

**ORIGINAL**

Commissioner	Yes	No	Not Participating
Huston	✓		
Freeman			✓
Krevda	✓		
Ober	✓		
Ziegner	✓		

STATE OF INDIANA

INDIANA UTILITY REGULATORY COMMISSION

REQUEST OF INDIANA GAS COMPANY, INC. )  
D/B/A CENTERPOINT ENERGY INDIANA )  
NORTH AND THE COMMISSION’S PIPELINE ) CAUSE NO. 45520  
SAFETY DIVISION FOR APPROVAL OF A )  
CONSENT AGREEMENT RESOLVING )  
PIPELINE SAFETY VIOLATIONS AND ) APPROVED: MAR 24 2021  
NOTICE OF THE COMMISSION’S INTENT TO )  
APPROVE THE CONSENT AGREEMENT. )

ORDER OF THE COMMISSION

**Presiding Officers:**  
**James F. Huston, Chairman**  
**Loraine L. Seyfried, Chief Administrative Law Judge**

Based upon a letter received from the General Counsel Division of the Indiana Utility Regulatory Commission (“Commission”) and pursuant to Ind. Code ch. 8-1-22.5, the Commission commences this Cause to consider a February 24, 2021 Consent Agreement entered into between Indiana Gas Company, Inc. d/b/a CenterPoint Energy Indiana North (“CenterPoint”) and the Commission’s Pipeline Safety Division (“Division”) regarding alleged pipeline safety violations on January 22, 2020 and provides notice of the Commission’s intent to approve the Consent Agreement.

**1. Commission Jurisdiction.** Under Ind. Code § 8-1-22.5-7(b), the Commission, after notice and opportunity to be heard, may impose a civil penalty against a person that violates Ind. Code ch. 8-1-22.5 or any rules issued under that chapter. CenterPoint is a person as defined by Ind. Code § 8-1-22.5-1(e). Therefore, the Commission has jurisdiction over CenterPoint and the subject matter of this proceeding.

**2. Background and Procedural History.** On February 25, 2020, the Division issued a Notice of Probable Violation to CenterPoint alleging three probable violations identified during a Division inspection on January 22, 2020 concerning the qualification of pipeline personnel. Specifically, the Division alleged violations of 49 CFR 192.805 (failure to produce performance evaluation forms), 49 CFR 192.807 (failure to record and document training), and 49 CFR 192.627 (failure to produce records related to personnel tapping pipelines under pressure). Letter from Steve Davies, Assistant General Counsel, Commission, to Loraine Seyfried, Chief Administrative Law Judge, Commission (March 3, 2021) (attached).

The Division and CenterPoint have entered into a Consent Agreement resolving the three alleged violations for which CenterPoint has taken remedial action and agreed to pay a monetary civil penalty of \$50,000, which will not be recoverable in the utility’s rates. CenterPoint also waives its right to a public hearing pursuant to Ind. Code §§ 8-1-22.5-7(b) and 8-1-22.5-10.

3. **Notice of Intent to Approve Consent Agreement.** Based upon the information submitted by the Commission's Assistant General Counsel, the Commission provides notice that it intends to approve the February 24, 2021 Consent Agreement unless it receives an objection or request for a hearing filed under this Cause within 20 days from the date of this Order.

**IT IS THEREFORE ORDERED BY THE INDIANA UTILITY REGULATORY COMMISSION that:**

1. After review of the Consent Agreement and based upon information from the Commission's General Counsel Division, the Commission provides notice of its intent to approve the February 24, 2021 Consent Agreement.

2. Any objection to the Commission's proposed approval of the February 24, 2021 Consent Agreement shall be filed under this Cause within 20 days from the date of this Order.

3. This Order shall be effective on and after the date of its approval.

**HUSTON, KREVDA, OBER, AND ZIEGNER CONCUR; FREEMAN ABSENT:**

**APPROVED: MAR 24 2021**

**I hereby certify that the above is a true  
and correct copy of the Order as approved.**

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**Dana Kosco,  
Secretary of the Commission**

# STATE of INDIANA



INDIANA UTILITY REGULATORY COMMISSION  
101 WEST WASHINGTON STREET, SUITE 1500 EAST  
INDIANAPOLIS, INDIANA 46204-3419

www.in.gov/iurc  
Office: (317) 232-2701  
Facsimile: (317) 232-6758

March 3, 2021

Loraine Seyfried  
Chief Administrative Law Judge  
Indiana Utility Regulatory Commission  
101 W. Washington Street, Suite 1500 E  
Indianapolis, IN 46204

**Re: Submission of Consent Agreement between Indiana Gas Company, Inc. d/b/a CenterPoint Energy Indiana North and the Pipeline Safety Division for Commission Determination**

Dear Judge Seyfried:

I hereby request that the Indiana Utility Regulatory Commission (“Commission”) open a proceeding to determine approval of the attached Consent Agreement between Indiana Gas Company, Inc. d/b/a CenterPoint Energy Indiana North (“CEI North”) and the Commission’s Pipeline Safety Division (“Division”). The Consent Agreement resolves a total of three violations of Ind. Code ch. 8-1-22.5 committed by CEI North in Lafayette, Indiana on January 22, 2020.

Specifically, the Division alleged three probable violations in a *Notice of Probable Violation* issued on February 25, 2020, including violations concerning the qualification of pipeline personnel. The facts surrounding the three violations are given in more detail in the attached Consent Agreement and in the Attachments to the Consent Agreement. The Division alleged the same three violations in a *Notice of Proposed Penalty* issued on July 20, 2020. CEI North and the Division have agreed in the Consent Agreement to a monetary penalty of \$50,000.00.

This is the fourth Consent Agreement submitted by the Division in this manner for Commission approval. In the first two consent agreements, you circulated this cover letter and the Consent Agreement (with attachments) to the Commissioners.

If the Commission determines that it desires a public hearing, William Boyd and Mike Neal should be designated as Testimonial Staff. If the Commission intends to approve the Consent Agreements without a hearing, it may issue an initial order notifying the public of the Commission’s intent to approve the Consent Agreements and allow a time period for any objections or requests for hearing. I recommend a 20-day period for objections. If no other party objects or requests a hearing within the specified time period, the Commission may then issue an order approving the Consent Agreements. The Division does not anticipate any objections or requests for a hearing from any other party.

Please let me know if you have any questions.

Sincerely,

A handwritten signature in black ink, appearing to read 'Steve Davies', with a stylized flourish at the end.

Steve Davies  
Assistant General Counsel

cc: Ryan Heater, Chief of Staff  
Beth Heline, General Counsel  
Bill Boyd, Director Pipeline Safety Division

STATE OF INDIANA

INDIANA UTILITY REGULATORY COMMISSION

CONSENT AGREEMENT OF )  
INDIANA GAS COMPANY, INC. D/B/A )  
CENTERPOINT ENERGY INDIANA NORTH )  
AND THE PIPELINE SAFETY DIVISION OF )  
THE INDIANA UTILITY REGULATORY ) CAUSE NO.  
COMMISSION FOR APPROVAL OF )  
MONETARY CIVIL PENALTIES UNDER )  
IND. CODE CH. 8-1-22.5 FOR VIOLATIONS )  
OF MINIMUM PIPELINE SAFETY STANDARDS )

**STIPULATION, CONSENT AGREEMENT,  
AND WAIVER OF EVIDENTIARY HEARING**

Indiana Gas Company, Inc., d/b/a CenterPoint Energy Indiana North (“CEI North”), formerly known as Vectren, a CenterPoint Energy Company, and the Pipeline Safety Division (“Division”) of the Indiana Utility Regulatory Commission (“Commission”) voluntarily enter into this Stipulation, Consent Agreement, and Waiver of Evidentiary Hearing (“Agreement”) pertaining to the violations and penalties described herein.

**A. Jurisdiction and Procedural Posture**

1. The Division is responsible for the administration and enforcement of compliance with federal safety performance applicable to transportation and related pipeline facilities established under the Natural Gas Pipeline Safety Act of 1968 and the Hazardous Liquid Pipeline Safety Act of 1979 (49 U.S.C. 60101 et seq.) (the “PHMSA Standards”) under Indiana Code ch. 8-1-22.5. The Division is also responsible for the administration and enforcement of compliance with the pipeline safety standards adopted by the Commission for the State of Indiana in 170 IAC 5-3, which specifically adopts and adds to the federal safety standards.

2. CEI North is a “public utility” as that term is defined in Ind. Code § 8-1-2-1, and is a “person who engages in transportation or who owns, operates, or leases pipeline facilities” within the meaning of Ind. Code § 8-1-22.5-6 and subject to the PHMSA Standards and the jurisdiction of the Commission.

3. Division staff performs inspections and other activities to verify compliance with the PHMSA Standards and issues Notices of Probable Violation (“NOPVs”) and Notices of Proposed Penalties (“NOPPs”) to pipeline operators subject to the Commission’s jurisdiction in instances where non-compliance with the PHMSA Standards is alleged.

**i. Division Inspection, NOPV, Response, NOPP**

4. On or about January 22, 2020, Division Inspectors Neal and Martin conducted an in-person design, testing, construction-distribution inspection of CEI North facilities at the intersection of Twyckenham Blvd. and 9<sup>th</sup> Street, Lafayette, Indiana. Three violations were identified as a result of this inspection. A copy of the *Inspection Report of Construction* is attached hereto as Attachment 1.

5. The Division issued NOPV No. 11064-2020122 to CEI North on February 25, 2020. The NOPV alleged 3 probable violations.

**1: Probable Violation**

**49 CFR 192.805 – Qualification program - Qualification of Pipeline Personnel**

[CEI North] failed to produce performance evaluation forms specific to plastic tapping and stopping with the Mueller 4" Shur Stop machine for both Joe Knapp and Brad Royer. Joe Knapp and Brad Royer performed the tap on January 22, 2019 at the intersection of Twyckenham Blvd. and 9th Street, Lafayette, IN. The tap was made using a 4" Mueller Shur Stop. The only performance evaluations they could provide was for 4" tapping and stopping with a TDW shortstopp 60 plugging machine.

**2: Probable Violation**

**49 CFR 192.807 – Recordkeeping - Qualification of Pipeline Personnel**

[CEI North] is not properly recording and documenting training they receive from Pete Lohn with Mueller. [CEI North] is using Mueller trainers to be properly trained on the new Shur Stop equipment but failing to create any records to support their claim that their employees received the training.

**3: Probable Violation**

**49 CFR 192.627 – Tapping pipelines under pressure**

[CEI North] failed to produce records to show that Joe Knapp and Brad Royer were qualified to operate the 4" Mueller Shur Stop equipment to make taps on a pipeline under pressure. Both individuals were part of the 4" plastic tap and stop at the intersection of Twyckenham Blvd. and 9th Street in Lafayette, IN.

A copy of the NOPV is attached hereto as Attachment 2.

6. CEI North responded to the NOPV in writing on or about April 23, 2020. CEI North provided additional information to the Division and identified steps taken and to be taken to address the issues raised by the Division. A copy of the CEI North's Response to the NOPV is attached hereto as Attachment 3.

7. The Division issued NOPP No. 11064-2020720 to CEI North on July 20, 2020. The NOPP alleged 3 violations.

**1 Violation:** 49 C.F.R. § 192.627, Tapping Pipelines under Pressure  
One day

**1 Violation:** 49 C.F.R. § 192.805, Qualification Program  
One day

**1 Violation:** 49 C.F.R. § 192.807, Recordkeeping  
One day

A copy of the NOPP is attached hereto as Attachment 4.

**B. Agreed Civil Penalty**

8. The Commission may impose penalties against CEI North for violations of the PHMSA Standards of up to \$25,000.00 for each violation for each day that the violation persisted, up to a maximum of \$1,000,000.00 for a related series of violations. In total the Division discovered three violations of the PHMSA Standards. All are subject to the \$25,000 fine for each violation and for each day the violation persisted. The total dollar amount of possible penalties for these violations was \$75,000.00.

9. CEI North admits (subject to qualification in this Agreement) to the violations alleged in the NOPV and NOPP and agrees to payment of a total monetary civil penalty of \$50,000.00 to the general fund of the State of Indiana for its violations of 49 C.F.R. § 192.627 and 49 C.F.R. § 192.805. In recognition that the alleged recordkeeping violation is not so egregious as to rise to the level of the other two violations, and in acknowledgement of the remedial measures taken by CEI North to ensure that this violation is not repeated, the PSD waives a penalty assessment for CEI North's violation of 49 C.F.R. § 192.807. Payment of this civil penalty will be made within 30 days of approval by the Commission, and the civil penalty shall not be recoverable by CEI North through its Commission-authorized rates and charges.

**C. Waiver of Public Hearing**

10. Given its admission of the violations alleged in the NOPV and NOPP and its agreement to pay a statutory civil penalty for those violations, and in the interest of administrative efficiency, CEI North waives its right to a public hearing pursuant to Ind. Code §§ 8-1-22.5-7(b) and 8-1-22.5-10 on the matters alleged in the NOPV and NOPP and the associated penalties. The Parties agree that the stipulated facts above together with the attachments hereto constitute an adequate evidentiary record upon which the Commission may base an Order approving the agreed corrective actions including payment of the agreed monetary civil penalty.

**D. Public Record**

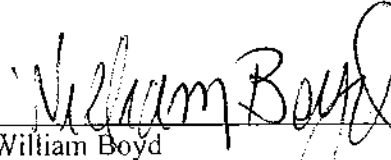
11. This agreement is a public record subject to disclosure upon request under the Indiana Access to Public Records Act, Ind. Code ch. 5-14-3.

E. Stipulation

12. It is so stipulated and agreed this 24th day of February 2021.



Richard C. Leger  
VP Regional Operations  
Indiana Gas Company, Inc., d/b/a  
CenterPoint Energy Indiana North



William Boyd  
Director, Pipeline Safety Division  
Indiana Utility Regulatory Commission

**INSPECTION REPORT  
OF CONSTRUCTION**

**Operator:** Vectren - A Centerpoint Company **Date:** 1/22/2020

**Inspection Unit:** Lafayette - Vectren **Address:** Twyckenham Blvd. and S. 9th Street, Lafayette

Contact Kolten Nelson Title Foreman, Miller Pipeline

Contact Jason Plantenga Title Lafayette Supervisor, Vectren

Engineer(s) Mike Neal, Mike Martin

**Evaluation Summary (use item numbers)**

**Action Taken:** 3 violations related to procedures, training, and OQ will be issued as a result of this inspection. See CRM for details. +

**Agreed Schedule for Correction:** \_\_\_\_\_

**Previous Deficiencies Corrected:** \_\_\_\_\_

**General Description of Construction:** DESCRIPTION: IN – LAFAYETTE- TWYCKENHAM BLVD – PUBLIC IMPROVEMENT INSTALL 2120' OF 4" HDPE AND 465' OF 2" HDPE MAIN ALONG TWYCKENHAM BLVD FROM RAMPART STREET TO N 9TH STREET. TIE OVER THREE SERVICES ALONG THE ROUTE. 6 MAIN TIE OVERS WILL BE INCLUDED. +

**Written Plan:**

Written Plan Available     Drawings Available     Location in Right of Way

Underground Structures Located     Design Pressure Calculations

CP Data     Risk Reduction of IC (Design & Engineering - Transmission)     Transmission Main Designed to be Piggable?

Depth of Ditch 5'    Joining Method \_\_\_\_\_    Materials Mueller 4" plastic Shur Stop

Test Pressure \_\_\_\_\_    Medium \_\_\_\_\_    Duration \_\_\_\_\_

NOP \_\_\_\_\_    MAOP \_\_\_\_\_

**Indiana811 Locate Number(s)** \_\_\_\_\_

**Comments** Observed Vectren completing a 4" plastic tap using a Mueller 4" plastic Shur Stop. Joe Knapp, Kyle Kuntz and Brad Royer were completing the tap. Vectren could not produce a procedure specific to using Mueller plastic tapping procedures, could not produce OQ records relating to the 3 employees being qualified, and could not produce records on training from Mueller related to this equipment. +

**Materials**

Pipe Identified per Plan     Coating per Plan     Valves per Plan     Fittings per Plan

Materials Inspected at Jobsite by Operator

**Comments** 4" Plastic Mueller Shur Stop

**INSPECTION REPORT  
 OF CONSTRUCTION**

<u>Construction</u>	<u>Yes</u>	<u>No</u>	<u>NA</u>	<u>NC</u>
Directional Boring Procedures Followed .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Ditch Location follows Plan .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Changes from Plan Recorded .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
As-Built Drawings Made .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Pipe Installed to Minimize Stress .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Installed Pipe Protected from Hazards .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Installed in Manner to Protect Pipe from Underground Structures .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Amount of Cover Satisfactory .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Field Bends .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Along Neutral Axis .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
At Circumferential Welds .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Wrinkle Bend(s) Satisfactory .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Anchors and Supports Installed .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Joining Procedures Followed .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Joints Visually Inspected .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Welds Nondestructively Tested .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Joints Coated and Wrapped .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Pipe and Coating Inspected prior to Lowering into Ditch .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Damaged Coating Repaired .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Damaged or Defective Pipe Repaired or Replaced .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Backfill Material and Method gives Support to Pipe .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Backfill does not Damage Coating .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Valves Installed for Control or Emergency .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Valve Box Supported .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Valve Setting in Accessible Location .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Plastic Valve(s) Protected from Shear Loads .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Plastic Pipe Installed Underground .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Tracer Wire Buried with Pipe .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Installed to Minimize Shear or Tensil Load .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Inserted in Casing in Manner to Protect Plastic from Gouges, etc. ....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Tools and Equipment in good condition (heating irons, guages, etc) .....	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments: Mueller plastic tapping equipment appeared in good condition at the time of inspection and at the time the tapping occurred.				

**INSPECTION REPORT  
 OF CONSTRUCTION**

**Cathodic Protection**

	<u>Yes</u>	<u>No</u>	<u>NA</u>	<u>NC</u>
Cathodic Protection Installed _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Anodes _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Impressed Current _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Designed by Qualified Person _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Protective Coating Appears Satisfactory _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pipe Handled to Protect Coating _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Test Stations Installed _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Locations Recorded _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Anode Locations Recorded _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Test Leads Coated and Wrapped _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Above Ground Piping Protected from Atmospheric Corrosion _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Insulators Installed _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Tested _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Locations Recorded _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Resistance Bonds Installed _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Locations Recorded _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
IC Reductions Installed _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Cathodic Protection Meets Required Level _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
P/S Readings Recorded _____	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Comments Plastic to plastic.

**Pressure Testing** - per 49 CFR 192 Subpart J

	<u>Yes</u>	<u>No</u>	<u>NA</u>	<u>NC</u>
Pressure Test(s) Made per Plan _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Test(s) Meet Code Requirements _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Leak(s) during Test(s) _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Leak(s) Repaired _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other Defects Found during Test _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Defects Repaired or Replaced _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Pipeline Purged _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Comments

Clear Form

Submit XML Data



25 February 2020

Indiana Gas Company  
Richard Leger  
One Vectren Square  
Evansville, IN 47708

RE: Notice of Probable Violation: 11064-2020122

The Pipeline Safety Division ("Division") of the Indiana Utility Regulatory Commission ("Commission") hereby provides you notice of the probable violation(s) listed below, pursuant to the Division's authority under Indiana Code chapter 8-1-22.5, the Natural Gas Pipeline Safety Act of 1968 and the Hazardous Liquid Pipeline Safety Act of 1979 (49 U.S.C. § 60101 et seq.), and the Commission's minimum pipeline safety rules and standards for transportation and related pipeline facilities, Title 170 Indiana Administrative Code Rule 5-3, incorporating 49 CFR Parts 40, 191, 193, 194, 195, 198, and 199.

### **Probable Violation(s)**

On one or more days including 01/22/2020, a Design, Testing, Construction - Distribution was conducted at Lafayette - Vectren, 1250 S Creasy Ln, Lafayette. Probable violation(s) found during this inspection include:

1: Probable Violation

#### **49 CFR 192.805 – Qualification program - Qualification of Pipeline Personnel**

Vectren failed to produce performance evaluation forms specific to plastic tapping and stopping with the Mueller 4" Shur Stop machine for both Joe Knapp and Brad Royer. Joe Knapp and Brad Royer performed the tap on January 22, 2019 at the intersection of Twyckenham and 9th street, Lafayette, IN. The tap was made using a 4" Mueller Shur Stop. The only performance evaluations they could provide was for 4" tapping and stopping with a TDW shortstopp 60 plugging machine.

2: Probable Violation

#### **49 CFR 192.807 – Recordkeeping - Qualification of Pipeline Personnel**

Vectren is not properly recording and documenting training they receive from Pete Lohn with Mueller. Vectren is using Mueller trainers to be properly trained on the new Shur Stop equipment but failing to create any records to support their claim that their employees received the training.

3: Probable Violation

**49 CFR 192.627 – Tapping pipelines under pressure**

Vectren failed to produce records to show that Joe Knapp and Brad Royer were qualified to operate the 4" Mueller equipment to make taps on a pipeline under pressure. Both individuals were part of the 4" plastic tap and stop at the intersection of Twyckenham and 9th street in Lafayette, IN.

You are required to review each listed probable violation and provide a written response to this office with the following information:

- A detailed description of steps that have been or will be completed to correct non-compliance with the above cited rules, including dates such steps were or are anticipated to be taken.
- Steps that you intend to take in order to prevent a recurrence of the above probable violation(s), including dates such steps were or are anticipated to be taken.
- Copies of any new or existing written procedures that support the steps taken to correct and further prevent a recurrence of these violations.

Your written response must be received no later than **4/23/2020** and sent to the Division as follows:

- Via email to [pipelineinspections@urc.in.gov](mailto:pipelineinspections@urc.in.gov).
- Label the subject line: NOPV 11064-2020122 Response.
- You will receive an automated message that your response was received; if you do not receive an automated message, we did not receive your response.

If you must submit your response in hard copy, please send it to this address:

Attn: Pipeline Safety Division  
Indiana Utility Regulatory Commission  
101 West Washington Street, Suite 1500 E  
Indianapolis, Indiana 46204

The Division will review your response and provide acknowledgement of receipt. After review of your response, the Division may:

- (1) provide acknowledgement of a satisfactory response;
- (2) request additional information and/or documentation;
- (3) request to meet with you;
- (4) send you a Notice of Proposed Penalties; and/or
- (5) request the Commission initiate an investigation on the matter.

**Failure to respond will result in a Notice of Proposed Penalty and/or a request for a Commission investigation.**

Thank you for the courtesy extended during our visit. Please contact the Division at [pipelineinspections@urc.in.gov](mailto:pipelineinspections@urc.in.gov) should you have any questions.

Respectfully,

A handwritten signature in black ink that reads "William Boyd". The signature is written in a cursive style with a large, looped initial "W".

William Boyd, Director  
Pipeline Safety Division



Vectren  
P.O. Box 209  
Evansville, IN 47702-0209

April 23, 2020

Mr. Bill Boyd, Pipeline Safety Director  
Pipeline Safety Division  
Indiana Utility Regulatory Commission  
101 West Washington, Suite 1500 East  
Indianapolis, IN 46204

Subject: Vectren Response to IURC Notice of Probable Violation – 11064-2020122

Dear Mr. Boyd:

Vectren, a CenterPoint Energy Company (CNP), values its working relationship with the IURC, particularly the Pipeline Safety Division staff. Our commitment to the safety of our workforce, assets, and the public remains strong as our Safety Management System culture strengthens and our focus and continuous improvement expands across our workforce. Vectren welcomes this opportunity to provide additional information in response to the Notice of Probable Violation (NOPV) letter dated February 25, 2020, related to the Lafayette, IN construction site inspection.

**Probable Violation 1: 49 CFR 192.805 Qualification Program - Qualification of Pipeline Personnel.**

Issue: Vectren failed to produce performance evaluation forms specific to plastic tapping and stopping with the Mueller 4" Shur Stop machine for both Joe Knapp and Brad Royer. Joe Knapp and Brad Royer performed the tap on January 22, 2020, at the intersection of Twyckenham and 9th Street, Lafayette, IN. The tap was made using a 4" Mueller Shur Stop. The only performance evaluations they could provide was for 4" tapping and stopping with a TDW Shortstopp 60 plugging machine.

Vectren Response: Vectren provided four performance evaluations for Joe Knapp and Brad Royer. These included: (1) the aforementioned TDW Shortstopp performance evaluation PEF192-1426.05 – Tapping/Stopping – Steel Stopping/Plugging – Up to 4 in TDW Shortstopp 60; as well as (2) PEF 192-1426.09 Tapping/Stopping – Steel Tapping – 4" and less Mueller D or E Machine; (3) PEF192-1426.11 – Tapping/Stopping – Steel Completion Plug Setting – 4" and less Mueller Machines; and (4) PEF192-1002.02 – Plastic Pipe Joints – Electrofusion: Service Tee, (see attached exhibits A and B). Vectren acknowledges it does not currently have a performance evaluation form specific to the 4" Mueller Shur Stop, within its covered task list nor know of any such forms published by a major Operator Qualification (OQ) content provider. Vectren maintains that the component pieces of the evaluations provided serve to demonstrate the competency of the individuals listed in performing the operation of the 4" Mueller Shur Stop, pursuant to 49 CFR 192.805 (b): "Ensure through evaluation that individuals performing covered tasks are qualified". However, Vectren commits to the creation

and implementation of a single performance evaluation form to document the plastic tapping /stopping /completion process by July 1<sup>st</sup>, 2020.

In addition, Vectren is in the process of initiating the merge of our OQ Program with the CNP OQ Program. As part of this integration process, Vectren is researching ASME B31Q Operator Qualification standard for adoption and implementation, including the B31Q-identified covered task list. During this process, Vectren will ensure that all component elements of the B31Q-identified covered tasks (for example, ASME Task 1091 Tap a Pipeline [Tap Diameter Greater than 2 Inch]) reflect OEM (Original Equipment Manufacturer) specifications. Progress on these integration efforts will be shared with the IURC Pipeline Safety Division.

**Probable Violation 2: 49 CFR 192.807 Recordkeeping - Qualification of Pipeline Personnel.**

Issue: Vectren is not properly recording and documenting training they receive from Pete Lohn with Mueller. Vectren is using Mueller trainers to be properly trained on the new Shur Stop equipment but failing to create any records to support their claim that their employees received the training.

Vectren Response: Vectren agrees that at the time of this inspection, the availability of records to document employee training on plastic tapping and stopping with the 4" Mueller Shur Stop machine was delayed. However, as accurately noted by the IURC inspector, Pete Lohn (Mueller Training Representative) did provide this training to our employees (including Brad Royer and Joe Knapp). This training occurred on 8/7/18 and certificates (see attached exhibits C & D) attesting to this training are provided for the Pipeline Safety Division's review. Vectren has reiterated to the training staff the necessity of timely documentation of training.

**Probable Violation 3: 49 CFR 192.627 - Tapping Pipelines Under Pressure**

Issue: Vectren failed to produce records to show that Joe Knapp and Brad Royer were qualified to operate the 4" Mueller equipment to make taps on a pipeline under pressure. Both individuals were part of the 4" plastic tap and stop at the intersection of Twyckenham and 9th Street in Lafayette, IN.

Vectren Response: As discussed in response #1, Vectren provided four performance evaluations, one each for both Joe Knapp and Brad Royer. For details, please refer to response #1, and see attached exhibits A & B. Vectren agrees that at the time of this inspection, the availability of records to document employee training on plastic tapping & stopping with the 4" Mueller Shur Stop machine was delayed. However this training documentation has been obtained as stated in our response #2 and submitted for staff's review and consideration – (attached exhibits C & D).

Conclusion: Vectren appreciates this opportunity to provide additional information related to the IURC Notice of Probable Violation (11064-2020122). Vectren welcomes the opportunity to discuss its mitigation measures and the enhancements that Vectren and CenterPoint Energy continue to implement across the company. Vectren considers such efforts to be an integral part of its Safety Management System that Vectren employees use every day.

Vectren appreciates the time and attention that Pipeline Safety Division staff devotes to our mutual priority in pipeline safety.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Adam M. Gilles". The signature is fluid and cursive, with a large initial "A" and "M".

Adam Gilles

Director of Regional Operations

CC: Richard C. Leger, Vice President Regional Operations for CenterPoint Energy  
Indiana/Ohio

Encl: Exhibit A – Knapp PEF's.pdf, Exhibit B – B Royer PEF's.pdf, Exhibit C – Mueller  
Company Shur-Stop 4 x 6 Training Certificates – Knapp & Royer.pdf & Exhibit D – Mueller  
Company Shur-Stop 4x6 Training Photos.pdf



## Performance Evaluation Form



PEF#: 192-1426.05      PEF Title: Tapping/Stopping - Steel Stopping/Plugging - Up to 4 in TDW Shortstopp 60

**PEF Task Description:**  
 Inserting and removing a 3" or smaller diameter stopper/plug into a steel pipeline using a TDW Shortstopp 60 plugging machine.

Employee Name: Joe Kwagg      Employee ID #: 5641  
 Employee's Reporting Location/Contractor Name: Columbus      Date: 4-16-18  
 Evaluator Name: Robert B Moore      Evaluator's Employee ID #: 0429

**Instructions:** Complete each of the above blocks before starting the evaluation. Review the Vectren Evaluation Process with the employee and ensure they know what to expect during the evaluation. Review the task with the employee. When the employee is ready to be evaluated, officially begin the evaluation, reminding them that they should tell you what step of the task they are about to perform. As they tell you their next step, locate the step on the list below, silently read the performance expectation statement and observe the employee's performance. Initial the box if they performed the step satisfactorily. If you do not initial a box, you must use the comments section to explain why the employee did not earn your initials in the box for this step. After the employee declares they are "done" with the task, if all task step boxes were successfully completed as indicated by your initials in each box, initial the "qualified" box. If any boxes are without initials and comments have been properly noted why they had not earned your initials, initial the "Not Qualified" box, review the comments with the employee, and inform them they are "not qualified" to perform this task. Explain that they cannot perform this task unless under the direction of another qualified individual, if span of control is 1:1 or 1:more than 1 (1 qualified employee to 1 non-qualified performer or 1 qualified employee to more than 1 non-qualified performer) with 1:0 meaning a non qualified person cannot perform the task on a jurisdictional facility. The qualified employee must be able to take immediate action to mitigate potential abnormal operating conditions (AOCs) or injuries during the performance of that task. Evaluator and employee must sign and date this form before it is submitted for further processing. **Notify the employee's Supervisor and the Manager of Technical Training immediately if the employee fails the evaluation.**

Sequence	Task Step Performance Expectation Statement & AOCs	Initial box if observed and performed properly	Comments
(i.e. * = no sequence S1.1, S1.2, S1.3 = sequence)	<p>Steps are listed in the suggested order but may be performed in any order unless marked in the left column with the sequence indicator: S1.1, S1.2, S1.3, S2.1, S2.2...</p> <p>Generic Abnormal Operating Conditions (AOCs) are listed in the AOC section following the last performance expectation step of this task. Task Specific - Abnormal Operating Conditions (TS-AOC) that might reasonably be expected to be encountered while performing this Covered Task are identified in the task performance expectation steps.</p>		<p>Explain why the performance did not meet the performance expectation statement.</p> <p>In the Generic AOC section, use the comments to explain AOCs that were encountered during the performance of the task and how the employee responded.</p>

**S1 Preparation**

•	Inspected tapping equipment to ensure it is operational and meets OEM specifications.	Evaluator Initials <i>Ru</i>	
•	Selected the correct stopping/plugging equipment (Checked to ensure the pressure rating and size of the stopping/plugging equipment is compatible with the pipeline pressure it will be used on. Shortstopp 60 is limited to 60 psig.)	Evaluator Initials <i>Ru</i>	
•	Installed pressure gauge(s) or verified pressure gauge(s) were installed where necessary to monitor line pressure	Evaluator Initials <i>Ru</i>	
•	Checked line pressure and ensured equipment will not be over-pressurized  (TS-AOC - Over-pressure)  If TS-AOC did not occur, Evaluator ask, "What would you do if you found an overpressure situation on the pipeline?"  <b>Response:</b> Make area safe, if necessary and initiate notification to Vectren local management.	Evaluator Initials <i>Ru</i>	

	Confirmed tapping/stopping fitting installation had been pressure-tested or pressure-tested it before tapping began	Evaluator Initials Ren
	Verified correct tapping/stopper fitting was installed and installed valve if used on existing fitting (Checked to ensure the pressure rating, size and opening of the tapping/stopper fitting is compatible with its intended use.)	Evaluator Initials Ren
<b>S2 Assemble Equipment and Sweep Chips</b>		
S2.1	<b>Assembled equipment</b> S2.1.1 - Installed chip sweep to the plugging head and hand tightened. S2.1.2 - Installed bleeder valve on the Shortstop 60 plugging machine (maximum 60 psig). S2.1.3 - Connected the plugging machine to the tapping valve on the fitting.	Evaluator Initials Ren
S2.2	<b>Purged assembly</b> S2.2.1 - Opened bleeder valve. S2.2.2 - Opened the tapping valve slowly to allow purge. S2.2.3 - Closed the bleeder valve when gas detected.	Evaluator Initials Ren
S2.3	<b>Performed chip sweep</b> S2.3.1 - Opened the tapping valve completely. S2.3.2 - Pushed the handle down until it contacted the main and removed hex lever from tapping valve. S2.3.3 - Rotated plugging machine lever until perpendicular to the pipe. S2.3.4 - Lowered chip sweep to the bottom of the pipe utilizing the lever handle. S2.3.5 - Turned plugging machine lever until parallel to the main. S2.3.6 - Swept chips in both directions to clear a place for the sealing cup.	Evaluator Initials Ren
<b>S3 Retracted chip sweep, Removed Plugging Machine, Reconfigured and Reinstalled Plugging Machine</b>		
S3.1	<b>Retracted chip sweep and removed plugging unit</b> S3.1.1 - Rotated plugging machine lever until perpendicular to the pipe. S3.1.2 - Retracted the chip sweep into the plugging machine. S3.1.3 - Closed tapping valve completely and tightened the control bar clamp. S3.1.4 - Opened the bleeder valve to relieve pressure. S3.1.5 - Removed plugging unit from tapping valve.	Evaluator Initials Ren
S3.2	<b>Replaced chip sweep head with sealing cup on the plugging unit</b> S3.2.1 - Inspected sealing cup and nose piece for damage. S3.2.2 - Replaced chip sweep head with sealing cup and hand tightened the nose piece. S3.2.3 - Verified the plugging head faces the same direction as the arrow on the control bar. S3.2.4 - Retracted the sealing cup into the plugging machine. S3.2.5 - Installed plugging unit on the tapping valve.	Evaluator Initials Ren
S3.3	<b>Purged assembly</b> S3.3.1 - Opened bleeder valve. S3.3.2 - Opened the tapping valve slowly to allow purge. S3.3.3 - Closed the bleeder valve when gas detected.	Evaluator Initials Ren

4 Seal Main

<p>S4.1</p>	<p><b>Lowered seal into main</b>                  S4.1.1 - Opened the tapping valve completely and removed the hex lever from the tapping valve.                  S4.1.2 - Rotated plugging machine lever until perpendicular to the pipe.                  S4.1.3 - Lowered sealing cup to the bottom of the pipe using lever handle.                  S4.1.4 - Positioned handle so that the arrow on the side points toward the section of the pipe to be isolated.                  S4.1.5 - Walked the sealing cup into position.                  S4.1.6 - Removed the handle from the control bar while work was in progress.                  S4.1.7 - Ensured downstream pressure is acceptable after the plug is set.</p> <p>(TS-AOC - Under-pressure)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you found a low or no pressure on the pipeline when the seal was set?"</p> <p><b>Response:</b> Assuming this is found at gauge points being monitored, initiate notification to Vectren local management for system protection measures to be taken.</p> <p>(TS-AOC - Leaking gas through a stopper fitting found when trying to cut the end for tie-in)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if the seal was not achieved and you discovered gas leaking past the sealing cup?"</p> <p><b>Response:</b> After attempting to blow down the pipeline, evaluate the amount of leakage past the sealing cup prior to beginning the cutting operation, if the leakage is in excess, determine if sealing cup can be tightened or if blow down fittings will be sufficient, or if air movers will need to be installed, initiate notification to Vectren local management</p>	<p>Evaluator Initials</p> <p><i>Rue</i></p>	
<p><b>S5 Completion</b></p>			
<p>S5.1</p>	<p><b>Removed seal from main</b>                  S5.1.1 - Installed lever handle on the control bar and rotated lever to break seal.                  S5.1.2 - Retracted sealing unit into the plugging machine.                  S5.1.3 - Closed tapping valve completely and removed hex lever from tapping valve.                  S5.1.4 - Opened the bleeder valve to relieve pressure.</p>	<p>Evaluator Initials</p> <p><i>Rue</i></p>	
<p>S5.2</p>	<p><b>Removed plugging unit from tapping valve</b></p>	<p>Evaluator Initials</p> <p><i>Rue</i></p>	
<p>•</p>	<p><b>Completed appropriate documentation</b></p>	<p>Evaluator Initials</p> <p><i>Rue</i></p>	

## GENERIC AOC'S

Instructions: Evaluator, confirm that the candidate recognized and properly reacted to any generic AOC while performing this task or by answering the questions below. If either occurred, then initial each generic AOC initial box to the right. If observed during the performance of the task, describe in the comments section.

<p><b>Gas Leak</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if you found a gas leak on a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and fix if qualified to do so.</p>	Evaluator Initials	Rm
<p><b>Fire</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if a fire occurred, on or near a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and activate the emergency response plan.</p>	Evaluator Initials	Rm
<p><b>Explosion</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if an explosion occurred, on or near a pipeline or facility?"</p> <p><b>Response:</b> Secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and activate the emergency response plan.</p>	Evaluator Initials	Rm
<p><b>Damage to Facilities</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if you found damage on a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and fix if qualified to do so.</p>	Evaluator Initials	Rm

Rm

"QUALIFIED"

"NOT QUALIFIED"

If all steps of this task have been performed satisfactorily as indicated by the evaluator initialing each of the above boxes when the performance expectation was observed, and by now initialing the box to the left, this employee was found to be **QUALIFIED** to perform this task on this date.

If any of the above steps of this task have been unsatisfactorily performed, omitted or changed by the employee, as indicated by the evaluator not initialing any one of the boxes above, the evaluator, by initialing the box to the left, has found this employee to be, **NOT QUALIFIED** to perform this task on this date.

Employee's Signature: Joe Krage

Evaluator's Signature: Robert B. Meece

Date: 4-16-18

Date: 4-16-18

**Evaluator:** By signing this form, I am acknowledging that I:

- Am familiar with all of the Vectren requirements for evaluators;
- Have performed this evaluation and completed this form as required;
- Possess the required current knowledge of this task; and
- Have the skills and abilities to determine that this employee is qualified or not qualified to perform this task.



# Performance Evaluation Form



PEF#: 192-1426.09 PEF Title: Tapping / Stopping - Steel Tapping - 4" and less Mueller D or E Machine

**PEF Task Description:**  
 Performing a 4" or less diameter tap into a steel pipeline using a Mueller D or E Machine.

Employee Name: Joe Knopf Employee ID #: 5641  
 Employee's Reporting Location/Contractor Name: Columbus Date: 9-18-18  
 Evaluator Name: Matt Rich Evaluator's Employee ID #: 7071

**Instructions:** Complete each of the above blocks before starting the evaluation. Review the Vectren Evaluation Process with the employee and ensure they know what to expect during the evaluation. Review the task with the employee. When the employee is ready to be evaluated, officially begin the evaluation, reminding them that they should tell you what step of the task they are about to perform. As they tell you their next step, locate the step on the list below, silently read the performance expectation statement and observe the employee's performance. Initial the box if they performed the step satisfactorily. If you do not initial a box, you must use the comments section to explain why the employee did not earn your initials in the box for this step. After the employee declares they are "done" with the task, if all task step boxes were successfully completed as indicated by your initials in each box, initial the "qualified" box. If any boxes are without initials and comments have been properly noted why they had not earned your initials, initial the "Not Qualified" box, review the comments with the employee, and inform them they are "not qualified" to perform this task. Explain that they cannot perform this task unless under the direction of another qualified individual, if span of control is 1:1 or 1:more than 1 (1 qualified employee to 1 non-qualified performer or 1 qualified employee to more than 1 non-qualified performer) with 1:0 meaning a non-qualified person cannot perform the task on a jurisdictional facility. The qualified employee must be able to take immediate action to mitigate potential abnormal operating conditions (AOCs) or injuries during the performance of that task. Evaluator and employee must sign and date this form before it is submitted for further processing. Notify the employee's Supervisor and the Manager of Technical Training Immediately if the employee fails the evaluation.

Sequence	Task Step Performance Expectation Statement & AOCs	Initial box if observed and performed properly	Comments
(i.e. * = no sequence S1.1, S1.2, S1.3 = sequence)	<p>Steps are listed in the suggested order but may be performed in any order unless marked in the left column with the sequence indicator: S1.1, S1.2, S1.3, S2.1, S2.2...</p> <p>Generic Abnormal Operating Conditions (AOCs) are listed in the AOC section following the last performance expectation step of this task. Task Specific - Abnormal Operating Conditions (TS-AOC) that might reasonably be expected to be encountered while performing this Covered Task are identified in the task performance expectation steps.</p>		<p>Explain why the performance did not meet the performance expectation statement.</p> <p>In the Generic AOC section, use the comments to explain AOCs that were encountered during the performance of the task and how the employee responded.</p>

**S1 Preparation**

• Inspected tapping equipment to ensure it is operational and meets OEM specifications.	Evaluator Initials: <u>MR</u>
• Determined fitting has cooled (Checked to verify fitting has cooled sufficiently.)	Evaluator Initials: <u>MR</u>
• Installed pressure gauge(s) or verified pressure gauge(s) were installed where necessary to monitor line pressure	Evaluator Initials: <u>MR</u>
• Verified correct tapping/stopping fitting was installed (Checked to ensure the pressure rating, size and opening of the tapping/stopping fitting is compatible with its intended use.)	Evaluator Initials: <u>MR</u>
• Confirmed tapping/stopping fitting installation had been pressure-tested or pressure-tested it before tapping began	Evaluator Initials: <u>MR</u>

	<p>Verified the completion plug can be properly threaded into the fitting</p> <p>(TS-AOC - Completion plug won't thread into the fitting)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if the completion plug won't thread into the fitting?"</p> <p><b>Response:</b> Retry, and if it still won't properly thread in, notify field supervisor or initiate notification to Vectren local management that a new fitting may need to be installed.</p>	<p>Evaluator Initials</p> <p>MR</p>	
	<p>Selected proper accessories</p> <p>(Threaded or flanged tapping/stopping valve for the fitting to be tapped. Holder pilot, hole saw, or drill, and TDW valve adaptor. Appropriately sized wrenches for installation/removal.)</p> <p>(TS-AOC - Exceeded pressure rating equipment)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if the equipment's pressure rating was exceeded?"</p> <p><b>Response:</b> Make area safe, if necessary. Safely stop the equipment. Initiate notification to local Vectren management, if necessary. Tag equipment that was exceeded, if necessary. Use different equipment to complete the task, as necessary.</p>	<p>Evaluator Initials</p> <p>MR</p>	
S17	<p>Assembled Equipment</p> <p>S1.7.1 - Advanced boring bar until drilling tools could be attached.</p> <p>S1.7.2 - If the drill will not pass through the machine adaptor, installed the correct machine adaptor now.</p> <p>S1.7.3 - Coated the drill or shell cutter with Mueller cutting grease.</p> <p>S1.7.4 - Made sure the O-ring was in good condition then attached the proper machine adapter nipple to the boring bar.</p> <p>S1.7.5 - Verified the completion plug was removed following installation of tapping fitting or removed it before proceeding.</p> <p>S1.7.6 - Installed the appropriately rated tapping valve for the pressure on the tapping fitting.</p> <p>S1.7.7 - Attached the drilling machine and machine adaptor nipple to the tapping valve.</p>	<p>Evaluator Initials</p> <p>MR</p>	
S18	<p>Verified positions of valves</p> <p>(Verified tapping/stopping valve and bleed valve are open.)</p>	<p>Evaluator Initials</p> <p>MR</p>	
S19	<p>Configured machine</p> <p>S1.9.1 - Advanced the boring bar until the drill or shell cutter contacted the pipe to be drilled.</p> <p>S1.9.2 - Retracted the boring bar a slight amount off the pipe.</p> <p>S1.9.3 - Adjusted the feed tube, or feed nut, and yoke so that the yoke engaged with the top of the friction collar on the boring bar.</p> <p>S1.9.4 - Raised the pivot arm of the locking mechanism on the side of the yoke and locked in place with the operating screw.</p> <p>S1.9.5 - Measured and marked the cutting distance required to complete the drilling operation of the point on the body that the feed tube will reach (referred to Mueller Operations manual for proper cutting distance as needed).</p>	<p>Evaluator Initials</p> <p>MR</p>	
<b>S2 Perform Tap Process</b>			
S2.1	<p>Performed the tap</p> <p>S2.1.1 - Shut off bleed valve, if present, once drill or shell cutter pilot entered the pipe and gas was detected.</p> <p>S2.1.2 - Utilized the feed tube not the feed handles to lower the drill or cutter during drilling.</p> <p>S2.1.3 - Discontinued lowering drill or shell cutter when mark made at sub-step S1.9.5 under "configured machine" above was reached.</p> <p>(TS-AOC - Cutter jammed during tap)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if the cutter jammed during the tapping operation?"</p> <p><b>Response:</b> Retract cutter 3/4 turn, and try again, if jams again, then retract cutter into the machine, shut gate valve and purge, then remove machine and check cutter for worn or broken teeth. If cutter is worn, try another cutter. If any of the teeth are chipped or broken, initiate notification to Vectren local management.</p>	<p>Evaluator Initials</p> <p>MR</p>	



## GENERIC AOC'S

Instructions: Evaluator, confirm that the candidate recognized and properly reacted to any generic AOC while performing this task or by answering the questions below. If either occurred, then initial each generic AOC initial box to the right. If observed during the performance of the task, describe in the comments section.

	<b>Gas Leak</b>	Evaluator Initials	
•	If AOC did not occur, Evaluator ask, "What would you do if you found a gas leak on a pipeline or pipeline facility?"  <b>Response:</b> Depending on severity, secure the area to protect the public, life & property, initiate notification to Vectren local management and fix if qualified to do so.	ML	
•	<b>Fire</b>  If AOC did not occur, Evaluator ask, "What would you do if a fire occurred, on or near a pipeline or pipeline facility?"  <b>Response:</b> Depending on severity, secure the area to protect the public, life & property, initiate notification to Vectren local management and activate the emergency response plan.	ML	
•	<b>Explosion</b>  If AOC did not occur, Evaluator ask, "What would you do if an explosion occurred, on or near a pipeline or facility?"  <b>Response:</b> Secure the area to protect the public, life & property, initiate notification to Vectren local management and activate the emergency response plan.	ML	
•	<b>Damage to Facilities</b>  If AOC did not occur, Evaluator ask, "What would you do if you found damage on a pipeline or pipeline facility?"  <b>Response:</b> Depending on severity, secure the area to protect the public, life & property, initiate notification to Vectren local management and fix if qualified to do so.	ML	

<input checked="" type="checkbox"/> ML <b>QUALIFIED</b>	If all steps of this task have been performed satisfactorily as indicated by the evaluator initialing each of the above boxes when the performance expectation was observed, and by now initialing the box to the left, this employee was found to be <b>QUALIFIED</b> to perform this task on this date.
<input type="checkbox"/> NOT QUALIFIED	If any of the above steps of this task have been unsatisfactorily performed, omitted or changed by the employee, as indicated by the evaluator not initialing any one of the boxes above, the evaluator, by initialing the box to the left, has found this employee to be, <b>NOT QUALIFIED</b> to perform this task on this date.

Employee's Signature: *Joe Kruger*

Evaluator's Signature: *[Signature]*

Date: 9-18-18

Date: 9-18-18

**Evaluator:** By signing this form, I am acknowledging that I:  
 -Am familiar with all of the Vectren requirements for evaluators;  
 -Have performed this evaluation and completed this form as required;  
 -Possess the required current knowledge of this task; and  
 -Have the skills and abilities to determine that this employee is qualified or not qualified to perform this task.



## Performance Evaluation Form



PEF#: 192-1426.11 PEF Title: Tapping / Stopping - Steel Completion Plug Setting - 4" and less Mueller Machines

**PEF Task Description:**

Setting of a completion plug in a 4" or smaller diameter tapping/stopping fitting using a Mueller D or E machine, a Line Stopper Unit 1 (1" - 2-1/2") or a Line Stopper Unit 2 (3" or 4") into a previously installed and tapped fitting on a steel pipeline. This task begins with the tapping machine having been removed from the closed tapping valve which remains on the fitting in the closed position. The previously used tap, drill or stopper has been disassembled from the machine/unit. The task does not include performing the tap, installing purge connection(s), installing and operating a bypass if required, or inserting or removing a stopper in the fitting when such is performed.

Employee Name: <u>Joe Knapp</u>	Employee ID #: <u>5641</u>
Employee's Reporting Location/Contractor Name: <u>Columbus</u>	Date: <u>9-18-18</u>
"pipeline": <u>Matth Rich</u>	Evaluator's Employee ID #: <u>7071</u>

**Instructions:** Complete each of the above blocks before starting the evaluation. Review the Vectren Evaluation Process with the employee and ensure they know what to expect during the evaluation. Review the task with the employee. When the employee is ready to be evaluated, officially begin the evaluation, reminding them that they should tell you what step of the task they are about to perform. As they tell you their next step, locate the step on the list below, silently read the performance expectation statement and observe the employee's performance. Initial the box if they performed the step satisfactorily. If you do not initial a box, you must use the comments section to explain why the employee did not earn your initials in the box for this step. After the employee declares they are "done" with the task, if all task step boxes were successfully completed as indicated by your initials in each box, initial the "qualified" box. If any boxes are without initials and comments have been properly noted why they had not earned your initials, initial the "Not Qualified" box, review the comments with the employee, and inform them they are "not qualified" to perform this task. Explain that they cannot perform this task unless under the direction of another qualified individual, if span of control is 1:1 or 1: more than 1 (1 qualified employee to 1 non-qualified performer or 1 qualified employee to more than 1 non-qualified performer) with 1:0 meaning a non-qualified person cannot perform the task on a jurisdictional facility. The qualified employee must be able to take immediate action to mitigate potential abnormal operating conditions (AOCs) or injuries during the performance of that task. Evaluator and employee must sign and date this form before it is submitted for further processing. Notify the employee's Supervisor and the Manager of Technical Training immediately if the employee fails the evaluation.

Sequence	Task Step Performance Expectation Statement & AOCs	Initial box if observed and performed properly	Comments
(i.e. 4 = no sequence S1.1, S1.2, S1.3 = sequence)	<p>Steps are listed in the suggested order but may be performed in any order unless marked in the left column with the sequence indicator: S1.1, S1.2, S1.3, S2.1, S2.2...</p> <p>Generic Abnormal Operating Conditions (AOCs) are listed in the AOC section following the last performance expectation step of this task. Task Specific - Abnormal Operating Conditions (TS-AOC) that might reasonably be expected to be encountered while performing this Covered Task are identified in the task performance expectation steps.</p>		<p>Explain why the performance did not meet the performance expectation statement.</p> <p>In the Generic AOC section, use the comments to explain AOCs that were encountered during the performance of the task and how the employee responded.</p>

**S1 Preparation**

<ul style="list-style-type: none"> <li>• Inspected tapping equipment to ensure it is operational and meets OEM specifications.</li> </ul>	<small>Evaluator Initials</small> <u>MR</u>	
<ul style="list-style-type: none"> <li>• Installed pressure gauge(s) or verified pressure gauge(s) were installed where necessary to monitor line pressure</li> </ul>	<small>Evaluator Initials</small> <u>MR</u>	
<ul style="list-style-type: none"> <li>• Selected correct tapping/stopping equipment (Checked to ensure the pressure rating, size and opening of the tapping/stopping fitting is compatible with its intended use and reference OEM and O&amp;M as necessary.)</li> </ul>	<small>Evaluator Initials</small> <u>MR</u>	
<ul style="list-style-type: none"> <li>• Prepared machine               <ul style="list-style-type: none"> <li>- Advanced inserting/boring bar until inserting tool could be attached.</li> <li>- Attached the completion plug to the plug insertion tool                   <ul style="list-style-type: none"> <li>- by threading together for a standard completion plug, or</li> <li>- by engaging the fork lugs for an E-Z release plug</li> </ul> </li> <li>- Attached the inserting tool with completion plug attached to the machine inserting/boring bar wrench tight</li> <li>- Attached appropriate machine adaptor.                   <ul style="list-style-type: none"> <li>- On plugs having an O-ring seal, verified O-ring was in good condition and coated it with heavy grease or on plugs having tapered threads and no O-ring, coat the threads with non-hardening pipe thread "dope".</li> <li>- Retracted the inserting/boring bar to its rear-most position.</li> </ul> </li> </ul> </li> </ul>	<small>Evaluator Initials</small> <u>MR</u>	

	<p>Installed plugging machine on tapping valve (Attached the plugging machine and machine adaptor as a unit to the tapping valve, holding the boring/inserting bar at rear-most position.)</p>	<p>Evaluator Initials  ML</p>
	<p>Verified, by observing previously installed pressure gauges that the pressure in the line was as expected and within the pressure rating of the plugging unit</p> <p>(TS-AOC - Overpressure)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you found an overpressure situation on the pipeline?"</p> <p>Response: Initiate notification to Vectren local management for system protection measures to be taken.</p>	<p>Evaluator Initials  ML</p>
<b>S2 Install Completion Plug Process</b>		
S2.1	<p>Purged assembly</p> <p>S2.1.1 - Opened the tapping valve slowly, or used bypass if available. S2.1.2 - Utilized the bleed valve to bleed air from chamber holding the boring bar in the rear-most position to avoid having the inserting/boring bar forcibly raised. S2.1.3 - Closed bleed valve when gas detected. S2.1.4 - Opened the tapping valve completely.</p> <p>(TS-AOC - Under-pressure)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do found an under-pressure situation on the pipeline when the bleeder valve was opened?"</p> <p>Response: Initiate notification to Vectren local management for system protection measures.</p>	<p>Evaluator Initials  MR</p>
S2.2	<p>Inserted completion plug</p> <p>S2.2.1 - Advanced the inserting/boring bar until the completion plug contacted the tapping fitting while holding down on the inserting/boring bar with the feed yoke. S2.2.2 - Rotated the boring bar clockwise and threaded the completion plug into the tapping fitting until it was tight. S2.2.3 - Opened bleeder valve to relieve pressure from machine and determined if completion plug was holding by observing whether gas continued to exit the bleeder valve after the initial blowdown.</p> <p>(TS-AOC - Completion plug does not seal or won't engage threads)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if the completion plug will not seal or engage threads?"</p> <p>Response: Retract completion plug into machine, close tapping valve and bleed off pressure. Remove machine from fitting and check O-rings, threads and plug holder for damage. If plug won't seal on second attempt, initiate notification to Vectren local management that another fitting might need to be installed.</p> <p>(TS-AOC - Completion plug dropped in fitting)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you drop the completion plug in the fitting and you are not able to reattach the completion plug holder?"</p> <p>Response: If the plug cannot be "fished" out of the fitting and/or the tapping valve will not close, initiate notification to Vectren local management that a new fitting may need to be installed.</p> <p>(TS-AOC - Excessive gas is indicated at bleeder valve)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if the bleeder valve continued to vent gas after the completion plug was set?"</p> <p>Response: Tighten the plug more. If it won't tighten or the plug holder is no longer attached, the completion plug might have dropped off the holder or the threads aren't engaging. Initiate notification to Vectren local management.</p>	<p>Evaluator Initials  ML</p>
<b>S3 Completion</b>		
S3.1	<p>Released inserting tool</p> <p>S3.1.1 - Released the inserting tool by reversing the ratchet handle to counter-clockwise or turning the "T" handle counter clockwise. A sharp strike on the ratchet or "T" handle may be applied if needed to "break" the inserting tool loose from the completion plug. S3.1.2 - Raised the inserting/boring bar until inserting tool, or top half of inserting tool for D and E machines was clear of the tapping valve.</p>	<p>Evaluator Initials  MR</p>
S3.2	<p>Removed equipment</p> <p>S3.2.1 - Removed the machine and machine adaptor from the tapping valve as a complete unit while the lower half of the inserting tool on D and E machines remains on the completion plug. S3.2.2 - Removed the tapping valve from the fitting. S3.2.3 - For D and E machines, removed the lower half of the inserting tool from the completion plug. S3.2.4 - For completion plugs without O-rings, tightened the completion plug with completion plug wrench. S3.2.5 - Tested completion plug with leak detection soap to verify no leaks found.</p> <p>(TS-AOC - Completion plug leaking)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered leaking gas around the completion plug?"</p> <p>Response: Attempt to retighten. If unable to tighten initiate notification to Vectren local management that the fitting may need to be encapsulated.</p>	<p>Evaluator Initials  ML</p>

S3.3	<b>Installed cap</b> - For threaded completion caps, utilized thread seal compound on fitting threads, installed the cap on the tapping/stopping fitting and tightened appropriately. - For bolted completion caps, put gasket into fitting recess, placed cap onto fitting and bolted securely in place.	Evaluator Initials MR
S3.4	<b>Performed leak test</b> (Tested fitting with leak detection soap to verify no leaks found.)	Evaluator Initials MR
•	<b>Completed appropriate documentation</b>	Evaluator Initials MR

**GENERIC AOC'S**

Instructions: Evaluator, confirm that the candidate recognized and properly reacted to any generic AOC while performing this task or by answering the questions below. If either occurred, then initial each generic AOC initial box to the right. If observed during the performance of the task, describe in the comments section.

•	<b>Gas Leak</b> If AOC did not occur, Evaluator ask, "What would you do if you found a gas leak on a pipeline or pipeline facility?" <b>Response:</b> Depending on severity, secure the area to protect the public, life & property, initiate notification to Vectren local management and fix if qualified to do so	Evaluator Initials MR
•	<b>Fire</b> If AOC did not occur, Evaluator ask, "What would you do if a fire occurred, on or near a pipeline or pipeline facility?" <b>Response:</b> Depending on severity, secure the area to protect the public, life & property, initiate notification to Vectren local management and activate the emergency response plan.	Evaluator Initials MR
•	<b>Explosion</b> If AOC did not occur, Evaluator ask, "What would you do if an explosion occurred, on or near a pipeline or facility?" <b>Response:</b> Secure the area to protect the public, life & property, initiate notification to Vectren local management and activate the emergency response plan.	Evaluator Initials MR
•	<b>Damage to Facilities</b> If AOC did not occur, Evaluator ask, "What would you do if you found damage on a pipeline or pipeline facility?" <b>Response:</b> Depending on severity, secure the area to protect the public, life & property, initiate notification to Vectren local management and fix if qualified to do so	Evaluator Initials MR

<input checked="" type="checkbox"/>	If all steps of this task have been performed satisfactorily as indicated by the evaluator initialing each of the above boxes when the performance expectation was observed, and by now initialing the box to the left, this employee was found to be <b>QUALIFIED</b> to perform this task on this date.
<input type="checkbox"/>	If any of the above steps of this task have been unsatisfactorily performed, omitted or changed by the employee, as indicated by the evaluator not initialing any one of the boxes above, the evaluator, by initialing the box to the left, has found this employee to be, <b>NOT QUALIFIED</b> to perform this task on this date.

Employee's Signature: *[Signature]* Date: 9-18-18  
 Evaluator's Signature: *[Signature]* Date: 9-18-18

**Evaluator:** By signing this form, I am acknowledging that I:  
 -Am familiar with all of the Vectren requirements for evaluators;  
 -Have performed this evaluation and completed this form as required;  
 -Possess the required current knowledge of this task; and  
 -Have the skills and abilities to determine that this employee is qualified or not qualified to perform this task.



# Performance Evaluation Form



PEF#: 192-1002.02 PEF Title: Plastic Pipe Joints - Electrofusion: Service Tee

**PEF Task Description:**

Visual inspection of the assembly and joining of PE pipe by electrofusion and completed joints conducted in a controlled lab or simulation situation only

Employee Name:	<u>Joe Knapp</u>	Employee ID #:	<u>5641</u>
Employee's Reporting Location/Contractor Name:	<u>Columbus</u>	Date:	<u>10-7-19</u>
Evaluator Name:	<u>Michelle Byers</u>	Evaluator's Employee ID #:	<u>2847</u>

**Instructions:** Complete each of the above blocks before starting the evaluation. Review the Vectren Evaluation Process with the employee and ensure they know what to expect during the evaluation. Review the task with the employee. When the employee is ready to be evaluated, officially begin the evaluation, reminding them that they should tell you what step of the task they are about to perform. As they tell you their next step, locate the step on the list below, silently read the performance expectation statement and observe the employee's performance. Initial the box if they performed the step satisfactorily. If you do not initial a box, you must use the comments section to explain why the employee did not earn your initials in the box for this step. After the employee declares they are "done" with the task, if all task step boxes were successfully completed as indicated by your initials in each box, initial the "qualified" box. If any boxes are without initials and comments have been properly noted why they had not earned your initials, initial the "Not Qualified" box, review the comments with the employee, and inform them they are "not qualified" to perform this task. Explain that they cannot perform this task unless under the direction of another qualified individual, if span of control is 1:1 or 1:more than 1 (1 qualified employee to 1 non-qualified performer or 1 qualified employee to more than 1 non-qualified performer) with 1:0 meaning a non qualified person cannot perform the task on a jurisdictional facility. The qualified employee must be able to take immediate action to mitigate potential abnormal operating conditions (AOCs) or injuries during the performance of that task. Evaluator and employee must sign and date this form before it is submitted for further processing. Notify the employee's Supervisor and Vectren Technical Training immediately if the employee fails the evaluation.

Sequence <small>(i.e. * = no sequence S1.1, S1.2, S1.3 = sequence)</small>	Task Step Performance Expectation Statement & AOCs	Initial box if observed and performed properly	Comments
	<p>Steps are listed in the suggested order but may be performed in any order unless marked in the left column with the sequence indicator: S1.1, S1.2, S1.3, S2.1, S2.2...</p> <p>Generic Abnormal Operating Conditions (AOCs) are listed in the AOC section following the last performance expectation step of this task.</p> <p>Task Specific - Abnormal Operating Conditions (TS-AOC) that might reasonably be expected to be encountered while performing this Covered Task are identified in the task performance expectation steps.</p>		<p>Explain why the performance did not meet the performance expectation statement.</p> <p>In the Generic AOC section, use the comments to explain AOCs that were encountered during the performance of the task and how the employee responded.</p>

**S1 Preparation**

	<p>Checked calibration date on fusion equipment (Confirmed fusion equipment has been calibrated according to manufacturer's operating instructions.)</p> <p><b>(TS-AOC - Equipment out of recommended tolerances)</b></p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if the electrofusion equipment was out of recommended tolerances or the calibration window has expired?"</p> <p><b>Response:</b> Return the equipment to the manufacturer for calibration and/or obtain another machine and start over.</p>	<p>Evaluator Initials</p> <p><u>MB</u></p>	
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	<p><b>Visually Inspected pipe and service tee saddle fitting</b></p> <ul style="list-style-type: none"> <li>- Inspected the service tee saddle fitting and PE pipe to see that they are size and type compatible</li> <li>- Inspected for damage; i.e. cuts, gouges, and deep scratches that exceed 10% of the pipe wall</li> <li>- Removed and/or replaced any damaged, defective or incompatible fittings or pipe sections before fusing. (when in doubt cut it out.)</li> </ul> <p>(TS-AOC - Damaged Pipe or Fittings)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered incompatible sized, damaged or defective pipe and/or service tee saddle fitting?"</p> <p><u>Response:</u> Cut-out, remove and/or replace any incompatible sized, damaged or defective sections of pipe and/or fittings.</p>	<p>Evaluator Initials:</p> <p>mb</p>	
S1.1	<p><b>Cleaned pipe</b></p> <p>(Removed dirt, mud and debris with clean water. [Use no Detergents as wetting agents and other substances contained in detergents can be difficult to remove from the pipe and will interfere with the fusion process later.] Clean and mark an area that is approximately 3 times wider than the area to be scraped/peeled.</p>	<p>Evaluator Initials:</p> <p>mb</p>	
S1.2	<p><b>Marked service tee saddle base</b></p> <p>(Marked around the service tee saddle base on the pipe using a permanent marker, without removing fitting from its packaging.)</p>	<p>Evaluator Initials:</p> <p>mb</p>	
S1.3	<p><b>Marked pipe</b></p> <p>(Marked pipe an area that is at least 3 times wider than the area to be scraped/peeled. DO NOT WIPE OUTSIDE THIS INITIALLY CLEANED AREA IN LATER STEPS.) Clean with 90% isopropyl alcohol. (Clean inbetween the two outer marks wiping in one direction.)</p>	<p>Evaluator Initials:</p> <p>mb</p>	
S1.4	<p><b>Remark service tee saddle base with fusion location centered between the marks.</b></p>	<p>Evaluator Initials:</p> <p>mb</p>	
S1.5	<p><b>Marked Squiggle Lines</b></p> <p>(Marked the area of the pipe to be scraped with squiggle lines extending past the service tee saddle base using a permanent marker.)</p>	<p>Evaluator Initials:</p> <p>mb</p>	
S1.6	<p><b>Scraped/Peeled pipe</b></p> <p>(Scraped pipe utilizing approved mechanical scraper to remove oxidation and squiggle marks without removing excess material.)</p> <p>(TS-AOC - Pipe scraped too thin or gouged during scraping)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered the pipe was scraped too thin or gouged during scraping?"</p> <p><u>Response:</u> Cut the bad area of the pipe off and start over a S1.1</p>	<p>Evaluator Initials:</p> <p>mb</p>	
S1.7	<p><b>Remove Shavings/Peeler tails from pipe</b></p> <p>(Avoid allowing shavings/peeler tailings produced by the peeler from winding around pipe as this can re-distribute contaminants that may not have been removed by the initial cleaning. Break the tailing away frequently as-needed.)</p>	<p>Evaluator Initials:</p> <p>mb</p>	

S1.8	<p><b>Confirmed removal of oxidation, dirt and contamination</b>          (Confirmed all oxidation, dirt, oil and other contaminations were removed from scraped area. If contamination was found, i.e. scraped area of pipe had been touched, clean the affected area of the pipe with 90% Isopropyl alcohol)</p> <p>(TS-AOC - Oxidized, dirty or contaminated pipe)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered oxidized, dirty or contaminated pipe where electrofusions are about to take place?"</p> <p><u>Response:</u> Clean the affected area of the pipe with 90% isopropyl alcohol.</p>	<p>Evaluator Initials</p> <p>MD</p>	
S1.9	<p><b>Removed fitting from packaging and inspected</b></p> <ul style="list-style-type: none"> <li>- Removed fitting from packaging ensuring not to scrape or contaminate saddle base</li> <li>- Ensured cutter is not blocking the service tee outlet</li> <li>- Cleaned fitting contact area if it appeared contaminated using 90% isopropyl alcohol.</li> </ul>	<p>Evaluator Initials</p> <p>MD</p>	
S1.10	<p><b>Clamped fitting</b>          (Installed tapping tee according to manufacturer's instructions without touching the fusion location that has been cleaned and scraped or the mating surface of the fitting.)</p>	<p>Evaluator Initials</p> <p>MD</p>	

**S2 Perform Fusion Process**





•	<p><b>Inspected processor leads and power cords</b> (Inspected processor leads and power cords for damage.)</p>	<p>Evaluator Initials <i>mb</i></p>	
•	<p><b>Checked power supply source for availability and readiness</b> - Circuit breaker turned on or if generator was used, ensured enough fuel was available for complete, uninterrupted fusion. - Started generator prior to starting processor and let it warm-up.</p>	<p>Evaluator Initials <i>mb</i></p>	
•	<p><b>Plugged in and turned on electrofusion processor according to manufacturer's operating instructions</b></p>	<p>Evaluator Initials <i>mb</i></p>	
•	<p><b>Connected processor leads to fitting</b> (Utilized the appropriate terminal tips for connection.)</p>	<p>Evaluator Initials <i>mb</i></p>	
•	<p><b>Checked processor for error messages that could have occurred during self calibration</b></p>	<p>Evaluator Initials <i>mb</i></p>	
Note 1	<p><b>NOTE: The performer must determine whether the Resistor or Barcode Method will be used. Only one (1) of these methods can be used per fusion. The electrofusion processor will display if it picked up the fitting information from the connection and that it will use the Resistor method. If not, the performer will have to select the Barcode method. Evaluator - Initial the column to the right opposite the method that was observed and performed correctly. If not observed, do not initial but describe details in the remarks column.</b></p>	<p>Evaluator Initials</p>	<p><i>Discussed</i></p>
S2.1a <sup>1</sup>	<p><b>Resistor Method</b> (Verified proper fusion time is listed on the processor after terminal tips are connected to the fitting.)</p> <p><b>(TS-AOC - Electrofusion processor did not recognize fitting when connected)</b></p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if the electrofusion processor did not display the fusion time when the fitting was connected?"</p> <p><b>Response:</b> Remove and reinstall the connectors, and if it did not display a fusion time switch to the Barcode method.</p>	<p>Evaluator Initials</p>	<p><i>Discussed</i></p>
S2.2b <sup>1</sup>	<p><b>Barcode Method</b> (Scanned bar code and confirmed the appropriate fitting identifier was displayed according to manufacturer's operating instructions.)</p>	<p>Evaluator Initials <i>mb</i></p>	
S2.3	<p><b>Started electrofusion process by pressing the start button or other action according to manufacturer's operating instructions</b></p>	<p>Evaluator Initials <i>mb</i></p>	

S3 Completion

S3.1	Removed processor leads	Evaluator Initials md	
S3.2	Recorded the "cooling time", "rough handling time", "fuser initials" and "fusion date" and "company name" on pipe with a permant marker.	Evaluator Initials md	
S3.3	Removed retaining clamp after appropriate cool down time had occurred per Manufacturer's operating instructions	Evaluator Initials md	
S3.4	<p><b>Inspected fused fitting</b> (Performed visual inspection to confirm no material leakage outside of fitting, and checked fusion results on processor for possible errors.) (When in doubt cut it out.)</p> <p><b>(TS-AOC - Incomplete Fusion)</b></p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered incomplete fusion?"</p> <p><b>Response:</b> If this is due to machlne shut down, then let the joint cool to ambient temperature and repeat the fusion on the fitting one more time, not to exceed two (2) total heating cycles.</p> <p><b>(TS-AOC - Improper fusion)</b></p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered misalignment, overheating, over melt, undermelt and/or PE pipe damage by overheating?"</p> <p><b>Response:</b> Cut out fitting and complete a Material Failure Report.</p> <p><b>(TS-AOC - Material leakage or wire exposed outside fitting edge)</b></p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered material leakage or an exposed wire outside the fitting edge?"</p> <p><b>Response:</b> If no error messages had occurred, the melt/exposed wire was not extended past the edge of the fitting more than 1/8", and/or the melt/exposed wire area does not cover more than 1/4 of the circumference of the pipe, then no action is necessary; just continue the task. If any of these had occurred, then cut out fitting, and start over (Normally these situations will only happen on 6" and larger fittings.)</p>	Evaluator Initials md	
S3.5	<p><b>Tested fusion joint</b></p> <ul style="list-style-type: none"> <li>- Completed fusion joint made in a controlled lab setting or simulated situation passed destructive testing</li> <li>- Conducted appropriate strength test and/or soap test in a construction situation</li> </ul> <p><b>(TS-AOC - Cooling time not observed)</b></p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered appropriate "total cooling time" or "rough handling time" was not observed prior to rough handling or destructive testing?"</p> <p><b>Response:</b> Affected fusion joint would be discarded and process started over if in a controlled lab setting or simulated situation. If fuser was qualified and performing on a live line, secure the area, move to a safe location and initiate notification to Vectren local management immediately for instructions on how to proceed.</p>	Evaluator Initials md	

## GENERIC AOC'S

**Instructions:** Evaluator, confirm that the candidate recognized and properly reacted to any generic AOC while performing this task or by answering the questions below. If either occurred, then initial each generic AOC initial box to the right. If observed during the performance of the task, describe in the comments section.

•	<p><b>Gas Leak</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if you found a gas leak on a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and fix if qualified to do so.</p>	Evaluator Initials	
•	<p><b>Fire</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if a fire occurred, on or near a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and activate the emergency response plan.</p>	Evaluator Initials	
•	<p><b>Explosion</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if an explosion occurred, on or near a pipeline or facility?"</p> <p><b>Response:</b> Secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and activate the emergency response plan.</p>	Evaluator Initials	
•	<p><b>Damage to Facilities</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if you found damage on a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and fix if qualified to do so.</p>	Evaluator Initials	

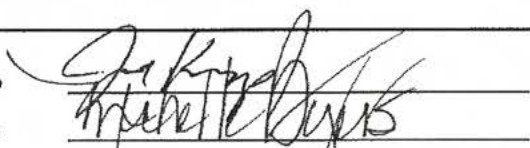


If all steps of this task have been performed satisfactorily as indicated by the evaluator initialing each of the above boxes when the performance expectation was observed, and by now initialing the box to the left, this employee was found to be **QUALIFIED** to perform this task on this date.



If any of the above steps of this task have been unsatisfactorily performed, omitted or changed by the employee, as indicated by the evaluator not initialing any one of the boxes above, the evaluator, by initialing the box to the left, has found this employee to be, **NOT QUALIFIED** to perform this task on this date.

Employee's Signature



Date:

10-7-19  
10-7-2019

Evaluator's Signature

Date:

**Evaluator:** By signing this form, I am acknowledging that I:

- Am familiar with all of the Vectren requirements for evaluators;
- Have performed this evaluation and completed this form as required;
- Possess the required current knowledge of this task; and
- Have the skills and abilities to determine that this employee is qualified or not qualified to perform this task.



# Performance Evaluation Form



PEF#: 192-1426.05 PEF Title: Tapping/Stopping - Steel Stopping/Plugging - Up to 4 in TDW Shortstopp 60

**PEF Task Description:**  
 Inserting and removing a 3" or smaller diameter stopper/plug into a steel pipeline using a TDW Shortstopp 60 plugging machine.

Employee Name: Brend Rye Employee ID #: 4786  
 Employee's Reporting Location/Contractor Name: Lafayette Date: 3/22/18  
 Evaluator Name: Robert B Moore Evaluator's Employee ID #: 0429


**Instructions:** Complete each of the above blocks before starting the evaluation. Review the Vectren Evaluation Process with the employee and ensure they know what to expect during the evaluation. Review the task with the employee. When the employee is ready to be evaluated, officially begin the evaluation, reminding them that they should tell you what step of the task they are about to perform. As they tell you their next step, locate the step on the list below, silently read the performance expectation statement and observe the employee's performance. Initial the box if they performed the step satisfactorily. If you do not initial a box, you must use the comments section to explain why the employee did not earn your initials in the box for this step. After the employee declares they are "done" with the task, if all task step boxes were successfully completed as indicated by your initials in each box, initial the "qualified" box. If any boxes are without initials and comments have been properly noted why they had not earned your initials, initial the "Not Qualified" box, review the comments with the employee, and inform them they are "not qualified" to perform this task. Explain that they cannot perform this task unless under the direction of another qualified individual, if span of control is 1:1 or 1:more than 1 (1 qualified employee to 1 non-qualified performer or 1 qualified employee to more than 1 non-qualified performer) with 1:0 meaning a non qualified person cannot perform the task on a jurisdictional facility. The qualified employee must be able to take immediate action to mitigate potential abnormal operating conditions (AOCs) or injuries during the performance of that task. Evaluator and employee must sign and date this form before it is submitted for further processing. Notify the employee's Supervisor and the Manager of Technical Training immediately if the employee fails the evaluation.

Sequence	Task Step Performance Expectation Statement & AOCs	Initial box if observed and performed properly	Comments
(i.e. * = no sequence S1.1, S1.2, S1.3 = sequence)	<p>Steps are listed in the suggested order but may be performed in any order unless marked in the left column with the sequence indicator: S1.1, S1.2, S1.3, S2.1, S2.2...</p> <p>Generic Abnormal Operating Conditions (AOCs) are listed in the AOC section following the last performance expectation step of this task. Task Specific - Abnormal Operating Conditions (TS-AOC) that might reasonably be expected to be encountered while performing this Covered Task are identified in the task performance expectation steps.</p>		<p>Explain why the performance did not meet the performance expectation statement.</p> <p>In the Generic AOC section, use the comments to explain AOCs that were encountered during the performance of the task and how the employee responded.</p>




S1 Preparation			
		Evaluator Initials	
*	Inspected tapping equipment to ensure it is operational and meets OEM specifications.	<u>Rm</u>	
*	Selected the correct stopping/plugging equipment (Checked to ensure the pressure rating and size of the stopping/plugging equipment is compatible with the pipeline pressure it will be used on. Shortstopp 60 is limited to 60 psig.)	<u>Rm</u>	
*	Installed pressure gauge(s) or verified pressure gauge(s) were installed where necessary to monitor line pressure	<u>Rm</u>	
*	<p>Checked line pressure and ensured equipment will not be over-pressurized</p> <p>(TS-AOC - Over-pressure)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you found an overpressure situation on the pipeline?"</p> <p>Response: Make area safe, if necessary and initiate notification to Vectren local management.</p>	<u>Rm</u>	

	Confirmed tapping/stopping fitting installation had been pressure-tested or pressure-tested it before tapping began	Evaluator Initials <i>RM</i>
	Verified correct tapping/stopper fitting was installed and installed valve if used on existing fitting (Checked to ensure the pressure rating, size and opening of the tapping/stopper fitting is compatible with its intended use.)	Evaluator Initials <i>RM</i>
<b>S2 Assemble Equipment and Sweep Chips</b>		
S2.1	<b>Assembled equipment</b> S2.1.1 - Installed chip sweep to the plugging head and hand tightened. S2.1.2 - Installed bleeder valve on the Shortstopp 60 plugging machine (maximum 60 psig). S2.1.3 - Connected the plugging machine to the tapping valve on the fitting.	Evaluator Initials <i>RM</i>
S2.2	<b>Purged assembly</b> S2.2.1 - Opened bleeder valve. S2.2.2 - Opened the tapping valve slowly to allow purge. S2.2.3 - Closed the bleeder valve when gas detected.	Evaluator Initials <i>RM</i>
S2.3	<b>Performed chip sweep</b> S2.3.1 - Opened the tapping valve completely. S2.3.2 - Pushed the handle down until it contacted the main and removed hex lever from tapping valve. S2.3.3 - Rotated plugging machine lever until perpendicular to the pipe. S2.3.4 - Lowered chip sweep to the bottom of the pipe utilizing the lever handle. S2.3.5 - Turned plugging machine lever until parallel to the main. S2.3.6 - Swept chips in both directions to clear a place for the sealing cup.	Evaluator Initials <i>RM</i>
<b>S3 Retracted chip sweep, Removed Plugging Machine, Reconfigured and Reinstalled Plugging Machine</b>		
S3.1	<b>Retracted chip sweep and removed plugging unit</b> S3.1.1 - Rotated plugging machine lever until perpendicular to the pipe. S3.1.2 - Retracted the chip sweep into the plugging machine. S3.1.3 - Closed tapping valve completely and tightened the control bar clamp. S3.1.4 - Opened the bleeder valve to relieve pressure. S3.1.5 - Removed plugging unit from tapping valve.	Evaluator Initials <i>RM</i>
S3.2	<b>Replaced chip sweep head with sealing cup on the plugging unit</b> S3.2.1 - Inspected sealing cup and nose piece for damage. S3.2.2 - Replaced chip sweep head with sealing cup and hand tightened the nose piece. S3.2.3 - Verified the plugging head faces the same direction as the arrow on the control bar. S3.2.4 - Retracted the sealing cup into the plugging machine. S3.2.5 - Installed plugging unit on the tapping valve.	Evaluator Initials <i>RM</i>
S3.3	<b>Purged assembly</b> S3.3.1 - Opened bleeder valve. S3.3.2 - Opened the tapping valve slowly to allow purge. S3.3.3 - Closed the bleeder valve when gas detected.	Evaluator Initials <i>RM</i>

**S4 Seal Main**





<p>S4.1</p>	<p><b>Lowered seal into main</b>                  S4.1.1 - Opened the tapping valve completely and removed the hex lever from the tapping valve.                  S4.1.2 - Rotated plugging machine lever until perpendicular to the pipe.                  S4.1.3 - Lowered sealing cup to the bottom of the pipe using lever handle.                  S4.1.4 - Positioned handle so that the arrow on the side points toward the section of the pipe to be isolated.                  S4.1.5 - Walked the sealing cup into position.                  S4.1.6 - Removed the handle from the control bar while work was in progress.                  S4.1.7 - Ensured downstream pressure is acceptable after the plug is set.</p> <p><b>(TS-AOC - Under-pressure)</b></p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you found a low or no pressure on the pipeline when the seal was set?"</p> <p><b>Response:</b> Assuming this is found at gauge points being monitored, initiate notification to Vectren local management for system protection measures to be taken.</p> <p><b>(TS-AOC - Leaking gas through a stopper fitting found when trying to cut the end for tie-in)</b></p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if the seal was not achieved and you discovered gas leaking past the sealing cup?"</p> <p><b>Response:</b> After attempting to blow down the pipeline, evaluate the amount of leakage past the sealing cup prior to beginning the cutting operation, if the leakage is in excess, determine if sealing cup can be tightened or if blow down fittings will be sufficient, or if air movers will need to be installed, initiate notification to Vectren local management</p>	<p>Evaluator Initials</p> 	
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**S5 Completion**

<p>S5.1</p>	<p><b>Removed seal from main</b>                  S5.1.1 - Installed lever handle on the control bar and rotated lever to break seal.                  S5.1.2 - Retracted sealing unit into the plugging machine.                  S5.1.3 - Closed tapping valve completely and removed hex lever from tapping valve.                  S5.1.4 - Opened the bleeder valve to relieve pressure.</p>	<p>Evaluator Initials</p> 	
<p>S5.2</p>	<p><b>Removed plugging unit from tapping valve</b></p>	<p>Evaluator Initials</p> 	
<p>•</p>	<p><b>Completed appropriate documentation</b></p>	<p>Evaluator Initials</p> 	

## GENERIC AOC'S

Instructions: Evaluator, confirm that the candidate recognized and properly reacted to any generic AOC while performing this task or by answering the questions below. If either occurred, then initial each generic AOC initial box to the right. If observed during the performance of the task, describe in the comments section.

<p><b>Gas Leak</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if you found a gas leak on a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and fix if qualified to do so.</p>	Evaluator Initials 	
<p><b>Fire</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if a fire occurred, on or near a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and activate the emergency response plan.</p>	Evaluator Initials 	
<p><b>Explosion</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if an explosion occurred, on or near a pipeline or facility?"</p> <p><b>Response:</b> Secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and activate the emergency response plan.</p>	Evaluator Initials 	
<p><b>Damage to Facilities</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if you found damage on a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and fix if qualified to do so.</p>	Evaluator Initials 	



If all steps of this task have been performed satisfactorily as indicated by the evaluator initialing each of the above boxes when the performance expectation was observed, and by now initialing the box to the left, this employee was found to be **QUALIFIED** to perform this task on this date.

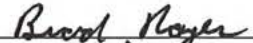
"QUALIFIED"



"NOT QUALIFIED"

If any of the above steps of this task have been unsatisfactorily performed, omitted or changed by the employee, as indicated by the evaluator not initialing any one of the boxes above, the evaluator, by initialing the box to the left, has found this employee to be, **NOT QUALIFIED** to perform this task on this date.

Employee's Signature



Date:

3/22/18

Evaluator's Signature



Date:

3/22/18

**Evaluator:** By signing this form, I am acknowledging that I:

- Am familiar with all of the Vectren requirements for evaluators;
- Have performed this evaluation and completed this form as required;
- Possess the required current knowledge of this task; and
- Have the skills and abilities to determine that this employee is qualified or not qualified to perform this task.



# Performance Evaluation



PEF#: 192-1426.09 PEF Title: Tapping / Stopping - Steel Tapping - 4" and less Mueller D or E Machine

## PEF Task Description:

Performing a 4" or less diameter tap into a steel pipeline using a Mueller D or E Machine.

## Vectren Evaluation Process

### 4 phases of the Evaluation Process:

#### 1. Preparing for the Evaluation (Evaluator and Employee):

- **Evaluator and Employee** - Collect and review materials: Task description; Test; Performance Evaluation Forms (PEFs); AOCs; Related O&M Manual materials; Procedures; Original Equipment Manufacturer (OEM) Materials and any other pertinent material for the evaluation.
- **Evaluator** - Review, select and prepare location for evaluation and take into consideration that: The location is appropriate; if the employee has special needs; the location is private; the appropriate tools and equipment are available (including PPE); ensure all safety measures have been taken (e.g., site and surrounding area); and verify and record the employee's proper identification.
- **Evaluator** - Notify appropriate personnel: Determine whether the employee is ready to be evaluated on the specific task; and consider site specific needs/procedures.

#### 2. Preparing the Employee:

- Set the employee at ease.
- Explain the evaluation process, including: Importance of task performance and evaluation; evaluator's role during evaluation (e.g., not to coach/not to give answers); rules, expectations, consequences and practices as established by Vectren.
- Review and Practice the task with the candidate if they want to. Ask them if they are ready to begin the evaluation.

#### 3. Performing the Evaluation:

- Instruct employee to begin.  
The evaluation should only be stopped for safety, integrity, or operations concerns an evaluator mistake (e.g., leads, coaches, anticipates) or evaluator discretion. Once the evaluation begins, ask ONLY the questions provided on the PEF checklist. Do not ask your own questions. Do not give the employee positive or negative verbal or non-verbal feedback during the evaluation phase. Do not coach, lead, hint or train during the evaluation phase of the process. Avoid anticipating mistakes; comparing one person to another; making assumptions or judgments; distractions or diversion by the employee, evaluator and/or the environment; and do not be influenced by the opinions of others. Avoid unreasonably high or low expectations, instead, maintain consistency and accuracy appropriate for the task.
- Observe the performance of the task comparing it to the PEF, and that the employee: followed safety procedures; selected and used correct PPE; used the correct tools; followed correct procedure in the correct sequence (if sequential order is required for the specific task); completed the task in a timely fashion without hesitation; did not take any shortcuts/ or make changes in procedure.
- Document the evaluation using the attached PEF ensuring that each task expectation performance observed is Initialed and all boxes appropriately checked or filled in.
- Evaluation is concluded when: The employee declares that they have completed the task; a safety or integrity issue arises; evaluator error (e.g., leads, coaches, anticipates); or evaluator discretion (e.g., timing, just isn't getting it done) *use this option sparingly*.

#### 4. Documenting the Evaluation:

After the evaluation is completed: Inform employee if they are "qualified" or "not qualified"; inform employee of specific mistakes made, if any; complete, sign, date, and turn in properly prepared paperwork.

## References

- O&M Manual
  - 14.90 Tapping and Stopping Records
- Gas Construction Standards
  - GE-CS-001 6.0 Tapping and Stopping
  - GE-CS-001 13.0 Accidental Ignition Precautions
- Mueller Reference Manual
  - Mueller Operating Instructions for D-5 and E-5 Drilling Machine

## Related Performance Evaluation Forms



## Performance Evaluation Form



PEF#: 192-1426.09      PEF Title: Tapping / Stopping - Steel Tapping - 4" and less Mueller D or E Machine

**PEF Task Description:**

Performing a 4" or less diameter tap into a steel pipeline using a Mueller D or E Machine.

Employee Name: Brad Rogler      Employee ID #: 4786  
 Employee's Reporting Location/Contractor Name: Lafayette      Date: 5-7-19  
 Evaluator Name: Matt Rich      Evaluator's Employee ID #: 7071

**Instructions:** Complete each of the above blocks before starting the evaluation. Review the Vectren Evaluation Process with the employee and ensure they know what to expect during the evaluation. Review the task with the employee. When the employee is ready to be evaluated, officially begin the evaluation, reminding them that they should tell you what step of the task they are about to perform. As they tell you their next step, locate the step on the list below, silently read the performance expectation statement and observe the employee's performance. Initial the box if they performed the step satisfactorily. If you do not initial a box, you must use the comments section to explain why the employee did not earn your initials in the box for this step. After the employee declares they are "done" with the task, if all task step boxes were successfully completed as indicated by your initials in each box, initial the "qualified" box. If any boxes are without initials and comments have been properly noted why they had not earned your initials, initial the "Not Qualified" box, review the comments with the employee, and inform them they are "not qualified" to perform this task. Explain that they cannot perform this task unless under the direction of another qualified individual, if span of control is 1:1 or 1:more than 1 (1 qualified employee to 1 non-qualified performer or 1 qualified employee to more than 1 non-qualified performer) with 1:0 meaning a non-qualified person cannot perform the task on a jurisdictional facility. The qualified employee must be able to take immediate action to mitigate potential abnormal operating conditions (AOCs) or injuries during the performance of that task. Evaluator and employee must sign and date this form before it is submitted for further processing. Notify the employee's Supervisor and the Manager of Technical Training immediately if the employee fails the evaluation.

Sequence	Task Step Performance Expectation Statement & AOCs		Comments
(i.e. * = no sequence S1.1, S1.2, S1.3 = sequence)	<p>Steps are listed in the suggested order but may be performed in any order unless marked in the left column with the sequence indicator: S1.1, S1.2, S1.3, S2.1, S2.2...</p> <p>Generic Abnormal Operating Conditions (AOCs) are listed in the AOC section following the last performance expectation step of this task. Task Specific - Abnormal Operating Conditions (TS-AOC) that might reasonably be expected to be encountered while performing this Covered Task are identified in the task performance expectation steps.</p>	Initial box if observed and performed properly	<p>Explain why the performance did not meet the performance expectation statement.</p> <p>In the Generic AOC section, use the comments to explain AOCs that were encountered during the performance of the task and how the employee responded.</p>

**S1 Preparation**

•	Inspected tapping equipment to ensure it is operational and meets OEM specifications.	Evaluator Initials	
		MR	
•	Determined fitting has cooled (Checked to verify fitting has cooled sufficiently.)	Evaluator Initials	
		MR	
•	Installed pressure gauge(s) or verified pressure gauge(s) were installed where necessary to monitor line pressure	Evaluator Initials	
		MR	
•	Verified correct tapping/stopping fitting was installed (Checked to ensure the pressure rating, size and opening of the tapping/stopping fitting is compatible with its intended use.)	Evaluator Initials	
		MR	
•	Confirmed tapping/stopping fitting installation had been pressure-tested or pressure-tested it before tapping began	Evaluator Initials	
		MR	

	<p><b>Verified the completion plug can be properly threaded into the fitting</b></p> <p>(TS-AOC - Completion plug won't thread into the fitting)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if the completion plug won't thread into the fitting?"</p> <p><b>Response:</b> Retry, and if it still won't properly thread in, notify field supervisor or initiate notification to Vectren local management that a new fitting may need to be installed.</p>	<p>Evaluator Initials</p> <p>MR</p>	
	<p><b>Selected proper accessories</b> (Threaded or flanged tapping/stopping valve for the fitting to be tapped. Holder pilot, hole saw, or drill, and TDW valve adaptor. Appropriately sized wrenches for installation/removal.)</p> <p>(TS-AOC - Exceeded pressure rating equipment)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if the equipment's pressure rating was exceeded?"</p> <p><b>Response:</b> Make area safe, if necessary. Safely stop the equipment. Initiate notification to local Vectren management, if necessary. Tag equipment that was exceeded, if necessary. Use different equipment to complete the task, as necessary.</p>	<p>Evaluator Initials</p> <p>MR</p>	
S1.7	<p><b>Assembled Equipment</b></p> <p>S1.7.1 - Advanced boring bar until drilling tools could be attached.</p> <p>S1.7.2 - If the drill will not pass through the machine adaptor, installed the correct machine adaptor now.</p> <p>S1.7.3 - Coated the drill or shell cutter with Mueller cutting grease.</p> <p>S1.7.4 - Made sure the O-ring was in good condition then attached the proper machine adapter nipple to the boring bar.</p> <p>S1.7.5 - Verified the completion plug was removed following installation of tapping fitting or removed it before proceeding.</p> <p>S1.7.6 - Installed the appropriately rated tapping valve for the pressure on the tapping fitting.</p> <p>S1.7.7 - Attached the drilling machine and machine adaptor nipple to the tapping valve.</p>	<p>Evaluator Initials</p> <p>MR</p>	
S1.8	<p><b>Verified positions of valves</b> (Verified tapping/stopping valve and bleed valve are open.)</p>	<p>Evaluator Initials</p> <p>MR</p>	
S1.9	<p><b>Configured machine</b></p> <p>S1.9.1 - Advanced the boring bar until the drill or shell cutter contacted the pipe to be drilled.</p> <p>S1.9.2 - Retracted the boring bar a slight amount off the pipe.</p> <p>S1.9.3 - Adjusted the feed tube, or feed nut, and yoke so that the yoke engaged with the top of the friction collar on the boring bar.</p> <p>S1.9.4 - Raised the pivot arm of the locking mechanism on the side of the yoke and locked in place with the operating screw.</p> <p>S1.9.5 - Measured and marked the cutting distance required to complete the drilling operation of the point on the body that the feed tube will reach (referred to Mueller Operations manual for proper cutting distance as needed).</p>	<p>Evaluator Initials</p> <p>MR</p>	
<b>S2 Perform Tap Process</b>			
S2.1	<p><b>Performed the tap</b></p> <p>S2.1.1 - Shut off bleed valve, if present, once drill or shell cutter pilot entered the pipe and gas was detected.</p> <p>S2.1.2 - Utilized the feed tube not the feed handles to lower the drill or cutter during drilling.</p> <p>S2.1.3 - Discontinued lowering drill or shell cutter when mark made at sub-step S1.9.5 under "configured machine" above was reached.</p> <p>(TS-AOC - Cutter jammed during tap)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if the cutter jammed during the tapping operation?"</p> <p><b>Response:</b> Retract cutter 3/4 turn, and try again, if jams again, then retract cutter into the machine, shut gate valve and purge, then remove machine and check cutter for worn or broken teeth. If cutter is worn, try another cutter. If any of the teeth are chipped or broken, initiate notification to Vectren local management.</p>	<p>Evaluator Initials</p> <p>MR</p>	



## GENERIC AOC'S

**Instructions:** Evaluator, confirm that the candidate recognized and properly reacted to any generic AOC while performing this task or by answering the questions below. If either occurred, then initial each generic AOC initial box to the right. If observed during the performance of the task, describe in the comments section.

•	<p><b>Gas Leak</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if you found a gas leak on a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and fix if qualified to do so.</p>	Evaluator Initials	MR
•	<p><b>Fire</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if a fire occurred, on or near a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and activate the emergency response plan.</p>	Evaluator Initials	MR
•	<p><b>Explosion</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if an explosion occurred, on or near a pipeline or facility?"</p> <p><b>Response:</b> Secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and activate the emergency response plan.</p>	Evaluator Initials	MR
•	<p><b>Damage to Facilities</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if you found damage on a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and fix if qualified to do so.</p>	Evaluator Initials	MR

<div style="border: 1px solid black; width: 40px; height: 40px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">MR</div>	<p>If all steps of this task have been performed satisfactorily as indicated by the evaluator initialing each of the above boxes when the performance expectation was observed, and by now initialing the box to the left, this employee was found to be <b>QUALIFIED</b> to perform this task on this date.</p>
<div style="border: 1px solid black; width: 40px; height: 40px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">NOT QUALIFIED</div>	<p>If any of the above steps of this task have been unsatisfactorily performed, omitted or changed by the employee, as indicated by the evaluator not initialing any one of the boxes above, the evaluator, by initialing the box to the left, has found this employee to be, <b>NOT QUALIFIED</b> to perform this task on this date.</p>

Employee's Signature	<i>Daniel Rogell</i>	Date:	5-7-19
Evaluator's Signature	<i>[Signature]</i>	Date:	5-7-19

**Evaluator:** By signing this form, I am acknowledging that I:

- Am familiar with all of the Vectren requirements for evaluators;
- Have performed this evaluation and completed this form as required;
- Possess the required current knowledge of this task; and
- Have the skills and abilities to determine that this employee is qualified or not qualified to perform this task.



# Performance Evaluation



PEF#: 192-1426.11 PEF Title: Tapping / Stopping - Steel Completion Plug Setting - 4" and less Mueller Machines

## PEF Task Description:

Setting of a completion plug in a 4" or smaller diameter tapping/stopping fitting using a Mueller D or E machine, a Line Stopper Unit 1 (1" - 2-1/2") or a Line Stopper Unit 2 (3" or 4") into a previously installed and tapped fitting on a steel pipeline. This task begins with the tapping machine having been removed from the closed tapping valve which remains on the fitting in the closed position. The previously used tap, drill or stopper has been disassembled from the machine/unit. The task does not include performing the tap, installing purge connection(s), installing and operating a bypass if required, or inserting or removing a stopper in the fitting when such is performed.

## Vectren Evaluation Process

### 4 phases of the Evaluation Process:

#### 1. Preparing for the Evaluation (Evaluator and Employee):

- **Evaluator and Employee** - Collect and review materials: Task description; Test; Performance Evaluation Forms (PEFs); AOCs; Related O&M Manual materials; Procedures; Original Equipment Manufacturer (OEM) Materials and any other pertinent material for the evaluation.
- **Evaluator** - Review, select and prepare location for evaluation and take into consideration that: The location is appropriate; if the employee has special needs; the location is private; the appropriate tools and equipment are available (including PPE); ensure all safety measures have been taken (e.g., site and surrounding area); and verify and record the employee's proper identification.
- **Evaluator** - Notify appropriate personnel: Determine whether the employee is ready to be evaluated on the specific task; and consider site specific needs/procedures.

#### 2. Preparing the Employee:

- Set the employee at ease.
- Explain the evaluation process, including: Importance of task performance and evaluation; evaluator's role during evaluation (e.g., not to coach/not to give answers); rules, expectations, consequences and practices as established by Vectren.
- Review and Practice the task with the candidate if they want to. Ask them if they are ready to begin the evaluation.

#### 3. Performing the Evaluation:

- Instruct employee to begin.
- The evaluation should only be stopped for safety, integrity, or operations concerns an evaluator mistake (e.g., leads, coaches, anticipates) or evaluator discretion. Once the evaluation begins, ask ONLY the questions provided on the PEF checklist. Do not ask your own questions. Do not give the employee positive or negative verbal or non-verbal feedback during the evaluation phase. Do not coach, lead, hint or train during the evaluation phase of the process. Avoid anticipating mistakes; comparing one person to another; making assumptions or judgments; distractions or diversion by the employee, evaluator and/or the environment; and do not be influenced by the opinions of others. Avoid unreasonably high or low expectations, instead, maintain consistency and accuracy appropriate for the task.
- Observe the performance of the task comparing it to the PEF, and that the employee: followed safety procedures; selected and used correct PPE; used the correct tools; followed correct procedure in the correct sequence (if sequential order is required for the specific task); completed the task in a timely fashion without hesitation; did not take any shortcuts/ or make changes in procedure.
- Document the evaluation using the attached PEF ensuring that each task expectation performance observed is initialed and all boxes appropriately checked or filled in.
- Evaluation is concluded when: The employee declares that they have completed the task; a safety or integrity issue arises; evaluator error (e.g., leads, coaches, anticipates); or evaluator discretion (e.g., timing, just isn't getting it done) *use this option sparingly*.

#### 4. Documenting the Evaluation:

After the evaluation is completed: Inform employee if they are "qualified" or "not qualified"; inform employee of specific mistakes made, if any; complete, sign, date, and turn in properly prepared paperwork.

## References

### O&M Manual

14.90 Tapping and Stopping Records

### Gas Construction Standards

GE-CS-001 6.0 Tapping and Stopping

GE-CS-001 13.0 Accidental Ignition Precautions

### Mueller Reference Manual

Installing and Stopping Off Low Pressure Line Stopper Fittings

## Related Performance Evaluation Forms

PEF192-1426.09 Tapping / Stopping - Steel Tapping - 4" and less Mueller D or E Machine

PEF192-1426.10 Tapping / Stopping - Steel Stopping - 4" and less Mueller D or E Machine



## Performance Evaluation Form



PEF#: 192-1426.11      PEF Title: Tapping / Stopping - Steel Completion Plug Setting - 4" and less Mueller Machines

**PEF Task Description:**

Setting of a completion plug in a 4" or smaller diameter tapping/stopping fitting using a Mueller D or E machine, a Line Stopper Unit 1 (1" - 2-1/2") or a Line Stopper Unit 2 (3" or 4") into a previously installed and tapped fitting on a steel pipeline. This task begins with the tapping machine having been removed from the closed tapping valve which remains on the fitting in the closed position. The previously used tap, drill or stopper has been disassembled from the machine/unit. The task does not include performing the tap, installing purge connection(s), installing and operating a bypass if required, or inserting or removing a stopper in the fitting when such is performed.

Employee Name: <u>Bruce Rigel</u>	Employee ID #: <u>4786</u>
Employee's Reporting Location/Contractor Name: <u>Jalazette</u>	Date: <u>5-7-19</u>
"pipeline": <u>Matt Rich</u>	Evaluator's Employee ID #: <u>7071</u>

**Instructions:** Complete each of the above blocks before starting the evaluation. Review the Vectren Evaluation Process with the employee and ensure they know what to expect during the evaluation. Review the task with the employee. When the employee is ready to be evaluated, officially begin the evaluation, reminding them that they should tell you what step of the task they are about to perform. As they tell you their next step, locate the step on the list below, silently read the performance expectation statement and observe the employee's performance. Initial the box if they performed the step satisfactorily. If you do not initial a box, you must use the comments section to explain why the employee did not earn your initials in the box for this step. After the employee declares they are "done" with the task, if all task step boxes were successfully completed as indicated by your initials in each box, initial the "qualified" box. If any boxes are without initials and comments have been properly noted why they had not earned your initials, initial the "Not Qualified" box, review the comments with the employee, and inform them they are "not qualified" to perform this task. Explain that they cannot perform this task unless under the direction of another qualified individual, if span of control is 1:1 or 1:more than 1 (1 qualified employee to 1 non-qualified performer or 1 qualified employee to more than 1 non-qualified performer) with 1:0 meaning a non qualified person cannot perform the task on a jurisdictional facility. The qualified employee must be able to take immediate action to mitigate potential abnormal operating conditions (AOCs) or injuries during the performance of that task. Evaluator and employee must sign and date this form before it is submitted for further processing. **Notify the employee's Supervisor and the Manager of Technical Training immediately if the employee fails the evaluation.**

Sequence	Task Step Performance Expectation Statement & AOCs		Comments
(i.e. * = no sequence S1.1, S1.2, S1.3 = sequence)	<p>Steps are listed in the suggested order but may be performed in any order unless marked in the left column with the sequence indicator: S1.1, S1.2, S1.3, S2.1, S2.2...</p> <p>Generic Abnormal Operating Conditions (AOCs) are listed in the AOC section following the last performance expectation step of this task. Task Specific - Abnormal Operating Conditions (TS-AOC) that might reasonably be expected to be encountered while performing this Covered Task are identified in the task performance expectation steps.</p>	Initial box if observed and performed properly	<p>Explain why the performance did not meet the performance expectation statement.</p> <p>In the Generic AOC section, use the comments to explain AOCs that were encountered during the performance of the task and how the employee responded.</p>

**S1 Preparation**

•	Inspected tapping equipment to ensure it is operational and meets OEM specifications.	Evaluator Initials	MR
•	Installed pressure gauge(s) or verified pressure gauge(s) were installed where necessary to monitor line pressure	Evaluator Initials	MR
•	Selected correct tapping/stopping equipment (Checked to ensure the pressure rating, size and opening of the tapping/stopping fitting is compatible with its intended use and reference OEM and O&M as necessary.)	Evaluator Initials	MR
•	<p><b>Prepared machine</b></p> <ul style="list-style-type: none"> <li>- Advanced inserting/boring bar until inserting tool could be attached.</li> <li>- Attached the completion plug to the plug insertion tool                             <ul style="list-style-type: none"> <li>- by threading together for a standard completion plug, or</li> <li>- by engaging the fork lugs for an E-Z release plug</li> </ul> </li> <li>- Attached the inserting tool with completion plug attached to the machine inserting/boring bar wrench light.</li> <li>- Attached appropriate machine adaptor.</li> <li>- On plugs having an O-ring seal, verified O-ring was in good condition and coated it with heavy grease or on plugs having tapered threads and no O-ring, coat the threads with non-hardening pipe thread "dope".</li> <li>- Retracted the inserting/boring bar to its rear-most position.</li> </ul>	Evaluator Initials	MR


	<p>• <b>Installed plugging machine on tapping valve</b> (Attached the plugging machine and machine adaptor as a unit to the tapping valve, holding the boring/inserting bar at rear-most position.)</p>	<p>Evaluator Initials</p> <p>MR</p>	
	<p>• <b>Verified, by observing previously installed pressure gauges that the pressure in the line was as expected and within the pressure rating of the plugging unit</b>  (TS-AOC - Overpressure) If TS-AOC did not occur, Evaluator ask, "What would you do if you found an overpressure situation on the pipeline?"  <b>Response:</b> Initiate notification to Vectren local management for system protection measures to be taken.</p>	<p>Evaluator Initials</p> <p>MR</p>	
<b>S2 Install Completion Plug Process</b>			
S2.1	<p><b>Purged assembly</b> S2.1.1 - Opened the tapping valve slowly, or used bypass if available. S2.1.2 - Utilized the bleed valve to bleed air from chamber holding the boring bar in the rear-most position to avoid having the inserting/boring bar forcibly raised. S2.1.3 - Closed bleed valve when gas detected. S2.1.4 - Opened the tapping valve completely.  (TS-AOC - Under-pressure) If TS-AOC did not occur, Evaluator ask, "What would you do found an under-pressure situation on the pipeline when the bleeder valve was opened?" <b>Response:</b> Initiate notification to Vectren local management for system protection measures.</p>	<p>Evaluator Initials</p> <p>MR</p>	
S2.2	<p><b>Inserted completion plug</b> S2.2.1 - Advanced the inserting/boring bar until the completion plug contacted the tapping fitting while holding down on the inserting/boring bar with the feed yoke. S2.2.2 - Rotated the boring bar clockwise and threaded the completion plug into the tapping fitting until it was tight. S2.2.3 - Opened bleeder valve to relieve pressure from machine and determined if completion plug was holding by observing whether gas continued to exit the bleeder valve after the initial blowdown.  (TS-AOC - Completion plug does not seal or won't engage threads) If TS-AOC did not occur, Evaluator ask, "What would you do if the completion plug will not seal or engage threads?" <b>Response:</b> Retract completion plug into machine, close tapping valve and bleed off pressure. Remove machine from fitting and check O-rings, threads and plug holder for damage. If plug won't seal on second attempt, initiate notification to Vectren local management that another fitting might need to be installed.  (TS-AOC - Completion plug dropped in fitting) If TS-AOC did not occur, Evaluator ask, "What would you do if you drop the completion plug in the fitting and you are not able to reattach the completion plug holder?" <b>Response:</b> If the plug cannot be "fished" out of the fitting and/or the tapping valve will not close, initiate notification to Vectren local management that a new fitting may need to be installed.  (TS-AOC - Excessive gas is indicated at bleeder valve) If TS-AOC did not occur, Evaluator ask, "What would you do if the bleeder valve continued to vent gas after the completion plug was set?" <b>Response:</b> Tighten the plug more. If it won't tighten or the plug holder is no longer attached, the completion plug might have dropped off the holder or the threads aren't engaging. Initiate notification to Vectren local management.</p>	<p>Evaluator Initials</p> <p>MR</p>	
<b>S3 Completion</b>			
S3.1	<p><b>Released inserting tool</b> S3.1.1 - Released the inserting tool by reversing the ratchet handle to counter-clockwise or turning the "T" handle counter clockwise. A sharp strike on the ratchet or "T" handle may be applied if needed to "break" the inserting tool loose from the completion plug. S3.1.2 - Raised the inserting/boring bar until inserting tool, or top half of inserting tool for D and E machines was clear of the tapping valve.</p>	<p>Evaluator Initials</p> <p>MR</p>	
S3.2	<p><b>Removed equipment</b> S3.2.1 - Removed the machine and machine adapter from the tapping valve as a complete unit while the lower half of the inserting tool on D and E machines remains on the completion plug. S3.2.2 - Removed the tapping valve from the fitting. S3.2.3 - For D and E machines, removed the lower half of the inserting tool from the completion plug. S3.2.4 - For completion plugs without O-rings, lightened the completion plug with completion plug wrench. S3.2.5 - Tested completion plug with leak detection soap to verify no leaks found.  (TS-AOC - Completion plug leaking) If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered leaking gas around the completion plug?" <b>Response:</b> Attempt to retighten. If unable to tighten initiate notification to Vectren local management that the fitting may need to be encapsulated.</p>	<p>Evaluator Initials</p> <p>MR</p>	

83.3	<b>Installed cap</b> - For threaded completion caps, utilized thread seal compound on fitting threads, installed the cap on the tapping/stopping fitting and tightened appropriately. - For bolted completion caps, put gasket into fitting recess, placed cap onto fitting and bolted securely in place.	Evaluator Initials MR
83.4	<b>Performed leak test</b> (Tested fitting with leak detection soap to verify no leaks found.)	Evaluator Initials MR
•	<b>Completed appropriate documentation</b>	Evaluator Initials MR

### GENERIC AOC'S

Instructions: Evaluator, confirm that the candidate recognized and properly reacted to any generic AOC while performing this task or by answering the questions below. If either occurred, then initial each generic AOC initial box to the right. If observed during the performance of the task, describe in the comments section.

•	<b>Gas Leak</b> If AOC did not occur, Evaluator ask, "What would you do if you found a gas leak on a pipeline or pipeline facility?" <b>Response:</b> Depending on severity, secure the area to protect the public, life & property, initiate notification to Vectren local management and fix if qualified to do so.	Evaluator Initials MR
•	<b>Fire</b> If AOC did not occur, Evaluator ask, "What would you do if a fire occurred, on or near a pipeline or pipeline facility?" <b>Response:</b> Depending on severity, secure the area to protect the public, life & property, initiate notification to Vectren local management and activate the emergency response plan.	Evaluator Initials MR
•	<b>Explosion</b> If AOC did not occur, Evaluator ask, "What would you do if an explosion occurred, on or near a pipeline or facility?" <b>Response:</b> Secure the area to protect the public, life & property, initiate notification to Vectren local management and activate the emergency response plan.	Evaluator Initials MR
•	<b>Damage to Facilities</b> If AOC did not occur, Evaluator ask, "What would you do if you found damage on a pipeline or pipeline facility?" <b>Response:</b> Depending on severity, secure the area to protect the public, life & property, initiate notification to Vectren local management and fix if qualified to do so.	Evaluator Initials MR

 <input checked="" type="checkbox"/> "QUALIFIED"	<p>If all steps of this task have been performed satisfactorily as indicated by the evaluator initialing each of the above boxes when the performance expectation was observed, and by now initialing the box to the left, this employee was found to be <b>QUALIFIED</b> to perform this task on this date.</p>
<input type="checkbox"/> "NOT QUALIFIED"	<p>If any of the above steps of this task have been unsatisfactorily performed, omitted or changed by the employee, as indicated by the evaluator not initialing any one of the boxes above, the evaluator, by initialing the box to the left, has found this employee to be, <b>NOT QUALIFIED</b> to perform this task on this date.</p>

Employee's Signature: Brook Royce Date: 5-7-19  
 Evaluator's Signature: [Signature] Date: 5-7-19

**Evaluator:** By signing this form, I am acknowledging that I:  
 -Am familiar with all of the Vectren requirements for evaluators;  
 -Have performed this evaluation and completed this form as required;  
 -Possess the required current knowledge of this task; and  
 -Have the skills and abilities to determine that this employee is qualified or not qualified to perform this task.



# Performance Evaluation Form



PEF#: 192-1002.02 PEF Title: Plastic Pipe Joints - Electrofusion: Service Tee

**PEF Task Description:**

Visual inspection of the assembly and joining of PE pipe by electrofusion and completed joints conducted in a controlled lab or simulation situation only

Employee Name: Beard Royal Employee ID #: 4786  
 Employee's Reporting Location/Contractor Name: Lafayette Date: 10-22-19  
 Evaluator Name: S Hout Evaluator's Employee ID #: 5417

**Instructions:** Complete each of the above blocks before starting the evaluation. Review the Vectren Evaluation Process with the employee and ensure they know what to expect during the evaluation. Review the task with the employee. When the employee is ready to be evaluated, officially begin the evaluation, reminding them that they should tell you what step of the task they are about to perform. As they tell you their next step, locate the step on the list below, silently read the performance expectation statement and observe the employee's performance. Initial the box if they performed the step satisfactorily. If you do not initial a box, you must use the comments section to explain why the employee did not earn your initials in the box for this step. After the employee declares they are "done" with the task, if all task step boxes were successfully completed as indicated by your initials in each box, initial the "qualified" box. If any boxes are without initials and comments have been properly noted why they had not earned your initials, initial the "Not Qualified" box, review the comments with the employee, and inform them they are "not qualified" to perform this task. Explain that they cannot perform this task unless under the direction of another qualified individual, if span of control is 1:1 or 1:more than 1 (1 qualified employee to 1 non-qualified performer or 1 qualified employee to more than 1 non-qualified performer) with 1:0 meaning a non qualified person cannot perform the task on a jurisdictional facility. The qualified employee must be able to take immediate action to mitigate potential abnormal operating conditions (AOCs) or injuries during the performance of that task. Evaluator and employee must sign and date this form before it is submitted for further processing. Notify the employee's Supervisor and Vectren Technical Training immediately if the employee fails the evaluation.

Sequence	Task Step Performance Expectation Statement & AOCs	Initial box if observed and performed properly	Comments
(i.e. * = no sequence S1.1, S1.2, S1.3 = sequence)	<p>Steps are listed in the suggested order but may be performed in any order unless marked in the left column with the sequence indicator: S1.1, S1.2, S1.3, S2.1, S2.2...</p> <p>Generic Abnormal Operating Conditions (AOCs) are listed in the AOC section following the last performance expectation step of this task. Task Specific - Abnormal Operating Conditions (TS-AOC) that might reasonably be expected to be encountered while performing this Covered Task are identified in the task performance expectation steps.</p>		<p>Explain why the performance did not meet the performance expectation statement.</p> <p>In the Generic AOC section, use the comments to explain AOCs that were encountered during the performance of the task and how the employee responded.</p>

**S1 Preparation**

<p>Checked calibration date on fusion equipment (Confirmed fusion equipment has been calibrated according to manufacturer's operating instructions.)</p> <p>(TS-AOC - Equipment out of recommended tolerances)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if the electrofusion equipment was out of recommended tolerances or the calibration window has expired?"</p> <p><u>Response:</u> Return the equipment to the manufacturer for calibration and/or obtain another machine and start over.</p>	<p>Evaluator Initials</p> <p><u>SH</u></p>
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	<p><b>Visually inspected pipe and service tee saddle fitting</b></p> <ul style="list-style-type: none"> <li>- Inspected the service tee saddle fitting and PE pipe to see that they are size and type compatible</li> <li>- Inspected for damage; i.e. cuts, gouges, and deep scratches that exceed 10% of the pipe wall</li> <li>- Removed and/or replaced any damaged, defective or incompatible fittings or pipe sections before fusing. (when in doubt cut it out.)</li> </ul> <p>(TS-AOC - Damaged Pipe or Fittings)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered incompatible sized, damaged or defective pipe and/or service tee saddle fitting?"</p> <p><u>Response:</u> Cut-out, remove and/or replace any incompatible sized, damaged or defective sections of pipe and/or fittings.</p>	<p>Evaluator Initials</p> <p>SH</p>	
S1.1	<p><b>Cleaned pipe</b></p> <p>(Removed dirt, mud and debris with clean water. [Use no Detergents as wetting agents and other substances contained in detergents can be difficult to remove from the pipe and will interfere with the fusion process later] Clean and mark an area that is approximately 3 times wider than the area to be scraped/peeled.)</p>	<p>Evaluator Initials</p> <p>SH</p>	
S1.2	<p><b>Marked service tee saddle base</b></p> <p>(Marked around the service tee saddle base on the pipe using a permant marker, without removing fitting from its packaging.)</p>	<p>Evaluator Initials</p> <p>SH</p>	
S1.3	<p><b>Marked pipe</b></p> <p>(Marked pipe an area that is at least 3 times wider than the area to be scraped/peeled. DO NOT WIPE OUTSIDE THIS INITIALLY CLEANED AREA IN LATER STEPS.) Clean with 90% Isopropyl alcohol. (Clean inbetween the two outer marks wiping in one direction.)</p>	<p>Evaluator Initials</p> <p>SH</p>	
S1.4	<p><b>Remark service tee saddle base with fusion location centered between the marks.</b></p>	<p>Evaluator Initials</p> <p>SH</p>	
S1.5	<p><b>Marked Squiggle Lines</b></p> <p>(Marked the area of the pipe to be scraped with squiggle lines extending past the service tee saddle base using a permant marker.)</p>	<p>Evaluator Initials</p> <p>SH</p>	
S1.6	<p><b>Scraped/Peeled pipe</b></p> <p>(Scraped pipe utilizing approved mechanical scraper to remove oxidation and squiggle marks without removing excess material.)</p> <p>(TS-AOC - Pipe scraped too thin or gouged during scraping)</p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered the pipe was scraped too thin or gouged during scraping?"</p> <p><u>Response:</u> Cut the bad area of the pipe off and start over a S1.1</p>	<p>Evaluator Initials</p> <p>SH</p>	
S1.7	<p><b>Remove Shavings/Peeler tails from pipe</b></p> <p>(Avoid allowing shavings/peeler tailings produced by the peeler from winding around pipe as this can re-distribute contaminates that may not have been removed by the initial cleaning. Break the tailing away frequently as-needed.)</p>	<p>Evaluator Initials</p> <p>SH</p>	

S1.8	<p><b>Confirmed removal of oxidation, dirt and contamination</b>          (Confirmed all oxidation, dirt, oil and other contaminations were removed from scraped area. If contamination was found, i.e. scraped area of pipe had been touched, clean the affected area of the pipe with 90% isopropyl alcohol)</p> <p>(TS-AOC - Oxidized, dirty or contaminated pipe)</p>	<p>Evaluator Initials</p>	
	<p>If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered oxidized, dirty or contaminated pipe where electrofusions are about to take place?"</p>	<p>SAH</p>	
	<p><u>Response:</u> Clean the affected area of the pipe with 90% isopropyl alcohol.</p>		
S1.9	<p><b>Removed fitting from packaging and inspected</b></p> <ul style="list-style-type: none"> <li>- Removed fitting from packaging ensuring not to scrape or contaminate saddle base</li> <li>- Ensured cutter is not blocking the service tee outlet</li> <li>- Cleaned fitting contact area if it appeared contaminated using 90% isopropyl alcohol.</li> </ul>	<p>Evaluator Initials</p>	
		<p>SAH</p>	
S1.10	<p><b>Clamped fitting</b>          (Installed tapping tee according to manufacturer's instructions without touching the fusion location that has been cleaned and scraped or the mating surface of the fitting.)</p>	<p>Evaluator Initials</p>	
		<p>SAH</p>	

**S2 Perform Fusion Process**





•	<b>Inspected processor leads and power cords</b> (Inspected processor leads and power cords for damage.)	Evaluator Initials JH	
•	<b>Checked power supply source for availability and readiness</b> - Circuit breaker turned on or if generator was used, ensured enough fuel was available for complete, uninterrupted fusion. - Started generator prior to starting processor and let it warm-up.	Evaluator Initials JH	
•	<b>Plugged in and turned on electrofusion processor according to manufacturer's operating instructions</b>	Evaluator Initials JH	
•	<b>Connected processor leads to fitting</b> (Utilized the appropriate terminal tips for connection.)	Evaluator Initials JH	
•	<b>Checked processor for error messages that could have occurred during self calibration</b>	Evaluator Initials JH	
Note 1	NOTE: The performer must determine whether the Resistor or Barcode Method will be used. Only one (1) of these methods can be used per fusion. The electrofusion processor will display if it picked up the fitting information from the connection and that it will use the Resistor method. If not, the performer will have to select the Barcode method. Evaluator - initial the column to the right opposite the method that was observed and performed correctly. If not observed, do not initial but describe details in the remarks column.	Evaluator Initials JH	
S2.1a <sup>1</sup>	<b>Resistor Method</b> (Verified proper fusion time is listed on the processor after terminal tips are connected to the fitting.)  (TS-AOC - Electrofusion processor did not recognize fitting when connected)  If TS-AOC did not occur, Evaluator ask, "What would you do if the electrofusion processor did not display the fusion time when the fitting was connected?"  Response: Remove and reinstall the connectors, and if it did not display a fusion time switch to the Barcode method.		
S2.2b <sup>1</sup>	<b>Barcode Method</b> (Scanned bar code and confirmed the appropriate fitting identifier was displayed according to manufacturer's operating instructions.)		
S2.3	<b>Started electrofusion process by pressing the start button or other action according to manufacturer's operating instructions</b>	Evaluator Initials JH	

S3 Completion

S3.1	Removed processor leads	Evaluator Initials SH	
S3.2	Recorded the "cooling time", "rough handling time", "fuser initials" and "fusion date" and "company name" on pipe with a permant marker.	Evaluator Initials SH	
S3.3	Removed retaining clamp after appropriate cool down time had occurred per Manufacturer's operating instructions	Evaluator Initials SH	
S3.4	<p><b>Inspected fused fitting</b> (Performed visual inspection to confirm no material leakage outside of fitting, and checked fusion results on processor for possible errors.)(When in doubt cut it out.)</p> <p><b>(TS-AOC - Incomplete Fusion)</b> If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered incomplete fusion?"</p> <p><b>Response:</b> If this is due to machine shut down, then let the joint cool to ambient temperature and repeat the fusion on the fitting one more time, not to exceed two (2) total heating cycles.</p> <p><b>(TS-AOC - Improper fusion)</b> If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered misalignment, overheating, over melt, undermelt and/or PE pipe damage by overheating?"</p> <p><b>Response:</b> Cut out fitting and complete a Material Failure Report.</p> <p><b>(TS-AOC - Material leakage or wire exposed outside fitting edge)</b> If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered material leakage or an exposed wire outside the fitting edge?"</p> <p><b>Response:</b> If no error messages had occurred, the melt/exposed wire was not extended past the edge of the fitting more than 1/8", and/or the melt/exposed wire area does not cover more than 1/4 of the circumference of the pipe, then no action is necessary; just continue the task. If any of these had occurred, then cut out fitting, and start over (Normally these situations will only happen on 6" and larger fittings.)</p>	Evaluator Initials SH	
S3.5	<p><b>Tested fusion joint</b> - Completed fusion joint made in a controlled lab setting or simulated situation passed destructive testing - Conducted appropriate strength test and/or soap test in a construction situation <b>(TS-AOC - Cooling time not observed)</b></p> <p>If TS-AOC did not occur, Evaluator ask, "What would you do if you discovered appropriate "total cooling time" or "rough handling time" was not observed prior to rough handling or destructive testing?"</p> <p><b>Response:</b> Affected fusion joint would be discarded and process started over if in a controlled lab setting or simulated situation. If fuser was qualified and performing on a live line, secure the area, move to a safe location and initiate notification to Vectren local management immediately for instructions on how to proceed.</p>	Evaluator Initials SH	

## GENERIC AOC'S

Instructions: Evaluator, confirm that the candidate recognized and properly reacted to any generic AOC while performing this task or by answering the questions below. If either occurred, then initial each generic AOC initial box to the right. If observed during the performance of the task, describe in the comments section.

•	<p><b>Gas Leak</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if you found a gas leak on a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and fix if qualified to do so.</p>	Evaluator Initials	
•	<p><b>Fire</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if a fire occurred, on or near a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and activate the emergency response plan.</p>	Evaluator Initials	
•	<p><b>Explosion</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if an explosion occurred, on or near a pipeline or facility?"</p> <p><b>Response:</b> Secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and activate the emergency response plan.</p>	Evaluator Initials	
•	<p><b>Damage to Facilities</b></p> <p>If AOC did not occur, Evaluator ask, "What would you do if you found damage on a pipeline or pipeline facility?"</p> <p><b>Response:</b> Depending on severity, secure the area to protect the public, life &amp; property, initiate notification to Vectren local management and fix if qualified to do so.</p>	Evaluator Initials	



"QUALIFIED"

"NOT QUALIFIED"

If all steps of this task have been performed satisfactorily as indicated by the evaluator initialing each of the above boxes when the performance expectation was observed, and by now initialing the box to the left, this employee was found to be **QUALIFIED** to perform this task on this date.

If any of the above steps of this task have been unsatisfactorily performed, omitted or changed by the employee, as indicated by the evaluator not initialing any one of the boxes above, the evaluator, by initialing the box to the left, has found this employee to be, **NOT QUALIFIED** to perform this task on this date.

Employee's Signature Boal Repley

Evaluator's Signature [Handwritten Signature]

Date: 10-22-19

Date: 10-22-19

**Evaluator:** By signing this form, I am acknowledging that I:

- Am familiar with all of the Vectren requirements for evaluators;
- Have performed this evaluation and completed this form as required;
- Possess the required current knowledge of this task; and
- Have the skills and abilities to determine that this employee is qualified or not qualified to perform this task.

**Mueller Co.**

Reliable Connections™

*Certificate  
Of Attendance*

***Brad Royer - Vectren***

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*HAS ATTENDED THE*

Mueller Co. Gas Products Division seminar covering the proper use and basic maintenance of drilling and stopping machines, service line products, and line stopper fittings.

***PETE LOHN***

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Mueller Training Representative

***AUG. 7<sup>TH</sup>, 2018***

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Date

**Mueller Co.**

**Reliable Connections<sup>SM</sup>**

*Certificate  
Of Attendance*

***Joe Knapp - Vectren***

---

***HAS ATTENDED THE***

Mueller Co. Gas Products Division seminar covering the proper use and basic maintenance of drilling and stopping machines, service line products, and line stopper fittings.

***PETE LOHN***

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Mueller Training Representative

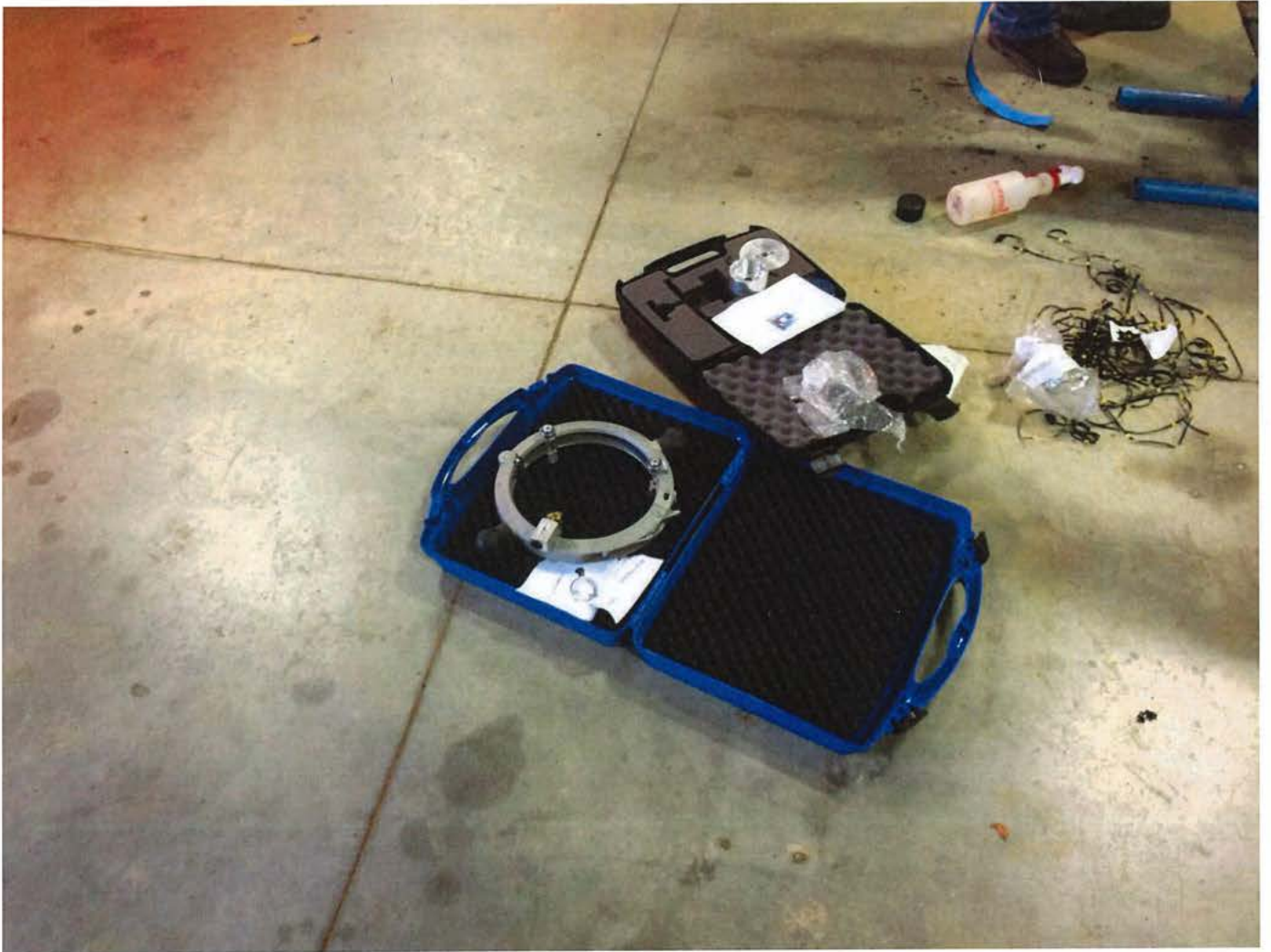
***AUG. 7<sup>TH</sup>, 2018***

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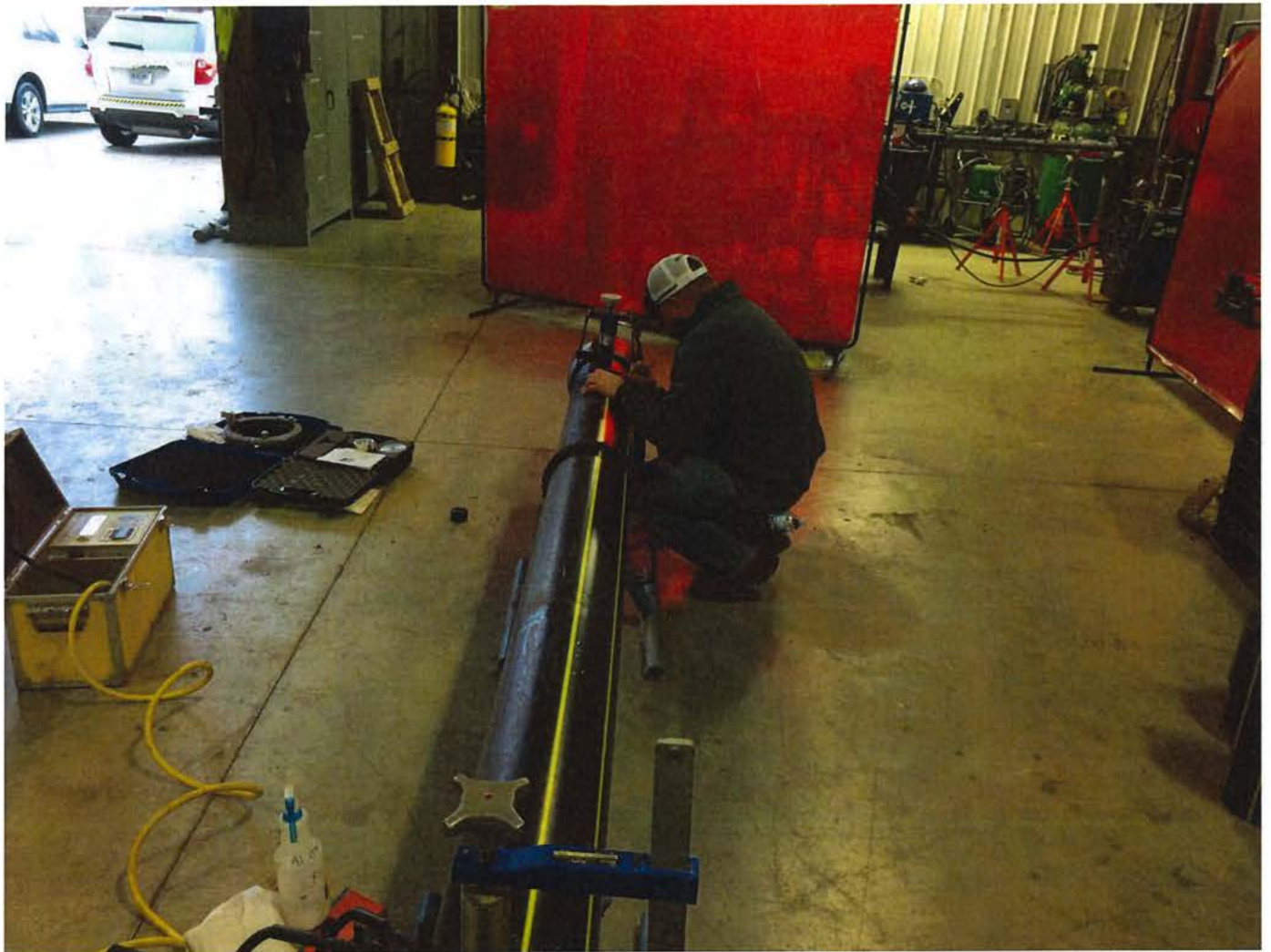
Date

PICTURES OF MUELLER SHUR STOP TRAINING CONDUCTED BY PETE LOHN, MUELLER REPRESENTATIVE



















# STATE OF INDIANA



INDIANA UTILITY REGULATORY COMMISSION  
101 W. WASHINGTON STREET, SUITE 1500E  
INDIANAPOLIS, INDIANA 46204-3407

<http://www.in.gov/iurc>  
Office: (317) 232-2701  
Facsimile: (317) 232-6758

July 20, 2020

Vectren a CenterPoint Energy Company  
Richard Leger  
One Vectren Way  
Evansville, IN 47708

**Re: Notice of Proposed Penalty: NOPP No. 11064-2020720**

On February 25, 2020, the Pipeline Safety Division (the "Division") of the Indiana Utility Regulatory Commission (the "Commission") sent Vectren a Notice of Probable Violations, No. NOPV 11064-2020122. The Division received the Operator's response dated April 23, 2020, and considered the information provided. Because the nature of the violation(s) is such that penalties should be assessed, the Division is issuing this Notice of Proposed Penalty ("NOPP").

Under Ind. Code § 8-1-22.5-7, the Commission, after notice and opportunity for public hearing, may issue civil penalties not to exceed twenty-five thousand dollars (\$25,000) for each violation for each day that the violation persists and not to exceed one million dollars (\$1,000,000) for any related series of violations.

**The Proposed Penalty is \$75,000** for the following 3 violations that persisted as indicated:

- 1 Violation:** 49 C.F.R. § 192.627, Tapping Pipelines under Pressure  
One day
- 1 Violation:** 49 C.F.R. § 192.805, Qualification Program  
One day
- 1 Violation:** 49 C.F.R. § 192.807, Recordkeeping  
One day

**Please provide a written response to this NOPP no later than August 9, 2020**, indicating whether you agree to the Proposed Penalty.

If you disagree with the Proposed Penalty, you must provide justification for each violation, using the following factors from the federal Pipeline and Hazardous Materials Safety

Administration's methodology under 49 U.S.C. § 60122 and 49 C.F.R. § 190.225 for determining penalties:

- a. The nature, circumstances and gravity of the violation, including adverse impact on the environment.
- b. The degree of the operator's culpability.
- c. The operator's history of prior offenses.
- d. Good faith by the operator in attempting to achieve compliance.
- e. The effect on the operator's ability to continue in business.
- f. The economic benefit gained from violation, if readily ascertainable, without any reduction because of subsequent damages.
- g. Such other matters as justice may require.

**Failure to respond to this NOPP, or failure to come to an agreement on the amount of penalty, will result in a request for a Commission investigation.**

Please contact me at (317) 232-2718 or [WBoyd@urc.in.gov](mailto:WBoyd@urc.in.gov) immediately with any questions.

Sincerely,



William Boyd  
Director, Pipeline Safety Division

cc: Dan Novak, Program Manager  
Michael Neal, Pipeline Safety Division Engineer