



**TOUR REPORT ON**

**STUDY VISIT TO USA ON “DOCKETING & INFORMATION**

**REPOSITORY SYSTEM (DIRS)” OF TWO UTILITY**

**COMMISSIONS AT OHIO AND NEVADA**



## DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)

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## ***DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)***

### **1. Background:**

The Authority has constituted a team comprising of the following officers to visit USA for Peer-to-Peer Activity on Docketing & Information Repository System (DIRS). This study tour to USA was organized by National Association for Regulatory Utility Commissioners (NARUC) and funded under the USAID Energy Pakistan: -

- Mr. Imran Ghaznavi, SED(C&MA) – [Team leader]
- Mr. Muhammad Asad Latif, JED(M&PR)– [Co-Team Leader]
- Mr. Anis Haider Hamdani, JED(P&C)
- Mr. Imran Akhtar-JED(LPG/LNG)
- Mr. Aftab Alam Khan, DED(IT) – [Secretary]
- Mr. Azhar Nizam, DED(CNG)
- Ms. Tayyaba Ahsan, DED(Finance)
- Ms. Kanwal Akmal, DED (Sectt.)

The team, except Mr. Imran Akhtar-JED(LPG/LNG) (due to non-issuance of visa), accordingly visited USA from August 04-18, 2018. During the visit, the team was taken to Federal Energy Regulation Commission (FERC) and National Association for Regulatory Utility Commissioners (NARUC) at Washington DC on August 6, 2018. Team visited Ohio State capital Columbus City for four days to study the systems at Public Utilities Commission of Ohio (PUCO) from August 7-10, 2018. Subsequently, the team was moved for Nevada State at its capital Carson City for five days visit at Public Utilities Commission of Nevada (PUCN) from August 13-17, 2018.



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OGRA delegation at NARUC, Washington DC, USA

Brief on the visit to FERC, PUCO and PUCN is given as under, day-wise: -

### **2. August 06, 2018, FERC**

OGRA's officers visit at Federal Energy Regulatory Commission (FERC) at Washington D.C was scheduled on August 06, 2018.



OGRA delegation at FERC, Washington DC, USA



### **2.1 Overview of FERC**

Ms. Sarah McKinley, Manager of State Outreach, Office of External Affairs gave an overview of FERC. Following is the brief detail presented at FERC by her:

- FERC is an independent government regulatory agency in the executive branch of the U.S government, created by Department of Energy Organization Act (1977). FERC mission is to ensure reasonable and not discriminatory rates and terms & conditions and to promotes the development of safe, reliable and efficient energy infrastructure that serves the public interest.
- FERC regulates the wholesale market; however, the retail markets are being dealt by state based regulatory commissions. FERC is responsible for regulating electric power, natural gas industry, hydroelectric industry and oil pipeline industry.
- There are 5 commissioners in FERC, nominated by President and confirmed by the Senate.
- FERC main revenues are collected primarily through annual charges and filing fees.

### **2.2 Natural Gas Project Review Process**

Mr. Webster Gray, Senior Technical Advisor, Office of Energy Projects presented natural gas project review process. Following is the brief detail presented by him:

- FERC authorizes the construction and operation of gas pipelines / facilities after evaluating the application of import, export, transport, store or exchange of natural gas.
- FERC gives automatic blanket approval for smaller pipeline projects whose cost is less than US\$ 12 million. However, prior notice is given in case cost is between US\$ 12 million and US\$ 33.8 million.
- For new facilities/pipelines projects, initial rates are based on cost estimates. FERC conducts a full view of proposal including engineering, rate, accounting and market analysis. FERC conducts an environmental review by preparing an environmental assessment while processing the application.



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- FERC parallel analyses / processes the application in terms of environmental and non-environmental i.e. engineering, storage, tariff, rules, regulations etc. Regarding economic aspects for LNG terminals is not part of FERC's review.
- After analyzing / processing the application, commission will vote on a proposed project and issue a final order. Accordingly, the applicant accepts the certificate. Party may seek re-hearing from FERC and may also take the issue to US Courts of Appeals.

### **2.3 DIS System at FERC**

Secretary office gave a brief presentation about docketing at FERC.

- Files are electronically submitted at FERC. There are two types of e-Registration that FERC offers:
- Partial Registration requiring name, email and access to e-Subscription,
- Full Registration requiring name, email, address, alternate contact information and access to company registration, e Filing, e Subscription and service list.
  - The process of e Registration is as under:
- Click on e-Register from e Registration page,
- Enter the required password,
- Decide about “partial” or “full” registration. In case of partial registration, the process is complete, however, in case of full registration, applicant has to fill further data / information,
- Enter address information,
- Enter organization / alternate contact information,
- A validation email will be sent to the email address one has provided above.
  - Partially registered users can upgrade their account to full registration, if required.
  - FERC can be contacted through email or toll-free number if applicant faces problems in setting up an account or if one forgets the password.





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### **2.4 e-Library at FERC**

FERC e-Library is a records information system that contains:

- Electronic versions of documents issued by FERC;
- Documents received and issued by FERC;

e-Library provides powerful search capabilities, including the ability to search the text of recent, scanned documents using optical character recognition. Several file formats for accessing and downloading documents; and the option to request that documents be printed or downloaded on computer.

### **3. August 7-10, 2018 visit to PUCO**



OGRA delegation group photo at PUCO, Columbus Ohio, USA

#### **3.1 Visit to The Public Utilities Commission of Ohio (PUCO)**

The Public Utilities Commission of Ohio (PUCO) regulates all kinds of utility services, including electric and natural gas companies, local and long-distance telephone companies, water and wastewater companies, rail and trucking companies. More recently, the PUCO gained responsibility for facilitating competitive utility choices for Ohio consumers. PUCO mission is to



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assure all residential and business consumers access to adequate, safe and reliable utility services at fair prices, while facilitating an environment that provides competitive choices. To carry out its responsibilities, the PUCO employs a professional staff that includes engineers, economists, attorneys and safety inspectors.

- Session started with welcome note from two commissioners i.e. Mr. Larry Friedeman and Mr. Den Conway.
- Presentation by Team Leader Mr. Imran Ghaznavi, SED (C&MA) on “**Role & Functions of OGRA**” to the official of Public Utilities Commission (PUCO). During the presentation official of PUCO appreciated the online compliant system for registration/resolution complaint by OGRA and also discussed with colleagues/ fellows for adoption/introduction of same system in PUCO. PUCO also admired/appreciated the establishment of regional offices at provincial HQ by OGRA to facilitate the consumers and express their interest in opening the sub offices of PUCO.
- PUCO overview by Mr. John Ryan, AIDE to Commissioner Thomas W. Johnson. Mr. John delivered comprehensive presentation covering most of the activities of PUCO. During the presentation Mr. Asim Z. Haque-Chairman PUCO warmly welcomed the OGRA delegation. The Chairman of PUCO is the Chief Executive Officer of the organization and all department/ staff reports to the Chairman, whereas the commissioners only decide cases and they do not attend the office necessarily on daily basis. The commissioner are not designated or categorized with any particular utility area but they are assigned case by the Chairman as per his discretion once the attorney analyzed the case and recommends Chairman who forwards the case to the entire commissioner for their individual input/ comments preparation and final order is drafted by the attorney. The decision of commission is taken by the majority. In case two commissioners are unavailable, due to any reason, the decision thus taken by rest of the three should be unanimous.
- The appointment process of commissioners was also discussed. The Public Utilities Commission of Ohio (PUCO) is comprised of five commissioners appointed to rotating, five-year terms by the governor. The governor’s selection is made from a list of names submitted





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by the *PUCO Nominating Council*, a broad-based 12-member panel charged with screening candidates for the position of commissioner. Terms of the commissioners typically begin in April. One seat on the Commission becomes available each year, and any Ohioan who is not employed by a public utility and does not have a financial interest in a public utility can apply for an open seat. The Nominating Council interviews these applicants and recommends a list of four finalists to the governor for consideration. The governor has 30 days to either appoint a commissioner from the list or request a new list of four names from the Nominating Council. The governor's appointment is subject to confirmation by the Ohio Senate.

- Presentation on History of DIS delivered by Mr. Liza Brenstool. DIS is *acronym for Docketing Information System that is used to find case information and electronically file documents*. It was briefed that a separate Docketing Division is responsible for management of DIS and it report/supervised by Secretary PUCO. It was informed that IT department is separate division which provides technical support to Docketing Information System to keep it up and running. With respect to E-filing of the documents, it was briefed that this option is voluntary (not mandatory) and that no electronic filing fee is charged. Anyone with internet access, an email address and the ability to create a PDF version of the document they want to file, can e-file by, obtaining a PUCO username and password, submitting a participation agreement and completing an E-Filing profile (E-filing manual is given on the website). The size limit for e-file submission is 9MB. The deadline for e-filing is 5:30 p.m. and filings submitted after that time are considered filed on the next business day. Documents which are electronically submitted are time and date stamped which is recorded on the confirmation page that is electronically inserted as the last page of the filing upon receipt by the commission. Once the upload of the document is complete, an e-mail confirming receipt is sent to the filer. The PUCO's Docketing Division then reviews the filing. If the filing is accepted, the document is posted to the case and an e-mail notification of the filing is sent. If the filing is rejected, an e-mail is sent to the filer with reason of rejection. The docketing division may reject any filing that does not comply with the electronic filing manual and technical requirements, is unreadable, includes anything deemed inappropriate for inclusion on the commission's web site, or is submitted for filing in a closed or archived case. Rejected documents are not posted to the case or available through the Docketing Information System. Documents filed via e-mail



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are not accepted. All E-filed documents are password protected and are automatically added to the Docketing Information System and are available to anyone with Internet access. Except as otherwise provided by Ohio Administrative Code or directed by an attorney examiner, a person filing a document electronically need not submit any paper copy of an e-filed document to the commission's docketing division. However; despite DIS, PUCO still rely on Hard copies and 99% of hard record is still being maintained. All internal case processing is being done through emails.

- Presentation on PUCO case process and Case Code was delivered by Mr. John Ryan- AIDE to Commissioner. It was apprised that the cases filed with PUCO are identified by a four-element coding system. The coding elements are: the year in which the case was filed, the sequence in the filing, the industry code, and the purpose code. The industry code indicates the utility involved in the case and the purpose code indicates the reason for which the case has been brought before the Commission. The industry and purpose codes are used to facilitate the processing. All Industry and Purpose Codes are listed on the website along-with their description.
- The OGRA team was taken to the Docketing Division for general inside overview of the division's working methodology.

### **4. August 08, 2018, PUCO**

OGRA team on August 08, 2018 had hand on experience in Docketing Information System (DIS) department of PUCO. The process of docketing at PUCO is as under;

#### **4.1 Initial Case Filing:**

- PUCO receives the filing (application/ request) through mail via facsimile or walk-ins at the counter;
- Documents are stamped with date and time. Copy of the files is returned to him/ her with date & time;
- Stamp "File" on original in the upper left-hand corner. New cases are marked with "NC". For documents received via facsimile, document is stamped with "Fax"



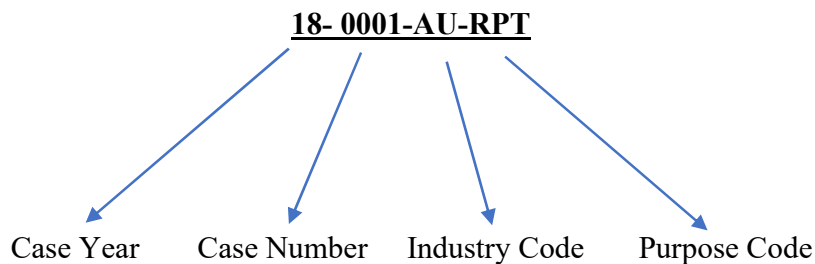
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- Place one copy in daily bin for Scan, while a copy is stamped with “OCC”, is placed in OCC’s bin;

### **4.2 Scanning:**

- Once document is received, it is scanned on computer. Before scanning, stamp is affixed while stating as under:
- “This is to certify that the images appearing are an accurate and complete reproduction of a case file document delivered in the regular course of business”
- Once received documents is scanned and 100% processed, it is moved to next step for “Indexing”.

### **4.3 Indexing:**



- After scanning of the document next stage is daily indexing.
- The DIS client program is logged in by the concerned person. He/she open the window and the scanned document is automatically opened in parallel, to allow to view the both documents simultaneously.
- Each field i.e document type, transaction code and the other details including party name & the attorney is filled in.
- Case number referenced on the document is inserted into the system.
- Once all the field are inserted / filled, the document is ready final stage.

### **4.4 Approval:**

- The last stage is “Approval”.
- The next official reconciles the fields with scanned document. Once the document is checked, it is approved & now the same is ready to be notified to all the departments for



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their respective action. “Daily Activity Sheet” is generated which is available on the website for the general public & the interested parties to review the case.

### **5. August 09, 2018, PUCO**

Presentation on PUCO Community Overview by Ms. Bev Hoskinson CFO. PUCO Community is commission’s web based online filling system rolled out this year that helps to simplify business transactions with the commission. It is separate software other than Docketing Information System. It is newly introduced public website for community access which is based on the cloud system. Community comprises of

- **Public Community** i.e. citizen and state agencies;
- **Authenticated Community** i.e. regulated utilities, non-regulated utilities (PUCO is authorized, as per law, to monitor non-regulated activities and to even impose fine upon non-compliance to the standards e.g. as in the case of wireless phone providers), motor carriers, insurance agents/brokers, drivers, third party agents, etc;
- **PUCO staff** i.e. legal, finance, transportation, service monitoring, DIS, enforcement, etc.

#### **Benefits for Authenticated Community:**

With the help of this online system, regulated companies may file their annual report, pay annual assessments through credit card, view active and inactive certificates, and file TRS reports. In near future, regulated companies will be able to update important business contacts on file with the PUCO, work to resolve investigations and consumer concerns sent to the PUCO Call Center and other important business transactions online by utilizing this feature. They may also file and view inspection reports, compliance reviews, crash and hazmat incident information and schedule conferences, request payment plans and pay civil forfeitures. It was apprised that certified service provider will be able to complete their initial application and renewal of their certificate electronically online. In PUCO community website they have provided the facility to utilities to create their own account and any change if occur they itself can change in their online profile like change in demographic, staff name, address, contacts, etc.



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### **Benefits for Public:**

- Online search of annual reports
- View inspections, violation, compliance review and crash data.

### **Benefits for PUCO staff are:**

- Automated calculation of annual fee.
  - Automated processing of renewal applications
  - Automated invoicing with past due reminders
  - Suspension and reinstatement
  - Scheduling and managing conferences
- During presentation it was briefed that 30 – 36 million dollars annual fee is collected from utilities as annual assessment charges which are calculated through automated electronic calculator. No additional charges are required to be paid for online submission of annual assessment fee.
- For submission of online annual reports, 30-days time period before report submission deadline, is given to the utilities to make amendment, if any. However; in case of any intentional misreporting, Commission can impose fine upto ten thousand dollars per day which goes to the state funds after deduction of PUCO fee.
- Only registered authenticated users can have access to the above stated information/data whereas non-authenticated to have access to annual reports only.
- Utilities are required to submit their annual accounts to both PUCO and FERC and fees are also paid to both commissions.

**5.1 Presentation on DIS Hardware/ Technology** given by Mr. Brian Barrigner. During the presentation it was informed that initially PUCO had started computerization with COBOL language. Later in year 2002 PUCO introduced Docketing Information System which was subsequently upgraded in 2008. DIS is developed in .Net and SQL is used for database. OGRA delegation was taken to Server room and it was brief that all DIS software and hardware hosting facilities are out-sourced through Ohio State Government. Maintenance of software and hardware is also done by the Ohio State Government. 08-10 Servers in IT Room are being used only for internal small application development/testing/data storage. There were two business analysts,



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four developers, five end-user support assistants, three to four persons works as network and database administrators and two to three persons in management.

**5.2 Visit to Docketing Division** for Learning about behind the scene information/Scanning interalia including Confidential Application Repository for treatment of confidential documents. Other important information revealed during this said visit is as under:

- E-filed docket is stamped electronically and locked so no more changes/ manipulation can be made and only one person is authorized to open the docket through password.
- Old docket/closed data is not readily available on DIS, it requires some time to retrieve its information if required/requested by any interested by party.
- DIS seems very simple but infact it is not easy process as in case of any error by the docketing staff, the process of approval restarts before the docket's reloading on the website.
- All notices, certificates and orders are electronically issued by Secretary to the Commission to the concerned with copy to relevant departments for record.
- All received and scanned dockets till 5:30 are reflected in daily activity report. All concerned officers check the list on daily bases and download docket and start working on their relevant cases.
- The decision of the commission being time sensitive; uploaded and issued on the same day.
- The staff of the DIS division comprising of 10 employees works on rotational basis on each desk and are rotated every two weeks.
- No specific qualification is required to work in Docketing Division except basic knowledge/training of using scanners and computers.

**5.3 Public Participation in Cases** by Mr. Matt Schilling

**Public hearings** are formal proceedings with sworn testimony and are conducted in order to provide opportunity to the affected citizens to put their comments on record. Media is invited to attend the public hearings. All arrangements of public hearings are made by legal Secretary in coordination with outreach coordinators. No formal press conferences are conducted or any press release issued after public hearing as media is invited to attend the hearings. All Public





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hearings are conducted after 5 p.m to provide opportunity to general public to attend the same after their routine job. Hearings are conducted in the affected area and are arranged in public areas like schools buildings, universities, auditoriums, community centers and government places which does not require to pay rent.

Two notices of public hearings are served in the newspapers besides issuing press release one four weeks earlier and the second one two weeks prior to the date of hearing. The case of publication is borne by the concerned utility company which ultimately recovers through tariff/rates. Public hearings are attended by attorney examiners, public affairs, call center, observing commissions and court reports. During hearing court reports transcribe comments/proceedings, however, speakers can also file their written testimony.

Public comments can also be filed online through DIS, call center and by regular mails. After public comments on dockets AIDE to each commissioner examines the case and public comments share his/her point of view with the comments and if commissioner is not satisfied with the description/recommendations of his/her AIDE then he/she may go to the docket to analyze the case by himself or herself.

PUCO can call for comments from community on any topic. PUCO has also established call centers for the community to lodge the complaints.

### **5.4 Presentation on Annual Reporting & Legal Authority by Ms. Anna Sanyal & Mr. Jeff Jones**

There are 1886 utilities companies that are regulated by PUCO out of which 98 % i.e. 1825 companies are compliant by filling their online annual reports. It was briefed during presentation that forecasting and future needs assessments are done by PUCO in electricity, natural gas, telecom, etc. Both short term and long-term forecasting is done in order to forecast energy price for auction. Long term forecasting is done on annual basis in the month of April keeping in view the previous trend. Financial year assessments are made on the basis of last calendar year calculations/math given the annual reported submitted the company last year. Forecasting is done on the basis of data obtained through utilities, EID, Bureau of Economic analysis and Bureau of



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Labour Statistics. For forecasting they use time series analysis method through biological growth method which take last one-year data/trend and put in the model to obtain projection.

It was also stated that they spend millions of dollars in nuclear and coal plants but now it proves as mistake being forecasted wrong. Currently they are using ASCAR model for forecasting which is relatively stable. It was also briefed that average rate of return for gas utilities is about 7 to 8 percent. In Ohio there is no gap in the demand and supply of electricity and natural gas.

### **5.5 Panel of Industry Participants – Discussion on Merits and Demerits of DIS**

Summary of the discussion is given as below:

#### **Positives:**

- Case Code System of PUCO better than any other U.S State
- Daily Docketing Report isn't missing anything; can rely on it concretely
- User friendly (case lookup in upper right corner of home page)
- No registration, no user fee, publicly accessible, media can get to it
- Intuitive
- Advanced search capabilities even of Attorney Examiner and/or Assistant Attorney General is very helpful for practitioners

### **5.6 Food for Thought:**

- Handling documents one thing; system has problems handling infrastructure filings (high resolution photos, plans, etc.); dozens of studies attached utilization of search tools to enhance user experience attachment size threshold too small (xx MB) maybe ftp site to have ability to upload large files — e.g., high resolution maps
- DIS — add text search capability beyond case title; doesn't look at text inside the documents/limited search capability
- System doesn't have OCR scan capabilities



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- Run a scan of every document and indexing certain key words (e.g., pipeline, infrastructure) Daily Activity Reports — good for legal aides, but provides a lot of irrelevant information; best info is at top which lists new cases at top
- DIS can't accept confidential documents electronically (with competitively sensitive information) o NY & IL both accept confidential e-filing:
- Fees for filings — OPSB charges; if want to move quickly, have to pay \$2,000
- Federal court system automatically numbers an electronic filing in a docket (e.g., Document #43)
- No permanent link to the actual PDF document
- Summary page for each case —very high level description of case, assigned AE, upcoming hearing date, etc.
- Limited ability to edit something after it's been filed but before it's been published; e.g., 15 minute grace period before published
- Combined case dockets —when make a filing in the combined docket, it has o Administrative consolidation — PUCO rule; you pick the lead case and every other combined docket points to that lead case
- Keep up to date service list for DIS so parties don't file service or seek if good, effective service list for a large docket
- History — make electronically available cases even from mid-1990s; also, searchable
- In case of website crash, E-files cannot be accepted. Better if option of acceptance of documents/files submitted via e-mail may also be entertained as an alternate.

### **6. August 10, 2018, PUCO**

A presentation of OHIO's long term forecast of energy requirements was also given. The crux of the same are as under;

- The Ohio's Long-Term Forecast of Energy Requirements for 2017-2036 presents year by year forecasts of the prevailing energy, economic and demographic trends in the US, Ohio and utility service areas in Ohio, over a 20-years period.



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- Historical patterns observed in the development of the prevailing trends, and the dynamic relationships among them, are analyzed and assessed in the formulation of the forecasting models and forecast scenarios.
- Anticipated alterations in the prevailing trends, due to anticipated business cycles or other severe macro-economic shocks, are specifically included in the forecast scenarios when deemed relevant and feasible.

### **6.1 Gas Pipeline Safety Program**

On the request of OGRA team, an informal session was held with the Gas Pipeline Safety (GPS) Program Manager, Mr. Pete Chace during the lunch. Following information was shared with us;

- It was informed that his team comprises of 16 technical inspectors, who monitor gas leakages and other safety hazards on NG Transmission gas pipelines, which although come under the purview of the Federal Government, i.e Code for Federal Regulations called 49 CFR 192.
- There are about 12,000 miles of transmission network passing right across the Ohio. These lines of different diameters i.e 20” through 42” operating at 1480 Psig.
- In addition, this team has to look after the safety issues of NG Distribution Network, comprising of about 100,000 miles. Since the duties are discharged on behalf of the Federal Government i.e PHMSA (Pipeline Hazardous Materials Safety Administration), the same provides funds equal to three quarters of the total employees/ engineers’ pay.

### **6.2 Complaints Resolution – PUCO Call Center**

PUCO shared their complaint resolution, for which they have established call center. The PUCO resolve disputes between residential, business and industrial consumers and regulated utility and moving companies. Before contacting the PUCO, consumer needs to contact the utility or moving company to give them the opportunity to resolve the dispute directly.



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The details as explained, are as under;

- Informal complaints are received through telephones and emails and approx. 99% complaints are resolved within call center. All complaints record of the call center are not considered as public record.
- The complaints are usually resolved by calling or sending email to the utility's companies.
- The rate of resolving complaints are very high so that so only two formal complaints were received by the Commission. The decision on the complaint by the commission is part of public record.

### **7. August 10, 2018 visit to Statehouse and Supreme Court at Columbus Ohio**



Picture outside Supreme Court, Columbus Ohio



On the last working day in Columbus Ohio, PUCO has arranged visit for OGRA team to first visit to Statehouse building where they briefed about its working, number of members, how they elect, their terms, etc. and then to the Supreme Court Ohio to see how Ohio's state government operates.



Picture inside Supreme Court, Columbus Ohio

It was noticed that buildings were beautiful and all the paintings on walls representing symbols to their history, culture, society, industry, justice, development progress of the country, etc. There are one chief justice and six associate judges in Supreme Court of Ohio and on every hearing they all are present during hearing process, which is different in the case then the case of Pakistan Supreme Court of Pakistan. It was also interesting to know that the cases among seven supreme court judges in Ohio usually distributed by rolling a dice or mutually agreed.





Briefing on Supreme Court working at Columbus Ohio

### 7.1 **OGRA team visit to PUCO USA was given coverage by CNO Court News Ohio**

**Pakistani Utilities Regulators Take Break from Training to Visit Supreme Court, Statehouse**  
By Csaba Sukosd | August 14, 2018

Members of the Oil and Gas Regulatory Authority of Pakistan (OGRA) got to see how Ohio's state government operates as guests of the Public Utilities Commission of Ohio (PUCO) and National Association of Regulatory Utility Commissioners (NARUC).

“I was very impressed by the grandeur of the building, how our tour was being conducted, and the processes and the dissemination of justice,” said Imran Ghaznavi, the executive director for OGRA.

The group from Pakistan is in the middle of creating a new docketing system and came to Columbus to analyze, shadow, and learn from PUCO’s setup as part of a sponsored international program through NARUC. The commission receives grant money from the U.S. Agency for International Development to put together shadowing partnerships where employees of the commission travel all over the world to assist countries with utility issues in Africa, Asia, Eastern Europe, and the Middle East.

“We are so much impressed with the systems here with the people, with the staff, and everybody,” said Ghaznavi.

After days of presentations and hands-on training, they got a break from work with their tour of the city, which included the Ohio Statehouse and Thomas J. Moyer Ohio Judicial Center.



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“The one thing which I like most is everything it has some meaning with it. All the paintings, they're symbols,” said Kanwal Akmal, a deputy executive director for OGRA. “We've also come to know about the architecture of these buildings, some history about Ohio. It was great.”

Along with the building itself, the regulators were quick to notice the difference between the state's high court and theirs. There are 17 justices on the Supreme Court of Pakistan, including a chief justice, but only a few of them are hearing cases together due to a larger workload.

“Back home, every case which is being admitted to the Supreme Court, they have to hear it,” said Ghaznavi.

The lessons were part of an experience they say will last a lifetime. “This is one of the most rewarding and wonderful visits I've ever had outside of Pakistan,” said Ghaznavi.

The video for the visit to supreme court is uploaded on website by CNO Court News Ohio, which can be watched through link:

[http://www.courtnewsOhio.gov/happening/2018/pakistaniVisitors\\_081418.asp#.W3Mt4WekuUk](http://www.courtnewsOhio.gov/happening/2018/pakistaniVisitors_081418.asp#.W3Mt4WekuUk)

### **8. August 13, 2018, PUCN**



OGRA delegation group photo at PUCN, Carson City, Nevada, USA



## ***DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)***

Visit to The Public Utilities Commission of Nevada (PUCN):

- Session started with welcome note from Chairman PUCN Mr.
- Presentation on Overview of PUCN:

The Public Utilities Commission of Nevada (“PUCN”) is a regulatory agency that ensures investor-owned utilities comply with laws enacted by the Nevada Legislature. The PUCN’s basic regulatory duties, as defined by the Legislature include:

- To provide for fair and impartial regulation of public utilities.
- To provide for the safe, economic, efficient, prudent and reliable operation and service of public utilities.
- To balance the interests of customers and shareholders of public utilities by providing public utilities with the opportunity to earn a fair return on their investments while providing customers with just and reasonable rates.

The PUCN regulates approximately 400 investor-owned utilities in Nevada, but does not rate-regulate municipal-owned utilities. PUCN regulates Energy companies (Electric, Natural Gas, LP gas, propane, geothermal energy and alternative sellers of natural gas), Water/Wastewater companies and providers of Telecommunication Services.

### **8.1 Composition of the Commission**

The Commission is comprised of three Commissioners who are each appointed by the Governor to a four-year term. The Governor designates one Commissioner as Chairman.

In contested matters, rulemakings, and investigations, a Commissioner is assigned to govern the proceedings to act as the Presiding Officer. The Presiding Officer, in contested cases, acts in a quasi-judicial manner by receiving and ruling on the admissibility of evidence and amendments to pleadings, acting upon any pending motions which do not involve a final determination of the proceeding, issuing appropriate interim orders, ruling on all procedural matters, setting timeframes for oral testimony and making findings of fact and conclusions of law for the full Commission to approve. Witnesses are presented and are subject to cross-examination by the other parties, Commissioners and Commissioners’ advisors. Likewise, in rulemaking proceedings, the Presiding Officer receives public comment on proposed regulations.



## ***DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)***

All matters over which the Commission has supervision, control, jurisdiction or advisory power must be approved by a quorum of Commissioners during a public agenda meeting. Thus, during these meetings, the Commissioners vote on Regulatory Operation Staff (“Staff”) recommendations for resolution of matters which did not go to hearing, and vote on other recommendations presented by the Presiding Officer for final determination of matters in which hearings have been held. The Commissioners also vote on various administrative, legislative, legal and policy issues in state and federal regulatory matters, including those before the Federal Energy Regulatory Commission (“FERC”) and the Federal Communications Commission (“FCC”).

### **8.2 Organizational Structure**

The PUCN is made up of two distinct groups. One group works on the side that acts as a decision maker, like a court. The other group participates as a party in proceedings before the decision-making side.

The side of the PUCN that issues decisions, Commission Policy/Administration, is made up of the Commissioners, Executive Director, Administration, General Counsel, Hearing Officers, and Policy Analysis.

The other side of the PUCN is the Regulatory Operations Staff (“Staff”) side. Staff appears and participates in cases before the Commission as an independent party, balancing the interests of ratepayers and utility shareholders to ensure safe and reliable service at a reasonable cost. Staff includes the Director of Regulatory Operations, Staff Counsel, Resource and Market Analysis, Financial Analysis, Engineering, Rail Safety, and Consumer Complaint Resolution.

### **8.3 Presentation on Docketing**

PUCN assigns a docket number to all new filings (applications, petitions, rulemakings, investigations, etc.). The docket number serves as a unique identifier for the matter.

After a docket has been opened and assigned a number, all subsequent documents filed by any party (such as comments or testimony) or issued by the PUCN (such as notices and orders) in the course of the proceedings are identified by the same docket number and can be located using the docket number.





## ***DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)***

### **9. August 14, 2018, PUCN**

**9.1 Celebrating National Day in USA:** As 14<sup>th</sup> August 2018 was the 71<sup>th</sup> Independence Day of Pakistan, National Anthem was played to pay tribute to our founding father and our homeland. The entire OGRA team stood along with PUCN staff to pay the respect. After national anthem, a national song was played, which was translated by Mr. Imran Ghaznavi, SED(C&MA) for understanding of PUCN staff.



OGRA delegation picture during 14<sup>th</sup> August-Pakistan National Day at PUCN

The Presentation was given by General Counsel and Legal Case Manager. The presentation briefed that:

**9.2 Presentation on Legal Mechanics of PUCN – Overview of PUCN from statutory and regulatory prospectus.** The Presentation was given by General Counsel and Legal Case Manager. The presentation briefed that PUCN was created by NAVADA Legislature. PUCN is a regulatory agency that ensures utilities comply with laws enacted by the NAVADA legislature. PUCN creates regulations with the scope and authority given by legislature.



## ***DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)***

PUCN handles several different proceedings that is contested cases, uncontested cases, rule-making and investigations. It was briefed that in contested cases the presiding officer acts in quasi-judicial matters. At hearing witness are subject to cross examination by the parties. In these cases, all parties including the regulatory operations and staff are restricted from communicating directly or indirectly from presiding officer, policy advisor and administrative attorneys regarding any substantial issues that relate to the contested case, while briefing about ex-party rules the presenter Legal case Manager appealed that in contested case. This rule helps to ensure due process while enabling the commissioner to make decision based on the substantial evidence that was subject to cross examination and scrutiny.

In case of contested proceeding after party file its application in accordance with general application requirement, it is scanned and uploaded into PUCN imaging system and sent to LCM for review. The LCM reviews the filing for legal sufficiency. If the filing meeting the requisite legal criteria, it will be given docket number and formally assigned to commissioner or hearing officers. In case of an issue with filing the LCM coordinate with applicant to make their filing to the extent possible. Once filing is assigned to a commissioner the proceeding is initiated. Then with 10 days' notice of the filing is issued in combination with notice of pre-hearing conference. Pre-hearing conference is held to simply issue. Participation in pre-hearing conferences and formal hearing is limited to parties that participate as matter of right or have been granted intervener status. The parties may present evidence through witness testimony and cross examine other parties witnesses'. PUCN may limit the scope of party limitation. In many cases the presiding officer will hold continue pre-hearing conference to address issues in the proceeding.

After pre-hearing conference PUCN holds formal hearings which are transcribed by court report. These transcribes are available as public record subject to fee. At the conclusion of proceedings, the presiding officer in consultation with PUCN policy advisor and attorney write draft order which is available at the Docket Info page PUCN website. The draft order to present to full commission at duly noticed agenda meeting. If the draft order is approved. PUCN will issue a final order. If any party disagrees with PUCN final order, the party has 10 business days from the date of order issued to file petition or reconsideration or re-hearing. PUCN has 40 days to deny a petition. If PUCN takes no action the petition considered deny and party may go to District court.





## ***DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)***

They further brief that in case of framing regulation the agency must conduct at-least one workshop before conducting public hearing on proposed regulation in order to solicit comments from interested parties.

### **9.3 Shadow – Docket Management System.**

The delegation was taken to Business Process Services Division (BPS) where the steps involved in docket management which briefed in detailed by BPS staff i.e. scanning of new docket, Type of filing, uploading, TIF file generation and receiving of e-filing & payment system.

In addition to the practical demonstration about docketing a new file the following information was also provided upon query:

- The scanned file in PDF format is pick up by the system which are converted into TIF images. It is necessary that filer are required to submitted each and every documents in grey scale in 8 ½ x 11 inches. PUCN does allow submitting color copy of the documents, maps, etc.
- All paper filing are scanned to AX (Application Extender) – Software Application Manager.
- Confidential material submitted by the filer is maintained by the general counsel.
- The system automatically generates the cover sheet/ summery containing summery of submittal.
- In case of rejection of filing the filer needs to resubmit complete PDF again. Filing can be rejected if any page does not conform to the prescribe specification given for e-filing. In case of rejection a narrative is given for reason of rejection.
- The rejected file normally is not retained in the docket system except in the case where filer has submitted the fee.
- Option of text search is available but limited to caption, case code, company code and utility code which are given on the website.
- It was also brief that two or more similar cases can be joined together as one case.
- After acceptance of new filing the same is placed on daily activity sheet and BPS simultaneous forward to concerned divisions including LCM as well as Chairman for assigning a case presiding officer.



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- Docket routing and status report containing details about the case officer date at which date is assigned, etc. is automatically
- Docket ID is given at the time of scanning to each document and this is also used to linkup PDF files with generated TIF files in Docketing Management System.
- Hardcopy copies are retained till the docket is not closed. As the chances of going back in closed files are minimal.
- Closed docket are filmed after verification of each documents, they destroy after the period of five years.
- PUCN utilize state servers for data storage, web hosting and web based softwares.
- BPS maintains file tracking system manually through Ms. Excel spreadsheets. They also maintain even calendar which is also uploaded on website.



Group photo with Business Process Service (BPS) Division Staff at PUCN, Carson City, Nevada



## ***DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)***

### **10. August 15, 2018, PUCN**

#### **10.1 Presentation by SED, OGRA**



Picture taken during Mr. Imran Ghaznavi, SED(C&MA) Presentation on OGRA's working and performance

On the request of PUCN, the presentation was given again by Mr. Imran Ghaznavi, SED (Media & Corporate Affairs) on working and performance of OGRA. Everyone appreciates the online complaint system of OGRA. During the presentation the Chairman, Commissioners and staff of PUNC was present.



## ***DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)***



Side view of Presentation given by Mr. Imran Ghaznavi, SED(C&MA) on  
OGRA's working and performance

### **10.2 Agenda Meeting**

In the next session, an agenda meeting of PUCN was held. All regulatory cases were decided by the Commission, which comprises of one Chairman and two Commissioners. One Chairman and the Commissioner sit in Carson City and the other Commissioner sits in Los Vegas.

Prior to the Agenda Meeting, a Notice was served for the Public, mentioning therein all the details of the agenda.

Each agenda was presented by the Chairman, the rest of the Commissioners were sought for comments, if any, by the Chairman. Three-minute time before the start of meeting were given to general public for comments. However, it has been told that as per law the Commission is required to seek public comments before every case. However, owing to paucity of time, public comments are sought before and after the agenda meeting. The commission does not conduct administration meeting. Entire function of administration, HR and budget is performed by Executive Director,





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who directly reports to the Chairman of the Commission. All the regulatory meetings are recorded and subsequently uploaded on website on the same day.

### **10.3 Discussion with Industry Participants:**

In the next, session general discussions held with Industrial Participants about Business Process Services (BPS), who were invited to discuss the issue faced by industry in respect of docketing or efilings.

The Comments about the EFR & M (Electronic Filings and Record Management) by the participants are as under:

- Easy to use as service list is available, and one can find search by utility, case type, etc,
- Faster,
- Daily filing report so record can be found from distance through website,
- Easy to track new record,
- Filing with timelessness sometimes creates hindrances,
- Size of files, volumes limitation gray seal maps
- Dislike inability to do laborious search in PDF form. Decision of the commission can't be found in "search text"
- Chronological finding is good
- Film every record and archiving is not colored
- Too much rush on website can also affect search engine. its technical issues
- Document size
- Document colour
- State of law permanent record
- micro filming
  - 1996-2001 not in docketing order chronological order is not there
- Everything on films –permanent record

It was suggested that training of utilities' staff be arranged so as to reduce rejection chances for petitions/cases. Moreover, templates / forms be devised for uniform / consistent reporting.



## ***DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)***

It was further discussed that there is a need to gradually improve DIS software. Moreover, search engines can be contacted. Google can be contacted for improvement of DIS “STATE WIDE IMAGING SYSTEM” as text search is available there.

It was further desired that there is a need to develop a retention policy for website.

It was explained by PUCN that adaption by staff for DIS may take time. Therefore, there is no restriction for staff in respect of printing. They can take print as many as they can, since with the passage of time people tend to like paperless office. Replace entire infrastructure system

It was further informed that it has been maintaining both systems i.e. soft and hard copies in parallel.

It was suggested that mobile application by gas utility for consumer complaints can be lodged.

### **10.4 Complaints Resolution**

Brief details regarding complaint resolution were also shared. The details, as explained, are as under;

- Informal complaints are received through telephones and emails are resolved within 7 working days. PUCN receives around 6,000 informal complaints on annual basis. In 2015, 6,500 informal complaints were received in Commission.
- It was informed that a very few complaints are also received formally, which are referred to the Commission and are resolved within 45 days.
- It was informed that staff record is not a public record, however Commission’s order is part of public record.





## ***DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)***

### **11. August 16, 2018, PUCN**

#### **11.1 Presentation on OnBase system - Future of PUCN System**

OnBase presentation arranged by Nevada State of Library and Archives.

- Support, PDF, Image, video, Audio all can be saved in one file and discoverable from that file.
- Made standards for storage of information so that information can be moved easily from one software to another software.
- Nevada State Library and Archives made DRS site.
- Each agency doesn't need to purchase its own electronic management system as it can use system of NSLA.
- Law allows transferring hard data into electronic data.
- Record is retained at State level, Admin level, department and Project Manager level. Higher you go, the more permanent the record is.
- System automatically identify the files that are no longer needed alongwith legal implications of its deletion, if any.
- Data backup is both in Carson office and Las Vegas. Duplicate data/ system at Las Vegas.
- Data in archival storage is maintained in 02 systems i.e, one in Dark Archives(Proof of original verification) and other for public interface.
- Third party provides support to Library and PUCN.
- OnBase system is connected with Microsoft Outlook 365
- OnBase's Agenda Management has three components i.e. solution, tools and platform which covers all phases of Commission work through its clients such that Agenda Client, Meeting Minutes Client, Web Client, Pre-Meeting module, Meeting Module and Post Meeting Module.
- OnBase is developed by Hyland and approx 70 counties are using it.
- It is fully secured, provide rights management, protection from cyber-attacks are inbuilt, protection from external data unauthorized access.
- Integration and with another domain email system is possible with OnBase system.



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- Hyland, a worldwide company, provide services of software customization. Any county can purchase this system. Hyland will not have access to the data of the organization.
- E-mail can be integrated on this on-base system.

### **11.2 Pipeline Safety**

Mr. Paul Maguire, Manager Engg. Div., gave presentation on pipeline safety in the Nevada State. The details are as under;

- He played two video films/ clips respectively on universal toll-free number “811” and Pipeline damages/ fires (TransCanada Gas Pipeline Blast).
- It was informed that biggest threat to under-ground NG Pipeline network as well as other utilities such as water, sewer and electricity cables etc. is unsafe excavation/ digging by individuals, contractors and companies.
- Nevada is amongst the foremost states, which formulated a procedure to call at 8-1-1 before digging. This has now become a federal law as per NAC 455.160, which has been further elaborated in the State’s regulation NRS 455.140. The PUCN oversees safety of intra state high pressure gas pipelines and distribution network in cities.

### **11.3 Call 811 Before Digging**

The details of law in respect of “call 811 before digging” is as under;

Prior to digging whether inside the house or elsewhere, it is mandatory to call at 811, at least 02 working days before actual digging starts at site. It involves following five steps:

- Survey and Mark the exact location;
- Call at 811;
- Wait for the ticket (valid for maximum 30 days), verify utility response;
- Respect the Mark;
- Dig with care (02 feet away from either side of the line).



### **11.4 Gas Leakage in Municipal Area**

It was informed that in case of gas leakage in Municipal area, following procedure is to be followed;

- It has to be informed at 911 immediately.
- Shut off the gas appliances,
- Inform/ explain the incident other people in the vicinity and vacate the area forthwith, but don't try to rectify it by yourself.
- Gas Utility Company is responsible to undertake repair, cordon off the area, look after the people in distress, after completion of repair of gas leakages, ensure and / communicate residents not to lit fire in the presence of gas (when houses were vacated in emergency, appliances might have been left open) before their appliances are shut off. Gas Utility Companies provide a Shut off main for every 2000 houses, to manage such emergencies. Associations who operate Mechanical Excavators, are briefed about the threat associated with unsafe excavation. Onus of damage to pipelines and life, rests with these contractors.
- Excess Flow Valves (EFV) are incorporated in the network, where incase of gas leakage, it entails high flow of gas in the pipeline segment, the said valve at upstream will automatically shut off to prevent further damage/ loss of gas.
- The State Regulator of course oversees all the above activities being performed by the Utility Companies.

### **11.5 Huge Fires/ Ruptures of High Pressure Transmission Pipelines**

In case of huge fires/ ruptures of high-pressure transmission pipelines, following information was shared with OGRA team;

- Such incidents are to be handled by NTSB (National Transportation Safety Board), under Emergency Response Procedure.
- The role of different agencies is defined in such a scenario.
- The Pipeline and Hazardous Materials Safety Administration (PHMSA) is a United States Department of Transportation agency created in 2004, responsible for



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developing and enforcing regulations for the safe, reliable, and environmentally sound operation of the US 2.6 million miles pipeline transportation.

- To prevent any damages, PHMSA and the State Regulator ensures that the relevant Pipeline Safety Regulation is complied with by the Stake holders/ General Public.
- Under the above regulation, Safe distance (burst radius) from these pipelines has to be maintained by the public living along-side these high-pressure gas lines, which is determined on the basis of pressure of natural gas and the diameter of the pipeline.
- Intelligent Pigging of the pipelines is carried out after fix period of time (07 years) to inspect internal status i.e. corrosion, cracks, pitting and erosion, thickness of pipeline.

### **12. August 16, 2018, PUCN - visit to Nevada State Library and Archives**



Picture taken at Nevada State Library and Archives, Carson City, Nevada



## ***DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)***

OGR team was taken to Nevada State Library and Archives where the team was thoroughly briefed by the management of the library about their working and preservation of old record. It was briefed that all the record pertaining to the Governor Office has been preserved. As part of their SOP, as soon as the Governor tenure is completed all record is sent to library for archiving. The management of the library in coordination with the staff of the governor office decide, which record is needs to be preserved. They have made separate arrangements for maintaining the confidential record. They have developed proper software for maintaining the record/archiving.



Briefing by Incharge on the working of Nevada State Library and Archives, Carson City, Nevada





## ***DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)***

### **13. August 16, 2018, PUCN visit to Firefighting Training Department at Carson City, Nevada**



OGRA's delegation at Gas Fire Fighting Training Facility, Carson City, Nevada

PUCN arranged a visit of OGRA team to place where training was given to fire fighters working in the utilities of Nevada. The briefed the team about the techniques used during firefighting as gas leakages. They further briefed that they also give orientation to the excavator for taking necessary steps before digging site. They also shown material to the team like costumes, gloves, helmet and fire extinguisher they used during firefighting. The team was also provided the opportunity to use fire extinguisher.



On hands Orientation being given to OGRA's delegation on Gas Fire Fighting





## ***DOCKETING & INFORMATION REPOSITORY SYSTEM (DIRS)***

### **14. August 17, 2018, PUCN - visit to Geothermal Power Generation Site near Reno City Nevada**

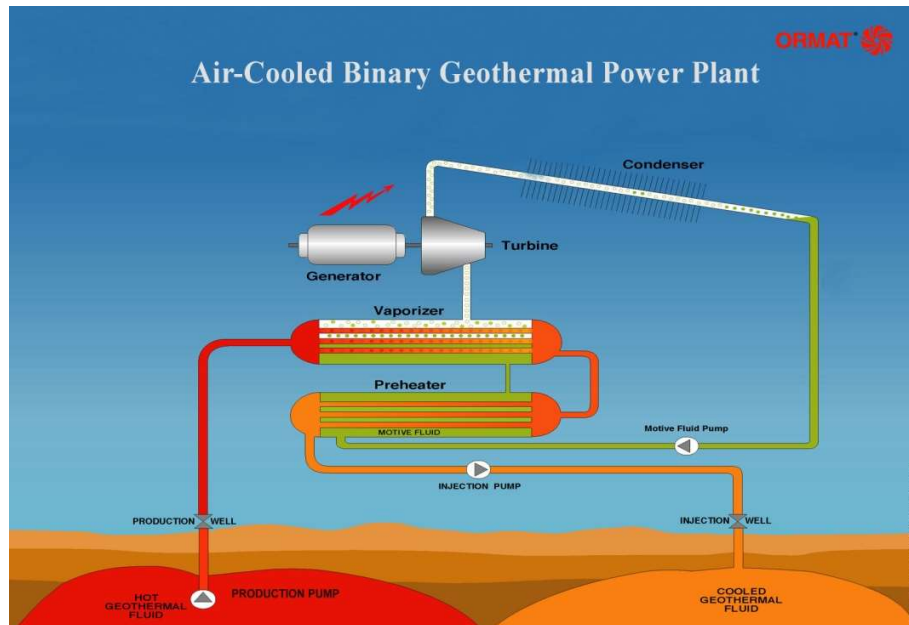


OGRA's delegation group photo during visit to ORMAT,  
Geothermal Power Generation Plant, rural area of Carson City Nevada

On the request of one member of OGRA team PUCN arranged site visit of Geothermal Power Generation Plant located at rural area of Carson City Nevada. ORMAT Technologies, Inc. is a renewable energy company, with decades of experience in geothermal energy. ORMAT's headquarters is in Reno, Nevada, in the heart of the U.S.'s geothermal activity. ORMAT installed the first geothermal power plant in Nevada, in 1984, and also installed, and operates, the newest geothermal power plant in the U.S. (in Nevada) in late 2015.



ORMAT, Geothermal Power Generation Plant, Nevada



Process of Air Cooled Binary Geothermal Power Generation Plant

The manager of the plant briefed the team about the generation capacity the plant, plant life, capital cost and the entire process of power generation. Geothermal power is the production of electricity using the heat originating in the earth's core. Heat from the earth's core is transferred relatively close to the earth's surface where deep pockets of fluid, or geothermal brine, exist. Geothermal brine cannot be used as drinking or irrigation water. We drill into these deep pockets, extract geothermal brine, convert heat from the brine into electricity, and re-inject the brine to be re-heated, and re-used. The power plants on the surface take on many forms, but the most advanced geothermal power plants today are air-cooled (they don't consume any water), emission free, and can provide both baseload and flexible electricity generation. These qualities make geothermal energy a rare type of zero-emission renewable that offers predictable, stable power like coal or natural gas, but can also complement intermittent generation sources such as wind and solar.



### **15. Travelling Issues Faced During the Visit to USA**

Although overall tour was arranged good but still there were few issues which needs to be highlighted as under: -

- a. No orientation session with regard to travelling and training structure was conducted by USAID prior to commencement of the programme.
- b. Multi-Stop itinerary was quite hectic.
- c. During the connecting flight from Frankfurt to Washington D.C, there was not sufficient layover time to board on connecting flight (60 minutes that were also reduced to 45 minutes owing to 15 minutes delayed flight arrival from Istanbul to Frankfurt). Further, the distance from arrival terminal gate to departure gate was quite long and also there were long queues for security clearance. Owing to all these factors, five group members could not catch-up next flight and had to forced stay one night at the premises of Frankfurt airport. After long discussion/procedure/ interrogations by the airline staff, proper accommodation at the hotel within the premises of airport and new tickets on airline cost were provided by Lufthansa Airline otherwise they were just offering pillows n blankets to the group members to sleep on the floors in passenger area of the airport till boarding time to next flight in morning.
- d. Amount per diem given by NARUC/USAID to group members for meals and other incidentals including taxi charges etc. consider revision in the wake of high meal rates and fares. Further 100% per diem payment should be made to the participants at the time of arrival in the shape of debit card instead of payment of only 50% and that too in cash.
- e. Hotel advance amounting to US \$ 300/- at Renaissance Hotel, Columbus was required to be deposited by each individual participant that should had be borne by the NARUC/USAID.
- f. Complimentary breakfast was not provided by the Renaissance Hotel at Columbus, Ohio as was communicated. Even water bottles were required to be purchased from local market or vending machines. The toiletry items such that shaving kit, tooth brush, etc. were also not provided during the stay in hotels which are complimentary in Pakistan's hotels and always inclusive in the room charges.



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- g. Programme was quite tedious as even on weekends the delegation had no time to rest owing to scheduled travelling to other states.
- h. Owing to visa expiry date of August 17, 2018, the delegates had to face unexplainable problems at San Francisco and later at Istanbul airports. At San Francisco on August 18, 2018, the airline denied boarding to all group members as the visa was issued till August 17, 2018 which was expired on August 18, 2018. However, on explaining them that law permits travelling three days after the expiry of visa date, the airline staff after confirmation of law from their seniors and calling Lufthansa Airline head office at Germany they allowed boarding for Germany and Turkey but the boarding passes from Turkey to Pakistan were not issued. For all this process, group had to go back again out of security zone and has re-enter again through immigration/security checkup.
- i. At last stopover in Istanbul, all group members were informed by the Turkish Airline staff that their tickets have been cancelled and asked to consult Lufthansa airline counter. At Lufthansa airline counter they informed that since we arrived barcode sharing through United Airline therefore we should go to United Airline counter which was not present at Istanbul airport. All group members were finally issued standby boarding passes which created confusion and uncertainty in the group that whether they would be able to go to their homeland or not. By going through 3 ½ half hours from one counter to another, only four group members were able to board on flight on standby boarding passes and three members could not board as the flight was overbooked.
- j. The airline arranged the accommodation outside the airport for the three group members who were unable to board but e-visa issuance was required to proceed outside. E-Visa was issued by the system after payment of US\$60/traveler but unfortunately as US visa was expired therefore immigration did not allow them to go outside. There was not communication system available to contact NARUC/USAID and it took further four to five hours till 01:00 am (night) to settle down the issue and get hotel accommodation inside airport on self-payment by the group members, which will be later reimbursed by NARUC/USAID. In short, the mental agony/trauma which these group members suffered from is unexplainable in words.



### **16. Findings with next steps recommendations**

In the establishment of a world-class DIRS, OGRA should consider adopting and enacting guidelines that adhere to sound universal regulatory principles to consistently deliver on its DIRS mandate and achieve its objectives. These cumulative principles that apply directly to regulation and the conduct of the DIRS include:

- Balance
- Objectivity
- Transparency
- Reasonableness
- Fairness
- Consistency
- Predictability
- Accountability
- Efficiency
- Effectiveness
- Integrity

It is essential to conduct necessary due diligence to forecast a detailed two years budget that allows for start-up, continued resources and operations for the DIRS within OGRA. The budget should allow growth, maintenance and technology renovation to include investment into recruitment and training of professional staff, computer hardware and software, office space, data storage, technical equipment, copiers, printers, internet, supplies and materials, and other areas that require real-time, reliability and sustainability in records management.

Develop and schedule professional staff training programs, reinforcement of capacity building and long-term career growth foundations to ensure reliable and sustainable DIRS operations

Objectives, procedures, processes, policies and mechanisms should be designed and carefully implemented to meet all requirements of DIRS.

After the establishment of DIRS, national and localized public outreach campaigns should be conducted with all stakeholders using various forms of media and intercommunication. These campaigns will serve to introduce and discuss the numerous benefits of DIRS, with a focus on more efficiency and better effectiveness in the regulation of the oil and gas industry.



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### **17. DIRS Action Plan**

1. Draft tour report
2. Conduct consultations on the docketing system
  - a. Internal stakeholders
  - b. External stakeholders
3. Draft final report on the docketing system outlining the roadmap for the implementation
4. Final report will provide complete concept of the docketing system including prerequisites for its implementation
  - a. Hardware and software requirements
  - b. Space requirements
  - c. Staff and its training requirements
  - d. Training of all OGRA users that will be interfacing with the docketing system
  - e. Budget defining for the entire activity
5. Timelines – Action Plan
  - a. Finalize Draft Report by 3<sup>rd</sup> week of December 2018
  - b. Stakeholders consultation – 4<sup>th</sup> week of November 2018
  - c. Draft Final Report – 1<sup>st</sup> week of January 2019

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