



On approval of criteria for assessing the degree of risk and checklists in the field of use and protection of the water fund of the Republic of Kazakhstan, dam safety

Unofficial translation

Joint order of the Minister of Agriculture of the Republic of Kazakhstan dated April 5, 2019 No. 135 and the Minister of National Economy of the Republic of Kazakhstan dated April 24, 2019 No. 30. Registered with the Ministry of Justice of the Republic of Kazakhstan on May 2, 2019 No. 18616.

Unofficial translation

Pursuant to paragraphs 5 and 6 of Article 141, paragraph 1 of Article 143 of the Entrepreneur Code of the Republic of Kazakhstan, **we ORDER:**

Footnote. Preamble – as amended by the joint order of the Minister of Ecology and Natural Resources of the Republic of Kazakhstan dated 17.05.2023 № 151 and Acting Minister of National Economy dated 18.05.2023 №72 (effective sixty calendar days from the date of its first official publication).

Approve:

1) risk degree assessment criteria in the use and protection of the water fund of the Republic of Kazakhstan, dams safety (hereinafter -the Criteria) in accordance with Appendix 1 to this joint order;

2) checklist in the use and protection of the water fund of the Republic of Kazakhstan, dams safety in relation to control subjects that withdraw and (or) use water resources, and also operate water facilities in accordance with Appendix 2 to this joint order;

3) checklist in the use and protection of the water fund of the Republic of Kazakhstan, dams safety in relation to control subjects carrying out construction, dredging and blasting works, mining of minerals and other resources, laying of cables, pipelines and other communications, wood logging, drilling and other work on water bodies or water protection zones and strips in accordance with Appendix 3 to this joint order;

4) checklist in the use and protection of the water fund of the Republic of Kazakhstan, dams safety in relation to control subjects that withdraw and (or) use water resources, and carry out the operation of water facilities in accordance with Appendix 4 to this joint order;

5) checklist in the use and protection of the water fund of the Republic of Kazakhstan, dams safety in relation to control subjects carrying out construction, dredging and blasting works, mining of mineral and other resources, laying cables, pipelines and other communications, wood logging, drilling and other work on water bodies or water protection zones and strips in accordance with Appendix 5 to this joint order.

Footnote. Paragraph 1 – as amended by the joint order of the Minister of Ecology and Natural Resources of the Republic of Kazakhstan dated 17.05.2023 № 151 and Acting Minister of National Economy dated 18.05.2023 №72 (effective sixty calendar days from the date of its first official publication).

2. To recognize as terminated the joint order of the Minister of Agriculture of the Republic of Kazakhstan dated December 25, 2015 № 19-2/1131 and the Minister of National Economy of the Republic of Kazakhstan dated December 28, 2015 № 809 “On approval of criteria for assessing the degree of risk and a checklist in the field of use and the protection of the water fund of the Republic of Kazakhstan, the safety of dams” (registered in the Register of State Registration of Normative Legal Acts under № 12661, published on February 16, 2016 in the legal information system “Adilet”).

3. The Committee on Water Resources of the Ministry of Agriculture of the Republic of Kazakhstan, in the manner prescribed by law shall ensure:

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

2) within ten calendar days from the date of state registration of this order with the Ministry of Justice of the Republic of Kazakhstan, the direction hereof both in Kazakh and Russian languages to the Republican State Enterprise on the Right of Economic Management "Republican Center of Legal Information of the Ministry of Justice of the Republic of Kazakhstan" for official publication and placement in the Reference Control Bank of the Regulatory Legal Acts of the Republic of Kazakhstan;

3) within ten calendar days after the state registration of this joint order, sending a copy hereof for official publication in periodicals;

4) placing this order on the Internet resource of the Ministry of Agriculture of the Republic of Kazakhstan after its official publication.

4. The control over the execution of this joint order shall be assigned to the Supervising Vice Minister of Agriculture of the Republic of Kazakhstan.

5. This joint order shall come into effect upon expiry of ten calendar days after the day of its first official publication.

*Minister of Agriculture of the
Republic of Kazakhstan*

S. Omarov

Minister of National Economy of the Republic of Kazakhstan

R. Dalenov

" AGREED "

Committee on the Legal Statistics
and Special Accounts of the State
Office of Public Prosecutor of
Republic of Kazakhstan

Annex 1
to Joint order of the
Minister of Agriculture of the

Risk degree assessment criteria in the use and protection of the water fund of the Republic of Kazakhstan, dams safety

Footnote. Appendix 1 – as amended by the joint order of the Minister of Ecology and Natural Resources of the Republic of Kazakhstan dated 17.05.2023 № 151 and Acting Minister of National Economy dated 18.05.2023 № 72 (effective sixty calendar days from the date of its first official publication).

Chapter 1. General provisions

1. These risk degree assessment Criteria in the use and protection of the water fund of the Republic of Kazakhstan, dams safety (hereinafter -the Criteria) were developed pursuant to paragraphs 5 and 6 of Article 141, paragraph 1 of Article 143 of the Entrepreneur Code of the Republic of Kazakhstan (hereinafter -the Code) and the order of the Acting Minister of National Economy of the Republic of Kazakhstan dated July 31, 2018 № 3 “On approval of the form of the checklist” (registered in the Register of State Registration of Regulatory Legal Acts under № 17371) and the Rules for the formation by regulatory state bodies of a risk assessment and management system, approved by the 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 under № 28577).

2. The following basic concepts shall be used in these Criteria:

1) control subjects (objects) - individuals and legal entities, non-profit organizations engaged in special water use, operation of hydraulic structures, regulation of surface runoff, use of the services of water management organizations to obtain water from water supply systems for industrial and technical needs (primary water users), operation of buildings and structures, as well as construction and other work on water bodies, water protection zones and strips;

2) minor violations - violation of the requirements established by regulatory legal acts in the use and protection of the water fund of the Republic of Kazakhstan, dams safety, non-compliance with which does not create preconditions for the emergence of a threat to the life and health of the population, the environment, but the implementation of which is mandatory for individuals and legal entities in the performance of their activities;

3) significant violations - violation of the requirements established by regulatory legal acts in the use and protection of the water fund of the Republic of Kazakhstan, dams safety,

creating preconditions for the emergence of a threat to the life and health of the population and the environment;

4) gross violations - violations of the requirements established by regulatory legal acts in the use and protection of the water fund of the Republic of Kazakhstan, dams safety, non-compliance with which creates a threat to the population's health, the environment, as well as violations associated with non-compliance with prohibitory legislation;

5) risk in the use and protection of the water fund of the Republic of Kazakhstan, dams safety - likelihood of a decrease in water supply to the population, occurrence of pollution, clogging and depletion of water bodies, violation of the rights of water users to receive water resources in accordance with the allocated limits, as well as harmful effects of water on populated areas resulting from the water users' activities, absence of approvals for work on water bodies and their water protection zones and strips, occurrence and prevention of emergency situations at hydraulic structures that may result in human casualties, damage to human health and the environment, given the severity of their consequences;

6) score – a quantitative measure of risk calculation;

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

8) risk assessment and management system - the process of making management decisions aimed at reducing the likelihood of the occurrence of unfavorable factors by distributing the control subjects according to the risk degree for subsequent preventive control with a visit to the control subject and (or) checks for compliance with permitting requirements under the permits issued in order to minimize restriction of freedom of enterprise as much as possible, while ensuring an acceptable risk level in the relevant activity areas, as well as aimed at changing the risk level for a specific control subject and (or) exempting such control subject from preventive control with a visit to the control subject and (or) inspections of compliance with permitting requirements under issued permits;

9) objective criteria for risk degree assessment (hereinafter - objective criteria) - criteria for assessing the risk degree used to select control subjects depending on the risk degree in a certain activity area and not directly dependent on the individual control subject;

10) criteria for risk degree assessment - a set of quantitative and qualitative indicators related to direct activities of the control subject, specifics of industry branch development and factors influencing this development, enabling to classify control subjects to different degrees of risk;

11) subjective criteria for risk degree assessment (hereinafter - subjective criteria) - criteria for assessing the degree of risk used to select control subjects depending on the activity results of a particular control subject;

12) checklist - a list of requirements for the activities of control subjects, non-compliance with which entails a threat to the legitimate interests of individuals and legal entities, the state

;

13) sampling (sample) - a list of assessed entities classified as a homogeneous group of control subjects in a specific area of state control, in accordance with paragraph 2 of Article 143 of the Code.

Chapter 2. Methods of conducting compliance checks and preventive controls of control subjects

3. For the purposes of risk management in preventive control with a visit to the control subject (object) and (or) checking for compliance with permitting requirements under issued permits, the risk assessment criteria for conducting compliance checks and preventive control of control subjects (objects)) shall be formed by determining objective and subjective criteria, which shall be carried out stepwise (Multi-criteria decision analysis).

At the first stage, according to objective criteria, the control subjects (objects) are categorized by the following degrees of risk:

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

For activity areas of control subjects (objects) categorized as high and medium risk according to objective criteria, an inspection shall be carried out for compliance with permitting requirements under issued permits, preventive control with a visit to the control subject (object) and an unscheduled inspection.

For activity areas of control subjects (objects) categorized as low risk according to objective criteria, an inspection shall be carried out for compliance with permitting requirements under issued permits and an unscheduled inspection.

At the second stage, according to subjective criteria, the control subjects (objects) are assigned to one of the following degrees of risk:

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

According to the risk degree indicators on subjective criteria, the control subject (object) is categorized as belonging:

- 1) to a high degree of risk - with a risk degree indicator from 71 to 100 inclusive;
- 2) to a medium degree of risk - with a risk degree indicator from 31 to 70 inclusive;
- 3) to a low degree of risk - with a risk degree indicator from 0 to 30 inclusive.

4. Criteria for assessing the degree of risk for checking compliance with permitting requirements under issued permits and preventive control of control subjects (objects) shall be formed by defining objective and subjective criteria.

5. For activity areas of control subjects (objects) classified as high-risk, the frequency of inspections for compliance with permitting requirements under issued permits shall be conducted once a year.

For activity areas of control subjects (objects) classified as medium risk, the frequency of inspections for compliance with permitting requirements under issued permits shall be once every two years.

For activity areas of control subjects (objects) classified as low risk, the frequency of inspections for compliance with permitting requirements under issued permits shall be once every three years.

Chapter 3. Objective criteria of risk degree assessment

6. According to objective criteria, all control subjects, depending on the strategic importance of water bodies and water withdrawal volumes, are categorized into three degrees of risk:

1) high risk degree – control subjects (objects) that:

carry out economic activities within water protection zones, strips, on water bodies of special state significance and on small water bodies;

operate facilities included in the list of water management structures of special strategic importance and particularly important group and local water supply systems;

operate dams of classes I, II, III, and IV, which pose an increased danger in emergency situations;

withdraw and (or) use surface and groundwater from 100 or more cubic meters per day;

2) medium risk degree – that carry out economic activities within water protection zones, strips on water bodies;

operate facilities that are not included in the list of water management structures of special strategic importance and particularly important group and local water supply systems;

operate class IV dams that do not pose an increased danger in emergency situations;

withdraw and (or) use surface and groundwater from 50 to 100 cubic meters per day;

3) low risk degree – control subjects (objects) that:

carry out economic activities within water protection zones, strips and on water bodies;

operate facilities that are not included in the list of water management structures of special strategic importance and particularly important group and local water supply systems;

withdraw and (or) use surface and groundwater up to 50 cubic meters per day.

7. In respect of control subjects (objects) classified according to objective criteria as high and medium risk, subjective criteria shall be applied in order to check for

compliance with permitting requirements under issued permits and preventive control with a visit to the control subject (object) and an unscheduled inspection.

In respect of control subjects (objects) classified as low risk, an inspection shall be carried out for compliance with permitting requirements under issued permits and an unscheduled inspection.

8. In respect of control subjects (objects) that fully eliminated the violations issued on the basis of the previous preventive control results with a visit and (or) inspection for compliance with permitting requirements under the issued permits, it is not allowed to include them in the formation of schedules and lists for the next state control period.

9. In the absence of an information system for risk assessment and management, the minimum acceptable threshold for the number of control subjects in respect of which preventive control is carried out with a visit to the control subject and (or) checking for compliance with permitting requirements under issued permits should not exceed five percent of the total number of such control subjects in a certain state control area.

Chapter 4. Subjective criteria of risk degree assessment

10. Subjective criteria shall be determined through the following steps:

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

11. Formation of a database and collection of information is necessary to identify control subjects.

12. To assess the risk degree when making a preventive control list with a visit to the subject (object), the following information sources shall be used:

- 1) results of monitoring of reports and information obtained through primary recordkeeping;
- 2) results of previous inspections, preventive control with visits to control subjects (objects);
- 3) analysis of official Internet resources of state bodies and the media.

13. To assess the risk degree when making a schedule of checks for compliance with permitting requirements under issued permits, the following information sources shall be used:

- 1) results of previous inspections;
- 2) analysis of official Internet resources of state bodies and the media.

14. Based on the information sources defined in paragraphs 12 and 13 of these Criteria, subjective criteria shall be determined in accordance with Appendix 1 to these Criteria.

Chapter 5. Procedure for calculating the degree of risk according to subjective criteria

15. To assign the control subject to the risk level, the following procedure for calculating the risk level indicator shall be applied.

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 and preventive control with visits to control subjects (SP) and the risk level indicator according to subjective criteria (SC), with subsequent normalization of the data values in the range from 0 to 100 points.

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

R_{prom} is an intermediate indicator of the risk degree according to subjective criteria,

SP – indicator of the degree of risk for violations,

SC – is an indicator of the risk degree according to subjective criteria determined in accordance with paragraph 14 of these Criteria.

The calculation shall be made on each control subject of a homogeneous group of control subjects of each state control area. In this case, the list of assessed control subjects,

classified as a homogeneous group of control subjects of one state control area forms a sample (sampling) for subsequent data normalization.

16. Based on the data obtained from the results of previous inspections and preventive control with visits to control subjects, an indicator of the risk degree for violations shall be formed, assessed in points from 0 to 100.

If one gross violation is detected from any of the information sources specified in paragraphs 12 and 13 of these Criteria, the control subject shall be assigned a risk score of 100 points and shall be subject to preventive control with a visit to the control subject.

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 minor degree.

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

This indicator shall be calculated by the following formula:

$SP_3 = (SP_2 \times 100 / SP_1) \times 0.7$, where:

SP_3 – is indicator of significant violations;

SP_1 – required number of significant violations;

SP_2 – number of significant violations identified;

When determining the indicator of minor violations, a coefficient of 0.3 shall be applied.

This indicator shall be calculated by the following formula:

$SP_H = (SP_2 \times 100 / SP_1) \times 0.3$, where:

SP_H – is indicator of minor violations;

SP_1 – required number of minor violations;

SP_2 – number of minor violations identified;

The violation risk score (SP) shall be calculated on a scale from 0 to 100 points and is determined by summing the indicators of major and minor violations by the following formula:

$SP = SP_3 + SP_H$, where:

SP – is indicator of the risk degree for violations;

SP_3 – indicator of significant violations;

SP_H - indicator of minor violations.

The resulting value of the risk level indicator for violations shall be included in the calculation of the risk level indicator based on subjective criteria.

17. The calculation of the risk level indicator according to subjective criteria determined in accordance with paragraphs 12 and 13 of these Criteria shall be carried out on a scale from 0 to 100 points and by 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 x_i ,

n – number of indicators.

The resulting value of the risk degree indicator according to subjective criteria, determined in accordance with paragraphs 12 and 13 of these Criteria, shall be included in the calculation of the risk degree indicator according to subjective criteria.

18. The R indicator values calculated on subjects shall be normalized in a range from 0 to 100 points. Data normalization shall be carried out for each sample (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 control entity,

R_{max} – the maximum possible value on the risk degree scale according to subjective criteria for subjects included in one sample (sample) (upper limit of the scale),

R_{min} – the minimum possible value on the risk degree scale according to subjective criteria for subjects included in one sample (lower limit of the scale),

$R_{\text{пром}}$ - an intermediate indicator of the risk degree according to subjective criteria, calculated in accordance with paragraph 15 of these Criteria.

Degrees of violation of requirements to control subjects (objects) in the use and protection of the water fund of the Republic of Kazakhstan, dam safety, for preventive control with a visit in respect of control subjects that withdraw and (or) use water resources, and also operate water management facilities

№	Requirements	Violation degree
1	Presence of facts of destruction or damage to observation and regime wells for groundwater, observation regime stations on water bodies, water protection or water management signs	Minor
2	Availability of documents confirming the implementation of organizational, technological, forest amelioration, agrotechnical, hydraulic, sanitary-epidemiological and other measures ensuring protection of water bodies from pollution, contamination and depletion	Significant
3	Availability of a permit for special water use	Gross
4	Compliance with the approved reservoir use regime	Gross
5	Availability of an approved reservoir use regime	Gross
6	Maintaining water management structures and technical devices that affect the state of water in good condition	Gross
7	Monitoring of safety criteria of water management systems and structures (availability of a logbook)	Gross
8	Making adjustments to the safety criteria of water management systems (availability of design documentation)	Gross
9	Multifactor survey of water management systems and structures (availability of conclusion)	Gross
10	Availability of a dam safety declaration containing complete and reliable information	Gross
11	Observance of periodicity of water discharge measurement at each water intake and wastewater outlet	Significant

to Risk degree assessment criteria
in the use and protection of the water fund
of the Republic of Kazakhstan, dams
safety

Degrees of violation of requirements to control subjects (objects) in the use and protection of the water fund of the Republic of Kazakhstan, dam safety, for preventive control with a visit in respect of control subjects carrying out construction, dredging and blasting works, mining of mineral and other resources, laying of cables, pipelines and other communications, wood logging, drilling and other work on water bodies or water protection zones and strips

№	Requirements	Violation degree
1	Availability of approval for the location of enterprises and other facilities, as well as conditions for construction and other works on water bodies, water protection zones and strips	Significant
2	Availability at newly commissioned and reconstructed enterprises and facilities of structures and devices preventing pollution and contamination of water bodies	Significant

Appendix 3
to Risk degree assessment criteria
in the use and protection of the water fund
of the Republic of Kazakhstan, dams
safety

Degrees of violation of requirements to control subjects (objects) in the use and protection of the water fund of the Republic of Kazakhstan, dam safety, for checking of compliance with permitting requirements under issued permits in respect of control subjects that withdraw and (or) use water resources and also operate water management facilities.

	Requirements	Violation degree
1	Availability of a permit for special water use	Gross
2	Compliance with the limits of water consumption and wastewater disposal established in the permit for special water use	Gross
	Availability of specific norms of water consumption and water	

3	disposal agreed with the authorized body for water fund use and protection, water supply, and water disposal.	Gross
4	Availability of a scheme of location of water management structures and technical devices with indication of numbering of measuring points, water intake and discharge points, by means of which water intake or discharge is carried out, as well as metering units for transfer of such water to secondary water users.	Significant
5	Availability of the primary water accounting log	Insignificant
6	Provision of reliable and complete information on primary water accounting by the 10th day of the month following the reporting quarter.	Gross
7	Availability of serviceable, state-approved measuring instruments for water consumption and discharge recording, as well as intact and undamaged seals.	Significant
8	Reliability of accounting and reporting data of the water cadastre, as well as submission of the report on water withdrawal, use and discharge 2-TP (vodkhoz) annually	Gross

Appendix 4
to Risk degree assessment criteria
in the use and protection of the water fund
of the Republic of Kazakhstan, dams
safety

Degrees of violation of requirements to control subjects (objects) in the use and protection of the water fund of the Republic of Kazakhstan, dam safety, for checking of compliance with permitting requirements under issued permits in respect of control subjects carrying out construction, dredging and blasting works, mining of minerals and other resources, laying of cables, pipelines and other communications, wood logging, drilling and other work on water bodies or water protection zones and strips

№	Requirements	Violation degree
1	Availability of duly approved design documentation and compliance with	Significant

it for construction, reconstruction,
technical re-equipment of facilities
of economic sectors

Appendix 5
to Risk degree assessment criteria
in the use and protection of the water fund
of the Republic of Kazakhstan, dams
safety

List of subjective criteria to determine the risk degree by subjective criteria for assessing the risk degree to the control subjects (objects) in the use and protection of the water fund of the Republic of Kazakhstan, dam safety

№	Indicator of subjective criterion	Information source on subjective criterion indicator	Specific weight by importance, point (in total should not exceed 100 points), w_i	Conditions /values, x_i	
				condition 1/value	condition 2/ value condition 3/ value
1	2	3	4	5	6
For preventive control with a visit					
In respect of control subjects that withdraw and (or) use water resources and also operate water management facilities					
1	Provision or timely provision, by the 10th day of the month following the reporting quarter, of reliable and complete information on primary water accounting, in accordance with the Rules for primary water accounting, approved by <u>Order</u> of the Minister of Agriculture of the Republic of Kazakhstan dated March 30, 2015 № 19/1-274	Results of monitoring information obtained through primary record keeping /Analysis of official Internet resources of state bodies, media	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)	yes	no
				0 %	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)
	Provision or timely provision report on water withdrawal, use and disposal 2-TP (vodkhoz) annual , approved by the			yes	no
					inclusion in the semi-annual list

2	order of the Chairman of the Committee on Statistics of the Ministry of National Economy of the Republic of Kazakhstan dated May 15, 2020 № 27	Analysis of official Internet resources of state bodies and the media	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)	0 %	of preventive control with a visit to the control subject (object)
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For checking of compliance with permitting requirements under issued permits

In respect of control subjects that withdraw and (or) use water resources and also operate water management facilities

				yes	no
1	Availability of a permit for special water use	Analysis of official Internet resources of state bodies and the media	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)	0 %	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)
2	Change of surname, name, patronymic (if any) of an individual / change of name or legal address	Analysis of official Internet resources of state bodies and the media	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)	0 %	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)
3	Re-registration of an individual entrepreneur, change of his name or legal address	Analysis of official Internet resources of state bodies and the media	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)	0 %	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)
4	Reorganization of a legal entity, in accordance with the procedure defined in <u>Article 34</u> of the Law of the Republic of Kazakhstan “On Permits and Notifications”	Analysis of official Internet resources of state bodies and the media	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)	0 %	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)

In respect of control subjects carrying out construction, dredging and blasting works, mining of minerals and other resources, laying of cables, pipelines and other communications, wood logging, drilling and other work on water bodies or water protection zones and strips

5	Availability of approval for the location of enterprises and other facilities, as well as conditions for construction and other works on water bodies, water protection zones and strips	Analysis of official Internet resources of state bodies and the media	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)	yes	no
				0 %	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)
6	Change of surname, name, patronymic (if any) of an individual / change of name or legal address	Analysis of official Internet resources of state bodies and the media	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)	no	yes
				0 %	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)
7	Re-registration of an individual entrepreneur, change of his name or legal address	Analysis of official Internet resources of state bodies and the media	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)	no	yes
				0 %	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)
8	Reorganization of a legal entity, in accordance with the procedure defined in <u>Article 34</u> of the Law of the Republic of Kazakhstan “On Permits and Notifications”	Analysis of official Internet resources of state bodies and the media	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)	no	yes
				0 %	inclusion in the semi-annual list of preventive control with a visit to the control subject (object)

Appendix 2
to the joint order of the
Minister of Agriculture of the
Republic of Kazakhstan
dated April 5, 2019 № 135
and Minister of National Economy
of the Republic of Kazakhstan
dated April 24, 2019 №30

Checklist in the use and protection of the water fund of the Republic of Kazakhstan, dam safety in respect of control subjects that withdraw and (or) use water resources, and also operate water management facilities _____
in accordance with Article 138 of the Entrepreneur Code of the Republic of Kazakhstan

Footnote. Appendix2 – as amended by the joint order of the Minister of Ecology and Natural Resources of the Republic of Kazakhstan dated 17.05.2023 № 151 and Acting Minister of National Economy dated 18.05.2023 №72 (effective sixty calendar days from the date of its first official publication).

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State body that assigned inspection/preventive control with a visit to control subject (object) _____

Act on assigning of inspection/preventive control with a visit to control subject (object)

_____ (№, date)

Name of control subject (object)

(Individual Identification Number), Business Identification Number of control subject (object)

Location address

№	List of requirements	Meets the requirements	Does not meet the requirements
1	Destruction or damage to observation and regime wells for groundwater, observation regime sites on water bodies, water protection or water management signs		
	Documents confirming the implementation of organizational, technological, forest amelioration, agrotechnical		

2	, hydraulic, sanitary-epidemiological and other measures ensuring protection of water bodies from pollution, contamination and depletion		
3	Availability of a permit for special water use		
4	Compliance with the approved reservoir use regime		
5	Availability of an approved reservoir use regime		
6	Maintaining water management structures and technical devices that affect the state of water in good condition		
7	Monitoring of safety criteria of water management systems and structures (availability of a logbook)		
8	Making adjustments to the safety criteria of water management systems (availability of design documentation)		
9	Multifactor survey of water management systems and structures (availability of conclusion)		
10	Availability of a dam safety declaration containing complete and reliable information		
11	Observance of periodicity of water discharge measurement at each water intake and wastewater outlet		

Responsible official (-s) _____
(position) (signature)

(surname, name, patronymic (if any))

Head of control subject _____
(position) (signature)

(surname, name, patronymic (if any))

Appendix 3
to the joint order of the
Minister of Agriculture of the
Republic of Kazakhstan
dated April 5, 2019 № 135
and Minister of National Economy
of the Republic of Kazakhstan
dated April 24, 2019 №30

Checklist in the use and protection of the water fund of the Republic of Kazakhstan, dam safety in respect of control subjects carrying out construction, dredging and blasting works, mining of mineral and other resources, laying of cables, pipelines and other communications, wood logging, drilling and other work on water bodies or water protection zones and strips _____ in accordance with Article 138 of the Entrepreneur Code of the Republic of Kazakhstan

Footnote. Appendix3 – as amended by joint order of the Minister of Ecology and Natural Resources of the Republic of Kazakhstan dated 17.05.2023 № 151 and Acting Minister of National Economy dated 18.05.2023 №72 (effective sixty calendar days from the date of its first official publication).

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State body that assigned inspection/preventive control with a visit to control subject (object)

Act on assigning of inspection/preventive control with a visit to control subject (object) _____ (№, date)

Name of control subject (object)

(Individual Identification Number), Business Identification Number

of control subject (object)

Location address _____

№	List of requirements	Meets the requirements	Does not meet the requirements
1	Availability of approval for the location of enterprises and other facilities, as well as conditions for construction and other works on water bodies, water protection zones and strips		
2	Availability at newly commissioned and reconstructed enterprises and facilities of structures and devices preventing pollution and contamination of water bodies		

Responsible official (-s) _____
(position) (signature)

(surname, name, patronymic (if any))

Head of control subject _____
(position) (signature)

(surname, name, patronymic (if any))

Appendix 4
to joint order of the
Minister of Agriculture of the
Republic of Kazakhstan
dated April 5, 2019 № 135
and Minister of National Economy
of the Republic of Kazakhstan
dated April 24, 2019 №30

Checklist in the use and protection of the water fund of the Republic of Kazakhstan, dam safety in respect of control subjects that withdraw and (or) use water resources, and also operate water management facilities _____ in accordance with Article 138 of the Entrepreneur Code of the Republic of Kazakhstan

Footnote. Joint order as supplemented by Appendix 4 pursuant to the joint order of the Minister of Ecology and Natural Resources of the Republic of Kazakhstan dated 17.05.2023 № 151 and Acting Minister of National Economy dated 18.05.2023 №72 (effective sixty calendar days from the date of its first official publication).

State body that assigned inspection/preventive control
with a visit to control subject (object)

Act on assigning of inspection/preventive control with a visit to control
subject (object) _____ (№, date)
Name of control subject (object)

(Individual Identification Number), Business Identification Number
of control subject (object)

Location address _____

№	List of requirements	Meets the requirements	Does not meet the requirements
1	Availability of a permit for special water use		
2	Compliance with the limits of water consumption and wastewater disposal established in the permit for special water use		
3	Availability of specific norms of water consumption and water disposal agreed with the authorized body for water fund use and protection, water supply, and water disposal.		
4	Availability of a scheme of location of water management structures and technical devices with indication of numbering of measuring points, water intake and discharge points, by means of which water		

	intake or discharge is carried out, as well as metering units for transfer of such water to secondary water users.		
5	Availability of primary water accounting log		
6	Provision of reliable and complete information on primary water accounting by the 10th day of the month following the reporting quarter.		
7	Availability of serviceable, state-approved measuring instruments for water consumption and discharge recording, as well as intact and undamaged seals.		
8	Reliability of accounting and reporting data of the water cadastre, as well as submission of the report on water withdrawal, use and discharge 2-TP (vodkhoz) annually		

Responsible official (-s) _____
(position) (signature)

(surname, name, patronymic (if any))

Head of control subject _____
(position) (signature)

(surname, name, patronymic (if any))

Appendix 5
to the joint order of the
Minister of Agriculture of the
Republic of Kazakhstan
dated April 5, 2019 № 135
and Minister of National Economy
of the Republic of Kazakhstan
dated April 24, 2019 №30

Checklist in the use and protection of the water fund of the Republic of Kazakhstan, dam safety in respect of control subjects carrying out construction, dredging and blasting works, mining of mineral and other resources, laying of cables, pipelines and other communications, wood logging, drilling

and other work on water bodies or water protection zones and strips _____

in accordance with Article 138 of the Entrepreneur Code of the Republic of Kazakhstan

Footnote. Joint order as supplemented by Appendix 5 pursuant to the joint order of the Minister of Ecology and Natural Resources of the Republic of Kazakhstan dated 17.05.2023 № 151 and Acting Minister of National Economy dated 18.05.2023 №72 (effective sixty calendar days from the date of its first official publication).

State body that assigned inspection/preventive control
with a visit to control subject (object)

Act on assigning of inspection/preventive control with a visit to control
subject (object) _____ (№, date)
Name of control subject (object)

(Individual Identification Number), Business Identification Number
of control subject (object)

Location address _____

№	List of requirements	Meets the requirements	Does not meet the requirements
1	Availability of approved design documentation and compliance with it for construction, reconstruction, technical re-equipment of facilities of economic sectors		

Responsible official (-s) _____
(position) (signature)

(surname, name, patronymic (if any))

Head of control subject _____
(position) (signature)

(surname, name, patronymic (if any))

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