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DRAFT

REPORTING MANUAL

For the Energy Sector

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1. Introduction

1.1. Your Company's and ERO's Responsibilities

It is your Company's responsibility as Licensee to comply with all the conditions in its Licenses issued by the Energy Regulatory Office (ERO).

ERO's responsibility is to monitor your Company's compliance with the license conditions, and to take appropriate action. ERO is empowered to do this under the Articles 15.2(b), 54(a) and 56.1(a) of the Law on the Energy Regulator.

1.2. What this Reporting Manual does

The aim of this Reporting Manual is to help you comply with the obligations in your License Conditions. It will explain:

- (a) how you can organize your Company to give proper attention to compliance, and try to ensure that full compliance is achieved;
- (b) how you can make sure that your Company fully understands the licence obligations;
- (c) what are your obligations for reporting on compliance to ERO; and
- (d) what action ERO may take in the event of good or bad levels of compliance.

1.3. Questions and Contacting ERO

This Manual has been prepared to help your Company with license compliance. If you have any questions about this Manual or compliance generally, please contact the following ERO staff member:

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Address: Compliance Monitoring Officer
Zyra e Rregullatorit te Energjise
Rr. Hamdi Mramori Nr.1
10000 Prishtine

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2. Making Sure You Comply With Your License

There are a number of things you should do to help ensure compliance with your license, and to report on compliance to ERO. In this Manual we provide explanations and advice on this in three main areas:

1. Organizing things inside your company to make sure you give adequate attention to compliance
2. Making sure your company fully understands your license obligations
3. Reporting to ERO on your company's compliance status.

This Manual deals with these three areas in turn.

2.1. Organizing Your Company to Give Attention to Compliance

The person ultimately responsible in your company for compliance is the Executive Director (ED). The ED is responsible for ensuring compliance, and for submitting compliance reports to ERO.

To help the ED fulfill his obligations, we recommend that your company appoints a Compliance Officer who has day-to-day responsibility for managing the compliance process within your organization. We suggest that the company's Compliance Officer should:

- maintain regular contact with the Compliance Monitoring Officer in ERO, so that any questions or problems can be quickly and easily resolved;
- ensure that compliance is given the necessary attention by all other company staff, by making sure that a relevant staff member is identified as the responsible person for each specific licence obligation; and
- be responsible for preparing the compliance reports that the ED must submit to ERO at the required times.

2.2. Making Sure Your Company Fully Understands Your License Obligations

A key step to ensuring full compliance is making sure your company's license obligations are fully understood by all relevant company staff. The ED and the Compliance Officer should review your company's Licenses and:

- Identify all license obligations that must be met on a one-off or ongoing basis; and
- Nominate relevant members of staff to be responsible for each specific obligations (eg submission of accounts), so that they can work with the Compliance Office and ED to ensure compliance.

If this review identifies any questions or concerns, the ED or Compliance Officer should promptly raise these with ERO, to avoid problems later.

Your company should also participate in any workshops or presentations that are arranged by ERO to assist you in Compliance Monitoring.

2.3. Preparing and Submitting Compliance Reports

In addition to ensuring that all your licence obligations are met, you also need to submit regular compliance reports to ERO, to enable it to monitor compliance. The following section of this Manual describes what these compliance reports should contain, and when and how they should be submitted.

3. Reporting to ERO on Compliance

3.1. Overview of Compliance Reporting

Your first priority should be to ensure that all your company’s licence obligations are met. But it is also important that you submit regular compliance reports to ERO, to enable it to monitor your compliance. We explain below what these compliance reports should contain, and when and how they should be submitted.

You will need to submit different types of reports at different times, depending on circumstances and whether there has been any non compliance. Table 1 below summarises these different types of reports, and the dates when you should provide them. We then explain below the purpose of these different types of reports, and what they should contain.

Table 1: Reporting Cycle to ERO

Type of Report	When to be Submitted				
		Q1	Q2	Q3	Annual
Immediate Notification Report for serious non compliance (by Tel & Fax/Email)	As needed	-	-	-	-
Quarterly Compliance Report (with Non-Compliance Schedule if relevant)	-	30 April each year	31 July each year	31 October each year	-
Annual Compliance Report (with Non-Compliance Schedule if relevant)	-	-	-	-	31 January each year

3.1.1. Immediate Notification Report

You should submit to ERO an Immediate Notification Report whenever you become aware of a serious breach of one of your company’s licence conditions. This means a breach of a “Level A” condition in their license – we explain below what this means. Breaches that are less serious (breaches of “Level B” conditions) do not have to be reported immediately, but can be included in the relevant quarterly or annual reports. If you feel that there is uncertainty over whether you have breached a condition or not, and whether it should be notified, you should assume that a breach has occurred and report to ERO.

3.1.2. Quarterly Compliance Report

Every three months, you should submit a quarterly report to ERO. This should contain a Compliance Report in the format of Annex B that confirms that you are complying with all Conditions in your license. If any Conditions have been breached over the past 3 months these should be recorded in the Report – this should be in the form of the Quarterly Non-Compliance Schedule in Annex C.

3.1.3. Annual Compliance Report

By the end of January each year, you should submit to ERO an Annual Compliance Report the format of Annex D.. This should confirm that you are complying with all Conditions in your license. Where any Conditions have been breached over the past year, these should be

recorded in the Report – this should be in the form of the Annual Non-Compliance Schedule in Annex E.

3.1.4. Different Types of Breach

Some breaches are clearly more serious than others, and so we have classified the license conditions into two categories – Level A and B mentioned above. This allows prioritization of the reporting of breaches, and this is explained more fully below.

3.2. Classification of License Conditions

ERO's system of compliance monitoring is based on a system which classifies conditions in Licenses according to their importance.

For those Conditions in your License that are of particular importance, ERO wants to know sooner if you have breached them than with the less important Conditions. ERO will also react differently depending upon the type of Condition that is breached. The definition of what is of particular importance and what is of less importance in this context depends upon the potential effect of the breach on Government policy and customers, and on the costs to remedy it.

We define the two categories of Conditions in the following way:

Level A conditions are those license conditions where a breach would have a potentially serious impact on Government policy objectives or on customers or is costly to remedy.

Level B conditions are those license conditions which potentially have a less serious impact on both Government policy objectives and on customers.

The level allocated to each licence condition determines the speed with which you are expected to notify ERO of any non compliance, as follows:

- You have to send an Immediate Notification Report to ERO immediately if there is a breach of Conditions in Level A;
- The regular Compliance Report that you have to send to ERO every Quarter and Annually must include details of any non compliance with Level B conditions.

The reference tables in Annex F show the level allocated to all conditions in all the Licenses issued by ERO.

3.2.1. Level A Conditions - Immediate Notification

You have to report any breach of a Level A condition immediately to ERO. "Immediately" means that you have to report the breach as soon as possible, and within a maximum of 3 working days of the breach occurring.

To make a satisfactory notification, **within 3 Working Days** you should send by fax or email a copy of the notification report to the Compliance Monitoring Officer in ERO as per Article 1.3. A format of the immediate notification to be faxed or emailed is provided in Annex A of this Manual.

Your notification report to be faxed or emailed must include:

- The extent and nature of the non-compliance (including whether and how many customers and/or other license holders have been affected);
- The reasons for non-compliance with the condition(s);

- Actions you are taking to rectify the breach(es) and to prevent it or them reoccurring;
- The anticipated date when you consider that you will be in compliance with the condition(s).

For completeness, any Level A breach should also be briefly summarized in your quarterly and annual compliance reports, including an update of any further actions taken by you with respect to the breach, whether the breach continues, and a summary of the current status of the breach.

3.2.2. Level B Conditions - Quarterly Notification

You only need to report and breach of Level B licence conditions on a quarterly basis, following the reporting timetable shown in Table 1.

A separate quarterly report should be submitted to ERO for every license that you hold, and each report will need to:

- state the extent to which you have complied with Conditions in the quarter; and
- where you have not complied with any Level B conditions during that Quarter you will need to list these, and include an additional schedule (a Non-Compliance Schedule) with the Compliance Report.
- list any Level A breaches that you notified during the quarter, including an update of any further actions taken by you with respect to the breaches, whether the breaches continue, and a summary of the current status of the breaches.

The Quarterly Non-Compliance Schedule that you should submit should detail the:

- extent and nature of the non-compliance (including whether and how many customers and/or other license holders have been affected);
- reasons for non-compliance;
- actions taken to rectify the breach and to prevent it reoccurring;
- the current status of the breach
- actual or anticipated date of full compliance.

For completeness, any breach reported in the quarterly compliance reports should also be summarized in the annual compliance report, including a status report and an update of any further actions taken by the licensee holder in respect of each breach.

The formats of the Quarterly Compliance Report and the accompanying Quarterly Non-Compliance Schedule which are both to be sent to ERO are provided in Annexes B and C of this Manual.

3.3. Annual Notification

An Annual Report on compliance should be sent to ERO at the end of every year, following the timetable shown in Table 1.

The report will need to state the extent that you have complied with Level A and Level B Conditions during the year. This report needs to be authorized by the Executive Director of the Licensee, who also needs to sign all the required statements shown in the Reference Tables in Annex F, and approved by the Board of the company. Where any statement indicates that the condition is not complied with, details of non compliance with the condition have to be listed in the Annual Non-Compliance Schedule (see Annex E).

Any non compliance with Level A conditions should already have been notified to ERO, but in the Annual Report you should provide details of any such non compliance that has not been notified, using the Annual Non-Compliance Schedule in Annex E. An update should also be

provided on all Level A breaches previously notified, including any that are continuing from previous periods.

Any non compliance with Level B conditions should already have been notified to ERO, except for the Quarter immediately before the annual report. This Annual Report should contain details of:

- any such Level B non compliance that has not previously been notified, using the Annual Non-Compliance Schedule in Annex E; and
- an update on all Level B breaches that occurred during the year, or that continued from an earlier period, using the Annual Non-Compliance Schedule in Annex E.

The format of the Annual Compliance Report to be sent to ERO is provided in Annex D of this Manual.

Any Non-Compliance Schedule submitted with the Annual Report should contain the required details that are explained in Annex E of this Manual.

3.4. How to send your Quarterly and Annual Reports

At the designated times (see Table 1 above) you should send your Quarterly and Annual Reports to the Compliance Monitoring Officer in ERO whose details are given in Article 1.3.

The reports should be sent either as attachments to an email (in a Word-readable or pdf format), or by hand delivery or post.

4. What Happens Next: Checking Your Returns and Good and Bad Compliance Levels

ERO places the responsibility on the Licensees to provide accurate and honest information to ERO about compliance with license conditions. This approach is both efficient and cost-effective for Licensees and for ERO, and avoids an ongoing detailed and intensive checking of Licensees' businesses by ERO staff or third parties.

However, to prevent abuse of this system ERO will make periodic spot checks on the accuracy of your reports, and may use external experts to confirm the data and results that you have provided to ERO in your reports. This verification process may involve a performance or system audit of your data and results.

ERO will also have the power to issue administrative measures and fines in accordance to the Rule on Administrative Measures and Fines against any Licensee which provides false, misleading, or inaccurate information.

4.1. Compliance Audits

ERO will also commission periodic compliance audits of selected Licensees. The scope and timing of these audits will depend on the results of previous compliance audits and each business' compliance history.

Compliance audits may be composed of one of both of the following:

- A **system audit**: this would examine your IT (hardware and software) systems and processes and procedures that are in place in your business. It will focus on seeing what systems and processes have been adopted by you to ensure that you are or will comply with your license conditions. The audit will address the level of your managerial and staff commitment to compliance, the extent to which you adhere to your compliance policy and your staff's understanding of and adherence to the your compliance management system. A qualified system audit will not necessarily mean that you are or have been in breach of a condition in your license. However, it will alert ERO as to what could happen and perhaps guide ERO when it takes future decisions on assessing compliance in your company.
- A **performance audit**: this is an examination of your performance in meeting your compliance conditions. It assesses the extent to which you comply with the terms of your license. This type of audit could also involve an auditor forming and expressing an opinion on the reliability of information provided to ERO in your annual compliance report.

These audits may be carried out by ERO and/or independent experts, and the costs of any audits that ERO requests will be the responsibility of Licensees. The process will, however, be subject to a competitive tendering process in conformance with EU regulations.

Due to the changing nature of the scope and timing of audits from year to year, conditions to be audited are not outlined in the Reporting Manuals. The scope of any planned audit will be provided separately to all businesses concerned closer to the time of an actual audit.

4.2. Responding to Observed Levels of Compliance

At this stage, there is no history of good or bad compliance by your company, and this will take a number of years to develop.

However, over time, ERO expects to notice differences in how well licensees tackle compliance with their license conditions. ERO will want to reward licensee who perform better than other Licensees in this area, both in complying with licence conditions and in the accuracy of compliance reporting. You are therefore encouraged to use your best endeavors to observe all your compliance obligations.

ERO expects to reward well-performing licensees. This might take the form of scaling back the frequency and/or extent of compliance reporting and verification for Licensees that can:

- show a strong compliance system;
- achieve an adequate compliance audit report; and
- demonstrate a good compliance history.

However, where Licensees fail to comply with key conditions or do not implement an appropriate compliance system, ERO may progressively increase the extent and frequency of compliance reporting and auditing, or impose other penalties.

Where a Licensee receives a marginal or inadequate compliance audit report, it may be subject to further investigations.

In addition, where non-compliance indicates significant problems with compliance systems, a Licensee may be required to undergo an external audit prior to or in conjunction with submitting its next annual compliance report to ERO.

ANNEX A: Immediate Faxed Notification (< 3 days)

Submitted by *[name]*

To: The Compliance Monitoring Officer, Legal & Licensing Department,
ERO, Pristina

[Name] reports as follows:

1. This Notification reports a breach of a Level A license condition which merits immediate notification to ERO.
2. Data on the breach of the Condition(s) designated Level A are provided in the attached schedule.
3. This compliance report has been approved and signed by the designated Executive Director of [Licensee name].

Date:

Signed

Name:.....

Designation:

Immediate Non-Compliance Schedule

In this schedule you should list the following:

- License condition(s) breached
- Description of the breach that has occurred
- Date of breach(es)
- Reasons for breach(es)
- Actions being undertaken by licensee to correct the breach(es) of the license condition(s), whether the breach continues, and by when it is expected to be remedied.

ANNEX B: Quarterly Compliance Report – Licensee submits to ERO

Submitted by: *[name]*

To: The Compliance Monitoring Officer, Legal & Licensing Dept, ERO, Pristina

[Name] reports as follows:

1. This report documents compliance during [quarterly period] with all conditions in the licenses held by the Licensee.
2. This report has been prepared by [name of person who prepared this report] with all due care and skill in full knowledge of conditions to which it is subject and in compliance with the ERO's Reporting Manual.
3. The attached Quarterly Non-Compliance Schedule (see Annex C) provides information on all conditions with which the Licensee (name) did not fully comply during [quarterly period].
4. Other than the information provided in the Non-Compliance Schedule, the Licensee certifies that it has complied with all conditions to which it is subject.
5. This compliance report has been approved and signed by the designated Executive Director of the Licensee (name).

Date:

Signed

Name:.....

Designation:

ANNEX C: Quarterly Non-Compliance Schedule: Non-Compliance with Level B License Conditions

Submitted by: *[name]*

To: The Compliance Monitoring Officer, Legal & Licensing Dept, ERO, Pristina

Note: where relevant, both tables shown below should be completed.

Level A Non Compliance

No.	Non Compliance	Date Notified	Update on Breach
1			
2			

Notes :

1. Each breach of a Level A condition that occurred in the quarter, or that is still existing from an earlier period should be described in a separate row in the Table.
2. In the “Non Compliance” column fill in the Reporting Guideline Reference number for the Condition.
3. In the “Update on Breach” column briefly describe for any breach previously notified:
 - o The remedial action taken since the last report; and
 - o The current status of the breach.

Level B Non Compliance

No.	Non-Compliances	Brief Comments
1		
2		
3		
4		
5		

Notes :

- Each breach of a Level B condition should be described in a separate row in the Table.
- In the “Non Compliance” column fill in the Reporting Guideline Reference number for the Condition.



- In the “Brief Comments” column Briefly Describe :
 - The extent of non-compliance that occurred
 - The likely cause of non-compliance
 - The remedial action taken
 - The current status of the breach

ANNEX D: Annual Compliance Report – Licensee submits to ERO

Submitted by: *[name]*

To: The Compliance Monitoring Officer, Legal & Licensing Dept, ERO, Pristina

[Name] reports as follows:

1. This report documents compliance during [financial year] with all Level A and Level B conditions to which the Licensee (name) is subject by virtue of its [license(s) held].
2. This report has been prepared by [name of person who prepared the report] with all due care and skill in full knowledge of conditions to which it is subject and in compliance with the ERO’s Reporting Manual.
3. The attached Annual Non-Compliance Schedule (see Annex E) must provide a summary of all conditions with which the Licensee did not fully comply during [financial year], including details of any non compliance that has not previously been notified.
4. Other than the information provided in the Annual Non-Compliance Schedule, the Licensee certifies that it has complied with all conditions to which it is subject.
5. This compliance report has been approved by the designated Executive Director and the Board of the Licensee of [name] at its meeting on [date].

Date:

Signed

Name:.....

Designation:

ANNEX E: Annual Non-Compliance Schedule: Summary of Non-Compliance with License Conditions during the Financial Year

Submitted by: *[name]*

To: The Compliance Monitoring Officer, Legal & Licensing Dept, ERO, Pristina

[Name] reports as follows:

No.	Non-Compliances	When Notified	Update on Breach
1			
2			
3			
4			
5			

Notes :

1. Every breach of a Level A or Level B condition that occurred during the year should be described in a separate row of the above Table. You should also include any continuing breaches of conditions that started in an earlier period.
2. In the “Non Compliance” column fill in the Reporting Guideline Reference number for the obligation.
3. In the “When Notified” column fill in the date of the notification of the non compliance that has previously been submitted to ERO.
4. In the “Update on Breach” column briefly describe for any breach previously notified:
 - o The remedial action taken since the last report; and
 - o The current status of the breach.

Generation License Conditions Monitoring Template

License Ref.	Compliance Level	Content of reporting
1 Definitions and Interpretation		
1.1 to 1.7	-	No Licensee reporting required
2 Separate accounts for Generation Business		
2.1	A	The Licensee has prepared annual regulatory accounts in accordance with Regulatory Accounting Guidelines issued by ERO and has deliver to ERO a copy of the annual audited accounts
2.2	A	The regulatory accounts shall be in accordance with such Regulatory Accounting Guidelines and must be delivered in the form and at the times specified by ERO
2.3	-	No Licensee reporting required
2.4	A	Licensee maintains the same charge, apportionment and allocation bases in respect of the previous financial year
2.5	A	Licensee complied with all ERO directions.
3 Prohibition of cross subsidies		
3	A	Licensee provides/receives no direct or indirect cross-subsidies to/from different businesses
4. Prohibition of discrimination		

4.1	B	Licensee does not price discriminate between purchasers of generation		
4.2	B	Information has been provided to ERO		
4.3	-	No Licensee reporting		
5. Compliance with Grid Code and Metering Code				
5	B	Licensee has complied with all Codes		
6. Security Arrangements				
6.1	B	Licensee has prepared a contingency plan for fuel stocks		
6.2	B	Licensee has complied with any provision setting up the type and extent of the minimum fuel stocks or the specific reserve capacity		
7. Central Dispatch				
7.1	B	Licensee submitted all available generation units/interconnection transfers to Central Dispatch by TSO		
7.2	B	Licensee has provided TSO with all information requested		
7.3	-	No Licensee reporting		
8. Ancillary Services				
8.1	B	Licensee has offered ancillary services when requested by TSO		
8.2	B	Licensee has entered into agreement with TSO		
8.3	B	Licensee has complied with Rule on Dispute Settlement Procedure		
8.4	B	Licensee entered into agreement with TSO based on conditions determined by ERO		

8.5	-	No Licensee reporting		
9. Appointment of Operator				
9.1	B	Generation station operator is approved by ERO		
9.2 and 9.3	-	No Licensee reporting		
10. Market Rules				
10.1	B	Licensee has complied with Market Rules		
10.2	B	Licensee has complied with the Tariff Methodology in force		
10.3	B	Licensee has established a compliance program with Market Rules		
11. Health & Safety				
11.1	B	Licensee has implemented an health and safety program in place to minimize generation operation risks to its personal		
11.2	B	Licensee has contracted an independent expert to undertake a technical and safety audit of its capacity each year		
11.3	B	Licensee has provided technical audit report to ERO		
12. Environment				
12.1	B	Licensee has complied with all environmental legislation in force in Kosova		
12.2	B	Licensee has provided a written policy showing compliance as requested by ERO		
13.3	B	Annual report on environmental performance has been produced and submitted to ERO		
14.4	-	No Licensee reporting		

13. Labour				
13	B	Licensee has complied with all Labour legislation in force		
14. Disposal and outsourcing of relevant assets of the Licensee				
14.1	A	The Licensee has not dispose of, or relinquish operational control over, any relevant asset		
14.2	A	Licensee has notified ERO if disposing material assets		
14.3	A	Licensee has notified ERO if outsourcing material assets		
14.4	-	No Licensee reporting		
15. Insurance obligation				
15	B	Licensee has concluded insurance contract for generation and related equipment		
16. Change in control of the Licensee				
16	A	Licensee has notified ERO of change in management of the Licensee		
17. Public Service Obligation				
17	B	The Licensee has offer the electricity generated by its power plants to the public supplier at a regulated price if the public supplier needs the electricity		
18. Provision of information to ERO				
18.1	B	Licensee has submitted all requested data/information to ERO		
18.2 – 18.4	-	No Licensee reporting		
18.5	B	Licensee has established communication link with TSO and MO		
18.6	B	Licensee has provided copies of signed cross-border trade, supply and other related contracts		

18.7	B	The Licensee shall deliver to ERO quarterly and annual reports about its generation business		
18.8	B	The Licensee shall submit to ERO details of any changes to the information submitted with the application to this license		
18.9		No Licensee reporting		
19. Reasons of license termination, withdrawal and modification				
19.1 to 19.3	-	No Licensee reporting		
20. Fees				
20.1	B	Licensee has paid any initial and annual fees to ERO		
20.2 and 20.3	-	No Licensee reporting		
21. Administrative Fines and Measures				
21.1 – 21.8	-	No Licensee reporting		
22. Settlement of Disputes				
22.1 and 22.2	-	No Licensee reporting		

TSO License Conditions Monitoring Template

License Ref.	Compliance Level	Content of reporting		
1 Definitions and Interpretation				
1.1 – 1.7	-	No Licensee reporting		
2 Separate Accounts for the Licensed Businesses				
2.1	B	Licensee has prepared accounts in accordance with RAGs and delivered a copy of annual audited accounts to ERO no later than 3 months after end of financial year to which accounts relate		
2.2	B	Licensee keeps separate accounts for TSO and MO according RAG's		
2.3	-	No Licensee reporting		
2.4	B	Licensee maintains charge, apportionment and allocation bases in respect of the previous financial year		
2.5	B	Licensee has complied with Article 12.3 of Law on Electricity		
2.6	B	Licensee has complied with any directions issued by ERO		
3 Prohibition of Subsidies and Cross Subsidies				
3	B	Licensee has provided/received no direct or indirect cross-subsidies to/from different businesses or affiliates		
4. Compliance with Distribution Code, Grid Code and Metering Code				
4	B	Licensee has complied with Distribution Code, Grid Code and Metering Code		
5. Operation of the Transmission System				
5.1	-	No Licensee reporting		

5.2 -5.3	B	Licensee has taken all reasonable steps to secure and implement all obligations arising from applicable legislation and this license		
5.4	B	Licensee ensures non-discriminatory access of system users to the information they need in accordance with Article 13.1 Law on Electricity		
5.5	B	Licensee in setting its tariffs and charges for connection to and use of the transmission system has provided appropriate and non-discriminatory pricing signals for entrance into the market		
5.6	B	Licensee has provide appropriate and fair signal that facilitate free entrance into the market		
5.7	B	Licensee has published and made available on his web-site the statement of charges for connection to and use of TSO according to the applicable legislation		
6. Development Plan				
6.1	B	Licensee has prepared the development plan of the transmission system for the following 3 years		
6.2	B	Licensee has revised the development plan each year and submitted the plan to ERO for approval		
7. Infrastructure Commitment				
7.1	B	Licensee has complied with the infrastructure commitment arising out of the Strategy Implementation Program		
7.2	B	The Licensee reports annually to ERO on the activities performed by it in relation to the infrastructure commitment.		
8. Energy Balance				
8.1	B	Licensee has proposed to MEM a long -term and annual energy balance in accordance to Article 6 of the Law on Energy		
8.2	B	Licensee has published and made available the proposals on the energy balance on his web site		

9. Availability and Maintenance of Data			
9.1	B	Licensee has ensures the non-discriminatory access between system users or classes of system users in accordance with Article 13.1 of the Law on Electricity.	
9.2	B	Licensee has taken all reasonable steps to secure and implement all obligations arising out or in connection with the applicable Legislation and this license.	
9.3	B	Licensee has submitted quarterly report about its Transmission System	
9.4	B	Licensee has maintained data records on border capacities, interconnections, load flow calculations, congestion management, power plan dispatch, ancillary and balancing markets	
9.5	B	Licensee has collected and maintained data, information and documentation in accordance with Art 31 Rule on Licensing of energy Activities in Kosova.	
10. Interconnectors			
10.1	B	Licensee has prepared a procedure for the use of Interconnections with other systems to be submitted to ERO for approval.	
10.2	B	Licensee has prepared every two (2) years on the basis of regional needs a list of the new transmission capacities and interconnection power lines required to meet the needs of Kosovo	
10.3	B	Licensee stated that complied with the requirements from items a,b and c of this paragraph	
10.4	B	Licensee continues to undertake regular reviews of this capacity stated in par.3	
10.5	B	Licensee has published this information on its website	
10.6	-	No Licensee reporting	
11. System Operation			
11.1	B	The Licensee has issued direct instructions for the dispatch of all available generation units of each relevant generator	

11.2	B	The Licensee has undertaken operational planning and issue direct instructions for the dispatch of such generation units		
11.3	B	Licensee has provided priority to renewable generation		
11.4	B	Licensee has provided data/information on system operation to ERO		
11.5	-	No Licensee reporting		
12. Economic Purchasing of Assets, Services and Ancillary Services				
12.1	B	Licensee has contracted or procured ancillary services as required to meet system requirements		
12.2	B	Licensee has contracted or purchased ancillary services as required in the most economic way		
12.3	-	No Licensee reporting		
13. Registration and Disposal of Relevant Assets				
13.1	B	The Licensee has prepared and submied to ERO register of all relevant assets		
13.2	B	No Licensee reporting		
13.3	B	Licensee has complied with approval procedures of ERO for additional use or disposal of assets		
13.4	B	Licensee has complied with approval procedures of ERO for outsourcing of assets		
13.5	-	No Licensee reporting		
14. Transmission System Security and Planning Standards				
14.1	B	Licensee has established standards for system security and planning and prepared a document setting out the standards within 12 months of issue of the License		
14.2	-	No Licensee reporting		

14.3	B	Licensee has reviewed system security standards and provided a report on the outcome of the review and any changes to ERO		
14.4	B	Licensee has complied with any directions issued by ERO on system security and planning		
14.5	B	Licensee has published the system security and planning standards on its website		
15. Operating Security Standards				
15.1	B	Licensee has established Operating Security Standards within 12 months of issue of this licence		
15.2	B	Licensee has operated the transmission system according to OSS		
15.3	B	Licensee has reviewed the OSS and provided a report on the review and any proposed revisions to ERO		
15.4	B	Licensee has complied with the directions from ERO on OSS revisions		
15.5	B	Licensee has published OSS on its website		
16. Overall and Minimum Standards of Performance of the Transmission Operation Business				
16.1	-	No Licensee reporting		
16.2	B	Licensee submits a performance scheme within 12 months of license being issued		
16.3	-	No Licensee reporting		
16.4	B	Licensee has implemented approved standards		
16.5	B	Licensee has reviewed/proposed amendments to standards if directed by ERO		
16.6	B	Licensee has provided data/information/analysis to ERO to establish whether or not overall performance meets the performance standards		
16.7	B	Licensee has published statistics, as directed by ERO, identifying the extent to which its performance meets or fails performance standards		

16.8	B	The Licensee in discharging its functions has taken into account the target of being objective and non-discriminatory according to Article 13.1 of the Law on Electricity		
17. Access to Land and/or Premises				
17.1	B	Licensee has prepared a Code of Practice within term determined in license		
17.2	-	No Licensee reporting		
17.3	B	Licensee has reviewed and revised (if needed) the Code of Practice		
17.4	B	Licensee has complied with the Code of Practice or any revisions		
18. Restriction on use of certain information				
18.1 – 18.5	-	No Licensee reporting		
19. Provision of information to other SO and the DSO				
19.1	B	Licensee has submitted data/information to DSO and other interconnected SOs as required by them In order to ensure the secure and efficient operation, coordinated development and interoperability of the interconnected systems		
19.2	-	No Licensee reporting		
20. Code of Conduct of the Transmission System Operator				
20.1	B	Licensee has prepared code of conduct and submitted it to ERO within 6 months		
20.2- 20.3	-	No Licensee reporting		
20.4	B	Licensee has publish the Code of Conduct on its web site		
21. Market Rules				
21	B	Licensee has complied with Market Rules		

22. Health and Safety				
22.1	B	Reasonable steps have been taken to protect persons and property		
22.2	B	Technical and safety audit has been undertaken of transmission system by an independent expert approved by ERO		
22.3	B	Results of such audits have been submitted to ERO in timely manner		
23. Labour				
23	B	Licensee has complied with all Labour legislation in force		
24. Insurance obligation				
24	B	Licensee has conclude insurance contract of assets and related equipment and submitted contract to ERO for review		
25. Change in control of the Licensee				
25	A	Licensee has proceed in compliance with this Article		
26. Public Service Obligation				
26	B	Licensee has complied with any PSO imposed on it by ERO pursuant to Article 51 of LER.		
27. Provision of Information to ERO				
27.1	B	Licensee has submitted data/information to ERO as required		
27.2 -27.4	-	No Licensee reporting		
27.5	B	Licensee has deliver to ERO a quarterly and annual reports informing about its Transmission System Operation business		
27.6	B	Licensee has submitted to ERO details of any change in information submitted with application		

27.7	B	An annual report on the status of main equipment and continuity of supply is submitted to ERO		
27.8	-	No Licensee reporting		
28. Reasons of License termination, withdrawal and modification				
28.1 – 28.3	-	No Licensee reporting		
29. Administrative Measures and Fines				
29.1 – 29.8	-	No Licensee reporting		
30. Settlement of Disputes				
30.1 - 30.2	-	No Licensee reporting		

Market Operator License Conditions Monitoring Template

License Ref.	Compliance Level	Content of reporting		
1 Definitions and Interpretation				
1.1 – 1.7	-	No Licensee reporting		
2 Authorization granted under this License				
2.1	-	No Licensee reporting		
2.2	B	The Licensee has not transferred any of its rights or obligations under the present license.		
3. Separate accounts for the Market Operation Business				
3.1	B	Licensee has prepared accounts in accordance with RAGs and delivered a copy of annual audited accounts to ERO no later than 3 months after the end of the financial year to which the accounts relate.		
3.2	B	Licensee keep or cause to be kept a separate accounts for the Market Operation business as a whole separate from the Transmission System Operators business		
3.3	-	No Licensee reporting		
3.4	B	Licensee maintains charge, apportionment and allocation bases in respect of the previous financial year		
3.5	B	Licensee has complied with any directions issued by ERO		
4. Legal and Management Unbundling Obligations				
4.1	-	No Licensee reporting		
4.2	B	The Licensee has not engaged in electricity generation, supply or trading		

4.3	B	The Licensee has maintained independence based on a), b) and c)		
5. Prohibition of Subsidies and Cross Subsidies				
5.1	B	Licensee has provided/received no direct or indirect cross-subsidies to/from different businesses or affiliates		
6. Prohibition of discrimination				
6.1	B	No discrimination shown to trading parties by the Licensee		
6.2	-	No Licensee reporting		
7. Market Rules				
7.1	B	Licensee has prepared and submitted the Market Rules to ERO within term from license		
7.2	-	No Licensee reporting		
7.3	B	Any modifications to the Market Rules have been managed by the Licensee		
7.4	B	The Market Rules are published by the Licensee on its web site		
8. Accession to Market Rules				
8.1	B	Accession Agreements have been entered into with all willing persons		
8.2	B	The Licensee has monitored the compliance of trading members to the Market Rules		
8.3 - 8.4	-	No Licensee reporting		
9. Operational Communications				
9.1	B	Adequate IT equipment and software has been procured and installed to manage the Settlements		
9.2	B	The Settlement software has been audited by a qualified expert company to determine		

		consistency with the market rules		
9.3	B	Complete and accurate records of all Settlement Data is maintained by the Licensee		
9.4	-	No Licensee reporting		
10. Capacity availability				
10.1	B	Capacity register is established, maintained and updated by the Licensee		
10.2	B	The Licensee has cooperated with the TSO to identify generators availability		
10.3	B	Licensee has awarded Capacity Availability Certificates to Generators and Interconnector Traders according to the provisions of the Market Rules		
10.4	B	Licensee has submitted CAC transfer reports to each trading party		
10.5	-	No Licensee reporting		
11. Interconnector Trading and nomination				
11.1	B	The Licensee has established, maintained and updated an Interconnector Capacity register		
11.2	B	The Licensee has advertised all necessary and appropriate information for carrying out monthly and annual capacity auctions and the allocation of interconnector capacity on a daily basis		
11.3	B	The form of the transfer of interconnector capacity rights from one trading party to another trading party have been prescribed by the Licensee		
11.4	B	Licensee has submitted to the TSO the notifications specifying intended MW delivery or off take through any interconnector over a specified day		
11.5	-	No Licensee reporting		
12. System Operation forecasting				

12	B	The Licensee has published on its web-site and updated at due times all information regarding annual, monthly, and day ahead forecasts of demand and other factors		
13. Settlement and Energy Imbalance Prices				
13.1	-	No Licensee reporting		
13.2	B	The Licensee has calculated and published the energy imbalance price for every Settlement Period pursuant to Market Rules		
13.3	B	The Licensee has calculated the metered energy and non-delivery bid and offer volumes and settled such accounts pursuant to Market Rules		
13.4	B	The Licensee has calculated and imposed capacity penalties for the settlement of capacity imbalances pursuant to Market Rules		
13.5	-	No Licensee reporting		
14. System Charges				
14	B	The Licensee has received from all Trading parties all relevant system charges on behalf of the TSO and DSO		
15. Invoicing and payments				
15.1	B	The Licensee has issued and submitted to the Trading Parties the invoices necessary for settlement of the accounts		
15.2	B	The Licensee has established an Invoice Manual specifying the formats of invoices and of supporting data		
16. Restrictions on use of certain information				
16.1	B	No confidential data/information has been disclosed by the Licensee to any other business of the Licensee		

16.2 - 16.6	-	No Licensee reporting		
17. Labour				
17	B	Licensee has complied with all Labour legislation in force		
18. Change in control of the Licensee				
18	A	The Licensee has proceed in compliance with this Article		
19. Provision of information to ERO				
19.1	B	Licensee has submitted to ERO all information that is required by ERO		
19.2 – 19.4	-	No Licensee reporting		
19.5	B	Licensee has submitted to ERO quarterly and annual reports about MO businesses		
19.6	B	The Licensee has submitted to ERO details of any change in information submitted with application for this license		
19.7	-	No Licensee reporting		
20. Reasons of License termination, withdrawal and modification				
20.1 – 20.3	-	No Licensee reporting		
21. Administrative Fines and Measures				
21.1 – 21.8	-	No Licensee reporting		
22. Settlement of Disputes				
22.1 - 22.2	-	No Licensee reporting		

DSO License Conditions Monitoring Templat

License Ref.	Compliance Level	Content of reporting		
1 Definitions and Interpretation				
1.1 – 1.7	-	No Licensee reporting		
2 Separate Accounts for Distribution Operation Businesses				
2.1	B	Licensee has prepared accounts in accordance with RAGs and delivered a copy of annual audited accounts to ERO no later than 3 months after end of period to which accounts relate		
2.2	B	Licensee has in its internal accounting, keep a separate account for the Distribution System Operator's business as a whole which in accordance with such Regulatory Accounting Guidelines		
2.3	-	No Licensee reporting		
2.4	B	Licensee maintains charge, apportionment and allocation bases in respect of the previous financial year		
2.5	B	Licensee has complied with Article 17.3 of Law on Electricity		
2.6	B	Licensee has complied with any directions issued by ERO		
3 Prohibition of Subsidies and Cross Subsidies				
3	B	Licensee provides/receives no direct or indirect cross-subsidies to/from different businesses or affiliates		
4. Compliance with Distribution, Grid, Metering Codes and Rule on General Conditions of Energy Supply				
4.1	B	Licensee complies with all Codes		
4.2	B	Licensee complies with Rule on General Conditions of Energy Supply		

5. Operation of the Distribution System		
5.1	-	No Licensee reporting
5.2	B	Licensee complies with legislation mentioned in this paragraph
5.3	B	Licensee fulfils the obligation to offer terms for connection to and use of its system due to the Rule on General Condition of Energy Supply and for any dispute Rule on Dispute Settlement Procedures in the Energy Sector
5.4	B	Licensee ensure non-discriminatory access between system users or classes of system users
5.5	B	Licensee has published and made available on his web-site the statement of charges for connection to and use of the Distribution System
6. Development Plan		
6.1	B	Licensee has prepared the development plan of the distribution system for the following 3 years and submitted the plan to ERO for approval
6.2	B	Licensee has revised the development plan each year and submitted the plan to ERO for approval
7. Economic Purchasing of Assets, Services and Ancillary services		
7.1	B	Licensee has contract and provided such assets and services, as may be necessary to enable the Licensee to discharge its obligations
7.2	B	Licensee has contracted assets and services in considering the most economical sources available
7.3	-	No Licensee reporting
8. Registration and Disposal of Relevant Assets		
8.1	B	The Licensee has prepared a register of all relevant assets and shall provide ERO with such a register annually
8.2	-	No Licensee reporting

8.3	B	Licensee has complied with approval procedures of ERO for disposal of assets		
8.4	B	Licensee has complied with approval procedures of ERO for outsourcing of assets		
8.5	-	No Licensee reporting		
9. Provision of metering and data services				
9.1	B	Licensee has provided services to customers, suppliers and the TSO in accordance with Art 33 and 34 of the Law on Electricity and Metering Code		
9.2	B	Licensee has acted in compliance with this paragraph		
9.3	B	Licensee has acted in compliance with this paragraph		
9.4	B	Licensee has collected and kept data, information and documents in accordance with Art 31 Rule on Licensing of Energy Activities in Kosova.		
9.5	-	No Licensee reporting		
10. Detection and prevention of theft of electricity, damage and meter interference				
10.1	B	All reasonable steps have been taken to detect and prevent theft, damage, interference and any unrecorded consumption of electricity		
10.2	B	The Licensee shall prepare and submit for approval by ERO proposals for the prevention measures		
10.3	-	No Licensee reporting		
11. Distribution System Security and Planning Standards				
11.1	B	Licensee has established standards for system security and planning and prepared a document setting out the standards within 12 months of issue of the License		
11.2	-	No Licensee reporting		

11.3	B	Licensee has reviewed system security standards and provided a report on the outcome of the review and any changes to ERO		
11.4	B	Licensee has complied with any directions issued by ERO on system security and planning		
11.5	B	that Licensee has published the system security and planning standards on its website		
11.6	-	No Licensee reporting		
12. Operating Security Standards				
12.1	B	Licensee has established OSS and prepared documentation within 12 months of issue of this licence		
12.2	B	Licensee has operated the distribution system according to OSS		
12.3	B	Licensee has reviewed the OSS and provided a report on the review and any proposed revisions to ERO		
12.4	B	Licensee has complied with the directions from ERO on OSS revisions		
12.5	B	Licensee has published OSS on its website		
13. Overall and Minimum Standards of Performance of the Distribution Operation Business				
13.1	-	No Licensee reporting		
13.2	B	Licensee submits a performance scheme within 6 months of license being issued		
13.3	-	No Licensee reporting		
13.4	B	Licensee has implemented standards approved by ERO		
13.5	B	Licensee has reviewed/proposed amendments to standards as directed by ERO		

13.6	B	Licensee has provided report to ERO to establish whether or not overall performance meets the performance standards		
13.7	B	Licensee has published statistics, as directed by ERO, identifying the extent to which its performance meets or fails performance standards		
13.8	B	Licensee in discharging his functions has taken into account the target of being objective and non-discriminatory pursuant to the provisions of Article 18.1 of the Law on Electricity.		
14. Access to Land and/or Premises				
14.1	B	Licensee has prepare and submit to ERO for its approval a Code of Practice within 3 months of issue of license		
14.2	-	No Licensee reporting		
14.3	B	Licensee has reviewed and revised the Code of Practice		
14.4	B	Licensee has complied with the Code of Practice or any revisions		
15. Restriction on use of certain information				
15.1 – 15.5	-	No Licensee reporting		
16. Provision of information to the Transmission System Operator and other DSOs				
16.1	B	Licensee has submitted data/information to the TSO and other DSOs as and when required by them		
16.2	-	No Licensee reporting		
17. Other Information given to customers				
17.1	B	Licensee has kept each customer informed of the amount of electricity consumed by the customer		
17.2	B	Licensee has informed its customers that ERO can assist in resolving any unresolved complaints and how ERO can be contacted		
17.3	-	No Licensee reporting		

18. Code of Conduct of the Distribution System Operator				
18.1	B	Licensee has prepared Code of Conduct within 6 months of issue of the License		
18.2 - 18.3	-	No Licensee reporting		
18.4	B	Licensee has published the Code of Conduct on his web site		
19. Market Rules				
19.1	B	Licensee has complied with Market Rules		
19.2	-	No Licensee reporting		
20. Health and Safety				
20.1	B	Reasonable steps have been taken to protect persons and property		
20.2	B	Technical and safety audit has been undertaken of the distribution system by an independent expert approved by ERO		
20.3	B	Results of such audits have been carried out in timely manner to ERO		
21. Labour				
21	B	Licensee has complied with all Labour legislation in force		
22. Insurance obligation				
22	B	Licensee has conclude insurance contract of distribution assets and related equipment and submitted contract to ERO for review		
23. Change in control of the Licensee				
23	A	The Licensee has acted in compliance with this Article within mentioned deadline		

24. Public Service Obligation			
24	B	Licensee has complied with any PSO imposed on it by ERO	
25. Provision of Information to ERO			
25.1	B	Licensee has submitted data/information to ERO as required	
25.2 -25.4	-	No Licensee reporting	
25.5	B	licensee has submitted to ERO a quarterly and annual reports about his DSO business	
25.6	B	Licensee has submitted to ERO any change of information submitted with application for the license	
25.7	B	Licensee in annual report has included the requirements of this paragraph	
25.8	-	No licensee reporting	
26. Reasons of License termination, withdrawal and modification			
26.1 – 26.3	-	No Licensee reporting	
27. Administrative Fines and Measures			
27.1 – 27.8	-	No Licensee reporting	
28. Settlement of Disputes			
28.1 - 28.2	-	No Licensee reporting	

Public Supplier License Conditions Monitoring Template

Licence Ref.	Compliance Level	Content of reporting		
1 Definitions and Interpretations				
1.1 – 1.7	-	No Licensee reporting		
2 Separate Accounts for the Public Supply Business				
2.1	B	Licensee has prepared accounts in accordance with RAGs and delivered a copy of annual audited accounts to ERO no later than 3 months after the end of the financial year to which the accounts relate		
2.2	B	Licensee keeps accounting records according to Law and RAG		
2.3	-	No Licensee reporting		
2.4	B	Licensee has maintained the charge, apportionment and allocation bases in respect of the previous financial year		
2.5	B	Licensee has complied with any directions issued by ERO		
3 Prohibition of Subsidies and Cross Subsidies				
3.1	B	Licensee provides/receives no direct or indirect cross-subsidies to/from different businesses or affiliates		
3.2	B	Licensee does not allow any direct or indirect cross-subsidies between eligible customers and non eligible customers or class of customers		

4. Prohibition of Discrimination				
4	B	No price discrimination has taken place by the Licensee in selling electricity to purchasers including volumes, load factors conditions of interruptability ect.		
5. Compliance with Distribution, Grid and Metering Codes and Rule on General Conditions of Energy Supply				
5.1	B	Licensee complies with Distribution, Grid and Metering Codes		
5.2	B	Licensee complies with Rule on General Conditions of Energy Supply		
6. Governance of Licensee's Obligations				
6.1	B	Licensee has performed an efficient, economic and coordinated operation of his/her supply business		
6.2	B	Licensee has taken all reasonable steps to secure and implement all obligations arising from applicable legislation and this license		
6.3	B	Licensee has complied with any direction made by ERO		
6.4	B	Licensee has concluded PPAs with Generator Licensees in accordance with Art 21.3 of the Law on Electricity		
6.5	B	Licensee has given purchasing priority to electricity for which a Certificate of Origin has been issued in accordance with Art 10.3 and 10.4 of the Law on Electricity		
6.6	B	every customer has been proposed a supply contract in accordance with the Rule on General Conditions for Energy Supply		
7. Security and Safety				
7.1	B	An enquiry service for customers has been established and is operational		

7.2	B	The enquiry service is without charge to customers and is able to receive and process telephone reports and enquiries at all times every day of the year		
7.3	B	The Licensee has complied with either Article 7.3 (a) or (b)		
7.4	B	The Licensee has informed all customers about any changes regarding contact information		
8. Overall and Minimum Standards of Performance				
8.1	-	No Licensee reporting		
8.2	B	Licensee submits a performance scheme within 6 months of license being issued		
8.3	-	No Licensee reporting		
8.4	B	Licensee has implemented approved standards and proposed to ERO for its approval, procedures for monitoring compliance with the same		
8.5	B	Licensee has reviewed/proposed amendments to standards as directed by ERO		
8.6	B	Licensee has provided data/information/analysis to ERO to establish whether or not overall performance meets the performance standards		
8.7	B	Licensee has published statistics, as directed by ERO, identifying the extent to which its performance meets or fails performance standards		
9. Procedures for the detection and prevention of theft, damage and meter interference				
9.1	B	All reasonable steps have been taken to detect and prevent theft, damage, interference and any unrecorded consumption of electricity		
9.2	B	Licensee has complied with requirement under paragraph 9.2		

9.3	B	Licensee has complied with this requirement of informing the owner of its policy and circumstances requiring the owner to remedy such incidents		
9.4	-	No Licensee reporting		
10. Market Rules				
10.1	B	Licensee has complied with Market Rules		
10.2	-	No Licensee reporting		
11. Health and Safety				
11.1	B	All reasonable steps have been taken to protect persons and property		
11.2	B	Technical and safety audit has been undertaken of the supply system by an independent expert approved by ERO		
11.3	B	Results of such audits have been carried out and provided to ERO in timely manner		
12. Labour				
12	B	Licensee has complied with all Labour legislation in force		
13. Change in Control of the Licensee				
13	A	The License is in compliance with requirements of this Article		
14. Public Service Obligation				
14.1	B	Licensee has carried out any PSO imposed on it by ERO according to Art 51 of the Law on the Energy Regulator		
14.2 - 14.5	-	No Licensee reporting		

14.6	B	A copy of notice has been sent by Licensee to each of the premises specified in the last resort supply direction		
14.7	-	No Licensee reporting		
14.8	B	Licensee has used all reasonable endeavors to secure an economic purchase of electricity in any new contract entered into		
14.9	B	Licensee has submitted a request to ERO for approval of higher prices		
14.10	B	ERO is notified within 6 months of the last resort direction that the Licensee makes a claim for payment		
14.11	B	The total sum of the last resort supply payments claimed by the Licensee has not exceeded the amount by which the aggregate costs incurred by the Licensee are greater than the aggregate amounts recovered by the Licensee by way of charges for electricity supplied to premises		
15. Provision of Information to ERO				
15.1	B	Licensee has submitted data/information to ERO as required		
15.2 – 15.4	-	No Licensee reporting		
15.5	B	Licensee has establish the communication link with TSO and MO		
15.6	B	Any signed contract on cross border trade, supply contracts and PPAs has been provided to ERO		
15.7	B	Licensee has submitted to ERO quarterly and annual reports about its businesses		
15.8	B	Licensee has submitted to ERO details of any change in information submitted with application for this license.		

15.9	-	No Licensee reporting		
16. Reasons of License termination, withdrawal and modification				
16.1 – 16.3	-	No Licensee reporting		
17. Administrative Fines and Measures				
17.1 – 17.8	-	No Licensee reporting		
18. Settlement of Disputes				
18.1 - 18.2	-	No Licensee reporting		

Supply/Trade License Conditions Monitoring Template

License Ref.	Compliance Level	Content of reporting		
1 Definitions and Interpretation				
1.1 – 1.7	-	No Licensee reporting		
2 Separate Accounts for the Trade, Supply and Cross Border Trade Businesses				
2.1	B	Licensee has prepared accounts in accordance with RAGs and delivered a copy of annual audited accounts to ERO no later than 3 months after end of period to which accounts relate		
2.2	B	Licensee keeps accounting records according in accordance with such Regulatory Accounting Guidelines as may be issued by ERO from time to time		
2.3	-	No Licensee reporting		
2.4	B	Licensee maintains charge, apportionment and allocation bases in respect of the previous financial year		
2.5	B	Licensee has complied with directions issued by ERO		
3 Prohibition of Subsidies and Cross Subsidies				
3	B	Licensee provides/receives no direct or indirect cross-subsidies to/from different businesses of the Licensee including affiliates		
4. Prohibition of Discrimination				
4	B	No price discrimination has taken place by the Licensee in selling electricity to any purchasers including volumes, load factors, conditions of interruptability ect.		

5. Compliance with Distribution, Grid, Metering Codes and Rule on General Conditions of Energy Supply			
5.1	B	Licensee complies with all applicable Codes	
5.2	B	Licensee complies with Rule on General Conditions of Energy Supply	
6. Security and Safety			
6.1	B	An enquiry service for customers has been established and is operational	
6.2	B	The enquiry service is without charge to customers and is able to receive and process telephone reports and enquiries at all times every day of the year	
6.3	B	Licensee has complied with either 6.3 (a) or (b)	
6.4	B	Licensee has established communication link with TSO and MO	
6.5	B	Licensee has informed all customers of any change regarding contact information	
7. Overall and Minimum Standards of Performance			
7.1	-	No Licensee reporting	
7.2	B	Licensee submits a performance scheme within 6 months of license being issued	
7.3	-	No Licensee reporting	
7.4	B	Licensee has implemented standards and quality of service approved by ERO	
7.5	B	Licensee has reviewed/proposed amendments to standards, quality of service if directed by ERO	
7.6	B	Licensee has provided data/information/analysis to ERO to establish whether or not overall performance meets the performance standards	

7.7	B	Licensee has published statistics, as directed by ERO, identifying the extent to which its performance meets or fails performance standards		
8. Procedures for the detection and prevention of theft, damage and meter interference				
8.1	B	All reasonable steps have been taken to detect and prevent theft, damage, interference etc		
8.2	B	Licensee has complied with requirement of 8.2		
8.3	B	Licensee has complied with this requirement of informing the owner of its policy and circumstances requiring the owner to remedy such incidents		
8.4	-	No Licensee reporting		
9. Market Rules				
9.1	B	Licensee has complied with Market Rules		
9.2	-	No Licensee reporting		
10. Health and Safety				
10	B	Reasonable steps have been taken to protect persons and property		
11. Labour				
11	B	Licensee has complied with all Labour legislation in force		
12. Change in control of the Licensee				
12	A	The Licensee is in compliance with this Article.		
13. Provision of Information to ERO				
13.1	B	Licensee has submitted data/information to ERO as required		

13.2 – 13.4	-	No Licensee reporting		
13.5	B	Any signed contract on cross border trade, supply contracts and PPAs has been provided to ERO		
13.6	B	An quarterly and annual report on the supply/trade business has been submitted to ERO		
13.7	-	No Licensee reporting		
14. Reasons of License termination, withdrawal and modification				
14.1 – 14.3	-	No Licensee reporting		
15. Fees				
15.1	B	Y/N statement that Licensee has paid any initial and annual fees to ERO determined by Schedule of Fees		
15.2 and 15.3	-	No Licensee reporting		
16. Administrative Fines and Measures				
16.1 – 16.8	-	No Licensee reporting		
17. Settlement of Disputes				
17.1 and 17.2	-	No Licensee reporting		

District Heating Generation License Conditions Monitoring Template

License Ref.	Compliance Level	Content of reporting		
1 Definitions and Interpretation				
1.1 to 1.7	-	No Licensee reporting required		
2 Separate Accounts for the Thermal Energy Generation Business				
2.1	A	The Licensee shall prepare annual regulatory statements / accounts based on RAG and audited accounts		
2.2	A	The Licensee shall prepare accounts based on RAG.		
2.3	-	No Licensee reporting required		
2.4	A	The Licensee shall not change the bases of charge, apportionment or allocation from those applied in respect of the previous financial year		
2.5	A	The Licensee shall comply with any directions issued by ERO		
3 Prohibition of Subsidies and Cross-subsidies				
3	A	The Licensee shall ensure that does not give any direct or indirect cross-subsidy between the different businesses		
4. Prohibition of Discrimination				
4.1	B	The Licensee shall provide that does not disclose directly or indirectly any confidential information to any other business of the Licensee or of an Affiliate		
4.2	B	The Licensee will not discriminate with prices between purchasers and generators.		
4.3	B	The information has been disclosed to ERO		
4.4 -4.5	-	No Licensee reporting required		

5. Compliance with Distribution Code, Metering Code and Rule on General Conditions of Energy Supply			
5	B	The Licensee shall comply with the provisions of all Codes.	
6. Security Arrangements for Fuel			
6.1	B	The Licensee has prepare a contingency plan for fuel stocks	
6.2	B	The Licensee shall comply with any provision setting up the type and extent of the minimum fuel stocks or the specific reserve capacity	
7. Health and Safety			
7.1	B	The Licensee has taken a reasonable steps to protect persons and property from injury and damage that may be caused by the Licensee when carrying out the Generation business	
7.2	B	The Licensee has ensure an independent expert whose appointment is approved by ERO undertakes a technical and safety audit in respect of the Generation Facilities annually	
7.3	B	The Licensee has provide the results of such audits carried out in a timely manner to ERO	
8. Environment			
8.1	B	Within twelve (12) months after issuance of this license the Licensee shall submit to ERO the Environmental Permit	
8.2	B	The Licensee has provided as specified by ERO a written policy showing the compliance	
8.3	B	The Licensee has prepared an annual report on its environmental performance	
8.4	-	No Licensee reporting required	
9. Labour			
12	B	The Licensee shall comply with all legislation applicable to labour	
10. Registration and Disposal of Assets of the Licensee			
13.1	B	The Licensee shall prepare and maintain a register of all relevant assets	

13.2	A	The Licensee has notified the ERO on the disposal of material assets		
13.3	A	The Licensee has notified the ERO on the outsourcing of material assets		
13.4	-	No Licensee reporting required		
11. Insurance Obligation				
11	B	The Licensee shall conclude and keep in force the insurance contract regarding the generation business, station and related equipment		
12. Change in Control of the Licensee				
12	A	The Licensee has notified the ERO about change in management or the ownership of the Licensee		
13. Provision of Information to ERO				
13.1	B	The Licensee shall submit to ERO in manner set forth in Rule of Licensing of Energy Activities in Kosovo		
13.2 – 13.4	-	No Licensee reporting required		
13.5	B	The Licensee has delivered to ERO quarterly and annual reports about its generation business		
13.6	B	The Licensee shall submit to ERO details of any changes to the information submitted with the application to this license.		
13.7	-	No Licensee reporting required		
14. Reasons of License Termination, Withdrawal and Modification				
14.1 to 14.3	-	No Licensee reporting required		
15. Fees				
15.1	B	The Licensee has paid to ERO initial and annual fees		
15.2 dhe 15.3	-	No Licensee reporting required		
16. Administrative Measures and Fines				

16.1 – 16.8	-	No Licensee reporting required		
17. Settlement of Disputes				
17.1 dhe 17.2	-	No Licensee reporting required		

Tabela për Monitorimin e Kushteve të Licencës për OSSH të Ngrohjes Qendrore

License Ref.	Compliance Level	Content of reporting		
1 Definitions and Interpretation				
1.1 – 1.7	-	No Licensee reporting required		
2 Separate Accounts for the Thermal Energy Generation Business				
2.1	B	The Licensee has prepare annual regulatory statements / accounts based on RAG (Regulatory accounting guidelines) and has submitted to ERO		
2.2	B	The Licensee keep the internal accounts pursuant to Laws and regulations		
2.3	-	No Licensee reporting required		
2.4	B	The Licensee has not change the bases of charge, apportionment or allocation from those applied in respect of the previous financial year		
2.5	B	The Licensee has comply with any directions issued by ERO		
3 Prohibition of Subsidies and Cross-subsidies				
3	B	The Licensee has not given any direct or indirect cross-subsidy between the different businesses		
4. Compliance with Distribution Code, the Grid Code, the Metering Code and the Rule on General Conditions of Energy Supply				
4.1	B	The Licensee shall prepare all Codes		
4.2	-	No Licensee reporting required		
4.3	B	The Licensee has publish all Codes on its web page		
4.4	B	The Licensee is act according to the provisions of all issued Codes		

4.5	B	The Licensee has complied with the Rule on General Conditions of Energy Supply issued by ERO
5. Licensee's Obligations Relating to Metering Devices		
5.1	B	The Licensee shall purchase from its customers the metering devices which they own, in accordance with the requirements of the Law on Central Heating.
5.2	-	No Licensee reporting required
6. Connection to the Heat Distribution Network		
6.1	B	The Licensee shall perform the efficient, economic and coordinated operation on the distribution system
6.2	B	The Licensee shall perform in accordance with applicable legislation
6.3-6.7	-	No Licensee reporting required
6.8	B	The Licensee shall publish and make available on the Licensee's web-site the statement of charges for connection to the heat distribution system
7. Access to and Use of the Heat Distribution Network		
7.1-7.3	-	No Licensee reporting required
7.4	B	The Licensee shall prepare prices and tariffs for the use of the Heat Distribution Network, submit them to ERO for approval and publish the approved prices and tariffs in accordance with the provisions of the Law on District Heating
8. Development Plan		
8.1	-	No Licensee reporting required
8.2	B	The Licensee shall prepare the development plan of the Distribution System for the following two (2) years, according to applicable legislation .
8.3	B	The Licensee shall revise the development plan annually and shall submit it to ERO for approval
8.4	-	No Licensee reporting required

8.5	B	The Licensee shall be responsible for distribution network management and maintenance as well as for the maintenance of sites and facilities in accordance with the technical requirements contained in the Codes		
9. Economic Purchasing of Assets and Services				
9.1	B	The Licensee shall contract or arrange for the provision of such assets and services, as may be necessary and appropriate to enable the Licensee to discharge its obligations		
9.2	B	The Licensee shall purchase or acquire such assets and services from the most economical sources available to it		
9.3	-	No Licensee reporting required		
10. Registration and Disposal of Relevant Assets				
10.1	B	The Licensee shall prepare and maintain a register of all relevant assets and shall provide ERO with such a register annually		
10.2	B	The Licensee shall not dispose of, or relinquish operational control over, any relevant asset		
10.3	B	The Licensee is in compliance with procedures of ERO for approval and disposal of assets.		
10.4	B	The Licensee is in compliance with procedures of ERO for outsourcing of assets		
10.5	-	No Licensee reporting required		
11. Additional Use or Disposal of Relevant Assets				
11.1	B	The Licensee has act in accordance with the requirements of this paragraph		
11.2	-	No Licensee reporting required		
12. Distribution System Security and Planning Standards				
12.1	B	Licensee has established standards for system security and planning and prepared a document setting out the standards within 12 months of issue of the		
12.2	-	No Licensee reporting required		

12.3	B	Licensee has reviewed system security standards and provided a report on the outcome of the review and any changes to ERO		
12.4	B	Licensee has complied with any directions issued by ERO on system security and planning		
12.5	B	The Licensee has published the system security and planning standards on its website		
12.6	-	No Licensee reporting required		
13. Standards of Performance of Distribution System Operation Business				
13.1	-	No Licensee reporting required		
13.2	B	Licensee submits a performance scheme within 12 months of license being issued		
13.3	-	No Licensee reporting required		
13.4	B	Licensee has implemented approved standards		
13.5	B	Licensee has reviewed/proposed amendments to standards as directed by ERO		
13.6	B	Licensee has provided data/information/analysis to ERO to establish whether or not overall performance meets the performance standards		
13.7	B	Licensee in discharging his functions was objective and non discriminatory		
13.8	B	Licensee has published statistics, as directed by ERO, identifying the extent to which its performance meets or fails performance standards		
14. Access to Land and/or Premises				
14.1	B	Licensee has prepare and submit to ERO for its approval a Code of Practice within 3 months of issue of license		
14.2	-	No Licensee reporting required		
14.3	B	Licensee has reviewed and revised the Code of Practice		

14.4	B	Licensee has complied with the Code of Practice or any revisions	
15. Restriction on Use of Certain Information			
15.1 – 15.5	-	No Licensee reporting required	
16. Provision of Information to the other Distribution System Operators			
16.1	B	Licensee has submitted data/information to the DSOs as and when required by them	
16.2	-	No Licensee reporting required	
17. Code of Conduct of the Distribution System Operator			
17.1	B	Licensee has prepared Code of Conduct within 6 months of issue of the License	
17.2 – 17.3	-	No Licensee reporting required	
17.4	B	Licensee has published the Code of Conduct on his web site	
18. Health and Safety			
18.1	B	Reasonable steps have been taken to protect persons and property	
18.2	B	Technical and safety audit has been undertaken of the distribution system by an independent expert approved by ERO	
18.3	B	Results of such audits have been carried out in timely manner and delivered to ERO	
19. Labour			
19	B	Licensee has complied with all Labour legislation in force	
20. Change in Control of the Licensee			
20	A	Change in the control of the Licensee shall be notified to ERO	
21. Public Service Obligation			

21	B	Licensee has complied with any PSO imposed on it by
22. Provision of Information to ERO		
22.1	B	Licensee has submitted data/information to ERO as required
22.2 -22.4	-	No Licensee reporting required
22.5	B	The Licensee has submitted to ERO a quarterly and annual reports about his DSO business
22.6	B	Licensee has submitted to ERO any change of information submitted with application for the license
22.7	-	No Licensee reporting required
23. Reasons for License Termination, Withdrawal and Modification		
23.1 – 23.3	-	No Licensee reporting required
24. Administrative Measures and Fines		
24.1 – 24.8	-	No Licensee reporting required
25. Settlement of Disputes		
25.1 – 25.2	-	No Licensee reporting required

Tabela për Monitorimin e Kushteve të Licencës për Furnizim Publik me Ngruhje Qendrore

Ref. e Licencës	Niveli i Pajtushmërisë	Përmbajtja e raportimit
1 Definitions and Interpretation		
1.1 – 1.7	-	No Licensee reporting required
2 Separate Accounts for the Supply Business		
2.1	B	The Licensee shall prepare annual regulatory statements / accounts in accordance with the temporary instructions of ERO on regulatory reporting and shall deliver to ERO a copy of the annual audited statements / accounts so prepared
2.2	B	The Licensee shall keep regulatory statements / accounts in accordance with the applicable legislation
2.3	-	No Licensee reporting required
2.4	B	Licensee has maintained the charge, apportionment and allocation in respect of the previous financial year
2.5	B	Licensee has complied with any directions issued by ERO
3 Prohibition of Subsidies and Cross-subsidie		
3.1	B	Licensee has not provided/received any direct or indirect cross-subsidies to/from different businesses or affiliates
3.2	B	Licensee does not allow any direct or indirect cross-subsidies between eligible customers and non eligible customers or class of customers
4. Prohibition of Discrimination		
4	B	No price discrimination has taken place by the Licensee in selling heat to purchasers
5. Compliance with the Distribution Code, the Metering Code and the General Conditions of Energy Supply		

5.1	B	Licensee complies with Distribution, Grid and Metering Codes		
5.2	B	Licensee complies with Rule on General Conditions of Energy Supply		
6. Security and Safety of Supply				
6.1	B	An enquiry service for customers has been established and is operational		
6.2	B	The enquiry service is without charge to customers and is able to receive and process telephone reports and enquiries at all times every day of the year		
6.3	B	The Licensee has complied with either Article 6.3 (a) or (b)		
6.4	B	The Licensee has informed all customers where this is required		
7. Governance of Licensee's Obligations				
7.1	B	The Licensee shall perform the efficient, economic, and coordinated operation of the licensed activities		
7.2	B	The Licensee shall take all reasonable steps in order to secure and implement all obligations arising out or in connection with the applicable legislation		
7.3	B	The Licensee shall prepare and propose customers a commercial contract in accordance with the General Conditions of Energy Supply and provisions of the Law on Central Heating.		
7.4	B	The Licensee shall, within deadline set forth in the Law on Central Heating, prepare a draft Customer Protection Code and submit it to ERO for approval		
7.5	B	The Licensee shall conclude long-term purchase contracts with producers to the extent required to guarantee sufficient supplies		
7.6	B	The Licensee shall give purchasing priority to thermal energy for which a Certificate of Origin has been issued		
8. Metering Provision				
8.1	-	No Licensee reporting required		

8.2	B	The Metering Code shall be issued by the Distributor and approved by ERO
9. Procedures for the Detection and Prevention of Theft, Damage and Meter Interference		
9.1	B	That all reasonable steps have been taken to detect and prevent theft, damage, interference and any unrecorded consumption of heat.
9.2	B	Licensee has complied with requirement under 9.1
9.3	B	Where the Licensee has reason to believe that any incident reported to the owner has been caused by the criminal act of any person it shall, provide the owner with such information
9.4	B	Licensee has complied with this requirement of informing the owner of its policy and circumstances requiring the owner to remedy such incidents
9.5	-	No Licensee reporting required
10. Other Information Given to Customers		
10.1	B	The Licensee shall keep each of its customers (insofar as the final customer receives an un-metered supply) informed of the amount of consumed thermal energy
10.2	B	The Licensee shall inform its customers about role of ERO
10.3	-	No Licensee reporting required
11. Health and Safety		
11	B	The Licensee has taken all reasonable steps to protect persons and property from injury and damage that may be caused by the Licensee when carrying out the licensed business.
12. Labour		
12	B	Licensee has complied with all Labour legislation in force
13. Registration and Disposal of Assets of the Licensee		

13.1	B	The Licensee shall prepare and maintain a register of all relevant assets and shall provide ERO with such a register annually
13.2	B	The Licensee shall not dispose of, or relinquish operational control over, any relevant asset
13.3	B	In cases where the Licensee requests to dispose of certain assets the Licensee is obliged to notify ERO in writing.
13.4	B	In cases where the Licensee requests to outsource of certain assets the Licensee is obliged to notify ERO in writing
13.5	-	No Licensee reporting required
14. Change in Control of the Licensee		
14	A	Change in the control of the License has take place
15. Public Service Obligation		
15.1	B	Licensee is in compliance with any PSO imposed on it by ERO
16. Provision of Information to ERO		
16.1	B	Licensee has submitted data/information to ERO as required
16.2 – 16.4	-	No Licensee reporting required
16.5	B	Licensee has submitted to ERO quarterly and annual reports about its supply businesses
16.6	B	The provisions of any supply contract has been notified and approved by ERO
16.7	B	Licensee has submitted to ERO details of any change in information submitted with application for this license
16.8	-	No Licensee reporting required
17. Reasons for License Termination, Withdrawal and Modification		
17.1 – 17.3	-	No Licensee reporting required
18. Administrative Measures and Fines		

18.1 – 18.8	-	No Licensee reporting required
19. Settlement of Disputes		
19.1 - 19.2	-	No Licensee reporting required