

On approval of risk assessment criteria and checklists when conducting subsoil use operations in the field of hydrocarbons

Unofficial translation

Joint Order № 453 of the Minister of Energy of the Republic of Kazakhstan as of November 23, 2018 and № 77 of the Acting Minister of National Economy of the Republic of Kazakhstan as of November 23, 2018. Registered in the Ministry of Justice of the Republic of Kazakhstan on November 27, 2018 № 17797.

Unofficial translation

Footnote. The title is in the wording of the joint order of the acting Minister of Energy of the Republic of Kazakhstan dated 29.11.2022 № 382 and acting Minister of National Economy of the Republic of Kazakhstan dated 30.11.2022 № 101 (shall be enforced from 01.01.2023).

In accordance with paragraph 5 of Article 141, paragraph 1 of Article 143 of the Entrepreneurial Code of the Republic of Kazakhstan, **WE HEREBY ORDER:**

Footnote. The preamble is in the wording of the joint order of the acting Minister of Energy of the Republic of Kazakhstan dated 29.11.2022 № 382 and acting Minister of National Economy of the Republic of Kazakhstan dated 30.11.2022 № 101 (shall be enforced from 01.01.2023).

1. To approve:

- 1) the criteria for assessing the degree of risk when conducting subsoil use operations in the field of hydrocarbons in accordance with Appendix 1 to this joint order;
- 2) a checklist when conducting subsoil use operations in the field of hydrocarbons on land in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon exploration in accordance with Appendix 2 to this joint order;
- 3) a checklist when conducting subsoil use operations in the field of hydrocarbons on land in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon production in accordance with Appendix 3 to this joint order;
- 4) a checklist when conducting subsoil use operations in the field of hydrocarbons at sea in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon exploration in accordance with Appendix 4 to this joint order;
- 5) a checklist when conducting subsoil use operations in the field of hydrocarbons at sea in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon production in accordance with Appendix 5 to this joint order;

6) a checklist when conducting subsoil use operations in the field of hydrocarbons in relation to individuals or legal entities whose right to conduct subsoil use operations has been terminated in accordance with Appendix 6 to this joint order;

7) a checklist when conducting subsoil use operations in the field of hydrocarbons in relation to individuals or legal entities who have permission to create and locate offshore facilities in accordance with Appendix 7 to this joint order.

Footnote. Paragraph 1 is in the wording of the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

2. To invalidate Joint Order № 718 of the Acting Minister of Energy of the Republic of Kazakhstan as of December 14, 2015 and № 800 of the Minister of National Economy of the Republic of Kazakhstan as of December 28, 2015 “On Approval of Risk Assessment Criteria and the Checklist for Oil Operations” (registered in the Register of State Registration of Regulatory Legal Acts under № 12673, published in the “Adilet” Information and Legal System on January 27, 2016).

3. In accordance with the procedure established by the legislation of the Republic of Kazakhstan, the Department of State Control over Hydrocarbons and Subsoil Use of the Ministry of Energy of the Republic of Kazakhstan shall:

1) ensure state registration of this joint order with the Ministry of Justice of the Republic of Kazakhstan;

2) within ten calendar days of the state registration of this joint order, send it in Kazakh and Russian to the Republican State Enterprise with the Right of Economic Management “Republican Center of Legal Information” for its official publication and inclusion into the Reference Control Bank of Regulatory Legal Acts of the Republic of Kazakhstan;

3) place this joint order on the official website of the Ministry of Energy of the Republic of Kazakhstan;

4) within ten working days of the state registration of this joint order with the Ministry of Justice, submit information on the implementation of measures, provided for in subparagraphs 1), 2) and 3) of this paragraph and paragraph 3 of this resolution, to the Legal Department of the Ministry of Energy of the Republic of Kazakhstan.

4. Control over execution of this joint order shall be entrusted to the supervising deputy Minister of Energy of the Republic of Kazakhstan.

5. This joint order shall take effect ten calendar days after the day of its first official publication.

*Minister of Energy of the
Republic of Kazakhstan*

K. Bozumbayev

*Acting Minister of
National Economy of the
Republic of Kazakhstan*

R. Dalenov

“AGREED”

Committee on Legal Statistics and
Special Accounts of the
General Prosecutor’s Office of
the Republic of Kazakhstan

Appendix 1
To Joint Order № 453 of the
Minister of Energy of the Republic
of Kazakhstan as of
November 23, 2018 and № 77
of the Acting Minister
of National Economy of the
Republic of Kazakhstan
as of November 23, 2018

Criteria

for assessing the degree of risk when conducting subsoil use operations in the field of hydrocarbons

Footnote. Appendix 1 is in the wording of the joint order of the acting Minister of Energy of the Republic of Kazakhstan dated 29.11.2022 № 382 and acting Minister of National Economy of the Republic of Kazakhstan dated 30.11.2022 № 101 (shall be enforced from 01.01.2023).

Chapter 1. General provisions

1. These Criteria for assessing the degree of risk when conducting subsoil use operations in the field of hydrocarbons (hereinafter - the Criteria) have been developed in accordance with paragraph 5 of Article 141 of the Entrepreneurial Code of the Republic of Kazakhstan (hereinafter - the Entrepreneurial Code), the Code of the Republic of Kazakhstan “On Subsoil and Subsoil Use” (hereinafter - the Code) and the Rules for the formation by regulatory state bodies of a risk assessment and management system, approved by order of the acting Minister of National Economy of the Republic of Kazakhstan dated June 22, 2022 № 48 (registered in the Register of state registration of regulatory legal acts № 28577) for the purpose of classifying the subjects (objects)) of control in the field of control during subsoil use operations in the field of hydrocarbons according to the degree of risk.

2. The Criteria use the following concepts:

1) a subject of control - individuals or legal entities that have the right to conduct subsoil use operations in the field of hydrocarbons, as well as individuals or legal entities whose right to conduct subsoil use operations has been terminated;

2) score – a quantitative measure of risk calculation;

3) non-significant violations – violations related to:

non-compliance with the requirement to send annual reports to the authorized body in the field of hydrocarbons on the implementation of programs for the development of crude gas processing;

non-compliance with the requirement for independent testing of each productive layer during layer testing and wells testing (for the period established by the project document, but not more than 90 (ninety) days for each test object with a complex of field geological and hydrodynamic studies);

the absence in the technological operating mode of wells of a technological norm for liquid extraction - for each production well and the volume of injected displacing agent (pick-up rate) - for each injection well;

the absence of technological operating modes of production wells, compiled monthly or once a quarter, depending on the stability of the development conditions of the facility. Simultaneously with the technological operating modes of production wells, a plan of geological and technical measures shall be drawn up and approved to ensure the standards for liquid extraction from wells and the production facility as a whole;

non-compliance with the requirements for the formation of a tender commission in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting hydrocarbon exploration or production operations;

non-compliance with the requirements for placing an announcement about an open tender and tender documentation in the register (system) in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for exploration or production of hydrocarbons;

4) normalization of data – a statistical procedure that involves bringing values measured on various scales to a conventionally common scale;

5) significant violations - violations related to non-compliance with the mandatory norms of the Code;

6) gross violations - violations related to non-compliance with the prohibitory norm of the Code;

7) risk – the probability of causing harm as a result of the activities of the subject of control to human life or health, the environment, the legitimate interests of individuals and legal entities, the property interests of the state, taking into account the severity of its consequences;

8) criteria for assessing the degree of risk - a set of quantitative and qualitative indicators related to the direct activities of the subject of control, features of industry development and factors influencing this development, allowing the subjects (objects) of control to be classified as different degrees of risk;

9) objective criteria for assessing the degree of risk (hereinafter- the objective criteria) - criteria for assessing the degree of risk used to select subjects (objects) of control depending

on the degree of risk in a certain field of activity and not directly dependent on the individual subject (object) of control;

10) subjective criteria for assessing the degree of risk (hereinafter - the subjective criteria) - criteria for assessing the degree of risk used to select subjects (objects) of control depending on the results of the activities of a particular subject (object) of control;

11) risk assessment and management system - the process of making management decisions aimed at reducing the likelihood of adverse factors occurring by distributing subjects (objects) of control according to the degree of risk for subsequent implementation of preventive control with a visit to the subject (object) of control in order to limit the freedom of entrepreneurship to the minimum possible degree, while ensuring an acceptable level of risk in relevant areas of activity, as well as aimed at changing the level of risk for a particular subject (object) of control and (or) releasing such a subject (object) of control from preventive control with a visit to the subject (object) of control.

Footnote. Paragraph 2 is in the wording of the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

3. For the purposes of risk management when carrying out preventive control with a visit to the subject (object) of control, the subjects (objects) of control belong to one of the following degrees of risk (hereinafter - the degree of risk):

- 1) high risk;
- 2) medium risk;
- 3) low risk.

4. Criteria for assessing the degree of risk for conducting preventive control of subjects (objects) of control shall be formed by determining objective and subjective criteria.

Chapter 2. Objective criteria

5. Determination of objective criteria shall be carried out by determining risk.

6. Risk determination shall be carried out taking into account one of the following criteria:

- 1) level of danger (complexity) of the object;
- 2) the scale of severity of possible negative consequences, harm to the regulated area (region);
- 3) the possibility of an unfavorable incident for human life or health, the environment, the legitimate interests of individuals and legal entities, and the state.

7. Subjects of control that are individuals or legal entities that have the right to conduct subsoil use operations for the production of hydrocarbons (having a subsoil use contract) shall be classified as high degree of risk.

Subjects of control that are individuals or legal entities that have the right to conduct subsoil use operations for hydrocarbon exploration (having a subsoil use contract) shall be classified as medium degree of risk.

Subjects of control, that are individuals or legal entities whose right to conduct subsoil use operations in the field of hydrocarbons has been terminated, shall be classified as low degree of risk.

8. In relation to subjects (objects) of control classified as high and medium risk, subjective criteria shall be applied in order to conduct preventive control with a visit to the subject (object) of control.

Chapter 3. Subjective criteria

9. Determination of subjective criteria shall be carried out using the following steps:

- 1) formation of a database and collection of information;
- 2) information analysis and risk assessment;

10. Formation of a database and collection of information is necessary to identify subjects (objects) of control that violate the legislation of the Republic of Kazakhstan.

To assess the degree of risk for conducting preventive control with visits to subjects (objects) of control, the following sources of information shall be used:

- 1) results of monitoring the reporting and information submitted by the subject of control to the authorized body in the field of hydrocarbons;
- 2) results of previous inspections and preventive control with visits to subjects (objects) of control. At the same time, the severity of violations (Gross, Significant, Non-significant) shall be established in case of non-compliance with the requirements of legislation reflected in the checklists.

To assess the degree of risk to conduct verification for compliance with permitting requirements, a source of information shall be used - the results of previous inspections. At the same time, the severity of violations (Cross, Significant, Non-significant) shall be established in case of non-compliance with the requirements of the legislation reflected in the checklists.

Footnote. Paragraph 10 is in the wording of the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

11. The calculation of the risk level indicator according to subjective criteria (R) shall be carried out in an automated mode by summing the risk level indicator for violations based on the results of previous inspections (SP) and the risk level indicator according to subjective criteria (SC), with subsequent normalization of data values in the range from 0 up to 100 points.

$R_{prom} = SP + SC$, where

Rprom - an intermediate indicator of the degree of risk according to subjective criteria,
SP – indicator of the degree of risk for violations,
SC is an indicator of the degree of risk according to subjective criteria.

The calculation is made for each subject (object) of control of a homogeneous group of subjects (objects) of control of each sphere of state control. In this case, the list of assessed subjects (objects) of control related to a homogeneous group of subjects (objects) of control of one sphere of state control forms a sample set (sample) for subsequent data normalization.

Based on the data obtained from the results of previous inspections, an indicator of the degree of risk for violations shall be formed, assessed in points from 0 to 100.

If one gross violation is detected from any of the sources of information specified in paragraph 10 of these criteria, the subject of control shall be assigned a risk indicator of 100 points and preventive control shall be carried out in respect of it with a visit to the subject (object) of control.

If gross violations are not detected, the risk level indicator for violations shall be calculated by the total indicator for violations of a significant and non-significant degree.

When determining the indicator of significant violations, a coefficient of 0.7 shall be applied.

This indicator is calculated using the following formula:

$$SP_3 = (SP_2 \times 100 / SP_1) \times 0,7, \text{ where:}$$

SP_3 – indicator of significant violations;

SP_1 – required number of significant violations;

SP_2 – number of detected significant violations;

When determining the indicator of non-significant violations, a coefficient of 0.3 shall be applied.

This indicator is calculated using the following formula:

$$SP_H = (SP_2 \times 100 / SP_1) \times 0,3, \text{ where:}$$

SP_H – indicator of non-significant violations;

SP_1 – required number of non-significant violations;

SP_2 – number of detected non-significant violations;

The violation risk indicator (SP) shall be calculated on a scale from 0 to 100 points and shall be determined by summing the indicators of significant and non-significant violations using the following formula:

$$SP = SP_s + SP_n, \text{ where:}$$

SP – indicator of the degree of risk for violations;

SP_s – indicator of significant violations;

SP_n - indicator of non-significant violations.

The obtained value of total indicator shall be the basis for classifying a business entity to one of the following degrees of risk:

1) to a high degree of risk - with a risk degree indicator from 71 to 100 inclusive and in relation to it, preventive control shall be carried out with a visit to the subject (object) of control;

2) to a medium degree of risk - with a risk degree indicator from 31 to 70 inclusive and in relation to it, preventive control shall be carried out with a visit to the subject (object) of control;

3) to a low degree of risk - with a risk degree indicator from 0 to 30 inclusive and in relation to it no preventive control shall be carried out with a visit to the subject (object) of control.

Based on the priority of the applied sources of information and the significance of the indicators of subjective criteria, in accordance with the procedure for calculating the risk degree indicator according to subjective criteria, the risk degree indicator according to subjective criteria shall be calculated on a scale from 0 to 100 points.

The calculation of the risk degree indicator according to subjective criteria shall be made on a scale from 0 to 100 points and shall be carried out using the following formula:

$$SC = \sum_{i=1}^n x_i * w_i, \text{ где}$$

x_i – subjective criterion indicator,

w_i – specific weight of the subjective criterion indicator,

n – number of indicators.

The obtained value of the risk degree indicator according to subjective criteria shall be included in the calculation of the risk degree indicator according to subjective criteria.

The indicator values calculated for subjects (objects) shall be normalized to a range from 0 to 100 points. Data normalization shall be carried out for each sample population (sample) using the following formula:

$$R = \frac{R_{\text{пром}} - R_{\text{min}}}{R_{\text{max}} - R_{\text{min}}},$$

R – risk degree indicator (final) according to the subjective criteria of an individual subject (object) of control,

Rmax – the maximum possible value on the risk degree scale according to subjective criteria for subjects (objects) included in one sample population (sample) (upper limit of the scale),

Rmin – the minimum possible value on the risk degree scale according to subjective criteria for subjects (objects) included in one sample population (sample) (lower limit of the scale),

Rprom - an intermediate indicator of the degree of risk according to subjective criteria.

The degree of violation of requirements for entities when conducting subsoil use operations in the field of hydrocarbons on land in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon exploration in accordance with Appendix 1 to these Criteria.

The degree of violation of requirements for subjects when conducting subsoil use operations in the field of hydrocarbons on land in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon production in accordance with Appendix 2 to these Criteria.

The degree of violation of requirements for subjects when conducting subsoil use operations in the field of hydrocarbons at sea in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon exploration in accordance with Appendix 3 to these Criteria.

The degree of violation of requirements for subjects when conducting subsoil use operations in the field of hydrocarbons at sea in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon production in accordance with Appendix 4 to these Criteria.

The degree of violation of requirements for subjects when conducting subsoil use operations in the field of hydrocarbons in relation to individuals or legal entities that have permission to create and locate offshore facilities in accordance with Appendix 5 to these Criteria.

The priority of the applied sources of information and the significance of the indicators of subjective criteria shall be established according to the list of subjective criteria for determining the degree of risk according to subjective criteria, which are given in Appendices 6, 7, 8 and 9 to these Criteria.

When analyzing and assessing, data from subjective criteria that were previously taken into account and used in relation to a specific subject (object) of control or data for which the statute of limitations has expired in accordance with paragraph 1 of Article 178 of the Civil Code of the Republic of Kazakhstan shall not be used.

In relation to subjects of control that have eliminated in full the violations issued based on the results of the previous preventive control with a visit, their inclusion in the formation of lists for the next period of state control shall not be allowed.

The frequency of preventive control with a visit to the subject (object) of control shall be determined by the control body in relation to subjects (objects) of control classified as high risk, no more than once a year.

Analysis of the information received and assessment of indicators shall be carried out twice a year until the first of May and until the first of December of the reporting year.

If a preventive control with a visit was previously carried out in relation to the subject (object) of control, the analyzed period shall be the period from the day after the end date of the last preventive control with a visit until the start of the analysis.

Preventive control with a visit to the subject (object) of control shall be carried out on the basis of semi-annual lists of preventive control with a visit to the subject (object) of control, formed in accordance with paragraph 4 of Article 144-2 of the Code.

Footnote. Paragraph 11 is in the wording of the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

Appendix 1
to the Criteria for assessing the degree
of risk when conducting
subsoil use operations in the field
of hydrocarbons

The degrees of violations of requirements when conducting subsoil use operations in the field of hydrocarbons on land in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon exploration

Footnote. Appendix 1 is in the wording of the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication); as amended by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 28.02.2024 № 83 and the Deputy Prime Minister - Minister of National Economy of the Republic of Kazakhstan dated 01.03.2024 № 7 (effective from 28.02.2024).

Item №	Requirement	Degree of violation
1	Compliance with the obligation to immediately suspend subsoil use operations in the event of non-compliance with the provision for liquidation of the consequences of subsoil use or its termination, as well as in its absence	Significant

2	Compliance with the obligation to supply hydrocarbons produced during the exploration period in full to the domestic market of the Republic of Kazakhstan, with the exception of hydrocarbons consumed for own technological needs or burned in cases of threat or emergency situations, threats to the lives of personnel or public health and the environment; when testing well objects; during trial exploitation of the deposit	Significant
3	Compliance with the requirements for maintaining and storing information (documents) on subsoil use in electronic and paper format, namely: on the operation of wells and the implementation of geological and technical measures; materials on wells operating modes; about all works on hydrocarbon production; primary documentation for the deposit; about the repair works carried out, its content, the period between repairs of equipment and wells, as well as the technical and economic efficiency of the works performed throughout the entire period of operation of the facility; all materials (acts, orders, protocols, and other materials) on conservation and (or) liquidation of oil, gas, and injection wells for various purposes during exploration and production of hydrocarbons	Significant
4	Compliance with the obligation to take over the balance of all previously drilled wells located on the territory of the subsoil plot and conduct monitoring of them	Significant
5	Compliance with the requirement to carry out subsoil use operations in accordance with the project document, as well as the prohibition on carrying out such works in the absence of a project document	Gross
	Compliance with the requirements for the development of the deposit in	

6	accordance with the technical design document	Gross
7	Compliance with the obligation to ensure reliable accounting of produced hydrocarbons	Significant
8	Compliance with the requirement to eliminate the consequences of subsoil use of hydrocarbons and (or) conservation of a subsoil area	Significant
9	Compliance with the requirements for liquidation and (or) conservation of technological facilities	Significant
10	Compliance with the obligation to submit to the authorized body in the field of hydrocarbons annual (for one financial year) and medium-term (for five financial years) programs for the procurement of goods, works, and services no later than February 1 (first) of the year planned for procurement, or no later than 60 (sixty) calendar days from the date of conclusion of the contract, as well as information on the planned acquisition of paid services of the operator in the event of its involvement by the subsoil user	Significant
	<p>Compliance with the requirement to submit the following reports to the authorized body in the field of hydrocarbons in the forms and procedures established by the legislation through a unified state subsoil use management system with a certified electronic digital signature of the first head or authorized representative:</p> <ol style="list-style-type: none"> 1) on the purchased goods, works and services, as well as the amount of intra-country value in them; 2) on the intra-country value in personnel; 3) on the costs of financing the training of Kazakhstani personnel; 4) on expenses for scientific-research , scientific-technical and development works; 5) on the fulfillment of license and contract conditions; 6) on the composition of persons and (or) organizations directly or 	

11	<p>indirectly controlling the subsoil user ;</p> <p>7) on daily information on the production and delivery of oil and gas condensate;</p> <p>8) on monthly information on oil production, gas condensate and development stages by fields (wells);</p> <p>9) on the actual monthly production and delivery of oil and gas condensate;</p> <p>10) on monthly information on the oil balance;</p> <p>11) on monthly information on the company's oil prices;</p> <p>12) on monthly information on production, delivery, and balances of oil and gas condensate by recipients;</p> <p>13) on annual information on the plan for production and delivery of oil and gas condensate;</p> <p>14) on daily information on the production of associated and natural gas;</p> <p>15) on the actual monthly production of associated and natural gas;</p> <p>16) on monthly information on the movement of associated and natural gas;</p> <p>17) on annual information on the production plan for associated and natural gas</p>	Significant
12	<p>Compliance with the requirement to adjust design indicators as part of the design organization's supervision over implementation of the exploration project (in cases of: changing the drilling schedule without reducing the number of independent wells planned, provided for in the basic design document; adjusting the location of the wells planned; changing the types and scope of the exploration work; adjustments of test objects and their quantity in drilled and projected exploration and evaluation wells), over implementation of the design document for trial operation (in cases of: changing the drilling schedule without reducing the number of wells planned, provided for in the basic design document;</p>	Significant

	adjusting the location of the wells planned; adjusting the operating modes of the wells; changing the type and scope of research work; adjusting the test objects and their number in drilled and planned appraisal and pilot production wells) and sending them to the competent authority in a notification procedure	
13	Compliance with the prohibition on burning crude gas in flares without the permission of the authorized body, except in cases of threat or occurrence of emergency situations, threats to the life of personnel or public health and the environment	Gross
14	Compliance with the obligation to notify the authorized bodies in the field of hydrocarbons and environmental protection in writing within ten days when burning crude gas in flares without permission, indicating the reasons why the burning of crude gas occurred, and information about the volumes of burned crude gas in case of threat or emergency situations, threats to the life of personnel or public health and the environment	Significant
15	Availability of a program for the development of crude gas processing approved by the authorized body in the field of hydrocarbons	Significant
16	Compliance with the requirement to send annual reports to the authorized body in the field of hydrocarbons on the implementation of programs for the development of crude gas processing	Non-significant
17	Compliance with the requirement for independent testing of each productive formation when testing the formation and testing wells for the period established by the project document, but not more than 90 (ninety) days for each test object with a complex of field geological and hydrodynamic studies	Non-significant
	Compliance with the prohibition on the operation of wells: in which there was an uncontrolled gas breakthrough through the	

18	<p>reservoir, or through the backwater space;</p> <p>in the absence of pumping and compressor pipes;</p> <p>in the absence of downhole and ground-based equipment that provides separate accounting of extracted products and conducting field studies of each object with the simultaneous separate operation of two or more objects by one well;</p> <p>for forced withdrawal of fluid in wells at pressures below the permissible value of bottomhole pressure, unless otherwise provided by the document;</p> <p>fountain or transferred to a mechanized method through the intertubular (annular) space;</p> <p>with a gas factor exceeding the design values specified in the basic project documents and project documents for the exploration and production of hydrocarbons;</p> <p>for forced extraction of liquid in wells at pressures below the permissible downhole pressure, unless otherwise provided in the project document;</p> <p>without equipment for individual or group flow measurement and well exploration;</p> <p>without manometers of wellhead and annular pressures, devices for taking wellhead samples and measuring the temperature at the mouth, reinforcement pads, and lubricators for launching deep instruments into wells (manometers, thermometers, flow meters, samplers)</p>	Gross
19	<p>Availability in the technological mode of wells operation of the technological rate of liquid extraction – for each producing well and the volume of the injected displacing agent (injectivity) – for each injection well</p>	Non-significant
	<p>Availability of technological operating modes for production wells, compiled monthly or once a quarter, depending on the stability of the development conditions of the facility. Simultaneously with the</p>	

20	technological operating modes of production wells, a plan of geological and technical measures is drawn up and approved to ensure standards for liquid extraction from wells and the operational facility as a whole.	Non-significant
21	Compliance with the prohibition on hydraulic fracturing of reservoir deposits with thin seals in order to avoid depressurization of hydrocarbon deposits	Gross
22	Compliance with the requirements for the formation of a tender commission in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works, and services used in conducting operations for the exploration or production of hydrocarbons	Non-significant
23	Preventing the establishment of other requirements in the tender documentation that are not provided for by the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons	Gross
24	Compliance with the requirements for placing an announcement of an open tender and tender documentation in the register (system) in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons	Non-significant
25	Preventing unreasonable admission and (or) rejection by the customer of competitive bids from potential suppliers in violation of the procedure for the acquisition by subsoil users and their contractors of goods, works, and services used in conducting operations for the exploration or production of hydrocarbons	Gross

26	Compliance with the requirements for the content and conditions of concluding an agreement on the purchase of goods, works and services	Significant
27	Compliance with the obligation to purchase goods, works and services used in conducting operations for the exploration or production of hydrocarbons by means of an open tender, from a single source and an open tender for reduction (electronic bidding) using the register of goods, works and services used in hydrocarbon operations subsoil use and their manufacturers or other electronic procurement systems located in the Kazakhstani segment of the Internet, the work of which is synchronized with the work of such a registry	Significant
28	Compliance with the requirement for a conditional reduction in the price of the competitive bid of the tender participants - Kazakhstani producers of works and services by twenty percent when determining the winner of the tender for the acquisition of works and services	Significant
29	Compliance with the obligation to approve and submit for examination a project for the conservation of a subsoil plot within two months from the date of termination of the right to subsoil use or suspension of the contract for subsoil use of hydrocarbons, as well as completion of the conservation of a subsoil plot within the time limits established in the conservation project	Significant
30	Compliance with the prohibition on carrying out activities in the field of production and (or) turnover of oil and gas condensate, operations for the production and (or) turnover of crude oil and gas condensate without equipping production facilities with metering devices and ensuring their functioning	Gross
	Compliance with the requirement on the provision by entities operating in the field of crude oil and gas condensate turnover of access to the	

31	authorized body in the field of hydrocarbons to their existing accounting systems for data on the amount of crude oil and gas condensate in turnover, prepared for delivery to the consumer	Significant
32	Compliance with the requirement to submit an application for oil supply for the formation of oil supply schedules on a monthly basis before the fifth day of the month preceding the reporting month	Significant

Appendix 2
to the Criteria for assessing the degree
of risk when conducting
subsoil use operations in the field
of hydrocarbons

The degrees of violations of requirements when conducting subsoil use operations in the field of hydrocarbons on land in relation to individuals or legal entities having the right to conduct subsoil use operations for hydrocarbon production

Footnote. Appendix 2 is in the wording of the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication); as amended by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 28.02.2024 № 83 and the Deputy Prime Minister - Minister of National Economy of the Republic of Kazakhstan dated 01.03.2024 № 7 (effective from 28.02.2024).

Item №	Requirement	Degree of violation
1	Compliance with the obligation to immediately suspend subsoil use operations in the event of non-compliance with the provision for liquidation of the consequences of subsoil use or its termination, as well as in its absence	Significant
2	Compliance with the obligation to supply hydrocarbons, including those produced during the exploration period, in full to the domestic market of the Republic of Kazakhstan, with the exception of hydrocarbons consumed for own technological needs or burned in cases of threat or emergency situations, threat to the life of personnel or the health of the population and the environment;	Significant

	when testing well objects; with technologically inevitable combustion of crude gas	
3	<p>Compliance with the requirements for maintaining and storing information (documents) on subsoil use in electronic and paper format, namely:</p> <p>on the operation of wells and the implementation of geological and technical measures;</p> <p>materials on well operating modes;</p> <p>about all works on hydrocarbons production;</p> <p>primary documentation for the field;</p> <p>about the repair works carried out, its content, the period between repairs of equipment and wells, as well as the technical and economic efficiency of the works performed throughout the entire period of operation of the facility;</p> <p>all materials (acts, orders, protocols, and other materials) on conservation and (or) abandonment of oil, gas, and injection wells for various purposes during exploration and production of hydrocarbons</p>	Significant
4	Compliance with the obligation to take over the balance of all previously drilled wells located on the territory of the subsoil plot, conduct monitoring of them	Significant
5	Compliance with the requirement to carry out subsoil use operations in accordance with the project document, as well as the prohibition on carrying out such works in the absence of a project document	Gross
6	Compliance with the requirements for field development in accordance with the technical design document	Gross
7	Compliance with the obligation to ensure reliable accounting of produced hydrocarbons	Significant
8	<p>Compliance with the requirements for carrying out work:</p> <p>for additional exploration in accordance with the field development project;</p> <p>assessment of a new deposit discovered during additional</p>	Significant

	exploration, in accordance with the addition to the field development project	
9	Compliance with the requirement to eliminate the consequences of subsoil use of hydrocarbons and (or) conservation of a subsoil area	Significant
10	Compliance with the requirements for liquidation and (or) conservation of technological facilities	Significant
11	Compliance with the obligation to supply oil for processing on the territory of the Republic of Kazakhstan, and in the event of a shutdown of the oil refinery due to an emergency - and beyond, in order to meet the needs of the domestic market with petroleum products	Significant
12	Compliance with the requirement for the alienation or transfer for processing of a wide fraction of light hydrocarbons produced by it	Significant
13	Compliance with the obligation to submit annual (for one financial year) and medium-term (for five financial years) procurement programs for goods, works and services to the authorized body in the field of hydrocarbons no later than February 1 (first) of the year planned for procurement, or no later than 60 (sixty) calendar days from the date of conclusion of the contract, as well as information about the planned acquisition of paid services of the operator in case of its involvement by the subsoil user	Significant
	<p>Compliance with the requirement to submit the following reports to the authorized body in the field of hydrocarbons in the forms and procedures established by the legislation through a unified state subsoil use management system with a certified electronic digital signature of the first head or authorized representative:</p> <p>1) on the purchased goods, works, and services, as well as the amount of intra-country value in them;</p> <p>2) on the intra-country value in personnel;</p>	

14	<p>3) on the costs of financing the training of Kazakhstani personnel;</p> <p>4) on expenses for scientific-research , scientific-technical and development works;</p> <p>5) on the fulfillment of license and contract conditions;</p> <p>6) on the composition of persons and (or) organizations directly or indirectly controlling the subsoil user ;</p> <p>7) on daily information on the production and delivery of oil and gas condensate;</p> <p>8) on monthly information on oil production, gas condensate and development stages by fields (wells);</p> <p>9) on the actual monthly production and delivery of oil and gas condensate;</p> <p>10) on monthly information on the oil balance;</p> <p>11) on monthly information on the company's oil prices;</p> <p>12) on monthly information on production, delivery and balances of oil and gas condensate by recipient;</p> <p>13) on annual information on the plan for production and delivery of oil and gas condensate;</p> <p>14) on daily information on the production of associated and natural gas;</p> <p>15) on the actual monthly production of associated and natural gas;</p> <p>16) on monthly information on the movement of associated and natural gas;</p> <p>17) on annual information on the production plan for associated and natural gas</p>	Significant
15	<p>Compliance with the requirement to adjust design indicators as part of the design organization's supervision of the field development project (in cases of: changing the well commissioning schedule without changing the total design well stock provided for in the basic design document; adjusting the location of the designed wells, if there is a reasonable need; changing the types and scope of research work;</p>	Significant

	adjusting test objects and their number in drilled and designed production wells and appraisal wells as part of additional exploration of the field and analysis of the development of a hydrocarbon field, carried out at least once every three years and sending them in a notification procedure to the competent authority	
16	Availability of state expertise of project documents of the results of the analysis of the development of a hydrocarbon field in case of significant (more than ten percent) discrepancies between the actual and design indicators of the field development	Significant
17	Compliance with the prohibition on burning crude gas in flares without the permission of the authorized body, except in cases of threat or occurrence of emergency situations, threats to the life of personnel or public health and the environment	Gross
18	Compliance with the obligation to notify the authorized bodies in the field of hydrocarbons and environmental protection in writing within ten days when burning crude gas in flares without permission, indicating the reasons why the burning of crude gas occurred, and information about the volumes of burned crude gas in case of threat or emergency situations, threats to the life of personnel or public health and the environment	Significant
19	Compliance with the obligation to conduct an investigation and submit quarterly reports to the authorized body in the field of hydrocarbons no later than the twenty-fifth day of the month following the reporting quarter, indicating information about the time and volumes of gas burned for each case of technological failures, breakdowns and deviations in the operation of process equipment, and also their reasons	Significant
20	Availability of a program for the development of crude gas processing	Significant

	approved by the authorized body in the field of hydrocarbons	
21	Compliance with the requirement to send annual reports to the authorized body in the field of hydrocarbons on the implementation of programs for the development of crude gas processing	Non-significant
22	Compliance with the requirement for independent testing of each productive formation when testing the formation and testing wells for the period established by the project document, but not more than 90 (ninety) days for each test object with a complex of field geological and hydrodynamic studies	Non-significant
23	Preventing unjustified release of gas from the gas cap and degassing of oil in reservoir conditions, leading to a decrease in the recovery factor of the main product (liquid hydrocarbons)	Significant
24	<p>Compliance with the prohibition on the operation of wells:</p> <ul style="list-style-type: none"> with bottomhole pressures lower than those provided for in the design documents; in which there was an uncontrolled gas breakthrough through the formation, or through the annulus; in the absence of pumping and compressor pipes; in the absence of downhole and surface equipment that would ensure separate accounting of produced products and carrying out field studies of each object while simultaneously operating two or more objects separately with one well; fountain or transferred to a mechanized method through the annular (annulus) space; with a gas factor exceeding the design values specified in the basic project documents and project documents for exploration and production of hydrocarbons; for forced extraction of liquid in wells at pressures below the 	Gross

	<p>permissible downhole pressure, unless otherwise provided by the project document;</p> <p>without equipment for individual or group flow rate measurement and well exploration;</p> <p>without manometers of wellhead and annular pressures, devices for taking wellhead samples and measuring the temperature at the mouth, reinforcement pads and lubricators for launching deep instruments into wells (manometers, thermometers, flow meters, samplers);</p> <p>not prepared for individual performance of a complex of field studies in them</p>	
25	<p>Availability in the technological mode of operation of wells of the technological norm for liquid extraction – for each producing well and the volume of the injected displacing agent (injectivity) – for each injection well</p>	Non-significant
26	<p>Availability of technological operating modes for production wells, compiled monthly or once a quarter, depending on the stability of the development conditions of the facility. Simultaneously with the technological operating modes of production wells, a plan of geological and technical measures is drawn up and approved to ensure standards for liquid extraction from wells and the operational facility as a whole.</p>	Non-significant
27	<p>Compliance with the requirements for conducting:</p> <p>a set of studies for each operational facility (determination of the component composition of the formation fluid, viscosity, density, saturation pressure, gas content, volumetric coefficient, compositions of released gas and degassed oil, as well as the dependence of gas content, volumetric coefficient and density of the formation fluid on pressure) in accordance with the schedule of sampling deep samples of oil/gas condensate from wells, taking into account the</p>	Significant

	commissioning of new wells and their uniform distribution over the deposit area; mandatory set of field studies when developing oil and oil and gas fields	
28	Availability of manometers and flow meters on the flow lines of wellhead fittings during the gas-lift method of operating production wells to measure and regulate the pressure and flow rate of the working gas	Significant
29	Compliance with the requirement to change the technological regime of wells or perform appropriate insulation works when breaking through to the bottom of gas or water wells	Significant
30	Compliance with the prohibition on hydraulic fracturing of reservoir deposits with thin seals in order to avoid depressurization of hydrocarbon deposits	Gross
31	Compliance with the requirements for maintaining records of gas production, reflecting the production of utilized gas, gas losses during well testing and various purges, as well as during emergency blowouts	Significant
32	Compliance with the requirements for the formation of a tender commission in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons	Non-significant
33	Preventing the establishment of other requirements in the tender documentation that are not provided for by the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons	Gross
34	Compliance with the requirements for placing an announcement of an open tender and tender documentation in the register (system) in accordance with the procedure for the acquisition by	Non-significant

	subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production hydrocarbons	
35	Preventing unreasonable admission and (or) rejection by the customer of competitive bids from potential suppliers in violation of the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons	Gross
36	Compliance with the requirements for the content and conditions of concluding an agreement on the purchase of goods, works and services	Significant
37	Compliance with the obligation to purchase goods, works and services used in conducting operations for the exploration or production of hydrocarbons by means of an open tender, from a single source and an open tender for reduction (electronic bidding) using the register of goods, works and services used in conducting subsoil use operations and their manufacturers or other electronic procurement systems located in the Kazakhstani segment of the Internet, the work of which is synchronized with the work of such a registry	Significant
38	Compliance with the requirement for a conditional reduction in the price of the competitive bid of the competition participants - Kazakhstani producers of works and services by twenty percent when determining the winner of the tender for the acquisition of works and services	Significant
39	Compliance with the state's preemptive right to purchase alienated crude gas owned by subsoil users	Significant
	Compliance by subsoil users intending to alienate crude gas with the requirements for sending for	

40	examination to the authorized body calculations of the marginal price of crude gas purchased by the national operator under the pre-emptive right of the state, documented, no later than January 1 of the coming year	Significant
41	Compliance by subsoil users with the requirements not to exceed the price of crude gas purchased by the national operator within the framework of the preemptive right of the state approved by the authorized body	Significant
42	Compliance by subsurface users intending to alienate crude gas, no later than five months before the start of the planned period, with the requirement to send a commercial offer to the national operator, indicating: 1) volumes of alienated crude gas; 2) prices of alienated crude gas; 3) the point of supply of crude gas	Significant
43	Compliance with the obligation to approve and submit for examination a project for the conservation of a subsoil plot within two months from the date of termination of the right to subsoil use or suspension of the contract for subsoil use of hydrocarbons, as well as completion of the conservation of a subsoil plot within the time limits established in the conservation project	Significant
44	Compliance with the prohibition on conducting activities in the field of production and (or) turnover of oil and gas condensate, operations on production and (or) turnover of crude oil and gas condensate without equipping production facilities with metering devices and ensuring their functioning	Gross
45	Compliance with the requirement on the provision by entities operating in the field of crude oil and gas condensate turnover of access to the authorized body in the field of hydrocarbons to their existing accounting systems for data on the	Significant

	amount of crude oil and gas condensate in turnover, prepared for delivery to the consumer	
46	<p>Compliance with the requirements for rationing the injection of working agent into wells and formations in wells by conducting it once a quarter and formalizing it in the form of a technological operating mode for each injection well, approved by the management of the subsoil user, indicating:</p> <p>1) daily volume of working agent injection;</p> <p>2) basic requirements for the properties of the injected agent;</p> <p>3) discharge pressure;</p> <p>4) measures to ensure established injection standards</p>	Significant
47	Compliance with the requirement to exclude selective drilling and compaction of the design grid of the most productive part of the deposit, the exploitation object and sections of the deposit with the greatest thickness in order to regulate or increase oil production	Significant
48	Compliance with the requirement to submit an application for oil supply for the formation of oil supply schedules on a monthly basis before the fifth day of the month preceding the reporting month	Significant

Appendix 3
to the Criteria for assessing the degree
of risk when conducting
subsoil use operations in the field
of hydrocarbons

The degrees of violations of requirements when conducting subsoil use operations in the field of hydrocarbons at sea in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon exploration

Footnote. Appendix 3 is in the wording of the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication); as amended by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 28.02.2024 № 83 and the Deputy

Prime Minister - Minister of National Economy of the Republic of Kazakhstan dated 01.03.2024 № 7 (effective from 28.02.2024).

Item №	Requirement	Degree of violation
1	Compliance with the obligation to immediately suspend subsoil use operations in the event of non-compliance with the provision of liquidation of the consequences of subsoil use or its termination, as well as in its absence	Significant
2	Compliance with the obligation to supply hydrocarbons produced during the exploration period in full to the domestic market of the Republic of Kazakhstan, with the exception of hydrocarbons consumed for own technological needs or burned in cases of threat or emergency situations, threats to the lives of personnel or public health and the environment; when testing well objects; during trial exploitation of the deposit	Significant
3	Compliance with the requirements for maintaining and storing information (documents) on subsoil use in electronic and paper format, namely: on the operation of wells and the implementation of geological and technical measures; materials on operating modes of wells; about all works on the production of hydrocarbons; primary documentation for the field; on the repair works carried out, its content, the period between repairs of equipment and wells, as well as the technical and economic efficiency of the works performed throughout the entire period of operation of the facility; all materials (acts, orders, protocols, and other materials) on conservation and (or) liquidation of oil, gas, and injection wells for various purposes during exploration and production of hydrocarbons	Significant
	Compliance with the obligation to take over the balance of all previously drilled wells located on	

4	the territory of the subsoil plot, conducting monitoring of them	Significant
5	Compliance with the requirement to carry out subsoil use operations in accordance with the project document, as well as the prohibition on carrying out such works in the absence of a project document	Gross
6	Compliance with the requirements for field development in accordance with the technical project document	Gross
7	Compliance with the obligation to ensure reliable accounting of produced hydrocarbons	Significant
8	Compliance with the requirements for the liquidation of the consequences of subsoil use of hydrocarbons and (or) the conservation of a subsoil plot	Significant
9	Compliance with the requirements for liquidation and (or) conservation of technological facilities	Significant
10	Compliance with the obligation to submit to the authorized body in the field of hydrocarbons annual (for one financial year) and medium-term (for five financial years) programs for the procurement of goods, works, and services no later than February 1 (first) of the year planned for procurement, or no later than 60 (sixty) calendar days from the date of conclusion of the contract, as well as information on the planned acquisition of paid services of the operator in the event of its involvement by the subsoil user	Significant
	Compliance with the requirement to submit the following reports to the authorized body in the field of hydrocarbons in the forms and procedures established by the legislation through a unified state subsoil use management system with a certified electronic digital signature of the first head or authorized representative: 1) on the purchased goods, works, and services, as well as the amount of intra-country value in them; 2) on the intra-country value in personnel;	

11	<p>3) on the costs of financing the training of Kazakhstani personnel;</p> <p>4) on expenses for scientific-research , scientific-technical and development works;</p> <p>5) on the fulfillment of license and contract conditions;</p> <p>6) on the composition of persons and (or) organizations directly or indirectly controlling the subsoil user ;</p> <p>7) on daily information on the production and delivery of oil and gas condensate;</p> <p>8) on monthly information on oil production, gas condensate and development stages by fields (wells);</p> <p>9) on the actual monthly production and delivery of oil and gas condensate;</p> <p>10) on monthly information on the oil balance;</p> <p>11) on monthly information on the company's oil prices;</p> <p>12) on monthly information on production, delivery, and balances of oil and gas condensate by recipients;</p> <p>13) on annual information on the plan for production and delivery of oil and gas condensate;</p> <p>14) on daily information on the production of associated and natural gas;</p> <p>15) on the actual monthly production of associated and natural gas;</p> <p>16) on monthly information on the movement of associated and natural gas;</p> <p>17) on annual information on the production plan for associated and natural gas</p>	Significant
	<p>Compliance with the requirement to adjust design indicators as part of the design organization' supervision over implementation of the exploration project (in cases of: changing the drilling schedule without reducing the number of independent wells planned, provided for in the basic design document; adjusting the location of the wells planned; changing the types and scope of research work; adjusting the</p>	

12	test objects and their number in drilled and planned exploratory and appraisal wells), over implementation of the design document for trial operation (in cases of: changing the drilling schedule without reducing the number of wells planned, provided for in the basic design document; adjusting the location of the wells planned; adjusting the operating modes of the wells; changing the type and scope of research work; adjusting the test objects and their number in drilled and planned appraisal and pilot production wells) and sending them to the competent authority in a notification procedure	Significant
13	Compliance with the prohibition on burning crude gas in flares without permission from the authorized body , except in cases of threat or emergency situations, threat to the life of personnel or public health and the environment	Gross
14	Compliance with the obligation to notify the authorized bodies in the field of hydrocarbons and environmental protection in writing within ten days when burning crude gas in flares without permission, indicating the reasons why the burning of crude gas occurred, and information about the volumes of burned crude gas in case of threat or emergency situations, threats to the life of personnel or public health and the environment	Significant
15	Availability of a program for the development of crude gas processing approved by the authorized body in the field of hydrocarbons	Significant
16	Compliance with the requirement to send annual reports to the authorized body in the field of hydrocarbons on the implementation of programs for the development of crude gas processing	Non-significant
17	Compliance with the requirement for independent testing of each productive formation when testing the formation and testing wells for the period established by the project	Non-significant

	document, but not more than 90 (ninety) days for each test object with a complex of field geological and hydrodynamic studies	
18	<p>Compliance with the prohibition on the operation of wells:</p> <p>in which there was an uncontrolled gas breakthrough through the formation, or through the annulus;</p> <p>in the absence of pumping and compressor pipes;</p> <p>in the absence of downhole and ground-based equipment that provides separate accounting of produced products and carrying out field studies of each object with the simultaneous separate operation of two or more objects by one well;</p> <p>fountain or transferred to a mechanized method through the intertubular (annular) space;</p> <p>with a gas factor exceeding the design values specified in the basic project documents and project documents for the exploration and production of hydrocarbons;</p> <p>for forced extraction of liquid in wells at pressures below the permissible downhole pressure, unless otherwise provided in the project document;</p> <p>without equipment for individual or group flow measurement and wells testing;</p> <p>without manometers of wellhead and annular pressures, devices for taking wellhead samples and measuring the temperature at the mouth, reinforcement pads and lubricators for launching deep instruments into wells (manometers, thermometers, flow meters, samplers)</p>	Gross
19	The presence in the technological mode of wells operation of the technological rate of liquid extraction – for each producing well and the volume of the injected displacing agent (injectivity) – for each injection well	Non-significant
	Availability of technological modes of operation of producing wells, compiled monthly or once a quarter, depending on the stability of the	

20	development conditions of the facility. Simultaneously with the technological modes of operation of producing wells, a plan of geological and technical measures is drawn up and approved to ensure the norms of liquid extraction from wells and the operational facility as a whole	Non-significant
21	Compliance with the prohibition on hydraulic fracturing of reservoir deposits with thin seals in order to avoid depressurization of hydrocarbon deposits	Gross
22	Compliance with the requirements for the formation of a tender commission in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons	Non-significant
23	Preventing the establishment of other requirements in the tender documentation that are not provided for by the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons	Gross
24	Compliance with the requirements for placing an announcement of an open tender and tender documentation in the register (system) in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons	Non-significant
25	Preventing unreasonable admission and (or) rejection by the customer of competitive bids from potential suppliers in violation of the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons	Gross

26	Compliance with the requirements for the content and conditions of concluding an agreement on the purchase of goods, works and services	Significant
27	Compliance with the obligation to purchase goods, works and services used in conducting operations for the exploration or production of hydrocarbons using open tender methods, from a single source and open tender for reduction (electronic bidding) using a register of goods, works, and services used in conducting subsoil use operations, and their manufacturers or other electronic procurement systems located in the Kazakhstani segment of the Internet, the operation of which is synchronized with the operation of such a register	Significant
28	Compliance with the requirement for a conditional reduction in the price of the tender application of the tender participants - Kazakhstani producers of works and services by twenty percent when determining the winner of the tender for the purchase of works and services	Significant
29	Compliance with the obligation to approve and submit for examination a conservation project for a subsoil plot within two months from the date of termination of the right to subsoil use or suspension of a contract for subsoil use for hydrocarbons, as well as completion of conservation of a subsoil plot within the time limits established in the conservation project	Significant
30	Compliance with the prohibition on activities in the field of production and (or) turnover of oil and gas condensate, operations on production and (or) turnover of crude oil and gas condensate without equipping production facilities with metering devices and ensuring their functioning	Gross
	Compliance with the requirement on the provision by entities operating in the field of crude oil and gas condensate turnover of access to the	

31	authorized body in the field of hydrocarbons to their existing accounting systems for data on the amount of crude oil and gas condensate in turnover, prepared for delivery to the consumer	Significant
32	Compliance with the requirement to submit an application for oil supply for the formation of oil supply schedules on a monthly basis before the fifth day of the month preceding the reporting month	Significant
33	Compliance with the prohibition: for the construction and operation of oil storage facilities and reservoirs at sea; for the storage and storage of oil at offshore facilities, with the exception of temporary (no more than twenty calendar days) oil storage when transporting oil by tankers directly from offshore facilities	Gross
34	Compliance with the prohibition on operations at facilities that pose a risk of oil spills, with the exception of ships, without: 1) conducting an oil spill risk assessment; 2) approved site plan; 3) availability of own or attracted resources on the basis of a contract	Gross
35	Compliance with the obligation of owners of facilities bearing the risk of an oil spill, with the exception of ships: 1) for the liquidation of first-level oil spills at sea - to have available at an offshore facility or within thirty-minute reach the resources necessary for the complete elimination of such oil spills; 2) for the liquidation of second-level oil spills at sea: to have resources available at an offshore facility either within thirty minutes of reach, in an amount sufficient for the period until the arrival of resources from local coastal services, or to conclude contracts with specialized organizations for the elimination of oil spills at sea	Significant

36	Compliance with the obligation of the owner of the facility to conclude an agreement with a specialized organization for the liquidation of oil spills at sea, which has international recognition, qualified personnel and appropriate equipment	Significant
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Appendix 4
to the Criteria for assessing the degree
of risk when conducting
subsoil use operations in the field
of hydrocarbons

The degrees of violation of requirements when conducting subsoil use operations in the field of hydrocarbons at sea in relation to individuals or legal entities having the right to conduct subsoil use operations for hydrocarbons production

Footnote. Appendix 4 is in the wording of the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication); as amended by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 28.02.2024 № 83 and the Deputy Prime Minister - Minister of National Economy of the Republic of Kazakhstan dated 01.03.2024 № 7 (effective from 28.02.2024).

Item №	Requirement	Degree of violation
1	Compliance with the obligation to immediately suspend subsoil use operations in the event of non-compliance with the provision for liquidation of the consequences of subsoil use or its termination, as well as in its absence	Significant
2	Compliance with the obligation to supply hydrocarbons, including those produced during the exploration period, in full to the domestic market of the Republic of Kazakhstan, with the exception of hydrocarbons consumed for own technological needs or burned in cases of threat or emergency situations, threat to the life of personnel or the health of the population and the environment environment; when testing well objects; with technologically inevitable combustion of crude gas	Significant

3	<p>Compliance with the requirements for maintaining and storing information (documents) on subsoil use in electronic and paper format, namely:</p> <p>on the operation of wells and the implementation of geological and technical measures;</p> <p>materials on well operating modes;</p> <p>about all works on hydrocarbon production;</p> <p>primary documentation for the field;</p> <p>on the repair works carried out, its content, the period between repairs of equipment and wells, as well as the technical and economic efficiency of the work performed throughout the entire period of the facility operation;</p> <p>all materials (acts, orders, protocols and other materials) on conservation and (or) liquidation of oil, gas and injection wells for various purposes during exploration and production of hydrocarbons</p>	Significant
4	Compliance with the obligation to take over the balance of all previously drilled wells located on the territory of the subsoil plot, conducting monitoring of them	Significant
5	Compliance with the requirement to carry out subsoil use operations in accordance with the project document, as well as the prohibition on carrying out such works in the absence of a project document	Gross
6	Compliance with the requirements for field development in accordance with the technical project document	Gross
7	Compliance with the obligation to ensure reliable accounting of produced hydrocarbons	Significant
8	<p>Compliance with the requirements on carrying out works:</p> <p>for additional exploration in accordance with the field development project;</p> <p>assessment of a new deposit discovered during additional exploration, in accordance with the addition to the field development project</p>	Significant

9	Compliance with the requirements for the liquidation of consequences of subsoil use of hydrocarbons and (or) the conservation of a subsoil plot	Significant
10	Compliance with the requirements for liquidation and (or) conservation of technological facilities	Significant
11	Compliance with the obligation to supply oil for processing on the territory of the Republic of Kazakhstan, and in the event of a shutdown of the oil refinery due to an emergency - and beyond, in order to meet the needs of the domestic market with petroleum products	Significant
12	Compliance with the requirement to alienate or transfer to processing a wide fraction of light hydrocarbons produced by it	Significant
13	Compliance with the obligation to submit to the authorized body in the field of hydrocarbons annual (for one financial year) and medium-term (for five financial years) programs for the procurement of goods, works, and services no later than February 1 (first) of the year planned for procurement, or no later than 60 (sixty) calendar days from the date of conclusion of the contract, as well as information on the planned acquisition of paid services of the operator in the event of its involvement by the subsoil user	Significant
	Compliance with the requirement to submit the following reports to the authorized body in the field of hydrocarbons in the forms and procedures established by the legislation through a unified state subsoil use management system with a certified electronic digital signature of the first head or authorized representative: 1) on the purchased goods, works, and services, as well as the amount of intra-country value in them; 2) on the intra-country value in personnel; 3) on the costs of financing the training of Kazakhstani personnel;	

14	<p>4) on expenses for scientific-research , scientific-technical and development works;</p> <p>5) on the fulfillment of license and contract conditions;</p> <p>6) on the composition of persons and (or) organizations directly or indirectly controlling the subsoil user ;</p> <p>7) on daily information on the production and delivery of oil and gas condensate;</p> <p>8) on monthly information on oil production, gas condensate and development stages by fields (wells);</p> <p>9) on the actual monthly production and delivery of oil and gas condensate;</p> <p>10) on monthly information on the oil balance;</p> <p>11) on monthly information on the company's oil prices;</p> <p>12) on monthly information on production, delivery and balances of oil and gas condensate by recipients;</p> <p>13) on annual information on the plan for production and delivery of oil and gas condensate;</p> <p>14) on daily information on the production of associated and natural gas;</p> <p>15) on the actual monthly production of associated and natural gas;</p> <p>16) on monthly information on the movement of associated and natural gas;</p> <p>17) on annual information on the production plan for associated and natural gas</p>	Significant
15	<p>Compliance with the requirement to adjust design indicators as part of the design organization's supervision of the field development project (in cases of: changing the well commissioning schedule without changing the total design stock of wells provided for in the basic design document; adjusting the location of the designed wells, if there is a justified need; changing the types and scope of research work; adjusting test objects and their number in drilled and designed</p>	Significant

	production wells and appraisal wells as part of additional exploration of the field) and analysis of the development of a hydrocarbon field, performed at least once every three years and sending them in a notification procedure to the competent authority	
16	Availability of state examination of project documents, results of analysis of hydrocarbon field development in case of significant (more than ten percent) discrepancies between actual and project indicators of field development	Significant
17	Compliance with the prohibition on burning crude gas in flares without permission from the authorized body , except in cases of threat or emergency situations, threat to the life of personnel or public health and the environment	Gross
18	Compliance with the obligation to notify the authorized bodies in the field of hydrocarbons and environmental protection in writing within ten days when burning crude gas in flares without permission, indicating the reasons why the burning of crude gas occurred, and information about the volumes of burned crude gas in case of threat or emergency situations, threats to the life of personnel or public health and the environment	Significant
19	Compliance with the obligation to conduct an investigation and submit quarterly reports to the authorized body in the field of hydrocarbons no later than the twenty-fifth day of the month following the reporting quarter, indicating information about the time and volumes of gas burned for each case of technological failures, breakdowns and deviations in the operation of process equipment, and also their reasons	Significant
20	Availability of a program for the development of crude gas processing approved by the authorized body in the field of hydrocarbons	Significant

21	Compliance with the requirement to send annual reports to the authorized body in the field of hydrocarbons on the implementation of programs for the development of crude gas processing	Non-significant
22	Compliance with the prohibition: for the construction and operation of oil storage facilities and reservoirs at sea; for the storage and warehousing of oil at offshore facilities, with the exception of temporary (no more than twenty calendar days) storage of oil during the transportation of such oil by tankers directly from offshore facilities	Gross
23	Compliance with the requirement for independent testing of each productive formation when testing the formation and testing wells for the period established by the project document, but not more than 90 (ninety) days for each test object with a complex of field geological and hydrodynamic studies	Non-significant
24	Prevention of unjustified release of gas from the gas cap and degassing of oil in reservoir conditions, leading to a decrease in the recovery coefficient of the main product (liquid hydrocarbons)	Significant
	Compliance with the prohibition on the operation of wells: with bottomhole pressures lower than those provided for in the project documents; in which there was an uncontrolled gas breakthrough through the formation, or through the annulus; in the absence of pumping and compressor pipes; with a gas factor exceeding the design values specified in the basic project documents and project documents for exploration and production of hydrocarbons; in the absence of downhole and ground-based equipment that provides separate accounting of produced products and field studies of each object with simultaneous	

25	<p>separate operation of two or more objects by one well;</p> <p>fountain or transferred to a mechanized method through the intertubular (annular) space;</p> <p>with a gas factor exceeding the project values specified in the basic project documents and project documents for the exploration and production of hydrocarbons;</p> <p>for forced extraction of liquid in wells at pressures below the permissible downhole pressure, unless otherwise provided in the project document;</p> <p>without equipment for individual or group flow measurement and well testing;</p> <p>without manometers of wellhead and annular pressures, devices for taking wellhead samples and measuring the temperature at the mouth, reinforcement pads and lubricators for launching deep instruments into wells (manometers, thermometers, flow meters, samplers);</p> <p>not prepared for individual performance of a complex of field studies in them</p>	Gross
26	<p>The presence in the technological mode of operation of wells of the technological rate of liquid extraction – for each producing well and the volume of the injected displacing agent (injectivity) – for each injection well</p>	Non-significant
27	<p>Availability of technological operation modes of producing wells, compiled monthly or once a quarter, depending on the stability of the development conditions of the facility. Simultaneously with the technological modes of operation of producing wells, a plan of geological and technical measures is drawn up and approved to ensure the norms of liquid extraction from wells and the operational facility as a whole</p>	Non-significant
	<p>Compliance with the requirements for conducting:</p> <p>a set of studies for each operational facility (determination of the component composition of the</p>	

28	<p>formation fluid, viscosity, density, saturation pressure, gas content, volume coefficient, compositions of released gas and degassed oil, as well as the dependence of gas content, volumetric coefficient and density of the formation fluid on pressure) in accordance with the schedule of deep samples of oil/ gas condensate from wells, taking into account the commissioning of new wells and their uniform distribution over the area of the deposit;</p> <p>mandatory complex of field studies in the development of oil and gas fields</p>	Significant
29	<p>Availability of manometers and flow meters on the flow lines of wellhead fittings during the gas-lift method of operating production wells to measure and regulate the pressure and flow rate of the working gas</p>	Significant
30	<p>Compliance with the requirement to change the technological regime of wells or perform appropriate insulation works when breaking through to the bottom of gas or water wells</p>	Significant
31	<p>Compliance with the prohibition on hydraulic fracturing of reservoir deposits with thin seals in order to avoid depressurization of hydrocarbon deposits</p>	Gross
32	<p>Compliance with the requirements for maintaining records of gas production, reflecting the production of utilized gas, gas losses during wells testing and various purges, as well as during emergency blowouts</p>	Significant
33	<p>Compliance with the requirements for the formation of a tender commission in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons</p>	Non-significant
	<p>Preventing the establishment of other requirements in the tender documentation that are not provided for by the procedure for the</p>	

34	acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons	Gross
35	Compliance with the requirements for placing an announcement of an open tender and tender documentation in the register (system) in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons	Non-significant
36	Prevention of unjustified admission and (or) rejection by the customer of tender bids from potential suppliers in violation of the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons	Gross
37	Compliance with the requirements for the content and conditions of concluding an agreement on the purchase of goods, works and services	Significant
38	Compliance with the obligation to purchase goods, works and services used in conducting operations for the exploration or production of hydrocarbons using open tender methods, from a single source and open tender for reduction (electronic bidding) using a register of goods, works and services used in conducting subsoil use operations, and their manufacturers or other electronic procurement systems located in the Kazakhstani segment of the Internet, the operation of which is synchronized with the operation of such a register	Significant
39	Compliance with the requirement for a conditional reduction in the price of the tender application of the tender participants - Kazakhstani producers of works and services by	Significant

	twenty percent when determining the winner of the competition for the acquisition of works and services	
40	Compliance with the state's preemptive right to purchase alienated crude gas owned by subsoil users	Significant
41	Compliance by subsoil users intending to alienate crude gas with the requirements to submit for examination to the authorized body calculations of the maximum price of crude gas purchased by the national operator within the framework of the preemptive right of the state, confirmed by documents, no later than January 1 of the coming year	Significant
42	Compliance by subsoil users with the requirements not to exceed the price of crude gas purchased by the national operator within the framework of the preemptive right of the state approved by the authorized body	Significant
43	Compliance by subsoil users intending to alienate crude gas, no later than five months before the start of the planned period, with the requirement to send a commercial proposal to the national operator indicating: 1) volumes of alienated crude gas; 2) prices of alienated crude gas; 3) crude gas supply point	Significant
44	Compliance with the obligation to approve and submit for examination a conservation project for a subsoil plot within two months from the date of termination of the right to subsoil use or suspension of a contract for subsoil use for hydrocarbons, as well as completion of conservation of a subsoil plot within the time limits established in the conservation project	Significant
45	Compliance with the prohibition on activities in the field of production and (or) turnover of oil and gas condensate, operations on production and (or) turnover of crude oil and gas condensate without equipping	Gross

	production facilities with metering devices and ensuring their functioning	
46	Compliance with the requirement on the provision by entities operating in the field of crude oil and gas condensate turnover of access to the authorized body in the field of hydrocarbons to their existing accounting systems for data on the amount of crude oil and gas condensate in turnover, prepared for delivery to the consumer	Significant
47	Compliance with the requirement for rationing the injection of working agent into wells and formations in wells by conducting it once a quarter and formalizing it in the form of a technological operating regime for each injection well, approved by the management of the subsoil user, indicating: 1) daily volume of working agent injection; 2) basic requirements for the properties of the injected agent; 3) discharge pressure; 4) measures to ensure established injection standards	Significant
48	Compliance with the requirement to exclude selective drilling and compaction of the design grid of the most productive part of the deposit, the exploitation object and sections of the deposit with the greatest thickness in order to regulate or increase oil production	Significant
49	Compliance with the requirement to submit an application for oil supply for the formation of oil supply schedules on a monthly basis before the fifth day of the month preceding the reporting month	Significant
50	Compliance with the prohibition on operations at facilities that pose a risk of oil spills, with the exception of ships, without: 1) conducting an oil spill risk assessment; 2) approved site plan; 3) availability of own or attracted resources on the basis of a contract	Gross

51	<p>Compliance with the obligation of facilities owners bearing the risk of an oil spill, with the exception of ships:</p> <p>1) for the liquidation of first-level oil spills at sea - to have available at an offshore facility or within thirty-minute reach the resources necessary for the complete elimination of such oil spills;</p> <p>2) for the liquidation of second-level oil spills at sea:</p> <p>to have resources available at an offshore facility either within thirty minutes of reach, in an amount sufficient for the period until the arrival of resources from local coastal services, or to conclude contracts with specialized organizations for the liquidation of oil spills at sea</p>	Significant
52	<p>Compliance with the obligation of the facility owner to conclude contract with a specialized organization for the liquidation of oil spills at sea, which has international recognition, qualified personnel and appropriate equipment</p>	Significant

Appendix 5
to the Criteria for assessing the degree
of risk when conducting
subsoil use operations in the field
of hydrocarbons

The degrees of violations of requirements when conducting subsoil use operations in the field of hydrocarbons in relation to individuals or legal entities with permission to create and locate offshore facilities

Footnote. The criteria have been supplemented by Appendix 5 in accordance with the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

№ s/n	Requirement	Degree of violation
1	Availability of permission to locate and create marine facilities	Gross
2	Availability of a contract for subsoil use	Gross
	Placement and creation of a marine facility on the permitted geographic	

3	coordinates of the territory of marine facilities	Gross
4	Creation of a marine facility within the approved time frame	Gross
5	Compliance with the conditions for the placement of marine facilities	Gross

Appendix 6
to the Criteria for assessing the degree
of risk when conducting
subsoil use operations in the field
of hydrocarbons

List of subjective criteria for determining the degree of risk according to subjective criteria when conducting subsoil use operations in the field of hydrocarbons on land in relation to individuals or legal entities having the right to conduct subsoil use operations for hydrocarbon exploration

Footnote. The criteria are supplemented by Appendix 6 in accordance with the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 06.01.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

№ s/n	Indicator of the subjective criterion	Source of information on the indicator of the subjective criterion	Specific weight by significance, score (in total should not exceed 100 points), w_i	Conditions/values, x_i	
				condition 1/value	condition 2/value
	Availability of information on gas combustion without the permission of the authorized body based on the results of analysis of reports on the actual monthly production of associated and natural gas, on monthly information on the movement of associated and natural gas, on annual information on the associated and natural gas production plan, on the fulfillment			0 violations	1 or more violations
					100 %

1	of license and contract conditions, as well as a report on the implementation of the crude gas processing development program	Results of monitoring of reports and information	inclusion in the list for preventive control with a visit to the subject (object) of control	0 %	
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Appendix 7
to the Criteria for assessing the degree
of risk when conducting
subsoil use operations in the field
of hydrocarbons

List of subjective criteria for determining the degree of risk according to subjective criteria when conducting subsoil use operations in the field of hydrocarbons on land in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon production

Footnote. The criteria have been supplemented by Appendix 7 in accordance with the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

№ s/n	Indicator of the subjective criterion	Source of information on the indicator of the subjective criterion	Specific weight by significance, score (in total should not exceed 100 points), w_i	Conditions/values, x_i	
				condition1/value	condition 2/value
	Availability of information on				

1	gas combustion without the permission of the authorized body based on the results of analysis of reports on the actual monthly production of associated and natural gas, on monthly information on the movement of associated and natural gas, on annual information on the associated and natural gas production plan, on the fulfillment of license and contract conditions, as well as a report on the implementation of the crude gas processing development program	Results of monitoring of reports and information	inclusion in the list for preventive control with a visit to the subject (object) of control	0 violations	1 or more violations
				0 %	100%

Appendix 8
to the Criteria for assessing the degree
of risk when conducting
subsoil use operations in the field
of hydrocarbons

List of subjective criteria for determining the degree of risk according to subjective criteria when conducting subsoil use operations in the field of hydrocarbons at sea in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon exploration

Footnote. The criteria have been supplemented by Appendix 8 in accordance with the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

	Source of information on the indicator of	Specific weight by significance, score (in total	Conditions/values, x_i	

№ s/n	Indicator of the subjective criterion	the subjective criterion	should not exceed 100 points), w_1	condition 1/value	condition 2/value
1	Availability of information on gas combustion without the permission of the authorized body based on the results of analysis of reports on the actual monthly production of associated and natural gas, on monthly information on the movement of associated and natural gas, on annual information on the associated and natural gas production plan, on the fulfillment of license and contract conditions, as well as a report on the implementation of the crude gas processing development program	Results of monitoring of reports and information	inclusion in the list for preventive control with a visit to the subject (object) of control	0 violations	1 or more violations
				0 %	100 %

Appendix 9
to the Criteria for assessing the degree
of risk when conducting
subsoil use operations in the field
of hydrocarbons

List of subjective criteria for determining the degree of risk according to subjective criteria when conducting subsoil use operations in the field of hydrocarbons at sea in relation to individuals or legal entities having the right to conduct subsoil use operations for hydrocarbon production

Footnote. The criteria have been supplemented by Appendix 9 in accordance with the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95

(shall be enforced upon expiry of ten calendar days after the day of its first official publication).

№ s/n	Indicator of the subjective criterion	Source of information on the indicator of the subjective criterion	Specific weight by significance, score (in total should not exceed 100 points), w_i	Conditions/values x_i	
				condition 1/value	condition 2/value
1	Availability of information on gas combustion without the permission of the authorized body based on the results of analysis of reports on the actual monthly production of associated and natural gas, on monthly information on the movement of associated and natural gas, on annual information on the associated and natural gas production plan, on the fulfillment of license and contract conditions, as well as a report on the implementation of the crude gas processing development program	Results of monitoring of reports and information	inclusion in the list for preventive control with a visit to the subject (object) of control	0 violations	1 or more violations
				0 %	100 %

Appendix 2
to the joint order
of the Minister of Energy
of the Republic of Kazakhstan
dated November 23, 2018
№ 453 and acting Minister
of National Economy
of the Republic of Kazakhstan
dated November 23, 2018 № 77

Checklist when conducting subsoil use operations in the field of hydrocarbons on land in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon exploration

Footnote. Appendix 2 is in the wording of the joint order of the acting Minister of Energy of the Republic of Kazakhstan dated 29.11.2022 № 382 and acting Minister of National Economy of the Republic of Kazakhstan dated 30.11.2022 № 101 (shall be enforced from 01.01.2023); as amended by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication); as amended by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 28.02.2024 № 83 and the Deputy Prime Minister - Minister of National Economy of the Republic of Kazakhstan dated 01.03.2024 № 7 (effective from 28.02.2024).

The state body that appointed an inspection / preventive control with a visit to the subject (object) of control _____

An act on the appointment of an inspection/preventive control with a visit to the subject (object) of control _____

(№, date)

Name of the subject (object) of control _____

Individual identification number/business identification number of the entity (object) of control _____

Location address _____

№	List of requirements	Meets the requirements	Does not meet the requirements
1	2	3	4
1	Compliance with the obligation to immediately suspend subsoil use operations in the event of non-compliance with the provision for liquidation of the consequences of subsoil use or its termination, as well as in its absence		
	Compliance with the obligation to supply hydrocarbons produced during the exploration		

2	<p>period in full to the domestic market of the Republic of Kazakhstan, with the exception of hydrocarbons consumed for own technological needs or burned in cases of threat or emergency situations, threats to the lives of personnel or public health and the environment ; when testing well objects; during trial exploitation of the deposit</p>		
3	<p>Compliance with the requirements for maintaining and storing information (documents) on subsoil use in electronic and paper format, namely: on the operation of wells and the implementation of geological and technical measures; materials on wells operating modes; about all works on hydrocarbon production; primary documentation for the deposit; about the repair works carried out, its content, the period between repairs of equipment and wells, as well as the technical and economic efficiency of the works performed throughout the entire period of operation of the facility; all materials (acts, orders, protocols, and other materials) on conservation and (or) liquidation of oil, gas, and injection wells for various purposes during exploration and production of hydrocarbons</p>		
4	<p>Compliance with the obligation to take over the balance of all previously drilled wells located on the territory of the subsoil plot</p>		

	and conduct monitoring of them		
5	Compliance with the requirement to carry out subsoil use operations in accordance with the project document, as well as the prohibition on carrying out such works in the absence of a project document		
6	Compliance with the requirements for the development of the deposit in accordance with the technical design document		
7	Compliance with the obligation to ensure reliable accounting of produced hydrocarbons		
8	Compliance with the requirement to eliminate the consequences of subsoil use of hydrocarbons and (or) conservation of a subsoil area		
9	Compliance with the requirements for liquidation and (or) conservation of technological facilities		
10	Compliance with the obligation to submit to the authorized body in the field of hydrocarbons annual (for one financial year) and medium-term (for five financial years) programs for the procurement of goods, works, and services no later than February 1 (first) of the year planned for procurement, or no later than 60 (sixty) calendar days from the date of conclusion of the contract, as well as information on the planned acquisition of paid services of the operator in the event of its involvement by the subsoil user		

Compliance with the requirement to submit the following reports to the authorized body in the field of hydrocarbons in the forms and procedures established by the legislation through a unified state subsoil use management system with a certified electronic digital signature of the first head or authorized representative:

1) on the purchased goods, works and services, as well as the amount of intra-country value in them ;

2) on the intra-country value in personnel;

3) on the costs of financing the training of Kazakhstani personnel;

4) on expenses for scientific-research, scientific-technical and development works;

5) on the fulfillment of license and contract conditions;

6) on the composition of persons and (or) organizations directly or indirectly controlling the subsoil user;

7) on daily information on the production and delivery of oil and gas condensate;

8) on monthly information on oil production, gas condensate and development stages by fields (wells);

9) on the actual monthly production and delivery of oil and gas condensate;

10) on monthly information on the oil balance;

11) on monthly information on the company's oil prices;

	<p>12) on monthly information on production, delivery, and balances of oil and gas condensate by recipients;</p> <p>13) on annual information on the plan for production and delivery of oil and gas condensate;</p> <p>14) on daily information on the production of associated and natural gas;</p> <p>15) on the actual monthly production of associated and natural gas;</p> <p>16) on monthly information on the movement of associated and natural gas;</p> <p>17) on annual information on the production plan for associated and natural gas</p>		
12	<p>Compliance with the requirement to adjust design indicators as part of the design organization's supervision over implementation of an exploration project (in cases of: changing the drilling schedule without reducing the number of independent wells planned as provided for in the basic design document; adjusting location of the wells planned; changing the types and volumes of research work; adjusting test objects and their number in drilled and planned exploratory and appraisal wells), over implementation of the design document for trial operation (in cases of: changing the drilling schedule without reducing the number of wells planned as provided for in the basic design document; adjusting the location of wells planned; adjusting well operating modes;</p>		

	changing the type and scope of research work; adjusting test objects and their number in drilled and planned appraisal and pilot production wells) and sending them to the competent authority in a notification procedure		
13	Compliance with the prohibition on burning crude gas in flares without the permission of the authorized body, except in cases of threat or occurrence of emergency situations, threats to the life of personnel or public health and the environment		
14	Compliance with the obligation to notify the authorized bodies in the field of hydrocarbons and environmental protection in writing within ten days when burning crude gas in flares without permission, indicating the reasons why the burning of crude gas occurred, and information about the volumes of burned crude gas in case of threat or emergency situations, threats to the life of personnel or public health and the environment		
15	Availability of a program for the development of crude gas processing approved by the authorized body in the field of hydrocarbons		
16	Compliance with the requirement to send annual reports to the authorized body in the field of hydrocarbons on the implementation of programs for the development of crude gas processing		
	Compliance with the requirement for		

17	<p>independent testing of each productive formation when testing the formation and testing wells for the period established by the project document, but not more than 90 (ninety) days for each test object with a complex of field geological and hydrodynamic studies</p>		
18	<p>Compliance with the prohibition on the operation of wells:</p> <ul style="list-style-type: none"> in which there was an uncontrolled gas breakthrough through the reservoir, or through the backwater space; in the absence of pumping and compressor pipes; in the absence of downhole and ground-based equipment that provides separate accounting of extracted products and conducting field studies of each object with the simultaneous separate operation of two or more objects by one well; for forced withdrawal of fluid in wells at pressures below the permissible value of bottomhole pressure, unless otherwise provided by the document; fountain or transferred to a mechanized method through the intertubular (annular) space; with a gas factor exceeding the design values specified in the basic project documents and project documents for the exploration and production of hydrocarbons; for forced extraction of liquid in wells at pressures below the permissible downhole pressure, unless otherwise provided in the project document; 		

	without equipment for individual or group flow measurement and well exploration; without manometers of wellhead and annular pressures, devices for taking wellhead samples and measuring the temperature at the mouth, reinforcement pads, and lubricators for launching deep instruments into wells (manometers, thermometers, flow meters, samplers)		
19	Availability in the technological mode of wells operation of the technological rate of liquid extraction – for each producing well and the volume of the injected displacing agent (injectivity) – for each injection well		
20	Availability of technological operating modes for production wells, compiled monthly or once a quarter, depending on the stability of the development conditions of the facility. Simultaneously with the technological operating modes of production wells, a plan of geological and technical measures is drawn up and approved to ensure standards for liquid extraction from wells and the operational facility as a whole.		
21	Compliance with the prohibition on hydraulic fracturing of reservoir deposits with thin seals in order to avoid depressurization of hydrocarbon deposits		
	Compliance with the requirements for the		

22	formation of a tender commission in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works, and services used in conducting operations for the exploration or production of hydrocarbons		
23	Preventing the establishment of other requirements in the tender documentation that are not provided for by the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons		
24	Compliance with the requirements for placing an announcement of an open tender and tender documentation in the register (system) in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons		
25	Preventing unreasonable admission and (or) rejection by the customer of competitive bids from potential suppliers in violation of the procedure for the acquisition by subsoil users and their contractors of goods, works , and services used in conducting operations for the exploration or production of hydrocarbons		
	Compliance with the requirements for the		

26	content and conditions of concluding an agreement on the purchase of goods, works and services		
27	Compliance with the obligation to purchase goods, works and services used in conducting operations for the exploration or production of hydrocarbons by means of an open tender, from a single source and an open tender for reduction (electronic bidding) using the register of goods, works and services used in hydrocarbon operations subsoil use and their manufacturers or other electronic procurement systems located in the Kazakhstani segment of the Internet, the work of which is synchronized with the work of such a registry		
28	Compliance with the requirement for a conditional reduction in the price of the competitive bid of the tender participants - Kazakhstani producers of works and services by twenty percent when determining the winner of the tender for the acquisition of works and services		
29	Compliance with the obligation to approve and submit for examination a project for the conservation of a subsoil plot within two months from the date of termination of the right to subsoil use or suspension of the contract for subsoil use of hydrocarbons, as well as completion of the conservation of a subsoil plot within the time limits established in the conservation project		

30	Compliance with the prohibition on carrying out activities in the field of production and (or) turnover of oil and gas condensate, operations for the production and (or) turnover of crude oil and gas condensate without equipping production facilities with metering devices and ensuring their functioning		
31	Compliance with the requirement on the provision by entities operating in the field of crude oil and gas condensate turnover of access to the authorized body in the field of hydrocarbons to their existing accounting systems for data on the amount of crude oil and gas condensate in turnover, prepared for delivery to the consumer		
32	Compliance with the requirement to submit an application for oil supply for the formation of oil supply schedules on a monthly basis before the fifth day of the month preceding the reporting month		

Official(s)

position signature surname, name, patronymic (if any)

position signature surname, name, patronymic (if any)

Head of the subject of control

position signature surname, name, patronymic (if any)

Appendix 3
to the joint order
of the Minister of Energy
of the Republic of Kazakhstan
dated November 23, 2018

**Checklist when conducting subsoil use operations in the field of hydrocarbons
on land in relation to individuals or legal entities who have the right to conduct
subsoil use operations for hydrocarbon production**

Footnote. Appendix 3 is in the wording of the joint order of the acting Minister of Energy of the Republic of Kazakhstan dated 29.11.2022 № 382 and acting Minister of National Economy of the Republic of Kazakhstan dated 30.11.2022 № 101 (shall be enforced from 01.01.2023); as amended by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication); as amended by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 28.02.2024 № 83 and the Deputy Prime Minister - Minister of National Economy of the Republic of Kazakhstan dated 01.03.2024 № 7 (effective from 28.02.2024).

The state body that appointed an inspection/preventive control with
a visit to the subject (object) of control _____

An act on the appointment of an inspection/preventive control with a visit to the subject
(object) of control _____
(№, date)

Name of the subject (object) of control _____

Individual identification number/business identification number of the subject
(object) of control _____

Location address _____

№	List of requirements	Meets the requirements	Does not meet the requirements
1	2	3	4
1	Compliance with the obligation to immediately suspend subsoil use operations in the event of non-compliance with the provision for liquidation of the consequences of		

	subsoil use or its termination, as well as in its absence		
2	<p>Compliance with the obligation to supply hydrocarbons, including those produced during the exploration period, in full to the domestic market of the Republic of Kazakhstan , with the exception of hydrocarbons consumed for own technological needs or burned in cases of threat or emergency situations, threat to the life of personnel or the health of the population and the environment; when testing well objects; with technologically inevitable combustion of crude gas</p>		
3	<p>Compliance with the requirements for maintaining and storing information (documents) on subsoil use in electronic and paper format, namely:</p> <ul style="list-style-type: none"> on the operation of wells and the implementation of geological and technical measures; materials on well operating modes; about all works on hydrocarbons production; primary documentation for the field; about the repair works carried out, its content, the period between repairs of equipment and wells, as well as the technical and economic efficiency of the works performed throughout the entire period of operation of the facility; all materials (acts, orders, protocols, and other materials) on conservation and (or) abandonment of oil, gas, and injection wells 		

	for various purposes during exploration and production of hydrocarbons		
4	Compliance with the obligation to take over the balance of all previously drilled wells located on the territory of the subsoil plot, conduct monitoring of them		
5	Compliance with the requirement to carry out subsoil use operations in accordance with the project document, as well as the prohibition on carrying out such works in the absence of a project document		
6	Compliance with the requirements for field development in accordance with the technical design document		
7	Compliance with the obligation to ensure reliable accounting of produced hydrocarbons		
8	Compliance with the requirements for carrying out work: for additional exploration in accordance with the field development project; assessment of a new deposit discovered during additional exploration, in accordance with the addition to the field development project		
9	Compliance with the requirement to eliminate the consequences of subsoil use of hydrocarbons and (or) conservation of a subsoil area		
10	Compliance with the requirements for liquidation and (or) conservation of technological facilities		

11	Compliance with the obligation to supply oil for processing on the territory of the Republic of Kazakhstan, and in the event of a shutdown of the oil refinery due to an emergency - and beyond, in order to meet the needs of the domestic market with petroleum products		
12	Compliance with the requirement for the alienation or transfer for processing of a wide fraction of light hydrocarbons produced by it		
13	Compliance with the obligation to submit annual (for one financial year) and medium-term (for five financial years) procurement programs for goods, works and services to the authorized body in the field of hydrocarbons no later than February 1 (first) of the year planned for procurement, or no later than 60 (sixty) calendar days from the date of conclusion of the contract, as well as information about the planned acquisition of paid services of the operator in case of its involvement by the subsoil user		
	Compliance with the requirement to submit the following reports to the authorized body in the field of hydrocarbons in the forms and procedures established by the legislation through a unified state subsoil use management system with a certified electronic digital signature of the first head or authorized representative:		

- 1) on the purchased goods, works, and services, as well as the amount of intra-country value in them ;
- 2) on the intra-country value in personnel;
- 3) on the costs of financing the training of Kazakhstani personnel;
- 4) on expenses for scientific-research, scientific-technical and development works;
- 5) on the fulfillment of license and contract conditions;
- 6) on the composition of persons and (or) organizations directly or indirectly controlling the subsoil user;
- 7) on daily information on the production and delivery of oil and gas condensate;
- 8) on monthly information on oil production, gas condensate and development stages by fields (wells);
- 9) on the actual monthly production and delivery of oil and gas condensate;
- 10) on monthly information on the oil balance;
- 11) on monthly information on the company's oil prices;
- 12) on monthly information on production, delivery and balances of oil and gas condensate by recipient;
- 13) on annual information on the plan for production and delivery of oil and gas condensate;
- 14) on daily information on the production of associated and natural gas;

	<p>15) on the actual monthly production of associated and natural gas;</p> <p>16) on monthly information on the movement of associated and natural gas;</p> <p>17) on annual information on the production plan for associated and natural gas</p>		
15	<p>Compliance with the requirement to adjust design indicators as part of the design organization's supervision of the field development project (in cases of: changing the well commissioning schedule without changing the total design well stock provided for in the basic design document; adjusting location of the designed wells, if there is a justified need; changing the types and scope of research work ; adjusting test objects and their number in drilled and designed production wells and appraisal wells as part of additional exploration of the field) and analysis of the development of a hydrocarbon field, performed at least once every three years and sending them in a notification procedure to the competent authority</p>		
16	<p>Availability of state expertise of project documents of the results of the analysis of the development of a hydrocarbon field in case of significant (more than ten percent) discrepancies between the actual and design indicators of the field development</p>		
	<p>Compliance with the prohibition on burning crude gas in flares without</p>		

17	the permission of the authorized body, except in cases of threat or occurrence of emergency situations, threats to the life of personnel or public health and the environment		
18	Compliance with the obligation to notify the authorized bodies in the field of hydrocarbons and environmental protection in writing within ten days when burning crude gas in flares without permission, indicating the reasons why the burning of crude gas occurred, and information about the volumes of burned crude gas in case of threat or emergency situations, threats to the life of personnel or public health and the environment		
19	Compliance with the obligation to conduct an investigation and submit quarterly reports to the authorized body in the field of hydrocarbons no later than the twenty-fifth day of the month following the reporting quarter, indicating information about the time and volumes of gas burned for each case of technological failures, breakdowns and deviations in the operation of process equipment, and also their reasons		
20	Availability of a program for the development of crude gas processing approved by the authorized body in the field of hydrocarbons		
21	Compliance with the requirement to send annual reports to the authorized body in the field of hydrocarbons on the implementation of		

	programs for the development of crude gas processing		
22	Compliance with the requirement for independent testing of each productive formation when testing the formation and testing wells for the period established by the project document, but not more than 90 (ninety) days for each test object with a complex of field geological and hydrodynamic studies		
23	Preventing unjustified release of gas from the gas cap and degassing of oil in reservoir conditions, leading to a decrease in the recovery factor of the main product (liquid hydrocarbons)		
	<p>Compliance with the prohibition on the operation of wells:</p> <ul style="list-style-type: none"> with bottomhole pressures lower than those provided for in the design documents ; in which there was an uncontrolled gas breakthrough through the formation, or through the annulus; in the absence of pumping and compressor pipes; in the absence of downhole and surface equipment that would ensure separate accounting of produced products and carrying out field studies of each object while simultaneously operating two or more objects separately with one well; fountain or transferred to a mechanized method through the annular (annulus) space; with a gas factor exceeding the design values specified 		

24	<p>in the basic project documents and project documents for exploration and production of hydrocarbons;</p> <p>for forced extraction of liquid in wells at pressures below the permissible downhole pressure, unless otherwise provided by the project document;</p> <p>without equipment for individual or group flow rate measurement and well exploration;</p> <p>without manometers of wellhead and annular pressures, devices for taking wellhead samples and measuring the temperature at the mouth, reinforcement pads and lubricators for launching deep instruments into wells (manometers, thermometers, flow meters, samplers);</p> <p>not prepared for individual performance of a complex of field studies in them</p>		
25	<p>Availability in the technological mode of operation of wells of the technological norm for liquid extraction – for each producing well and the volume of the injected displacing agent (injectivity) – for each injection well</p>		
26	<p>Availability of technological operating modes for production wells, compiled monthly or once a quarter, depending on the stability of the development conditions of the facility. Simultaneously with the technological operating modes of production wells, a plan of geological and technical measures is drawn up and</p>		

	approved to ensure standards for liquid extraction from wells and the operational facility as a whole.		
27	<p>Compliance with the requirements for conducting:</p> <p>a set of studies for each operational facility (determination of the component composition of the formation fluid, viscosity, density, saturation pressure, gas content, volumetric coefficient, compositions of released gas and degassed oil, as well as the dependence of gas content, volumetric coefficient and density of the formation fluid on pressure) in accordance with the schedule of sampling deep samples of oil/gas condensate from wells, taking into account the commissioning of new wells and their uniform distribution over the deposit area;</p> <p>mandatory set of field studies when developing oil and oil and gas fields</p>		
28	Availability of manometers and flow meters on the flow lines of wellhead fittings during the gas-lift method of operating production wells to measure and regulate the pressure and flow rate of the working gas		
29	Compliance with the requirement to change the technological regime of wells or perform appropriate insulation works when breaking through to the bottom of gas or water wells		

30	Compliance with the prohibition on hydraulic fracturing of reservoir deposits with thin seals in order to avoid depressurization of hydrocarbon deposits		
31	Compliance with the requirements for maintaining records of gas production, reflecting the production of utilized gas, gas losses during well testing and various purges, as well as during emergency blowouts		
32	Compliance with the requirements for the formation of a tender commission in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons		
33	Preventing the establishment of other requirements in the tender documentation that are not provided for by the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons		
34	Compliance with the requirements for placing an announcement of an open tender and tender documentation in the register (system) in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting		

	operations for the exploration or production hydrocarbons		
35	Preventing unreasonable admission and (or) rejection by the customer of competitive bids from potential suppliers in violation of the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons		
36	Compliance with the requirements for the content and conditions of concluding an agreement on the purchase of goods, works and services		
37	Compliance with the obligation to purchase goods, works and services used in conducting operations for the exploration or production of hydrocarbons by means of an open tender, from a single source and an open tender for reduction (electronic bidding) using the register of goods, works and services used in conducting subsoil use operations and their manufacturers or other electronic procurement systems located in the Kazakhstani segment of the Internet, the work of which is synchronized with the work of such a registry		
38	Compliance with the requirement for a conditional reduction in the price of the competitive bid of the competition participants - Kazakhstani producers of works and services by twenty percent when determining the		

	winner of the tender for the acquisition of works and services		
39	Compliance with the state's preemptive right to purchase alienated crude gas owned by subsoil users		
40	Compliance by subsoil users intending to alienate crude gas with the requirements for sending for examination to the authorized body calculations of the marginal price of crude gas purchased by the national operator under the pre-emptive right of the state, documented, no later than January 1 of the coming year		
41	Compliance by subsoil users with the requirements not to exceed the price of crude gas purchased by the national operator within the framework of the preemptive right of the state approved by the authorized body		
42	Compliance by subsurface users intending to alienate crude gas, no later than five months before the start of the planned period, with the requirement to send a commercial offer to the national operator, indicating: 1) volumes of alienated crude gas; 2) prices of alienated crude gas; 3) the point of supply of crude gas		
	Compliance with the obligation to approve and submit for examination a project for the conservation of a subsoil plot within two months from the date of termination of the right to		

43	subsoil use or suspension of the contract for subsoil use of hydrocarbons, as well as completion of the conservation of a subsoil plot within the time limits established in the conservation project		
44	Compliance with the prohibition on conducting activities in the field of production and (or) turnover of oil and gas condensate, operations on production and (or) turnover of crude oil and gas condensate without equipping production facilities with metering devices and ensuring their functioning		
45	Compliance with the requirement on the provision by entities operating in the field of crude oil and gas condensate turnover of access to the authorized body in the field of hydrocarbons to their existing accounting systems for data on the amount of crude oil and gas condensate in turnover, prepared for delivery to the consumer		
46	Compliance with the requirements for rationing the injection of working agent into wells and formations in wells by conducting it once a quarter and formalizing it in the form of a technological operating mode for each injection well, approved by the management of the subsoil user, indicating: 1) daily volume of working agent injection;		

	2) basic requirements for the properties of the injected agent; 3) discharge pressure; 4) measures to ensure established injection standards		
47	Compliance with the requirement to exclude selective drilling and compaction of the design grid of the most productive part of the deposit, the exploitation object and sections of the deposit with the greatest thickness in order to regulate or increase oil production		
48	Compliance with the requirement to submit an application for oil supply for the formation of oil supply schedules on a monthly basis before the fifth day of the month preceding the reporting month		

Official(s)

position signature surname, name, patronymic (if any)

position signature surname, name, patronymic (if any)

Head of the subject of control

position signature surname, name, patronymic (if any)

Appendix 4
to the joint order
of the Minister of Energy
of the Republic of Kazakhstan
dated November 23, 2018
№ 453 and acting Minister
of National Economy
of the Republic of Kazakhstan
dated November 23, 2018 № 77

Checklist when conducting subsoil use operations in the field of hydrocarbons at sea and inland waters in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbons exploration

Footnote. Appendix 4 is in the wording of the joint order of the acting Minister of Energy of the Republic of Kazakhstan dated 29.11.2022 № 382 and acting Minister of National Economy of the Republic of Kazakhstan dated 30.11.2022 № 101 (shall be enforced from 01.01.2023); as amended by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication); as amended by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 28.02.2024 № 83 and the Deputy Prime Minister - Minister of National Economy of the Republic of Kazakhstan dated 01.03.2024 № 7 (effective from 28.02.2024).

The state body that appointed an inspection/preventive control with a visit to the subject (object) of control _____

An act on the appointment of an inspection/preventive control with a visit to the subject (object) of control _____

(№, date)

Name of the subject (object) of control _____

Individual identification number/business identification number of the subject (object) of control _____

Location address _____

№	List of requirements	Meets the requirements	Does not meet the requirements
1	2	3	4
1	Compliance with the obligation to immediately suspend subsoil use operations in the event of non-compliance with the provision of liquidation of the consequences of subsoil use or its termination, as well as in its absence		
	Compliance with the obligation to supply hydrocarbons produced during the exploration period in full to the domestic market of the Republic of Kazakhstan, with the exception of		

2	hydrocarbons consumed for own technological needs or burned in cases of threat or emergency situations, threats to the lives of personnel or public health and the environment ; when testing well objects; during trial exploitation of the deposit		
3	<p>Compliance with the requirements for maintaining and storing information (documents) on subsoil use in electronic and paper format, namely:</p> <p>on the operation of wells and the implementation of geological and technical measures;</p> <p>materials on operating modes of wells;</p> <p>about all works on the production of hydrocarbons ;</p> <p>primary documentation for the field;</p> <p>on the repair works carried out, its content, the period between repairs of equipment and wells, as well as the technical and economic efficiency of the works performed throughout the entire period of operation of the facility;</p> <p>all materials (acts, orders, protocols, and other materials) on conservation and (or) liquidation of oil, gas, and injection wells for various purposes during exploration and production of hydrocarbons</p>		
4	Compliance with the obligation to take over the balance of all previously drilled wells located on the territory of the subsoil plot, conducting monitoring of them		

5	Compliance with the requirement to carry out subsoil use operations in accordance with the project document, as well as the prohibition on carrying out such works in the absence of a project document		
6	Compliance with the requirements for field development in accordance with the technical project document		
7	Compliance with the obligation to ensure reliable accounting of produced hydrocarbons		
8	Compliance with the requirements for the liquidation of the consequences of subsoil use of hydrocarbons and (or) the conservation of a subsoil plot		
9	Compliance with the requirements for liquidation and (or) conservation of technological facilities		
10	Compliance with the obligation to submit to the authorized body in the field of hydrocarbons annual (for one financial year) and medium-term (for five financial years) programs for the procurement of goods, works, and services no later than February 1 (first) of the year planned for procurement, or no later than 60 (sixty) calendar days from the date of conclusion of the contract, as well as information on the planned acquisition of paid services of the operator in the event of its involvement by the subsoil user		
	Compliance with the requirement to submit the		

following reports to the authorized body in the field of hydrocarbons in the forms and procedures established by the legislation through a unified state subsoil use management system with a certified electronic digital signature of the first head or authorized representative:

1) on the purchased goods, works, and services, as well as the amount of intra-country value in them ;

2) on the intra-country value in personnel;

3) on the costs of financing the training of Kazakhstani personnel;

4) on expenses for scientific-research, scientific-technical and development works;

5) on the fulfillment of license and contract conditions;

6) on the composition of persons and (or) organizations directly or indirectly controlling the subsoil user;

7) on daily information on the production and delivery of oil and gas condensate;

8) on monthly information on oil production, gas condensate and development stages by fields (wells);

9) on the actual monthly production and delivery of oil and gas condensate;

10) on monthly information on the oil balance;

11) on monthly information on the company's oil prices;

12) on monthly information on production,

	<p>delivery, and balances of oil and gas condensate by recipients;</p> <p>13) on annual information on the plan for production and delivery of oil and gas condensate;</p> <p>14) on daily information on the production of associated and natural gas;</p> <p>15) on the actual monthly production of associated and natural gas;</p> <p>16) on monthly information on the movement of associated and natural gas;</p> <p>17) on annual information on the production plan for associated and natural gas</p>		
12	<p>Compliance with the requirement to adjust design indicators as part of the design organization's supervision over implementation of the exploration project (in cases of: changing the drilling schedule without reducing the number of independent wells planned, provided for in the basic design document; adjusting location of the wells planned; changing the types and scope of research work; adjusting the test objects and their number in drilled and planned exploratory and appraisal wells), for implementation of the design document for trial operation (in cases of: changing the drilling schedule without reducing the number of wells planned, provided for in the basic design document; adjusting location of the wells planned; adjusting the operating modes of the wells; changing the type and scope of research work ; adjusting the test objects</p>		

	and their number in drilled and planned appraisal and pilot production wells) and sending them to the competent authority in a notification procedure		
13	Compliance with the prohibition on burning crude gas in flares without permission from the authorized body, except in cases of threat or emergency situations, threat to the life of personnel or public health and the environment		
14	Compliance with the obligation to notify the authorized bodies in the field of hydrocarbons and environmental protection in writing within ten days when burning crude gas in flares without permission, indicating the reasons why the burning of crude gas occurred, and information about the volumes of burned crude gas in case of threat or emergency situations, threats to the life of personnel or public health and the environment		
15	Availability of a program for the development of crude gas processing approved by the authorized body in the field of hydrocarbons		
16	Compliance with the requirement to send annual reports to the authorized body in the field of hydrocarbons on the implementation of programs for the development of crude gas processing		
	Compliance with the requirement for independent testing of each productive formation when testing the formation and		

17	testing wells for the period established by the project document, but not more than 90 (ninety) days for each test object with a complex of field geological and hydrodynamic studies		
18	<p>Compliance with the prohibition on the operation of wells:</p> <p>in which there was an uncontrolled gas breakthrough through the formation, or through the annulus;</p> <p>in the absence of pumping and compressor pipes;</p> <p>in the absence of downhole and ground-based equipment that provides separate accounting of produced products and carrying out field studies of each object with the simultaneous separate operation of two or more objects by one well;</p> <p>fountain or transferred to a mechanized method through the intertubular (annular) space;</p> <p>with a gas factor exceeding the design values specified in the basic project documents and project documents for the exploration and production of hydrocarbons;</p> <p>for forced extraction of liquid in wells at pressures below the permissible downhole pressure, unless otherwise provided in the project document;</p> <p>without equipment for individual or group flow measurement and wells testing;</p> <p>without manometers of wellhead and annular pressures, devices for taking wellhead samples and measuring the</p>		

	temperature at the mouth, reinforcement pads and lubricators for launching deep instruments into wells (manometers, thermometers, flow meters, samplers)		
19	The presence in the technological mode of wells operation of the technological rate of liquid extraction – for each producing well and the volume of the injected displacing agent (injectivity) – for each injection well		
20	Availability of technological modes of operation of producing wells, compiled monthly or once a quarter, depending on the stability of the development conditions of the facility. Simultaneously with the technological modes of operation of producing wells, a plan of geological and technical measures is drawn up and approved to ensure the norms of liquid extraction from wells and the operational facility as a whole		
21	Compliance with the prohibition on hydraulic fracturing of reservoir deposits with thin seals in order to avoid depressurization of hydrocarbon deposits		
22	Compliance with the requirements for the formation of a tender commission in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting		

	operations for the exploration or production of hydrocarbons		
23	Preventing the establishment of other requirements in the tender documentation that are not provided for by the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons		
24	Compliance with the requirements for placing an announcement of an open tender and tender documentation in the register (system) in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons		
25	Preventing unreasonable admission and (or) rejection by the customer of competitive bids from potential suppliers in violation of the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons		
26	Compliance with the requirements for the content and conditions of concluding an agreement on the purchase of goods, works and services		
	Compliance with the obligation to purchase goods, works and services		

27	used in conducting operations for the exploration or production of hydrocarbons using open tender methods, from a single source and open tender for reduction (electronic bidding) using a register of goods, works, and services used in conducting subsoil use operations, and their manufacturers or other electronic procurement systems located in the Kazakhstani segment of the Internet, the operation of which is synchronized with the operation of such a register		
28	Compliance with the requirement for a conditional reduction in the price of the tender application of the tender participants - Kazakhstani producers of works and services by twenty percent when determining the winner of the tender for the purchase of works and services		
29	Compliance with the obligation to approve and submit for examination a conservation project for a subsoil plot within two months from the date of termination of the right to subsoil use or suspension of a contract for subsoil use for hydrocarbons, as well as completion of conservation of a subsoil plot within the time limits established in the conservation project		
	Compliance with the prohibition on activities in the field of production and (or) turnover of oil and gas condensate, operations on production and (or)		

30	turnover of crude oil and gas condensate without equipping production facilities with metering devices and ensuring their functioning		
31	Compliance with the requirement on the provision by entities operating in the field of crude oil and gas condensate turnover of access to the authorized body in the field of hydrocarbons to their existing accounting systems for data on the amount of crude oil and gas condensate in turnover, prepared for delivery to the consumer		
32	Compliance with the requirement to submit an application for oil supply for the formation of oil supply schedules on a monthly basis before the fifth day of the month preceding the reporting month		
33	<i>Исключена совместным приказом Министра энергетики РК от 31.05.2023 № 201 и Министра национальной экономики РК от 01.06.2023 № 95 (вводится в действие по истечении десяти календарных дней после дня его первого официального опубликования).</i>		
34	Compliance with the prohibition: for the construction and operation of oil storage facilities and reservoirs at sea; for the storage and storage of oil at offshore facilities, with the exception of temporary (no more than twenty calendar days) oil storage when transporting oil by tankers directly from offshore facilities		
	Compliance with the prohibition on operations at facilities that pose a risk of oil spills, with the exception of ships, without:		

35	<p>1) conducting an oil spill risk assessment;</p> <p>2) approved site plan;</p> <p>3) availability of own or attracted resources on the basis of a contract</p>		
36	<p>Compliance with the obligation of owners of facilities bearing the risk of an oil spill, with the exception of ships:</p> <p>1) for the liquidation of first-level oil spills at sea - to have available at an offshore facility or within thirty-minute reach the resources necessary for the complete elimination of such oil spills;</p> <p>2) for the liquidation of second-level oil spills at sea:</p> <p>to have resources available at an offshore facility either within thirty minutes of reach, in an amount sufficient for the period until the arrival of resources from local coastal services, or to conclude contracts with specialized organizations for the elimination of oil spills at sea</p>		
37	<p>Compliance with the obligation of the owner of the facility to conclude an agreement with a specialized organization for the liquidation of oil spills at sea, which has international recognition, qualified personnel and appropriate equipment</p>		

Official(s)

position signature surname, name, patronymic (if any)

position signature surname, name, patronymic (if any)

Head of the subject of control

position signature surname, name, patronymic (if any)

Appendix 5
to the joint order
of the Minister of Energy
of the Republic of Kazakhstan
dated November 23, 2018
№ 453 and acting Minister
of National Economy
of the Republic of Kazakhstan
dated November 23, 2018 № 77

Checklist when conducting subsoil use operations in the field of hydrocarbons at sea and inland waters in relation to individuals or legal entities who have the right to conduct subsoil use operations for hydrocarbon production

Footnote. The joint order is supplemented with Appendix 5 in accordance with the joint order of the acting Minister of Energy of the Republic of Kazakhstan dated 29.11.2022 № 382 and acting Minister of National Economy of the Republic of Kazakhstan dated 30.11.2022 № 101 (shall be enforced from 01.01.2023); as amended by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication); as amended by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 28.02.2024 № 83 and the Deputy Prime Minister - Minister of National Economy of the Republic of Kazakhstan dated 01.03.2024 № 7 (effective from 28.02.2024).

The state body that appointed an inspection/preventive control with a visit to the subject (object) of control _____

An act on the appointment of an inspection/preventive control with a visit to the subject (object) of control _____
(№, date)

Name of the subject (object) of control _____

Individual identification number/business identification number of the subject (object) of control _____

Location address _____

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№	List of requirements	Meets the requirements	Does not meet the requirements
1	2	3	4
1	Compliance with the obligation to immediately suspend subsoil use operations in the event of non-compliance with the provision for liquidation of the consequences of subsoil use or its termination, as well as in its absence		
2	Compliance with the obligation to supply hydrocarbons, including those produced during the exploration period, in full to the domestic market of the Republic of Kazakhstan , with the exception of hydrocarbons consumed for own technological needs or burned in cases of threat or emergency situations, threat to the life of personnel or the health of the population and the environment environment; when testing well objects; with technologically inevitable combustion of crude gas		
3	Compliance with the requirements for maintaining and storing information (documents) on subsoil use in electronic and paper format, namely: on the operation of wells and the implementation of geological and technical measures; materials on well operating modes; about all works on hydrocarbon production; primary documentation for the field; on the repair works carried out, its content, the period between repairs of equipment and wells, as		

	<p>well as the technical and economic efficiency of the work performed throughout the entire period of the facility operation;</p> <p>all materials (acts, orders, protocols and other materials) on conservation and (or) liquidation of oil, gas and injection wells for various purposes during exploration and production of hydrocarbons</p>		
4	<p>Compliance with the obligation to take over the balance of all previously drilled wells located on the territory of the subsoil plot, conducting monitoring of them</p>		
5	<p>Compliance with the requirement to carry out subsoil use operations in accordance with the project document, as well as the prohibition on carrying out such works in the absence of a project document</p>		
6	<p>Compliance with the requirements for field development in accordance with the technical project document</p>		
7	<p>Compliance with the obligation to ensure reliable accounting of produced hydrocarbons</p>		
8	<p>Compliance with the requirements on carrying out works:</p> <p>for additional exploration in accordance with the field development project;</p> <p>assessment of a new deposit discovered during additional exploration, in accordance with the addition to the field development project</p>		
	<p>Compliance with the requirements for the liquidation of</p>		

9	consequences of subsoil use of hydrocarbons and (or) the conservation of a subsoil plot		
10	Compliance with the requirements for liquidation and (or) conservation of technological facilities		
11	Compliance with the obligation to supply oil for processing on the territory of the Republic of Kazakhstan, and in the event of a shutdown of the oil refinery due to an emergency - and beyond, in order to meet the needs of the domestic market with petroleum products		
12	Compliance with the requirement to alienate or transfer to processing a wide fraction of light hydrocarbons produced by it		
13	Compliance with the obligation to submit to the authorized body in the field of hydrocarbons annual (for one financial year) and medium-term (for five financial years) programs for the procurement of goods, works, and services no later than February 1 (first) of the year planned for procurement, or no later than 60 (sixty) calendar days from the date of conclusion of the contract, as well as information on the planned acquisition of paid services of the operator in the event of its involvement by the subsoil user		
	Compliance with the requirement to submit the following reports to the authorized body in the field of hydrocarbons in the forms and procedures		

established by the legislation through a unified state subsoil use management system with a certified electronic digital signature of the first head or authorized representative:

- 1) on the purchased goods, works, and services, as well as the amount of intra-country value in them ;
- 2) on the intra-country value in personnel;
- 3) on the costs of financing the training of Kazakhstani personnel;
- 4) on expenses for scientific-research, scientific-technical and development works;
- 5) on the fulfillment of license and contract conditions;
- 6) on the composition of persons and (or) organizations directly or indirectly controlling the subsoil user;
- 7) on daily information on the production and delivery of oil and gas condensate;
- 8) on monthly information on oil production, gas condensate and development stages by fields (wells);
- 9) on the actual monthly production and delivery of oil and gas condensate;
- 10) on monthly information on the oil balance;
- 11) on monthly information on the company's oil prices;
- 12) on monthly information on production, delivery and balances of oil and gas condensate by recipients;

	<p>13) on annual information on the plan for production and delivery of oil and gas condensate;</p> <p>14) on daily information on the production of associated and natural gas;</p> <p>15) on the actual monthly production of associated and natural gas;</p> <p>16) on monthly information on the movement of associated and natural gas;</p> <p>17) on annual information on the production plan for associated and natural gas</p>		
15	<p>Compliance with the requirement for adjusting design indicators by the design organization as part of the author's supervision of the field development project (in cases of: changing the well commissioning schedule without changing the total design well stock provided for in the basic design document; adjusting the location of the designed wells, if there is a justified need; changing the types and scope of research work ; adjusting test objects and their number in drilled and designed production wells and appraisal wells as part of additional exploration activities of the field) and analysis of the development of a hydrocarbon field, performed at least once every three years and sending them in a notification procedure to the competent authority</p>		
	<p>Availability of state examination of project documents, results of analysis of hydrocarbon field development in case</p>		

16	of significant (more than ten percent) discrepancies between actual and project indicators of field development		
17	Compliance with the prohibition on burning crude gas in flares without permission from the authorized body, except in cases of threat or emergency situations, threat to the life of personnel or public health and the environment		
18	Compliance with the obligation to notify the authorized bodies in the field of hydrocarbons and environmental protection in writing within ten days when burning crude gas in flares without permission, indicating the reasons why the burning of crude gas occurred, and information about the volumes of burned crude gas in case of threat or emergency situations, threats to the life of personnel or public health and the environment		
19	Compliance with the obligation to conduct an investigation and submit quarterly reports to the authorized body in the field of hydrocarbons no later than the twenty-fifth day of the month following the reporting quarter, indicating information about the time and volumes of gas burned for each case of technological failures, breakdowns and deviations in the operation of process equipment, and also their reasons		
20	Availability of a program for the development of crude gas processing approved by the authorized		

	body in the field of hydrocarbons		
21	Compliance with the requirement to send annual reports to the authorized body in the field of hydrocarbons on the implementation of programs for the development of crude gas processing		
22	<i>Is excluded by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).</i>		
23	Compliance with the prohibition: for the construction and operation of oil storage facilities and reservoirs at sea; for the storage and warehousing of oil at offshore facilities, with the exception of temporary (no more than twenty calendar days) storage of oil during the transportation of such oil by tankers directly from offshore facilities		
24	Compliance with the requirement for independent testing of each productive formation when testing the formation and testing wells for the period established by the project document, but not more than 90 (ninety) days for each test object with a complex of field geological and hydrodynamic studies		
25	Prevention of unjustified release of gas from the gas cap and degassing of oil in reservoir conditions, leading to a decrease in the recovery coefficient of the main product (liquid hydrocarbons)		

Compliance with the prohibition on the operation of wells:

- with bottomhole pressures lower than those provided for in the project documents;
- in which there was an uncontrolled gas breakthrough through the formation, or through the annulus;
- in the absence of pumping and compressor pipes;
- with a gas factor exceeding the design values specified in the basic project documents and project documents for exploration and production of hydrocarbons;
- in the absence of downhole and ground-based equipment that provides separate accounting of produced products and field studies of each object with simultaneous separate operation of two or more objects by one well;
- fountain or transferred to a mechanized method through the intertubular (annular) space;
- with a gas factor exceeding the project values specified in the basic project documents and project documents for the exploration and production of hydrocarbons;
- for forced extraction of liquid in wells at pressures below the permissible downhole pressure, unless otherwise provided in the project document;
- without equipment for individual or group flow measurement and well testing;
- without manometers of wellhead and annular

	<p>pressures, devices for taking wellhead samples and measuring the temperature at the mouth, reinforcement pads and lubricators for launching deep instruments into wells (manometers, thermometers, flow meters, samplers);</p> <p>not prepared for individual performance of a complex of field studies in them</p>		
27	<p>The presence in the technological mode of operation of wells of the technological rate of liquid extraction – for each producing well and the volume of the injected displacing agent (injectivity) – for each injection well</p>		
28	<p>Availability of technological operation modes of producing wells, compiled monthly or once a quarter, depending on the stability of the development conditions of the facility. Simultaneously with the technological modes of operation of producing wells, a plan of geological and technical measures is drawn up and approved to ensure the norms of liquid extraction from wells and the operational facility as a whole</p>		
	<p>Compliance with the requirements for conducting:</p> <p>a set of studies for each operational facility (determination of the component composition of the formation fluid, viscosity, density, saturation pressure, gas content, volume coefficient, compositions of released</p>		

29	<p>gas and degassed oil, as well as the dependence of gas content, volumetric coefficient and density of the formation fluid on pressure) in accordance with the schedule of deep samples of oil/ gas condensate from wells, taking into account the commissioning of new wells and their uniform distribution over the area of the deposit;</p> <p>mandatory complex of field studies in the development of oil and gas fields</p>		
30	<p>Availability of manometers and flow meters on the flow lines of wellhead fittings during the gas-lift method of operating production wells to measure and regulate the pressure and flow rate of the working gas</p>		
31	<p>Compliance with the requirement to change the technological regime of wells or perform appropriate insulation works in case of breakthroughs to the bottomholes of gas or water wells</p>		
32	<p>Compliance with the prohibition on hydraulic fracturing of reservoir deposits with thin seals in order to avoid depressurization of hydrocarbon deposits</p>		
33	<p>Compliance with the requirements for maintaining records of gas production, reflecting the production of utilized gas, gas losses during wells testing and various purges, as well as during emergency blowouts</p>		

34	Compliance with the requirements for the formation of a tender commission in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons		
35	Preventing the establishment of other requirements in the tender documentation that are not provided for by the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons		
36	Compliance with the requirements for placing an announcement of an open tender and tender documentation in the register (system) in accordance with the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons		
37	Prevention of unjustified admission and (or) rejection by the customer of tender bids from potential suppliers in violation of the procedure for the acquisition by subsoil users and their contractors of goods, works and services used in conducting operations for the exploration or production of hydrocarbons		

38	Compliance with the requirements for the content and conditions of concluding an agreement on the purchase of goods, works and services		
39	Compliance with the obligation to purchase goods, works and services used in conducting operations for the exploration or production of hydrocarbons using open tender methods, from a single source and open tender for reduction (electronic bidding) using a register of goods, works and services used in conducting subsoil use operations, and their manufacturers or other electronic procurement systems located in the Kazakhstani segment of the Internet, the operation of which is synchronized with the operation of such a register		
40	Compliance with the requirement for a conditional reduction in the price of the tender application of the tender participants - Kazakhstani producers of works and services by twenty percent when determining the winner of the competition for the acquisition of works and services		
41	Compliance with the state's preemptive right to purchase alienated crude gas owned by subsoil users		
	Compliance by subsoil users intending to alienate crude gas with the requirements to submit for examination to the authorized body calculations of the maximum price of crude		

42	gas purchased by the national operator within the framework of the preemptive right of the state, confirmed by documents, no later than January 1 of the coming year		
43	Compliance by subsoil users with the requirements not to exceed the price of crude gas purchased by the national operator within the framework of the preemptive right of the state approved by the authorized body		
44	Compliance by subsoil users intending to alienate crude gas, no later than five months before the start of the planned period, with the requirement to send a commercial proposal to the national operator indicating : 1) volumes of alienated crude gas; 2) prices of alienated crude gas; 3) crude gas supply point		
45	Compliance with the obligation to approve and submit for examination a conservation project for a subsoil plot within two months from the date of termination of the right to subsoil use or suspension of a contract for subsoil use for hydrocarbons, as well as completion of conservation of a subsoil plot within the time limits established in the conservation project		
46	Compliance with the prohibition on activities in the field of production and (or) turnover of oil and gas condensate, operations on production and (or) turnover of crude oil and		

	gas condensate without equipping production facilities with metering devices and ensuring their functioning		
47	Compliance with the requirement on the provision by entities operating in the field of crude oil and gas condensate turnover of access to the authorized body in the field of hydrocarbons to their existing accounting systems for data on the amount of crude oil and gas condensate in turnover, prepared for delivery to the consumer		
48	Compliance with the requirement for rationing the injection of working agent into wells and formations in wells by conducting it once a quarter and formalizing it in the form of a technological operating regime for each injection well, approved by the management of the subsoil user, indicating: 1) daily volume of working agent injection; 2) basic requirements for the properties of the injected agent; 3) discharge pressure; 4) measures to ensure established injection standards		
49	Compliance with the requirement to exclude selective drilling and compaction of the design grid of the most productive part of the deposit, the exploitation object and sections of the deposit with the greatest thickness in order to regulate or increase oil production		

50	Compliance with the requirement to submit an application for oil supply for the formation of oil supply schedules on a monthly basis before the fifth day of the month preceding the reporting month		
51	Compliance with the prohibition on operations at facilities that pose a risk of oil spills, with the exception of ships, without: 1) conducting an oil spill risk assessment; 2) approved site plan; 3) availability of own or attracted resources on the basis of a contract		
52	Compliance with the obligation of facilities owners bearing the risk of an oil spill, with the exception of ships: 1) for the liquidation of first-level oil spills at sea - to have available at an offshore facility or within thirty-minute reach the resources necessary for the complete elimination of such oil spills; 2) for the liquidation of second-level oil spills at sea: to have resources available at an offshore facility either within thirty minutes of reach, in an amount sufficient for the period until the arrival of resources from local coastal services, or to conclude contracts with specialized organizations for the liquidation of oil spills at sea		
	Compliance with the obligation of the facility owner to conclude contract with a specialized organization for the		

53	liquidation of oil spills at sea, which has international recognition, qualified personnel and appropriate equipment		
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Official(s)

position signature surname, name, patronymic (if any)

position signature surname, name, patronymic (if any)

Head of the subject of control

position signature surname, name, patronymic (if any)

Appendix 6
to the joint order
of the Minister of Energy
of the Republic of Kazakhstan
dated November 23, 2018
№ 453 and acting Minister
of National Economy
of the Republic of Kazakhstan
dated November 23, 2018 № 77

Checklist when conducting subsoil use operations in the field of hydrocarbons in relation to individuals or legal entities whose right to conduct subsoil use operations has been terminated

Footnote. The joint order is supplemented with Appendix 6 in accordance with the joint order of the acting Minister of Energy of the Republic of Kazakhstan dated 29.11.2022 № 382 and acting Minister of National Economy of the Republic of Kazakhstan dated 30.11.2022 № 101 (shall be enforced from 01.01.2023); as amended by the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

The state body that appointed an inspection/preventive control with a visit to the subject (object) of control _____

An act on the appointment of an inspection/preventive control with a visit to the subject (object) of control _____

(№, date)

Name of the subject (object) of control _____

Individual identification number/business identification number of the subject (object) of control _____

Location address _____

№	List of requirements	Meets the requirements	Does not meet the requirements
1	2	3	4
1	Compliance with the obligation to terminate subsoil use operations at a subsoil site, with the exception of operations immediate termination of which is associated with the threat of emergency situations, within two months from the date of receipt of the notification by the competent authority of the decision to eliminate the consequences of subsoil use at the subsoil site or to conserve the subsoil site for subsequent providing it to another person		
2	Compliance with the obligation to immediately start works on liquidation of consequences of subsoil use or conservation of a subsoil site after approval and receipt of positive expert opinions of the liquidation or conservation project		
3	Compliance with the obligation to transfer equipment and other property that ensures the continuity of the technological process and industrial safety at the subsoil site into the trust management of the national company in the field of hydrocarbons for the period until the transfer of property to a new subsoil user, within a month from the date of receipt of the notification of the competent authority about the decision to		

	transfer the subsoil site in trust management of a national company in the field of hydrocarbons		
4	Compliance with the requirement to transfer the right under a bank deposit agreement, which is the subject of a pledge ensuring liquidation of the consequences of subsoil use, to a new subsoil user within the time period specified in the notification		
5	Compliance with the obligation to approve and submit for examination a project for liquidation of consequences of subsoil use for hydrocarbons no later than two months from the date of termination of the right to subsoil use, as well as completion of liquidation of consequences of subsoil use on a subsoil plot within the time limits established in the project for liquidation of consequences of subsoil use for hydrocarbons		
6	Compliance with the obligation to approve and submit for examination a conservation project for a subsoil plot within two months from the date of termination of the right to subsoil use or suspension of a contract for subsoil use for hydrocarbons, as well as completion of conservation of a subsoil plot within the time limits established in the conservation project		

Official(s)

position signature surname, name, patronymic (if any)

position signature surname, name, patronymic (if any)

Head of the subject of control

position signature surname, name, patronymic (if any)

Appendix 7
to the joint order
of the Minister of Energy
of the Republic of Kazakhstan
dated November 23, 2018
№ 453 and acting Minister
of National Economy
of the Republic of Kazakhstan
dated November 23, 2018 № 77

Checklist when conducting subsoil use operations in the field of hydrocarbons in relation to individuals or legal entities with permission to create and locate offshore facilities

Footnote. The joint order is supplemented by Appendix 7 in accordance with the joint order of the Minister of Energy of the Republic of Kazakhstan dated 31.05.2023 № 201 and the Minister of National Economy of the Republic of Kazakhstan dated 01.06.2023 № 95 (shall be enforced upon expiry of ten calendar days after the day of its first official publication).

The state body that appointed an inspection/preventive control with a visit to the subject (object) of control _____

An act on the appointment of an inspection/preventive control with a visit to the subject (object) of control _____
(№, date)

Name of the subject (object) of control _____

Individual identification number/business identification number of the subject (object) of control _____

Location address _____

№	List of requirements	Meets the requirements	Does not meet the requirements
1	2	3	4
1	Availability of permission to locate and create marine facilities		
2	Availability of a contract for subsoil use		

3	Placement and creation of a marine facility on the permitted geographic coordinates of the territory of marine facilities		
4	Creation of a marine facility within the approved time frame		
5	Compliance with the conditions for the placement of marine facilities		

Official(s)

position signature surname, name, patronymic (if any)

position signature surname, name, patronymic (if any)

Head of the subject of control

position signature surname, name, patronymic (if any)