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APPENDIX 1

CODE BOOK FOR REGULATIONS GOVERNING RETAIL COMPETITION IN THE POWER SECTOR OF INDIA

A1.1 INTRODUCTION

This Appendix contains two code books in total. Both code books were developed during the study of Indian Power Sector Regulations and Reports related to retail competition in India. Roots of the study exist in Chapter 6 of this thesis. The Code Book 1.2 is related to the study on ‘Fourth Report of Standing Committee on Energy (2014-15) on Electricity (Amendment) Bill, 2014’ whereas Code Book 1.3 is related to the study on ‘Introducing competition in retail electricity supply in India, a report by Forum of Regulators, 2013’. These code books were used as a tool to develop the conceptual lens for Indian regulations.

A1.2 CODE BOOK: FOURTH REPORT OF STANDING COMMITTEE ON ENERGY (2014-15) ON ELECTRICITY (AMENDMENT) BILL, 2014

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
1	The Bill to amend the Electricity Act 2003 is ELECTRICITY (AMENDMENT) BILL, 2014.	Amend, Electricity Act 2003, ELECTRICITY (AMENDMENT) BILL, 2014	Bill to amend the Act	New bill to amend the EA 2003
2	Committee raised its concern about to take serious note of the commercial losses/leakages. There is imperative need that the third generation reforms /improvements in the electricity /energy sector be initiated.	Commercial losses, leakages, Third generation reforms , improvements, electricity sector	Imperative Need of Reforms	Need of third Generation Reforms
3	Bill gives concentration on Separation of commercial losses, Separation of carriage and content.	Separation, Commercial Losses, Carriage, Content	Focus points of the Bill	Objective of the bill
4	The Electricity Act, 2003 was enacted by the Parliament to consolidate Indian Electricity Act, 1910, the Electricity (Supply) Act, 1948 and the Electricity Regulatory Commissions Act, 1998	The Electricity Act, 2003, Parliament, consolidate, Indian Electricity Act, 1910, the Electricity (Supply) Act, 1948, Electricity Regulatory Commissions Act, 1999	Consolidation of previous act by EA2003	New bill to consolidate previous acts
5	After reviewing past 8-10 years, The Committee had recommended to the Government to amend the Electricity Act, 2003 to further strengthen some of the concepts and also make changes to enable smoother implementation of the Act	Review, Committee, recommend, Government, amend, Electricity Act, 2003, strengthen, concepts, implementation	Committee Recommendation to amend EA 2003	Recommendation to amend existing regulations
6	The proposed amendments seek to usher in inter-alia changes are relating to Grid Security, promotion of Renewable Energy, open access, Separation of Carriage and Content in the distribution sector etc.	Amendments, Grid Security, Renewable Energy, open access, Separation, Carriage, Content, distribution sector	Changes through the EAB 2014	Amendments suggested by the EAB 2014
7	The amendments to the said Act have been proposed to segregate content and carriage by introducing multiple supply licensees in the content based on market principles. Carriage: Distribution sector/network Business. Content : Electricity supply business	Amendments, Act, segregate, content, carriage, multiple supply licensees, market principles, distribution sector, network Business, Electricity supply business	Result of Amendment in Distribution Business	Separation of carriage and content
8	Carriage (distribution network) is proposed to be remain as a regulated activity while the content (Supply) shall be competitive activity.	Carriage, distribution network, regulated activity, content, supply, competitive activity	Competition level in Carriage & Content Business	Competition in Content Business

9	The proposed amendments also provide focus/specifications on recovery of revenue by licensees without any revenue gap, timely filing of tariff petitions. Some other amendments proposed in this act are: Granting deemed licensee, provision of composite electricity bills, installation of smart meters	Amendments, focus, specifications, recovery, revenue, licensees, revenue gap, tariff petitions, Grant, deemed licensee, provision, composite electricity bills, installation, smart meters	Other objectives of amendment by EAB 2014	Certain Other objectives of EAB 2014
10	Moreover, for Appropriate Commissions without affecting their functional autonomy it was felt necessary to improve accountability and transparency in the working. For Central Electricity Authority bill bring clarity in the provisions.	Appropriate Commissions, Functional autonomy, Accountability, Transparency, Central Electricity Authority, provisions	Clarity in the working of Commissions & Authority	Responsibilities of Commission & Authority
11	Ancillary services, in relation to power system or grid operation : means the services necessary to support the power system or grid operation for maintaining power quality, reliability and security of the grid.	Ancillary services, power system, grid operation, grid operation, power quality, reliability, security	Defining the Ancillary Services for Power System	Ancillary Services to Support the power System
12	Meaning of distribution: means the conveyance of electricity by use of distribution system. Area of distribution : The area within which a distribution licensee is authorized by his license to distribute electricity.	Distribution Meaning, conveyance, electricity, distribution system, Area, distribution licensee	Establishing New meaning of Distribution and Distribution Area	Change in the meaning of Distribution
13	Incumbent supply licensee: The entity to which the supply functions and undertakings, other than those vested in the intermediary company, is vested under sub-section (4A) of section 131	Incumbent supply licensee, entity, supply functions, undertakings, Intermediary company	Defining the Incumbent supply licensee and its responsibilities	Defining the Incumbent supply licensee
14	Intermediary company: The entity succeeding to the existing power purchase agreements and procurement arrangements of the relevant distribution licensees on reorganization	Intermediary company, power purchase agreements, procurement arrangements, distribution licensees, reorganization	Defining the Intermediary company and its responsibilities	Defining the Intermediary Company
15	Smart Grid : Smart Grid means an electricity network that uses information and communication technology to gather information and act intelligently in automated fashion.	Smart Grid, , electricity network, information, communication, technology, intelligently, automated fashion	Defining the automated Electricity Network as Smart Grid	Defining the Smart Grid
16	Supply licensee: A person authorized under section 14 to supply electricity to consumers and shall include, incumbent supply licensee	Supply licensee: A person authorized under section 14 to supply electricity to consumers and shall include, incumbent supply licensee	Defining the Supply Licensee as per EAB 2014	Defining the Supply Licensee
17	Provider of last resort: Means the supply licensee who, from time to time, is designated so by the Appropriate Commission.	Provider of last resort: Means the supply licensee who, from time to time, is designated so by the Appropriate Commission.	Defining the POLR as per EAB 2015	Defining the Provider of Last Resort
18	Condition for licence issued under section 14: No person shall transmit/distribute electricity, undertake trading in electricity; or supply of electricity to consumer, unless he is authorised to do so by a licence issued under section 14	Condition, licence, section 14, transmit, distribute, trading, electricity; supply, electricity, consumer, authorise, section 15	License to transmit/Distribute/Trade/Supply Electricity	Need of License under Section 14
19	License is not required for: Generating company/trading licensee for supply of electricity to open access consumer/intermediary company	License, Generating company, trading licensee, supply electricity, open access consumer, intermediary company	License not required in certain conditions	Exemption from License
20	The Appropriate Commission shall not grant licence to more than one distribution licensee in any area of distribution. Provided that where two or more distribution licensees within the same area of distribution are existing they shall continue their operation till such period as specified in their license.	Appropriate Commission, grant, license, distribution licensee, area of distribution, existing, period specified	One Distribution License in an area	One Distribution Licensee in an Area
21	Any person engaged in the business of transmission or supply of electricity under the provisions of the repealed laws or any Act specified in the Schedule on or before the appointed date shall be deemed to be a licensee under this Act for such period as may be stipulated in the licence clearance or approval granted to him under the repealed laws	Person, engaged, business, transmission, supply, electricity, provisions, repealed laws, Act, Schedule, appointed date, deemed, licensee, stipulated, licence clearance, approval	Condition of Deemed License for supply & transmission under certain provisions	Certain bodies as a deemed licensee

22	Any person engaged in the business of distribution on or before the commencement of the Electricity (Amendment) Act, 2014 shall be deemed to have authorization to undertake distribution of the electricity as a distribution licensee and also to supply electricity as a supply licensee till the transfer scheme under clauses (a) and (b) of sub-section (4A) of section 131	Person, engaged, business, distribution, commencement, Electricity (Amendment) Act, 2014, deemed, authorization, undertake distribution, electricity, distribution licensee, supply electricity, supply licensee, transfer scheme	Condition of Deemed License for distribution under certain provisions	Deemed license for distribution
23	Appropriate Commission may grant a licence to two or more persons for supply of electricity within the same area of supply. Provided also that at least one of the supply licensee shall be a Government company or Government Controlled Company. Where a person intends to generate, distribute and supply electricity in a rural area to be notified by the State Government, such person shall not require any licence.	Appropriate Commission, grant, licence, persons, supply, electricity, area of supply, supply licensee, Government company, Government Controlled Company, generate, distribute, supply electricity, rural area, State Government	License by Appropriate Commission to two or more supplier in the same area	Licensing for the Distribution
24	Where a person intends to generate and supply electricity from renewable energy sources, such person shall not require any licence for such generation and supply of electricity	Person, Generate, Supply electricity, Renewable energy sources, licence, generation, supply of electricity	License not required for supply from renewable	Exemption from License for Renewable
25	Supply licensee/shall not require a licence to undertake trading in electricity. Distribution licensee, after effective date of transfer under section 13.4(A), shall not engage in trading or supply of electricity.	Supply licensee, licence, trading, electricity, Distribution licensee, effective date of transfer, trading or supply of electricity	License requirement for trading of electricity by distributor and supplier	License to undertake Trading of Electricity
26	In a case where a distribution licensee was undertaking the distribution of electricity, prior to the commencement of the Electricity (Amendment) Act, 2014, for a specified area within his area of distribution through a franchisee such franchisee shall not be required to obtain any separate licence and such distribution licensee shall remain responsible for distribution and supply of electricity in that area of distribution till the expiry of the existing agreement with the distribution and supply licensee of that area.	Distribution licensee, distribution of electricity, commencement, Electricity (Amendment) Act, 2014, area of distribution, franchisee, separate licence, responsible, distribution and supply, electricity, area of distribution, expiry, existing agreement, distribution, supply licensee of that area.	Working of distribution franchisee till the expiration of licence	Limited work period for distribution franchisee
27	A licence shall continue to be in force for a period of twenty-five years or more as may be specified in the licence, unless such licence is revoked or renewed.	Licence, period, twenty-five years, licence, revoked, renewed.	Validation of license is for 25 years	Period of license validation
28	If Appropriate Commission feels that Distribution & Supply Licensee are unable to discharge the functions or perform the duties imposed them then Appropriate Commission may suspend the licence	Appropriate Commission, Distribution, Supply Licensee, Functions, perform the duties, Appropriate Commission, suspend licence, reasonable opportunity, distribution licensee	License suspense conditions by appropriate commission	Suspension of license by Commission
29	The utilities of the distribution licensee/supply licensee shall vest in the Administrator for a period not exceeding one year after the suspension of licence.	Utilities, Distribution licensee, supply licensee, Administrator, Period, one year, suspension of licence	Vesting of utilities into administrator	Vesting of utilities into administrator
30	The Appropriate Commission shall, within one year of appointment of the Administrator either revoke/suspend the licence.	Appropriate Commission, Appointment, Administrator, revoke, suspend licence	Revocation/Suspension of license in One Year by Commission	Suspension/revoke of license by Commission
31	Condition to sell the utility after suspension - utilities shall be sold within a period of one year from the date of revocation of the licence.	Condition, sell, utility, suspension, utilities, period, one year, date of revocation, licence	Condition to sell the utility on suspension of licence	Selling of the utility on suspension
32	Duty of distribution licensee - It shall be the duty of a distribution licensee to develop and maintain an efficient, coordinated and economical distribution system in his area of distribution and to enable supply electricity	Duty, distribution licensee, efficient, coordinated, economical, distribution system, area of distribution, supply electricity	Duty of Distribution Licensee towards Distribution Network	Duties of Distribution Licensee
33	Provisions for open access- Distribution licensee shall provide non-discriminatory open access to its distribution system as specified by the Appropriate Commission.	Distribution licensee, Non-discriminatory, open access, distribution system, Appropriate Commission	Mandate to provide Open Access by Distribution Licensee	Provision of Open Access
34	Till the transfer of the obligation to supply to the incumbent supply licensee, the existing distribution licensee shall have the obligations to continue to supply electricity in the area of supply	Transfer, obligation, supply, incumbent supply licensee, distribution licensee, supply electricity, area of supply	Obligation to Distribution Licensee for supply for certain period	Distribution Licensee as a supplier

35	Appropriate State Government within a period of one year from the commencement of Act provide for separation of distribution and supply of electricity and for such purpose issue appropriate transfer scheme.	Appropriate State Government, Period, one year, commencement Act, provide, separation, distribution, supply, electricity, issue, transfer scheme.	Transfer scheme for the separation of distribution & supply	Transfer Scheme for the separation
36	Existing power purchase agreements and procurement arrangement will be transferred in the intermediary company.	Power purchase agreements, procurement arrangement, transferred, intermediary company	Transferring of existing PPAs to intermediary company.	Transfer of PPAs
37	Supply functions will be vested in Incumbent supply licensee. Supply licensee other than the incumbent supply licensee shall have the duty to supply electricity progressively based on the load factor of the consumers.	Supply functions, Incumbent supply licensee, Supply licensee, duty to supply, load factor	Duties of Incumbent supply licensee & supply licensee	Duties of ISL & Supply Licensee
38	Any consumer in the area of supply shall have the option to choose any of the supply licensees for supply of electricity.	Consumer, area of supply, option to choose, supply licensees, supply of electricity	Option to choose supplier for consumer	Choice to Consumer
39	The provider of last resort shall have the obligation to supply electricity to the consumers in the area of supply in case the supply licensee chosen by the consumer ceases to be a supply licensee or otherwise his supply licence is suspended for any reason	provider of last resort, obligation, supply electricity, consumers, area of supply, supply licensee, ceases, supply licensee, supply license, suspend	Defining the duty of Provider of Last Resort to protect consumer supply	Duty of Provider of Last Resort
40	It shall be the duty of every supply licensee to arrange for the purchase of electricity including by procurement of electricity from the intermediary company.	Duty, every supply licensee, arrange, purchase of electricity, procurement of electricity, intermediary company	Duty of Supply Licensee to Purchase/Procure the Electricity	Power procurement by Supply Licensee
41	Provision for charges for electricity supplied: fixed in accordance with the methods and the principles as may be specified by the concerned State Commission; Fixed charge may be included in addition to the charge for the actual electricity supplied	Provision, charges, electricity supplied, methods, principles, Specified, concerned State Commission; Fixed charge, actual electricity supplied charge	Provision charges/price/tariff for for electricity supplied	Tariff of supplied electricity
42	Market determined charges/ceiling charge provision: The charges fixed by a supply licensee shall be market determined, Appropriate Commission shall determine a ceiling charge based on the normative costs and standards of performance/supply licensee shall not charge any amount higher than the ceiling charge	Market determined charges, ceiling charge, provision, supply licensee, Appropriate Commission, ceiling charge, normative costs, standards, performance	Price capping/ceiling charge provision for supply licensee	Market determined competitive charges
43	The State Commission shall specify an Electricity Supply Code to provide for recovery of electricity charges, intervals for billing, disconnection of supply, assessment for unauthorized use and theft of electricity, restoration of supply of electricity etc.	State Commission, specify, Electricity Supply Code, recovery of electricity charges, billing intervals, disconnection of supply, assessment, unauthorized use, theft of electricity, restoration of supply of electricity	Defining the Electricity Supply Code by State Commission	Electricity Supply Code
44	Tariff determination for supply of electricity by a generating company to a supply licensee including supply of electricity under a back to back arrangement involving an intermediary company, electricity trader or any other licensee	Tariff determination, supply of electricity, generating company, supply licensee, arrangement, intermediary company, electricity trader	Tariff Determination Method for the supply of Electricity	Determining the Tariff
45	Appropriate Commission may, in case of shortage of supply of electricity, fix the minimum and maximum ceiling of tariff for sale or purchase of electricity. Appropriate Commission cant determine the tariff where the competitive bidding is being followed.	Appropriate Commission, shortage of supply, electricity, fix, minimum, maximum ceiling, tariff, sale, purchase of electricity, Appropriate Commission, determine, competitive bidding	Determination of tariff in certain cases/shortage of electricity	Determining the Tariff for shortage of electricity
46	Tariff determined for retail sale of electricity shall be the ceiling tariff for the respective categories of consumers. Methodology to differentiate amongst the consumers while determining tariff: Consumer's load factor, power factor, voltage, total consumption of electricity, Geographic location etc.	Tariff determined, retail sale of electricity, ceiling tariff, categories of consumers. Methodology, Consumer's load factor, power factor, voltage, total consumption, electricity, Geographic location	Tariff Determination for retail sale is based on certain factors	Ceiling Tariff & Factors of Tariff

47	Relation of State Government to transfer scheme: SG shall draw up a transfer scheme for transfer of such of the functions, the property, interest in property, rights and liabilities of the distribution licensees relating to supply of electricity to a company who shall be the incumbent supply licensee.	Relation, State Government, transfer scheme, transfer, functions, property, interest in property, rights, liabilities, distribution licensees, supply of electricity, incumbent supply licensee	Duty of State Government to draw a transfer scheme as per provision of act	Transfer Scheme by State Government
48	There shall be one mandatory government company in supply business. Consumer will be able to choose their supplier. Consumer being able to source electricity directly from generating companies including captive power plants and trading licensees.	One mandatory government company, supply business, consumer, choose, supplier, source electricity, generating companies, captive power plants, trading licensees	Government supply company and freedom to consumers for their supplier	Choice to Consumer/One Govt Co
49	However, the distribution work will remain with the State Government. Distribution licensee will only operate and maintain the distribution system (wire business) and will not be responsible for commercial supply of electricity	Distribution, State Government, Distribution licensee, operate & maintain, distribution system, wire business, responsible, commercial electricity supply	Certain Duties & Ownership of Distribution Business	State Government owing Distribution

A1.3 CODE BOOK: INTRODUCING COMPETITION IN RETAIL ELECTRICITY SUPPLY IN INDIA, FORUM OF REGULATORS, 2013

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
1	Separation of wheeling business and retail supply business is essential in order to accurately allocate costs, fixed assets, debt servicing, financial losses, etc. to the two functions.	Separation, wheeling business, retail supply business, accurately allocate costs, fixed assets, debt servicing, financial losses	Separation of wheeling and retail supply business	Separation of wheeling & supply business
2	Maintenance of separate accounts and need for proper regulatory accounting. Segregation of assets in order to correctly assess the Gross Fixed Assets (GFA) of each business. The same could also help in assessing depreciation, repair and maintenance charges	Maintenance, separate accounts, proper regulatory accounting, Segregation of assets, Gross Fixed Assets, assessing depreciation, repair, maintenance charges	Maintenance of separate accounts & segregation of assets	Separation of accounts & assets
3	Employees need to be allocated between the two functions, which would help in assessing the employee cost of the distribution business at the time of regulatory tariff setting	Employees, allocated, functions, assessing, employee cost, distribution business, regulatory tariff setting	Separation of employees and employee cost	Separation of Employees
4	Pre Condition: Allocation of technical losses: Allocation of technical losses between the distribution and retail supply business is essential. Pre Condition: Allocation of financial losses: Since retail supply business would necessarily get divested and transferred to a separate owner in due course of time,	Allocation, technical losses, distribution, retail supply business financial losses, divested, transfer, separate owner	Allocation of technical and financial losses into new companies	Allocation of technical and financial losses
5	Allocation of distribution losses: Accurate estimation of distribution losses would be difficult in view of the fact that many states still have unmetered consumers whose consumption. The technical losses can be allocated to Distribution Company and Commercial losses to Supply Co.	Allocation, distribution losses, Accurate estimation, distribution losses, states, unmetered consumers, consumption, The technical losses, allocated, Distribution Company, Commercial losses, Supply Co.	Allocation of technical and commercial losses into new companies	Allocation of technical and commercial losses
6	Cross Subsidy: Regulators should be encouraged to give effect to the National Tariff Policy guideline on gradual elimination of cross subsidies and on tariff being cost-reflective	Cross Subsidy, Regulators, National Tariff Policy, guideline, gradual elimination, Tariff, cost-reflective	Management of cross subsidies	Gradual elimination of cross subsidies
7	Separation of licences - This would clearly demarcate the roles and responsibilities of the two functions namely Distribution Business & Retail Supply Business.	Separation of licences, demarcate, roles, & responsibilities, functions, Distribution Business, Retail Supply Business	Separate licences for Distribution Business & Retail Business	Separate License for Distribution & Supply Business
8	With the separation of licences and responsibilities, procurement of power would become the supply licensee's responsibility. Hence, all existing PPAs signed between generators and the erstwhile Discom shall be	Separation of licences, responsibilities, procurement of power, supply licensee, responsibility, existing PPAs,	Transfer of the Existing Power Purchase agreements to Supply Licensee	Transfer of Power Purchase Agreements

	transferred to the incumbent supply licensee of the area as it is.	generators, Discom, transferred, incumbent supply licensee		
9	Pricing of Electricity : Network Business: Regulated Tariff (Voltage-wise) Supply Business: Regulated Tariff (with a concept of supply margin linked to losses).	Pricing of Electricity, Network Business, Regulated Tariff, Voltage-wise, Supply Business, Regulated Tariff, supply margin, losses	Regulated and Un-regulated pricing of electricity for Distribution & Supply Business	Pricing/Charges of Electricity
10	Capacity Market: Depth of the generation market is important for successful retail competition. It is necessary to ensure that there is enough untied capacity available in the coming years for retail suppliers to be competitive enough	Capacity Market, depth, generation market, retail competition, necessary, ensure, untied capacity, available, retail suppliers, competitive	Enough Generation capacity for the Successful retail competition	Creation of capacity market : Adequate Generation Capacity
11	In a competitive retail market, the size of each generating firm should not be so large as to exert monopoly pressures on power procurement rates.	Competitive retail market, size, generating firm, large, monopoly pressures, power procurement rates	Size of generation team to exert monopoly pressure	Competition in Generation Segment
12	After completion of two years from Day Zero, the designated Authority / Monitoring Committee shall invite applications for Second/Subsequent supply licence. The eligibility criteria for applicants for Second/Subsequent Supply licence may be determined before that.	Completion, two years, designated Authority, Monitoring Committee, applications, Subsequent supply licence, eligibility criteria, applicants, Subsequent Supply licence	Inviting applications for the second/subsequent supply licence in the area	Invite License for the Second Supply License
13	Putting retail competition into implementation: Mandating separate ownership of the distribution wire and retail supply businesses would ensure that conflict of interest is done away with. Ownership separation would ensure that the distribution network licensee cannot be in the retail supply business any longer	Retail competition, implementation, Mandate, separate ownership, distribution wire, retail supply businesses, ensure, conflict of interest, Ownership separation, distribution network licensee, retail supply business	Retail implementation through mandating ownership separation	Implementation of ownership separation
14	Onset of second/subsequent supply licences: Retail competition would be introduced in a phased manner with 1 MW and above consumers first being given the opportunity to choose their own retail supplier from the competitive market.	Onset, subsequent supply licences, Retail competition, introduced, phased manner, 1 MW, consumers, opportunity, choose, retail supplier, competitive market	Onset of second/subsequent supply licences & Consumer choose	Implementing the working of Second Supply Licensee
15	Separation of distribution and retail supply of electricity would ultimately require advanced metering for consumers being served by the DNO / incumbent Discom and those served by the second/subsequent supplier, because in the absence of separate meters, load shedding by the Discom would needlessly impact competitive market customers.	Separation, distribution, retail supply, advanced metering, consumers, DNO, incumbent Discom, second/subsequent supplier, absence, separate meters, load shedding, Discom, impact, competitive market customers	Requirement of advanced metering infrastructure in competitive Market Place	Advanced Metering Infrastructure
16	Provider of last resort has the obligation of offering electricity against some specified tariff to any customer, irrespective of load characteristics or payment record. The intent of this concept is the same as the universal service obligation.	Provider of last resort, obligation, offering, electricity, tariff, customer, load characteristics, payment record, universal service obligation	Offering the electricity at some specified rate/price by POLR	Electricity services & Prices by POLR
17	Competition between deemed supply licensee and second/subsequent supply licensee: The former will have cheaper power purchases but high losses while the latter will have higher power purchases but lower losses and operation costs.	Competition, deemed supply licensee, subsequent supply licensee, cheaper power purchases, high losses, higher power purchases, lower losses, operation costs	Competition between deemed supply licensee and second/subsequent supply licensee	Competition in Supply/Retail Side
18	Further de-regulation of Supply business: Subsequently, the retail supply business shall be made competitive for more and more consumer segments, with competition being introduced in phases:	Deregulation, Supply business, Subsequently, the retail supply business, Competitive, consumer segments, competition, phases	Further Deregulation in the supply business and opening the market in phases	Retail Market opening in Phases
19	Deregulation of less than 500 kW to 1 MW segment, Deregulation of less than 100 kW to 500 kW segment, Deregulation of consumers below 100 kW, including small commercial and domestic consumers	Deregulation, 500 kW - 1 MW segment, 100 kW - 500 kW,, 100 kW, small commercial & domestic consumers	Consumer size and categories for deregulating the market	Market opening consumer category wise
20	Consumer awareness to be generated to encourage consumers to switch suppliers if needed, when faced with competitive options	Consumer awareness, generated, encourage consumers, switch suppliers, competitive options	Need of consumer awareness for the success of market opening	Consumer Awareness for success

APPENDIX 2

CODE BOOK FOR REGULATIONS GOVERNING RETAIL COMPETITION IN THE POWER SECTOR OF NEW ZEALAND

A2.1 INTRODUCTION

This Appendix contains five code books in total. All code books were developed during the study of various Acts, Regulations and Reports related to the retail competition in the power sector of New Zealand. Roots of the study exist in Chapter 6 of this thesis. The code book 2.2 is related to ‘New Zealand Reforms (1980-1990)’. The code book 2.3 is related to the ‘New Zealand Reforms (1991-1999)’. The code book 2.4 is related to the ‘New Zealand Reforms (2000 onwards)’. The code book 2.5 represents the ‘Electricity Industry Reform Act 1998’ and finally code book 2.6 represents the ‘Electricity Industry Reform Amendment Act 2008’. These code books were used as a tool to develop the conceptual lens for global regulations.

A2.2: CODE BOOK: NEW ZEALAND REFORMS (1980-1990)

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
1	NZ Govt was responsible for Electricity Generation & Transmission.	NZ Government, Electricity Generation, Electricity Transmission	Responsibility for Power Generation & Transmission	Power Generation & Transmission
2	Ministry was responsible for Policy advice and regulatory functions.	Ministry, Policy Advice, Regulatory functions	Responsibility around policy and regulatory functions	Responsibility around Regulatory Affairs
3	Problem : There was extensive political involvement in generation investment decisions, project management was not accorded the attention that met current standards, wholesale pricing was (at least in part) determined by political factors, and some supply shortages emerged.	Generation investment decisions, project management, standards, wholesale pricing, political factors, supply shortages	Political involvement in various investment decisions in generation sector	Political involvement & interference
4	61 Electricity supply authorities [ESAs] had the responsibility of Local distribution and Supply.	Electricity supply authorities, Local distribution, Local Supply	Responsibility around Power Distribution & Supply	Power Distribution & Power Supply
5	Electorally oriented, statutory monopolies were the characteristics of ESAs	Electorally oriented, statutory monopolies	characteristics of Electricity supply Authorities	Monopoly in the market
6	Problem: Inefficiency, lack of customer choice and cross-subsidies resulted.	Inefficiency, customer choice, cross-subsidies	Lack of competition and consumer satisfaction	Inefficiencies & lack of other competitive activities
7	Major Problem: This set of circumstances coincided with increasing concern about New Zealand's overall economic performance.	Economic performance	Circumstances of inefficient electricity industry affecting economic performance	Inefficiency effect on Economic Performance
8	In 1986 the government announced to reform its Trading, Generation & Transmission activities.	Trading, Generation, Transmission	Initiation of reforms in sector	Announcement of reforms by Government
9	In 1987 ECNZ was set up, ECNZ was set up under State Own Enterprises.	ECNZ, State Own Enterprises	Set up of new body under public hands	Creation of a new body
10	Policy and regulatory activities were separated out [largely retained in the Ministry of Energy]	Policy, Regulatory activities, Separation, Ministry of Energy	Separation of Policy and regulatory activities	Independent Regulatory & Policy Activities

11	Electricity Task force was made in Dec 87. Members of Members from Government departments, ECNZ and ESAs comprises the Electricity Task force.	Electricity Task force, Members, Government departments, ECNZ, ESAs	Set up of new body under public hands	Creation of a task force
12	The work of Electricity Task force was advice to the Government on the structure and regulatory environment	Electricity Task force, Government, structure, regulatory environment	Advising role of Task Force	Defining work area of task force
13	The Electricity Amendment Act 1987 came into force from 1/1/1988.	The Electricity Amendment Act 1987	Introducing Act - new regulatory regime;	Enactment of a new Act: The Electricity Amendment Act 1987
14	Transpower - subsidiary of ECNZ was introduced to run the transmission network as a subsidiary of ECNZ. Effect : ECNZ, which became solely a generator.	Transpower, subsidiary, ECNZ, transmission network, generator	Introduction of a new body, change in the role	Introducing a subsidiary of existing company
15	Task Force Recommendations came in Sep 89 for various reforms.	Taskforce, Recommendations, Reforms	Task Recommendation force for further reforms	Recommendations for further reforms
16	Major Suggestions: Separate ownership of generation and transmission, No large-scale break-up of generation, Transmission to be owned by a club of generators and distributors, ESAs to be corporatized and privatized	Separate ownership, generation, transmission, club of generators and distributors, ESAs, corporatized, privatized	Further Liberalization of the electricity sector	Separation of Generation & transmission
17	Abolition of Ministry of Energy happened in Dec 89, Roles of Ministry's policy, regulatory and other non-commercial were transferred to Energy and Resources Division (now the Energy & Communications Branch) of the Ministry of Commerce (now the Ministry of Economic Development)	Abolition, Ministry of Energy, Policy, Regulatory, Non Commercial, Energy and Resources Division, Ministry of Commerce	Abolition of present body to Shift role to another newly created bodies	Unbundling of Ministry in 2 separate divisions
18	Corporatization of ESAs (with ownership by local trusts) happened in May 90.	Corporatization, ESAs, local trusts	Restructuring to Corporatize ESAs	Corporatization of Supply Authorities
19	The Transpower Establishment Board was established to oversee the establishment of Transpower as a separate corporate entity from ECNZ, with a plan for "club" ownership of Transpower.	Transpower Establishment Board, Transpower, separate corporate entity, ECNZ, club ownership	Providing the club ownership to Transmission Body	Providing the club ownership to Transmission Body
20	Electric Power Boards Amendment Act, 1990 came into force in Aug 90.	Electric Power Boards Amendment Act, 1990	Enactment of a new Act to amend power boards	Enactment of new act: Electric Power Boards Amendment Act, 1990

A2.3 CODE BOOK: NEW ZEALAND REFORMS (1991-1999)

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
1	The Energy Sector Reform Bill came into existence in 1991. Note : This Bill contained provisions facilitating the corporatization of ESAs and a wide range of regulatory measures. [later split to become five separate acts]	Energy Sector Reform Bill	Introduction of a new bill to facilitate the corporatization of ESAs	Introducing Energy Sector Reform Bill
2	Parliamentary report on wholesale and retail electricity pricing came in 1992.	Parliamentary report, wholesale pricing, retail pricing.	To relook the electricity prices in wholesale and retail prices	A retail pricing report
3	The purpose to make Officials Committee on Energy Policy (OCEP) was to co-ordinate energy policy advice to Government, replacing previous inter-departmental committee arrangements on energy policy issues.	Official Committee on Energy Policy (OCEP), Energy Policy Government, Inter departmental committee arrangements	OCEP to provide policy advisory to Government	Introducing a committee on Energy Policy
4	Energy policy framework came into picture on 6/1/1992, Objective of Energy Policy Framework : to ensure that energy services continue to be available at the lowest cost to the economy, consistent with sustainable development.	Energy policy framework, Energy Services, cost, economy, sustainable development.	A energy policy framework to provide low cost services	Introducing Energy Policy framework

5	The purpose to introduce Energy Companies Act 1992 was Corporatization of the ESAs. Affect : Trust ownership was most favored, Majority private shareholding resulted in some cases.	Energy Companies Act 1992, Corporatization, ESAs, Trust Ownership, Private Shareholding	Enactment of a new Act for corporatization	Introducing a new act: Energy Companies Act 1992
6	Wholesale Electricity Market Study (WEMS) was introduced in Oct 92. WEMS was a private sector initiative which recommended a major evolution of existing market arrangements to provide a predictable price path for wholesale electricity, and to enable some trading at marginal prices. Competition with ECNZ (the dominant generator) was envisaged	Wholesale Electricity Market Study (WEMS), Market Arrangements, price, trading, marginal price, competition	A preliminary study to establish wholesale market. Purpose of wholesale market is defined.	A study to establish the Wholesale markets
7	Energy Efficiency and Conservation Authority (EECA) came into picture in Oct 92.	Energy Efficiency and Conservation Authority (EECA)	Introduction of an authority to improve efficiency	Introducing new body for energy efficiency
8	Through WEMS critique Five Areas for Development was suggested.	WEMS critique	A study to take out suggestions for development	Suggestions for wholesale market
9	Electricity Act 1992 did deregulation (the removal of distributors' statutory monopolies and of the obligation to supply) Etc.	Electricity Act 1992, Deregulation, statutory monopolies, Supply obligation	A new act to remove distributor's monopoly	Removal of distributor monopoly
10	First franchise removal was the first stage of removal of statutory distribution and retail monopolies.	First franchise, statutory monopoly, Distribution, Retail	First step to remove the monopoly in distribution segment	First franchise removal in distribution and retail monopolies
11	Franchise restrictions were removed for small consumers first (i.e. under 0.5 GWh per annum) to avoid the possibility that they might face the costs of a cross-subsidy	Franchise restrictions, small consumers (under 0.5 GWh per annum), costs, cross subsidy	Restrictions removed from small consumers	Removal of Distribution franchisee restrictions
12	Transpower Separation from ECNZ was announced because Club ownership was seen as difficult to implement	Transpower, Separation, ECNZ, Club ownership	Removal of club ownership of Transmission Company	Separation of Companies
13	Govt established Wholesale Electricity Market Development Group (WEMDG) in June 93	Government, Wholesale Electricity Market Development Group (WEMDG)	Group creation to develop the wholesale market	Development Group for Wholesale Market
14	The Government policy on Renewable energy came in June 93	Government policy, Renewable energy	New policy to promote renewable energy	Renewable Energy Policy
15	Electricity market company [The Market place co] was established to support the electricity market framework for wholesale trading.	Electricity market company, the electricity market, framework, wholesale trading	To develop a framework for wholesale trading	Introducing Electricity Market Company
16	In Apr 94, Second franchise removal happen to allow competition in supply to all consumers.	Second franchise, competition, Supply, consumers	Second step to remove distribution monopoly and provide choice to every consumer	Second franchise removal in distribution and retail monopolies
17	Announcement for Transpower Separation in July 1994 was made on Apr 94.	Transpower Separation	An announcement to separate transpower	Separation of transmission company
18	Information Disclosure Regulations came into existence in July 94. These regulations required public disclosure of: Separate audited financial statements for natural monopoly and potentially competitive businesses (and methodologies) etc.	Information Disclosure Regulations, public disclosure, Separate audited financial statements, natural monopoly, competitive businesses, methodologies	Various disclosure regulations to fetch out the necessary information.	Information Disclosure Regulations
19	In Aug 94, WEMDG report to Government to Earliest establishment of competitive wholesale market came.	WEMDG report, competitive wholesale market	A report to recommend early establishment of wholesale market.	Report on Competitive wholesale market
20	"ECNZ and Contact Energy" two companies were formed through ECNZ restructuring done by Government.	ECNZ, Contact Energy, restructuring, Government	Restructuring to unbundle a company	Restructuring of Industries
21	In Feb 96, the Contact Energy commenced operations as an SOE generator in competition with ECNZ.	Contact Energy, SOE generator, ECNZ	Another generation company to increase competition	Introducing Competitive player in Generation
22	The Wholesale electricity market [New Zealand Electricity Market (NZEM) was commenced in Oct 96.	Wholesale electricity market, New Zealand Electricity Market	Commencement of Wholesale electricity market	Introducing Wholesale Electricity Market
23	The objectives of Transpower were revised to continually improve the efficiency of transmission services.	Objectives, Transpower, efficiency, transmission services	Revision in objectives to improve the efficiency	Revision in terms to improve efficiency
24	In Apr 98, Government announced a package of reforms to generation, distribution and retail.	Government announced, package, reforms, generation, distribution, retail	Government announcement for further reforms	Announcement of further reforms by Government

25	ECNZ Split into three SOEs - Huntly and Tongariro; Waikato hydros; Waitaki and Manapouri happened in Apr 98.	ECNZ, Split, SOEs, Huntly, Tongariro; Waikato hydros, Waitaki, Manapouri	Unbundling of company	Separation of Generation Company
26	The Ownership Separation of Line & Energy Business was done in Apr 98	Ownership Separation, Line Business, Energy Business	Ownership separation in Distribution Business	Ownership unbundling of Carriage and Content Businesses
27	ODV handbook was issued for valuing lines businesses.	ODV handbook, valuation, line business	Regulation handbook for the valuation of line business	Valuation of line business
28	Government to published improved analysis of disclosed information to enable better comparisons of the performance of power companies.	Government, publish, disclosed information, power companies	Improved analysis parameters for better comparisons	Information Disclosure Regulations
29	Govt. established low-cost switching arrangements to enable customers to change retailers;	Government, low-cost switching arrangements	Low cost of switching to enable change in retailers	Consumer switching between suppliers
30	Electricity Industry Reform Act 1998 required full ownership separation of distribution (lines) businesses from supply (retail and generation) businesses.	Electricity Industry Reform Act 1998, full ownership separation, distribution (lines) businesses, supply (retail and generation) businesses	An act to mandate full ownership unbundling to remove conflict of interest	Introducing a new act: Electricity Industry Reform Act 1998 for full ownership separation
31	Act Encouraged competition in Generation & Retail. Act Prevented cross subsidization of generation and retailing from lines customers.	Competition, Generation, Retail, cross subsidization, lines customers	Encouraging competition and handling subsidy issue	competition in Generation & Retail
32	Cross ownership restrictions were subsequently relaxed twice to allow lines businesses to own some generation and to sell the output from those stations.	Cross ownership restrictions, lines businesses, generation	Allowing retailers to own generation to secure power	Cross ownership restrictions
33	Timeline for Mandatory Separation of Ownership of electricity lines & Supply business timeline was established as Dec 31, 2001	Mandatory Separation, Ownership, Electricity lines, Supply business	Timeline for mandatory ownership separation of carriage and content	Mandate for ownership separation of line and supply business
34	Timeline to undertake interim corporate separation was established as 4/1/1999.	Interim corporate separation	Timeline for mandatory corporate separation	Corporate separation mandate
35	In the event, the industry chose to move more quickly & by April 99 it completed ownership separation.	industry, ownership separation.	Completion of ownership separation before timeline	Completion of ownership separation
36	Revised Information Disclosure Regulations removed disclosure requirements from retailers and generators.	Revised Information Disclosure, Regulations, retailers, generators	Removing of Disclosure Mandates from certain bodies	Revised information disclosure regulations
37	Industry introduced self-governing arrangements for grid security in Nov 99. Electricity Industry Inquiry was setup to identify changes were needed to ensure to have the best possible electricity system.	Industry, self-governing arrangements, grid security, Electricity Industry Inquiry, electricity system.	Introduction of various measures to secure the grid	Grid Security Measures

A2.4 CODE BOOK: NEW ZEALAND REFORMS (2000 ONWARDS)

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
1	The objective of Energy Policy Framework is to ensure the delivery of energy services to all classes of consumers in an efficient, fair, reliable and sustainable manner.	Objective, Energy Policy Framework, Energy services, consumer class	A new policy framework to ensure quality energy services	Energy Policy Framework
2	The power package in New Zealand was announced in Oct 2000.	Power Package	Power package to support the sector	Introducing Power Package
3	Purpose to establish Electricity Governance Establishment Committee was to establish an Electricity Governance Board/to create a single governance structure for the electricity industry.	Electricity Governance Establishment Committee, Electricity Governance Board, single governance structure, electricity industry.	Introduction of single governance structure for electricity industry.	Electricity Governance Establishment Committee
4	Electricity Industry Bill came into force in Nov 2000. Electricity Industry Bill 2000 was enacted in Aug 01.	Electricity Industry Bill	A new bill for further reforms	Introducing a new bill : Electricity Industry Bill 2000

5	Government Policy Statement required the electricity sector to establish a new electricity governance board.	Government Policy Statement, electricity governance board	Establishment of new electricity governance board	Introducing Electricity Governance Board
6	Commerce Commission may now control the price or revenue of electricity line businesses	Commerce Commission, price, revenue, electricity, line businesses	Role of commerce commission in revenue and price control	Price control by Commerce commission
7	Slight relaxation of rules on ownership of electricity generation by lines companies	Ownership, electricity generation, lines company	Rule relaxation to own electricity generation	Relaxation on ownership rules
8	The purpose of the Establishment of Electricity Complaints Commission was to assist resolving complaints about electricity lines or retail companies.	Electricity Complaints Commission, electricity lines, retail companies	Introduction of a new body to assist the grievances	Introducing Electricity Complaints Commission
9	The purpose of Government Policy Statement on Financial Transmission Rights was to make new arrangements to manage wholesale electricity price risks caused by transmission line congestion	Government Policy Statement, Financial Transmission Rights, wholesale electricity price risks, transmission line congestion	Introduction of new policy statement on FTR to manage price risk in wholesale electricity market	Financial rights to manage wholesale electricity price
10	Purpose of the Establishment of Electricity Commission to take over governance of the electricity industry.	Electricity Commission, Governance, Electricity industry	Establishment of new electricity governance board	Governance of electricity industry
11	Electricity (Low Fixed Charge Tariff Option for Domestic Consumers) Regulations 2004 - New regulations came into force compelling all electricity retailers to make available a domestic tariff.	Electricity Regulations 2004, Fixed Charge, Tariff Option, Domestic Consumers, New regulations, electricity retailers, Domestic tariff.	New regulations directing retailers to provide domestic tariff	Introducing Electricity Regulations 2004: Govern retailer price
12	Electricity and Gas Industry bill came into force in Oct 2004.	Electricity and Gas Industry bill, 2004	A new bill in the industry for further reforms	Introducing a new bill: Electricity and Gas Industry bill
13	New Government Policy Statement on Electricity Governance set the priorities for Electricity Commission	New Government Policy Statement, Electricity Governance, Electricity Commission.	New policy system to strengthen the electricity governance	New Government Policy Statement for Electricity Commission
14	Managing security of supply and implementing the reserve energy mechanism	Security, Supply, reserve energy mechanism	A mechanism Enhancing supply security	Supply Security
15	The purpose to introduce Resource Management and Electricity Legislation Amendment Act was to made amendments to the Electricity Act 1992 to improve the quality.	Resource Management, Electricity Legislation Amendment Act, amendments, Electricity Act 1992	An amendment to improve the quality	Government Policy Statement on Electricity Governance
16	In Investment regime for transmission and distribution, Two draft Government policy statements to encourage investment in infrastructure were released.	Investment regime, transmission, distribution, draft Government policy statements, investment, infrastructure	Policy to strengthen the infrastructure	Investment draft for transmission and distribution
17	Objective of Updated revised Government Policy Statement was to Emphasize the importance of security of supply in transmission, including in extreme events, by providing for diversity of supply routes, especially for large load centers.	Government Policy Statement, Security of supply, Transmission, diversity, supply routes, load centers	A policy statement to emphasis the supply infrastructure	Government Policy Statement to secure supply
18	The electricity market review concluded that the performance of electricity market arrangements had been mixed; areas identified for further work.	Electricity market review, electricity market arrangements	A review to identify the performance of electricity market	Review of electricity market
19	Distributed Generation regulations came into force in Aug 07, New Zealand Energy Strategy came into force in Oct 07. Revised New Zealand Energy Efficiency and Conservation Strategy came into force in Oct 07	Distributed Generation regulations, New Zealand Energy Efficiency and Conservation Strategy	Introduction of new regulation and strategy	Strategy for Energy Efficiency and Distribute Generation
20	National Policy Statement on Electricity Transmission considered the national significance of a reliable and secure electricity supply.	National Policy Statement, Electricity Transmission, reliable, secure, electricity supply	Introduction of a new policy statement for supply security	New policy statement on Electricity Transmission

21	Electricity Commission developed new guidelines for disconnections regarding the concerns about the disconnection practices of electricity retailers.	Electricity Commission, guidelines, disconnections, disconnection practices, electricity retailers	New guidelines regarding the disconnection practices	Guidelines for Disconnection by retailer
22	New transmission pricing methodology came into force in Apr 08.	Transmission pricing methodology	New pricing mechanism for transmission charges	Transmission pricing methodology
23	Key focus areas to Review of electricity market design by EC - Retail competition and prices, energy affordability and methods of paying electricity generators.	Review, electricity market design, Retail competition, prices, energy affordability, electricity generators	Focused review of electricity market	Review of electricity market design
24	Electricity Industry Reform Amendment Act Implemented three main policy changes.	Electricity Industry Reform Amendment Act	An act to introduce significant policy changes	Introduction of new act: Electricity Industry Reform Amendment Act
25	1. Made it easier for owners of lines businesses to sell the output of the generation 2. Objective was to encourage the owners of lines businesses to invest in permitted generation	Owners, lines businesses, generation, Objective, encourage, lines businesses, invest	A rule to attract line owners to invest in generation	Line business interest in Generation business
26	3. Lowering the cost of corporate separation and compliance with arm's-length rules by 4. Allowing the same person to be a director of both lines and supply (generation and retailing) businesses	Cost, corporate separation, arm's-length rules, same person, director, lines, supply, generation, retailing	A rule to lower down the cost of separation	Reducing the cost of corporate separation
27	Commerce Amendment Act put in place improved regulatory regimes for electricity lines businesses. An objective was to provide for efficient and cost-effective regulation of infrastructure services, such electricity lines businesses, which are not subject to competition.	Commerce Amendment Act, regulatory regimes, electricity lines, efficient, cost-effective regulation, infrastructure services, electricity lines businesses, competition.	Improved regulation for line (natural monopoly) business	Commerce Amendment Act: improved regulations for line business
28	The Act required the Commission to set input methodologies for electricity lines businesses by 30 June 2010. The Act also provided for 100 percent consumer-owned lines businesses	Act, Commission, input methodologies, electricity lines, consumer-owned lines businesses.	To describe input methodologies, more customer centric business	Input methodology for line business
29	Electricity (Continuance of Supply) Amendment Bill was introduced in Sep 08	Electricity (Continuance of Supply) Amendment Bill	Introduction of a new bill for supply segment	New Bill: Electricity (Continuance of Supply) Amendment Bill
30	Purpose of Ministerial review of electricity market to examine market design and regulation and governance issues.	Ministerial review, electricity market, market design, regulation, governance issues	A review of electricity market design by Ministry.	Ministerial review of electricity market design
31	Commerce Commission opened an investigation to identify whether any participants in the wholesale or retail electricity markets may have breached Part 2 of the Commerce Act	Commerce Commission, investigation, identify, participants, wholesale, retail electricity markets, breached, Commerce Act	An investigation to identify if participants of market are following the rules	Investigation by commerce commission for participating rules
32	Outcome of Ministerial Review of Electricity Market came in Dec 09. Initiatives to increase security of supply included, Initiatives to ensure effective governance included	Ministerial Review of Electricity Market, Initiatives, security of supply, effective governance	An initiative to increase the supply security & effective governance	Outcome of Ministerial review
33	Advanced Metering Infrastructure (AMI) recommendations were given in March 10.	Advanced Metering Infrastructure, recommendation	Recommendations to strengthen the metering services	Electricity (Continuance of Supply) Amendment Bill
34	Electricity and Gas Complaints Commission (EGCC) Scheme - EGCC is the single electricity and gas complaints scheme to which all retailers, lines companies and Transpower must belong.	Electricity and Gas Complaints Commission (EGCC) Scheme, single electricity and gas complaints scheme, retailers, lines companies, Transpower	A single window grievance handling system	Introducing: Electricity and Gas Complaints Commission (EGCC) Scheme
35	Electricity Industry Act, 2010 replaced Electricity Act 1992.	Electricity Industry Act, 2010; Electricity Act 1992	Enactment of a new Act	Introducing a new act: Electricity Industry Act, 2010
36	Act disestablished the Electricity Commission and replaced it with an Electricity Authority.	Disestablished, Electricity Commission, Electricity Authority	An establishment of Electricity Authority	Electricity authority in place of Electricity Commission

37	Act allowed line businesses back into retailing. Act incorporated revised continuance of supply provisions	Act , line businesses, retailing, supply provisions	Permission to Line business for retailing	Line business participation in retail business
38	Act incorporated provisions relating to ownership separation of electricity distribution from supply.	provisions, ownership separation, electricity distribution, supply	Provisions to unbundle distribution and supply	Ownership separation in Distribution
39	Electricity Authority and +Ministry of Consumer Affairs established the consumer switching fund.	Electricity Authority, Ministry of Consumer Affairs, consumer switching fund	A fund to facilitate consumer switching	Consumer switching fund
40	Virtual asset swap contracts between the SOE electricity retailing companies were designed to help promote retail competition.	Virtual asset, swap contracts, SOE, retailing companies, promote retail competition	Virtual contract to promote retail competition	Designing the virtual contracts

2.5 CODE BOOK: ELECTRICITY INDUSTRY REFORM ACT 1998

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
1	This Act may be cited as the Electricity Industry Reform Act 1998.	Act, Electricity Industry Reform Act 1998	Enactment of a new act	Enactment of a new act
2	Part 2 (ownership separation rules and exemptions) is deemed to have come into force on 23 June 1998.	ownership separation, rules, exemptions, deemed, 23 June 1998	Rules for ownership separation	Ownership Separation
3	Purpose : To Ensure that costs and prices in the electricity industry are subject to sustained downward pressure	Purpose, costs, Prices, electricity industry, sustained, downward pressure	Purpose of ownership separation	Ownership Separation
4	Purpose : that the benefits of efficient electricity pricing flow through to all classes of consumers	Benefit, efficient electricity pricing, classes of consumers	Benefits to all classes of consumers	Benefits to consumers
5	Act does: effectively separating electricity lines from generation and retail	Act, separation electricity lines, generation & retail	Separation of electricity lines and generation	Separation/Unbundling
6	Act does: promoting effective competition in electricity generation and retail	effective competition, electricity generation, retail	Competition in Generation & Retail	Competition in Generation & Retail
7	Purpose : to prohibit certain involvements in electricity lines and electricity generation and retail that may create incentives or opportunities	Purpose, Prohibit, involvements, electricity lines, electricity generation, retail, incentives, opportunities	Prohibition of certain involvements	Prohibition of certain involvements
8	To restrict relationships between a business that has involvement in electricity lines and a business that has involvement in electricity generation or retail	Restrict, relationships, business, involvement, electricity lines, involvement, electricity generation, retail	Restriction of relationship in businesses	Electricity Lines & Generation
	Part 1 : Separation of lines and supply— Preliminary provisions : Interpretation	Separation, lines, supply, Preliminary provision, Interpretation	Part I: Separation of Lines & Supply	
9	Ownership separation rules means the rules in sections 17 to 17C and section 20 (non-specific interests rule)	Ownership separation rules, non-specific interests rule	Ownership Separation Rules	Rules for Ownership Separation
10	Business A: refers to a business that would have to have its ownership separated under sections 17 to 17G. Business B: refers to a business from which business A must be separated under those sections.	Business A, business, ownership separated, Business B	Separation rule for Business A & Business B	Business Separation Rules
12	Person Involved in Line : if the person conveys electricity by the line, or owns or operates, directly or indirectly, the line or any other assets used in connection with the line	Person, Involvement, Line, Conveys, electricity, line, owns, operates, directly , indirectly, line, other assets, connection, line	Defining the involvement of person in line business	Defining the involvement [Line Business]
13	Person Involved in Generation : in any generation if the person generates electricity from the generator, or owns or operates, directly or indirectly, the generator or any other assets	Person, Involvement, Generation, electricity, generator, operates, directly, indirectly, generator, assets	Defining the involvement of person in generation business	Defining the involvement [Generation Business]
14	Person Involved in Selling : in selling electricity to a customer if the person sells to the customer either on its own or another's behalf	Person, Involvement, Selling, Customer, sells	Defining the involvement of person in selling	Defining the involvement [Selling]

15	Measure Involvement: section 17A (connected generation cap),17C (connected customers selling cap), 17D (threshold for corporate separation and arm's-length rules)	Measure Involvement, connected generation cap, connected customers selling cap, threshold for corporate separation, arm's-length rules	Measurement of Involvement for Capping	Involvement Measurement
18	Meaning of 10% threshold : A person exceeds the 10% threshold in respect of an electricity business if the person [Various Terms]	Meaning, 10% threshold, Person, exceeds, an electricity business	Implications of 10% threshold	Meaning of 10% threshold
19	Control right means a voting right attaching to a voting security. Equity return right: a person has an equity return right in relation to a business if the person has a right.	Control right, voting right, voting security, Equity return right, a person, equity return right, business	Defining Control Rights & Equity Return Rights	Control Rights & Equity Return Rights
21	Equity returns means: profits of the business; or distributions from the business; or other equity returns from the business	Equity returns, profits, business, distributions, business	Defining the Meaning of Equity Returns	Equity Returns
22	Material influence: A director or manager of a person that carries on the business/Variou provisions	Material influence, director, manager, person, carries, business, Various provisions	Defining the Meaning of Material Influence	Material Influence
23	Associate: For the purposes of this Act, person A is an associate of person B (and vice versa) if person A is a body corporate, and person B is a director of that body corporate/Other provisions	Associate, purpose, Act, person A, person B, body corporate, person B, Director, body corporate.	Define the meaning of Associate	Associates in the Business
24	This Act does not apply to the Crown	Act, Apply, Crown	Crown is exempted from the provisions of Act	Applicability of the Act
	Part 2 Separation of lines and supply—Rules and exemptions [Ownership separation]	Separation of lines & supply, Rules and exemptions, Ownership separation	Separation of lines & supply, Rules and exemptions, Ownership separation	Separation of Businesses
25	Ownership Restriction : The purpose of this section is to prevent a person being involved both in a line, and in generation or supply, in certain circumstances.	Ownership Restriction, Purpose, prevent, a person, involved, line, generation, supply	Ownership Restriction Rules for Line, Generation & Supply Business	Ownership Separation
26	It is a contravention of this Part if a person has an involvement that is a breach of either or both of the following: (a) the connected generation cap: (b) the connected customers selling cap.	Contravention, a person, involvement, breach, the connected generation cap, the connected customers selling cap	Contravention/breaching according to Capping Rules	Capping Rules
27	Connected generation cap rule: The connected generation cap is breached by a person if [Certain Rules]. Generation form certain sources [Renewable etc.] is not counted for the purpose of section 17A (but is counted for the purposes of section 17D, which relates to the threshold for corporate separation and arm's-length rules.	Connected generation cap, rule, breached, person, Generation, sources, Renewable, purpose, counted, threshold, corporate separation, arm's-length rules	Rules for connected generation Cap	Connected generation Cap
29	Connected Selling Cap Rule: The connected customers selling cap is breached by a person if the person is involved in selling more electricity than the equivalent of the person's qualifying generation	Connected Selling Cap Rule, breached, person, involved, selling, electricity, equivalent, person's qualifying generation	Rules for Connected Selling Cap	Connected Selling Cap
	Corporate Separation and Arm Length's Rule			
30	A business is a connected electricity business if the business, or a person involved in the business, has an involvement in more than 10 MW (determined according to nameplate or nameplates) of connected generation	Business, connected electricity business, person involved, involvement, >10 MW, Determined, nameplate, connected generation	Defining the Connected Electricity Business for corporate Separation	Electricity Business & Corporate Separation
31	Corporate separation and arm's-length rules imposed: Line business for different company that carries generation	Corporate separation, arm's-length rule, Line business, company, carries, generation	Corporate separation for Line Business	Corporate separation
32	Use-of-systems agreements rules for businesses with 5 MW or more of connected generation	Use-of-systems agreements, rules, businesses, 5 MW, connected generation	Use-of-systems agreements for > 5 MW connected generation	Use of system agreement
33	Exemption for Transpower New Zealand Limited for purpose of deferring investment in national grid	Exemption, Transpower, New Zealand Limited, Deferring investment, National grid	Investment Exemption for Transmission Company	Investment Exemption
	Application of ownership separation rules to trust-like interests	Application, ownership separation rules, trust like interests	Ownership Separation Rules for Trust Like Entities	Ownership Separation Application
34	That ownership separation is required of trust-like entities where there are significant levels of membership overlap	Significant level, membership overlap	Ownership Separation on Membership Overlap	Ownership Separation rules

35	No person (person A) may exceed the overlap threshold with another person (person B) where [Certain rules]	person, person A, exceed, overlap threshold, person B	Exceed Limit of Overlap Threshold	Overlap threshold
36	Reverse Overlap : In subsection (2)(d) means person B exceeds the overlap threshold with person A as if that term had the meaning set out in section 3, but applied also to person B.	Reverse Overlap, person B, exceeds, overlap threshold, person A	Defines the condition of Reverse Overlap	Reverse Overlap
37	Local Overlap : exists with the trust-like entity when the members of the trust-like entity substantially comprise people or organizations in the community of the local authority	Local Overlap, trust-like entity, members, trust-like entity, people, organizations, community, local authority	Defines the condition of Local Overlap	Local Overlap
38	A person participates in a trust-like entity when it has: expectancies receivable alone, or with any group of associates, in respect of benefits from the trust-like entity which are equivalent in significance to 10% or more.	Person, participates, trust-like entity, expectancies receivable, group, associates, benefits, trust-like entity, equivalent, Significance, 10%	Rules for the trust like entities	Trust like entities
39	Trust-like entity means any person in which non-specific interests are held.	Trust-like entity, person, non-specific interests	Defining the trust like entities	Trust like entities
40	Section Repealed: Compliance with ownership separation rules, Agreements and negotiations leading to separation, Corporate separation, Arms length rules, Exemption for existing involvements until separation	Section Repealed, Compliance, ownership separation rules, Agreements, negotiations, Corporate separation, Arms length rules, Exemption, involvements	Telling the Section Replaced	Repealing of Section
45	Exemption for acquisitions of one person's cross-involvements, Ban on expansion in cross-involvements	Exemption, acquisition, cross involvements, expansion	Rules for Cross Involvement in Business	Cross Involvement in Business
Options for persons wishing to expand				
47	Exemption for any involvement in single unseparated business, Exemption for companies with direct ownership, Exemption of mirror trusts from ownership separation rules	Exemption, involvement, unseparated business, Companies, Direct ownership, Mirror Trust, Separation Rules	Exemption rules from Certain Involvement & Businesses	Exemption rules, Certain Involvement, Businesses
50	No expansion of control by trust-like agencies in electricity supply	Expansion of control, trust-like agencies, electricity supply	Expansion of control, trust-like agencies	Expansion of control, trust-like agencies
Part 3: Separation of lines and supply— Enforcement and penalties, Taxation				
51	Disclosure as to electricity sold to connected customers within local network area. Every person who sells electricity to connected customers must provide to the Commission [End of financial year]	Disclosure, Electricity, connected customers, local network area, Person, sells, electricity, connected customers, Commission, Financial Year	Disclosure Regulations, local network area	Disclosure Regulations
Part 6: Price restraint for line charges for domestic and rural consumers - Regulations relating to charges for line function services				
Schedule 1 s 3(1) Arm's-length rules				
54	objective of this schedule is to ensure that connected electricity businesses operate at arm's-length.	Objective, schedule, ensure, electricity businesses, operate, arm's-length	Defining Objective of Arm Length Rules	Objectives of Arm Length Rules
55	Without limiting the ordinary meaning of the expression, arm's-length includes having relationships, dealings & transactions	Limiting, ordinary meaning, expression, arm's-length, relationships, dealings & transactions	Defining inclusion of Arm Length Rules	Relationship in Arm Length Rules
56	Arm's-length rules : Duty to ensure arm's-length objective is met, Arm's-length rules : Duty not to prefer interests of business B, Duty not to discriminate in favor of business B	Arm's-length rules, Duty, ensure, arm's-length, objective, met, Prefer, Interest, Business B, Discriminate	Arm Length Rules for Businesses to meet objectives	Duties by Arm Length Rules
59	Arms length rules : Duty to focus on interests of right ultimate owners, Duty of directors and managers of parents of business A, At least 1 independent director	Arms length rules, duty, focus, interests, right ultimate owners, Directors, managers, business A, 1 independent director	Duties of Owners & Directors under Arm Length Rules for Businesses	Duties by Arm Length Rules
62	No cross-directors who are executive directors: A director of business A may be a director of business B, but must not manage business B on a day-to-day basis	Cross directors, executive directors, director, business A, business B	Arm Length Rules for Cross Directors	Arm Length Rules for Cross Directors

63	Separate management rule : This clause applies if business A is involved in more than 30 MW	Separate management rule, business A, 30 MW, involvement	Separate Management Rules for Different Businesses	Business Management Rules
64	A manager of business A must not— (a) be a manager of business B; or associate. Directors and managers must not be placed under certain obligations	Manager, Business A, Manager, Business B, Associate	Rules for Manager of Business	Business Management Rules
66	Restriction on use of information: Business A must not disclose or permit the disclosure to business B	Restriction, use of information, Business A, disclose, permit, disclosure, business B	Restriction rules for use of information	Restriction for use of information
67	Restricted information is information received or generated, held by business A which is not available to the competitors. Transaction between business should be registered/recorded	Restricted information, generated, business A, competitors, Transaction, business, registered, recorded	Restriction particulars of Information, Transaction between businesses	Transition between Businesses
69	The arm's-length rules in clause 2 do not limit the generality of the arm's-length objective in clause 1	Arm's-length rules, clause 2, limit, generality	Provisions for Generality of Arm length Rules	Generality of Arm length Rules
70	common parent, in relation to business A and business B, means a person that is involved in both business A& B	Common parent, business A, business B, Involvement	Define the meaning of Common Parent	Parents by Arm Length Rules
71	Parent, in relation to a business, means every person that is involved in the business	Parent, business, every person, involved	Define the meaning of Parent	Definition: Parent meaning

2.6 CODE BOOK: ELECTRICITY INDUSTRY REFORM AMENDMENT ACT 2008

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
1	This Act is the Electricity Industry Reform Amendment Act 2008, Principal Act amended: This Part amends the Electricity Industry Reform Act 1998.	Electricity Industry Reform Amendment Act 2008, Electricity Industry Reform Act 1998	New Industry Reform Amendment Act	Enactment of new act
3	The purpose of this Act is to better ensure - that costs and prices in the electricity industry are subject to sustained downward pressure. Purpose that the benefits of efficient electricity pricing flow through to all classes of consumers	Purpose, Act, costs, prices, electricity industry, onward pressure, benefits, efficient electricity pricing, classes of consumers	Purpose of the act to reduce price	Purpose of the act
5	Act does effectively separating electricity lines from generation and retail where those activities are co-located	Act, electricity lines, generation, retail, activities, co-located	Separation of Electricity Lines from Generation & Retail	Separation/ unbundling
6	Act does promoting effective competition in electricity generation and retail;	Act, Promotion, effective competition, electricity generation & retail	Promotion of Effective Competition by the Act	Promotion of Competition
7	The particular purpose of Parts 1 to 3 and 5 (separation of lines and supply) is to inhibit competition in the electricity industry; or	Separation, lines, supply, inhibit competition, electricity industry	Introducing of competition: Purpose 1	Introducing Competition
8	above point + to cross subsidize generation or retail activities from electricity lines activities	Cross subsidize generation, retail activities, electricity lines activities	Concept of Cross Subsidisation in Generation & Retail	Cross Subsidisation
9	above point + to restrict relationships between a business that has involvement in electricity lines and a business that has involvement in electricity generation or retail	Restrict, relationships, business, involvement, electricity lines, electricity generation, retail	Restriction of relationship/cross ownership in Two Businesses	Cross Ownership
10	Connected customer means the electricity is conveyed to that consumer on a line in which the person is involved;	Connected customer, electricity, consumer, line, person, involved	Define the meaning of Connected Consumers	Connected Consumer
11	Line means works that are used or intended to be used for the conveyance of electricity, and includes a wire or cable	Line, intend, conveyance of electricity, includes, wire, cable	Define the meaning of Line Works	Line Business

12	nameplate means the full load continuous rating of a generator under specific conditions as designated by its manufacturer	Nameplate, full load, continuous rating, generator, specific conditions, designated, manufacturer	Define the meaning of Nameplate of ratings	Nameplate/Connected Generation
14	Business A: It refers to a business that would have to have its ownership separated under sections 17 to 17G	Business A, business, ownership separate	Defining Business A for ownership separation	Definition of Business A
15	Business B : It refers to a business from which business A must be separated under those sections.	Business B, business, business A, separated	Defining Business B for ownership separation	Definition of Business B
16	Involved meaning : For the purposes of this Act, a person is involved [Certain provisions], Measure Involvement: This section applies for the purposes of calculating the caps and thresholds referred to in the certain sections	Involved, Act, Person, Measure Involvement, purposes, calculating, caps, thresholds, certain sections	Define the meaning of involvement	Involvement Meaning & Measurement
18	Meaning of Associate: Person A is a limited partnership or an overseas limited partnership and person B is a general partner or a limited partner	Associate, Person A, limited partnership, overseas limited partnership, person B, general partner, limited partner	Define the meaning of Associate	Define the Associate
Ownership Separation				
19	Ownership separation rules means the rules in sections 17 to 17C and section 20The purpose of this section is to prevent a person being involved both in a line, and in generation or supply, in certain circumstances	Ownership separation rules. Prevent, person, involvement, line, generation, supply, circumstances	Rules for ownership separation	Rule for ownership separation
20	A business is a connected electricity business if the business, or a person involved in the business, has an involvement in more than 10 MW	Business, connected electricity business, business, person, involved, involvement, >10 MW	Defining the connected electricity business	Connected Electricity Business
21	Every person or persons who carry on a connected electricity business must carry on the business involving the relevant line in a different company	Every person, connected electricity business, business, relevant line, different company	Business of line by connected electricity business	Involvement in Connected Electricity Business
22	Use of systems agreements rules for businesses with 5 MW or more of connected generation	Use of systems agreements, rules, businesses, 5 MW, connected generation, Terms, agreement, discriminate, favor	Use of systems agreements rules	Use of System Agreements
24	Exemption for Transpower New Zealand Limited for purpose of deferring investment in national grid	Exemption, Transpower, New Zealand Limited, deferring investment, national grid	Exemption to Transpower to defer investment	Investment exemption for Transpower
25	Transpower is not involved in that person's electricity generation for the purposes of this Act.”	Transpower, electricity generation	Transpower in generation activity	Transmission Co in Generation
27	For the purposes of this Act, no account is to be taken of a person's involvement in a line that - is not connected, directly or indirectly, to the national grid:	Purpose, Act, account, person's involvement, line, national grid	Involvement in Line Business for National Grid	Connected to : National Grid
29	Conveys electricity only from a generator to the national grid or from the national grid to a generator:	Electricity, generator, national grid	Electricity from National grid to Generator	Electricity : National grid to Generator
30	Conveys electricity solely for the consumption of a person who is involved in the line or for the consumption of its associates:	Electricity, consumption, person, line, involved, associates	Consumption for same nature business	Electricity: Conveying to Consumption
31	Conveys electricity mostly in competition with another line or lines operated by another electricity business that is not an associate of a person	Electricity, competition, Line, Electricity business Associate, person	For the competition with another line business	Electricity: Conveying to Competitor
32	Directors must report compliance with arm's length rules	Directors, report, compliance, arm's length rules	Compliance with arm's length rules	Director Obligation to Arm Length Rules
33	Electricity business means an electricity lines business or an electricity supply business or an unseparated electricity business	Electricity business, electricity lines business, electricity supply business, unseparated	Defining the meaning of Electricity Business	Definition: Electricity Business

34	Meaning of electricity lines business: For the purposes of this Part, electricity lines business—means a business that conveys electricity by line in New Zealand; &	Electricity lines business, electricity, line, New Zealand	Defining the meaning of Line Business	Definition: Line Business
35	Includes the ownership or operation, directly or indirectly, of lines in New Zealand or any other core assets of an electricity lines business	Includes, ownership, operation, lines, New Zealand, core assets, electricity lines business	Defining the meaning of Line Business	Definition: Line Business
37	Electricity Supply Business: Sells electricity in New Zealand, Generates electricity in New Zealand	Electricity Supply Business, Sells electricity, New Zealand, Generates electricity	Defining the meaning of Supply Business	Definition : Supply Business
37	Above includes the ownership or operation, directly or indirectly, of a generator in New Zealand or any other core generation assets	Ownership, operation, Generator, New Zealand, core generation assets, core assets, electricity retail business	Conditions in the meaning of Supply Business	T & C : Supply Business
39	Financial transmission right : means a financial instrument issued by the real time coordinator of electricity supply and demand in New Zealand	Financial transmission right, financial instrument, real time coordinator, electricity supply, demand, New Zealand	Defining Financial transmission rights	Financial Transmission Rights
40	System means all of the works over which a business conveys or intends to convey electricity.	System means, works, business, conveys, electricity	Defining the Meaning of Electricity System	Electricity System
Arm's length rules				
41	The objective of this schedule is to ensure that connected electricity businesses operate at arm's length.	Objective, schedule, ensure, connected electricity businesses, operate, arm's length	Objective of Arm Length rules	Arm Length Rules: Objectives
42	Without limiting the ordinary meaning of the expression, arm's length includes having relationships, dealings, and transactions.	Ordinary meaning, expression, arm's length, relationships, dealings, transactions	Transactions under Arm Length Rules	Arm Length Rules: Transactions
43	Duty of Business A & B - Duty to ensure arm's length objective is met	Duty, Business A, Business B, ensure, arm's length, objective	Duty to ensure objective	Arm Length Rules: Duties of Businesses
44	Arm's length test - Business A, and every parent of business A, must not enter into a transaction in which business B, or any parent of business B,	Arm's length test, Business A, parent, business A, transaction, business B	Test of Arm Length Rule	Arm Length Rules: Test
45	Duty not to prefer interests of business B, Duty not to discriminate in favor of business B, Duty to focus on interests of right ultimate owners	Duty, interests, business B, discriminate, favor, right ultimate owners, Focus	Duties of businesses under Arm Length Rules	Arm Length Rules: Duties of Businesses
48	Duty of directors and managers of parents of business A, At least 1 independent director, No cross directors who are executive directors	Duty, Directors, managers, parents, business A, 1 independent director, No cross directors, executive directors	Duties of Directors under Arm Length Rules	Arm Length Rules: Duties of Directors
51	Separate management rules different for businesses, Directors and managers must not be placed under certain obligations	Separate management rules, different, businesses, Directors, Managers, Certain Obligations	Separate Management Rules for businesses	Arm Length Rules: Management Rules
52	Restriction on use of information, Every business to which this schedule applies must keep at its registered office a register of transactions	Restriction, use of information, Every business, schedule, applies, registered office, register, transactions	Restriction in the use of Information	Arm Length Rules: Use of Information
55	Common parent, in relation to business A and business B, means a person that is involved in both business A and business B. Parent, in relation to a business, means every person that is involved in the business	Common parent, business A, business B, involved	Defining the common parent and parent	Arm Length Rules: Parents

APPENDIX 3

CODE BOOK FOR REGULATIONS GOVERNING RETAIL COMPETITION IN THE POWER SECTOR OF UNITED KINGDOM

A3.1 INTRODUCTION

This Appendix contains eight code books in total. All code books were developed during the study of various Acts, Regulations and Reports related to the retail competition in the power sector of United Kingdom. Roots of the study exist in Chapter 6 of this thesis. The code book 3.2 is related to ‘Era of Pre Privatization’. The code book 3.3 is related to the ‘Era of Privatization’. The code book 3.4 is related to the ‘Regulatory Arrangements of Utility Act 2000’. The code book 3.5 is related to the ‘License Provisions of Utility Act 2000’. The code book 3.6 represents the ‘The Electricity Code of Utility Act 2000’. The code book 3.7 represents the ‘Separation of Supply & Distribution Businesses’. The code book 3.8 represents the ‘Transfer Scheme’ and finally code book 3.9 represents the ‘Provisions for Deemed Contract to Supply’. These code books were used as a tool to develop the conceptual lens for global regulations.

A3.2 CODE BOOK: ERA OF PRE PRIVATIZATION

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
1	Following the Second World War, the UK had 560 electricity suppliers [1/3 privately owned] suppliers.	Second World War, UK, electricity suppliers, privately owned, suppliers	Pre Reform Era	Power Supply in Private Hands
2	Under an Act of 1943, electricity supply in the north of Scotland was placed under The Hydro-Electric Board [A Public Co]	Act, electricity supply, Scotland, The Hydro-Electric Board, A Public Co	Electricity supply under public hands	Power Supply in Public Hands
3	Under Electricity Act of 1947, the electricity industry in England, Wales and south of Scotland was reorganized and nationalized.	Electricity Act 1947, electricity industry, England, Wales, Scotland, reorganization, nationalization	Restructuring of Electricity Industry	Introducing a new act: Electricity Act of 1947
4	Electricity Act of 1947 established the British Electricity Authority (BEA) as a public corporation.	Electricity Act 1947, British Electricity Authority (BEA), public corporation.	Establishment of electricity authority in public hands	Introducing Electricity Authority
5	BEA was responsible for Generation and transmission, for the policy and finances of the supply industry.	BEA, Generation, transmission, policy, finances, supply industry	Responsibility areas of authority	Responsibility of Generation & Transmission
6	14 area boards – 12 in England and Wales and 2 in the south of Scotland, were created by Electricity act.	Area boards, England, Wales, Scotland, Electricity act	Establishment of Area Boards	Creation of Area Boards

7	Each constituted as a separate public corporation responsible for the distribution and retail of electricity in its own region. Scotland Electricity Board (SSEB) was established by The Electricity Reorganization (Scotland) Act 1954.	Constituted, public corporation, distribution, retail, electricity, Scotland Electricity Board (SSEB), The Electricity Reorganization (Scotland) Act 1954	Separate public corporations for separate regions	Introduction of Public Corporations/Electricity Boards
8	BEA was renamed to Central Electricity Authority (CEA).	BEA, renamed, Central Electricity Authority (CEA)	Renaming of authority	Introducing Central Electricity Authority
9	The Electricity Act of 1957 further reorganized the electricity industry in E&W.	Electricity Act 1957, reorganization, Electricity industry, E&W	A new act to reorganize the act.	Introduction of a new act: Electricity Act of 1957
10	In order to introduce greater decentralization, CEA was replaced by two new statutory bodies. CEA = Central Electricity Generating Board (CEGB) + Electricity Council.	Decentralization, CEA, Statutory bodies, Central Electricity Generating Board, Electricity Council	Introduction of new bodies in place of CEA	Electricity Counselling in place of authority
11	CEGB owned and operated the transmission system and the generating stations. CEGB was responsible for the bulk supply of electricity to the 12 area boards in England and Wales, and its duties included planning the provision of new generation and transmission capacity	CEGB, transmission system, generating stations, responsible, supply, electricity, England and Wales, duties, planning, provision, generation & transmission capacity.	Functions of CEGB	Responsibility of Central Generating Board
12	Area boards continued to have responsibility for the distribution and retail of electricity in their respective areas.	Area boards, responsibility, distribution, retail, electricity	Functions of Area Boards	Responsibility of area boards
13	CEGB [large generation and transmission company] dominated the structure of the nationalized industry in E&W.	CEGB, generation, transmission company, structure, nationalized industry, E&W.	CEGB functioning before privatization	CEGB domination in the market
14	Two vertically integrated boards were there in Scotland.	Vertically integrated boards	Structure of boards	Vertically Integrated Structure

A3.3 CODE BOOK: ERA OF PRIVATIZATION

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
1	The Electricity Act 1989 laid the legislative foundations for the restructuring and privatization. The act made provision for a change in ownership from the state to private investors, the introduction of competitive markets, and a system of independent regulation.	Electricity Act 1989, legislative foundations, restructuring and privatization, provision, ownership, private investors, competitive markets, independent regulation	Significance of New Act	Introducing new act: The Electricity Act 1989
2	In March 1990, new industry structure was introduced into England and Wales.	Industry structure, England and Wales.	Introduction of new industry structure	Restructuring : new regulatory structure
3	CEGB was split into 3 Genco + 1 Transco. Nuclear power stations were transferred to Nuclear Electric.	CEGB, split, Genco, Transco, Nuclear power stations, Nuclear Electric.	CEGB separation into new companies	Unbundling of vertically integrated structure
4	Transmission system was transferred to NGC [The NGC also took control of the interconnectors with Scotland and France].	Transmission system, transfer, NGC, control, interconnectors, Scotland and France	Transfer of responsibility for Transmission System	Restructuring in Transmission system

5	Area boards were replaced by 12 regional electricity companies (RECs), Local distribution systems were transferred to the RECs, The RECs jointly owned the NGC	Area boards, regional electricity companies (RECs), Local distribution systems, transfer, RECs, NGC	New regional companies in place of area boards	Introducing Electricity Boards
6	The Electricity Act 1989 established the electricity pool as the wholesale market.	The Electricity Act 1989, establish, the electricity pool, wholesale market	Establishment of electricity pool	Introducing Electricity Pool for wholesale market
7	RECs were established as integrated distributors and suppliers and were also allowed limited involvement in generation of up to 15% of their sales volume.	RECs, integrated distributors, Suppliers, involvement, Generation, Sales volume	Integrated distributor and supply structure	RECs = Distributor + Suppliers + Generators
8	In Scotland, SSEB and the Hydro-Electric Board were replaced by ScottishPower and Scottish Hydro Electric.	Scotland, SSEB, Hydro-Electric Board, ScottishPower, Scottish Hydro Electric	Introduction of nuclear and hydro company	Formation of New Companies
9	Scottish Nuclear - a Nuclear Company became part of British Energy in 1996. The 12 RECs in England and Wales were sold through Public flotation on the stock market. Govt sold all the cos, Nuclear Electric and Scottish Nuclear were companies to remain in public domain.	Scottish Nuclear, Nuclear Company, British Energy, RECs, England and Wales, Public flotation, stock market, Govt, Nuclear Electric, Scottish Nuclear, public domain	Privatization of companies	Disinvestment in Nuclear Companies
10	In 1990s, Electricity pool of E&W was considered as an innovation. NGC operated the pool and administered the pool's settlement system.	Electricity pool, E&W, innovation, NGC, Operation, administration, settlement system.	Innovative idea of Electricity Pool	Pool Administration by NGC
11	First hydro was sold to Edison Mission Energy. In 1996, the government privatized parts of the two state-owned nuclear companies; Nuclear Electric and Scottish Nuclear and A holding co, British Energy was Created.	First hydro, Edison Mission Energy, Government privatized, state-owned, nuclear companies, Nuclear Electric, Scottish Nuclear, A holding co, British Energy	Privatization in Generation	Disinvestment in Generation
12	RECs participated in independent power generation projects Joint venture. RECs were allowed to meet 15% of their demand through own generation.	RECs, independent power generation projects, joint venture	Role of RECs	Independent Power Producers
13	Supply market was opened up for competition in three phases.	Supply market, opened up, competition, three phases.	Opening of Supply Market in Phases	Phase wise open access
14	From April 90 when customers with peak loads of more than 1 MW (about 45% of the non-domestic market) were able to choose their supplier.	Customers, peak loads, 1 MW, non-domestic market, choose supplier	Phase I: Open Access > 1MW	Phase I: Open Access
15	From April 94, customers with peak loads of more than 100 kW were able to choose their supplier.	Customers, peak loads, 100 kW, choose their supplier	Phase II: Open Access > 100 kW	Phase II: Open Access
16	Between September 1998 and May 1999 the remaining part of the electricity market (that is, below the 100 kW peak load) was opened up to competition.	Electricity market, 100 kW, peak load, opened up, competition	Phase III: Open Access < 100 kW	Phase III: Open Access
17	Ofgem estimated that, in 1999/2000, customers accounting for 80% of the output in the 1 MW market in England and Wales chose to take their supply from a company other than their local PES	Ofgem, customers, output, 1 MW, England & Wales, chose, supply, company, local PES	Major Switching of supplier, Segment > 1MW	Consumer Switching in Phase I
18	Customers accounting for 67% of the output in the 100 kW to 1 MW market in England and Wales chose to take their supply from a company other than their local PES	Customers, output, 100 kW - 1 MW, England and Wales, supply, local PES	Major Switching of supplier, Segment : 100 kW - 1 MW,	Consumer Switching in Phase II
19	By August/September 2001, 38% of domestic electricity customers (Below 100 KW) had switched supplier one or more times	domestic electricity customers, <100 KW, switched supplier	Average Switching of supplier, Segment : <100 KW	Consumer Switching in Phase III
20	Former PES suppliers lost, on average, 10% per annum of their supply service area market share in this process.	PES suppliers, lost, supply service area, market share	Loosing of market for former suppliers	Effect of market opening on former suppliers
21	Only seven supplier groups created from the former PESs through takeovers and mergers, compared to 14 PESs at the outset of privatization	supplier groups, former PESs, takeovers, mergers, privatization	Creation of supplier group	M&A to create supplier groups
22	Scottish and Southern Energy subsequently bought SWALEC's supply business. London Electricity took over SWEB's supply business cos' supply business.	Scottish, Southern Energy, supply business, London Electricity, Supply business, supply business	Restructuring in Supply Business	Acquisitions in supply businesses
23	There has also been a trend toward integration of generation and supply. Many M&A happened. Northern Electric, British Gas Trading companies were 2 biggest supplier in UK.	Integration, Generation, supply, M&A, Northern Electric, British Gas Trading companies, supplier	Trend of integration of generation and supply	M&A to integrate generation & supply
24	The Utility Act 2000 received Royal Assent in March 2000.	Utility Act 2000, Royal Assent, March 2000	Enactment of a new act	Introducing new act: Utility Act 2000

25	UA 2000 substantially reformed both the institutional framework for the regulation of the electricity industry, and the legislative parameters dictating the structure of the industry.	UA 2000, reformed, institutional framework, regulation, electricity industry, legislative parameters	Scope of Utility Act 2000	Reform in Institutional Framework & Regulations
26	Individual regulator, the director general of electricity supply was replaced by a regulatory board, the Gas and Electricity Markets Authority.	Individual regulator, director general of electricity supply, regulatory board, Gas and Electricity Markets Authority	Introduction of regulatory body	Introducing regulatory board: GEMA
27	Office of Gas and Electricity Markets (Ofgem) was formed by merging of the regulatory offices for the gas and electricity sectors into a single regulatory office.	Office of Gas and Electricity Markets (Ofgem), Merging, Regulatory offices, Gas and electricity sectors, single regulatory office	Merging of regulatory offices to form OFGEM	Formation of OFGEM
28	Replacement of the former electricity consumer committees was done with an independent gas and electricity consumer council 'Energywatch'	Replacement, electricity consumer committees, independent gas and electricity consumer council, Energywatch	Establishment of consumer council 'Energywatch'	Introduction of independent consumer council
29	Utilities Act 2000 significantly abolished the concept of the public electricity supplier. Abolished the concept of the public electricity supplier and introduced a single Great Britain-wide license for all suppliers.	Utilities Act 2000, abolished, public electricity supplier, single Great Britain-wide license	Introduction of Single supply license across the nation	Single license to all suppliers
30	Utilities Act 2000 also introduced a legal requirement for the separation of the former PES electricity supply and electricity distribution businesses. Also introduced a statutory requirement for distribution to become a separately licensable activity]	Utilities Act 2000, legal requirement, separation, PES electricity supply, electricity distribution businesses, statutory requirement, distribution, separate licensable activity	Separation mandate for supply and distribution businesses.	Mandate to unbundle distribution and supply
31	Utilities Act 2000 made provision for the implementation of new electricity trading arrangements to replace the electricity pool.	Utilities Act 2000, new electricity trading arrangements, electricity pool	Provision for NETA	New trading arrangements
32	The new electricity trading arrangements (NETA) were based on bilateral trading between generators, suppliers, traders and customers through forwards and futures markets and short-term power exchanges	NETA, bilateral trading, generators, suppliers, traders, forwards & futures markets, short term power exchanges	Base of NETA	Bilateral trading in New trading arrangements
33	Voltage level Prior to January 1995 - 240 V. To comply with EU harmonization, voltage level has now changed to 230v. To comply with EU harmonization, voltage level has now changed to 230v. At 11 KV voltage level, Large industrial and commercial customers were supplied electricity.	Voltage level, 240 V, EU harmonization, 230v, 11 KV, Large Consumers, Industrial Consumers	Change in the standard voltage level	Different voltage levels
34	NETA was introduced on 27 March 2001 replaced the electricity pool as the wholesale market in E&W. Since the introduction of NETA, three main power exchanges had been developed - [UKPX,APX, IPE], BSC - Balancing and settlement code was developed.	NETA, electricity pool, wholesale market, E&W, NETA, power exchanges,, UKPX,APX, IPE, BSC, Balancing and settlement code	Introducing 3 new power exchanges under NETA	Development of new power exchanges under NETA
35	Under Utilities Act 2000, Distribution has become a separately licensable activity. Nine distribution companies were operating in 12 authorized distribution areas.	Under Utilities Act 2000, Distribution, separate, licensable activity, distribution companies, distribution areas	Separate License for distribution activity	Distribution: Separate License Activity
36	Statutory duty of a Distributor - To connect any customer requiring electricity within a defined area and to maintain that connection	Statutory duty, Distributor, connect, customer, electricity, maintain	Duty of the distributor to connect	Statutory duty of a Distributor
37	Many PES after the sale of its supply business, formed a new distribution company.	PES, sale, supply business, distribution company	Formation of new discoms by earlier PES	New Distribution companies
38	Services included under the tag of "Metering Services" - Meter provision and meter operation. Metering was not a statutory monopoly.	Services, Metering Services, Meter provision, meter operation, Metering, statutory monopoly.	Metering Services - Provision & Operation	Competition in Metering
39	The provisions of the Electricity Act 1989 (as amended) allow for any competent party to provide metering services, including customers.	Provisions, Electricity Act 1989, amendment, competent party, metering services, customers	Introducing Another player in Discom	Competition in metering services
40	The ex-PES distribution companies were the de facto monopoly metering service providers for- Non-half-hourly meter points	PES distribution companies, monopoly, metering service providers, meter points	Monopoly in Non-half-hourly meter points; Single player	Monopoly: Non-half-hourly meter points

41	In respect of half-hourly meter points, monopoly was not there as there was a range of different providers,	Meter points, monopoly, range, service providers	Competition in half-hourly meter points; Many players	Competition: half-hourly meter points
42	Obligation to provide metering services by The ex-PES distributors is : Need to take license	Obligation, metering services, Ex-PES distributors, license	license to provide metering services	License need for meter players
43	Electricity distributors were obliged to provide a metering point administration service.	Electricity distributors, metering point, administration service	Administration service by electricity distributors	Metering point administration
44	This service enables suppliers, among other things, to administer the transfer of customers between suppliers.	Service, suppliers, administer, transfer, customers, suppliers	Enable of transfer of customers between suppliers	Advantage of Metering point administration Services
45	Ex-PES suppliers had supply obligation to make available a prepayment meter infrastructure service to all suppliers.	PES suppliers, supply obligation, prepayment meter, infrastructure service, suppliers	Metering Services through Prepaid Meter	Prepaid metering infrastructure
46	Agent competition provision allowed suppliers to choose who provides them with metering services.	Agent competition, suppliers, metering services	Supplier can select the metering service provider	Freedom to choose meter supplier
47	Suppliers were now able to contract with any accredited metering service provider for the functions of meter operator, data collector and data aggregator.	Suppliers, contract, accredited metering service provider, functions, meter operator, data collector, data aggregator	Meter operator as a data collector	Meter operation and data services
48	The distribution network operator continued to dominate the market for metering and meter reading. Each former PES distribution business had a duty to connect customers within its authorized area at the request of a customer or supplier acting on the customer's behalf.	Distribution network operator, dominate the market, metering, meter reading, distribution business, duty to connect, authorized area, request of a customer, supplier, customer.	Distributor as a meter service provider	Duty to connect at supplier/Consumer request
49	Work open to competition is termed contestable, while work which remains the domain of the monopoly distributor is termed as non-contestable.	competition, contestable, monopoly distributor, non-contestable	contestable and non-contestable definition	Contestable and non-contestable scenarios
50	Ofgem developed a strategy to facilitate the development of competition in connections.	Ofgem, strategy, facilitate, development of competition, connections	Strategy to develop competition	Strategy to develop competition in connections
51	The supply businesses purchase electricity in bulk and sell to customers.	Supply businesses, purchase electricity, bulk purchase, sell, customers	Operations of supply business	Supply Business Operations
52	Suppliers did contracting with generators bilaterally to meet their own contracted demand. Suppliers are required to forecast their own demand and face strong commercial incentives under the Balancing and Settlement Code	Suppliers, contracting, generators, bilaterally, contracted demand, forecast demand, commercial incentives, Balancing and Settlement Code	Suppliers contracting with generators	Arrangement of electricity by suppliers
53	After UA 2000, All customers were made free to choose their own supplier.	UA 2000, Customers, free to choose, own supplier	Choice of supplier to all consumers	Open access/Choice to all consumers
54	Route for suppliers to supply electricity to customers - through other company's distribution network. Suppliers pay "Charges for the use of the system" to distribution company to use their network.	Route for suppliers, supply electricity, customers, distribution network, charge, use of the system, Charge, Use of the system, Distribution Company	Payment of line charge by supply company	Charge to use to distribution system
55	Suppliers are required to ensure that they have sufficient electricity at their disposal to meet their customer requirements. The obligation of sufficient electricity was met through contracts with generators or by establishing their own generation.	Suppliers, sufficient electricity, disposal, customer requirements, obligation, contracts, generators, own generation	Obligation to keep sufficient electricity to meet consumer demand	Arrangement of electricity by suppliers
56	At present, there are currently 12 active licensed suppliers are there in England and Wales. Which are the four largest suppliers of E&W - Innogy, British Gas Trading, TXU and Scottish and Southern Energy	licensed suppliers, England and Wales, largest suppliers	Present Supplier Statistics	Active licenses suppliers in Market
57	Gas and Electricity Markets Authority [GEMA] primarily regulated the electricity industry. GEMA is supported by Office of Gas and Electricity Markets (Ofgem) -a non-ministerial government department. Former individual directors general for gas supply and electricity supply is replaced by GEMA Authority.	Gas and Electricity Markets Authority [GEMA], GEMA, Office of Gas and Electricity Markets (Ofgem), a non-ministerial government department, Directors general for gas supply and electricity supply	Regulatory Authority Electricity Department in	Regulatory Authority : GEMA Supported by : OFGEM

58	Responsibility of GEMA Authority was : The statutory responsibilities under the Acts and for developing strategy and policy. Responsibility of Ofgem was day-to-day operations and implementing policy	Responsibility, GEMA Authority, statutory responsibility, Developing strategy, policy, OFGEM, Implementing policy	Responsibility areas of authority	Responsibilities GEMA: Statutory responsibilities OFGEM: Day to Day Operations
59	Utilities Act 2000 placed new primary duty on Ofgem - To protect the interests of consumers in relation to electricity conveyed by distribution systems	Utilities Act 2000, Ofgem, consumer interest, distribution system	New primary duty to OFGEM	Assigning New Duty to OFGEM
60	Furthermore, in performing these duties, they are required to have particular regard to the interests of which individuals - Individuals who are disabled or chronically sick, of pensionable age, or with low incomes, and those living in rural areas	Duties, individual, disabled, chronically sick, pensionable age, low incomes, rural area	Interest of Consumers of all categories	Focus on Interest of End Consumers
61	The secretary of state and Ofgem also have a duty to protect the public from dangers arising from the generation, transmission, distribution or supply of electricity.	Secretary of state, Ofgem, duty to protect, generation, transmission, distribution, supply of electricity	Duty to protect from public dangers	Protection responsibilities
62	OFGEM had Power to grant licenses for transmission, generation, supply and distribution activities. Additional power of OFGEM- power to modify the standard conditions of licenses, which are set by the secretary of state.	OFGEM, Power to grant licenses, transmission, generation, supply, distribution activities, OFGEM, Standard Conditions, Additional power, power to modify, standard conditions of licenses, secretary of state	OFGEM Power to grant & modify license for GTDS activities	Power to grant & modify licenses
63	Additional responsibilities of OFGEM - general monitoring, supervision and enforcement of the licensing regime.	Additional responsibilities, OFGEM, General monitoring, Supervision, Enforcement, licensing regime	Additional responsibilities of OFGEM: Monitoring, Supervision	Additional responsibilities : OFGEM
64	Ofgem also has concurrent powers with the director general of fair trading (DGFT) to apply the Competition Act 1998 and the Fair Trading Act 1973 to the electricity sector in Great Britain.	Ofgem, concurrent powers, director general of fair trading (DGFT), Competition Act 1998, Fair Trading Act 1973, electricity sector, Great Britain	concurrent powers to OFGEM	Additional Powers: OFGEM
65	DGFT alone has powers to make and amend the Director's rules, which set out the procedures to be followed.	DGFT, powers to make, amend, Director rule, procedure	Power to make and amend rules	Power of DGFT
66	The Electricity Act 1989 is amended by The Competition Act 1998. Competition law framework initially dealt with monopolies in the Fair Trading Act 1973.	Electricity Act 1989, amendment, Competition Act 1998, Competition law framework, Monopoly, Fair Trading Act 1973.	Amendment of older act by new one	Introduction of a new act: The Electricity Act 1989
67	Competition Commission conducted investigations in the electricity sector in response to references made to it by The secretary of state, the DGFT and Ofgem. With regard to its appeals function, the Competition Commission had power to hear appeal on a range of decisions taken by the DGFT or Ofgem.	Competition Commission, investigations, electricity sector, secretary of state, DGFT, Ofgem, Appeals function, power to hear appeal, decisions	Role of Competition Commission	Investigation power of competition commission
68	As sector regulator Ofgem has a responsibility to implement and monitor environmental programmed. The implementation and monitoring of suppliers' compliance with Energy Efficiency targets was the responsibility of OFGEM.	Sector regulator, Ofgem, responsibility, implement, monitor, environmental programmes, Implementation, monitoring, suppliers compliance, Energy Efficiency targets	Additional responsibilities of OFGEM as a sector regulator	Responsibilities of OFGEM as a sector regulator
69	The Department of Environment, Food and Rural Affairs (DEFRA) played a key role in the development of regulatory policy related to energy efficiency and the protection and improvement of air quality. DEFRA is responsible for setting the overall energy efficiency targets for electricity supply companies.	Department of Environment, Food and Rural Affairs, Development, regulatory policy . energy efficiency, protection, improvement, air quality, targets, electricity supply companies	Role of DEFRA in development of regulatory policy related to energy efficiency & air quality	Development of regulatory policies
70	The Department of Trade and Industry (DTI) had a major role to play in promoting renewable sources of electricity. On Electricity Suppliers Renewable obligations were placed.	Department of Trade and Industry (DTI), Promotion, Renewable sources of electricity, Suppliers, Renewable Obligations	Focus on Renewables	Promotion of renewable energy

71	Other role of DTI - Played a role in planning policy which includes issuing regulations for construction consent for generating stations and overhead lines	Planning policy, regulations, construction consent, generating stations, overhead lines	DTI role in generation	Regulations for Generating Station & Overhead Lines
72	The new Electricity Works Regulations came into force on Apr 2000, Applications of Electricity Work Regulations - Application covers applications for consent to construct, extend, operate a power station or install or keep installed overhead electricity lines.	Electricity Works Regulations, Application, Electricity Work Regulations, consent, construct, extend, operate, power station, install, overhead electricity lines	New Electricity Works Regulations for various works	New Regulations for Electricity Works
73	Principal environmental regulators in Great Britain - The Environment Agency+Scottish Environmental Protection Agency. Environment Agency was responsible - Setting emissions levels for power stations and has a regulatory function defined under the Environmental Protection Act 1990.	Principal environmental regulators in Great Britain, The Environment Agency, Scottish Environmental Protection Agency, Environment Agency, Responsibility, emissions levels, power stations and has a regulatory function defined under the Environmental Protection Act 1990.	Role of environmental regulator	Setting up of Environmental Regulator
74	Through 'energywatch' independent gas and electricity consumer council Consumer interests are represented in the regulatory process. Specifications of Energy Watch - Energywatch is a non-departmental public body, independent of both the regulator and the companies	Energywatch, independent gas and electricity consumer council, Consumer interests, regulatory process, non-departmental public body, regulator, company	Role of Consumer Council	Representation of Consumer Interest to Council
75	For the measurement of market share, Mechanism to determine the market share for each type of licensee - Electricity supply: number of metering points registered; Electricity distribution: number of metering points; Electricity generation: installed capacity.	Measurement, market share, Mechanism, determine, market share, licensee, Electricity supply, Metering points, Electricity distribution, Electricity generation, installed capacity	Methodology to measure market share for supply company and distribution company	Methodology to measure market share
76	In the case of individual licenses or in respect of collective license modifications, Ofgem may make license modification references to the Competition Commission.	Individual licenses, collective license modifications, Ofgem, license modification, Competition Commission	References for license modification	Power to modify the license
77	Price cap set by the regulator is taken by the Price controls. The purpose of the price control is, where there is a lack of competition, to protect customers and to encourage an efficient industry.	Price cap set by the regulator is taken by the Price controls. The purpose of the price control is, where there is a lack of competition, to protect customers and to encourage an efficient industry.	Price control through price capping	Price capping by regulator
78	Relation of the formula adopted for setting these price caps with RPI - Average price of a basket of industry's outputs to the consumer price index (the retail price index (RPI))	Relation, formula, price caps, RPI, Average price of a basket, industry's output, consumer price index, retail price index	Price Index Methodology	Formula to Set Price Cap
79	Benefit of Efficient gains and its periodic review - Periodic reviews of the price caps ensure that the benefits of efficiency gains are passed on to customers over time.	Benefit, efficient gains, periodic review, price caps, customers,	Periodic review of the price caps for higher efficiency	Periodic review of the price caps
80	The charges made for the use of the distribution network are regulated by RPIX control. Connection charges must be set so as to recover appropriate costs and a reasonable rate of return.	Charges, use, distribution network, RPIX control, Connection charges, appropriate costs, rate of return	Price Regulations	Regulated price for use of carriage
81	Regulated revenue was split into two components - that associated with metering and that with the rest of the distribution business.	Regulated revenue, split, components, Metering, rest of the distribution business	Two Components of regulated revenue	Components of regulated revenue
82	Price controls were based - on revenue related to the number of customers served and number of units sold. The weights of units and customers in the new distribution price control were equal.	Price controls, revenue, customers served, units sold, units, customers, distribution price control	Base of price control	Methodology of price controls
83	The formula which included a loss adjustment factor, considered - Units lost during distribution. The forecasting error has been adjusted by the formula. The formula includes a loss adjustment factor, which adjusted for units lost during distribution	Formula, loss adjustment factor, Units lost, distribution, forecasting error, loss adjustment factor, units lost, distribution	Loss adjustment & forecasting error	Distribution Losses & Load Forecasting

84	The distribution price controls again revised in 4/1/2000. Result of Price control revision - Results in an initial reduction of distribution prices by between 19% and 33%.	Distribution price controls, revise, result, Price control revision, reduction, distribution prices	Revision in Distribution Price controls	Price control revisions
85	Areas where consumer choice is restricted by a monopoly environment, aim of price controls was to simulate certain aspects of a competitive market. Once competition has developed and customers are free to choose from whom they purchase, price controls are no longer needed.	Areas, consumer choice, restriction, monopoly environment, price controls, simulate, competitive market, competition, free to choose, purchase	Price control mechanism before competition	Price control in monopoly environment
86	Competition between suppliers for sales will put downward pressure on prices and create the necessary incentive for suppliers to operate efficiently.	Competition, suppliers, sales, downward pressure, prices, suppliers, operate efficiently	Effect of Competition on supply price	Price drop by competition among suppliers
87	The former REC's supply charges were regulated by : RPI-X+Y revenue yield control mechanism	REC's, supply charges, RPI-X+Y, Revenue yield control mechanism	Former supply charge control mechanism	Former control on supply charges
88	The component cost which amounted to approximately 95% of supply business costs is being derived as: T Cost+D Cost + electricity purchase costs + Fossil Fuel Levy+administration payments to the pool. X= 0[For First 5 Year]; Supplementary price Control[1993]; Value of X revised over the years	Component cost, supply business costs, T Cost, D Cost, Electricity purchase costs, Fossil Fuel Levy, administration payments, pool, Supplementary price Control	Components of regulated revenue	Components of supply business costs
89	Supplementary price controls were applied on" franchise market [RPI+F]" segment of market. Price controls applied only on the PESs. Second tier suppliers were not subject to any price restraint.	Supplementary price controls, franchise market [RPI+F], segment of market	Supplementary price controls on franchise market	Price controls in Franchisee Market
90	The cap on total price rises was based on Existing tariff levels adjusted for over- and under-recoveries and reflected the assessments of potential cost increases and reductions. Through "Tariff Caps" term the price controls were generally described.	Cap, total price rises, Existing tariff levels, recoveries, assessments, cost increases, reductions, Tariff Caps, price controls	Price capping on total price rise	Base of Price capping: Existing Tariff Levels
91	The cost increases arose from the data management costs was associated with the opening of the supply market to competition.	Phenomena, cost increases, data management costs, supply market, competition.	Data management cost association with supply market	Cost increase & Data Management in Supply Market
92	Prices for prepayment meter customers were required to fall through RPI - 3 mechanism.	Prices, prepayment meter, customers, mechanism,	Mechanism of price fall through prepayment meter	Price fall for prepayment meter
93	The review concluded that the price control should be retained, but only for the primary domestic tariffs. For two years the next electricity retail price controls were introduced in April 2000. These price controls on the ex-PES suppliers took the form of a restriction on the weighted average unit price.	Price controls, review, primary domestic tariffs, electricity retail price controls, restriction, weighted average unit price	Price control revision for next two years	Retention of price controls for 2 years
94	With use of powers of investigation and enforcement under competition law. Ofgem propose to replace regulation of electricity supply via price controls.	Use of powers of investigation, enforcement, competition law, Ofgem, propose, regulation, electricity supply, price controls	Power of investigation under competition law	Competition law & price controls
95	The behavior be prohibited by competition law - if followed by suppliers, In this case the Ofgem can take action against the behavior of Suppliers.	Behavior, competition law, suppliers, Ofgem	Behavioral restrictions for suppliers under competition law	Competition law & behavior of supplier
96	Under its concurrent powers under the Competition Act 1998, for anti-competitive practices such as excessive pricing and discriminatory predatory pricing, Ofgem could bring actions.	concurrent powers, Competition Act 1998, anti-competitive practices, excessive pricing, discriminatory predatory pricing, Ofgem, actions	Actions against anti competitive practices	Competition Act 1998 to handle anti-competitive practices

A3.4 CODE BOOK: REGULATORY ARRANGEMENTS OF UTILITY ACT 2000, UNITED KINGDOM

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
	Part I : New Regulatory Arrangements			

1	Body corporate to be known as the Gas and Electricity Markets Authority [The authority]	Body corporate, Gas and Electricity Markets Authority	Provision of electricity authority	Establishment of Electricity Authority
2	Functions transferred to the Authority from the Director General of Gas Supply and the Director General of Electricity Supply	Functions, transfer, Authority , Director General of Gas Supply, Director General of Electricity Supply	Transfer of functions to authority	Functions of the authority
3	Body corporate to be known as the Gas and Electricity Consumer Council [The Council]	Body corporate, Gas and Electricity Consumer Council	Provision of consumer council	Establishment of Consumer Council
4	The functions of the DG of Gas Supply and the Authority and DG of Electricity Supply (“the Directors”) are transferred to the Authority.	Functions, DG, Gas Supply and the Authority, Electricity Supply, Directors, transfer, Council, Authority.	Transfer of certain functions to authority	Functions of the authority
5	The Authority and the Council shall, before each financial year, programmes. each publish a document the “forward work programme”	Authority, Council, financial year, programmes, publish, document, forward work programme	Publishing a report for future works	Forward work Program Report
6	The Authority shall, at the end of each Annual financial year, make to the Secretary of State a report (the “annual reports ” for that year)	The Authority, Annual financial year, Secretary of State, annual report	Publishing a report for the work done in a year	Annual Report
8	The Secretary of State and the Authority may, in carrying out any function have regard to (a) the interests of consumers in relation to distributed electricity. Interests of consumers means electricity conveyed by distribution systems	Secretary of State, Authority, function, interests of consumers, distributed electricity, distribution system	Considering consumer interest as distributed electricity	Protecting interest of Consumers
9	Above by wherever appropriate by promoting effective competition between persons engaged in, or in commercial activities connected with the generation, transmission, distribution or supply of electricity.	Appropriate, effective competition, persons, commercial activities, generation, transmission, distribution, supply of electricity	Protection of consumer interest through competition	Protecting interest of Consumers
10	Secretary of State or the Authority or Council shall have regard to the interests of Disabled/Pensionable age/Low Income/Rural People.	Secretary of State, Authority, interests, Disabled, Pensionable age, Low Income, Rural People, Council	Protecting interest of a fix consumer category	Protecting interest of Consumers
11	The Secretary of State and the Authority: to promote efficiency and economy for all sections of electricity system	Secretary of State, Authority, efficiency, economy, sections, electricity system	Promotion of efficiency in every segment	Efficiency in operations
12	The Secretary of State and the Authority: to protect the public from dangers arising from the generation, transmission, distribution or supply of electricity	Secretary of State, Authority, protect, public, dangers, generation, transmission, distribution, supply of electricity	protection to public from various dangers	Protection of public
15	The Council has the function of providing information about consumer matters. Duty of the Council to statistical publish: statistical information about standards of performance. Council has power to publish advice and information and consumer matters.	Council, function, information, consumer matters, Duty, Council, statistical publish, statistical information, standards of performance, power to publish, advice, information, consumer matters	Information related responsibilities of the council	Responsibilities of Council

3.5 CODE BOOK: LICENSE PROVISIONS OF UTILITY ACT 2000

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
	Electricity licensing			
1	““distribute”, in relation to electricity, means distribute by means of a distribution system.	Distribute, electricity, distribute, distribution system.	Defined meaning of distribution	Defining the Distribution
2	““supply”, in relation to electricity, means supply of electricity conveyed by a distribution system to premises other than premises occupied by a license holder	Supply, electricity, supply of electricity, distribution system, premises, occupied, license holder	Defined meaning of supply	Defining the Supply
3	The Secretary of State may by order grant exemption from electricity licensing paragraph (a), (b), (bb) or (c) of section 4(1)	Secretary of State, order, grant, exemption, electricity licensing	Power of Secretary to exempt from license	Exemption from License
	Licenses authorizing supply etc. of electricity			
4	The Authority may grant any of the following authorizing licences: Generation, Transmission, Distribution, Supply	The Authority, grant, Authorise, licences, Generation, Transmission, Distribution, Supply	Power of the authority to grant a license	Grating of License

5	The same person may not be the holder of both a distribution licence and a supply licence	Same person, holder, distribution licence, supply licence	Same person can not undertake supply & distribution	License holding conditions
6	A supply licence may authorise the holder to supply electricity: only to premises specified in the licence, or to premises of a description so specified	Supply licence, authorize, holder, supply electricity, premises, specified, licence, description	Supply restrictions only to the premises specified in licence	Defining Supply Area
7	A distribution licence may authorize the holder to distribute electricity in any area, or only in an area specified in the licence.	A distribution licence, authorize, holder, distribute electricity, area specified, licence.	Authorizing a holder to distribute electricity	Authorization to distribute electricity
8	“electricity distributor” means any person who is authorized by a distribution license to distribute electricity.	Electricity distributor, person, distribution license, distribute electricity	Defining Electricity Distributor through act	Defining Electricity Distributor
9	“electricity supplier” means any person who is authorized by a supply license to supply electricity	Electricity supplier, person, authorize, supply license, supply electricity	Defining Electricity Supplier through act	Defining Electricity Supplier
10	Enactments referring to public electricity suppliers			
11	A license is capable of being transferred by the license holder, with the consent of the Authority. A transfer may relate to the whole or any part of the license.	License, capable, transfer, license holder, consent, Authority, transfer, whole, part of the license	Approval for the transfer of license	Approval for the license
12	“transfer” includes any form of transfer or assignment or, in Scotland, assignation;	Transfer, form of transfer, assignment, Scotland, assignation	The form of transfer or assignment of license	Transfer form of license
13	“modification condition” means a condition requiring or otherwise providing for the making of modifications to the conditions of a licence	Modification condition, condition, providing, modifications, licence condition	Modification Conditions for the licence	License modification provisions
14	The Secretary of State may by order provide that specified activities are to become licensable activities. That specified activities are to cease to be licensable activities.	Secretary of State, specified activities, licensable activities	Certain activities to become licensable	Specified activities to be licensable activities
15	An order under this section may only provide for activities to become licensable activities if they are activities connected with the generation, transmission, distribution or supply	order, section, activities, licensable activities, generation, transmission, distribution, supply	Condition to become licensable activities	Condition to become licensable activities
16	Application by authority for order including new activities [for an order providing for activities to become licensable activities]	Application, authority, order, new activities, order, licensable activities	An order to make activities licensable	An order to make activities licensable
17	A reference to the Competition Commission under this section shall require the Commission to investigate as per the provision	Reference, Competition Commission, investigate, provision	Investigation powers to the competition commission	Powers of Competition Commission
18	Competition Commission shall define conclusions on the fact that the activities specified are not licensable activities operates, or may be expected to operate, against public interest.	Competition Commission, define, conclusions, activities specified, licensable activities, operates, public interest	Competition Commission shall look after if activities specified are in public interest	Powers of Competition Commission
19	Duties of electricity distributors : An electricity distributor is under a duty to make a connection between a distribution system of his and any premises on the request of Owner/Supplier	Duty, electricity distributors, electricity distributor, connection, distribution system, premises, Owner, Supplier	Duty of distributor to connect on request	Duty of Electricity Distributor
20	To make a connection between a distribution system of his and any distribution system of another authorized distributor, when required.	connection, distribution system, other authorized distributor	To connect another distribution connection	Duty of Electricity Distributor
21	Where a person requires a connection, he shall give the distributor a notice requiring him to offer terms for making the connection	person, connection, distributor, making	A prior notice to distributor to seek a connection	New Connection Requirement
22	Nothing in section 16(1) requires an electricity distributor to make a connection if and to the extent that— he is prevented from doing so by uncontrolled circumstances	electricity distributor, connection, extent, prevention, uncontrolled circumstances	Exemption condition to provide a connection	Exemption for New connection
23	Subsection (1)(c) does not permit an electricity distributor to disconnect any premises not less than seven working days’ notice of his intention to disconnect	Electricity distributor, disconnect, premise, 7 working days, notice, intention, disconnect	Prior notice to disconnect the premise	Disconnection Requirement
24	Abolition of tariffs: Section 18 of the 1989 Act (charging by reference to tariffs) shall cease to have effect	Abolition, tariffs, Section 18, 1989 Act, charging, reference, tariffs	Rules for abolition of tariffs	Tariff Rules

25	Consumer/Person to pay to the distributor, in respect of any expenses reasonably incurred in providing any electric line or electrical plant used for the purpose of making the connection. Distributor to be paid reasonable security for the payment to him under section 19 in respect of the provision of any electric line or electrical plant.	Consumer, Person, pay, distributor, expenses, electric line, electrical plant, purpose, connection, security, payment	Consumer payment towards making the connection	New Connection Requirement
26	Special agreement with respect to connection: a person who requires a connection may enter into an agreement with the electricity distributor for the making of the connection	Special agreement, connection, electricity distributor, making, connection	Agreement between User & Distributor for connection	Agreement for new connection
27	It shall be the duty of an electricity distributor to develop and maintain an efficient, coordinated and economical system of electricity distribution. It is to facilitate competition in the supply and generation of electricity.”	Duty, electricity distributor, develop, maintain, efficient, coordinated, economical system, electricity distribution, competition, supply, generation	Distributor duty to develop efficient distribution system	Duty of Electricity Distributor
28	The electricity code for the distribution and supply of electricity.	The electricity code, distribution,, supply of electricity	Development of electricity code for distribution & supply	The Electricity Code
29	The Authority may with the consent of the Secretary of State make regulations prescribing such standards of performance in connection with the activities of electricity distributors	Authority, consent, Secretary of State, regulations, standards of performance, activities, electricity distributors	Regulations for Standards of Performance	Standards of Performance
30	Prescribe circumstances in which electricity distributors are to inform customers or potential customers of electricity suppliers of their rights	Prescribe, circumstances, electricity distributors, inform customers, potential customers, electricity suppliers, rights	Information Forwarding to consumers by distributors	Consumer Rights
31	Prescribe such standards of performance in relation to any duty arising under in the Authority's opinion, ought to be achieved in all cases	Prescribe, standards of performance, duty, Authority opinion, achieved	Prescribing Standard of performance as required by Authority	Standard of performance
32	Make provision as to the manner in which compensation under this section is to be made; If the Authority is of the opinion that the differences are such that no electricity distributor would be unduly disadvantaged in competing with other electricity distributors	Provision, manner, compensation, Authority, opinion, differences, electricity distributor, unduly disadvantaged, competing, electricity distributors	Compensation and unduly disadvantage by Electricity Distributor	Conditions of Electricity Distributor
Provision made under subsection (3)(c) may				
33	Require or permit compensation to be made on behalf of electricity distributors by electricity suppliers to customers or potential customers; and require electricity suppliers to provide services to electricity distributors in connection with the making of compensation under this section.	Require, permit, compensation, electricity distributors, electricity suppliers, customers, potential customers, services, making, compensation	Compensation making services of Electricity Supplier	Condition of Electricity Supplier
34	The Authority may from time to time determine such standards of overall performance in connection with the activities of electricity distributors, ought to be achieved by them	Authority, determine, standards, performance, activities, electricity distributors, achieve	Standards of overall performance determined by the Authority	Standard of performance by Authority
35	Different standards may be determined for different electricity distributors if the Authority is of the opinion that the differences are such that no electricity distributor would be unduly disadvantaged in competing with other electricity distributors	Different standards, determine, electricity distributors, Authority, opinion unduly disadvantage, competing, electricity distributors	Different standards for the different electricity distributors	Standards for distribution companies
36	Before prescribing standards of performance, authority shall arrange for such research, discovering the views of a representative sample of persons likely to be affected. Information to be given to consumers about overall performance [to be given by electricity suppliers or electricity distributors to customers]	Standards of performance, authority, research discovering, representative sample	Views of consumers before defining standards of performance	Consumer view for setting up Standards
Remuneration and Service Standards: Links between directors' remuneration and electricity service standards				
37	Obligation for suppliers in connection with electricity from renewable sources. A Green certificate is to certify that the generating station or, an electricity supplier, a has generated from renewable sources the amount of electricity stated in the certificate	Obligation, suppliers, electricity, renewable sources, a green certificate, certify, generating station, electricity supplier, electricity, certificate	Obligation to suppliers for renewable energy	Renewable Purchase Obligation

38	Alternative way for electricity supplier for discharging renewables obligation: payments.	Alternative, electricity supplier, renewable obligation, payments	Alternative to fulfil RPO	Purchase Renewable Energy Certificates
39	If the Secretary of State considers that members of any group (a "disadvantaged group") of customers of authorized suppliers are treated less favorably than other customers of theirs as respects charges for electricity, he may make an order containing a scheme for the adjustment of charges for electricity	Secretary of State, member, group, disadvantaged group, customers, suppliers, customers, charges, electricity, order, scheme, adjustment, charges, electricity	Scheme for adjustment of charges for a particular consumer group	Charge adjustments for consumers
40	The Secretary of State may by order impose : Energy efficiency requirements/targets for electricity distributors and suppliers.	Secretary of State may, order, Energy efficiency requirements, targets, electricity distributors, suppliers	Imposing Energy Efficiency Targets for Distributor & Supplier	Energy Efficiency Targets
41	Uniform prices etc. in certain areas of Scotland : charges which do not] distinguish (whether directly or indirectly) between users in different parts of the area.	Uniform prices, areas, Scotland, charges, distinguish, users, parts	Uniform Pricing in Certain Areas	Uniform Electricity Pricing
42	The Authority may from time to time direct the maximum prices at which electricity supplied by authorized suppliers may be resold	Authority, maximum prices, electricity supplied, authorized suppliers, resold	Maximum price to resell the electricity	Reselling Price of Electricity

A3.6 CODE BOOK: THE ELECTRICITY CODE OF UTILITY ACT 2000

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
	The Electricity Code			
1	Suppliers' charges relating to meters for disabled persons: alters the position of any electricity meter provided by him, replaces such a meter with one which has been specially adapted, the supplier shall not charge the customer for the alteration or replacement	Suppliers' charges, disabled persons, alters, position, electricity meter, Replaces, specially adapted, supplier, alteration, replacement	Metering provisions for disabled person	Metering Code: Disabled person
2	For Non-payment of suppliers' charges: (a) install a pre-payment meter on the premises; or (b) disconnect the premises,	Non-payment, suppliers' charges, install, pre-payment meter, premises, disconnect	Provision to install pre-payment meter	Metering Code: Prepayment meter
3	Where an electricity supplier supplies electricity to any premises otherwise than in pursuance of a contract, the supplier shall be deemed to have contracted with the occupier	electricity supplier, supply, electricity, premises, contract, deemed, contracted, occupier	Deemed contract of supplier with electricity premises	Deemed Contract to Supply
4	The Authority shall publish a document containing provision for determining the "appropriate supplier" Where any person takes a supply of electricity which is in the course of being conveyed by an electricity distributor, the distributor shall be entitled to recover from that person the value of the electricity so taken.	The Authority, publish, a document, provision, appropriate supplier, person, supply of electricity, electricity distributor, recover, value of the electricity	Publishing a document to define appropriate supplier	Define Supplier through Document
5	No person shall, without the consent of the supplier or, as the case may be, the distributor, restore the connection. A connection restored in contravention of this paragraph may be disconnected by the distributor to whose distribution system the connection is made or, if the original disconnection was carried out by an electricity supplier, by that supplier.	Person, consent, supplier, distributor, restore, connection, Connection, contravention, disconnected, distribution system, original disconnection, electricity supplier	Consent requirement to restore the connection	Electricity Code: Restore the Connection
6	A person who intentionally or by culpable negligence damages or allows to be damaged - any electric line or electrical plant/electric meter provided	person, intentionally, culpable negligence, damages, electric line, electrical plant, electric meter	Situation leads for culpable negligence damages	Electricity Code: culpable damages

7	Where an offence has been committed by the occupier of any premises in relation to any electric line or electrical plant provided by an electricity distributor for making or maintaining a connection to the premises, the distributor may disconnect the premises.	offence, committed, occupier, premises electric line or electrical plant provided by an electricity distributor for making or maintaining a connection to the premises, the distributor may disconnect the premises.	Condition for Power Distributor to disconnect the connection	Disconnection of Premise by Distributor
8	Where an offence has been committed in relation to an electricity meter provided by an electricity supplier which is situated on any premises, by the occupier, the supplier may disconnect the premises and may remove the meter	Offence, committed, electricity meter, electricity supplier, premises, occupier, disconnect, remove	Condition for Power Supplier to disconnect the connection	Disconnection of connection by Supplier
9	A meter removed under sub-paragraph (3) shall be kept safely by the supplier until the Authority authorizes its destruction or disposal.	Meter, removed, kept safely, supplier, Authority, authorizes, destruction, disposal	Provision of keep the meter safe	Metering Code: Securing Meter
10	The distributor or supplier shall not be under any obligation to reconnect (and in the case of a supplier to restore the supply to) any premises disconnected under certain conditions	Distributor, supplier, obligation, reconnect, supplier, restore, supply, premises, disconnected, conditions	No obligation to reconnect under certain conditions	Reconnecting the premise
11	Any officer or other person authorized by an electricity distributor may enter any premises to which the distributor is maintaining a connection, for the purpose of inspecting.	Officer, Person, authorize, electricity distributor, premises, distributor, connection, inspecting	Inspecting power of the authorized person by distributor	Inspecting power from Distributor
12	Any officer or other person authorized by an electricity supplier may enter any premises to which electricity is being supplied by him for the purpose of inspecting.	Officer, person, authorized, electricity supplier, premises, electricity, supplied, purpose, inspecting.	Inspecting power of the authorized person by Supplier	Inspecting power from Supplier
13	Where an electricity supplier is authorized by paragraph 2(1) to install a pre-payment meter on any premises,	Electricity supplier, authorized, install, pre-payment meter, premises	Authorization of electricity supplier to install a meter	Metering Code: Install the Meter
14	Entry on discontinuance of supply or connection: electricity supplier/distributor is authorized (a) to disconnect any premises; or (b) to remove an electricity meter,	Entry, discontinuance, supply, connection, electricity supplier, distributor, authorized, disconnect, premise, remove, electricity meter	Electricity Supplier to disconnect premise or to remove meter	Metering Code; Remove Meter
15	A power of entry under sub-paragraph (2) or (3) may not be exercised unless at least two working day's notice has been given to the occupier	power, entry, exercised, occupier	Two day's prior notice to the occupier	Prior Notice to Seek Entry
16	Entry for replacing, repairing or altering lines or plant : Any officer or other person authorized by an electricity distributor may at all reasonable times enter	Entry, replacing, repairing, altering lines, plant, officer, person, authorized, electricity distributor	Entry authorization for replacing, repairing & altering lines	Authorization for Entry
Electricity metering				
17	A pre-payment meter installed on any premises shall not be used to recover any sum other than a sum owing to an authorized supplier in respect of the supply of electricity	A pre-payment meter installed on any premises shall not be used to recover any sum other than a sum owing to an authorized supplier in respect of the supply of electricity	Pre Payment meter to recover certain amount for supplier	Metering Code: Prepayment meter

A3.7 CODE BOOK: SEPARATION OF SUPPLY AND DISTRIBUTION BUSINESSES

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
	Separation of electricity supply and distribution			
	Application and purpose of Part I			
1	This paragraph applies to any holder of an existing supply license whose activities, immediately before the passing of this Act, include both (a) the supply of electricity to premises; and (b) the distribution of electricity for the purpose of giving a supply to premises or enabling a supply to be so given.	Holder, Supply license, supply of electricity, premises, distribution of electricity, purpose, supply, premise, enabling, supply	Provision applies to the existing licensee who do distribution and supply both	Activities before Act

2	This Part of this Schedule has effect for the purpose of enabling the existing supply license held by such a license holder to have effect as if it were a distribution license under section 6(1)(c) and a supply license under section 6(1)(d), each granted to different persons.	Schedule, effect, purpose. Enabling, existing supply license, license holder, distribution license, supply license, granted, different persons	Effect to existing supply licenses on certain condition	Effect to existing licenses
3	Those persons must be— (a) the license holder and one of his associates nominated for the purpose of holding whichever of the licenses mentioned in sub-paragraph (2) is not to be retained by the license holder (b) any two associates of the license holder nominated by him for the purpose of holding those licenses	Persons, license holder, associates, nominated, holding, licenses, license holder	Different persons defined for the supply licensee	Provision to hold supply license
4	If immediately before the passing of this Act a person to whom this paragraph applies holds two or more existing supply licenses, sub-paragraph (2) applies in relation to such one or more of those licenses	Passing, Act, Person, paragraph, existing supply licenses, licenses	Two Licenses holding by a single supply licenses	Provision to hold supply license
5	If immediately before the passing of this Act a person to whom this paragraph applies— (a) generates electricity in pursuance of an existing generation license; and (b) transmits electricity in pursuance of an existing transmission license, the provisions of this Part of this Schedule also have effect as per next point.	Generates electricity, Generation license, transmits electricity, transmission license, provisions, Schedule	Provision for Electricity Generator & Transmitter	License for Electricity Generation & transmission
6	The license holder's existing generation license has effect as if it were a generation license granted to an associate of his nominated by him for the purpose; and	License holder, generation license, generation license, Associate, nominate, purpose	Effect to the existing license of generation company	license of generation Company
7	The license holder's existing transmission license has effect as if it were a transmission license granted to an associate of his nominated by him for the purpose. The same associate may not be nominated both for the purpose of subparagraph (6)(a) and for the purpose of sub-paragraph (3)(a) or (b) or (6)(b)	License holder, transmission license, transmission license, associate, nominate, purpose, Same associate	Condition for the effect of transmission license	Effect to transmission license

A3.8 CODE BOOK: TRANSFER SCHEME

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
	Nominations and transfer schemes			
1	Before such date as the Secretary of State may direct, a person to whom paragraph 1 applies may make a nomination for the purposes of paragraph (a) of paragraph 1(3) and make a scheme for the division of all his property, rights and liabilities between himself and the associate nominated under that paragraph; or	Nomination, purposes, scheme, division, property, rights, liabilities, associate, paragraph	Nominate a person for the division of properties	Nomination for Division
2	Make two nominations for the purposes of paragraph (b) of paragraph 1(3) and make a scheme for the division of all his property, rights and liabilities between himself and the associates so nominated.	Nomination, Purposes, scheme, division, property, rights, liabilities, associates.	Quantity of Nominated Persons and Provision to make a scheme	Nomination Quantity
3	this Part of this Schedule the person who makes such a scheme is referred to as "the supplier".	Part of Schedule, person, makes, scheme, supplier	Supplier to make the scheme as per schedule	Draft by Supplier
4	A scheme under sub-paragraph ("a transfer scheme") may define the property, rights and liabilities to be allocated to a nominated associate.	Scheme, transfer scheme, define, property, rights, liabilities, allocate, nominated associate	Provision of Transfer Scheme to define "Property, Rights & Liabilities	Property, Rights & Liabilities
5	Impose on any of those persons an obligation to enter into such written agreements with or execute such other instruments in favor of the other such person	Impose, persons, obligation, written agreements, execute, instruments, favor, person	Entering into written agreement	Written Agreement
6	Should Make such supplemental, incidental and consequential provision as the supplier considers appropriate.	Supplemental, incidental, consequential, provision, supplier, appropriate	Certain provisions as the supplier considers appropriate	Certain Provision as per supplier

7	A transfer scheme may, in relation to transfers or transactions for the transfers or transactions to be regarded as taking place in a specified order	Transfer scheme, transfers, transactions, taking place, specified order	Pre specified order of transfers and transactions	Pre specified order
8	for the nominated associate or, where sub-paragraph (1)(b) applies, either or both of the nominated associates to be treated as the same person in law as the supplier	Nominated associate, treated, same person, law, supplier	Nominated person is same as the supplier	Nominated person equals to supplier
9	Transfer scheme - shall have effect subject to any statutory requirements for transactions of that description to be registered in any statutory register; but Subject to that, shall be binding on all other persons, notwithstanding that it would, apart from this sub-paragraph, have required the consent or concurrence of any other person.	Transfer scheme, effect, statutory, requirements, transactions, description, registered, Statutory register, binding, persons, paragraph, consent, concurrence, person	Statutory Requirement under the transfer scheme	Statutory Requirement
10	If the supplier is a supplier to whom paragraph 1(5) applies, he may, before such date as the Secretary of State may direct— (a) make such nomination or nominations as he thinks fit for either or both of the purposes mentioned in paragraph 1(6); and (b) include the associate or associates so nominated among the persons between whom his property, rights and liabilities may be divided by the transfer scheme.	Supplier, Secretary of State, Nomination, purpose, Associate, persons, property, rights, liabilities, divided, transfer scheme	Nomination by the supplier for certain provisions under the act	TS; Nomination by the supplier
11	Substitutions : Supply license/s, distribution license/s, a/two nomination/s, associate/s	Substitutions, Supply license, distribution license, nomination, associate	Defining substitutes of licenses	substitutes of licenses
12	A transfer scheme shall not take effect unless it is approved by the Secretary of State. The Secretary of State may if he thinks fit, before approving a transfer scheme, make such modifications of the scheme as he considers appropriate	Transfer scheme, effect, approved, Secretary of State, modifications, appropriate	Approval & Modification provision in the transfer of license	License approval & Modification
13	The powers of the Secretary of State, may in particular be exercised with a view to ensuring that a proposed transfer scheme does not operate against the public interest.	Powers, Secretary of State, Exercised, Ensuring, transfer scheme, operate, public interest	Transfer scheme in Public Interest	Public Interest
14	It shall be the duty of the supplier to provide the Secretary of State with all such information and other assistance as he may require	Duty, supplier, Secretary of State, information, Assistance	Assistance in Information providing by Secretary of State	Assistance in Information Providing
15	Effect of transfer scheme			
16	Subject to the provisions of paragraph 7, on the effective date for a transfer scheme, all property, rights and liabilities— to which immediately before that day the supplier was entitled, which are allocated to a nominated associate by the transfer scheme, shall become by virtue of this paragraph property, rights and liabilities of that associate	Effective date for a transfer scheme, property, rights and liabilities, before that day the supplier was entitled, nominated associate, transfer scheme, property, rights, liabilities	Defining the Effective Date of Transfer	Effective Date of Transfer Scheme
17	“effective date”, in relation to a transfer scheme, is the day on which section 6(2) of the 1989 Act (as substituted by section 30 above) comes into force or such earlier day as the Secretary of State may direct for the purposes of the scheme.	Effective date, transfer scheme, 1989 Act, comes into force, such earlier day as the Secretary of State may direct	Defining the Effective Date of Transfer	Effective Date of Transfer Scheme
Interpretation				
18	“ the supplier ” means the person who makes a transfer scheme; “ transferee ” means the transferee under a transfer effected by paragraph 6;	Supplier, transfer scheme; Transferee	Defining Supplier and Transferee under the Transfer Scheme	Defining Supplier & Transferee
19	A company is an associate of the supplier if— (a) the company is a wholly owned subsidiary of the supplier; (b) the supplier is a wholly owned subsidiary of the company; or (c) the company and the supplier are both wholly owned subsidiaries of another company;	Company, Associate, supplier, company, subsidiary, owned subsidiary	Defining associate of the supplier	Defining Associate

A3.9 CODE BOOK: PROVISIONS FOR DEEMED CONTRACT TO SUPPLY

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
	Existing electricity supply licenses			
1	The Secretary of State shall make a scheme providing— (a) for the supplier's existing supply license to have effect as mentioned in paragraph 1(2);	Secretary of State, scheme, supplier, existing supply license	Secretary of State for the effect of existing license	Effect to existing license
2	If the supplier has nominated an associate or associates for either or both of the purposes of paragraph 1(6), for either or both of his existing generation and transmission licenses to have effect as mentioned in paragraph 1(5).	Supplier, Nominated, associate, associates, purposes, Generation, transmission licenses, effect	Nomination of associate by Supplier	Nomination of associate
3	In making a scheme under this paragraph, the Secretary of State shall have regard to the provisions of the supplier's transfer scheme.	Scheme, paragraph, the Secretary of State, provisions, supplier's transfer scheme	Provisionally as per transfer scheme	Considering Provisions
4	The Secretary of State shall as soon as practicable after the passing of this Act make a scheme in relation to existing licenses under section 6(1)(c) of the 1989 Act which are held by a person whose activities include both of those mentioned in paragraph 1(1); A scheme under this paragraph shall provide for each license to which it relates to have effect on and after such date as the scheme may specify as if it were (a) a distribution license and a supply license, each granted to the holder of the existing license; (b) a distribution license; or (c) a supply license	Secretary of State, Act, scheme, licenses, 1989 Act, activities, person, paragraph, distribution license, supply license, holder, distribution license, supply license	Effect to the existing licenses for Distribution & Supply	Effect to existing license to Distribute & Supply
5	The Secretary of State may, before the day on which section 30 comes into force, make one/more schemes for securing standard conditions for the purposes of licenses.	Secretary of State, Standard conditions, purpose of license	Standard conditions for the license	Standard Condition of license
	Former tariff customers			
6	This paragraph applies where immediately before the commencement date a public electricity supplier ("the supplier") is supplying tariff customers with electricity.	Immediately, commencement date, public electricity supplier, the supplier, supplying tariff, customers, electricity	Former tariff structure for consumers	Tariff customers
7	The supplier's supply successor shall be deemed to have contracted with those customers for the supply of electricity as from that day.	Supplier, supply successor, deemed, contracted, customers, supply of electricity	Deemed contract for supply successor	Supply Successor
8	The express terms and conditions of a contract which, by virtue of subparagraph (2), is deemed to have been made by the supplier shall be provided	Terms and conditions, contract, deemed, supplier	Terms and Conditions for the supplier	T&C of Suppliers
9	Before such date as the Secretary of State may direct, the supplier shall make a scheme for determining the terms and conditions which are to be incorporated in the contracts	Date, Secretary of State, supplier, make, scheme, determining, terms and conditions, incorporated. contracts	Determining scheme for Terms & Conditions	Determining T&C
10	"supply successor", in relation to a public electricity supplier, means the person who becomes an electricity supplier by virtue of a scheme	Supply successor, public electricity supplier, Person, electricity supplier, scheme	Supply Successor and Public electricity Supplier	Responsibilities of Supply Successor
11	The Council's first forward work programme required by section 4(1) shall be published within the period of three months beginning with the day on which the Council is established.	The Council, forward work programme, published, three months, establishment day.	Publishing Forward work programme	Forward Work Program

APPENDIX 4

IDENTIFYING ASSOCIATION IN THE CODE BOOKS OF INDIA, NEW ZEALAND, UNITED KINGDOM

A4.1 INTRODUCTION

This Appendix represents convergence among multiple and various sources of information through developing association between code books. Data was sorted out and overlapped areas were eliminated as per the need of ‘Triangulation’ validity procedure. The concept was briefly defined in chapter 5 of this thesis. Through the triangulation, convergence among multiple and various sources of information (code books) was searched. As a validity procedure, the researcher undertook triangulation by employing researcher lens. Systematic process was adopted and data was sorted out through finding common categories and themes by eliminating the overlapped areas.

4.2 IDENTIFYING ASSOCIATION IN CODE BOOK 1.2 AND CODE BOOK 1.3

Initial categories*	Refined Category	Initial Themes	Final Themes	Core Concept
Need of third Generation Reforms	Reform to amend existing regulations	Objective of the Reforms	Governing Regulations	INTRODUCTION OF RETAIL COMPETITION
Recommendation to amend existing regulations				
New bill to amend the EA 2003	Reform through EAB 2014			
New bill to consolidate previous acts				
Objective of the EAB 2014				
Amendments suggested by the EAB 2014				
Certain Other objectives of EAB 2014	Transfer scheme by State Government for Separation			
Transfer Scheme for the separation				
Transfer Scheme by State Government	Separation of accounts/assets/employees			
Separation of accounts & assets				
Separation of Employees	Separation of Carriage and Content Business	Separation of Distribution Business		
Separation of carriage and content				
Separation of wheeling & supply business	Ownership Separation with Separate License	Treatment of losses & subsidies		
Implementation of ownership separation				
Separate License for Distribution & Supply Business	Allocation of Losses on Separation	Separation of Carriage & Content		
Allocation of technical and financial losses				
Allocation of technical and commercial losses	Treatment of Subsidies			
Gradual elimination of cross subsidies				
Need of License under Section 14	Need of License under Section 14	Provision of Licenses		
Licensing for the Distribution				
License to undertake Trading of Electricity				
Certain bodies as a deemed licensee	Provision of Deemed License			
Deemed license for distribution				
Exemption from License	Exemption from License			

Exemption from License for Renewable			
Period of license validation	Suspension Of license		
Suspension of license by Commission			
Suspension/revoke of license by Commission			
Vesting of utilities into administrator	Selling of Utility on Suspension		
Selling of the utility on suspension			
State Government owing Distribution	Distribution Business Owner	Natural Monopoly in Line Business	
One Distribution Licensee in an Area	Natural Monopoly in Distribution		
Distribution Licensee as a supplier	Duties of Distribution Licensee		
Duties of Distribution Licensee			
Limited work period for distribution franchisee			
Competition in Content Business	Competition in Supply Business	Competition in Supply Business	Competition in Market
Competition in Supply/Retail Side			
Invite License for the Second Supply License	Introducing Second Supply Licensee		
Implementing the working of Second Supply Licensee			
Power procurement by Supply Licensee	Power Procurement & Other duties of SL		
Duties of ISL & Supply Licensee			
Duty of Provider of Last Resort	Duties of Provider of Last Resort		
Electricity services & Prices by POLR			
Transfer of PPAs	Transfer of Power Purchase Agreements	Transfer of PPAs	
Transfer of Power Purchase Agreements			
Creation of capacity market : Adequate Generation Capacity	Creation of Capacity Market in Generation	Development of Capacity Market	
Competition in Generation Segment	Equal Competition in Generation		
Pricing/Charges of Electricity	Tariff/pricing of the Electricity	Competitive Tariff/Policy/Charges	
Tariff of supplied electricity			
Market determined competitive charges	Market determined competitive charges		
Determining the Tariff			
Determining the Tariff for shortage of electricity	Ceiling Tariff/Tariff in shortage of power		
Ceiling Tariff & Factors of Tariff			
Change in the meaning of Distribution	Defining new bodies after separation	New Responsibilities & Regulatory Arrangements	New Responsibilities & Arrangement
Defining the Incumbent supply licensee			
Defining the Intermediary Company			
Defining the Supply Licensee			
Defining the Provider of Last Resort			
Responsibilities of Commission & Authority	Defining responsibilities		
Electricity Supply Code	The Electricity Code	Electricity & Grid Code	
Ancillary Services to Support the power System			
Defining the Smart Grid	Advanced Infrastructure of Power System		
Advanced Metering Infrastructure			
Provision of Open Access	Open Access & Opening of Market	Open Access	Consumer Switching
Retail Market opening in Phases			

Market opening consumer category wise				
Choice to Consumer	Consumer Choice & Awareness			
Choice to Consumer/One Govt Co				
Consumer Awareness for success				

A4.3 IDENTIFYING ASSOCIATION IN CODE BOOK 2.2, CODE BOOK 2.3, CODE BOOK 2.4, CODE BOOK 2.5 AND CODE BOOK 2.6

Initial categories*	Refined Category	Initial Themes	Final Themes	Core Concept
Definition of Electricity Business	Defining Electricity Business	Definitions	Objective of Reforms	INTRODUCTION OF RETAIL COMPETITION
Definition of Line Business	Defining Distribution, Supply & Line Business			
Definition of Supply Business				
Power Distribution & Power Supply	Defining Power Generation, Transmission & Line Business			
Electricity Lines & Generation				
Power Generation & Transmission	Cross Subsidization			
Cross Subsidization	Inefficiency in Operations	Inefficiency in Operations		
Inefficiencies & lack of other competitive activities				
Revision in terms to improve efficiency				
Inefficiency effect on Economic Performance	Effect on Economic Performance	Reform Announcement		
Strategy for Energy Efficiency and Distribute Generation				
Monopoly in the market	Political Involvement & Monopoly	Monopoly, Lack of Competition		
Removal of distributor monopoly				
Political involvement & interference	Purpose: Competitive benefits to consumers			
Benefits to consumers				
Competition in Generation & Retail				
Introducing Competitive player in Generation	Announcement of Reforms	Reform in regulations		
Announcement of reforms by Government				
Recommendations for further reforms	Recommendation of Reforms			
Announcement of further reforms by Government				
Introducing Energy Sector Reform Bill	Introducing new bill	Introduction of New Bill/Act		
Introducing a new bill : Electricity Industry Bill 2000				
Introducing a new bill: Electricity and Gas Industry bill				
New Bill: Electricity (Continuance of Supply) Amendment Bill				
Electricity (Continuance of Supply) Amendment Bill	Introducing New act			
Enactment of a new act				
Enactment of new act: Electric Power Boards Amendment Act, 1990				
Introducing a new act: Energy Companies Act 1992				
Introducing a new act: Electricity Industry Reform Act 1998 for full ownership separation				
Introduction of new act: Electricity Industry Reform Amendment Act				

Commerce Amendment Act: improved regulations for line business			
Enactment of new act: EIRAA 2008			
Introducing a new act: Electricity Industry Act, 2010			
Enactment of a new act			
Applicability of the Act			
Introducing Electricity Regulations 2004: Govern retailer price	Introducing new regulations	Regulatory Governance & Responsibilities	
Independent Regulatory & Policy Activities			
Responsibility around Regulatory Affairs			
Introducing a committee on Energy Policy			
Introducing Energy Policy framework	Introducing new policies/statements	New Regulatory Policy Documents	
New Government Policy Statement for Electricity Commission			
Government Policy Statement on Electricity Governance			
Government Policy Statement to secure supply			
New policy statement on Electricity Transmission			
Renewable Energy Policy			
Governance of electricity industry			
Energy Policy Framework			
Objectives of Arm Length Rules	Objectives of Arm Length Rules	Regulations Arm Length Rules	
Arm Length Rules: Objectives			
Relationship in Arm Length Rules	Regulation through Arm Length Rules		
Generality of Arm length Rules			
Parents by Arm Length Rules			
Definition of Business A			
Definition of Business B			
Arm Length Rules: Transactions			
Arm Length Rules: Duties of Businesses	Duties under Arm Length Rules		
Arm Length Rules: Duties of Directors			
Arm Length Rules: Duties of Businesses			
Arm Length Rules for Cross Directors			
Director Obligation to Arm Length Rules			
Arm Length Rules: Test	Management rules of Arm Length Rules		
Arm Length Rules: Management Rules			
Business Management Rules			
Business Management Rules			
Arm Length Rules: Use of Information			
Arm Length Rules: Parents			
Information Disclosure Regulations	Disclosure Regulations for Disclosing Info	Disclosure Regulations	Disclosure Mandates
Information Disclosure Regulations			
Disclosure Regulations			
Revised information disclosure regulations	Disclosure Regulations for Disclosing Revised Info		
Restriction for use of information			
Defining the involvement [Line Business]	Define the Involvement		

Defining the involvement [Generation Business]						
Defining the involvement [Selling]						
Transition between Businesses						
Definition: Parent meaning						
Involvement Measurement	Measuring the Involvement	Involvement & Control Rights				
Involvement Meaning & Measurement						
Involvement in Connected Electricity Business						
Transmission Co in Generation	Participation of one business into another					
Connected to : National Grid						
Electricity : National grid to Generator						
Electricity: Conveying to Consumption						
Electricity: Conveying to Competitor						
Line business interest in Generation business						
Line business participation in retail business						
Prohibition of certain involvements						
Cross Involvement in Business						
Exemption rules, Certain Involvement, Businesses						
Equity Returns						
Material Influence						
Control Rights & Equity Return Rights						
Overlap threshold				Threshold Measurement	Threshold Limit/Capping Rules	Threshold/Capping Rules
Reverse Overlap						
Local Overlap						
Meaning of 10% threshold						
Capping Rules	Capping Rules					
Connected generation Cap						
Connected Selling Cap						
Trust like entities	Trust Like Entities	Associates/Trust/Franchisee				
Expansion of control, trust-like agencies						
Associates in the Business	Associate in the Business					
Define the Associate						
Introducing Electricity Governance Board	Creation of new committee/Company/Task Force	Restructuring - Introduction of New Company Committee Task Force Governance Board Authority Commission	Restructuring of Industry			
Creation of a new body						
Creation of a task force						
Introducing new body for energy efficiency						
Introducing a subsidiary of existing company						
Introducing Electricity Market Company						
Electricity Governance Establishment Committee						
Defining work area of task force						
Introducing Electricity Complaints Commission						
Introducing: Electricity and Gas Complaints Commission (EGCC) Scheme						
Electricity authority in place of Electricity Commission	Introducing Commission/Authority					
Review of electricity market design						
Review of electricity market	Market Design & Review	Restructuring: Market Design & Investment				

Ministerial review of electricity market design			
Outcome of Ministerial review			
Investment draft for transmission and distribution	Financial investment & support		
Investment Exemption			
Investment exemption for Transpower			
Introducing Power Package			
Development Group for Wholesale Market	Wholesale Market Study & Suggestions	Development of Wholesale Market	Wholesale Market
Report on Competitive wholesale market			
A study to establish the Wholesale marks			
Suggestions for wholesale market			
Introducing Wholesale Electricity Market	Wholesale Market Introduction	Introduction of Wholesale Market	
Financial rights to manage wholesale electricity price	Wholesale Market Pricing		
Restructuring of Industries	Restructuring of Industry	Restructuring - Unbundling/Separation	Unbundling/ Separation
Unbundling of Ministry in 2 separate divisions	Separation of Ministry		
Providing the club ownership to Transmission Body	Club Ownership		
Separation of Companies	Separation of companies/business		
Separation/Unbundling			
Business Separation Rules			
Separation of Businesses			
Separation of Generation & transmission	Separation of Generation & Transmission		
Separation of transmission company			
Separation of Generation Company			
Corporatization of Supply Authorities	Restructuring: Corporatization		
Corporate separation mandate	Corporate Unbundling; Cost & Mandate	Corporate Separation	Corporate Separation Carriage & Content
Reducing the cost of corporate separation			
Electricity Business & Corporate Separation	Corporate Unbundling		
Corporate separation			
Ownership separation in Distribution	Ownership Separation of Carriage & Content in Distribution Business	Ownership Separation	Ownership Separation Carriage & Content
Ownership unbundling of Carriage and Content Businesses			
Mandate for ownership separation of line and supply business			
Cross ownership restrictions			
Completion of ownership separation			
Relaxation on ownership rules	Rules of Ownership Separation		
Ownership Separation			
Ownership Separation			
Rule for ownership separation			
Rules for Ownership Separation			
Ownership Separation rules			
Ownership Separation			
Ownership Separation Application		Application of Ownership Separation	
Cross Ownership			
Valuation of line business			
A retail pricing report	Pricing Method	Price/Tariff Norms	

Transmission pricing methodology				
Price control by Commerce commission	Price Control			
Price Restraint Regulations				
Guidelines for Disconnection by retailer	Guidelines/Rules/Contracts	The Electricity Code	The Electricity Code	
Input methodology for line business				
Investigation by commerce commission for participating rules				
Designing the virtual contracts				
Enforcement, Penalties & Taxation Rules				
Connected Consumer	Connected Business/Consumer			
Nameplate/Connected Generation				
Connected Electricity Business				
Financial Transmission Rights	Financial Rights			
Electricity System	Electricity System			
Repealing of Section	License Provisions	License Conditions		
T & C : Supply Business				
Supply Security	Securing the Supply	Security Measures		
Grid Security Measures				
Use of system agreement	Use of System Rules	Use of System Rules		
Use of System Agreements				
Consumer switching between suppliers	Consumer Switching	Open Access: Choice to Consumer		
Consumer switching fund				
First franchise removal in distribution and retail monopolies	Open Access: Franchisee Removal	Open Access: Market Opening		Consumer Choice
Removal of Destruction franchisee restrictions				
Second franchise removal in distribution and retail monopolies				

A4.4 IDENTIFYING ASSOCIATION IN CODE BOOK 3.2, CODE BOOK 3.3, CODE BOOK 3.4, CODE BOOK 3.5, CODE BOOK 3.6, CODE BOOK 3.7 AND CODE BOOK 3.8

Initial categories*	Refined Category	Initial Themes	Final Themes	Core Concept
Defining the Distribution	Defining Distribution & Distributor	Definitions	Objective of Reforms	INTRODUCTION OF RETAIL COMPETITION
Defining Electricity Distributor				
Defining Electricity Supplier	Defining Supply & Supplier			
Defining the Supply				
Define Supplier through Document				
Strategy to develop competition in connections	Development of Competition	Purpose of Reforms		
Distribution Losses & Load Forecasting	Distribution Losses & Inefficiencies			
Efficiency in operations	Protecting Interest of Consumer			
Focus on Interest of End Consumers				
Protection responsibilities				
Protecting interest of Consumers				
Protecting interest of Consumers				

Protecting interest of Consumers			
Protection of public			
Consumer Rights			
Representation of Consumer Interest to Council			
Price drop by competition among suppliers	Price Drop & Efficiency Targets		
Energy Efficiency Targets			
Promotion of renewable energy	Development of Renewables		
Renewable Purchase Obligation			
Purchase Renewable Energy Certificates			
Introducing a new act: Electricity Act of 1947	Enactment of a new act	Introducing a new act	
Introduction of a new act: Electricity Act of 1957			
Introducing new act: The Electricity Act 1989			
Introduction of a new act: The Electricity Act 1989			
Competition Act 1998 to handle anti-competitive practices			
Introducing new act: Utility Act 2000			
Competition law & behavior of supplier	Competition Law		
Reform in Institutional Framework & Regulations	Reform & Regulatory Authorities	Reforms in Regulations	
Introducing regulatory board: GEMA			
Regulatory Authority : GEMA Supported by : OFGEM			
Responsibilities GEMA: Statutory responsibilities			
OFGEM: Day to Day Operations			
Establishment of Electricity Authority			
Functions of the authority			
Functions of the authority			
Setting up of Environmental Regulator			
Investigation power of competition commission	Competition Commission & Consumer Council	Introduction of New Regulatory Body/New Regulatory Norms	
Powers of Competition Commission			
Powers of Competition Commission			
Establishment of Consumer Council			
Responsibilities of Council			
Introduction of independent consumer council			
Duty of Electricity Distributor	Duties/Power/Developments		
Duty of Electricity Distributor			
Power of DGFT			
Development of regulatory policies			
Regulations for Generating Station & Overhead Lines			
New Regulations for Electricity Works			
Power to grant & modify licenses			
Additional Powers: OFGEM	New Market Place Regulations		
Additional responsibilities : OFGEM			
Assigning New Duty to OFGEM			
Responsibilities of OFGEM as a sector regulator			

Power Supply in Private Hands			
Power Supply in Public Hands	Historical Developments		
Activities before Act			
Responsibility of Generation & Transmission		Pre Reform Development	
Responsibility of Central Generating Board			
Responsibility of area boards	Historical Responsibilities		
CEGB domination in the market			
Disinvestment in Nuclear Companies	Investment & Disinvestment		
Disinvestment in Generation			
M&A to create supplier groups		Restructuring: Investment & Disinvestments	
Acquisitions in supply businesses	M&A		
M&A to integrate generation & supply			
Annual Report	Reports for decisions		Restructuring of market
Forward work Programed Report			
Vertically Integrated Structure			
Restructuring in Transmission system	Structure of the Industry		
Independent Power Producers			
Restructuring : new regulatory structure			
Introducing Electricity Authority		Restructuring: Introduction of New Bodies/ Boards/ Commission Council/Companies/Authority	
Introducing Central Electricity Authority	Introduction of Authority/Council		
Electricity Counselling in place of authority			
Creation of Area Boards			
Introduction of Public Corporations/Electricity Boards	Introduction of Boards/Companies/Corporations		
Introducing Electricity Boards			
Formation of New Companies			
New Distribution companies			
Introducing Electricity Pool for wholesale market	Development of Electricity Pool		
Pool Administration by NGC			
New trading arrangements		Development of Wholesale Market	Wholesale Market
Bilateral trading in New trading arrangements			
Development of new power exchanges under NETA	New Market Place / Trading Arrangements		
Methodology to measure market share			
Formation of OFGEM			
Transfer Scheme: Property, Rights & Liabilities	Assets & Liabilities under Transfer Scheme		
Transfer Scheme: T&C of Suppliers			
Transfer Scheme: Determining T&C			
Transfer Scheme: Standard Condition of license			
Transfer Scheme: substitutes of licenses			
Transfer Scheme: Effect to existing license	License Conditions under Transfer Scheme	Transfer Scheme	Separation under Transfer Scheme
Transfer Scheme: Effect to existing license to Distribute & Supply			
Transfer Scheme: Supply Successor			
Transfer Scheme: Responsibilities of Supply Successor			

Transfer Scheme: Defining Supplier & Transferee	Defining Licensees under Transfer Scheme		
Transfer Scheme: Defining Associate			
Transfer Scheme: Written Agreement	Defining works under Transfer Scheme		
Transfer Scheme: Certain Provision as per supplier			
Transfer Scheme: Draft by Supplier			
Transfer Scheme: Assistance in Information Providing			
Transfer Scheme: License approval & Modification			
Transfer Scheme: Forward Work Program			
Transfer Scheme: Effective Date of Transfer Scheme			
Transfer Scheme: Effective Date of Transfer Scheme			
Transfer Scheme: Nomination of associate	Nomination of persons for different purposes		
Transfer Scheme: Nomination for Division			
Transfer Scheme: Nomination Quantity			
Transfer Scheme: Nominated person equals to supplier			
TS; Nomination by the supplier			
Transfer Scheme: Pre specified order	Pre Specified Order of Transfer Scheme		
Transfer Scheme: Statutory Requirement			
Transfer Scheme: Public Interest	Protection of Consumer Interest under Transfer Scheme		
Transfer Scheme: Considering Provisions			
Transfer Scheme: Tariff customers			
RECs = Distributor + Suppliers + Generators	Vertically Integrated Structure		
Unbundling of vertically integrated structure			
Contestable and non-contestable scenarios	Ensuring Competitive Activities	Unbundling/Separation	
Active licenses suppliers in Market			
Distribution: Separate License Activity			
Single license to all suppliers	License Provisions to Distributors		
Mandate to unbundle distribution and supply	Mandatory Unbundling for Distribution & Supply		
Competition in Metering	Competition in Metering Services	Competition in Metering	
Competition in metering services			
Competition: half-hourly meter points			
Freedom to choose meter supplier			
Monopoly: Non-half-hourly meter points			
Meter operation and data services			
Prepaid metering infrastructure	Administration & Infrastructure of Metering		
License need for meter players			
Statutory duty of a Distributor			
Supply Business Operations	Duty of Distributor & Supplier	License Provisions	Regulatory provisions: License Pricing &
License holding conditions	Conditions of licenses		
Condition to become licensable activities			
Conditions of Electricity Distributor			
Condition of Electricity Supplier			
Provision to hold supply license			

Provision to hold supply license					
Defining Supply Area					
Grating of License	Grant of licenses				
An order to make activities licensable					
Deemed Contract to Supply					
Effect to existing licenses					
License for Electricity Generation & transmission					
license of generation Company					
Effect to transmission license					
Approval for the license					
Authorization to distribute electricity					
Exemption from License		Exemption/Modification/Transfer of License			
License modification provisions					
Power to modify the license					
Specified activities to be licensable activities					
Transfer form of license					
Base of Price capping: Existing Tariff Levels	Capping on Price	Pricing/Charges Norms			
Formula to Set Price Cap					
Price controls in Franchisee Market					
Price capping by regulator					
Periodic review of the price caps					
Regulated price for use of carriage	Charge for Use of Carriage				
Price fall for prepayment meter	Price fall by Prepayment Meter				
Methodology of price controls	Price Control Methodology	Pricing/Charges Norms			
Price control in monopoly environment					
Retention of price controls for 2 years					
Competition law & price controls					
Price control revisions					
Former control on supply charges					
Tariff Rules	Price/Tariff of Electricity				
Uniform Electricity Pricing					
Reselling Price of Electricity					
Components of supply business costs					
Cost increase & Data Management in Supply Market					
Components of regulated revenue					
New Connection Requirement	The electricity code: Connection/Disconnection	The Electricity Code	The Electricity Code		
Exemption for New connection					
Disconnection Requirement					
New Connection Requirement					
Agreement for new connection					
Electricity Code: Restore the Connection					
Electricity Code: culpable damages					
Disconnection of Premise by Distributor					
Disconnection of connection by Supplier					

Reconnecting the premise				
Inspecting power from Distributor	The Electricity code: Investigation	The Electricity Code: SOP/Charges/Duties		
Inspecting power from Supplier				
Prior Notice to Seek Entry				
Authorization for Entry				
The Electricity Code				
Charge adjustments for consumers				
Charge to use to distribution system				
Standards of Performance				
Standard of performance				
Standard of performance by Authority				
Standards for distribution companies				
Consumer view for setting up Standards				
Duty of Electricity Distributor				
Different voltage levels	The Electricity Code: Voltage Level			
Duty to connect at supplier/Consumer request				
Metering Code: Disabled person	Metering Code	The Metering Code		
Metering Code: Prepayment meter				
Metering Code: Securing Meter				
Metering Code: Install the Meter				
Metering Code: Remove Meter				
Metering Code: Prepayment meter				
Metering point administration	Metering Administration			
Advantage of Metering point administration Services				
Arrangement of electricity by suppliers	Electricity for Supply Security	Security of Supply		
Arrangement of electricity by suppliers				
Phase wise open access	Open Access in Phased Manner	Open Access		Consumer Choice
Phase I: Open Access				
Phase II: Open Access				
Phase III: Open Access				
Open access/Choice to all consumers	Choice to consumer in Phased Manner	Consumer Switching		
Consumer Switching in Phase I				
Consumer Switching in Phase II				
Consumer Switching in Phase III				
Effect of market opening on former suppliers				

APPENDIX 5

CODE BOOK FOR PROTOCOL LEADING TO THE FORMATION OF CONCEPTUALIZED FRAMEWORK TO INTRODUCE RETAIL COMPETITION IN INDIA

A5.1 INTRODUCTION

This Appendix represents the initial protocol and analysis of its' transcripts. The appendix contains five code books which have their roots in chapter 6 of this thesis. The first code book 5.2 represents the 'Syncretic Groups and Open Coding'. The second code book 5.3 represents the 'Complexes and Axial Coding'. The third code book 5.4 represents the 'Potential Concepts and Selective Coding'. These code books were used as a tool to develop the conceptualized framework for introducing retail competition in Indian Power Sector.

A5.2 SYNCRETIC GROUPS AND OPEN CODING

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
Q1	Purpose/objective of reforms, segregation : (A) Objectives of the reforms in the electricity sector have been to introduce competition to operations, such as electricity generation and electricity retailing; to regulate only the natural monopoly components, transmission and distribution, of the electricity network; to improve the efficiency of electricity utilities; to ensure the security and sustainability of electricity supply; and to encourage investment and innovation. (B) Effectively separating electricity lines from generation and retail where those activities are collocated; promoting effective competition in electricity generation and retail.	Objectives, purpose, reforms, segregation, electricity sector, introduce, competition, operations, electricity generation, electricity retailing, regulate, natural monopoly components, transmission, distribution, electricity network, improve efficiency, electricity utilities, security, sustainability, electricity supply, encourage investment, innovation, separating, electricity lines, generation, retail, activities, collocated; promoting, effective competition	Purpose of further reforms & segregation of distribution and supply business	Purpose of segregation of carriage and content
Q2	Provisions included by arm length rules: Arm's - length include having relationships, dealings, and transactions that— (a) do not include elements that parties in their respective positions would usually omit; or include.	Provisions, Arm's - length, relationships, dealings, transactions, excluded elements, omit elements, included elements	Provisions included by Arm Length Rules for defining various relationships	Incorporating Arm Length Rules
Q3	Limits of overlap threshold to carry out separation: Exceeds the overlap threshold, means person A exceeds the overlap threshold in respect of person B if— (a) more than 20% of the persons having non-specific interests in person A are likely to be the same persons as have interests in person B; or (b) the class or classes of persons having non-specific interests in person A are substantially included in a class or classes of persons having interests in person B; or (c) more than 20% of the persons likely to derive an appreciable benefit from non-specific interests in person A are likely to be the same persons as those that are likely to derive an appreciable benefit from equity return rights in person B	Limit, exceeds, overlap threshold, person A, person B, More 20% of the persons, non-specific interests, same persons. interests, person B, class, Classes of persons, substantially included, likely to derive, appreciable benefit, return rights	Limits of overlap threshold to carry out separation of businesses	Overlap threshold for separation
Q4	Need to define the meaning of Business A & B: Business A, it refers to a business that would have to have its ownership separated and the term business B then refers to a business from which business A must be separated.	Meaning, Business A, ownership, separated, business B, business	Meaning of two businesses : Business A & Business B	Defining the two businesses

Q5	Reason of involved persons needs to be identified: To prohibit certain involvements in electricity lines and electricity generation and retail that may create incentives or opportunities— (i) to inhibit competition in the electricity industry or to prohibit distribution businesses from being involved in either generation or retailing activities.	Reason, involved person, prohibit, involvements, electricity lines, electricity generation, retail, incentives, opportunities, inhibit competition, electricity industry, distribution businesses, generation, retailing activities, involved	Involved person in business needs to be identified to prohibit involvements	Identify involved person to prohibit involvement
Q6	Meaning of Involvement: In a line if the person conveys electricity by the line, or owns or operates, directly or indirectly, in selling electricity to a customer if the person sells to the customer either on its own or another's behalf, carries on a business that does any of those things, either alone or together with its associates and either on its own or another's behalf; or exceeds the 10% threshold in respect of a business that does any of those things; or has material influence over a business that does any of those things.	Meaning, involvement, Line, person, conveys, electricity, line, owns, operates, directly, indirectly, selling electricity, customer, sells, customer, carries, business, alone, together, associates, exceeds, 10% threshold, business, material influence	Meaning of involvement is defined for the better understanding	Defining the meaning of involvement
Q7	Method to measure the involvement: Through setting up the connected generation cap, connected customers selling cap and threshold for corporate separation and arm's-length rules.	Method, Threshold, Setting up, connected generation cap, connected customers selling cap, threshold, corporate separation, arm's-length rules	Measuring the involvement through capping in various businesses	Measuring involvement through capping
Q8	Define the associates: Person A is an associate of person B (and vice versa) if— (a) person A is a body corporate, and person B is— (I) a director of that body corporate (ii) person A is a spouse, civil union partner, de facto partner, child, or parent of person B; or person A is a nominee or trustee for person B in relation to interests in a business; or (f) person A is a director of a company, or holds more than 10% of the control rights in the company, and person A and person B are parties to an agreement relating to— (I) the control of that company; or (ii) more than 20% of the control rights in that company;	Person A, associate, person B, director, body corporate, spouse, civil union partner, de facto partner, child, parent, nominee, trustee, interests, business, holds > 10% of the control rights, company, parties of agreement, control company; >20% of the control rights.	Defining the associates for different persons - Person A & Person B	Defining the associates
Q9	Define the associate by act: To identify person who does business either alone or together with its associates and either on its own or another's behalf; and/or if 2 or more associates who, in aggregate, have more than 10% of the control rights in the business;	Associate, Act, identify person, business, alone, together, associates, own or another's behalf; >2 associates, aggregate, >10% of the control rights	Reason to identify the associate defined by act	Identify associate to identify involvement
Q10	Particulars described by disclosure regulations: Every person must disclose the following, in accordance with any disclosure regulations that may from time to time be made (a) an involvement or interest in an electricity business: (b) a non-specific interest in a person involved in an electricity business.	Person, disclose, accordance, disclosure regulations, involvement, interest, electricity business, a non-specific interest, involve, electricity business	Disclosure Regulations to identify involvement, interest	Disclosure Regulations to identify involvement
Q11	Information disclosure regulations provide: Any such regulations may provide for any or all of the following: (a) by and to whom the disclosure is made: (b) what needs to be disclosed: (c) when it must be disclosed: (d) the form of the disclosure: (E) Record Maintenance & Access (f) Method to set up the threshold.	Disclosure regulations, provide, (a) by and to whom the disclosure is made, (b) what needs to be disclosed, (c) when it must be disclosed, (d) the form of the disclosure, (E) Record Maintenance & Access, (f) Method to set up the threshold	Domain of information provided by information disclosure	Information by information disclosure Regulations
Q12	Obligated to disclose the particulars: Every person who sells electricity to connected customers.	Person, sells, electricity, connected customers	Bodies obligated to disclose the information	Bodies to disclose the information
Q13	Disclosure statement contains: A statement that— (a) shows the calculation of the person's qualifying generation in respect of that financial year; and (b) sets out how much electricity the person sold to connected customers during that financial year; and (c) includes a certificate, signed by the directors of the electricity business, stating whether or not the quantity of electricity the person sold to connected customers during that financial year exceeded the limit set out in section 17C.	Disclosure statement, calculation, person, qualifying generation, financial year, electricity, sold, connected customers, include, certificate, director, electricity business, quantity of electricity, connected customers, financial year, exceeded, limit	Information fields contained by Disclosure Statement	Information fields of Disclosure Statement
Q14	Format of Information disclosure: The statement must be in the form prescribed by the Commission from time to time	Information Disclosure, statement, form, prescribed, Commission	Format of Information Disclosure by Commission	Format of Information Disclosure
Q15	Audit of the disclosed information: The statement must be audited by an independent chartered accountant.	Disclosure information, statement, audit, independent chartered accountant	Audit of the Disclosed Information by CA	Audit of the Disclosed Information

Q16	Authority who orders the council to make regulations (Regulations making powers): The Governor-General may from time to time, by Order in Council made on the recommendation of the Commission, make regulations for all or any of the purposes.	Governor-General, Order, Council, recommendation, Commission, Regulations, purposes, regulations making powers	Governor General orders the council to make regulations (Regulations making powers)	Ordering regulations - Regulations making powers
Q17	Regulations making powers: declare a class of businesses or involvements or interests to be a disregarded business or involvement or interest to which the Act does not apply for the specified purposes and specifying any conditions that apply: Declaring a class of businesses or involvements or interests to be businesses, involvements, or interests that are no longer disregarded.	Declare, class of businesses, involvements, interests, disregarded business, involvement, interest, apply, purposes, specifying conditions, businesses, regulations making powers	A class of business/involvement declared by the regulations making powers	Involvement declared by the regulations making powers
Q18	Consumer categories for charges of line services: (a) to domestic premises (b) to consumers in sparsely populated areas (rural consumers). Another angle - in relation to charges payable to suppliers, provision for the adjustment of charges payable by customers who are not members of the disadvantaged group (as well as by persons who are).	Consumer categories, charges, line service, domestic premises, consumers, sparsely populated areas, rural consumers, charges payable, suppliers, provision, adjustment of charges payable, customers, disadvantaged group	Supplier charges as per different consumer categories	Consumer Category for Supplier Charges
Q19	The Governor-General may from time to time, by Order in Council, make regulations imposing or providing for the imposition of restraint in respect of the charges relating to line function services or Secretary of State.	The Governor-General, Order, Council, regulations, imposing, providing, imposition, restraint, charges, line function services, Secretary of State	Order of Governor general for Price Restraint Regulations	Ordering Price Restraint Regulations
Q20	Base to define the consumer category (a)by electricity distributors generally or by particular classes of electricity distributors or by individual electricity distributors: (b) in respect of particular classes of areas or an individual area or areas, defined by reference to geographic area or sparsity of population or distance from main centers or any other method of definition: (c) in respect of particular classes of consumers.	Consumer Category Base, Electricity distributors, particular classes of distributor, individual distributor, classes of areas, individual area, geographic area, sparsity of population, distance from main centers, particular classes of consumers.	Various Consumer category for distribution business	Consumer category for distribution business
Q21	Line Charge is not payable directly by an end-consumer to an electricity distributor, but is payable via an electricity retailer.	Line Charge, payable, end-consumer, electricity distributor, electricity retailer	Methodology to pay line charges by consumer	Line Charges through distributor
Q22	Price restraint regulations specify : (a) control, in relation to charges for line function services to domestic premises or rural consumers,— (I) the amount of the charge: (ii) the amount of any component of the charge: (iii) the proportion that any component of the charge may bear to the total charge or to any part of the charge: (b) control the frequency with which the charge, or any component of the charge, may be increased: (c) control the amount of any increase in the charge, or any component of the charge.	Price restraint, regulations, specify, control, charges, line function services, domestic premises, rural consumers, (I) the amount of the charge, (ii) the amount of any component of the charge, (iii) the proportion that any component of the charge (b) control the frequency (c) control the amount of any increase in the charge, component of the charge	Various fields described by Price Restraint Regulations	Rules/fields of price restraint regulations
Q23	Secretary of State may make one or more schemes (“transfer schemes”) for the transfer of the property, rights and liabilities of the Directors to the Authority or to the Council.	Secretary of State, scheme, transfer schemes, transfer, property, rights, liabilities, Directors, Authority, Council	Transfer scheme by Secretary of State for transfer of particulars	Transfer scheme by Secretary of State
Q24	Drafter of transfer scheme: Any holder of an existing supply license whose activities, immediately before the passing of this Act, include both— the supply of electricity to premises; and the distribution of electricity - drafts the scheme.	Drafter, transfer Scheme, Holder, supply license, activities, Act, include, supply, electricity, premises, distribution, electricity, scheme	Transfer scheme drafted by holder of supply license	Drafting of Transfer scheme
Q25	Purpose of Nomination: Nominate a person to divide the particulars between the licensee and associates - apply on those existing license holders whose activities include both the supply & distribution.	Purpose, Nomination, Nominate, a person, divide, licensee, associates, existing license holders, supply, distribution, activities	Nomination for the divagation of particulars under transfer scheme	Nomination for the divagation of particulars
Q26	Things are divided between Licensee and the associate nominated under that paragraph; or between licensee and the associates so nominated; Concept of One Nomination/Two nomination is there as per the number of associates.	Licensee, associate, licensee, nominated, Concept, One Nomination, Two nomination, number of associates	Things divided between licensee and associate under transfer scheme	Things to be divided between certain bodies
Q27	Things to divide: All its property, rights and liabilities between three or more companies nominated by the Secretary of State for the purposes.	Things, divide, Property, rights, liabilities, companies, nominated, Secretary of State, purposes	property, rights and liabilities needs to be divided under transfer scheme	property, rights and liabilities needs to be divided

Q28	Define the property, rights and liabilities to be allocated to a nominated associate— (I) by specifying or describing the property, rights and liabilities in question; (ii) by referring to all (or all but as much as may be excepted) of the property, rights and liabilities comprised in a specified part of the supplier's undertaking; or (iii) partly in the one way and partly in the other;	Define, property, rights, liabilities, allocated, nominated associate, specifying, property, rights, liabilities, question, referring, excepted, comprised, specified part, supplier's undertaking	Methodology to define the property, rights and liabilities under transfer scheme	Methodology to define the property, rights and liabilities
Q29	A transfer scheme may, in relation to transfers or transactions effected in pursuance of the scheme, make provision, either generally or for specified purposes— (a) for the transfers or transactions to be regarded as taking place in a specified order.	Transfer scheme, transfers, transactions, scheme, provision, specified purposes, transfers, transactions, specified order.	Pre specified order of transfer under transfer scheme	Pre specified order of transfer
Q30	An obligation imposed by a provision included in a transfer scheme by virtue of provision shall be enforceable by civil proceedings by the person or persons to whom it is owned for an injunction or for interdict or for any other appropriate relief or remedy.	Obligation, provision, transfer scheme, provision, enforceable, civil proceedings, person, injunction, interdict, appropriate relief, remedy	Obligation under transfer scheme enforceable by civil proceedings	transfer scheme particulars enforceable by civil proceedings
Q31	For the nominated associate or, where transfer scheme applies, either or both of the nominated associates to be treated as the same person in law as the supplier.	Nominated associate, transfer scheme, applies, nominated associates, same person in law, supplier	Nominated associate is same person in law as supplier under transfer scheme	Nominated associate is equivalent in law as supplier
Q32	It shall be the duty of the supplier to provide the Secretary of State with all such information and other assistance as he may require for the purposes of or in connection with the exercise of any function conferred on him.	Duty, supplier, Secretary of State, information, assistance, purposes, connection, exercise, function, conferred	Information assistance duty of supplier to Secretary of State	Information assistance to Secretary of State
Q33	A transfer scheme shall not take effect unless it is approved by the Secretary of State; and the Secretary of State may modify such a scheme before approving it.	Transfer scheme, Effect, approved, Secretary of State, Modify, Approve	Transfer scheme approval/modification by Secretary of State	Approval of Transfer Scheme
Q34	The effective date for a transfer scheme, all property, rights and liabilities— (a) to which immediately before that day the supplier was entitled or subject; and (b) which are allocated to a nominated associate by the transfer scheme,/ "effective date", in relation to a transfer scheme, is the day on which transfer scheme comes into force or such earlier day as the Secretary of State may direct for the purposes of the scheme.	Effective date of transfer scheme, property, rights, liabilities, before that day the supplier was entitled, allocated, nominated associate, transfer scheme, effective date, transfer scheme, day on which transfer scheme comes into force, earlier day, Secretary of State may direct	Defining the effective date in regard to transfer scheme	Effective Date of Transfer
Q35	Any shares issued to the supplier or to an associate of his by a transferee in pursuance of the transfer scheme— (a) shall be of such nominal value as may be specified in or determined under the scheme; (b) shall be issued or allotted on such terms as may be so specified or determined; and (c) shall be issued as fully paid and treated for the purposes of the Companies Act 1985.	Shares, issue, supplier, associate, transferee, transfer scheme, nominal value, determined, issued, allotted, specified, determined, fully paid, Companies Act 1985	Value and other condition of shares issued under transfer scheme	Value of shares issued under transfer scheme
Q36	A company is an associate of the supplier if— (a) the company is a wholly owned subsidiary of the supplier; (b) the supplier is a wholly owned subsidiary of the company; or (c) the company and the supplier are both wholly owned subsidiaries of another company.	Company, associate, supplier, company - subsidiary of supplier, supplier - subsidiary of the company, company + supplier - wholly owned subsidiaries, other company	Condition to be an associate of the supplier under transfer scheme	Condition to be an associate of the supplier
Q37	If, in relation to a transfer scheme-- (a) the transferor fails, before the date specified in the Secretary of State's direction under the relevant subsection, to submit the scheme for the approval of the Secretary of State; or (b) the Secretary of State decides not to approve the scheme that has been submitted to him by the transferor (either with or without modifications), the Secretary of State may himself make the scheme.	Transfer scheme, transferor, fails, date specified, Secretary of State's, submit the scheme, approval, Secretary of State, approve, submitted scheme, transferor, modifications, Secretary of State, make	Drafting of Transfer Scheme by Secretary of State in certain condition	Drafting of Transfer Scheme by Secretary of State
Q38	The Secretary of State shall make a scheme providing— (a) for the supplier's existing supply license to have effect.	Secretary of State, make, scheme, supplier's existing supply license, effective	Scheme for the effect to existing supply license under transfer scheme	Scheme for the effect to existing supply license
Q39	The Secretary of State shall as soon as practicable after the passing of this Act make a scheme under this paragraph in relation to existing licenses which— (a) are held by a person whose activities include both of supply and distribution.	Secretary of State, practicable, passing of Act, existing license, person, activities, supply, distribution	Scheme by Secretary of State for existing licenses	Scheme by Secretary of State for existing licenses

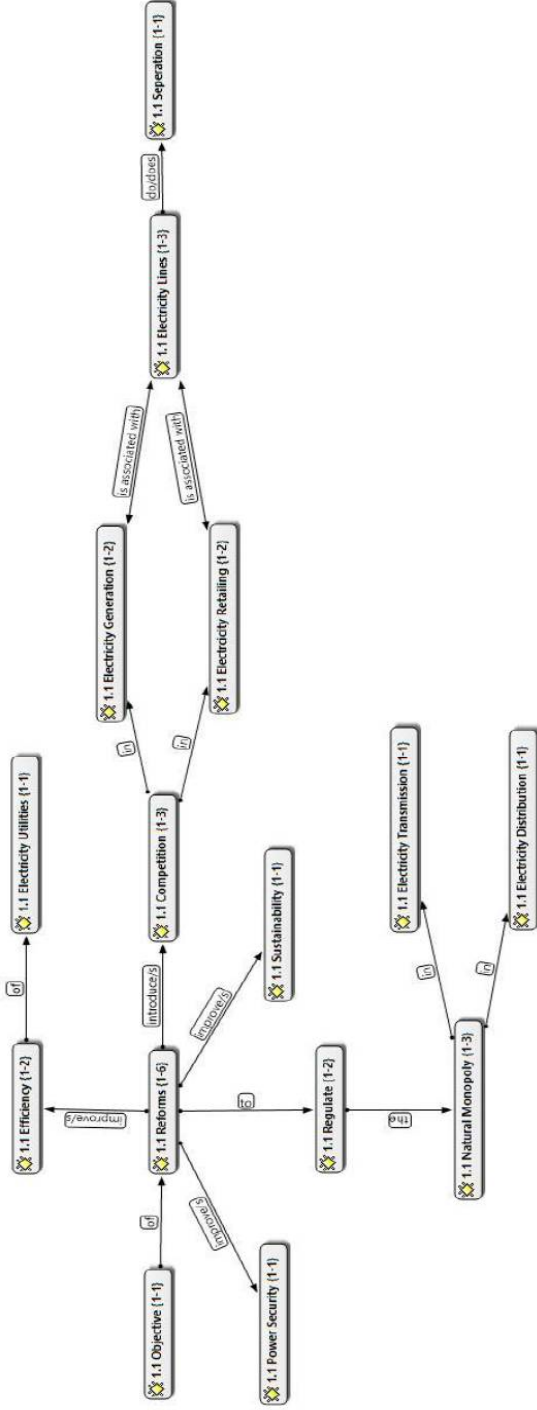
Q40	A scheme under this paragraph shall provide for each license to which it relates to have effect on and after such date as the scheme may specify as if it were— (a) a distribution license and a supply license, each granted to the holder of the existing license; (b) a distribution license; or (c) a supply license.	Scheme, License, relates, effect, scheme, distribution license, supply license, granted, holder, existing license	Scheme to make the existing license effective in certain conditions as described in Transfer Scheme	Scheme to make the existing license effective in certain conditions
Q41	Standard conditions of licenses: Such incidental, consequential and supplementary amendments as appear to the Secretary of State to be necessary or expedient; (b) such amendments relating to the revocation of the license as the Secretary of State thinks fit; and (c) such other amendments (if any) as may be agreed between the Secretary of State and the holder of the license.	Standard conditions of licenses, Incidental, consequential, supplementary, amendments, Secretary of State, revocation, license, Secretary of State, agreed, Secretary of State, holder of the license	Defining the standard conditions of the licenses	Standard conditions of the licenses
Q42	The supplier's supply successor shall be deemed to have contracted with those customers for the supply of electricity as from that day.	Supplier, supply successor, deemed contract, customers, supply of electricity	Provision of deemed contract of supply successor	Deemed contract of supply successor
Q43	A scheme made under the provision of deemed contract to supply shall be published in the National Gazette before the commencement date and shall come into operation on that date.	Scheme, provision, deemed contract, supply, published, National Gazette, commencement date, operation	Publication of deemed contract scheme in National Gazette before the commencement date	Publication before the commencement date of deemed contract
Q44	Draft of T&C for the deemed contract to supply: Before such date as the Secretary of State may direct, the supplier shall make a scheme for determining the terms and conditions	Draft of T&C, deemed contract, supply, Secretary of State, direct, the supplier, make a scheme, terms & conditions, determine	Draft of T&C for the deemed contract to supply by supplier	Draft of T&C for deemed contract to supply
Q45	Approval for the draft of T&C for the deemed contract to supply: A scheme under this paragraph shall not take effect unless it is approved by the Authority; and the Authority may modify such a scheme before approving it.	Approval, draft of T&C, deemed contract, supply, scheme, Effect, approved, Authority, Modify	Approval for the draft of T&C for the deemed contract to supply under transfer scheme	Approval for the draft of T&C for the deemed contract to supply
Q46	If the authority does not find the draft made by supplier, suitable: If, in relation to such a scheme— (a) the supplier fails, before the date specified, to submit the scheme for the approval of the Authority; or (b) the Authority decides not to approve the scheme that has been submitted by the supplier (either with or without modifications), the Authority may itself make the scheme.	Suitable, Supplier, fails, date specified, submit, approval, Authority, submitted, supplier, modifications, Make the scheme	Draft of T&C to be made by authority in certain conditions under transfer scheme	Draft of T&C to be made by authority in certain conditions
Q47	Regulation/Threshold for Corporate Separation: A business is a connected electricity business if the business, or a person involved in the business, has an involvement in more than 10 MW of small/encouraged connected generation/qualifying generation.	Threshold, Corporate Separation, business, connected electricity business, person involved, involvement, >10 MW of small/encouraged, connected generation, qualifying generation	Regulation/Threshold Limit for Corporate Separation of businesses	Threshold Limit for Corporate Separation
Q48	Arm length rule for corporate separation : Every person or persons who carry on a connected electricity business must carry on the business involving the relevant line in a different company from the company that carries on the business involving the qualifying generation or the selling to connected customers.	Arm Length Rule. Corporate Separation, Persons, carry, connected electricity business, relevant line, different company, business involving, qualifying generation, sell , connected customers	Arm length rule for corporate separation of businesses	Arm length rule for corporate separation
Q49	Use of system agreement : This provision applies to an electricity business— (a) that either— (i) is required to comply with the arm's-length rules; or (ii) would be required to comply with the arm's length rules if the threshold for those rules were set at 5 MW of connected generation (instead of 10 MW); and (b) that sells more than 5 GWh of electricity to connected customers in a financial year.	Use of system agreement, provision, electricity business, arm's-length rules, comply, threshold, 5 MW of connected generation, instead of 10 MW, sells > 5 GWh of electricity to connected customers, financial year	Defining the use of system agreement for businesses	Defining the use of system agreement
Q50	Purpose to write Use of System Agreement: Every director of that electricity business must ensure that— (a) the business has a comprehensive, written use-of-systems agreement that provides for the supply of line services.	Purpose, use of system agreement, Director, electricity business, comprehensive, written use-of-systems agreement, supply of line services	Purpose to write Use of System Agreement under transfer scheme	Purpose to write Use of System Agreement
Q51	Ratio limit for cross ownership prohibition: 20% aggregate cross-ownership prohibition.	Ratio limit, cross ownership prohibition, 20% aggregate	Ratio limit for cross ownership prohibition	Threshold for cross ownership prohibition

Q52	Mandate to do corporate separation: Corporate Separation is the first step as the paragraph suggests - The Electricity Industry Reform Act 1998 required electricity companies to separate ownership of their line and supply businesses by 31 December 2003, and to undertake interim corporate separation by 1 April 1999. In the event, the industry chose to move more quickly, completing ownership separation before 1 April 1999.	Mandate, Corporate Separation, The Electricity Industry Reform Act 1998, electricity companies, separate ownership, line & supply businesses, interim corporate separation, 1 April 1999, Industry, completed ownership separation, 1 April 1999	Mandate to do corporate separation as a first step	Mandate to do corporate separation
Q53	Ownership restrictions: To prevent a person being involved both in a line, and in generation or supply, in certain circumstances.	Ownership restriction, Prevent, person, involved, line, generation, supply	Ownership restrictions to prevent involving of person	Ownership restrictions for persons
Q54	Ownership Separation is required: It is a contravention of this Part if a person has an involvement that is a breach of either or both of the following: (a) the connected generation cap: (b) the connected customers selling cap.	Ownership separation, required, Contravention, person, involvement, breach, connected generation cap, connected customers selling cap	Ownership Separation is required as per certain capping rules	Ownership Separation & capping rules
Q55	The connected generation cap is breached by a person if—(a) any of the person's connected generation with a capacity greater than 5 MW in total (b) the person's connected generation has a total capacity that exceeds the greater of— (i) 50 MW; or (ii) 20% of the average of the maximum demand, in the immediately preceding 3 financial years, on the local network area.	Connected generation cap, breached, person, connected generation, capacity, >5 MW, Total capacity, exceeds, greater of - (I) 50 MW; (ii) 20% of the average of the maximum demand, 3 financial years, local network area	Breaching rule of Connected generation cap under transfer scheme	Breaching rule of Connected generation cap
Q56	Following connected generation is not counted for the purpose of Ownership Separation: electricity generated from it is produced only from renewable energy sources. (But counted for corporate Separation)	Connected generation, Ownership Separation, electricity generated, renewable energy sources, Corporate Separation	Renewable Energy Generation is not counted for Capping for ownership separation	Renewable not counted for breaching rules
Q57	The connected customers selling cap is breached by a person if the person is involved in selling more electricity to connected customers within a local network area, in total, in a financial year, than the equivalent of the person's qualifying generation within the local network area.	Connected customers selling cap, breached, a person, involved, local network area, financial year, equivalent, qualifying generation, local network area	Breaching rule of Connected selling cap under transfer scheme	Breaching rule of Connected selling cap
Q58	The same person may not be the holder of both a distribution license and a supply license.	Same person, holder, distribution license, supply license	Holding condition of both distribution and supply license	Holding condition to distribution and supply license
Q59	The license holder's existing generation license has effect as if it were a generation license granted to an associate of his nominated by him for the purpose; and (b) the license holder's existing transmission license has effect as if it were a transmission license granted to an associate of his nominated by him for the purpose.	License holder, Generation license, effect, Granted, Associate, Nominated, Transmission license	Effect to the license holder's existing generation license under transfer scheme	Effect to the license holder's existing generation license
Q60	Supply license may authorize the holder to supply electricity, A distribution license may authorize the holder to distribute electricity in any area	Supply license, authorize, holder, supply electricity, distribution license, distribute electricity, area	License authorization to holder for distribution and supply under transfer scheme	License authorization to holder for distribution & supply
Q61	The supplier may— (a) install a pre-payment meter on the premises; or (b) disconnect the premises, or Meter Operator appointed by the supplier.	Supplier, install, pre-payment meter, premises, disconnect, Meter Operator, appointed, supplier	Pre payment meter installation by a supplier	Pre payment meter installation
Q62	Where an electricity supplier supplies electricity to any premises otherwise than in pursuance of a contract, the supplier shall be deemed to have contracted with the occupier (or the owner if the premises are unoccupied) for the supply of electricity as from the time	Electricity supplier, supply electricity, premise, contract, the supplier, deemed contract, occupier	Supplier deemed contract with the occupier of premise under transfer scheme	Deemed contract of supplier with the occupier of premise
Q63	Where any person takes a illegal supply of electricity which is in the course of being conveyed by an electricity distributor, the distributor shall be entitled to recover from that person the value of the electricity so taken.	Person, illegal supply, electricity, electricity distributor, entitled, recover, person, value of electricity	value chargeable against illegal supply of electricity	Charges against illegal supply of electricity
Q64	Premises have been disconnected by an electricity supplier or an electricity distributor, no person shall, without the consent of the supplier or, as the case may be, the distributor, restore the connection.	Premises, disconnected, electricity supplier, electricity distributor, consent, distributor, restore, connection	Disconnection of premise by supplier/distributor under transfer scheme	Disconnection of premise by supplier/distributor or

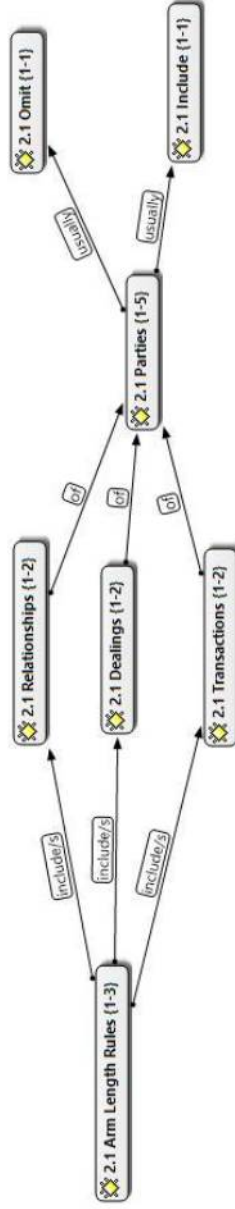
Q65	Where an offence has been committed by the occupier of any premises (or by the owner of the premises if they are unoccupied when the offence is committed) in relation to any electric line or electrical plant provided by an electricity distributor for making or maintaining a connection to the premises, the distributor may disconnect the premises.	Offence, committed, occupier, owner, premise, unoccupied, electric line, electrical plant, electricity distributor, Making, maintaining, connection, disconnect	Disconnect the premise by distributor for line related offence under transfer scheme	Disconnection by distributor for line related offence
Q66	Where an offence has been committed in relation to an electricity meter provided by an electricity supplier which is situated on any premises, by the occupier (or by the owner of the premises if they are unoccupied when the offence is committed), the supplier may disconnect the premises and may remove the meter.	Offence, committed, electricity meter, electricity supplier, premises, occupier, disconnect, remove, meter	Disconnect the premise by supplier for supply related offence under transfer scheme	Disconnection by supplier for supply related offence
Q67	The Council may investigate any matter (not being a matter which it is its duty to investigate under this Part) which appears to it to be a matter relating to the interests of consumers in relation to electricity conveyed by distribution systems.	The Council, investigate, matter, appears, interests of consumers, electricity, conveyed, distribution systems	Investigation of consumer interest matters by the Council	Investigation of consumer interest matters
Q68	Where an electricity supplier or an electricity distributor is authorized to disconnect any premises; or (b) to remove an electricity meter, any officer or other person authorized by the supplier or distributor may at all reasonable times enter the premises for the purpose of disconnecting the premises or removing the meter.	Electricity supplier, electricity distributor, authorized, disconnect, remove, electricity meter, officer, the supplier, distributor, enter, premises, purpose, disconnect, premises, remove, meter	Entry in premise by Electricity Distributor/Supplier for removing the meter	Entry in premise by Electricity Distributor/Supplier
Q69	Market opening for consumers: In Phase 1 - from April 1990, customers with peak loads of more than 1 MW (about 45% of the non-domestic market) were able to choose their supplier; In phase 2- from 1 April 1994, customers with peak loads of more than 100 kW were able to choose their supplier; In phase 3- Between September 1998 and May 1999, the remaining part of the electricity market (that is, below the 100 kW peak load) was opened up to competition.	Phase 1, April 1990, customers, peak load, >1 MW, non-domestic market, choose, supplier; Phase 2, Peak loads>100 kW, Phase 3, 100 kW> peak load, opened up, competition	Open access and market opening phase wise for every consumer	Open Access and market opening phase wise

A5.3 COMPLEXES AND AXIAL CODING

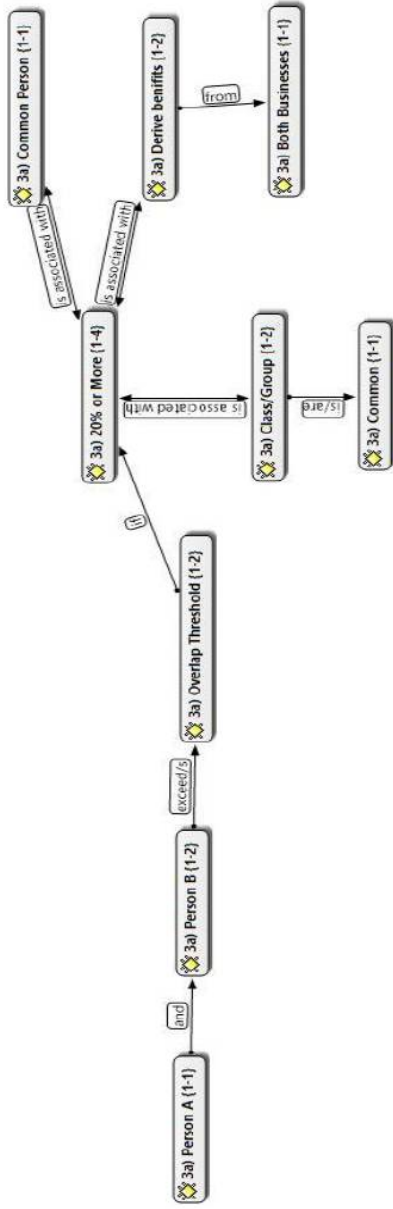
1. Purpose of reforms/segregation



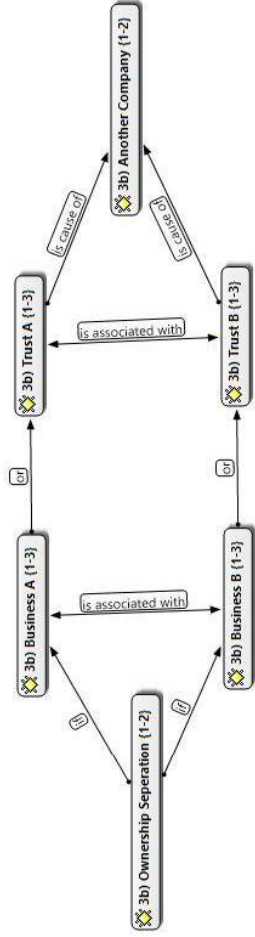
2. Provisions are included by arm length rules



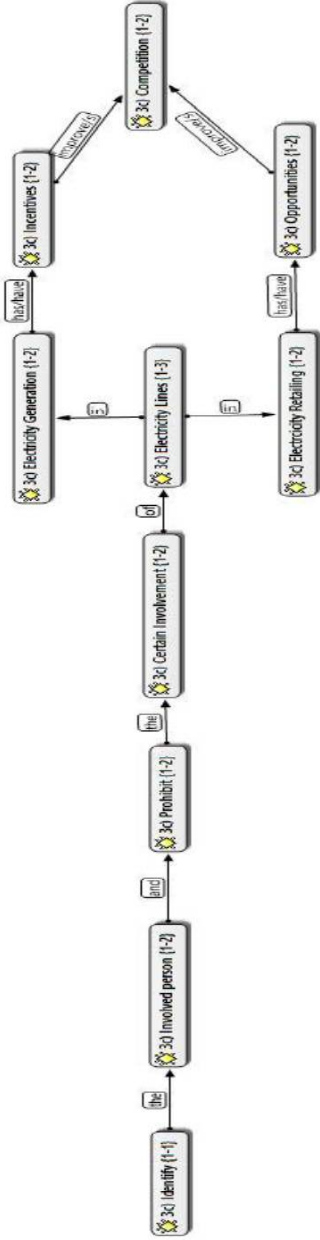
3. Limits of overlap threshold to carry out separation?

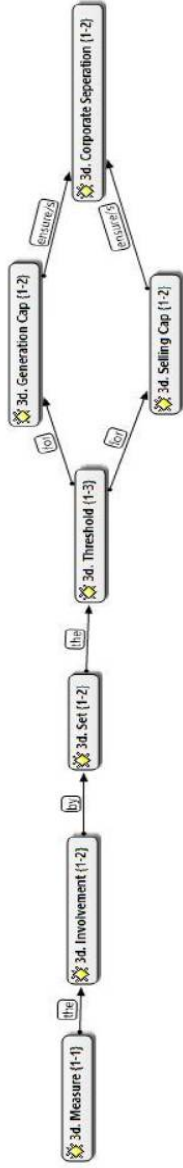
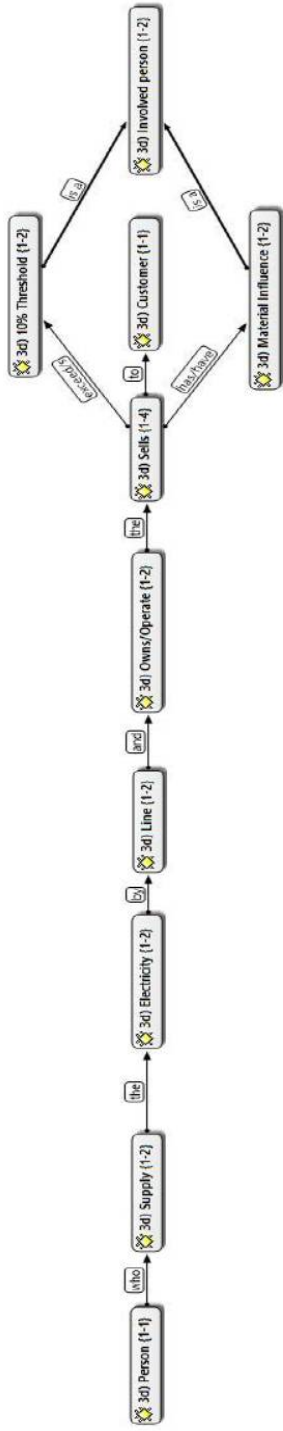


4. Need to define meaning of Business A & B?

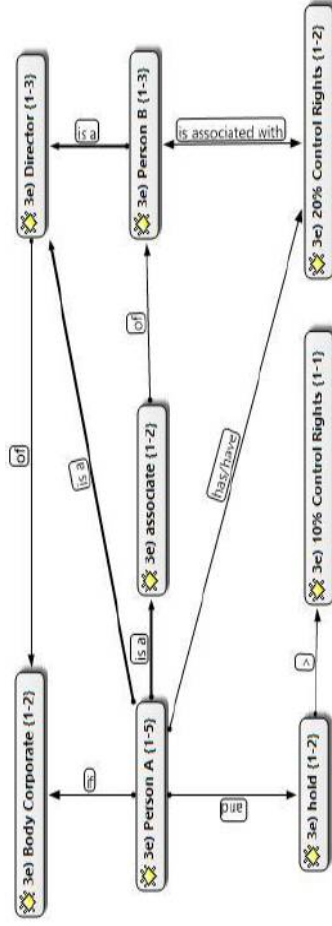


5. Need to identify the involved persons
 6. Meaning and measurement of Involvement.

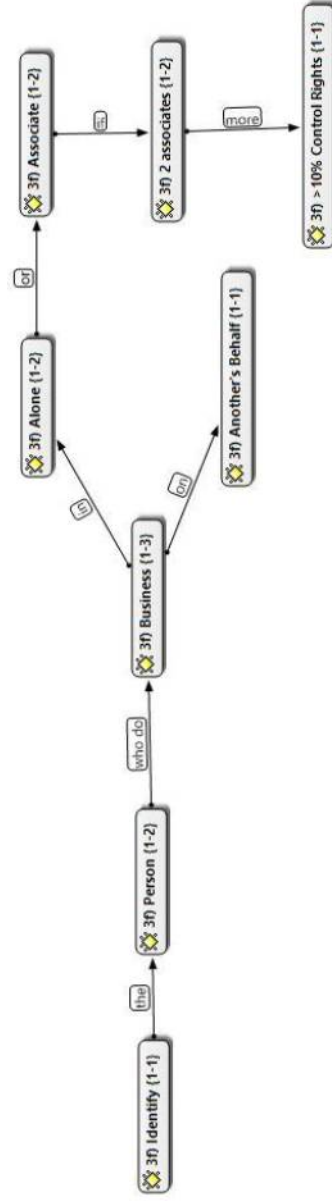


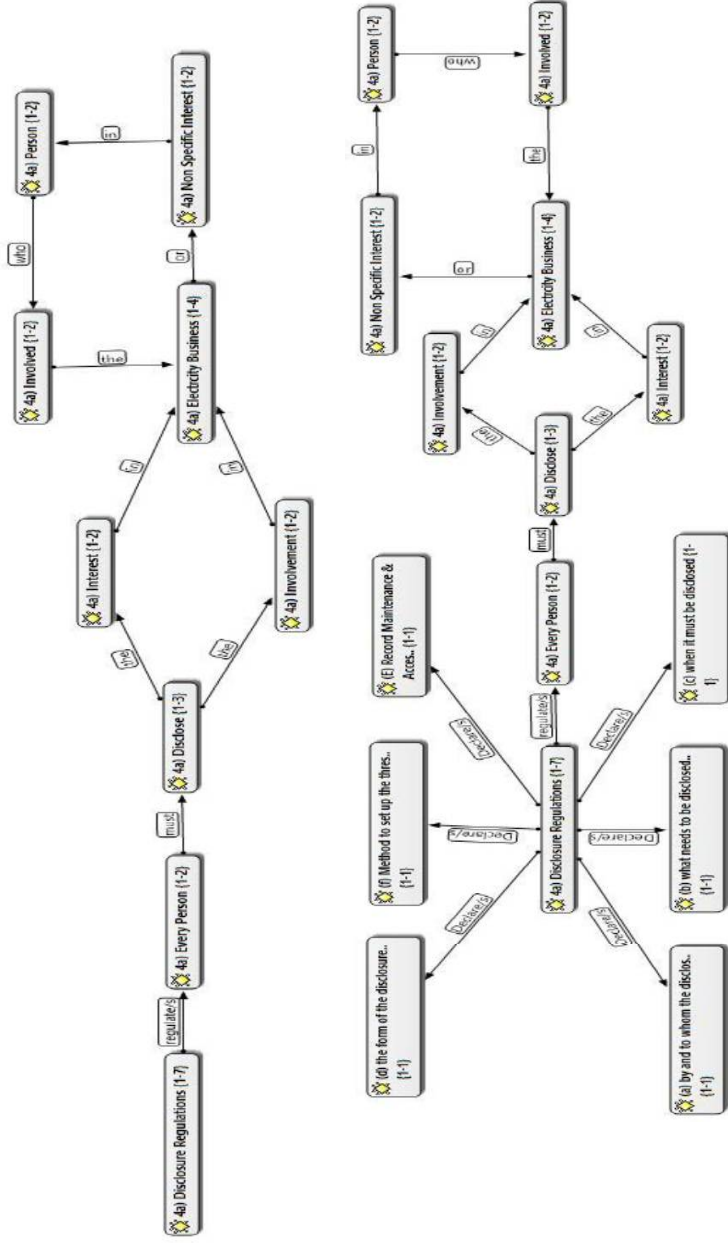


7. Defining associates



8. Need to define associates

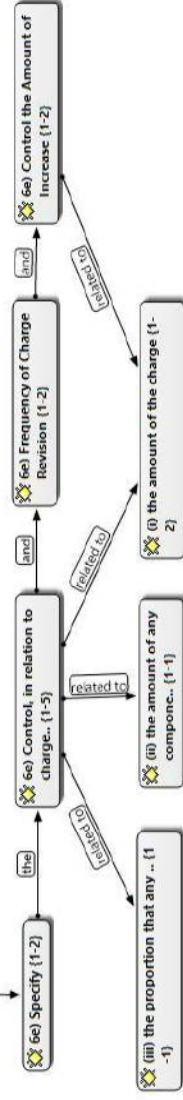
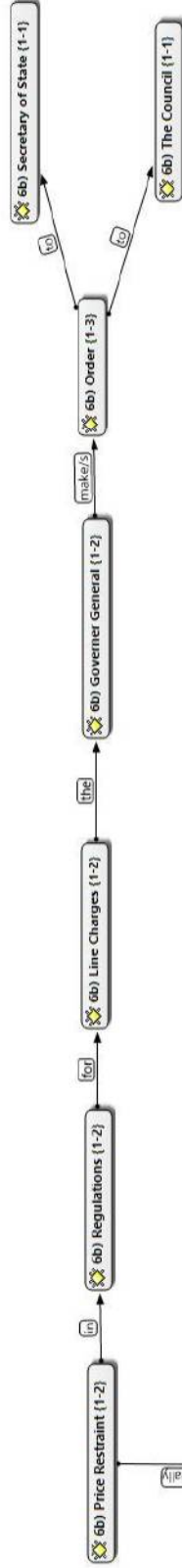
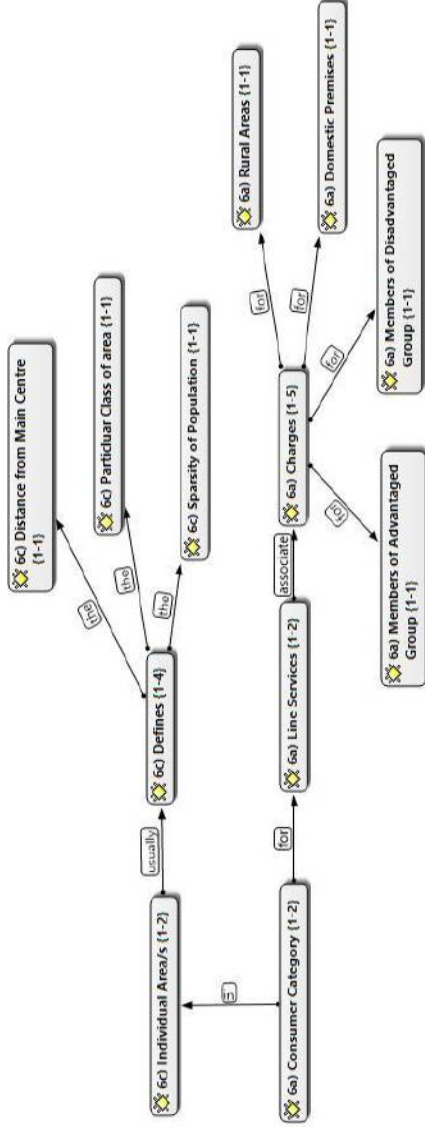
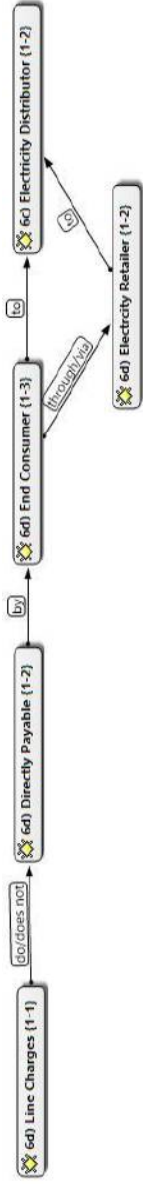


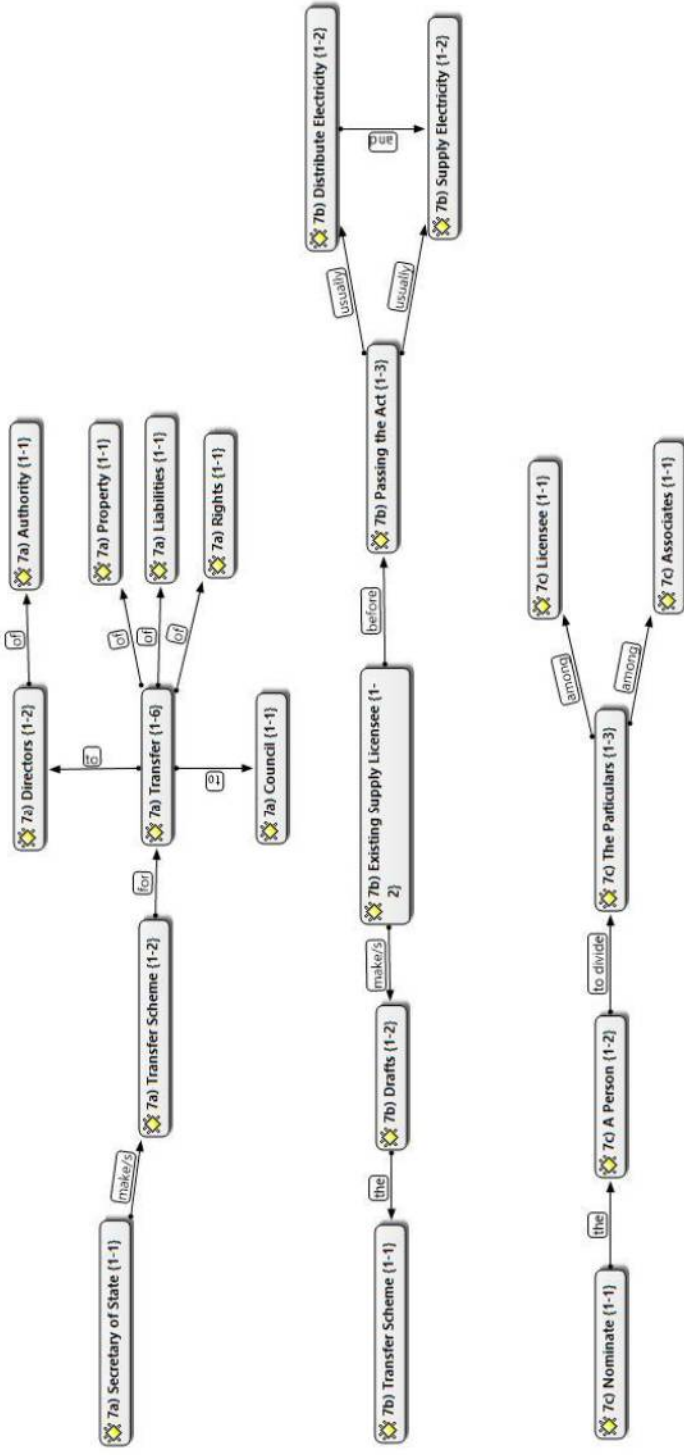


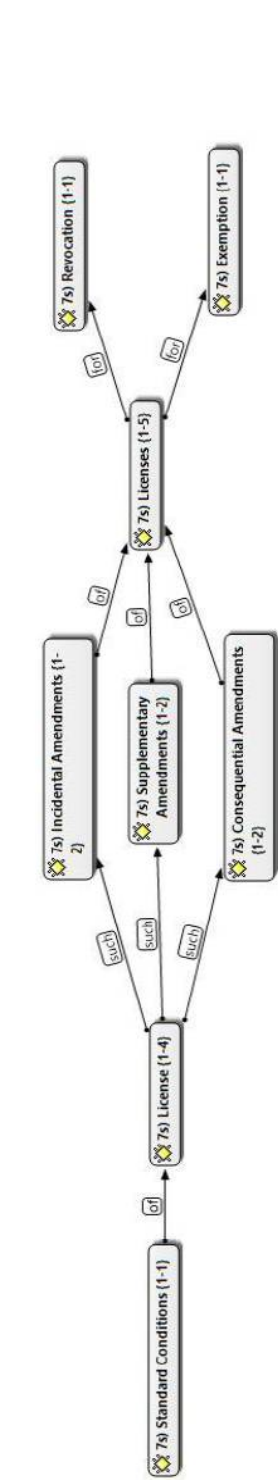
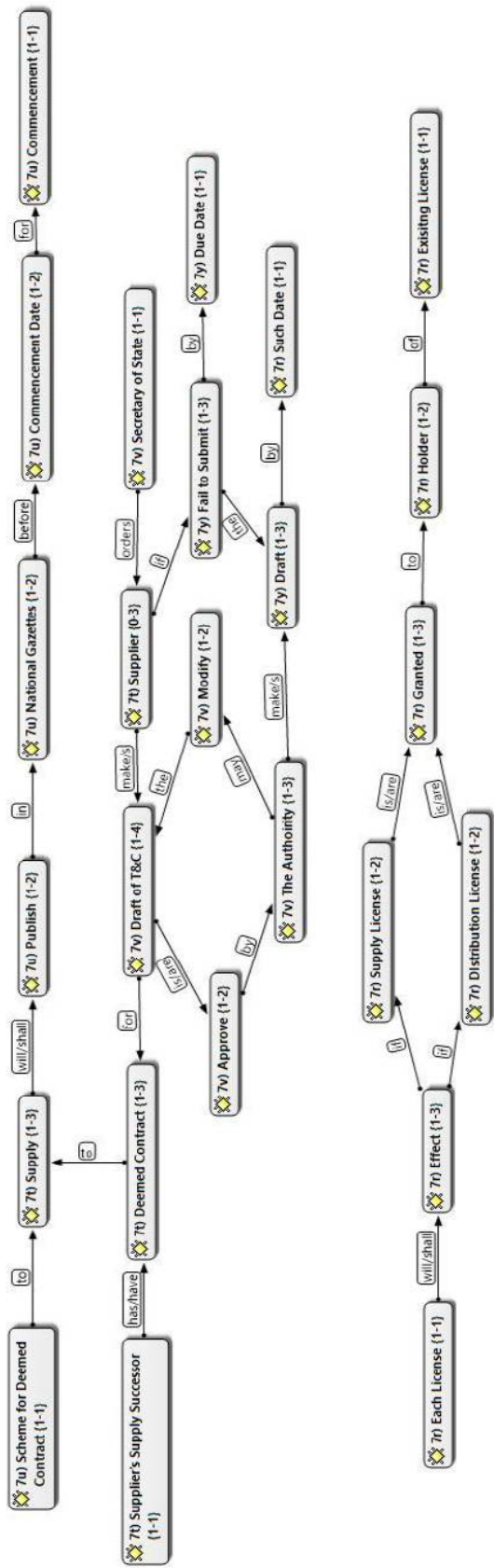
9. Disclosure Regulations

10. Entity to disclose the particulars.
11. Particulars contained by disclosure statement.
12. Format of Information disclosure.
13. Auditing of the disclosed information

18. Transfer Scheme



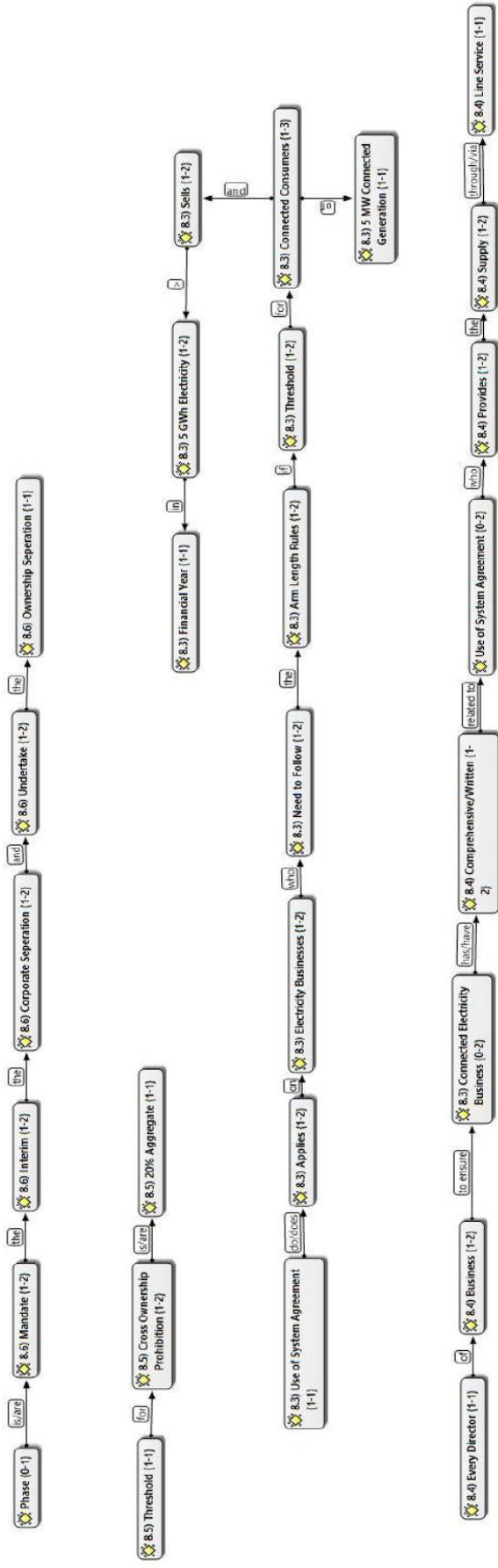




19. Standard Conditions of license

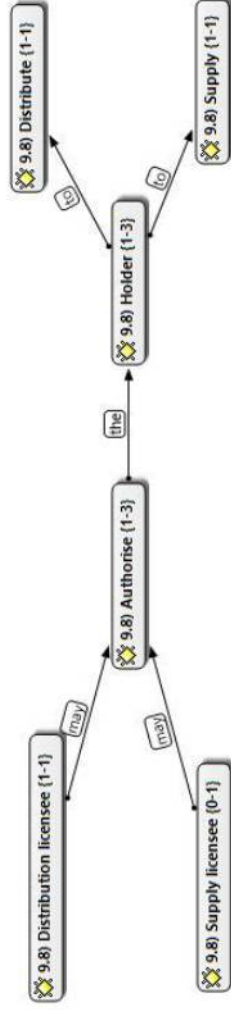
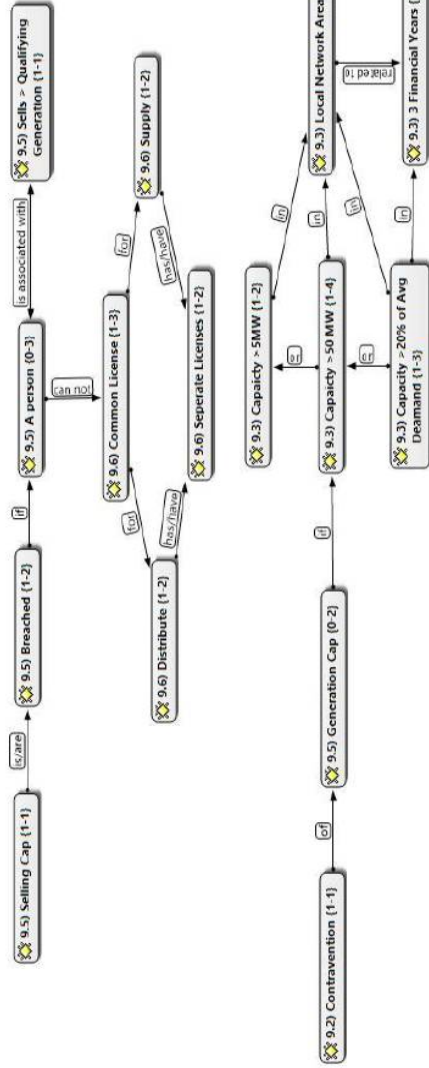
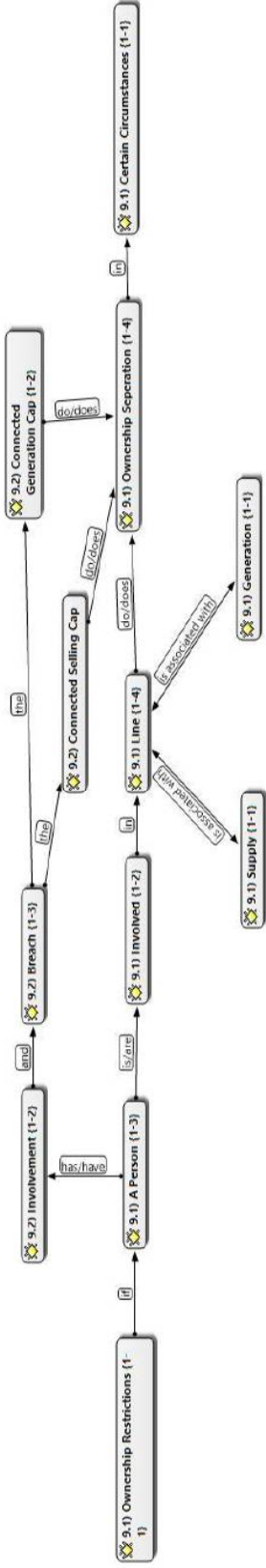


20. Regulation for Separation

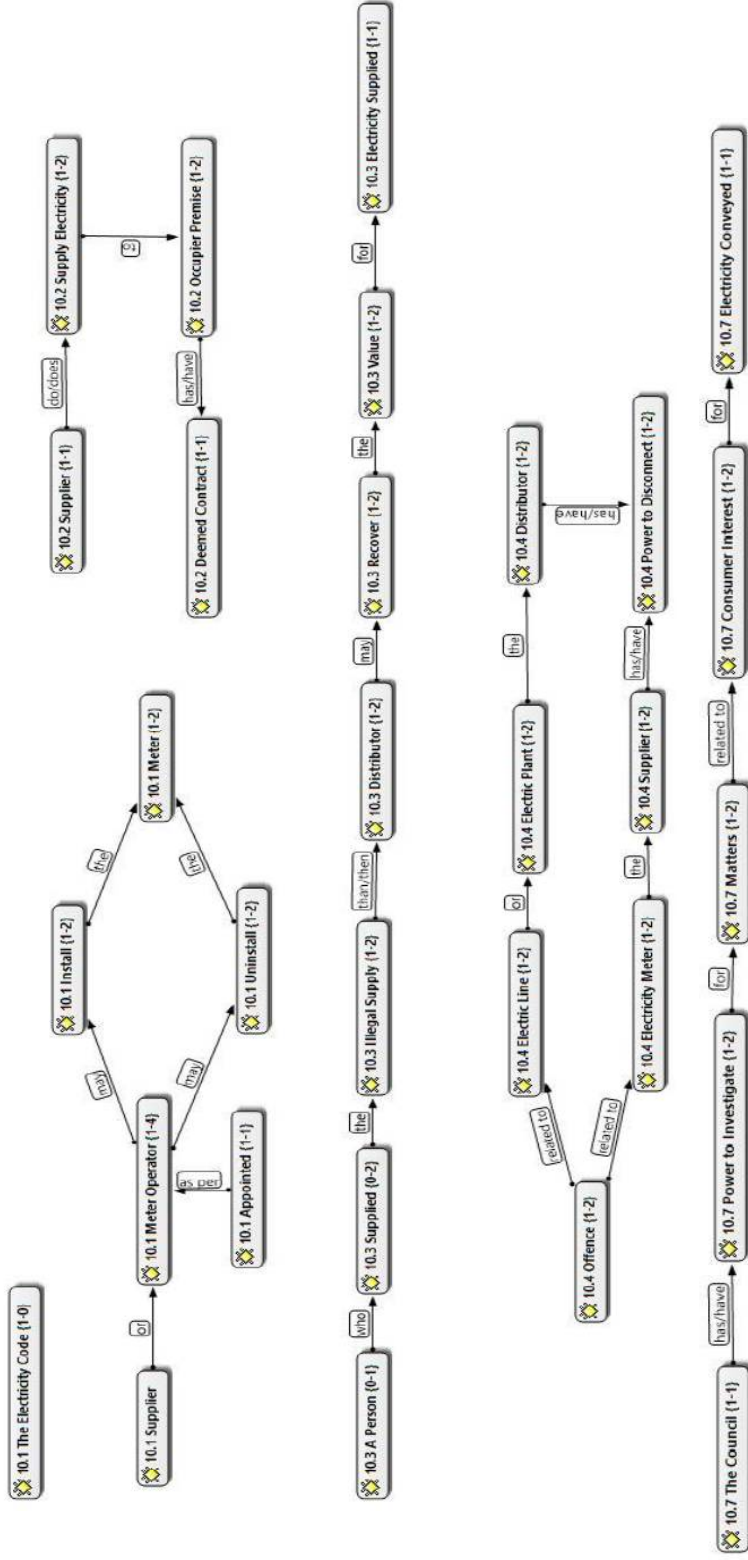


21. Ownership Separation

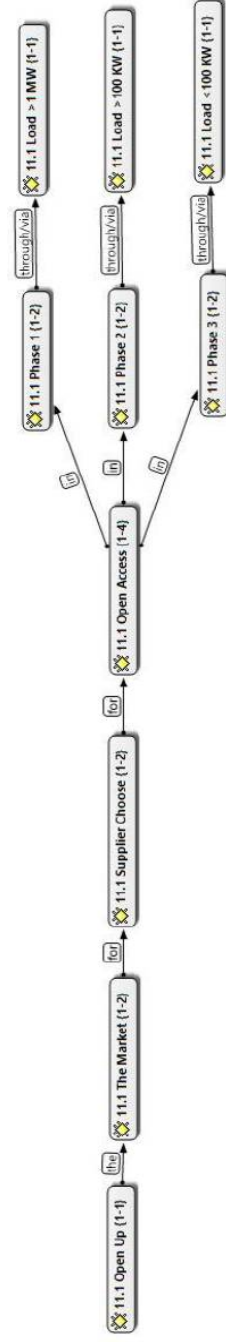
22. Regulation for licenses



23. The Electricity Code



24. Open Access



A5.4 POTENTIAL CONCEPTS AND SELECTIVE CODING

Initial categories*	Refined Category	Initial Themes	Final Themes	Core Concept
Purpose of segregation of carriage and content	Purpose of reforms/segregation	Purpose of Reforms	Objective of Third Generation Reforms	INTRODUCTION OF RETAIL COMPETITION
Incorporating Arm Length Rules	Arm Length Rules for Business	Arm Length Rules	Regulatory Provisions	
Defining the two businesses				
Purpose to write Use of System Agreement				
Identify involved person to prohibit involvement	Identification of involvement	Measuring the involvement		
Defining the meaning of involvement				
Measuring involvement through capping	Measuring the involvement			
Defining the associates	Identification of associates	Disclosure Regulations		
Identify associate to identify involvement				
Disclosure Regulations to identify involvement	Disclosure Regulations to identify involvement			
Information by information disclosure Regulations				
Bodies to disclose the information				
Information fields of Disclosure Statement	Format of Information Disclosure			
Format of Information Disclosure	Auditing the disclosed information			
Audit of the Disclosed Information				
Ordering regulations - Regulations making powers				
Involvement declared by the regulations making powers				
Transfer scheme by Secretary of State	Ordering & Drafting the Transfer Scheme	Transfer Scheme to Divide property, rights and liabilities		
Drafting of Transfer scheme				
Drafting of Transfer Scheme by Secretary of State				
Information assistance to Secretary of State	Information assistance and approval of scheme			
Approval of Transfer Scheme	Nomination for the dividentation			
Nomination for the dividentation of particulars				
Things to be divided between certain bodies				
property, rights and liabilities needs to be divided	Things & methodology to divide			
Methodology to define the property, rights and liabilities				
Pre specified order of transfer	Order of Transfer scheme			
transfer scheme particulars enforceable by civil proceedings	Effect of law on transfer scheme			
Nominated associate is equivalent in law as supplier				
Condition to be an associate of the supplier				
Effective Date of Transfer	Fixing the effective date of transfer			
Value of shares issued under transfer scheme	Shares issued under scheme	Licensing provisions under Transfer Scheme		
Scheme for the effect to existing supply license	Scheme for existing licenses			
Scheme by Secretary of State for existing licenses				
Scheme to make the existing license effective in certain conditions				
Standard conditions of the licenses	Standard condition of licenses			
Deemed contract of supply successor	Deemed contract for supply successor			
Publication before the commencement date of deemed contract				
Deemed contract of supplier with the occupier of premise	Deemed contract for supplier with premises			
Draft of T&C for deemed contract to supply	T&C for deemed contract to supply			
Approval for the draft of T&C for the deemed contract to supply				

Draft of T&C to be made by authority in certain conditions			
Effect to the license holder's existing generation license	Treatment of existing generation license		
Overlap threshold for separation	Overlap and cross ownership threshold for separation	Separation of Distribution & Supply Business	Separation of Carriage & Content Business
Threshold for cross ownership prohibition			
Mandate to do corporate separation	Corporate Separation Rules		
Ownership restrictions for persons	Ownership Separation & Capping Rules		
Ownership Separation & capping rules			
Breaching rule of connected generation cap	Connected Generation Capping Rules		
Renewable not counted for breaching rules			
Breaching rule of Connected selling cap	Connected Selling Cap Rules		
Holding condition to distribution and supply license	Distribution & Supply License Holding Conditions		
License authorization to holder for distribution & supply			
Consumer Category for Supplier Charges	Consumer categories for supply & distribution charges	Price/Charge/Tariff Regulations	The Electricity Code
Consumer category for distribution business			
Line Charges through distributor	Method to pay line charges		
Ordering Price Restraint Regulations	Price restraint regulations		
Rules/fields of price restraint regulations			
Pre-payment meter installation	Installation of pre-payment meter		
Charges against illegal supply of electricity	Illegal Supply charges	Connection/Disconnection Provisions	
Disconnection of premise by supplier/distributor	Disconnection of the premise		
Disconnection by distributor for line related offence			
Disconnection by supplier for supply related offence			
Investigation of consumer interest matters	Investigation & Entry in Premise		
Entry in premise by Electricity Distributor/Supplier			
Open Access and Phase wise market opening	Open Access & Choice to Consumers	Open Access	Consumer Choice & Switching

APPENDIX 6

VALIDATION OF INTERVIEW PROTOCOL

A6.1 INTRODUCTION

Initial protocol which led in the development of conceptualized framework consist 69 questions bifurcated in 11 categories. The initial protocol has been discussed with the industry experts for the purpose of validation. The initial protocol has been modified by incorporating necessary suggestions which resulted into the draft of modified protocol. This draft was then again discussed with the same experts to make it final. The final interview protocol consists 50 questions bifurcated in 7 categories. This chapter shows the working done to validate the protocol. This chapter contains two spreadsheets. The first spreadsheet 6.2 depicts the responses of validators against the questions of initial protocol. The second spreadsheet 6.3 shows the consent of validators against the questions of modified draft of protocol.

A6.2 RESPONSES OF VALIDATORS AGAINST INITIAL PROTOCOL

S.No.	Questions	Respondent 1	Respondent 2
Purpose			
1	What is the purpose of reforms/segregation ?	This introductory question is necessary. Now since you have developed conceptualized framework based upon global experiences, here you may ask country specific question.	The segment may have the flow wise introductory questions, initiating with the purpose. Available solutions for the issues of IPS should also be asked. Most effective solution needs to be identified.
Arm Length Rules			
2	What type of provisions are included by arm length rules ?	For India, please use 'Regulation' word instead of arm length rules.	This question is not required in the field. Regulations are defined by the Acts only.
Overlap Threshold			
3	What are the limits of overlap threshold to carry out separation?	This question does not fit in Indian Context.	In India, there will not be any threshold limit for separation. Every distribution business will have the need of separation.
4	What is need to define the meaning of Business A & B?	In India, regulations do not define two businesses by Coding. You may ask this question without using codes.	In Indian conditions, simply question on the working of new bodies, to be created after separation may be asked.
5	Why the involved persons are needs to be identified?	You may directly ask the question about distribution licensees who are undertaking distribution with the help of franchisee.	This question needs to be redesigned for the distribution franchisee in India.
6	What is the meaning of Involvement ?	The question is theoretical in nature. Regulations may be referred directly.	This question may be dropped as it pertains to definition only.
7	How involvement in the businesses can be measured?	There are certain capping and threshold rules for mapping the measurement, but this in not true for India.	This question is not relevant for Indian Power Sector.
8	How associate can be defined?	The question is theoretical in nature. Regulations may be referred directly.	In India, word associate is rarely used.
9	Why act define associates ?	The question is theoretical in nature. Regulations may be referred directly.	In India, word associate is rarely used.
Disclosure Regulations			
10	What particulars are described by disclosure regulations?	In this question, you can address the information fields required to disclose the information by a company.	This question is important to ask to identify the business which may have conflict of interest after the separation.
11	What information disclosure regulations are supposed to provide?	The data required in respect of business may be sought from this question.	This question will disclose the various information about the distribution business.
12	Who is obligated to disclose the particulars ?	The body which shall be required to disclose the particulars in Indian Conditions.	Mostly, this body will be Distribution Company. You may verify from interview.

13	What particulars are contained by disclosure statement?	You may merge this question with the first question of this category.	This question seems to be give the same information as the earlier question of this category.
14	Who fixes the format of Information disclosure ?	A body needs to be identified who can make the information disclosure format.	Question about the authorized body to make the disclosure information is relevant.
15	Who audits the disclosed information?	Auditing is necessary. Authorized Auditor may be identified.	An authorized body may do the audit. The body may be identified from interviews,
Regulations making powers			
16	Who orders the council to make regulations (Regulations making powers)?	You may directly ask the question about retail regulations in India.	This question is confusing. Needs to be merged with the question around regulations.
17	What is declared by Regulations making powers?	You may directly ask the question about retail regulations in India.	This question is confusing. Needs to be merged with the question around regulations.
Charges of line services			
18	Charges of lines services are based on which consumer categories ?	Consumer category for various charges may be asked.	Line charges will vary as per consumer categories. This is good to ask.
19	Who make regulations for the price restraint for line charges ?	The authorized body to make price restraint regulations may be identified.	The regulatory body may be identified for the price restraint regulations.
20	What are the particulars to define a consumer category ?	Here, criteria to define the consumer categories can be defined.	Criteria on which consumer category are formed can be identified.
21	What is the methodology to pay line charges ?	Consumers are not supposed to pay the line charges directly to distributor.	Consumers may pay line charges to the supplier.
22	What is specified by price restraint regulations?	Various fields for price restrain are need to be identified.	Price control regulations are necessary to be specified.
Transfer Scheme			
23	What is the work of Secretary of state in regard to Transfer Scheme?	First question under the transfer scheme should be around the purpose of it.	This may not be the introductory question for transfer scheme.
24	Who drafts transfer scheme ?	It is good to ask the question about drafting authority of transfer scheme.	Drafter of the transfer scheme needs to be identify.
25	What is the purpose of nomination?	This question is confusing. Needs to be clear for interview.	Nominating person for the purpose of drafting the scheme - answer may be same as of previous question.
26	Amongst whom things are being divided?	Newly formed bodies after the separation of Discoms shall be the bodies as asked.	New bodies to be formed may be described here.
27	What are the things to divide ?	Things which shall be divided through transfer scheme needs to be identified.	Particulars which shall be divided through transfer scheme needs to be identified.
28	How asset, liability and rights are supposed to be defined ?	This question identifies the way to define assets, liability and rights for different companies.	Undertakings may be the way, You may identify from interviews.
29	In which order transfer scheme happens?	Order of various operations under the transfer scheme may be defined.	This question addresses the order of various activities under transfer scheme.
30	Does transfer scheme is enforceable by law?	This is obvious. Transfer scheme is enforceable by law.	This may be asked during the normal conversation around transfer scheme.
31	Are Suppliers and Associates stand equivalent?	This question may be ir-relevant for Indian Conditions.	This question is not required for Indian Conditions.
32	Who assist the secretary of state regarding the transfer scheme ?	This may be the existing distribution licensees.	Helping hand who will provide the all information may be the distribution company.
33	Whose approval is required in the approval of transfer scheme ?	Approving body for the transfer scheme needs to be identified.	Transfer scheme needs an approval of approving authority.
34	What is the effective date of transfer under Transfer Scheme?	There shall be an effective date of transfer, needs to be identified.	Effectiveness of Transfer scheme will be from the transfer scheme,
35	What are the rules for shares issued under transfer scheme ?	This question may be ir-relevant for Indian Conditions.	This question may be ir-relevant for Indian Conditions.
36	When the company is supposed to be an associate of a supplier ?	This question may be ir-relevant for Indian Conditions.	This question may be ir-relevant for Indian Conditions.
37	What happens if supply licensee does not make transfer scheme in due time?	The action which an authorized body takes if the drafter of transfer scheme does not submit the scheme in due time, needs to be identified.	An appropriate action may be identified in this regard.
38	Who makes the scheme to keep the effect of existing license for Supply licensee?	The question pertains to the effect of licenses after separation.	After separation, the value of licenses may be defined.
39	Who makes the scheme for the treatment of existing licenses ?	Body to make the regulations around treatment of existing license may be identified.	An authorized body should be given responsibility for this.
40	How the scheme provide effect to each license?	This question may be merged with the question of effect of existing licenses.	This question seems to be similar with second last question.
41	What are the standard conditions of licenses?	This question is confusing. Needs to be clear for interview.	Standard Conditions need to be asked clearly.
42	Who has deemed contract to supply ?	After the separation, the body which shall have the deemed contract to supply needs to be identified.	Government supply company may have the deemed contract to supply.
43	What is the role of commencement date in deemed contract to supply?	This question may be merged with previous question.	Commencement date may be defined by the transfer scheme.

44	Who drafts the T&C for the deemed contract to supply ?	This may be the state commission.	This question may be merged with previous ones.
45	Who approves the draft of Terms and Conditions?	This question can be merged with last question.	Approver body may be identified from interviews.
46	What happens if the authority does not find the draft made by supplier, suitable ?	The action which is taken if the draft of T&C is not found suitable, may be discussed.	Approving authority may himself draft such draft.
Corporate Separation			
47	What is the regulation for corporate separation ?	Regulations which are required for the unbundling of distribution network may be asked.	Necessary provisions before the corporate separation needs to be identified,
48	What is the arm length rule for corporate separation ?	This question may be merged with last question.	This question may be merged with last question.
49	What is the mandate to use Use of System Agreement?	This question does not fit in Indian Context.	This question does not fit in Indian Context.
50	What is the purpose to write Use of System Agreement?	This question does not fit in Indian Context.	This question does not fit in Indian Context.
51	What is ratio limit for cross ownership prohibition?	In India, cross ownership will not be allowed after separation.	Ratio may not be defined in Indian conditions.
52	What is the mandate to do corporate separation?	Enactment of EAB (2014) shall mandate the corporate separation.	Amendment in existing regulations shall mandate the separation.\
Ownership Separation			
53	What are the Ownership restrictions ?	Distribution company will not be able to undertake supply of electricity from EDOT.	Distribution company will not be able to perform its activities through franchisee.
54	For whom Ownership Separation is required?	Ownership separation shall be required for DISCOMs.	Ownership separation shall be required for unbundled SEBs, and DISCOMs.
55	What is the breach limit for connected generation for ownership separation ?	A threshold to set up a power generation plant by retail company may be defined.	Retail company may establish its power plant upto certain capacity.
56	Is renewable counted in regard to breach threshold for ownership separation ?	Renewable power plants may be established for any capacity.	There should not be any threshold limit for renewables.\
57	When the selling cap is supposed to be breached ?	This question seems to be ir-relevant for Indian Conditions.	This question does not fit in Indian Context.
58	What will be the treatment if one has common license for supply and distribution ?	This will lead to unbundling.	Licenses will be separated and supply would be given to another company.
59	What is the further condition if Supply licensee has Generation or Transmission license ?	Any cross involvement shall be prohibited.	Such bodies will not be allowed to take participate in supply activity.
60	What is the condition to transfer distribution/supply license to a holder?	This question seems to be ir-relevant for Indian Conditions.	This question seems to be ir-relevant for Indian Conditions.
The Electricity Code			
61	Who has authority to install/uninstall the meter?	The body which shall be authorized for metering services needs to be identified.	It may be the supply company or third party.
62	Who has deemed contract to supply to occupier premises ?	The supplier chosen by consumer shall have the deemed contract to supply.	Deemed contract should be with the occupier of premise.
63	What if illegal supply of electricity takes place ?	Action upon the illegal supply of electricity may be cleared.	For every illegal supply, provision of penalties may be there.
64	Who has power to disconnect the premise ?	Authority authorized to disconnect the premise may be identified.	In most of the cases, it shall be distribution company.
65	What is the condition for distributor to disconnect the premise?	Condition for disconnecting the premise from distribution company may be discussed.	Condition for disconnecting the premise from distribution company may be discussed.
66	What is the condition for supplier to disconnect the premise?	Condition for disconnecting the premise for supply company may be identified.	Condition for disconnecting the premise for supply company may be identified.
67	Who has power to investigate ?	Investing authority shall be defined by the act.	An authorized person may have the investigation powers.
68	Who has duty to connect /disconnect supplier premises ?	A body which is obligated to connect or disconnect the premises, may be identified.	A body authorized to connect or disconnect may be the distribution company.
Open Access/Supplier Choose			
69	What is done to open up market to every category of consumers?	Open access provisions may be discussed here.	Open access and choice of supplier to all consumers need to be discussed in detail.
Suggestions from Respondents			
1	Suggestions to modify the protocol	Arm length rule questions may be replaced with question around Indian regulatory scenario for retail competition.	Accountability of supply licensee to use the distribution system may be covered.
2		Category 'Overlap threshold' is not required.	Mechanism to determine tariff in new environment needs to be covered.
3		Category 'Regulation making power' is not required.	Management of cross subsidies should be addressed.

4		Questions pertaining to transfer scheme may be merged to some extent.	Creation of common consumer database needs to be addressed.
5		Questions for Corporate separation and ownership separation may be reframed.	More questions around open access and choice of supplier may be asked.
6		Question around consumer grievance redressal mechanism needs to be there.	Some categories of the questions may be merged.

A6.3 RESPONSES OF VALIDATORS AGAINST MODIFIED PROTOCOL

MODIFIED PROTOCOL			
Questions		Respondent 1	Respondent 2
Purpose		Y	Y
1	Why do you feel that time has come for initiating third generation reforms in India?	Y	Y
2	According to you, what measures needs to be taken to make the distribution system viable?	Y	Y
3	Among all the stated measures, which is the most significant measure in Indian context?	Y	Y
4	What are the expectations from the introduction of retail supply competition?	Y	Y
5	Do you feel the current regulations are adequate enough for introduction of retail in Indian distribution sector? If yes/no, why you feel so?	Y	Y
6	What type of business will require the unbundling to introduce retail?	Y	Y
7	What shall be the roles and responsibilities of new bodies created after restructuring?	Y	Y
8	Can retail company carry out the generation (if yes/no), what should be the threshold limit?	Y	Y
Present Scenario of DISCOMs		Y	Y
9	Why we have needed to identify such businesses which are doing business with associates or subsidiaries or franchisees?	Y	Y
10	Some disclosures need to be made by the businesses before carrying out the separation. Which type of business will have obligation to disclose the particulars?	Y	Y
11	What particulars should be described by disclosure regulations?	Y	Y
12	What such disclosure regulations are supposed to provide in respect of businesses?	Y	Y
13	Who is supposed to make the format of such information disclosure?	Y	Y
14	Should there be an audit of disclosed information? Who should be appointed to undertake the audit?	Y	Y
15	What are suggested phases to facilitate the retail introduction in India?	Y	Y
Transfer Scheme		Y	Y
16	What is the requirement to carry out the transfer scheme?	Y	Y
17	Who is responsible to draft the transfer scheme?	Y	Y
18	Who approves the draft of transfer scheme?	Y	Y
19	What will be the mechanism to treat existing losses?	Y	Y
20	How Effective Date of Transfer will be defined?	Y	Y
21	What will be the treatment of existing claims, if any?	Y	Y
22	What will be mechanism to do the valuation of assets?	Y	Y
23	What is the need to define undertaking?	Y	Y
24	What will be the mechanism to manage existing Power Purchase Agreements?	Y	Y
25	What will be the mechanism to allocate assets and liabilities?	Y	Y
26	What will be the responsibilities of transferee after Effective Date of Transfer?	Y	Y
27	How the transfer of Personnel shall be managed?	Y	Y
28	What should be the provisional period in transfer?	Y	Y
29	What will be the mechanism for bifurcated parties to apply for license?	Y	Y
30	How the future losses will be managed?	Y	Y

31	Who will remove any difficulty in regard to transfer scheme, if arises?	Y	Y
Open Access		Y	Y
32	What needs to be done to open up the market for all consumers?	Y	Y
33	How opening up the market give the choice of supplier to consumer?	Y	Y
34	There are some issues in Open Access. How these issues will be managed?	Y	Y
35	What should be the mechanism for Supplier switch?	Y	Y
36	What should be frequency and regulation to switch the supplier?	Y	Y
Consumer		Y	Y
37	How the preparation of consumer database or KYC can help the utilities?	Y	Y
38	How Cross Subsidies will be managed?	Y	Y
39	What should be the regulations for tariff?	Y	Y
40	What should be the mechanism to determine tariff?	Y	Y
41	Should there be any regulation on price restraint? Who will be responsible to make them?	Y	Y
42	What particulars can be defined in price restraint?	Y	Y
Tariff Regulations		Y	Y
43	Who will have universal service obligation to connect or/disconnect the premise?	Y	Y
44	Who should be responsible to provide metering services?	Y	Y
45	Who should provide the billing and collection services?	Y	Y
46	How many consumer categories should be there for line charges?	Y	Y
47	On what ground consumer categories can be defined for retail charges?	Y	Y
48	What will be the route to pay the line charges by the consumer?	Y	Y
49	Supply Licensees will use the distribution system. Will there be any accountability of them towards distribution system?	Y	Y
50	What should be the mechanism to provide the Consumer Interface/Consumer Grievance Redressal Mechanism (Single window)	Y	Y

APPENDIX 7

CODE BOOK FOR INTERVIEW PROTOCOL LEADING TO THE FORMATION OF FRAMEWORK TO INTRODUCE RETAIL COMPETITION IN INDIA

A7.1 INTRODUCTION

This Appendix represents the final protocol and analysis of its' transcripts. The appendix contains four code books which have their roots in chapter 7 of this thesis. The first code book 7.2 represents the 'Coding of interview transcripts'. The second code book 7.3 represents the 'Data Management'. The third code book 7.4 represents the 'Descriptive and Explanatory Accounts' whereas the fourth code book 7.5 represents the 'Relationship Diagram'. These code books were used as a tool to develop the framework for introducing retail competition in Indian Power Sector through the separation of carriage and content in distribution sector.

A7.2 CODE BOOK: INTERVIEW TRANSCRIPTS

Q 1. Why do you feel that time has come for initiating third generation reforms in India?

Respondent 1: Inefficiency and losses are there in the power system. The same has negative impact on the economy of the country. Third generation reforms are necessary to deal with the same.

Codes: Inefficiency, losses, power system, negative impact, economy, country, third generation reforms
Code Quantity: 7, New codes: 7

Respondent 2: Distribution system is inefficient & loss making. Hence there is a need to go for third generation reforms so that power supply can be adequate and AT&C losses can be brought down. Economic growth, viable and profitable sector, reduced tariff, better consumer services are the benefits which can be achieved by reforms.

Codes: Distribution system, inefficient, loss making, third generation reforms, power supply, adequate, AT&C losses, economic growth, viable, profitable sector, reduced tariff, consumer services, benefits, reforms.
Code Quantity: 14, new codes: 10

Respondent 3: Distribution system is inefficient & loss making. Power supply is inadequate and unreliable which is major constraint to growth of the country. Reforms initiated in 2003 did not give satisfactory results. Hence there is a need to go for third generation reforms so that power supply can be adequate and AT&C losses can be brought down. Economic growth, viable and profitable sector, reduced tariff, better consumer services may be some other benefits.

Distribution system, inefficient, loss making, power supply, inadequate, unreliable, major constraint, growth, country, reforms, satisfactory results, third generation reforms, power supply, adequate, AT&C losses, economic growth, viable, profitable sector, reduced tariff, better consumer services.
Codes: 20, , new codes: 1

Respondent 4: Inadequate and unreliable supply of power, losses and other inefficiencies are affecting the sector. Problem and issues which exist in Indian power sector can only be resolved by further reforms.

Codes: Inadequate, unreliable supply, power, losses, inefficiencies, problem, issues, Indian power sector, further reforms
Code Quantity: 9, New Codes: 0

Respondent 5: Second generation reforms have lost their affect. This is time to go for next generation reforms.

Codes: Second Generation Reforms, next generation reforms, effect

Code quantity: 3, New Codes: 0

Respondent 6: Third generation reforms may ensure more competition in power industry which may lead to higher efficiency.

Codes: Third Generation Reforms, Competition, Power Industry, Efficiency
Code Quantity: 4, New Codes: 0

Respondent 7: Reforms initiated by Electricity Act 2003 did not give satisfactory results especially in distribution sector. A viable and profitable sector can only be achieved by the next generation reforms.

Codes: Reforms, Electricity Act 2003, satisfactory results, distribution sector, profitable sector, next generation reforms
Code Quantity: 6, New Codes: 0

Q 2. According to you, what measures needs to be taken to make the distribution system viable?

Respondent 1: Regular third party inspection and energy audits should be there. Segregation of Technical and commercial losses is necessary to identify the cause roots. The cause roots may be treated with the help of technical advancement and reforms. Advance solutions like smart grid, AMI could be there. Monopoly of Distribution sector should also be removed.

Codes: Third party inspection, energy audits, segregation, technical and commercial losses, cause roots, technical advancement, reforms, smart grid, AMI, monopoly, distribution sector, remove
Code Quantity: 12, New codes: 12

Respondent 2: Benchmarking with international successful distribution utilities should be done so that the best practices of distribution sector can be identified and implemented in Indian Scenario. Retail competition can help the sector.

Codes: benchmarking, international distribution utilities, best practices, success, distribution sector, identified, implemented, Indian scenario, retail competition
Code Quantity: 9, new codes: 9

Respondent 3: Compilation of base line data should be there. Cost reflective tariff to meet operating cost. Segregation of Technical and commercial losses, advancement of technical solutions are needed majors to be implemented. Introduction of more than one supplier in an area through the bifurcation of carriage and content can help.

Codes: Compilation, base line data, cost reflective tariff, operating cost, segregation, technical and commercial losses, technical solutions, introduction, second supplier, bifurcation, carriage, content
Code Quantity: 12, new codes: 12

Respondent 4: Benchmark with the international utilities should be set up to have smart grid and retail competition in India. An urgent solution is needed to improve the financial health of the sector. Distribution sector needs to implement the cost reflective tariff to meet operating cost. Segregation of Technical and commercial losses, compilation of base line data, third party verification and energy audit, methodology to reduce losses in a time bound manner, advancement of technical solutions are needed majors to be implemented.

Codes: Benchmark, international utilities, smart grid, retail competition, India, financial health, distribution sector, cost reflective tariff, operating cost, segregation, technical and commercial losses, compilation, base line data, third party verification, energy audit, methodology, reduce losses, advance technical solutions
Code Quantity: 18; New codes: 12

Respondent 5: Efficiency improvement in operations needs to be done for making the distribution system viable.

Codes: Efficiency, Operations, Distribution System, Operations
Code Quantity: 7. New codes: 0

Respondent 6: System will become viable if the management shall work with proper accountability. Leakages needs to be stopped.

Codes: System, viable, management, accountability, Leakages
Code Quantity: 5. New codes: 3

Respondent 7: Cost reflective tariffs regime is necessary in order to make the distribution system viable and efficient. Cost reflective tariffs shall meet the operating expenses. Smart grid and further reforms can help the sector.

Cost reflective tariffs, distribution system, viable, efficient, operating expenses, smart grid, further reforms
Code Quantity: 7. New codes: 0

3) Among all the stated measures, which is the most significant measure in Indian context?

Respondent 1: Retail competition through the separation of carriage and content businesses of distribution sector in India can be considered most significant as of now.

Retail competition, separation, carriage, content, business, distribution sector, most significant
Code Quantity: 7; Ne codes: 7

Respondent 2: Smart grid development is time taking process. Further reforms in Indian power sector can help in making the system efficient.

Smart grid, reforms, Indian power sector, efficient system
Code Quantity: 4; Mew Codes: 4

Respondent 3: Smart grid development is time taking process. It also needs heavy investment and skill set. Retail introduction by unbundling of Network and Supply is the option should be taken as of now.

Codes: Smart grid, process, heavy investment, skill set, retail, unbundling, network, supply
Code Quantity: 8; New Codes: 7

Respondent 4: Advance technical solutions are needed in order to make the distribution system efficient. Cost reflective tariffs should be there.

Codes: Advance technical solutions, distribution system, efficient, cost reflective tariffs
Code Quantity: New codes: 3

Respondent 5: Smart Grid and Retail Competition both activities should be given parallel attention.

Codes: Smart Grid, Retail Competition, activities
Code Quantity: 3; New codes: 0

Respondent 6: Cost reflective tariffs and latest technical solutions needs to be adopted.

Codes: Cost reflective tariffs, technical solutions, adopted
Codes: 3; New codes: 1

Respondent 7: Development of Smart Grid needs heavy investment and skill set. Retail introduction by unbundling of Network and Supply is the option should be taken as of now.

Codes: Smart Grid, investment, skill set, retail introduction, unbundling, network, supply
Codes: 7; new codes: 0

4) What are the expectations from the introduction of retail supply competition?

Respondent 1: Full retail competition is the last and logical end point stage of restructuring. It removes the inefficiencies and potential conflicts of electricity market.

Codes: Full retail competition, stage of restructuring, logical, inefficiencies, potential conflicts, electricity market
Code Quantity: 6; new codes: 6

Respondent 2: Full retail competition is the last and logical end point stage of restructuring. It removes the inefficiencies and potential conflicts of electricity market. Retail introduction through the segregation of network and supply guides the inherent market incentives where consumer willing pay for the service they need. It gives choice to end consumer. Retail is expected to enhance the cost and operation efficiencies. Cost efficiencies are achieved as competition reduces input cost. Operational efficiencies are achieved as companies have fear to lose the market. Retail competition shall also help into clearing the balance sheets of distribution utilities. The same shall be supported by legislative reforms.

Codes: Full retail competition, stage of restructuring, inefficiencies, potential conflicts, electricity market, retail competition, segregation, network, supply, market incentives, consumer, choice, end consumer, cost, operation efficiencies, competition, input cost, operational efficiencies, market share, retail competition, clearing balance sheets, distribution utilities, legislative reforms
Code Quantity: 23; New codes: 17

Respondent 3: Retail introduction through the segregation of network and supply guides the inherent market incentives where consumer willing pay for the service they need. It gives choice to end consumer.

Codes: Retail introduction, segregation of network, supply, inherent market incentives, willingness to pay, services, choice
Code Quantity: 7; New Codes: 2

Respondent 4: Retail is expected to enhance the cost and operation efficiencies. Cost efficiencies are achieved as competition reduces input cost. Operational efficiencies are achieved as companies have fear to lose the market share.

Codes: Retail, cost, operation efficiencies, competition, input cost, operational efficiencies, market share
Code Quantity: 7; New codes: 0

Respondent 5: Retail competition is expected to increase overall efficiency of the sector.

Codes: Retail competition, increase, efficiency. sector
Code Quantity: 4; New codes: 0

Respondent 6: Retail competition will separate distribution from supply hence competition in the segment will be introduced.

Codes: Retail competition, separate, distribution, supply, competition, segment
Code Quantity: 6; New codes: 0

Respondent 7: Operational efficiencies will be achieved through retail as companies have fear to lose the market share. Retail competition shall also help into clearing the balance sheets of distribution utilities. The same shall be supported by legislative reforms.

Codes: Operational efficiencies, market share, retail competition, clearing, balance sheets, distribution utilities, legislative reforms
Code Quantity: 7; New Codes: 0

5) Do you feel the current regulations are adequate enough for introduction of retail in Indian distribution sector? If yes/no, why you feel so?

Respondent 1: Present regulations are not enough for the same. Electricity Act 2003 does not say anything about the full competition in distribution sector.

Codes: Present regulations, Electricity Act 2003, full competition, distribution sector
Code Quantity: 4; New Codes: 4

Respondent 2: Present regulations are not enough for the same. Electricity Act 2003 does not say anything about the retail introduction in distribution sector.

Codes: Present regulations, Electricity Act 2003, retail introduction, distribution sector
Code Quantity: 4; New codes 1

Respondent 3: Present regulations, Electricity Act 2003, retail competition. Electricity Act amendment bill 2014, enact, strategy, retail competition, new bodies

Codes: Present regulations, Electricity Act 2003, retail competition, Electricity Act amendment bill 2014, enact, strategy, retail competition, new bodies
Code Quantity: 8; new codes: 3

Respondent 4: Present regulations are not enough for the same. Electricity Act 2003 do not say anything about the bifurcation of carriage and content. Electricity Amendment Bill 2014 is also pending in Loksabha.

Codes: Present regulations, Electricity Act 2003, bifurcation, carriage, content, Electricity Amendment Bill 2014, Loksabha.
Code Quantity: 7; New codes: 4

Respondent 5: Present regulations are not adequate. Electricity Act 2003 tells about parallel distribution licensees in the sector through it could not led to significant competition.

Codes: Present regulations, Electricity Act 2003, parallel distribution licensees, significant competition
Code Quantity: 4; New codes: 2

Respondent 6: Electricity (Amendment) Bill, 2014 is pending. It may lead to the adequacy of regulations, once implemented.

Codes: Electricity (Amendment) Bill 2014, adequacy, regulations, implemented
Code Quantity: 4; New codes: 0

Respondent 7: Present regulations are not enough for the same. Electricity Amendment Bill 2014 needs to be enacted.

Codes: Present regulations, Electricity Amendment Bill 2014, enact
Code Quantity: 3; New codes: 0

6) What type of business will require the unbundling to introduce retail?

Respondent 1: We have needed to unbundle the Distribution Companies further into Network Co & Supply Co. In few remaining states, where Electricity boards are not unbundled yet, need to unbundle the SEBs there also.

Codes: Unbundle, Distribution Companies, Network Co, Supply Co, Electricity boards, State Electricity Boards
Code Quantity : 6; new codes: 6

Respondent 2: We should unbundle the Distribution Companies further into Network Co & Supply Co. & Intermediary Co.

Codes: Unbundle, Distribution Companies, Network Co, Supply Co, Intermediary Co.
Code Quantity: 5; new codes: 1

Respondent 3: Country has seen the unbundling of SEBs already. Now we have needed to unbundle the Distribution Companies further into Network Co & Supply Co.

Code: Country, unbundling, SEBs, Distribution Companies, Network Co, Supply Co.
Code Quantity: 6; New codes 1

Respondent 4: Country has seen the unbundling of SEBs already. Now we have needed to unbundle the Distribution Companies further into Network Co & Supply Co & Intermediary Co. Such states, where Electricity boards are not unbundled yet, need to unbundle the SEBs there also.

Code: Country, unbundling, Distribution Companies, Network Co, Supply Co, Intermediary Co, State Electricity boards
Code Quantity: 7; new codes 2

Respondent 5: Distribution Companies have need to unbundle.

Codes: Distribution Companies, unbundle.
Code Quantity: 2; New codes 0

Respondent 6: Distribution Business should be unbundled into network business and supply business.

Codes: Business, unbundled, network business, supply business.
Code Quantity: 4; New codes 0

Respondent 7: Country has seen the unbundling of SEBs already. Now we have need to unbundle the Distribution Companies further into Network Co & Supply Co. In few remaining states, where Electricity boards are not unbundled yet, need to unbundle the SEBs there also.

Codes: Country, unbundling, Distribution Companies, Network Co, Supply Co, State Electricity boards
Code Quantity: 6; New codes: 0

7) Can retail company carry out the generation (if yes/no), what should be the threshold limit?

Respondent 1: Retail Company may be allowed to establish a power generation plant. The aim is to secure the power availability for the new player. Threshold may be set up as per the recommendations of regulatory commission.

Codes: Retail Company, establish, power generation plant, secure, power availability, threshold, regulatory commission, recommendations.
Code Quantity: 8; New codes: 8

Respondent 2: Yes, retail company should be allowed to establish a power plant to secure the power availability. Although generation company should not be allowed to become a retail company.

Codes: Retail company, power plant, power availability, generation company, retail company
Code Quantity: 5; New codes: 1

Respondent 3: Yes, retail company may establish a generation plant, to secure the power availability. Threshold may be set up for the conventional power plant which can be decided by state regulatory commission based on the power requirements of the state. Although threshold to generate non-conventional should not be there. Vice – versa should not be true in this case. Generation companies should not be allowed to be a retail company.

Codes: Retail company, establish, generation plant, power availability, threshold, conventional power plant, state regulatory commission, power requirements, state, non-conventional, Generation companies
Code Quantity: 11; New Codes: 5

Respondent 4: Retail Company may be allowed to establish a power generation plant. Generation companies should not be allowed to be a retail company. Threshold may be set up as per the recommendations of Government and FOR.

Codes: Retail Company, establish, power generation plant, Generation companies, retail company, threshold, recommendations, Government, FOR

Code Quantity: 9; new codes: 3

Respondent 5: Retail Company should be allowed to establish a power generation plant.

Codes: Retail Company, establish, power generation plant.
Code Quantity: Codes: 3; new codes: 0

Respondent 6: Retail company may establish a power plant. Threshold for setting up such power plant may be there.

Codes: Retail company, power plant, threshold, power plant
Code Quantity: 4; new codes: 0

Respondent 7: Retail Company may establish a power generation plant. Threshold for conventional power plant may be set up while there should not be any threshold for renewable power generation plant.

Codes: Respondent 3: Retail Company, establish, power generation plant, threshold, conventional power plant, renewable power generation plant
Code Quantity: 6; new codes: 0

8) What shall be the roles and responsibilities of new bodies created after restructuring?

Respondent 1: Intermediary company shall be there for necessary power procurements arrangements. Roles and responsibilities of new bodies are also defined in the EAB 2014 wherein distribution company shall be responsible for network related operations and supply company shall be responsible for supplying electricity to end consumer.

Code: Intermediary company, power procurements arrangements, roles & responsibilities, EAB 2014, distribution company, network operations, supply company, responsible, supply of electricity, end consumer
Code Quantity: 10; New Codes 10

Respondent 2: Network and related infrastructure will be managed by distribution company. Supply of electricity shall be the duty of supply company. There will be more than one supply company in market hence consumer can choose any one of them.

Network, infrastructure, distribution company, Supply of electricity, duty, supply company, market, Consumer, choice
Code Quantity: 8; New Codes: 5

Respondent 3: Distribution and supply companies shall have respective duties as per their function. Intermediary company shall be there to succeed existing power procurement arrangements. There shall be one mandatory government supply company in the market.

Codes: Distribution Company, supply company, duty, function, intermediary company, power procurement arrangements, government supply company, market
Code Quantity: 8; New codes 2

Respondent 4: There will be more than one supply companies in the market. Government supply company shall work as a provider of last resort if existing supplier of consumer is suspended for any reason. On the other hand, Distribution company shall be responsible for all network related operations.

Codes: Supply company, market, government supply company, provider of last resort, existing supplier, suspended, distribution company, network operations
Code Quantity: 8, new codes: 3

Respondent 5: Simply, distribution company shall manage the distribution network while supply company shall be authorized to provide electricity.

Codes: Distribution company, distribution network, supply company, electricity
Code Quantity: 4; New Codes: 0

Respondent 6: Distribution company will manage its distribution network and will not be responsible for the supply of electricity. Supply company shall provide power to consumer through the network of distribution company.

Codes: Distribution company, manage, distribution network, supply of electricity, Supply company, network, distribution company
Code Quantity: 7; New Codes: 0

Respondent 7: Distribution company will manage its distribution network and will not be responsible for the supply of electricity. Supply company shall provide power to consumer through the network of distribution company.

Codes: Distribution company, manage, distribution network, supply of electricity, Supply company, network, distribution company

Code Quantity: 7; New Codes: 0

9) Why we have needed to identify such businesses which are doing business with associates or subsidiaries or franchisees?

Respondent 1: We need to identify the franchisees which are doing power distribution on the behalf of Distribution Company. These franchisees should only be allowed to work till the expiration of license.

Codes: Identify, Franchisees, power distribution, distribution Company, expiration of license
Code Quantity: 5; New codes 5

Respondent 2: In case if a distribution licensee is undertaking the distribution of electricity, prior to the commencement of the Electricity (Amendment) Act, 2014; in a specified area of distribution through the associate/franchisee, such associate/franchisee do not have need to take separate license from appropriate commission. Although such distribution franchisee/associate can only distribute the power till the expiry of respective licenses. Also any subsidiary of Distribution Company or generation company should not be allowed to work as a supply licensee.

Codes: Distribution licensee, electricity distribution, Electricity (Amendment) Act 2014, associate, franchisee, separate license, appropriate commission, expiration of license, subsidiary, distribution company, generation company, supply licensee
Code Quantity: 11; New Codes: 8

Respondent 3: Any subsidiary of Distribution Company or generation company should not be allowed to work as a supply licensee. Also existing franchisees should only be allowed to work till the expiration of their license.

Codes: Subsidiary, Distribution Company, Generation company, supply licensee, franchisees, license expiration
Code Quantity: 6; New Codes: 2

Respondent 4: In case if a distribution licensee is undertaking the distribution of electricity, prior to the commencement of the Electricity (Amendment) Act, 2014; in a specified area of distribution through the associate/franchisee, such associate/franchisee do not have need to take separate license from appropriate commission.

Codes: Distribution licensee, electricity distribution, Electricity (Amendment) Act 2014, associate, franchisee, separate license, appropriate commission
Code Quantity: 6; New codes: 0

Respondent 5: To remove any conflict of interest after the separation of existing distribution businesses, we need to identify such businesses.

Codes: Remove, conflict of interest, separation, distribution businesses, identify
Code Quantity: 5; New codes 1

Respondent 6: Distribution franchisees should only be allowed to work till the expiration of licenses. Hence such distribution licensees need to be identified which are undertaking distribution through franchisees.

Codes: Distribution franchisee, expiration of licenses, distribution licensees, undertaking, distribution, franchisees
Code Quantity: 6; New codes 1

Respondent 7: Distribution franchisee/associate can only distribute the power till the expiry of respective licenses. Also any subsidiary of Distribution Company or Generation Company should not be allowed to work as a supply licensee.

Codes: Distribution franchisee, associate, distribute, expiry, licenses, distribution company, generation company, supply licensee
Code Quantity: 8; New codes: 0

10) Some disclosures need to be made by the businesses before carrying out the separation. Which type of business will have obligation to disclose the particulars?

Respondent 1: As per the meaning of Disclosures, described by you – Distribution companies which have the need of unbundling should be obligated to make the disclosures.

Codes: disclosures, distribution companies, unbundling, obligated
Code Quantity: 4; New codes: 4

Respondent 2: Distribution companies or the State Electricity Boards which have the need of unbundling, should make the disclosures.

Codes: Distribution companies, State Electricity Boards, unbundling, disclosures
Code Quantity: 4; New codes: 1

Respondent 3: Balance sheets of DISCOMS is already available publicly. The same is published on yearly basis. I don't think that there is a need to make the Disclosures.

Codes: Balance sheets, DISCOMS, published, yearly, Disclosures.
Code Quantity: 5; New codes: 3

Respondent 4: DISCOMs and remaining unbundled State Electricity Boards may do the disclosures.

Codes: DISCOMs, unbundled, State Electricity Boards, disclosures
Code Quantity: 4; New codes: 0

Respondent 5: Distribution Companies should have the obligation to disclose the particulars.

Codes: Distribution Companies, Obligation, Disclose
Code Quantity: 3; New codes: 1

Respondent 6: Distribution companies and such State Electricity boards which are going to be unbundled.

Codes: Distribution companies, State Electricity boards, unbundled
Code Quantity: 3; New codes: 0

Respondent 7 All the distribution companies and such State Electricity boards which needs to be unbundled.

Codes: Distribution companies, State Electricity boards, unbundled
Code Quantity: 3; New codes: 0

11) What particulars should be described by disclosure regulations?

Respondent 1: As per our discussion, interest or involvement of one electricity business into another electricity business may be described by such regulations.

Codes: interest, involvement, electricity business, described, regulations
Code Quantity: 5; New Codes: 5

Respondent 2: A non-specific interest in another business or person involved in that business may be described by the disclosure regulations.

Codes: non-specific interest, business, person, involved, described, disclosure regulations
Code Quantity: 6; New Codes: 4

Respondent 3: All the assets, liabilities and losses of the DISCOMs should be identified and described by the disclosure regulations.

Codes: assets, liabilities, losses, DISCOMs, identified, disclosure regulations
Code Quantity: 6; New Codes: 4

Respondent 4: Involvement of one electricity business into another business may be described by the disclosure regulations.

Codes: Involvement, electricity business, disclosure regulations, describe
Code Quantity: 4; New Codes: 0

Respondent 5: Distribution Regulations are supposed to describe the involvement of one business into another business.

Codes: Distribution Regulations, involvement, business
Code Quantity: 3; New Codes: 0

Respondent 6: Involvement or interest of one electricity business into another business may be described by the disclosure regulations.

Codes: Involvement, Interest, electricity business, disclosure regulations, describe
Code Quantity: 5; New Codes: 0

Respondent 7: Interest or involvement in an electricity business; a nonspecific interest in the person who is involved in an electricity business.

Codes: Interest, involvement, electricity business; a nonspecific interest, person, involved, electricity business
Code Quantity: 7; New Codes: 0

12) What such disclosure regulations are supposed to provide in respect of businesses?

Respondent 1: Disclosure regulations may provide – what needs to be disclosed/ where/by & to whom it needs to be disclosed.

Codes: disclosure regulations, what needs to be disclosed, where/by & to whom it needs to be disclosed
Code Quantity: 3; new codes: 3

Respondent 2: They provide the format for the balance sheets to describe the items in detail.

Codes: Format, balance sheets, describe, items
Code Quantity: 4; New codes: 4

Respondent 3: The form of the disclosure/ record access & maintenance, method to set up the threshold etc.

Codes: The form of the disclosure/ record access & maintenance, method to set up the threshold etc.
Code Quantity: 3; New codes: 3

Respondent 4: What needs to be disclosed/ by & to whom the disclosure is made/ when it must be disclosed/ the form of the disclosure/ record access & maintenance/ method to set up threshold

Codes: What needs to be disclosed, by & to whom the disclosure is made, when it must be disclosed, the form of the disclosure, record access & maintenance, method to set up threshold
Code Quantity: 6; new codes: 0

Respondent 5: Disclosure regulations can provide the headings of various fields under which information needs to be disclosed.

Codes: Disclosure regulations, headings, fields, information, disclosed
Code Quantity: 5; new codes: 1

Respondent 6: Disclosure regulations information fields which need to be disclosed.

Codes: Disclosure regulations, information fields, disclosed
Code Quantity: 3; new codes: 1

Respondent 7: Disclosure regulations can provide the particulars which need to be disclosed.

Codes: Disclosure regulations, particulars, disclosed
Code Quantity: 3; new codes: 0

13) Who is supposed to make the format of such information disclosure?

Respondent 1: Secretary of State may make such format of information disclosure.

Codes: Secretary of State, format, information disclosure
Code Quantity: 3; New codes: 3

Respondent 2: Secretary of State may provide the format in consultation with State Electricity Regulatory Commission.

Codes: Secretary of State, format, State Electricity Regulatory Commission
Code Quantity: 3; New codes: 1

Respondent 3: Secretary of State; in consultation with State Electricity Regulatory Commission, Central Electricity Regulatory Commission & the Electricity Authority should make the format of such disclosure.

Codes: Secretary of State; State Electricity Regulatory Commission, Central Electricity Regulatory Commission, Electricity Authority, information disclosure, format
Code Quantity: 6; New codes: 2

Respondent 4: Secretary of State may provide the format in consultation with State Electricity Regulatory Commission & Electricity Authority.

Codes: Secretary of State, format, State Electricity Regulatory Commission, Electricity Authority
Code Quantity :4; New Codes: 0

Respondent 5: Secretary of State may provide the format in consultation with State Government.

Codes: Secretary of State, format, State Government
Code Quantity: 3; New codes: 1

Respondent 6: State Government may provide the format in consultation with State Electricity Regulatory Commission.

Codes: State Government, format, State Electricity Regulatory Commission
Code Quantity: 3; New codes: 0

Respondent 7: Secretary of State; in consultation with State Electricity Regulatory Commission, Central Electricity Regulatory Commission & the Electricity Authority should make the format of such disclosure.

Codes: Secretary of State, State Electricity Regulatory Commission, Central Electricity Regulatory Commission, Electricity Authority, format, information disclosure
Code Quantity: 6; New codes: 0

14) Should there be an audit of disclosed information? Who should be appointed to undertake the audit?

Respondent 1: Yes, there should be audit for the purpose of verification. An Independent Chartered Account may do it.

Codes: Audit, purpose of verification, Independent Chartered Account
Code Quantity: 3; New codes: 3

Respondent 2: Yes, there should be audit for the purpose of verification. An audit body or consultant; whomsoever is nominated by Secretary of State may do it.

Codes: Audit, purpose of verification, audit body, consultant, nominated, Secretary of State
Code Quantity: 6; new codes: 4

Respondent 3: Yes, there should be audit. An Independent Chartered Account/Audit body/Consultant may do it.

Codes: Audit, Independent Chartered Account, Audit body, Consultant
Code Quantity: 4; New codes: 0

Respondent 4: Yes, there should be audit for the purpose of verification. An Independent Chartered Account or Consultant; whomsoever is nominated by Secretary of State may do it.

Codes: Audit, purpose of verification, Independent Chartered Account, Consultant, nominated, Secretary of State
Code Quantity: 6; New codes: 0

Respondent 5: Yes, audit should be there for the purpose of verification. An Independent Chartered Account may do it.

Codes: Audit, purpose of verification, Independent Chartered Account, Consultant, nominated, Secretary of State
Code Quantity: 6; New codes: 0

Respondent 6: Yes. An Independent Consultant; nominated by Secretary of State may perform the audit.

Codes: Audit, purpose of verification, Independent Chartered Account, Consultant, nominated, Secretary of State
Code Quantity: 6; New codes: 0

Respondent 7: Yes, there should be audit for the purpose of verification. An Independent Chartered Account/Audit body/Consultant; whomsoever is nominated by Secretary of State may do it.

Codes: Audit, purpose of verification, Independent Chartered Account, Audit body, Consultant, nomination, Secretary of State
Code Quantity: 6; New codes: 0

15) What are suggested phases to facilitate the retail introduction in India?

Respondent 1: Accounting Unbundling, Functional Separation, Operational Unbundling, Ownership Unbundling can be phases of retail introduction

Codes: Accounting Unbundling, Functional Separation, Operational Unbundling, Ownership Unbundling, retail introduction phases
Code Quantity: 5; new codes: 5

Respondent 2: Administrative Unbundling, Management Separation, Legal unbundling, Divesture Unbundling could be the phases for retail introduction in India.

Codes: Administrative Unbundling, Management Separation, Legal unbundling, Divesture Unbundling, retail introduction phases
Code Quantity: 5; New codes: 4

Respondent 3: 1) Full unbundling, 2) Introduction of another supply licensee, 3) Onset of Competition with choice to consumer could be the phases

Codes: Full unbundling, supply licensee, Onset of Competition, choice to consumer, phases
Code Quantity: 5; new codes: 3

Respondent 4: Separation of carriage and content, Introduction of another supply licensee, Choice to consumer are the suggested phases.

Codes: Separation, carriage, content, introduction, another supply licensee, Choice to consumer phases
Code Quantity: 6; new codes: 5

Respondent 5: Accounting (Administrative) unbundling, Functional (Management) separation, Operational (Legal) unbundling, Ownership (Full/Divesture unbundling) in Distribution Segment.; 2) Introduction of another supply licensee, 3) Onset of Competition with choice to consumer

Codes: Accounting/Administrative unbundling, Functional/Management separation, Operational/Legal unbundling, Ownership/Full/Divesture unbundling, Distribution Segment, second supply licensee, Onset of Competition, choice to consumer
Code Quantity: 8; New codes: 0

Respondent 6: Administrative Unbundling, Management Separation, Legal unbundling, Divesture Unbundling could be the phases for retail introduction in India.

Codes: Administrative Unbundling, Management Separation, Legal unbundling, Divesture Unbundling, retail introduction phases
Code Quantity : 5; New codes : 0

Respondent 7: Separation of carriage and content, Introduction of another supply licensee, Choice to consumer are the suggested phases.

Codes: Separation, carriage, content, introduction, another supply licensee, Choice to consumer phases
Code Quantity: 6; new codes: 0

16) What is the requirement to carry out the transfer scheme?

Respondent 1: A transfer scheme is needed to divide assets, liabilities, personnel and proceedings of Distribution Company into Network, Supply & Intermediary Companies.

Codes: Transfer scheme, divide, assets, liabilities, personnel, proceedings, Distribution Company, Network Co, Supply Co, Intermediary Company
Code Quantity: 10; New codes: 10

Respondent 2: A transfer scheme is needed to divide assets, liabilities, personnel and proceedings of Distribution Company into Network Co and Supply Co.

Codes: Transfer scheme, divide, assets, liabilities, personnel, proceedings, Distribution Company, Network Co, Supply Co
Code Quantity: 9; New codes: 0

Respondent 3: A transfer scheme followed by the Electricity Amendment Bill is needed to divide assets, liabilities and personnel of Distribution Company into Network Co and Supply Co.

Codes: Transfer scheme, Electricity Amendment Bill, divide, assets, liabilities, personnel, Distribution Company, Network Co, Supply Co
Code Quantity: 9; New codes: 0

Respondent 4: A transfer scheme is needed to divide assets & liabilities of Distribution Company into Network Co and Supply Co. & Intermediary Co.

Codes: Transfer scheme, divide, assets, liabilities, Distribution Company, Network Co, Supply Co, Intermediary Co.
Code Quantity: 8; New codes: 0

Respondent 5: A transfer scheme is needed to divide the particulars of of Distribution Company into divided companies.

Codes: Transfer scheme, divide, particulars, distribution companies, newly formed companies
Code Quantity: 10; New codes: 1

Respondent 6: A transfer scheme is needed to divide assets, liabilities, personnel and proceedings of Distribution Company into Network Co and Supply Co.

Codes: Transfer scheme, divide, assets, liabilities, personnel, proceedings, Distribution Company, Network Co, Supply Co
Code Quantity: 9; New codes: 0

Respondent 7: A transfer scheme is needed to divide assets, liabilities, personnel and proceedings of Distribution Company into Network, Supply & Intermediary Companies

Codes: Transfer scheme, divide, assets, liabilities, personnel, proceedings, Distribution Company Network, Supply, Intermediary Company
Code Quantity: 10; New codes: 0

17) Who is responsible to draft the transfer scheme?

Respondent 1: A nominated independent consultant appointed by the State Government shall draft the transfer scheme.

Codes: Nominated independent consultant, appointed, State Government, draft, transfer scheme
Code Quantity: 5; New codes: 5

Respondent 2: A nominated independent consultant appointed by the Secretary of State shall draft the transfer scheme.

Codes: Nominated independent consultant, appointed, State Government, draft, transfer scheme
Code Quantity: 5; New codes: 0

Respondent 3: A nominated independent consultant nominated by the State Government shall draft the transfer scheme.

Codes: Nominated independent consultant, appointed, State Government, draft, transfer scheme
Code Quantity: 5; New codes: 0

Respondent 4: A nominated independent consultant nominated by the State Government shall draft the transfer scheme.

Codes: Nominated independent consultant, appointed, State Government, draft, transfer scheme
Code Quantity: 5; New codes: 0

Respondent 5: A nominated independent consultant by the State Government shall draft the transfer scheme.

Codes: Nominated independent consultant, appointed, State Government, draft, transfer scheme
Code Quantity: 5; New codes: 0

Respondent 6: A nominated independent consultant by the State Government shall draft the transfer scheme.

Codes: Nominated independent consultant, appointed, State Government, draft, transfer scheme
Code Quantity: 5; New codes: 0

Respondent 7: A nominated independent consultant by the State Government shall draft the transfer scheme.

Codes: Nominated independent consultant, appointed, State Government, draft, transfer scheme
Code Quantity: 5; New codes: 0

18) Who approves the draft of transfer scheme?

Respondent 1: Secretary of state shall approve the scheme. Before providing the approval, he can modify the same. Also if scheme is not submitted on time, he may himself make the scheme.

Codes: Secretary of state, approve, scheme, modify, submitted, make the scheme
Code Quantity: 6; New codes: 6

Respondent 2: Secretary of state shall approve the scheme. Before providing the approval, he can modify the same.

Codes: Secretary of state, approve, scheme, modify
Code Quantity: 4; New codes: 4

Respondent 3: Secretary of state shall approve the scheme. Before providing the approval, he can modify the same. He can may the scheme if he does not get the submission within timeline.

Codes: Secretary of state, approve, scheme, modify, submission, timeline
Code Quantity: 6; New codes: 1

Respondent 4: Secretary of state shall approve the scheme. Before providing the approval, he can modify the same.

Codes: Secretary of state, approve, scheme, approval, modify
Code Quantity: 5; New Codes: 0

Respondent 5: Secretary of state shall approve the scheme. Before providing the approval, he can modify the same.

Codes: Secretary of state, approve, scheme, approval, modify
Code Quantity: 5; New Codes: 0

Respondent 6: Secretary of state shall approve the scheme. Before providing the approval, he can modify the same.

Codes: Secretary of state, approve, scheme, modify
Code Quantity: 4; New codes: 0

Respondent 7: Secretary of state shall approve the scheme. Before providing the approval, he can modify the same. He can may the scheme if he does not get the submission within timeline.

Codes: Secretary of state, approve, scheme, modify, submission, timeline
Code Quantity: 6; New codes: 0

19) What will be the mechanism to treat existing losses?

Respondent 1: All the existing recognized regulatory assets which pertains to the DISCOMs presently, may be allocated to Intermediary Company. IC may further amortize them through Universal Charge or from the support of State Government. On the other hand, unrecognized losses may be transferred to existing companies and help from State Government may be sought to clear up the balance sheets.

Codes: Existing recognized regulatory assets, DISCOMs, Intermediary Company, amortize, Universal Charge, State Government, unrecognized losses, transferred, existing companies, clear up, balance sheets
Code Quantity: 11; New Codes: 11

Respondent 2: Existing Regulatory assets or recognized losses of distribution companies may be allocated to Intermediary Company while all the unrecognized losses may be transferred to existing companies

Codes: Existing Regulatory assets, recognized losses, distribution companies, allocated, Intermediary Company, unrecognized losses, transferred, existing companies
Code Quantity: 8; New Codes: 0

Respondent 3: All the existing recognized regulatory assets which pertains to the DISCOMs presently, shall be allocated to Intermediary Company. IC may further amortize them through Universal Charge or from the support of State Government. On the other hand, unrecognized losses may be transferred to existing companies and help from State Government may be sought to clear up the balance sheets.

Codes: Existing recognized regulatory assets, DISCOMs, Intermediary Company, amortize, Universal Charge, State Government, unrecognized losses, transferred, existing companies, clear up, balance sheets
Code Quantity: 12; New Codes: 0

Respondent 4: Recognized losses of Distribution Company may be transferred to Intermediary Company and other losses may be cleared up by the State Government.

Codes: Recognized losses, Distribution Company, transfer, Intermediary Company, losses, cleared up, State Government
Code Quantity: 7; New Codes: 0

Respondent 5: Existing recognized losses which pertains to the DISCOMs presently, may be allocated to Intermediary Company. IC may further amortize them through Universal Charge. On the other hand, unrecognized losses may be transferred to existing companies and help from State Government may be sought to clear up the balance sheets.

Codes: Existing recognized losses, DISCOMs, Intermediary Company, amortize, Universal Charge, unrecognized losses, existing companies, State Government, clear up, balance sheet
Codes: 10; New Codes: 0

Respondent 6: Existing Regulatory assets or recognized losses of distribution companies may be allocated to Intermediary Company while all the unrecognized losses may be transferred to existing companies

Codes: Existing Regulatory assets, recognized losses, distribution companies, allocated, Intermediary Company, unrecognized losses, transferred, existing companies
Code Quantity: 8; New Codes: 0

Respondent 7: Recognized losses of Distribution Company may be transferred to Intermediary Company and other losses may be cleared up by the State Government.

Codes: Recognized losses, Distribution Company, transfer, Intermediary Company, losses, cleared up, State Government
Code Quantity: 7; New Codes: 0

20) How Effective Date of Transfer will be defined?

Respondent 1: The effective date for a transfer scheme shall be - date to which immediately before Distribution Company was managing the role of both Network Company and Supply Company.

Codes: Effective date of transfer scheme, immediately earlier day, Distribution Company, Network Company, Supply Company
Code Quantity: 5; New Codes: 5

Respondent 2: The effective date for a transfer scheme shall be - date to which immediately before distribution company was managing the role of both network company and supply company or/ which is allocated by the transfer scheme/ or is the day on which transfer scheme comes into force/ or such earlier day as the Secretary of State shall direct.

Codes: Effective date of transfer scheme, immediately earlier day, distribution company, network company, supply company, allocation, transfer scheme, transfer scheme, comes into force, Secretary of State, direct/instruct
Code Quantity: 11; New Codes: 6

Respondent 3: The effective date for a transfer scheme shall be - which is allocated by the transfer scheme/ or is the day on which transfer scheme comes into force.

Codes: Effective date of transfer scheme, allocation, transfer scheme, day, transfer scheme, force
Code Quantity: 6; New Codes: 1

Respondent 4: The effective date for a transfer scheme shall be - such earlier day as the Secretary of State shall direct.

Codes: The effective date of transfer scheme, immediately earlier day, Secretary of State, direct/instruct
Code Quantity: 4; New Codes: 0

Respondent 5: The effective date for a transfer scheme shall be - date to which immediately before distribution company was managing the role of both network company and supply company or is the day on which transfer scheme comes into force/ or such earlier day as the Secretary of State shall direct.

Codes: Effective date of transfer scheme, distribution company, network company, supply company, transfer scheme, earlier day, Secretary of State, direct/instruct
Code Quantity: 8; New Codes: 0

Respondent 6: The effective date for a transfer scheme shall be - date to which immediately before Distribution Company was managing the role of both Network Company and Supply Company.

Codes: Effective date of transfer scheme, immediately earlier day, Distribution Company, Network Company, Supply Company
Code Quantity: 5; New Codes: 0

Respondent 7: The effective date for a transfer scheme shall be the day, which is directed by secretary of state for the effectiveness of transfer scheme.

Codes: The effective date of transfer scheme, day, Secretary of State, transfer scheme
Code Quantity: 4; New Codes: 0

21) What will be the treatment of existing claims, if any?

Respondent 1: All claims of the Distribution companies against the State Government and all claims of State Government against the Distribution company; shall stand cancelled and extinguished.

Codes: Claim, Distribution company, State Government, cancelled, extinguished
Code Quantity: 5; New Codes: 5

Respondent 2: All the mutual claims shall be considered as a fully and finally settled while the remaining asset & liabilities of the Distribution Company shall stand transferred & vested in the State Government.

Codes: Mutual claims, settled, asset, liabilities, Distribution Company, transferred, vested, State Government
Code Quantity: 8; New Codes: 7

Respondent 3: All claims of the Distribution companies against the State Government and all claims of State Government against the Distribution company; shall stand cancelled and extinguished. All the mutual claims shall be considered as a fully and finally settled while the remaining asset & liabilities of the Distribution Company shall stand transferred & vested in the State Government

Codes: Claims, Distribution companies, State Government, cancelled, extinguished, mutual claims, settled, asset, liabilities, Distribution Company, transferred, vested, State Government
Code Quantity: 13; New codes: 0

Respondent 4: All the claims of the Distribution companies against the State Government shall stand cancelled and extinguished. Also the mutual claims shall be considered as a fully and finally settled.

Codes: Claims, Distribution company, State Government, cancelled, extinguished, mutual claims, settled
Codes: 7; New codes: 0

Respondent 5: All claims of the Distribution companies against the State Government and all claims of State Government against the Distribution company; shall stand cancelled and extinguished while the remaining asset & liabilities of the Distribution Company shall stand transferred & vested in the State Government.

Codes: Claims, Distribution company, State Government, cancelled, extinguished, remaining assets, liabilities, transferred, vested
Code Quantity: 9; new codes: 0

Respondent 6: All the claims of the Distribution companies against the State Government and all claims of State Government against the Distribution company; shall stand cancelled and extinguished since effective date of transfer.

Codes: Claim, Distribution company, State Government, cancelled, extinguished
Code Quantity: 5; New Codes: 1

Respondent 7: All the mutual claims shall stand cancelled and extinguished.

Codes: Claim, cancelled, extinguished
Code Quantity: 5; New Codes: 0

22) What will be mechanism to do the valuation of assets?

Respondent 1: Valuation of assets for this transfer scheme is being done on the basis of Historical Book Value method.

Codes: Valuation, assets, transfer scheme, Historical Book Value, method
Code Quantity: 5; New codes: 5

Respondent 2: Valuation of assets for this transfer scheme is being done on the basis of Market value of assets – the price at which the utility can sell its assets.

Codes: Valuation, assets, transfer scheme, Market value, selling price, utility
Code Quantity: 6; New codes: 3

Respondent 3: Valuation of assets for this transfer scheme is being done on the basis of Historical Book Value Method, the value at which the assets are carried on the balance sheet.

Codes: Valuation, assets, transfer scheme, Historical Book Value Method, balance sheet
Code Quantity: 5; New codes: 1

Respondent 4: Valuation of assets for this transfer scheme is being done on the basis of Historical Book Value method / b) Market value of assets.

Codes: Valuation, assets, transfer scheme, Historical Book Value method, Market value
Code Quantity: 5; New codes: 0

Respondent 5: Valuation of assets for this transfer scheme is being done on the basis of Historical Book Value method where the present approaches are – a) Historical book value of assets – the value at which the assets are carried on the balance sheet b) Market value of assets – the price at which the utility can sell its assets.

Codes: Valuation, assets, transfer scheme, Historical Book Value method, approaches, balance sheet, Market value, selling price
Code Quantity: 7; New codes: 0

Respondent 6: Valuation of assets for shall be done on the basis of Historical Book Value method.

Codes: Valuation, assets, Historical Book Value, method
Code Quantity: 4; New codes: 1

Respondent 7: Valuation of assets for this transfer scheme is being done on the basis of Historical Book Value method.

Codes: Valuation, assets, transfer scheme, Historical Book Value, method
Code Quantity: 5; New codes: 0

23) What is the need to define undertaking?

Respondent 1: The Assets, Liabilities, Proceedings & Personnel whichever is considered appropriate by the State Government and needs be divided amongst new companies, shall be classified into respective undertakings of the Transfer Scheme.

Codes: Assets, Liabilities, Proceedings, Personnel, State Government, divided, classified, undertakings, Transfer Scheme
Code Quantity: 9; New Codes: 9

Respondent 2: The Assets, Liabilities, Proceedings & Personnel which are part of respective Undertakings and as described in respective schedule, shall stand transfer to & vest in the respective Co on & from the effective date of transfer.

Codes: Assets, Liabilities, Proceedings, Personnel, Undertakings, schedule, transfer, vest, effective date of transfer
Code Quantity: 9; New codes: 5

Respondent 3: The Assets, Liabilities, Proceedings & Personnel which are part of respective Undertakings shall be transferred to & vested in the respective Co on & from the effective date of transfer, without any further notice/act or things to be done by State Government or DISCOM or Network Co or any other person.

Codes: Assets, Liabilities, Proceedings, Personnel, Undertakings, transferred, effective date of transfer, notice, act, State Government, DISCOM, Network Co
Code Quantity: 12; New Codes: 5

Respondent 4: The Assets, Liabilities, Proceedings & Personnel which are part of respective Undertakings and as described in respective schedule, shall stand transfer to & vest in the respective Co on & from the effective date of transfer, without any further notice/act or things to be done by State Government or DISCOM or Network Co or any other person. However, Terms & Conditions of the scheme needs to be followed.

Codes: Assets, Liabilities, Proceedings, Personnel, Undertakings, schedule, transfer, vest, effective date of transfer, notice, act, State Government, DISCOM, Network Co, Terms & Conditions
Code Quantity: 15; New codes: 1

Respondent 5: The Assets, Liabilities, Proceedings & Personnel whichever is needed to be divided by the State Government amongst new unbundled companies, shall be classified into respective undertakings of the Transfer Scheme.

Codes: Assets, Liabilities, Proceedings, Personnel, divided, State Government, unbundled companies, respective undertakings, Transfer Scheme
Code Quantity: 9; New codes: 0

Respondent 6: The Assets, Liabilities, Proceedings & Personnel shall be divided and classified into respective undertakings of the Transfer Scheme.

Codes: Assets, Liabilities, Proceedings, Personnel, divided, classified, undertakings, Transfer Scheme
Code Quantity: 8; New codes: 0

Respondent 7: The Assets, Liabilities, Proceedings & Personnel whichever is needed to be divided by the State Government amongst new unbundled companies, shall be classified into respective undertakings of the Transfer Scheme.

Codes: Assets, Liabilities, Proceedings, Personnel, divided, State Government, unbundled companies, respective undertakings, Transfer Scheme
Code Quantity: 9; New codes: 0

24) What will be the mechanism to manage existing Power Purchase Agreements?

Respondent 1: The existing Power Purchase Agreements of the current Discoms may be transferred to the Intermediary Company. The Intermediary Company may allocate those PPAs among various retail supply companies based on their power requirements. Certain ratio of Power Purchase Agreements may also be shifted into the wholesale market to facilitate the development of capacity market.

Codes: Power Purchase Agreements, Discoms, transfer, Intermediary Company, allocate, retail supply companies, power requirements, wholesale market, development, capacity market
Code Quantity: 10; New Codes: 10

Respondent 2: The existing Power Purchase Agreements of the current Discoms may be transferred to the Intermediary Company. The Intermediary Company may allocate those PPAs among various retail supply companies based on their power requirements.

Codes: Power Purchase Agreements, Discoms, transferred, Intermediary Company, allocate, retail supply companies, power requirement
Code Quantity: 7; New Codes: 0

Respondent 3: The existing Power Purchase Agreements of the current Discoms may be transferred to the Intermediary Company. The Intermediary Company may allocate those PPAs to Incumbent Supply Licensee first to meet its all demand and remaining ratio can be allocated between new retail supply companies based on their power requirements.

Codes: Power Purchase Agreements, Discoms, transferred, Intermediary Company, allocate, Incumbent Supply Licensee, demand, ratio, retail supply company, power requirement
Code Quantity: 10; New Codes: 5

Respondent 4: The existing Power Purchase Agreements of the current Discoms may be transferred to the wholesale market place for the development of capacity market.

Codes: Power Purchase Agreements, Discoms, transfer, wholesale market, development, capacity market
Code Quantity: 6; New Codes: 0

Respondent 5: The existing Power Purchase Agreements of the current Discoms may be transferred to the Intermediary Company. The Intermediary Company may allocate those PPAs among various retail supply companies based on their power requirements. Certain ratio of Power Purchase Agreements may also be shifted into the wholesale market to facilitate the development of capacity market.

Codes: Power Purchase Agreements, Discoms, transfer, Intermediary Company, allocate, retail supply companies, power requirement, ratio, Power Purchase Agreements, wholesale market, facilitate, development, capacity market
Code Quantity: 13; New codes: 0

Respondent 6: The existing Power Purchase Agreements of the current Discoms may be transferred to the wholesale market place for the development of capacity market.

Codes: Power Purchase Agreements, Discoms, transfer, wholesale market, development, capacity market
Code Quantity: 6; New Codes: 0

Respondent 7: The existing Power Purchase Agreements and other procurements arrangements needs to be transferred to newly formed intermediary company.

Codes: Power Purchase Agreements, procurements arrangements, transfer, intermediary company
Code Quantity: 4; New Codes: 0

25) What will be the mechanism to allocate assets and liabilities?

Respondent 1: Allocation of assets and liabilities shall be done through the respective undertakings for the newly formed company; written under transfer scheme.

Codes: Allocation, assets, liabilities, undertakings, transfer scheme
Code Quantity: 5; New codes 5

Respondent 2: Allocation of assets and liabilities shall be based on the Undertakings which are defined for the new companies.

Codes: Allocation, assets, liabilities, Undertakings
Code Quantity: 4; New codes: 0

Respondent 3: All the assets and liabilities to be transferred shall be divided under the undertakings of transfer scheme only.

Codes: Assets, liabilities, transfer, divided, undertakings, transfer scheme
Code Quantity: 6; New codes: 1

Respondent 4: All the assets and liabilities to be transferred to newly formed companies shall be divided under the undertakings of transfer scheme only.

Codes: Assets, liabilities, transfer, divided, undertakings, transfer scheme
Code Quantity: 6; New codes: 0

Respondent 5: Allocation of assets and liabilities shall be based on the Undertakings which are defined for the new companies. All the assets and liabilities to be transferred shall be divided under these undertakings only.

Codes: Assets, liabilities, transfer, divided, undertakings, transfer scheme
Code Quantity: 6; New codes:0

Respondent 6: Allocation of assets and liabilities shall be done through the respective undertakings for the newly formed company; written under transfer scheme.

Codes: Allocation, assets, liabilities, undertakings, transfer scheme
Code Quantity: 5; New codes 0

Respondent 7: Allocation of assets and liabilities shall be based on the Undertakings which are defined for the new companies.

Codes: Allocation, assets, liabilities, Undertakings
Code Quantity: 4; New codes: 0

26) What will be the responsibilities of transferee after Effective Date of Transfer?

Respondent 1: Transferee shall be accountable for all the rights, bonds and agreements as transferred through undertakings for which Distribution Company was initially a party.

Codes: Transferee, accountable, rights, bonds, agreements, transfer, undertakings, Distribution Company, party
Code Quantity: 9; New codes: 9

Respondent 2: Transferee shall be accountable for all the rights, bonds and agreements as transferred through undertakings for which Distribution Company was initially a party, in the same manner as the DISCOM was liable before the effective date of transfer.

Codes: Transferee, accountable, rights, bonds, agreements, undertakings, transfer, Distribution Company, party, liable, effective date of transfer
Code Quantity: 11; New codes:1

Respondent 3: Transferee shall be responsible for all the particulars which are owned by him after Effective date of transfer.

Codes: Transferee, responsible, owned particulars, Effective date of transfer.
Code Quantity: 4; New codes: 2

Respondent 4: Transferee will own the things as defined in the respective undertakings under transfer scheme and shall be equally responsible as DISCOM was before the effective date of transfer.

Codes: Transferee, undertakings, transfer scheme, DISCOM, effective date of transfer, responsible
Code Quantity: 6; New codes: 1

Respondent 5: Transferee shall be accountable for all agreements, bonds, schemes, contracts, deeds, rights and other instruments which pertain to the transferred Undertakings, to which the DISCOM was initially a party, having effect from the effective date of transfer; in same manner as the DISCOM was liable before the effective date of transfer.

Codes: Transferee, accountable, agreements, bonds, schemes, contracts, deeds, rights, instruments, transfer, Undertakings, DISCOM, party, effective date of transfer; effective date of transfer
Code Quantity: 14; New codes: 0

Respondent 6: Transferee shall be accountable for all the rights, bonds and agreements as transferred through undertakings for which Distribution Company was initially a party.

Codes: Transferee, accountable, rights, bonds, agreements, transfer, undertakings, Distribution Company, party
Code Quantity: 9; New codes: 0

Respondent 7: Transferee shall be responsible for all the particulars which are owned by him after Effective date of transfer.

Codes: Transferee, responsible, owned particulars, Effective date of transfer.
Code Quantity: 4; New codes: 0

27) How the transfer of Personnel shall be managed?

Respondent 1: Personnel should also be divided as per the respective undertaking of Transfer Scheme.

Codes: Personnel, divided, undertaking, Transfer Scheme
Code Quantity: 4; New codes: 4

Respondent 2: Personnel should also be divided as per the respective undertaking of Transfer Scheme. However, the transfer shall be provisional for few months, as described by the transfer scheme.

Codes: Personnel, divided, undertaking, Transfer Scheme, provisional, months
Code Quantity: 6; New codes: 2

Respondent 3: Personnel should also be divided as per the respective undertaking of Transfer Scheme. However, the transfer shall be provisional for few months, as described by the transfer scheme.

Codes: Personnel, divided, undertaking, Transfer Scheme, provisional, months
Code Quantity: 6; New codes: 0

Respondent 4: Personnel should also be divided under the respective undertaking of Transfer Scheme.

Codes: Personnel, divided, undertaking, Transfer Scheme
Code Quantity: 4; New codes: 0

Respondent 5: Personnel should also be divided under the respective undertaking of Transfer Scheme. However, the transfer shall be provisional for few months, as described by the transfer scheme.

Codes: Personnel, divided, undertaking, Transfer Scheme, provisional, months
Code Quantity: 5; New codes: 0

Respondent 6: Personnel shall be divided as per the respective undertaking of Transfer Scheme.

Codes: Personnel, divided, undertaking, Transfer Scheme
Code Quantity: 4; New codes: 0

Respondent 7: Undertaking of Transfer Scheme will be used to divided the personnel.

Codes: Personnel, divided, undertaking, Transfer Scheme
Code Quantity: 4; New codes: 0

28) What should be the provisional period in transfer?

Respondent 1: Provisional period cannot be assumed. It may variate by State by State.

Codes: Provisional period, variate, State
Code Quantity: 3; New codes: 3

Respondent 2: For the assets and liabilities – the provisional period is 1 month while for the case of Personnel – it may be near about 6 months.

Codes: Assets, liabilities, provisional period, 1 month, Personnel, 6 months
Code Quantity: 6; New codes: 6

Respondent 3: For the assets and liabilities – the provisional period is 3 months while for the case of Personnel – it may be near about 8 months.

Codes: Assets, liabilities, provisional period, 3 months, Personnel, 8 months
Code Quantity: 6; New codes: 2

Respondent 4: For the assets and liabilities – the provisional period is 1 month while for the case of Personnel – it may be near about 6 months.

Code Quantity: Assets, liabilities, provisional period, 1 month, Personnel, 6 months
Code Quantity: 6; New codes: 0

Respondent 5: For the assets and liabilities – the provisional period is 1 months while for the case of Personnel – it may be near about 6 months.

Codes: Assets, liabilities, provisional period, 1 month, Personnel, 6 months
Code Quantity: 6; New codes: 0

Respondent 6: For the assets and liabilities – the provisional period should be 1 month while for the case of Personnel, it should be near about 6 months.

Codes: Assets, liabilities, provisional period, 1 month, Personnel, 6 months
Code Quantity: 6; New codes: 0

Respondent 7: For the assets and liabilities – the provisional period is 3 months while for the case of Personnel – it may be near about 8 months.

Codes: Assets, liabilities, provisional period, 3 months, Personnel, 8 months
Code Quantity: 6; New codes: 0

29) What will be the mechanism for bifurcated parties to apply for license?

Respondent 1: Within 60 days of the effective date of transfer scheme, Distribution and Supply Businesses should apply for license to undertake the respective activity.

Codes: 60 days, effective date of transfer scheme, Distribution, Supply, Business, apply, license
Code Quantity: 7; New codes: 7

Respondent 2: Network and Supply Company, both should apply in Appropriate Commission for the license within 60 days of effective date of transfer.

Codes: Network Co, Supply Company, Appropriate Commission, license, 60 days, effective date of transfer
Code Quantity: 6; New codes: 3

Respondent 3: Network Co & Supply Com shall apply for the grant of license in the commission within 60 days of effective date of transfer to undertake the distribution and supply business in the respective area.

Codes: Network Co, Supply Co, Grant of license, commission, 60 days, effective date of transfer, distribution, supply, business
Code Quantity: 9; New codes: 1

Respondent 4: Under the Section 14 of Electricity Act 2003, Parties shall apply for the grant of license in the commission within 60 days of effective date of transfer to undertake the distribution and supply business in the respective area.

Codes: Section 14, Electricity Act 2003, Parties, apply, grant of license, commission, 60 days, effective date of transfer, distribution, supply business
Code Quantity: 10; New codes: 4

Respondent 5: Parties shall apply for the grant of license in the commission within 60 days of effective date of transfer to undertake the distribution and supply business in the respective area under Section 14 of the Electricity Act.

Codes: Parties, apply, grant of license, commission, 60 days, effective date of transfer, distribution, supply business, Section 14, Electricity Act 2003
Code Quantity: 10; New codes: 0

Respondent 6: Within 60 days of the effective date of transfer scheme, Distribution and Supply Businesses should apply for license to undertake the respective activity.

Codes: 60 days, effective date of transfer scheme, Distribution, Supply, Business, apply, license
Code Quantity: 7; New codes: 0

Respondent 7: Network and Supply Company, both should apply in Appropriate Commission for the license within 60 days of effective date of transfer.

Codes: Network Co, Supply Company, Appropriate Commission, license, 60 days, effective date of transfer
Code Quantity: 6; New codes: 0

30) How the future losses will be managed?

Respondent 1: Network Company should bear the technical losses while the supply company should bear the commercial losses.

Codes: Network Company, technical losses, supply company, commercial losses
Code Quantity: 4; New codes: 4

Respondent 2: Technical losses should be related with Network Company while the Commercial losses should be related with Supply Company.

Codes: Technical losses, Network Company, Commercial losses, Supply Company
Code Quantity: 4; New codes: 0

Respondent 3: Technical losses are related to physical network – they shall be allocated to the distribution company while commercial losses shall be allocated to Retail Company.

Codes: Technical losses, physical network, allocation, distribution company, commercial losses, Retail Company.
Code Quantity: New codes: 2

Respondent 4: All the technical & hooking losses are related to physical network – they shall be allocated to the distribution company while commercial losses shall be allocated to retail company.

Codes: Technical, hooking losses, physical network, allocate, distribution company, commercial losses, retail company
Code Quantity; New codes: 1

Respondent 5: Network Company should bear the technical losses while the supply company should bear the commercial losses.

Codes: Network Company, technical losses, supply company, commercial losses
Code Quantity: 4; New codes: 0

Respondent 6: Technical losses are related to physical network – they shall be allocated to the distribution company while commercial losses shall be allocated to Retail Company.

Codes: Technical losses, physical network, allocation, distribution company, commercial losses, Retail Company.
Code Quantity: 6; New codes: 0

Respondent 7: Network Company may bear the technical losses while the supply company may bear the commercial losses.

Codes: Network Company, technical losses, supply company, commercial losses
Code Quantity: 4; New codes: 0

31) Who will remove any difficulty in regard to transfer scheme, if arises?

Respondent 1: Government of State may publish the provisions which are necessary to remove the difficulties under the transfer scheme.

Codes: Government of State, publish, provisions, remove, difficulties, transfer scheme
Code Quantity: 6; New codes: 6

Respondent 2: Governor may publish the guidelines to remove the difficulties of transfer scheme.

Codes: Governor, publish, guidelines, remove, difficulties, transfer scheme
Code Quantity: 6; New codes: 0

Respondent 3: The Government by order may also publish such provisions which are consistent with the provision of act and are necessary to remove the difficulties coming in the implementation of transfer scheme.

Codes: Government, order, publish, provisions, consistent, act, remove, difficulties, implementation, transfer scheme
Code Quantity: 10; New codes: 4

Respondent 4: Government of State or Secretary of State may publish the provisions which are necessary to remove the difficulties under the transfer scheme.

Codes: Government of State, Secretary of State, publish, provisions, remove, difficulties, transfer scheme
Code Quantity: 7; New codes: 0

Respondent 5: The Government by order may also publish such provisions which are consistent with the provision of act and are necessary to remove the difficulties coming in the implementation of transfer scheme.

Codes: Government, order, publish, provisions, consistent, act, remove, difficulties, implementation, transfer scheme;
Code Quantity: New codes: 0

Respondent 6: Government of State may publish the provisions which are necessary to remove the difficulties under the transfer scheme.

Codes: Government of State, publish, provisions, remove, difficulties, transfer scheme
Code Quantity: 6; New codes: 0

Respondent 7: Governor may publish the guidelines to remove the difficulties of transfer scheme.

Codes: Governor, publish, guidelines, remove, difficulties, transfer scheme
Code Quantity: 6; New codes: 0

32) What needs to be done to open up the market for all consumers?

Respondent 1: Phase wise introduction of open access should be there to open up the market for all consumers. Market should be open up as per below steps:

- Step 1: Connected Load \geq 1MW
- Step 2: Connected Load \geq 100 kW
- Step 3: Connected Load \leq 100 kW

Codes: Phase, Open access, market, consumers, connected load, 1 MW, 100 kW
Code Quantity: 7; New codes: 4

Respondent 2: Phase wise introduction of open access should be there to open up the market for all consumers. Market should be open up as per below steps:

- Step 1: Connected Load \geq 1MW
- Step 2: Connected Load \geq 100 kW
- Step 3: Connected Load \leq 100 kW

Codes: Phase, Open access, market, consumers, connected load, 1 MW, 100 kW
Code Quantity: 7; New Codes: 0

Respondent 3: Phase wise introduction of open access should be there to open up the market for all consumers. Market should be open up as per below steps :

- Step 1: Connected Load \geq 1MW
- Step 2: Connected Load \geq 100 kW
- Step 3: Connected Load \leq 100 kW

Codes: Phase, Open access, market, consumers, connected load, 1 MW, 100 kW
Code Quantity: 7; New codes: 0

Respondent 4: Phase wise introduction of open access should be there to open up the market for all consumers. Market should be open up as per below steps:

- Step 1: Connected Load \geq 1MW
- Step 2: Connected Load \geq 100 kW
- Step 3: Connected Load \leq 100 kW

Codes: Phase, Open access, market, consumers, connected load, 1 MW, 100 kW
Code Quantity: 7; New codes: 0

Respondent 5: Phase wise introduction of open access should be there to open up the market for all consumers. Market should be open up as per below steps:

- Step 1: Connected Load \geq 1MW
- Step 2: Connected Load \geq 100 kW
- Step 3: Connected Load \leq 100 kW

Codes: Phase, Open access, market, consumers, connected load, 1 MW, 100 kW
Code Quantity: 7; New codes: 0

Respondent 6: Phase wise introduction of open access should be there to open up the market for all consumers. Market should be open up as per below steps:

- Step 1: Connected Load \geq 1MW
- Step 2: Connected Load \geq 100 kW
- Step 3: Connected Load \leq 100 kW

Codes: Phase, Open access, market, consumers, connected load, 1 MW, 100 kW
Code Quantity: 7; New codes: 0

Respondent 7: Phase wise introduction of open access should be there to open up the market for all consumers. Market should be open up as per below steps:

- Step 1: Connected Load \geq 1MW
- Step 2: Connected Load \geq 100 kW
- Step 3: Connected Load \leq 100 kW

Codes: Phase, Open access, market, consumers, connected load, 1 MW, 100 kW
Code Quantity: 7; New codes: 0

33) How opening up the market give the choice of supplier to consumer?

Respondent 1: New Retail Supply Licenses would be given in this stage in order to give retail consumer choice. Consumers can switch the supplier available in his area to supply.

Codes: Retail Supply Licenses, stage, retail consumer choice, consumers, switch, supplier, supply area
Code Quantity: 7; New codes: 7

Respondent 2: Open access facility to all class of consumers would be given. From the open access facility – all consumers can choose the source of power.

Codes: Open access, consumer classes, consumers, power source
Code Quantity: 4; New codes: 3

Respondent 3: In an area, there will be multiple suppliers – consumers may choose their own supplier. If consumer is not satisfied with the current supplier, then he may switch the supplier.

Codes: Area, suppliers, consumers, choose, satisfy, switch
Code Quantity: 6; New codes: 4

Respondent 4: New Retail Supply Licenses would be given in this stage in order to give retail consumer choice. The market would be opened up for competition in phases. Consumers can switch the supplier available in his area to supply.

Code Quantity: Retail Supply Licenses, stage, retail consumer choice, the market, opened up, competition, phases, consumers, supplier, switch, supply area.
Code Quantity: 11; New Codes: 4

Respondent 5: Open access as well as the presence of more than one supplier in an area shall give choice to consumer.

Codes: Open access, supplier, area, choice, consumer.
Code Quantity: 4; New codes: 0

Respondent 6: Open access facility to all class of consumers would be given. So that consumers can choose the source of power as per their choice.

Codes: Open access, facility, consumers, source of power, choice
Code Quantity: 5; New codes: 1

Respondent 7: New Retail Supply Licenses would be given in this stage in order to give retail consumer choice. Consumers can switch the supplier available in his area to supply.

Codes: Retail Supply Licenses, stage, retail consumer choice, consumers, switch, supplier, supply area
Code Quantity: 7; New codes: 0

34) There are some issues in Open Access. How these issues will be managed?

Respondent 1: Unavailability of 24x7 power supply, Lack of infrastructure, Inappropriate estimation of Losses, no incentive for generator, Lack of consumer awareness, cross subsidy issues, Unavailability of technical support from DISCOMs, Absenteeism of Emergency support from discoms are the major issues.

Codes: Unavailability, 24x7 power supply, infrastructure, loss estimation, incentive, generator, consumer awareness, cross subsidy, technical support, DISCOMs, Emergency support
Code Quantity: 11; New Codes: 11

Respondent 2: Open access challenges are - Transmission congestion, High T&D losses, High initial cost, high cross subsidy charges, and high cost of standby or emergency power from Distribution Company. These issues can only be managed by creation of capacity market.

Codes: Open access, transmission congestion, T&D losses, initial cost, cross subsidy, cost, standby, emergency power, distribution company, manage, capacity market
Code Quantity: 11; New codes: 9

Respondent 3: After the separation of carriage and content, incentives for network companies are not proposed which will facilitate the open access. As of now, other challenges are - Transmission congestion, High T&D losses, High initial cost, high cross subsidy charges, and high cost of standby or emergency power from Distribution Company. These issues can only be managed by creation of capacity market.

Codes: Separation, carriage, content, incentives, network companies, open access, challenges, transmission congestion, T&D losses, initial cost, cross subsidy charges, emergency power, distribution company, capacity market
Code Quantity: 14; New Codes: 7

Respondent 4: Unavailability of 24x7 power supply, Lack of infrastructure, Inappropriate estimation of Losses, No incentive for generator, Lack of consumer awareness, cross subsidy issues, Unavailability of technical support from DISCOMs, Absenteeism of Emergency support from discoms are the major issues. Even after the separation of carriage and content, incentives for network companies are not proposed which will facilitate the open access.

Codes: Unavailability, 24x7 power supply, infrastructure, loss estimation, incentive, generator, consumer awareness, cross subsidy, technical support, DISCOMs, Emergency support, separation, carriage, content, network companies, open access
Code Quantity: 16; New codes: 0

Respondent 5: Unavailability of 24x7 power supply, Lack of infrastructure, Inappropriate estimation of Losses, no incentive for generator, Lack of consumer awareness, cross subsidy issues, Unavailability of technical support from DISCOMs, Absenteeism of Emergency support from discoms are the major issues. Even after the separation of carriage and content, incentives for network companies are not proposed which will facilitate the open access. As of now, other challenges are - Transmission congestion, High T&D losses, High initial cost, high cross subsidy charges, and high cost of standby or emergency power from Distribution Company. These issues can only be managed by creation of capacity market.

Codes: Unavailability, 24x7 power supply, infrastructure, loss estimation, incentive, generator, consumer awareness, cross subsidy, technical support, DISCOMs, Emergency support, separation, carriage, content, network companies, open access, transmission congestion, T&D losses, initial cost, cross subsidy charges, emergency power cost, creation, capacity market
Code Quantity: 23; New codes: 0

Respondent 6: Unavailability of 24x7 power supply, Lack of infrastructure, Inappropriate estimation of Losses, no incentive for generator, Lack of consumer awareness, cross subsidy issues, Unavailability of technical support from DISCOMs, Absenteeism of Emergency support from discoms are the major issues.

Codes: Unavailability, 24x7 power supply, infrastructure, loss estimation, incentive, generator, consumer awareness, cross subsidy, technical support, DISCOMs, Emergency support
Code Quantity: 11; New Codes: 0

Respondent 7: Open access challenges are - Transmission congestion, High T&D losses, High initial cost, high cross subsidy charges, and high cost of standby or emergency power from Distribution Company. These issues can only be managed by creation of capacity market.

Codes: Open access, transmission congestion, T&D losses, initial cost, cross subsidy, cost, standby, emergency power, distribution company, manage, capacity market
Code Quantity: 11; New codes: 0

35) What should be the mechanism for Supplier switch?

Respondent 1: A consumer may be allowed to switch the supplier if he fulfils the following mandates: Recovery of past revenue gaps/ recovery of dues/regulatory assets and such other standard costs. Consumer category the time of switching/security deposits/frequency of switching also needs attention.

Codes: Consumer, switch, supplier, fulfils, recovery, revenue gaps, recovery, dues, regulatory assets, standard costs, consumer category, switching, security deposits, frequency, switching frequency.
Code Quantity: 15; new codes: 15

Respondent 2: A consumer can switch the supplier through the recovery of past dues from previous supplier. Transfer of security deposits & fulfilling of switching frequency also needs attention

Codes: Consumer, switch, supplier, recovery, past dues, previous supplier, transfer, security deposits, fulfilling, switching frequency
Code Quantity: 10; new codes: 4

Respondent 3: The mechanism for supplier switch may be based on the consumer category. Separate switching frequencies defined as per the respective class of consumer should be fulfilled.

Codes: Mechanism, supplier switch, consumer category, switching frequency, consumer class
Code Quantity: 5; New codes: 1

Respondent 4: A consumer may be allowed to switch the supplier if he fulfils the following mandates: Recovery of past revenue gaps/ recovery of dues/regulatory assets and such other standard costs.

Codes: Consumer, supplier switch, mandates, recovery, revenue gaps, recovery of dues, regulatory assets, standard costs
Code Quantity: 8; New codes: 0

Respondent 5: A consumer may be allowed to switch the supplier if he fulfils the following mandates: Recovery of past revenue gaps/ recovery of dues/regulatory assets and such other standard costs. Defining the consumer category, the time of switching/security deposits/frequency of switching needs attention.

Codes: Consumer, switch, supplier, fulfils, recovery, revenue gaps, recovery, dues, regulatory assets, standard costs, consumer category, switching, security deposits, frequency, switching
Code Quantity: 15; New codes: 0

Respondent 6: A consumer can switch the supplier through the recovery of past dues from previous supplier.

Codes: Consumer, switch, supplier, recovery, past dues, previous supplier
Code Quantity: 6; new codes: 0

Respondent 7: The mechanism for supplier switch may be based on the consumer category. Separate switching frequencies defined as per the respective class of consumer should be fulfilled.

Codes: Mechanism, supplier switch, consumer category, switching frequency, consumer class
Code Quantity: 5; New codes: 0

36) What should be Frequency and regulation to switch the supplier?

Respondent 1: Frequency to switch the supplier should be fixed as high switching rates may lead to difficulties for retail supply companies in managing their demand forecasting and power procurement. The consumer could be allowed to switch the supplier on certain dates/anytime during the year/or after the lock in time with present supplier.

Codes: Frequency, switch, supplier, fixed, switching rates, difficulties, retail supply companies, demand forecasting, power procurement, consumer, certain dates, lock in time
Code Quantity: 12; New codes: 12

Respondent 2: The consumer may be allowed to switch the supplier on certain dates/anytime during the year.

Codes: Consumer, switch, supplier, certain dates, any date.
Code Quantity: 5; New codes: 0

Respondent 3: The consumer could be allowed to switch the supplier after the lock in time with present supplier.

Codes: Consumer, switch, supplier, certain dates, lock in time
Code Quantity: 4; New codes: 0

Respondent 4: The consumer could be allowed to switch the supplier of certain dates/anytime during the year/or after the lock in time with present supplier

Codes: Consumer, switch, supplier, certain dates, any date, lock in time
Code Quantity: 6; ; New codes: 0

Respondent 5: Frequency to switch the supplier should be fixed as high switching rates may lead to difficulties for retail supply companies in managing their demand forecasting and power procurement. The consumer could be allowed to switch the supplier of certain dates/anytime during the year/or after the lock in time with present supplier.

Codes: Frequency, switch, supplier, switching rates, difficulty, retail supply, demand forecasting, power procurement, consumer, switch, certain dates, any date, lock in time
Code Quantity: 13; New codes: 0

Respondent 6: The consumer may be allowed to switch the supplier on certain dates/anytime during the year.

Codes: Consumer, switch, supplier, certain dates, any date.
Code Quantity: 5; New codes: 0

Respondent 7: The consumer could be allowed to switch the supplier after the lock in time with present supplier.

Codes: Consumer, switch, supplier, certain dates, lock in time
Code Quantity: 4; New codes: 0

37) How the preparation of consumer database or KYC can help the utilities?

Respondent 1: A central database of consumers under KYC may be created. Network Company can be given this task to create KYC. This database will be useful for the retail supply licensee as they will get the information about consumer mix for the respective area where they want to operate.

Codes: central database, consumers, KYC, network company, retail supply licensee, consumer mix, operate, information
Code Quantity: 8; New codes: 8

Respondent 2: A central database of consumers under KYC may be created Network Company can be given this task to create KYC. This database will be useful for the retail supply licensee as they will get the information about consumer mix for the respective area where they want to operate. On the other hand, Subsidies can be transferred directly to the account of consumer.

Codes: central database, consumers, KYC, network company, retail supply licensee, consumer mix, operate, subsidies, direct transfer, consumer account
Code Quantity: 10; New codes: 3

Respondent 3: A central database of consumers under KYC may be created going forward which should have the billing address, usage pattern, meter number, bank account details etc. Network Company can be given this task to create KYC. Through KYC, Subsidies can be transferred directly to the account of consumer.

Codes: central database, consumers, KYC, billing address, usage pattern, meter number, bank account, network company, subsidies, direct transfer, consumer account
Code Quantity: 11; New codes: 3

Respondent 4: A central database of consumers under KYC may be created. This database will be useful for the retail supply licensee as they will get the information about consumer mix for the respective area where they want to operate. On the other hand, Subsidies can be transferred directly to the account of consumer.

Codes: central database, consumers, KYC, retail supply licensee, information, consumer mix, area, operate, subsidies, transfer, directly, consumer account
Code Quantity: 12; New codes: 0

Respondent 5: A central database of consumers under KYC may be created going forward which should have the billing address, usage pattern, meter number, bank account details etc. Network Company can be given this task to create KYC. This database will be useful for the retail supply licensee as they will get the information about consumer mix for the respective area where they want to operate. On the other hand, Subsidies can be transferred directly to the account of consumer.

Codes: central database, consumers, KYC, billing address, usage pattern, meter number, bank account, Network Company, retail supply licensee, information, consumer mix, respective area Operating area, subsidies, transfer, consumer account
Code Quantity: 15; New codes: 0

Respondent 6: Through the creation of KYC, Subsidies can be transferred directly to the account of consumer.

Codes: KYC, Subsidies, transferred, account of consumer
Code Quantity: 4; New codes: 0

Respondent 7: KYC is central consumer database. After preparing this, subsidies can be transferred directly to the account of consumer.

Codes: KYC, subsidies, transferred, account of consumer
Code Quantity: 4; New codes: 0

38) How Cross Subsidies will be managed?

Respondent 1: Cross subsidies can be managed through Year on Year tariff hikes or Universal Charge (UC) fund.

Codes: Cross subsidies, tariff hikes, Universal Charge (UC) fund
Code Quantity: 3; New codes: 3

Respondent 2: Cross subsidies can be managed through Year on Year tariff hikes or through limiting subsidies to wheeling charges or from Direct Subsidy from State Government.

Codes: Respondent 2: Cross subsidies, tariff hikes, subsidies, wheeling charges, Direct Subsidy, State Government
Code Quantity: 6; New codes: 4

Respondent 3: Cross subsidies can be managed through Direct Subsidy from State Government.

Codes: Respondent 3: Cross subsidies, Direct Subsidy, State Government
Code Quantity: 3; New codes: 0

Respondent 4: Cross subsidies can be managed through Year on Year tariff hikes/ Universal Charge (UC) fund/Limiting subsidies to wheeling charges or from Direct Subsidy from State Government

Codes: Cross subsidies, tariff hikes, Universal Charge (UC) fund, subsidies, wheeling charges, Direct Subsidy, State Government
Code Quantity: 7; New codes: 0

Respondent 5: Cross subsidies can be managed through Year on Year tariff hikes/ Universal Charge (UC) fund/Limiting subsidies to wheeling charges or from Direct Subsidy from State Government

Codes: Cross subsidies, tariff hikes, Universal Charge (UC) fund, subsidies, wheeling charges, Direct Subsidy, State Government
Code Quantity: 7; New codes: 0

Respondent 6: Cross subsidies can be managed through Year on Year tariff hikes or Universal Charge (UC) fund.

Codes: Cross subsidies, tariff hikes, Universal Charge (UC) fund
Code Quantity: 3; New codes: 0

Respondent 7: Cross subsidies can be managed through Direct Subsidy from State Government.

Codes: Cross subsidies, Direct Subsidy, State Government
Code Quantity: 3; New codes: 0

39) What should be the regulations for tariff?

Respondent 1: For Distribution Company – tariff shall be regulated. While for Supply Company – Tariff can be determined by market but it should have capping.

Codes: Distribution company, tariff, regulated, supply company, market determined, capping.
Code Quantity: 6; New codes: 3

Respondent 2: For Distribution Company – tariff shall be regulated while for Supply Company Tariff may be unregulated.

Codes: Distribution Company, tariff, regulated, supply company, unregulated
Code Quantity: 5; New codes: 1

Respondent 3: For Distribution Company – tariff shall be regulated. While for Supply Company – Tariff will be ceiling for contestable consumer and will be regulated for the non-contestable consumer.

Codes: Distribution Company, tariff, regulated, Supply Company, ceiling, contestable consumer, non-contestable consumer
Code Quantity: 7; New codes: 3

Respondent 4: For Distribution Company tariff can be regulated one while for Supply Company should be as per the competitive price.

Codes: Distribution Company, regulated, Supply Company, competitive price
Code Quantity: 4; New codes: 1

Respondent 5: For Distribution Company – tariff shall be regulated. While for Supply Company – Tariff will be ceiling for contestable consumer and will be regulated for the non-contestable consumer.

Codes: Distribution Company, regulated, Supply Company, tariff, ceiling, contestable consumer, regulated, non-contestable consumer
Code Quantity: 8; New codes: 0

Respondent 6: For Distribution Company – tariff shall be regulated. While for Supply Company – Tariff shall be determined by market place.

Codes: Distribution company, tariff, regulated, supply company, market determined

Code Quantity: 5; New codes: 0

Respondent 7: For Distribution Company – tariff shall be regulated while for Supply Company Tariff shall be unregulated.

Codes: Distribution Company, tariff, regulated, supply company, unregulated
Code Quantity: 5; New codes: 0

40) **What should be the mechanism to determine tariff?**

Respondent 1: Tariff for Network Company should include Network Capital Expenditure, Operation and Maintenance Expenditure as well as Technical Losses, Tariff for Retail Supply Business should include the Power Purchase cost, Operation and Maintenance Expenditure & Commercial Losses

Codes: Network Company Expenditure, Operation & Maintenance Expenditure, Technical Losses, Tariff, Retail Supply, Business, Power Purchase cost, Operation & Maintenance Expenditure, Commercial Losses
Code Quantity: 9; New codes: 9

Respondent 2: Tariff for Network Company can be equivalent to the sum of Network Capital Expenditure, Operation and Maintenance Expenditure, Technical Losses. Tariff for Retail Supply Business can be equivalent to the sum of Capital assets, Power Purchase cost, Operation and Maintenance Expenditure+ Losses. Tariff for Intermediary Company can be equivalent to the sum of Costs incurred towards PPAs, Operational Expenditure.

Codes: Tariff, Network Company, Network Capital Expenditure, Operation and Maintenance Expenditure, Technical Losses, Tariff, Retail Supply Business, Capital assets, Power Purchase cost, Operation and Maintenance Expenditure, Losses, Tariff, Intermediary Company, costs, PPAs, Operational Expenditure
Code Quantity: 16; New codes: 4

Respondent 3: Tariff for Network Company = Network Capital Expenditure + Operation and Maintenance Expenditure+ Technical Losses, Tariff for Retail Supply Business = Capital assets +Power Purchase cost + Operation and Maintenance Expenditure+ Losses, Tariff for Intermediary Company = Costs incurred towards PPAs + Operational Expenditure

Codes: Tariff, Network Company, Network Capital Expenditure, Operation and Maintenance Expenditure, Technical Losses, Retail Supply Business, Capital assets, Power Purchase cost, Operation and Maintenance Expenditure, Losses, Intermediary Company, Operational Expenditure
Code Quantity: 12; New codes: 0

Respondent 4: Tariff for Network Company = Network Capital Expenditure + Operation and Maintenance Expenditure+ Technical Losses, Tariff for Retail Supply Business = Power Purchase cost + Operation and Maintenance Expenditure+ Losses

Codes: Tariff, Network Company, Network Capital Expenditure, Operation and Maintenance Expenditure, Technical Losses, Retail Supply Business, Power Purchase cost, Operation and Maintenance Expenditure, Losses
Code Quantity: 9; New codes: 0

Respondent 5: Tariff for Network Company = Network Capital Expenditure + Operation and Maintenance Expenditure+ Technical Losses, Tariff for Retail Supply Business = Capital assets +Power Purchase cost + Operation and Maintenance Expenditure+ Losses, Tariff for Intermediary Company = Costs incurred towards PPAs + Operational Expenditure

Codes: Tariff, Network Company, Network Capital Expenditure, Operation and Maintenance Expenditure, Technical Losses, Retail Supply Business, Capital assets, Power Purchase cost, Operation and Maintenance Expenditure, Losses, Intermediary Company, Operational Expenditure
Code Quantity: 12; New codes: 0

Respondent 6: Tariff for Network Company should include Network Capital Expenditure, Operation and Maintenance Expenditure as well as Technical Losses, Tariff for Retail Supply Business should include the Power Purchase cost, Operation and Maintenance Expenditure & Commercial Losses

Codes: Network Company Expenditure, Operation & Maintenance Expenditure, Technical Losses, Tariff, Retail Supply, Business, Power Purchase cost, Operation & Maintenance Expenditure, Commercial Losses
Code Quantity: 9; New codes: 0

Respondent 7: Tariff for Network Company can be equivalent to the sum of Network Capital Expenditure, Operation and Maintenance Expenditure, Technical Losses. Tariff for Retail Supply Business can be equivalent to the sum of Capital assets, Power Purchase cost, Operation and Maintenance Expenditure+ Losses. Tariff for Intermediary Company can be equivalent to the sum of Costs incurred towards PPAs, Operational Expenditure.

Codes: Tariff, Network Company, Network Capital Expenditure, Operation and Maintenance Expenditure, Technical Losses, Tariff, Retail Supply Business, Capital assets, Power Purchase cost, Operation and Maintenance Expenditure, Losses, Tariff, Intermediary Company, costs, PPAs, Operational Expenditure
Code Quantity: 16; New codes: 0

41) Should there be any regulation on price restraint? Who will be responsible to make them?

Respondent 1: Yes, if you are talking about Price control mechanism, Appropriate Regulatory Commission may be responsible to make the same.

Codes: Price control mechanism, Appropriate Regulatory Commission, responsible
Code Quantity: 3; New codes: 3

Respondent 2: Yes, capping on prices and related regulations should be there. The same may be laid down by State Commission.

Codes: Price capping, regulations, State Commission
Code Quantity : 3; New codes: 3

Respondent 3: Price control mechanism is necessary to be there in retail scenario. State Commission can lay down the same.

Codes: Price control mechanism, retail scenario, State Commission
Code Quantity: 3; New codes: 1

Respondent 4: Yes, price restraint mechanism should be there. The same may be drafted by CERC or SERC.

Codes: Price restraint mechanism, Draft, CERC, SERC
Code Quantity: 4; New codes: 3

Respondent 5: Yes, there should be a price control mechanism; Central or State Electricity Regulatory Commission should be responsible to make the same.

Codes: Price control mechanism; Central Electricity Regulatory Commission, State Electricity Regulatory Commission, responsible
Code Quantity: 4; ; New codes: 0

Respondent 6: Yes, State Electricity Regulatory Commission should be responsible to make the same.

Codes: Price control mechanism, Appropriate Regulatory Commission, responsible
Code Quantity: 3; New codes: 0

Respondent 7: Capping on prices and related regulations needs to be there. The same may be laid down by State Commission in coordination with Central Commission.

Codes: Price Regulations, State Commission, Central Commission
Code Quantity : 3; New codes: 0

42) What particulars can be defined in price restraint?

Respondent 1: Price restraint regulations may define the regulations about the amount of increment in a price or frequency of revision or increment.

Codes: Price restraint regulations, regulations, increment, price, frequency, revision
Code Quantity: 6; New codes: 6

Respondent 2: Amount of a component of charge, the increment ratio of that component and other related regulations may be defined by the Price Restraint Regulations.

Codes: Amount of a component of charge, the increment ratio, regulations, Price Restraint Regulations
Code Quantity: 4; New codes: 3

Respondent 3: Price restraint defines the control in relation to the charges of line function services to rural and domestic consumers – The amount of charge/ Amount of a component of charge/ Limit of the proportion of the component in the charge/ frequency of the increment of a charge component/ control in the increment of the amount an increase in charge/ charge component.

Codes: Price restraint, control, charges, line function services, rural consumers, domestic consumers, amount of charge, Amount of a component of charge, limit of the proportion, component in the charge, frequency of the increment, charge component, control in the increment of amount, an increase in charge, charge component.
Code Quantity: 15; New codes: 11

Respondent 4: Price restraint defines the control in relation to the charges of line function services to rural and domestic consumers.

Codes: Price restraint, control in relation to the charges, line function services, rural consumers, domestic consumers
Code Quantity: 5; New codes: 0

Respondent 5: Price restraint defines the control in relation to the charges of line function services to rural and domestic consumers – amount of charge, amount of a component of charge or control in the increment of the amount an increase in charge/charge component.

Codes: Price restraint, control of charges, line function service, rural and domestic consumers, amount of charge, amount of a component of charge, control in the increment, increase in charge, charge component
Code Quantity: 9; New codes: 0

Respondent 6: Price restraint regulations should define the regulations about the amount of increment in the price or frequency of revision or increment.

Codes: Price restraint regulations, regulations, increment, price, frequency, revision
Code Quantity: 6; New codes: 0

Respondent 7: Price restraint defines the control in relation to the charges of line function services to rural and domestic consumers.

Codes: Price restraint, control in relation to the charges, line function services, rural consumers, domestic consumers
Code Quantity: 5; New codes: 0

43) Who will have universal service obligation to connect or/disconnect the premise?

Respondent 1: Responsibility to connect and disconnect the premise should be there with Network Company while responsibility to provide or interrupt supply should be with Supply Company.

Codes: Responsibility, connect, disconnect, premise, Network Company, interrupt supply, Supply Company
Code Quantity: 7; New Codes: 7

Respondent 2: Duty of Connect should be there with Distribution Company while Supply obligations should be there with Supply Company.

Codes: Duty, Connect, Distribution Company, Supply obligations, Supply Company
Code Quantity: 5; New codes: 3

Respondent 3: Duty to Connect & Disconnect from the network should be given to Distribution Company while the Duty to Supply can be given to the incumbent Retail Supply Company.

Codes: Duty, Connect, Disconnect, network, Distribution Company, Supply, incumbent Retail Supply Company
Code Quantity: 7; New codes: 1

Respondent 4: 'The 'Duty to Connect' – the responsibility to connect a consumer to the network would be given to Distribution Company. 'The 'Duty to Supply' – the responsibility to supply electricity to a consumer can be given to the incumbent Retail Supply Company initially.

Codes: Duty, Connect, consumer, network, Distribution Company, Supply, responsibility, incumbent Retail Supply Company
Code Quantity: 8; New codes: 0

Respondent 5: 'The 'Duty to Connect' – the responsibility to connect a consumer to the network would be given to Distribution Company. 'The 'Duty to Supply' – the responsibility to supply electricity to a consumer would be given to the incumbent Retail Supply Company initially.

Codes: Duty, responsibility, connect, consumer, network, Distribution Company, supply electricity, consumer, incumbent Retail Supply Company
Code Quantity: 9; New codes: 0

Respondent 6: Responsibility to connect and disconnect the premise should be there with Network Company while responsibility to provide or interrupt supply should be with Supply Company.

Codes: Responsibility, connect, disconnect, premise, Network Company, interrupt supply, Supply Company
Code Quantity: 7; New Codes: 0

Respondent 7: Responsibility to connect and disconnect the premise should be there with Network Company while responsibility to provide or interrupt supply should be with Supply Company.

Codes: Responsibility, connect, disconnect, premise, Network Company, interrupt supply, Supply Company
Code Quantity: 7; New Codes: 0

44) Who should be responsible to provide metering services?

Respondent 1: Supplier of the consumer should provide the metering services.

Codes: Supplier, consumer, metering services
Code Quantity: 3; New codes: 3

Respondent 2: Either supplier or 3rd party company can provide the metering services.

Codes: Supplier, 3rd party company, metering services
Code Quantity: 3; New codes: 1

Respondent 3: Either supplier or 3rd party company can provide the metering services.

Codes: Supplier, 3rd party company, metering services
Code Quantity: 3; New codes: 0

Respondent 4: The retail supplier can provide the metering services.

Codes: retail supplier, consumer, metering services
Code Quantity: 3; New codes: 0

Respondent 5: Either supplier or 3rd party company can provide the metering services.

Codes: Supplier, 3rd party company, metering services
Code Quantity: 3; New codes: 0

Respondent 6: Supplier of the consumer should provide the metering services.

Codes: Supplier, consumer, metering services
Code Quantity: 3; New codes: 0

Respondent 7: Either supplier or 3rd party company can provide the metering services.

Codes: Supplier, 3rd party company, metering services
Code Quantity: 3; New codes: 0

45) Who should provide the billing and collection services?

Respondent 1: Supplier of the consumer should provide the billing and collection services.

Codes: supplier, consumer, billing, collection, services
Code Quantity: 5; New codes: 5

Respondent 2: Either supplier or 3rd party can provide the billing and collection services.

Codes: supplier, 3rd party, billing, collection, services
Code Quantity: 5; New codes: 1

Respondent 3: Either supplier or 3rd party can provide the billing and collection services.

Codes: supplier, 3rd party, billing, collection, services
Code Quantity: 5; New codes: 0

Respondent 4: The retail supplier can provide the billing and collection services.

Codes: retail supplier, consumer, billing, collection, services
Code Quantity: 5; New codes: 0

Respondent 5: Either supplier or 3rd party can provide the billing and collection services.

Codes: supplier, 3rd party, billing, collection, services
Code Quantity: 5; New codes: 0

Respondent 6: Either supplier or 3rd party can provide the billing and collection services.

Codes: supplier, 3rd party, billing, collection, services
Code Quantity: 5 ; New codes: 0

Respondent 7: The retail supplier can provide the billing and collection services.

Codes: retail supplier, consumer, billing, collection, services
Code Quantity: 5 ; New codes: 0

46) How many consumer categories should be there for line charges?

Respondent 1: Consumer categories may be divided as the consumer of domestic premises of urban areas & consumers of sparsely populated rural areas.

Codes: consumer, categories, divide, domestic premise, urban areas, sparsely populated, rural areas
Code Quantity: 7 ; New codes: 7

Respondent 2: For line charges, there can be three categories – 1) Industry Consumers 2) Commercial Consumers 3) Domestic Consumers.

Codes: line charges, categories, industry consumers, commercial consumers, domestic consumers
Code Quantity: 5; New codes: 3

Respondent 3: Line charges can be calculated based on the distance from the main center of Electricity Distribution.

Codes: Line charges, distance, main center, electricity distribution
Code Quantity: 4; New codes: 3

Respondent 4: Line charges can be based on the category of consumers: 1) Urban Consumers 2) Rural Consumers 3) Disadvantaged group of consumers.

Codes: Line charges, category, urban consumers, rural consumers, disadvantaged group, consumers
Code Quantity: 6; New codes: 1

Respondent 5: Consumer categories may be divided as: domestic premises of urban areas/ & consumers of sparsely populated rural areas; on another hand – for line charges: members of the disadvantaged group (as well as the persons who are)/distance from main center or any other method of definition/particular class of consumers

Codes: consumer, categories, divide, domestic premise, urban areas, sparsely populated, rural areas, line charges, disadvantaged group, distance, main center, consumer class
Code Quantity: 12; New codes: 0

Respondent 6: Consumer categories may be divided as the consumer of domestic premises of urban areas & consumers of sparsely populated rural areas.

Codes: consumer, categories, divide, domestic premise, urban areas, sparsely populated, rural areas
Code Quantity: 7 ; New codes: 0

Respondent 7: For line charges, there can be three categories – 1) Industry Consumers 2) Commercial Consumers 3) Domestic Consumers.

Codes: line charges, categories, industry consumers, commercial consumers, domestic consumers
Code Quantity: 5; New codes: 0

47) On what ground consumer categories can be defined for retail charges?

Respondent 1: Consumer categories for retail charges may be defined on the basis of sanctioned load and based on their annual energy consumption.

Codes: consumer categories, retail charges, sanctioned load, annual energy consumption
Code Quantity: 4; New Codes: 4

Respondent 2: Retail charges may vary based on the area of supply. They may also vary based on the category of consumers defined for line services.

Codes: retail charges, area of supply, consumer category, line services
Code Quantity: 4; New Codes: 1

Respondent 3: Retail charges can be defined for rural consumers/ urban consumers/ agriculture consumers.

Codes: retail charges, rural consumers, urban consumers, agriculture consumers

Code Quantity: 4; New codes: 3

Respondent 4: Connected load, annual pattern of energy consumption, distance of area of supply may be basis to define consumer category.

Codes: Connected load, annual pattern, energy consumption, distance, supply area, consumer category
Code Quantity: 6; New codes: 1

Respondent 5: Retail charges can be defined based on connected load, based on annual energy consumption, based on area of supply, and based on consumer categories.

Codes: Retail charges, connected load, annual energy consumption, area of supply, consumer categories
Code Quantity: 5; New codes: 0

Respondent 6: Consumer categories for retail charges may be defined on the basis of sanctioned load and based on their annual energy consumption.

Code: consumer categories, retail charges, sanctioned load, annual energy consumption
Code Quantity: 4; New Codes: 0

Respondent 7: Retail charges may vary based on the area of supply. They may also vary based on the category of consumers defined for line services.

Code: retail charges, area of supply, consumer category, line services
Code Quantity: 4; New Codes: 0

48) What will be the route to pay the line charges by the consumer?

Respondent 1: Line charges should be payable with normal billing of electricity usage. Supplier shall pay the line charges to network company after collecting from the consumers.

Codes: Line charges, normal billing, electricity usage, supplier, pay, line charges, network company, collection, consumers
Code Quantity: 9; New codes: 9

Respondent 2: Consumer shall pay the line usage charge through the supplier of electricity.

Codes: Consumer, line usage charge, supplier, electricity
Code Quantity: 4; New codes: 3

Respondent 3: Consumer will not pay the line charges directly to distributor, the same shall be payable through the electricity retailer.

Codes: consumers, line charges, distributor, payable, electricity retailer
Code Quantity: 5; New codes: 3

Respondent 4: Connected load, annual pattern of energy consumption, distance of area of supply may be basis to define consumer category.

Codes: Connected load, annual pattern, energy consumption, distance of area, supply, consumer category.
Code Quantity: 6; New codes: 4

Respondent 5: Line Charge is not payable directly by an end-consumer to an electricity distributor, but is payable via an electricity retailer.

Codes: line charge, consumer, electricity distributor, electricity retailer
Code Quantity: 4; New codes: 0

Respondent 6: Line charges should be payable with normal billing of electricity usage. Supplier shall pay the line charges to network company after collecting from the consumers.

Codes: Line charges, normal billing, electricity usage, supplier, pay, line charges, network company, collection, consumers
Code Quantity: 9; New codes: 0

Respondent 7: Line Charge is not payable directly by an end-consumer to an electricity distributor, but is payable via an electricity retailer.

Codes: line charge, consumer, electricity distributor, electricity retailer
Code Quantity: 4; New codes: 0

49) Supply Licensees will use the distribution system. Will there be any accountability of them towards distribution system?

Respondent 1: There should be accountability between network provider and supplier. There are several reasons of power outage. Which body is responsible for the outage – needs to be looked into based on the reason.

Codes: accountability, network, supplier, power outage, responsible, reason
Code Quantity: 6; New codes: 6

Respondent 2: The outage might happen because of distribution issues like line trip, grid security, fault in transformer or because of capacity constraint. Outages might also happen due to un cleared dues of generators/traders hence the accountability of outages needs to be set up to manage the outages effectively.

Codes: outage, distribution, line trip, grid security, transformer fault, capacity constraint, un cleared dues, generators, traders, accountability, manage
Code Quantity: 11; New codes: 10

Respondent 3: Accountability is needed to be setup between Network Provider and Supplier. This is because there can be many reason for the load shedding/power outage. The outage might happen because of distribution issues like line trip, grid security, fault in transformer or because of capacity constraint. The outage might also happen due to supply side issues like – Un cleared past dues with T&D company, or settlement/balancing issue. In such scenario, a consumer may be misguided hence accountability needs to be fixed.

Codes: accountability, network, supplier, load shedding, power outage, distribution, line trip, grid security, fault in transformer, capacity constraint, supply, Un cleared dues, T&D company, settlement, balancing issue, consumer, misguide
Code Quantity: 17; new code: 7

Respondent 4: Accountability is needed to be setup between Network Provider and Supplier. This is because there can be many reason for the load shedding/power outage which can be side from either Network Co/Supply Co

Codes: accountability, network provider, supplier, reason, load shedding, power outage, network co, supply co
Code Quantity: 8; new code: 0

Respondent 5: The outage might happen due to supply side issues like – Un cleared past dues with T&D company, or settlement/balancing issue or network side issues like network constraint, line trip etc. In such scenario, a consumer may misguided hence accountability needs to be fixed.

Codes: outage, supply, un cleared dues, T&D company, settlement, balancing issue, network issues, network constraint, line trip, consumer, accountability
Code Quantity: 11; New code:0

Respondent 6: There should be accountability between network provider and supplier so that it can be identified that which body is responsible for the outage.

Codes: accountability, network, supplier, power outage, responsible
Code Quantity: 6; New codes: 0

Respondent 7: Accountability is needed to be setup between Network Provider and Supplier. This is because there can be many reason for the load shedding/power outage which can be side from either Network Company or Supply Company.

Codes: accountability, network provider, supplier, reason, load shedding, power outage, network company, supply company
Code Quantity: 8; new code: 0

50) What should be the mechanism to provide the Consumer Interface/Consumer Grievance Redressal Mechanism (Single window)

Respondent 1: A single Common Grievance Redressal forum for Distribution Company, Retail Supply Company or for Metering Company should be established to provide the single window felicitation to Consumer Grievance Redressal Mechanism.

Codes: Common Grievance Redressal forum, Distribution Company, Retail Supply Company, Metering Company, establish, single window felicitation, Consumer Grievance Redressal Mechanism.
Code Quantity: 7; New codes: 7

Respondent 2: After the introduction of retail supply competition a two layered Consumer Grievance Redressal Mechanism can be provided as follows

- A single Common Grievance Redressal forum for Distribution Company, Retail Supply Company or for Metering company (if any);
- Or Independent ombudsman

Codes: Retail supply competition, two layered, Consumer Grievance Redressal Mechanism, Common Grievance Redressal forum, Distribution Company, Retail Supply Company, Metering company, Independent ombudsman
Code Quantity: 8; New codes 3

Respondent 3: Provision for Independent ombudsman should be there to facilitate the consumer grievances after the introduction of retail supply competition

Codes: Provision, Independent ombudsman, consumer grievance, retail supply competition
Code Quantity: 4; New codes: 1

Respondent 4: After the introduction of retail supply competition, a two layered Consumer Redressal Mechanism should be there. A single Common Grievance Redressal Forum for all companies may be created to provide the single window solution. On level two, Independent ombudsman may be established.

Codes: retail supply competition, two layer, consumer redressal mechanism, grievance Redressal forum, companies, create, single window solution, independent ombudsman, establish
Code Quantity: 9; New codes: 1

Respondent 5: A two level Consumer Grievance Redressal Mechanism should be there. A single window solution to can be provided by the establishing common Grievance Redressal Forum for Network Co, Supply Co & Metering Co.

Codes: Consumer Grievance Redressal Mechanism, single window solution, establish, common Grievance Redressal Forum, Network Co, Supply Co, Metering Co
Code Quantity: 7; New codes: 0

Respondent 6: Provision for Independent ombudsman should be there to facilitate the consumer grievances after the introduction of retail supply competition

Codes: Provision, Independent ombudsman, consumer grievance, retail supply competition
Code Quantity: 4; New codes: 1

Respondent 7: A two level Consumer Grievance Redressal Mechanism should be there. A single window solution to can be provided by the establishing common Grievance Redressal Forum for Network Co, Supply Co & Metering Co.

Codes: Consumer Grievance Redressal Mechanism, single window solution, establish, common Grievance Redressal Forum, Network Co, Supply Co, Metering Co
Code Quantity: 7; New codes: 0

A7.3 DATA MANAGEMENT, FRAMEWORK ANALYSIS

S. No.	Transcript	Description (In Vivo Codes)	Preliminary thoughts (what is this about)	Initial categories*
Q1	Need of reforms: Distribution system is inefficient & loss making. Power supply is inadequate and unreliable which is major constraint to growth of the country. Reforms initiated in 2003 did not give satisfactory results. Hence there is a need to go for third generation reforms so that power supply can be adequate and AT&C losses can be brought down. Economic growth, viable and profitable sector, reduced tariff, better consumer services may be some other benefits.	Need, reforms, Distribution system, inefficient, loss making, Power supply, inadequate, unreliable, constraint, growth, country, Reforms, satisfactory results. third generation reforms, power supply, adequate, AT&C losses, Economic growth, viable, profitable sector, reduced tariff, better consumer services	Need of reforms in the Indian Power Sector	Objective of reforms in Indian Power Sector
Q2	Measures need to be taken to make the distribution system viable: Benchmark with the international utilities should be set up to have smart grid and retail in India. An urgent solution is needed to improve the financial health of the sector. Distribution sector needs to implement the cost reflective tariff to meet operating cost. Segregation of Technical and commercial losses, compilation of base line data, third party verification and energy audit, methodology to reduce losses in a time bound manner, advancement of technical solutions are needed majors to be implemented.	Measures, distribution system, viable, Benchmark, international utilities, smart grid, retail, urgent solution, improve, financial health, Distribution sector, implement, reflective tariff, operating cost. Segregation, Technical and commercial losses, base line data, third party verification, energy audit, technical solutions	Measures which can make the distribution system viable and efficient	Measures to make distribution system viable and efficient
Q3	Most significant measure in Indian context: Smart grid development is time taking process. It also needs heavy investment and skill set. Retail introduction by unbundling of Network and Supply is the option should be taken as of now.	Significant measure, Indian context, Smart grid, heavy investment, skill set, Retail introduction, unbundling, Network, Supply.	Significant measure as of now to make distribution system efficient	Quick measure to make distribution system efficient

Q4	Expectations from the introduction of retail supply competition: Full retail competition is the last and logical end point stage of restructuring. It removes the inefficiencies and potential conflicts of electricity market. Retail introduction through the segregation of network and supply guides the inherent market incentives where consumer willing pay for the service they need. It gives choice to end consumer. Retail is expected to enhance the cost and operation efficiencies. Cost efficiencies are achieved as competition reduces input cost. Operational efficiencies are achieved as companies have fear to lose the market. Retail competition shall also help into clearing the balance sheets of distribution utilities. The same shall be supported by legislative reforms.	Expectations, introduction, retail supply competition, Full retail competition, logical end point, restructuring, inefficiencies, potential conflicts, electricity market, retail introduction, segregation, network, supply, inherent market incentives, consumer service, choice to end consumer, Retail, cost & operation efficiencies, competition, input cost, Operational efficiencies, lose the market. Retail competition, balance sheets, distribution utilities, legislative reforms	Expectations of stakeholders from the introduction of retail supply competition in India	Expectations of stakeholders from the introduction of retail competition
Q5	Present regulations are not enough to introduce retail in Indian power distribution sector. Electricity Act 2003 do not have anything about retail. Electricity Act amendment bill 2014 is pending to be enacted and it also does not have strategy to roll out the retail in India. Although it gives some insights about the retail and about the new bodies which needs to be formed.	Present regulations, inadequate, introduce retail, Indian power distribution sector, Electricity Act 2003, retail competition, Electricity Act amendment bill 2014, pending for enacted, strategy, roll out, insights.	Inadequacy of present regulations to introduce retail competition in Indian Power Sector	Inadequacy of regulations to introduce retail competition
Q6	Country has seen the unbundling of SEBs already. Now we have need to unbundle the Distribution Companies further into Network Co & Supply Co. In few remaining states, where Electricity boards are not unbundled yet, need to unbundle the SEBs there also.	Country, unbundle, Distribution Companies, Network Co & Supply Co, Remaining states, Electricity boards, unbundle the SEBs.	Need of unbundling of State power Discoms and State Electricity Boards	Need to unbundle DISCOMS & SEBs
Q7	Retail company may establish a generation plant and can carry out generation, to secure the power availability. Threshold may be set up for the conventional power plant which can be decided by state regulatory commission based on the power requirements of the state. Although threshold to generate non-conventional should not be there. Vice - versa should not be true in this case. Generation companies should not be allowed to be a retail company.	Retail company, generation plant, generation, secure, power availability, threshold, conventional power plant, state regulatory commission, power requirements, threshold, generate non-conventional, generation companies	Participation of retail company into generation activities to secure power supply	Participation of retail company into generation
Q8	After restructuring of industry, Distribution company shall be responsible for the conveyance of electricity to end consumer through its own network, incumbent supply licensee shall be responsible to provide electricity to end consumer with the help of distribution network for their end use, Intermediary Company shall work as a power procurement center and shall succeed the existing power purchase agreements and power procurement agreements of existing distribution companies. Provider of last resort shall be Government supply company who shall supply power to end consumer in case existing supplier of consumer is ceased for any reason. The roles and responsibilities shall be in line with the provisions as defined in EAB 2014.	Restructuring, industry, Distribution company, responsible, electricity, end consumer, network, incumbent supply licensee, distribution network, Intermediary Company, power procurement center, succeed, power purchase agreements, power procurement agreements, Provider of last resort, Government supply company, end consumer, cease, provisions, EAB 2014	Describing roles, responsibilities upon the restructuring of industries	Roles and responsibilities of newly created bodies
Q9	Need to identify associate/franchise: In case if a distribution licensee is undertaking the distribution of electricity, prior to the commencement of the Electricity (Amendment) Act, 2014; in a specified area of distribution through the associate/franchisee, such associate/franchisee do not have need to take separate license from appropriate commission. Although such distribution franchisee/associate can only distribute the power till the expiry of respective licenses. Also any subsidiary of Distribution Company or generation company should not be allowed to work as a supply licensee.	Identify associate, franchise, distribution licensee, distribution, electricity, commencement, Electricity (Amendment) Act, 2014, distribution, associate/franchisee, separate license, appropriate commission, expiry, respective licenses, subsidiary, Distribution Company, generation company, supply licensee	Identifying associates/franchisee in Indian Power Sector for necessary treatment of their working	Identifying franchisee in Indian Power Sector
Q10	Some disclosures need to be made by the businesses before carrying out the separation. All the distribution companies and such State	Some disclosures, businesses, carrying out, separation, distribution companies, State Electricity boards,	Disclosures to be made by the companies which are	Disclosure regulations for bundled companies

	Electricity boards which needs to be unbundled. will have obligation to disclose the particulars.	unbundled, obligation, disclose, particulars	going to be unbundled	
Q11	Interest or involvement in an electricity business: a nonspecific interest in the person who is involved in an electricity business - particulars should be described by disclosure regulations.	Interest, involvement, electricity business, a nonspecific interest, electricity business, involved, disclosure regulations	Identifying the Interest or involvement in an electricity business through disclosure	Interest/involvement identification through disclosure
Q12	Disclosure regulations are supposed to provide in respect of businesses- What needs to be disclosed/ by & to whom the disclosure is made/ when it must be disclosed/ the form of the disclosure/ record access & maintenance/ method to set up threshold.	Disclosure regulations, businesses, What needs to be disclosed, by & to whom the disclosure is made, when it must be disclosed, the form of the disclosure, record access & maintenance, method to set up threshold	Fields to be disclosed by the disclosure regulations in respect of business	Fields to be disclosed in respect of business
Q13	Secretary of State; in consultation with State Electricity Regulatory Commission, Central Electricity Regulatory Commission & the Electricity Authority should make the format of information disclosure.	Secretary of State, State Electricity Regulatory Commission, Central Electricity Regulatory Commission, Electricity Authority, information disclosure format	Responsible authority to make the format of information disclosure	Drafting the format of information disclosure
Q14	There should be audit of disclosed information for the purpose verification. An Independent Chartered Account/Audit body/Consultant; whomsoever is nominated by Secretary of State may do it.	Audit, disclosed information, verification, Independent Chartered Account, Audit body, Consultant, nominated, Secretary of State	Audit of disclosed information for verification purpose	Auditing the disclosed information
Q15	Suggested phases to facilitate the retail introduction in India: Accounting(Administrative) unbundling, Functional (Management) separation, Operational (Legal) unbundling, Ownership (Full/Divesture unbundling) in Distribution Segment; 2) Introduction of another supply licenses, 3) Onset of Competition with choice to consumer	Phases, facilitate, retail introduction, Accounting(Administrative) unbundling, Functional (Management) separation, Operational (Legal) unbundling, Ownership (Full/Divesture unbundling), Distribution Segment, Introduction of another supply licenses, Onset of Competition with choice to consumer	Suggested Phases to introduce retail competition in India	Suggested Phases to introduce retail competition in India
Q16	Requirement to carry out the transfer scheme: A transfer scheme is needed to divide assets, liabilities, personnel and proceedings of Distribution Company into Network, Supply & Intermediary Companies.	Requirement, transfer scheme, A transfer scheme, divide assets, liabilities, personnel, proceedings, Distribution Company, Network, Supply, Intermediary Companies	Requirement and need to undertake separation through transfer scheme	Need to transfer scheme in separation
Q17	A nominated independent consultant by the State Government shall draft the transfer scheme.	Nominated independent consultant, State Government, transfer scheme	Responsible authority to draft the transfer scheme	Responsible authority to draft the transfer scheme
Q18	Secretary of state shall approve the transfer scheme. Before providing the approval, he can modify the same.	Secretary of state, approve, transfer scheme, modify, transfer scheme	Approving/modifying Authority for the transfer scheme	Approving Authority for the transfer scheme
Q19	Mechanism to treat existing losses: All the existing recognized regulatory assets which pertains to the DISCOMs presently, shall be allocated to Intermediary Company. IC may further amortize them through Universal Charge or from the support of State Government. On there other hand, unrecognized losses may be transferred to existing companies and help from State Government may be sought to clear up the balance sheets.	Mechanism, treat, existing losses, recognized regulatory assets, DISCOMs, Intermediary Company, amortize, Universal Charge, State Government, unrecognized losses, transferred, existing companies, State Government, balance sheets	Method to treat existing losses - recognized losses, unrecognized losses	Method to treat existing recognized/unrecognized losses
Q20	The effective date for a transfer scheme shall be - date to which immediately before distribution company was managing the role of both network company and supply company or/ which is allocated by the transfer scheme/ or is the day on which transfer scheme comes into force/ or such earlier day as the Secretary of State shall direct.	Effective date, transfer scheme, date to which immediately before distribution company was managing the role of both network and supply, allocated by the transfer scheme, day on which transfer scheme comes into force, or such earlier day as the Secretary of State shall direct.	Defining the effective date of transfer to make the transfer effective	Effective date of transfer in regard to transfer scheme
Q21	Treatment of existing claims: All claims of the Distribution companies against the State Government and all claims of State Government against the Distribution company; shall stand cancelled and extinguished. All the mutual claims shall be considered as a fully and finally settled while the remaining asset & liabilities of the Distribution Company shall stand transferred & vested in the State Government	Treatment, existing claims, Distribution companies, State Government, cancelled, extinguished, mutual claims, considered, fully & finally settled, assets, liabilities, Distribution Company, transferred, State Government	Treatment of existing claims of DISCOMs & State Government against each other	Managing existing claims of DISCOMs & SG

Q22	Valuation of assets for this transfer scheme is being done on the basis of Historical Book Value method where the present approaches are – a) Historical book value of assets – the value at which the assets are carried on the balance sheet b) Market value of assets – the price at which the utility can sell its assets.	Valuation of assets, transfer scheme, basis, Historical Book Value method, present approaches, Historical book value of assets, balance sheet , Market value of assets, selling price	Method of Valuation of assets for under transfer scheme	Valuation of assets under transfer scheme
Q23	Undertaking in Transfer Scheme: The Assets, Liabilities, Proceedings & Personnel which are part of respective Undertakings and as described in respective schedule, shall stand transfer to & vest in the respective Co on & from the effective date of transfer, without any further notice/act or things to be done by State Government or DISCOM or Network Co or any other person. However, Terms & Conditions of the scheme needs to be followed.	Undertaking, Transfer Scheme, Assets, Liabilities, Proceedings, Personnel, respective Undertakings, schedule, stand transfer & vest, respective Co, effective date of transfer, further notice, act, State Government, DISCOM, Network Co, Terms & Conditions	Provision of Undertaking in Transfer Scheme for the divdation of particulars	Transfer scheme to divide the particulars
Q24	The existing Power Purchase Agreements of the current Discoms may be transferred to the Intermediary Company. The Intermediary Company may allocate those PPAs among various retail supply companies based on their power requirements. Certain ratio of Power Purchase Agreements may also be shifted into the wholesale market to facilitate the development of capacity market.	Power Purchase Agreements, current Discoms, Transferred, Intermediary Company, PPAs, retail supply companies, power requirements, Certain ratio, shifted, wholesale market, facilitate, development of capacity market	Treatment of existing Power Purchase Agreements	Transferring existing Power Purchase Agreements
Q25	Allocation of assets and liabilities shall be based on the Undertakings which are defined for the new companies. All the assets and liabilities to be transferred shall be divided under these undertakings only	Allocation, assets, liabilities, Undertakings, new companies, transferred, divided	Allocation of assets and liabilities based on the Undertakings	Asset and liability allocation through Undertakings
Q26	Responsibilities of transferee after Effective Date of Transfer: Transferee shall be accountable for all agreements, bonds, schemes, contracts, deeds, rights and other instruments which pertain to the transferred Undertakings, to which the DISCOM was initially a party, having effect from the effective date of transfer; in same manner as the DISCOM was liable before the effective date of transfer	Responsibilities, transferee, Effective Date of Transfer, agreements, bonds, schemes, contracts, deeds, rights, transferred Undertakings, DISCOM, party, effective date of transfer; DISCOM, effective date of transfer	Responsibilities of transferee after the Effective Date of Transfer	Responsibilities of transferee after transfer
Q27	Management of Transfer of Personnel: Personnel should also be divided under the respective undertaking of Transfer Scheme. However, the transfer shall be provisional for few months, as described by the transfer scheme.	Transfer of Personnel, Personnel, undertaking, Transfer Scheme, provisional, few months	Treatment and Managing of Transfer of Personnel under transfer scheme	Transfer of Personnel
Q28	Provisional period in transfer- For the assets and liabilities – the provisional period is 1 months while for the case of Personnel – it may be near about 6 months.	Provisional period, transfer, assets & liabilities, provisional period, 1 month, Personnel, 6 months	Provisionally of transfer under the concept of provisional transfers	Provisionality of transfer under scheme
Q29	Mechanism for bifurcated parties to apply for license: Parties shall apply for the grant of license in the commission within 60 days of effective date of transfer to undertake the distribution and supply business in the respective area under Section 14 of the Electricity Act.	Mechanism, bifurcated parties, license, Parties, grant of license, commission, 60 days, effective date of transfer, distribution & supply business, respective area, Section 14, Electricity Act	New License to undertake the distribution and supply business after separation	License need to undertake the distribution and supply
Q30	Management of future losses: All the technical & hooking losses are related to physical network – they shall be allocated to the distribution company while commercial losses shall be allocated to retail company.	Management of future losses, technical & hooking losses, physical network, allocate distribution company, commercial losses, retail company	Managing technical and commercial losses after separation	Managing future technical and commercial losses
Q31	Removal of any difficulty in regard to transfer scheme -The Government by order may also publish such provisions which are consistent with the provision of act and are necessary to remove the difficulties coming in the implementation of transfer scheme.	Removal, transfer scheme, The Government, order, publish, provisions, consistent, provision of act, difficulties, implementation, transfer scheme	Ordering to Remove any difficulty in regard to transfer scheme	Provision to remove any difficulty under transfer scheme
Q32	Phase wise introduction of open access should be there to open up the market for all consumers. Market should be open up as per below steps : • Step 1: Connected Load >= 1MW • Step 2: Connected Load >= 100 kW • Step 3: Connected Load <= 100 kW	Phase wise, open access, introduction, open up, market, consumers, Step 1: Connected Load >= 1MW, Step 2: Connected Load >= 100 kW, Step 3: Connected Load <= 100 kW	Phase wise opening up of market through open access	Open Access & Opening of market

Q33	New Retail Supply Licenses would be given in this stage in order to give retail consumer choice. The market would be opened up for competition in phases. Consumers can switch the supplier available in his area to supply.	Retail Supply Licenses, stage, retail consumer choice, market, opened up, competition, Consumers, switch supplier, area to supply	Onset of second supply licensee and choice to consumer	Introducing choice to consumer
Q34	Unavailability of 24x7 power supply, Lack of infrastructure, Inappropriate estimation of Losses, No incentive for generator, Lack of consumer awareness, cross subsidy issues, Unavailability of technical support from DISCOMs, Absenteeism of Emergency support from discoms are the major issues. Even after the separation of carriage and content, incentives for network companies are not proposed which will facilitate the open access. As of now, other challenges are - Transmission congestion, High T&D losses, High initial cost, high cross subsidy charges, and high cost of standby or emergency power from Distribution Company. These issues can only be managed by creation of capacity market.	24x7 power supply, lack of infrastructure, Inappropriate estimation, Losses, incentive, generator, consumer awareness, cross subsidy, technical support, DISCOMs, Emergency support, major issues, separation, carriage, content, incentives, network companies, facilitate, open access, Transmission congestion, T&D losses, initial cost, cross subsidy charges, cost of standby, emergency power, Distribution Company, creation, capacity market	Present Issues in open access and challenges foreseen after the separation of carriage and content	Present and foreseen issues in open access
Q35	A consumer may be allowed to switch the supplier if he fulfils the following mandates: Recovery of past revenue gaps/ recovery of dues/regulatory assets and such other standard costs. Defining the consumer category the time of switching/security deposits/frequency of switching needs attention.	Consumer, allowed, switch the supplier, fulfils, following mandates, recovery, past revenue gaps, dues, regulatory assets, standard costs, consumer category, time of switching, security deposits, frequency of switching	Mandates to be fulfilled by consumer to switch the supplier	Pre-requisite to switch the supplier
Q36	Frequency to switch the supplier should be fixed as high switching rates may lead to difficulties for retail supply companies in managing their demand forecasting and power procurement. The consumer could be allowed to switch the supplier of certain dates/anytime during the year/or after the lock in time with present supplier.	Frequency, switch supplier, fixed, switching rates, retail supply companies, demand forecasting, power procurement, consumer, certain dates, anytime during the year, lock in time, present supplier	Fixing the switching rate for consumer to change the supplier	Fixation of switching rates
Q37	A central database of consumers under KYC may be created going forward which should have the billing address, usage pattern, meter number, bank account details etc. Network Company can be given this task to create KYC. This database will be useful for the retail supply licensee as they will get the information about consumer mix for the respective area where they want to operate. On the other hand, Subsidies can be transferred directly to the account of consumer.	Central database, consumers, KYC, billing address, usage pattern, meter number, bank account, Network Company, create, retail supply licensee, information, consumer mix, operating area, subsidies, transferred, consumer account	Central database of consumers under KYC for the information of consumer related indexes	Central consumer database : KYC
Q38	Cross subsidies can be managed through Year on Year tariff hikes/ Universal Charge (UC) fund/Limiting subsidies to wheeling charges or from Direct Subsidy from State Government.	Cross subsidies, Year on Year tariff hikes, Universal Charge (UC) fund, Limiting subsidies, wheeling charges, Direct Subsidy, State Government	Gradual Elimination and Management of cross subsidies	Management of cross subsidies
Q39	Regulations for tariff: For Distribution Company – tariff shall be regulated. While for Supply Company – Tariff will be ceiling for contestable consumer and will be regulated for the non-contestable consumer.	Tariff Regulations, Distribution Company, regulated tariff, Supply Company, ceiling tariff, contestable consumer, non-contestable consumer	Regulation for the tariff of Distribution Company and Supply Company	Tariff regulations for the Distribution Company and Supply Company
Q40	Mechanism to determine tariff: • Tariff for Network Company = Network Capital Expenditure + Operation and Maintenance Expenditure+ Technical Losses, • Tariff for Retail Supply Business = Capital assets +Power Purchase cost + Operation and Maintenance Expenditure+ Losses, • Tariff for Intermediary Company = Costs incurred towards PPAs + Operational Expenditure	Mechanism, determine tariff, Network Company, Network Capital Expenditure, Operation & Maintenance Expenditure, Technical Losses, Retail Supply Business, Capital assets, Power Purchase cost, Operation and Maintenance Expenditure, Losses, Intermediary Company, PPA Cost, Operational Expenditure	Mechanism/Formula to determine the tariff for unbundled companies after separation	Mechanism determine future tariffs
Q41	There should be a price control/price restraint mechanism; Central or State Electricity Regulatory Commission should be responsible to make the same.	Price control, price restraint mechanism, Central, State Electricity Regulatory Commission, responsible	Responsible body to Draft the Price Control/Restraint Mechanism	Drafting the Price Control/Restraint Mechanism

Q42	Price restraint defines the control in relation to the charges of line function services to rural and domestic consumers – The amount of charge/ Amount of a component of charge/ Limit of the proportion of the component in the charge/frequency of the increment of a charge component/ control in the increment of the amount an increase in charge/charge component.	Price restraint, control, line function services charges, rural, domestic consumers, amount of charge, Amount of component of charge, Limit of proportion of the component in charge, frequency of increment of a charge component, control in increment of amount an increase in charge, charge component	Fields defined by the price control mechanism in relation to line function services	Fields of price control mechanism
Q43	Universal service obligation to connect or/disconnect the premise: 'The 'Duty to Connect' – the responsibility to connect a consumer to the network would be given to Distribution Company. 'The 'Duty to Supply' – the responsibility to supply electricity to a consumer would be given to the incumbent Retail Supply Company initially.	Universal service obligation, connect, disconnect the premise, duty to Connect, responsibility, connect a consumer, network, Distribution Company, Duty to Supply, responsibility, supply electricity, consumer, incumbent Retail Supply Company	Universal service obligation for supply and line company to connect or/disconnect the premise	Universal service obligation for supplier and distributor
Q44	Either supplier or 3rd party company can be made responsible to provide the metering services.	Supplier, 3rd party company, responsible, metering services	Responsible company to provide the metering services	Responsible company for metering services
Q45	Either supplier or 3rd party can provide the billing and collection services.	Supplier, 3rd party, billing, collection services	Responsible company to provide the billing & collection services	Responsible company for billing & collection services
Q46	Consumer categories for line charges may be divided as : Domestic premises of urban areas/ & consumers of sparsely populated rural areas; On another hand – for line charges: members of the disadvantaged group (as well as the persons who are)/Distance from main center or any other method of definition/Particular class of consumers	consumer categories, line charges, domestic premises, urban areas, consumers, sparsely populated rural areas, members disadvantaged group members, distance, main center, Particular consumer class	Defining the category of consumers for line charges	Category of consumers for line charges
Q47	Consumer categories for supply/retail charges may be divided as: Based on connected load, based on annual energy consumption, based on area of supply, Based on consumer categories	Consumer categories, supply/retail charges, connected load, annual energy consumption, area of supply, consumer categories	Defining the category of consumers for supply charges	Category of consumers for supply charges
Q48	Line Charge is not payable directly by an end-consumer to an electricity distributor, but is payable via an electricity retailer.	Line Charge, payable, directly, end-consumer, electricity distributor, electricity retailer	Route to pay the line charges by the consumer	Route to pay the line charges
Q49	Accountability is needed to be setup between Network Provider and Supplier. This is because there can be many reason for the load shedding/power outage. The outage might happened because of distribution issues like line trip, grid security, fault in transformer or because of capacity constraint. The outage might also happen due to supply side issues like – Un cleared past dues with T&D company, or settlement/balancing issue. In such scenario, a consumer may misguided hence accountability needs to be fixed.	Accountability, setup, Network Provider, Supplier, load shedding, power outage,, distribution, line trip, grid security, transformer fault, capacity constraint, supply, Uncleared past dues, T&D company, settlement, balancing issue, consumer, misguided, accountability	Accountability between Network Provider and Supplier of electricity	Accountability between Network Provider & Supplier
Q50	After the introduction of retail supply competition a two layered Consumer Redressal Mechanism can be provided as follows: • A single Common Grievance Redressal forum for Distribution Company, Retail Supply Company or for Metering company (if any); • Or Independent ombudsman	Introduction, retail supply competition, Consumer Redressal Mechanism, single Common Grievance Redressal forum, Distribution Company, Retail Supply Company, Metering company, Or Independent ombudsman	A two layered Consumer Redressal Mechanism after the introduction of retail competition	Two layered Consumer Redressal Mechanism

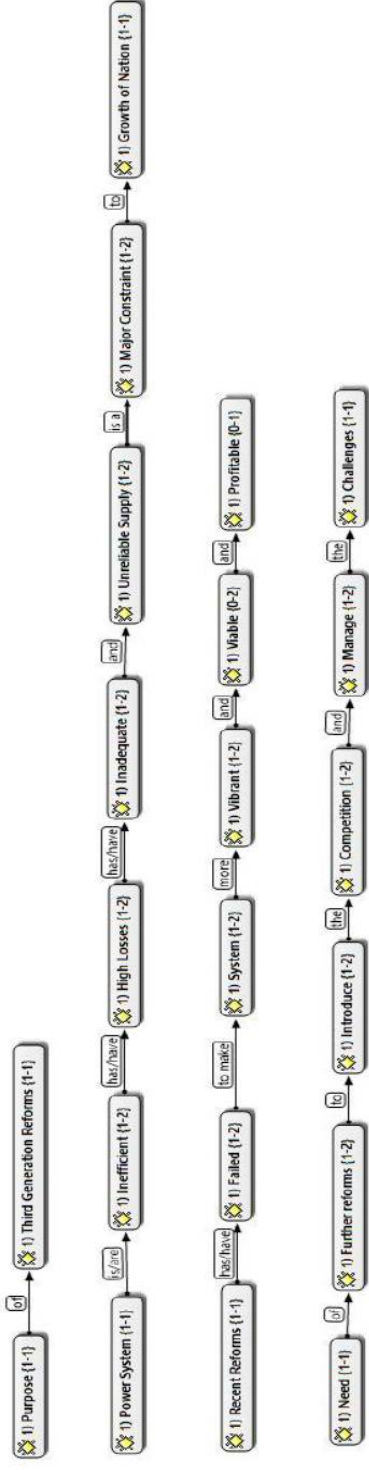
A7.4 DESCRIPTIVE AND EXPLANATORY ACCOUNTS

Initial categories*	Refined Category	Initial Themes	Final Themes	Core Concept
Objective of reforms in Indian Power Sector	Objective of reforms Significant measure for efficiency in DISCOM	Objective of Reforms	Objective of Separation	INTRODUCTION OF RETAIL COMPETITION
Measures to make distribution system viable and efficient				
Quick measure to make distribution system efficient				

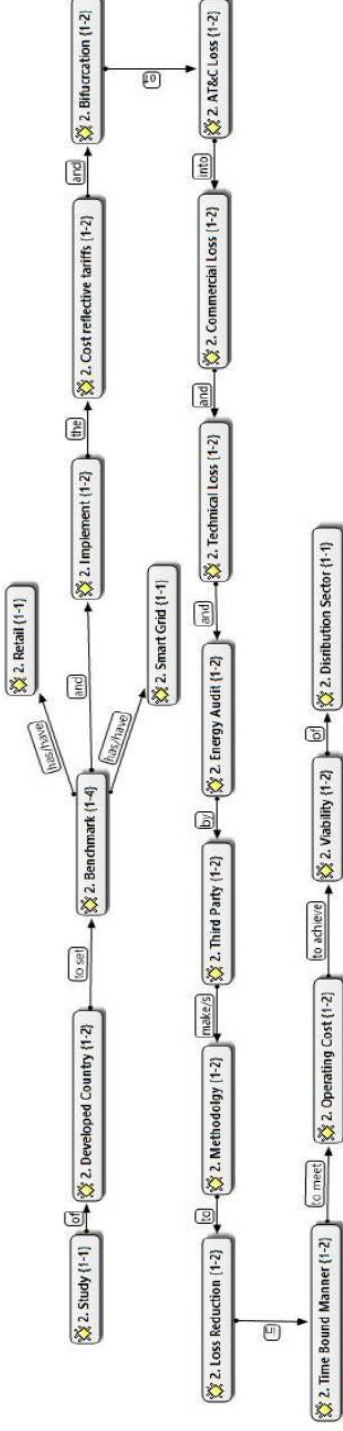
Expectations of stakeholders from the introduction of retail competition	Stakeholder Expectations			
Inadequacy of regulations to introduce retail competition	Inadequacy of present regulations	Regulations, Roles & Responsibilities	Regulatory provisions	
Roles and responsibilities of newly created bodies	Defining Roles and responsibilities			
Disclosure regulations for bundled companies	Disclosure regulations for bundled companies	Disclosure Regulations		
Interest/involvement identification through disclosure				
Drafting the format of information disclosure	Draft of Disclosure Regulations			
Fields to be disclosed in respect of business				
Auditing the disclosed information				Audit of disclosed information
Identifying franchisee in Indian Power Sector	Identification of franchise			
Suggested Phases to introduce retail competition in India	Steps to introduce retail competition	Separation of carriage and content		Unbundling /Separation
Need to unbundle DISCOMs & SEBs				
Participation of Retail Company into generation	Concept of Genter			
Need of transfer scheme in separation	Need of transfer scheme	Draft of Transfer Scheme	Transfer Scheme	
Responsible authority to draft the transfer scheme	Draft of Transfer Scheme			
Approving Authority for the transfer scheme				
Effective date of transfer in regard to transfer scheme	Effective Date of Transfer			
Method to treat existing recognized/unrecognized losses	Treatment of existing losses/claims			
Managing existing claims of DISCOMs & SG				
Valuation of assets under transfer scheme	Valuation of assets			
Transfer scheme to divide the particulars	Undertakings in Transfer Scheme	Allocation through Transfer Scheme		
Asset and liability allocation through Undertakings	Allocation through Undertakings			
Transferring existing Power Purchase Agreements				
Transfer of Personnel	Responsibility & Provisionality			
Provisionality of transfer under scheme				
Responsibilities of transferee after transfer				
License need to undertake the distribution and supply	Need of License after transfer			
Provision to remove any difficulty under transfer scheme	Removal of difficulty			
Central consumer database : KYC	Know Your Customer	Tariff/Price Determination	The Electricity Code	
Tariff regulations for the Distribution Company and Supply Company	Tariff Regulations			
Mechanism to determine future tariffs				
Category of consumers for line charges	Line & Supply Charges			
Category of consumers for supply charges				
Route to pay the line charges				
Drafting the Price Control/Restraint Mechanism	Price Control Mechanism			
Fields of price control mechanism				
Management of cross subsidies	Treatment of Cross Subsidies	Losses/Cross Subsidies		
Managing future technical and commercial losses	Treatment of Future Losses			
Universal service obligation for supplier and distributor	Universal service obligation	Universal service obligation		
Responsible company for metering services				
Responsible company for billing & collection services				
Accountability between Network Provider & Supplier			Setting up Accountability	
Two layered Consumer Redressal Mechanism	Consumer Redressal Mechanism			
Open Access & Opening of market	Open Access & Choice to Consumer	Open Access & Choice to Consumer	Open Access & Consumer Switching	
Introducing choice to consumer				
Pre-requisite to switch the supplier	Switching of Supplier			
Fixation of switching rates				
Present and foreseen issues in open access	Managing Issues of Open Access			

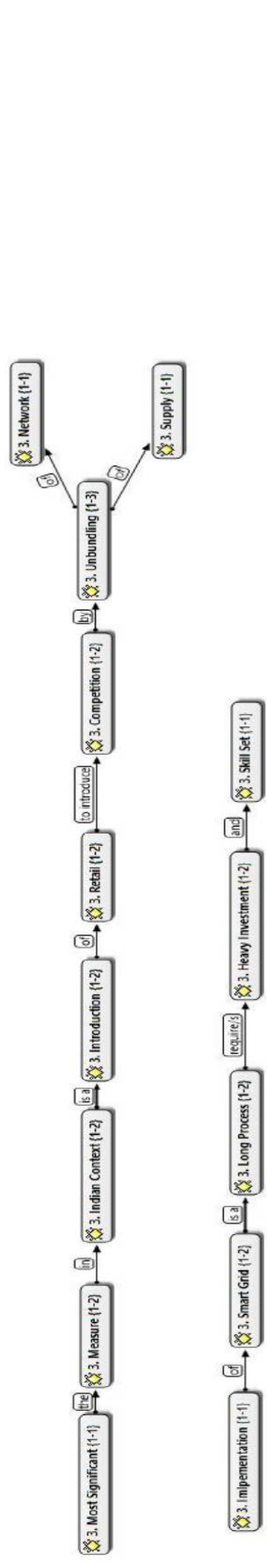
A 7.5 RELATIONSHIP DIAGRAMS

1. Purpose of initiating third generation reforms in India?

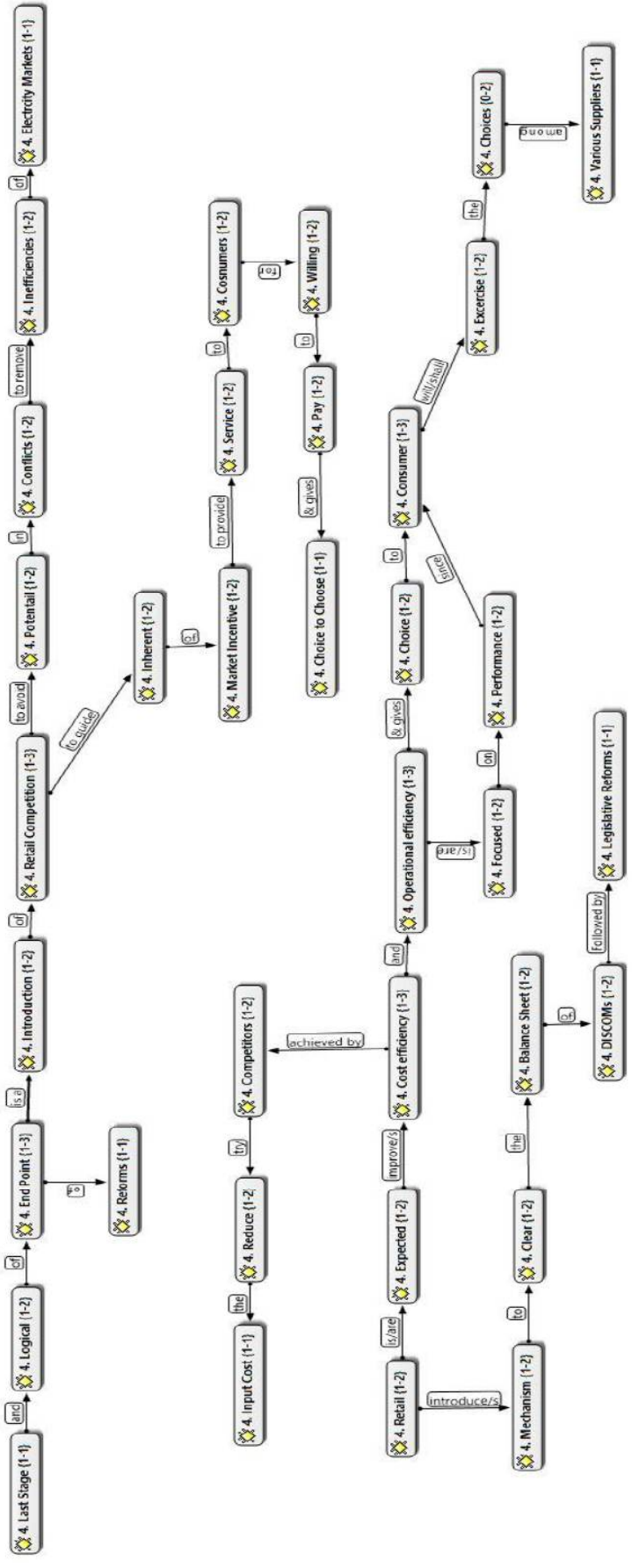


2. Measures needs to be taken to make the distribution system viable

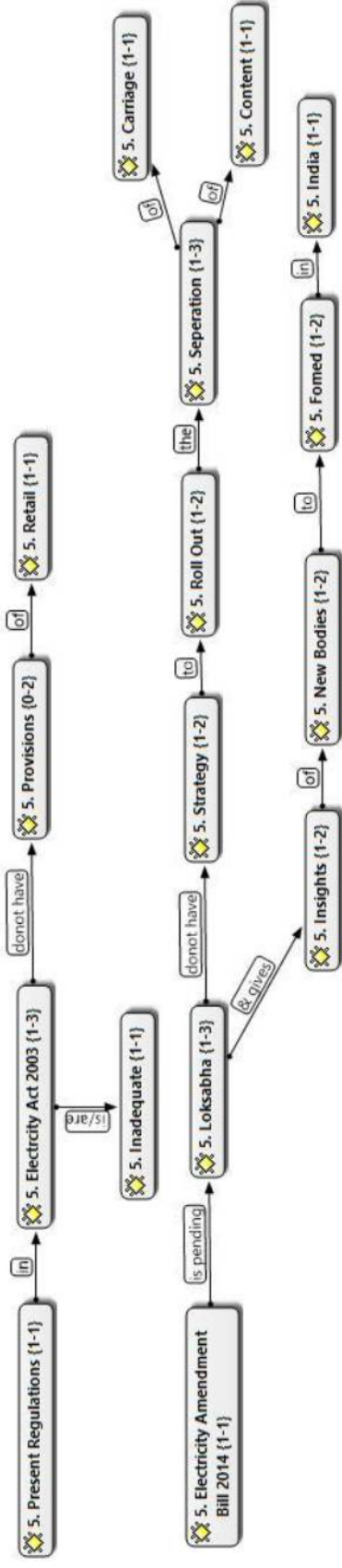




3. Expectations from the introduction of retail supply competition

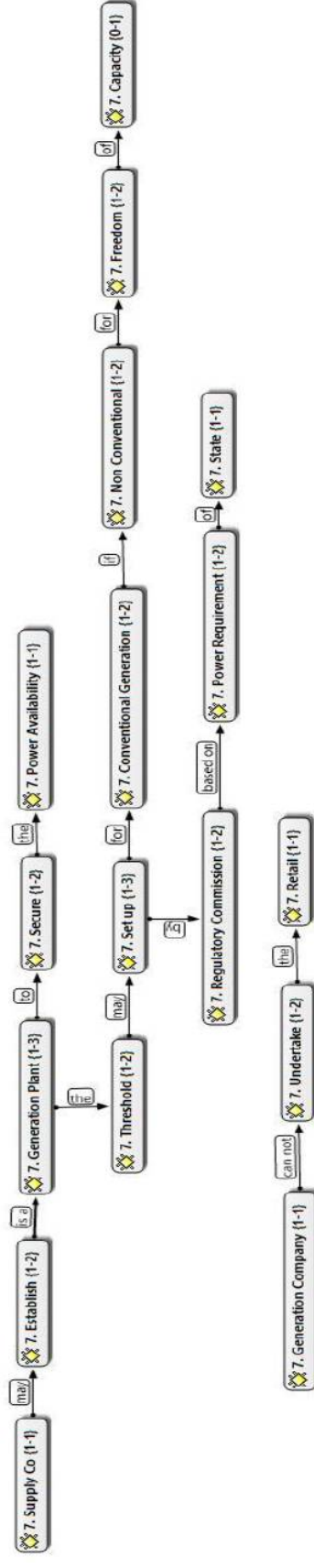
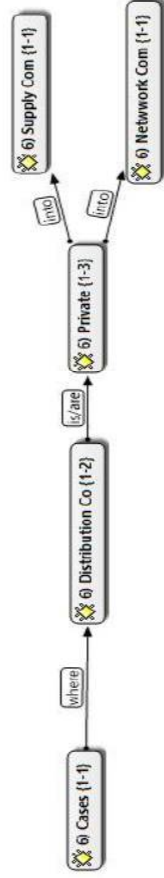
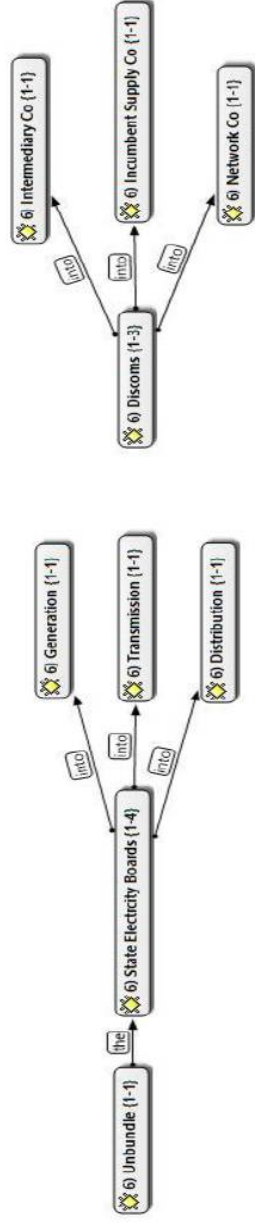


4. Current regulations for introduction of retail in Indian distribution sector

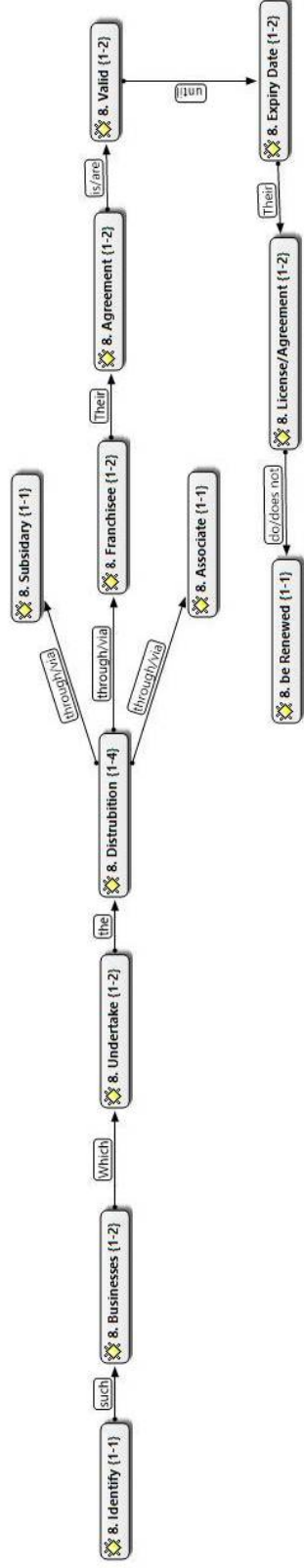


5. Type of businesses require the unbundling to introduce retail

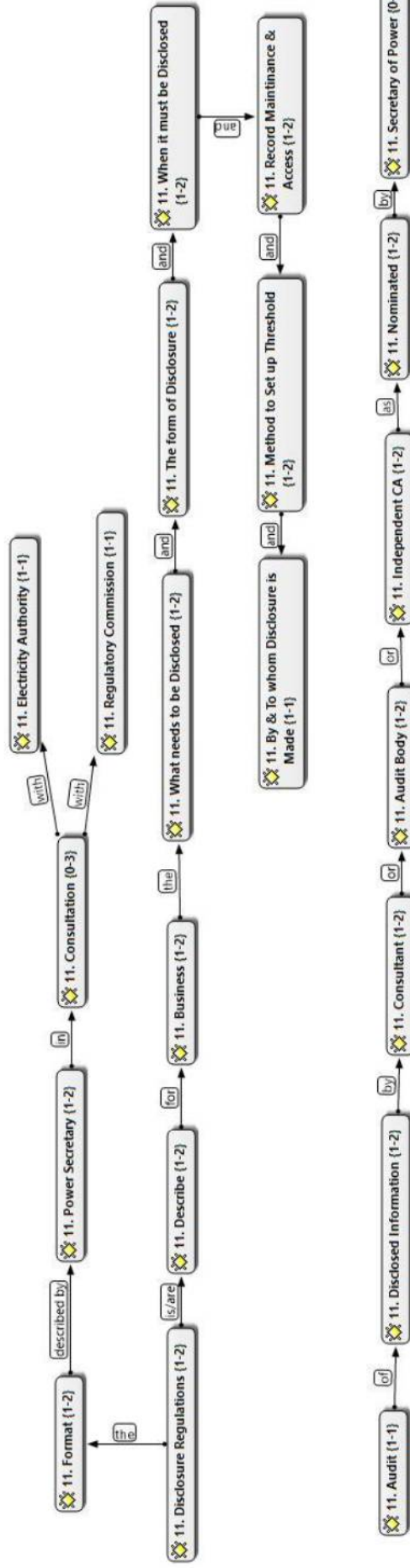
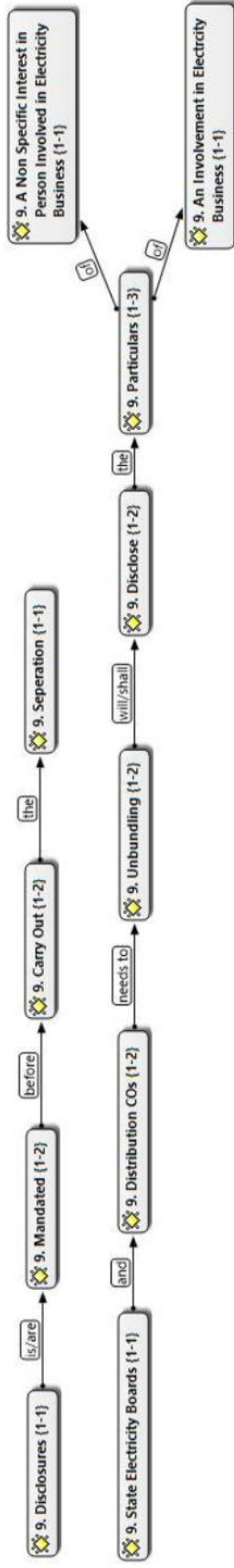
6. Generation activity by retail company



7. Treatment of existing associates or subsidiaries or franchisees?

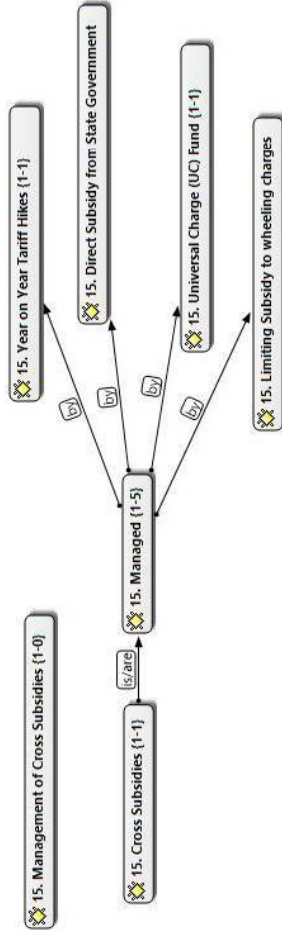
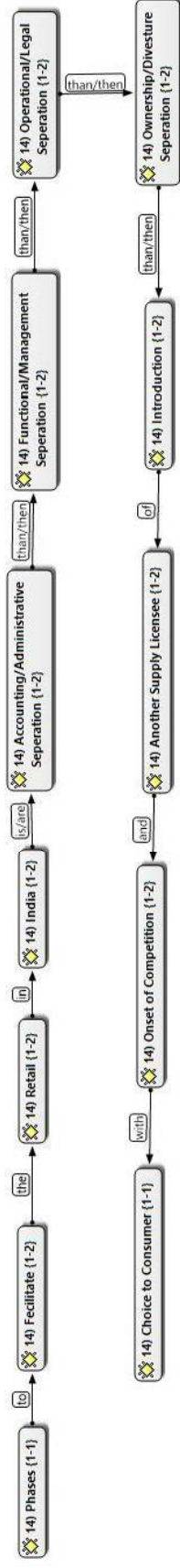


8. Disclosure Regulations

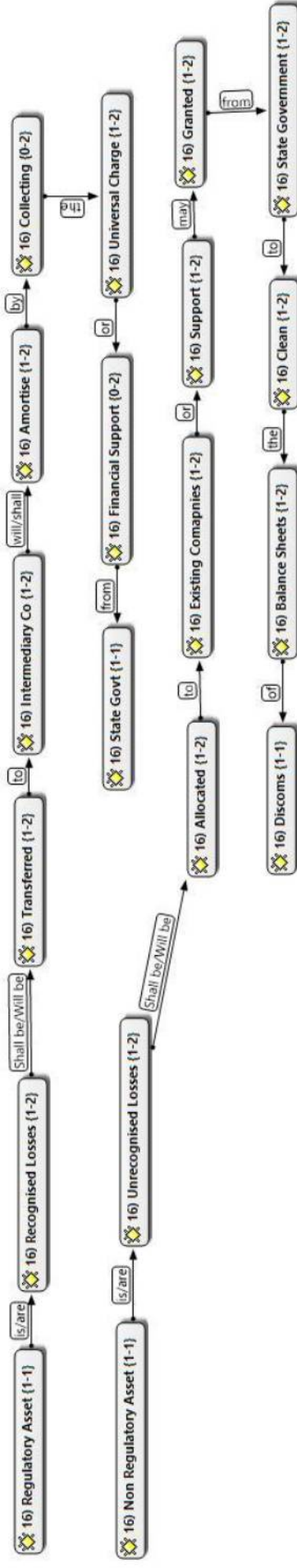


9. Suggested phases of retail introduction

10. Treatment of cross subsidies

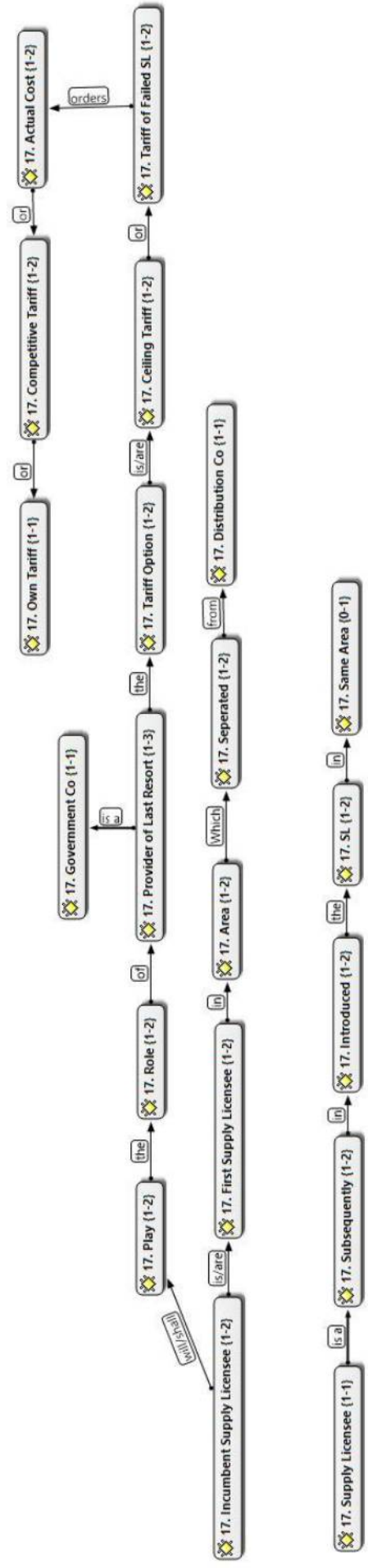


11. mechanism to treat the regulatory and non-regulatory assets

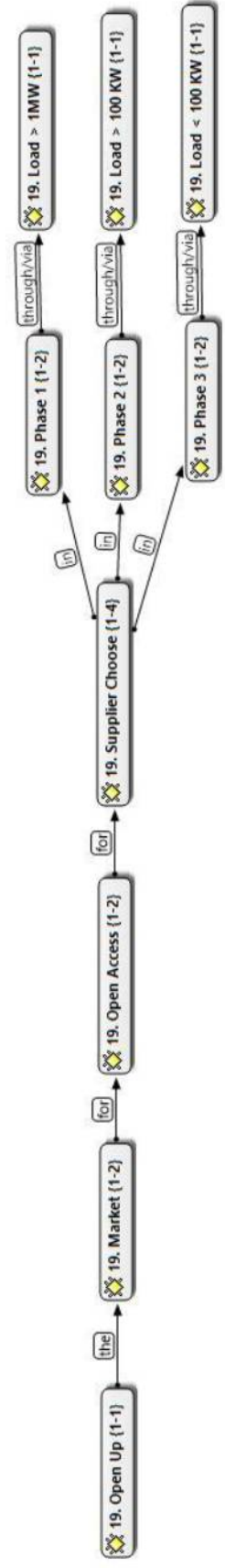


12. Difference between Incumbent Supply Licensee & Supply Licensee

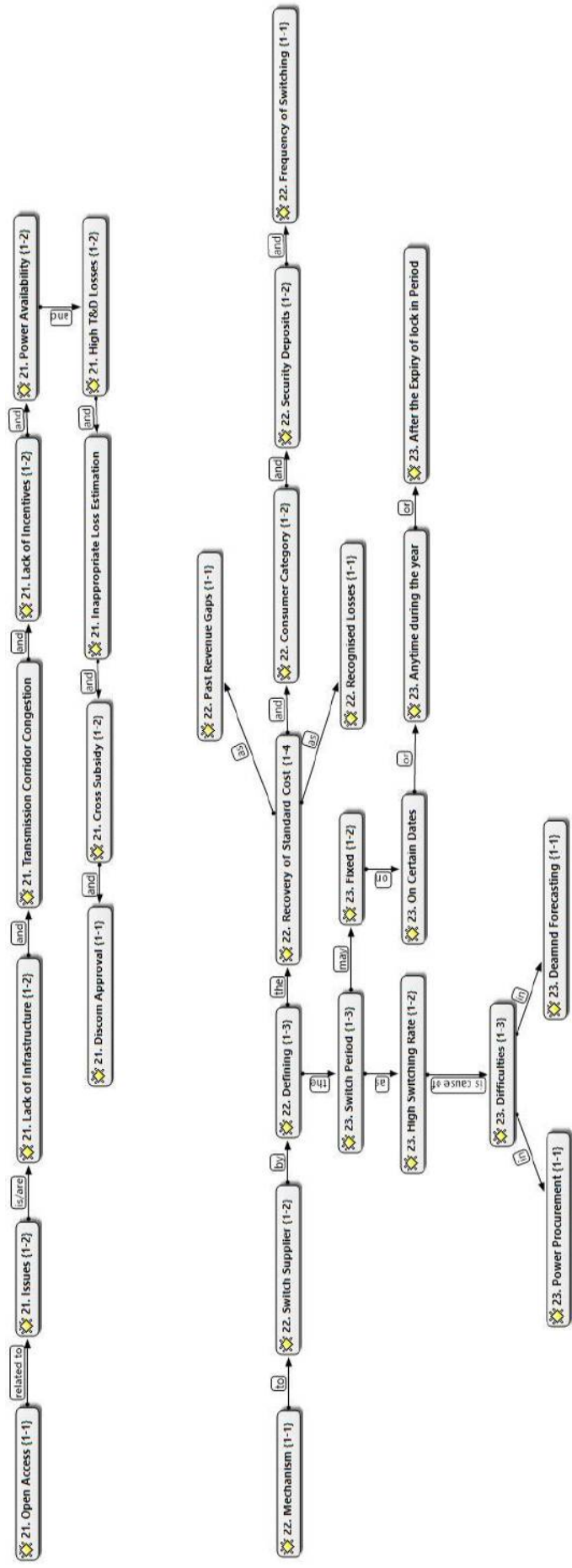
13. Role of provider of last resort



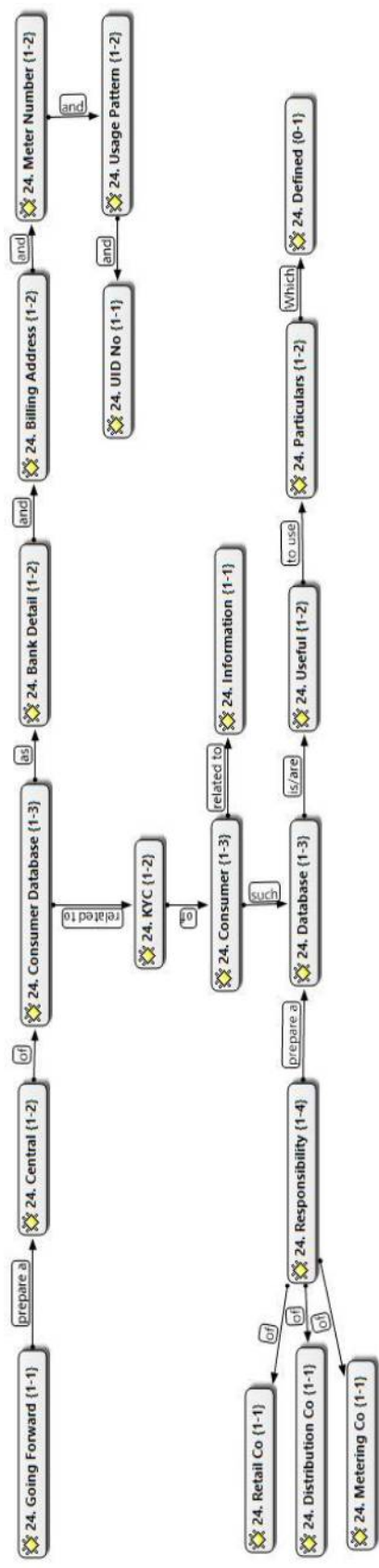
14. Open Access



15. Choice of supplier and market opening

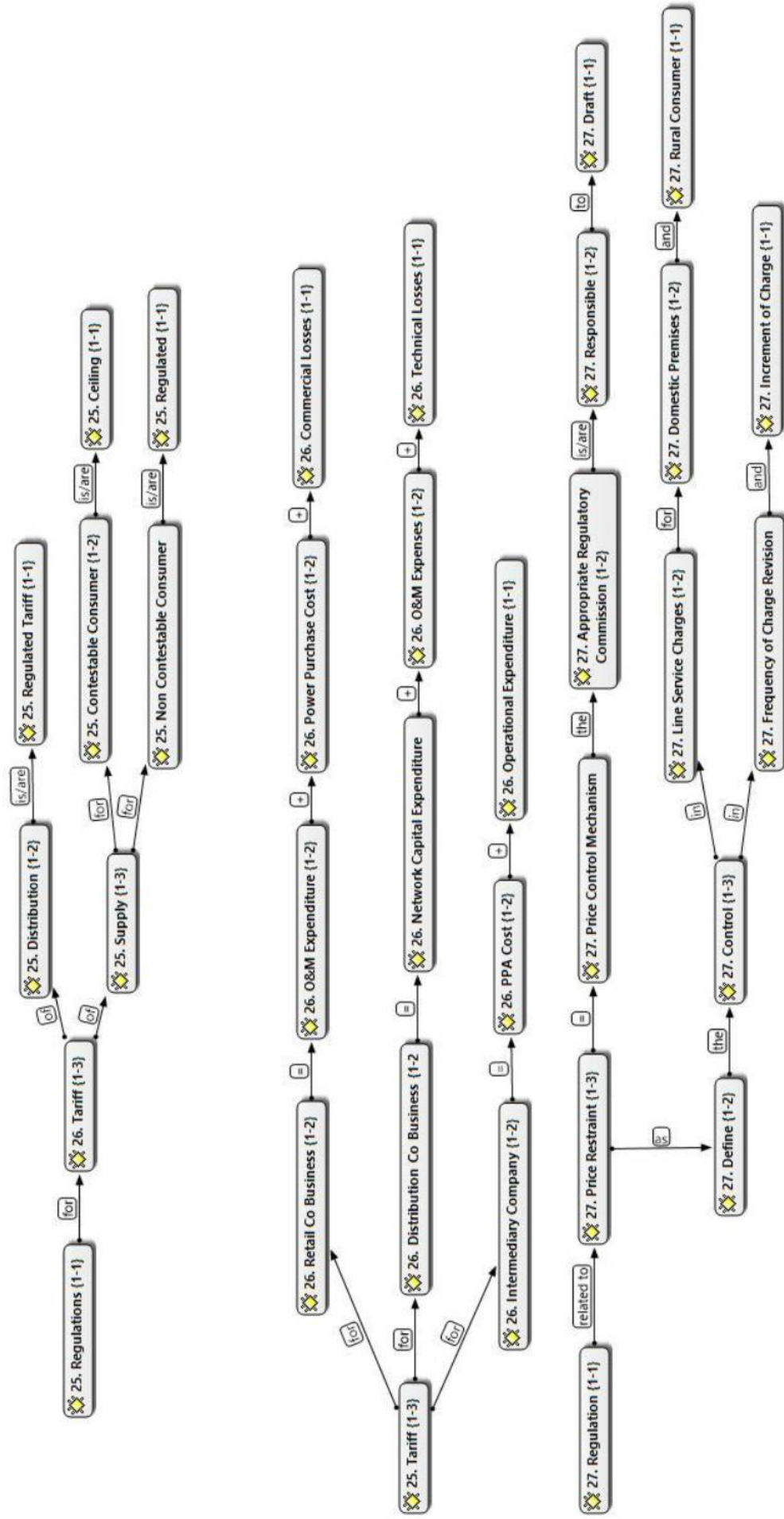


16. Preparation of consumer database or KYC for helping the utilities

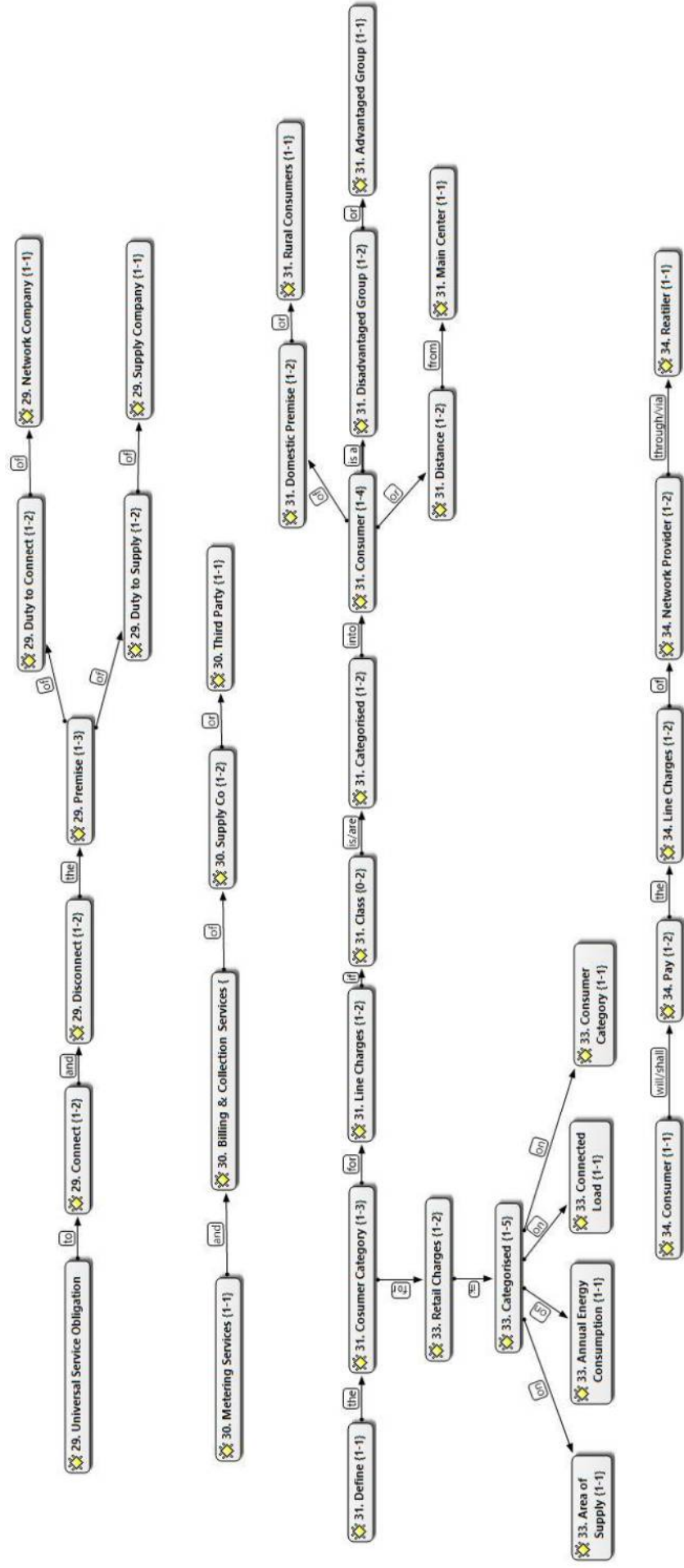


17. Regulations for tariff

18. Regulations for price restraint

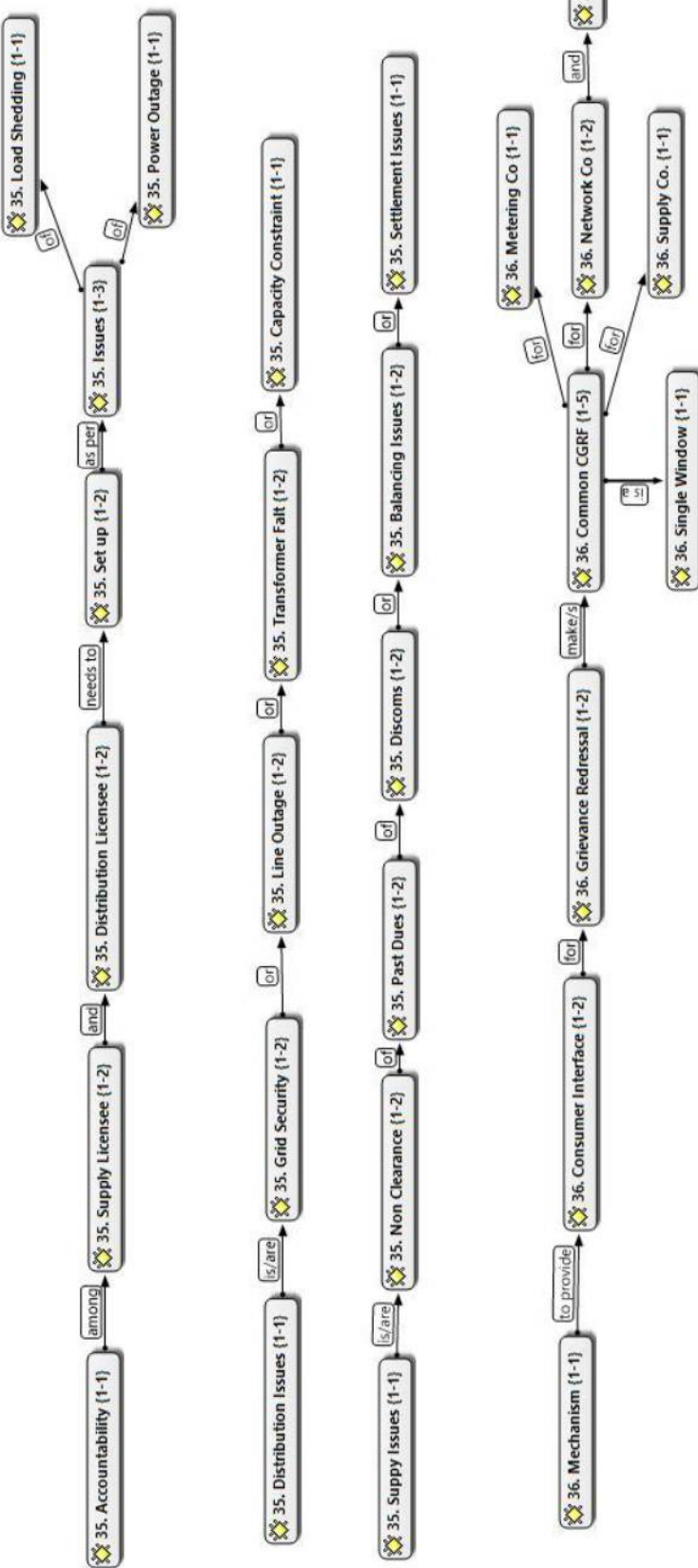


19. The Electricity Code



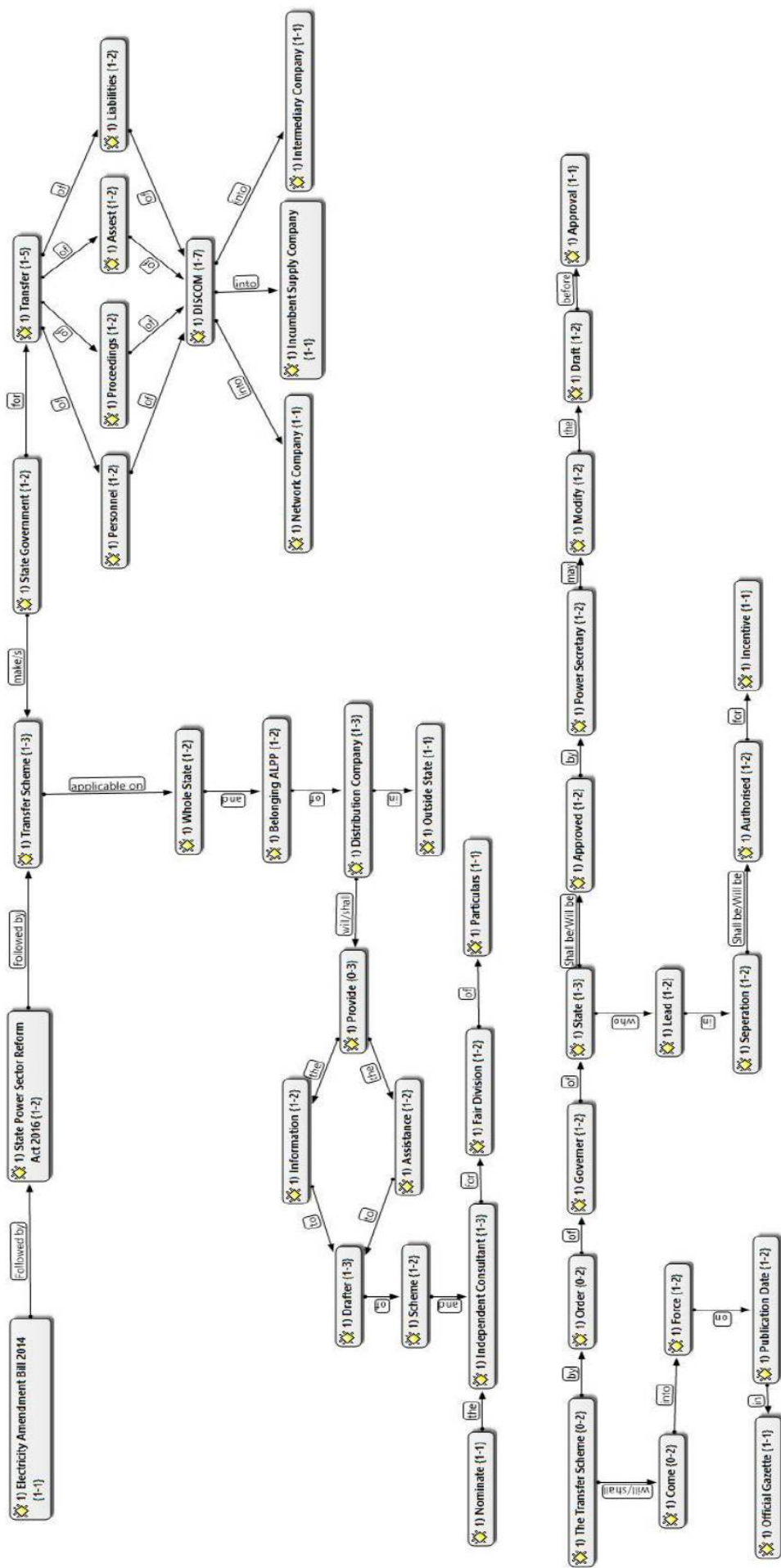
20. Accountability of Supply Licensees to use the distribution system

21. Mechanism to provide the Consumer Interface/Consumer Grievance Redressal Mechanism (Single window)



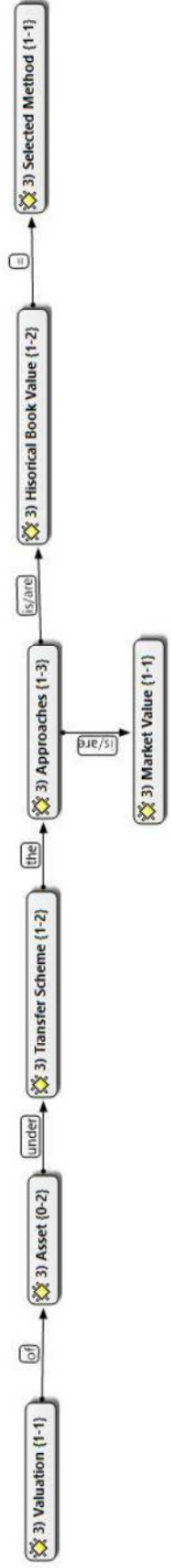
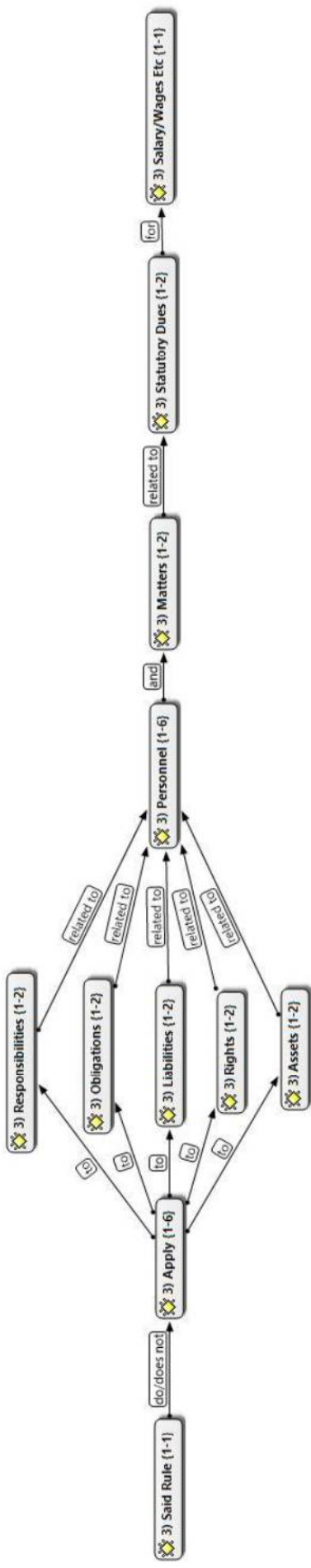
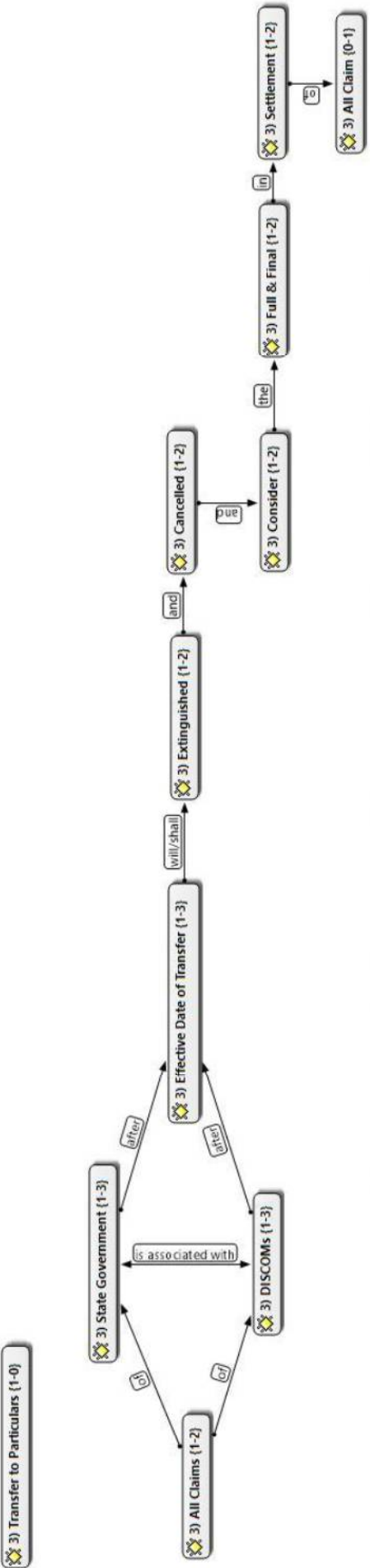
TRANSFER SCHEME

1. Requirement of Transfer Scheme

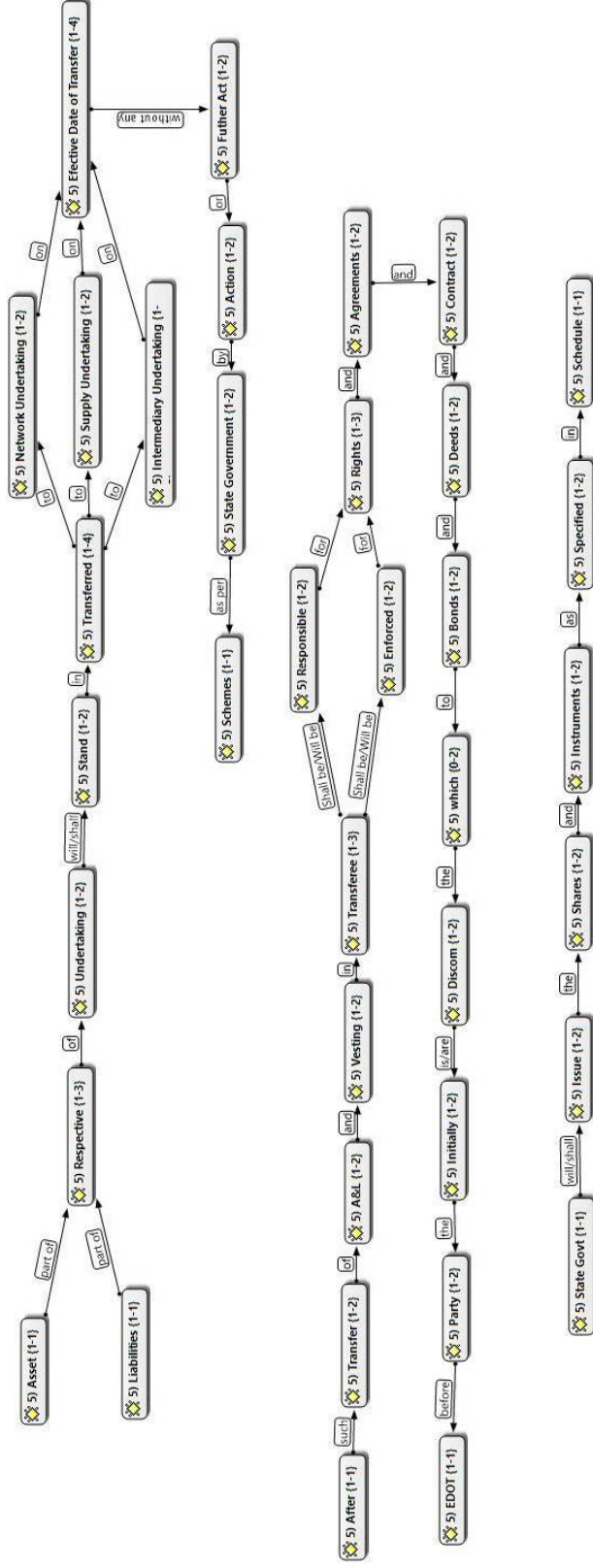


2.. Treatment of existing losses

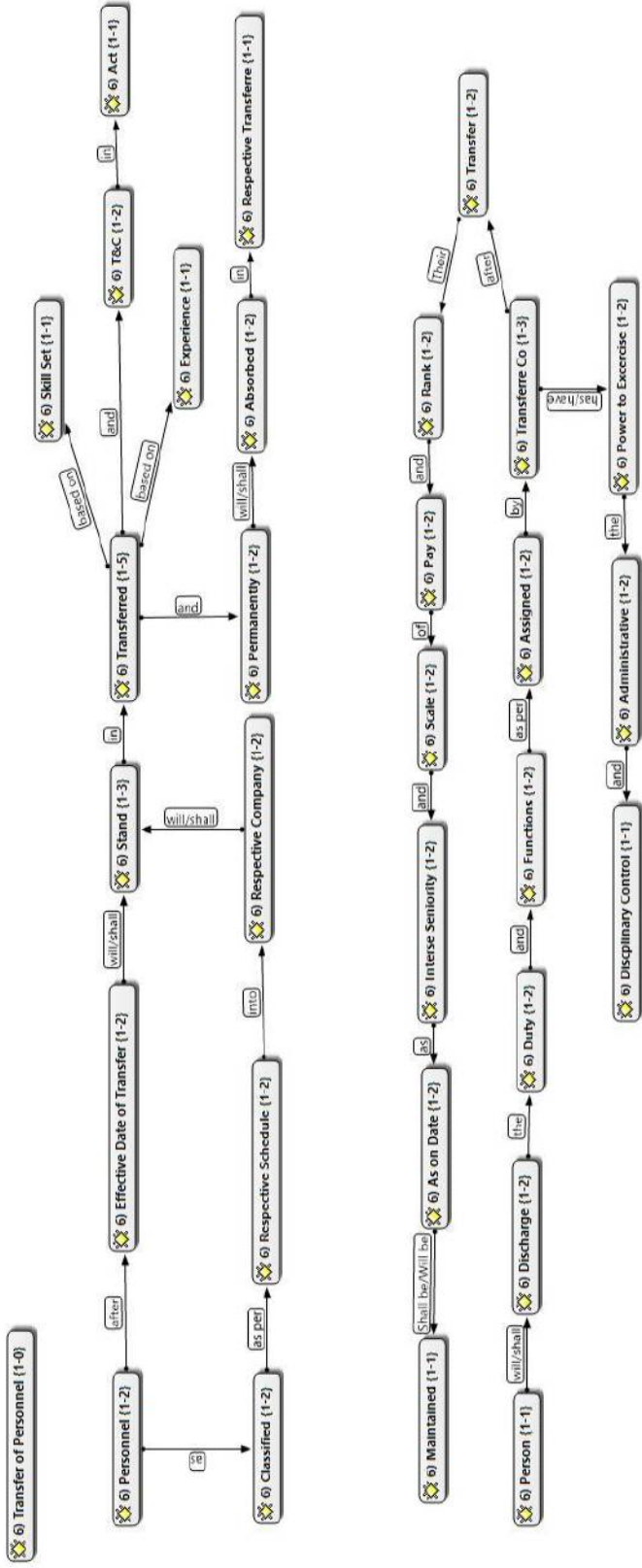
3. Effective Date of Transfer



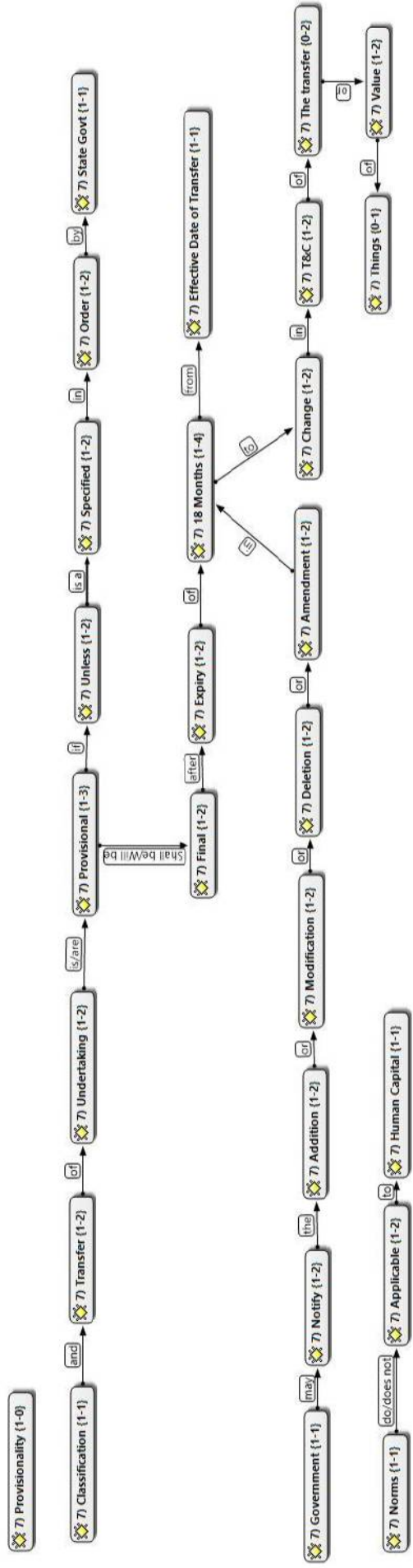
9. Responsibilities of transferee after Effective Date of Transfer

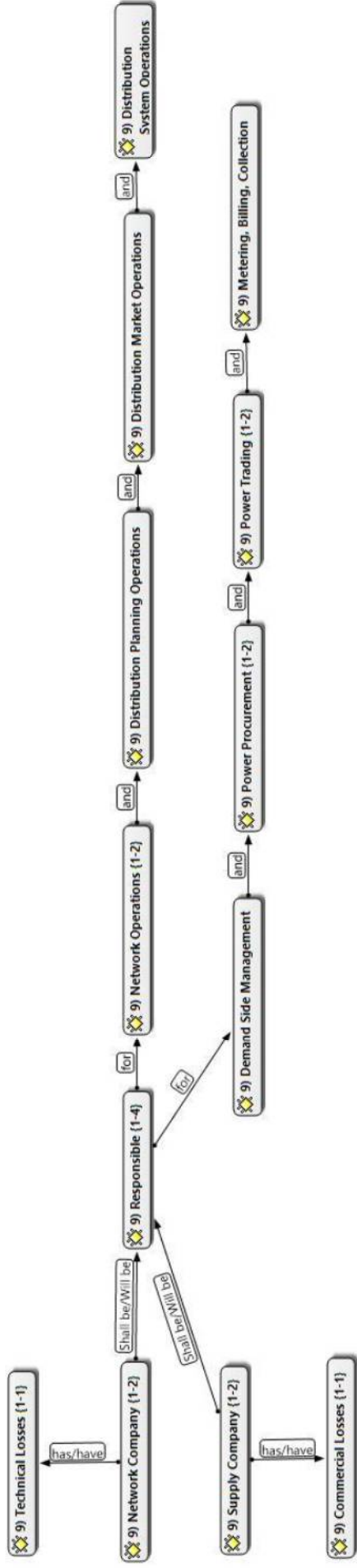


10. Transfer of Personnel



11. Provisional period in transfer





14. Who will remove any difficulty in regard to transfer scheme, if arises?

