



Electricity Regulation

Licensing, Compliance & Dispute Resolution **Department**

Internal Filing & Archiving Procedure

Version 1
13 April 2012

Table of Contents

	<u>Page</u>
APPLICABLE LEGISLATIONS	3.
CITATIONS	3.
1. PURPOSE.....	4.
2. RECEIPT OF THE APPLICATION BY NERSA	4.
3. FILE OPENING AND ARCHIVING	4.
4. APPLICATION APPROVAL NOTIFICATION	6.
5. RECORD KEEPING.....	7.
6. PUBLISHING OF APPROVED LICENCE ON NERSA WEBSITE	7.
7. ACTIVITIES AND TIME ALLOCATED	8.
8. APPLICATION WORKFLOW PROCESS	9.

APPLICABLE LEGISLATIONS:

- 1. Electricity Regulation Act, 2006 (Act No. 4 of 2006)***

CITATIONS:

- 1. Archiving Files Register***
- 2. Received Licence Application Database***
- 3. Certificate Issuing Database***

1. PURPOSE

- 1.1 To outline the administrative procedure to be followed when archiving new and existing electricity licence applications received in terms of sections 4, 8, 16, and 17 of the Electricity Regulation Act, (Act No. 4 of 2006). It applies only to electricity licence applications received, i.e. new licence issue, amendments, revocations and transfers.
- 1.2 This document will serve as a guideline on the archiving of the electricity licensing and related documents.
- 1.3 The National Energy Regulator of South Africa (“NERSA”) may amend these procedures from time to time to include changes should they arise.

2. RECEIPT OF THE APPLICATION BY NERSA

- 2.1 The application will be received by Registry who will date stamp and record it in the register as evidence of receipt, scan it to provide a backup copy. Should any other department/person within NERSA receive the application, it should be send to Registry for date stamping, recording and re-routing to the relevant department. Recording of the document should include:
 - a) the name of the sender;
 - b) the date the document was received;
 - c) the date the document was dispatched; and
 - d) the name and the signature of the recipient.
- 2.2 Registry will send the application to the Administrator in the Electricity Licensing, Compliance and Dispute Resolution (ELC) Department.

3. FILE OPENING AND ARCHIVING

- 3.1 Upon receipt of the application, the Administrator must record the date the application was received from Registry, capture it in the **Received Licence Application Database** within the Department and do the following:
 - (a) If the application is a new application, the Administrator must:

- i. acknowledge receipt thereof within five (5) working days;
 - ii. allocate a reference number to the application (e.g. NERSA¹/D²/GT422³/13-03-2011⁴); and
 - iii. create a hard copy and electronic files and keep all the information and documentations submitted with the application in the files.
 - (b) If the application is an amendment, transfer or revocation (has an existing file), the Administrator must:
 - i. acknowledge receipt thereof within five (5) working days;
 - ii. pull the existing file from the filing room;
 - iii. sign out the file in the **Archiving Files Register** to indicate that the file has been removed from the filing room;
 - iv. write their name in full when signing out files;
 - v. indicate the date and time when the file is taken out; and
 - vi. update the existing file with new information and documentations.
- 3.2 Files will be kept in the filing room. The Administrator will collect and return files from the filling room and sign out the files in the Archiving Files Register.
- 3.3 Received hard copy applications will be scanned and a folder created wherein the documents will be stored. The folder should bear the same name as the hard copy file created.
- 3.4 The Administrator shall create a main licence folder bearing subfolders (e.g. the licence application documents). They will be classified as follows:
 - a) Application forms
 - b) Newspaper adverts
 - c) Objections

¹ NERSA – National Energy Regulator of South Africa

² D - Distribution

³ GT422 – Demarcation Number

⁴ 13-03-2010 – Date the Application Received

- d) Maps
- e) Consent letters
- f) Confidential information
- g) Letters to and from the Applicant
- h) Public hearing notices
- i) Signed submissions
- j) Aides-memoires
- k) Reasons for Decision
- l) Licence Certificates
- m) Licences
- n) Amended Licences
- o) Transfer Licences
- p) Revoked/Withdrawn Licences.

3.5 The file will then be handed to the Head of Department (HoD) who will assign a member of the Transmission, Generation or Distribution Licensing Unit (Team Leader) to be responsible for the facilitation of the application until it is finalised.

4. APPLICATION APPROVAL NOTIFICATION

4.1 Once the application is approved by the Energy Regulator, then the following approved documents are sent to the applicant by email and registered post by the Administrator:

- a) original copy of the licence certificate;
- b) amended, transferred or new licence;
- c) Reasons for Decision document; and
- d) a notification letter.

4.2 If the applicant is to be issued with a new licence certificate, then the Administrator will also send the signed copy to the applicant.

- 4.3 If the applicant had been issued with a certificate previously, then Administrator only send the amended schedule 1 of the licence signed by the CEO to the applicant.

5. RECORD KEEPING

- 5.1 The Administrator will then file copies of the signed documents sent to the applicant electronically and in hard copy for future reference. The documents are filed for the duration of the licence.
- 5.2 Thereafter, the Administrator will update the **Certificate Issuing Database** on the Intranet accordingly.

6. PUBLISHING OF APPROVED LICENCE ON NERSA WEBSITE

- 6.1 The Administrator will convert the approved hard copy documents to pdf and add the following, before the documents can be published on the NERSA website:
- a) assign a heading/name to the documents;
 - b) ensure that the name/signature of a person who posted the documents on the website and the date to be published has been procured;
 - c) send the documents to Information Resource Management (IRM) department to be publish on the website; and
 - d) inform Communications and Stakeholder Management (CSM) department about the documents.
- 6.2 All approved documents will be posted on the NERSA website, and it will include the following:
- a) approved Reasons for Decision;
 - b) approved new, transferred, revoked or amended licence;
 - c) signed Licence Certificate; and
 - d) any other document/s approved by the Energy Regulator.

7. TIME TABLE AND ACTIVITIES

The table below outlines the activities and the time allocation. The days allocated are working days and does not include public holidays or weekends.

Time Table 1: Activities and Time Allocated

Activity	Time Allocated	Responsible Person(s)
Application received from Registry	1 day	Administrator
Capture application in the Received Licence Application Database	1 day	Administrator
Acknowledgement of Receipt	5 days	Administrator
New Application - File Opening/Creation	1 day	Administrator
Existing File – Pull out existing	1 day	Administrator
Sign out from Archiving Files Register	1 day	Administrator
Scan hard copy Applications	2 days	Administrator
Create folder	1 day	Administrator
Forward to HoD	1 day	Administrator
Send the approved documents to the Applicant	3 days	Administrator
Convert the approved documents to pdf before Publishing on NERSA website	3 days	Administrator
File electronically as Records	1 day	Administrator
File hard copy as Records	1 day	Administrator
Forward approved documents to IRM Dept for posting on the website	2 days	Administrator
Inform CSM Dept about the documents	1 day	Administrator

Flow Chart: Application Workflow Process

