



WATER AND WASTE REGULATORY OFFICE  
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**WATER AND WASTE REGULATORY OFFICE (“WWRO”)  
(R-01/W&WW)**

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**RULE  
FOR THE LICENSING OF WATER, WASTEWATER AND BULK WATER  
SERVICE PROVIDERS IN KOSOVO**

28 October 2008

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## PART I: GENERAL PROVISIONS

### Chapter 1: General Provisions

#### Section 1: Authority for this Rule

The Regulator issues this Rule under authority of *Regulation 2004/49 On Activities of Water, Wastewater and Waste Service Providers*, dated 26 November 2004 as amended with *Law No. 03/L-086 dated 13 June 2008*.

#### Section 2: Scope

All currently operating Publicly Owned Enterprises providing Water and Wastewater Services and Bulk Water Supply in Kosovo shall apply this Rule and procedure for service License application and be in compliance with service License terms.

#### Section 3: Purpose

The purpose of this Rule is to produce rules and procedures under which Service Licenses for the specific purpose of providing Water and Wastewater Services and Bulk Water Supply can be applied for, issued, maintained, renewed, changed and revoked.

#### Section 4: Definitions

The terms and expressions used in this Rule shall bear the following meanings:

**Annual Service License Fee** means the annual fee payable by the License Holder to the Regulator as per Law No. 03/L-086;

**Application for License** means the submittal of the application to the Regulator from an applicant in a format specified by the Regulator;

**Bulk Water** means water that has not been treated in order to be suitable for human consumption;

**Bulk Water Supplier** means any Person that is licensed to provide Bulk Water Supply Services;

**Bulk Water Supply** means abstraction and supply of water for Water Service Provider needs and that has not been treated in order to be suitable for human consumption as well maintenance and operation of facilities and equipment for such purpose;

**Business Day** means any day other than Saturday, Sunday, or a day that is a public holiday in Kosovo;

**Consolidation Plan** means the sector-restructuring plan created by Kosovo Trust Agency ("KTA") for the consolidation and restructuring of Water and Wastewater Service Providers and Solid Waste Service Providers date 10 September 2002 as amended, supplemented or replaced from time to time by the KTA or its successor institution;

**Customer** means a person that has entered into a Water and Wastewater Service Contract or Bulk Water Supply Contract that is lawfully provided with Water Services by the Service Provider;

**Customer Category** means customer category defined as follows:

- i. **Domestic Customer** means any Customer classified by the Service Provider as

- a person using the Services at his or her residence or household;
- ii. **Commercial/Industrial Customer** means any person, legal entity or business organization classified by the Service Provider as a Customer using the Services for or in connection with the exercise of a commercial or industrial activity of any sort;
  - iii. **Institutional Customer** means any legal entity classified by the Service Provider as a governmental authority, local authority, international organization or institution that carries out activities of common or public interest and that it is not registered as a business organization in accordance with the Law on Market Associations No. 02/L-123.
- Invoice** means a written notice to pay for Water and Wastewater Services and/or Bulk Water Supply Services, which specifies the amount due and owing and the period for which the services was provided, issued by the Service Provider to a Customer in Albanian and Serbian languages;
- Minimum Service Standards** means the minimum service levels established by the Regulator in the Rule on Minimum Service Standards for Water and Wastewater Service Providers in Kosovo;
- Municipality** means any of the basic territorial units of local self-governance in Kosovo that is established according to Law on Municipality Administrative Boundaries No. 03/L-041 and operating under Law on Local Self-Governance No. 03/L-40 as well as to Law on Cadastre No. 2003/25.
- Person** means an individual, legal or public entity including a corporation, a partnership, trust, unincorporated organization, a governmental agency or subdivision thereof;
- Prudent Water and Wastewater Utility Practices** means practices, methods and procedures conforming to safety and legal requirements that are attained by exercising that degree of skill, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced Water and Wastewater Service Provider engaged in the same type of undertaking under the same or similar circumstances to those pertaining in the European Union (EU);
- Publicly Owned Enterprise** means an enterprise described in Law on Public Owned Enterprises No. 03/L-087, dated 13 June 2008 operating under this Law and Law on Market Associations No. 02/L-123;
- Region** means an area defined by the Consolidation Plan that includes a Municipality and the whole or any part of other Municipalities;
- Regulator** means the authority responsible for the economic regulation of Water and Waste Service Providers. Also referred to as “The Water and Waste Regulatory Office (“WWRO”) created under the UNMIK Regulation No. 2004/49 On the Activities of Water, Wastewater and Waste Service Providers and amendments made in Law No. 03/L-086 or its successor organization;
- Service Agreement** means the agreement concluded by Municipalities and Water and Wastewater Service Providers under the control and supervision of the Regulator for the provision of Water and Wastewater Services within the area of each particular municipality and in which the rights and duties of both parties with respect to the provision of the Water and Wastewater Services are stipulated;
- Service Area** means in relation to Service License, the Region or Municipality within which the relevant Service Provider may provide its services.
- Service License Applicant** or Applicant means any Publicly Owned Enterprise submitting a Service License Application to the Regulator;

**Service License Application Fee** means the official non-refundable fee or emolument due to the Regulator by the License Applicant upon submittal of the completed Service License Application;

**Service License Application** means the information and documents submitted by a License Applicant for the purpose of obtaining a License from the Regulator;

**Service License Conditions Agreement** means the agreement that can be entered into and between the Regulator and Water, Wastewater or Bulk Water Supply Services to amend, modify and supplement any Service License Conditions as per the provisions of PART VIII of this Rule;

**Service License Conditions** means the specific conditions under which the Regulator issues a Service License to a Water and Wastewater Service Provider or Bulk Water Supplier;

**Service License** means a license issued by the Regulator pursuant to this Rule authorizing a Publicly Owned Enterprises to provide Water and Wastewater Services or Bulk Water Supply Services to the public;

**Service Standards** means in relation to any Service, the standards of service that apply to that Service;

**Service Tariff** means any rates, charges or fees of a Service Provider in relation to the provision of its Services to Customers;

**Statutes** means the by-laws approved by the Board of Directors of Publicly Owned Enterprises that define, among other things, legal status and responsibility; activities of the company; composition of Board of Directors; management officers and duties; and financial management;

**Wastewater Services** means collecting disposing, and treating wastewater and sewage and operating networks and facilities for such purpose.

**Water and Wastewater Service Provider** means a licensed Person providing Water and Wastewater Services;

**Water Services** means abstracting, treating and distributing water for human consumption and operating networks and facilities for such purpose;

#### Section 5: Rules of Interpretation

In this Rule:

- (a) Any terms and expressions used in this Rule, not specifically defined herein and that might be in question, shall bear the meanings as defined in legal acts referred to in the Preamble of this Rule and/or any other law applicable in Kosovo; and
- (b) References to a Rule shall be construed as meaning any Rule issued, modified, amended, supplemented, and/or replaced by Regulator from to time as per the powers that have been granted to the Regulator; and
- (c) The singular includes the plural and vice versa;
- (d) Words of any gender used shall include any other gender; and
- (e) References to Parts, Chapters and Sections are, unless otherwise expressly stated, references to Parts, Chapters and Sections of this Rule.

#### **Chapter 2: General Service License Provisions**

#### Section 6: Applicability

All Publicly Owned Enterprises in Kosovo providing Water and Wastewater Services or Bulk Water Supply Services shall have Service License issued by Regulator as per the provisions of this Rule.

#### Section 7: Term of the Service License

A Service License shall be issued for a period not less than one (1) year and not longer than five (5) years.

#### Section 8: Number of Service Licenses

No more than one Service License shall be issued to any Publicly Owned Enterprise providing Water and Wastewater Services or Bulk Water Supply Services.

#### Section 9: Expenses for Obtaining Service License

All expenses incurred by Service License Applicant relative to applying for obtaining a Service License, including the Service License Application Fee shall be the sole responsibility of the Service License Applicant.

### **PART II: SERVICE LICENSE APPLICATION**

#### **Chapter 3: Service License Application System**

#### Section 10: Schedule for Service License Application

All Service License Applications shall be submitted in triplicate to the Regulator (one original and two copies) as per the instruction provided in the Appendix 1 to this Rule.

#### Section 11: Approval by Board of Directors

- 11.1 All Service License Applications shall be approved by the Board of Directors of the Publicly Owned Enterprise prior to their submittal to the Regulator.
- 11.2 The approval of Board of Directors determined in section 11.1 shall be granted in the form and content issued by Regulator and is attached to Service License Application according to format set in Appendix 2 of this Rule.

#### Section 12: Service License Application Fee

- 12.1 Service License Application Fee shall be deposited into bank account designated by the Regulator in notice issued to Service License Applicant.
- 12.2 The amount of the Service License Fee due shall be determined, under proposal of the Regulator, from time to time in consultation with Assembly and Ministry of Economy and Finance.

#### Section 13: Acknowledgment by the Regulator

The Regulator shall send to the Service License Applicant no later than five (5) Business Days after receipt of the Service License Application:

- (a) an acknowledgement letter confirming the date and time of receiving the Service License Application although such confirmation letter shall not bind the Regulator to accept and approve the documents sent with the Service

License Application nor shall it evidence any certification of the accuracy and completeness of such documents; and

- (b) An invoice to be paid by Service License Applicant on behalf of Service License Application Fee.

#### **Chapter 4: Required Information**

##### **Section 14: General Identification Information**

The Service License Applicant shall provide in the appropriate section of the Service License Application the following identification information (Appendix 1 – Part 1, 2, 3 and 4):

- (a) Identification of Service Provider: Name, address, telephone numbers and email address of the Service Provider shall be provided;
- (b) Services Provided: Water supply, production, treatment and distribution; wastewater collection, treatment, disposal; bulk water supply;
- (c) Point-of-contact for the Service License Application.

##### **Section 15: Service Area, Inhabitants Served**

The Service License Applicant shall provide in the appropriate section (Appendix – Part 5 and 6) of the Service License Application the following Service Area and Customer information:

- (a) Service Area Identification: The Service Area, including the name(s) of the Municipality (ies) served at the date of submission of the Service License Application as well as the geographical boundaries shall be provided.
- (b) Future Service Area: The Service License Applicant shall list the names of all the Municipalities, if any, which will become a part of its Service Area according to the Consolidation Plan.
- (c) Villages and Settlements: Names of the villages and settlements served at the date of submission of the Service License Application shall be provided.
- (d) Customers served: An estimate of the number of Customers served by the Service License Applicant at the time of submission of the Service License and as per the following categories:
  - i. Domestic Customers;
  - ii. Commercial / Industrial Customers; and
  - iii. Institutional Customers

##### **Section 16: Water Sources, Treatment and Storage**

The Service License Applicant shall provide as of the date of submission of the Service License in the appropriate section (Appendix 1 – part 7, 8 and 9) of the Service License Application form, the following information:

- (a) Source(s) of Water: The location(s), category (ground or surface); type (well, spring, lake, river); and estimate quantity abstracted on an average day (in cubic meters).



- (b) Methods of Treatment and Facilities: Location(s): of treatment facilities; type (coagulation; filtration; disinfection) and chemicals used; average and maximum average day capacity (in cubic meters).
- (c) Treated Water Storage: Locations; type (elevated, ground level, below ground); materials concrete, steel, (fibreglass) and capacity (in cubic metres).

#### Section 17: Water Distribution System

The Service License Applicant as of the date of submission of Service License Application in the appropriate section therein (Appendix 1 – Part 10) the following information:

- (a) Connections: Number of connections;
- (b) Customer Meters: According to customer category, list number of meters, range of sizes and estimated percentage working;
- (c) Extent of Service Coverage: Estimated percentage of population receiving water services; number of rural villages served with water;
- (d) Service Availability: The number of hours in a normal service-day as well as the number of days during the week during which water is available.

#### Section 18: Wastewater Collection and Disposal

The Service License Applicant shall provide as of the date of submission of the Service License Application in the appropriate section therein (Appendix 1 – Part 11) the following information:

- (a) Wastewater Collection: Number of connections according to category of domestic or non-domestic;
- (b) Extent of Service Coverage: Estimated percentage of population receiving wastewater services; number of rural villages being served with wastewater services;
- (c) Wastewater Disposal: Location (s) where wastewater discharges from the wastewater collection system; estimated number of people living and working within 200 meters of the discharge points.

#### Section 19: Staff

The Service License Applicant shall provide as of the date of submission of the Service License Application in the appropriate section therein (Appendix 1 – part 12) the following information:

- (a) Employees: The total number of full and part-time employees according to function of administration, commercial, financial, operations and maintenance and activities of water and wastewater;
- (b) Organizational Chart: An organogram showing organizational structure from Board of Directors to smallest organizational units including area offices.

#### Section 20: Service Tariffs

The Service License Applicant shall provide a list of the Service Tariffs and fees in force as of the date at which Service License Application is submitted.

### Section 21: Prior Operating Experience

The Service License Applicant shall provide in the appropriate section of Service License Application a summarized narrative of its history and experience in the provision of Water and Wastewater Services or Bulk Water Supply.

## **Chapter 5: Required Documentary Evidence**

### Section 22: Curricula Vitae of Management Staff

The Service License Applicant shall:

- (a) Provide names of the Chairman of Board of Directors, Managing Director, Senior Financial Officer, Senior Engineer Officer, Customer Services Manager and other Senior Managers identified in the Statute; and
- (b) Submit with completed Service License Application the curricula vitae of abovementioned management staff.

### Section 23: Authorization from Municipality Served

The Service License Applicant shall submit with the Service License Application documentary proof that the Water and Wastewater Service Provider applying for a Service License has entered into or has applied to enter into Service Agreement with the Municipality being served. The documentary proof could be in the form of:

- (a) A Service Agreement signed by the Municipality and the Water and Wastewater Service Provider; or
- (b) A letter from Board of Directors of Service License Applicant to the Municipality transmitting a draft Service Agreement and scheduling a meeting to discuss and sign.

### Section 24: Authorization to Abstract Water or Discharge Wastewater

The Service License Applicant shall submit, with Service License Application a documentary proof that he has received authorization from or has applied for authorization to the MESP to abstract water and to discharge wastewater. The documentary proof could be in the form of:

- (a) A written authorization from MESP; or
- (b) A letter from the Board of Directors to MESP requesting authorization; or
- (c) A letter from the Board of Directors to MESP and WWRO describing the water source and location for wastewater disposal.

### Section 25: Business Documents

The Service License Applicant shall submit with Service License Application the following business documents:

- (a) A copy of the Statute or of the other legal founding documents establishing Publicly Owned Enterprise ; and
- (b) A copy of the in-force and valid Business Registration Certificate issued to the Service License Applicant; and

- (c) A copy of the VAT Tax Registration Certificate issued to Service License Applicant; and
- (d) Written confirmation by senior financial office of the Service License Applicant that all employees wages and salaries have been paid and are current as per the agreement with the said employees; and that the income taxes and pensions paid retained by the employer on behalf of the employees have been remitted to the appropriate fiscal authorities of Kosovo; and
- (e) A copy of the most recent set of audited financial statements; and
- (f) A copy of bank statements for all bank accounts held by Service License Applicant for the period covering six (6) complete months preceding the date at which Service License Application is submitted.

#### Section 26: Utilities and Tax Related Liabilities Documents

The Service License Applicant shall also submit with Service License Application the following documents:

- (a) Documented proof clearly demonstrating that the Service Provider Applicant has paid electricity, solid waste and telephone invoices. Such proof could be in the form of an Invoice stamped “stamped in full” by an authorized official of the relevant service providing utility. In the event that the Service License Applicant has not paid past due or current invoices, an explanations as to the reasons why as well as the amount owed and a description of the corrective measures to be taken must be provided; and
- (b) Documented proof clearly demonstrating that the Service License Applicant is current on its property tax invoice. Such proof could be in the form of a Property Tax Invoice stamped “paid in full” by an authorized official of the Municipality within which Service License Applicant is located. In the event that the Service License Applicant is not current with its Property Tax liabilities, an explanation as to the reasons why as well as the amount owed and a description of the corrective measures to be taken must be provided; and
- (c) Documented proof clearly demonstrating that the Service License Applicant is current on other tax invoices for which the Service License Applicant is liable for including VAT, Taxes on Revenues and any other taxes defined by law and payable to a competent authority.

#### Section 27: Other Documents

Service License Applicant shall also submit with the Service License Application a map of the Service Area with the perimeter clearly identified.

## **PART III: REVIEW OF APPLICATION AND ISSUE OF SERVICE LICENSE**

### **Chapter 6: Review of the Service License Application**

#### Section 28: General Review of Service License Application

The Regulator shall proceed to complete a general review of the submitted Service License Application and of the respective accompanying documents as follows:

- (a) The Regulator shall ensure that the Service License Application submitted by the Service License Applicant has been properly completed and that requested information and documents have been included. The review results shall be recorded by the Regulator on the form entitled "Service License Application Completeness Check List" as provided in an Appendix to this Rule.
- (b) The Regulator shall inform the Service License Applicant in writing within thirty (30) business days after receipt of Service License Application of any missing or incomplete information and that the Service License Application will be held in abeyance until such a time that the missing documents or information are provided, for period not exceeding thirty (30) calendar days after which the Service License Application shall be returned to the Service License Applicant. In the occurrence of such an event the full amount of the Service License Application Fee is forfeited and shall be retained by the Regulator.

#### Section 29: Inability to Provide the Requested Information

The Service License Applicant shall provide in writing an explanation of its inability to provide any of the requested information and documents and provide a time-bound schedule with corrective measures for rectifying the situation.

#### Section 30: Detailed Review of Service License Application

Immediately following the instance at which the Service License is deemed acceptable, the Regulator shall proceed to perform and complete within thirty (30) business days a more thorough and objective technical review with regards to:

- (a) The accuracy and completeness of the information provided in the Service License Application and in the respective accompanying documents; and
- (b) The management capacity and operational capability of the of the Service License Applicant to provide Services at an acceptable level of quality , reliability and safety at an affordable cost to the Customers and under the economic conditions prevailing in Kosovo; and
- (c) The financial capacity of the Service License Applicant with regard to maintain and continue operations for the period to be covered by the Service License; and
- (d) Impacts on the issuance of a Service License relative to any missing information and documents taking into consideration justifications provided by the Service License Applicant.

#### Section 31: Request for Supplementary Information

The Service License shall be obligated to cooperate with the Regulator to promptly provide any additional information and documents reasonably required by the Regulator to properly appraise the Service License Application.

## **Chapter 7: Issue of the Service License**

### **Section 32: Issue of the Service License**

The Regulator shall issue a Service License to a successful Service License Applicant within thirty (30) business days of the date at which the detailed review was completed and review results judged to be acceptable with regards to the Service License Applicant having:

- (a) Remitted the Service License Application Fee; and
- (b) Submitted a completed Service License Application and other requested documents; and
- (c) Demonstrated through the application process that it has the financial probity and technical and economic capacity to maintain and continue operation at a level required for in Service License Conditions; and
- (d) Demonstrated through the application; system that it has the basic managerial skills and experience to provide services according to the Service Standards called for in the Service License Conditions; and
- (e) Demonstrated through application process that it has adequate equipment and mechanical maintenance to provide Services called for in the License Conditions; and
- (f) Obtained all necessary permits, consents and other authorizations from appropriate authorities and has complied with such permits, consents or authorizations.

## **PART IV: THE SERVICE LICENSE**

### **Chapter 8 Content of a Service License**

#### **Section 33: Content of the Service License**

33.1 Each Service License issued by the Regulator to a Water and Wastewater Service Provider or to a Bulk Water Supplier (in a word: Service Provider) shall include the following:

- (a) Definitions and Interpretations;
- (b) Legal basis for issue of Service License;
- (c) The term for which the Service License is issued;
- (d) The Service Area for which the Service Provider has authorization to provide services;
- (e) Conditions, rights and obligation of the Service Providers;
- (f) Tariff and taxes to which the Service Provider is required to follow;
- (g) The reporting requirements that will be required of Service Provider to perform and provide;
- (h) A list of the facilities and equipment authorized for the Service Provider to

operate.

- 33.2 Also a significant component of Service License will be a Service License Certificate briefly describing main elements of the Service License.

#### Section 34: Obligations of the Service Providers

The Service License issued by the Regulator to all Service Providers shall clearly identify the following obligations:

- (a) Conform to the Service License Conditions listed in the Service License and in any additional specific conditions that may be required by the Regulator in the Service License;
- (b) Remit the applicable the Licensing fee as per the terms specified in the Service License;
- (c) Provide and maintain Services to specified minimum Service Stabdards in the entirety of its designated Service Area;
- (d) Maintain managerial, operational and technical expertise and resources to operate and maintain facilities and provide Water and Wastewater Services or Bulk Water Supply;
- (e) Maintain financial solvency throughout the full term of the Service License;
- (f) Maintain required permits and approvals form other agencies as required;
- (g) Provide on a regular basis an invoice to all Customers receiving Water and Wastewater Services or Bulk Water Supply without exception; and
- (h) Provide reports to the Regulator.

### **Chapter 9: Annual Service License Fee**

#### Section 35: Annual Service License Fee

- 35.1 The Regulator shall determine, for each Service Provider, the total amount of of the Service License Fee, the amount of each monthly installment and the method of payment.
- 35.2 Payment of Service License Fee is due on equal monthly installments payable on the first day of each calendar month following the date on which the Service License is issued.

## **PART V: SERVICE LICENSE REFUSAL**

### **Chapter 10: Refusal of a Service License**

#### Section 36: Refusal of a Service License Application

- 36.1 The Regulator may refuse to approve a Service License Application and a request

for the renewal of a Service License based on:

- (a) Failure of the Service License Applicant to provide required information specified time limits;
- (b) An evaluation concluding that the Service License Applicant cannot provide Water and Wastewater Services up to the minimum Service Standards and at the level of Service Tariffs that would be imposed by the required reliability and safety;
- (c) Failure of Service License Applicant to obtain necessary authorizations from other competent authorities and public authorities.

36.2 If the Regulator decide not to issue or renew a Service License to a Service Provider it shall inform Service License Applicant in writing within ten (10) business days providing reasons for that decision.

## **PART VI: RENEWAL AND TRANSFER OF A SERVICE LICENSE**

### **Chapter 11: Renewal of a Service License**

#### Section 37: Renewal of Service License

Service Licenses issued under this Rule may be renewed for equal periods as from their original terms or prior renewed terms for one or more times as the Regulator shall decide.

#### Section 38: Application for Renewal of Service License

- 38.1 The Service Provider must apply for renewal at least two (2) months prior to the date on which the Service License expires.
- 38.2 Application for Service License renewal shall be subject to the same formalities imposed for the initial Service License Application and shall be submitted to the Regulator (original and two copies) as per the instructions provided in an Appendix to this Rule.
- 38.3 The Regulator shall renew a Service License to a successful Service License Applicant within thirty (30) business days of the date at which the detailed review of the application for renewal was completed and the review results judged to be acceptable with regards to the Applicant having:
- (a) remitted the Service License Application Fee; and
  - (b) submitted a completed Service License Application and other requested documents; and
  - (c) demonstrated through the Service License Application process that it has fulfilled conditions in the Service License which renewal has requested with respect to
    - (i) providing a service acceptable in quality, reliability, safety and costs or is taking sufficient actions to overcome deficiencies of service, and

- (ii) extending service throughout its Service Area; and
- (d) Has obtained renewal of all necessary permits, consents and other authorization from any other agencies and competent authorities.

## **Chapter 12: Transfer of a Service License**

### Section 39: Transfer of a Service License

Service Licenses issued under this Rule may not be transferred or otherwise assigned to any third parties without the express and written consent of the Regulator.

## **PART VII: CHANGES, TERMINATION AND REVOCATION OF A SERVICE LICENSE**

## **Chapter 13: Changes to Service License**

### Section 40: Regulator's right to Amend, Supplement or Replace

The Regulator may amend, supplement, or replace any Part of a Service License following a review on at least thirty (30) business days written notice to the Service Provider. Such notice shall state the nature and extent of such amendment, supplement or replacement and the time when it shall take effect.

### Section 41: Review of Qualifications of Managing Director

Regulator shall review the qualifications and experience of the Managing Director selected by Board of Directors of the Service Providers to assure technical competency and respond to such Board of Directors in writing ten (10) business days from the date of communication of the replacement of Managing Director.

### Section 42: Informing the Regulator of Significant Changes

- 42.1 The Service Provider shall inform the Regulator in writing within five (5) business days of any significant changes in details submitted or attached to the Service License Application.
- 42.2 The following events are deemed, without limitation, as constituting significant changes to the situation of the Service Provider as outlined in the Service License Application:
  - (a) Significant alternations made or annulment, cancellation or refusal of grant or renewal of any permits, consents or authorizations obtained from other agencies and/or competent authorities;
  - (b) Significant expansion or reduction of capacity of facilities used for the provision of Services;
  - (c) Significant alterations on the scope of the proposed Service Area;
  - (d) Significant alterations on the economic and financial good standing of the



Service License Applicant;

- (e) Significant reductions or increases on the assets and/or liabilities of the Service Provider;
- (f) Alterations on the effective ownership and/or management control of the Service Provider.

## **Chapter 14: Termination and Revocation of a Service License**

### **Section 43: Termination of a Service License**

A Service License shall terminate on:

- (a) the last day of the period for which it was issued; or
- (b) the date on which the Service License is revoked by the Regulator; or
- (c) the date on which the Service License is surrendered.

### **Section 44: Revocation of Service License**

- 44.1 Regulator may revoke a service License if the Service Provider fails to comply with the terms and conditions specified in the Service License.
- 44.2 Regulator shall inform the Service Provider in writing of the reasons for revocation and allow him fifteen (15) business days to respond.
- 44.3 Service Provider can appeal as per Section 54 of this Rule.

### **Section 45: Surrender of Service License**

- 45.1 Service Provider may surrender its Service License upon giving 6 (six) months prior written notice to the Regulator.
- 45.2 Written Notice in Section 45.1 must be signed by the Board of Directors of the Service Provider surrendering the Service License.

## **Chapter 15: Service License Agreement**

### **Section 46: Service License Agreement**

- 46.1 The Regulator may enter into written agreement with any Service Provider for the purposes of amending, altering and/or supplementing any Service License issued under this Rule.
- 46.2 Service License Agreement may be entered given any conditions precedent as determined by the Regulator and proposed to the Service Provider including, with no limitation, the entering into other binding agreements with Service Provider on:
  - (a) Issue, renewal, extension, amendment, alteration and supplement to Service Standards;
  - (b) Establishment, review, extension and/or modification of Service Tariffs;
  - (c) Extension of the territorial scope of the Service Area;
  - (d) Expansion, major rehabilitation or overhaul of Water Networks;
  - (e) Establishment, alteration, extension, modification and/or supplement to any

Customer-related provisions as outlined in the Rule on Customer Charter as issued, amended, modified and/or supplemented by the Regulator from time to time.

- 46.3 Service Licenses to be subject to a Service License Agreement shall not, in any event, be less strict or demanding than the Service License imposed under this Rule as amended and/or supplemented by the Regulator from time to time.

#### Section 47: Negotiation of a Service License

- 47.1 Service Providers wishing to enter into a Service License Agreement shall submit a written request to the Regulator requesting the opening of negotiations to enter into such an agreement justifying the reasons why they deem that both public interest and their legitimate rights and legal expectations would be best served if the Regulator would accept to enter into a Service License Agreement.
- 47.2 The Regulator shall respond in writing within five (5) business days from the date of receipt of the communication referred above, either agreeing to enter into negotiations for a Service License Agreement or refusing to do so.
- 47.3 If the Regulator decides to refuse to start negotiations to enter into Service License Agreement, it shall provide its reasons for such a refusal.
- 47.4 If the Regulator agrees to start negotiations to enter into Service License Agreement, it shall also grant to the Service Provider a reasonable period of time, in any event of no less than 30 (thirty) business days, to allow the Service Providers to submit to the Regulator a draft Service License Agreement.
- 47.5 Within ten (10) business days of receiving the draft Service License Agreement, the Regulator shall inform in writing the Service Provider for the scheduling of a first meeting to start negotiate such an agreement.
- 47.6 The Regulator may also determine a maximum period of time for the conclusion of the negotiations to enter into a Service License Agreement that cannot be less of twenty (20) business days from the date of the first negotiation meeting scheduled as per section 47.5.
- 47.7 Regulator has the right but not the obligation to enter into a Service License Agreement and, therefore, either his refusal to enter into negotiations or to enter into such an agreement or any failure to successfully complete the said negotiations are deemed as contractual decisions and not as administrative acts or decisions subject to any administrative and/or judicial review.

#### Section 48: Compliance with Service License Agreement

The Service Providers are obliged to respect and to comply with the Service License established in general terms in this Rule:

- (a) While the negotiations for into the a Service License Agreement are pending until the date of the entering into force of such agreement;
- (b) Immediately upon the termination, cancellation, revocation and/or expiration of the Service License Agreement insofar as any rights and obligations contained in the Service License Agreement are not agreed upon

to survive when it cease to be in full force and effect for whatever legal cause;

- (c) In all aspects where Service License Agreement does not otherwise stipulate or in all respects not specifically contemplated in such an agreement.

## **PART VIII: ENFORCEMENT, PENALTIES AND APPEALS**

### **Chapter 16: Enforcement of Service License Conditions**

#### Section 49: Enforcement of Service License Conditions

- 49.1 The Regulator will monitor compliance with Service License Conditions established in this Rule on the basis of reports sent by Service Providers from time to time as determined by the Regulator as per Section 50.
- 49.2 The Regulator will also monitor compliance with this Rule by inspections and surveys and from reports sent by other entities and public authorities.
- 49.3 In order to verify accuracy and reliability of the reported data as well as to verify compliance of Service Providers with provisions of the Law, Rules and Service License conditions, the Regulator shall conduct inspection and auditing to the Service Providers on the regular basis and if necessary.

### **Chapter 17: Reports and Records on Service License Conditions**

#### Section 50: Reports on Service License Conditions

- 50.1 Each Service Provider shall prepare and file reports to the Regulator in prescribed form and within the intervals specified by the Regulator from time to time.
- 50.2 Each Service Provider shall file to the Regulator, no later than 31 March of the calendar year further to the closing of the previous calendar year, an Annual Report in the format that the Regulator may specify from time to time.
- 50.3 Service Providers are obliged to report in writing to the Regulator any facts or situations that can actually or potentially affect their economic and financial good standing or solvability, their managerial capacity to provide Service or the ready availability of technical expertise and resources for the provision of Water and Wastewater Services and/or Bulk Water Supply Services to the standards determined by the Regulator.

#### Section 51: Location and Record Retention

All records shall be kept in the office of Service Providers and to be available during the regular working time for Regulator's check.

#### Section 52: Records and Reports Retention Period

All records and reports foreseen in this Chapter must be organized and kept by the Service Provider for at least 5 (five) calendar years from the date when they were first

prepared or became due unless any other applicable law determines they should be kept for any longer period of time in which case the latter retention period shall apply.

## **Chapter 18: Offenses and Penalties**

### Section 53: Offenses and Penalties

- 53.1 Failure to comply at all time with any of the Service License Conditions determined under this Rule shall constitute an offence and may subject the defaulting Service Provider to fine levied as per the UNMIK Regulation No. 2004/49 On the Activities of Water, Wastewater and Waste Service Providers and amendments made by Law 03/L-086.
- 53.2 Fines for the breach of any Service License Conditions shall also be levied as per the procedures established under the Rules on levying of fines and with any other procedural Rules as determined by the Regulator from time to time.
- 53.3 In case fine levied by the Regulator is not paid in due time, the Regulator shall initiate court procedure for administrative fine collection.
- 53.4 The Regulator may revoke the Service License in case of serious breach of any of Service License Conditions as per legal provisions. Service License revocation is serious sanctioning and may be undertaken only following the opportunity for Service Provider to correct the breach and fines levied proved as ineffective.
- 53.5 In the event of Service License revocation of a Service Provider, the Regulator shall appoint another Service Provider to ensure provision of the services and assets operation belonging to the Service License to which the Service License has been revoked.

## **Chapter 19: Appeals**

### Section 54: Appeals

- 54.1 Service Providers may appeal to the Review Committee established pursuant to UNMIK Regulation No. 2004/49 On the Activities of Water, Wastewater and Waste Service Providers and amendments made by Law No. 03/L-086 on any concrete decisions of the Regulator taken on any relevant issues, including, without limitations, on any of the:
  - (a) Issue, alteration, modification, amendment, supplement, renewal, extension or modification on a Service License;
  - (b) Revocation, declaration of termination or cancellation of any Service License determined by the Regulator under this Rule;
  - (c) Establishment or enforcement of any Service License Conditions foreseen under this Rule;
  - (d) Levy if any fines for any breach of Service License Conditions or for the breach of any other provision of this Rule.
- 54.2 The Service Provider may also appeal to the courts of Kosovo from any decision of the Review Committee taken on any concrete decisions as to the enforcement of this Rule as per UNMIK Regulation No. 2004/49 On the Activities of Water,

Wastewater and Waste Service Providers and amendments made by Law No. 03/L-086.

- 54.3 Upon the issue of any concrete decision on the enforcement of this Rule, the Regulator shall inform the Service Provider to which such an enforcement decision is addressed of his rights of appeal pursuant to this Section.

## **PART IX: MISCELLANEOUS**

### Section 55: Official Language of the Rule

- 55.1. This Rule issued and published in three (3) versions written in the official in use in Kosovo:
- (a) Albanian;
  - (b) Serbian; and
  - (c) English;
- 55.2. In case of any discrepancy between any of the versions in which this Rule has been issued, the Albanian version shall prevail.

### Section 56: Entry into Force

This Rule shall enter into force thirty (30) business days from the date of its issuance and signature.

.....  
**Afrim Lajçi**  
**Director**  
**Water and Waste Regulatory Office**

## **PART X : APPENDICES**

**APPENDIX 1: SERVICE LICENSE APPLICATION FORM**

Application is hereby made to the Water and Waste Regulatory Office for a Service License to provide water and wastewater services and bulk water supply services.

We acknowledge that providing false information may result in refusal of the service License

THIS APPLICATION MUST BE DELIVERED:	FOR OFFICIAL USE ONLY
<b>WATER AND WASTE REGULATORY OFFICE</b>  Street: FERAT DRAGAJ No.68. Prishtinë, Kosova	<b>Date Received</b> <b>Date Accepted</b> <b>Date Rejected</b>  <b>Service License Application Fee Paid:</b> <input type="checkbox"/> Po <input type="checkbox"/> Jo

**PART 1 – SERVICE LICENSE GENERAL IDENTIFICATION INFORMATION**

(a) Name			
(b) Address			
(c) Main telephone number		(d) Mobile Telephone Number	
(e) Fax number		(f) E-Mail Address	

**PART 2 – SERVICE LICENSE APPLICANT CONTACT PERSON**

(a) Name of contact person			
(b) Title and position			
(c) Office telephone		(d) Mobile telephone number	

**PART 3 – SENIOR MANAGERS**

(a) Name of Chairman of the Board of Directors	
(b) Name of Managing Director (or General Manager)	
(c) Name of Senior Financial Officer	
(d) Name of Senior Operations Manager	

**PART 4 – SERVICES PROVIDED**

(a) Water Supply: Treatment, distribution	<input type="checkbox"/> Yes	<input type="checkbox"/> Jo
(b) Wastewater: Collection, treatment, disposal	<input type="checkbox"/> Yes	<input type="checkbox"/> Jo
(c) Bulk Water Supply	<input type="checkbox"/> Yes	<input type="checkbox"/> Jo

PART 5 – SERVICE AREA		
<b>(a) Names of Municipalities served</b> <i>The Service License Applicant must list all the municipalities including those serviced by the Service Providers under its Management Authority.</i>	1-	5-
	2-	6-
	3-	7-
	4-	8-
<b>(b) Name of villages and settlement served at date of the Service License Application</b> <i>The Service License Applicant must list all the villages and settlements including those serviced by the Service Providers under its management authority. (Add supplemental page if required)</i>	1-	13-
	2-	14-
	3-	15-
	4-	16-
	5-	17-
	6-	18-
	7-	19-
	8-	20-
	9-	21-
	10-	22-
	11-	23-
	12-	24-

PART 6 – CUSTOMERS SERVED		
<b>(a) Total number of inhabitants served at the date of the Service License Application</b> <i>The Service License Application must include in the total number of inhabitants an estimation of those serviced by the Service Providers under its Management Authority.</i>		
<b>(b) Number of households served</b> <i>The Service License Applicant must include in the total number of Household Customers served by the Service Providers under its management authority.</i>	<b>Presently:</b>	<b>Expected after 12 months:</b>
<b>(c) Number of Commercial/Industrial Customers</b>	<b>Presently:</b>	<b>Expected after 12 months:</b>
<b>(d) Number of Institutional Customers</b>	<b>Presently:</b>	<b>Expected after 12 months:</b>
<b>(e) Names of villages and settlements expected to be provided with services next 12 months following the Service License application.</b>	1-	5-
	2-	6-
	3-	7-
	4-	8-

PART 7 – WATER SOURCE			
<b>(a) Name (s)</b>	1.	2.	3.
<b>(b) Location (s)</b>			
<b>(c) Category (ground, surface)</b>			
<b>(d) Type (well, spring, lake, river)</b>			
<b>(e) Average abstraction rate (m3/day)</b>			
<b>(f) Annual abstraction volume (m3/year)</b>			



### PART 8 – WATER TREATMENT FACILITIES

<b>(a) Name (s)</b>			
<b>(b) Location (s)</b>			
<b>(c) Type</b> : (coagulation, filtration, .....			
<b>(d) Maxium Daily Capacity(m3/day):</b>			
<b>(e) Chemicals used:</b>			

### PART 9 – TREATED WATER STORAGE FACILITIES

<b>(a) Name (s)</b>			
<b>(b) Location (s)</b>			
<b>(c) Capacity (m3)</b>			
<b>(d) Type (underground, elevated)</b>			
<b>(e) Materials (concrete, steel, other)</b>			

### PART 10 – EXTENT OF SERVICE COVERAGE FOR WATER SUPPLY SERVICES

(a) Number of connections by customers category	Households	Commercial & Industrial	Institutional	Total
<b>(b) Total number of inhabitants in the Service Area</b>		<b>(c) Population covered (%)</b>		<b>(d) Hours / days</b>

### PART 11 – EXTENT OF SERVICE COVERAGE FOR WASTEWATER

(a) Number of connections by customers category	Households	Commercial & Industrial	Institutional	Total
<b>(b) Total number of inhabitants in the Service Area</b>		<b>(c) Population covered (%)</b>		

### PART 12 - STAFF

<b>(a) Total number of full-time employees</b>		<b>(b) Number of employees in Water Supply (O &amp; M)</b>	
<b>(c) Number of employees in Wastewater (O&amp;M)</b>		<b>(d) Number of employees in Administration</b>	

### PART 13 – SERVICE LICENSE APPLICATION AUTHORIZATION AND SIGNATURE

**The undersigned certifies that he is authorized by the Service License Applicant to sign and submit this Service License Application for a Service License for (underline whichever applicable):**

**(a) Water Supply Services**  
**(b) Wastewater Collection and Disposal Services**  
**(c) Bulk Water Supply Services**

**and that the statements and information contained in the Application is true, accurate and correct.**

*Print name and the title of the person signing on behalf of the Service License Applicant)*

**Name:**

**Title:**

**Name of the Water and Wastewater Service Provider:**

**Signature:**  **Date:**

## **APPENDIX 2: AUTHORIZATION OF BOARD OF DIRECTORS**

*This letter, referred to in the Rule on the Licensing of Water and Wastewater Service Providers in Kosovo, shall be provided as per the following format and content by the Board of Directors of the Water and Wastewater Service Provider making the Service License Application on its official letterhead paper and signed by the Chairman of Board of Directors and remitted by the Service License Applicant with the Service License Application to the Regulator.*

Date: Day-Month-Year

*[Insert name of the Water and Wastewater Service Provider]*

*[Insert address of the Water and Wastewater Service Provider]*

For: *[Insert name of the Managing Director of the Water and Wastewater Service Provider]*

Managing Director

Subject: Authorization of Board of Directors for a Service License Application for Water and Wastewater Service in Kosovo

We the Board of Directors of *<insert the complete name of the Service Provider>* are cognizant of the need of the enterprise to apply for and obtain a Service License from the Water and Waste Regulatory Office.

Furthermore we confirm that the Managing Director of *<insert the complete name of the Service Provider>* is fully mandated and authorized on behalf of the said Water and Wastewater Service Provider to apply for a Service License and provide the documents required by the Rule on the Licensing of Water and Wastewater Service Providers in Kosovo for this purpose.

Yours truly,

*[Type name of person signing the letter]*

*[Type title of person signing the letter]*

*[Signature of person whose name is typed]*

### APPENDIX 3: COMPLETENESS CHECK LIST FOR THE SERVICE LICENSE APPLICATION

ALL THE ITEMS IN THIS CHECKLIST REFER TO PARTS AND ITEMS FOUND IN THE SERVICE LICENSE APPLICATION. THE APPLICANT MAY USE THIS FORM AS A GUIDE TO ENSURE COMPLETENESS OF THE SERVICE LICENSE APPLICATION. IT IS NOT OBLIGATION FOR THIS FORM TO BE SUBMITTED WITH THE APPLICATION HOWEVER, IT IS ADVISABLE FOR THE APPLICANT TO DO SO.

1. APPLICANT IDENTIFICATION			
(a) Name			
(b) Address			
(c) Main telephone number		(d) Mobile phone number	
(e) Fax number		(f) E-Mail address	
2. LICENSE APPLICATION FORM ("Parts" as on the License Application form)			
PART 1 – Applicant Identification (section 14a. )	Check "√" only one		Remarks
(a) Name	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(b) Address	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(c) Main telephone number	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(e) Fax number	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(f) E-mail address	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
PART 2 – Applicant Contact Person(section 14.c)	Check "√" only one		Remarks
(a) Name of contact person	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(b) Title and position	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(c) Office telephone number	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(d) Mobile telephone number	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
PART 3 – Managers (section 22)	Check "√" only one		Remarks
(a) Name of the Board Chairman	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(b) Name of the Managing Director (or General Manager)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(c) Name of the Senior Financial Officer	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(d) Name of the Senior Operations Manager	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
PART 4 – Services Provided (section 14 b )	Check "√" only one		Remarks
(a) Water Supply Services: Treatment, distribution	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(b) Wastewater Services: Collection, treatment, disposal	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(c) Bulk Water Supply	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
PART 5 – Service Area (section 15)	Check "√" only one		Remarks
(a) Names of Municipalities served	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(b) Names of Villages and Settlements served	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
PART 6 – Population Served	Check "√" only one		Remarks
(a) Total number of inhabitants served	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(b) Number of Household Customers served	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(c) Number of Commercial & Industrial Customers served	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(e) Number of Public Institutions served	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(j) Number of Villages to be served in the future	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
PART 7 – Water Sources (section 16.a)	Check "√" only one		Remarks

(a) Name(s)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(b) Location(s)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(c) Category (underground, surface)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(d) Type (well, spring, lake, river)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(e) Average abstraction rates (m3/day)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(f) Annual abstraction volume (m3/year)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
<b>PART 8 – Water Treatment Facilities (section 16.b)</b>	Check “√” only one		<b>Remarks</b>
(a) Name(s)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(b) Location(et)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(c) Type:(coagulation, filtration, disinfection)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(d) Daily Maximum Capacity (m3/ditë):	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(e) Chemicals used:	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
<b>PART 9 – Treated Water Storage Facilities (section 16.c)</b>	Check “√” only one		<b>Remarks</b>
(a) Name(s)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(b) Location (s)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(c) Capacity (m3)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(d) Type (underground, elevated)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(e) Material (concrete, steel, other)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
<b>PART 10 – Extent of Service Coverage for Water Services (section 17)</b>	Check “√” only one		<b>Remarks</b>
(a) Number of connections by customer category	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(b) Total number of inhabitants in the Service Area	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(c) Population covered by the service (%)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(d) Availability of the service in hours per day	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
<b>PART 11 – Extent of Service Coverage for Wastewater Services (section 18)</b>	Check “√” only one		<b>Remarks</b>
(a) Number of connections by customer category	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(b) Total number of inhabitants in the Service Area	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(c) Population covered by the service (%)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
<b>PART 12 – Personnel (section 19)</b>	Check “√” only one		<b>Remarks</b>
(a) Total number of full-time employees	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(b) Number of employees in Water Supply (Operation & Maintenance)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(c) Number of employees in Wastewater (Operation & Maintenance)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
<b>PART 13 – Authorization and Signature</b>	Check “√” only one		<b>Remarks</b>
(a) Authorization, Signature and date	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	

**3. DOCUMENTS REQUIRED** (All required documents including completed Service License Application form shall be submitted in triplicate )

Documents required (chapter 5)	Check “√” only one		Remarks
(a) Application letter from the Board of Directors to WWRO (section 11 )	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(b) A copy of the statute or the “founding documents” (section 25)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(c) A map of the Service Area with the perimeter defined (section I 27)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(d) The organizational chart– organo-grami (section 19,b)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(e) Names and curriculum vitae of the Chairman of Board of Directors, Managing Director, Financial Officer, Senior Operation Manager and other managers (section 22)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(f) Service Agreement with the Municipalities being served (section 23)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(g) Authorization from or application for authorization to MESP to abstract water for treatment and to discharge wastewater (section 24)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(h) Current water and Wastewater Tariffs and date established (section 20)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(i) A copy of the in-force and valid business registration certificate issued to the Service License (section 25.b)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(j) A copy of Value Added Tax (VAT) Registration Certificate issued to the Applicant and proof that VAT has been paid (section 25.c)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(k) Written confirmation by Senior Financial Manager of License Applicant that all employees wages and salaries has been paid and are current as per the agreement with the said employees (section 27.d)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(l) A copy of the most recent financial statements certified by KTA or its successor institution (section 25.e)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(m) A copy of bank statement for bank account held by the License Applicant for the period covering 6 months prior the Application date (section 25.f)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(n) Property Tax bill stamped “paid in full” by authorized official of the municipality within which the Applicant is located (section 28.c)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	
(o) Electricity, heating, solid waste and solid waste stamped “paid in full”(section 26.a)	<input type="checkbox"/> Present	<input type="checkbox"/> Absent	

#### **APPENDIX 4: TABLE OF CONTENTS OF SERVICE LICENSE**

<b>SeCTION</b>	<b>Title and Contents</b>
<b>1</b>	<b>Definitions and Interpretations</b>
1.A.	Definitions
1.B.	Interpretations
	If part of the License is void, then that part is severed
	If an organization ceases to exist, then the relevant section pertains to the successor organization
	If there is an inconsistency between this Service License and Customer Charter, the License prevails
<b>2</b>	<b>Objective of the License</b>
	To enable and require the Water and Wastewater Service Provider or Bulk Water Supplier to lawfully provide the specified services within the designated Service Area
2.A.	Duration of License
2.B.	Renewal
2.C.	Amendment of License
2.D.	Cancellation of License
<b>3</b>	<b>Service Provider Responsibilities</b>
	Comply with the License and all applicable laws
	Provide an adequate, reliable supply of safe drinking water to people in its service area
	Provide adequate wastewater collection and disposal operations to people in its service area
	Protect the environment by conductin its operations in compliance with applicable environmental laws and regulations
	Operate as a sustainable business
	If designated by KTA as Lead Service Provider, then enter into Management and Operations Agreement with Local Service Providers in their region
<b>4</b>	<b>License Authorization and Service Area</b>
	This License is granted to enable and require the Service Provider to provide, construct, operate, manage, and maintain efficient, coordinated and commercially viable systems for providing the specified services
<b>5</b>	<b>Services (Mark all that apply)</b>
	Bulk Water Supply
	Water Treatment(disinfection, filtration, pre-treatment)
	Water Distribution
	Wastewater Discharge with the piped system
	Wastewater Disposal

Section	Title and Contents
<b>6</b>	<b>Area of Operations</b>
	List areas and indicate if they are “low pressure” or “intermittent (i.e. not continuous) service” areas
<b>7</b>	<b>Connections</b>
	Application for service connection to any land situated in the area must be approved subject to conditions that assure a safe, reliable, and financially viable supply of services.
<b>8</b>	<b>Customers Rights</b>
	Customer = entered into Service Contract
	Customer Service Contract
	Procedures for Customer Complaints, Debt and Disconnections
	Obtaining Customer Comments
<b>9</b>	<b>Minimum Service Levels</b>
<b>10</b>	<b>Fees Related to Service License</b>
<b>11</b>	<b>Tariffs</b>
<b>12</b>	<b>Dispute Resolution</b>
	Customer Complaints
	Complaints by other Agencies and Organizations
	Record Keeping and Reporting
<b>13</b>	<b>Transfer, Amendment, Revocation, Expiration</b>
	<b>Attachments</b>
<b>#1</b>	Service Area
<b>#2</b>	Minimum Service Levels
<b>#2A</b>	for Urban Areas
<b>#2B</b>	for Rural Areas
<b>#3</b>	List of Reports to be delivered by the Regulator