

Water Supply Licence and/or Sewerage Licence: draft application form, version 2

Applicants are required to complete this form when making an application for a water supply licence or a sewerage licence (as each of those terms is defined in the Water Industry Act 1991 (as amended)). Water supply licences and sewerage licences are referred to collectively as “WSSLs” in this form and “WSSL” means either a water supply licence or a sewerage licence as the context requires.

This form reflects the requirements of [Ofwat’s notice](#) under s17F Water Industry Act 1991 (WIA91). Applicants will need to submit attachments for some of the questions on this form and may also attach additional pages should more space for a response to any of the questions be needed. Any such additional pages should be numbered and the form should be marked indicating that they have been attached.

This form should be read in conjunction with guidance issued by Ofwat for this purpose (referred to in this form as the Guidance). The Guidance outlines the information that we expect to be provided in response to the questions in this form. Applicants should ensure that they submit the information requested here along with fees payable to Ofwat. Where options are given please tick the relevant box. A checklist of required enclosures is set out in Section 4.

Please note that if the information and/or documentation provided are incomplete, the application will be returned to you with a request to provide the missing information. Further information may be requested by Ofwat at any time during the application process to enable a fair and thorough evaluation of the application to be carried out.

Please send your application to Ofwat using the contact details below.

Regulator	Geography	Email	Address
Ofwat	England and Wales	casemanagementoffice@ofwat.gsi.gov.uk	Case Management Office Ofwat, 7 Hill Street, Birmingham B5 4UA

In completing their application, applicants should highlight (explaining their reasons) any information which they would not wish to be published or disclosed by Ofwat in due course. In particular applicants should set out clearly whether, and for what length of time, they consider the information submitted to be subject to any exemptions under the Freedom of Information Act 2000. Ofwat may have regard to such submissions when considering future publication or disclosure.

Please note that any applicant who knowingly or recklessly makes a statement in connection with an application for a licence that is false or misleading in a material particular is guilty of an offence in England & Wales.

Section 1 General particulars

A. Type of application

1. Please tick the appropriate boxes below to indicate which authorisations the applicant is applying for.

Please see section 3.1.1 of the application guidance for further details.

Location of operation	Type of Authorisation	Please tick
England	Retail (water) authorisation	
	Retail (sewerage) authorisation	
	Retail restricted to self-supply (water) authorisation	
	Retail restricted to self-supply (sewerage) authorisation	
	Wholesale authorisation	
Wales	Restricted retail authorisation	
	Supplementary authorisation	

If the applicant is applying for a variation, as well as completing the above table regarding which licence is being applied for, please can the applicant indicate its existing licence number?

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B Applicant details

2. Please provide the contact details of person to whom correspondence or queries concerning this application should be directed.

Please see section 3.1.2 of the application guidance for further details.

Contact name:

Position in company:

Contact address:

Email address:

Telephone number(s):

3. Please provide details about the applicant.

Please see section 3.1.3 of the application guidance for further details.

Applicant name:

Legal status:

Registered company number (if applicable):

Contact Address:

4. Where the applicant is not an individual, please give the full names and contact details of each person concerned in the direction or management of the applicant's affairs

Please see section 3.1.3 of the application guidance for further details.

5. Please provide the name(s) and contact details (including, if applicable, the details referred to in response to questions 3 and 4 above) for any ultimate controller of the applicant, together with the details of the nature of the control exercised

Please see sections 3.1.3 and A1.1.5 of the application guidance for further details.

6. Does the applicant have any relationship with a company appointed as an undertaker under the Water Industry Act 1991 (an appointed company)?"

Please see section 3.1.3 and A1.1.5 of the application guidance for further details.

Yes Please give details below

No

7. Do any of those persons concerned in the direction or management of the applicant detailed in response to question 4 above currently work, or have they previously worked, in a regulated utility?

Please see section 3.1.3 and A1.1.5 of the application guidance for further details.

Yes Please give details of below

No

8. Do the individuals concerned with the direction or management of the applicant detailed in response to question 4 above hold any professional or industry qualifications?

Please see section 3.1.3 and A1.1.5 of the application guidance for further details.

Yes Please give details of below

No

9. Have any of those persons concerned in the direction or management of the applicant detailed in response to question 4 above been involved in any regulated utility business where a licence has been revoked or refused?

Please see section 3.1.3 and A1.1.5 of the application guidance for further details.

Yes Please give details below

No

C. Ongoing litigation/criminal convictions/civil penalties

10. Have any of those persons concerned in the direction or management of the applicant detailed in question 4 above been involved in any insolvency event, including any period of receivership or administration?

Please see section 3.1.3 and A1.1.5 of the application guidance for further details.

Yes Please give details below

No

11. Please provide details of any current litigation involving the applicant or any of the persons referred to in response to question 4.

Please see section 3.1.3 and A1.1.5 of the application guidance for further details.

Yes Please give details of below

No

12. Please provide details of any cases that involve the applicant or any of the persons referred to in response to question 4 above, where they have plead or been found guilty of a criminal offence and/or been subjected to a civil penalty. This should exclude minor convictions or penalties. Where the persons listed at question 4 above have any unspent convictions please provide declarations from each person(s) to this effect.

Please see section 3.1.3 and A1.1.5 of the application guidance for further details.

Yes Please give details of below

No Please provide declarations

D. Financial information

13. Does the applicant have a financial backer?

Please see section 3.1.4 and A1.1.8 of the application guidance for further details. Yes

Please give details below and include a declaration from the backer

No

Please set out below how the company will fund its business and include a declaration of financial stability

E. Further information

14. Does the applicant consider that any of the standard licence conditions or any other regulatory requirements should not apply in respect of their licence application? If so, please indicate which conditions or requirements they are and details of the reasons for the proposed disapplication of those conditions or requirements.

Please see section 3.1.5 of the application guidance for further details.

Yes Please give details below

No

15. Please provide details of any facts or circumstances that might adversely affect the applicant's ability to exercise the functions authorised under the licence(s) the applicant is applying for.

Please see section 3.1.5 of the application guidance for further details.

16. Please specify below any additional information that you feel is necessary to support your application. Please list any other documents you are providing.

Please see section 3.1.5 of the application guidance for further details.

Section 2: Additional information

1. Are all persons concerned in the direction or management of the applicant's affairs deemed 'fit and proper' persons to ensure that the activities authorised by the licence(s) and any statutory functions imposed on the licence holder in consequence of the licence(s) are properly carried out?

Please see sections 3.2.1 of the application guidance for further details.

Yes Please include declarations

No Please give details of below

2. Please give details as to how the applicant will ensure that it has adequate knowledge of the duties of water supply licensees (if applicable) and that systems and procedures have been put in place to comply with those duties.

Please see section 3.2.2 of the application guidance for further details.

3. Please give details as to how the applicant will ensure that it has adequate knowledge of the difference in the duties of licensees between England and Wales, and that systems and procedures have been put in place to comply with those duties.

Please see sections 3.2.2 and A1.1.7 of the application guidance for further details.

4. Please give details as to how the applicant will ensure that it has adequate knowledge of the eligibility of customers to switch

Please see section 3.2.3 of the application guidance for further details.

5. Please explain how the applicant has satisfied itself that its customer facing systems and procedures have sufficient capacity and capability to support its proposed business plan?

Please see section 3.2.4 of the application guidance for further details.

6. Please confirm whether the applicant intends to apply for MOSLs market entry assurance certification for the use of low or high volume interface with market systems? Please indicate “Low” or “High”

Please see section 3.2.4 of the application guidance for further details.

7a. Please confirm whether the applicant intends to make use of the transfer of certification from incumbent retailer to associated retailer? If so, please provide full details of the intended transfer.

Please see section 3.2.5 of the application guidance for further details.

7b. If the answer to question 7a is “Yes”, please provide details of the approach, together with expected timings and details of the transfer. Please confirm the steps taken to ensure that the transfer will be effective and reliable, together with related contingency plans.

Please see section 3.2.4 of the application guidance for further details.

8. Fee amount and method of payment:

Please see section 3.2.6 of the application guidance for further details.

£ 5250

Method of payment:

9. Receipt required:

Yes

No

Section 3

This section has been intentionally left blank.

Section 4 – Enclosures

Please check the following are included for ALL applications:

Fee	<input type="checkbox"/>
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List of sites to be served (Self-Supply applicants only)	<input type="checkbox"/>
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Evidence of managerial competency	
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CVs for key personnel	<input type="checkbox"/>
Organisational structure chart	<input type="checkbox"/>
Statement of any unspent criminal convictions	<input type="checkbox"/>
Declarations of 'fit and proper' status	<input type="checkbox"/>

Evidence of financial stability	
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Business Plan	<input type="checkbox"/>
Business Plan pro-forma	<input type="checkbox"/>
Audited statutory accounts and annual report if available in the appropriate format	<input type="checkbox"/>
Certificate of Adequacy	<input type="checkbox"/>
Statement from Financial Backer (if appropriate)	<input type="checkbox"/>

Evidence of technical competency	
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Declarations that the applicant, if granted a licence,	<input type="checkbox"/>
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will work positively with CCWater, the DWI, the EA and the NRW.

Declarations that persons detailed at question 4 of this application form are aware of the responsibilities of licensees under the WIA91, including responsibilities in relation to security under section 208 WIA91

Section 5 – Declaration

I confirm that, having made due enquiry of the applicant (if someone other than me) and each of the persons (if any) listed in the responses to *Section 1, Question [4]*, the information supplied is complete and correct to the best of my knowledge and belief.

I confirm that I, and (if someone other than me) the applicant, will provide such further information as Ofwat requests in connection with its assessment of this application and will inform Ofwat if there is any material change to the circumstances of the applicant and/or the information contained in this application.

I confirm that I, and (if someone other than me) the applicant, consents to Ofwat sharing the contents of this application, including for the avoidance of doubt any enclosures, with third parties whose input is necessary or desirable for the assessment of this application.

Signed

Print Name

Print job title (if applicable)

For and behalf of (if applicable)

Dated