New appointment or variation of appointment application form (version 1)

Applicants are required to complete this form when making an application for a new appointment or a variation of an appointment. This form should be used in conjunction with the [Application guidance for new appointments and variations](https://www.ofwat.gov.uk/publication/application-guidance-new-appointments-variations/) (referred to in this form as the Guidance) and [Statement of Policy](https://www.ofwat.gov.uk/publication/new-appointments-variation-policy/) documents issued by Ofwat. A checklist of the required supporting information is included within Section H of this form. Applicants should number the attachments they provide with their application in line with this checklist. We have also published templates for the following supporting documents:

* [Supporting Document 4: Code of practice comparison table (section 5.5.2 of the Guidance)](https://www.ofwat.gov.uk/publication/nav-application-guidance-supporting-document-4-code-practice-comparison-table/);
* [Supporting Document 7: Performance Commitments/ODI’s comparison table (section 5.5.7 of the Guidance)](https://www.ofwat.gov.uk/publication/nav-application-guidance-supporting-document-7-pc-odi-comparison-table/) and;
* [Supporting Document 11: Signed Declaration of Accuracy (section 5.2 of the Guidance)](https://www.ofwat.gov.uk/publication/nav-application-guidance-supporting-document-11-declaration-accuracy/).

Please note that our assessment of the application will not begin until we have received all of the required information and documentation. Further information may be requested by Ofwat at any time during the application process. The application will be placed on hold should further information be required and shall remain on hold until the requested information has been provided.

With regard to information requests, in accordance with the Freedom of Information

Act 2000 (FoIA), the Data Protection Act 1998 and from May 2018 the General Data

Protection Regulations (GDPR), and the Environmental Information Regulations

2004, we may be required to publish or disclose information. If the applicant considers that information provided should be treated as confidential they should explain to Ofwat why this is the case. If we receive a request for disclosure of the information we will take into account the representations provided, but we cannot give an assurance that we can maintain confidentiality in all circumstances.

We will retain your information in accordance with Ofwat’s retention schedule and will not share it with third parties unless we have a legal obligation to do so. Further information on the treatment of confidential information, can be obtained from Ofwat at <http://www.ofwat.gov.uk/foi/>. If you have any concerns on how we manage your personal data please contact the Data Protection Officer at FOI@ofwat.gsi.gov.uk

Completed applications should be sent to Ofwat using the contact details below:

Case Management Office

Ofwat

Centre City Tower

7 Hill Street

Birmingham

B5 4UA

Email: casemanagementoffice@ofwat.gsi.gov.uk

Please note that section 207 of the Water Industry Act 1991 provides 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 and Wales.

### Section A – General information about the applicant and the application

1. Please provide the details requested in the box below.

Company name:

Registered company number:

Contact name and position:

Telephone number(s):

Email address:

Correspondence address:

1. Please mark applicable boxes for the application:

|  |  |  |
| --- | --- | --- |
|  | New Appointment | Variation |
| Water supply |  |  |
| Sewerage services |  |  |

1. Under which criterion is the application being made, evidence will need to be attached to your application (see section 2 of the Guidance document for criterion information and section 5.3 for supporting information requirements)?

Consent [ ]  Unserved [ ]  Large user [ ]

1. Please provide details of the resources with which you intend to serve customers.

Will the site be served by way of bulk supply and/or discharge agreement(s)?

Yes [ ]  If yes, please provide details below of the company from whom bulk services will be obtained and confirm negotiations have commenced (we will require copies of the signed bulk supply and/or discharge agreements before we are able to grant the new appointment and/or variation of appointment, see sections 4.2.1 and 4.2.2 of the Guidance for further detail).

 No [ ]

1. Will customers be served using the applicant’s own resources?

Yes [ ]  If yes, please provide details of any assets that are to be used to provide services, including who is responsible for and owns those assets, and any other uses to which they are put.

No [ ]

1. Please provide the date the new appointment or variation is required to take effect and an explanation as to why the appointment or variation is needed by this date.

The indicative timings for the application process is set out in Section 3 of the Guidance.

Section A - Relevant Supporting Documents:

* Supporting Document 1: Evidence of application criterion (unserved/consent/large user) (section 5.3.1 - 5.3.3 of the Guidance)

If applicable:

* Supporting Document 13: Independent confirmation of site status (if applicable, see section 4.3 of the Guidance)
* Supporting Document 14: Letter of developer consent (if unserved) (section 5.3.1 of the Guidance)
* Supporting Document 15: Letter from existing appointee confirming the site is considered to be unserved (section 5.3.1 of the Guidance)
* Supporting Document 16: Letter of customer consent (if large user) (section 5.3.2 of the Guidance)
* Supporting Document 17: Letter of consent from the existing appointee and supplementary information on why the NAV should be granted (consent application) (section 5.3.3 of the Guidance)

### Section B – About the site

1. Please provide the site name and address.

Site Name:

Location:

Address:

1. Please provide the existing appointee details for the site.

Details of existing appointee for water supply (if applicable)

Company name:

Contact:

Address:

Email address:

Details of existing appointee for Sewerage services (if applicable)

Company name:

Contact:

Address:

Email address:

1. Please provide details of the Local Authority(ies) in which the site is located.

Local Authority Name:

Contact Name:

Email address:

Address:

1. Is the site:

Greenfield [ ]  or;

Brownfield [ ]  If brownfield, include further information such as previous use and state if any site report has been commissioned or any other report prepared (section 4.4 of the Guidance provides further guidance regarding site reports).

1. Has full planning permission been granted for the site?

Yes [ ]  If yes, please provide a link to the planning permission

No [ ]  If no, please provide further detail regarding the progress of planning permission in the box below, including whether outline planning has been granted (include links to any relevant documentation)

1. Name of the site’s developer(s) ­­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Total number of household properties to be built on site \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. Total number of business properties to be built on site\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
4. Will all of the properties on the site be new build?

Yes [ ]

No [ ]  If no, please provide further detail about any existing properties on the site, including the number of properties (broken down into household and business), in the box below.

1. When is the site expected to be fully built out?

1. What is the expected forecast levels of consumption for services at the site? Please include details of any plans for reducing consumption from current levels.

1. Please provide detail of any contingency plan prepared for the site. For example, how customers on the site will be served if the applicant fails to obtain an appointment or how customers about to move into new houses will be served in that circumstance.

1. Please provide the details of the surface water drainage arrangements the site will have (if applicable).

1. Other than installing the mains/sewers, will there be a requirement for any work to take place on the existing appointee’s water or sewerage network? If so, please provide further information.

1. Are there any circumstances which make this application unusual? For example, is there a non-straightforward network or any unusual legal arrangement in place?

Section B – Required Supporting Documents:

* Supporting Document 2: Water supply and/or sewerage services boundary maps (section 5.4 of the Guidance, the maps must include the specific wording detailed in the Guidance)

### Section C – Customer engagement

1. Are there any existing customers on the site (section 4.3 of the Guidance)?

Yes [ ]  If yes, please provide further detail, including the number of properties (broken down into household and business), in the box below.

 No [ ]

1. If applicable, please provide detail on any customer engagement plan. This should include detail any contact made with existing customers on the site, if applicable (section 4.3 of the Guidance).

1. If applicable, please detail below how you will ensure that customers moving on to a new build site will be made aware that they are to be supplied by a new water and/or sewerage supplier (section 4.3 of the Guidance).

1. Please provide information as to how you will identify and communicate with prospective customers.

### Section D – ‘No worse off’ information

1. Please provide details of the charging tariffs the applicant intends to charge and any discount it intend to offer (section 5.5.3 of the Guidance).

1. How will you identify and protect vulnerable customers on the site?

1. Section 5.5.1 – 5.5.7 of the application guidance details the information applicants are required to submit in relation to our assessment that customers are no worse off.

If this information remains consistent with a previous application submitted in the same existing appointee(s) area previously, please complete the details below. In this instance, you are not required to submit supporting documents 4, 5, 6 and 7.

Site name of previous application:

Date information was submitted by applicant for the above site:

Having reviewed them to ensure they remain appropriate for the (increased) number of customers this appointment would serve, please confirm which of the following documents remain unchanged from the information previously submitted to us and are to be used to support this new application

- Performance commitments and ODIs table [ ]

- Codes of practice comparison table [ ]

- Statement of proposed service levels [ ]

- Minimum Service Standards statement (GSS regulations) [ ]

Section D - Relevant Supporting Documents:

* Supporting Document 3: Codes of practice documents - Customer, Debt and Leakage (section 5.5.2 of the Guidance)
* Supporting Document 4: Code of practice comparison table (section 5.5.2 of the Guidance - Template)
* Supporting Document 5: Minimum Service Standards statement (GSS regulations) (section 5.5.5 of the Guidance)
* Supporting Document 6: Statement of proposed customer service levels (section 5.5.6 of the Guidance)
* Supporting Document 7: Performance Commitments/ODI’s comparison table (section 5.5.7 of the Guidance - Template)

If applicable:

* Supporting Document 12: Charges scheme statement of assurance (section 5.5.3 of the Guidance – Template)

### Section E – Financial viability

If this application is for a new appointment, please answer questions 1 to 3. If this application is for a variation, please complete question 4 and 5.

1. If this is an application for a new appointment, please provide a full and comprehensive explanation of the applicant’s future business strategy. This should cover expected future growth, nature of targeted acquisitions and details of company structure and use of associated or group companies. It should also cover the principal risks faced by the applicant and consideration of how these risks could be mitigated (section 5.6.1 of the Guidance).

1. If this is an application for a new appointment, please provide a full and comprehensive description of your business model and approach to fulfilling the functions of an appointee including obligations under the Water Industry Act 1991 (section 5.6.1 of the Guidance):

1. If this is an application for a new appointment, please provide a brief company history, including and explanation of the corporate structure of the group the applicant is part of and details of any knowledge and/or experience in relation to the water and sewerage sectors:

1. If this application is for a variation, please provide the following information previously submitted along with the information detailed in section 5.6.2 of the Guidance document:
* Site name of previous application: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_­\_\_
* Date statement was submitted by applicant for the above site: \_\_\_\_\_\_\_\_\_
* Is the information unchanged from the information previously submitted to us? If not, include updates to the information previously submitted in the box below or by attaching a supporting information to your application.

1. If this application is for a variation, please provide the following confirmation in the box below:
* Confirmation that its approach to providing water and/or sewerage services to the site is consistent with its general approach that we are already familiar with or provide details of what is different. Please highlight any different or unique characteristics of the site.
* Confirmation that the previous financial security arrangements remain in place and these are sufficient to cover the proposed site.
* Confirmation of the level of capital investment required for the site and how this is being funded.

Section E – Relevant Supporting Documents:

* Supporting Document 8: Financial Model (section 5.6.1 for new appointment or 5.6.2 for variations of the Guidance)
* Supporting Document 9: Sensitivity Analysis of the base case (section 5.6.1 for new appointment or 5.6.2 for variations of the Guidance). This analysis should also include an assessment of the financial risks faced by the proposal.

If applicable:

* Supporting Document 18: Evidence to demonstrate sufficient financial resources, such as parent company guarantee or bond (section 5.6.1 of the Guidance on new appointments)
* Supporting Document 19: Evidence demonstrating how any initial capital investment will be financed (section 5.6.1 of the Guidance on new appointments)
* Supporting Document 20: Information to support a company based assessment (section 5.6.3 of the Guidance on company based assessment)

### Section F – Operational viability

If this application is for a new appointment, please answer questions 1 to 4. If this application is for a variation, please complete question 3 and 5.

1. Please detail any relationships you have with existing appointees, such as connections to their networks or contractual arrangements.

1. Please provide detail of how you will ensure arms-length trading with associated businesses.

1. If applicable, please provide a description, including evidence, of how any infrastructure required at the site will be, or has been, laid in accordance with industry standards (for example, by contractors accredited under the Water Industry Registration Scheme) (sections 5.7.1 and 5.7.2 of the Guidance).

1. Do you intend to sub-contract any of the day to day activities?

Yes [ ]  If yes, please provide further details in the box below (See section 5.7.3 of the Guidance document for further information).

 No [ ]

If the applicant intends to sub-contract some or all of its day-to-day activities it should provide the following information:

* details of activities that the applicant is intending to sub-contract;
* the company name and contact details that the applicant intends to contract these activities;
* an explanation of the third party’s previous experience of the water and/or sewerage sectors; and
* a service level agreement between the applicant and the sub-contracted party. This should be attached as a supporting document as required.

1. If this application is for a variation, please provide the following information previously submitted along with the information detailed in section 5.7.2 of the Guidance document:
* Site name of previous application: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
* Date information was submitted by applicant for the above site: \_\_\_\_\_\_\_\_
* Is the information unchanged from the information previously submitted to us? If not, include updates to the information previously submitted in the box below or by attaching a supporting information to your application.

Section F – Relevant Supporting Documents:

* Supporting Document 10: Supplementary information on operational viability (section 5.7.1 of the Guidance for new appointments and 5.7.2 for variations)

If applicable:

* Supporting Document 21: Detail of organisational structure (organogram) (section 5.7.1 of the Guidance)
* Supporting Document 22: Supplementary information regarding sub-contracted activities (section 5.7.3 of the Guidance)

### Section G – Additional information

1. Include here any further information which you consider relevant to your application which has not been included within the form above. Please detail any unique points Ofwat should consider when assessing the application.

### As applicable, please confirm that you have contacted the Drinking Water Inspectorate before submitting this application (section 4.1.2 of the Guidance)?

Yes [ ]

 No [ ]

### Please confirm that you have contacted the Environment Agency/Natural Resources Wales (as applicable) before submitting this application (sections 4.1.3/4.1.4 of the Guidance)?

### Yes ☐

 No ☐

1. As applicable, please confirm that you have contacted the Consumer Council for Water before submitting this application (section 4.1.5 of the Guidance)?

### Yes ☐

 No ☐

1. Please confirm that you have considered the engagement you need with MOSL (section 4.1.6 of the Guidance)?

A new appointee is required to make a trading application to MOSL, complete Market Entry Assurance Certification and satisfy the trading conditions.

For variations, NAVs should consider whether they are making material changes to their capability or the way they uphold their market obligations with the additional variation that they are applying for and consider the re-assurance process.

### Yes ☐

No ☐

### Section G - Required Supporting Documents:

* Supporting Document 12: Signed Declaration of Accuracy (section 5.2 of the Guidance - Template)

### Section H – Checklist of supporting documentation

This section provides a list of tick boxes to ensure that all the additional documents required are included with the application form. If you do not provide the information required within this section we will be unable to process your application.

|  |  |
| --- | --- |
| Information required for all applications | Mark to indicate inclusion within your application |
| Supporting Document 1: Evidence of application criterion (unserved/consent/large user) (section 5.3 of the Guidance) |  |
| Supporting Document 2: Maps (section 5.4 of the Guidance details the specific wording the maps must include) |  |
| Supporting Document 3: Codes of practice documents - Customer, Debt and Leakage (section 5.5.2 of the Guidance) |  |
| Supporting Document 4: Code of practice comparison table (section 5.5.2 of the Guidance - Template) |  |
| Supporting Document 5: Minimum Service Standards statement (GSS regulations) (section 5.5.5 of the Guidance) |  |
| Supporting Document 6: Statement of proposed customer service levels (section 5.5.6 of the Guidance) |  |
| Supporting Document 7: Performance Commitments/ODI’s comparison table (section 5.5.7 of the Guidance - Template) |  |
| Supporting Document 8: Financial Model (section 5.6.1 for new appointment or 5.6.2 for variations of the Guidance) |  |
| Supporting Document 9: Sensitivity Analysis of the base case (section 5.6.1 for new appointment or 5.6.2 for variations of the Guidance) |  |
| Supporting Document 10: Supplementary information on operational viability (section 5.7.1 of the Guidance for new appointments and 5.7.2 for variations) |  |
| Supporting Document 11: Signed Declaration of Accuracy (section 5.2 of the Guidance - Template) |  |
| If applicable to your application, please include: | Mark to indicate inclusion within your application |
| Supporting Document 12: Charges scheme statement of assurance (section 5.5.3 of the Guidance) |  |
| Supporting Document 13: Independent confirmation of site status (if applicable, see section 4.3 of the Guidance) |  |
| Supporting Document 14: Letter of developer consent (if unserved) (section 5.3.1 of the Guidance)  |  |
| Supporting Document 15: Letter from existing appointee confirming the site is considered to be unserved (section 5.3.1 of the Guidance) |  |
| Supporting Document 16: Letter of customer consent (if large user) (section 5.3.2 of the Guidance) |  |
| Supporting Document 17: Letter of consent from the existing appointee and supplementary information on why the NAV should be granted (section 5.3.3 of the Guidance) |  |
| Supporting Document 18: Evidence to demonstrate sufficient financial resources, such as parent company guarantee or bond (section 5.6.1 of the Guidance) |  |
| Supporting Document 19: Evidence demonstrating how any initial capital investment will be financed (section 5.6.1 of the Guidance) |  |
| Supporting Document 20: Information to support a company based assessment (section 5.6.3 of the Guidance on company based assessment) |  |
| Supporting Document 21: Detail of organisational structure (organogram) (section 5.7.1 of the Guidance) |  |
| Supporting Document 22: Supplementary information regarding sub-contracted activities (section 5.7.3 of the Guidance) |  |