**Background**

Main function of the Licensing Division is issuing licenses in Electricity Sector. Mainly PUCSL issues six numbers of different types of licenses as listed below.

1. Generations Licenses - more than 25 MW generation capacity
2. Generations Licenses – 25 MW or less than 25 MW generation capacity
3. Transmission License
4. Distribution License
5. Exemptions - Generations
6. Exemptions - Distribution

PUCSL has a set of applications and defined process to apply for aforesaid each license/exemption and this whole licensing/exemption process is currently being executed as a manual process. This licensing/exemption process can be categorized into few main stags as below

1. Submission of an application (singed hard copy) to PUCSL by an applicant along with necessary supporting documents and the payment (at this stage PUCSL issue an **application number**).
2. Evaluation the submitted application by a PUCSL officer for any missing documents/information and corrections. If such missing is found, inform the applicant to provide missing information/documents or resubmit the complete application
3. Prepare the evaluation sheet by PUCSL officer with respect to the final application
4. Obtain board approval to publish a news paper notices in all three languages which contain set of information about the applicant and the purpose of the obtaining a license/exemption
5. Publication of the paper notices and hold the paper notice for 28 days for any public comments
6. Obtain second board approval
	1. to grant license for applicant with the concurrence of the minister
	2. or to gazette the exemption
7. Issuing the printed license document or exemption certificate (at this stage PUCSL issue **a license number/exemption number** which is totally differ from the **application number**)
8. Upgrade the Licensing Database (an excel sheet which contains important information about the all applicants and all licensees/exempted parties) with the information of the new applicant
9. Carryout work related to modifications of the License/Exemption in later stage (modify the license/exemption as per the changes happening in name, address, capacity, director board, etc.)

Please note that;

* Licensing Database - A set of key information related to applicants/licensees/exempted parties are being maintained as an excel sheet (of 450 rows x 50 columns) separately for the operational convenient.
* Rough sketch of the above explained licensing/exemption process and the PUCSL system is illustrated in next page

Send mail to applicant with newspaper ad and

gazette

Print License/Exemption once the approvals are received

Copy of the published paper notice and gazette

Indicate the progress of the license

Prepare evaluation sheet/summary sheet/newspaper advertisement/gazette

Licensee List in web

Dash Board

PASS - email to applicant

PASS – email to applicant

Online application by applicant

(new application, extension, COD, inform changes)

Payment verification from Finance Division

Update licensee database

Excel sheet

Write all data to PUCSL server and download scanned documents

**(MAIN DATA BASE)**

Email to PUCSL Officer

Email to Director – Licensing

Email to Director – Licensing

Email to applicant and CC

Review by PUCSL officer

Applicant resubmits the corrected application

Reject the application

FAIL

Initial review by PUCSL officer

Email to PUCSL Officer

Email to Director – Licensing

**Business Requirement**

Its required to create a web-based system (coupled with PUCSL website) in order to digitize the above explained licensing process which shall enable to

1. create a user profile in PUCSL website for applicants/licensees/exempted parties
2. apply license/exemption online through that system in PUCSL website
3. evaluate the online submitted application for any shortages (by PUCSL officer)
4. inform applicant online about the shortages of the application (if available) and resubmit the corrected application
5. generate automatically the evaluation sheet/summary tables/newspaper advertisement/gazette notices which are required to submit along with the board paper
6. write key information of applicants in to license database and keep all the information/documents related to applicants as a database and give facility to print any document, application in the aforesaid database
7. show progress of the licensing process online to applicant (applicant can log in to web and see the progress of the licensing process)
8. Send important information related to licensing process to applicant (ex. Copy of the newspaper advertisement)
9. Create soft version of the License and Exemption document
10. display some important information about the licensees in a dashboard
11. Timely update the list of licensees/exempted parties in the PUCSL website which is open for the public
12. Make request to PUCSL by applicants/licensees for changes related to their application/license (name change, address change, capacity modification, update COD, etc) during the licensing process and after the license is granted

**Please note that**

As per the law of the country, its required to submit a signed application (hard copy) to PUCSL in order to obtain a license/exemption. Therefore, still its required to submit a hard copy of the applicant to PUCSL even though the applicant applies for the license/exemption through the online system. Hence, once the applicant filled the application and once the PUCSL officer confirmed it as it is correct, then system shall provide to download a copy of that confirmed application to the applicant. Then applicant has to print it, sign it and send it to PUCSL.

**Operational Conditions of the system and other notes to be considered as per the Business Requirement listed above**

1. **create a user profile in PUCSL website for applicants/licensees**
2. **apply license/exemption online through PUCSL website**
3. **evaluate the online submitted application for any shortages (by PUCSL officer)**
4. **inform applicant online about the shortages of the application (if available) and resubmit the corrected application by the applicant.**
5. Need to create user profiles for applicants in this new online system. Refer Master Flow Chart and Annexure 1 for more information. An application number shall be appointed at the Sign-Up stage and that application number shall be used as the user name. Both user name and password shall be forwarded to the given mail by the applicant at Sign Up stage in order to Sign In to the system.
6. Once the applicant logged in to the system, he need to change the password before apply for an license.
7. As explained in **background** segment of this document, there are six license types and have separate applications for each license. But PUCSL has issued all six applications together as one gazette documents. Refer **Application Gazette.pdf** document. For the convenient of this development project, that master application (**Application Gazette.pdf** ) has split into separate six applications. Refer annexure 3 to 8
8. Need to build up applications separately in this new online system and content of those applications are as per the annexures 3 to 8. Refer **Master Flow Chart**
9. For new applicants, once the sign in is over, respective application shall be loaded to fill it up. Initially Instruction page (Annexure 3) shall be displayed and once it is clicked OK, then only the relevant application is loaded for the applicant to fill (for some questions, applicant has to upload scanned documents as well).
10. Once all parts of the application are filled by the applicant, it can be uploaded to the system. But before upload, show the preview of the filled full application to the applicant and request him to confirm it. Once it is confirmed, send an email notification to Director Licensing and other responsible officer in LIC division. Meantime, a message shall be displayed to the applicant indicating that PUCSL is reviewing your application and if the application is accepted, an acceptance notification will be sent to his/her email and then the applicant has log in to the system again and need to print the accepted application (could be able to download from the online system) and send it to PUCSL with the signature and the necessary payment as a hard copy (relevant address should be displayed).
11. Then PUC officer needs to review the accepted application along with attachments through the system and system itself should provide facility to comment for each answer (in front of each answer) of the filled application if there is any issue. Once all comments are given related to the whole application (if applicable) by the PUC officer, the PUC officer shall reject the application with all given comments. Then an email notification shall go to the applicant (and Director Licensing) indicating that **PUC has rejected the application due to some errors and please resubmit the corrected application**. Do not send any comments of PUC officer via this notification mail.
12. Then the applicant has to re log and retrieve his previous application. Then the system shall show the comments given by PUSCL officer in front of each answers provided by the applicant. And then the system shall allow applicant to do the necessary corrections for his incorrect answers and re upload the corrected application. This system shall be developed in a way that, applicant can override the previous application with the edited application based on the comments given by PUCSL officer.
13. With that second submission by the applicant, again PUCSL officer has to verify whether the application is satisfied with the regulation and if so, PUCSL officer can accept the application. Then an acceptance notification shall be forwarded to applicant’s email.
14. But if the application is correct without any issues at the very first stage, then PUCSL officer can directly accept it.
15. At the end of any application, need to give space for Remark and upload any other necessary documents. If the applicant has a cover page, then he can upload the scanned on of that cover page at this remark space.
16. Access shall be given to PUCSL admin to add/remove/edit question/items of the applications because there might be changes occur in time to time for these applications
17. Once the License/Exemption is granted, facility shall be given to Sign-In using both aforesaid user name as well as the License/Exemption Number with the same password.
18. Authority shall be given to PUCSL officer to attach/save additional information received by post or email with respect to any of applicant in to database throughout the process.
19. All board papers, letters, ministry’s concurrence and extra documents related to any particular application shall be saved by the PUCSL officer in this system.

**Operational Conditions of the system and other notes to be considered**

1. **generate automatically the evaluation sheet/summary tables/newspaper advertisement/gazette notices which are required to submit along with the board paper**
2. **write key information of applicants in to license database and keep all the information/documents related to applicants as a database and give facility to print any document, application in the aforesaid database**
3. Once the application is accepted, the system shall provide an evaluation sheet, summary table and newspaper advertisement with respect to each category of application. Currently PUCSL uses only templates with respect to two applications and those are for applications indicated in Annexure 4 and Annexure 8. Provision shall be kept to upload other templates of other applications in a later time. Also, facility shall be given to amend these template as required by the PUCSL. Based on type of the license application, aforesaid evaluation sheet, summary table and newspaper advertisement to be generated automatically by the system are differ to each other. Templates of those will be given by the PUCSL. Refer below table for that information.
4. Further, provision shall be given to indicate the information of few applications (while keeping the common information of the template as it is) together in a single template. Ex. Generally PUCSL publish only one newspaper advertisement per month. Therefore, information of the all applicants who submitted application during that month will be considered for that single newspaper advertisement other than publishing one by one newspaper advertisement for each applicant. Therefore, content of the aforesaid newspaper shall be generated by the system automatically considering required information of all the applications belong to that particular month and the given respective template of above table.
5. TBDL- to be developed later – Each of this template is similar to the other corresponding template. Therefore, this system shall allow PUCSL to upload those templates in later stage.
6. All information and documents provided along with the application shall be written in to master database. But there are set of key information that are frequently used by PUCSL. Those are listed in annexure 26 and need a separate database to save those data of every applicant. And that set of key information shall be viewed and sorted (as per the various preferences) through the system in a very user-friendly manner. Further any information and document related to applicant shall be printed through the system itself.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **License Category** | **Evaluation Sheet** | **Newspaper AD** | **Summary Table** | **License Document**  |
| Generations Licenses - more than 25 MW generation capacity | TBDL | TBDL | TBDL | TBDL |
| Generations Licenses – 25 MW or less than 25 MW generation capacity | Annexure 20 | Annexure 22 | Annexure 24 | Annexure 27 |
| Transmission License | TBDL | TBDL | TBDL | TBDL |
| Distribution License | TBDL | TBDL | TBDL | TBDL |
| Exemptions - Generations | TBDL | TBDL | TBDL | TBDL |
| Exemptions - Distribution | Annexure 21 | Annexure 23 | Annexure 25 | TBDL |
|  | TBDL | TBDL | TBDL | TBDL |

**Operational Conditions of the system and other notes to be considered**

1. **show progress of the licensing process online to applicant (applicant can log in to web and see the progress of the licensing process)**
2. **Send important information related to licensing process to applicant (ex. Copy of the newspaper advertisement)**
3. **Create soft version of the License and Exemption document**
4. **display some important information about the licensees in a dashboard**
5. **Timely update the list of licensees/exempted parties in the PUCSL website which is open for the public**
6. **Make request to PUCSL by applicants/licensees for changes related to their application/license (name change, address change, capacity modification, update COD, etc) during the licensing process and after the license is granted**
7. Facility shall be given to PUCSL officer to update the progress of the processing of the application of each applicant. That progress can be viewed by the applicant by login in to this system. Annexure 28 shows the general process of the issuing a license/exemption. Same procedure will be followed to issue exemptions with slight changes.
8. As indicated above, relevant addition information and documents related to any applicant shall be added to this system by the PUCSL officer. Ex. News paper advertisement.
9. Once that newspaper advertisement is uploaded to the system by the PUCSL officer, that shall be viewable for the applicant once he log in to the system and email notification shall goes to applicant (sign in person and two directors)
10. And need to auto generate the License/exemption documents with the applicant data, once all the procedures of the licensing process are completed. It could be downloaded by PUCSL officer to get the signatures of the Commission. And scanned copy of the original signed license/exempted shall be uploaded to the online system. Then an email notification shall go to applicant and that shall be downable by the applicant through the system. Template of Generations Licenses – 25 MW or less than 25 MW generation capacity is available as annexure 27.
11. With respect to above said matter, for Licensees, they have only one document called License. But for exempted parties, they have two documents called Gazette and Exemption Certificate.
12. And this system shall provide a dashboard and PUCSL officer shall has the authority to define what parameters are to be displayed in that dashboard. Those indication at the dashboard shall be in both table and graph format.
13. PUCSL has uploaded a list of Licensees and Exempted parties to the website. Currently, PUCSL officer update it manually once a month. But with this new system, that list shall be updated automatically by the system.
14. While processing the application or after the license is granted, there might be some changes occur in applicant side those changes are required to be informed to PUCSL. Ex. Address changes of the applicant, Director board changes of the company, Name changes, Capacity modification of the project, Commissioning date of the power plant. This system shall provide facility to applicant to log in to the system and inform them to PUSCL via this system. And PUCSL officer can view it those and accept or deny. And accordingly, master database shall be updated. Master database shall not be override. It shall keep all the past records. Ex. Consider a company name change. Once the applicant/licensee inform this modification to PUCSL, PUCSL shall keep the history of the name change of the company other than override the old name with new name.

**Other Factors to be considered**

1. Generally, a license is issued for 20 years. Exemption is for 5 years. This system shall keep records of issuing date and expiry date and inform PUCSL officer about those expiration. Because, then applicants have to re submit a new application.
2. The license is become operative with the Commercial Operation Date. At the stage of issuing the license, this COD is not available. Therefore, the system shall send timely emails to applicant inquiring the COD and update the database accordingly.
3. Facility should be provided to applicant save the application at the middle of the filling process and retrieve the same in a later time to complete.
4. Insert PUCSL officer as contact point for applicants to communicate regarding their issues related to filling the application.
5. Make mandatory to fill all the parts of the application.
6. At the moment, this system does not provide facility for online payment. Therefore, applicants have to send the receipt of the payment to PUCSL. Once that receipt is received, PUCSL officer has to upload that with respect to each application.
7. System shall verify all the given email addresses.
8. Need to upload OLD license/exemption database to this system ( an excel of 450 x 50)
9. All email communication shall be copied to Two directors comes with each application
10. Provision shall be given to PUCSL officer to edit the COD of licensees along with the proof documents.