



On approval of the Rules for issuing, amending and redeeming quotas for greenhouse gas emissions

Invalidated Unofficial translation

Order of the Minister of Energy of the Republic of Kazakhstan dated June 28, 2016 No . 292. Registered in the Ministry of Justice of the Republic of Kazakhstan on July 28, 2016 No. 14012.

Unofficial translation

Footnote. It became invalid by the order of the Acting Minister of Ecology, Geology and Natural Resources of the Republic of Kazakhstan No. 289 dated 04.08.2021 (it is put into effect after ten calendar days after the date of its first official publication).

In accordance with subparagraph 30) of Article 17 of the Environmental Code of the Republic of Kazakhstan dated January 9, 2007, **I HEREBY ORDER:**

1. To approve the attached Rules for issuing, amending and redeeming quotas for greenhouse gas emissions.

2. The Department on climate change of the Ministry of Energy of the Republic of Kazakhstan in the manner prescribed by law to ensure:

1) state registration of this order in the Ministry of Justice of the Republic of Kazakhstan;

2) sending a copy of this order for official publication in periodicals and in the legal information system "Adilet" within ten calendar days after its state registration in the Ministry of Justice of the Republic of Kazakhstan, as well as in the Republican state enterprise on the basis of the right of economic management "Republican legal information center";

3) placement of this order on the Internet resource of the Ministry of Energy of the Republic of Kazakhstan and on the intranet portal of government bodies;

4) within ten working days after the state registration of this order in the Ministry of Justice of the Republic of Kazakhstan, submission of information to the Department of Legal Service of the Ministry of Energy of the Republic of Kazakhstan on implementation of measures provided for in subparagraphs 2) and 3) of this paragraph.

3. The supervising vice minister of energy of the Republic of Kazakhstan shall be authorized to oversee the execution of this order.

4. This order shall come into force on January 1, 2018 and is subject to official publication.

*Minister of energy of the
Republic of Kazakhstan*

K. Bozumbayev

Rules for issuing, amending and redeeming quotas for greenhouse gas emissions

Chapter 1. General provisions

1. These Rules for issuing, amending and redeeming quotas for greenhouse gas emissions (hereinafter - the Rules) are developed in accordance with subparagraph 30) of Article 17 of the Environmental Code of the Republic of Kazakhstan dated January 9, 2007 (hereinafter - the Code) and determine the procedure for issuing, amending and redeeming quotas for greenhouse gas emissions.

2. The following terms and definitions are used in these Rules:

1) baseline - the amount of greenhouse gas emissions produced over a specified period;

2) new installations – the installations that fall under the requirements of paragraph 1 of Article 94-2 of the Code, and which were put into operation during the validity period of the National plan of allocation of quotas for greenhouse gas emissions, approved for the relevant period (hereinafter - the National plan);

3) increase of the installation capacity - an increase in the annual volume of extraction, production, processing and transportation of products;

4) blocking the account of the installation operator - temporary suspension of the use of the carbon units by the installation operator, credited to his account until the required documents, specified in paragraph 3 of Article 94-2 of the Code, are provided;

5) quota for greenhouse gas emissions - the quantified amount of regulated greenhouse gas emissions established for the installation operator for the period of validity of the National plan;

6) specific greenhouse gas emission coefficient - an indicator of the ratio of greenhouse gas emissions per unit of production.

Footnote. Paragraph 2 as amended by the order of the acting Minister of Energy of the Republic of Kazakhstan dated 03.08.2018 No. 301 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

3. Other terms and definitions used in these Rules are applied in accordance with the legislation of the Republic of Kazakhstan.

Chapter 2. Procedure for issuing quotas for greenhouse gas emissions

4. To credit quotas for greenhouse gas emissions, the installation operator opens an account in the State register of carbon units in accordance with the Rules for

maintaining the state register of carbon units approved by the order of the Minister of Environmental Protection of the Republic of Kazakhstan dated May 10, 2012 No. 147-ø (registered in the Register of state registration of regulatory legal acts No. 7702).

5. The quotas for greenhouse gas emissions are credited to the account of the installation operator in the State register of carbon units (hereinafter referred to as the State register) in accordance with the volumes specified in the National plan, within ten working days from the date of its entry into force in accordance with paragraph 2 of Article 94-2 of the Code.

6. Before the first of April of the first year of validity of the National plan, the installation operator submits a validated plan for monitoring greenhouse gas emissions and a verified installation passport to the authorized body in the field of environmental protection (hereinafter referred to as the authorized body).

7. If the installation operator does not provide the documents referred to in paragraph 6 of these Rules, the authorized body notifies the operator of the State register, which is a subordinate organization for regulating greenhouse gas emissions of the authorized body, of blocking the installation operator's account, within five working days from the deadline for submission of the documents until they are provided.

Footnote. Paragraph 7 as amended by the order of the acting Minister of Energy of the Republic of Kazakhstan dated 03.08.2018 No. 301 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

8. The plan for monitoring greenhouse gas emissions is developed in accordance with the form of the plan for monitoring greenhouse gas emissions, approved in accordance with subparagraph 29) of Article 17 of the Code and is subject to validation

9. The installation passport is developed in accordance with the installation passport form, approved by the order of the Minister of Environmental Protection of the Republic of Kazakhstan dated May 15, 2013 No. 122-ø (registered in the Register of state registration of regulatory legal acts No. 8496) and is subject to verification.

10. The authorized body, within fifteen calendar days from the receipt of the documents specified in paragraph 6 of these Rules from the installation operator, reviews them for completeness and compliance with the requirements established by these Rules.

11. In case of incompleteness and (or) inconsistency of the submitted documents, it sends them for revision and notifies the operator of the State register about blocking the account of the installation operator before submitting the revised documents.

12. For the installation included in the National plan during the period of its validity, the installation operator submits the documents referred to in paragraph 6 of these Rules within three months after its inclusion in the National plan.

13. The issuance of quotas for a new installation is carried out from the reserve of the volume of quotas of the National plan for the reporting year in which the new installation was commissioned. Starting from the next reporting year, the operator of the new installation is to be included in the National plan in accordance with the Rules for allocation of quotas for greenhouse gas emissions and formation of reserves of the established quantity and volume of quotas for the National plan for allocation of quotas for greenhouse gas emissions, approved in accordance with subparagraph 9) of Article 16 of the Code.

13-1. Quotas are issued for a new installation based on the application of specific greenhouse gas emission coefficients.

The installation operator calculates the requested quota volume for the new installation by multiplying the volume of the planned production during the period of validity of the National plan by the specific greenhouse gas emission coefficient in accordance with the list of specific greenhouse gas emission coefficients, approved by the order of the Minister of Energy of the Republic of Kazakhstan dated June 28, 2017 No. 222 (registered in the Register of state registration of regulatory legal acts No. 15396) (hereinafter - the list).

The volume of the planned production during the period of validity of the National plan is confirmed by the data of production plans, technical projects and production documentation of the installation operator.

In the absence of specific greenhouse gas emissions coefficients in the list, the installation operator calculates the requested quota for a new installation by applying the formulas specified in the methods for calculating emissions, reduction of emissions and consumption of greenhouse gases, approved by the authorized body in accordance with subparagraph 29) of Article 17 of the Code.

Footnote. The Rules are supplemented with paragraph 13-1 in accordance with the order of the acting Minister of Energy of the Republic of Kazakhstan dated 03.08.2018 No. 301 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

14. To obtain units of quotas for a new installation, the installation operator submits to the authorized body no later than one month before the commissioning of the corresponding installation:

1) an application for the issuance of quotas for greenhouse gas emissions for a new installation / for installations of administrative entities in the form in accordance with appendix 1 to these Rules;

2) a validated plan for monitoring greenhouse gas emissions;

3) a verified installation passport;

4) a copy of an identity document - for an individual;

5) a copy of a certificate* or a certificate of state registration (re-registration) - for a legal entity.

Footnote. Paragraph 14 as amended by Order No. 276 of the acting Minister of Ecology, Geology and Natural Resources of the Republic of Kazakhstan dated 03.11.2020 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

15. The authorized body, within fifteen calendar days from the receipt of the documents referred to in paragraph 14 of these Rules, checks the completeness and compliance of the submitted documents with the requirements established by these Rules. In case of revealing of incompleteness and inconsistency of the submitted documents, it sends them for revision.

16. After the installation operator submits the finalized documents, the authorized body considers the documents within the time periods specified in paragraph 15 of these Rules.

17. If a positive decision is made to issue quota units from the reserve of the quota volume of the National plan for new installations, the authorized body within three working days sends appropriate notifications to the operator of the State register, indicating the operator of the new installation, the volume of distributed quota units and the installation operator about the need to open an account in the State register.

The quota for the new installation is credited by the operator of the State register within three working days from the date of opening of the corresponding account of the installation operator.

Footnote. Paragraph 17 as amended by the order of the acting Minister of Energy of the Republic of Kazakhstan dated 03.08.2018 No. 301 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

18. The issuance of quotas for the installation of a subject of administration, the operation of which during the period of validity of the National plan is subject to the requirements of paragraph 1 of Article 94-2 of the Code (hereinafter referred to as a subject of administration, limited by quota), is carried out from the reserve of the volume of quotas of the National plan. Starting from the next reporting year, a subject of administration, limited by quota shall be included in the National plan in accordance with the Rules for allocation of quotas for greenhouse gas emissions and formation of reserves of the established quantity and volume of quotas of the National plan for allocation of quotas for greenhouse gas emissions, approved in accordance with subparagraph 9) of Article 16 of the Code.

Footnote. Paragraph 18 as amended by the order of the acting Minister of Energy of the Republic of Kazakhstan dated 03.08.2018 No. 301 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

18-1. Issuing quotas to a subject of administration limited by quota is based on the application of specific greenhouse gas emission coefficients.

The subject of administration, limited by quota calculates the volume of the requested quota by multiplying the volume of the planned production during the period of validity of the National plan by the specific greenhouse gas emission coefficient in accordance with the list.

The volume of planned production during the period of validity of the National plan is confirmed by the data of production plans, technical projects and production documentation of the installation operator.

In the absence of specific greenhouse gas emission coefficients in the list, a subject of administration, limited by quota calculates the requested quota by applying the formulas specified in the methods for calculating emissions, reductions of emissions and consumption of greenhouse gases approved by the authorized body in accordance with subparagraph 29) of Article 17 of the Code.

Footnote. The Rules are supplemented with paragraph 18-1 in accordance with the order of the acting Minister of Energy of the Republic of Kazakhstan dated 03.08.2018 No. 301 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

19. To obtain units of quotas, a subject of administration, limited by quota submits the following documents to the authorized body within three months after submitting a verified report on the inventory of greenhouse gases, according to which the emissions of the corresponding installation exceed the equivalent of twenty thousand tons of carbon dioxide per year:

- 1) an application for issuance of quotas for greenhouse gas emissions for a new installation / for installations of subjects of administration in the form in accordance with appendix 1 to these Rules;
- 2) a validated plan for monitoring greenhouse gas emissions;
- 3) a verified installation passport;
- 4) a copy of an identity document - for an individual;
- 5) the authorized body receives information on state registration (re-registration) of a legal entity from the relevant state information systems.

Footnote. Paragraph 19 as amended by Order No. 276 of the acting Minister of Ecology, Geology and Natural Resources of the Republic of Kazakhstan dated 03.11.2020 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

20. The authorized body, within fifteen calendar days from the receipt of the documents referred to in paragraph 19 of these Rules, checks the completeness and

compliance of the submitted documents with the requirements established by these Rules. In case of revealing of incompleteness and inconsistency of the submitted documents, it sends them for revision.

21. After a subject of administration, limited by quota, submits the revised documents, the authorized body considers the documents within the time periods specified in paragraph 20 of these Rules.

Footnote. Paragraph 21 as amended by the order of the acting Minister of Energy of the Republic of Kazakhstan dated 03.08.2018 No. 301 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

22. If a positive decision is made to issue quota units from the reserve of the quota volume of the National plan to the subject of administration, limited by quota, the authorized body within three working days sends appropriate notifications to the operator of the State register, indicating the subject of administration, limited by quota, the volume of distributed quota units and the subject of administration, limited by quota, about the need to open an account in the State register.

The quota for the subject of administration, limited by quota shall be credited by the operator of the State register within three working days from the date of opening the corresponding account.

Footnote. Paragraph 22 as amended by the order of the acting Minister of Energy of the Republic of Kazakhstan dated 03.08.2018 No. 301 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Chapter 3. Procedure for changing quotas for greenhouse gas emissions

23. Change of quotas is carried out by issuing an additional volume of quotas for greenhouse gas emissions.

24. The installation operator applies to the authorized body to obtain an additional volume of quotas for greenhouse gas emissions in the absence or deficit of the volume of quotas in the National plan in the following cases:

introduction of a new stationary source of greenhouse gas emissions at the installation, limited by quota on the basis of application of the baseline, from the beginning of the year of development and the validity period of the National plan;

increase of the capacity of the installation, limited by quota on the basis of application of specific greenhouse gas emission coefficients, during the period of validity of the National plan.

Footnote. Paragraph 24 as amended by the order of the acting Minister of Energy of the Republic of Kazakhstan dated 03.08.2018 No. 301 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

25. In the cases referred to in paragraph 24 of these Rules, the installation operator shall submit to the authorized body not earlier than April 1, but not later than October 1 of the year following the reporting year, the following documents:

1) application for changing the volume of quotas for greenhouse gas emissions according to the form in Appendix 2 to these Rules;

2) a verified passport of the installation (in case of introduction of a new stationary source);

3) a validated monitoring plan (if a new stationary source is introduced);

4) a document confirming the commissioning of the source from the beginning of the development year and the validity period of the National Plan (in case of introduction of a new stationary source);

5) calculations rationalizing the volume of the requested additional quota for greenhouse gas emissions (in the event of an increase in the installation capacity).

An additional volume of quotas for greenhouse gas emissions shall be issued on the basis of confirmed reports on the inventory of greenhouse gases for the period of the current National Plan in the event of a shortage of the main volume of quotas.

In case of applying for additional volume of quotas for greenhouse gas emissions for the validity period of the National Plan, the installation operator shall submit to the authorized body the documents referred to in this paragraph not earlier than April 1, but not later than July 1 of the year following the reporting one.

Footnote. Paragraph 25 as amended by Order No. 276 of the acting Minister of Ecology, Geology and Natural Resources of the Republic of Kazakhstan dated 03.11.2020 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

25-1. When introducing a new stationary source, an additional quota volume is issued in the amount equal to greenhouse gas emissions from this source in accordance with the verified greenhouse gas inventory report for the previous reporting year.

With an increase in the installation capacity, the installation operator calculates the requested additional volume of quotas for greenhouse gas emissions according to the following formula:

$$M = (X - Y) \times Z,$$

Where:

M – a requested additional volume of quota for greenhouse gas emissions;

X – a confirmed production volume indicated in the verified report on inventory of greenhouse gases for the previous reporting year;

Y - the average value of the volume of production for 2013-2015;

Z – a specific greenhouse gas emission coefficient, according to the list.

Footnote. The rules are supplemented with paragraph 25-1 in accordance with the order of the acting Minister of Energy of the Republic of Kazakhstan dated 03.08.2018 No. 301 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

25-2. The circulation period of reserve quota units intended for issuing additional quotas for greenhouse gas emissions is carried out within ninety working days after the reporting date for the last reporting year of the relevant National Plan.

Footnote. The Rules are supplemented with paragraph 25-2 in accordance with the order of the acting Minister of Energy of the Republic of Kazakhstan dated 03.08.2018 No. 301 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

26. The authorized body considers the documents submitted by the installation operator specified in paragraph 25 of these Rules within fifteen calendar days from the receipt of the documents.

In the case of a positive decision on the issuance of an additional volume of quotas for greenhouse gas emissions, the authorized body within three working days sends appropriate notifications to the operator of the State register indicating the installation operator, the amount of additional quotas and the installation operator.

Footnote. Paragraph 26 as amended by the order of the acting Minister of Energy of the Republic of Kazakhstan dated 03.08.2018 No. 301 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

27. The additional volume of the quota is credited by the operator of the State register to the account of the installation operator within three working days from the date of receipt of a written notification from the authorized body.

28. Information on the revised volumes of quotas for greenhouse gas emissions is published on the official Internet resource of the authorized body.

29. In cases of incompleteness and inconsistency of the submitted documents, the authorized body sends the documents, referred to in paragraph 25 of these Rules, for revision.

30. After the installation operator submits the finalized documents, the authorized body considers the documents within the time periods specified in paragraph 26 of these Rules.

31. In the event of a change in the installation operator, its name or legal form, the authorized body notifies the operator of the State register of the relevant changes within five working days from the date of the applicant's appeal on the basis of the following supporting documents:

1) the sale and purchase contract or the act of transfer and acceptance of the installation - in the event of a change in the installation operator (alienation);

2) a copy of an identity document - for an individual;

3) the operator of the state register receives information on the state registration (re-registration) of a legal entity from the relevant state information systems.

Footnote. Paragraph 31 as amended by Order No. 276 of the acting Minister of Ecology, Geology and Natural Resources of the Republic of Kazakhstan dated 03.11.2020 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

32. The operator of the State register makes the appropriate changes within five working days.

Greenhouse gas emission obligations are transferred to the new installation operator in accordance with paragraph 2 of Article 94-4 of the Code.

33. In the event that when changing the installation operator, the amount of the quota established by the National plan changes, the installation operator submits documents, referred to in paragraph 31 of these Rules, to the authorized body.

34. The installation operator, in the event of its liquidation, notifies the authorized body of the termination of its activities with the attachment of a report on the inventory of greenhouse gases for the finished period.

34-1. If the liquidated installation operator fails to submit the greenhouse gas inventory report, the authorized body shall take a decision to transfer the unused volume of quotas from the account of the liquidated installation operator to the account of the National plan Reserve.

Footnote. Rules, supplemented by Paragraph 34-1 in accordance with Order No. 276 of the acting Minister of Ecology, Geology and Natural Resources of the Republic of Kazakhstan dated 03.11.2020 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

35. Within three working days after the decision is made, in the cases specified in paragraphs 34, 34-1 of these Rules, the authorized body shall notify the operator of the State register about the transfer of the unused volume of quotas for greenhouse gas emissions from the account of the liquidated installation operator to the account of the reserve volume of quotas of the National plan.

Footnote. Paragraph 35 as amended by Order No. 276 of the acting Minister of Ecology, Geology and Natural Resources of the Republic of Kazakhstan dated 03.11.2020 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

35-1. In the event of a decrease in the installation capacity, which is quotable on the basis of the application of specific emission factors of greenhouse gases, confirmed in the report on the inventory of greenhouse gases for the previous reporting years, the authorized body, basing on the relevant National Plan period results, shall withdraw the corresponding volume of quotas to the National Plan reserve, excluding the volume of

quotas, redistributed between the installations of one operator in accordance with paragraph 5 of Article 94-2 of the Code.

The authorized body shall notify the installation operator about withdrawal of the volume of quotas within three working days after the decision on withdrawal is made, resulting from a decrease in the installation capacity. The authorized body shall notify the operator of the state register within three working days about the need to transfer the volume of quotas from the account of the installation operator to the account of the National Plan reserve, indicating the volume of quotas.

Footnote. Rules, supplemented by Paragraph 35-1 in accordance with Order No. 276 of the acting Minister of Ecology, Geology and Natural Resources of the Republic of Kazakhstan dated 03.11.2020 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

Chapter 4. Procedure for redemption of quotas for greenhouse gas emissions

36. Redemption of quotas for greenhouse gas emissions is carried out annually by withdrawing the carbon units from circulation (write-off) of the National plan according to the verified report on the inventory of greenhouse gas emissions for the reporting year (hereinafter - the report) in the State register.

37. The authorized body, within five working days after the registration of the report, notifies the operator of the State register of the need to transfer units of quotas from the account of the installation operator to the account for the redemption of quotas indicating the amount of quotas for redemption for the reporting year.

38. In the case of a transaction by direct sale-purchase of the missing amount of quotas from the established amount by the National plan, indicated in the presented report as planned for acquisition, in order to transfer them for redemption, the installation operator redeems the units of quotas in the following order:

1) installation operators (seller and buyer) submit to the authorized body within five working days from the date of transaction the data including information on installation operators (seller and buyer), the volume of quota units sold / bought, the price, in accordance with the Trading Rules for quotas for greenhouse gas emissions and carbon units, approved by the order of the Minister of Environmental Protection of the Republic of Kazakhstan dated May 11, 2012 No. 151-ø (registered in the Register of state registration of regulatory legal acts No. 7711) (hereinafter - the Trading Rules);

2) the authorized body notifies the operator of the State register of the need to transfer the appropriate volume of quota units between the accounts of the installation operators (seller and buyer accounts) in the State register, indicating the amount of quotas for transfer in accordance with the Trading Rules;

3) the installation operator (buyer), after crediting the purchased units of quotas to his account, submits an application to the authorized body to redeem the quotas for greenhouse gas emissions in the form in accordance with appendix 3 to these Rules;

4) the authorized body notifies the operator of the State register of the need to transfer the appropriate volume of units of quotas from the account of the installation operator to the account for redemption of quotas indicating the amount of quotas in the State register.

39. In the event of a transaction on a commodity exchange for the sale and purchase of carbon units indicated in the presented report as being planned to acquire the missing volume of quotas from the established amount by the National plan, in order to transfer them for redemption, the installation operator redeems the units of quotas in the following order:

1) the installation operator submits to the operator of the State register a list of accounting of the exchange transaction based on the results of the sale-purchase of carbon units;

2) the installation operator (buyer), after crediting the purchased units of quotas to his account, submits to the operator of the State register an application for redemption of quotas for greenhouse gas emissions in the form in accordance with appendix 3 to these Rules;

3) the operator of the State register transfers the corresponding volume of units of quotas from the account of the installation operator to the account for redemption of quotas.

40. In the case of receiving units of internal reduction, the installation operator submits to the operator of the State register an application for redemption of quotas for greenhouse gas emissions in the form in accordance with appendix 3 to these Rules.

The operator of the State register transfers the corresponding volume of units of internal reduction from the account of the installation operator to the account for redemption of quotas.

41. In the case of obtaining an additional volume of quotas for greenhouse gas emissions, in order to transfer them for redemption, the installation operator redeems units in the following order:

1) the installation operator, after crediting an additional volume of quotas for greenhouse gas emissions to his account, submits to the authorized body an application for redemption of quotas for greenhouse gas emissions in the form in accordance with appendix 3 to these Rules;

2) the authorized body notifies the operator of the State register of the need to transfer an additional volume of quota units from the account of the installation operator to the account for redemption of quotas indicating the amount of quotas in the State register;

3) the operator of the State register transfers the additional volume of quota units from the account of the installation operator to the account of quota redemption within three working days.

Footnote. The Rules are supplemented by paragraph 41 in accordance with the order of the acting Minister of Energy of the Republic of Kazakhstan dated 03.08.2018 No. 301 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Appendix 1
to the Rules for issuing,
amending and redeeming quotas
for greenhouse gas emissions
Form

Application for issuing quotas for greenhouse gas emissions on a new installation/ for installations of subjects of administration

Footnote. Appendix 1 as amended by Order No. 276 of the acting Minister of Ecology, Geology and Natural Resources of the Republic of Kazakhstan dated 03.11.2020 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

1. Name of the installation operator / quotable administration subject	
2. General information:	
2.1. Legal address	
2.2. Individual identification number (IIN) or business identification number (BIN)	
2.3. Contact phones, fax, e-mail	
3. Sector of the economy to which the installation belongs under the requirements for quotas on greenhouse gas emissions (code and name) according to the general classifier of types of economic activity	
4. Volume of the requested quota for greenhouse gas emissions from the reserve of the volume of quotas for the validity period of the National Plan:	
Including the requested quota for greenhouse gas emissions for the reporting year:	
5. Validity period of the National plan	from " " __ 20__ to " " __ 20__
Reporting year for which the volume of the requested quota for greenhouse gas emissions is intended:	
6. The following documents shall be attached to the application:	1) Verified installation passport (original); 2) validated plan of monitoring greenhouse gas emissions (original);

Head in charge _____

(full name, position, signature)

Stamp here (except persons who are private business subjects).

Application for changing volumes of quotas for greenhouse gas emissions

Footnote. Appendix 2 as amended by Order No. 276 of the acting Minister of Ecology, Geology and Natural Resources of the Republic of Kazakhstan dated 03.11.2020 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

1. Name of the installation operator	
2. General information: 2.1. Legal address 2.2. Individual identification number (IIN) or business identification number (BIN) 2.3. Contact phones, fax, e-mail	
3. Type of economic activity according to the general classifier of types of economic activity, to which the installation belongs under the requirements for setting quotas on greenhouse gas emissions (code and name)	
4. Volume of quotas, established under the current National plan:	
5. Additional volume of quotas:	
6. Total volume of quotas, taking into account the additional volume of quotas	
7. Reason for requesting a change in the amount of quotas (tick as applicable):	
7.1. Increase of the installation capacity	
7.2. Introduction of a new stationary source of greenhouse gas emissions, technologically connected with the installation	
8. Reporting year for which additional volume of quotas for greenhouse gas emissions is requested	
9. The following documents shall be attached to the application:	1) verified installation passport (in case of introduction of a new stationary source); 2) validated plan of monitoring greenhouse gas emissions (in case of introduction of a new stationary source); 3) document confirming the commissioning of the source from the beginning of the development year and validity period of the National Plan (in case of introduction of a new stationary source); 4) calculations rationalizing the volume of requested additional quota for greenhouse gas emissions (in the event of an increase in the capacity).
Name _____	Address _____ Telephone _____ Email _____

Executive _____	(f u l l signature) _____ Telephone _____	n a m e ,
Head in charge _____ Chief accountant _____	(full name, _____ signature) _____	

Head in charge _____

(full name, position, signature)

Stamp here (except persons who are private business subjects).

Appendix 3
to the Rules for issuing,
amending and redeeming
quotas for greenhouse
gas emissions
Form

Application for redeeming quotas for greenhouse gas emissions

Footnote. Appendix 3 as amended by Order No. 276 of the acting Minister of Ecology, Geology and Natural Resources of the Republic of Kazakhstan dated 03.11.2020 (shall be enforced upon expiry of ten calendar days after the date of its first official publication).

1. Name of the installation operator	
2 . General information :	
2 . 1 . Legal address	
2.2. Individual identification number (IIN) or business identification number (BIN)	
2.3. Contact phones, fax, e-mail	
3. Sector of economy, to which the installation belongs under the requirements for setting quotas for greenhouse gas emissions according to the general classifier of types of economic activity	
4. Total volume of redeemed quota for greenhouse gas emissions	___ tons
4.1. Quota units purchased for redemption	___ tons
4.2. Internal emission reduction units	___ tons
4.3. Additional volume of quota units	___ tons
5. Reporting year	20__

Head in charge _____

(full name, position, signature)

Stamp (except persons who are private business subjects).

