

Delhi Electricity Regulatory Commission
(Terms and Conditions for Determination of Tariff)
Regulations, 2017

DELHI ELECTRICITY REGULATORY COMMISSION

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NOTIFICATION

New Delhi, the 31st January, 2017

**Delhi Electricity Regulatory Commission
(Terms And Conditions For Determination of Tariff) Regulations, 2017**

No. F.3(472)/Tariff-Engg./DERC/2016-17/5475/2216 - In exercise of powers conferred under Section 181 read with Sections 61 and 86(1)(b) of the Electricity Act, 2003 (Act 36 of 2003) and all other powers enabling it in this behalf, the Delhi Electricity Regulatory Commission hereby makes the following Regulations namely:

**PART 1
PRELIMINARY**

1. SHORT TITLE, COMMENCEMENT AND EXTENT

- (1) These Regulations shall be called the Delhi Electricity Regulatory Commission (Terms and Conditions for Determination of Tariff) Regulations, 2017;
- (2) These Regulations shall be deemed to have come into force from 1st February, 2017 and shall remain in force till amended or repealed by the Commission:

Provided that where a project or scheme or a part thereof of a Utility, has been declared under commercial operation prior the date of commencement of these Regulations, tariff in respect of such project or scheme or such part thereof, unless the context otherwise requires, shall be determined in accordance with the Delhi Electricity Regulatory Commission Regulations on Terms and Conditions for determination of Generation, Transmission and Distribution Tariff Regulations for the relevant year, as amended from time to time as in force on the date of Commercial Operation;

- (3) These Regulations shall extend to the whole of National Capital Territory of Delhi;

- (4) These Regulations shall apply in all cases where tariff for a generating station or a unit thereof, a transmission system used for transmission of electricity or part thereof, a distribution system or part thereof used for wheeling and retail supply of electricity is required to be determined by the Commission under the Act:

Provided that in case of distribution of electricity in the same area by two or more Distribution Licensees, the Commission may, for promoting competition among Distribution Licensees, fix the ceiling tariff or such other parameters, as it deems fit, for retail sale of electricity;

- (5) These Regulations shall not apply for determination of tariff in respect of the following:

(a) Generating station or transmission system or Distribution system/network, whose tariff has been discovered through tariff based competitive bidding in accordance with the guidelines issued by the Central Government under Section 63 of the Act;


(b) Generating station based on renewable sources of energy whose tariff is determined in accordance with the Delhi Electricity Regulatory Commission's any other Regulations / Orders, as amended from time to time.

2. DEFINITIONS AND INTERPRETATION

In these Regulations, unless the context otherwise requires,

- (1) **"Act"** means the Electricity Act, 2003 (36 of 2003), including any amendment thereto;
- (2) **"Additional Capitalisation"** means the capital expenditure incurred, or projected to be incurred after the date of commercial operation of the project and admitted by the Commission after prudence check;

- (3) **"Aggregate Revenue Requirement"** or **"ARR"** means the costs pertaining to the Utility's business as determined by the Commission to be admissible in a Financial Year and to be recovered through tariff and charges, in accordance with these Regulations;
- (4) **"Allocation Statement"** means for each Financial Year, a statement in respect of each of the businesses of the Utility, showing the amounts of any revenue, cost, asset, liability, reserve or provision etc, which has been either:
- (a) Determined by apportionment or allocation between different businesses of the Utility including the Licensed Business, together with a description of the basis of the apportionment or allocation; or
 - (b) Charged from or to each such Other Business together with a description of the basis of that charge;
- (5) **"Applicable Tariff"** means the tariff determined by the Commission;
- (6) **"Auditor"** means an auditor empanelled with Comptroller and Auditor General (C&AG) of India and appointed by the Utility, in accordance with the provisions of the Companies Act, 2013 as amended from time to time;
- (7) **"Auxiliary Energy Consumption"** or **"AUX"** in relation to a period in case of a generating station means the quantum of energy consumed by auxiliary equipment of the generating station, such as the equipment being used for the purpose of operating plant and machinery including switchyard of the generating station and the transformer losses within the generating station, expressed as a percentage of the sum of gross energy generated at the generator terminals of all the units of the generating station:

 Provided that the auxiliary energy consumption shall not include the energy consumed for supply of power to housing colony and other facilities at the

generating station and the power consumed for construction works at the generating station;

(8) **"Bank Rate"** means the base rate or Marginal Cost of Fund based Lending Rate (MCLR) or any other Benchmark Rate as notified by the State Bank of India;

(9) **"Base Year"** means the Financial Year immediately preceding first year of the Control Period as specified in these Regulations;

(10) **"Beneficiary"** in relation to a generating station covered under Section 86 (1) of the Act, means a Distribution Licensee who is purchasing electricity generated at such generating station through a Power Purchase Agreement either directly or through a trading licensee on payment of fixed charges and by scheduling in accordance with the Grid Code:

Provided that the Distribution Licensee will also be a beneficiary when it is procuring power through a trading licensee, and such arrangement is secured through back to back Power Purchase Agreement and Power Sale Agreement;

(11) **"Block"** in relation to a combined cycle thermal generating station includes combustion turbine-generator, associated waste heat recovery boiler, connected steam turbine-generator and auxiliaries;

(12) **"Books of Account"** includes records maintained by a Utility in respect of—

- (a) all sum of money received and expended;
- (b) all sales and purchases of goods and services;
- (c) the assets and liabilities; and
- (d) any other cost/revenue items or financial transactions;

(13) **"Business Plan Regulations"** means the Regulations of the Commission specifying the Business Plan of a Utility including the norms for various parameters of the

Utilities for the Control Period, in accordance with provisions of Part 2 of these Regulations;

(14) **"Capital Cost"** means the capital cost as determined by the Commission after prudence check in accordance with the relevant Regulations;

(15) **"Carrying Cost"** means the cost for funding of Regulatory Asset/accumulated Revenue Gap;

(16) **"Carrying Cost Rate"** means the weighted average rate of interest for funding of Regulatory Asset/accumulated Revenue Gap through debt and equity in an appropriate ratio, as specified by the Commission in the relevant Orders;

(17) **"CERC"** means the Central Electricity Regulatory Commission;

(18) **"Change In Law"** means occurrence of any of the following events:

- (a) Enactment, bringing into effect or promulgation of any new Indian law; or
- (b) adoption, amendment, modification, repeal or re-enactment of any existing Indian law; or
- (c) change in interpretation or application of any Indian law by a Competent Court, Tribunal or Indian Governmental Instrumentality which is the final authority under law for such interpretation or application; or
- (d) change by any competent authority in any condition or covenant of any consent or clearances or approval or license available or obtained for the project; or
- (e) coming into force or change in any bilateral or multilateral agreement/treaty between the Government of India and any other Sovereign Government/s or international convention or protocol having implication for the generating station or the transmission system regulated under these Regulations;

 (19) **Commission** means the Delhi Electricity Regulatory Commission;

- (20) **"Communication System"** includes communication system covered under Unified Load Dispatch and Communication (ULD&C) scheme, Supervisory Control and Data Acquisition System (SCADA), Wide Area Measurement (WAMS), Fibre-Optic Communication system, Remote Terminal Unit (RTU), Private Automatic Branch Exchange Radio Communication System and auxiliary power supply system etc. used for managing transmission and distribution of electricity;
- (21) **"Competitive Bidding"** means a transparent process for procurement of equipment, services and works in which bids are invited by the Utility through open advertisement covering the scope and specifications of the equipment, services and works required for the project or scheme, the terms and conditions of the proposed contract, the criteria by which the bids shall be evaluated, and shall include domestic as well as international competitive bidding;
- (22) **"Conduct of Business Regulations"** means the Delhi Electricity Regulatory Commission Comprehensive (Conduct of Business) Regulations, 2001, as amended from time to time;
- (23) **"Consumer"** means any person defined as such in the Act;
- (24) **"Control Period"** means a multi-year period specified by the Commission, from time to time, in the Business Plan Regulations;
- (25) **"Cut-off Date"** means 31st March of the year closing after two financial years of the year of commercial operation of whole or part of the project/scheme, and in case the whole or part of the project/scheme is declared under commercial operation in the last quarter of a financial year, the cut-off date shall be 31st March of the year closing after three financial years of the year of commercial operation:

Provided that the cut-off date may be extended by the Commission if it is established to the satisfaction of the Commission that the capitalisation could not be made within the cut-off date for reasons beyond the control of the Utility;

(26) "Date of Commercial Operation" or "COD" means;

- (a) Date of commercial operation in case of a generating unit or block of the combined cycle thermal generating station shall mean the date declared by the Generating Entity after demonstrating the maximum continuous rating (MCR) or the installed capacity (IC) through a successful trial run and in case of the generating station as a whole, the date of commercial operation of the last generating unit or block of the generating station:

Provided that:

- (i) where the beneficiaries have been tied up for purchasing power from the generating station, the trial run shall commence after seven days notice by the Generating Entity to the beneficiaries and scheduling shall commence from 00:00 hrs after completion of the trial run;
- (ii) the Generating Entity shall certify to the effect that the generating station meets the key provisions of the technical standards of *Central Electricity Authority (Technical Standards for Construction of Electrical plants and electric lines) Regulations, 2010 and Grid Code* as amended from time to time;
- (iii) the certificate shall be signed by the competent authority of the Generating Entity and a copy of the certificate shall be submitted to the Member Secretary, (Northern Regional Power Committee) and SLDC;
- (b) Date of commercial operation in relation to a transmission system shall mean the date declared by the transmission licensee from 00:00 hour of which an element of the transmission system is in regular service after successful trial operation for transmitting electricity and communication signal from sending end to receiving end:

Provided that:

- (i) where the transmission line or substation is dedicated for evacuation of

power from a particular generating station, the Generating Entity and transmission licensee shall endeavour for commissioning the generating station and the transmission system simultaneously as far as practicable and shall ensure the same through appropriate Implementation Agreement;

(ii) in case a transmission system or an element thereof is prevented from regular service for reasons not attributable to the transmission licensee or its supplier or its contractors but is on account of the delay in commissioning of the concerned generating station or in commissioning of the upstream or downstream transmission system or distribution system by other licensees, the transmission licensee shall approach the Commission for approval of the revised date of commercial operation of such transmission system or an element thereof;

(c) Date of commercial operation in relation to a communication system or element thereof shall mean the date declared by the Utility from 00:00 hour of which a communication system or element is put into service after completion of site acceptance test including transfer of voice and data to respective control centre as certified by the respective SLDC;

(d) Date of commercial operation in relation to Distribution System shall mean the date declared by the Distribution Licensee after charging of electrical line or substation or equipment of a Distribution System to its declared voltage level for its intended purpose after obtaining the required and applicable clearances from Electrical Inspector, if any.

(27) "Day" means the 24 hour period starting at 00:00 hour;

(28) "Declared Capacity" or "DC" in relation to a generating station means, the capability to deliver ex-bus electricity in MW declared by such generating station in relation to any time-block of the day as defined in the Grid Code or whole of the day, duly taking into account statutory clearance, availability of fuel or water, and

subject to further qualification in the relevant Regulation;

- (29) **"De-capitalisation"** for the purpose of the tariff under these Regulations, shall mean removal/deletion of assets resulting into corresponding reduction in Gross Fixed Assets of the project/scheme as approved by the Commission;
- (30) **"Existing Project/Scheme"** means a project/scheme which has been declared under commercial operation on a date prior to commencement of the Control Period;
- (31) **"Expenditure Incurred"** means the amount actually expended and paid in cash or cash equivalent, for creation or acquisition of an asset through deployment of equity or debt or both, and does not include commitments or liabilities for which no payment has been released;
- (32) **"Extended Life"** means the life of an asset or part thereof belonging to the Utility beyond the period of useful life, as may be determined by the Commission on case to case basis;
- (33) **"Financial Year" or "Year"** means a period commencing on 1st April of a calendar year and ending on 31st March of the subsequent calendar year;
- (34) **"Force Majeure"** for the purpose of these Regulations means any event or circumstance or a combination of events and circumstances, which or any consequences of which materially and adversely affects the performance of the Utility in the discharge of its obligations or completion of project/scheme, within the specified time and which is beyond its reasonable control and which the Utility could not have prevented by the exercise of reasonable care and diligence;
- (35) **"Generating Entity"** means any company or firm or body corporate or association or body of individuals whether incorporated or not or artificial juridical person, which owns and/or operate a generating station;

(36) **"Generating Station"** means any station for generating electricity, including any building and plant with step-up transformer, switch-gear, switch yard, cables or other appurtenant equipment, if any, used for that purpose and the site thereof; a site intended to be used for a generating station, and any building used for housing the operating staff of a generating station, and where electricity is generated by water power, includes penstocks, head and tail works, main and regulating reservoirs, dams and other hydraulic works, but does not in any case include any sub-station;

(37) **"Generating Unit"** in relation to a thermal generating station (other than combined cycle thermal generating station) means steam generator, turbine-generator and auxiliaries, or in relation to a combined cycle thermal generating station, means turbine generator and auxiliaries;

(38) **"Grid Code"** means the Indian Electricity Grid Code specified by the Central Commission and the Delhi Electricity Regulatory Commission (State Grid Code) Regulations, 2008 as amended from time to time or subsequent re-enactment thereof;

(39) **"Gross Calorific Value" or "GCV"** in relation to a thermal generating station means the heat produced in kCal by complete combustion of one kilogram of solid fuel or one litre of liquid fuel or one standard cubic meter of gaseous fuel, as the case may be;

(40) **"Gross Station Heat Rate" or "GHR"** means the heat energy input in kCal required to generate one kWh of electrical energy at generator terminals of a thermal generating station;

(41) **"Implementation Agreement"** means the agreement, contract or memorandum of understanding, or any such covenant, entered into (i) between transmission licensee and generating station or (ii) between transmission licensee and developer of the associated transmission system for the execution of project in coordinated manner or (iii) between transmission licensee and distribution licensee of the associated

transmission system;

(42) **"Infirm Power"** means electricity injected into the grid prior to the date of commercial operation of a unit or block of the generating station;

(43) **"Installed Capacity" or "IC"** means the summation of the name plate capacities of all the units of the generating station or the capacity of the generating station reckoned at the generator terminals, as may be approved by the Commission from time to time;

(44) **"Investment Approval"** means approval by the Board or the relevant competent authority of the Utility conveying administrative approval for the project including funding of the project and the timeline for the implementation of the project:


Provided that the date of Investment Approval shall be reckoned from the date of the resolution/minutes of the Board/approval by competent authority;

(45) **"Kilowatt-Hour" or "kWh"** means a unit of electrical energy, measured in one kilowatt or one thousand watts of power produced or consumed over a period of one hour;

(46) **"Licence"** means a Licence granted under Section 14 of the Act;

(47) **"Licensed Business"** means the functions and activities, which are required to be undertaken by the Licensee, in terms of the Licence granted or being a deemed Licensee, as the case may be, under the Act;

(48) **"Licensee"** means a person who has been granted a Licence and shall include a deemed Licensee;

 (49) **"Maximum Continuous Rating" or "MCR"** in relation to a generating unit of the thermal generating station means the maximum continuous output at the generator terminals, guaranteed by the manufacturer at rated parameters, and in relation to a

block of a combined cycle thermal generating station means the maximum continuous output at the generator terminals, guaranteed by the manufacturer with water or steam injection (if applicable) and corrected to 50 Hz grid frequency and specified site conditions;

(50) **"New Project"** means the project achieving COD or anticipated to be achieving COD on or after the commencement of Control Period;

(51) **"Non-Tariff Income"** means income incidental to the Licensed business other than the income from Tariff;


(52) **"Normative Annual Plant Availability Factor" or "NAPAF"** in relation to a generating station means the availability factor as specified in the Business Plan Regulations;

(53) **"Original Project Cost"** means the capital expenditure incurred by the Utility within the original scope of the project up to the cut-off date as approved by the Commission;

(54) **"Original Scope of Work"** means the activities to be performed under a contract or sub-contract in the completion of project or scheme as approved by the Commission;

(55) **"Other Business"** means any other business of the Licensee other than the licensed business;

(56) **"Plant Availability Factor" or "(PAF)"** in relation to a generating station for any period means the average of the daily declared capacities (DCs) for all the days during the period expressed as a percentage of the installed capacity in MW less the normative auxiliary energy consumption;

 (57) **"Plant Load Factor" or "(PLF)"** in relation to generating station or unit for a given period means the total sent out energy corresponding to scheduled generation during the period, expressed as a percentage of sent out energy corresponding to

installed capacity in that period and shall be computed in accordance with the following formula:

$$PLF(\%) = 100 * \sum_{i=1}^n SGi / \{N \times IC \times (1 - AUX_n)\}\%$$

Where,

IC = Installed Capacity of the generating station or unit in MW,

SGi = Scheduled Generation in MW for the ith time block of the period,

N = Number of time blocks during the period, and

AUXn = Normative Auxiliary Energy Consumption as a percentage of gross energy generation;

(58) **"Prudence Check"** means scrutiny of reasonableness of revenue and capital expenditure incurred or proposed to be incurred, financing plan, use of efficient technology, cost and time over-run and such other factors as may be considered appropriate by the Commission for determination of tariff;

(59) **"Related Party"** means the persons as defined in Section 2(76) of the Companies Act, 2013 as amended from time to time;

(60) **"Retail Supply Business"** means the business of sale of electricity by the Licensee to the consumers within its area of supply in accordance with the terms of the Licence for distribution and retail supply of electricity;

(61) **"Retail Supply Tariff"** is the applicable tariff to be charged by the Licensee for supply to its consumers;

(62) **"Salvage value"** means the amount received for capital asset or part thereof retired, less expenses incurred in connection with the sale of such capital asset;

(63) **"Scheduled Energy"** means the quantum of energy scheduled by the state Load Dispatch Centre to be injected into the grid by a generating station for a given time period;

- (64) **"Scheduled Generation" or "SG"** at any time or for any period or time block means schedule of ex-bus generation in MW or MWh, given by the State Load Dispatch Centre (SLDC) for respective Generating Entity as per the provisions of State Grid Code 2008 amended from time to time;
- (65) **"Start Date or Zero Date"** means the date indicated in the Investment Approval for commencement of implementation of the project and where no date has been indicated, the date of investment approval shall be deemed to be the Start Date or Zero Date;
- (66) **"Thermal Generating Station"** means a generating station or a unit thereof that generates electricity using fossil fuels as its primary source of energy;
- (67) **"Trading Business"** means the business of purchase of electricity by the Distribution Licensee for resale thereof to other Licensee or category of consumers outside the area of supply of the Distribution Licensee;
- (68) **"Transmission System"** means a line or a group of lines with or without associated sub-station, equipment associated with transmission lines and sub-stations;
- (69) **"Trial Run and Trial Operation"**
- (a) Trial Run in relation to generating station or unit thereof shall mean the successful running of the generating station or unit thereof at maximum continuous rating or installed capacity for continuous period of 72 hours in case of unit of a thermal generating station or unit thereof:
- (b) Trial operation in relation to a transmission system or an element thereof shall mean successful charging of the transmission system or an element thereof for 24 hours at continuous flow of power, and communication signal from sending end to receiving end and with requisite metering system, telemetry and protection system

in service enclosing certificate to that effect from concerned State Load Dispatch Centre;

(70) **"Useful life"** means number of years from the CODin relation to a unit of a Generating Station, Transmission System and Distribution system or part thereof as provided in Appendix-1 of these Regulations;

(71) **"Utility"** means any Generating Entity, Transmission Licensee, Distribution Licensee, System Operator or any other company/Licensee whose business is required to be governed and/or tariff is to be determined by the Commission;

(72) **"Wheeling Business"** means the business of operating and maintaining a Distribution System or Transmission System, as the case may be, for conveyance of electricity in the area of supply of the Distribution Licensee or Transmission Licensee.

Words and expressions used in these Regulations and not defined herein but defined in the Act or any of the Regulations notified by the Commission shall have meaning assigned to them there-under.



PART 2
BUSINESS PLAN

3. The Commission shall notify Business Plan Regulations for each Control Period based on the Business Plan submitted by the Utility which shall be read as part of these Regulations.
4. The Business Plan Regulations shall contain the following parameters applicable for a Control Period:
 - (1) Rate of Return on Equity,
 - (2) Margin for rate of interest on Loan,
 - (3) Operation and Maintenance Expenses,
 - (4) Capital Investment Plan,
 - (5) Mechanism for sharing of incentive-disincentive mechanism,
 - (6) Allocation of overhead expenses incurred on account of Administrative Expenditure out of Operation and Maintenance Expenses for creation of Capital Asset,
 - (7) Generating Norms:
 - (a) Gross Station Heat Rate,
 - (b) Plant Availability Factor,
 - (c) Secondary Fuel oil consumption;
 - (d) Auxiliary consumption and
 - (e) Plant Load Factor;
 - (8) Transmission Norms:
 - (a) Annual Transmission system availability;
 - (b) Annual Voltage wise Availability;
 - (9) Distribution Norms:
 - (a) Distribution Loss Target;
 - (b) Collection Efficiency Target;
 - (c) Targets for Solar and Non Solar RPO;
 - (d) Contingency limit for Sale through Deviation Settlement Mechanism (Unscheduled Interchange) transactions
 - (e) The ratio of various ARR components for segregation of ARR into

Retail Supply and Wheeling Business.

5. The Utility shall prepare and submit a Business Plan for next 5 (five) years latest by 31st July of it's Base Year comprising of yearly projection of the following parameters, as applicable to the Utility:

GENERATING ENTITY

(1) Operational Data

- (a) Gross Station Heat Rate,
- (b) Plant Availability Factor,
- (c) Secondary Fuel Oil consumption,
- (d) Auxiliary consumption and
- (e) Plant Load Factor;

(2) Other Data

- (a) Detailed year-wise Capital Investment Plan with cost benefit analysis,
- (b) Fuel Linkage,
- (c) Cost of Primary and Secondary Fuel,
- (d) Appropriate capital structure and cost of financing (interest on debt), terms of the existing loan agreements, etc.,
- (e) Operation and Maintenance (O&M) costs,
- (f) Details of Depreciation;

TRANSMISSION LICENSEE

- (3) Detailed year wise Capital Investment Plan for the Transmission Licensee with cost benefit analysis;
- (4) Appropriate capital structure and cost of financing (interest on debt), terms of the existing loan agreements, etc;
- (5) Operation and Maintenance (O&M) costs;
- (6) Details of depreciation based on the useful life of the asset and capitalisation schedules;

DISTRIBUTION LICENSEE

- (7) Sales Forecast for each consumer category and sub-categories based on following factors:

- (a) Category wise growth in No. of Consumers,
- (b) Category wise growth in Sanctioned Load/Contract Demand (MW),
- (c) Economic Cycle (boom, recession, Government policies etc.),
- (d) Impact of Open Access (MU), Net Metering (MU), Demand Side Management measures (MU) etc,
- (e) Any other factor impacting the sales;

(8) Distribution Loss & Collection Efficiency trajectory consisting of:

- (a) Total and voltage-wise distribution losses (%) along with the basis thereof,
- (b) Total and category-wise revenue collection,
- (c) AT&C loss level based upon past trends, sales growth and any other factors;

(9) The AT&C Loss shall be the relationship between Distribution Loss and Collection Efficiency computed as per the following formula:

$$AT\&C\text{Loss} = [1 - (1 - \text{DistributionLoss}) * \text{CollectionEfficiency}] * 100$$

where,

AT&C Loss, Distribution Loss and Collection Efficiency are in (%) percentages

(10) Any units assessed and billed on account of theft shall only be considered in the year of its realization as specified in the Section 126 (6) of the Act;

(11) Collection Efficiency shall be measured as ratio of total revenue realised to the total revenue billed in the same year:

Provided that Revenue Realised or Revenue Billed on account of electricity duty, late payment surcharge, any other surcharge shall be excluded from the computation of Collection Efficiency;

(12) Distribution Loss shall be measured as the difference between the Energy units input into the distribution system for sale to all its consumer(s) and the total Energy units billed in its Licensed area in the same year;

(13) Power Procurement Plan based on the sales forecast and distribution loss trajectory to serve the demand for electricity in its area of supply clearly indicating estimated quantum of power to be procured from Long-Term sources:

Provided that the estimate should be expressed in Mega-Watt (MW) as well as Million Units (MU);

(14) The Distribution Licensee shall submit validity of the PPAs for existing Long-Term sources and expected CoD of the future sources;

(15) For the short term power requirement & procurement the Distribution Licensee shall be guided by the provisions of these Regulation in addition to the guidelines issued by the Central Government from time to time;

(16) Capital Investment Plan taking into account the sales/demand forecast, power procurement plan, distribution loss trajectory, targets for quality of supply etc.;

(17) The investment plan shall be scheme-wise and include:

- (a) Purpose of investment (such as replacement of existing assets, meeting load growth, technical loss reduction, reactive energy requirements, customer service improvement, improvement in quality and reliability of supply, etc),
- (b) Capital Structure,
- (c) Capitalization Schedule,
- (d) Financing Plan,
- (e) Cost-benefit analysis,

- (f) Performance improvement envisaged in the Control Period,
- (g) Any other factors influencing investment,

(18) Capital structure and cost of financing (interest on debt) and terms of the existing loan agreements, etc;

(19) Operation and Maintenance (O&M) costs;

(20) Details of depreciation schedule based on the useful life of the asset and capitalisation schedules.

6. The Utility shall submit audited financial statement including Cost Audit report, wherever applicable and data for the cost, revenue and other operating parameters for preceding 5 (five) years along with the Business Plan comprising of following data, as applicable to the Utility:

- (1) Rate of interest on Loan,
- (1) Operation and Maintenance Expenses,
- (2) Capital Expenditure and Capitalisation,
- (3) Non-Tariff Income
- (4) Other Business Income
- (5) Actual Generating Parameters:
 - (a) Quantum of Generation
 - (b) Primary Fuel consumption and cost
 - (c) Gross Station Heat Rate,
 - (d) Plant Availability Factor,
 - (e) Secondary Fuel oil consumption and cost;
 - (f) Auxiliary consumption and
 - (g) Plant Load Factor;
- (6) Actual Transmission Parameters:
 - (a) Quantum of Energy Wheeled,
 - (b) Transmission Charges and other Charges collected,
 - (c) Annual Transmission system availability,

- (d) Annual Voltage wise Availability,
- (e) Voltage Wise and Bay wise – O&M Expenses,

(7) Actual Distribution Parameters:

- (a) Quantum of Sales Category wise,
- (b) Connected Load Category wise,
- (c) Base Load and Peak Load,
- (d) Quantum of Power Purchase and Bulk Sale,
- (e) Long term and Short Term Power Purchase Cost,
- (f) Income through Sale of Surplus Power,
- (g) Voltage wise Distribution Loss,
- (h) Collection Efficiency,
- (i) Solar and Non Solar RPO,
- (j) The ratio of allocation for various ARR components for segregation of ARR into Retail Supply and Wheeling Business.

7. The Utility shall submit all source data and indexation parameters used in preparing the Business Plan.



PART 3
TARIFF PETITION

GENERATING ENTITY AND TRANSMISSION LICENSEE

8. The Generating Entity and Transmission Licensee shall submit Annual Tariff Petition, based on the information and principles specified in the Business Plan Regulations, at least, one hundred and fifty (150) days prior to the end of relevant financial Year.
9. The Commission shall issue Annual Tariff Order for each year of the Control Period based on the principles laid down in these Regulations read with Business Plan Regulations for the respective Control Period notified by the Commission.
10. The Commission shall true up various components of the ARR of the Generating Entity and Transmission Licensee at the end of the Financial Year as detailed out in these Regulations.

DISTRIBUTION LICENSEE

11. The Distribution Licensee shall submit Annual Tariff Petition, at least, one hundred and fifty (150) days prior to the end of relevant financial Year which shall contain:
 - (1) Sales Forecast for the ensuing year and audited Sales for previous Year on monthly basis as prescribed in the Appendix-2;
 - (2) Expected Revenue to be billed for the ensuing year and audited Revenue Billed and Realised for previous Year as prescribed in the Appendix-2;
 - (3) Power Procurement Quantum & Cost for ensuing Year and audited Power Purchase Quantum & Cost for previous Year on monthly basis indicating Long Term and Short Term, Renewable Energy Purchase and other applicable Charges as prescribed in the the Appendix -2:

Provided that the Distribution Licensee shall propose the indicative cost of power procurement taking into account revenues from Short term sale of Surplus Power and maximum normative rebate available from each entity;

Provided that the Renewable Purchase Obligation of the Distribution Licensee as per the *Delhi Electricity Regulatory Commission (Renewable Purchase Obligation and Renewable Energy Certificate Framework Implementation) Regulations, 2012* as amended from time to time shall be part of the Distribution Licensee's Power Procurement Cost;

- (4) Actual and Expected intra- State & inter-State Transmission Loss & Charges including Load Dispatch Charges, Open Access Charge indicating maximum normative rebate available from each entity for the previous and ensuing Year respectively;

Provided that the Distribution Licensee shall propose Wheeling Charges in case the distribution network of other Distribution Licensee is used for procurement of power for the Retail Supply Business;

- (5) Actual and Expected amount on account of Cross-Subsidy Surcharge and Additional Surcharge to be received by the Licensee, as approved by the Commission from time to time in accordance with the *Delhi Electricity Regulatory Commission (Terms and Conditions of Open Access) Regulations 2005* as amended from time to time, shall be indicated separately against the consumer category by the Distribution Licensee;
- (6) Actual Voltage wise Distribution Loss and Collection Efficiency for the previous Year;
- (7) Energy Audit Report of distribution network of the Distribution Licensee for previous Year by certified energy auditor from Bureau of Energy Efficiency;
- (8) Monthly Energy Balance for the ensuing & previous Year;
- (9) Actual and Expected additional Expenses on account of O&M beyond the Control of Distribution Licensee for the ensuing & previous Year respectively;
- (10) Actual and Expected Capitalisation and Depreciation Schedule for the previous and ensuing Year respectively;
- (11) Actual and Expected Non Tariff Income including Other Business Income for the previous and ensuing Year respectively;

(12) Actual weighted average rate of interest on loan.

FINANCIAL STATEMENTS

12. The Tariff Petition shall be accompanied by following Reports and/or Statements duly certified by the Auditor, as applicable:

- (a) Shareholding structure of the Utility along with details of Shareholding and Cross-Shareholding among related parties;
- (b) Accounting Policies including:
 - (i) Ratio for allocation of common expenses and allocation of jointly used assets/revenue among related parties;
 - (ii) Ratio for allocation of common expenses/revenue within different business segments of the Utility:
 - a) Generation and/or Transmission and/or Distribution of a Utility,
 - b) Different Units of a Generating Entity,
 - c) Retail and Wheeling Supply of a Distribution Company,
 - d) Any other identifiable Business i.e., Consultancy etc.
- (c) Allocation of overhead cost to capitalised assets in Balance sheet and its exclusion from Operations & Maintenance expenses in Profit & Loss Account;
- (d) Year wise asset register indicating capitalisation & depreciation;
- (e) Allocation of capital cost/expense for various voltages;
- (f) Pro-rated allocation of assets/expenses for various categories of consumers;
- (g) Break up of any surcharge collected with Tariff;
- (h) Statement on source of financing and amortization of Regulatory Asset, wherever applicable, created through Revenue Gap;
- (i) Loan utilisation certificate for all the loans availed by the licensee during the relevant year duly reconciled with statutory books of accounts including:
 - a) Capital Expenditure (CAPEX),

- b) Capital Work in Progress (CWIP),
- c) Working Capital,
- d) Regulatory Asset.



Secretary
Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017

PART 4

PROCEDURE FOR TARIFF DETERMINATION

FILING OF PETITION FOR DETERMINATION OF TARIFF

13. The Utility shall file a Petition for True up of ARR for previous years and determination of tariff in such form and in such manner as specified in these Regulations along with relevant formats of Generating Entity, Transmission Licensee and Distribution Licensee, as the case may be, duly supported with detailed computations.
14. The Petition shall be accompanied by such fees as specified under *Delhi Electricity Regulatory Commission Comprehensive (Conduct of Business) Regulations, 2001*, as amended from time to time.
15. The Utility shall deliver a Presentation and submit the Executive Summary on the Petition under Regulation 13 before the Commission within a week of its submission.
16. Any Petition at variance or deficient with respect to these Regulations shall be returned to the Utility, for rectification and resubmission within the time specified in the communication by the Commission.
17. The Utility shall upload and maintain on its website the complete Tariff Petition as admitted by the Commission, in "*downloadable format*" showing detailed computations, filed before the Commission with a web-link for its easy accessibility for a period of at least 1(one) year after the date of issuance of the Tariff Order.

Explanation— For the purpose of this Regulation, the term "*downloadable format*" shall mean all linked files containing assumptions, formulae, calculations, macros and outputs etc. forming the basis of the Petition.

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18. The Utility shall provide a copy of the Tariff Petition to any interested party, against charges not exceeding the amount stipulated by the Commission from time to time.

19. The Utility shall, if so directed by the Commission, file e-Petition (electronic mode) for determination of tariff.

PROCESS FOR DETERMINATION OF TARIFF AND ISSUANCE OF TARIFF ORDERS

20. The Commission shall upload the Tariff Petitions along-with the Executive Summary on its website within seven working days from the date of it's admission for information and seeking observations, suggestions and objections from the stakeholders including the consumers or consumer associations.
21. The Commission shall conduct prudence check of the claims made by the Utility and if so required, seek additional information, supporting documents, clarifications, etc.
22. The Commission shall issue the Tariff Order after considering the observations, suggestions and objections from any person and the response received thereof from the Utility.
23. The proceedings for determination of Tariff shall be in accordance with the *Delhi Electricity Regulatory Commission Comprehensive (Conduct of Business) Regulations, 2001*, as amended from time to time.
24. Notwithstanding anything contained in these Regulations, in the event of non filing of the Tariff Petition by the Utility, the Commission may initiate suo-motu proceedings for tariff determination in accordance with these Regulations read with the Business Plan Regulations.



PART 5
ARR COMPONENTS

CAPITAL COST


25. The Capital Cost of a new project or scheme shall include the following:

- (1) The expenditure incurred or projected to be incurred up to the date of commercial operation of the project or scheme as approved by the Commission;
- (2) Interest during construction and financing charges, on the loans being equal to debt as per financing excluding however the equity deployment, provided however the equity deployment shall not exceed 30% of the capital cost and in case equity is deployed in excess of 30% the excess shall be deemed to be a debt or notional loan;
- (3) Capitalized initial spares subject to the ceiling rates specified by the Commission;
- (4) Expenditure on account of additional capitalization determined in accordance with these Regulations;
- (5) Adjustment of revenue on account of sale of infirm power by Generating Entity in excess of fuel cost prior to the COD as specified under these Regulations; and
- (6) Adjustment of any revenue earned by the Utility, including by using the assets, before COD.

26. The Capital cost of an existing project or scheme shall include the following:

- (1) The trued-up capital cost excluding liability admitted by the Commission;
- (2) Additional capitalization and de-capitalization for the respective year of tariff as determined in accordance with these Regulation; and
- (3) Expenditure on account of renovation and modernisation as admitted by the Commission in accordance with these Regulations.

27. The capital cost incurred or projected to be incurred on account of any applicable PAT (Perform, Achieve and Trade) scheme of Government of India will be considered by the Commission on case to case basis and shall include:

- 
- (1) Cost of plan proposed by developer in conformity with norms of PAT Scheme; and
 - (2) Sharing of the benefits accrued on account of PAT Scheme.

28. The cost for the following shall be excluded or removed from the capital cost of the existing and new project or scheme as detailed out in Regulations 44 to 48 in these Regulations:

- (1) The assets forming part of the project or scheme, but not in use;
- (2) De-capitalized or retired asset.

29. Any grant or contribution or facility or financial support received by the Utility from the Central and/or State Government, any statutory body, authority, consumer or any other person, whether in cash or kind, for execution of the project or scheme, which does not involve any servicing of debt or equity or otherwise carry any liability of payment or repayment or charges shall be excluded from the Capital Cost for the purpose of computation of interest on loan, return on equity and depreciation.

30. The following principles shall be adopted for approval of capital cost of any project or scheme:

(1) Prudence Check of capital cost considering:

- (a) The benchmark norms specified, if any, by the Commission from time to time,
- (b) Scrutiny of the capital expenditure, financing plan, interest during construction, incidental expenditure during construction for its reasonableness, use of efficient technology, cost over-run and time over-run,
- (c) Mode of procurement,
- (d) Geographical Information System (GIS) mapping of the assets, and
- (e) Any other parameter considered appropriate by the Commission for determination of tariff.

(2) Capital cost over and above the specified benchmark norms, if any, may be considered based on reasons submitted by the Utility for exceeding the capital cost from benchmark norms to the satisfaction of the Commission on case to case basis.



INTEREST DURING CONSTRUCTION (IDC)

31. Interest during construction shall be computed corresponding to the loan as specified in Regulation 25(2) of these Regulations from the date of infusion of debt fund, and after taking into account the utilization of funds upto COD.

32. The Commission shall allow IDC based on the prudence check and subject to any conditions as may be prescribed by the Commission from time to time:

Provided that the Commission may allow IDC for any period of delay or part thereof, to the extent not attributable to the Utility, its suppliers or contractors or is resultant from a *force majeure* event.

INCIDENTAL EXPENDITURE DURING CONSTRUCTION (IEDC)

33. Incidental expenditure during construction shall be computed from the zero date and after taking into account the following:

- (1) Pre-operative expenses and additional expenditure when IDC is admissible necessary to be incurred upto COD as set out herein;
- (2) Adjustment for any revenue earned during construction period up to COD on account of interest on deposits or advances;
- (3) Adjustment for any other receipts during construction.

34. In case of additional costs on account of IEDC due to delay in achieving the COD, the Utility shall be required to furnish detailed justification with supporting documents for such delay including the details of incidental expenditure during the period of delay and liquidated damages, if any, recovered or recoverable corresponding to the delay.

35. Any additional cost on account of IEDC due to delay in achieving the COD shall be examined by the Commission on case to case basis.

 36. In case the time over-run beyond scheduled COD is not admissible after due

prudence check, the increase of capital cost on account of cost variation corresponding to the period of time over-run shall be excluded from capitalization irrespective of price variation provisions in the contracts with supplier or contractor of the Utility.

37. No additional impact of time over-run or cost over-run shall be admissible on account of non-commissioning of the generating station or associated transmission system or associated distribution system by scheduled COD, as the same should be recovered through Implementation Agreement between the generating company, transmission licensee and distribution licensee.

38. Initial spares shall be capitalized as a percentage of the Plant and Machinery cost upto cut-off date, subject to the norms specified in *CERC (Terms and Conditions of Tariff) Regulations, 2014* as amended from time to time for Generating Entity and Transmission Licensee:

Provided that the norms specified for capitalisation of initial spares for Transmission Licensee shall also be applicable *mutatis mutandis* to the Distribution Licensee.

DEPOSIT SCHEME

39. The project or scheme executed by the Utility after obtaining either full or part of the funds from the users/consumer/any other agency in the context of consumer contribution, deposit works, or grant received from the State and/or Central Governments, etc. shall be classified under Deposit Scheme.

40. Principles for treatment of the expenses on such capital expenditure shall be as follows:

- (1) Any unspent amount on account of deposit work and consumer contribution shall have to be refunded by the Utility:

Provided that no interest shall be levied on the unspent amount, if the unspent amount is refunded by the utility within 30 (thirty) days after CoD;

Provided further that interest at the rate of Bank Rate plus margin shall be levied on the unspent amount, if the unspent amount is refunded by the utility after 30 (thirty) days and upto 1 (one) year after CoD for the period between 31st day after CoD till date of refund;

Provided also that interest at the rate of 1.2 times of Bank Rate plus margin shall be levied on the unspent amount, if the unspent amount is refunded by the utility after 1 (one) year of CoD for the period between 31st day after CoD till date of refund;

Provided that any interest paid on this account shall not form part of the ARR;

- (2) Any under-recovery on account of deposit work and consumer contribution shall be collected by the Utility within 30 (thirty) days after CoD;

Provided that, the Utility shall specify a due date of payment which shall not be less than 15 (fifteen) days from the date of raising the demand note for under-recovered amount;

Provided further that Utility shall levy interest at applicable bank rate as on 1st April of the relevant financial year on the balance unrecovered amount left after due date;

- (3) Normative O&M expenses on the capital assets created through consumer contribution, deposit works and grant shall be allowed as specified in these Regulations;

- (4) Provisions related to Depreciation, Return on Equity and Interest on Loan shall not be applicable on such capital assets to the extent of financial support utilised through consumer contribution, deposit work and grant;

- (5) No additional impact of time over-run or cost over-run shall be admissible on

account of non energisation of the associated distribution system by scheduled COD, as the same should be recovered through mutual agreement between the distribution licensee from the developer.

ADDITIONAL CAPITALISATION

41. The capital expenditure in respect of the new project or scheme or an existing project or scheme incurred or projected to be incurred, within the original scope of work, after the date of commercial operation and up to the cut-off date, as detailed in application for tariff determination, may be admitted by the Commission, subject to prudence check considering:

- (1) Un-discharged liabilities recognized to be payable at a future date;
- (2) Works deferred for execution;
- (3) Procurement of initial capital spares within the original scope of work;
- (4) Liabilities to meet award of arbitration or for compliance of the order or decree of a court of law; and
- (5) Change in law or compliance of any existing law;


42. The capital expenditure incurred or projected to be incurred in respect of the new project or scheme within the original scope of work after the cut-off date may be admitted by the Commission, subject to prudence check considering:

- (1) Liabilities to meet award of arbitration or for compliance of the Order or decree of a court of law;
- (2) Change in law or compliance of any existing law;
- (3) Deferred works relating to ash pond or ash handling system in the original scope of work; and
- (4) Any liability for works executed prior to the cut-off date i.e., un-discharged liability, total estimated cost of package, reasons for such withholding of payment and release of such payments etc.

43. The capital expenditure, in respect of existing project/scheme, incurred or projected to be incurred after the cut-off date, may be admitted by the Commission, subject to prudence check considering:

- (1) Liabilities to meet award of arbitration or for compliance of the Order or decree of a court of law;
- (2) Change in law or compliance of any existing law;
- (3) Any expenses to be incurred on account of need for higher security and safety of the plant, as advised or directed by appropriate Government Agencies responsible for national security or internal security;
- (4) Deferred works relating to ash pond or ash handling system in the original scope of work;
- (5) Any liability for works executed prior to the cut-off date after prudence check of the details of such un-discharged liability, total estimated cost of package, reasons for such withholding of payment and release of such payments etc.;
- (6) Any liability for works admitted by the Commission after the cut-off date to the extent of discharge of such liabilities by actual payments;
- (7) Any additional capital expenditure which has become necessary for efficient operation. The claim shall be substantiated with the technical justification and cost benefit analysis duly supported by the documentary evidence like test results in case of deterioration of assets, damage caused by natural calamities, obsolescence of technology, up-gradation of capacity for the technical reason such as increase in fault level;
- (8) In case of transmission or distribution system, any additional expenditure on items such as relays, control and instrumentation, computer system, power line carrier communication, DC batteries, replacement due to obsolescence of technology, replacement due to system up-gradation or strengthening, replacement of switchyard equipment due to increase of fault level, tower strengthening, communication equipment, emergency restoration system, insulators cleaning infrastructure, replacement of porcelain insulator with polymer insulators, replacement of damaged equipment and any other expenditure which has become necessary for successful & efficient operation of transmission or distribution system.

DE-CAPITALISATION

-  44. In case of de-capitalisation of asset, the original cost of such asset shall be deducted from the value of Gross Fixed Assets (GFA), on and from the date when that asset

has been removed from GFA block and corresponding loan as well as equity shall be deducted from outstanding loan and the equity respectively in the year of de-capitalisation.

45. Loss or Gain due to de-capitalisation of asset based on the directions of the Commission due to technological obsolescence, wear & tear etc. or due to change in law or force majeure, which cannot be re-used, shall be adjusted in the ARR of the Utility in the relevant year.

46. Loss or Gain due to de-capitalisation of asset proposed by the Utility itself for the reasons not covered under Regulation 45 of these Regulations shall be to the account of the Utility.

47. Loss or Gain due to de-capitalisation of asset after the completion of useful life of asset shall be to the account of the Utility.

48. Principles for treatment of capital asset which has been removed from GFA before completion of its useful life with prior approval of the Commission and such removed asset is held in reserve for a continuous period of more than six months for its reuse later shall be as follows:

(1) In case the asset has been depreciated more than 70%, depreciation shall not be allowed on such asset from the date of de-capitalisation to the date such asset is put to re-use;

(2) In case the asset has been depreciated less than 70%, depreciation shall be allowed upto 70% of the total value of asset from the date of de-capitalisation to the date such asset is put to re-use;

(3) The Utility shall be allowed Carrying Cost, at the rate of interest for CAPEX Loan on written down value of such asset during the period from the date of de-capitalisation to the date such asset is put to re-use;

(4) In case such asset has been put to re-use, differential of maximum permissible depreciation, as specified in the Appendix-1, and actual accumulated depreciation, shall be allowed from the date such asset is put to re-use;

(5) The Utility shall be allowed Return on Equity, Interest on Loan on the written down value of the de-capitalised asset from the date such asset is put to re-use.

RENOVATION AND MODERNISATION FOR LIFE EXTENSION

49. The Utility shall file a Petition before the Commission for approval of the proposal with a Detailed Project Report giving complete scope, justification, cost-benefit analysis, estimated life extension from a reference date, financial package, phasing of expenditure, schedule of completion, reference price level, estimated completion cost including foreign exchange component, if any, and any other information considered to be relevant by the Utility for meeting the expenditure on renovation and modernization (R&M) for the purpose of extension of life beyond the originally recognized useful life as specified in Appendix - 1.

50. The Commission may grant approval for additional capital cost on account of renovation and modernization after due consideration of reasonableness of the cost estimates, financing plan, schedule of completion, interest during construction, use of efficient technology, cost-benefit analysis, and such other factors as may be considered relevant by the Commission:

Provided that any expenditure included in the R&M on consumables and cost of components and spares which is generally covered in the O&M expenses shall be suitably deducted after due prudence from the R&M expenditure to be allowed.

51. Any expenditure incurred or projected to be incurred and admitted by the Commission after prudence check based on the estimates of renovation and modernization expenditure and life extension, and after deducting the accumulated

depreciation already recovered from the original project cost, shall form the basis for determination of tariff.

SALE OF INFIRM POWER

52. Supply of infirm power shall be accounted as deviation and shall be paid from the deviation settlement fund accounts:

Provided that any revenue earned by the Generating Entity from supply of infirm power after accounting for the fuel expenses shall be adjusted towards reduction in the capital cost.

CAPITALISATION OF EXPENSES

53. The ratio for allocation of overhead expenses incurred on account of Administrative Expenditure out of Operation and Maintenance Expenses for creation of Capital Asset shall be specified by the Commission in the Business Plan Regulations which shall form part of total capital expenditure of such Capital Asset.

FOREIGN EXCHANGE RATE VARIATION

54. The Utility may hedge foreign exchange exposure in respect of the interest on foreign currency loan and repayment of foreign loan availed for regulated business.
55. The Utility shall submit an application within thirty days before entering into such hedging transaction based on its approved hedging policy with details of foreign exchange loan and cost of hedging.
56. If the foreign currency loan is taken to reduce the cost of funding, the Utility shall be allowed to recover the cost of hedging of foreign exchange rate variation corresponding to the foreign debt in the relevant year on year-to-year basis as expense in the period in which it arises; and extra rupee liability corresponding to such foreign exchange rate variation shall not be allowed against the hedged foreign debt.
57. To the extent the Utility is not able to hedge the foreign exchange exposure, the extra rupee liability towards interest payment and loan repayment corresponding to

the normative foreign currency loan in the relevant year shall be permissible in case it is not attributable to the Utility.

RECOVERY OF COST OF HEDGING OR FOREIGN EXCHANGE RATE VARIATION

58. In case of Generating Entity and transmission licensee, as the case may be, recovery of cost of hedging or foreign exchange rate variation shall be made directly by the Generating Entity or the transmission licensee, as the case may be, from the beneficiaries, without making any application before the Commission.
59. In case of any objections to the amounts claimed on account of cost of hedging or foreign exchange rate variation, the Generating Entity or the transmission licensee or beneficiaries, as the case may be, may make an appropriate application before the Commission for its decision.
60. In case of Distribution Licensee, recovery of cost of hedging or foreign exchange rate variation shall be allowed in the ARR of the licensee based on the prudence check in respective year.

CAPITAL COST - VARIATION AND TREATMENT

61. In case of the new projects/scheme, for the purpose of true up of Capital Cost, the Commission shall take into account the projected capital expenditure from the anticipated COD in accordance with these Regulations:

Provided that:

- (i) in case of a Generating Entity, if the date of commercial operation is delayed beyond 180 days from the date of issue of tariff order in terms of this Regulation, the tariff so granted shall be deemed to have been withdrawn and the Generating Entity shall be required to file a fresh Petition for determination of tariff after the date of commercial operation of the project/scheme;
- (ii) where the capital cost considered in tariff by the Commission on the basis of projected capital cost as on COD or the projected additional capital expenditure exceeds the actual capital cost incurred on year to year basis by more than 5%, the Generating Entity or Transmission Licensee, as the

case may be, shall refund to the beneficiaries the excess tariff recovered corresponding to such excess capital cost, as approved by the Commission along with interest at 1.20 times of the bank rate as prevalent on 1st April of respective year;

- (iii) The Generating Entity or Transmission Licensee, as the case may be, shall file true up petition along with all supporting documents for consideration of any upward revision in the tariff, where the capital cost considered in tariff by the Commission on the basis of projected capital cost as on COD or the projected additional capital expenditure falls short of the actual capital cost incurred on year to year basis by more than 5%. The Generating Entity or Transmission Licensee, as the case may be, shall be entitled to recover from the beneficiaries for the shortfall in tariff corresponding to addition in capital cost, as approved by the Commission along with interest at 0.80 times of bank rate as prevalent on 1st April of respective year.

62. In case of the existing projects/scheme, the Generating Entity or Transmission Licensee, as the case may be, shall be allowed tariff by the Commission based on the admitted capital cost as on 1st April of the relevant year and projected additional capital expenditure for the respective years of the Control Period in accordance with the Regulation:

Provided that:

- (i) The Generating Entity or Transmission Licensee, as the case may be, shall continue to bill the beneficiaries at the existing tariff approved by the Commission for the period starting from 1st April of new Control Period till approval of tariff by the Commission for new Control Period in accordance with these Regulations;
- (ii) where the capital cost considered in tariff by the Commission on the basis of projected capital cost as on COD or the projected additional capital expenditure submitted by the Generating Entity or Transmission Licensee, as the case may be,, as the case may be, exceeds the actual capital cost incurred on year to year basis by more than 5%, the Generating Entity or

Transmission Licensee, as the case may be, shall refund to the beneficiaries/consumers, the excess tariff recovered corresponding to excess capital cost, as approved by the Commission along with interest at 1.20 times of the bank rate as prevalent on April 1 of respective year;

- (iii) The Generating Entity or Transmission Licensee, as the case may be, shall file a true up Petition to the Commission, along with all supporting documents for consideration of any upward revision in the tariff, where the capital cost considered in tariff by the Commission on the basis of projected capital cost as on COD or the projected additional capital expenditure falls short of the actual capital cost incurred on year to year basis by more than 5%. The Generating Entity or Transmission Licensee, as the case may be, shall be entitled to recover from the beneficiaries for the shortfall in tariff corresponding to addition in capital cost, as approved by the Commission along with interest at 0.80 times of bank rate as prevalent on 1st April of respective year.

DEBT-EQUITY RATIO

63. For determination of Tariff, the debt-equity ratio for any project or scheme under commercial operation shall be considered as 70:30:

Provided that:

- (i) Where equity actually deployed is less than 30% of the capital cost, actual equity shall be considered for determination of tariff;
- (ii) Where equity actually deployed is more than 30% of the capital cost, equity in excess of 30% shall be treated as notional loan;
- (iii) The equity invested in foreign currency shall be designated in Indian rupees on the date of each investment;
- (iv) Any grant/contribution/deposit obtained for the execution of the project/scheme shall not be considered as a part of capital structure for the purpose of debt: equity ratio.

64. The Utility shall submit the audited statement regarding reconciliation of equity required and actually deployed to meet the capital expenditure of the project or scheme and funding of regulatory asset:

Provided that the reconciliation statement shall indicate the movement of equity with details of return on equity, incentive/disincentive, additional equity infused, distribution of dividend, normative loan etc.

RETURN ON CAPITAL EMPLOYED (RoCE)

65. Return on Capital Employed shall be used to provide a return to the Utility, and shall cover all financing costs except expenses for availing the loans, without providing separate allowances for interest on loans and interest on working capital.
66. The Regulated Rate Base (RRB) shall be used to calculate the total capital employed which shall include the Original Cost of Fixed Assets (OCFA) and Working Capital. Capital work in progress (CWIP) shall not form part of the RRB. Accumulated Depreciation, Consumer Contribution, Capital Subsidies / Grants shall be deducted in arriving at the RRB.
67. The RRB shall be determined for each year of the Control Period at the beginning of the Control Period based on the approved capital investment plan with corresponding capitalisation schedule and normative working capital.
68. The Regulated Rate Base for the i^{th} year of the Control Period shall be computed in the following manner:

$$RRB_i = RRB_{i-1} + \Delta AB_i / 2 + \Delta WCI_i;$$

Where,

" i " is the i^{th} year of the Control Period;

RRB_i : Average Regulated Rate Base for the i^{th} year of the Control Period;

ΔWCI_i : Change in working capital requirement in the i^{th} year of the Control Period from $(i-1)^{\text{th}}$ year;

ΔAB_i : Change in the Capital Investment in the i^{th} year of the Control Period;

This component shall be arrived as follows:

$$\Delta AB_i = Invi - Di - CCI - Ret_i;$$

Where,

Invi: Investments projected to be capitalised during the i^{th} year of the Control Period and approved;

Di: Amount set aside or written off on account of Depreciation of fixed assets for the i^{th} year of the Control Period;

CCi: Consumer Contributions, capital subsidy / grant pertaining to the ΔABi and capital grants/subsidies received during i^{th} year of the Control Period for construction of service lines or creation of fixed assets;

Ret_i: Amount of fixed asset on account of Retirement/ Decapitalisation during i^{th} Year;

RRB $i-1$: Closing Regulated Rate Base for the Financial Year preceding the i^{th} year of the Control period. For the first year of the Control Period, Closing RRB $i-1$ shall be the Opening Regulated Rate Base for the Base Year i.e. RRBO;

$$\text{RRBO} = \text{OCFAO} - \text{ADO} - \text{CCO} + \text{WCO};$$

Where;

OCFAO: Original Cost of Fixed Assets at the end of the Base Year;

ADO: Amounts written off or set aside on account of depreciation of fixed assets pertaining to the regulated business at the end of the Base Year;

CCO: Total contributions pertaining to the OCFAO, made by the consumers, capital subsidy / grants towards the cost of construction of distribution/service lines by the Distribution Licensee and also includes the capital grants/subsidies received for this purpose;

WCO: working capital requirement in the $(i-1)^{\text{th}}$ year of the Control Period.

69. Return on Capital Employed (RoCE) for the year "i" shall be computed in the following manner:

$$RoCE = WACC_i * RRB_i$$

Where,

WACC_i is the Weighted Average Cost of Capital for each year of the Control Period;

RRB_i – Average Regulated Rate Base for the ith year of the Control Period.

70. The WACC for each year of the Control Period shall be computed at the start of the Control Period in the following manner:

$$WACC = \left[\frac{D}{D + E} \right] * r_d + \left[\frac{E}{D + E} \right] * r_e$$

Where,

D is the amount of Debt derived as per these Regulations;

E is the amount of Equity derived as per these Regulations;

Where equity employed is in excess of 30% of the capital employed, the amount of equity for the purpose of tariff shall be limited to 30% and the balance amount shall be considered as notional loan. The amount of equity in excess of 30% treated as notional loan. The interest rate on excess equity shall be the weighted average rate of interest on the actual loans of the Licensee for the respective years. Where actual equity employed is less than 30%, the actual equity and debt shall be considered;

Provided that the Working capital shall be considered 100% debt financed for the calculation of WACC;

r_d is the Cost of Debt;

r_e is the Return on Equity.

71. The Utility shall make every effort to refinance the loan so as to reduce the cost of financing, the net saving in ARR due to such reduced financing cost shall be shared

with the consumers in the manner as specified in the Business Plan Regulations specified by the Commission.

- 72. Tax on Return on Equity:** The base rate of return on equity as specified by the Commission in the Business Plan Regulations shall be grossed up with the effective tax rate of the respective financial year. For this purpose, the effective tax rate shall be considered on the basis of actual tax paid vis-à-vis total income of the Utility in the relevant financial year in line with the provisions of the relevant Finance Acts. The actual tax on other income stream shall not be considered for the calculation of "effective tax rate":

Provided that if the rate of return on equity for a Control Period is allowed on pre-tax basis, then income tax on the return on equity shall not be allowed separately as a pass through in ARR;

Provided further that no amount shall be considered towards tax exceeding the actual amount of tax paid by the Corporate entity of the Utility as an assessee.

- 73. Rate of return on equity** shall be rounded off to three decimal places and shall be computed as per the formula given below:

Rate of pre-tax return on equity = Base rate / (1-t)

Where "t" is the effective tax rate in accordance with Regulation 72 and shall be calculated at the beginning of every financial year based on the estimated profit and tax to be paid by the Utility on pro-rata basis by excluding the other income stream:

Provided that wherever the Utility pays Minimum Alternate Tax (MAT), "t" shall be considered as MAT rate including surcharge and cess.

INTEREST ON LOAN

- 74. The amount of loans** arrived in the manner as indicated in Regulation 63 and 64 of these Regulations reduced by the corresponding loan amount of De-Capitalized Asset shall be considered as gross loan for calculation of interest on loan.

75. The loan outstanding as on 1st April of the respective year shall be worked out by deducting the cumulative repayment as admitted by the Commission from the gross loan.

76. The repayment of loan shall be considered from the first year of commercial operation of the project/scheme irrespective of any moratorium period availed by the Utility.

77. The rate of interest on loan shall be based on weighted average rate of interest for actual loan portfolio subject to the maximum of bank rate as on 1st April of the year plus the margin as approved by the Commission in the Business Plan Regulations for a Control Period:


Provided that in no case the rate of interest on loan shall exceed approved rate of return on equity:

Provided further that if there is no actual loan for a particular year but normative loan is still outstanding, the last available weighted average rate of interest shall be considered:

Provided also that if the Utility does not have actual loan then the rate of interest shall be considered at the bank rate plus margin, as specified by the Commission in the Business Plan Regulations, for the notional loan of the relevant control period:

Provided also that the loan availed through open tendering process (Competitive Bidding) among Scheduled Banks, Financial Institutions etc., shall be considered at the rate discovered through open tendering process.

DEPRECIATION

 78. Annual Depreciation shall be computed based on Straight Line Method for each class of asset as specified in Appendix-1 of these Regulations.

79. The base value for the purpose of depreciation shall be the capital cost of the asset approved by the Commission. Depreciation shall be chargeable from the first year of commercial operation and in case of commercial operation of the asset for part of the year, depreciation shall be charged on pro rata basis.

80. The salvage value of the asset shall be considered as 10% and depreciation shall be allowed up to maximum of 90% of the capital cost of the asset:

Provided that any depreciation disallowed on account of lower availability of the generating station or generating unit or transmission system as the case may be, shall not be allowed to be recovered at a later stage during the useful life and the extended life.

81. Land other than the land held under lease shall not be a depreciable asset and its cost shall be excluded from the capital cost while computing depreciable value of the asset.

82. In case of existing assets, the balance depreciable value as on 1st April of any financial year shall be worked out by deducting the cumulative depreciation as admitted by the Commission up to 31st March of the preceding financial year from the gross depreciable value of the assets.

83. The Depreciation for Life extension projects/scheme shall be allowed in the manner as indicated in Regulation 51 of these Regulations.

WORKING CAPITAL

84. The Commission shall calculate the Working Capital requirement for:

(1) Coal-based generating stations as follows:

(a) Cost of coal for 15 days for pithead generating stations and 30 days for non-pithead generating stations for generation corresponding to the

Normative Annual Plant Availability Factor or the maximum coal stock storage capacity whichever is lower;

- (b) Cost of coal for 30 days for generation corresponding to the Normative Annual Plant Availability Factor;
 - (c) Cost of secondary fuel oil for two months for generation corresponding to the Normative Annual Plant Availability Factor, and in case of use of more than one secondary fuel oil, cost of fuel oil stock for the main secondary fuel oil;
 - (d) Maintenance spares @ 20% of operation and maintenance expenses specified in these Regulations;
 - (e) O&M expenses for one month; and
 - (f) Receivables equivalent to two months of capacity charges and energy charges for sale of electricity calculated on the Normative Annual Plant Availability Factor.
- (2) Open-cycle Gas Turbine/Combined Cycle thermal generating stations as follows :
- (a) Fuel Cost for 30 days corresponding to the Normative Annual Plant Availability Factor, duly taking into account mode of operation of the generating station on gas fuel and liquid fuel;
 - (b) Liquid fuel stock for 15 days corresponding to the normative annual plant availability factor, and in case of use of more than one liquid fuel, cost of main liquid fuel duly taking into account mode of operation of the generating stations of gas fuel and liquid fuel;
 - (c) Maintenance spares @ 30% of Operation and Maintenance expenses specified in this Regulation;

(d) Receivables equivalent to two months of capacity charge and energy charge for sale of electricity calculated on normative plant availability factor, duly taking into account mode of operation of the generating station on gas fuel and liquid fuel; and

(e) Operation and maintenance expenses for one month.

(3) Transmission Licensee as follows:

(a) Receivables for two months towards transmission tariffs calculated on NATAF;

(b) Maintenance spares @ 15% of operation and maintenance expenses; and

(c) Operation and maintenance expenses for one month.

(4) Distribution Licensee as follows:

(i) Working capital for wheeling business of electricity shall consist of ARR for two months of Wheeling Charges.

(ii) Working capital for Retail Supply business of electricity shall consist of:

(a) ARR for two months for retail supply business of electricity;

(b) Less: Net Power Purchase costs for one month;

(c) Less: Transmission charges for one month; and

INTEREST ON WORKING CAPITAL

85. Rate of Interest On Working Capital shall be considered as the bank rate as on 1st April of the year plus margin as specified by the Commission for the Control Period and shall be trued up on the basis of prevailing bank rate as on 1st April of the respective financial year:

Provided that the rate of interest availed through open tendering process (Competitive Bidding) among Scheduled Banks, Financial Institutions etc., shall not be trued up.

86. Interest on working capital shall be payable on normative basis notwithstanding that the Utility has availed any loan for the working capital.

OPERATION AND MAINTENANCE (O&M) EXPENSES

87. The Utilities shall be allowed Operation and Maintenance expenses on normative basis including expenses for raising the loan for funding of Working Capital and Regulatory Asset as specified by the Commission in the Business Plan Regulations for the respective Control Period:

Provided that the Normative O&M expenses for the respective Control Period shall not be trued up;

Provided further that the water charges, statutory levy and taxes under O&M expenses if indicated separately in the audited financial statement shall not form part of Normative O&M expenses.

88. Escalation to be allowed for adjustment towards increase in inflation, consumer price index (CPI), wholesale price index (WPI) etc. shall be as specified in the Business Plan Regulations for the respective Control Period.

89. Normative Operation and Maintenance expenses of a new Generating Entity shall be as per the norms approved by the CERC in *Central Electricity Regulatory Commission (Terms and Conditions of Tariff) Regulations, 2014* as amended from time to time, for respective year unless specifically approved by the Commission.

90. Normative Operation and Maintenance expenses of existing Generating Entity shall be as specified in the Business Plan Regulations for the respective Control Period.

91. The Commission shall specify the target for Normative Operation and Maintenance expenses of the Transmission Licensee in the Business Plan Regulations for the respective Control Period.

Provided that the Commission may specify Normative Operation and Maintenance expenses target of a Transmission Licensee on the basis of number of Bays and Circuit Kilometres.

92. Normative Operation and Maintenance expenses of a Distribution Licensee shall consist of:

- (a) Employee Expenses,
- (b) Administrative and General Expenses; and
- (c) Repair and Maintenance Expenses.

93. Normative Operation and Maintenance expenses of a Distribution Licensee for a Control Period shall be derived on the basis of audited Operation and Maintenance expenses for last five (5) completed Financial Years vis-à-vis normative Operation and Maintenance expenses allowed by the Commission during the corresponding period based on the following parameters:

- (a) Load growth,
- (b) Consumer growth,
- (c) Commercial loss,
- (d) Distribution loss,
- (e) Inflation,
- (f) Efficiency,
- (g) Capital base and,
- (h) Any other factor.

NON TARIFF INCOME

94. The Utility shall submit forecast of Non-Tariff Income to the Commission, in such form as may be stipulated by the Commission from time to time, whose tentative list is as follows:

- (i) Income from rent of land or buildings;
- (ii) Net Income from sale of de-capitalised assets;
- (iii) Net Income from sale of scrap;
- (iv) Income from statutory investments;

- (v) Net Interest on delayed or deferred payment on bills;
- (vi) Interest on advances to suppliers/contractors;
- (vii) Rental from staff quarters;
- (viii) Rental from contractors;
- (ix) Income from Investment of consumer security deposit;
- (x) Income from hire charges from contractors and others, etc.

95. The Non Tariff Income shall be reduced from ARR.

OTHER BUSINESS INCOME

96. The net income after tax from Other Business shall be calculated as per "*DERC Treatment of Income from Other Business of Transmission Licensee and Distribution Licensee Regulation, 2005*" as amended from time to time and shall be adjusted in the ARR.

97. The Licensee shall follow segment wise reporting of other businesses in the audited financial statement and a reasonable basis for allocation of all joint and common costs between the licensed Business and the Other Business and shall submit the Allocation Statement as approved by the Board of Directors / Competent Authority to the Commission along with his application for determination of tariff:

Provided that loss on account of Other Business shall not be considered in the ARR of the Licensee.



PART 6

RECOVERY OF AGGREGATE REVENUE REQUIREMENT

GENERATING ENTITY

98. The tariff for supply of electricity from a generating station shall comprise two parts, namely, Capacity Charge (for recovery of Annual Fixed Cost consisting of the components as specified in these Regulations) and Energy Charge (for recovery of primary and secondary fuel cost where applicable).
99. The annual fixed cost (AFC) of a Generating Entity shall consist of the following components as specified in these Regulations:
- (a) Return on Capital Employed;
 - (b) Depreciation; and
 - (c) Operation and Maintenance expenses.

CAPACITY CHARGE

100. Computation of Capacity Charge to be raised as part of their bills for the Generating Stations:

- (a) The fixed cost of generating station shall be computed on annual basis, based on norms specified under these Regulations, and recovered on monthly basis under Capacity Charge. The total capacity charge payable for a generating station shall be shared by its beneficiaries as per their respective percentage share / allocation in the capacity of the generating station.
- (b) The capacity charge payable to a thermal generating station for a calendar month shall be calculated in accordance with the following formulae:

$$CC_1 = (AFC/12)(PAF1 / NPAF) \text{ subject to ceiling of } (AFC/12)$$

$$CC_2 = ((AFC/6)(PAF2 / NPAF) \text{ subject to ceiling of } (AFC/6)) - CC_1$$

$$CC_3 = ((AFC/4)(PAF3 / NPAF) \text{ subject to ceiling of } (AFC/4)) - (CC_1 + CC_2)$$

$$CC_4 = ((AFC/3)(PAF4 / NPAF) \text{ subject to ceiling of } (AFC/3)) - (CC_1 + CC_2 + CC_3)$$

$$CC_5 = ((AFC \times 5/12)(PAF5 / NPAF) \text{ subject to ceiling of } (AFC \times 5/12)) - (CC_1 + CC_2 + CC_3)$$

+CC4)

$CC_6 = ((AFC/2) (PAF6 / NPAF) \text{ subject to ceiling of } (AFC/2)) - (CC1+CC2+CC3+CC4 + CC_5)$

$CC_7 = ((AFC \times 7/12) (PAF7 / NPAF) \text{ subject to ceiling of } (AFC \times 7/12)) - (CC1+CC2+CC3+CC4 + CC5 + CC6)$

$CC_8 = ((AFC \times 2/3) (PAF8 / NPAF) \text{ subject to ceiling of } (AFC \times 2/3)) - (CC1+CC2+CC3+CC4 + CC5 + CC6 + CC7)$

$CC_9 = ((AFC \times 3/4) (PAF9 / NPAF) \text{ subject to ceiling of } (AFC \times 3/4)) - (CC1+CC2+CC3+CC4 + CC5 + CC6 + CC7+ CC8)$

$CC_{10} = ((AFC \times 5/6) (PAF10 / NPAF) \text{ subject to ceiling of } (AFC \times 5/6)) - (CC1+CC2+CC3+CC4+CC5+CC6+CC7+CC8+CC9)$

$CC_{11} = ((AFC \times 11/12) (PAF11 / NPAF) \text{ subject to ceiling of } (AFC \times 11/12)) - (CC1+CC2+CC3+CC4+CC5+CC6+CC7+CC8+CC9+CC10)$

$CC_{12} = ((AFC) (PAFY / NPAF) \text{ subject to ceiling of } (AFC)) - (CC1+CC2+CC3+CC4+CC5+CC6+CC7+CC8+CC9+CC10+CC11)$

Provided that in case of generating station under shutdown due to Renovation and Modernisation, the Generating Entity shall be allowed to recover part of AFC which shall include O&M expenses and interest on loan only.

Where,

AFC Annual fixed cost specified for the year, in Rupees.

NPAF = Normative annual plant availability factor in percentage.

PAFN = Percent Plant availability factor achieved upto the end of the nth month.

PAFY = Percent Plant availability factor achieved during the Year

$CC_1, CC_2, CC_3, CC_4, CC_5, CC_6, CC_7, CC_8, CC_9, CC_{10}, CC_{11}$ and CC_{12} are the Capacity Charges of 1st, 2nd, 3rd, 4th, 5th, 6th, 7th, 8th, 9th, 10th, 11th and 12th months respectively.

(c) The PAFM up to the end of a particular month and PAFY shall be computed in accordance with the following formula:

$$PAFM \text{ or } PAFY (\%) = 10000 * \sum_{i=1}^n DCi / \{N \times IC \times (100 - AUX)\} \%$$

Where,

AUX=Normative auxiliary energy consumption in percentage.

DCi = Average declared capacity (in ex-bus MW), for the ith day of the period i.e. the month or the year as the case may be, as certified by the concerned load dispatch centre after the day is over.

IC = Installed Capacity (in MW) of the generating station

N= Number of days during the period.

Note: DCi and IC shall exclude the capacity of generating units not declared under commercial operation. In case of a change in IC during the concerned period, its average value shall be taken.

101. Incentive to a generating station shall be payable at the rate specified in the Business Plan Regulations during the respective Control Period for ex-bus scheduled energy corresponding to scheduled generation in excess of ex-bus energy corresponding to Normative Annual Plant Load Factor (NAPLF).

ENERGY CHARGE

102. The energy charge shall cover the primary and secondary fuel cost and shall be payable by every beneficiary for the total energy scheduled to be supplied to such beneficiary during the calendar month on ex-power plant basis, at the energy charge rate of the month (with fuel and limestone price adjustment). Total Energy charge payable to the Generating Entity for a month shall be:

(Energy charge rate in Rs./kWh) x {Scheduled energy (ex-bus) for the month in kWh.}

103. Energy charge rate (ECR) in Rupees per kWh on ex-power plant basis shall be determined to three decimal places in accordance with the following formulae:

(a) For coal based stations:

$$ECR = \{(GHR - SFC \times CVSF) \times LPPF / CVPF + SFC \times LPSF_1 + LC \times LPL\} \times 100 / (100 - AUX)$$

(b) For gas and liquid fuel based stations

$$ECR = GHR \times LPPF \times 100 / \{CVPF \times (100 - AUX)\}$$

Where,

AUX = Normative auxiliary energy consumption in percentage.

CVPF = (a) Weighted Average Gross calorific value of coal on as received basis from the loaded wagons at the generating stations -in kCal per kg for coal based stations

(b) Weighted Average Gross calorific value of primary fuel as received, in kCal per kg,

per litre or per standard cubic meter, as applicable for lignite, gas and liquid fuel based stations.

(c) In case of blending of fuel from different sources, the weighted average Gross calorific value of primary fuel shall be arrived in proportion to blending ratio.

CVSF = Calorific value of secondary fuel, in kCal per ml.

ECR = Energy charge rate, in Rupees per kWh sent out.

GHR = Gross station heat rate, in kCal per kWh.

LC = Normative limestone consumption in kg per kWh.

LPL = Weighted average landed price of limestone in Rupees per kg.

LPPF = Weighted average landed price of primary fuel, in Rupees per kg, per litre or per standard cubic metre, as applicable, during the month. (In case of blending of fuel from different sources, the weighted average landed price of primary fuel shall be arrived in proportion to blending ratio)

SFC = Normative Specific fuel oil consumption, in ml per kWh.

LPSF_i = Weighted Average Landed Price of Secondary Fuel in Rs./ml during the month;

Provided that energy charge rate for a gas/liquid fuel based station shall be adjusted for open cycle operation based on certification of Delhi SLDC for the open cycle operation during the month.

104. The Generating Entity shall provide to the beneficiaries of the generating station the details of parameters of GCV and price of fuel i.e., domestic coal, imported coal, e-auction coal, lignite, natural gas, RLNG, liquid fuel etc., as per the forms prescribed;

Provided that the details of blending ratio of the imported coal with domestic coal, proportion of e-auction coal and the weighted average GCV of the fuels as received shall also be provided separately, along with the bills of the respective month;

Provided further that copies of the bills and details of parameters of GCV and price of fuel i.e. domestic coal, imported coal, e-auction coal, natural gas, RLNG,

liquid fuel etc., details of blending ratio of the imported coal with domestic coal, proportion of e-auction coal shall also be displayed on the website of the Generating Entity. The details should be available on its website on monthly basis for a period of three months.

105. The landed cost of fuel for the month shall include price of fuel corresponding to the grade and quality of fuel inclusive of royalty, taxes and duties as applicable, transportation cost by rail / road or any other means, and, for the purpose of computation of energy charge, and in case of coal/lignite shall be arrived at after considering normative transit and handling losses as percentage of the quantity of coal or lignite dispatched by the coal or lignite supply company during the month as notified by the Central Electricity Regulatory Commission, for respective year unless specifically approved by the Commission;

Provided that any refund of taxes and duties along with any amount received on account of penalties from fuel supplier shall be adjusted in the fuel cost.

106. In case of part or full use of alternative source of fuel supply by coal based thermal generating stations other than as agreed by the Generating Entity and beneficiaries in their power purchase agreement for supply of contracted power on account of shortage of fuel or optimization of economical operation through blending, the use of alternative source of fuel supply shall be permitted to generating station:

Provided that in such case, prior permission from beneficiaries shall not be a precondition, unless otherwise agreed specifically in the power purchase agreement: Provided further that the weighted average price of use of alternative source of fuel shall not exceed 30% of base price of fuel;

Provided also that where the energy charge rate based on weighted average price of use of fuel including alternative source of fuel exceeds 30% of base energy charge rate as approved by the Commission for that year or energy charge rate based on weighted average price of use of fuel including alternative sources of fuel exceeds

20% of energy charge rate based on weighted average fuel price for the previous month, whichever is lower shall be considered and in that event, prior consultation with beneficiary shall be made not later than three days in advance.

107. Landed Fuel Cost for Tariff Determination: The landed fuel cost of primary fuel and secondary fuel for tariff determination shall be based on actual weighted moving average cost of respective fuel before the start of the tariff period for existing and new generating stations.
108. Any variation in fuel prices on account of change in the Gross Calorific Value (GCV) of coal or gas or liquid fuel shall be adjusted on a monthly basis on the basis of average GCV of coal or gas or liquid fuel in stock, received and burnt and weighted average landed cost incurred by the Generating Entity for procurement of coal, oil, or gas or liquid fuel, as the case may be for a power station.
109. The Generating Entity shall separately indicate rate of energy charges in its bills at base price of primary and secondary fuel specified by the Commission and the fuel price adjustment. No separate petition needs to be filed with the Commission for fuel price adjustment.

TRANSMISSION LICENSEE

110. The tariff for transmission of electricity shall comprise Capacity charge for recovery of annual fixed cost consisting of the components specified in these Regulations.
111. The annual fixed cost (AFC) of a transmission system (including communication system) shall consist of the following components as specified in these Regulations:
- (a) Return on Capital Employed;
 - (b) Depreciation; and
 - (c) Operation and Maintenance expenses.



COMPUTATION OF TRANSMISSION CHARGE

112. Annual Transmission Charges to be billed by the Transmission Licensee shall be computed in the Annual Tariff Order, in accordance with norms contained in these Regulations, aggregated as appropriate, and recovered on monthly basis as transmission charge from the users, who shall share these charges in the manner specified in these Regulations.

113. Normative Annual Transmission System Availability Factor (NATAF): The Target Availability for recovery of full annual transmission charges for a Control Period shall be approved by the Commission before commencement of the Control Period;

Provided that recovery of annual transmission charges below the target availability shall be on a pro rata basis.

114. The Transmission charge (inclusive of incentive) to be billed for a calendar month for transmission system or part shall be:

$$\text{ARR} \times (\text{NDM} / \text{NDY}) \times (\text{TAFM} / \text{NATAF})$$

Where,

ARR = Aggregate Revenue Requirement specified for the year, in Rupees;

NATAF = Normative annual transmission availability factor, in per cent as approved by the Commission for a Control Period;

NDM = Number of days in the month;

NDY = Number of days in the year; and

TAFM = Transmission system availability factor for the month, in Percent,

115. The Transmission Licensee shall raise the bill for the transmission charge (inclusive of incentive) for a month based on its estimate of TAFM.

Provided that the adjustments, if any, shall be made on the basis of the TAFM to be certified by the SLDC within 30 days from the last day of the relevant month.

DISTRIBUTION LICENSEE

116. The Aggregate Revenue Requirement for the Retail Supply and Wheeling Business of the Distribution Licensees for each year of the Control Period, shall contain the following items:

- (a) Cost of power procurement;
- (b) Transmission & Load Dispatch charges;
- (a) Operation and Maintenance expenses;
- (b) Return on Capital Employed;
- (c) Depreciation;
- (d) Income Tax;
- (e) Interest on Consumer Security Deposit;
- (f) Carrying Cost on Revenue Gap/Regulatory asset;
- (g) Less: Non-Tariff Income;
- (h) Less: Income from Other Business,
- (i) Less: Income from wheeling of electricity; and
- (j) Less: Receipts on account of charges other than Wheeling Charges from open access consumer.

117. The ratio of various ARR components as indicated in Regulation 116 of these Regulations, for segregation of ARR of the Distribution Licensee into Retail Supply and Wheeling Business shall be specified by the Commission in the Business Plan Regulations.

COMPUTATION OF COST OF POWER PROCUREMENT

118. Cost of power procurement in case of a Distribution Licensee shall be computed on the basis of quantum of power required to meet the demand in the licensed area of supply based on the sales forecast and distribution loss approved by the Commission for the relevant year.

119. Distribution Licensee shall be allowed to recover the net cost of power purchase from long term sources whose PPAs are approved by the Commission, assuming maximum normative rebate available from each source, for supply to

consumers.

120. Distribution Licensee shall be allowed to recover the cost of power purchase under short term arrangements for the deficit in quantum of power requirement for sale in its area and power available through Long term sources as specified in Regulation 119 of these Regulations, such as Banking, Bilateral, Exchange, Inter DISCOM Transfer and Unscheduled Interchange etc.

121. While approving the cost of power purchase, the Commission shall determine the quantum of power to be purchased considering:

- (1) Availability of Generating Stations which may be based on Load Generation Balance Report published by Central Electricity Authority (CEA) for relevant Financial Year;
- (2) Principles of merit order schedule and despatch based on the ranking of all approved sources of supply in the order of their variable cost of power purchase on monthly basis;
- (3) Normative cost of banking transaction at the rate of average power purchase cost of the portfolio of the distribution licensee;
- (4) The gap between average Power Purchase Cost of the power portfolio allocated and average revenue due to different consumer mix of all the distribution licensee:

Provided that the Commission may adjust the gap in power purchase cost by reassigning the allocation of power amongst the distribution licensees out of the overall power portfolio allocated to the National Capital Territory of Delhi by Ministry of Power, Government of India.

122. The Annual Fixed Cost of all approved Long Term sources as specified in Regulation 119 of these Regulations shall be allowed to be recovered in the ARR of the relevant Financial Year, however, Variable Cost shall be allowed to be recovered in the ARR on Merit Order basis as specified in Regulation 121 of these Regulations.

 123. To promote economical procurement of power as well as maximizing

revenue from Sale of Surplus Power the distribution licensee shall ensure the cost benefit for rate of sale of surplus power in the relevant slots through Banking, Bilateral and Power Exchange transactions other than the forced scheduling, as certified by the SLDC, in comparison with the next higher variable cost of the generating stations from which power is surplus after meeting the demand of power in it's area of supply;

124. The cost of Renewable Purchase Obligation (RPO) of the Distribution Licensee shall be computed on the basis of approved cost of power procurement from Renewable Energy Sources as specified in the *Delhi Electricity Regulatory Commission (Renewable Purchase Obligation and Renewable Energy Certificate Framework Implementation) Regulations, 2012*:

Provided that any projected shortfall, in procurement of power from Renewable Energy Sources to meet the RPO shall be computed at the Floor Price of Renewable Energy Certificates (RECs) notified by Central Electricity Regulatory Commission for the relevant year:

Provided further that the actual expenses for procurement of power from Renewable Energy Sources and purchase of Renewable Energy Certificates shall be trued up by the Commission:

Provided also that the Commission will specify the targets for Solar and Non Solar RPO in the Business Plan Regulations for a specific Control Period:

Provided also that the penalty for non fulfilment of RPO targets, as specified by the Commission in its Tariff Order, shall be adjusted in the ARR during True up of the relevant Financial Year.

125. The Distribution Licensee shall be allowed to recover net transmission and load despatch charges payable to the Transmission Licensees (Central Transmission Utility, State Transmission Utility etc.) and System Operators (Regional Load

Despatch Centre, State Load Despatch Centre etc.) for access to and use of the interstate transmission system, intra-state transmission system and availing load despatch services assuming maximum normative rebate available from each source for payment of bills in accordance with the tariffs approved from time to time by CERC and appropriate State Commissions, as the case may be.

126. The Distribution Licensee shall also be allowed to recover the Wheeling Charges in case the distribution network of other Distribution Licensee is used for procurement of power for the Retail Supply Business.
127. Interest paid on consumer security deposits shall be based on the rate specified by the Commission in the *"Delhi Electricity Supply Code and Performance Standards Regulations, 2007"* as amended from time to time, and shall be a pass through in the ARR.
128. Cross-Subsidy Surcharge and Additional Surcharge to be received by the Distribution Licensee shall be considered as revenue to meet the ARR of the Distribution Licensee.
129. The recovery of ARR for supply of electricity to be billed by the Distribution Licensees shall comprise of:
- (1) Fixed Charge, and;
 - (2) Variable Charge.
130. The Fixed Charge of the Distribution Licensee shall consist of the following components:
- (a) Capacity Charges of Generating Stations as approved/adopted by the appropriate Commission;
 - (b) Capacity Charges of Transmission Licensee including Load Dispatch Charges Stations as approved/adopted by the appropriate Commission;
 - (c) Fixed Cost of Distribution Licensee:

- (i) Return on Capital Employed;
- (ii) Depreciation; and
- (iii) Operation and Maintenance expenses.

131. The Variable Charge of a Distribution Licensee shall consist of the following components:

- (a) Energy Charges (Power Purchase Cost excluding Capacity Charges);
- (b) Trading Margin, if any, ; and
- (c) Open Access Charges, if any.

132. The Commission shall design the Tariff Schedule, indicating Tariff for various categories of consumers in the area of the Distribution Licensee, in the relevant Tariff Order in order to enable recovery of ARR.

TREATMENT OF DEMAND SIDE MANAGEMENT INITIATIVES

133. The Utility shall submit the utilization of funds allocated for DSM schemes under *Delhi Electricity Regulatory Commission (Demand Side Management) Regulations, 2014*:

Provided that the Utility shall maintain separate records of Revenue/Expenditure related to individual DSM schemes approved by the Commission.

POWER PURCHASE COST ADJUSTMENT CHARGES

134. The Distribution Licensee shall be allowed to recover the incremental Power Procurement Cost on quarterly basis, over and above the Power Procurement Cost approved in the Tariff Order of the relevant year, incurred due to the following:

- (a) Variation in Price of Fuel from long term sources of Generation;
- (b) Variation in Fixed Cost on account of Regulatory Orders from long term sources of Generation;
- (c) Variation in Transmission Charges.

135. The Commission shall specify the detailed formula and procedure for recovery of such incremental Power Procurement Cost as Power Purchase Cost Adjustment Charges (PPAC) formula in the Tariff Order;
136. To avoid the tariff shock for consumers, the Commission may carry forward PPAC of one quarter into more than one quarter on provisional basis;

LATE PAYMENT SURCHARGE
GENERATING ENTITY AND TRANSMISSION LICENSEE

137. In case the payment of any bill for charges payable under these regulations is delayed by a beneficiary of generating entity or long term transmission customer/DICs as the case may be, beyond a period of 60 days from the date of billing, a late payment surcharge at the rate of 1.50% per month shall be levied by the generating entity or the transmission licensee, as the case may be.

REBATE
GENERATING ENTITY AND TRANSMISSION LICENSEE

138. For payment of bills of the generating entity and the transmission licensee through letter of credit on presentation or through NEFT/RTGS within a period of 2 days of presentation of bills by the generating entity or the transmission licensee, a rebate of 2% shall be allowed.

Provided that in case payments are made on any day after 2 days and within a period of 30 days of presentation of bills by the generating entity or the transmission licensee, a rebate of 1% shall be allowed.



PART 7

NORMS OF OPERATION AND TRUING UP

139. Performance review and adjustment of variations in the ARR and Revenue for the Utilities for FY 2016-17 shall be considered in accordance with the *Delhi Electricity Regulatory Commission (Terms and Conditions for Determination of Generation Tariff) Regulations, 2011*, *Delhi Electricity Regulatory Commission (Terms and Conditions for Determination of Transmission Tariff) Regulations, 2011* and *Delhi Electricity Regulatory Commission (Terms and Conditions for Determination of Wheeling Tariff and Retail Supply Tariff) Regulations, 2011*.
140. Recovery of capacity charge, energy charge, transmission charge and incentive by the Utility shall be based on the achievement of the operational norms specified by the Commission;
141. Norms of operation for new generating stations shall be based on *Central Electricity Regulatory Commission (Terms and Conditions of Tariff) Regulations, 2014* for respective year unless specifically approved by the Commission;
142. Norms of operation for existing generating stations to be specified by the Commission in the Business Plan Regulations shall consist of following parameters:
- (a) Normative Annual Plant Availability Factor (NAPAF),
 - (b) Normative Annual Plant Load Factor (NAPLF),
 - (c) Gross Station Heat Rate,
 - (d) Secondary Fuel Oil Consumption for Coal based generating stations, and
 - (e) Auxiliary Energy Consumption
143. Norms of operation for Transmission licensee to be specified by the Commission in the Business Plan Regulations shall be based on NATAF.
144. Norms of operation for Distribution Licensee to be specified by the

Commission in the Business Plan Regulations shall consist of following parameters:

- (a) Distribution Loss target,
- (b) Collection Efficiency target, and
- (c) Normative Operation and Maintenance expenses.

TRUING UP MECHANISM

145. The Commission shall carry out truing up exercise for the previous years along-with the tariff petition, with respect to the capital expenditure including additional capital expenditure incurred, as admitted by the Commission after prudence check at the time of truing up:

146. The Commission shall carry out truing up of tariff based on the performance for generating stations and taking into account of the following Uncontrollable parameters:

- i) Force Majeure;
- ii) Change in Law;
- iii) Re-financing of Loan; and
- iv) Primary Fuel Cost.

147. The Commission shall carry out truing up of tariff of transmission licensee based on the performance of following Uncontrollable parameters:

- (i) Force Majeure;
- (ii) Change in Law; and
- (iii) Re-financing of Loan.

148. The financial gains to a generating company or the transmission licensee, as the case may be, on account of normative parameters shall be shared between generating company/transmission licensee and the beneficiaries on monthly basis with annual reconciliation.

149. The financial gains in case of generating station or transmission licensee, as the case may be, on account of operational parameters shall be shared in the ratio

as specified by the Commission in the Business Plan Regulations.

150. In case, after the truing up of relevant financial year, the tariff recovered varies from the tariff approved by the Commission on account of variation in capital cost, the generating company or the transmission licensee, as the case may be, shall refund/recover to the beneficiaries or the long term transmission customers /DICs, as the case may be, the excess amount so recovered as specified in Regulation 62 of these regulation.

151. The financial gains and losses by a generating company or the transmission licensee, as the case may be, on account of uncontrollable parameters other than capitalisation shall be passed on to beneficiaries of the generating company or to the long term transmission customers of transmission system, as the case may be.

Provided that the amount under-recovered or over-recovered, along with simple interest at the rate equal to the bank rate as on 1st April of the respective year, shall be recovered or refunded by the generating company or the transmission licensee, as the case may be, in six equal monthly instalments starting within three months from the date of the tariff order issued by the Commission.

152. True up of ARR for Distribution (Wheeling & Retail Supply) Licensee shall be conducted on the following principles:

- (a) Variation in revenue and sales of the distribution licensee based on projected revenue and sales vis-a-vis actual revenue and sales;
- (b) Variation in long term power purchase quantum and cost of the distribution licensee based on merit order dispatch principle of projected long term power purchase quantum and cost vis-a-vis actual long term power purchase quantum and cost:

Provided that the distribution licensee shall submit report from State Load Despatch Centre (SLDC) for instances of forced scheduling due to the reasons not attributable to the Distribution licensee for scrutiny of dispatch of power in Delhi on merit order basis in it's area of supply;

Provided that the cost of credit to the net metering consumer on account of net surplus unit of power injected into the grid as specified in *Delhi Electricity Regulatory Commission (Net Metering for Renewable Energy) Regulations, 2014* shall be allowed to the distribution licensee in the power purchase cost of the relevant year;

- (c) Variation in short term power purchase quantum and cost of the distribution licensee based on projected short term power purchase quantum and cost vis-a-vis actual short term power purchase quantum and cost:

Provided that Trading Margin, Transmission Charges and Transmission Losses incurred on Forward And Reverse transaction in the same time slot executed within three months for Forward / Reverse power procurement/sale through Banking And Bilateral shall not be allowed in the Power Purchase Cost of the Distribution Licensee;

Provided that Sale through Deviation Settlement Mechanism (Unscheduled Interchange) transactions other than forced scheduling of power as certified by SLDC on monthly basis shall be limited to the contingency limit as specified by the Commission in the Business Plan Regulations in order to promote Grid Discipline and optimise Power Purchase Cost;

Provided that any Additional/Penal Deviation Settlement Mechanism (Unscheduled Interchange) Charges other than forced scheduling of power as certified by SLDC paid by the Distribution Licensee shall not be allowed in Power Purchase Cost;



Provided that Short-term arrangement or agreement, other than traded through Power Exchange, for procurement/sale of power has to be executed through a transparent process of open tendering and competitive bidding guidelines issued by Ministry of Power (MoP) as amended from time to time, unless specific direction issued by the Commission;

Provided further that in case the Distribution Licensee does not follow Short Term Power guidelines for procurement of power/sale the rate of such power procurement shall be restricted to the average rate of power purchase/sale through exchange during same month for Delhi region.

(d) Any surplus or deficit on account of controllable parameters i.e., Operation and Maintenance (O&M) expenses shall be to the account of the Licensee and shall not be trued up in ARR; and

(e) Depreciation, Return on equity and interest on loan shall be trued up every year based on the actual capitalisation vis-à-vis capital investment plan (capitalisation) approved by the Commission:

Provided further that the Commission shall true up the interest rate on the basis of increase/decrease in State Bank of India Base Rate as on April 1 of the relevant financial year vis-a-vis State Bank of India Base Rate as on April 1 of the immediately preceding financial year in accordance with Regulation 77 of these Regulations;

(f) interest on working capital loan shall be trued up every year based on the working capital requirement as specified in Regulation 85 of these Regulations.

153. The actual expenditure vis-a-vis projected expenditure incurred on Demand Side Management in the ARR shall be trued up.

REGULATORY ASSETS

154. The accumulated revenue gap, if approved by the Commission in the relevant Tariff Order shall be treated as Regulatory Assets:

Provided that such revenue gap shall be computed on the basis of excess of ARR over Revenue approved after true up of the relevant financial year.

155. Carrying cost on average balance of accumulated revenue gap shall be allowed to the Utility at carrying cost rate approved by the Commission in the ARR of the relevant financial year:

Provided that average balance of accumulated revenue gap shall be determined based on opening balance of accumulated revenue gap and half of the Revenue Gap / Surplus during the relevant year.

156. The Regulatory Asset, if any, shall be indicated in the books of accounts as follows:

- (a) The total amount of outstanding Regulatory Asset at the end of the year shall be indicated, as a separate entry, under the Assets side of the Accounts.
- (b) The period of amortisation of the Regulatory Asset and the carrying cost of the Regulatory Asset (if stipulated by the Commission in the Tariff Order or any other Order in this regard) shall be explained under the Notes to the Accounts.
- (c) For every year of amortisation, the amount of Regulatory Asset amortised during the year as approved by the Commission and the carrying cost allowed by the Commission on the balance Regulatory Asset shall be indicated under the Revenue side, once the Utility is allowed to bill the same to the consumers.

INCENTIVE OR DISINCENTIVE

157. The Utility shall be subject to incentive or dis-incentive, as the case may be, based on the performance vis-à-vis target achieved by the respective Utility:

- (a) In case of a Generating Entity incentive/penalty shall be applicable on the basis of actual performance on account of NAPAF and NAPLF as discussed in these Regulations;
- (b) In case of a transmission licensee incentive/penalty shall be applicable on the basis of actual performance on account of NATAF as discussed in these Regulations.
- (c) In case of a Distribution Licensee incentive/penalty shall be applicable on the basis of:
 - (i) Distribution Loss;
 - (ii) Collection Efficiency; and
 - (iii) Sale of Surplus Power.

TREATMENT OF DISTRIBUTION LOSS AND COLLECTION EFFICIENCY

158. Target for Distribution loss reduction shall be as specified in the Business Plan Regulations for a Control Period based on factors including previous targets and past performance.

159. The financial impact on account of over or under achievement of Distribution Loss target shall be computed as under:

$$\text{Incentive or (Penalty)} = Q1 * (L1 - L2) * P * 10^6$$

where,

Q1 = Actual quantum of Energy purchased at Distribution periphery in MU;

L1 = Distribution Loss Target in %;

P = Trued up Average Power Purchase Cost (APPC) per unit at Distribution

periphery in Rs./kWh;

$$L2 \text{ (Actual Distribution Loss in \%)} = \left[1 - \frac{Q2}{Q1} \right] * 100;$$

Q2 = Actual quantum of Energy Billed in MU.

160. Any financial impact on account of overachievement with respect to Distribution Loss target shall be shared between the Distribution Licensee and the consumer in the ratio as specified in the Business Plan Regulations.

161. Any financial impact on account of underachievement with respect to Distribution Loss targets shall be to the Distribution Licensee's account.

162. Target for Collection Efficiency shall be fixed on the basis of actual performance, past targets and other relevant factors/measures/information of the Distribution Licensee for a Control Period in the Business Plan Regulations.

163. The financial impact on account of over or under achievement of Collection Efficiency target shall be computed as under:

$$\text{Incentive or (Penalty)} = (C1 - C2) * A_b$$

where,

$$C1 \text{ (Actual Collection Efficiency)} = \left[\frac{A_r}{A_b} \right] * 100$$

A_r = Actual amount collected excluding electricity duty, late payment surcharge, any other surcharge in Rs. Cr.;

A_b = Actual amount billed excluding electricity duty, late payment surcharge, any other surcharge in Rs. Cr.;

C2 = Target Collection Efficiency in %;

164. Any financial impact on account of underachievement less than the target

and overachievement above 100% with respect to Collection Efficiency targets shall be to the Licensee's account:

Provided that any financial impact on account of over achievement over and above the target and limited to 100% with respect to Collection Efficiency targets shall be shared as per the mechanism indicated in the Business Plan Regulations of the Control Period.

165. Any financial impact of over realisation on account sale of Surplus Power as, specified in Regulation 123 of these Regulations, shall be adjusted as per the mechanism indicated in the Business Plan Regulations of the control period:

Provided that any financial impact of under realisation on account sale of Surplus Power as specified in Regulation 123 of these Regulations shall be to the account of distribution licensee.

DEVIATION CHARGES

166. Variations between actual injection of Energy and scheduled injection of Energy for the generating stations, and variations between actual drawal of Energy and scheduled drawal of Energy for the beneficiaries shall be treated as their respective deviations and charges for such deviations shall be governed by the *Central Electricity Regulatory Commission (Deviation Settlement Mechanism and Related matters) Regulations, 2014*, as amended from time to time.

167. The Commission may specify additional controllable performance parameter/(s) in the Business Plan Regulations for increasing the efficiency and evolve incentive/dis- incentive mechanism for the Utility based on its actual performance.



PART 8
MISCELLANEOUS

168. **Issue of Regulations, Orders and Practice Directions:** Subject to the provision of the Act and these Regulations, the Commission may, from time to time, issue Business Plan Regulations, Tariff Orders and Practice directions in regard to the implementation of these Regulations and procedure to be followed on various matters, which the Commission has been empowered by these Regulations to direct, and matters incidental or ancillary thereto.
169. The Commission, if required at appropriate stage, may specify other charge for Generating Entity or Transmission Licensee or Distribution Licensee.
170. Notwithstanding anything contained in these Regulations, the Commission shall have the authority, either suo-motu or on a Petition filed by any interested or affected party, to determine the tariff of any Utility.
171. **Powers to remove difficulties:** If any difficulty arises in giving effect to any of the provisions of these Regulations, the Commission may, by a general or special order, not being inconsistent with the provisions of these Regulations or the Act, do or undertake to do things or direct the Licensee to do or undertake such things which appear to be necessary or expedient for the purpose of removing the difficulties.
172. **Power of Relaxation:** The Commission may in public interest and for reasons to be recorded in writing, relax any of the provision of these Regulations.
173. **Interpretation:** If a question arises relating to the interpretation of any provision of these Regulations, the decision of the Commission shall be final.
174. **Saving of Inherent Powers of the Commission:** Nothing contained in these Regulations shall limit or otherwise affect the inherent powers of the Commission

from adopting a procedure, which is at variance with any of the provisions of these Regulations, if the Commission, in view of the special circumstances of the matter or class of matters and for reasons to be recorded in writing, deems it necessary or expedient to depart from the procedure specified in these Regulations.

175. **Enquiry and Investigation:** All enquiries, investigations and adjudications under these Regulations shall be done by the Commission through the proceedings in accordance with the provisions of the *Delhi Electricity Regulatory Commission Comprehensive (Conduct of Business) Regulations, 2001 as amended from time to time*.

176. **Power to Amend:** The Commission, for reasons to be recorded in writing, may at any time vary, alter or modify any of the provision of these Regulations by amendment.


(Mahender Singh)
Secretary

Secretary
Delhi Electricity Regulatory Commission
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Malviya Nagar, New Delhi -110017

**APPENDIX-1
DEPRECIATION SCHEDULE**

| Sr. No. | Asset Particulars | Useful Life (years) | Depreciation Rate for 12 years | Depreciation Rate Beyond 12 years till Useful Life |
|---------|--|--|-----------------------------------|---|
| | | A | B | $C = [90\% - (12 \times B)] / (A - 12)$ |
| 1 | Land owned under full title | Infinity | | |
| 2 | Land held under lease | | | |
| (A) | For investment in land | The period of lease or the period remaining unexpired on the Assignment of the lease | Rate based on the period of lease | |
| (B) | For cost of clearing site | The period of lease remaining unexpired at the date of clearing the site | | |
| 3 | Assets Purchased New | | | Depreciation Rate shall be computed based on the balance depreciable value spread over remaining Useful Life of asset |
| (A) | Plant and machinery in generating stations including plant foundations | | | |
| (i) | Steam-electric NHRS & Waste Heat Recovery Boilers / Plants | 25 | 5.83 | |
| (ii) | Diesel electric & Gas plant | 25 | 5.83 | |
| (B) | Cooling towers and circulating water systems | 25 | 5.83 | |
| (C) | Buildings | | | Depreciation Rate shall be computed based on the balance depreciable value spread over remaining Useful Life of asset |
| (i) | Offices, showrooms and residential buildings | 50 | 1.80 | |
| (ii) | Buildings other than Offices & showrooms | 30 | 3.00 | |
| (III) | Temporary erection such as wooden structures | 0 | 100 | |
| (IV) | Roads other than Kutcha roads | 50 | 1.80 | |
| (V) | Others | 30 | 3.00 | |
| (D) | Transformers, Kiosk, sub-station equipment & other fixed apparatus (including plant foundations) | 25 | 5.83 | |
| (E) | Switchgear including cable | 25 | 5.83 | |

DERC (Terms and Conditions for Determination of Tariff) Regulations, 2017


| Sr. No. | Asset Particulars | Useful Life (years) | Depreciation Rate for 12 years | Depreciation Rate Beyond 12 years till Useful Life |
|------------|---|--|--------------------------------|---|
| | | A | B | $C = [90\% - (12 \times B)] / (A - 12)$ |
| | connections | | | |
| (F) | Lightning arrestor | | | |
| (i) | Station type | 25 | 5.83 | |
| (ii) | Pole type | 25 | 5.83 | |
| (iii) | Synchronous condenser | 25 | 5.83 | |
| (G) | Batteries | 5 | 18.00 | |
| (H) | Underground cable including joint boxes and disconnected boxes | 35 | 5.83 | |
| (I) | Overhead lines including cable supports | 25 | 5.83 | |
| (j) | Meters | 15 | 6.00 | |
| (K) | Vehicles | 10 | 9.00 | |
| (L) | Air Conditioning Plants | | | |
| (i) | Static | 25 | 5.83 | |
| (ii) | Portable | 10 | 9.00 | |
| (M) | Office furniture and related equipments | 10 | 9.00 | |
| (N) | Communication equipment | | | |
| (i) | Radio and high frequency carrier system | 15 | 6.00 | |
| (ii) | Telephone lines, Fibre Optic and telephones | 15 | 6.00 | |
| (O) | I. T Equipment including software (salvage value for IT equipment and software shall be considered as NIL and 100% value of the assets shall be considered depreciable) | 6 | 16.67 | Depreciation Rate shall be computed based on the balance depreciable value spread over remaining Useful Life of asset |
| | Any other assets not covered above | As per Companies Act 2013 amended from time to time. | | |

Note: The useful life for AC & DC substations and Gas Insulated Sub-station including switchgears for which Notice Inviling Tender is floated on or after 01.02.2017 shall be considered as 35 years.


NAME OF POWER UTILITY IN DELHI

FORMATS FOR ARR & TARIFF FILING BY POWER UTILITY

| Summary Formats | | | |
|-------------------------------|--|---------------|---|
| 1 | Sheet | S1 | Profit & Loss Account |
| 2 | Sheet | S2 | Cash flow statement |
| 3 | Sheet | S3 | Annual Revenue Requirement |
| Financial Formats | | | |
| 4 | Sheet | F1 | Power Purchase Cost Statement Monthwise/Yearwise |
| 5 | Sheet | F2 | Form 2.1a |
| 6 | Sheet | F2 (a) | Supplement to Form F2 (Form 2.1a) |
| 7 | Sheet | F3 | Revenue Grants & subsidies |
| 8 | Sheet | F4 | Income from investments and Non-Tariff Income |
| 9 | Sheet | F5 | R&M Expenses |
| 10 | Sheet | F6 | Employees' Cost & Provisions |
| 11 | Sheet | F6(a) | Employee Strength |
| 12 | Sheet | F7 | Administration & General Expenses |
| 13 | Sheet | F7(a) | Legal Expenses |
| 14 | Sheet | F8 | Statement of Fixed Assets and Depreciation |
| 15 | Sheet | F9 | Capitalization |
| 16 | Sheet | F10 | Interest & Finance charges |
| 17 | Sheet | F11 | Loan details |
| 18 | Sheet | F12 | Statement of Sundry Debtors & provision for bad & doubtful debtors |
| 19 | Sheet | F13 | Contribution Grants & subsidies towards Capital assets |
| 20 | Sheet | F14 | Statements of assets not in use |
| 21 | Sheet | F15 | Current Assets and Liabilities |
| 22 | Sheet | F16 | Net Worth of Distribution Companies |
| 23 | Sheet | F1b | Energy Balance : Energy Input and Cost of Pool Power |
| 24 | Sheet | F17 | Allocation Statement - Wheeling Business |
| 25 | Sheet | F18 | Allocation Statement - Retail Supply Business |
| 26 | Sheet | F2b | Investment Plan - Master |
| 27 | Sheet | F19 | Consumer Security Deposit |
| 28 | Sheet | P1 | District-wise AT&C Loss |
| 29 | Sheet | R1 | Projection of Sales, Customers & Connected load for metered consumers |
| 30 | Sheet | R1a | Revenue from Proposed Tariff & Charges |
| Instructions for the Utility: | | | |
| 1 | Electronic copy in the form of CD/ Floppy Disc shall also be furnished | | |
| 2 | These formats are indicative in nature and the utility may align the line items to its chart of accounts | | |
| 3 | PY | Previous Year | |
| | CY | Current Year | |
| | EY | Ensuing Year | |


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| Name of Power Utility in Delhi | | | | | Form No: S1 |
|---|--|---------------|--------|----------|--|
| Profit & Loss Account | | | | | All figures in Rs Crores |
| Sr. No. | Particulars | Previous Year | | Variance | |
| | | Audited | Actual | | |
| A | Revenue | | | | Link with Form 2.1a Notes to Accounts |
| 1 | Revenue from sale of power | | | | |
| 2 | Non-tariff income | | | | |
| 3 | Other Revenue/ subsidies - Sourcewise | | | | |
| | Total Revenue or Income | | | | |
| B | Expenditure | | | | Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available |
| 1 | Purchase of Power from Long term Sources | | | | |
| 2 | Purchase of Power from Other than Long term Sources | | | | |
| 3 | Transmission Charges | | | | |
| | (a) Inter State | | | | |
| | (b) Intra State | | | | |
| 4 | Load Despatch Charges | | | | |
| 5 | Operations and Maintenance Expenditure | | | | |
| | (a) Repairs and Maintenance | | | | |
| | (b) Employee costs (Excluding loans and advances to Staff) | | | | |
| | (c) Administration and General expenses | | | | |
| 6 | Net prior period credit/(charges) | | | | |
| 7 | Other Debits, Write-offs | | | | |
| 8 | Extraordinary items | | | | |
| 9 | Less: Expenses Capitalized (A&G/Employee Expenses) | | | | |
| C | Profit before depreciation, interest and taxes | | | | |
| D | Depreciation | | | | |
| E | Provisions | | | | |
| F | PBIT | | | | |
| 1 | Interest & Finance Charges | | | | |
| 2 | Less: Interest Capitalized | | | | |
| G | Total Interest and Finance Charges | | | | |
| H | TOTAL EXPENDITURE | | | | |
| I | Profit/Loss before Tax | | | | |
| J | Income Tax | | | | |
| K | Profit/Loss after Tax | | | | |
| Notes on accounts | | | | | |
| Note: - Auditor to certify Previous year figures. | | | | | |
| Note: Provide information on appropriation to reserves if any | | | | | |


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| Name of Power Utility in Delhi | | | |
|---|---------------------------|-----------------------------|--------------------------------|
| Cash Flow Statement (Direct Method) | | Form No.: S2 | |
| Amount in Rs Crores | | | |
| Particulars | Previous Year (Actual) | Current Year (Estimated) | Next Year (EY) (Projection) |
| Cash inflow | | | |
| Receipts | | | |
| Tariff collection | | | |
| Equity Inflow | | | |
| Subsidy received from Govt. | | | |
| Sale of Power/Advance | | | |
| Other Receipts including non-energy collection from consumers | | | |
| Consumer Contribution for Capital works | | | |
| Term Loan Received | | | |
| Sale of Equipment | | | |
| FD Matured | | | |
| Interest received | | | |
| Dividends | | | |
| Total Cash Inflow | | | |
| Cash Outflow | | | |
| Equity Reduction | | | |
| Payment for Power Purchase Cost | | | |
| Short Term Power Purchase payments (incl. advances) (Note, if any) | | | |
| Medium Term Power Purchase payments (incl. advances) (Note, if any) | | | |
| Long Term Power Purchase payments (Note, if any) | | | |
| TDS deposited on power purchase payments | | | |
| Total payment for power purchase | | | |
| Other Payments | | | |
| Equity Reduction | | | |
| Salaries, Wages and Other Staff expenses | | | |
| Payment to vendors for Repair and Maintenance (Note, if any) | | | |
| Payment for Capital works | | | |
| Administration and Other Payments | | | |
| Advances (Refer note) | | | |
| Fixed Assets Purchased | | | |
| TDS & Service Tax deposited (Other than TDS deposited on power purchase payments) | | | |
| Dividend payment | | | |
| Income Tax | | | |
| Interest Payment | | | |
| (a) Loans for Capex | | | |
| (b) Other than Capex | | | |
| Electricity Tax | | | |
| Fixed Deposit: Debt Service Reserve Account (DSRA) | | | |
| Refund of consumer contribution for capital works, if any (Note, if any) | | | |
| Other Finance charges | | | |
| Loan Repayment | | | |
| (a) For Capex Schemes | | | |
| (b) Other than Capex | | | |
| Total outflow of Cash | | | |
| Net cash generation/(Deficit) | | | |
| Opening Cash and Bank Balance | | | |
| Closing Cash and Bank Balance | | | |
| Notes to Accounts | | | |

Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available

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| Name of Power Utility in Delhi | | | | |
|--------------------------------|--|--------------------------|-----------|------------|
| Annual Revenue Requirement | | Form No: S3 | | |
| Particulars | | All figures in Rs Crores | | |
| | | PY | CY | EY |
| | | Actual | Estimated | Projection |
| 1 | Power Purchase (MU) | | | |
| 2 | Sale of Power (MU) | | | |
| 3 | Loss % | | | |
| 3.1 | Distribution | | | |
| 3.2 | Intra State | | | |
| 3.3 | Inter State | | | |
| 1 | Receipts | | | |
| a | Revenue from tariffs | | | |
| | i) Fixed Charges | | | |
| | ii) Energy Charges | | | |
| | iii) PPAC | | | |
| | iv) Surcharge for Regulatory Asset (8%) | | | |
| | v) Electricity Duty | | | |
| | vi) Any Other Receipt | | | |
| b | Revenue subsidy from Govt. | | | |
| | Total | | | |
| 2 | Expenditure | | | |
| a | Purchase of Power from Long Term Sources | | | |
| b | Purchase of Power from Other than Long Term Sources | | | |
| c | Transmission Charges | | | |
| | i) Intra State | | | |
| | ii) Inter State | | | |
| d | Load Despatch Charges | | | |
| e | O&M Expenses | | | |
| | i) R&M Expense | | | |
| | ii) Employee Expenses | | | |
| | iii) A&G Expense | | | |
| f | Depreciation | | | |
| g | Interest | | | |
| h | Finance Charges | | | |
| i | Less: Interest capitalised | | | |
| j | Less: Finance charges capitalised | | | |
| k | Less: O&M capitalised | | | |
| l | Extraordinary Items | | | |
| m | Other (Misc.)-net prior period credit/ (charges) | | | |
| | Total | | | |
| 3 | Return as approved/ allowed by Commission | | | |
| 4 | Other Income | | | |
| 5 | Annual Revenue Requirement (2)+(3)-(4) | | | |
| 6 | Surplus(+) / Shortfall(-) : (1)-(5) before tariff revision | | | |
| 7 | Tariff Revision Impact | | | |
| 8 | Surplus(+) / Shortfall(-) : (6)-(7) after tariff revision | | | |

Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available.


Link with P & L A/c

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| Name of Power Utility in Delhi | | | | | | | | | | | |
|---|--|-------------|---------------|---------|---------------|---------|-----------------|-------|---------|-----------------|-----------|
| Supplement to Form F2 (a) | | | | | | | | | | Form No: F2 (a) | |
| Break up of Consumption details under respective slabs (in Kwh) as applicable from time to time in tariff order | | | | | | | | | | | |
| 1 | Domestic | 0-200 Units | 201-400 Units | | 401-800 Units | | Above 800 Units | | | | |
| | | 0-200 | 0-200 | 201-400 | 0-200 | 201-400 | 401-800 | 0-200 | 201-400 | 400-800 | Above 800 |
| | Energy Charges | | | | | | | | | | |
| 1.1 (a) | Domestic (Up to 2KW connected load) | | | | | | | | | | |
| 1.1(b) | Domestic (Between 2-5 KW connected load) | | | | | | | | | | |
| 1.1 (c) | Domestic (Above 5 KW connected load) | | | | | | | | | | |



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| Name of Power Utility in Delhi | | | | | | Form No.: F3 |
|--------------------------------|------------------------------|-----------------|----------|--------------------|-----------------|--|
| Revenue & Capital Subsidies | | | | | | Annual |
| | Particulars | Opening Balance | Received | Disbursed/Utilised | Closing Balance | Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available |
| | In Rs Crores | | | | | |
| A | Revenue Subsidies And Grants | | | | | |
| 1 | | | | | | |
| 2 | | | | | | |
| 3 | | | | | | |
| | Sub-Total | | | | | |
| B | Capital Subsidies And Grants | | | | | |
| 1 | | | | | | |
| 2 | | | | | | |
| 3 | | | | | | |
| | Sub-Total | | | | | |
| | Total | | | | | |
| | | | | | | |
| | | | | | | |


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| Name of Power Utility in Delhi | | | | | Form No: F5 |
|----------------------------------|--|--------|----------|------------|-------------|
| Repair & Maintenance Expenditure | | | | | |
| Sl.No. | Particulars | PY | CY | EY | |
| | Figure in Rs Crore | Actual | Estimate | Projection | |
| 1 | Sub-Station | | | | |
| | i) Owned | | | | |
| | ii) Outsourced | | | | |
| 2 | Transformer other than installed in Sub Station | | | | |
| 3 | Building | | | | |
| 4 | Civil Works | | | | |
| 5 | Others Works | | | | |
| 6 | Lines, Cables Net Works etc. | | | | |
| 7 | Vehicles | | | | |
| 8 | Furniture and Fixtures | | | | |
| 9 | Office Equipments | | | | |
| 10 | Spare Inventory for maintaining Transformer redundancy | | | | |
| 11 | Sub station maintenance by private agencies | | | | |
| | Total | | | | |

Reconciliation
with Audited
Accounts of the
Year (Please
mention Exact
Note/Schedule
for the Audited
Accounts), if
available


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Name of Power Utility in Delhi

Employee Strength

Form No: F6(a)


| | Particulars | Opening Balance | Retired/Deaths | Addition | Closing balance | Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available |
|---|-------------|--------------------|----------------|----------|--------------------|--|
| A | FRSR | | | | | |
| | | | | | | |
| | Non-FRSR | | | | | |
| | | | | | | |
| | | | | | | |
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Mus

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| Name of Power Utility in Delhi | | | | |
|-----------------------------------|--|-------------|----------|------------|
| Administration & General Expenses | | Form No: F7 | | |
| S.No. | Particulars | PY | CY | EY |
| | In Rs Crores | Actual | Estimate | Projection |
| A) | Administration Expenses | | | |
| 1 | Rent rates and taxes (Other than all taxes on income and profit) | | | |
| 2 | Insurance of employees, assets, legal liability | | | |
| 3 | Revenue Stamp Expenses Account | | | |
| 4 | Telephone, Postage, Telegram, Internet Charges | | | |
| 5 | Incentive & Award To Employees/Outsiders | | | |
| 6 | Consultancy Charges | | | |
| 7 | Technical Fees | | | |
| 8 | Other Professional Charges | | | |
| 9 | Conveyance And Travel (vehicle hiring, running) | | | |
| 10 | DERC License fee | | | |
| 11 | Plant And Machinery | | | |
| 12 | Security / Service Charges Paid To Outside Agencies | | | |
| 13 | Regulatory Expenses | | | |
| 14 | Ombudsman Expenses | | | |
| 15 | Consumer Forum | | | |
| | Sub-Total of Administrative Expenses | | | |
| B) | Other Charges | | | |
| 1 | Fee And Subscriptions Books And Periodicals | | | |
| 2 | Printing And Stationery | | | |
| | Advertisement Expenses (Other Than Purchase Related) | | | |
| 3 | Exhibition & Demo. | | | |
| 4 | Contributions/Donations To Outside Institute / Association | | | |
| 5 | Electricity Charges To Offices | | | |
| 6 | Water Charges | | | |
| 7 | Public Interaction Program | | | |
| 8 | Any Other expenses | | | |
| | Sub-Total of other charges | | | |
| C) | Legal Charges | | | |
| D) | Auditor'S Fee | | | |
| E) | Freight - Material Related Expenses | | | |
| F) | Departmental Charges | | | |
| G) | Total Charges | | | |
| H) | Total Charges Chargeable To Capital Works | | | |
| I) | Total Charges Chargeable to Revenue Expenses | | | |

Reconciliation
with Audited
Accounts of the
Year (Please
mention Exact
Note/Schedule for
the Audited
Accounts), if
available



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Name of Power Utility in Delhi


Legal Expenses (Previous Years)

Form No: F7(a)

| S.No. | Particulars | Case No. | Matter | Fees per Hearing | Total Fees | Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available |
|-------|-----------------------------|----------|--------|------------------|------------|--|
| | In Rs Crores | | | | | |
| A) | Cases Other than 142 before | | | | | |
| 1 | DERC | | | | | |
| 2 | APTEL | | | | | |
| 3 | High Court | | | | | |
| 4 | Supreme Court | | | | | |
| 5 | Others | | | | | |
| | | | | | | |
| | | | | | | |
| B) | Cases under 142 | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
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| | | | | | | |


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| Name of Power Utility in Delhi | | | | | | | | | | | | | | Form No: F8 |
|---|---|---------------------------------|-----------------|----------------------|---------------------------------|----------------------|--|----------------------|---------------------------------|-----------------|------------------|-----------------|-----------------|-------------|
| Fixed Assets and Provision for Depreciation | | | | | | | | | | | | | | |
| In Rs Crores | | Gross Fixed Assets | | | | | Previous Year Provision For Depreciation | | | | Net Fixed Assets | | | |
| Sl.No | Particulars | Financial Year of Commissioning | Opening Balance | Addition During Year | Depreciation on Closing Balance | Rate of Depreciation | Opening Balance | Addition During Year | Depreciation on Closing Balance | Opening Balance | Closing Balance | Opening Balance | Closing Balance | |
| 1 | Land & Land rights | | | | | | | | | | | | | |
| 2 | Building and Civil Works | | | | | | | | | | | | | |
| | Others 1 | | | | | | | | | | | | | |
| | Others 2 | | | | | | | | | | | | | |
| | Others 3 | | | | | | | | | | | | | |
| | Sub-Total | | | | | | | | | | | | | |
| 3 | Line Cable Networks etc. | | | | | | | | | | | | | |
| | Towers, poles, fixtures, overhead conductors, devices | | | | | | | | | | | | | |
| | Transformers | | | | | | | | | | | | | |
| | Switchgears, Control gear & Protection | | | | | | | | | | | | | |
| | Batteries | | | | | | | | | | | | | |
| | Others | | | | | | | | | | | | | |
| 4 | Communication equipment | | | | | | | | | | | | | |
| 5 | Meters | | | | | | | | | | | | | |
| 6 | Vehicles | | | | | | | | | | | | | |
| 7 | Furniture & fixtures | | | | | | | | | | | | | |
| 8 | Office Equipments | | | | | | | | | | | | | |
| 9 | Any other items | | | | | | | | | | | | | |
| | Total (1 to 9) | | | | | | | | | | | | | |
| Note: 1. Provide for fair value of assets if assessed | | | | | | | | | | | | | | |


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Format for Capitalization

• **PY-Altura**

Form No.: F9

[illegible]

Reconciliation
with Audited
Accounts of
the Year
(Please
mention Exact
Note/Schedule
for the Audited
Accounts), if
available

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| Name of Power Utility in Delhi | | | | | | | Form No: F10 |
|--------------------------------|----|---|---------------|---------------|--------------|--------------|--------------|
| Interest & Finance Charges | | | | | | | |
| | | Particulars | Interest Rate | Previous Year | Current Year | Ensuing Year | |
| | | In Rs Crores | | Actual | Projected | Projected | |
| A | I | Interest and Finance Charges on Long Term Loans / Credits from the FIs/banks/organisations approved by the State Government | | | | | |
| | | 1 PFC | | | | | |
| | | 2 Bonds | | | | | |
| | | 3 Bank/FIs | | | | | |
| | | 4 APDRP | | | | | |
| | | 5 Any Other | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | Total of I (Weighted average) | | | | | |
| | II | Interest on Working Capital Loans Or Short Term Loans | | | | | |
| | | Total of A : I + II | | | | | |
| B | | Other Interest & Finance Charges | | | | | |
| | | 1 Cost of raising Finance & Bank Charges etc. | | | | | |
| | | 2 Interest on Security Deposit | | | | | |
| | | 3 Penal Interest Charges | | | | | |
| | | 4 Lease Rentals | | | | | |
| | | 5 Penalty charges for delayed payment for power purchase | | | | | |
| | | Total of B | | | | | |
| C | | Grand Total Of Interest & Finance Charges: A + B | | | | | |
| D | | Less: Interest & Finance Charges Chargeable to Capital Account | | | | | |
| E | | Net Total Of Interest & Finance Charges : For Revenue Account: C-D | | | | | |

Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available

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Name of Power Utility in Delhi

Form No.: F11

| Name of Power Utility in Delhi | | | | | | | | | | | | | | | Form No.: F11 |
|---------------------------------|---|----------|---------------------|--------|-------------------|------------------------------|--------------------|-----------|------|--------|------|---------------------|---------------------|--------------------------------------|--|
| Loan details for Financial Year | | | | | | | | | | | | | | | (Rs in Crore) |
| Loan details | | | | | | | Principal | | | | | Payment of Interest | | | |
| Serial No. | Name of Lender (Institution/ Bank/Company/ Others specify (copy of Letter of Intent after approval of loan to be enclosed) | Loan No. | Details of sanction | | | Moratorium period, if any | Opening Balance | Disbursed | | Repaid | | Closing Balance | Rate of Interest | Date of payment of Interest | Amount paid (net of rebate, if any) |
| | | | Date of Sanction | Amount | Period of Loan | | | Amount | Date | Amount | Date | | | | |
| | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | |

Reconciliation
with Audited
Accounts of the
Year (Please
mention Exact
Note/Schedule for
the Audited
Accounts), if
available

Reconciliation
with Audited
Accounts of the
Year (Please
mention Exact
Note/Schedule for
the Audited
Accounts), if
available

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| Name of Power Utility in Delhi | | | Form No: F12 | Annual |
|--|---|--------------------------|--------------|--|
| Statement of Sundry Debtors and provision for Bad & Doubtful Debts | | | | |
| Sl.No. | Particulars | All figures in Rs Crores | | |
| | | PY | Actual | |
| 1 | Receivable from customers as at the beginning of the year | | | Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available |
| | a) Domestic | | | |
| | b) Non-Domestic | | | |
| | c) Industrial | | | |
| | d) Agriculture | | | |
| | e) Mushroom Cultivation | | | |
| | f) Public Lighting | | | |
| | g) Delhi Jal Board | | | |
| | h) Delhi International Airport Limited | | | |
| | i) Railway Traction ⁵ | | | |
| | j) DMRC (Supply at 220 kV and 66 kV) | | | |
| | k) Advertisements and Hoardings | | | |
| | l) Temporary Supply | | | |
| 2 | Revenue billed for the year | | | |
| | a) Domestic | | | |
| | b) Non-Domestic | | | |
| | c) Industrial | | | |
| | d) Agriculture | | | |
| | e) Mushroom Cultivation | | | |
| | f) Public Lighting | | | |
| | g) Delhi Jal Board | | | |
| | h) Delhi International Airport Limited | | | |
| | i) Railway Traction ⁵ | | | |
| | j) DMRC (Supply at 220 kV and 66 kV) | | | |
| | k) Advertisements and Hoardings | | | |
| | l) Temporary Supply | | | |
| 3 | Collection for the year | | | |
| | Against current dues | | | |
| | Against arrears upto previous year | | | |
| | a) Domestic | | | |
| | b) Non-Domestic | | | |
| | c) Industrial | | | |
| | d) Agriculture | | | |
| | e) Mushroom Cultivation | | | |
| | f) Public Lighting | | | |
| | g) Delhi Jal Board | | | |
| | h) Delhi International Airport Limited | | | |
| | i) Railway Traction ⁵ | | | |
| | j) DMRC (Supply at 220 kV and 66 kV) | | | |
| | k) Advertisements and Hoardings | | | |
| | l) Temporary Supply | | | |
| 4 | Gross receivable from customers as at the end of the year | | | |
| | a) Domestic | | | |
| | b) Non-Domestic | | | |
| | c) Industrial | | | |
| | d) Agriculture | | | |
| | e) Mushroom Cultivation | | | |
| | f) Public Lighting | | | |
| | g) Delhi Jal Board | | | |
| | h) Delhi International Airport Limited | | | |
| | i) Railway Traction ⁵ | | | |
| | j) DMRC (Supply at 220 kV and 66 kV) | | | |
| | k) Advertisements and Hoardings | | | |
| | l) Temporary Supply | | | |
| 5 | Receivables against permanently disconnected consumers | | | |
| | a) Domestic | | | |
| | b) Non-Domestic | | | |
| | c) Industrial | | | |
| | d) Agriculture | | | |
| | e) Mushroom Cultivation | | | |
| | f) Public Lighting | | | |
| | g) Delhi Jal Board | | | |
| | h) Delhi International Airport Limited | | | |
| | i) Railway Traction ⁵ | | | |
| | j) DMRC (Supply at 220 kV and 66 kV) | | | |
| | k) Advertisements and Hoardings | | | |
| | l) Temporary Supply | | | |
| 6 | Receivables(4-5) | | | |
| 7 | % of provision | | | |
| 8 | Provision for bad and doubtful debts | | | |
| Note: The details in Sundry debtors in MU should also be enclosed | | | | |

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| Name of Power Utility in Delhi | | | | | | Form No: F14 | |
|--------------------------------|-----------------------------|-------------------------------------|-------------------------------|--|--|--|--|
| Statement of Assets Not in Use | | | | | | All figures in Rs Crores | |
| Sl. No. | Financial Year ⁶ | Historical Cost/Cost of Acquisition | Date of withdrawal operations | Accumulated Depreciation on date of withdrawal | Written down value on date of withdrawal | Reconciliation of opening balance of asset not in use, reused during the relevant year, withdrawn during the relevant year and closing balance | |
| | | | | | | | |
| | | | | | | | |
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*Note:- Information to be provided for Previous Year, Current Year & Ensuing Year




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| Name of Power Utility in Delhi | | | | | Form No: F15 |
|--------------------------------|---|--------|--------------------------|----|--|
| Current Assets & Liabilities | | | | | |
| Sl.No | Particulars | PY | All figures in Rs Crores | | Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available |
| | | Actual | Estimated | EY | |
| | | | | | |
| A | Current Assets, Loans and Advances | | | | |
| | Sundry Debtors | | | | |
| | Inventories | | | | |
| | Cash and Bank Balances | | | | |
| | Loans and Advances | | | | |
| | | | | | |
| B | Current Liabilities and Provisions | | | | |
| | Current Liabilities | | | | |
| | | | | | |
| | | | | | |
| | Provisions | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| C | NET CURRENT ASSETS (= A - B) | | | | |

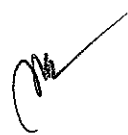

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| Name of Power Utility in Delhi | | | | | |
|-------------------------------------|--|------------|---------------|-----------|------------|
| Net Worth of Distribution Companies | | | Form No: F 16 | | |
| | Particulars | As on..... | PY | CY | EY |
| | | | Actual | Estimated | Projection |
| | Original Cost of FA | | | | |
| Add | CWIP | | | | |
| Add | Net Current Assets | | | | |
| Less: | Depreciation | | | | |
| Less: | Loan Long term Outstanding | | | | |
| Less: | CSD | | | | |
| Less: | SLD | | | | |
| Less: | Consumer Contribution | | | | |
| | Net Worth | | | | |
| | Additional Capital Infusion during the year/dividend payment | | | | |
| | Total Net Worth | | | | |

Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available


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| Energy Balance | | | | | | | | |
|----------------|---|-------------|--------|----|-----------|----|------------|----|
| S. No | Particulars | Calculation | PY | | CY | | EY | |
| | | | Actual | | Estimated | | Projection | |
| | | | % | MU | % | MU | % | MU |
| 1 | Energy Sales | | | | | | | |
| | a) LT Sales | | | | | | | |
| | b) HT Sales at 11kV | | | | | | | |
| | c) HT Sales at 33kV | | | | | | | |
| | c) EHT Sales | | | | | | | |
| | Total Energy Sales | | | | | | | |
| 2 | Distribution Losses | | | | | | | |
| | a) Distribution losses at 33kV level above | | | | | | | |
| | b) Distribution losses in HT 11kV and LT system combined | | | | | | | |
| | Total Distribution Losses | | | | | | | |
| 3 | Energy requirement at T-D boundary | | | | | | | |
| | a) 11kV and LT energy requirement combined | | | | | | | |
| | b) HT 33kV energy requirement | | | | | | | |
| | Total energy requirement at T-D boundary | | | | | | | |
| 4 | Intra-State Transmission Losses | | | | | | | |
| 5 | Energy requirement of EHT consumers | | | | | | | |
| 6 | Energy Requirement of Distribution system consumers after grossing up for Intra-State Transmission losses | | | | | | | |
| 7 | Energy Requirement of Distribution Licensee | | | | | | | |
| 8 | Inter-State Transmission Losses | | | | | | | |
| 9 | Total Energy requirement | | | | | | | |
| 10 | Total Energy available | | | | | | | |
| 11 | Surplus / (Deficit) | | | | | | | |



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Allocation Statement - Revenue Requirement (for the year)


All figures in Rs Crores

Form F17

| Wheeling Business | | PY | CY | EY |
|-------------------|------------------------------|--------|-----------|------------|
| | | Actual | Estimated | Projection |
| | Expenditure | | | |
| A | Power Purchase Cost | | | |
| B | O&M Expenses | | | |
| D | Depreciation | | | |
| E | ROCE | | | |
| F | Income tax | | | |
| G | Other Miscellaneous Expenses | | | |
| I | NTI | | | |
| J | Income from other business | | | |
| K | Income from other business | | | |
| R | ARR | - | - | - |


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| Allocation Statement - Revenue Requirement (for the year) | | | | |
|---|------------------------------|--------------------------|-----------|------------|
| | | All figures in Rs. Crore | | Form F18 |
| | | | | |
| Retail Business | | PY | CY | EY |
| | | Actual | Estimated | Projection |
| | Expenditure | | | |
| A | Power Purchase Cost | | | |
| B | O&M Expenses | | | |
| D | Depreciation | | | |
| E | ROCE | | | |
| F | Income tax | | | |
| G | Other Miscellaneous Expenses | | | |
| I | Total ARR | | | |
| J | NTI | | | |
| K | Income from other business | | | |
| R | ARR | | | |


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Consumer Security Deposit

Form-F19

(Rs.Cr.)

| S. No | Category | PY | | | |
|-------|--------------------|-----------------|----------|--------------------|-----------------|
| | | Actual | | | |
| | | Opening Balance | Received | Disbursed/Utilised | Closing Balance |
| | | | | | |
| 1 | Domestic | | | | |
| 2 | Non Domestic | | | | |
| 3 | Public water works | | | | |
| 4 | Public Lighting | | | | |
| 5 | Industrial | | | | |
| 6 | Agriculture | | | | |
| 7 | Railway Traction | | | | |
| 8 | DMRC | | | | |
| 9 | Temporary Supply | | | | |
| 10 | Others | | | | |
| | TOTAL | | | | |
| | | | | | |




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Investment Plan - Master


Form-20
(Rs. Cr.)

| Category | Status | | Previous Year | | | | | Current Year | |
|----------------------|------------|---------------------------|---------------|----|----|----|----|--------------|----|
| | | | Y1 | Y2 | Y3 | Y4 | Y5 | Y6 | Y7 |
| EHV Schemes | Submission | No of Schemes | | | | | | | |
| | | Cost in RsCrS | | | | | | | |
| | Approval | No of Schemes | | | | | | | |
| | | Cost in RsCrS | | | | | | | |
| Distribution Schemes | Submission | No of Schemes | | | | | | | |
| | | Cost in RsCrS | | | | | | | |
| | Approval | No of Schemes | | | | | | | |
| | | Cost in RsCrS | | | | | | | |
| Other Schemes | Submission | No of Schemes | | | | | | | |
| | | Cost in RsCrS | | | | | | | |
| | Approval | No of Schemes | | | | | | | |
| | | Cost in RsCrS | | | | | | | |
| Deposit Schemes | Submission | No of Schemes | | | | | | | |
| | | Cost in RsCrS | | | | | | | |
| | Approval | No of Schemes | | | | | | | |
| | | Cost in RsCrS | | | | | | | |
| Total | Submission | No of Schemes | | | | | | | |
| | | Cost in RsCrS | | | | | | | |
| | Approval | No of Schemes | | | | | | | |
| | | Cost in RsCrS | | | | | | | |
| Total Schemes | | % Approval (Cost Only) | | | | | | | |

*This contains IT & Communication DPR & Meters & Accessories


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| Form A | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---------|--|-------------------|------------------------------------|-------------------------|-------------------------|---------------------------------|---------------------------|-------------------------------------|---------------------|---------------------|--------------------------|------------------------------------|-------------------------|-------------------------|---------------------------------|---------------------------|-------------------------------------|---------------------|-----------------------|-------------------|------------------------------------|-------------------------|-------------------------|---------------------------------|---------------------------|-------------------------------------|---------------------|---------------------|
| Sl. No. | | Particulars | Actual (Previous Year) | | | | | | | | Estimated (Current Year) | | | | | | | | Projected (Next Year) | | | | | | | | | |
| | | Energy input (MU) | Energy billed to the consumer (MU) | Dist./Real on Loss (MU) | Amount billed (Rs. Cr.) | Average Billing Rate (Rs./Unit) | Amount Realized (Rs. Cr.) | Average Realization Rate (Rs./Unit) | Units Realized (MU) | AT&C Loss (Rs. Cr.) | Energy input (MU) | Energy billed to the consumer (MU) | Dist./Real on Loss (MU) | Amount billed (Rs. Cr.) | Average Billing Rate (Rs./Unit) | Amount Realized (Rs. Cr.) | Average Realization Rate (Rs./Unit) | Units Realized (MU) | AT&C Loss (Rs. Cr.) | Energy input (MU) | Energy billed to the consumer (MU) | Dist./Real on Loss (MU) | Amount billed (Rs. Cr.) | Average Billing Rate (Rs./Unit) | Amount Realized (Rs. Cr.) | Average Realization Rate (Rs./Unit) | Units Realized (MU) | AT&C Loss (Rs. Cr.) |
| 1 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 10 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 11 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 13 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 14 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 15 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 16 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 17 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 18 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 19 | | | | | | | | | | | | | | | | | | | | | | | | | | | | |


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Projection of Sales, Customers & Connected load for metered consumers

Form No: F22

| S. No | Category | PY | | | CY | | | EY | | |
|--------|---|------------|------------------|---------------------|--------------------------|--------------------------------|-----------------------------------|--------------------------|--------------------------------|-----------------------------------|
| | | Actual | | | Estimated | | | Projection | | |
| | | Sales (MU) | No. of Consumers | Connected Load (MW) | Projection of Sales (MU) | Projection of no. of Consumers | Projection of Connected Load (MW) | Projection of Sales (MU) | Projection of no. of Consumers | Projection of Connected Load (MW) |
| 1 | Domestic | | | | | | | | | |
| 1.1 | Domestic | | | | | | | | | |
| 1.1.1 | Upto 2 KW Connected Load | | | | | | | | | |
| | Slab wise | | | | | | | | | |
| 1.1.2 | Between 2 KW to 5 KW Connected Load | | | | | | | | | |
| | Slab wise | | | | | | | | | |
| 1.1.3 | Above 5 KW Connected Load | | | | | | | | | |
| | Slab wise | | | | | | | | | |
| 1.2 | Single Delivery Point on 11 KV CGHS | | | | | | | | | |
| | Slab wise | | | | | | | | | |
| 1.3 | Hospital | | | | | | | | | |
| 1.4 | Worship | | | | | | | | | |
| 1.4 | DVB Staff | | | | | | | | | |
| 1.5 | Misuse (Domestic) | | | | | | | | | |
| 1.6 | Theft (Domestic) | | | | | | | | | |
| 2 | Non Domestic | | | | | | | | | |
| 2.1 | Non Domestic Low Tension | | | | | | | | | |
| | Slab wise | | | | | | | | | |
| 2.2 | Non Domestic High Tension (NDHT) | | | | | | | | | |
| 2.3 | Misuse (Non Domestic) | | | | | | | | | |
| 2.4 | Theft (Non Domestic) | | | | | | | | | |
| 3 | Industrial | | | | | | | | | |
| 3.1 | Small Industrial Power (SIP) | | | | | | | | | |
| | Slab wise | | | | | | | | | |
| 3.2 | Industrial Power on 11KV SPD for SIP Group | | | | | | | | | |
| 3.3 | Large Industrial Power (LIP) | | | | | | | | | |
| 3.4 | Misuse (Industrial) | | | | | | | | | |
| 3.5 | Theft (Industrial) | | | | | | | | | |
| 4 | Agriculture | | | | | | | | | |
| 4.1 | Agriculture | | | | | | | | | |
| 4.2 | Misuse (Agriculture) | | | | | | | | | |
| 4.3 | Theft (Agriculture) | | | | | | | | | |
| 5 | Mushroom Cultivation | | | | | | | | | |
| 5.1 | Mushroom Cultivation | | | | | | | | | |
| 5.2 | Misuse (Mushroom Cultivation) | | | | | | | | | |
| 5.3 | Theft (Mushroom Cultivation) | | | | | | | | | |
| 6 | Public Lighting | | | | | | | | | |
| 6.1 | Street Light (Metered) | | | | | | | | | |
| 6.2 | Street Light (Unmetered) | | | | | | | | | |
| 6.3 | Signals & Blinkers (Metered) | | | | | | | | | |
| 6.4 | Signals & Blinkers (Unmetered) | | | | | | | | | |
| 7 | Delhi Jal Board (DJB) | | | | | | | | | |
| 7.1 | DJB-Supply at LT | | | | | | | | | |
| | Slab wise | | | | | | | | | |
| 7.2 | DJB (Supply at 11 KV and above) | | | | | | | | | |
| 8 | Delhi International Airport Limited (DIAL) | | | | | | | | | |
| 9 | Railway Traction | | | | | | | | | |
| 10 | DMRC supply Voltage wise | | | | | | | | | |
| 11 | Temporary Supply | | | | | | | | | |
| 11.1 | For the Period of | | | | | | | | | |
| 11.1.a | Less than 16 Days | | | | | | | | | |
| 11.1.b | More than or Equal to 16 Days | | | | | | | | | |
| 11.2 | For Residential Cooperative group housing connections and other residential connections | | | | | | | | | |
| 11.3 | For religious functions of traditional and established characters and cultural activities | | | | | | | | | |
| 11.4 | For major construction projects | | | | | | | | | |
| 11.5 | For threshers | | | | | | | | | |
| 11.5.a | During the threshing season for 30 days | | | | | | | | | |
| 11.5.b | For extended period | | | | | | | | | |
| 12 | Advertisement and Hoardings | | | | | | | | | |
| 13 | Self Consumption | | | | | | | | | |
| 14 | TOTAL | | | | | | | | | |

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Malviya Nagar, New Delhi -11001

Revenue from Proposed Tariff & Charges

Form F-23

| S. No | Particulars | Ensuing Year (FY 2015-16) | | | | | | | Total Revenue (Rs. Crs.) |
|--------|---|---------------------------|----------------------|------------|------------------------|----------------------------|---------------------------------------|--|--------------------------|
| | | Consumer s (Nos.) | Connecte d Load (KW) | Sales (MU) | Fixed Charges (Rs/kW)* | Variable Charges (Rs/kWh)* | Revenue from Fixed Charges (Rs. Crs.) | Revenue from Variable Charges (Rs. Crs.) | |
| 1 | Domestic | | | | | | | | |
| 1.1 | Domestic | | | | | | | | |
| 1.1.1 | Upto 2 KW Connected Load | | | | | | | | |
| | Slab wise | | | | | | | | |
| 1.1.2 | Between 2 KW to 5 KW Connected Load | | | | | | | | |
| | Slab wise | | | | | | | | |
| 1.1.3 | Above 5 KW Connected Load | | | | | | | | |
| | Slab wise | | | | | | | | |
| 1.2 | Single Delivery Point on 11 KV CGHS | | | | | | | | |
| | Slab wise | | | | | | | | |
| 1.3 | Hospital | | | | | | | | |
| 1.4 | Worship | | | | | | | | |
| 1.4 | DVB Staff | | | | | | | | |
| 1.5 | Misuse (Domestic) | | | | | | | | |
| 1.6 | Theft (Domestic) | | | | | | | | |
| 2 | Non Domestic | | | | | | | | |
| 2.1 | Non Domestic Low Tension | | | | | | | | |
| | Slab wise | | | | | | | | |
| 2.2 | Non Domestic High Tension (NDHT) | | | | | | | | |
| 2.3 | Misuse (Non Domestic) | | | | | | | | |
| 2.4 | Theft (Non Domestic) | | | | | | | | |
| 3 | Industrial | | | | | | | | |
| 3.1 | Small Industrial Power (SIP) | | | | | | | | |
| | Slab wise | | | | | | | | |
| 3.2 | Industrial Power on 11kV SPD for SIP Group | | | | | | | | |
| 3.3 | Large Industrial Power (LIP) | | | | | | | | |
| 3.4 | Misuse (Industrial) | | | | | | | | |
| 3.5 | Theft (Industrial) | | | | | | | | |
| 4 | Agriculture | | | | | | | | |
| 4.1 | Agriculture | | | | | | | | |
| 4.2 | Misuse (Agriculture) | | | | | | | | |
| 4.3 | Theft (Agriculture) | | | | | | | | |
| 5 | Mushroom Cultivation | | | | | | | | |
| 5.1 | Mushroom Cultivation | | | | | | | | |
| 5.2 | Misuse (Mushroom Cultivation) | | | | | | | | |
| 5.3 | Theft (Mushroom Cultivation) | | | | | | | | |
| 6 | Public Lighting | | | | | | | | |
| 6.1 | Street Light (Metered) | | | | | | | | |
| 6.2 | Street Light (Unmetered) | | | | | | | | |
| 6.3 | Signals & Blinkers (Metered) | | | | | | | | |
| 6.4 | Signals & Blinkers (Unmetered) | | | | | | | | |
| 7 | Delhi Jal Board (DJB) | | | | | | | | |
| 7.1 | DJB-Supply at LT | | | | | | | | |
| | Slab wise | | | | | | | | |
| 7.2 | DJB (Supply at 11 KV and above) | | | | | | | | |
| 8 | Delhi International Airport Limited (DIAL) | | | | | | | | |
| 9 | Railway Traction | | | | | | | | |
| 10 | DMRC supply Voltage wise | | | | | | | | |
| 11 | Temporary Supply | | | | | | | | |
| 11.1 | for the Period of | | | | | | | | |
| 11.1.a | Less than 16 Days | | | | | | | | |
| 11.1.b | More than or Equal to 16 Days | | | | | | | | |
| 11.2 | For Residential Cooperative group husing connections and other residential connections | | | | | | | | |
| 11.3 | For religious functions of traditional and established characters and cultural activities | | | | | | | | |
| 11.4 | For major construction projects | | | | | | | | |
| 11.5 | For threshers | | | | | | | | |
| 11.5.a | During the threshing season for 30 days | | | | | | | | |
| 11.5.b | For extended period | | | | | | | | |
| 12 | Advertisement and Hoardings | | | | | | | | |
| 13 | Self Consumption | | | | | | | | |
| 14 | TOTAL | | | | | | | | |

Secretary

Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017

TARIFF FILING FORMS
(TRANSMISSION & COMMUNICATION SYSTEM)

INDEX

Checklist of Forms and other information/ documents for tariff filing for Transmission System & Communication System

| | |
|----------|---|
| FORM- 1 | Summary Sheet |
| FORM-2 | Details of Transmission Lines and Substations, Communication System |
| FORM-3 | Normative parameters considered for tariff computations |
| FORM- 4 | Abstract of admitted parameters for the existing transmission assets/elements under project. |
| FORM- 4A | Statement of Capital cost |
| FORM- 4B | Statement of Capital Works in Progress |
| FORM- 4C | Abstract of Capital Cost Estimates and Schedule of Commissioning for the New Project/Element |
| FORM-5 | Element wise Break-up of Project/Asset/Element Cost for Transmission System or Communication System |
| FORM-5A | Break-up of Construction/Supply/Service packages |
| FORM-5B | Details of element wise cost of the Project |
| FORM- 6 | Financial Package upto COD |
| FORM- 7 | Statement of Additional Capitalisation after COD |
| FORM- 7A | Financing of Additional Capitalisation |
| FORM- 7B | Statement of Additional Capitalisation during lag end* of the Project |
| FORM- 8 | Calculation of Return on Equity |
| FORM-8A | Details of Foreign Equity |
| FORM-8B | Details of additional RoE |
| FORM-9 | Details of Allocation of corporate loans to various transmission elements |
| FORM-9A | Details of Project Specific Loans |
| FORM-9B | Details of Foreign loans |
| FORM-9C | Calculation of Weighted Average Rate of Interest on Actual Loans |

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| Form No. | Title of Tariff Filing Forms (Transmission & Communication System) |
|-------------------------------------|---|
| FORM-9D | Loans in Foreign Currency |
| FORM-9E | Calculation of Interest on Normative Loan |
| FORM- 10 | Calculation of Depreciation Rate |
| FORM- 10A | Statement of Depreciation |
| FORM- 10B | Statement of De-capitalisation |
| FORM- 11 | Calculation of Interest on Working Capital |
| FORM- 12 | Details of time over run |
| FORM- 12A | Incidental Expenditure during Construction |
| FORM- 12B | Draw Down Schedule for Calculation of IDC & Financing Charges |
| FORM- 13 | Breakup of Initial spares |
| FORM- 14 | Other Income as on COD |
| FORM- 15 | Actual cash expenditure |
| FORM- 16 | Employee Expenses |
| FORM- 16 (a) | Employee Strength |
| FORM- 17 | A&G Expenses |
| FORM- 18 | R&M Expenses |
| FORM – 17 (a) | Legal Expenses |
| Other Information/ Documents | |
| Sl. No. | Information/Document |
| 1 | Certificate of incorporation, Certificate for Commencement of Business, Memorandum of Association, & Articles of Association (For New Project(s) setup by a company making tariff application for the first time to CERC) |
| 2 | Region wise and Corporate audited Balance Sheet and Profit & Loss Accounts with all the Schedules & annexures for the new Transmission System & Communication System for the relevant years. |
| 3 | Copies of relevant loan Agreements |
| 4 | Copies of the approval of Competent Authority for the Capital Cost and Financial package. |
| 5 | Copies of the Equity participation agreements and necessary approval for the foreign equity. |

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| | |
|---|--|
| 6 | Copies of the BPTA/TSA/PPA with the beneficiaries, if any |
| 7 | Detailed note giving reasons of cost and time over run, if applicable. |

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| Form No. | Title of Tariff Filing Forms (Transmission & Communication System) | |
|----------|--|--|
| | List of supporting documents to be submitted: a. Detailed Project Report b. CPM Analysis c. PERT Chart and Bar Chart d. Justification for cost and time Overrun | |
| 8 | Transmission Licensee shall submit copy of Cost Audit Report along with cost accounting records, cost details, statements, schedules etc. for the transmission system as submitted to the Govt. of India for first two years i.e. 2014-15 and 2015-16 at the time of mid-term true-up in 2016-17 and for balance period of tariff period 2014-19 at the time of final true-up in 2019-20. In case of initial tariff filing the latest available Cost Audit Report should be furnished. | |
| 9 | Any other relevant information, (Please specify) | |

Note1: Electronic copy of the petition (in word format) and detailed calculation as per these formats (in excel format) and any other information submitted shall also be furnished in the form of CD/Floppy disc.

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FORM- 1

Summary Sheet

Name of the Petitioner:

Name of the Region:

Name of the Project:

Name of the Transmission Element or

Communication System

| S.N o. | Particulars | Form No. | Existing | Ensting Years | | | | | (Amount in Rs. Lakh) |
|--------|-------------------------------|----------|----------|---------------|---|---|---|---|----------------------|
| | | | | 3 | 4 | 5 | 6 | 7 | |
| 1 | 2 | | | | | | | | 8 |
| 1.1 | Depreciation | | | | | | | | |
| 1.2 | Interest on Loan | | | | | | | | |
| 1.3 | Return on Equity ¹ | | | | | | | | |
| 1.4 | Interest on Working Capital | | | | | | | | |
| 1.5 | O & M Expenses | | | | | | | | |
| | Total | | | | | | | | |
| | | | | | | | | | |

Note

1: Details of calculations, considering equity as per regulation, to be furnished (As per Form 8).

(Petitioner)



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DETAILS OF TRANSMISSION LINES & SUBSTATIONS & COMMUNICATION SYSTEM

Name of the Petitioner:

Name of the Region:

Name of the Project:

Name of the Transmission Element or
Communication System

Transmission Lines:

| S. No. | Name of line | Type of line AC/HV DC | S/C or D/C | No. of Sub- Conductors | Voltage level kV | Line length Ckt.- km. | Line length km | Date of Commercial operation | Covered in the present petition | |
|--------|--------------|-----------------------------|---------------|---------------------------|---------------------|--------------------------------|----------------------|------------------------------------|------------------------------------|---------------------------|
| | | | | | | | | | Yes/No | If No, petition No. |
| 1 | | | | | | | | | | |
| 2 | | | | | | | | | | |
| 3 | | | | | | | | | | |
| 4 | | | | | | | | | | |
| - | | | | | | | | | | |
| - | | | | | | | | | | |
| - | | | | | | | | | | |

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Substations:

| S.No. | Name of Sub-station | Type of Substation (Conventional/Brownfield/ GIS/HVDC terminal/HVDC Back to Back) | Voltage level kV | No. of transformers / Reactors/SV C etc. (with capacity) | No. of Bays | | | Date of Commercial operation | Covered in the present petition | |
|-------|---------------------|---|------------------|--|-------------|--------|--------|------------------------------|---------------------------------|---------------------|
| | | | | | 765 kV | 400 kV | 220 kV | | Yes/No | If No, petition No. |
| 1 | | | | | | | | | | |
| 2 | | | | | | | | | | |
| 3 | | | | | | | | | | |
| 4 | | | | | | | | | | |
| - | | | | | | | | | | |
| - | | | | | | | | | | |

Communication System:

| S. No. | Name of Communication System | Type of Communication System – Communication System under ULDC/ SCADA/ WAMS/Fibre Optic Communication System/RTU/PABX etc | Technical Particulars | Number/ length | Date of Commercial operation | Covered in the present petition | |
|--------|------------------------------|---|-----------------------|----------------|------------------------------|---------------------------------|---------------------|
| | | | | | | Yes/No | If No, petition No. |
| 1 | | | | | | | |
| 2 | | | | | | | |
| 3 | | | | | | | |
| 4 | | | | | | | |
| - | | | | | | | |

(Petitioner)

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Normative parameters considered for tariff computations

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or
communication system: _____

| Particulars (1) | Unit (2) | Existing (3) | Year Ending March | | | | |
|---------------------------------|-------------|-----------------|-------------------|-----|-----|-----|-----|
| | | | Ensuing Years | | | | |
| | | | (4) | (5) | (6) | (7) | (8) |
| Base Rate of Return on Equity | % | | | | | | |
| Tax Rate | % | | | | | | |
| Effective tax rate ¹ | % | | | | | | |
| Target Availability | % | | | | | | |
| O&M per km | Rs. Lakh | | | | | | |
| O&M per bay | Rs. Lakh | | | | | | |
| Spares for WC as % of O&M | % | | | | | | |
| Receivables in Months for WC | Months | | | | | | |

1. To be supported by necessary documents and calculations. Effective tax rate is to be computed in accordance with Regulation i.e., actual tax (or estimated tax)/gross income, where gross income refers the profit before tax.

(Petitioner)

Abstract of admitted parameters for the existing transmission assets/elements under project

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or _____

Communication system: _____

(Amount in Rs Lakh)

| | Asset- 1 | Asset- 2 | |
|--------------------------------|---|---|---|
| Name of the Assets | | | |
| DOCO | | | |
| Petition Number | | | Total Gross |
| Tariff order date | | | Block as on |
| | Capital | Capital | 1 st . April of the first year of the control period |
| Particulars | Expenditure | Expenditure | |
| | admitted as | admitted as | |
| | on 1st. April of the first year of the control period | on 1st. April of the first year of the control period | |
| Apportioned approved | | | |
| Cost/Revised cost | | | |
| estimates, if any (with | | | |
| reference and date of | | | |
| approval) | | | |
| | | | |
| Freehold Land | | | |
| Leasehold Land | | | |
| Building & Other Civil | | | |
| Works | | | |
| Transmission Line | | | |
| Sub-Station Equipments | | | |
| PLCC | | | |
| Total | | | |
| Notional Loan | | | |
| Notional Equity | | | |

| | | | | | | | | |
|------------------------------|--|--|--|--|--|--|--|--|
| Total | | | | | | | | |
| Debt-Equity Ratio | | | | | | | | |
| Debt | | | | | | | | |
| Equity | | | | | | | | |
| Total | | | | | | | | |
| Cumulative amount of | | | | | | | | |
| Depreciation | | | | | | | | |
| Cumulative Repayment of Loan | | | | | | | | |
| Initial Spares* | | | | | | | | |

1 * Initial spares claimed for existing whose cut off date falls in current tariff period.

Details of remaining assets of the project yet to be commissioned needs to be included in Form -5B

Petitioner

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Statement of Capital cost

(To be given for relevant dates and year wise)

Name of the Petitioner:

Name of the Region:

Name of the Project:

Name of the Transmission Element or
Communication system:

(Amount in Rs Lakh)

| | As on relevant date. ¹ |
|--|--|
| Aa) Opening Gross Block Amount as per books | |
| b) Amount of capital liabilities in A(a) above | |
| c) Amount of (i) IDC (ii) FC (iii) FERV & (iv) Hedging cost included in A(a) above | (i) (ii) ... (iii)... (iv) ... |
| d) Amount of IEDC (excluding IDC, FC, FERV & Hedging cost) included in A(a) above | |
| Ba) Addition in Gross Block Amount during the period | |
| b) Amount of capital liabilities in B(a) above | |
| c) Amount of (i) IDC (ii) FC (iii) FERV & (iv) Hedging cost included in B(a) above | (i) (ii) ... (iii)... (iv) ... |
| d) Amount of IEDC (excluding IDC, FC, FERV & Hedging cost) included in B(a) above | |
| Ca) Closing Gross Block Amount as per books | |
| b) Amount of capital liabilities in C(a) above | |
| c) Amount of (i) IDC (ii) FC (iii) FERV & (iv) Hedging cost included in C(a) above | (i) (ii) ... (iii)... (iv) ... |
| d) Amount of IEDC (excluding IDC, FC, FERV & Hedging cost) included in C(a) above | |

Note:

1.Relevant date/s means date of COD of transmission element/s or Communication system and financial year start date and end date

(Petitioner)

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Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017

Statement of Capital Works in Progress
(To be given for relevant dates and year wise)

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or
Communication system: _____

(Amount in Rs Lakh)

| | As on relevant date. ¹ |
|---|--|
| A a) Opening CWIP Amount as per books | |
| b) Amount of capital liabilities in a above | |
| c) Amount of (i) IDC (ii) FC (iii) FERV & (iv) Hedging cost included in (a) above | (i) (ii) ... (iii)... (iv) ... |
| B a) Addition/Adjustment in CWIP Amount during the period | |
| b) Amount of capital liabilities in a above | |
| c) Amount of (i) IDC (ii) FC (iii) FERV & (iv) Hedging cost included in (a) above | (i) (ii) ... (iii)... (iv) ... |
| C a) Capitalization/Transfer to Fixed asset of CWIP Amount during the period | |
| b) Amount of capital liabilities in a above | |
| c) Amount of (i) IDC (ii) FC (iii) FERV & (iv) Hedging cost included in (a) above | (i) (ii) ... (iii)... (iv) ... |
| D a) Closing CWIP Amount as per books | |
| b) Amount of capital liabilities in a above | |
| c) Amount of (i) IDC (ii) FC (iii) FERV & (iv) Hedging cost in a above | (i) (ii) ... (iii)... |

Note:

1. Relevant date/s means date of COD of transmission element/s and financial year start date and end date

(Petitioner)

Secretary
Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017

Abstract of Capital Cost Estimates and Schedule of Commissioning for the New Project/Element

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or
Communication system: _____

New Projects

Capital Cost Estimates

| | | |
|---|---|---|
| Board of Director/ Agency approving the Capital cost estimates: | | |
| Date of approval of the Capital cost estimates: | | |
| | Present Day Cost | Completed Cost |
| Price level of approved estimates | As of End of _____ Qtr. Of the year _____ | As on Scheduled COD of the transmission system/transmission element/ Communication System |
| Foreign Exchange rate considered for the Capital cost estimates | | |
| Capital Cost excluding IDC, IEDC& FC | | |
| Foreign Component, if any (In Million US \$ or the relevant Currency) | | |
| Domestic Component (Rs Lakh) | | |
| Capital cost excluding IDC, FC, FERV & Hedging Cost (Rs. Cr) | | |
| IDC, IEDC, FC, FERV & Hedging Cost | | |
| Foreign Component, if any (In Million US \$ or the relevant Currency) | | |
| Domestic Component (Rs Lakh) | | |
| Total IDC, FC, FERV & Hedging Cost (Rs Lakh) | | |
| Rate of taxes & duties considered | | |
| Capital cost Including IDC, IEDC, FC, FERV & Hedging Cost | | |

| | |
|--|--|
| Foreign Component, if any (In Million US \$ or the relevant Currency) | |
| Domestic Component (Rs Lakh) | |
| | |
| Capital cost Including IDC, IEDC& FC (Rs Lakh) | |
| | |
| Schedule of Commissioning | |
| COD of transmission system 1 /transmission element 1/Communication System 1 | |
| COD of transmission system 1/ transmission element 2/ Communication System 2 | |
| ----- | |
| ----- | |
| COD of last transmission system /transmission element / Communication System | |

Note:

1. Copy of approval letter by the Board duly certified by the Company secretary should be enclosed
2. Details of Capital Cost are to be furnished as per FORM-5 or 5A as applicable
3. Details of IDC & Financing Charges are to be furnished as per FORM-12(B).

(Petitioner)

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Malviya Nagar, New Delhi -110017



Element wise Break-up of Project/Asset/Element Cost for Transmission System or Communication System

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or
Communication system: _____

| (Amount in Rs. Lakh) | | | | | | | | | | | |
|----------------------|---|-------------------------------|------|--|----------|------|---------------|----------------------------|---------------------|---------------------------|-------------------|
| Sl. No. (1) | Particulars (2) | Cost in Rs. Lakh | | | | | | Liabilities/Provisions (5) | Variation (6=3-4-5) | Reasons for Variation (7) | Admitted Cost (8) |
| | | As per Original Estimates (3) | | Actual Capital Expenditure as on COD (4) | | | | | | | |
| | | Quantity | Rate | Estimated Amount | Quantity | Rate | Actual Amount | | | | |
| A | TRANSMISSION LINE | | | | | | | | | | |
| 1.0 | Preliminary works | | | | | | | | | | |
| 1.1 | Design & Engineering | | | | | | | | | | |
| 1.2 | Preliminary Investigation, Right of way, forest clearance, PTCC, general civil works etc. | | | | | | | | | | |
| 1.3 | Total Preliminary works | | | | | | | | | | |
| 2.0 | Transmission Lines material | | | | | | | | | | |
| 2.1 | Towers Steel | | | | | | | | | | |
| 2.2 | Conductor | | | | | | | | | | |

(Amount in Rs. Lakh)

| Sl. No. (1) | Particulars (2) | Cost in Rs. Lakh | | | | | | | Liabilities/Provisions (5) | Variation (6=3-4-5) | Reasons for Variation (7) | Admitted Cost (8) |
|-------------|--|-------------------------------|------|--|----------|------|---------------|--|----------------------------|---------------------|---------------------------|-------------------|
| | | As per Original Estimates (3) | | Actual Capital Expenditure as on COD (4) | | | | | | | | |
| | | Quantity | Rate | Estimated Amount | Quantity | Rate | Actual Amount | | | | | |
| 2.3 | Earth Wire | | | | | | | | | | | |
| 2.4 | Insulators | | | | | | | | | | | |
| 2.5 | Hardware Fittings | | | | | | | | | | | |
| 2.6 | Conductor & Earth wire accessories | | | | | | | | | | | |
| 2.7 | Spares | | | | | | | | | | | |
| 2.8 | Erection, Stringing & Civil works including foundation | | | | | | | | | | | |
| | Total Transmission Lines material | | | | | | | | | | | |
| | | | | | | | | | | | | |
| 3.0 | Taxes and Duties | | | | | | | | | | | |
| 3.1 | Custom Duty | | | | | | | | | | | |
| 3.2 | Other Taxes & Duties | | | | | | | | | | | |
| | Total Taxes & Duties | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | Total - Transmission lines | | | | | | | | | | | |
| | | | | | | | | | | | | |
| B. | SUBSTATIONS | | | | | | | | | | | |
| 4.0 | Preliminary works & land | | | | | | | | | | | |
| 4.1 | Design & Engineering | | | | | | | | | | | |
| 4.2 | Land | | | | | | | | | | | |

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C- Block, Shivalik
Malviya Nagar, New Delhi -110017

| Sl. No. (1) | Particulars (2) | Cost in Rs. Lakh | | | | | | Liabilities/ Provisions (5) | Variation (6=3-4-5) | Reasons for Variation (7) | Admitted Cost (8) |
|-------------|---|-------------------------------|------|--|----------|------|---------------|-----------------------------|---------------------|---------------------------|-------------------|
| | | As per Original Estimates (3) | | Actual Capital Expenditure as on COD (4) | | | | | | | |
| | | Quantity | Rate | Estimated Amount | Quantity | Rate | Actual Amount | | | | |
| 4.3 | Site preparation | | | | | | | | | | |
| | Total Preliminary works & land | | | | | | | | | | |
| | | | | | | | | | | | |
| 5.0 | Civil Works | | | | | | | | | | |
| 5.1 | Control Room & Office Building including HVAC | | | | | | | | | | |
| 5.2 | Township & Colony | | | | | | | | | | |
| 5.3 | Roads and Drainage | | | | | | | | | | |
| 5.4 | Foundation for structures | | | | | | | | | | |
| 5.5 | Misc. civil works | | | | | | | | | | |
| | Total Civil Works | | | | | | | | | | |
| | | | | | | | | | | | |
| 6.0 | Substation Equipments | | | | | | | | | | |
| 6.1 | Switchgear (CT,PT, Circuit Breaker, Isolator etc) | | | | | | | | | | |
| 6.2 | Transformers | | | | | | | | | | |
| 6.3 | Compensating Equipment(Reactor, SVCs etc) | | | | | | | | | | |
| 6.4 | Control , Relay & Protection Panel | | | | | | | | | | |
| 6.5 | PLCC | | | | | | | | | | |
| 6.6 | HVDC package | | | | | | | | | | |
| | City Regulatory Commission | | | | | | | | | | |

| Sl. No. (1) | Particulars (2) | Cost in Rs. Lakh | | | | | | Liabilities/ Provisions (5) | Variation (6=3-4-5) | Reasons for Variation (7) | Admitted Cost (8) |
|-------------|---------------------------------|-------------------------------|------|--|----------|------|---------------|-----------------------------|---------------------|---------------------------|-------------------|
| | | As per Original Estimates (3) | | Actual Capital Expenditure as on COD (4) | | | | | | | |
| | | Quantity | Rate | Estimated Amount | Quantity | Rate | Actual Amount | | | | |
| 6.7 | Bus Bars/ conductors/Insulators | | | | | | | | | | |
| 6.8 | Outdoor lighting | | | | | | | | | | |
| 6.9 | Emergency D.G. Set | | | | | | | | | | |
| 6.10 | Grounding System | | | | | | | | | | |
| 6.11 | Structure for switchyard | | | | | | | | | | |
| | Total Substation Equipments | | | | | | | | | | |
| 7.00 | Spares | | | | | | | | | | |
| | | | | | | | | | | | |
| 8.0 | Taxes and Duties | | | | | | | | | | |
| 8.1 | Custom Duty | | | | | | | | | | |
| 8.2 | Other Taxes & Duties | | | | | | | | | | |
| | Total Taxes & Duties | | | | | | | | | | |
| 8.3 | Duties | | | | | | | | | | |
| | | | | | | | | | | | |
| | Total (Sub-station) | | | | | | | | | | |
| | | | | | | | | | | | |
| | Communication System | | | | | | | | | | |
| 9.1 | Preliminary Works | | | | | | | | | | |
| | Communication | | | | | | | | | | |
| 9.2 | System equipment's | | | | | | | | | | |
| 9.3 | Taxes and Duties | | | | | | | | | | |
| | Total | | | | | | | | | | |

| Sl. No. (1) | Particulars (2) | Cost in Rs. Lakh | | | | | | | Liabilities/ Provisions (5) | Variation (6=3-4-5) | Reasons for Variation (7) | Admitted Cost (8) |
|-------------|---|-------------------------------|------|--|----------|------|---------------|--|-----------------------------|---------------------|---------------------------|-------------------|
| | | As per Original Estimates (3) | | Actual Capital Expenditure as on COD (4) | | | | | | | | |
| | | Quantity | Rate | Estimated Amount | Quantity | Rate | Actual Amount | | | | | |
| | (Communication System) | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| 10.0 | Construction and pre-commissioning expenses | | | | | | | | | | | |
| 10.1 | Site supervision & site administration etc. | | | | | | | | | | | |
| 10.2 | Tools and Plants | | | | | | | | | | | |
| 10.3 | construction Insurance | | | | | | | | | | | |
| | Total Construction and pre commissioning expenses | | | | | | | | | | | |
| | | | | | | | | | | | | |
| 11.0 | Overheads | | | | | | | | | | | |
| 11.1 | Establishment | | | | | | | | | | | |
| 11.2 | Audit & Accounts | | | | | | | | | | | |
| 11.3 | Contingency | | | | | | | | | | | |
| | Total Overheads | | | | | | | | | | | |
| | | | | | | | | | | | | |
| 12.0 | Cost of Plant & Machinery | | | | | | | | | | | |
| | | | | | | | | | | | | |
| 13.0 | Capital Cost including Plant & | | | | | | | | | | | |

| Sl. No. (1) | Particulars (2) | Cost in Rs. Lakh | | | | | | Liabilities/ Provisions (5) | Variation (6=3-4-5) | Reasons for Variation (7) | Admitted Cost (8) |
|-------------|---|-------------------------------|------|--|----------|------|---------------|-----------------------------|---------------------|---------------------------|-------------------|
| | | As per Original Estimates (3) | | Actual Capital Expenditure as on COD (4) | | | | | | | |
| | | Quantity | Rate | Estimated Amount | Quantity | Rate | Actual Amount | | | | |
| | | | | | | | | | | | |
| | Machinery | | | | | | | | | | |
| 13.1 | Interest During Construction (IDC) | | | | | | | | | | |
| 13.2 | Financing Charges (FC) | | | | | | | | | | |
| 13.3 | Foreign Exchange Rate Variation (FERV) | | | | | | | | | | |
| 13.4 | Hedging Cost | | | | | | | | | | |
| | Total of IDC, FC, FERV & Hedging Cost | | | | | | | | | | |
| | | | | | | | | | | | |
| 14.0 | Capital cost including IDC, FC, FERV & Hedging Cost | | | | | | | | | | |

Note:

1. In case of cost variation, a detailed note giving reasons of such variation should be submitted clearly indicating whether such cost over-run was beyond the control of the transmission licensee.
2. Separate details of free hold/lease hold land should be submitted.



(Petitioner)

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Malviya Nagar, New Delhi -110017

Break-up of Construction/Supply/Service Packages

Name of the Petitioner:

Name of the Region:

Name of the Project:

Name of the Transmission Element or

Communication system

| Sr. No. | Name/No. of Construction/Supply/Service package | Scope of works ¹ (in line with head of cost break-ups as applicable) | Whether awarded through ICB/DCB/Departmental/Depository/Work, etc. | No. of bids received | Date of Award | Date of Start of work | Date of Completion of Work | Value of Award ² in (Rs. Lakh). | Firm or With Escalation in prices | Actual expenditure till the completion or up to COD whichever is earlier (Rs. Lakh) | Taxes & Duties and IEDC (Rs. Lakh) | IDC, FC, FERV & Hedging cost (Rs. Lakh) | Sub-Total (Rs. Lakh) |
|---------|---|---|--|----------------------|---------------|-----------------------|----------------------------|--|-----------------------------------|---|------------------------------------|---|----------------------|
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
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| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |

Note:

1 The scope of work in any package should be indicated in conformity of cost break-up in Form-5B to the extent possible.

2 If there is any package, which need to be shown in Indian Rupee and foreign currency(ies), the same should be shown separately along with the currency.

Details of element wise cost of the project

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Transmission Lines:

| S. No. | Name of line | Apportioned approved cost (Rs. Lakh) | Revised cost estimates, if applicable (Rs. Lakh) | Completed Cost (Rs. Lakh) | Covered in the present petition | |
|--------|--------------|--------------------------------------|--|---------------------------|---------------------------------|---------------------|
| | | | | | Yes/No | If No, petition No. |
| 1 | | | | | | |
| 2 | | | | | | |
| 3 | | | | | | |
| 4 | | | | | | |
| - | | | | | | |
| - | | | | | | |
| - | | | | | | |

Substations:

| S. NO. | Name of Sub-station | Apportioned approved cost (Rs. Lakh) | Revised cost estimates, if applicable (Rs. Lakh) | Completed Cost (Rs. Lakh) | Covered in the present petition | |
|--------|---------------------|--------------------------------------|--|---------------------------|---------------------------------|---------------------|
| | | | | | Yes/No | If No, petition No. |
| 1 | | | | | | |
| 2 | | | | | | |
| 3 | | | | | | |
| 4 | | | | | | |
| - | | | | | | |
| - | | | | | | |

Communication System:

| S. NO. | Name of Communication System | Apportioned approved cost (Rs. Lakh) | Revised cost estimates, if applicable (Rs. Lakh) | Completed Cost (Rs. Lakh) | Covered in the present petition | |
|--------|------------------------------|--------------------------------------|--|---------------------------|---------------------------------|---------------------|
| | | | | | Yes/No | If No, petition No. |
| 1 | | | | | | |
| 2 | | | | | | |
| - | | | | | | |
| - | | | | | | |

(Petitioner)

Financial Package upto COD

Name of the Petitioner: _____

Name of the Transmission Element/
Communication system _____

Project/Element Cost as on COD: _____

Date of Commercial Operation of the Transmission element#: _____
Communication system

| | Financial Package as Approved | | Financial Package as on COD | | As Admitted on COD | |
|---|-------------------------------|------------------|-----------------------------|---|-----------------------|---|
| | Currency and Amount\$ | | Currency and Amount\$ | | Currency and Amount\$ | |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
| Loan-I | US \$ | 5m | | | | |
| Loan-II | | | | | | |
| Loan-III | | | | | | |
| and so on | | | | | | |
| Total Loans | | | | | | |
| Equity- | | | | | | |
| Foreign | | | | | | |
| Domestic | | | | | | |
| Total Equity | | | | | | |
| Debt : Equity Ratio | | | | | | |
| Total Cost | | | | | | |
| | Debt | Equity | Total | | | |
| Add cap for Year-1 | | | | | | |
| Add cap for Year-2 | | | | | | |
| | | | | | | |
| Add cap for year-1 | Actual | Normative | | | | |
| Debt | | | | | | |
| Equity | | | | | | |
| Total | | | | | | |
| Add cap for year-2 | Actual | Normative | | | | |
| Debt | | | | | | |
| Equity | | | | | | |
| Total | | | | | | |
| Total Capital Cost with add cap. | | | | | | |

(Petitioner)

COD

[illegible][illegible]

Note:

- ② Fill the form in chronological order year wise along with detailed justification clearly bringing out the necessity and the benefits accruing to the beneficiaries.
- ② In case initial spares are purchased along with any equipment, then the cost of such spares should be indicated separately.
- ② In case of de-capitalisation of assets separate details to be furnished. Further, the original book value and year of capitalisation of such asset to be furnished. Where de-caps are on estimated basis the same to be shown separately.



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Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017

Financing of Additional Capitalisation

Name of the Petitioner:

Name of the Region:

Name of the Project:

Name of the Transmission Element or

Communication system:

| | | (Amount in Rs. Lakh) | | | | | | | | | |
|--------------------------------------|--|----------------------|-------|-------|-------|----------------|----------|-------|-------|-------|----------------|
| | | Actual/Projected | | | | | Admitted | | | | |
| Financial Year (Starting from COD) | | Year1 | Year2 | Year3 | Year4 | Year 5 & So on | Year1 | Year2 | Year3 | Year4 | Year 5 & So on |
| 1 | | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 |
| Amount capitalised in Work/Equipment | | | | | | | | | | | |
| Financing Details | | | | | | | | | | | |
| Loan-1 | | | | | | | | | | | |
| Loan-2 | | | | | | | | | | | |
| Loan-3 and so on | | | | | | | | | | | |
| Total Loan | | | | | | | | | | | |
| Equity | | | | | | | | | | | |
| Internal Resources | | | | | | | | | | | |
| Others | | | | | | | | | | | |
| Total | | | | | | | | | | | |

Note:

1 Year 1 refers to Financial Year of COD in case of new elements. For existing elements it is from 2014-15 and Year 2, Year 3 etc. are the subsequent financial years respectively.

2 Loan details for meeting the additional capitalisation requirement should be given as per FORM-9 or 9(A) whichever is relevant.



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C-Block, Shivalik
Malviya Nagar, New Delhi -110017

(Petitioner)

Statement of Additional Capitalisation during fag end* of the Project

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or
Communication system _____

COD _____

| Sr. No. | Year | Work/Equipment added five years before the useful life | Amount capitalised /Proposed to be capitalized (Rs Lakh) | Justification for capitalisation proposed | Impact on life extension |
|------------|------|---|--|---|--------------------------------|
| 1 | 2 | 3 | 4 | 5 | 6 |
| 1 | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| | | | | | |
| | | | | | |

Note:

- ☒ Cost Benefit analysis for capital additions done should be submitted along with petition for approval of such schemes
- ☒ *Five years before the completion of useful life.

(Petitioner)

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C- Block, Shivalik
Malviya Nagar, New Delhi -110017



Form 8

Calculation of Return on Equity

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or
Communication System _____

(Amount in
Rs. Lakh)

| S.No. | Particulars | Existing 2013-14 | 2014- 15 | 2015-16 | 2016- 17 | 2017-18 | 2018-19 |
|-------|----------------------------------|---------------------|-------------|---------|-------------|---------|---------|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
| 1.1 | Equity as on COD/Admitted equity | | | | | | |
| 1.2 | Notional Equity for Add Cap | | | | | | |
| 1.3 | Total Equity | | | | | | |
| 1.4 | Return on Equity* | | | | | | |
| | Total | | | | | | |
| | | | | | | | |

Note

1: * - To be calculated on average equity during the year.

(Petitioner)

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Malviya Nagar, New Delhi -110017

Details of Foreign Equity

(Details only in respect of Equity infusion if any applicable to the Asset/Element under petition)

Name of the Petitioner:

Name of Region:

Name of the Project:

Name of the Transmission Element or

Communication system:

Exchange Rate on date/s of Infusion:

| Sl. No. | Financial Year | Year 1 | | | Year 2 | | | Year 3 and so on | | | | | |
|---------|----------------------------------|--------|---------------------------|---------------|------------------|------|---------------------------|------------------|------------------|------|---------------------------|---------------|------------------|
| | | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 |
| | | Date | Amount (Foreign Currency) | Exchange Rate | Amount (Rs Lakh) | Date | Amount (Foreign Currency) | Exchange Rate | Amount (Rs Lakh) | Date | Amount (Foreign Currency) | Exchange Rate | Amount (Rs Lakh) |
| | Currency1 ¹ | | | | | | | | | | | | |
| | At the date of | | | | | | | | | | | | |
| | A.1infusion ² | | | | | | | | | | | | |
| | 2 | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | Currency2 ¹ | | | | | | | | | | | | |
| | At the date of | | | | | | | | | | | | |
| | A.1infusion ² | | | | | | | | | | | | |
| | 2 | | | | | | | | | | | | |
| | 3 | | | | | | | | | | | | |
| | Currency3 ¹ | | | | | | | | | | | | |
| | At the date of | | | | | | | | | | | | |
| | A.1infusion ² | | | | | | | | | | | | |
| | 2 | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | Currency4 ¹ and so on | | | | | | | | | | | | |

| Sl. No. | Financial Year | Year 1 | | | Year 2 | | | Year 3 and so on | | | | | |
|---------|---------------------------|--------|---------------------------|---------------|------------------|------|---------------------------|------------------|------------------|------|---------------------------|---------------|------------------|
| | | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 |
| | | Date | Amount (Foreign Currency) | Exchange Rate | Amount (Rs Lakh) | Date | Amount (Foreign Currency) | Exchange Rate | Amount (Rs Lakh) | Date | Amount (Foreign Currency) | Exchange Rate | Amount (Rs Lakh) |
| | At the date of | | | | | | | | | | | | |
| | A.1 Infusion ² | | | | | | | | | | | | |
| | 2 | | | | | | | | | | | | |
| | 3 | | | | | | | | | | | | |

Note:

1. Name of the currency to be mentioned e.g. US\$, DM, etc.

2. In case of equity infusion more than once during the year, Exchange rate at the date of each infusion to be given

(Petitioner)



Details of additional RoE

Name of the Petitioner: _____
 Name of the Region: _____
 Name of the Project: _____
 Name of the Transmission Element or
 Communication system _____

| Project/ Element | Completion Time as per Investment approval | | | Actual Completion time | | | Qualifying time schedule(as per regulation) (in months) |
|---------------------|---|----------------------------|--------|------------------------|----------------------|--------|---|
| | Start Date | Scheduled COD (Date) | Months | Start Date | Actual COD (Date) | Months | |
| 1 | | | | | | | |
| 2 | | | | | | | |
| 3 | | | | | | | |
| 4 | | | | | | | |
| | | | | | | | |
| | | | | | | | |

(Petitioner)

Details of Allocation of corporate loans to various transmission elements

Name of the Petitioner:

Name of the Region:

Name of the Project:

Name of the Transmission Element or
Communication system

| Particulars | Package1 | Package2 | Package3 | Package4 | Package5 | Remarks |
|--|---|----------|----------|----------|----------|---------|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
| Source of Loan ¹ | | | | | | |
| Currency ² | | | | | | |
| Amount of Loan sanctioned | | | | | | |
| Amount of Gross Loan drawn upto 31 st . March of the preceding financial year of the control period /COD 3,4,5,13,15 | | | | | | |
| Interest Type ⁶ | | | | | | |
| Fixed Interest Rate, if applicable | | | | | | |
| Base Rate, if Floating Interest ⁷ | | | | | | |
| Margin, if Floating Interest ⁸ | | | | | | |
| Are there any Caps/Floor ⁹ | Yes/No | Yes/No | Yes/No | Yes/No | Yes/No | |
| If above is yes,specify caps/floor | | | | | | |
| Moratorium Period ¹⁰ | | | | | | |
| Moratorium effective from | | | | | | |
| Repayment Period ¹¹ | | | | | | |
| Repayment effective from | | | | | | |
| Repayment Frequency ¹² | | | | | | |
| Repayment Instalment ^{13,14} | | | | | | |
| Base Exchange Rate ¹⁶ | | | | | | |
| Are foreign currency loan hedged? | | | | | | |
| If above is yes, specify details ¹⁵ | | | | | | |
| | | | | | | |
| | Distribution of loan packages to various transmission elements/ Communication system | | | | | |
| Name of the Projects | | | | | | Total |
| | | | | | | |
| Transmission element 1/ | | | | | | |

| | | | | | | |
|--|--|--|--|--|--|--|
| Communication system 1 | | | | | | |
| Transmission element 2 / Communication system 2 | | | | | | |
| Transmission element 3/ Communication system 3 and so on | | | | | | |

Note:

1. Source of loan means the agency from whom the loan has been taken such as WB, ADB, WMB, PNB, SBI, ICICI, IFC, PFC etc.
2. Currency refers to currency of loan such as US\$, DM, Yen, Indian Rupee etc.
3. Details are to be submitted as on 31.03.2014 for existing assets and as on COD for the remaining assets.
4. Where the loan has been refinanced, details in the Form is to be given for the loan refinanced. However, the details of the original loan is to be given separately in the same form.
5. If the Tariff in the petition is claimed separately for various transmission elements/ Communication system, details in the Form is to be given separately for all the transmission elements/ Communication system in the same form.
6. Interest type means whether the interest is fixed or floating.
7. Base rate means the base as PLR, LIBOR etc. over which the margin is to be added. Applicable base rate on different dates from the date of drawl may also be enclosed.
8. Margin means the points over and above the floating rate.
9. At times caps/floor are put at which the floating rates are frozen. If such a condition exists, specify the limits.
10. Moratorium period refers to the period during which loan servicing liability is not required.
11. Repayment period means the repayment of loan such as 7 years, 10 years, 25 years etc.
12. Repayment frequency means the interval at which the debt servicing is to be done such as monthly, quarterly, half yearly, annual, etc.
13. Where there is more than one drawal/repayment for a loan, the date & amount of each drawal/repayment may also be given separately
14. If the repayment installment amount and repayment date cannot be worked out from the data furnished above, the repayment schedule to be furnished separately.
15. In case of Foreign loan, date of each drawal & repayment of principal and interest along with exchange rate at that date may be given.
16. Base exchange rate means the exchange rate as on 31.03.2004 or as on COD whichever is later.
17. In case of hedging, specify details like type of hedging, period of hedging, cost of hedging, etc.
18. At the time of truing up rate of interest with relevant reset date (if any) to be furnished separately
19. At the time of truing up provide details of refinancing of loans considered earlier. Details such as date on which refinancing done, amount of refinanced loan, terms and conditions of refinanced loan, financing and other charges incurred for refinancing etc.

(Petitioner)



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Details of Project Specific Loans

Name of the Petitioner:

Name of the Region:

Name of the Project:

Name of the Transmission Element or
Communication system:

| Particulars | Package1 | Package2 | Package3 | Package4 | Package5 | Package6 |
|---|----------|----------|----------|----------|----------|----------|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
| Source of Loan ¹ | | | | | | |
| Currency ² | | | | | | |
| Amount of Loan sanctioned | | | | | | |
| Amount of Gross Loan drawn upto 31.03.2014/COD 3,4,5,13,15 | | | | | | |
| Interest Type ⁶ | | | | | | |
| Fixed Interest Rate, if applicable | | | | | | |
| Base Rate, if Floating Interest ⁷ | | | | | | |
| Margin, if Floating Interest ⁸ | | | | | | |
| Are there any Caps/Floor ⁹ | Yes/No | Yes/No | Yes/No | Yes/No | Yes/No | Yes/No |
| If above is yes, specify caps/floor | | | | | | |
| Moratorium Period ¹⁰ | | | | | | |
| Moratorium effective from | | | | | | |
| Repayment Period ¹¹ | | | | | | |
| Repayment effective from | | | | | | |
| Repayment Frequency ¹² | | | | | | |
| Repayment Instalment ^{13,14} | | | | | | |
| Base Exchange Rate ¹⁶ | | | | | | |
| Are foreign currency loan hedged? | | | | | | |
| If above is yes, specify details ¹⁷ | | | | | | |

Note:

1. Source of loan means the agency from whom the loan has been taken such as WB, ADB, WMB, PNB, SBI, ICICI, IFC, PFC etc.
2. Currency refers to currency of loan such as US\$, DM, Yen, Indian Rupee etc.
3. Details are to be submitted as on 31.03.2014 for existing assets and as on COD for the remaining assets.
4. Where the loan has been refinanced, details in the Form is to be given for the loan refinanced. However, the details of the original loan is to be given separately in the same form.
5. If the Tariff in the petition is claimed separately for various transmission system/transmission elements/ Communication system, details in the Form is to be given separately for all the transmission system/transmission element/ Communication system in the same form.
6. Interest type means whether the interest is fixed or floating.
7. Base rate means the base as PLR, LIBOR etc. over which the margin is to be added. Applicable base rate on different dates from the date of drawl may also be enclosed.
8. Margin means the points over and above the floating rate.
9. At times caps/floor are put at which the floating rates are frozen. If such a condition exists, specify the limits.
10. Moratorium period refers to the period during which loan servicing liability is not required.
11. Repayment period means the repayment of loan such as 7 years, 10 years, 25 years etc.
12. Repayment frequency means the interval at which the debt servicing is to be done such as monthly, quarterly, half yearly, annual, etc.
13. Where there is more than one drawal/repayment for a loan, the date & amount of each drawal/repayment may also be given separately
14. If the repayment installment amount and repayment date cannot be worked out from the data furnished above, the repayment schedule to be furnished separately.
15. In case of Foreign loan, date of each drawal & repayment of principal and interest along with exchange rate at that date may be given.
16. Base exchange rate means the exchange rate as on 31.03.2004 or as on COD whichever is later.
17. In case of hedging, specify details like type of hedging, period of hedging, cost of hedging, etc.
18. At the time of truing up rate of interest with relevant reset date (if any) to be furnished separately
19. At the time of truing up provide details of refinancing of loans considered earlier. Details such as date on which refinancing done, amount of refinanced loan, terms and conditions of refinanced loan, financing and other charges incurred for refinancing etc.

(Petitioner)



Details of Foreign loans

(Details only in respect of loans applicable to the Asset/Element under Petition)

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or
Communication system: _____

Exchange Rate at COD/31.03.2004 whichever is later _____

| Sl. N | Financial Year | Year 1 | | | | Year 2 and so on | | | |
|------------------------------|---------------------------------------|---------------------------|---------------|------------------|------|---------------------------|---------------|------------------|--|
| o. (Starting from COD) | | | | | | | | | |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | |
| Particulars | Date | Amount (Foreign Currency) | Exchange Rate | Amount (Rs Lakh) | Date | Amount (Foreign Currency) | Exchange Rate | Amount (Rs Lakh) | |
| Currency1¹ | | | | | | | | | |
| A. | At the date | | | | | | | | |
| 1 | of Drawl ² | | | | | | | | |
| 2 | Scheduled repayment date of | | | | | | | | |
| 3 | principal Scheduled payment date of | | | | | | | | |
| 4 | interest At the end of Financial year | | | | | | | | |
| B | In case of Hedging ³ | | | | | | | | |
| 1 | At the date of hedging | | | | | | | | |
| 2 | Period of hedging | | | | | | | | |
| 3 | Cost of hedging | | | | | | | | |
| Currency2¹ | | | | | | | | | |
| A. | At the date | | | | | | | | |

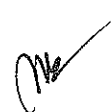
| Sl. No. | Financial Year (Starting from COD) | Year 1 | | | | Year 2 and so on | | | |
|---------|--|-------------|------|---------------------------|----------------|------------------|------|---------------------------|----------------|
| | | 1 | 2 | 3 | 4 ^s | 5 | 6 | 7 | 8 ^s |
| | | Particulars | Date | Amount (Foreign Currency) | Exchange Rate | Amount (Rs Lakh) | Date | Amount (Foreign Currency) | Exchange Rate |
| | | | | | | | | | |
| 1 | of Drawl ² | | | | | | | | |
| 2 | Scheduled repayment date of principal | | | | | | | | |
| 3 | Scheduled payment date of interest | | | | | | | | |
| 4 | At the end of Financial year | | | | | | | | |
| B | In case of Hedging ³ | | | | | | | | |
| 1 | At the date of hedging | | | | | | | | |
| 2 | Period of hedging | | | | | | | | |
| 3 | Cost of hedging | | | | | | | | |
| | | | | | | | | | |
| | Currency ³ ¹ & so on | | | | | | | | |
| A. | At the date | | | | | | | | |
| 1 | of Drawl ² | | | | | | | | |
| 2 | Scheduled repayment date of principal | | | | | | | | |
| 3 | Scheduled payment date of interest | | | | | | | | |
| 4 | At the end of Financial | | | | | | | | |

| Sl. No. | Financial Year (Starting from COD) | Year 1 | | | | Year 2 and so on | | | |
|---------|------------------------------------|-------------|------|---------------------------|----------------|------------------|------|---------------------------|----------------|
| | | 1 | 2 | 3 | 4 ^s | 5 | 6 | 7 | 8 ^s |
| | | Particulars | Date | Amount (Foreign Currency) | Exchange Rate | Amount (Rs Lakh) | Date | Amount (Foreign Currency) | Exchange Rate |
| | | | | | | | | | |
| | year | | | | | | | | |
| B | In case of Hedging ^s | | | | | | | | |
| 1 | At the date of hedging | | | | | | | | |
| 2 | Period of hedging | | | | | | | | |
| 3 | Cost of hedging | | | | | | | | |

1. Name of the currency to be mentioned e.g. US\$, DM, etc.
2. In case of more than one drawl during the year, Exchange rate at the date of each drawl to be given
3. Furnish details of hedging, in case of more than one hedging during the year or part hedging, details of each hedging are to be given.

NOTE

In case of refinancing similar details with supporting documents to be furnished^s -
Exchange rate at COD/31.03.2004 whichever is later.



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Malviya Nagar, New Delhi -110017.

Calculation of Weighted Average Rate of Interest on Actual Loans¹

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or
Communication system _____

(Amount in Rs. Lakh)

| Particulars | Existing 2013-14 | 2014- 15 | 2015- 16 | 2016- 17 | 2017- 18 | 2018- 19 |
|---|---------------------|-------------|-------------|-------------|-------------|-------------|
| Loan-1 | | | | | | |
| Gross loan - Opening | | | | | | |
| Cumulative repayments of Loans upto previous year | | | | | | |
| Net loan - Opening | | | | | | |
| Add: Drawal(s) during the Year | | | | | | |
| Less: Repayment (s) of Loans during the year | | | | | | |
| Net loan - Closing | | | | | | |
| Average Net Loan | | | | | | |
| Rate of Interest on Loan on annual basis | | | | | | |
| Interest on loan | | | | | | |
| <i>Loan repayment effective from (date to be indicated)</i> | | | | | | |
| | | | | | | |
| Loan-2 | | | | | | |
| Gross loan - Opening | | | | | | |
| Cumulative repayments of Loans upto previous year | | | | | | |
| Net loan - Opening | | | | | | |
| Add: Drawal(s) during the Year | | | | | | |
| Less: Repayment (s) of Loans during the year | | | | | | |
| Net loan - Closing | | | | | | |
| Average Net Loan | | | | | | |
| Rate of Interest on Loan on annual basis | | | | | | |
| Interest on loan | | | | | | |
| <i>Loan repayment effective from (date to be indicated)</i> | | | | | | |
| | | | | | | |
| Loan-3 and so on | | | | | | |
| Gross loan - Opening | | | | | | |

| Particulars | Existing 2013-14 | 2014- 15 | 2015- 16 | 2016- 17 | 2017- 18 | 2018- 19 |
|---|---------------------|-------------|-------------|-------------|-------------|-------------|
| Cumulative repayments of Loans upto previous year | | | | | | |
| Net loan - Opening | | | | | | |
| Add: Drawal(s) during the Year | | | | | | |
| Less: Repayment (s) of Loans during the year | | | | | | |
| Net loan - Closing | | | | | | |
| Average Net Loan | | | | | | |
| Rate of Interest on Loan on annual basis | | | | | | |
| Interest on loan | | | | | | |
| <i>Loan repayment effective from (date to be indicated)</i> | | | | | | |
| | | | | | | |
| Total Loan | | | | | | |
| Gross loan - Opening | | | | | | |
| Cumulative repayments of Loans upto previous year | | | | | | |
| Net loan - Opening | | | | | | |
| Add: Drawal(s) during the Year | | | | | | |
| Less: Repayment (s) of Loans during the year | | | | | | |
| Net loan - Closing | | | | | | |
| Average Net Loan | | | | | | |
| Interest on loan | | | | | | |
| Weighted average Rate of Interest on Loans | | | | | | |

Note:

1. In case of Foreign Loans, the calculations in Indian Rupees is to be furnished as per Form 9(D). However, the calculation in original currency is also to be furnished separately in the same form.
2. In case of already commissioned combined assets the details may be provided asset wise as well as combined.
3. Details of Financing Charges.

(Petitioner)



Loans in Foreign Currency

Name of the Petitioner:

Name of the Region:

Name of the Project:

Name of the Transmission Element or
Communication system

| Particulars | Existing 2013-14 | 2014- 15 | 2015- 16 | 2016- 17 | 2017- 18 | 2018- 19 |
|---|---------------------|-------------|-------------|-------------|-------------|-------------|
| Foreign Loan-1 (USD in Lakh) Exchange rate | | | | | | |
| Gross loan - Opening | | | | | | |
| Cumulative repayments of Loans upto previous year | | | | | | |
| Net loan - Opening | | | | | | |
| Add: Drawal(s) during the Year | | | | | | |
| Less: Repayment (s) of Loans during the year | | | | | | |
| Net loan - Closing | | | | | | |
| Average Net Loan | | | | | | |
| Rate of Interest on Loan on annual basis | | | | | | |
| Interest on loan | | | | | | |
| <i>Loan repayment effective from (date to be indicated)</i> | | | | | | |
| | | | | | | |
| Foreign Loan-2 (USD in Lakh) Exchange rate | | | | | | |
| Gross loan - Opening | | | | | | |
| Cumulative repayments of Loans upto previous year | | | | | | |
| Net loan - Opening | | | | | | |
| Add: Drawal(s) during the Year | | | | | | |
| Less: Repayment (s) of Loans during the year | | | | | | |
| Net loan - Closing | | | | | | |
| Average Net Loan | | | | | | |
| Rate of Interest on Loan on annual basis | | | | | | |
| Interest on loan | | | | | | |
| <i>Loan repayment effective from (date to be indicated)</i> | | | | | | |
| | | | | | | |
| Foreign Loan-3 (USD in Lakh) Exchange rate | | | | | | |
| | | | | | | |
| | | | | | | |

(Petitioner)

Calculation of Interest on Normative Loan

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or
Communication system _____

(Amount in Rs. Lakh)

| Particulars | Existing 2013-14 | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 |
|--|---------------------|---------|---------|---------|---------|---------|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
| Gross Normative loan - Opening | | | | | | |
| Cumulative repayment of Normative Loan upto previous year | | | | | | |
| Net Normative loan - Opening | | | | | | |
| Increase/Decrease due to ACE/de-capitalization during the Year | | | | | | |
| Repayments of Normative Loan during the year | | | | | | |
| Net Normative loan - Closing | | | | | | |
| Average Normative Loan | | | | | | |
| Weighted average Rate of Interest of actual Loans | | | | | | |
| Interest on Normative loan | | | | | | |

Note:

1. At the time of true-up net savings as a result of refinancing of loans may be provided along with adjustments of sharing.

(Petitioner)



Calculation of Depreciation Rate

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or
Communication system: _____

(Amount in Rs. Lakh)

| Sl. no. | Name of the Assets ¹ | Gross Block as on 31.03.2014 or as on COD, whichever is later and subsequently for each year thereafter upto 31.3.19 | Depreciation Rates as per CERC's Depreciation Rate Schedule | Depreciation Amount for each year up to 31.03.19 |
|---------|--|--|---|--|
| | 1 | 2 | 3 | 4= Col.2 X Col.3 |
| 1 | Land | | | |
| 2 | Building | | | |
| 3 | and so on | | | |
| 4 | | | | |
| 5 | | | | |
| 6 | | | | |
| 7 | | | | |
| 8 | | | | |
| 9 | | | | |
| 10 | | | | |
| 18 | | | | |
| 19 | | | | |
| 20 | | | | |
| 21 | | | | |
| 22 | | | | |
| 23 | | | | |
| 24 | | | | |
| 25 | | | | |
| | TOTAL | | | |
| | Weighted Average Rate of Depreciation (%) | | | |

Note:

1. Name of the Assets should conform to the description of the assets mentioned in Depreciation Schedule appended to the Notification.

(Petitioner)

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Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017



Statement of Depreciation

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or
Communication system: _____

(Amount in Rs. Lakh)

| Sl. No. (1) | Particulars (2) | 2013-14 (3) | 2014-15 (4) | 2015-16 (5) | 2016-17 (6) | 2017-18 (7) | 2018-19 (8) |
|----------------|--|----------------|----------------|----------------|----------------|----------------|----------------|
| 1 | Opening Capital Cost | | | | | | |
| 2 | Closing Capital Cost | | | | | | |
| 3 | Average Capital Cost | | | | | | |
| 4 | Freehold land | | | | | | |
| 5 | Rate of depreciation | | | | | | |
| 6 | Depreciable value | | | | | | |
| 7 | Balance useful life at the beginning of the period | | | | | | |
| 8 | Remaining depreciable value | | | | | | |
| 9 | Depreciation (for the period) | | | | | | |
| 10 | Depreciation (annualised) | | | | | | |
| 11 | Cumulative depreciation at the end of the period | | | | | | |
| 12 | Less: Cumulative depreciation adjustment on account of de-capitalisation | | | | | | |
| 13 | Net Cumulative depreciation at the end of the period | | | | | | |

1. In case of details of FERV and AAD, give information for the applicable period.

(Petitioner)

COD

[illegible]

Calculation of Interest on Working Capital

Name of the Petitioner:

Name of the Region:

Name of the Project:

Name of the Transmission Element or
Communication system

| Sl. No. | Particulars | Existing 2013-14 | 2014-15 | 2015-16 | 2016-17 | 2017-18 |
|---------|-----------------------------|------------------|---------|---------|---------|---------|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
| | | | | | | |
| 1 | O & M Expenses | | | | | |
| 2 | Maintenance Spares | | | | | |
| 3 | Receivables | | | | | |
| 4 | Total Working Capital | | | | | |
| 5 | Rate of Interest | | | | | |
| 6 | Interest on Working Capital | | | | | |

(Petitioner)

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Malviya Nagar, New Delhi -110017



Details of time over run

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project/element: _____

| S.No | Description of Activity/Works/Service | Original Schedule (As per Planning) | | Actual Schedule (As per Actual) | | Time Over-Run Months | Agency responsible and whether such time over run was beyond the control of the Transmission Licensee | Reasons for delay | Other Activity affected (Mention Sr.No of activity affected) |
|------|---------------------------------------|-------------------------------------|-----------------|---------------------------------|-----------------|-------------------------|---|-------------------|---|
| | | Start Date | Completion Date | Start Date | Completion Date | | | | |
| 1 | | | | | | | | | |
| 2 | | | | | | | | | |
| 3 | | | | | | | | | |
| 4 | | | | | | | | | |
| 5 | | | | | | | | | |
| 6 | | | | | | | | | |
| 7 | | | | | | | | | |
| 8 | | | | | | | | | |
| 9 | | | | | | | | | |
| ... | | | | | | | | | |

1. Delay on account of each reason in case of time overrun should be quantified and substantiated with necessary documents and supporting workings.

(Petitioner)

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Malviya Nagar, New Delhi -110017

Incidental Expenditure during Construction

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or
Communication system _____

Date of Commercial Operation _____

(Amount in Rs. Lakh)

| Sl. No. | Parameters | Year - 1 | Year - 2 | Year 3 | Year-4 | Year-5 |
|---------|--|----------|----------|--------|--------|--------|
| A | Expenses: | | | | | |
| 1 | Employees' Remuneration & Benefits | | | | | |
| 2 | Finance Costs | | | | | |
| 3 | Water Charges | | | | | |
| 4 | Communication Expenses | | | | | |
| 5 | Power Charges | | | | | |
| 6 | Other Office and Administrative Expenses | | | | | |
| 7 | Others (Please Specify Details) | | | | | |
| 8 | Other pre-Operating Expenses | | | | | |
| | | | | | | |
| B | Total Expenses | | | | | |
| | Less: Income from sale of tenders | | | | | |
| | Less: Income from guest house | | | | | |

| | | | | | | |
|--|--|--|--|--|--|--|
| | | | | | | |
| | Less: Income recovered from Contractors | | | | | |
| | Less: Interest on Deposits | | | | | |
| | | | | | | |

Note: IEDC should be duly reconciled with the corresponding figures of Auditor's Certificate.

(Petitioner)

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Malviya Nagar, New Delhi -110017



Draw Down Schedule for Calculation of IDC & Financing Charges

Name of the Petitioner: _____

Name of the Region: _____

Name of the Project: _____

Name of the Transmission Element or
Communication system _____

| Sl. No. | Draw Down | Quarter 1 | | | Quarter 2 | | | Quarter n (COD) | | |
|--------------|---------------------------------|-----------------------------|---------------------------------|-----------------------------------|-----------------------------|---------------------------------|-----------------------------------|-----------------------------|---------------------------------|-----------------------------------|
| | Particulars | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs. Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs. Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs. Lakh) |
| 1 | Loans | | | | | | | | | |
| 1.1 | Foreign Loans | | | | | | | | | |
| | | | | | | | | | | |
| 1.1.1 | 1 Foreign Loan | | | | | | | | | |
| | Draw down Amount | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing charges | | | | | | | | | |
| | Foreign Exchange Rate Variation | | | | | | | | | |
| | Hedging Cost | | | | | | | | | |
| | | | | | | | | | | |
| 1.1.2 | 2 Foreign Loan | | | | | | | | | |
| | Draw down Amount | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing charges | | | | | | | | | |
| | Foreign Exchange Rate Variation | | | | | | | | | |
| | Hedging Cost | | | | | | | | | |
| | | | | | | | | | | |



| Sl. No. | Draw Down | Quarter 1 | | | Quarter 2 | | | Quarter n (COD) | | |
|---------|---------------------------------|-----------------------------|---------------------------------|-----------------------------------|-----------------------------|---------------------------------|-----------------------------------|-----------------------------|---------------------------------|-----------------------------------|
| | Particulars | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs. Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs. Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs. Lakh) |
| 1.1.3 | Foreign Loan | | | | | | | | | |
| | Draw down Amount | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing charges | | | | | | | | | |
| | Foreign Exchange Rate Variation | | | | | | | | | |
| | Hedging Cost | | | | | | | | | |
| | | | | | | | | | | |
| 1.1.4 | -- | | | | | | | | | |
| | -- | | | | | | | | | |
| | -- | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| 1.1 | Total Foreign Loans | | | | | | | | | |
| | Draw down Amount | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing charges | | | | | | | | | |
| | Foreign Exchange Rate Variation | | | | | | | | | |
| | Hedging Cost | | | | | | | | | |
| | | | | | | | | | | |
| 1.2 | Indian Loans | | | | | | | | | |
| | | | | | | | | | | |
| 1.2.1 | Indian Loan ¹ | | | | | | | | | |
| | Draw down Amount | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing charges | | | | | | | | | |
| | | | | | | | | | | |

| Sl. No. | Draw Down | Quarter 1 | | | Quarter 2 | | | Quarter n (COD) | | |
|---------|---------------------------------|-----------------------------|---------------------------------|-----------------------------------|-----------------------------|---------------------------------|-----------------------------------|-----------------------------|---------------------------------|-----------------------------------|
| | Particulars | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs. Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs. Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs. Lakh) |
| 1.2.2 | Indian Loan ⁴ | | | | | | | | | |
| | Draw down Amount | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing charges | | | | | | | | | |
| | | | | | | | | | | |
| 1.2.3 | Indian Loan ⁵ | | | | | | | | | |
| | Draw down Amount | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing charges | | | | | | | | | |
| | | | | | | | | | | |
| 1.2.4 | -- | | | | | | | | | |
| | -- | | | | | | | | | |
| | -- | | | | | | | | | |
| | | | | | | | | | | |
| 1.2 | Total Indian Loans | | | | | | | | | |
| | Draw down Amount | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing charges | | | | | | | | | |
| | | | | | | | | | | |
| 1 | Total of Loans drawn | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing charges | | | | | | | | | |
| | Foreign Exchange Rate Variation | | | | | | | | | |
| | Hedging Cost | | | | | | | | | |
| | | | | | | | | | | |
| 2 | Equity | | | | | | | | | |
| | | | | | | | | | | |
| 2.1 | Foreign | | | | | | | | | |

| Sl. No. | Draw Down | Quarter 1 | | | Quarter 2 | | | Quarter n (COD) | | |
|---------|-----------------------|-----------------------------|---------------------------------|-----------------------------------|-----------------------------|---------------------------------|-----------------------------------|-----------------------------|---------------------------------|-----------------------------------|
| | Particulars | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs. Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs. Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs. Lakh) |
| | equity drawn | | | | | | | | | |
| | | | | | | | | | | |
| 2.2 | Indian equity drawn | | | | | | | | | |
| | | | | | | | | | | |
| | Total equity deployed | | | | | | | | | |

Note:

1. Drawl of debt and equity shall be on pari- passu basis quarter wise to meet the commissioning schedule. Drawl of higher equity in the beginning is permissible
2. Applicable interest rates including reset dates used for above computation may be furnished separately
3. In case of multi element project details of capitalization ratio used to be furnished.

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Breakup of Initial Spares

Name of the Petitioner:

Name of the Region:

Name of the Project:

Name of the Transmission Element or
Communication system

(Amount in Rs. Lakh)

| Particulars | Plant & Machinery Cost (excluding IDC and IEDC) Upto DOCO | IDC | IEDC | Year wise additional Capital expenditure up to cut off date | | | Total Cost | Initial spares claimed | |
|--|---|-----|------|---|--------|--------|------------|------------------------|---|
| | | | | Year -1 | Year-2 | Year-3 | | Amount | % |
| Transmission Line | | | | | | | | | |
| Transmission Substation (Green Field/Brown Field) | | | | | | | | | |
| PLCC | | | | | | | | | |
| Series Compensation devices | | | | | | | | | |
| HVDC Station | | | | | | | | | |
| Gas Insulated Substation | | | | | | | | | |
| Communication System | | | | | | | | | |

Note:

1. Details to be furnished as per Regulation 13.
2. Corresponding figures of initial spares included in each transmission system may be provided separately.

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Other Income as on COD

Name of the Petitioner:

Name of the Region:

Name of the Project:

Name of the Transmission Element or
Communication system:

(Amount in Rs. Lakh)

| Sl. No. | Parameters | Existing | Ensuing Years | | | | |
|------------|--|----------|---------------|--|--|--|--|
| | | | | | | | |
| 1 | Interest on Loans and advances | | | | | | |
| 2 | Income from sale of scrap | | | | | | |
| 3 | Misc. receipts (Please Specify Details) | | | | | | |
| ... | ... | | | | | | |
| ... | ... (add) | | | | | | |

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FORM- 15

Actual cash expenditure

Name of the Petitioner:

Name of the Region:

Name of the Project:

Name of the Transmission Element or
Communication system

(Amount in Rs. Lakh)

| | Quarter-I | Quarter-II | Quarter-III | Quarter-n (COD) |
|----------------------------------|-----------|------------|-------------|--------------------|
| Payment to contractors/suppliers | | | | |
| % of fund deployment | | | | |

Note: If there is variation between payment and fund deployment justification need to be furnished

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Employee Expenses

Name of the Petitioner

Name of the Generating Station

| Sl.no. | Particulars | PY | CY | EY |
|--------|---|----|----|----|
| | | | | |
| 1 | Salaries | | | |
| 2 | Additional Pay | | | |
| 3 | Dearness Allowance (DA) | | | |
| 4 | Other Allowances & Relief | | | |
| 5 | Addl. Pay & C.Off Encashment | | | |
| 6 | Interim Relief / Wage Revision | | | |
| 7 | Honorarium/Overtime | | | |
| 8 | Bonus/ Exgratia To Employees | | | |
| 9 | Medical Expenses Reimbursement | | | |
| 10 | Travelling Allowance(Conveyance Allowance) | | | |
| 11 | Leave Travel Assistance | | | |
| 12 | Earned Leave Encashment | | | |
| 13 | Payment Under Workman's Compensation And Gratuity | | | |
| 14 | Subsidised Electricity To Employees | | | |
| 15 | Any Other Item | | | |
| 16 | Staff Welfare Expenses | | | |
| 17 | Apprentice And Other Training Expenses | | | |
| 18 | Contribution To Terminal Benefits | | | |
| 19 | Provident Fund Contribution | | | |
| 20 | Provision for PF Fund | | | |
| 21 | Any Other Items | | | |
| | Total Employee Costs | | | |
| 22 | Less: Employee expenses capitalised | | | |
| | Net Employee expenses (D)-(E) | | | |

| | |
|----|--------------------------|
| PY | Previous Year- Actual |
| CY | Current Year - Estimated |
| EY | Ensuing Year - Projected |

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Employee Strength

Name of the Petitioner

Name of the Generating Station

| | Particulars | Opening Balance | Retired/Deaths | Addition | Closing balance | Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available |
|---|-------------|-----------------|----------------|----------|-----------------|--|
| | | | | | | |
| A | FRSR | | | | | |
| | ... | | | | | |
| | Non-FRSR | | | | | |
| | ... | | | | | |
| | | | | | | |
| | | | | | | |

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A & G Expenses

Name of the Petitioner _____

Name of the Generating Station _____

| Sl. No. | Particulars | PY | CY | EY |
|---------|--|----|----|----|
| 1 | Lease/ Rent | | | |
| 2 | Insurance | | | |
| 3 | Revenue Stamp Expenses Account | | | |
| 4 | Telephone, Postage, Telegram & Telex Charges | | | |
| 5 | Incentive & Award To Employees/Outsiders | | | |
| 6 | Consultancy Charges | | | |
| 7 | Technical Fees | | | |
| 8 | Other Professional Charges | | | |
| 9 | Conveyance And Travelling | | | |
| 10 | License and Registration Fees | | | |
| 11 | Vehicle Expenses | | | |
| 12 | Security / Service Charges Paid To Outside Agencies | | | |
| 13 | Fee And Subscriptions Books And Periodicals | | | |
| 14 | Printing And Stationery | | | |
| 15 | Advertisement Expenses | | | |
| 16 | Contributions/Donations To Outside Institutes / Associations | | | |
| 17 | Electricity Charges To Offices | | | |
| 18 | Water Charges | | | |
| 19 | Entertainment Charges | | | |
| 20 | Miscellaneous Expenses | | | |
| 21 | Legal Charges | | | |
| 22 | Auditor's Fee | | | |
| 23 | Freight On Capital Equipments | | | |
| 24 | Purchase Related Advertisement Expenses | | | |
| 25 | Vehicle Running Expenses Truck / Delivery Van | | | |
| 26 | Vehicle Hiring Expenses Truck / Delivery Van | | | |
| 27 | Other Freight | | | |
| 28 | Transit Insurance | | | |
| 29 | Octroi | | | |
| 30 | Incidental Stores Expenses | | | |
| 31 | Fabrication Charges | | | |
| | Total A&G Expenses | | | |
| | Less: A&G Expenses Capitalised | | | |

| | | | | |
|----|-----------------------------|--|--|--|
| | Total A&G Expenses | | | |
| | | | | |
| PY | Previous Year- Actual | | | |
| CY | Current Year - Estimated | | | |
| EY | Ensuing Year - Projected | | | |



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Legal Expenses

Name of the Petitioner

Name of the Generating Station

| S.No. | Particulars | Case No. | Matter | Fees per Hearing | Total Fees | Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available |
|-------|-----------------------------|----------|--------|------------------|------------|--|
| | In Rs Crores | | | | | |
| A) | Cases Other than 142 before | | | | | |
| 1 | DERC | | | | | |
| 2 | APTEL | | | | | |
| 3 | High Court | | | | | |
| 4 | Supreme Court | | | | | |
| 5 | Others | | | | | |
| | | | | | | |
| | | | | | | |
| B) | Cases under 142 | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

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R & M Expenses

Name of the Petitioner

Name of the Generating Station

| | Particulars | PY | CY | EY |
|----|----------------------------------|----|----|----|
| 1 | Plant and Machinery | | | |
| 2 | Building | | | |
| 3 | Civil Works | | | |
| 4 | Hydraulic Works | | | |
| 5 | Lines, Cables Net Works etc. | | | |
| 6 | Vehicles | | | |
| 7 | Furniture and Fixtures | | | |
| 8 | Office Equipments | | | |
| 9 | Station Supplies | | | |
| 10 | Other Credits | | | |
| 11 | others* | | | |
| | Total | | | |
| 12 | Any other items (Capitalisation) | | | |
| | Total | | | |

| | |
|----|--------------------------|
| PY | Previous Year- Actual |
| CY | Current Year - Estimated |
| EY | Ensuing Year - Projected |


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**TARIFF FILING FORMS
(Generating Stations)**


FOR DETERMINATION OF TARIFF

Checklist of Forms and other information/ documents for tariff filing for
Generating Stations

| Form No. | Title of Tariff Filing Forms (Generating Stations) |
|-------------------|---|
| FORM- 1 | Summary Sheet |
| Form-1(I) | Statement showing claimed capital cost |
| Form-1(II) | Statement showing Return on Equity |
| FORM-2 | Plant Characteristics |
| FORM-3 | Normative parameters considered for tariff computations |
| FORM- 4 | Details of Foreign loans |
| FORM- 4A | Details of Foreign Equity |
| FORM-5 | Abstract of Admitted Capital Cost for the existing Projects |
| FORM-5A | Abstract of Capital Cost Estimates and Schedule of Commissioning for the New projects |
| FORM-5B | Break-up of Capital Cost for Coal/Lignite based projects |
| FORM-5C | Break-up of Capital Cost for Gas/Liquid fuel based Projects |
| FORM-5D | Break-up of Construction/Supply/Service packages |
| FORM-5E | Details of variables , parameters , optional package etc. for New Project |
| FORM-5Ei | In case there is cost over run |
| FORM-5Eii | In case there is time over run |
| FORM- 6 | Financial Package upto COD |
| FORM- 7 | Details of Project Specific Loans |
| FORM- 8 | Details of Allocation of corporate loans to various projects |
| FORM-9A | Statement of Additional Capitalisation after COD |
| FORM – 9B | Statement of Additional Capitalisation during fag end of the useful life of Project |
| FORM – 9Bi | Details of Assets De-capitalised during the period |
| FORM – 9C | Statement showing reconciliation of ACE claimed with the capital additions as per books |



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| Form No. | Title of Tariff Filing Forms (Thermal) |
|-------------------------------------|---|
| FORM- 9D | Statement of Capital cost |
| FORM- 9E | Statement of Capital Woks in Progress |
| FORM- 10 | Financing of Additional Capitalisation |
| FORM- 11 | Calculation of Depreciation |
| FORM- 12 | Statement of Depreciation |
| FORM- 13 | Calculation of Weighted Average Rate of Interest on Actual Loans |
| FORM- 13A | Calculation of Interest on Normative Loan |
| FORM- 13 B | Calculation of Interest on Working Capital |
| FORM- 13 C | Other Income as on COD |
| FORM- 13 D | Incidental Expenditure during Construction up to Scheduled COD and up to Actual COD |
| FORM- 13 E | Expenditure under different packages up to Scheduled COD and up to Actual COD |
| FORM- 14 | Draw Down Schedule for Calculation of IDC & Financing Charges |
| FORM- 14A | Actual cash expenditure |
| FORM-15 | Details/Information to be Submitted in respect of Fuel for Computation of Energy Charges ¹ |
| FORM-16 | Details/Information to be Submitted in respect of Capital Spares |
| FORM-17 | Liability Flow Statement |
| FORM-18 | Employee Expenses |
| FORM 18 (a) | Employee Strength |
| FORM-19 | A&G Expenses |
| FORM-20 | R&M Expenses |
| FORM-19 (a) | Legal Expenses |
| Form 21 | Variable Charge for Gas Power Plant |
| Other Information/ Documents | |
| Sl. No. | Information/Document |
| 1 | Certificate of incorporation, Certificate for Commencement of Business, Memorandum of Association, & Articles of Association (For New Station setup by a company making tariff application for the first time to CERC) |
| 2 | A. Station wise and Corporate audited Balance Sheet and Profit & Loss Accounts with all the Schedules & annexures on COD of the Station for the new station & for the relevant years. |


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| Form No. | Title of Tariff Filing Forms (Thermal) |
|----------|---|
| | B. Station wise and Corporate audited Balance Sheet and Profit & Loss Accounts with all the Schedules & annexures for the existing station for relevant years. |
| 3 | Copies of relevant loan Agreements |
| 4 | Copies of the approval of Competent Authority for the Capital Cost and Financial package. |
| 5 | Copies of the Equity participation agreements and necessary approval for the foreign equity. |
| 6 | Copies of the BPSA/PPA with the beneficiaries, if any |
| 7 | Detailed note giving reasons of cost and time over run, if applicable. List of supporting documents to be submitted: <ul style="list-style-type: none"> a. Detailed Project Report b. CPM Analysis c. PERT Chart and Bar Chart d. Justification for cost and time Overrun |
| 8 | Generating Company shall submit copy of Cost Audit Report along with cost accounting records, cost details, statements, schedules etc. for the Generating Unit wise /stage wise/Station wise/ and subsequently consolidated at Company level as submitted to the Govt. of India for first two years i.e. 2014-15 and 2015-16 at the time of mid-term true-up in 2016-17 and for balance period of tariff period 2014-19 at the time of final true-up in 2019-20. In case of initial tariff filing the latest available Cost Audit Report should be furnished. |
| 9 | Any other relevant information, (Please specify) |
| 10 | Reconciliation with Balance sheet of any actual additional capitalization and amongst stages of a generating station |

Note1: Electronic copy of the petition (in words format) and detailed calculation as per these formats (in excel format) and any other information submitted shall also be furnished in the form of CD/Floppy disc.


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Summary Sheet

Name of the Petitioner

Name of the Generating Station :

Place (Region/District/State):

| Sr.No. | Particulars | Unit | Existing | Ensuing Years | | | | |
|--------|--|---------|----------|---------------|---|---|---|---|
| | | | | 4 | 5 | 6 | 7 | 8 |
| 1 | 2 | | 3 | | | | | |
| 1.1 | Depreciation | Rs Lakh | | | | | | |
| 1.2 | Interest on Loan | Rs Lakh | | | | | | |
| 1.3 | Return on Equity | Rs Lakh | | | | | | |
| 1.4 | Interest on Working Capital | Rs Lakh | | | | | | |
| 1.5 | O & M Expenses (Actual) | Rs Lakh | | | | | | |
| 1.7 | Compensation Allowance (If applicable) | Rs Lakh | | | | | | |
| 1.8 | Special allowance (If applicable) | Rs Lakh | | | | | | |
| | Total | Rs Lakh | | | | | | |
| 2.1 | Landed Fuel Cost (Domestic : coal/gas /RLNG/liquid) | Rs/Tone | | | | | | |
| | (%) of Fuel Quantity | (%) | | | | | | |
| 2.2 | Landed Fuel Cost (Imported Coal) | Rs/Tone | | | | | | |
| | (%) of Fuel Quantity | (%) | | | | | | |
| 2.3 | Secondary fuel oil cost | Rs/Unit | | | | | | |
| | Energy Charge Rate ex-bus | Rs/Unit | | | | | | |
| | (Paise/kWh) | | | | | | | |


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Form-1(I) –Statement showing claimed capital cost:

| Sr. No. | Particulars | Ensuing Years | | | | |
|---------|--|---------------|-----|-----|-----|-----|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) |
| | Opening Capital Cost | | | | | |
| | Add: Addition during the year / period | | | | | |
| | Less: Decapitalisation during the year / period | | | | | |
| | Less: Liability Reversal during the year / period | | | | | |
| | Add: Liability Discharges during the year / period | | | | | |
| | Closing Capital Cost | | | | | |
| | Average Capital Cost | | | | | |

Form-1(II) –Statement showing Return on Equity:

| Sr. No. | Particulars | Ensuing Years | | | | |
|---------|--|---------------|-----|-----|-----|-----|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) |
| | Opening Equity | | | | | |
| | Add: Increase due to addition during the year / period | | | | | |
| | Less: Decrease due to de-capitalisation during the year / period | | | | | |
| | Less: Decrease due to reversal during the year / period | | | | | |
| | Add: Increase due to discharges during the year / period | | | | | |
| | Closing Equity | | | | | |
| | Average Equity | | | | | |
| | Rate of ROE | | | | | |
| | Return on Equity | | | | | |


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Plant Characteristics

Name of the Petitioner : _____

Name of the Generating Station : _____

| Unit(s)/Block(s)/Parameters | Unit-I | Unit-II | Unit-III | | | |
|--|--------|---------|----------|------|--|--|
| Installed Capacity (MW) | | | | | | |
| Schedule COD as per Investment Approval | | | | | | |
| Actual COD /Date of Taken Over (as applicable) | | | | | | |
| Pit Head or Non Pit Head | | | | | | |
| Name of the Boiler Manufacture | | | | | | |
| Name of Turbine Generator Manufacture | | | | | | |
| Main Steams Pressure at Turbine inlet (kg/Cm ²) abs ¹ | | | | | | |
| Main Steam Temperature at Turbine inlet (°C) ¹ | | | | | | |
| Reheat Steam Pressure at Turbine inlet (kg/Cm ²) ¹ | | | | | | |
| Reheat Steam Temperature at Turbine inlet (°C) ¹ | | | | | | |
| Main Steam flow at Turbine inlet under MCR condition (tons /hr) ² | | | | | | |
| Main Steam flow at Turbine inlet under VWO condition (tons /hr) ² | | | | | | |
| Unit Gross electrical output under MCR /Rated condition (MW) ² | | | | | | |
| Unit Gross electrical output under VWO condition (MW) ² | | | | | | |
| Guaranteed Design Gross Turbine Cycle Heat Rate (kCal/kWh) ³ | | | | | | |
| Conditions on which design turbine cycle heat rate guaranteed | | | | | | |
| % MCR | | | | | | |
| % Makeup Water Consumption | | | | | | |
| Design Capacity of Make up Water System | | | | | | |
| Design Capacity of Inlet Cooling System | | | | | | |
| Design Cooling Water Temperature (°C) | | | | | | |
| Back Pressure | | | | | | |
| Steam flow at super heater outlet under BMCR condition (tons/hr) | | | | | | |
| Steam Pressure at super heater outlet under BMCR condition) (kg/Cm ²) | | | | | | |
| Steam Temperature at super heater outlet under BMCR condition (°C) | | | | | | |
| Steam Temperature at Reheater outlet at BMCR condition (°C) | | | | | | |
| Design / Guaranteed Boiler Efficiency (%) ⁴ | | | | | | |
| Design Fuel with and without Blending of | | | | | | |

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| | | | | | | |
|---|--|--|--|--|--|--|
| domestic/imported coal | | | | | | |
| | | | | | | |
| Type of Cooling Tower | | | | | | |
| Type of cooling system ⁵ | | | | | | |
| Type of Boiler Feed Pump ⁶ | | | | | | |
| Fuel Details ⁷ | | | | | | |
| -Primary Fuel | | | | | | |
| -Secondary Fuel | | | | | | |
| -Alternate Fuels | | | | | | |
| Special Features/Site Specific Features ⁸ | | | | | | |
| Special Technological Features ⁹ | | | | | | |
| Environmental Regulation related features ¹⁰ | | | | | | |
| Any other special features | | | | | | |
| 1: At Turbine MCR condition. | | | | | | |
| 2: with 0% (Nil) make up and design Cooling water temperature | | | | | | |
| 3: at TMCR output based on gross generation, 0% (Nil) makeup and design Cooling water temperature. | | | | | | |
| 4: With Performance coal based on Higher Heating Value (HHV) of fuel and at BMCR) out put | | | | | | |
| 5: Closed circuit cooling, once through cooling, sea cooling, natural draft cooling, induced draft cooling etc. | | | | | | |
| 6: Motor driven, Steam turbine driven etc. | | | | | | |
| 7: Coal or natural gas or Naptha or lignite etc. | | | | | | |
| 8: Any site specific feature such as Merry-Go-Round, Vicinity to sea, Intake /makeup water systems etc. scrubbers etc. Specify all such features | | | | | | |
| 9: Any Special Technological feature like Advanced class FA technology in Gas Turbines, etc. | | | | | | |
| 10: Environmental Regulation related features like FGD, ESP etc., | | | | | | |
| Note 1: In case of deviation from specified conditions in Regulation, correction curve of manufacturer may also be submitted. | | | | | | |
| Note 2: Heat Balance Diagram has to be submitted along with above information in case of new stations. | | | | | | |
| Note 3: The Terms – MCR, BMCR, HHV, Performance coal, are as defined in CEA Technical Standards for Construction of Electric Plants and Electric Lines Regulations – 2010 notified by the Central Electricity Authority | | | | | | |
| Note 4: The copy of Certificate shall be submitted | | | | | | |

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FORM-3

Name of the Petitioner

Name of the Generating Station

| Particulars (1) | Unit (2) | Existing (3) | Year Ending March | | | |
|---|--------------|-----------------|-------------------|-----|-----|-----|
| | | | Ensuing Years | | | |
| | | | (4) | (5) | (6) | (7) |
| Base Rate of Return on Equity ⁴ | % | | | | | |
| Effective Tax Rate | % | | | | | |
| Target Availability | % | | | | | |
| Auxiliary Energy Consumption | % | | | | | |
| Gross Station Heat Rate | kCal/kWh | | | | | |
| Specific Fuel Oil Consumption | ml/kWh | | | | | |
| Cost of Coal/Lignite for WC ¹ | in Months | | | | | |
| Cost of Main Secondary Fuel Oil for WC ¹ | in Months | | | | | |
| Fuel Cost for WC ² | in Months | | | | | |
| Liquid Fuel Stock for WC ² | in Months | | | | | |
| O & M expenses | Rs lakh / MW | | | | | |
| Maintenance Spares for WC | % of O&M | | | | | |
| Receivables for WC | in Months | | | | | |
| Storage capacity of Primary fuel | MT | | | | | |
| SBI Base Rate | % | | | | | |
| Blending ratio of domestic coal/imported coal | | | | | | |

1. For Coal based/lignite based generating stations

2. For Gas Turbine/Combined Cycle generating stations duly taking into account the mode of operation on gas fuel and liquid fuel

3. Mention relevant date

4. Effective tax rate is to be computed in accordance with Regulation i.e. actual tax (or advance tax)/gross income, where gross income refers the profit before tax.

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Details of Foreign loans

(Details only in respect of loans applicable to the project under petition)

Name of the Petitioner

Name of the Generating Station

| Sl.No. | Financial Year (Starting from COD) | Year 1 | | | Year 2 | | | Year 3 and so on | | | | | | |
|--------|--|--------|------|---------------------------|------------------------|-------------------|------|---------------------------|------------------------|-------------------|------|---------------------------|------------------------|-------------------|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 |
| | | | Date | Amount (Foreign Currency) | Relevant Exchange Rate | Amount (Rs. Lakh) | Date | Amount (Foreign Currency) | Relevant Exchange Rate | Amount (Rs. Lakh) | Date | Amount (Foreign Currency) | Relevant Exchange Rate | Amount (Rs. Lakh) |
| | Currency ¹ | | | | | | | | | | | | | |
| A.1 | At the date of Drawl or at the beginning ² to the year of the period ² | | | | | | | | | | | | | |
| 2 | Scheduled repayment date of principal | | | | | | | | | | | | | |
| 3 | Scheduled payment date of interest | | | | | | | | | | | | | |
| 4 | At the end of Financial year | | | | | | | | | | | | | |
| B | In case of Hedging ³ | | | | | | | | | | | | | |
| 1 | At the date of hedging | | | | | | | | | | | | | |
| 2 | period of hedging | | | | | | | | | | | | | |
| 3 | Cost of hedging | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |

1. Name of the currency to be mentioned e.g. US\$ etc.

2. In case of more than one drawl during the year, Exchange rate at the date of each drawl to be given

3. Furnish details of hedging, in case of more than one hedging during the year or part hedging, details of each hedging are to be given

4. Tax (such as withholding tax) details as applicable including change in rates, date from which change effective etc. must be clearly indicated.

(Petitioner)



Details of Foreign Equity

(Details only in respect of Equity infusion if any applicable to the project under petition)

Name of the Petitioner

Name of the Generating Station

Exchange Rate on date/s of infusion

| Sl.No. | Financial Year | Year 1 | | | Year 2 | | | Year 3 and so on | | | | | |
|--------|--------------------------------------|--------|---------------------------------|------------------|-------------------------|------|---------------------------------|------------------|-------------------------|------|---------------------------------|------------------|-------------------------|
| | | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 |
| | | Date | Amount (Foreign Currency) | Exchange Rate | Amount (Rs. Lakh) | Date | Amount (Foreign Currency) | Exchange Rate | Amount (Rs. Lakh) | Date | Amount (Foreign Currency) | Exchange Rate | Amount (Rs. Lakh) |
| | Currency1 ¹ | | | | | | | | | | | | |
| A.1 | At the date of infusion ² | | | | | | | | | | | | |
| 2 | | | | | | | | | | | | | |
| 3 | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |

1. Name of the currency to be mentioned e.g. US\$ etc.

2. In case of equity infusion more than once during the year, Exchange rate at the date of each infusion to be given

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Abstract of Admitted Capital Cost for the existing Projects

Name of the Company

Name of the Power Station

| | | |
|---|----------------|-------------------|
| Last date of order of Commission for the project | | Date (DD-MM-YYYY) |
| Reference of petition no. in which the above order was passed | | Petition no. |
| Following details (whether admitted and /or considered) as on the last date of the period for which tariff is approved, in the above order by the Commission: | | |
| Capital cost | (Rs. in lakh)* | |
| Amount of un-discharged liabilities included in above (& forming part of admitted capital cost) | | |
| Amount of un-discharged liabilities corresponding to above admitted capital cost (but not forming part of admitted capital cost being allowed on cash basis) | | |
| Gross Normative Debt | | |
| Cumulative Repayment | | |
| Net Normative Debt | | |
| Cumulative Depreciation | | |
| Freehold land | | |

(Petitioner)

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Abstract of Capital Cost Estimates and Schedule of Commissioning for the New Projects

Name of the Petitioner _____

Name of the Generating Station _____

New Projects**Capital Cost Estimates**

| | | |
|---|---|--|
| Board of Director/ Agency approving the Capital cost estimates: | | |
| Date of approval of the Capital cost estimates: | | |
| Price level of approved estimates | Present Day Cost As on End of ____ Qtr. Of the year ____ | Completed Cost As on Scheduled COD of the Station |
| Foreign Exchange rate considered for the Capital cost estimates | | |
| | | |
| | Capital Cost excluding IDC, IEDC & FC | |
| Foreign Component, if any (In Million US \$ or the relevant Currency) | | |
| Domestic Component (Rs. Lakh) | | |
| | | |
| Capital cost excluding IDC, IEDC, FC, FERV & Hedging Cost (Rs. Cr) | | |
| | | |
| | IDC, IEDC, FC, FERV & Hedging Cost | |
| Foreign Component, if any (In Million US \$ or the relevant Currency) | | |
| Domestic Component (Rs. Lakh) | | |
| | | |
| Total IDC, IEDC, FC, FERV & Hedging Cost (Rs. Lakh) | | |
| Rate of taxes & duties considered | | |
| | | |
| | Capital cost Including IDC, IEDC, FC, FERV & Hedging Cost | |
| Foreign Component, if any (In Million US \$ or the relevant Currency) | | |
| Domestic Component (Rs. Lakh) | | |
| | | |


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| | |
|--|--|
| Capital cost Including IDC, IEDC& FC (Rs. Lakh) | |
| | |
| Schedule of Commissioning | |
| Scheduled COD of Unit-I/Block-I as per Investment Approval | |
| Scheduled COD of Unit-II/Block-II as per Investment Approval | |
| | |
| | |
| Scheduled COD of last Unit/Block | |
| | |

Note:

1. Copy of Investment approval letter should be enclosed
2. Details of Capital Cost are to be furnished as per FORM-5B or 5C as applicable
3. Details of IDC & Financing Charges are to be furnished as per FORM-14.

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Break-up of Capital Cost for New Coal/Lignite based projects

Name of the Petitioner

Name of the Generating Station

(Amount in Rs.
Lakh)

| S. No. | Break Down | As per Original Estimates as per Investment Approval | Actual Capital Expenditure as on COD/anticipated COD | Liabilities/ Provisions | Variation | Specific Reasons for Variation | Estimated Capital expenditure upto Cut-off date |
|--------|--|---|---|----------------------------|-------------|-----------------------------------|---|
| (1) | (2) | (3) | (4) | (5) | (3-4-5) (6) | (7) | (8) |
| | | | Actual Amount | | | | |
| 1 | Cost of Land & Site | | | | | | |
| 1.1 | Development Land* | | | | | | |
| 1.2 | Rehabilitation & Resettlement (R&R) | | | | | | |
| 1.3 | Preliminary Investigation & Site Development | | | | | | |
| | Total Land & Site Development | | | | | | |
| 2 | Plant & Equipment | | | | | | |
| 2.1 | Steam Generator Island | | | | | | |
| 2.2 | Turbine Generator Island | | | | | | |
| 2.3 | BOP Mechanical | | | | | | |
| 2.3.1 | External water | | | | | | |

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| Sl. No. (1) | Break Down (2) | As per Original Estimates as per Investment Approval(3) | Actual Capital Expenditure as on COD/anticipated COD (4) | Liabilities/ Provisions (5) | Variation (3-4-5) (6) | Specific Reasons for Variation (7) | Estimated Capital expenditure upto Cut-off date (8) |
|-------------|--|---|--|-----------------------------|-----------------------|------------------------------------|---|
| | | | Actual Amount | | | | |
| | supply system | | | | | | |
| 2.3.2 | CW system | | | | | | |
| 2.3.3 | DM water Plant | | | | | | |
| 2.3.4 | Clarification plant | | | | | | |
| 2.3.5 | Chlorination Plant | | | | | | |
| 2.3.6 | Fuel Handling & Storage system | | | | | | |
| 2.3.7 | Ash Handling System | | | | | | |
| 2.3.8 | Coal Handling Plant | | | | | | |
| 2.3.9 | Rolling Stock and Locomotives | | | | | | |
| 2.3.10 | MGR | | | | | | |
| 2.3.11 | Air Compressor System | | | | | | |
| 2.3.12 | Air Condition & Ventilation System | | | | | | |
| 2.3.13 | Fire fighting System | | | | | | |
| 2.3.14 | HP/LP Piping | | | | | | |
| 2.3.15 | FGD system, if any | | | | | | |
| 2.3.16 | De-salination plant for sea-water intake | | | | | | |

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| Sl. No. (1) | Break Down (2) | As per Original Estimates as per Investment Approval (3) | Actual Capital Expenditure as on COD/anticipated COD (4) | Liabilities/Provisions (5) | Variation (3-4-5) (6) | Specific Reasons for Variation (7) | Estimated Capital expenditure upto Cut-off date (8) |
|-------------|---|--|--|----------------------------|-----------------------|------------------------------------|---|
| | | | Actual Amount | | | | |
| 2.3.17 | External coal handling in Jetty, if any | | | | | | |
| | Total BOP Mechanical | | | | | | |
| 2.4 | BOP Electrical | | | | | | |
| 2.4.1 | Switch Yard Package | | | | | | |
| 2.4.2 | Transformers Package | | | | | | |
| 2.4.3 | Switch gear Package | | | | | | |
| | Cables, Cable facilities & grounding | | | | | | |
| 2.4.4 | Lighting | | | | | | |
| 2.4.5 | Emergency D.G. set | | | | | | |
| | Total BOP Electrical | | | | | | |
| | Control & Instrumentation (C & I) Package | | | | | | |
| 2.5 | Total Plant & Equipment excluding taxes & Duties | | | | | | |
| 2.6 | Taxes & Duties | | | | | | |

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| Sl. No. (1) | Break Down (2) | As per Original Estimates as per Investment Approval (3) | Actual Capital Expenditure as on COD/anticipated COD (4) | Liabilities/Provisions (5) | Variation (3-4-5) (6) | Specific Reasons for Variation (7) | Estimated Capital expenditure upto Cut-off date (8) |
|-------------|--------------------------------|--|--|----------------------------|-----------------------|------------------------------------|---|
| 3 | Initial Spares | | Actual Amount | | | | |
| 4 | Civil Works | | | | | | |
| 4.1 | Main plant/Adm. Building | | | | | | |
| 4.2 | CW system | | | | | | |
| 4.3 | Cooling Towers | | | | | | |
| 4.4 | DM water Plant | | | | | | |
| 4.5 | Clarification plant | | | | | | |
| 4.6 | Chlorination plant | | | | | | |
| 4.7 | Fuel handling & Storage system | | | | | | |
| 4.8 | Coal Handling Plant | | | | | | |
| 4.9 | MGR & Marshalling Yard | | | | | | |
| 4.10 | Ash Handling System | | | | | | |
| 4.11 | Ash disposal area development | | | | | | |
| 4.12 | Fire fighting System | | | | | | |
| 4.13 | Township & Colony | | | | | | |
| 4.14 | Temp. | | | | | | |

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
| Sl. No. (1) | Break Down (2) | As per Original Estimates as per Investment Approval(3) | Actual Capital Expenditure as on COD/anticipated COD (4) | Liabilities/Provisions (5) | Variation (3-4-5) (6) | Specific Reasons for Variation (7) | Estimated Capital expenditure upto Cut-off date (8) |
|-------------|---|---|--|----------------------------|-----------------------|------------------------------------|---|
| | | | Actual Amount | | | | |
| | construction & enabling works | | | | | | |
| 4.15 | Road & Drainage | | | | | | |
| | Total Civil works | | | | | | |
| 5 | Construction & Pre-Commissioning Expenses | | | | | | |
| | Erection Testing and | | | | | | |
| 5.1 | commissioning | | | | | | |
| 5.2 | Site supervision | | | | | | |
| 5.3 | Operator's Training | | | | | | |
| 5.4 | Construction Insurance | | | | | | |
| 5.5 | Tools & Plant | | | | | | |
| 5.6 | Start up fuel | | | | | | |
| | Total Construction & Pre-Commissioning Expenses | | | | | | |
| 6 | Overheads | | | | | | |
| 6.1 | Establishment | | | | | | |
| 6.2 | Design & Engineering | | | | | | |

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| Sl. No. (1) | Break Down (2) | As per Original Estimates as per Investment Approval (3) | Actual Capital Expenditure as on COD/anticipated COD (4) | | Liabilities/Provisions (5) | Variation (3-4-5) (6) | Specific Reasons for Variation (7) | Estimated Capital expenditure upto Cut-off date (8) |
|-------------|--|--|--|--|----------------------------|-----------------------|------------------------------------|---|
| | | | Actual Amount | | | | | |
| 6.3 | Audit & Accounts | | | | | | | |
| 6.4 | Contingency | | | | | | | |
| | Total Overheads | | | | | | | |
| | | | | | | | | |
| 7 | Total Capital cost excluding IDC & FC | | | | | | | |
| | | | | | | | | |
| 8 | IDC, FC, FERV & Hedging Cost | | | | | | | |
| | | | | | | | | |
| 8.1 | Interest During Construction (IDC) | | | | | | | |
| 8.2 | Financing Charges (FC) | | | | | | | |
| | | | | | | | | |
| 8.3 | Foreign Exchange Rate Variation (FERV) | | | | | | | |
| 8.4 | Hedging Coat | | | | | | | |
| | Total of IDC, FC, FERV & Hedging Cost | | | | | | | |
| | | | | | | | | |
| 9 | Capital cost including IDC, FC, FERV & Hedging Cost | | | | | | | |


*Provide details of Freehold land and Lease hold land separately

Note:


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1. In case of cost variation, a detailed note giving reasons of such variation should be submitted clearly indicating whether such cost over-run was beyond the control of the generating company.
2. In case of both time & cost overrun, a detailed note giving reasons of such time and cost over-run should be submitted clearly bringing out the agency responsible and whether such time and cost overrun was beyond the control of the generating company.
3. The implication on cost due to time over run, if any shall be submitted separately giving details of increase in prices in different packages from scheduled COD to Actual COD/anticipated COD, increase in IEDC from scheduled COD to actual COD/anticipated COD and increase of IDC from scheduled COD to actual anticipated COD.
4. **Impact on account of each reason for Time over run on Cost of project should be quantified and substantiated with necessary documents and supporting workings.**
5. A list of balance work assets/work wise including initial spare on original scope of works along with estimate shall be furnished positively.

(Petitioner)



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Break-up of Capital Cost for Gas/Liquid fuel based projects


Name of the Petitioner

Name of the Generating Station


(Amount in Rs. Lakh)

| Sl. No. (1) | Break Down (2) | As per Original Estimates as per Investment Approval (3) | Actual Capital Expenditure (4) | Liabilities/ Provisions (5) | Variation (3-4-5) (6) | Specific Reasons for Variation* (7) | Actual/Estimated Capital Expenditure upto Cut-off date (8) |
|-------------|--|--|--------------------------------|-----------------------------|-----------------------|-------------------------------------|--|
| 1 | Cost of Land & Site Development | | | | | | |
| 1.1 | Land* | | | | | | |
| 1.2 | Rehabilitation & Resettlement (R&R) | | | | | | |
| 1.3 | Preliminary Investigation & Site Development | | | | | | |
| | Total Land & Site Development | | | | | | |
| 2 | Plant & Equipment | | | | | | |
| 2.1 | Steam Generator Island | | | | | | |
| 2.2 | Turbine Generator Island | | | | | | |
| 2.3 | WHRB Island | | | | | | |
| 2.4 | BOP Mechanical | | | | | | |
| 2.4.1 | Fuel Handling & Storage system | | | | | | |
| 2.4.2 | External water supply system | | | | | | |
| 2.4.3 | CW system | | | | | | |
| 2.4.4 | Cooling Towers | | | | | | |
| 2.4.5 | DM water Plant | | | | | | |
| 2.4.6 | Clarification plant | | | | | | |

| Sl. No. (1) | Break Down (2) | As per Original Estimates as per Investment Approval (3) | Actual Capital Expenditure (4) | Liabilities/ Provisions (5) | Variation (3-4-5) (6) | Specific Reasons for Variation * (7) | Actual/Estimated Capital Expenditure upto Cut-off date (8) |
|-------------|---|--|--------------------------------|-----------------------------|-----------------------|--------------------------------------|--|
| 2.4.7 | Chlorination Plant | | | | | | |
| 2.4.8 | Air Condition & Ventilation System | | | | | | |
| 2.4.9 | Fire fighting System | | | | | | |
| 2.4.10 | HP/LP Piping | | | | | | |
| | Total BOP Mechanical | | | | | | |
| 2.5 | BOP Electrical | | | | | | |
| 2.5.1 | Switch Yard Package | | | | | | |
| 2.5.2 | Transformers Package | | | | | | |
| 2.5.3 | Switch gear Package | | | | | | |
| 2.5.4 | Cables, Cable facilities & grounding | | | | | | |
| 2.5.5 | Lighting | | | | | | |
| 2.5.6 | Emergency D.G. set | | | | | | |
| | Total BOP Electrical | | | | | | |
| 2.6 | Control & Instrumentation (C & I) Package | | | | | | |
| | Total Plant & Equipment excluding taxes & Duties | | | | | | |
| 2.7 | Taxes & Duties | | | | | | |
| 3 | Initial Spares | | | | | | |
| 4 | Civil Works | | | | | | |
| 4.1 | Main plant/Adm. Building | | | | | | |


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| Sl. No. (1) | Break Down (2) | As per Original Estimates as per Investment Approval (3) | Actual Capital Expenditure (4) | Liabilities/ Provisions (5) | Variation (3-4-5) (6) | Specific Reasons for Variation* (7) | Actual/Estimated Capital Expenditure upto Cut-off date (8) |
|-------------|---|--|--------------------------------|-----------------------------|-----------------------|-------------------------------------|--|
| 4.2 | External Water Supply System | | | | | | |
| 4.3 | CW system | | | | | | |
| 4.4 | Cooling Towers | | | | | | |
| 4.5 | DM water Plant | | | | | | |
| 4.6 | Clarification plant | | | | | | |
| 4.7 | Fuel handling & Storage system | | | | | | |
| 4.8 | Township & Colony | | | | | | |
| 4.9 | Temp. construction & enabling works | | | | | | |
| 4.10 | Road & Drainage | | | | | | |
| 4.11 | Fire fighting System | | | | | | |
| | Total Civil works | | | | | | |
| 5 | Construction & Pre-Commissioning Expenses | | | | | | |
| 5.1 | Erection Testing and commissioning | | | | | | |
| 5.2 | Site supervision | | | | | | |
| 5.3 | Operator's Training | | | | | | |
| 5.4 | Construction Insurance | | | | | | |
| 5.5 | Tools & Plant | | | | | | |
| 5.6 | Start up fuel | | | | | | |
| | Total Construction & Pre-Commissioning Expenses | | | | | | |
| 6 | Overheads | | | | | | |


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| Sl. No. (1) | Break Down (2) | As per Original Estimates as per Investment Approval (3) | Actual Capital Expenditure (4) | Liabilities/Provisions (5) | Variation (3-4-5) (6) | Specific Reasons for Variation* (7) | Actual/Estimated Capital Expenditure upto Cut-off date (8) |
|-------------|--|--|--------------------------------|----------------------------|-----------------------|-------------------------------------|--|
| 6.1 | Establishment | | | | | | |
| 6.2 | Design & Engineering | | | | | | |
| 6.3 | Audit & Accounts | | | | | | |
| 6.4 | Contingency | | | | | | |
| | Total Overheads | | | | | | |
| 7 | Capital cost excluding IDC & FC | | | | | | |
| 8 | IDC, FC, FERV & Hedging Cost | | | | | | |
| 8.1 | Interest During Construction (IDC) | | | | | | |
| 8.2 | Financing Charges (FC) | | | | | | |
| 8.3 | Foreign Exchange Rate Variation (FERV) | | | | | | |
| 8.4 | Hedging Cost | | | | | | |
| | Total of IDC, FC, FERV & Hedging Cost | | | | | | |
| 9 | Capital cost including IDC, FC, FERV & Hedging Cost | | | | | | |

*Provide details of Freehold land and Lease hold land separately


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Note:

1. In case of cost variation , a detailed note giving reasons of such variation should be submitted clearly indicating whether such cost over-run was beyond the control of the generating company.
2. In case of time & cost overrun, a detailed note giving reasons of such time and cost over-run should be submitted clearly bringing out the agency responsible and whether such time and cost overrun was beyond the control of the generating company.
3. The implication on cost due to time over run, if any shall be submitted separately giving details of increase in prices in different packages from scheduled COD to Actual COD/anticipated COD, increase in IEDC from scheduled COD to actual COD/anticipated COD and increase of IDC from scheduled COD to actual anticipated COD.
4. **Impact on account of each reason for Time over run on Cost of project should be quantified and substantiated with necessary documents and supporting workings.**

A list of balance work assets/work wise including initial spare on original scope of works along with estimate shall be furnished positively.

(Petitioner)



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Break-up of Construction/Supply/Service packages

Name of the Petitioner

Name of the Generating Station

| 1 | Name/No. of Construction / Supply / Service Package | Package A | Package B | Package C | ... | Total Cost of all packages |
|----|---|-----------|-----------|-----------|-----|----------------------------|
| 2 | Scope of works ¹ (in line with head of cost break-ups as applicable) | | | | | |
| 3 | Whether awarded through ICB/DCB/ Departmentally/ Deposit Work | | | | | |
| 4 | No. of bids received | | | | | |
| 5 | Date of Award | | | | | |
| 6 | Date of Start of work | | | | | |
| 7 | Date of Completion of Work/Expected date of completion of work | | | | | |
| 8 | Value of Award ² in (Rs. Lakh) | | | | | |
| 9 | Firm or With Escalation in prices | | | | | |
| 10 | Actual capital expenditure till the completion or up to COD whichever is earlier (Rs. Lakh) | | | | | |
| 11 | Taxes & Duties and IEDC (Rs. Lakh) | | | | | |
| 12 | IDC, FC, FERV & Hedging cost (Rs. Lakh) | | | | | |
| 13 | Sub -total (10+11+12) (Rs. Lakh) | | | | | |

Note:

1. The scope of work in any package should be indicated in conformity of Capital cost break-up for the coal/lignite based plants in the FORM-5B to the extent possible. In case of Gas/Liquid fuel based projects, break down in the similar manner in the relevant heads as per FORM-5C.
2. If there is any package, which need to be shown in Indian Rupee and foreign currency(ies), the same should be shown separately along with the currency, the exchange rate and the date.

(Petitioner)

Details of variables, parameters, optional package etc. for New Project

Name of the Petitioner

Name of the Generating Station

| | | |
|--|--|--|
| Unit Size | | |
| Number of Units | | |
| Greenfield/Extension | | |
| S. No. | Variables | (Design Operating Range) Values |
| 1 | Coal Quality – Calorific Value | |
| 2 | Ash Content | |
| 3 | Moisture Content | |
| 4 | Boiler Efficiency | |
| 5 | Suspended Particulate Matter | |
| 6 | Ash Utilization | |
| 7 | Boiler Configuration | |
| 8 | Turbine Heat Rate | |
| 9 | CW Temperature | |
| 10 | Water Source | |
| 11 | Distance of Water Source | |
| 12 | Clarifier | |
| 13 | Mode of Unloading Oil | |
| 14 | Coal Unholding Mechanism | |
| 15 | Type of Fly Ash Disposal and Distance | |
| 16 | Type of Bottom Ash Disposal and Distance | |
| 17 | Type of Soil | |
| 18 | Foundation Type (Chimney) | |
| 19 | Water Table | |
| 20 | Seismic and Wind Zone | |
| 21 | Condensate Cooling Method | |
| 22 | Desalination/RO Plant | |
| 23 | Evacuation Voltage Level | |
| 24 | Type of Coal (Domestic/Imported) | |
| Parameter/Variables | | Values |
| Completion Schedule | | |
| Terms of Payment | | |
| Performance Guarantee Liability | | |
| Basis of Price (Firm/Escalation-Linked) | | |
| Equipment Supplier (Country of Origin) | | |
| Optional Packages | | Yes/No |
| Desalination Plant/RO Plant | | |
| MGR | | |
| Railway Siding | | |
| Unloading Equipment at Jetty | | |
| Rolling Stock/Locomotive | | |
| FGD Plant | | |
| Length of Transmission Line till Tie Point (in km) | | |

(Petitioner)

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In case there is cost over run


Name of the Petitioner

Name of the Generating Station


| Sl. No. | Break Down | Original Cost (Rs.Lakh) as approved by the Board of Members | Actual/Estimated Cost as Incurred/to be Incurred (Rs. Lakh) | Difference | Reasons for Variation (Please submit supporting computations and documents wherever applicable) | Increase in soft cost due to increase in hard cost |
|---------|--|---|---|------------|---|--|
| | | Total Cost | Total Cost | Total Cost | | |
| 1 | Cost of Land & Site Development | | | | | |
| 1.1 | Land* Rehabilitation & Resettlement (R&R) | | | | | |
| 1.2 | Preliminary Investigation & Site Development | | | | | |
| 1.3 | | | | | | |
| 2 | Plant & Equipment | | | | | |
| 2.1 | Steam Generator Island Turbine | | | | | |
| 2.2 | Generator Island | | | | | |
| 2.3 | BOP Mechanical | | | | | |
| 2.3.1 | Fuel Handling & Storage system | | | | | |
| 2.3.2 | External water | | | | | |

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
| Sl. No. | Break Down | Original Cost (Rs.Lakh) as approved by the Board of Members | Actual/Estimated Cost as incurred/to be incurred (Rs. Lakh) | Difference | Reasons for Variation (Please submit supporting computations and documents wherever applicable) | Increase in soft cost due to increase in hard cost |
|---------|------------------------------------|---|---|------------|---|--|
| | supply system | Total Cost | Total Cost | Total Cost | | |
| 2.3.3 | DM water Plant | | | | | |
| 2.3.4 | Clarification plant | | | | | |
| 2.3.5 | Chlorination Plant | | | | | |
| 2.3.6 | Fuel Handling & Storage system | | | | | |
| 2.3.7 | Ash Handling System | | | | | |
| 2.3.8 | Coal Handling Plant | | | | | |
| 2.3.9 | Rolling Stock and Locomotives | | | | | |
| 2.3.10 | MGR | | | | | |
| 2.3.11 | Air Compressor System | | | | | |
| 2.3.12 | Air Condition & Ventilation System | | | | | |
| 2.3.13 | Fire fighting System | | | | | |
| 2.3.14 | HP/LP Piping | | | | | |
| | Total BOP Mechanical | | | | | |


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 C- Block, Shivalik
 Malviya Nagar, New Delhi -110017

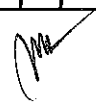
| Sl. No. | Break Down | Original Cost (Rs. Lakh) as approved by the Board of Members | Actual/Estimated Cost as incurred/to be incurred (Rs. Lakh) | Difference | | Reasons for Variation (Please submit supporting computations and documents wherever applicable) | Increase in soft cost due to increase in hard cost |
|---------|--|--|---|------------|------------|---|--|
| | | Total Cost | Total Cost | Total Cost | Total Cost | | |
| 2.4 | BOP Electrical | | | | | | |
| 2.4.1 | Switch Yard Package | | | | | | |
| 2.4.2 | Transformers Package | | | | | | |
| 2.4.3 | Switch gear Package | | | | | | |
| | Cables, Cable facilities & grounding | | | | | | |
| 2.4.4 | Lighting | | | | | | |
| 2.4.5 | Emergency D.G. set | | | | | | |
| 2.4.6 | Total BOP Electrical | | | | | | |
| | Control & Instrumentation (C & I) | | | | | | |
| 2.5 | Package | | | | | | |
| | Total Plant & Equipment excluding taxes & Duties | | | | | | |
| 3 | Initial Spares | | | | | | |
| 4 | Civil Works | | | | | | |
| 4.1 | Main plant/Adm. Building | | | | | | |


 Secretary
 Delhi Electricity Regulatory Commission
 C- Block, Shivalik
 Malviya Nagar, New Delhi -110017

| Sl. No. | Break Down | Original Cost (Rs.Lakh) as approved by the Board of Members | Actual/Estimat ed Cost as incurred/to be incurred(Rs. Lakh) | Difference | Reasons for Variation(Please submit supporting computations and documents wherever applicable) | Increase in soft cost due to increase in hard cost |
|---------|--|---|---|------------|--|---|
| | | Total Cost | Total Cost | Total Cost | | |
| 4.2 | CW system | | | | | |
| 4.3 | Cooling Towers | | | | | |
| 4.4 | DM water Plant | | | | | |
| 4.5 | Clarification plant | | | | | |
| 4.6 | Chlorination plant | | | | | |
| 4.7 | Fuel handling & Storage system | | | | | |
| 4.8 | Coal Handling Plant | | | | | |
| 4.9 | MGR &Marshalling Yard | | | | | |
| 4.10 | Ash Handling System | | | | | |
| 4.11 | Ash disposal area development | | | | | |
| 4.12 | Fire fighting System | | | | | |
| 4.13 | Township & Colony | | | | | |
| 4.14 | Temp. construction & enabling works | | | | | |


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 Delhi Electricity Regulatory Commission
 C- Block, Shivalik
 Malviya Nagar, New Delhi -110017

| Sl. No. | Break Down | Original Cost (Rs.Lakh) as approved by the Board of Members | Actual/Estimat ed Cost as incurred/to be incurred (Rs. Lakh) | Difference | Reasons for Variation (Please submit supporting computations and documents wherever applicable) | Increase in soft cost due to increase in hard cost |
|---------|---|---|--|------------|---|---|
| | | Total Cost | Total Cost | Total Cost | | |
| 4.15 | Road & Drainage | | | | | |
| | Total Civil works | | | | | |
| 5 | Construction & Pre- Commissioning Expenses | | | | | |
| | Erection Testing and commissioning | | | | | |
| 5.1 | Site | | | | | |
| 5.2 | supervision | | | | | |
| 5.3 | Operator's Training | | | | | |
| 5.4 | Construction Insurance | | | | | |
| 5.5 | Tools & Plant | | | | | |
| 5.6 | Start up fuel | | | | | |
| | Total | | | | | |
| | Construction & Pre- Commissioning Expenses | | | | | |
| 6 | Overheads | | | | | |
| 6.1 | Establishment | | | | | |
| 6.2 | Design & Engineering | | | | | |
| 6.3 | Audit & | | | | | |


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 C- Block, Shivalik
 Malviya Nagar, New Delhi -110017

| Sl. No. | Break Down | Original Cost (Rs.Lakh) as approved by the Board of Members | Actual/Estimated Cost as incurred/to be incurred (Rs. Lakh) | Difference | Reasons for Variation (Please submit supporting computations and documents wherever applicable) | Increase in soft cost due to increase in hard cost |
|---------|---|---|---|------------|---|--|
| | | Total Cost | Total Cost | Total Cost | | |
| 6.4 | Accounts | | | | | |
| | Contingency | | | | | |
| | Total | | | | | |
| | Overheads | | | | | |
| 7 | Capital cost excluding IDC & FC | | | | | |
| 8 | IDC, FC, FERV & Hedging Cost | | | | | |
| 8.1 | Interest During Construction (IDC) | | | | | |
| 8.2 | Financing Charges (FC) | | | | | |
| | Foreign Exchange Rate Variation (FERV) | | | | | |
| 8.3 | | | | | | |
| 8.4 | Hedging Cost | | | | | |
| | Total of IDC, FC, FERV & Hedging Cost | | | | | |
| 9 | Capital cost including IDC, FC, FERV & Hedging Cost | | | | | |

* Submit details of Freehold and Lease hold land

Note: Impact on account of each reason for Cost overrun should be quantified and substantiated with necessary documents and supporting workings.

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C- Block, Shivalik
Malviya Nagar, New Delhi -110017

(Petitioner)

In case there is time over run

Name of the Petitioner

Name of the Generating Station

| Sr. No | Description of Activity /Works /Service | Original Schedule (As per Planning) | | Actual Schedule (As per Actual) | | Time Over-Run Days | Reasons for delay |
|--------|---|-------------------------------------|-----------------|---------------------------------|------------------------|--------------------|-------------------|
| | | Start Date | Completion Date | Actual Start Date | Actual Completion Date | | |
| 1 | | | | | | | |
| 2 | | | | | | | |
| 3 | | | | | | | |
| 4 | | | | | | | |
| 5 | | | | | | | |
| 6 | | | | | | | |
| 7 | | | | | | | |
| 8 | | | | | | | |
| 9 | | | | | | | |
| | | | | | | | |

1. Delay on account of each reason in case of time overrun should be quantified and substantiated with necessary documents and supporting workings.
2. Indicate the activities on critical path

(Petitioner)

Secretary
Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017

Financial Package upto COD

Name of the Petitioner

Name of the Generating Station

Project Cost as on COD

Date of Commercial Operation of the Station /Unit

| 1 | Financial Package as Approved | | Financial Package as on COD | | As Admitted on COD | |
|---------------------|-------------------------------|---|-----------------------------|---|---------------------|---|
| | 2 | 3 | 4 | 5 | 6 | 7 |
| | Currency and Amount | | Currency and Amount | | Currency and Amount | |
| Loan-I | | | | | | |
| Loan-II | | | | | | |
| Loan-III | | | | | | |
| and so on | | | | | | |
| Equity- | | | | | | |
| Foreign | | | | | | |
| Domestic | | | | | | |
| Total Equity | | | | | | |
| Debt : Equity Ratio | | | | | | |

Note:



(Petitioner)

Details of project specific loans

Name of the Petitioner

Name of the Generating Station

| Particulars 1 | Package1 2 | Package2 3 | Package3 4 | Package4 5 | Package5 6 | Package6 7 |
|---|---------------|---------------|---------------|---------------|---------------|---------------|
| Source of Loan ¹ | | | | | | |
| Currency ² | | | | | | |
| Amount of Loan sanctioned | | | | | | |
| Amount of Gross Loan drawn upto 31.03.2014/COD ^{3,4,5,13,15} | | | | | | |
| Interest Type ⁶ | | | | | | |
| Fixed Interest Rate, if applicable | | | | | | |
| Base Rate, if Floating Interest ⁷ | | | | | | |
| Margin, if Floating Interest ⁸ | | | | | | |
| Are there any Caps/Floor ⁹ | Yes/No | Yes/No | Yes/No | Yes/No | Yes/No | Yes/No |
| If above is yes, specify caps/floor | | | | | | |
| Moratorium Period ¹⁰ | | | | | | |
| Moratorium effective from | | | | | | |
| Repayment Period ¹¹ | | | | | | |
| Repayment effective from | | | | | | |
| Repayment Frequency ¹² | | | | | | |
| Repayment Instalment ^{13,14} | | | | | | |
| Base Exchange Rate ¹⁶ | | | | | | |
| Are foreign currency loan hedged? | | | | | | |
| If above is yes, specify details ¹⁷ | | | | | | |

Note:

1. Source of loan means the agency from whom the loan has been taken such as WB, ADB, WMB, PNB, SBI, ICICI, IFC, PFC etc.
2. Currency refers to currency of loan.
3. Details are to be submitted as on 31st March of the previous Control Period for existing assets and as on COD for the remaining assets.
4. Where the loan has been refinanced, details in the Form is to be given for the loan refinanced. However, the details of the original loan is to be given separately in the same form.
5. If the Tariff in the petition is claimed separately for various units, details in the Form is to be given separately for all the units in the same form.
6. Interest type means whether the interest is fixed or floating.
7. Base rate means the base as PLR, LIBOR etc. over which the margin is to be added. Applicable base rate on different dates from the date of drawl may also be enclosed.
8. Margin means the points over and above the floating rate.
9. At times caps/floor are put at which the floating rates are frozen. If such a condition exists, specify the limits.
10. Moratorium period refers to the period during which loan servicing liability is not required.
11. Repayment period means the repayment of loan such as 7 years, 10 years, 25 years etc.
12. Repayment frequency means the interval at which the debt servicing is to be done such as monthly, quarterly, half yearly, annual, etc.
13. Where there is more than one drawal/repayment for a loan, the date & amount of each drawal/repayment may also be given separately
14. If the repayment installment amount and repayment date cannot be worked out from the data furnished above, the repayment schedule to be furnished separately.
15. In case of Foreign loan, date of each drawal & repayment along with exchange rate at that date may be given.
16. Base exchange rate means the exchange rate prevailing as on 31st March of the previous Control Period or COD, whichever is later
17. In case of hedging, specify details like type of hedging, period of hedging, cost of hedging, etc.
18. In case of foreign loans, provide details of exchange rate considered on date of each repayment of principal and date of interest payment.
19. At the time of truing up rate of interest with relevant reset date (if any) to be furnished separately
20. At the time of truing up provide details of refinancing of loans considered earlier. Details such as date on which refinancing done, amount of refinanced loan, terms and conditions of refinanced loan, financing and other charges incurred for refinancing, etc.

(Petitioner)

Details of Allocation of corporate loans to various projects

Name of the Petitioner

Name of the Generating Station

| Particulars | 1 | 2 | 3 | 4 | 5 | 6 | 7 |
|--|--------|--------|--------|--------|--------|--------|--------|
| Source of Loan ¹ | | | | | | | |
| Currency ² | | | | | | | |
| Amount of Loan sanctioned | | | | | | | |
| Amount of Gross Loan drawn | | | | | | | |
| Upto 31 st March of the previous | | | | | | | |
| Control Period / COD | | | | | | | |
| Interest Type ³ | | | | | | | |
| Fixed Interest Rate, if applicable | | | | | | | |
| Base Rate, if Floating Interest ⁴ | | | | | | | |
| Margin, if Floating Interest ⁵ | | | | | | | |
| Are there any Caps/Floor ⁶ | Yes/No | Yes/No | Yes/No | Yes/No | Yes/No | Yes/No | Yes/No |
| If above is yes, specify caps/floor ⁷ | | | | | | | |
| Moratorium Period ⁸ | | | | | | | |
| Moratorium effective from | | | | | | | |
| Repayment Period ⁹ | | | | | | | |
| Repayment effective from | | | | | | | |
| Repayment Frequency ¹⁰ | | | | | | | |
| Repayment Instalment ^{11,12} | | | | | | | |
| Base Exchange Rate ¹³ | | | | | | | |
| Are foreign currency loan hedged? ¹⁴ | | | | | | | |
| If above is yes, specify details ¹⁵ | | | | | | | |

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 Delhi Electricity Regulatory Commission
 C- Block, Shivalik
 Malviya Nagar, New Delhi -110017

Details of Allocation of corporate loans to various projects

Name of the Petitioner
Name of the Generating Station

| Petitioner | Package 1 | Package 2 | Package 3 | Package 4 | Package 5 | Package 6 | Package 7 |
|--|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| Source of Loan ¹ | | | | | | | |
| Currency ² | | | | | | | |
| Amount of Loan sanctioned | | | | | | | |
| Amount of Gross Loan drawn Upto 31 st March of the previous 3,4,5,13,15 | | | | | | | |
| Control Period /COD | | | | | | | |
| Interest Type ⁶ | | | | | | | |
| Fixed Interest Rate, if applicable | | | | | | | |
| Base Rate, if Floating Interest ⁷ | | | | | | | |
| Margin, if Floating Interest ⁸ | | | | | | | |
| Are there any Caps/Floor ⁹ | Yes/No | Yes/No | Yes/No | Yes/No | Yes/No | Yes/No | Yes/No |
| If above is yes, specify caps/floor ¹⁰ | | | | | | | |
| Moratorium Period ¹⁰ | | | | | | | |
| Moratorium effective from ¹¹ | | | | | | | |
| Repayment Period ¹¹ | | | | | | | |
| Repayment effective from ¹² | | | | | | | |
| Repayment Frequency ¹² | | | | | | | |
| Repayment Instalment ^{13,14} | | | | | | | |
| Base Exchange Rate ¹⁶ | | | | | | | |
| Distribution of loan packages to various projects | | | | | | | |
| Name of the Projects | | | | | | | Total |

Secretary
Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017

19. At the time of truing up rate of interest with relevant reset date (if any) to be furnished separately

20. At the time of truing up provide details of refinancing of loans considered earlier. Details such as date on which refinancing done, amount of refinanced loan, terms and conditions of refinanced loan, financing and other charges incurred for refinancing etc.

(Petitioner)



Secretary
Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017


Year wise Statement of Additional Capitalisation after COD

Name of the Petitioner
 Name of the Generating Station
 COD
 For Financial Year

| Sl. No. | Head of Work / Equipment | ACE Claimed (Actual / Projected) | | | Regulations under which claimed | Justification | Admitted Cost by the Commission, if any |
|---------|--------------------------|----------------------------------|--|------------|---------------------------------|---------------|---|
| | | Accrual basis | Un-discharged Liability included in col. 3 | Cash basis | | | |
| (1) | (2) | (3) | (4) | (5=3-4) | (6) | (7) | (8) |
| | | | | | | | (9) |
| | | | | | | | |

1. In case the project has been completed and cost has already been admitted under any tariff notification(s) in the past, fill column 10 giving the cost as admitted for the purpose of tariff notification already issued by (Name of the authority) (Enclose copy of the tariff Order)
2. The above information needs to be furnished separately for each year / period of tariff period.
3. In case of de-capitalisation of assets separate details to be furnished at column 1, 2, 3 and 4. Further, the original book value and year of capitalisation of such asset to be furnished at column 8. Where de-caps are on estimated basis the same to be shown separately.
4. Where any asset is rendered unserviceable the same shall be treated as de-capitalised during that year and original value of such asset to be shown at col. 3. And impaired value if any, year of its capitalisation to be mentioned at column 8.
5. Justification against each asset of capitalization should be specific to regulations under which claim has been made and the necessity of capitalization of that particular asset.

(Petitioner)


 Secretary
 Delhi Electricity Regulatory Commission
 C- Block, Shivalik
 Malviya Nagar, New Delhi -110017

Statement of Additional Capitalisation during useful life of the Project

Name of the Petitioner

Name of the Generating Station

COD

| Sl. No. | Year | Work / Equipment added during last five years of useful life of each Unit/Station | Expenditure Claimed (Actual / Projected) | | | | Regulations under which claimed | Justification | Impact on life Extension / Efficiency improvement |
|---------|------|--|--|---|---------------|------------------------------|--|---------------|--|
| | | | Accrual basis | Un- discharged Liability included in col. 4 | Cash basis | IDC included in col. 4 | | | |
| (1) | (2) | (3) | (4) | (5) | (6=4+5) | (7) | (8) | (9) | (10) |
| | | | | | | | | | |
| | | | | | | | | | |

Note:

1. Cost Benefit analysis for capital additions done should be submitted along with petition for approval of such schemes
2. Justification for additional capital expenditure claim for each asset should be relevant to regulations under which claim has been made and the necessity of capitalization of the asset.

(Petitioner)

Details of Assets De-capitalized during the period

Name of the Petitioner

Name of the Generating Station

| Sr. No. | Name of the Asset | Nature of de-capitalization (whether claimed under exclusion or as additional capital expenditure) | Original Value of the Asset De-Capitalised | Year Put to use | Depreciation recovered till date of de- capitalization |
|---------|-------------------|---|--|-----------------|---|
| 1 | 2 | 3 | 4 | 5 | 6 |
| 1 | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| | | | | | |
| | | | | | |

Note: Year wise detail need to be submitted.

(Petitioner)

Secretary
Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017

Statement showing reconciliation of Expenditure claimed with the capital additions as per books

Name of the Petitioner _____

Name of the Generating Station _____

COD _____

| Sl. No. | Particulars | Ensuing Years | | | | | | |
|---------|--|---------------|-----|-----|-----|-----|-----|-----|
| | | (1) | (2) | (3) | (4) | (5) | (6) | (7) |
| | Closing Gross Block | | | | | | | |
| | Less: Opening Gross Block | | | | | | | |
| | Total Additions as per books | | | | | | | |
| | Less: Additions pertaining to other Stages (give Stage wise breakup) | | | | | | | |
| | Net Additions pertaining to instant project/Unit/Stage | | | | | | | |
| | Less: Exclusions (items not allowable / not claimed) | | | | | | | |
| | Net Additional Capital Expenditure Claimed | | | | | | | |

Note: Reason for exclusion of any expenditure shall be given in Clear terms

(Petitioner)

Secretary
Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017

Name of the Petitioner
Name of the Generating Station

Statement of Capital cost

(To be given for relevant dates and year wise)

| SI. No. | | Particulars | (Amount in Rs. Lakh) As on relevant date |
|---------|----|---|---|
| A | a) | Opening Gross Block Amount as per books | |
| | b) | Amount of capital liabilities in A(a) above | |
| | c) | Amount of IDC in A(a) above | |
| | d) | Amount of FC in A(a) above | |
| | e) | Amount of FERV in A(a) above | |
| | f) | Amount of Hedging Cost in A(a) above | |
| | g) | Amount of IEDC in A(a) above | |
| | | | |
| B | a) | Addition in Gross Block Amount during the period (Direct purchases) | |
| | b) | Amount of capital liabilities in B(a) above | |
| | c) | Amount of IDC in B(a) above | |
| | d) | Amount of FC in B(a) above | |
| | e) | Amount of FERV in B(a) above | |
| | f) | Amount of Hedging Cost in B(a) above | |
| | g) | Amount of IEDC in B(a) above | |
| | | | |
| C | a) | Addition in Gross Block Amount during the period (Transferred from CWIP) | |
| | b) | Amount of capital liabilities in C(a) above | |
| | c) | Amount of IDC in C(a) above | |
| | | | |

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Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017

| Sl. No. | Particulars | As on relevant date. |
|---------|---|----------------------|
| | d) Amount of FC in C(a) above | |
| | e) Amount of FERV in C(a) above | |
| | f) Amount of Hedging Cost in C(a) above | |
| | g) Amount of IEDC in C(a) above | |
| | | |
| D | a) Deletion in Gross Block Amount during the period | |
| | b) Amount of capital liabilities in D(a) above | |
| | c) Amount of IDC in D(a) above | |
| | d) Amount of FC in D(a) above | |
| | e) Amount of FERV in D(a) above | |
| | f) Amount of Hedging Cost in D(a) above | |
| | g) Amount of IEDC in D(a) above | |
| | | |
| E | a) Closing Gross Block Amount as per books | |
| | b) Amount of capital liabilities in E(a) above | |
| | c) Amount of IDC in E(a) above | |
| | d) Amount of FC in E(a) above | |
| | e) Amount of FERV in E(a) above | |
| | f) Amount of Hedging Cost in E(a) above | |
| | g) Amount of IEDC in E(a) above | |

Note:

1. Relevant date/s means date of COD of unit/s/station and financial year start date and end date



Secretary
Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017

(Petitioner)


Name of the Petitioner

Name of the Generating Station

Statement of Capital Woks in Progress

(To be given for relevant dates and year wise)

| Particulars | | (Amount in Rs. Lakh) |
|-------------|--|----------------------|
| Sl. No. | Particulars | As on relevant date. |
| A | a) Opening CWIP as per books | |
| | b) Amount of capital liabilities in A(a) above | |
| | c) Amount of IDC in A(a) above | |
| | d) Amount of FC in A(a) above | |
| | e) Amount of FERV in A(a) above | |
| | f) Amount of Hedging Cost in A(a) above | |
| | g) Amount of IEDC in A(a) above | |
| B | a) Addition in CWIP during the period | |
| | b) Amount of capital liabilities in B(a) above | |
| | c) Amount of IDC in B(a) above | |
| | d) Amount of FC in B(a) above | |
| | e) Amount of FERV in B(a) above | |
| | f) Amount of Hedging Cost in B(a) above | |
| | g) Amount of IEDC in B(a) above | |
| C | a) Transferred to Gross Block Amount during the period | |
| | b) Amount of capital liabilities in C(a) above | |
| | c) Amount of IDC in C(a) above | |
| | d) Amount of FC in C(a) above | |
| | e) Amount of FERV in C(a) above | |
| | f) Amount of Hedging Cost in C(a) above | |
| | g) Amount of IEDC in C(a) above | |



Secretary


Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017

| Sl. No. | Particulars | As on relevant date. |
|---------|--|----------------------|
| | | |
| D | a) Deletion in CWIP during the period | |
| | b) Amount of capital liabilities in D(a) above | |
| | c) Amount of IDC in D(a) above | |
| | d) Amount of FC in D(a) above | |
| | e) Amount of FERV in D(a) above | |
| | f) Amount of Hedging Cost in D(a) above | |
| | g) Amount of IEDC in D(a) above | |
| | | |
| E | a) Closing CWIP as per books | |
| | b) Amount of capital liabilities in E(a) above | |
| | c) Amount of IDC in E(a) above | |
| | d) Amount of FC in E(a) above | |
| | e) Amount of FERV in E(a) above | |
| | f) Amount of Hedging Cost in E(a) above | |
| | g) Amount of IEDC in E(a) above | |

Note:

1. Relevant date/s means date of COD of unit/s/station and financial year start date and end date

(Petitioner)


Secretary
Delhi Electricity Regulatory Commission
C- Block, Shivalik
Malviya Nagar, New Delhi -110017

Financing of Additional Capitalisation

Name of the Petitioner
 Name of the Generating Station
 Date of Commercial Operation

(Amount in Rs Lakh)

| | Actual | | | | | Admitted | | | | |
|---|--------|--------|--------|--------|----------------|----------|--------|--------|--------|----------------|
| | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 & So on | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 & So on |
| Financial Year (Starting from COD) ¹ | | | | | | | | | | |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 |
| Amount capitalised in Work/Equipment | | | | | | | | | | |
| Financing Details | | | | | | | | | | |
| Loan-1 | | | | | | | | | | |
| Loan-2 | | | | | | | | | | |
| Loan-3 and so on | | | | | | | | | | |
| Total Loan ² | | | | | | | | | | |
| Equity | | | | | | | | | | |
| Internal Resources | | | | | | | | | | |
| Others (Pl. specify) | | | | | | | | | | |
| Total | | | | | | | | | | |

Note:

1 Year 1 refers to Financial Year of COD and Year 2, Year 3 etc. are the subsequent financial years respectively.

2 Loan details for meeting the additional capitalisation requirement should be given as per FORM-7 or 8 whichever is relevant.

(Petitioner)

Calculation of Depreciation

Name of the Petitioner _____

Name of the Generating Station _____

(Amount in Rs Lakh)


| Sl. no. | Name of the Assets ¹ | Gross Block as on 31 st . March of the previous Control Period or as on COD, whichever is later and subsequently for each year thereafter | Depreciation Rates as per DERC's Depreciation Rate Schedule | Depreciation Amount for each year |
|---------|---------------------------------|--|---|-----------------------------------|
| | 1 | 2 | 3 | 4= Col.2 X Col.3 |
| 1 | Land* | | | |
| 2 | Building | | | |
| 3 | and so on | | | |
| 4 | | | | |
| 5 | | | | |
| 6 | | | | |
| 7 | | | | |
| 8 | | | | |
| 9 | | | | |
| 10 | | | | |
| 18 | | | | |
| 19 | | | | |
| 20 | | | | |
| 21 | | | | |
| 22 | | | | |
| 23 | | | | |
| | TOTAL | | | |
| | Weighted Average Rate of | | | |
| | Depreciation (%) | | | |

*Provide details of Freehold land and Lease hold land separately

Note:

1.Name of the Assets should conform to the description of the assets mentioned in Depreciation Schedule appended to the Notification.

(Petitioner)


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Statement of Depreciation

Name of the Petitioner

Name of the Generating Station

(Amount in Rs Lakh)

| Sl. No. (1) | Particulars (2) | (3) | (4) | (5) | (6) | (7) | (8) |
|----------------|--|-----|-----|-----|-----|-----|-----|
| | Opening Capital Cost | | | | | | |
| | Closing Capital Cost | | | | | | |
| | Average Capital Cost | | | | | | |
| | Freehold land | | | | | | |
| | Rate of depreciation | | | | | | |
| | Depreciable value | | | | | | |
| | Balance useful life at the beginning of the period | | | | | | |
| | Remaining depreciable value | | | | | | |
| | Depreciation (for the period) | | | | | | |
| | Depreciation (annualised) | | | | | | |
| | Cumulative depreciation at the end of the period | | | | | | |
| | Less: Cumulative depreciation adjustment on account of un-discharged liabilities deducted as on 31 st March of the previous Control Period /Station COD | | | | | | |
| | Less: Cumulative depreciation adjustment on account of de-capitalisation | | | | | | |
| | Net Cumulative depreciation at the end of the period | | | | | | |

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(Petitioner)

Calculation of Weighted Average Rate of Interest on Actual Loans¹

Name of the Petitioner _____

Name of the Generating Station _____

(Amount in Rs. Lakh)

| Particulars | Existing | Ensuing Years | | | | |
|--|----------|---------------|--|--|--|--|
| | | | | | | |
| Loan-1..... | | | | | | |
| Gross loan - Opening | | | | | | |
| Cumulative repayments of Loans upto previous year | | | | | | |
| Net loan - Opening | | | | | | |
| Add: Drawal(s) during the Year | | | | | | |
| Less: Repayment (s) of Loans during the year | | | | | | |
| Net loan - Closing | | | | | | |
| Average Net Loan | | | | | | |
| Rate of Interest on Loan on annual basis | | | | | | |
| Interest on loan | | | | | | |
| Total Loan | | | | | | |
| Gross loan - Opening | | | | | | |
| Cumulative repayments of Loans upto previous year | | | | | | |
| Net loan - Opening | | | | | | |
| Add: Drawal(s) during the Year | | | | | | |
| Less: Repayment (s) of Loans during the year | | | | | | |
| Net loan - Closing | | | | | | |
| Average Net Loan | | | | | | |
| Interest on loan | | | | | | |
| Weighted average Rate of Interest on Loans | | | | | | |

Note:

1. In case of Foreign Loans, the calculations in Indian Rupees is to be furnished. However, the calculations in Original currency is also to be furnished separately in the same form.

(Petitioner)



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Calculation of Interest on Normative Loan

Name of the Petitioner

Name of the Generating Station

(Amount in Rs Lakh)

| Sl. No. (1) | Particulars (2) | Previous Year | | | | | |
|----------------|--|------------------|-----|-----|-----|-----|-----|
| | | (3) | (4) | (5) | (6) | (7) | (8) |
| | Gross Normative loan – Opening | | | | | | |
| | Cumulative repayment of Normative loan upto previous year | | | | | | |
| | Net Normative loan – Opening | | | | | | |
| | Add: Increase due to addition during the year / period | | | | | | |
| | Less: Decrease due to de-capitalisation during the year / period | | | | | | |
| | Less: Decrease due to reversal during the year / period | | | | | | |
| | Add: Increase due to discharges during the year / period | | | | | | |
| | Net Normative loan - Closing | | | | | | |
| | Average Normative loan | | | | | | |
| | Weighted average rate of Interest | | | | | | |
| | Interest on Loan | | | | | | |

(Petitioner)

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Calculation of Interest on Working Capital

Name of the Petitioner: _____

Name of the Generating Station : _____

| Sl. No. | Particulars | Existing | Ensuing Years | | | |
|---------|--|----------|---------------|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 7 | 8 |
| | | | | | | |
| 1 | Cost of Coal/Lignite ¹ | | | | | |
| 2 | Cost of Main Secondary Fuel Oil ¹ | | | | | |
| 3 | Fuel Cost ² | | | | | |
| 4 | Liquid Fuel Stock ² | | | | | |
| 5 | O & M Expenses | | | | | |
| 6 | Maintenance Spares | | | | | |
| 7 | Receivables | | | | | |
| 8 | Total Working Capital | | | | | |
| 9 | Rate of Interest | | | | | |
| 10 | Interest on Working Capital | | | | | |

Note:

1. For Coal based/Lignite based generating stations

2. For Gas Turbine/Combined Cycle generating stations duly taking into account the annual mode of operation (last available) on gas fuel and liquid fuel

(Petitioner)



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Other Income as on COD

Name of the Petitioner

Name of the Generating Station

(Amount in Rs. Lakh)

| Sl. No. | Parameters | Existing | | Ensuing Years | | | |
|---------|--|----------|--|---------------|--|--|--|
| 1 | Interest on Loans and advance | | | | | | |
| 2 | Interest received on deposits | | | | | | |
| 3 | Income from Investment | | | | | | |
| 4 | Income from sale of scrap | | | | | | |
| 5 | Rebate for timely payment | | | | | | |
| 6 | Surcharge on late payment from beneficiaries | | | | | | |
| 7 | Rent from residential building | | | | | | |
| 8 | Misc. receipts (Please Specify Details) | | | | | | |
| ... | ... | | | | | | |
| ... | ... (add) | | | | | | |

(Petitioner)



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**Incidental Expenditure during Construction up to Scheduled COD and up to
Actual/anticipated COD**

Name of the Petitioner _____

Name of the Generating Station _____

(Amount in Rs. Lakh)

| Sl. No. | Parameters | As on Scheduled COD | As on actual COD/anticipated COD |
|---------|--|---------------------|----------------------------------|
| A | Head of Expenses: | | |
| 1 | Employees' Benefits Expenses | | |
| 2 | Finance Costs | | |
| 3 | Water Charges | | |
| 4 | Communication Expenses | | |
| 5 | Power Charges | | |
| 6 | Other Office and Administrative Expenses | | |
| 7 | Others (Please Specify Details) | | |
| 8 | Other Pre-Operating Expenses | | |
| ... | | | |
| ... | | | |
| B | Total Expenses | | |
| | Less: Income from sale of tenders | | |
| | Less: Income from guest house | | |
| | Less: Income recovered from Contractors | | |
| | Less: Interest on Deposits | | |
| | | | |

(Petitioner)



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Expenditure under different packages up to Scheduled COD and up to Actual/anticipated COD

Name of the Petitioner _____

Name of the Generating Station _____

(Amount in Rs. Lakh)

| Sl. No. | Parameters | As on Scheduled COD | As on actual/anticipated COD |
|---------|------------|---------------------|------------------------------|
| 1 | Package 1 | | |
| 2 | Package 2 | | |
| 3 | Package 3 | | |
| 4 | ----- | | |
| 5 | ----- | | |
| 6 | | | |

(Petitioner)



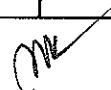
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Draw Down Schedule for Calculation of IDC & Financing Charges

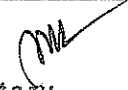
Name of the Petitioner _____

Name of the Generating Station _____

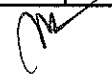
| Sl. No. | Draw Down | Quarter 1 | | | Quarter 2 | | | Quarter n (COD) | | |
|---------|---------------------------------|-----------------------------|---------------------------------|----------------------------------|-----------------------------|---------------------------------|----------------------------------|-----------------------------|---------------------------------|----------------------------------|
| | Particulars | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs Lakh) |
| 1 | Loans | | | | | | | | | |
| 1.1 | Foreign Loans | | | | | | | | | |
| 1.1.1 | 1 Foreign Loan | | | | | | | | | |
| | Draw down Amount | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing charges | | | | | | | | | |
| | Foreign Exchange Rate Variation | | | | | | | | | |
| | Hedging Cost | | | | | | | | | |
| 1.1.2 | 2 Foreign Loan | | | | | | | | | |
| | Draw down Amount | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing charges | | | | | | | | | |
| | Foreign Exchange Rate Variation | | | | | | | | | |
| | Hedging Cost | | | | | | | | | |
| 1.1.3 | 3 Foreign Loan | | | | | | | | | |
| | Draw down Amount | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing | | | | | | | | | |


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| Sl. No. | Draw Down | Quarter 1 | | | Quarter 2 | | | Quarter n (COD) | | |
|---------|---------------------------------|-----------------------------|---------------------------------|----------------------------------|-----------------------------|---------------------------------|----------------------------------|-----------------------------|---------------------------------|----------------------------------|
| | Particulars | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs Lakh) |
| | charges | | | | | | | | | |
| | Foreign Exchange Rate Variation | | | | | | | | | |
| | Hedging Cost | | | | | | | | | |
| 1.1.4 | -- | | | | | | | | | |
| | -- | | | | | | | | | |
| | -- | | | | | | | | | |
| | | | | | | | | | | |
| 1.1 | Total Foreign Loans | | | | | | | | | |
| | Draw down Amount | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing charges | | | | | | | | | |
| | Foreign Exchange Rate Variation | | | | | | | | | |
| | Hedging Cost | | | | | | | | | |
| 1.2 | Indian Loans | | | | | | | | | |
| 1.2.1 | Indian Loan ¹ | | | | | | | | | |
| | Draw down Amount | -- | -- | | -- | -- | | -- | -- | |
| | IDC | -- | -- | | -- | -- | | -- | -- | |
| | Financing charges | -- | -- | | -- | -- | | -- | -- | |
| 1.2.2 | Indian Loan ² | | | | | | | | | |
| | Draw down Amount | -- | -- | | -- | -- | | -- | -- | |
| | IDC | -- | -- | | -- | -- | | -- | -- | |
| | Financing charges | -- | -- | | -- | -- | | -- | -- | |
| | | | | | | | | | | |


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| Sl. No. | Draw Down | Quarter 1 | | | Quarter 2 | | | Quarter n (COD) | | |
|---------|---------------------------------|-----------------------------|---------------------------------|----------------------------------|-----------------------------|---------------------------------|----------------------------------|-----------------------------|---------------------------------|----------------------------------|
| | Particulars | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs Lakh) |
| 1.2.3 | Indian Loan ⁹ | | | | | | | | | |
| | Draw down Amount | -- | -- | | -- | -- | | -- | -- | |
| | IDC | -- | -- | | -- | -- | | -- | -- | |
| | Financing charges | -- | -- | | -- | -- | | -- | -- | |
| 1.2.4 | -- | -- | -- | | -- | -- | | -- | -- | |
| | -- | -- | -- | | -- | -- | | -- | -- | |
| | -- | -- | -- | | -- | -- | | -- | -- | |
| 1.2 | Total Indian Loans | | | | | | | | | |
| | Draw down Amount | -- | -- | | -- | -- | | -- | -- | |
| | IDC | -- | -- | | -- | -- | | -- | -- | |
| | Financing charges | -- | -- | | -- | -- | | -- | -- | |
| 1 | Total of Loans drawn | | | | | | | | | |
| | IDC | | | | | | | | | |
| | Financing charges | | | | | | | | | |
| | Foreign Exchange Rate Variation | | | | | | | | | |
| | Hedging Cost | | | | | | | | | |
| 2 | Equity | | | | | | | | | |
| 2.1 | Foreign equity drawn | | | | | | | | | |
| 2.2 | Indian equity drawn | -- | -- | | -- | -- | | -- | -- | |
| | Total equity | | | | | | | | | |


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| Sl. No. | Draw Down | Quarter 1 | | | Quarter 2 | | | Quarter n (COD) | | |
|---------|-------------|-----------------------------|---------------------------------|----------------------------------|-----------------------------|---------------------------------|----------------------------------|-----------------------------|---------------------------------|----------------------------------|
| | Particulars | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs Lakh) | Quantum in Foreign currency | Exchange Rate on draw down date | Amount in Indian Rupee (Rs Lakh) |
| | deployed | | | | | | | | | |


Note:

1. Drawal of debt and equity shall be on paripassu basis quarter wise to meet the commissioning schedule. Drawal of higher equity in the beginning is permissible

2. Applicable interest rates including reset dates used for above computation may be furnished separately

3. In case of multi unit project details of capitalization ratio used to be furnished.

(Petitioner)


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Actual cash expenditure

Name of the Petitioner


Name of the Generating Station

(Amount in Rs. Lakh)

| Particulars | Quarter-I | Quarter-II | Quarter-III | Quarter-n (COD) |
|---|-----------|------------|-------------|--------------------|
| Expenditure towards Gross Block | | | | |
| Add: Expenditure towards CWIP | | | | |
| Add: Capital Advances, if any | | | | |
| Less: Un-discharged liabilities (included above) | | | | |
| Add/Less: Others | | | | |
| Payment to contractors / suppliers towards capital assets | | | | |
| Cumulative payments | | | | |

Note: If there is variation between payment and fund deployment justification need to be furnished

(Petitioner)



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Details/Information to be Submitted in respect of Fuel for Computation of Energy Charges¹


Name of the Petitioner

Name of the Generating Station

| Sl. No. | Months | Units | | |
|--|---|--------------|----------|----------|
| | | | Domestic | Imported |
| 1 | Quantity of Gas supplied by Gas Company* | ('000)SCM | | |
| 2 | Adjustment (+/-) in quantity supplied by Gas Company | ('000)SCM | | |
| 3 | Gas Supplied by Gas Company (1+2) | ('000)SCM | | |
| 4 | Normative Transit & Handling Losses | ('000)SCM | | |
| 5 | Net Gas Supplied (3-4) | ('000)SCM | | |
| 6 | Amount charged by Gas Company | (Rs. In Cr.) | | |
| 7 | Adjustment (+/-) in amount charged by Gas company | (Rs. In Cr.) | | |
| 8 | Total Amount charged (6+7) | (Rs. In Cr.) | | |
| 9 | Transportation Charges by rail/ship/road/gas pipeline | (Rs. In Cr.) | | |
| 10 | Adjustment (+/-) in amount charged made by Transport Company | (Rs. In Cr.) | | |
| 11 | Demurrage / Imbalance / Ship or Pay charges, if any | (Rs. In Cr.) | | |
| 12 | Cost of diesel in transporting coal through MGR system, if applicable | (Rs. In Cr.) | | |
| 13 | Total transportation Charges (9+/-10-11+12) | (Rs. In Cr.) | | |
| 14 | Total Amount charged for gas supplied including Transportation (8+13) | (Rs. In Cr.) | | |
| 15 | Landed cost of Coal/Lignite/Gas | Rs./SCM | | |
| 16 | Blending Ratio (Domestic/Imported) | Kcal/SCM | | |
| 17 | Weighted average cost of coal/Lignite for preceding three months | Kcal/SCM | | |
| 18 | GCV of domestic coal/Gas as per bill of Company | Kcal/SCM | | |
| 19 | GCV of imported coal/Gas as per bill of Company | Kcal/SCM | | |
| 20 | Weighted average GCV of coal/Lignite/GAS as billed | Kcal/SCM | | |
| 21 | GCV of domestic coal/Gas received at Station | Kcal/SCM | | |
| 22 | GCV of Imported coal/Gas received at Station | Kcal/SCM | | |
| 23 | Weighted average GCV of coal/Lignite/GAS as received | Kcal/SCM | | |
| 1. Similar Details to be furnished for natural gas/ liquid fuel for CCGT station and secondary fuel oil/ coal / lignite based thermal plants with appropriate units 2. As billed and as received GCV, quantity of coal and price should be submitted as certified by statutory auditor. | | | | |


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| S. No | Month | Unit | For preceding | | For preceding | | For preceding | |
|-------|--|--------|---|--|--|--|--|--|
| | | | 3rd Month (from COD or from 1.4.2014 as the case may be) | | 2nd Month (from COD or from 1.4.2014 as the case may be) | | 1st Month (from COD or from 1.4.2014 as the case may be) | |
| | Charged (6+7) | | | | | | | |
| 9 | Transportation charges by rail/ship/road transport | (Rs.) | | | | | | |
| 10 | Adjustment (+/-) in amount charged made by Railways/Transport Company | (Rs.) | | | | | | |
| 11 | Demurrage Charges, if any | (Rs.) | | | | | | |
| 12 | Cost of diesel in transporting coal through MGR system, if applicable | (Rs.) | | | | | | |
| 13 | Total Transportation Charges (9+/-10-11+12) | (Rs.) | | | | | | |
| 14 | Total amount Charged for coal/lignite supplied including Transportation (8+13) | (Rs.) | | | | | | |
| 15 | Landed cost of coal/ Lignite | Rs./MT | | | | | | |
| 16 | Blending Ratio (Domestic/Imported) | | | | | | | |
| 17 | Weighted average cost of coal/ Lignite for preceding three months | Rs./MT | | | | | | |
| 18 | GCV of Domestic Coal as per bill of | | | | | | | |



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| S. No | Month | Unit | For preceding | | For preceding | | For preceding | |
|-------|---|------------|---|--|--|--|--|--|
| | | | 3rd Month (from COD or from 1.4.2014 as the case may be) | | 2nd Month (from COD or from 1.4.2014 as the case may be) | | 1st Month (from COD or from 1.4.2014 as the case may be) | |
| | Coal Company | | | | | | | |
| 19 | GCV of Imported Coal as per bill Coal Company | | | | | | | |
| 20 | Weighted average GCV of coal/ Lignite as Billed | (kCal/ Kg) | | | | | | |
| 21 | GCV of Domestic Coal as received at Station | | | | | | | |
| 22 | GCV of Imported Coal as received at Station | | | | | | | |
| 23 | Weighted average GCV of coal/ Lignite as Received | | | | | | | |

Note:

1. Similar details to be furnished for natural gas/liquid fuel for CCGT station and secondary fuel oil for coal/lignite based thermal plants with appropriate units.
2. As billed and as received GCV, quantity of coal, and price should be submitted as certified by statutory auditor.

(Petitioner)



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Details/Information to be Submitted in respect of Capital Spares

Name of the Petitioner _____

Name of the Generating Station _____

| Sl. No. | Details of Capital Spares and Expenses | | Claimed as a part of additional Capitalisation | Funded through compensatory allowance | Funded through Special allowance (If Applicable) | Claimed as a part of stores and spares |
|---------|--|--------|--|---------------------------------------|--|--|
| | Name of spare | Amount | | | | |
| 1 | | | | | | |
| 2 | | | | | | |
| 3 | | | | | | |
| 4 | | | | | | |
| 5 | | | | | | |
| 6 | | | | | | |
| 7 | | | | | | |
| 8 | | | | | | |
| 9 | | | | | | |
| 10 | | | | | | |
| 11 | | | | | | |
| 12 | | | | | | |



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Liability Flow Statement

Name of the Petitioner

Name of the Generating Station

| Party | Asset / Work | Year of actual capitalisati on | Original Liability | Liability as on 31 st . March of the last year of previous control period | Discharges (Yearwise) | Reversal (Yearwise) |
|-------|-----------------|---|-----------------------|---|--------------------------|------------------------|
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

(Petitioner)



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Malviya Nagar, New Delhi -110017


Employee Expenses

Name of the Petitioner

Name of the Generating Station

| Sl.no. | Particulars | PY | CY | EY |
|--------|---|----|----|----|
| 1 | Salaries | | | |
| 2 | Additional Pay | | | |
| 3 | Dearness Allowance (DA) | | | |
| 4 | Other Allowances & Relief | | | |
| 5 | Addl. Pay & C.Off Encashment | | | |
| 6 | Interim Relief / Wage Revision | | | |
| 7 | Honorarium/Overtime | | | |
| 8 | Bonus/ Exgratia To Employees | | | |
| 9 | Medical Expenses Reimbursement | | | |
| 10 | Travelling Allowance(Conveyance Allowance) | | | |
| 11 | Leave Travel Assistance | | | |
| 12 | Earned Leave Encashment | | | |
| 13 | Payment Under Workman's Compensation And Gratuity | | | |
| 14 | Subsidised Electricity To Employees | | | |
| 15 | Any Other Item | | | |
| 16 | Staff Welfare Expenses | | | |
| 17 | Apprentice And Other Training Expenses | | | |
| 18 | Contribution To Terminal Benefits | | | |
| 19 | Provident Fund Contribution | | | |
| 20 | Provision for PF Fund | | | |
| 21 | Any Other Items | | | |
| | Total Employee Costs | | | |
| 22 | Less: Employee expenses capitalised | | | |
| | Net Employee expenses (D)-(E) | | | |

| | |
|----|--------------------------|
| PY | Previous Year- Actual |
| CY | Current Year - Estimated |
| EY | Ensuing Year - Projected |



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Employee Strength

Name of the Petitioner

Name of the Generating Station

| | Particulars | Opening Balance | Retired/Deaths | Addition | Closing balance | Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available |
|----------|-----------------|--------------------|----------------|----------|--------------------|--|
| | | | | | | |
| A | FRSR | | | | | |
| | ... | | | | | |
| | Non-FRSR | | | | | |
| | ... | | | | | |
| | | | | | | |



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A & G Expenses


Name of the Petitioner _____

Name of the Generating Station _____

| Sl. No. | Particulars | PY | CY | EY |
|---------|--|----|----|----|
| 1 | Lease/ Rent | | | |
| 2 | Insurance | | | |
| 3 | Revenue Stamp Expenses Account | | | |
| 4 | Telephone, Postage, Telegram & Telex Charges | | | |
| 5 | Incentive & Award To Employees/Outsiders | | | |
| 6 | Consultancy Charges | | | |
| 7 | Technical Fees | | | |
| 8 | Other Professional Charges | | | |
| 9 | Conveyance And Travelling | | | |
| 10 | License and Registration Fees | | | |
| 11 | Vehicle Expenses | | | |
| 12 | Security / Service Charges Paid To Outside Agencies | | | |
| 13 | Fee And Subscriptions Books And Periodicals | | | |
| 14 | Printing And Stationery | | | |
| 15 | Advertisement Expenses | | | |
| 16 | Contributions/Donations To Outside Institutes / Associations | | | |
| 17 | Electricity Charges To Offices | | | |
| 18 | Water Charges | | | |
| 19 | Entertainment Charges | | | |
| 20 | Miscellaneous Expenses | | | |
| 21 | Legal Charges | | | |
| 22 | Auditor's Fee | | | |
| 23 | Freight On Capital Equipments | | | |
| 24 | Purchase Related Advertisement Expenses | | | |
| 25 | Vehicle Running Expenses Truck / Delivery Van | | | |
| 26 | Vehicle Hiring Expenses Truck / Delivery Van | | | |
| 27 | Other Freight | | | |
| 28 | Transit Insurance | | | |
| 29 | Octroi | | | |
| 30 | Incidental Stores Expenses | | | |
| 31 | Fabrication Charges | | | |
| | Total A&G Expenses | | | |


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| | | | | |
|-----------|--------------------------------|--|--|--|
| | Less: A&G Expenses Capitalised | | | |
| | Total A&G Expenses | | | |
| | | | | |
| <i>PY</i> | Previous Year- Actual | | | |
| <i>CY</i> | Current Year - Estimated | | | |
| <i>EY</i> | Ensuing Year - Projected | | | |



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Legal Expenses

Name of the Petitioner

Name of the Generating Station

| S.No. | Particulars | Case No. | Matter | Fees per Hearing | Total Fees | Reconciliation with Audited Accounts of the Year (Please mention Exact Note/Schedule for the Audited Accounts), if available |
|-------|-----------------------------|----------|--------|------------------|------------|--|
| | In Rs Crores | | | | | |
| A) | Cases Other than 142 before | | | | | |
| 1 | DERC | | | | | |
| 2 | APTEL | | | | | |
| 3 | High Court | | | | | |
| 4 | Supreme Court | | | | | |
| 5 | Others | | | | | |
| | | | | | | |
| B) | Cases under 142 | | | | | |
| | | | | | | |
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R & M Expenses

Name of the Petitioner

Name of the Generating Station

| | Particulars | PY | CY | EY |
|----|----------------------------------|----|----|----|
| 1 | Plant and Machinery | | | |
| 2 | Building | | | |
| 3 | Civil Works | | | |
| 4 | Hydraulic Works | | | |
| 5 | Lines, Cables Net Works etc. | | | |
| 6 | Vehicles | | | |
| 7 | Furniture and Fixtures | | | |
| 8 | Office Equipments | | | |
| 9 | Station Supplies | | | |
| 10 | Other Credits | | | |
| 11 | others* | | | |
| | Total | | | |
| 12 | Any other items (Capitalisation) | | | |
| | Total | | | |

| | |
|----|--------------------------|
| PY | Previous Year- Actual |
| CY | Current Year - Estimated |
| EY | Ensuing Year - Projected |



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Variable Charge for Gas Power Plant

Name of the Petitioner

Name of the Generating Station

| Particulars | UoM | Combined Cycle | Open Cycle |
|--|-----------------|----------------|------------|
| Description | MW | | |
| GHR Claimed by NDPL | Kcal/Kwh | | |
| Target Availability claimed | % | | |
| Time of operation | DAYS | | |
| Gross Generation | MU | | |
| Auxiliary Consumption | % | | |
| Net Generation | MU | | |
| Total Gross Heat value required | Kcal | | |
| Gross Heat Obtained from KG Basin Gas | MMBTU/day - GCV | | |
| 1 MMBTU | Kcal | | |
| Gross Heat Obtained from KG Basin Gas for the period | kcal | | |
| Gross Calorific Value of Gas (Assumed) | Kcal/SCM | | |
| Volume of KG Basin Gas | SCM | | |
| Balance Heat Required from RLNG | Kcal | | |
| Gross Calorific Value of RLNG (Assumed) | kcal/SCM | | |
| Quantity of RLG Required | SCM | | |
| Price of KG Basin Gas | Rs/ MMBTU GCV | | |
| Price of KG Basin Gas | Rs./ SCM | | |
| Price of RLNG | Rs./MMBTU GCV | | |
| Price of RLNG | Rs./ SCM | | |
| KG Basin Gas Landed Cost | Rs. Crores | | |
| RLNG Landed Cost | Rs. Crores | | |
| Total Fuel Cost | Rs.Crores | | |
| Monthly Fuel Cost | Rs. Crores | | |
| Energy charge rate on Ex- bus basis | Rs./unit | | |
| Net Generation from KG Basin Gas | MU s | | |
| Net Generation from RLNGs | MU s | | |


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| Particulars | UoM | Combined Cycle | Open Cycle |
|--|-----------------|----------------|------------|
| Energy charge rate on Ex- bus basis from KG Basin Gas | <i>Rs./unit</i> | | |
| Energy charge rate on Ex- bus basis from RLNG | <i>Rs./unit</i> | | |



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