

REPORT ON DOCKETING AND INFORMATION REPOSITORY SYSTEM (DIRS) 2018-19



**DIRECTION
THEME FOR 2017-18**



Oil & Gas Regulatory Authority
Government of Pakistan



DISCLAIMER

The information contained in the DIRS report is only for the information and may not be used, published or redistributed without the prior approval of Oil and Gas Regulatory Authority (OGRA), Pakistan.

Initially, when this project was initiated, it was funded by United States Agency for International Development (USAID) Pakistan through National Association of Regulatory Utility Commissioners (NARUC) USA. Meanwhile, USAID Pakistan due to some national priorities, withdrew its support from OGRA. Keeping in view the importance of DIRS project to bring-in further transparency, efficiency and good governance in the processes of OGRA. The Authority agreed to complete DIRS project from its indigenous resources. The cost estimates of the project were reviewed/phased out and now the project is being completed in collaboration of National Information Technology Board (NITB), which is arm of the government of Pakistan.





Direction gives clarity to goals, and OGRA being the primary regulator of the midstream and downstream petroleum industry, watches the strategic and critical aspects of the oil & gas sector; giving a clear vision to all the stakeholders whenever the need arises.



“Safeguarding public interest through efficient and effective regulation in the midstream and downstream petroleum sector.”



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Imran Ghaznavi

Senior Executive Director
Corporate & Media Affairs
Team Leader

PICTORIAL RUN THROUGH OF THE STUDY TOUR OF USA ON DOCKETING AND INFORMATION REPOSITORY SYSTEM (DIRS)

OGRA's team comprising of Mr. Imran Ghaznavi, Senior Executive Director (Corporate and Media Affairs/ Team leader), Mr. Muhammad Asad Latif, Mr. Anis Haider Hamdani, Mr. Aftab Alam Khan, Mr. Azhar Nizam, Ms. Tayyaba Ahsan and Ms. Kanwal Akmal visited USA from 04th August 2018 to 18th August, 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.



OGRA's delegation group photo at NARUC, Washington DC, USA

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OGRA delegation photo at FERC, Washington DC, USA



OGRA delegation group photo at PUCO, Columbus Ohio, USA

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Picture outside Supreme Court, Columbus Ohio



The photograph was taken at PUCN, Carson City, Nevada, USA

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Delegation picture taken on 14th August 2018 on Pakistan Independence Day at PUCN, Nevada



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

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The presentation was given to PUCN by Mr. Imran Ghaznavi, SED(C&MA) on the working and performance of OGRA



Side view of the presentation given by Mr. Imran Ghaznavi, SED(C&MA)

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Nevada State Library and Archives, Carson City, Nevada



At ORMAT site office of Geothermal Power Generation Plant, rural area of Carson City Nevada



1. LIST OF ABBREVIATIONS

AEDB	Alternative Energy Development Board
CNG	Compressed Natural Gas
CRPR	Complaints Resolution Procedure Rules
DIP	Detailed Implementation Plan
DIS	Docketing Information System
DIRS	Docketing & Information Repository System
EPA	US Environmental Protection Agency
ERP-P	Energy Regulatory Partnership-Pakistan
ERRA	Energy Regulatory Regional Association
FERC	US Federal Energy Regulatory Commission
GOP	Government of Pakistan
IFEM	Inland Freight Equalization Margin
IT	Information Technology
LNG	Liquefied Natural Gas
LPG	Liquefied Propane Gas
NARUC	National Association of Regulatory Utility Commissioners
NEPRA	National Electric Power Regulatory Authority
OGRA	Oil and Gas Regulatory Authority
PPIB	Private Power Infrastructure Board
PPRA	Public Procurement Regulatory Authority
PUC	Public Utility Commission
PUCN	Nevada Public Utility Commission
PUCO	Public Utilities Commission of Ohio
R&I	Received & Issue Section
SKO	Superior Kerosene Oil
SNGPL	Sui Northern Gas Pipelines Limited
SSGCL	Sui Southern Gas Company Limited
USAID	United States Agency for International Development



2. EXECUTIVE SUMMARY

The purpose of this report is to undertake implementation plan of Docketing and Information Repository System (DIRS) for filing of applications, petitions, rulemakings, regulations, technical standards, investigations, and complaint resolutions and the mechanics of records management for all oil and gas regulatory matters that are filed with the Oil and Gas Regulatory Authority (OGRA). The rationale is to clarify the OGRA records management system with a focus on efficiency and effectiveness in data and information management. Docketing is the filing, collection, record-keeping, storage, printing, distribution, scheduling & maintenance of information & data for all public utility matters that concern the legal & regulatory functions of any oil and gas utility companies.

The Information Repository System goes hand in hand with Docketing, as it allows for safe-keeping and storage, as well as easy access to documents and files as needed or required. This report will provide information related to findings and recommendations that the team learnt from US study visit to implement Docketing and Information Repository System (DIRS) for OGRA's capability improvement for the collection and storage of data and information. The ensuing phase of this Task is to prepare for the creation of the Docketing and Information Repository System (DIRS) and its functions that reflect international standards and practices for docketing and records management.

2.1 OGRA's Regulatory Decision-Making Process

The regulatory framework is a quasi-judicial for issuance/ renewal of licenses, tariff setting, disposal of appeals and maintenance of proper standards and quality of services by the licensees. Therefore, the Authority is vested under the Ordinance and Rules with the power of delivering decisions. The Authority exercises the power of original jurisdiction in case of petitions filed for the grant of licenses for various types of regulated activities, setting of tariffs which include determination of estimated and final revenue requirement of natural gas transmission and distribution licensees at the beginning and the end of each financial year respectively, and also its review during the year. In addition to natural gas, the Authority is empowered to grant licenses for Oil, CNG, LPG and LNG related regulated activities. The Authority is also vested under the law with the appellate power against the decisions of its delegates and power to review its own decisions.

All petitions are examined in the light of relevant rules, which, inter-alia, involve interactive process of consultation with all stakeholders including consumers through public hearings. This provides the general public an opportunity to put across its point of view on the cost and quality of service provided by the utility companies. This enables the Authority to have the benefit of a wider range of information and all shades of opinion, which it evaluates before reaching a decision.

The Powers & Functions of the Authority as embodied in the Ordinance are as summarized:

- Exclusive power to grant, amend or revoke licenses for regulated activities and enforce compliance of license conditions to promote efficiency, cost effectiveness, and best practices to ensure superior conditions of environmental, health, and safety and service standards. The regulated activities are:
 - o **Natural Gas**
Construction / Operation of pipelines or storage facilities or other installations
Transmission

Distribution

Sales

- o **Oil**

Construction / Operation of refinery, pipelines, storage facilities, blending facilities and installations

Marketing and storage of refined oil products

- o **Liquefied Petroleum Gas (LPG)**

Construction / Operation of pipelines, production or processing facilities, storage facilities and installations

Production, storage, filling and marketing

- o **Compressed Natural Gas (CNG)**

Construction / Operation of installations including testing or storage facilities.

Transporting, filling, marketing and distribution

- o **Liquefied Natural Gas (LNG)**

Construction / Operation of LNG receiving, re-gasification terminals

Construction / Operation of LNG storage facilities

Transportation, filling, marketing and distribution of LNG

- Determine in consultation with the Federal Government and the licensees, a reasonable rate of return to the natural gas licensees
- Determine the revenue requirement of gas utilities covering the cost of gas, transmission and distribution cost and the prescribed return
- Develop and enforce performance and service standards
- Prescribe procedures and standards for investment programs of the gas utilities and oversee their capital expenditure to ensure prudence
- Resolution of complaints and disputes between a person and a licensee or between licensees
- Enforce standards and specifications for refined oil products as notified by the Federal Government
- Implement policy guidelines of the Federal Government, issued under Section 21 of the OGRA Ordinance subject to their being consistent with the provisions of the Ordinance.
 - o OGRA is granted: Exclusive power to employ officers, staff, experts, consultants, advisors and other employees on such terms and conditions as it may deem fit
 - o Exclusive powers to decide upon all matters in its jurisdiction

2.2 The Concept of DIRS

The initial meeting between OGRA and NARUC was conducted on 2 January 2018. Discussions were based on NARUC's cooperative agreement with USAID, which encouraged NARUC's cooperation with Government of Pakistan regulatory authorities. NARUC was encouraged to provide technical assistance, training and capacity building to OGRA on regulatory affairs.

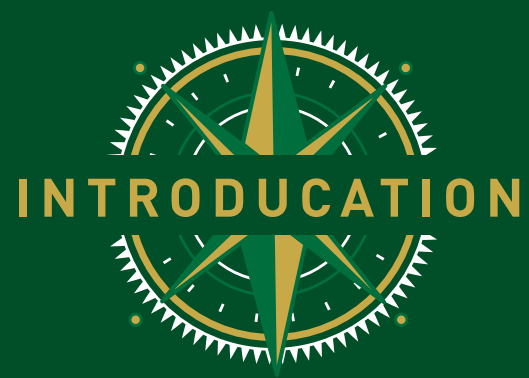
Currently, records management is not centralized. Record management is associated with the OGRA's each concerned Departments. R&I Section being part of Administration Department receives and issues the incoming and outgoing mail of each Department. In order to ensure improved communication among the departments, it was considered imperative to develop e-office. It will not only ensure timely completion of the tasks performed by various departments but also enables the members of the Authority to directly monitor the performance.

Furthermore, Administration Department observes, ensures and executes the rules, regulations, procedures and decisions of the Authority pertaining to procurement & organizational support services under the approved budget and in accordance with PPRA Rules. The Administration Department also provides organizational support services for all employees and units of OGRA's head office and regional offices. The Administration Department conducts different types of procurement, services, supplies, and materials. The R&I section, Transportation section, the OGRA store, and Reception Desk (including security services) are being managed by the Administration Department. Additionally, the Department executes the following: preparation of Tender Notices, pre-qualification of firms, auction matters, procurements of machinery, furniture & fixtures, payment of utilities bills, security, janitorial and courier services, fire & group insurance claims, rent of office building, Contract/Lease agreements, stationery, printing material, hiring of consultancy services, and purchase of IT hardware and software. The Administration Department serves as the liaison with other procurement and civic agencies for contracting, execution of work and timely payment of invoices. It is also emphasized that Fiber Optic internet connections having good bandwidth will be installed in OGRA's all four regional offices i.e. Karachi, Lahore, Peshawar and Quetta for connectivity of DIRS/ e-office with OGRA's Head Office, Islamabad at the time of project implementation.

The C&MA Department has taken lead in establishing Digital Knowledge Database/Bank in order to improve availability of data and records management by the utilization of technology and information systems in the conduct of day-to-day business. It also improves communications with all other OGRA stakeholders and promotes automated solutions, such as document imaging and workflow, to create a more dynamic workplace and decrease obstacles in completing tasks. On the implementation of DIRS the Human Resources Department will be utilized in a much better way to provide greater transparency and real time decision-making capability. All data and information will be maintained in docketed case files.

2.3 The DIRS Application Benefits

- Creates an integrated system for improved reporting and provide an efficient streamline of business processes and workflows.
- Provides immediate independent access of information to the Authority/head of departments/case officers for quick review of all relevant documents.
- Reduces the need for hard copies.
- Provides increased and improved web access and self-service for employees.
- Enhances information sharing across departments.
- Reduces redundant data entry processes.
- Better use of technologies and infrastructure benefits.
- Eliminates dependency on legacy system technologies.
- Establishes a high level of system integration.
- Provides 24/7 system availability.
- Ensures individual case records that serves as the basis for Authority decision-making.
- Allows for the safe-handling and storage of case files and dockets.
- Provides for security of documents.
- May be used as a source of revenue for the sale of copied documents.
- May provide flexible working hours in future.



3. INTRODUCTION

3.1 Background

At the beginning of January 2018, Oil and Gas Regulatory Authority (OGRA) and the National Association of Regulatory Utilities Commissioners (NARUC) conducted an initial meeting to discuss opportunities for collaboration, as supported by the USAID-funded Energy Regulatory Partnership-Pakistan (ERP-P). NARUC's cooperative agreement supports technical assistance, training and capacity building on regulation and policy in Pakistan as the country shifts toward more transparent, coordinated, strengthened and effective regulation of its electric power and natural gas and oil sector. This cooperative agreement identified OGRA, National Electric Power Regulatory Authority (NEPRA), and Alternative Energy Development Board/Private Power Infrastructure Board (AEDB/PPIB) as potential ERP-P counterparts with NARUC.

Meetings progressed in February, 2018 through June, 2018, resulting in friendship and trust among the two organizations. Discussions proceeded on OGRA priorities that required changes and movement towards: (i) the latest updates of international regulatory practices, standards and reforms; (ii) regulatory strengthening of processes and procedures; (iii) an introduction of technologies that bring forward more efficiency and better effectiveness; and (iv) a greater focus on specialized technical assistance, training modules for job performance, capacity building for sustainable management and operations, and career path growth that provides OGRA employees with a challenging future in regulation. Four Tasks were initially proposed as drafts to Detailed Implementation Plans (DIPs), which mostly required initial assessments of the subject areas.

This report covers the Task 1-0 Limited-scope Assessment Phase for DIRS, which takes into account the following areas:

- Review and analyze the existing procedure of handling dockets that are originally submitted to the OGRA **Receive and Issue (R&I) Section**. It will take into account how filed dockets flow within OGRA, including timing and scheduling of cases. It will report on the current hardware and software systems that are in-place and the methods practiced for the security and storage of information and data.
- Meet with an OGRA's **focus group of employees** to discuss their experience, ideas and proposals to conceptualize and build a more efficient and effective docketing and records management system.
- Meet with a **licensee and stakeholder focus group** of selected individuals and organizations to learn their experience, ideas, desires, reasons and suggestions for timely access to docketing and records management information and data.
- Conduct a quick literature review of the **regulated oil and gas industry** (midstream and downstream) and present summary findings on the international standards and practices of the timely management of vital data and information.
- Identify basic needs for DIRS Department training, capacity development and public outreach activities with the approval of Authority.
- Provide a summary of findings with proposed recommendations for next steps.

3.2 Overview of the OGRA

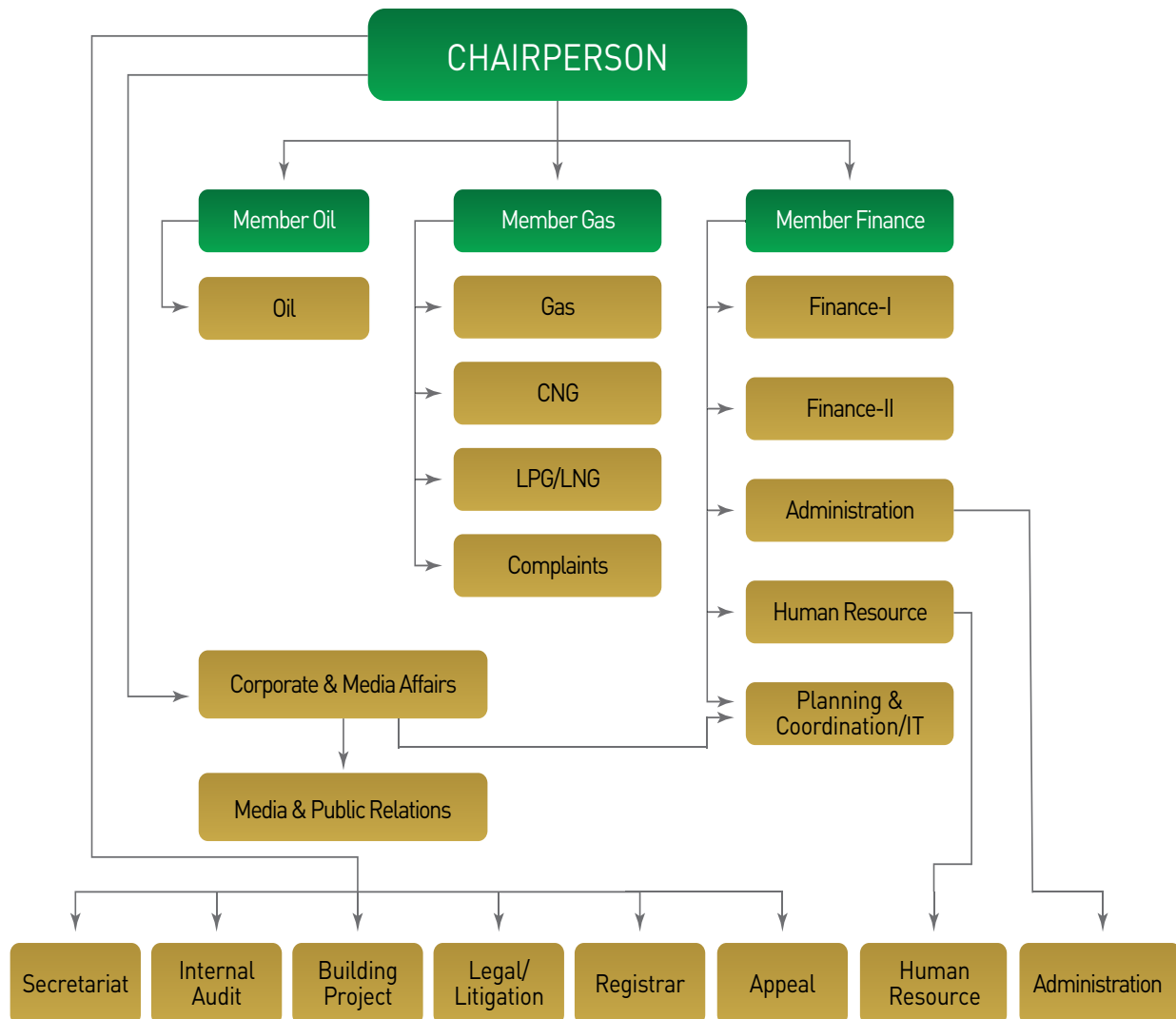
OGRA was established by the GOP on March 28, 2002 in pursuance of the Oil and Gas Regulatory Authority Ordinance, 2002. The objective of OGRA is to **“foster competition, increase private investment and ownership in the midstream and downstream petroleum industry, protect the public interest while respecting individual rights and provide effective and efficient regulations”**.

OGRA's Authority comprises of Chairperson, Member (Gas), Member (Finance) and Member (Oil). There are 259 employees of OGRA including nine senior management employees. OGRA head office is located in

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Islamabad with four regional offices that serve Karachi, Quetta, Lahore and Peshawar. Figure A shows the OGRA organization chart, comprising 15 departments.

Figure A: The OGRA Organization Chart



3.3 OGRA Powers and Functions

The powers and functions of the Authority are cited in Section 6 of the OGRA Ordinance. Overall, the Authority has the exclusive power to grant licenses for regulated activities to qualified companies (Licensees) that have operations in the Natural Gas, Compressed Natural Gas (CNG), Liquefied Petroleum Gas (LPG), Liquefied Natural Gas (LNG) and Oil (both crude and refined petroleum products) sectors.

Examples of regulated activities of OGRA Licensees include:

- Construction and installation of pipelines,
- Development of the transmission and distribution network,
- Sale and storage of Natural Gas,

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- Installation, production, storage, transportation and marketing of CNG, LPG and LNG,
- Establishing and operating refineries,
- Construction and operations of storage facilities,
- Lubricant oil blending plants and marketing of refined petroleum products in the Oil sector,
- Determination of tariff for its licensees,
- Filing annual reports with OGRA,

Major regulatory functions of OGRA are represented by the following:

- Draft and adopt rules, regulations, policies, procedures, standards and reports,
- Specify performance standards and service standards of Licensees,
- Administer, enforce and certify standards for any regulated activity,
- Specify and review standards for the equipment and materials to be used in undertaking any regulated activity,
- Promote effective competition and ensure the observance of efficient practices,
- Make decisions on regulatory issues, allow for petitions and appeals,
- Monitor and ensure compliance by Licensees,
- Take enforcement actions, issue show cause notices and order penalties for violations,
- Determine revenue requirement, prescribed prices of natural gas utilities, and notification of prescribed and consumers sale prices,
- Determination of well-head prices,
- Notification of LPG prices,
- Determination of RLNG prices,
- Compute and notify ex-refinery price of Superior Kerosene Oil (SKO), including ex-depot prices of SKO & E-10 and Inland Freight Equalization Margin (IFEM) for all products,
- Monitor the pricing of petroleum products under the deregulated scenario,
- Enforce technical standards and specifications (best international practices) in all the regulated activities,
- Prescribe a uniform system of accounts and accounting practices for all licensees,
- Resolve public complaints, disputes and other claims against licensees and between the licensees
- Ensure the provision of open access, common carrier and common operator in the public interest,
- Prescribe, approve and regulate tariffs for regulated activities pertaining to natural gas and operations of the Licensees for natural gas and marketing of refined oil products
- Allow for a reasonable rate of return for each natural gas Licensee,
- Provide oversight of capital expenditures by natural gas Licensees,
- Prescribe procedures and standards for investment programs by Licensees for natural gas,
- Enforce standards and specifications for refined oil products.

3.4 Rules, Regulations, Standards & Reports

OGRA has been regulating oil and gas sectors with following legal framework , which mainly include:

- Rules
 - o Third Party Access Rules. 2018,
 - o Pakistan Oil (Blending, Refining, Storage and Marketing) Rules,
 - o CNG Rules, 1992

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- o LPG Rules, 2001,
 - o Natural Gas Licensing Rules, 2002,
 - o Natural Gas Tariff Rules, 2002,
 - o OGRA LNG Rules, 2007
 - o OGRA Budget Committee Rules, 2004
- Regulations
 - o Complaints Regulation Procedure Regulations
 - o Natural Gas Uniform Accounting Regulation, 2003
 - o OGRA Financial Regulation
 - o Natural Gas Well Head Price Regulation,
 - o Natural Gas Transmission (Technical Standards)/Regulations
 - o Natural Gas Distribution (Technical Standards)/Regulations
 - o OGRA Service Regulation
- Standards
 - o Oil Transportation (Pipeline Technical Standards)
 - o Technical Standard for petroleum industry retail outlet.
 - o Performance and Service Standard for gas utilities
 - o Technical Standards for Petroleum Industry (Road Transport Vehicles, Containers and Equipment Used for the Transportation of Petroleum Product)
 - o Technical Standards for Oil Refineries
 - o Standard Technical Specification for Equipment and Material used in Natural Gas Transmission Network, 2009
- Reports
 - o OGRA Annual Report
 - o Petroleum Industry Annual Report
 - o Tariff Regime for Natural Gas Sector in Pakistan
 - o Unaccounted for Gas Study Report and decision thereon

3.5 Legal Basis for DIRS

To summarize, all of OGRA regulated oil and gas activities require a centralized records management database system. Filings of data and information shall be made available for inspection by Licensees and other stakeholders. Subject to Section 38, Section 19 (1) of the OGRA Ordinance states that, “the Authority shall maintain public files that shall be kept open in convenient form for public inspection and examination during reasonable business hours, on payment of such reasonable fees as the Authority may prescribe”. Section 19 (2) goes on to specify “Subject to procedures and standards for confidentiality prescribed by the Authority, the Authority’s files shall include all relevant documents to be maintained and indexed as the Authority deems fit”. Section 38 covers the treatment of confidential information for those that are not legally entitled to that information.

OGRA and NARUC have agreed to pursue the development of DIRS that will serve the public requirement in a timely, efficient and transparent manner. Current system of OGRA for records management is old and needs to be updated in this fast-changing world. There is not only dire need for technological replacement but also more resourceful processes and procedures needs to be established, so that all stakeholders can have access to records, as per their need.



4. CURRENT SITUATION

This report is composed of a limited-scope assessment of OGRA's current docketing practices and capabilities to track all regulatory compliant documents, filed with OGRA. At this time, all documents are submitted to the Received and Issue (R&I) Section by licensees and rest of the stakeholders. These are opened/unopened documents are registered, recorded and forwarded on the same day to the assigned department(s) for handling the specific matter. Licensees include organizations that have been awarded a license by OGRA to legally conduct business in CNG, midstream and downstream crude oil and refined oil, LPG, LNG, and natural gas. As a broader group, stakeholders may include any entity or person that is involved in OGRA regulated sectors, including customers, suppliers, services, investors, governments, media and others. This assessment profiles the general current status of OGRA's existing procedure for docketing and provides findings and recommendations for restructuring this procedure in order to meet better international standards and practices while ensuring more efficiency and better effectiveness.

Based on the assessment findings and recommendations, the next step is to steadily undertake a world-class Docketing and Information Repository System (DIRS) in a phased-out manner at OGRA, head office, Islamabad. DIRS will initially concentrate on standard regulatory filings required by OGRA for oversight of gas and oil natural sector, i.e. licensing, tariff, complaints handling, and reports' preparation etc. After accomplishing this stage, OGRA shall intend to further grow the DIRS as a central system for the repository of all relevant records. This shall ultimately serve as hub of knowledge that includes researches, studies, analysis, findings, reports, documents and other publications. This shall not only benefit Pakistan's to attract investments but also provide a deep understanding of the development occurred in these sectors through every phase of its lifecycle. The implementation of the assessment findings and recommendations shall provide complete details in respect of timing, future required steps, sources for funding, resources including technologies, technical assistance and training. It is anticipated that DIRS will be centralized with the responsibility of the management for administration of documents and electronic filings submitted by licensees and stakeholders. OGRA in certain cases mainly relies on the documents submitted and handling of docket proceedings thereon.

A partial list of DIRS responsibilities includes: receipt of documents, analysis, validation, collection, date and time stamped, record, file, storage, distribution, copy, scan, protect, storage, and archive all forms of data and information. The process is subject to oil and gas sector regulations. This may incorporate hard-copy and electronic submittals of petitions, comments/interventions thereon, license applications, appeals, complaints, decisions, official records, and other related data and information that falls into the list of distinct DIRS categories. Upon receipt of request from any stakeholder, it must be docket first. Once a case docket has been created, the same shall be forwarded to all concerned for taking necessary action at their end. OGRA, as per the law, shall decide to choose next actions including public hearings, legal and technical testimony on the merits of the filed docket before an Authority decision is determined. Decisions of the Authority are based upon a majority consensus of the Chairperson and the appointed Members. Furthermore, Authority decisions must be determined publicly, written and signed by the Authority, and confined to the limitations of the record of evidence as presented in the case docket. Printed hard copies of Authority decisions must be published and made available for distribution to stakeholders and all affected parties. The same is also uploaded on official website of OGRA.

The protocol and procedure will be established to allow all Licensees and stakeholders to have timely access to all docket records and filings. OGRA shall maintain an active public record of daily DIRS activities and be responsive for all requests for copies of docketed filings. According to regulations, certain exceptions

and waivers can be requested by licensees and stakeholders for maintenance of confidential data and information filed in a docket.

As the regulatory body, OGRA has multiple regulatory functions over the variety of sectors that operate in the midstream and downstream oil and gas industry. Much of these functions require a records management system that is readily available in a real time basis, accurate and responsive to all information and data demands, and is not limited to the size or category of each particular case docket.

C&MA Department has taken the initiative with the approval of Authority to executive DIRS project with the representative of National Association of Regulatory Utility Commissioners (NARUC) and signed MoU and framed ToRs for collaboration between OGRA & NARUC/ USAID. The entire DIRS Project is being under taken by C&MA Department from Concept to till its final Execution and for that purpose Senior Executive Director head of C&MA Department has been nominated as team leader by the Authority.

The main functions of Corporate & Media Affairs Department are to build and sustain positive perception/ image for the organization as a progressive Regulatory Authority of Pakistan's Energy Sector, create awareness of its actions in public interest and sensitizing it's direct and indirect stakeholders about rules/ regulations and their compliance in national interest. To keep abreast the stakeholders about the policies/ actions of the organization on regular basis and to build ownership as well as to bridge the communication gap, establishing and executing major goals and objectives for OGRA, to implement policies established by the Authority, to provide leadership, direction and guidance over Organization's activities. To analyze and evaluate the operational effectiveness of the organization.

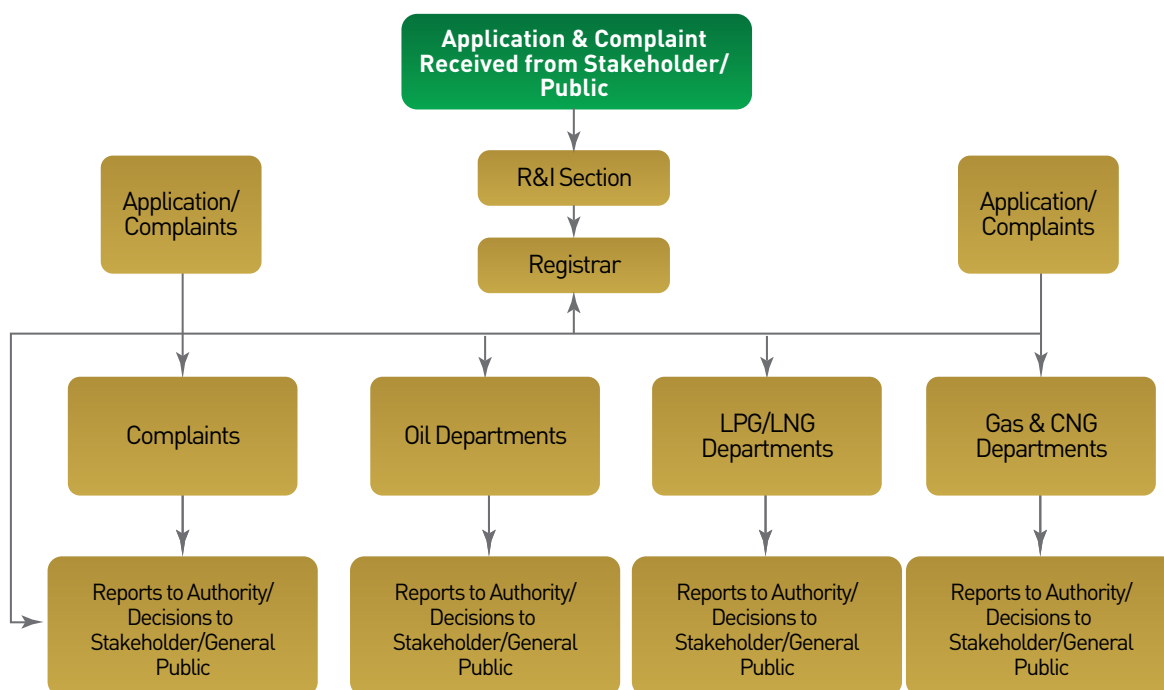
4.1 General Synopsis of Records Management

OGRA's current records management system is difficult to track and maintain timely filings as the case dockets lack consistency in their treatment. Many of the filings are not linked to a dedicated IT system and are maintained in either electronic and/or hard-copy files. They may not be assigned specific case docket numbers and frequently they are not resolved in a timely manner, due to many reasons (priorities, misplacements of materials, too many assignments, need for more detailed information, lack of data, misrepresentation of filings content, etc.). OGRA recognizes that a records management system needs to be well-derived in a step-by-step process, whereby rules, regulations, policies, processes and procedures are thoughtfully developed, continually evaluated, carefully monitored and closely conducted. Because of the concerns in the receipt of case filings, OGRA needs to design and build a dedicated hardware and software system that can be functionally responsive to analyze data and information as needed in real time. Upgrades in technology improvements are important, but just as important is developing services that are provided by dedicated OGRA staff that is receptive to all stakeholder requirements with data and information handling, retrieving, copying and storage capabilities.

4.2 Existing Procedure of Handling Cases

- i. Initial applications/ Complaints are received in R&I Section. R&I diarize the same manually and forward to the concerned department/addressee on the same day, by getting acknowledgment on the diary register.
- ii. Applications/ Complaints relate to CNG, Oil, LPG/ LNG and Gas sectors.

Flow Chart of Existing Procedure



a. Complaints Handling Procedure

- i) The complaints lodged in OGRA mainly pertain to Over Billing, Connection /disconnection of service, Gas Theft/ Meter tampering, Delay in provision of gas connection, Low pressure of gas, Discriminatory practices of the licensee etc. The complaints are accordingly dealt in as per Section (3) of CRPR, 2003.
- ii) Initial assessment is made by the Registrar Office within 10 days of the receipt of the complaint. If the complaint does not meet the requirements mentioned in Section 4 of CRPR, 2003, Complainant is informed regarding rejection of his complaint by the Registrar Office, accordingly.
- iii) Accepted Complaint are forwarded to Complaints Department. The Designated Officer (DO) of the respective area forwards a copy of the complaint to the licensee (SNGPL/SSGCL) under section 2(d) and (7) of CRPR, 2003 for a comprehensive reply/report thereon within 15 days.
- iv) The (DO) while considering the response of the licensee, issues a decision or arrange a hearing/meeting between the complainant and the licensee and issues a decision within 7 days after conducting the hearing/meeting accordingly.
- v. As per section 8(3) of CRPR, 2003, the DO may grant temporary injunction to the complainants. However, a decision against the complaint has to be issued within 90 days of admission of complaint as per Section 8(2) of CRPR, 2003.

4.3 Matters Pertaining to Registrar Office

a. Appeal Cases Regarding Complaints

- i) If the complainant or the licensee is not satisfied with the decision issued by the DO, either party may appeal against the decision to the Authority within 30 days under Section 12 of the Ordinance. As per OGRA's Ordinance, the appeal has to be finalized within 90 days of its submission.

- ii) The Registrar Office after admitting the appeal, forwards the same to the respondent for comments to be submitted within 15 days. After receiving the comments, the Registrar Office in consultation with the Authority, fix the date for hearing and issue notices to both the parties.
- iii) The Authority, subject to the completion of quorum, conducts the hearing and issue decision within 7 – 15 days of the hearing. However, it has been noticed that a number of appeals are lying pending

b. Tariff Related Matters

- i) Registrar Office receives petitions regarding Estimated Revenue Requirements of Gas Utilities i.e. SNGPL & SSGCL, generally during the months December – February of every year.
- ii) Registrar Office examine the same as per rules/regulations and simultaneously forwards the petition to the Gas & Finance Departments for their inputs. Once the preliminary documentations and formalities are fulfilled, the Registrar presents the case before the Authority for formal admission of the petition.
- iii) After admission, the Registrar Office, while giving salient features of the petition, serves public notice in the leading newspapers, seeking comments from the interested/affected parties within 15 days of the publication of the notice.
- iv) On receiving the comments, the Registrar Office, in consultation with the Authority, announces public hearing giving minimum time of 15 days.
- v) Once the public hearing is done, the Gas Department prepares draft decision for the Authority and forwards the same to the Finance department for their input. The Finance Department after incorporating their input, submits the decision to the Authority for approval/ signatures.
- vi) Once the decision is signed, it is forwarded to the Registrar Office for issuance to all the concerned stakeholders. The whole process generally takes around 6 months to finalize.
- vii) The Gas Utility Companies normally file review motions on receiving the decision which is finalized by the Authority within 1-2 months and registrar office accordingly convey the decision.
- viii) The Registrar Office also receives petitions for Final Revenue Requirements of the Gas Utilities which are finalized within 1-2 months.

c. Licensing Related Matters

- i) The Registrar receives applications for grant of licenses in the Natural Gas Sector including RLNG, Flare Gas and Installation of Oil Pipelines.
- ii) Registrar Office examines the applications as per rules/regulations and simultaneously forwards the same to the concerned technical departments for their inputs. Once the preliminary documentations and formalities are fulfilled, the case is presented before the Authority for formal admission of the application.
- iii) After admission, the Registrar Office, while giving salient features of the application, serves public notice in the leading newspapers, seeking comments from the interested/affected parties within 15 days of the publication of the same as well as announcing the date of public hearing.
- iv) Once the public hearing is finalized, the Registrar Office prepares draft decision for the Authority and draft license in consultation with the concerned technical department which is submitted to the Authority for approval/signatures.
- v) Once the decision is signed by the Authority, it is forwarded to the Registrar Office for issuance to all the concerned parties. The entire process takes around 6 months to finalize.

- vi) The Gas Utility Companies normally file review motions within 1 of receiving the decision of the Authority and registrar office accordingly convey the decision accordingly.
- vii) The Registrar Office also receives petitions for Final Revenue Requirements of the Gas Utilities which is finalized within 1-2 months.

4.4 CNG Licensing Procedure

- i) Applications regarding renewal/extension of CNG (Production and Marketing) License under Rule-7 of CNG (Production and Marketing) Rules 1992 are received along with supporting/requisite documents & fee.
- ii) Analysis is made as per CNG Rules 1992/ Policy/ Regulatory Frame work within two weeks.
- iii) Deficiencies (if any) are conveyed to applicant within a week.
- iv) Upon completion of all the prerequisites, the case is placed before the Authority for decision within two weeks.
- v) Decision of the Authority is conveyed to the applicant within a week.

4.5 Oil Sector

- i) Applications for **Establishment/ Construction of Oil Marketing Companies, Oil Refineries, Pipeline Companies, Lube Oil Blending/ Reclamation Plants, Lubricant Marketing Companies, Oil Storage Companies & Oil Testing Facilities** received on the prescribed format along with supporting/requisite documents & fee as per Schedule-II of Oil Rules 2016 are analyzed as per rules/ policy within 15 working days.
- ii) Deficiencies (if any) are conveyed to applicant within 6 working days for removal by the applicant within a period of 30 days
- iii) upon completion of all the prerequisites case is placed before the Authority for decision within 7 working days.
- iv) Decision of the Authority is conveyed to the applicant within 5 working days.

4.6 License Procedure for Operation of Oil Marketing Companies, Oil Refineries, Pipeline Companies, Lube Oil Blending/ Reclamation Plants, Lubricant Marketing Companies, Oil Storage Companies & Oil Testing Facilities

- i) Upon receipt of progress regarding completion of work program/ plan and NOCs, case is analyzed and Third-Party Inspector is appointed to conduct Physical Inspection. This process takes around 30 working days.
- ii) Deficiencies (if any) are communicated to applicant within five (5) working days.
- iii) Upon removal of deficiencies by the applicants, re-Inspection is conducted within 15 working days.
- iv) The case is placed before the Authority for decision within 7 working days after completion of all the prerequisites.
- v) Decision of the Authority is communicated to the applicant within five (5) working days.

4.7 LPG Sector

- i) Application regarding **Construction License for LPG Production/ Extraction, LPG Air Mix, LPG Storage and Filling and LPG Auto Refueling Facilities** received as per format along with supporting / requisite documents & fee as per LPG Rules-2001 is analyzed within two weeks.
- ii) Deficiencies (if any) are conveyed to applicant within one week.
- iii) Third Party inspector is appointed to conduct inspection within four weeks after removal of deficiencies as above.
- iv) Applicant is informed about the matters of concern pointed out in the third-party inspection within one week.
- v) The case is placed before the Authority for decision within one week after completion of all the prerequisites.
- vi) Decision of the Authority is communicated to the applicant within five (5) working days.

4.8 Marketing License Procedure for LPG Production/ Extraction, LPG Air Mix, LPG Storage and Filling and LPG Auto Refueling Facilities

- i) On receipt of request for pre-commissioning inspection from the licensee, examination is made under as per LPG Rules / Policy within two weeks.
- ii) In case of shortcoming in the Project Proponent, the same is conveyed within one week.
- iii) Third Party inspector is appointed to conduct inspection within four weeks after completion of all the prerequisites.
- iv) On receipt of satisfactory Inspection Report, the case is presented before the Authority for the decision within one week.
- v) Decision of the Authority is communicated to the applicant within one week.

4.9 Provisional License Procedure for LNG Facilities

- i) Application received by Project Proponent under the provisions of Rule 33 of LNG Rules, 2007 is examined within 14 working days.
- ii) After completion of all the formalities, the case is placed for Authority Decision within one week.
- iii) Decision of the Authority is conveyed to the applicant within one week.

4.10 License for Construction of LNG Facilities

- i) Provisional License is granted for a period of one year. Within this period the licensee has to submit application for grant of construction license fulfilling all formalities under Rule 4 (3) of LNG Rules 2007.
- ii) After in house evaluation, the Authority appoints a consultant under Rule 31(i) of LNG Rules, 2007 within 14 working days who submits report within 30 days.
- iii) After admission, the Registrar Office, while giving salient features of the petition, serves public notice in the leading newspapers, seeking comments from the interested/affected parties within 15 days of the publication of the notice.

- iv) On receiving the comments, the concerned department, in consultation with the Authority, announces public hearing giving minimum time of 15 days.
- v) After the Public hearing as above, the concerned department submits the case to the Authority for approval within a week.
- vi) On receipt of the decision of the Authority, the same is conveyed to the applicant within one week.

4.11 Procedure for Operational License of LNG Facilities

- i) Construction license is granted for two years. The Authority appoints a consultant under Rule 3(i-ii) of LNG Rules, 2007 after completion of construction by the licensee.

The Authority may issue Operation License within the shortest possible time upon completion of all prerequisites as per rules and a confirmation from the OGRA consultant that project is in compliance with all requisite standards and the provisions of OGRA's ordinance, LNG policy, LNG rules, and has been successfully completed in line with the internal standards/ best international practices.

5 GENERAL MECHANICS FOR DOCKETING

Some of the ideas and concepts that were considered from this literature review include:

- The Docketing Department has a dedicated central office in the PUC, which functions as the primary location for the submission of information & data on all PUC matters
- Docketing Department working hours are Monday through Friday 9:00-18:00
- Docketing is the filing, collection, record-keeping, storage, printing, distribution, scheduling & maintenance of information & data for all public utility matters that concern the legal & regulatory functions of the PUC
- All information & data that require PUC attention must first be filed with the Docketing Department to the attention of the appointed Docketing Officer
- Any stakeholder may file information & data in conformance with published Commission case-filing regulations & procedures
- Access within the Docketing Department to filed information & data is limited by Commission order & closely guarded to ensure case record protection
- Requests for confidential treatment of information & data must be made at the time of filing & subject to approval by the Commission
- When submitted, either electronically or in hardcopy, the Docketing Officer stamps all documents with the date & time received & assigns it a Case Code for the docket
- All information & data that is not confidential can be printed in hardcopy and sold (not electronically) by the Docketing Officer for public access & use by all stakeholders
- Filing information & data in the Docketing Department for a Case Code is subject to making an application according to Commission case-filing regulations & procedures
- Case filings that don't fully meet the Commission regulations and procedures may not be considered by the PUC as part of the Docket for proceedings
- The Docket Information System (DIS) provides application forms, annual reports, method of case-filing, docketing schedule, acceptable case-filing formats (PDFs are preferred), and other docket filing information
- At least five (5) hardcopies of all information & data must be filed, as well as a complete electronic copy
- After received by the Docketing Officer the case filing will be date & time stamped & assigned a Case Code
- Once a Case Code is assigned to a case-filing, the Commission is subject to ex-parte conditions & relations with all stakeholders until a decision is publicly announced by the Authority

5.1 Example of a Typical Docket Case Coding System

- Cases filed with the PUC are identified by a four-element coding system. The coding elements are the following:
 - o Year in which the case was filed
 - o Sequence in the filing
 - o Industry code
 - o 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 PUC
- For example, a natural gas utility applying for a license in 2015 would be the 37th filing in the Docketing Department & coded as follows:

15 - 037 - GAS - ALE
YEAR - SEQUENCE - INDUSTRY - PURPOSE

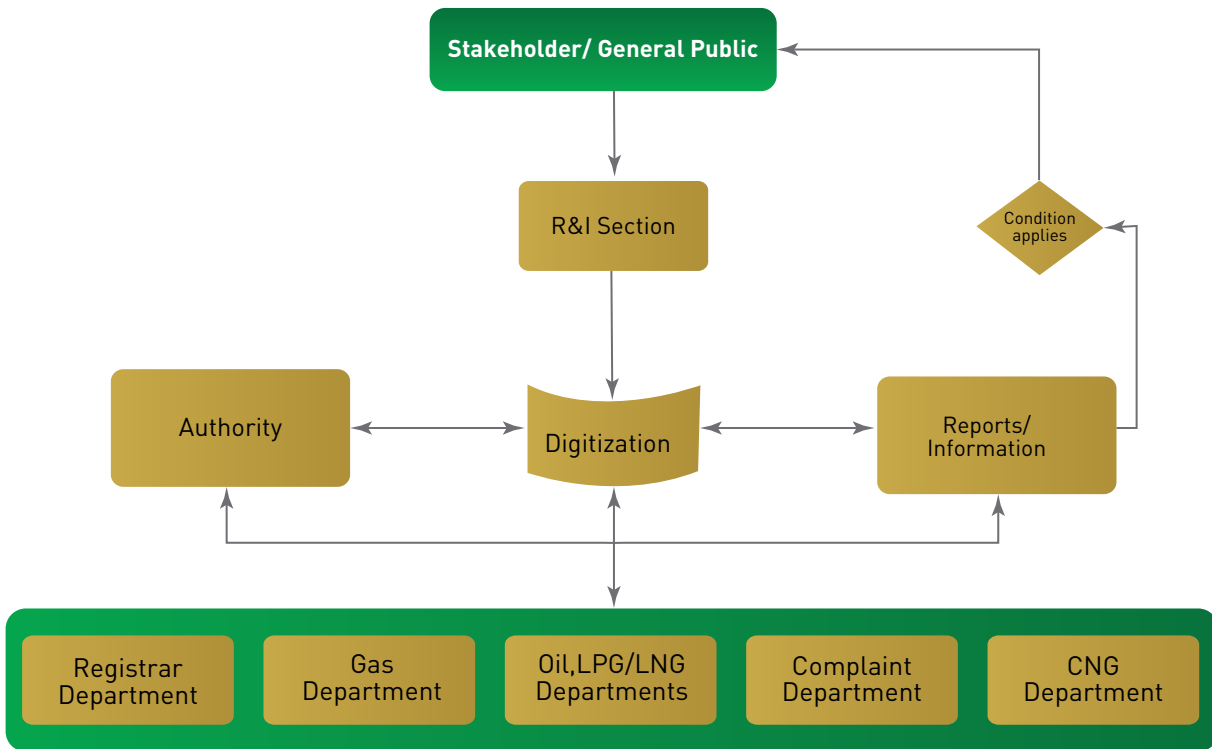
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- Even though the year & sequence codes offer unique case identification, the industry & purpose codes should be used on all case documents to facilitate processing
- Examples of Industry Codes
 - o EL – Electric
 - o WW – Water
 - o GAS – Natural Gas
- Examples of Purpose Codes
 - o AAC – Application to amend a certificate
 - o AAM – Application to change accounting methods
 - o ABN – Application to abandon service
 - o ACE – Application for a certificate
 - o ACN – Application to change name of utility
 - o AEC – Application to establish, revise, or cancel a contract
 - o AER – Application for exemption from requirements regarding issuance of stocks, bonds, notes
 - o AEM – Application to increase rates on an emergency, temporary basis
 - o AGC – Application for gas curtailment
 - o AIA – Application for interconnection approval
 - o AID – Application to issue dividends
 - o AIR – Application to Increase Rates
 - o AIS – Application to issue stocks or securities
 - o ALE – Application for a License
 - o ARB – Petition for Arbitration
 - o ARC – Application for relief from curtailment
 - o ARN – Application for Renewable Energy
 - o ASE – Application to offer sales of embedded customer premises equipment
 - o ASR – Application for new service restrictions
 - o AST – Application to suspend tariff
 - o ATA – Application for Tariff Approval
 - o ATA – Application for tariff approval
 - o ATC – Application to transfer a certificate
 - o ATR – Application to conduct transaction between public utilities
 - o ATW – Application to Withdraw a Tier 1 Service
 - o BAO – Administrative order
 - o BJJ – Jurisdictional finding
 - o BLN – Letter of notification
 - o BNR – Construction notification report
 - o BRO – Rule promulgation
 - o BSA – Application to amend a certificate, substation
 - o BTA – Application to amend a certificate, gas transmission line
 - o BTX – Application for a certificate, gas transmission line
 - o CIC – Commission Initiated Complaint
 - o CIO – Applications for Change in Operations
 - o CMR – Complaint on Municipal Rate
 - o COC – Commission initiated complaint
 - o COI – Commission inquiry
 - o COS – Complaint on Service or Standard
 - o CRC – Complaint on rates charged

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- o CSS – Complaint on service or safety
- o CTR – Contract - Application for one-year Contract
- o DTA – Data Collection
- o DTP – Data Collection
- o ECP – Environmental compliance plan
- o EDI – Electronic Data Interchange
- o FLX – Minimum level flexible pricing
- o FOR – Forecasting
- o GCR – Gas adjustment clause
- o GPS – Gas pipeline safety
- o ORD – Administrative Order
- o PEX – Petition for extended area service
- o PIP – Percent income plan
- o PWA – Purchased Water Adjustment
- o PWC – Public Way Complaint
- o PWN – Public Way Notification
- o PWR – Public Way Regulatory Asset
- o PWT – Public Way Tariff
- o SLF – Self complaint
- o TRF – Commission approved final utility company tariffs
- o UEX – Uncollectable Expense Rider
- o UNC – Unclassified
- o ZTA – Introduction of new tariffed services
- Receive information & data with submittal of case-filing application at the Docketing Department
- Docketing Department assigns a Case-Code for Authority proceedings
- Allow 30-60 days comment period by all stakeholders
- Continue to receive case information and data in the record of the case
- PUC Staff prepares an initial Staff Report for Commission consideration that outlines case & proposes staff recommendations
- Authority assigns a Hearing Officer to conduct technical hearings, discovery, pleadings, & expert testimony according to legal & regulatory proceedings
- Authority conducts public hearings & informational workshops in the affected service territory & collects public testimony & evidence
- Based on the record, PUC Staff makes revisions & adjustments to the Staff Report
- Authority holds public meetings to discuss case issues & concerns that are covered by the case record
- PUC Staff develops an Order for Authority consideration
- Authority makes a public decision by vote and signs the ‘independent’ decision as an Order that resolves the case
- Only Authority decisions that are not legal can be appealed – 1st to the Authority for reconsideration & rehearing & 2nd to the Court for legal review (if necessary)

FLOW CHART OF DIRS SYSTEM



5.2 Docket Numbers

The PUCN assigns a docket number to all new filings. 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 stakeholder (such as comments or testimony) or issued by the PUC (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. In case of OGRA, file number will be considered as docketing number.

5.3 Transcripts

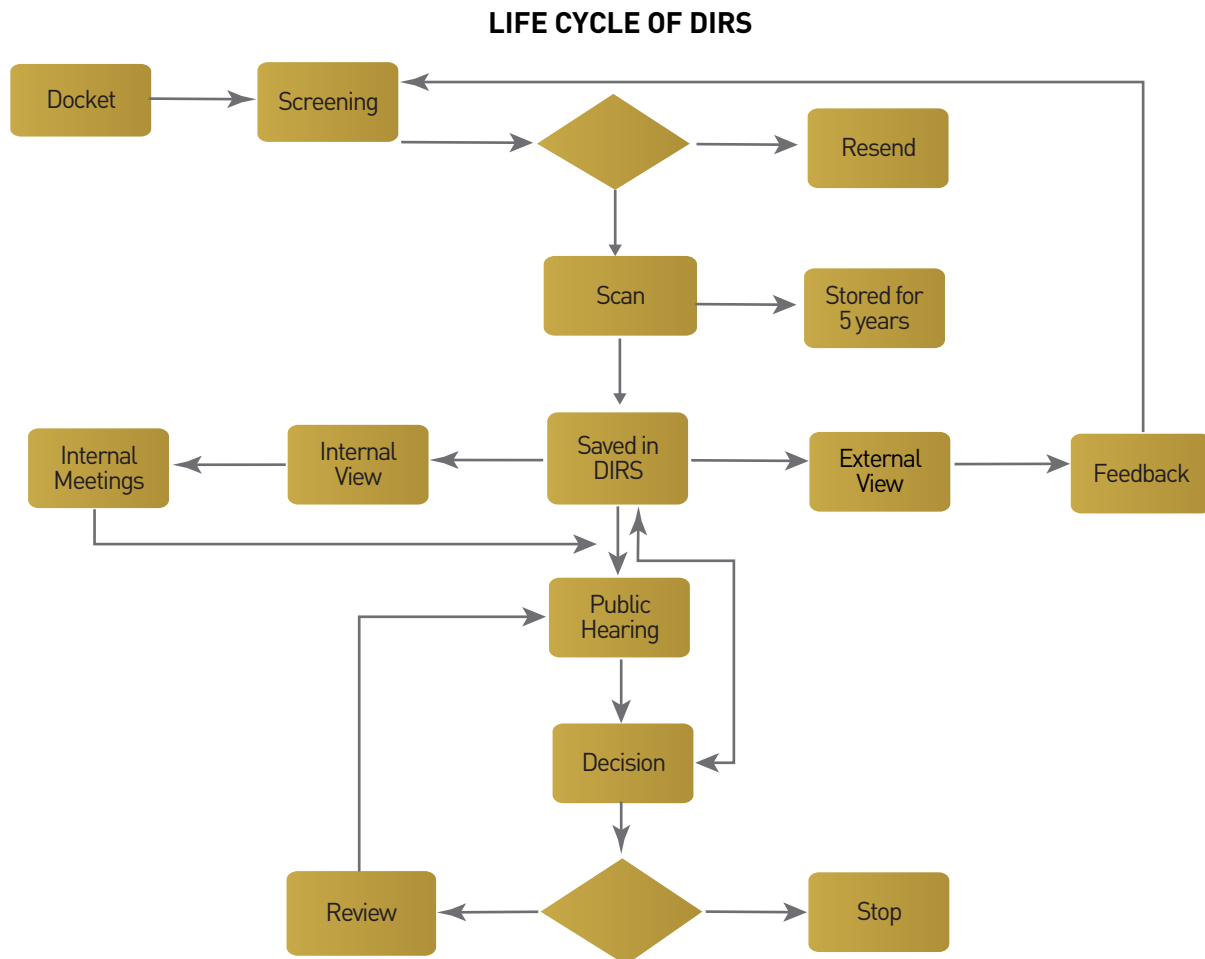
Transcripts of PUC proceedings are generally available within 15 business days after the close of a proceeding unless otherwise ordered by the Presiding Officer. Transcripts are not available on the web; The PUC may charge a fee for the court reporter for a copy of a transcript. If a document titled **Proceeding Transcript** is listed as one of the documents filed as part of a docket, it means that a transcript is on file for this docket and is available by requesting a copy and paying a fee as outlined on the PUCN's online **public record request form**.

5.4 Service Lists

To stay informed of an ongoing activity in a docket, all interested stakeholders must register and be subscribed for the Service List.

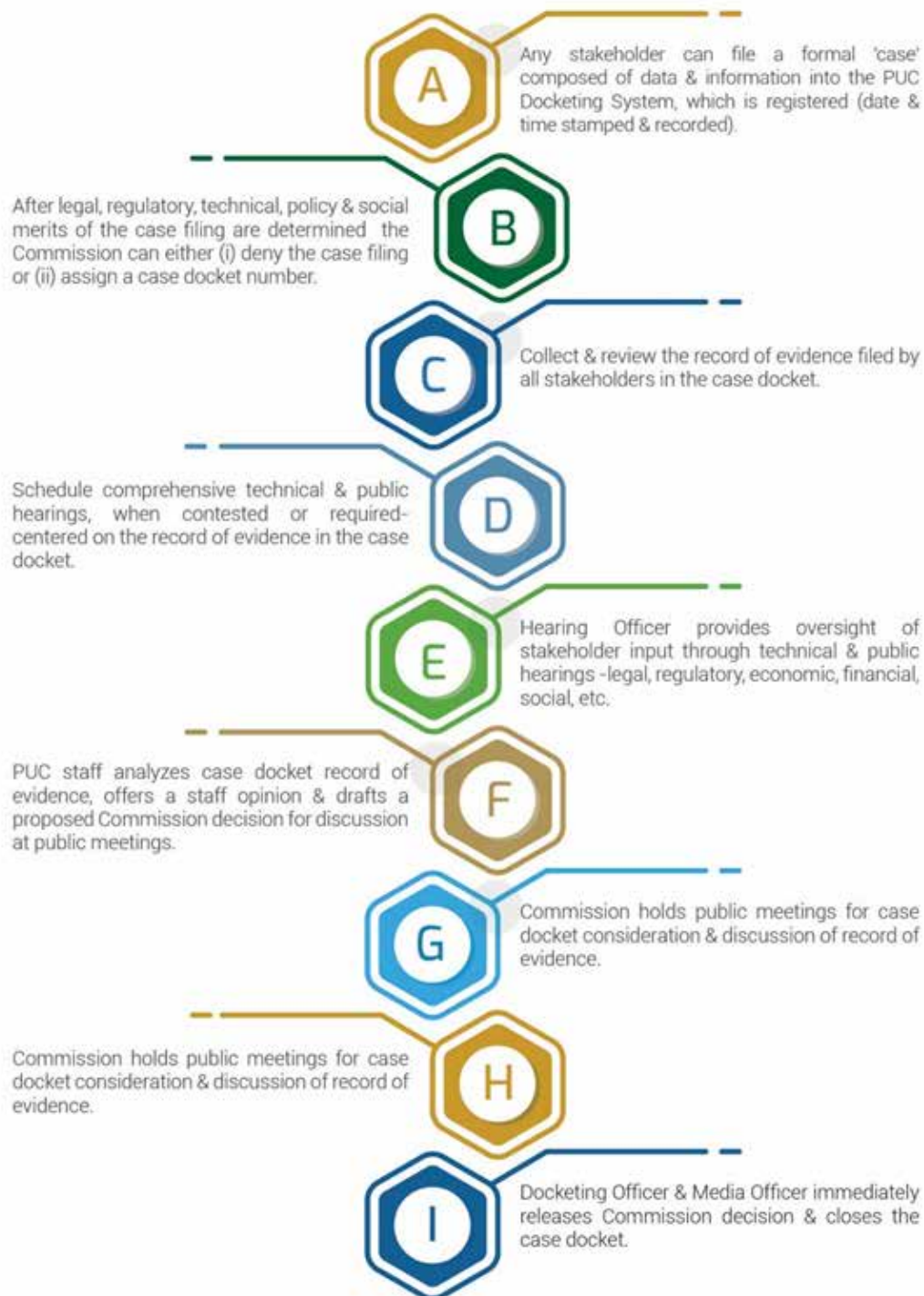
5.5 Lifecycle of a Typical Docketed Case Filing

The Business Process Services Division is typically responsible for the PUC's core business processes relating to docket management. Besides other various important duties, this Division receives and scans all relevant documents into the appropriate dockets, manages service lists, coordinates the issuance of orders and the publication of notices, provides reception services, schedules public hearings and meetings, prepares agenda meeting notices and minutes, and maintains the PUC's master calendar.



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An example of the lifecycle of a typical docket graphically in block diagram is portrayed below, without any deference to the timing and schedule of the movement of the docketed case filing through the system.



5.6 Input from Internal Stakeholders

To form and meet with an OGRA Focus Group of employees to discuss their experience, ideas and proposals to conceptualize and build a more efficient and effective documenting and records management system.

- OGRA has formed a team as an internal focus group to develop Docketing and Information Repository System (DIRS). They will be informed that DIRS Department will be a centralized with the responsibility for management and administration of documents filed by licensees and stakeholders. Much of the business and functions of OGRA will rely upon docket proceedings and would include: collection, receipt, date and time stamped, recording, filing, storage, distribution, copying, scanning, protection, and achieve of all petitions, comments, license application, appeals, complaints and related data information.
- In this regard, OGRA had planned to conduct a focus group meeting to identify issues in existing processes and recommendations for future system to obtain views/ comments of each Department to transform the existing procedure/ system into DIRS. The details of programme are given below:

Venue:	OGRA conference room.
Date:	Programme will be scheduled after team's US visit.
Departments:	Gas, Oil, Secretariat, LPG/LNG, Finance CNG, Complaints, Registrar, Legal/ Litigation & Admin/HR
Presentation:	10:00 am - 10:30 am
Q&A:	10:30 am – 10:45 am
Budget:	Expense for participants' refreshment will be met from OGRA's own budget.

5.7 Input from External Stakeholders

To form and meet with a Licensee/ external Stakeholders in the capacity of individual and organizations to learn their experience, ideas, desires, reasons and suggestions for timely access to docketing and records management information and data.

Stakeholders: SNGPL, SSGC, Representatives of OMCs & Oil Refineries, Donner Agencies, Consumers, Petitioners, Chamber of Commerce, Media Agencies, etc.

Venue:	OGRA conference room.
Date:	Programme will be scheduled after team's US visit.
Participants:	25-30 persons approx. (1 representative from each stakeholder)
Input:	The input of stakeholders will be incorporated into final report.
Budget:	Expense for participants refreshment will be met from OGRA's own budget.

6. INTERNAL AND EXTERNAL STAKEHOLDERS INPUT

Internal: The following were the main areas of concern of internal stakeholders during the briefing/ presentation on DIRS which was held on 29-11-2018 in the conference room of OGRA, the same were answered/addressed by SED(C&MA) during the presentation:-

- Who will scan documents? There should be one person from every department in scanning department?
- How the deficiency will be pointed out by scanning department?
- Where Hard copy will be stored?
- Is 5-year time period for retention of hard copies will be fixed or changeable?
- Will Hard Copy be sent to the relevant department?
- Will the scanned copy sent through email will be acceptable?
- How many organizations are using such system?
- How many regulatory bodies are using it?
- How hard copy will be provided to NAB or FIA in case of any investigation?
- What will be the legal status of scanned copies of documents?
- How new documents after scanning will be added in previous hard copy?
- Will it be allowed to a department to keep hard copy of documents?
- When one HoD who is willing to keep hard copy of documents is transferred to a department where hard copy is not available, how we will address this situation?
- Is there any "Please Discuss" or "Please Speak" option available in DIRS?
- Sometime Authority ask to submit new note, how we will address it in DIRS?
- Will confidential documents scan?
- How review petition will be processed when Gas and Finance department are working at the same time on it?
- How regional offices will be connected to this system?

Member Oil proposed to formulate a mechanism of every department separately, that would first be implemented in one department as pilot project and then to the other department subsequently. Member pointed out that due to lack of such system we are very much insecure so necessary steps should be taken.

Mr. Moazzam Hussain Ch., ED (Complaints) pointed out that such project was also introduced in 2006-07. He showed concern about timelines to convert the huge number of files into digital form. Mr. Rizwan, ED (Legal) emphasized to develop a mechanism to address requirements of court and investigation agencies.

External: The following questions were raised by external stakeholders during the briefing/ presentation on DIRS which was held on 21-12-2018 in the Conference Room and all were answered/ addressed by SED (C&MA):-

- Can a company submit a soft copy (scanned) documents itself (online)?
- When will the documents be scanned?
- Is there any check list for documents?
- How the delay of cases will be managed?
- Who will decide the timeline of the cases?
- Is it possible for Companies/stakeholders to have a separate login portal?

All queries, questions and concerns raised by internal and external stakeholders were answered/ properly addressed during the meetings/presentation given by SED (C&MA).

7. ACTION PLAN AND RECOMMENDATIONS FOR DIRS IMPLEMENTATION

In the direct creation and development of a world-class DIRS, OGRA was very keen to consider adopting and enacting guidelines that adhere to sound universal regulatory principles to consistently deliver on its DIRS mandate and achieve its objectives. For the establishment of a world-class DIRS/E-Office, OGRA has considered 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
- Transparency
- Fairness
- Predictability
- Efficiency
- Integrity
- Objectivity
- Reasonableness
- Consistency
- Accountability
- Effectiveness

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.

OGRA has already planned to develop and started/ scheduled professional staff training programs, reinforcement of capacity building and long-term career growth foundations to ensure reliable and sustainable DIRS operations.

OGRA is fully committed that objectives, procedures, processes, policies and mechanisms are carefully designed and implemented to meet all requirements of DIRS.

7.1 TECHNICAL REQUIREMENT FOR INFRASTRUCTURE UPGRADATION

a. Renovation of Server Room/ IT Section Spacing:

- Space 12x60 feet required on centralized place of the building, which may be partitioned into two portions made from glass/aluminum. The space shall be sufficient for the sitting of 8 persons and server room along with fixtures.
- Estimated cost Rs.350,000/-

b. Equipment:

- 30 laptops
- Two high-end servers
- 100 desktop computers along with dual screens
- One photocopier
- 30 heavy duty/high speed scanners
- 05 colour LaserJet printer (A4/A3 size paper)
- One black & white heavy LaserJet printer
- Two air-conditioners

- Two UPS
- Four CCTV cameras along with DVR for Server Room
- Estimated cost Rs.22,700,000/-
- c. Networking:**
 - Networking & electric cabling along with sockets/ nodes will be required to establish room for DIRS.
 - Fiber Optic Internet connection with static IPs.
 - Establishing Gigabyte backbone in OGRA's HQ Islamabad building on five floors with separate DP / backup power supply.
 - Estimated cost Rs.2,500,000/-
- d. Furniture and Fixture:**
 - Racks for servers and furniture & fixtures for eight persons.
 - Password control two door locks on both partitions of the room.
 - Estimated cost Rs.500,000/-
- e. Software:**
 - Online DIRS software i.e. Onbase (with multiple logins for server and users end) that will include the implementation and training cost.
 - Windows Server 2016/2019 or latest (3 Nos)
 - Windows 2010 or latest for Computers
 - Microsoft Office 2016 (5 Nos)
 - Antivirus Kaspersky for servers/desktops/laptops (5 Nos).
 - Estimated cost US\$ 75,000/-
- f. Remote Backup site:**
 - Location Lahore with one server, UPS, fiber optic internet connection with static IP, furniture, small room made with glass/aluminum and password control door lock and/or also acquiring could space for data backups.
 - Estimated cost Rs.800,000/-
- g. Video Conferencing Setup:**
 - Video conferencing setup at OGRA Head Office and its four regional offices, which will include LCD (Large size screen), Camera, Video & voice recording equipment, etc.
 - Estimated cost Rs.6,000,000/-

7.2. HUMAN RESOURCE REQUIREMENT

Oil and Gas Regulatory Authority (OGRA) has been established under OGRA Ordinance 2002 in March 2002. Over the time OGRA has grown from minimal resources/employees to the present strength that includes the following identities/structure from IT prospectus:

Oil & Gas Regulatory Authority

Sr.No.	Identity	Details
1.	Employees	220 approx.
2.	Networking (LAN)	Comprises over six floors
3.	Computers(approx.)	180
4.	Printer (approx.)	98
5.	Scanners	12
6.	Servers	06
7.	Routers/Access point	06
8.	Switches	10
9.	Maintenance of OGRA's Website and information updation for each Deptt.	Regular feature of website that is being updated on daily, weekly and monthly basis.
10.	Online complaints/ feedback system	running on website.
11.	Oil Pricing updation	Regular responsibility during late hours
12.	IT Support to end-users	Provided to each user and complaints handling on all six floors.
13.	Maintenance of Accounting Software Server	The server includes modules for Voucher, Cash book, Bank book, Journal, General ledger, Sub ledger, Trail balance, Final accounts, Receipts, Payment Account, Income & Expenditure, Payroll with details of CP fund, Assets Register, Interbank Fund Transfer, MIS Reports, withholding tax, Budget, etc.
14.	Network, servers and computers troubleshooting	On daily basis
15.	Internet and Email Services	Provide to 120 internets and 90 emails users
16.	Handling Multimedia, Laptop and Presentation	Both within and outside the office premises
17.	Hardware specification and recommendations	Provide assistance to admin Deptt. in specifications design and recommendations on IT matters i.e. repairs, maintenance and procurement.
18.	Maintenance of Thumb Impression attendance system.	It has been installed in main building in Islamabad, where as it is being installed on its four regional offices, i.e. Peshawar, Lahore, Karachi & Quetta.
19.	IT Proposals	Time to time IT proposals are submitted for considerations of seniors/ top management.

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The above briefly describes the functions of IT Department, which are continuous on day to day basis. The functions and services of IT Department usually intangible but that need to be delivered in time otherwise OGRA's different departments may not be able to perform their daily outcome/work. All these functions of IT Department were being managed through limited IT persons.

As stated above IT Department is being run with minimal strength any further shortage can cause hindrance in the smooth functioning of IT Department and ultimately will affect the working of other departments as well. It is therefore recommended that proper structure of IT Department may please be developed keep in view of structure that could have by any good organization.

End-Users Support: Keeping in view the computers, printers and other IT equipment, it is proposed that 3-4 persons be allocated for end users support to handle daily complaints. For efficient network and computers maintenance there is international benchmark of 25 computers per support person. Compromising to that initially there is proposed with ratio to 50 computers per support person. They are the professional troubleshooters of the IT world and work for end-user companies supporting, monitoring and maintaining workplace technology and responding to users' requests for help. Some lines of support require professionals with specific experience and knowledge, but tech support can also be a good way into the industry for graduates with some experience. It is therefore, recommended that two already sanctioned vacant posts may be filled.

Network/Security Administration: Two persons are proposed in this field. Network engineering is one of the more technically demanding IT jobs. Broadly speaking the role involves setting up, administering, maintaining and upgrading communication systems, local area networks and wide area networks for an organization. Network professionals are also responsible for security, servers and disaster recovery strategies. It is a highly technical role which requires hoard of specialist technical certifications as progress/gain experience. A telecoms or computer science-related degree is needed. Since, we have three persons of computer networking field therefore, no further addition is proposed at initial stage.

Database Administration: Database administrator (DBA) is responsible for the performance, integrity, data backup and security of a database. They will also be involved in the planning and development of the database, as well as troubleshooting any issues on behalf of the users. A DBA makes sure that databases that data remains consistent across the database, data is clearly defined, users access data concurrently, in a form that suits their needs and provision for data security and recovery control ensures that all data is retrievable in an emergency. At present, OGRA does not have DBA. One database administrator is proposed with initial structure.

Risk Management & Disaster Recovery: The IT Disaster Recovery Coordinator develop IT disaster response/crisis management activities in compliance with the IT emergency plan and helps provide and coordinate disaster preparedness training with respect to the organization's information technologies, helping ensure business continuity in case of any disaster. Work with Business Continuity management to ensure that the disaster recovery (crisis management) and business continuity plans drive disaster recovery (DR) strategy and procedures. Establish and maintain the overall plans for executing all DR procedures and understand their interdependencies. Establish and maintain detailed DR communications and command and control plans through a change management process. Work with the IT technical staff to ensure that disaster recovery solutions are adequate, in place, maintained, and tested as part of the regular operational life cycle. Develop and understand all testing necessary for a successful DR execution. Schedule and lead all DR exercises. Provide ongoing feedback for risk management, mitigation, and prevention. Represent disaster recovery cost requirements in the annual budgeting process. Regularly report Disaster Recovery activities to

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upper management. Act as liaison for auditing and examination of disaster recovery processes. Help ensure compliance with all applicable federal, state and local laws, regulations, and ordinances. It is proposed in future we may add skillful IT persons in this field as well.

Keeping in view of the above and future need of DIRS, the proposed IT Department structure is given below for initial expansion. Details of IT posts is given below in tabulated form:

7.3 THE POSITION OF FILLED AND VACANT POSTS

Sr.No.	Description of Posts	Sanctioned Posts	Filled	Vacant
1.	JED (IT) (E-4)	1	1	0
2.	AED (IT) (E-2)	1	1	0
3.	DAED (IT) (E-1)	2	1	1
4.	Network Administrator (S-5)	3	1	2
	Total:	7	4	3

7.4 BUDGET REQUIRED FOR FILLING UP THE POSTS

Sr.No.	Vcant Posts - OGRA will bear the cost of filling up the vacant posts	Yearly budget required (in Rs)	Posts to be Filled
1.	E-1 (Vacant) - one vacant post in scale S-5 will be upgraded to scale E-1, which is required to be filled with person having qualification / skills in database administration. DAED (Database)	Rs.70,000/- per month Rs.840,000/- yearly	1
2.	S-5 (vacant) – two vacant posts in scale S-5 need to be filled with person having qualification/ skills in networking/ database. Support Engineer.	Rs.50,000/- per month (each) Rs.1,200,000/- yearly	2
3.	It is proposed that one contract posts in scale E-1 may be created to handle the software development related matters, these skills will be in addition to in hands experience of handling Office Automation Project. DAED (Software).	Rs.70,000/- per month Rs.840,000/- yearly	1
4.	It is proposed that one post of expert for Risk Management & Disaster Recovery Expert, these skills will be in addition to in hands experience of handling Office Automation Project. may be created. DAED (Disaster & Recovery).	Rs.70,000/- per month Rs.840,000/- yearly	1
	Total		5

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The above strengthening of IT Section is proposed by considering IT as a vital organ of the organization and to cope up the futuristic IT functions at par with global technological challenges/changes and to run the new system.

- OGRA will bear the cost of filling up the vacant posts.
- Three-year salary for hiring of minimum two persons having experience of handling similar Docketing Information and Repository System, Office Automation or E-Office or for OGRA & NARUC/USAID collaborated project.
- Estimated cost Rs.1,680,000/- per year.

7.5 ESTIMATED COST - SUMMARY

Sr.No.	Items	Amount (Rs.)
1.	Renovation for IT Server/Room Spacing	350,000
2.	Equipment	22,700,000
3.	Networking	2,500,000
4.	Furniture and Fixture	500,000
5.	Software US\$ 85,000 @ Rs.135/-	1,1475,000
6.	Remote Backup Site	800,000
7.	Video Conferencing Setup	6,000,000
10	Three-year budget for Human Resource i.e. Rs. 1680,000/-	5,040,000
	Total: (Rs.)	49,365,000

7.6. TRAINING ON E-FILLING/E-OFFICE

Sr.No.	Items	Amount (Rs.)
1.	Authority	03
2.	HoDs	09
3.	Executives	90
4.	Supporting Staff	120

The approval of the Authority has already been solicited to obtain the fiber optic link from NTC and work order for 10 Mbps connection has already been placed to NTC by the Admin Department. It is anticipated that in one-month OGRA will get the E-Office access through Federal Government centralized resource.

7.8. SECURITY OF E-OFFICE MODULE

The objective of this program is to secure and advance the working of Government Institutions including provincial institution by switching over from physical system to less paper system through the

automation. E-Office module has centralized architecture and the following four levels of security has been implemented:

Physical Security

- * 3-Tier Data center
- * Standard SOPs
- * Dedicated Fiber Connection

Communication Line Security

- * Dual Fiber connection
- * Firewall/ IPS/ IDS
- * Separate Organization Units for every organization

Logical Security

- * Separate network IP Scheme
- * Separate VLANs
- * Dedicated Port

Software Security

- * Total IBM Solution
- * Digital Certificates
- * HTTPS access

7.9 COURSE OF ACTION

Initially, it was decided that all funding for DIRS project will be funded by USAID in collaboration with NARUC but on April 10, 2019 USAID has terminated the agreement/MoU which was signed between OGRA it is therefore no funding is available for DIRS software development. Hence, OGRA made the decision to execute e-Office project in collaboration with National Information Technology Board (NITB), which is offering developed software without charging any cost to the government organizations.

However, OGRA will build-up its IT Infrastructure through its own funding. For the equipments, which includes computers and scanners, OGRA has already purchased by floating the open tenders. It is also decided that Server Room & IT Section will be shifted from basement to 3rd floor of the building, whereas R&I section will be built in new location at basement and this section will be provided scanners and computers to become the part of e-Office. It is planned that in R&I section there will be approx. 08 terminals for Oil, LPG, LNG, CNG, Gas, Finance, Complaints, miscellaneous, etc. To scrutinize the budgetary requirement Member (Finance) has constituted the Committee. All relevant documents were forwarded to the proposed Committee for their review/advice. The Committee has submitted their comments/recommendations for the consideration of the Authority. The layout designs for Server Room/IT Section and R&I Section are given at Annexures A & B, whereas Action Matrix of the project is given at Annexure C.

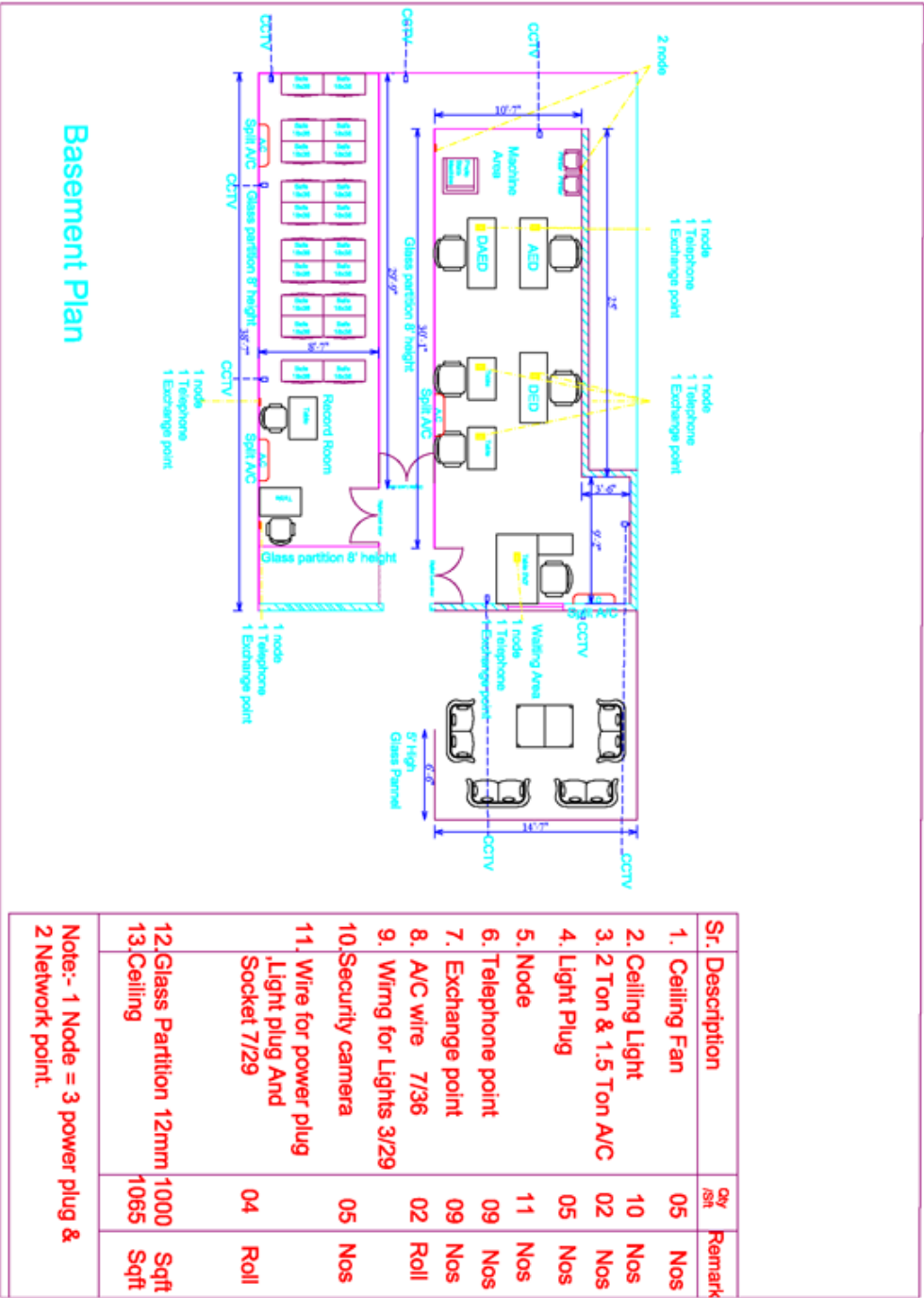
Interior & Electrical plan
3rd Floor

Legend:

Sr.	Description	Qty /set	Remark
1.	Ceiling Fan	03	Nos
2.	Ceiling Light (LED)	07	Nos
3.	2 Ton & 1.5 Ton A/C	02	Nos
4.	Node	12	Nos
5.	Telephone Point	05	Nos
6.	Exchange Point	05	Nos
7.	A/C wire 7/36	01	Roll
8.	Wiring for Lights 3/29	03	Nos
09.	Security camera		
10.	Wire for power plug, Light plug And Socket 7/29	02	Roll
11.	Glass Partition 12mm	550	Sqft
12.	Ceiling	310	Sqft

Note:- 1 Node = 3 power plug & 2 Network point

Basement Plan for R & I Section



Action Matrix

PROJECT NAME	PROJECT MANAGER/ TEAM LEADER			
DIRS/ E-OFFICE	Imran Ghaznavi, SED (C&MA)			
ACTION	RESPONSIBLE	PRIORITY	STATUS	NOTES
Memorandum of Understanding with NITB	IT Section, OGRA	High	Completed	Singed by Member (Finance)
Training of Employees of OGRA by NITB	OGRA & NITB	High	Completed	
Connection of Fiber Optic Cable	OGRA & NTC			
Work order	Admin Deptt., OGRA	High	Completed	
Payment	Admin Deptt., OGRA	High	Completed	
Laying of Fiber Optic Cable	NTC	High	Completed	
Installation of Fiber Optic ONT	NTC	High	Completed	
Router Configuration for E-Office	NTC	High	In Process	Reminder issued
NITB Configuration of E-Office on OGRA LAN	NITB	High	Not started	It will start once the task of router configuration is done by NTC.
Procurement of Equipments				
Purchase of 10 Computers	IT & Admin Deptt, OGRA	Medium	Completed	Procured/Received by OGRA
Purchase of scanners	IT & Admin Deptt, OGRA	High	Completed	Procured/Received by OGRA
Upgradation of Infrastructure & renovation of Server Room, IT Section and R&I Section.	IT & Admin Deptt, OGRA	High	In progress	To review the infrastructure upgradation and establishment of Server Room, IT Section & R&I Section; a committee has been formed by Member (Finance). The Committee has submitted their comments/ recommendations for the consideration of the Authority.

8. APPENDICES

- A. Final Detailed Implementation Plan: OGRA TASK 1-0
- B. Final Terms of Reference – Peer-to-Peer DIRS Activity
- C. OGRA Annual Report
- D. Letter to OGRA Focal Group – Questionnaire
- E. Introduction to DIRS – Presentation
- F. ISSUE BRIEF: The Lifecycle of a Typical Regulatory Case
- G. PUC Ohio Forms & Documents www.puco.ohio.gov
 - PUC Ohio Procedural Filing Requirements
 - Examples of PUC Ohio Entries and Orders
 - PUC Ohio Docketing General Information
 - PUC Ohio Case Code System
- H. PUC Nevada Forms & Documents www.puc.nv.gov
 - PUC Nevada Strategic Plan 2015-20
 - PUC Nevada 2017 Biennial Report
 - PUC Nevada Protective Agreement
 - PUC Nevada Regulated Assessment Form
 - PUC Nevada Requirements to Maintain an Alternative Seller of Natural Gas License
 - Example of PUC Nevada Filing Guide – LPG Annual Report
 - Example of PUC Nevada Copy of Gas Rate Increase Application
 - Example of PUC Nevada Filing Guide – Alternative Sellers Natural Gas Annual Report
- I. Docketing Regulations for PUC New Hampshire www.puc.state.nh.us
- J. PUC Hawaii Guidelines for Filing Documents www.puc.hawaii.gov
- K. USEPA Information Directive Procedure www.epa.gov
- L. US Federal Energy Regulatory Commission – Energy Primer www.ferc.gov
- M. OGRA Complaint Resolution Procedure
- N. Administrative Provisions and Procedures
- O. Performance Evaluation of Pakistan's Oil and Gas Regulatory Authority
- P. Improving Energy Regulatory Framework of Pakistan
- Q. Utility Regulatory Fundamentals – PURC
- R. R- Mechanics and Procedures for Docketing and Filing Cases to the PUC
- S. Lifecycle of a Typical Docket
- T. Wikipedia Records Management
- U. DePaul Records Management Manual
- V. BCIT Records Management Procedures
- W. Electronic Records Management Handbook
- X. What is Records Management?
- Y. Why Records Management?
- Z. The Seven Attributes of an Effective Records Management Program

9. CODING SYSTEM

Illustration of Code Formatting

Example: OGRA-Oil -20-1(1)/2019

20. Department Code

1. Category Head - Can be changed according to category, e.g. 1 for OMCs, 2 for Standards & Specifications etc.

(1). File Subject - File subject is description of the file

2019. Year of creation of File (Calendar Year)

Department wise file coding system:

S. No.	Department	Department Code		Example
		Old	New	
1	Chairman's Office	1	1	OGRA-Ch-1-1(1)/2019 OGRA-Ch-1-1(2)/2019 OGRA-Ch-1-1(3)/2019
2	Member Gas Office	-	2	OGRA-MG-2-1(1)/2019 OGRA-MG-2-1(2)/2019 OGRA-MG-2-1(3)/2019
3	Member Oil Office	-	3	OGRA-MO-3-1(1)/2019 OGRA-MO-3-1(2)/2019 OGRA-MO-3-1(3)/2019
4	Member Finance Office	-	4	OGRA-MF-4-1(1)/2019 OGRA-MF-4-1(2)/2019 OGRA-MF-4-1(3)/2019
5	Administration Department	5	5	OGRA-Admin-5-1(1)/2019 OGRA-Admin-5-1(2)/2019 OGRA-Admin-5-1(3)/2019
6	Accounts Department	11 (4)	24	OGRA-Acct-24-1(1)/2019 OGRA-Acct-24-1(2)/2019 OGRA-Acct-24-1(3)/2019
7	Appeals Department	-	26	OGRA-App-26-1(1)/2019 OGRA-App-26-1(2)/2019 OGRA-App-26-1(3)/2019
8	Corporate & Media Affairs Deptt.	25	25	OGRA-C&MA-25-1(1)/2019 OGRA-C&MA-25-1(2)/2019 OGRA-C&MA-25-1(3)/2019
9	CNG Deptt.	12 18	18	OGRA-CNG-18-1(1)/2019 OGRA-CNG-18-1(2)/2019 OGRA-CNG-18-1(3)/2019

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S. No.	Department	Department Code		Example
		Old	New	
10	Complaints Deptt.	8	8	OGRA-Comp-8-1(1)/2019 OGRA-Comp-8-1(2)/2019 OGRA-Comp-8-1(3)/2019
11	Finance-I Deptt.	10	10	OGRA-Fin-10-1(1)/2019 OGRA-Fin-10-1(2)/2019 OGRA-Fin-10-1(3)/2019
12	Finance- Oil Pricing Deptt.	10 (12)	14	OGRA-Fin-14-1(1)/2019 OGRA-Fin-14-1(2)/2019 OGRA-Fin-14-1(3)/2019
13	Gas Deptt.	9	9	OGRA-Gas-9-1(1)/2019 OGRA-Gas-9-1(2)/2019 OGRA-Gas-9-1(3)/2019
14	HR Deptt.	5-5	27	OGRA-HR-27-1(1)/2019 OGRA-HR-27-1(2)/2019 OGRA-HR-27-1(3)/2019
15	IT Deptt.	-	15	OGRA-IT-15-1(1)/2019 OGRA-IT-15-1(2)/2019 OGRA-IT-15-1(3)/2019
16	Legal Deptt.	7	7	OGRA-Leg-7-1(1)/2019 OGRA-Leg-7-1(2)/2019 OGRA-Leg-7-1(3)/2019
17	Litigation	7 (1)	23	OGRA-Lit-23-1(1)/2019 OGRA-Lit-23-1(2)/2019 OGRA-Lit-23-1(3)/2019
18	LNG Deptt.	9	11	OGRA-LNG-11-1(1)/2019 OGRA-LNG-11-1(2)/2019 OGRA-LNG-11-1(3)/2019
19	LPG Deptt.	17	17	OGRA-LPG-17-1(1)/2019 OGRA-LPG-17-1(2)/2019 OGRA-LPG-17-1(3)/2019
20	Oil Deptt.	19	19	OGRA-Oil-19-1(1)/2019 OGRA-Oil-19-1(2)/2019 OGRA-Oil-19-1(3)/2019
21	Oil (R&L) Deptt.	19	16	OGRA-R&L-16-1(1)/2019 OGRA-R&L-16-1(2)/2019 OGRA-R&L-16-1(3)/2019
22	P & C Deptt.	21	21	OGRA-P&C-21-1(1)/2019 OGRA-P&C-21-1(2)/2019 OGRA-P&C-21-1(3)/2019

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S. No.	Department	Department Code		Example
		Old	New	
23	Registrar Deptt.	6	6	OGRA-Reg-6-1(1)/2019 OGRA-Reg-6-1(2)/2019 OGRA-Reg-6-1(3)/2019
24	Secretariat Deptt.	12 14	12	OGRA-Sectt-12-1(1)/2019 OGRA-Sectt.-12-1(2)/2019 OGRA-Sectt.-12-1(3)/2019
25	Audit Deptt.	20	20	OGRA-Audit-20-1(1)/2019 OGRA-Audit-20-1(2)/2019 OGRA-Audit-20-1(3)/2019
26	Building Project Deptt.	22	22	OGRA-BP-22-1(1)/2019 OGRA-BP-22-1(2)/2019 OGRA-BP-22-1(3)/2019
27	Media & PR Deptt.	5	13	OGRA-MPR-13-1(1)/2019 OGRA-MPR-13-1(2)/2019 OGRA-MPR-13-1(3)/2019

- Receive information & data with submittal of case-filing application
- Relevant department assigns a Case-Code for Authority proceedings
- Continue to receive case information and data in the record of the case
- Staff prepares an initial Staff Report for Authority consideration that outlines case & proposes staff recommendations
- Authority assigns a Hearing Officer to conduct technical hearings, discovery, pleadings, & expert testimony according to legal & regulatory proceedings
- Authority conducts public hearings and collects public testimony & evidence
- Based on the record, Staff makes revisions & adjustments to the working paper
- Authority holds public meetings to discuss case issues & concerns that are covered by the case record
- Secretariat/ Registrar develops draft decision for Authority consideration
- Authority makes decision by voting and signs the decision that resolves the case. The descending note if any member of the authority does not agree with the decision becomes also part of the decision.
- Authority decisions that are not legal can be appealed – 1st to the Authority for reconsideration & rehearing & 2nd to High Court for legal review (if necessary).



E



**OIL & GAS
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