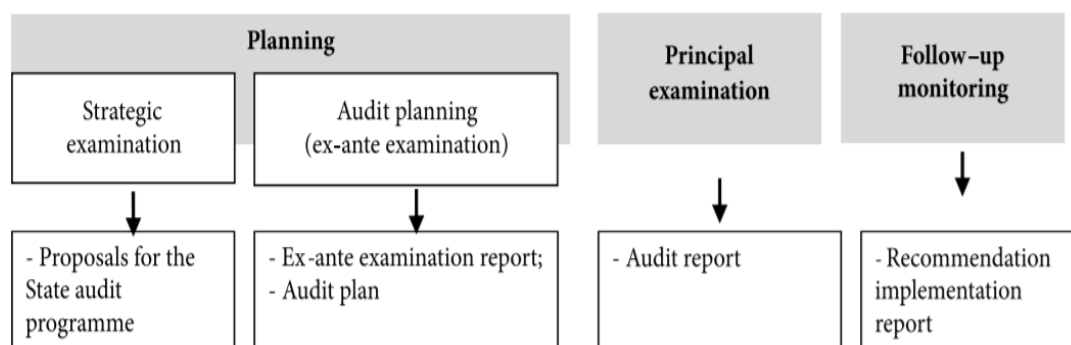


Figure 1. Classic performance audit stages

Source: compiled by the authors based on auditing standards

Performance audit usually begins with analysing its basic criteria (3E's). European Court of Auditors defines [4] “the principle of economy requires that the resources used by the audited entity in the pursuit of its activities shall be made available in due time, in appropriate quantity and quality and at the best price”. From this definition several risk factors may arise (Table 2).

Table 2

**Risk factors related to economy**

Objectives of economy	General risk factors	Issues to be addressed in audit
<ul style="list-style-type: none"> <li>• Minimising the cost of resources used for an activity</li> <li>• Achieving more output (in terms of quantity) for the input</li> </ul>	1) <i>waste</i> – usage of resources that are not necessary for the attainment of the expected outcomes or results; 2) <i>overpayments</i> – resources are acquired disregarding the principle of economy; 3) <i>luxury expenses</i> – the acquired resources are of much better quality than required for the attainment of expected outcomes or results.	1) does the institution acquire the required volume of resources of the required quality at a lowest price (e.g., the examination shall include the procedure for publishing public procurement calls, selection of proposals, and the assessment of the entity's possibilities to acquire the resources); 2) are the financial and physical resources used efficiently; 3) does the management activity meet the sound administration principles and advanced management practice; 4) does the institution manage its resources seeking to minimise the general costs; 5) was it possible to prepare and implement the intervention in a different way by reducing its costs; 6) are the resources procured used rather than stored; 7) is the staff used in all cases to a full extent; 8) does the organisation apply optimisation methods.

Note: adapted from [2],[4],[5]

Three different risk factors reveal economy principle from completely different perspectives though not contradicting with its definition. In first case, it is more linked to the natural meaning of the word economy, when the objects of the audit may squander given resources. In the second case, the resources may be used accurately, at the amount that needed, but the cost of the products may be overpriced. In the last situation, the resources may be used accurately, but their quality requirements do not reflect the desired outcomes of the object.

Regarding the principle of efficiency: “it concerns the best relationship between resources employed and results achieved”[4]. Theoretically, there are two evaluation ways of resources from efficiency perspective. It can be based on the quantity, for instance numbers of produced or published units, number of students where there is a threshold, number of employed graduates etc. On the other hand, it can be based on certain quality characteristics satisfaction of citizens regarding service quality, professional assessment by experts or any quality requirements that are described in strategic documents of the organisation. There are plenty of risk areas that depend on auditors’ professional judgement and creativity. Following the simplest explanation, the main idea is the link between “inputs” and “outputs”. Also, the term may be similar to the productivity measure of the organization, divisions, programs or individuals. The definition may vary across jurisdictions as professional audit organizations only set the core ideas that imply further development by auditors for different audit objects. The summarized risk factors of the efficiency principle are illustrated in Table 3.

Table 3

## Risk factors related to efficiency

Objectives of efficiency	General risk factors	Issues to be addressed in audit
<p>The relationship between outputs and the resources used to produce them</p> <ul style="list-style-type: none"> <li>• Are resources spent on outputs that produce most outcome?</li> </ul>	<ol style="list-style-type: none"> <li>1) <i>loss</i> – having used the resources, the desired outcomes have not been achieved;</li> <li>2) <i>less than optimal resource to outcome ratio</i> – low labour efficiency level;</li> <li>3) <i>slow implementation</i> of the intervention;</li> <li>4) <i>unidentified and uncontrolled external factors</i> – expenses imposed upon natural and legal persons that are not covered by the intervention of the subject.</li> </ol>	<ol style="list-style-type: none"> <li>1) are the programmes properly prepared and planned; are they clear and consistent;</li> <li>2) are the objectives and the provided measures (legal, financial, etc.) appropriate, consistent and relevant;</li> <li>3) are the works performed within suitable terms avoiding any delayed or unnecessary expenses;</li> <li>4) was the activity planned, organised and implemented in an appropriate manner;</li> <li>5) assess the efficiency of the structure of the organisation, decision making process and the programme implementation management system;</li> <li>6) does the programme implement or duplicate other related programmes, partly overlap with them, or contradict the same;</li> <li>7) does the quality of public services meet the expectations of people and the set up objectives;</li> <li>8) determine the suitability of the system for the assessment and monitoring of the programme efficiency, and the reporting about the programme;</li> <li>9) assess the efficiency of the public investment and the programme(s) and their components, i.e., have the objectives been attained;</li> <li>10) identify the actions preventing the attainment of the satisfactory efficiency or objectives;</li> <li>11) analyse the reasons for the outcome received and the problems identified with a view to identifying the methods to enhance the efficiency of the performance and programmes of the State;</li> <li>12) determine a relative benefit of alternative methods in ensuring better results or eliminating the factors reducing the efficiency of the programme.</li> </ol>

Note: adapted from [2],[4],[5]

“The principle of effectiveness concerns the attainment of the specific objectives set and the achievement of the intended results” [4]. In the same vein, there might be number of issues from effectiveness perspective. The principle idea is the achievement of intended results and feasibility of this ultimate goals in general. Views on risk factors regarding effectiveness are demonstrated in detail in table 4.



Table 4

Risk factors related to effectiveness

Objectives of effectiveness	General risk factors	Issues to be addressed in audit
The extent to which objectives have been achieved and the relationship between the intended impacts and actual impacts of an activity. <ul style="list-style-type: none"> <li>Are intended impacts actually achieved?</li> </ul>	1) <i>wrongly drawn up policy</i> – inadequate evaluation of needs, unclear and inconsistent objectives, inadequate intervention measures, or the impracticability of objectives; 2) <i>management failures</i> – objectives not attained, as the attainment of objectives was not perceived as a priority by the management.	1) are the objectives of a programme properly defined, presented according to specific levels, and to what extent they were attained. Are the programme objectives attainable with justifiable costs; 2) are the human, financial and other resources used efficiently; 3) are the programmes, entities and activities efficiently managed, regulated, organised and implemented, monitored and assessed; 4) does the performance of the organisation correspond to the prescribed objectives and requirements; 5) are the public services of appropriate quality, customised to the customer needs and provided in a timely manner. 6) establish whether the monitored direct or indirect social, economic, environmental impact appeared because of the activities or for other reasons.

Note: adapted from [2],[4],[5].

Performance audit practice uses various risk evaluation techniques, and as of now, there is no unified form except methodical recommendations. Some scholars attempted to develop mathematical techniques; however, it cannot be applied only with pure quantitative results. Performance audits usually require high level of professional judgement compared to more standardized audit types.

Figure 2 explains the approach used by European Court of Auditors: inputs or resources; activities or processes; results, outcomes and impact.

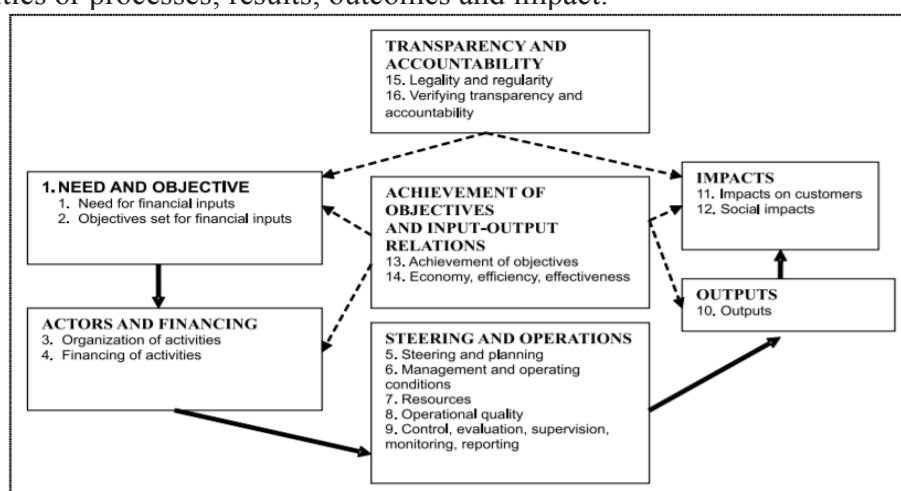


Figure 2. Risk analysis in performance audit

Note: adapted from [5].

As demonstrated in Figure 2, performance audit risk depends on many factors. Literature suggests more research on this direction. In general, there might be either external or internal risk factors.

In conclusion, the growing number of audit objects was a reason for the development of risk evaluation approaches. The analysis of methodical documents of the European Court of Auditors provide in depth understanding of the basic criteria. However, the desire to develop more standardized risk evaluation approaches demands more research in future.

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### **Тиімділік аудитіндегі тәуекелдерді бағалау: Еуропалық Одақ тәжірибесі**

**Аңдатпа.** Бұл жұмыста мемлекеттік сектордағы аудит әдістемесінің ажырамас элементтерінің бірі талданады. Тәуекелдерді бағалау барлық кезеңде аудиттің бөлігі болғандықтан, ақпараттың дұрыстығын растау бойынша келісім барысында үнемі қарастырылып отыруы керек. Үлгілі тәжірибенің мысалы ретінде Еуропалық аудиторлар соты ұсынған әдістеме нақты қарастырылған. Еуропалық аудиторлар соты, сондай-ақ Еуропалық Одақ елдерінің тәуелсіз жоғары аудит органдары үшінші елдерде қоғамдық есеп беруді және қаржылық менеджментті жоғарылату бойынша өздерінің бай тәжірибесін ұсынады.

Мақалада сонымен қатар тиімділік аудитін жүргізу жағдайында тәуекел факторларына назар аударылады және тәуекелдерді бағалаудың заманауи тәсілдері қарастырылады.

**Түйін сөздер:** мемлекеттік аудит, тиімділік аудиті, Еуропалық аудиторлар соты, тәуекелді бағалау.

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### **Оценка рисков в аудите эффективности: практика Европейского союза**

**Аннотация.** В данной статье анализируется один из неотъемлемых элементов методологии аудита в государственном секторе. Поскольку оценка риска является частью аудита на любом этапе, она должна постоянно пересматриваться в течение всей проверки. В качестве примера передовой



практики в данной статье рассматривается методология, предоставленная Европейским судом аудиторов. Европейский суд аудиторов, а также независимые высшие органы аудита стран Европейского Союза, распространяют свой богатый опыт в повышении общественной ответственности и совершенствовании финансового управления в третьих странах.

В статье также уделяется внимание факторам риска в контексте аудита эффективности и показаны современные подходы к оценке рисков.

**Ключевые слова:** государственный аудит, аудит эффективности, Европейский суд аудиторов, оценка риска.

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### **Business projects in the field of ethno tourism as a direction for increasing tourist attractiveness and protect cultural heritage of Kazakhstan**

**Abstract.** The relevance of the study is determined by the fact that ethno tourism in the Republic of Kazakhstan is of interest to both Kazakhstan and foreign travelers. The purpose of this article is to consider business projects in the field of ethno tourism as a direction for increasing tourist attractiveness and protect cultural heritage of Kazakhstan.

In the modern world, ethno tourism is becoming especially widespread, since directly it provides an opportunity to learn the traditions and culture of different ethnic groups not from books or television programs, but directly through immersion in the environment. The weak level of theoretical and methodological research of ethno tourism field and its conceptual framework is an urgent problem. The article deals with methodological approaches to the study of ethno tourism, summarizes the methodological foundations of the study of ethno tourism. In this research mathematical and economic analyze methods were used. According to the result of research by creation of ethno villages everyone can personally see the traditional housing and household buildings, local residents in national costumes, participate in traditional celebrations, try dishes of national cuisine and buy traditional items as souvenirs. Development of business projects in the field of ethno tourism is an excellent opportunity to explore the history of amateurs and scholars, and in addition, find out about their own roots.

**Keywords:** business projects, ethnic villages, financial support, culture.

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The most inherent trends in the development of tourism today can be attributed to the growth of the diversity of tourist destinations, and in addition, an increase in the range of tourism products. Such types of tourism as MICE tourism, eco-tourism, cognitive tourism and rural tourism, etc., are becoming the most common. Each type of tourism is also a model of interethnic relations, thus, almost every type of tourism contains components of ethno-tourism.

Nowadays, a special interest in traditional ethnic culture can be traced throughout modern society. This interest in ethnic culture finds expression not only in the scientific field, but also in everyday life: furniture and music in the ethno style, the traditional cuisine of various nations is becoming more and more widespread. All sorts of national celebrations, festivals, rituals, traditional games gain popularity.

According to this, some authors tried to describe ethno tourism. For example, M. Orlova in the thesis abstract «Ethno tourism resources of the region: the socio–geographical assessment» gives the following definition: ethno tourism is subspecies of cognitive tourism targeted to familiarize with material and spiritual culture of a particular ethnic group living now or lived in the territory in the past [1]. Analyze of this definition shows only one and surface concept of ethno

tourism.

The concept of ethno tourism is also presented in the foreign literature, where it is often referred to as tourism, providing visits to isolated communities in order to familiarize with their unique cultural characteristics, continuing for a thousand years.

For example, an Australian researcher G. Moscardo considers ethno tourism as the one which provides access to small, often isolated aboriginal communities, enabling visitors to get acquainted with other cultures by «first hand» [2]. According to this definition, it's clear that these communities may include, for example, First Nations and the United States, the Australian Aborigines, the Maori of New Zealand, South African Bushmen tribes Indonesia. In this case, it is noticeable that there is a close relationship between ethno and exotic tourism.

According to these definitions and today's position of ethno tourism, this type of tourism can be considered as a cultural–cognitive form of tourism is compatible with many other species – for example, extreme sports, consumer, environmental, historical, rural tourism.

In the framework of the State Program for the Development of the Tourism Industry of the Republic of Kazakhstan for 2019-2025, ethno-tourism is included in the list of priority areas for the development of the country's economy [3].

The positive experience in developing of tourism industry through state support in some countries such as Turkey, Malaysia, Thailand and the UAE considers as an example of the most effective tourism development strategy and demonstrates that the development of this industry has a positive effect on all sectors of the country's economy.

Today, one of the priority areas for stimulating an increase in the flow of tourists to the country is the creation of tourist centers that can satisfy the needs of tourists in learning and relaxing. So, one of the directions of the formation and development of such centers may be the creation of the ethnic village «Ethno-land».

Recently, there has been a change in consumer preferences of tourists. Whereas in the mid-2000s, the main priorities of tourist activity were the consumption of tours, which included mainly passive relaxation (3 S: sun, sand, sea and other types of recreation), today tourists in most cases are interested in educational tours that can immerse the tourist in the culture and life of the local population [4]. In addition, it should be noted that in recent years the theory of nomadism has become widespread in the world, which has activated foreign tourists to acquire tourist packages to countries with nomadic traditions.

According to Ruhani Zhangyru program, one of the directions of development Kazakhstan tourist product based on the maximization of tourist arrivals is creation of ethno villages in the regions. Given the fact that Kazakhstan is a multinational country where live representatives from more than 130 ethnic groups, these ethnic villages can be multinational in nature and, thus, form the basis for an increase in tourist flow, from both domestic and foreign visitors [5].

In addition, the relevance of this direction is due to the fact that the implementation of this project has social and economic significance both for the regions and for the Republic as a whole. Thus, a situational analysis of the development of tourism in foreign countries as part of the study showed that the ethnocultural direction of tourism, today, is one of the priorities and forms the natural foundations of a favorable tourist image of the country, and also defines completely new prerequisites for the development of tourism and socio-economic relations in the system of both regional and national economies.

According to Tugan Zher program, as the main territorial unit for creating the project, it's possible to envisage the territory of the Karagandy region, Ulytau [6].

The concept of the project includes elements of cultural tradition of people living in the Republic of Kazakhstan. So, the ethnic units formed as part of the cultural and historical identification of the people of Kazakhstan will act as the main units for the provision of services.

On the territory of the ethnic village, it is planned to arrange some ethnic sites located along

the central square and aimed at promoting the cultural, historical and other values of different peoples.

The ethnic site “Kazakh Auy” is a Kazakh felt yurts that will clearly show the life of the Kazakh people.

In addition, a number of educational and entertainment centers are planned to be created on the project territory as part of the promotion of attendance. So, a museum of the people of Kazakhstan will be created on the central square, including compositions of art and other activities.

In the northern part there will be entertainment facilities, as well as centers of active tourism. Thus, the project provides for the creation in the territory of an artificial reservoir with fish of the cyprinid family, which will increase the demand for ethnic village services from tourists aimed at weekend breaks. In addition, in this part the creation of a golf course and a recreation area is planned, which will attract tourists involved in business tours.

In the framework of supporting the development of the ideas of the green economy and increasing its environmental friendliness, it's possible to envisage the electrification of elements of the ethnic village due to the capacity of windmills. The installation of 4 mills will quite freely cover the electricity demand of the ethnic village. It is worth noting that the wind rose of this territory allows the use of windmills in the framework of operational standards.

This project is focused on providing the following types of services:

- organization and conduct of business events of an international, republican, and regional nature with the placement of participants in accommodation facilities located on ethnic sites in the form of national structures. Ethno-Land could be an excellent venue for meetings and the development of business cooperation while involving guests in the process of understanding the cultural and historical values of the peoples of Kazakhstan;

- the provision of services in the field of organization of festive events of the people of Kazakhstan. Each ethnic group living on the territory of Kazakhstan is a particle and conductor of cultural values of a separate larger nation, which has its own way and its own philosophy of knowing the world. Ethnic sections provided for on the territory of the ethnic village can be widely involved in the process of celebrating individual festive events of each nation. So, the territory of the Kazakh village can be involved in the celebration of Nauryz and other Kazakh holidays with the appropriate design and implementation of historical traditional customs. Representatives of the Assembly of the People of Kazakhstan may be involved in the process of organizing and conducting these events, where representatives of various ethnic groups of Kazakhstan are accumulated and are able to widely use the media and other sources of information promotion;

- Recreation and relaxation. Clean air, providing various services in the village. Rest from the bustle of the city. Recovery of emotional and psychological powers.

In general, the cost of the project is estimated at 2 384 350 260 tenge, where the main share of expenses falls to the share of private investors - 71.8% of all expenses, which will allow developing public-private partnership mechanisms in the Karagandy region. This cost was constructed according to the budget of the Karagandy region and based on the method of economic calculation and impact of tourism research (table 1, 2) [7].

The main expected effects from the implementation of the project include following:

- development of small and medium-sized businesses;
- preservation and popularization of cultural heritage, by offering visitors cultural and entertainment programs with the effect of cultural immersion;
- creation of new working areas in tourism industry;
- meeting the needs of tourists.
- helps strengthen peace and international harmony.

The development of social technologies: creating real comfortable conditions for tourists; raising social status and improving the quality of life of the population through their active

involvement in the development of entrepreneurship, agriculture, tourism and the social sphere. Territory economic development: creation of new jobs; conditions for the development of a new business; influx of tourists; attraction of investments; influx of new resources and ideas; budgetary effect for the territory. Communication Development: Improving Economic and Cultural Relations.

According to the State Program for the Development of the Tourism Industry of the Republic of Kazakhstan for 2019-2025, the total expenses foreseen from the republican budget for the implementation of the Program in 2019-2025 will amount to 1,385,695.8 million tenge (the republican budget -268,291.8 million tenge, the local budget - 172,167.9 million tenge , other sources - 945,236.2 million tenge) [3]. Based on the above data issues of financial support for the project and its profitability special project budget and coefficient was proposed. It is assumed that the proposed project will be created on the basis of public-private partnership, where the costs of the allocation of land and its arrangement will be financed from the regional budget of the Karagandy region, and the construction of entertainment facilities for cultural centers and ethnic yards at the expense of private investors.

Table 1

**The structure of the main costs for the creation of ethno villages**

Name	At the expense of the regional budget of Karagandy region, (mln. tenge)	By attracting investors (mln. tenge)	Total cost (tenge)
1	2	3	4
Architectural design and discussion in the regional maslikhat	5 400 000		5 400 000
Allocation of a land plot of 130 hectares and its improvement, equipping engineering and communication networks	450 000 000		450 000 000
Landscaping concept development	3 000 000		3 000 000
Construction and improvement of ethnic sites of the Kazakh village		94 500 000	94 500 000
Construction and improvement of ethnic sites «Zhoshy Khan»		160 000 000	160 000 000
Construction and improvement of ethnic sites of the Jezkiik		155 000 000	155 000 000



Construction and improvement of ethnic sections of the Kazakh		116 000 000	116 000 000
Construction and improvement of ethnic sites of some ethnic sites		109 000 000	109 000 000
Creation of other ethnic sites (in total, another 5 units of ethnic sites of mixed culture)		670 000 000	670 000 000
Construction of the Museum of the Assembly of the People of Kazakhstan	63 000 000	30 000 000	93 000 000
Construction of modern shopping and entertainment centers with elements of national color located in the ethnic village of ethnic groups (in the shopping center will be organized points of sale of national craft products of existing ethnic groups in the country)		157 000 000	157 000 000
Creation of fishing and active tourism zones		62 000 000	62 000 000
Creation of parking areas and landscaping for camping tourism		9 450 000	9 450 000
Arrangement of the central square of ethnic villages with elements of national and state symbols	15 000 260		15 000 260
Installation of wind power plants with a rated power of 25 kW	20 000 000		20 000 000
Other operating expenses	125 000 000	140 000 000	265 000 000
Total	681400260	1702950000	2384350260

According to information given in Table 1, installation and equipping of 1 yurt is 5 200 000 tenge. There is expected the installation of 12 yurts (62 400 000 tenge). Engineering, communal, landscape design and land improvement for the life of the Kazakh village - 32 100 000 tenge. Total - 94 500 000 tenge.

It is assumed that the main sources of income will be the rental of conference rooms, entertainment and sports venues, retail premises, contributions from ethnic sites, as well as the sale of entrance tickets at a price of 2500 tenge.

Considering that the ethnic village will be located in close proximity to the Nur-Sultan-Zhezkazgan highway autobahn, the average number of visits to the ethnic village under the neutral scenario will be an average of 2000 units.

Table 2

**Operating costs of the administration of ethnic villages**

Name	Name Cost, tenge
A set of utilities (water, heat, garbage collection, etc.)	5 200 000
Security services in the territory of ethnic villages, including fire safety	3 120 000
Salary of staff (20 people, including administrations and technical staff)	18 215 000
Costs of maintaining the activities of objects located in the ethno-village	3 071 000
Organization and placement of outdoor advertising and information support	2 231 000
Annual gardening and improvement of public sites	817 000
Total	3 265 4000

It is assumed that the main sources of income will be the rental of conference rooms, entertainment and sports venues, retail premises, contributions from ethnic sites, as well as the sale of entrance tickets at a price of 2000 tenge.

According to [3] to increase the investment attractiveness of priority tourist areas for participants and implementing priority investment projects in the field of tourism, investment preferences will be provided. This project meets the requirements of program. On the basis of this, local executive bodies and private business will agree to invest in this project, as it provides for the following investment promotion mechanisms:

- state in-kind grants (land plots),
- tax preferences, including:
- 100% reduction in the amount of calculated corporate income tax;
- applying the coefficient 0 to land tax rates;
- calculation of property tax at a rate of 0% of the tax base;
- and providing concessional long-term lending / financial leasing

It is worth noting that the presented data of a pessimistic and neutral forecast of expected revenue determine only the minimum threshold value and are based on the transit movements of motorists traveling along the Nur-Sultan-Zhezkazgan highway, and also do not take into account changes associated with an increase in the flow of tourists from foreign countries to the Republic of Kazakhstan, the possibility targeted visits to ethnic villages by tourists from other regions, which can positively affect the total revenue.

Participants of the this tour will get acquainted with the history and culture of the Kazakh ethnic group, plunge into the life of nomadic peoples and gain skills in manufacturing tools and

hunting.

The presented route can be offered year-round, but the best time to visit it is the season from spring to autumn.

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### **Қазақстанда этнотуризм саласындағы бизнес-жобалар - туристік беделділікті арттыру мен мәдени мұраны қорғаудың бағыты**

**Аңдатпа.** Берілген тақырыптың қазіргі уақытта өте өзекті болуы - Қазақстан Республикасында этнотуризмнің дамуы қазақстандықтар мен шетелдік саяхатшылар үшін үлкен маңыздылыққа ие. Мақаланың мақсаты - этнотуризм саласындағы бизнес-жобаларды туристік тартымдылықты арттыру және Қазақстанның мәдени мұрасын сақтау бағыттарының бірі ретінде қарастыру болып табылады.

Сонымен қатар, этнотуризм әртүрлі этностардың дәстүрлері мен мәдениетін кітаптан немесе теледидар бағдарламасынан емес, тікелей олардың ортасына ену арқылы танып-білуге мүмкіндік беретіндіктен, танымалдылыққа ие болды. Этнотуризм және оның тұжырымдамалық негіздері саласындағы теориялық және әдістемелік зерттеулердің әлсіз деңгейі өзекті мәселе болып табылады. Мақалада этнотуризмді зерттеудің әдіснамалық тәсілдемелері мен негіздері қарастырылған. Бұл зерттеу жұмысында математикалық және экономикалық талдау әдістері қолданылды.

Осы зерттеудің нәтижесінде турист жергілікті тұрғындардың дәстүрлі тұрғын-үй және тұрмыстық жағдайымен танысып қана қоймай, дәстүрлі іс-шараларға, мерекелерге қатыса алады, ұлттық тағамдардан дәм татып, кәдесый ретінде тұрмыстық заттарды сатып алуы мүмкін. Сондай-ақ, этнотуризм саласындағы бизнес-жобалардың дамуы әуесқойлар мен ғалымдарға тарих пен олардың түпкі тамырларын зерттеуге тамаша мүмкіндік береді.

**Түйін сөздер:** бизнес-жобалар, этноауыл, қаржылық қолдау, мәдениет.

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### **Бизнес-проекты в сфере этнотуризма как направление повышения туристской привлекательности и сохранения культурного наследия Казахстана**

**Аннотация.** Данная тема является актуальной, так как в настоящее время развитие этнотуризма в Республике Казахстан представляет интерес как для казахстанцев, так и для иностранных путешественников. Цель данной статьи - рассмотреть бизнес-проекты в сфере этнотуризма как одно из направлений повышения туристской привлекательности и сохранения культурного наследия Казахстана.

В современном мире этнотуризм обретает особенную популярность в связи с тем, что он дает возможность ознакомиться с традициями и культурой разных этносов не из книг или телепередач, а напрямую - посредством погружения в среду. Слабый уровень теоретических и методологических исследований в области этнотуризма и его концептуальных основ является актуальной проблемой. В статье рассматриваются методологические подходы к изучению этнотуризма, обобщаются методологические основы изучения этнотуризма. В исследовании были использованы методы математического и экономического анализа. Согласно результатам исследования, развитие этнотуризма даст возможность для туристов познакомиться с местными жителями, увидеть традиционные жилищные и хозяйственные сооружения, национальные наряды, поучаствовать в традиционных торжествах, попробовать блюда национальной кухни и приобрести предметы традиционного обихода в качестве сувениров. Также развитие бизнес-проектов в сфере этнотуризма предоставляет прекрасную возможность для изучения истории научным работникам и любителям.

**Ключевые слова:** бизнес-проекты, этнические деревни, финансовая поддержка, культура.

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### **Assessment of Kazakhstan's tourist attractiveness for foreign visitors**

**Abstract.** The article is devoted to the implementation of Kazakhstan's tourism potential and the assessment of tourism facilities attractiveness for foreign consumers. The interrelation of tourist attractiveness of the country with the category of tourist potential, factors of tourist attractiveness are considered. It is concluded that tourist attractiveness is based on the tourism potential of the country, contributes to the growth of its competitiveness, the transformation of tourism supply into demand, is associated with various types of its assessment and is the result of the entire previous development of the republic. The article presents a study of the tastes and preferences of foreign tourists to type of tourism in Kazakhstan. Negative factors restraining the development of inbound tourism in the country are identified and recommendations are proposed to eliminate existing problems. The considered resources and tourist opportunities of Kazakhstan lead to the fact that it is appropriate to form a modern tourist product. The development of a new tourism product in Kazakhstan would be competitive in the global market for tourism services and promote to attract foreign tourists to Kazakhstan.

**Keywords:** marketing, consumers, inbound tourism, tourism potential, placements, tourist attractiveness.

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### **Introduction**

Steady economic growth of our country, increasing prosperity, increasing free time of the population and strengthening the relationship in all areas of activity have significantly expanded the geography of travel, increased the volume of tourist exchange.

Starting from the end of the past century, Kazakhstan often becomes a participant in the international relations, also in the matters concerning tourism. The questions of tourism potential realization in our country as a whole and in particular are in a very hot discussion. Nowadays, the tourism complex of other regions of the country are in great demand, mostly, by Kazakhstani tourists, and in less demand by foreign visitors, that is mainly due to the poor awareness of potential customers. It should be noted, that the attitude of foreign visitors to Kazakhstan is improving every year. The potential of our market is huge and that's why it is important to introduce attractive tourism products to our citizens of the country as well as to foreign tourists.

The aim of research is the assessment of tourism attractiveness of the country to increase its competitiveness, also draw out the factors which influence on tourism attractiveness.

### **The tasks**

The following tasks were set to reach the aim of research:

- 1) To highlight theoretical approach and instruments, which help to assess the degree of tourism attractiveness;
- 2) To define the specific elements of domestic tourism attractiveness to attract tourists and investors;
- 3) To suggest the system of participants interaction of tourism market on the basis of functioning tourism informational-coordination center with client-oriented base for country positioning in tourism market.

As it was mentioned in N.A.Nazarbaev's message, the President of RK, in 2019, "the growth

of well-being of Kazakhstani people: the increase of income and quality of life”, “the success of commercial activity in tourism market is defined, first of all, by tourism product attractiveness”[1].

Kazakhstan, having rich tourism-recreational potential, is characterized by low level of tourism development. Its GDP share (only services on living and food) amounts to 0.9%. In 2017, the volume of income from tourism activity made up 236.4 bln.tenge, that is 2 bigger than in 2010 (126.5 blntenge). The employment number in this field is 103.6 thousand people. The paid taxes and other obligatory payments from tourism activity into the budget of the republic amounts to 11.0 bln.tenge in 2017. In 2018 there were 2031 tourism organizations, 2754 places with capacity 138 062 beds, that is 16.6% bigger the index of the previous year.

According to the country of origin: non-residents-24.3% residents of the Russian Federation, from Uzbekistan-37.7%, the People’s republic of China-1.8%, the USA-0.4%, Turkey-3.4%, Germany-2.4%, Italy-1.3%, and other countries -27.8% (Table1).

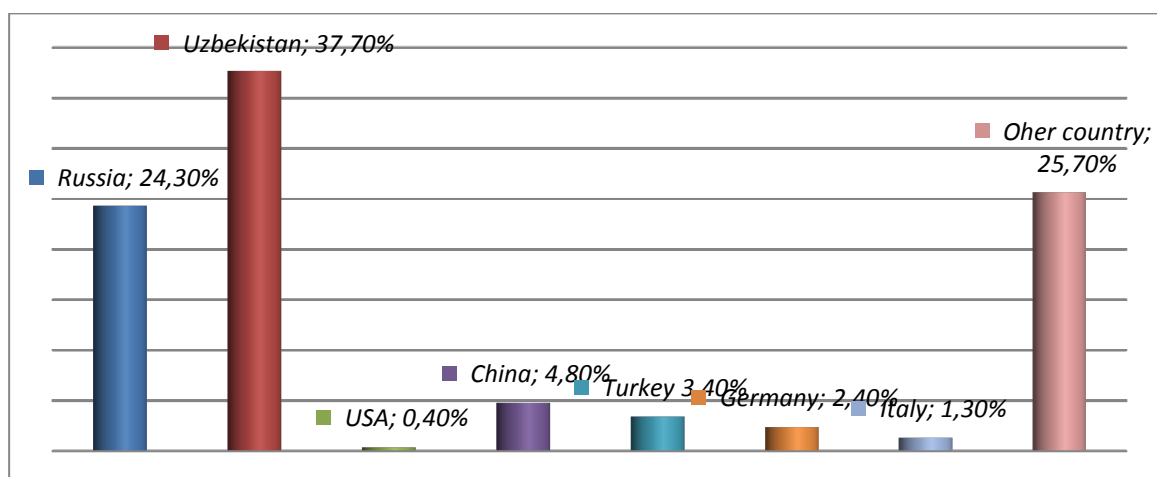


Table 1- The structure of visitors according to countries in 2018

If we consider according to the purpose of the visit, we can note the following: business and professional- 54.1%, vacation and holiday-45.6%, other purposes-0.3%, in 2013 the structure of the visit aim was in the following way:business and professional-60.0%, vacation and holiday-33.7%, visiting friends and relatives-3.7%, religion and pilgrimage-0.4%, treatment and recreational procedures-0.4%, shopping-0.4%, and other purposes-1.4%. It is interesting that, in comparison with foreign visitors Kazakhstani people travelled with the aim to rest and spend vacations (51.7%), as for non-residents, they had business and professional aim (81.7%) (Table 2).

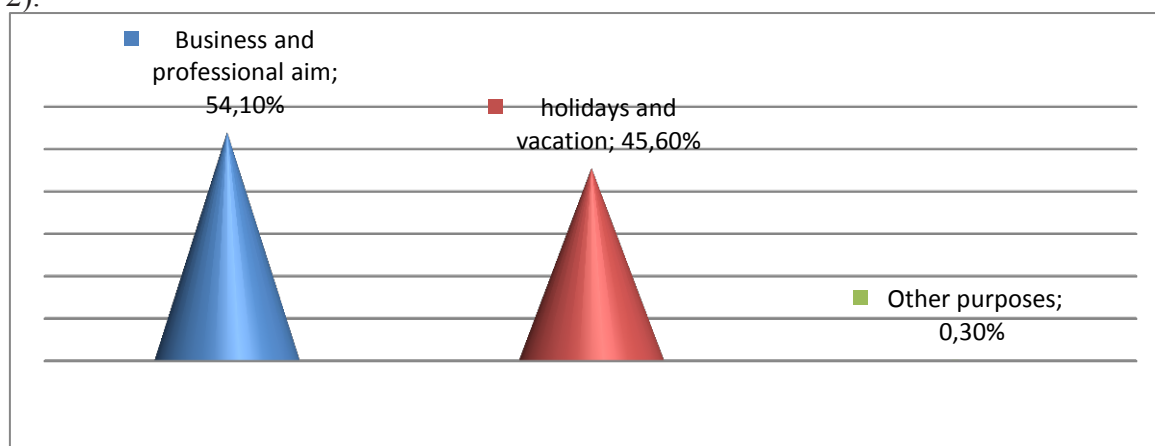


Table 2- The structure of served visitors according to the aim of their visit in 2018

So, tourism in Kazakhstan mainly is based on local people, also on non-residents' business and professional aims.

The total number of all foreign visitors who visited Kazakhstan in 2018 is 6509.4 thousand people, that is 1.2% bigger than in 2017. The big number of foreign visitors were mostly from three neighboring countries as: Uzbekistan (37.8%), Russia (24.4%), and Kirgizstan (20.7%).

The main aims of the visit were private visits (75.4%), business travel(16.2%),tourism –less than 1% (Table 3).

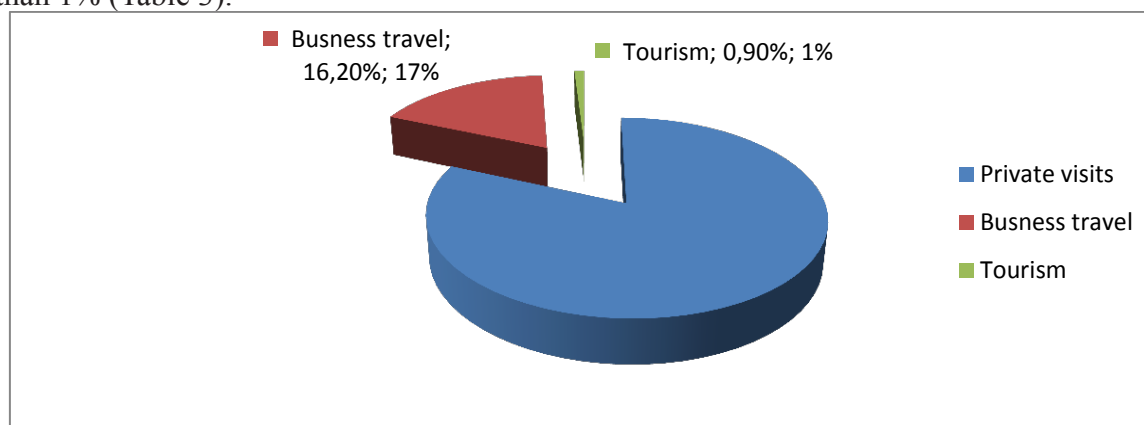


Table 3- The proportion of foreign residents who visited RK in 2018

Many foreign visitors who come to Kazakhstan stay in friends' or relatives' houses, pass by transit or with one day visit (one day visitors).

Analyzing the official information of Statistics Committee of the Ministry of National Economy of RK for the 1st half period of 2019, we can say that, the number of tourists increased, international tourism for 3.7% in a year, up to 4.64 mln. people, inbound and domestic tourism for 20.5%, up to 3.56mln.people, and for 9.3%, up to 2.26mln.people [6].

The placement of people in the 1st half of 2019 were 415.3 thousand foreign tourists, that is 28.4% higher than the previous year and 1.76 million domestic tourists, exactly in 2019rose up to 16.9% in comparison with 2018. The increase of tourism flow is connected with the exhibition pavilion EXPO-2017 in summer time which was of course a magnet for tourism. The total number of people's visit of all exhibition rooms during its working day amounted to 29.14million people.

It should be noted that, in 2016 the first group of Chinese tourists, visited Kazakhstan and they were the main moving force in developing the world tourism. 2017 is the year of Chinese tourism in Kazakhstan. By the way, the tourists from the East are technologically highly developed and to show them the qualitative service, it is necessary for our domestic tourism market to take actively modern technological solution to satisfy their needs.

### **Methods of investigation**

The marketing research of tourism service market create the basis for effective use of territorial potential of the country, so as the marketing research in tourism is directed not only to the investigation of demand and defining their potential clients but also to the formation of demand taking account the development and use of existing tourism potential of definite territories.

### **Results of investigation**

The marketing research has been done to assess tourism attractiveness in Kazakhstan. On the basis of research, segments of foreign consumers on socio-demographic factors were defined in the following way: English people-10% from all tourist flow of Kazakhstan, age from 35 to 54, with secondary and higher education, families-26%; second group-Korean people make up 8 %,

age from 25-to 54, with higher education, 39%- married couples: the 3rd group is- French people make up 6%, age from 25 to 54, with secondary and higher education, 24%-married couples, the 4th group is- German people, aged from 35 to 54, secondary and higher education, 24%- married couples, the 5th group is- Japanese people make up 1%, aged from 45 to 65, higher education, 10% married couple.

The consumer preferences of foreign tourists on the basis of market research are suggested in Table 4.

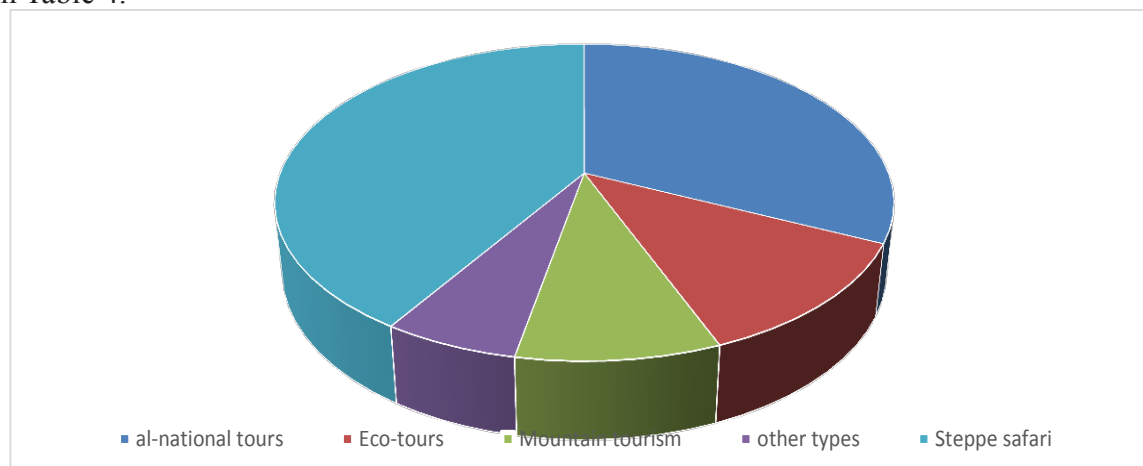


Table 4- Foreign tourists' preferences on types of tourism in Kazakhstan

As we can see from the given data, the steppe safari is in great demand among foreign consumers, exactly driving on Jeep in the steppe and national hunting. There are 20 landscape zones in Kazakhstan, with salt and fresh water lakes in the steppe, according to this type of tourism. The following conclusions were made on the basis of analysis of second data: There are all necessary resources and infrastructure in Kazakhstan to attract foreign tourists. Taking into account the scale of foreign tourists' interests to the type of tourism, we can conclude that, there are all resources for the most popular steppe safari tourism in Kazakhstan, but at the same time we can observe the low level of infrastructure development. Despite the lack of infrastructure, the organization of travel and attraction of foreign tourists are possible, because it doesn't require big financial contribution.

Cultural-educational tourism, which is presented by Kazakh national culture, tradition and mentality takes the second place. It is popular in the context of interest among European and American tourists. The 7 zones are picked out for this type of tourism which include the Silk way path, the nomad's culture, more than 9 thousand historical monuments, among them the mausoleum of "Hodja-Akhmet Yassaui", "Aisha-Bibi", "Babadja-Khatun", "Karakhan", "Davutbek", the mysterious town "Akyrtas", underground mosque Beket-ata. Most of the historical monuments of Kazakhstan were restored and are being restored [3, туризм 130].

The part of the Great silk way attracts foreign tourists attention: tourists can immerse into the atmosphere of ancient battles, pass through the ways of middle age period batyrs, to see the ruins of ancient cities, mausoleums, famous for all the steppe the bathhouse of the city Otyrar, a lot of monuments of Stone age, petroglyphs, to take part in excavation. The basis for the development of the above mentioned tourism can be national yurta cities, restored and revived traditions.

The ecological tours are in the third place in the rate among foreign tourists, so as there are attractive natural resources and reserved places in Kazakhstan. Ecological tourism is one of the low-cost and attractive type of tourism. Kazakhstan has beautiful and attractive nature, flora and fauna. Ecological tourism in Kazakhstan gives an opportunity for tourists to see the natural environment, natural monuments and sightseeing, to observe birds and animals, suggests unity

with nature.

It is suggested 900 attractive routes on national reserved places and parks, “bird’s paradise” in reserved places, a special attention is given to Korgalzhyn reserve [5]. Foreign tourists have the opportunity to observe rare and endangered species of animals, such as snow leopard, Tyan-Shan bear, karakal, lynx, jeyran, and many others.

Mountainhiking also develops in Kazakhstan: the formation and building of ski base have begun. There are 20 mountain zones, presented by such mountains as Medeo, Chymbulak, Tabagan, Ak-Bulak and Kazakhstan mountains Alatau, Tyan-Shan.

Except mountain hiking extreme, sports and adrenaline type of tourism attracts foreign tourists. Beach tourism in Caspian sea, Alakol. Balkhash, Bukhtarmyn reservoir is perspective tourism in Kazakhstan. The rafting tourism has also started to function (for example, along the river Katun, or Ile river), and the mountain routes, presented in interesting places and travelling by mountain bikes. Besides, there is a tour with helicopter, paraglider, flying with parachute(aerodrome Baiserke), non-standard games.

Foreign tourists show their interest to Aral sea, the visit gives you opportunity to see unusual landscape: dead seaport, huge ship cemetery, salt valleys. Tour to Baikonur is also interesting, living in the hotels for cosmonauts, to see the start point of legendary spaceship, their models, and to be in the launch of new spaceship.

### **Conclusion**

The analyzed resources and tourist opportunities of Kazakhstan, it would be purposeful to form a modern tourism product. The important component of tourism services market optimization would be to work out a new tourism product of Kazakhstan which will be competitive in the world market of tourism products and conquer the foreign tourist segment for its attraction to Kazakhstan. The following points are outlines as necessary components of a new tourism product:

- use of natural resources of Kazakhstan with benefit to the country and as a less cost segment of tourist product;
- use of historical, cultural, architectural sights which can attract tourists and motivate them to travel, with further use of tourist income for their development and support;
- use of international level equipment (means of accommodation for tourists, restaurant equipment for holidays, sport equipment, etc);
- the transport opportunities, which depend on fashion for different types of transport used by tourists;

The specific peculiarities of tourist products are:

- complex system of interrelation between different material and non-material component of services;
- extreme elastic demand related to the level of income and price, depending on political and social conditions;
- consumption in most cases occur directly in the place of tourism services;
- the existing distance separating consumer from the product and the place of consumption;
- depending on transfer of time and place;
- inflexible production;
- influence of external factors, having force majeure character (weather, nature conditions, policy in tourism field, international affairs, etc).

To introduce competitive national tourism product, it is necessary to take into account its specifics and form it with the unique opportunities of tourism space of the republic, exactly:

- cultural-historical space is rich for different historical- cultural objects: historical monuments, cultural and architectural monuments, including museums, theatres, exhibition centers, parks, reserved zones and etc;



- the natural tourism spaces practically are preserved well and attract tourists with their natural tourist resources giving opportunity to go in for active sport, to contact with virgin nature, and less changed natural landscape. Such type of places are: national parks, reserved places and other nature preservation territories;

- ethnical space- are places where all values of the nation are gathered together and they are connected with concrete historical phenomenon;

It is impossible to create attractive image with the help of country's resources, the whole complex is required here, namely, developed infrastructure, consecutive state policy, different programs and excursions [4, p 268].

Also, while developing the strategy of tourism development, it is necessary to assess negative factors and give recommendations to eliminate existing problems, which can be the followings:

- the high level of risk for tourists- Kazakhstan belongs to unsafe regions. In order to form positive image, it is necessary to promote new associative images of this territory through mass media, to inform positive interesting news, to advertise actively the country abroad.

- Lack of qualified staff- the number of qualified working staff in this sphere is limited.

It is necessary to develop professional-tourism education in the republic to solve the staff problem, also on the basis of advanced experience and international cooperation.

- Ineffective tax policy- tax offices require illegal payments from businessmen, postpones the refund, VAT, taxes for industries. In the given context it is necessary to modify tax policy of the country, particularly in the sphere of improving special tax regimes and optimization of all tax policy in general;

- Limited transport opportunities—limited choice of airlines, inconvenient airline schedules, high price for air tickets, difficult rules to get a visa. It is required to take serious political and economic steps directed to the development of railway transport, building qualitative motorways and all road infrastructures. Today, the development of inbound tourism is a positive factor of steady economic growth of the republic. The formation of developed tourism infrastructure has positive influence on all economic complex of the country, as the growth of inbound tourism flow provides income from such branches as: transport, trade, building, communication and etc. The importance of tourism as one of the priority sphere of national economy proves the fact that, the number of foreign tourists who visited Kazakhstan increased for the last 7 years[3, p127]

The big increase of tourist flow can be observed in Almaty, Astana and the western part of Kazakhstan, where business activities are high.

The development of inbound tourism and indicators of its competitiveness in the country, mostly depend on the following factors as:

- The economy development level of the country;
- Availability of tourism resources;
- Visa system for foreign tourists;
- Development of tourism product and services sphere;
- Product improvement in tourist destinations;
- Transport condition and infrastructure;
- The state policy in tourism sphere;
- Effective marketing.

Tourism as many other participants deal with digital technology, as the shortest and more effective way to their clients. The digital promotion is very important in tourism sphere, as the final consumers can be thousand kilometers away from the route of their travel. Nowadays 3.5 billion people have internet access. People of different age groups, different income and social status belong to this figure. Before mainly young people used internet, but now many people even adult and old people use it, especially abroad everyday people use social media and use internet to search information. It is necessary to pay attention to the digital marketing. It is planned to make

digitalization of domestic sacred places, in fulfilling the tasks on digitalization set by the head of the State in the Message to the people of Kazakhstan. Large number of sacred objects are in distant places. That's why we should stimulate the people to attend these places by using new technologies, gamification elements, quests.

It is planned to work out a mobile apps implementing "inter game currency", tourists will get coins for visiting objects in sacred places. As a result, they can change them for goods and services of our partners- for example, upgrade-air tickets, paying the part of the goods, bonuses and etc. the tourists can get titles and status if they attend many places.

3D technology elements and additional reality will be used in the apps, which will help to recreate the models of architectural monuments and sacred objects and to be in the recreated models of the object. All of them will be accompanied by big social advertising campaign, motivate people to travel in the country.

It is important to note, that there are tourist information stalls in each oblast center. Also the development of mobile app for gadgets with the opportunity to read the QR code from tourism objects is being carried out at the same time (on operational system ios and android) synchronizing the interface of the portal.

Tourism geo-portal is created in Kazakhstan in the frame of digitalization project- large-scale guideline of sightseeing, sacred places of the oblast, tourist routes. It will show not only the beautiful description and photo, but also modern technologies of geo-location, with added reality, 3D description, booking and etc. In other words a potential tourist can plan his holiday from scratch with the help of tourist geo-portal. The development of international tourism is becoming one of the perspective and priority tasks for Kazakhstan. The questions of competitiveness in the given sphere is actualized by governmental solutions.

On the basis of results of analyzing the formation and development of tourism market, all existing strategies to promote tourism product should be joined into the following direction: the strategy of steady development as important instrument to reach the aim of developing the territory without exhaustion natural and cultural resources and without damaging the environment; the strategy of developing unique historical-cultural and natural territories; the strategy of choosing tourism, based on concrete defining of new perspective market and rapid development of resorts in this market, also the development of necessary infrastructure.

So, the main aim of tourism activity is the creation of competitive tourism industry to provide employment, steady growth of state and people's income by increasing the inbound and domestic tourism. It is necessary to do the following tasks to reach this aim: the tourism infrastructure development, creation of state regulation effective mechanism and tourism support; formation of attractive tourism image of the country; raising tourist potential, formation of zones with recreational and economic specialization.

It is planned to create the national company "Kazakhtourism" for professional management of tourism brand of Kazakhstan, the duties of which will be not only attraction of inbound and domestic tourists, but also motivation of flow of internal and external investments into tourism industry. The attraction of strategic investors who have successful experience in creating tourist clusters, are laid in the nation's plan- that is 57th among the 100 concrete steps[2]. This conception will help to increase the share of tourism in the structure of GDP up to 8% till 2025 and provide 100% growth of inbound tourism in the country. EXPO showed that the development of tourism has positive effect. The exhibition positively influenced on all the sectors of economy.

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## Шетелдік келушілер үшін Қазақстанның туристік тартымдылығын бағалау

**Аңдатпа.** Мақала Қазақстанның туристік әлеуетін жүзеге асыру және шетелдік тұтынушылар үшін туризм нысандарының тартымдылығын бағалау мәселелеріне арналған. Туристік әлеует категориясымен елдің туристік тартымдылығының өзара байланысы, туристік тартымдылық факторлары қарастырылады. Туристік тартымдылық елдің туристік әлеуетіне негізделеді, оның бәсекеге қабілеттілігінің өсуіне, туристік ұсыныстың сұранысқа айналуына ықпал етеді, оны бағалаудың әртүрлі түрлерімен байланысты және республиканың барлық алдыңғы дамуының нәтижесі болып табылады. Мақалада Қазақстан туризмінің түрлері бойынша шетелдік туристердің талғамдары мен қалауын зерттеу келтірілген. Елде келу туризмін дамытуды тежейтін жағымсыз факторлар анықталды және бар проблемаларды жою үшін ұсынымдар ұсынылды. Қаралған ресурстар мен Қазақстанның туристік мүмкіндіктері қазіргі заманғы туристік өнімді қалыптастыру орынды екендігіне әкеледі. Қазақстанның жаңа туристік өнімін әзірлеу туристік қызметтердің Әлемдік нарығында бәсекеге қабілеттілігімен ерекшеленер еді және Қазақстанға шетелдік туристерді тартуға ықпал етер еді.

**Түйінді сөздер:** маркетинг, тұтынушылар, кіру туризмі, туристік әлеует, орналастыру орындары, туристік тартымдылық.

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### **Оценка туристской привлекательности Казахстана для иностранных посетителей**

**Аннотация.** Статья посвящена вопросам реализации туристского потенциала Казахстана и оценке привлекательности объектов туризма для иностранных потребителей. Рассматриваются взаимосвязь туристской привлекательности страны с категорией туристского потенциала, факторы туристской привлекательности. Делаются выводы о том, что туристская привлекательность базируется на туристском потенциале страны, способствует росту её конкурентоспособности, превращению туристского предложения в спрос, также она связана с различными видами её оценки и является результатом всего предыдущего развития республики. В статье приведены исследования вкусов и предпочтений иностранных туристов по видам туризма Казахстана. Определены негативные факторы, сдерживающие развитие въездного туризма в стране, и предложены рекомендации для устранения существующих проблем. Рассмотренные ресурсы и туристские возможности Казахстана подводят к тому, что целесообразно сформировать современный туристский продукт, отличающийся конкурентоспособностью на мировом рынке туристских услуг и способствующий привлечению иностранных туристов в Казахстан.

**Ключевые слова:** маркетинг, потребители, въездной туризм, туристский потенциал, места размещения, туристская привлекательность.

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«Babadzhi-Hatun», «Karahana» i «Davutbeka», zagadochnyj gorodishhe «Akyrtas», podzemnaja mechet' Beket-Ata [For this tourism, 7 zones have been allocated, which include a segment of the Great Silk Road, nomad culture, more than 9 thousand monuments, including the mausoleums of Khoja-Ahmed Yassau, Aisha-Bibi, Babaji-Khatun, Karakhan and «Davutbeka», the mysterious ancient settlement «Akyrtas», the underground mosque of Beket-Ata], Bol'shuju chast' istoricheskikh pamjatnikov Kazakhstana restavrirovali i prodolzhaют vosstanavlivat' [Most of the historical monuments of Kazakhstan have been restored and continue to be restored](Atamura, Almaty, 2010, 360 p.)

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### **Pre-conditions of forming and development of municipal tourism in Kazakhstan**

**Abstract.** Today, urban tourism is the most dynamically developing sector of the global economy, which determines the interest in this industry, both from a scientific and from a practical point of view. At the same time, the tourism market is constantly developing and expanding, which contributes to increased competition and issues of increasing the competitiveness of urban tourism. The city, of course, is the base of any tourist product, since accommodation, food and transport are always included in the package of services. Therefore, one of the promising and highly profitable types of tourism is urban tourism.

The relevance of this article lies in the development of urban tourism in modern conditions of the search for the best managerial decisions, improving the infrastructure of the city.

**Keywords:** MICE, competitiveness, urban tourism, medical tourism.

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City tourism has been recognized as a complex phenomenon for 10-15 years ago in Europe. The reason is that large cities, with a culture of intellectual potential and well-developed infrastructure, have become a complex tourist product for potential tourists. At present, city tourism is shifting to Western Europe from East Europe to the needs of all new destinations.

The urban tourism phenomenon is not just a city's tourist destination, it is used as a new quality of integrated tourist product. The consumer is under «city atmosphere» influence, that is, modern design themes, gastronomy, architecture, street movements and culture, thematic and designer hotels, etc. Today, Nur-Sultan is one of the largest and economically developed cities in the country.

According to many researchers, urban tourism is able to combine with other types of tourism. like congress, business, cultural, educational, entertainment and educational tourism. The tourism industry in the country is clearly characterized by the direction of outbound, from the years of independence of the Republic of Kazakhstan, the main products are sold out through a network of tourists. In all the program documents of the country - the Concept of development of tourism in the Republic of Kazakhstan till 2020, in the law of tourist activity the main task is an internal and inbound tourism should be the priority directions of the industry. It is important to consider that the investor is a major subject in developing city tourism but does not invest money into business or property that the investor does not profit. Of course, in this case, it's necessary to create a prestigious image of the city by promoting the city's geography, by selecting a region that will provide a favorable atmosphere for tourists and demand.

The main issue in the development of city tourism is to create a state-of-the-art system of public, tourist, and tourism business so that society cannot be actively involved and competitive in the market as it is abroad. The main purpose of the tourism policy in the country is to attract tourists, to organize their leisure time and to ensure maximum demand.

The country is full of vast, rich and touristy sites. However, the ways of development of these places according to the needs of tourists have not yet been fully implemented. Here are some of the key issues of tourist destinations that have been blocked or undeveloped:

- high prices, despite the low level of tourist infrastructure;
- disintegration of participants in the tourist market;
- insufficient development of legal and regulatory framework;

- unprecedented consumer interest, taste and behavior without public food, location, entertainment, location of historical and cultural sites.

Tourism as a basis for the economy is a major catalyst for the socio-economic and spiritual development of the state from a local point of view as a whole (Figure 1).

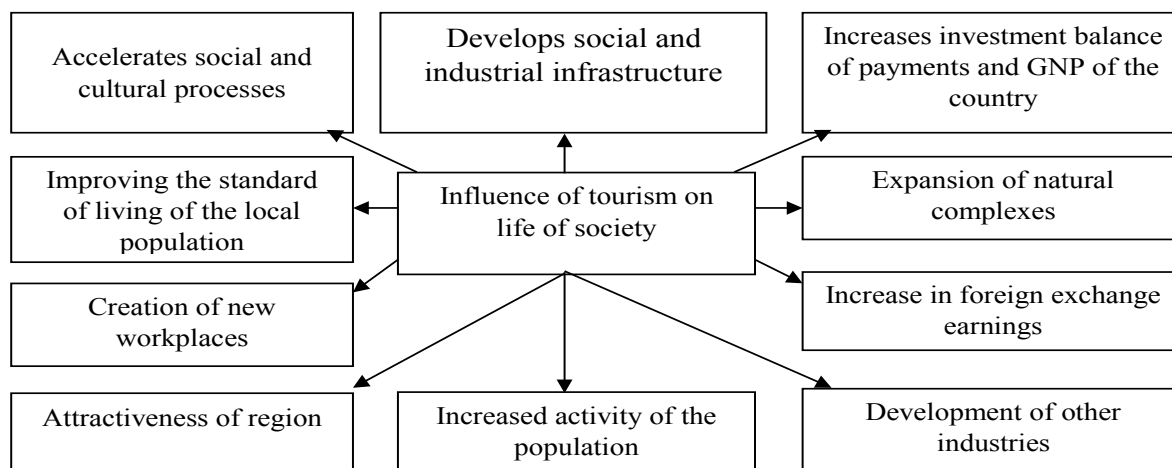


Figure 1. The role of tourism in the economy

The main goal of the country's tourism industry development is to achieve its share in GDP by about 8% by 2025 [1].

Tourist potential of Nur-Sultan located in the heart of Eurasia has considerably increased due to cultural and political events of recent years on the international scale.

In Nur-Sultan, MICE tourism, health and business tourism are developing well. Especially, the level of organization of business meetings is higher than others. For example, there are more than 130 institutions that meet the demanding nature of the event.

- City tourism – attracts great attention of domestic and foreign tourists as the capital of our country; for example, in 2017 because of EXPO-2017, more than two million tourists visited Nur-Sultan;

- There is also a great potential for the development of medical tourism in Nur-Sultan with the help of qualified trained abroad specialists and new medical equipment. At present, each medical center works to attract tourists who are in demand in the field of medicine.

- Incidental tourism – our capital focus on this since the international exhibition that took place in summer 2017. The capital was recognized as the «Best City of Business and Tourism in the CIS» after the international exhibition EXPO [2].

The picture below shows that the first 10 countries of the world, which are frequented by Nur-Sultan from other parts of the world, are the leading countries, such as Russia, Uzbekistan and Kyrgyzstan. And economically developed countries of the United States, Germany, and South Korea have been in the top ten for business trips to our capital (Figure 2).

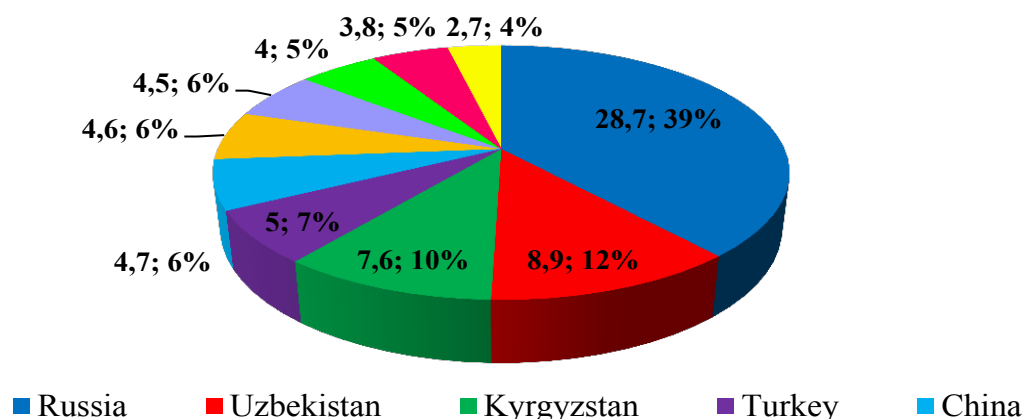


Figure 2. Tourists from ten countries travelled to the city of Nur-Sultan, thousand tourists (2018)

Residents of the capital are traveling to the UAE, Turkey and Thailand, which are well-known in the tourism market, with the quality and price of service (Figure 3). The main reason for the choice is beach tourism in Turkey and Thailand, a favorable climate, a centralized infrastructure, a variety of activities that attract the visitors to the country. In the UAE safari is embracing millions of tourists around the world. Germany, Spain, Italy are taking tourists around the world by organizing large-scale events involving historical and cultural sites and international issues.

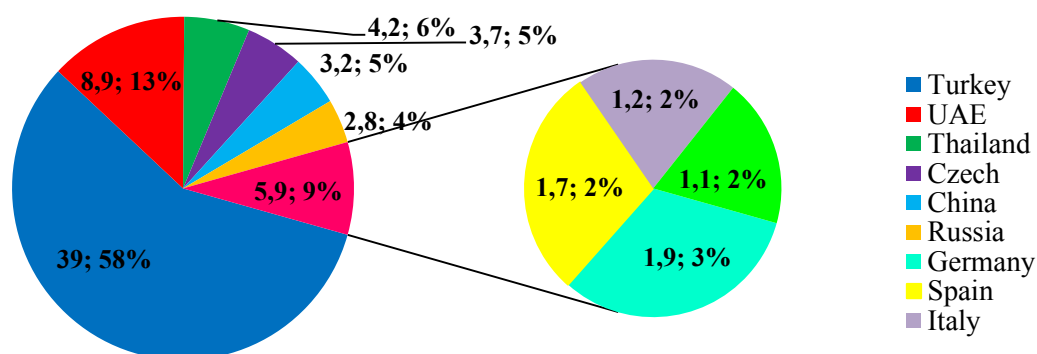


Figure 3. Ten countries, where tourists from the city of Nur-Sultan travelled, thousand tourists (2018)

As of the beginning of 2018, 360 tourist agents and 81 tour operators were officially registered in Nur-Sultan. Most of them are engaged in outbound tourism, while only 10% inbound tourism and internal tourism. Compared to 2017, the number of tourists has increased from 297 to 360 in 2018, and the number of tour operators has dropped to two [3]. Currently, the number of tour operators is increasing.

In 2018, Nur-Sultan has not been successful for the hotel industry. This is due to the fact that by 2017, the number of tourists visiting the EXPO international exhibition has been significantly higher.

For example, the number of visitors to domestic tourism (residents) in 2017 reached 695048, and by 2018 it was 575906, means the number decreased to 119142. In 2018, according to inbound tourism, 191681 tourists arrived and dropped from 294157 in 2017 to 102476 (Figure 4).

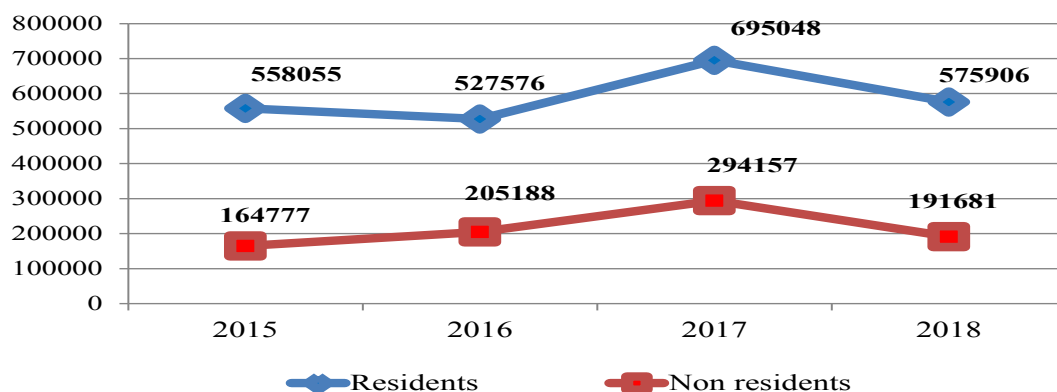


Figure 4. The number of inbound and domestic visitors who used accommodation service

The truth is that domestic tourists stayed a lot in high hotels. In other words, it is necessary to make some work for the rest of the foreign guests (to pay attention to the location of each building in the city, its elegance and history).

As shown in the diagram, the difference between 2017 and 2018 is also evident in hotels (Figure 5).

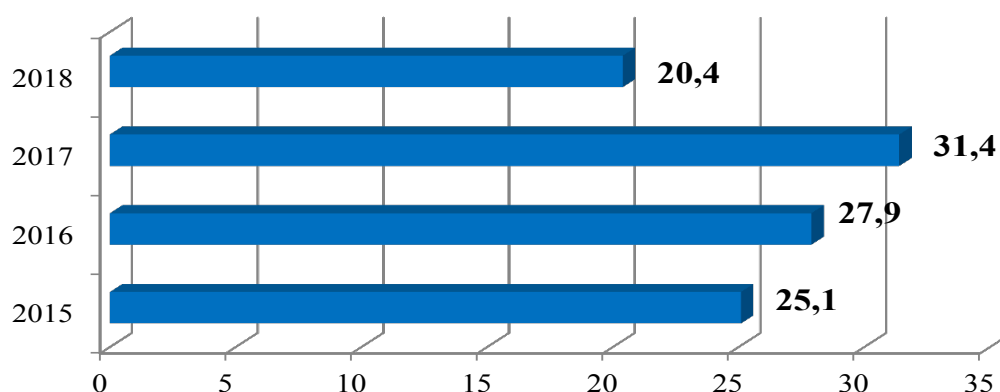


Figure 5. Filling rate of hotels (beds per day),%

As shown in the diagram, the number of hotels per day has fallen by 2018, as compared to previous years, the highest figure for this indicator is observed in 2017. So, the number of tourists visiting the city and hotel complexes are not well. It is appropriate to examine how the number of hotels in our city changes. It's noticeable in the picture below (Figure 6).

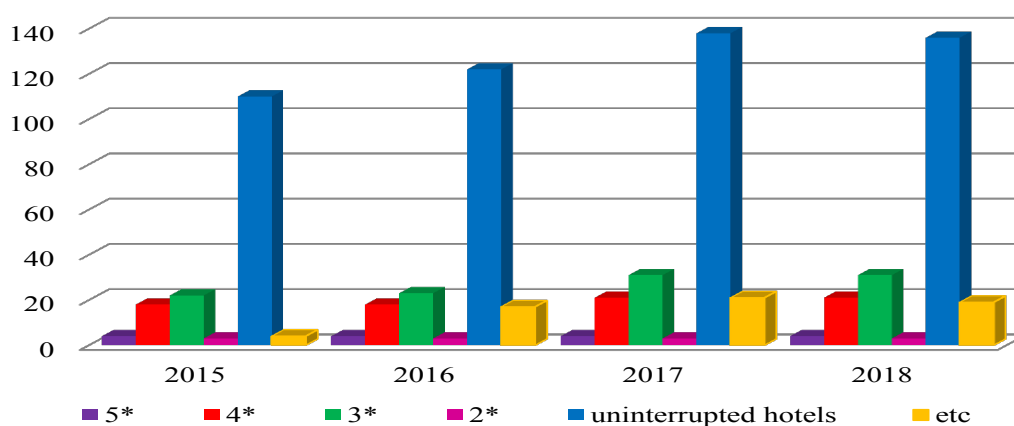


Figure 6. The number accommodation according to the categories

Changes in the categories of accommodation between 2015-2018 are quite high. For example, the number of uninterrupted hotels in the city increases every year. The number of 5-star hotels in the highest category has not changed since then, and the number is small. Only 4- and 3-star hotels are observed to have an annual increase [4].

The main tourist products of the touristic cluster «Astana – the Heart of Eurasia» – MICE and the short-term vacation included the Nur-Sultan city's «Top Ten» project of the national tourist card.

In the cluster many activities have been implemented:

- From 2006 to 2016, Nur-Sultan hosted 36 international events meeting international requirements. Budget of Nur-Sultan is 15.2 mln. 14814 international delegates were registered in US dollars.

- In 2018, in the capital there were conducted about 140 business activities with a wide range of participants from 200 to 5000 different directions.

MICE or business and SMART tourism development will enable foreign delegates to meet their needs and benefit from the organization by participating in the event, attracting investment in further growth and development of the country's market segments.

The potential of the cities to be smart and stable, and the opportunity will increase over time. In many cities around the world, regardless of their size and size of their population, the number of innovation initiatives of resident firms is rising. In recent years, cloud computing, open source software, social networks and global payment platforms have made it easier for physical resources and staff to create fewer startups.

Since its foundation as the capital of Kazakhstan in 1998, Nur-Sultan is considered as a modern, innovative city. In the revision of the sustainable development plan, the Government has also adopted a reform of promoting sustainable urban principles.

SMART is advertised as a Nur-Sultan brand, striving for smart and stable development of the capital. This is the first President of the Republic of Kazakhstan - the Leader of the Nation. Nazarbayev's order became an official political initiative after the creation of a Roadmap (Order No. 01-7.6 dated April 22, 2013 «On the necessity of elaborating an action plan for Nur-Sultan inclusion in the list of 50 SMART cities of the world») [5].

The goal is to improve the quality of life and accelerate the modernization of the Nur-Sultan infrastructure and increase the level of public safety.

It is necessary to consider the logic system called «SMART economy, SMART management, SMART life, SMART mobility, improving intelligent people and SMART environment, integrated urban modernization» in the development of city tourism and the formation of a centralized infrastructure. Development of city tourism does not only revitalize the city, but also increases the culture of the social environment, improves the quality of life, increases the number of places of employment.

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### **Қазақстанда қала туризмін қалыптастыру мен дамытудың алғышарттары**

**Аңдатпа.** Бүгінде қала туризмі әлемдік экономиканың неғұрлым қарқынды дамып келе жатқан салаларының бірі. Бұл салаға ғылыми пайымдау мен тәжірибелік көңарастан да қызығушылық бар. Қазірде туризм нарығы үнемі дамуда және кеңеюде, бұл қала туризмінің бәсекеге қабілеттілігін арттыру сұрақтарын өзектендіріледі және бәсекеге қабілетті қалыңды күшейтеді.

Өнім пакетіне: орналастыру орындары, тамақтандыру және көлік кіретіндіктен қала кез келген туристік өнімнің негізі болып табылады. Сондықтан, перспективті және жоғары табысты туризм түрлерінің бірі – қала туризмі.

Қала инфрақұрылымын жетілдіру, заманауи жағдайда мықты басқару шешімдерін іздестіруде қала туризмін дамыту мақаланың өзектілігі болып табылады.

**Түйін сөздер:** MICE, бәсекеге қабілетті, қала туризмі, медициналық туризм.

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### **Предпосылки формирования и развития городского туризма в Казахстане**

**Аннотация.** Сегодня городской туризм является наиболее динамично развивающейся отраслью мировой экономики, что предопределяет интерес к данной отрасли как с научной, так и с практической точки зрения. В то же время туристский рынок постоянно развивается и расширяется, что способствует усилению конкурентной борьбы и актуализации вопросов повышения конкурентоспособности городского туризма. Город, безусловно, является базой любого туристского продукта, так как в пакет услуг всегда входят размещение, питание и транспорт. Поэтому одним из перспективных и высокодоходных видов туризма является городской туризм.

Актуальность темы заключается в необходимости развития городского туризма в современных условиях, поиска лучших управленческих решений, совершенствования инфраструктуры города.

**Ключевые слова:** MICE, конкурентоспособность, городской туризм, медицинский туризм.

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### **Research of the State of service activity of the boarding house**

**Abstract:** The process of improving service activities in boarding houses is relevant and requires study.

Researches of the state of service activity will allow determining the reasons hindering its development and increasing its efficiency. The researches were carried out in two stages, the most significant indicators in the service activities of the boarding house were initially determined, at the second stage the assessment of service indicators was found in the boarding house «Moyildy». The results of the research provided an understanding of the fact that the boarding house needs to be drawn to a number of indicators, such as the speed of maintenance and the sanitary condition of the boarding house. In general, these research results provide an opportunity to determine the trajectory of service development in a boarding house.

**Keywords:** spa services, research, market opportunities, competitive forces, primary information, quality indicators, strategy.

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**1. Purpose:** development of reasonable models for assessing market opportunities and choosing strategic priorities in the activities of sanatorium and resort enterprises, based on a comprehensive study and analysis of patterns and external factors.

**2. Introduction.** In conditions of competition and market turbulence, changes in the methods of state regulation of individual industries, the search for new opportunities to meet consumer needs, it is very important that the company pay attention not only to the internal state of affairs, but also monitor external changes. The modern market dictates the need for continuous development and optimization of the business, based on the results of the assessment of the market environment. But all this cannot be realized without analysis of market opportunities on which the enterprise operates. In this regard, in a competitive market, much attention is paid to marketing analysis, which, according to many Western analysts, should be carried out primarily to assess the influence of external factors on the development of enterprises.

Assessment of the capabilities of the sanatorium-resort enterprises is aimed at revealing its potential, strengths and weaknesses of activity, includes identifying markets and assessing marketing potential [1]. Businesses must be able to identify emerging market opportunities. Sanatorium-resort institutions conduct market analysis for various purposes, whether it is a deeper introduction to the market, expanding the boundaries of the market, product development or diversification.

**3. Conducted research.** In conditions of increasing unpredictability and disproportionate development of the market environment, the priority goal of the formation and subsequent building of the potential of the sanatorium-resort enterprise may be to ensure its market stability. The ability to bring the performance indicators of spa enterprises into equilibrium is ensured by adaptability to changes in the external environment. Therefore, there is a need to determine the influence of various factors of the market environment on the activities of sanatorium enterprises.

An analysis of market opportunities, as noted by D. Krevens, consists of the following stages: determining the boundaries of the market, describing the characteristics of end consumers and analyzing them, analyzing the industry and analyzing the value chain, evaluating key competitors and determining the market capacity.

Together with him, Lamben J.Zh. focuses on the need to study competitors, i.e. those with

whom the organization has to fight for the buyer and for the resources that it seeks to receive from the external environment. Such a study is aimed at identifying the strengths and weaknesses of competitors and on the basis of this build their own competitive strategy. Market participants and substitute products pose a direct threat, while suppliers and buyers are an indirect threat. Obviously, each market has its own dominant forces forming a competitive climate.

In the process of analysis, the areas of activity and functions in which the company has achievements and those that need improvement in terms of market indicators are determined. Essentially, the study of enterprise capabilities comes down to a comparative analysis of the enterprise's potential and existing and future market needs. The analysis is usually performed on the basis of the reporting materials of the enterprise itself and additional sources of information: statistical samples, business references, reports of scientific organizations, professional, commercial, and government publications. Methods for assessing the market capabilities of the enterprise are presented in Figure 1.

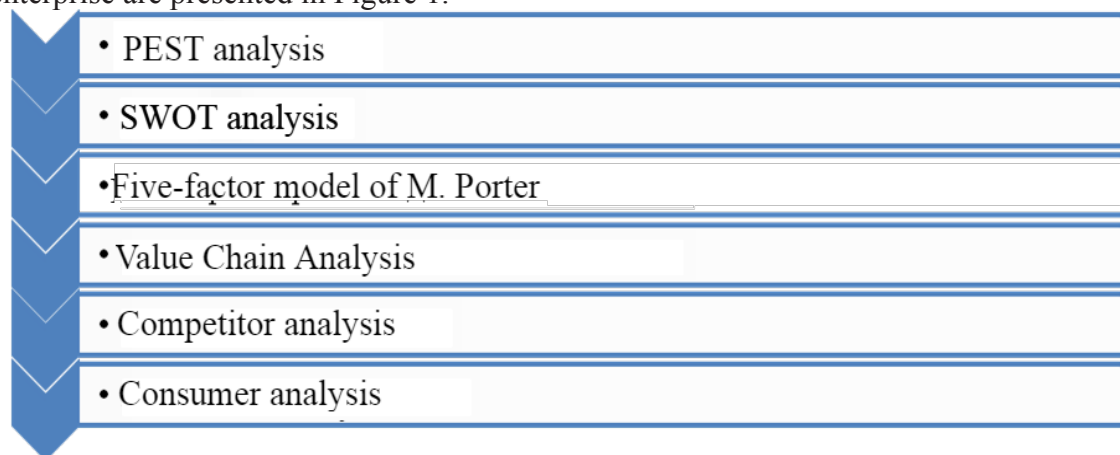


Figure 1. Methods for assessing the market opportunities of the enterprise

The most relevant and applicable is the five-factor model of Michael Porter. The five forces model is used to identify industry forces affecting firms. These include existing direct competitors, new direct competitors, indirect competitors, suppliers and buyers [2].

The actions of powerful industry forces can lead to the emergence of many unprofitable or low-profit players, which has been repeatedly observed in a variety of industries. Each enterprise should strive to understand these forces and the consequences of their impact. To analyze the external environment of the company, a study was conducted on the subject of the influence of the 5 forces of Porter. For the assessment we used the threat from substitute products, the degree of intra-industry competition, the assessment of the height of the entry barriers, the assessment of the threat of loss of customers, the assessment of suppliers. The assessment was carried out by an expert group of 8 experts.

**4. Methodology.** For the analysis, published literature was used to study the health resort market of Kazakhstan, as well as the method of grouping, ranking, desk research using secondary information was applied. As part of a systematic approach, methods of analyzing market opportunities were used.

In the process of collecting data for the practical part of the study, such methods were used as: in-depth interviews with experts and specialists of sanatorium-resort enterprises; various methods of collecting secondary information based on the results of which the following types of analyzes were generated and carried out: Expert assessment was carried out in the form of an individual “separate” one-time study, which was conducted by 8 experts in the field of spa business. Porter’s 5-factor model, PEST and SWOT analyzes, VRIO analysis. The information

base of the study was monographs, textbooks, and articles in specialized magazines on marketing and management.

**5. The main part.** The task of finding opportunities to enhance the market stability of sanatorium and resort enterprises and factors of successful adaptation of an enterprise to structural changes in the market environment requires a comprehensive study of market potential, represented not so much by the totality of organization and management capabilities, but by a set of forces that affect the economic activities of sanatoriums. A generalized assessment of environmental fluctuations, determined with the help of experts, revealed the development potential of the enterprise in the market of sanatorium and resort services. To this end, an analysis was carried out on a five-factor model of Porter in the market of spa services.

The combination of the results allowed us to see the picture more holistically, which are presented in table 1.

Table 1

**Analysis of the results for 5 competitive forces of Porter**

Parameter	Value	Description
Threat from substitute products	High	The company has a unique offer in the market, which has a lot of analogues
Threats to Intra-Industry Competition	High	The company's market is highly competitive and promising. There are restrictions in raising prices.
Threat from new players	Medium	There is a risk of entry of new players. New companies emerge due to low entry barriers and low initial investment.
Threat of losing current customers	High	Customers have a fairly strong influence on the spa enterprises (with the departure of a critical mass of customers - a significant drop in sales). The existence of less quality, but economical offers. Dissatisfaction with quality, etc.
Threat to supplier instability	Medium	A difficult situation with suppliers, lack of stability and reliability

According to the results of the analysis according to the Porter model, the Moiylly sanatorium has a very high degree of threat - for substitute products, for intra-industry competition and the loss of existing customers. Medium - threats on the emergence of new players and threats from suppliers. The indicated situation is presented in Figure 2.



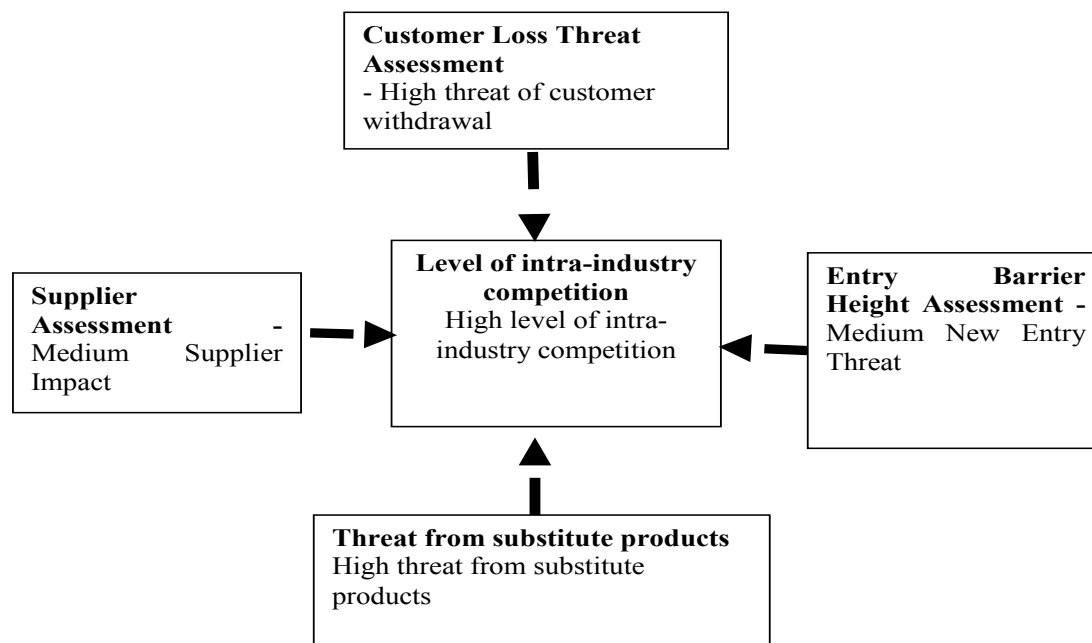


Figure 2. Analysis of competitive forces by the Porter model

Thus, the strategy of the sanatorium «Moiyldy» in relation to competitors should include:

- standardization and improvement of the quality of service, which should not be perceived as a competitive advantage, but as a necessity;
- expanding the range and exclusivity of the product;
- in view of the lack of switching costs, the refinement of tools for working with agency loyalty (revision of the system of rewarding agencies and managers).

Concerning self-reservation, the Moiyldy sanatorium should think about capturing this niche through vertical online integration, offering to make up for the shortcomings - lack of economies of scale, consultations. For new players, the market is open. There are no legal or economic barriers, starting investments are minimal. The only constraint on growth when entering the spa market may be the lack of economies of scale or flow. Therefore, the market is more likely to be replenished not by “start-ups”, but by companies considering the sanatorium business as expanding their existing business vertically or horizontally.

Entry into the market of players of the Moiyldy sanatorium should not be considered a threat. Entering the market of new enterprises of the sanatorium-resort type requires strengthening competitive positions and vertical integration towards the client by covering the segment of independent tourists. An opportunity may also be to enter the market for a technologically advanced startup with a good online platform that integrates well with related tools.

In the competition for visitors, the main factor of competitiveness is the loyalty of customers of sanatorium-resort institutions and their customer focus [3]. Consumers, in general, can be loyal to the Moiyldy sanatorium. But when making decisions, give preference to other boarding houses, more flexible and faster in processing non-standard requests, providing answers and clarifications.

It should be recognized that the proportion of visitors will gradually decrease if the sanatorium does not raise the question of improving the service and customer focus of the company. For sanatorium-resort institutions, the inerrability of information systems, a high level of service, quality and service culture is very important.

Thus, the analysis of competitive forces according to the Porter model determines the general position regarding the industry, that the situation on the market is complicated and this

motivates the Moiylly sanatorium to use potential opportunities.

The next step in assessing market opportunities is the use of PEST analysis. PEST analysis is a marketing tool designed to identify and assess the capabilities and threats of the company's external macro environment for four factors that affect the company's business: Political; Economic; Social; Technological [4].

The fundamental concept of strategic conformity consists in the correspondence of the strategy to the specifics of the external environment and the characteristics of the internal environment of the organization, that is, the goals and values (company assets), resources and abilities (what the company owns and what it can do), organizational structure and systems (technological system, accounting system, information system, motivation system, etc.).

The environment of the organization consists of external influences affecting the activities of the company and decision-making. The influence of the external environment is classified:

- by sources: political, economic, social and technological (PEST-factors).
- by degree of proximity to the organization: microenvironment / external environment at the level of tasks and microenvironment.

The external environment at the level of tasks - covers consumers, suppliers and competitors with those with whom the company contacts and solves problems daily.

The external environment at the industry level (supply level) / competitive environment - covers the direct impact on most competitors. Significant external environment - sets the boundaries of the general environment in terms of analytical goals, what affects the success of the company. Table 2 shows the results of a PEST analysis of the marketing environment for the functioning of tourism companies in Kazakhstan.

Table 2

**PEST-analysis of the marketing environment of the functioning of sanatorium institutions**

№	Description	Industry Impact	Rating
Political and legal factors:			
1	State regulation	Positive: Creating the conditions for business development, improving the purity of business, supporting entrepreneurship.	4
2	Antitrust Law	Positive: No obstacles (monopolies) for business development	5
3	Lobbying for company interests	Positive: The entire legislative platform is based on the principles of a market economy, all new bills are introduced taking into account the interests of entrepreneurship.	4,25
4	Joining the Unified Customs Union of the EurAsEC, WTO	Positive: An increase in business activity, which leads to an increase in the consumption of company services. Toughening up competition as new players enter the market.	5
5	Political stability in the country	Positive: Opportunities for long-term investment planning.	5
6	Government programs	Positive: Increased investment, which affects the growth of solvency of entrepreneurship - consumers of company services.	4

Economic and demographic factors:			
1	Moderate economic growth	Positive: Stable growth in consumption of company services Negative: increased number of competing players	4
2	The growth of population incomes (until recently)	Positive: Increased business activity of entrepreneurship, and thereby the growth of requests for services to the Company	3,75
3	Demographic growth, increase in the number of young families	Positive: The growth of market capacity, and in this regard, the growth of the company's turnover	4
4	U n e m p l o y m e n t R e d u c t i o n Development	Positive: the growth of income in the economy, means the growth of income of entrepreneurs.	5
Sociocultural factors:			
1	Lack of consumer awareness	Negative: Consumption of high quality services	3,75
2	Feature of misallocation of funds	Positive: Purchases on credit/by installments increases the consumption of company services	5
3	Mentality and characteristics of the local population	Positive: Increased consumption of company services	5
Technological and environmental factors:			
1	A d v e r t i s i n g Innovation	Positive: The development of advertising will lead to increased interest and an increase in the frequency of calls to spa services	5
2	T e c h n o l o g y development	Positive: Improving the quality of services provided, reducing prices and increasing the range of services	5
3	Service Update	Positive: Increased demand for company services according to recommendations	4
4	Strengthening existing environmental movements in the Republic of Kazakhstan	Positive: Improving the quality and expanding the range of tourist offers	3

An analysis of the potential opportunities of the Moiylly sanatorium is impossible without identifying the strengths and weaknesses of the activity, as well as identifying opportunities and threats for the company under study. Table 3 presents a SWOT analysis of the activities of the sanatorium "Moiylly".

Table 3

**SWOT analysis of the sanatorium «Moiyldy»**

<b>Strengths:</b>	<b>Weaknesses:</b>
<ul style="list-style-type: none"> <li>- Availability of necessary financial resources</li> <li>- The presence of qualified personnel specially trained for work in the field of spa services</li> <li>- A wide range of services</li> <li>- Providing your customers with installment and loan conditions</li> </ul>	<ul style="list-style-type: none"> <li>- High costs to increase customer loyalty</li> <li>- Lack of marketing and advertising department</li> <li>- Personnel crisis</li> <li>- Ignorance of the sanatorium brand</li> <li>- A large proportion of manual operations: long, expensive and inaccurate</li> <li>- Not a high level of customer loyalty</li> </ul>
<b>Opportunities:</b>	<b>Threats:</b>
<ul style="list-style-type: none"> <li>- Seasonal demand growth</li> <li>- Serving additional consumer groups: changing demographic indicators, the emergence of a solvent generation category “z”</li> <li>- A wide selection of suppliers of resources in all areas - air, railway, insurance, financial companies, tour operators</li> </ul>	<ul style="list-style-type: none"> <li>- Strengthening competitors</li> <li>- Decrease in solvency of the population</li> <li>- Activation of existing and entry into the market of new players</li> </ul>
Note: compiled by the author	

According to the SWOT analysis, it is possible to determine the possible activities of the Moiyldy sanatorium, the prospects for further development of the company and identify potential opportunities. So, based on the weaknesses of the sanatorium’s activities, the company needs to focus on work to increase customer loyalty, organize a marketing and advertising department, and automate business processes.

An important step in the analysis of the organization’s potential capabilities is the determination of its potentials and abilities as sources of potential competitive advantages. The main tool is a VRIO analysis, which allowed determining the resources and abilities that will be the basis for the formation of a sustainable competitive advantage of the Moiyldy sanatorium on the market of sanatorium and resort services [5]. This is, firstly, an intangible resource - a brand or image, and secondly, material resources - employees, the geographical location of the Moiyldy sanatorium, the cost or availability of financial resources.

The results of the VRIO analysis are presented in tables 4-5.

Table 4

**The use of intangible resources**

Use of intangible resources - brand, image			
Value?	Rarity?	Cost of reproduction?	Is a company organized to use this?
Yes	Yes	Yes	No

The sanatorium “Moiyldy” has been operating on the market for a little over 20 years and does not yet have a sufficiently formed representation in the eyes of customers, i.e. image has not been developed yet. The company has not yet fully organized this resource and, accordingly, cannot use what is not.

Table 5

**The use of labor resources**

Use of labor			
Value?	Rarity?	Cost of reproduction?	Is a company organized to use this?
Yes	Yes	Yes	Yes
Note: compiled by the author			

The sanatorium “Moilydy” uses labor resources, which, due to personnel shortages, are still not enough in the market. Therefore, there is a need to provide professional personnel. The company has organized this resource and has professional specialists on staff.

Table 6

**Use of geographical location as a resource**

Table 6 - Use of geographical location as a resource			
Value?	Rarity?	Cost of reproduction?	Is a company organized to use this?
Yes	No	Yes	Yes
Note: compiled by the author			

“Moilydy” Sanatorium uses geographical location as a resource, and this is valuable. However, at the same time, maintaining a sanatorium is expensive and requires significant financial investments. The company organized this resource and, accordingly, uses it, like many of its competitors.

Table 7

**The use of financial resources**

The use of financial resources			
Value?	Rarity?	Cost of reproduction?	Is a company organized to use this?
Yes	No	No	No
Note: compiled by the author			

“Moilydy” Sanatorium uses the financial resources of the founder of the company, so this resource can be considered cheap, and it is valuable, but not rare in the Kazakhstan market. At the same time, for the development of the sanatorium and its maintenance, financial investments are constantly required. The company did not organize this resource and, accordingly, uses it, as well as some of its competitors. The company does not use attracted financial capital, thus we can say that financial leverage is not used. This is possibly due to the peculiarities of the tourist services market, in which seasonality prevails.

Thus, VRIO analysis showed that none of the four resources meets the given conditions; therefore the “Moilydy” sanatorium has no particular competitive advantage.

**Conclusion.** A key factor in reducing the market stability of sanatorium and resort enterprises in the face of high turbulence and unpredictability of the market is the underestimation of the influence of competitors offering similar services of a higher service and forming a service



strategy for customer focus. In this regard, the development of an adaptive strategy for the activities of the sanatorium should be based on a study of the needs of customers, their characteristics of market behavior and the satisfaction of their requests to a greater extent than that of competitors. As part of the diagnostics of the market situation, market development opportunities associated with the use of innovative technologies have also been identified, allowing identifying the advantages of each sanatorium-resort enterprise.

Using the study, it was determined that the identification of competitive advantages among the enterprises of the sanatorium and resort services sector, which have the greatest influence on market stability, serves as the basis of market potential and forms a positive attitude on the part of target segments.

Diagnostics of the company's market potential showed that there is a need to focus on work to increase customer loyalty, strengthen customer focus and constantly monitor ongoing changes in the market of spa services.

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### **Шипажай-курорттық қызметтерді дамытудың нарықтық мүмкіндіктері**

**Аңдатпа.** Пансионаттарда қызмет көрсету саласының жағдайын жақсарту үрдісі өзекті болып табылады және зерттеуді талап етеді. Қызмет көрсету саласының жағдайын зерттеу - дамуды жеңуші себептер мен тиімділікті арттыру жолдарын анықтауға мүмкіндік береді. Зерттеу жұмысы екі кезеңді қамтыды. Бастапқыда пансионаттың қызмет көрсету саласындағы маңызды көрсеткіштер анықталып, екінші кезеңде «Мойылды» пансионатының қызмет көрсету көрсеткіштері бағаланды. Жүргізілген зерттеу жұмысының нәтижелері пансионатта қызмет көрсету жылдамдығы мен пансионаттың санитарлық жағдайы сияқты бірқатар көрсеткіштерге назар аудару керектігін айқындайды. Жалпы, аталған зерттеу нәтижелері пансионаттағы қызмет көрсету саласының даму траекториясын анықтауға жол ашады.

**Түйін сөздер:** санаторлы-курортты қызметтер, зерттеулер, сервис, қызмет көрсету сапасы, бастапқы ақпарат, сапа көрсеткіштері, стратегия.

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### **Рыночные возможности развития санаторно-курортных услуг**

**Аннотация.** Современный этап рыночных преобразований национальной экономики, отличающийся высокой динамичностью среды и усилением противостояния конкурентных сил на фоне турбулентности рынков, нацеливает на необходимость рыночной адаптации предприятий. Повышение эффективности предприятия обеспечивается благодаря постоянным исследованиям рыночных возможностей и использованию их для разработки адаптационной модели поведения на рынке. Авторами проведен анализ рыночных возможностей предприятий санаторно-курортного рынка на основании глубинного интервью и вторичной информации, которые позволили выявить наиболее оптимальный вариант траектории развития санаторно-курортных учреждений. В результате проведенного анализа определены основные внешние факторы, влияющие на деятельность санатория «Мойылды». В статье систематизированы результаты анализа и выявлены угрозы, которые позволили понять, как можно улучшить деятельность санатория «Мойылды». Показана необходимость развития клиентской лояльности и повышения уровня сервиса санаторных учреждений.

**Ключевые слова:** санаторно-курортные услуги, исследования, рыночные возможности, конкурентные силы, первичная информация, показатели качества, стратегия.

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- 3 Danko T.P. Upravlenie marketingom [Marketing Management] Textbook. Vol. 2, rev. and add. (Infra-M, Moscow, XVIII, 334 p) (Series «Higher Education»).
- 4 Crevens D.V. Strategicheskij marketing [Strategic marketing] 6th edition. Transl. From English. (Williams Publishing House, Moscow, 2003, 752 p)
- 5 Day D. Startegicheskij marketing [Startegical marketing] (Publishing house «Exmo-Press», Moscow, 2002, 640 p).

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**«Л.Н. Гумилев атындағы ЕҰУ Хабаршысының  
экономика сериясы» журналында мақала жариялау ережесі**

**1. Журнал мақсаты.** Экономика салалары бойынша мұқият тексеруден өткен ғылыми құндылығы бар мақалалар жариялау.

**2.** Журналда мақала жариялаушы автор мақаланың қол қойылған бір дана қағаз нұсқасын Ғылыми басылымдар бөліміне (редакцияға, мекенжайы: 010008, Қазақстан Республикасы, Нұр-Сұлтан қаласы, Қ. Сәтпаев көшесі, 2, Л.Н. Гумилев атындағы Еуразия ұлттық университеті, Бас ғимарат, 402 кабинет) және vest\_econom@enu.kz электрондық поштасына Word форматындағы электронды нұсқасын жіберу қажет. Мақала мәтінінің қағаз нұсқасы мен электронды нұсқалары бірдей болулары қажет. Мақаламен бірге автордың жұмыс орнынан Ілеспе хат тапсырылуы қажет (Ілеспе хаттың үлгісі төменде берілген).

Мақалалар қазақ, орыс, ағылшын тілдерінде қабылданады.

**3.** Автордың қолжазбаны редакцияға жіберуі мақаланың «Л.Н. Гумилев атындағы ЕҰУ хабаршысының экономикасы сериясы» журналында басуға келісімін, шетел тіліне аударылып қайта басылуына келісімін білдіреді. Автор мақаланы редакцияға жіберу арқылы автор туралы мәліметтің дұрыстығына, мақала көшірілмегендігіне (плагиаттың жоқтығына) және басқа да заңсыз көшірмелердің жоқтығына кепілдеме береді.

**4. Мақаланың көлемі** 18 беттен аспауы тиіс (6 беттен бастап).

**5. Мақаланың құрылымы**

**6. GTAMP** <http://grnti.ru/> - бірінші жолдың сол жақтауында;

**Автор(лар)дың аты-жөні** – жолдың ортасында;

**Мекеменің толық атауы, қаласы, мемлекеті** (егер авторлар әртүрлі мекемеде жұмыс жасайтын болса, онда әр автор мен оның жұмыс мекемесі қасында бірдей белгі қойылу керек) – жолдың ортасында;

**Автор(лар)дың E-mail-ы** – жақша ішінде, курсивпен, жолдың ортасында;

**Мақала атауы** – жолдың ортасында;

**Андатпа** (100-200 сөз; формуласыз, мақаланың атауын мейлінше қайталамауы қажет; әдебиеттерге сілтемелер болмауы қажет; мақаланың құрылысын (кіріспесі, мақаланың мақсаты, міндеттері, қарастырылып отырған сұрақтың тарихы, зерттеу әдістері, нәтижелер/талқылау, қорытынды) сақтай отырып, мақаланың қысқаша мазмұны берілуі қажет).

**Түйін сөздер** (6-8 сөз не сөз тіркесі)

Түйін сөздер мақала мазмұнын көрсетіп, мейлінше мақала атауы мен аннотациядағы сөздерді қайталамай, мақала мазмұнындағы сөздерді қолдану қажет. Сонымен қатар, ақпараттық-ізвестіру жүйелерінде мақаланы жеңіл табуға мүмкіндік беретін ғылым салаларының терминдерін қолдану қажет.

Негізгі мәтін мақаланың мақсаты, міндеттері, қарастырылып отырған сұрақтың тарихы, зерттеу әдістері, нәтижелер/талқылау, қорытынды бөлімдерін қамтуы қажет – жоларалық интервал - 1, азат жол «қызыл жолдан» - 1,25см, беттеу жолағы – еніне сай жасалады.

**Кесте, суреттер** – аталғаннан кейін орналастырылады. Әр таблица, сурет қасында оның аталуы болу қажет. Сурет айқын, сканерден өтпеген болуы керек.

Жалпы қолданыста бар аббревиатуралар мен қысқартулардан басқалары міндетті түрде алғаш қолданғанда түсіндірілуі берілуі қажет.

Қаржылай көмек туралы ақпарат бірінші бетте көрсетіледі.

**Әдебиеттер тізімі**

Мәтінде әдебиеттерге сілтемелер тікжақшаға алынады. Мәтіндегі әдебиеттер тізіміне сілтемелердің номерленуі мәтінде қолданылуына қатысты жүргізіліде: мәтінде кездескен әдебиетке алғашқы сілтеме [1] арқылы, екінші сілтеме [2] арқылы т.с.с. жүргізіледі. Кітапқа жасалатын сілтемелерде қолданылған беттері де көрсетілуі керек (мысалы, [1, 45 бет]). Жарияланбаған еңбектерге сілтемелер жасалмайды. Сонымен қатар, рецензиядан өтпейтін ба-

сылымдарға да сілтемелер жасалмайды (әдебиеттер тізімін, әдебиеттер тізімінің ағылшынша әзірлеу үлгілерін <http://bulecon.enu.kz> журнал сайтынан қараңыз).

Мақала соңындағы әдебиеттер тізімінен кейін библиографиялық мәліметтер орыс және ағылшын тілінде (егер мақала қазақ тілінде жазылса), қазақ және ағылшын тілінде (егер мақала орыс тілінде жазылса), орыс және қазақ тілінде (егер мақала ағылшын тілінде жазылған болса) беріледі.

Авторлар туралы мәлімет: автордың аты-жөні, ғылыми атағы, қызметі, жұмыс орны, жұмыс орнының мекен-жайы, теелфон, e-mail – қазақ, орыс және ағылшын тілдерінде толтырылады.

**7. Қолжазба мұқият тексерілген болуы қажет.** Техникалық талаптарға сай келмеген қолжазбалар қайта өңдеуге қайтарылады. Қолжазбаның қайтарылуы оның журналда басылуына жіберілуін білдірмейді.

Редакцияға түскен мақала жабық (анонимді) тексеруге жіберіледі. Барлық рецензиялар авторларға жіберіледі. Автор (рецензент мақаланы түзетуге ұсыныс берген жағдайда) қолжазбаны қайта қарап, түзетілген нұсқасын редакцияға қайта жіберуі керек. Рецензент жарамсыз деп таныған мақала қайтара қарастырылмайды. Мақаланың түзетілген нұсқасы мен автордың рецензентке жауабы редакцияға жіберіледі.

**8. Төлемақы.** Басылымға рұқсат етілген мақала авторларына төлем жасау туралы ескертіледі. Төлем көлемі 4500 тенге – ЕҰУ қызметкерлері үшін және 5500 тенге басқа ұйым қызметкерлеріне.

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Кбе 16

«За публикацию в «Вестник ЕНУ», ФИО автора»

**Положение о рукописях, представляемых в журнал  
«Экономическая серия Вестника ЕНУ имени Л.Н. Гумилева»**

**1. Цель журнала.** Публикация тщательно отобранных оригинальных научных работ по экономическому направлению.

**2. Автору,** желающему опубликовать статью в журнале, необходимо представить рукопись в твердой копии (распечатанном варианте) в одном экземпляре, подписанном автором в Отдел научных изданий (по адресу: 010008, Казахстан, г. Нур-Султан, ул. Сатпаева, 2, Евразийский национальный университет им. Л.Н.Гумилева, Учебно-административный корпус, каб. 402) и по e-mail [vest\\_econom@enu.kz](mailto:vest_econom@enu.kz). При этом должно быть строго выдержано соответствие между Word-файлом и твердой копией. Также авторам необходимо предоставить сопроводительное письмо (шаблон приведен ниже).

**Язык публикаций:** казахский, русский, английский.

**3. Отправление статей** в редакцию означает согласие авторов на право Издателя, Евразийского национального университета имени Л.Н. Гумилева, издания статей в журнале и переиздания их на любом иностранном языке. Представляя текст работы для публикации в журнале, автор гарантирует правильность всех сведений о себе, отсутствие плагиата и других форм неправомерного заимствования в рукописи, надлежащее оформление всех заимствований текста, таблиц, схем, иллюстраций.

**4. Объем статьи** не должен превышать 18 страниц (от 6 страниц).

**5. Схема построения статьи** (страница – А4, книжная ориентация, поля со всех сторон – 20 мм. Шрифт: тип – Times New Roman, размер (кегель) - 14):

**МРНТИ** <http://grnti.ru/> - первая строка, слева

**Инициалы и Фамилию автора(ов)**- выравнивание по центру, курсив

**Полное наименование организации, город, страна** (если авторы работают в разных организациях, необходимо поставить одинаковый значок около фамилии автора и соответствующей организации)

**Е-mail автора(ов)** – в скобках курсив

**Название статьи** – выравнивание по центру полужирным шрифтом

**Аннотация** (100-200 слов; не должна содержать формулы, по содержанию повторять название статьи; не должна содержать библиографические ссылки; должна отражать краткое содержание статьи, сохраняя структуру статьи – введение, постановка задачи, цели, история, методы исследования, результаты/обсуждение, заключение/выводы).

**Ключевые слова** (6-8 слов/словосочетаний).

Ключевые слова должны отражать основное содержание статьи, следует использовать термины из текста статьи, а также термины, определяющие предметную область и включающие другие важные понятия, позволяющие облегчить и расширить возможности нахождения статьи средствами информационно-поисковой системы).

Основной текст статьи должен содержать введение, постановку задачи, цели, историю, методы исследования, результаты/обсуждение, заключение/выводы – межстрочный интервал – 1, отступ «красной строки» -1,25 см, выравнивание по ширине.

Таблицы, рисунки необходимо располагать после упоминания. Каждой иллюстрации должна следовать надпись. Рисунки должны быть четкими, чистыми, несканированными.

Все аббревиатуры и сокращения, за исключением заведомо общеизвестных, должны быть расшифрованы при первом употреблении в тексте.

Сведения о финансовой поддержке работы указываются на первой странице в виде сноски.

**Список литературы**

В тексте ссылки обозначаются в квадратных скобках. Ссылки должны быть пронумерованы строго по порядку упоминания в тексте. Первая ссылка в тексте на литературу должна иметь номер [1], вторая - [2] и т.д. Ссылка на книгу в основном тексте статьи должна сопровождаться указанием использованных страниц (например, [1, 45 стр.]). Ссылки на неопубликованные работы не допускаются. Нежелательны ссылки на нерецензируемые издания (примеры описания спи-



ска литературы, описания списка литературы на английском языке см. на сайте журнала <http://bulecon.enu.kz>).

В конце статьи, после списка литературы, необходимо указать библиографические данные на русском и английском языках (если статья оформлена на казахском языке), на казахском и английском языках (если статья оформлена на русском языке) и на русском и казахском языках (если статья оформлена на английском языке).

**Сведения об авторах:** фамилия, имя, отчество, научная степень, должность, место работы, полный служебный адрес, телефон, e-mail – на казахском, русском и английском языках.

**6.** Рукопись должна быть тщательно выверена. Рукописи, не соответствующие техническим требованиям, будут возвращены на доработку. Возвращение на доработку не означает, что рукопись принята к опубликованию.

**7.** Работа с электронной корректурой. Статьи, поступившие в Отдел научных изданий (редакция), отправляются на анонимное рецензирование. Все рецензии по статье отправляются автору. Авторам необходимо отправить корректуру статьи в редакцию журнала. Статьи, получившие отрицательную рецензию, к повторному рассмотрению не принимаются. Исправленные варианты статей и ответ автора рецензенту присылаются в редакцию. Статьи, имеющие положительные рецензии, представляются редколлегии журнала для обсуждения и утверждения для публикации.

Периодичность журнала: 4 раза в год.

**8.** Оплата. Авторам, получившим положительное заключение к опубликованию, необходимо произвести оплату по следующим реквизитам (для сотрудников ЕНУ – 4500 тенге, для сторонних организаций – 5500 тенге):

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In the text references are indicated in square brackets. References should be numbered strictly in the order of the mention in the text. The first reference in the text to the literature should have the number [1], the second - [2], etc. The reference to the book in the main text of the article should be accompanied by an indication of the pages used (for example, [1, 45 p.]). References to unpublished works are not allowed. Unreasonable references to unreviewed publications (examples of the

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**Мақаланы рәсімдеу үлгісі /Образец оформления статьи /Template**

FTAMP 06.71.57

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**Шекаралық аймақтағы туристік кластердің даму ерекшелігі: Аустриялық жол**

**Аннотация.** Қазіргі кезде Қазақстандағы туризмнің даму кезеңінде туристік қызметтің әлеуметтік-экономикалық тиімділігін арттыруға көмектесетін кластерлік тәсіл қолданылады. Кластерлерді әзірлеудің негізінде айрықша қайталанбайтын туристік өнімді қалыптастыру жүріп жатыр. [100-200 сөз]

**Түйін сөздер.** Тұжырымдама, шекаралық кластер, Аустриялық жол, айналма жол.

Мақала мәтіні.

Мақаланың мәтіні кіріспе, мақаланың мақсаты, міндеттері, қарастырылып отырған сұрақтың тарихы, зерттеу әдістері, нәтижелер/талқылау, қорытынды бөлімдерін мүмкіндігінше қамту қажет

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**Особенности развития туристского кластера в пограничном регионе: Австрийская дорога**

**Аннотация.** На современном этапе развития туризма в Казахстане используется кластерный подход, который позволяет значительно повысить социально-экономическую эффективность туристской деятельности.

Основой создания ядра туристского кластера в ряде проектов выступает особое территориально-географическое положение – размещение в приграничном регионе. [100-200 слов]

**Ключевые слова:** концепция, граничный кластер, Австрийская дорога, кольцевая дорога.

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**Features of the development of the tourist cluster in the border region:  
The Austrian road**

**Abstract.** At the current stage of tourism development in Kazakhstan, a cluster approach is used that significantly improves the social and economic efficiency of tourism activities. A number of tourism projects to create the core of the territory occupies a special place in the geographical location of the border areas. [100-200 words]

**Keywords:** Concept, the boundary cluster, the Austrian road, ring road.

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