

Annexure-19: Model Fees & Charges Regulations for the LDCs

[.....] Electricity Regulatory Commission

[Location]

No. ERC /

Dated:/...../20....

NOTIFICATION

In exercise of powers conferred under Section [178/181] of the Electricity Act, 2003 (36 of 2003) read with sub section [4 of section 28/sub section 3 of section 32] thereof and all other powers enabling it in this behalf, and after previous publication, the [.....] Electricity Regulatory Commission hereby makes the following regulations, namely:

CHAPTER-1

PRELIMINARY

1. Short title and commencement

- (1) These regulations may be called the [.....] Electricity Regulatory Commission (Fees and Charges of [.....] Load Despatch Centre and other related matters) Regulations, 2019.
- (2) These regulations shall come into effect from the date of their publication in the Official Gazette, and unless reviewed earlier or extended by the Commission, shall be applicable during the control period from 1.4.2019 to 31.3.2024.

2. Scope and extent of application

These regulations shall be applicable for determination of fees and charges to be collected by the [.....] Load Despatch Centre(s) from the generating companies, distribution licensees, [inter/intra]-State transmission licensees, buyers, sellers and [inter/intra]-State trading licensees and any other users of the respective load despatch centre defined from time to time.

3. Definitions: In these regulations, unless the context otherwise requires:

- (1) ‘**Act**’ means the Electricity Act, 2003 ;
- (2) ‘**Additional Capitalization**’ 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) ‘**Annual LDC Charges (ALC)**’: The Annual LDC charges (ALC) shall comprise the aggregate revenue requirement (ARR) for meeting the annual expenditure to be incurred by the [.....] Load Despatch Centre as approved by the Appropriate Commission.
- (4) ‘**Auditor**’ means an auditor appointed by the Load Despatch Centre, qualified for appointment as an auditor in accordance with the provisions of sections 224, 233B and 619 of the Companies Act, 1956 (1 of 1956), as amended from time to time or Chapter X of the Companies Act, 2013 (18 of 2013), or any other law for the time being in force;
- (5) ‘**Bank Rate**’ means the base rate of interest as specified by the State Bank of India from time to time (or any replacement thereof) plus 350 basis points;
- (6) ‘**Buyer**’ means a person buying power through medium term open access or long term access and whose scheduling, metering and energy accounting is coordinated by the [.....] Load Despatch Centre;

- (7) **‘Capital Cost’** means the capital cost as defined in Regulation 9 of these regulations;
- (8) **‘Capital Expenditure’ or ‘CAPEX’** means the expenditure of capital nature planned to be incurred during the control period for creation of assets of the [.....] Load Despatch Centres;
- (9) **‘Charges’** means recurring payments on monthly basis to be collected by the [.....] Load Despatch Centres for the services rendered by Load Despatch Centre;
- (10) **‘Commission’** means Central Electricity Regulatory Commission referred to in sub-section (1) of section 76 or the State Electricity Regulatory Commission referred to in section 82 or the Joint Commission referred to in section 83 of the Act as the case may be;
- (11) **‘Contingency Reserve’** is the reserve to be created and maintained by LDCs from other incomes (other than registration fees and approved annual LDC charges) viz. short term open access application fees and operating charges, REC and PAT charges etc.
- (12) **‘Contracted Capacity’** means the capacity arranged through long term access or medium term open access;
- (13) **‘Control Period’** means a period of five years starting from 1.4.2019;
- (14) **‘Day’** means the 24 hour period starting at 0000 hour;
- (15) **‘Effective tax rate’** for tax on return on equity is the rate (in %) calculated on the basis of actual tax paid by the concerned Load Despatch Centre in the respect of the financial year in line with the provisions of the relevant Finance Acts & this shall be in line with the norms defined in terms and conditions of tariff regulations notified by the appropriate commission.
- (16) **‘Expenditure Incurred’** means the fund, whether equity or debt or both, actually deployed and paid in cash or cash equivalent, for creation or acquisition of a useful asset and does not include commitments and the liabilities for which no payment has been made;
- (17) **‘Ergonomics’** means the science of refining the design of products/Office equipment to optimize them for human use. Human characteristics, such as height, weight, as well as information about human hearing, sight, temperature preferences and so on are considered while choosing the workplace equipment/furniture. Ergonomics is sometimes known as human factors engineering.
- (18) **‘Fees’** means the non-refundable one-time or fixed payments collected by the [.....] Load Despatch Centres, or in a defined periodicity, for the services rendered for commencement of grid access and scheduling ,and on account of registration, membership or any other purpose as specified by the Commission from time to time;
- (19) **Forum of Load Dispatchers (FOLD)** means the association of load dispatchers having NLDC, RLDCs, SLDCs as its members with secretariat office at NLDC and which was constituted by the Forum of Regulators (FOR).
- (20) **‘Grid Access’** means the permission granted by the [.....] LDC concerned for integration of the generating station including a stage or unit of the generating station, or licensees, buyers and sellers with the grid on meeting the technical requirements;
- (21) **‘LDC Empowerment Reserve’** is the reserve to be created and maintained by the []LDC for administering capital expenditure & other expenses as approved by the [] Commission
- (22) **‘Licensee’** means a person granted a license under Section 14 of the Act;
- (23) **‘Logistics Function’** means support functions for Load Dispatchers including but not limited to the

following:

- (a) Engineering of new SCADA/EMS/WAMS/REMC upgrades
 - (b) Maintenance of SCADA/EMS/WAMS/REMC infrastructure
 - (c) Synchro-phasor technologies
 - (d) Real time software applications
 - (e) Off-line software applications
 - (f) Big Data Analytics tools
 - (g) Decision Support Systems
 - (h) IT, Networking and Communication systems including websites, Wi-Fi access systems, cyber security & other related systems
 - (i) Conference & meeting related facilities including audio-visual equipment such as video conference equipment etc.,
 - (j) Power supply system
 - (k) Fire fighting
 - (l) Ergonomics
 - (m) Public Address System
- (24) **‘Market Operation Function’** includes but not limited to the following functions:
- (a) Facilitating Grid Access to new entities including but not limited to first time charging of elements
 - (b) Feedback in respect of Market Design, for complementing reliability and causing economy
 - (c) Open Access Administration,
 - (d) Finalization of Inter-change schedules for energy accounting
 - (e) Day Ahead Market,
 - (f) Real Time Market,
 - (g) Ancillary Services Market,
 - (h) Interface Energy Metering,
 - (i) Registry Function under REC / PAT and similar other functions as directed by the Commission
 - (j) Information dissemination.
 - (k) Any other functions assigned to the [...] LDCs under the Act and/or National Load Despatch Centre Rules, 2005 (‘NLDC Rules’) or the regulations and orders issued by the Commission from time to time;
- (25) **‘National Load Despatch Centre’ or ‘NLDC’** means the Centre at the national level established by the Central Government under sub-section (1) of section 26 of the Act;
- (26) **‘Other Support Functions’** of the [...] Load Despatch Centre including but not limited to taxation and TDS Reconciliation, Accounting, Settlement, Billing & Collection, Contracts, human resource administration, management information system, legal & regulatory affairs, policy advocacy, etc.
- (27) **‘Power System Operation Corporation Limited’ or ‘POSOCO’** means a company entrusted with the operation of the National Load Despatch Centre in accordance with Section 26 of the Act and Regional Load Despatch Centres in accordance with Section 27 of the Act or any other related function assigned by the Govt./ Commission from time to time;
- (28) **‘Region’** means any one of the regions demarcated by the Central Government under Section 25 of the

Act;

- (29) **‘Regional entity’** means an entity whose scheduling, metering and energy accounting is done at the regional level by the concerned Regional Load Despatch Centre;
- (30) **‘Regional Load Despatch Centre’ or ‘RLDC’** means the Centre for each region established by the Central Government under sub-section (1) of section 27 of the Act;
- (31) **‘Replacement Expenditure’ or ‘REPEX’** means the expenditure incurred or projected to be incurred for replacement of capital assets on completion of their useful life but are not covered under the Repairs and Maintenance expenses;
- (32) **‘Regulatory Pool Account’** means the account operated by the [...] LDC under the relevant regulations or orders by the Commission for handling Deviation Settlement Charges, Reactive Energy Charges, Ancillary Services Operation, Congestion Charges and Congestion Revenue amount due to market splitting or any other pool account / market product which may be operated by the [...] LDC from time to time as per the Regulations or directions of the Commission.
- (33) **‘Scheme’** means the facilities and equipment associated with and installed at the [...] Load Despatch Centre and Corporate office of Load Despatch Centre (if applicable), as the case may be, and shall include but shall not be limited to the following, namely: -
- i) Supervisory control and data acquisition (SCADA) System, Wide Area Measurement System (WAMS), Renewable Energy Management Centre (REMC), Weather Portal and other such related information systems
 - ii) Computer systems, hardware and software, Cyber Security Systems, Multiple Video conferencing facilities, Voice Recording Systems
 - iii) Ergonomically designed office furniture/equipment
 - iv) Auxiliary power supply system comprising Uninterrupted Power Supply, Diesel Generating Set and DC power system,
 - v) Communication system including redundant communication infrastructure – Satellite communication in addition to conventional systems,
 - vi) Other infrastructure facilities, such as air-conditioning, fire-fighting and construction and renovation of buildings, roof-top solar units for energy efficiency etc.
 - vii) Any innovative schemes R & D projects and pilot projects for better system operation, such as Synchro-phasors, System Protection Scheme,
 - viii) Disaster Recovery (Main-I & Main-II) control centres for the [...] LDCs,
 - ix) Surveillance System,
 - x) Dual redundant internet connectivity for Web Servers of LDCs
 - xi) NMS (Network Management System) & Asset management tool for Network & IT Asset Monitoring
 - xii) Cyber Security System infrastructure facilities such as Anti-APT (advanced Persistent Threat) monitoring, Vulnerability Assessment for Persistent Threat (VAPT) & control Device, Local Area Network (LAN) Zone & Layer, Secure Sockets Layer (SSL) Certificate , SSL Virtual Private Network (VPN) and Security Information & Event Management (SIEM)
 - xiii) Infrastructure to ensure high availability of the Information Technology (IT) and Operational

Technology (OT) applications:

- a) Redundant communication links / distribution path for IT / OT equipment
 - b) Redundant site infrastructure – DR
 - c) Multiple independent distribution path serving the equipment
 - d) Dual powered and fully compatible with the site topology
 - e) Cooling equipment dual powered including air-conditioning system
 - f) Fault tolerant site infrastructure with electrical power storage, standby power supply, distribution facility
 - g) Physical access security needs to be ensured for IT – OT infrastructure with biometric access, CCTV surveillance, fire alarm and firefighting system.
- xiv) Additional infrastructure facilities like ‘Digital Signature’, ‘Instant Messaging for Business’, ‘Centralized Patch Management and Antivirus server’, ‘Syslog Server’ and ‘Enterprise class Backup and replication software’ etc.
- xv) Future Technologies like Cloud Computing (e.g. PaaS (Platform as a Service), SaaS (Software as a Service), DaaS (Desktop as a Service) and are available on Public Cloud, Private Cloud and Hybrid Cloud), Big Data Analytics tools and Advanced data visualization tool (with GIS interfacing) etc.
- xvi) Ergonomically designed office equipment
- (34) **‘Seller’** means a person other than a generating company supplying power through medium term open access or long term access and whose scheduling, metering and energy accounting is coordinated by [.....] Load Despatch Centre;
- (35) **‘State Entity’ means** an entity whose scheduling, metering and energy accounting is done at the intra-state level by the concerned State Load Despatch Centre
- (36) **‘State Load Despatch Centre (SLDC)’ means the center established under subsection (1) of section 31 of the Electricity Act, 2003;**
- (37) **‘System Operation Function’** includes but not limited to the following;
- a) **Operational Planning**
 - i) Load Forecasting
 - ii) RE forecasting
 - iii) Fuel security assessment
 - iv) Production cost optimization studies
 - v) Generating outage planning
 - vi) Transmission outage planning
 - vii) Assessment of Transfer Capability
 - viii) Reactive Power studies
 - ix) Short circuit and transient stability studies
 - x) small signal stability studies
 - xi) Electromagnetic transient studies
 - xii) Mock black start drills
 - xiii) Activation of back up control centre

- xiv) Preparations for special events like festivals, natural calamities like cyclone, floods etc.
- xv) Documentation of procedures (operating, restoration)
- b) Scheduling & Despatch on day-ahead & real time basis**
 - i) Day ahead security studies factoring all outages
 - ii) Unit commitment
 - iii) Day ahead optimization and scheduling
 - iv) Shift Crew Resource Management
 - v) Anticipating and mitigating congestion
 - vi) Preparation for special events
 - vii) Handling requests for emergency/urgent outages unforeseen in operational planning horizon
- c) Real Time Operation**
 - h) Frequency Control
 - ii) Voltage control
 - iii) Tie line loading control
 - iv) Congestion management
 - v) Ensuring security at all times
 - vi) Ancillary Services
 - vii) Balancing Services, Automatic Generation Control
 - viii) Real Time Contingency Analysis
 - ix) Dynamic Security Assessment
 - x) Monitoring weather updates
 - xi) Handling emergency outage requests
 - xii) Restoration of network after tripping
 - xiii) Rescheduling of generation
 - xiv) Reporting of a grid disturbance (GD)/grid incident (GI)
 - xv) Periodic communication with stakeholders and sensitizing in case of emergency
 - xvi) De-briefing after an extreme event
- d) After the Fact or Post Despatch Analysis:**
 - i) Analysis of frequency and voltage
 - ii) Analysis of Grid Code violations and follow up with agencies
 - iii) Analysis of Grid Events (GD/GI)
 - iv) Evaluating primary response viz.computation of Frequency Response Characteristics (FRC) of individual control areas
 - v) Low Frequency Oscillations (LFO) monitoring and analysis
 - vi) Detailed reports of Grid Disturbances/Grid Events
 - vii) Simulation of events and learnings thereof
 - viii) Event replay, lessons learnt and dissemination of same
 - ix) Taking up shortcomings with stakeholders
- e) Submission of Operational feedback to CEA/CTU/STU/CERC/SERC**
- f) Information dissemination and any other function(s) assigned to the [...] LDC, as the case may**

be, under the Act or [...] LDC Rules or regulations and/or orders issued by the Appropriate Commission from time to time;

- (38) **‘User’** means the generating companies, distribution licensees, buyers, Bulk consumers (SEZ), sellers and [inter/intra]-State transmission licensees, Demand Response Consumers, Qualified Coordinating Agency (QCA), Electric Vehicle (EV) Charging Stations, Grid Reliability Service users like the National High Power Test Laboratory (NHPTL) or any other such existing (or envisaged in future) entity who use the [inter/intra]-state transmission network or the associated facilities and services of [.....] Load Despatch Centre:

Note:

- (1) A generating station or unit whose scheduling, metering and energy accounting is carried out separately for each stage or unit, such generating station or stage or unit shall be considered as a user for the purpose of sharing of Annual LDC Charges (ALC) in accordance with Regulation 25 of these Regulations and for payment of registration fees in accordance with Regulation 23 of these Regulations;
 - (2) In case of [inter/intra]-State transmission licensees, each [Region/State] where the licensee has the operation shall be considered as a user for the purpose of these Regulations;
 - (3) Where the inter-State Transmission System is having cross-border international connections, the agency designated by Government of India for coordinating the scheduling, metering and energy accounting for the transaction carried out for import and export of power through the said transmission system shall be considered as a user for the purpose of these Regulations;
 - (4) Where any international/cross border generating station is connected to the inter-state transmission system of the Indian National Grid and injecting power through medium and/or long term PPA, the agency designated by Government of India for coordinating the scheduling, metering and energy accounting for the transaction carried out for import and/or export of power through the said transmission system shall be considered as a user for the purpose of these Regulations;
 - (5) The Sardar Sarovar Project (SSP) and Bhakra Beas Management Board (BBMB), whose scheduling, metering and energy accounting is carried out by the concerned RLDCs, shall be considered as users of the respective Load Despatch Centres for the purpose of this Regulation;
 - (6) Distribution licensee selling power through LTA/MTOA and using transmission system shall be considered as a user under the category “Seller” for the purpose of these Regulations;
 - (7) Any other entity which may use services of the [.....] Load Despatch Centres from time to time;
- (39) **‘Year’** means a financial year;
- (40) The words and expressions used in these regulations and not defined herein but defined in the Act shall have the meaning assigned to them under the Act or the CERC (Indian Electricity Grid Code) Regulations 2010 as amended from time to time.

CHAPTER-2

GENERAL

4. Registration

- (1) The users shall register with the respective [.....] load Despatch Centre (LDC) for commencement of Grid Access for availing system operation services of [.....] LDC as under:
 - (a) All generating stations, distribution licensees and [inter/intra]-State transmission licensees or any other user defined under clause 3(38) of these regulations intending to avail the Grid Access shall register themselves with concerned [.....] Load Despatch Centre responsible for scheduling, metering, energy accounting and switching operations, not less than 30 days prior to intended date of commencement of Grid access, by filing an application in the format prescribed as **Appendix-IV** to these regulations:

Provided that when a unit is added to a generating station, the generating company, as the case may be, shall send an intimation to the concerned [.....] LDC by 20th day of every month for updating its records;

Provided that when an element is added to a transmission system, transmission licensee shall send intimation to the concerned [.....] LDC for updating its records by 20th day of every month.
 - (b) The buyers and sellers who intend to avail grid access shall register themselves with the concerned [.....] Load Despatch Centre not less than 30 days prior to intended date of commencement of grid access by filing an application in the format prescribed as **Appendix-IV** to these regulations;
 - (c) The Power exchanges and traders who intend to avail the services of [...] LDCs shall register themselves with the National Load Despatch Centre and [...] Load Despatch Centre by filing an application in the format prescribed as Appendix-IV to these regulations.
- (2) The [.....] Load Despatch Centre, as the case may be, after scrutinizing applications for registration and on being satisfied with correctness of the information furnished in the application shall register the applicant and send a written intimation to the applicant:
- (3) The generating companies, distribution licensees, [inter/intra]-State transmission licensees, power exchanges, traders, sellers and buyers and any other user as specified in Regulation 3(38) shall pay the registration fees as specified in these Regulations.
- (4) [.....] Load Despatch Centre shall maintain a list of registered users on their website along with their date of registration.

5. Capital Expenditure (CAPEX) and Replacement Expenditure (REPEX) Plan:

- (1) The [.....] Load Despatch Centre shall formulate the scheme for Capital Expenditure (CAPEX) and Replacement Expenditure (REPEX) for the control period duly approved by the Board of Directors / Appropriate Approving Authority of the Load Despatch Centre. The CAPEX and REPEX plan shall also include future costs to be incurred for the up-gradation, modernization, automation and expansion of infrastructure in addition to existing capital assets.
- (2) The concerned [.....] Load Despatch Centre shall submit the following along with the petition for determination of fees and charges:

- (a) the CAPEX for the control period along with details of estimated expenses, financing plan and estimated completion period of each scheme ;
 - (b) the REPEX plan for capital expenditure of existing asset, completion of life of existing asset, cumulative depreciation recovered, date of replacement, cumulative repayment of loan up to date of replacement, writing off of the gross value of the original assets from the original fixed assets along with estimated expenses and estimated completion period of each scheme.
- (3) In relation to any consolidated schemes of CAPEX and REPEX involving one or more LDCs the capital expenditure chargeable to each LDC shall be segregated and considered as a part of capital expenditure of the LDC concerned as the case may be (Applicable only to RLDCs and NLDC or in cases of multiple LDCs in one State).

CHAPTER-3

APPLICATION FOR FEES AND CHARGES DETERMINATION

6. Application for determination of fees and charges

- (1) The [.....] LDC shall make application in the formats annexed as **Appendix-I** to these regulations within 180 days from the date of notification of these Regulations, for determination of fees and charges for the control period, based on the capital expenditure incurred and duly certified by the auditor as on 1.4.2019 and projected to be incurred during the control period based on the CAPEX and the REPEX; other approved expenditures viz. Human Resource expense, Operation & Maintenance, Interest on working capital etc.
- (2) The application shall contain particulars such as source of funds, equipment(s) proposed to be replaced, details of assets written off, and details of assets to be capitalized etc.
- (3) Before making the application, the concerned [.....] LDC, as the case may be, shall serve a copy of the application on the users and submit proof of service along with the application. The concerned [.....]LDC shall also keep the complete application posted on its website till the disposal of its petition.
- (4) The concerned [...] LDC, as the case may be, shall within 7 days after making the application, publish a notice of the application in at least two daily newspapers, one in English language and one in Indian modern language, having circulation in each of the States or Union Territories where the users are situated, in the same language as of the daily newspaper in which the notice of the application is published, in the formats given in **Appendix-II** to these regulations. The [.....] LDC will recover such expenditure on publication of notice of the application from the Users, on pro rata basis, as one-time expenditure.
- (5) The concerned [.....]LDC, as the case may be, shall be allowed the fees and charges by the Commission based on the capital expenditure incurred as on 1.4.2019 and projected to be incurred during control period on the basis of CAPEX and REPEX duly certified by the auditor in accordance with these Regulations:
Provided that the application shall contain details of underlying assumptions and justification for the capital expenditure incurred and the expenditure proposed to be incurred in accordance with

the CAPEX and REPEX.

- (6) If the application is inadequate in any respect as required under **Appendix-I** of these regulations, the application shall be reverted back to the concerned [.....] LDC for resubmission of the petition after rectifying the deficiencies as may be pointed out by the Commission.
- (7) The Commission shall consider the suggestions and objections, if any, received from the respondents and any other person including the consumers or consumer associations. The Commission shall issue order determining the fees and charges order after hearing the petitioner, the respondents and any other person permitted by the Commission.
- (8) During pendency of the application, the applicant shall continue to bill the users on the basis of fees and charges approved by the Commission during previous control period and applicable as on 31.3.2019, for the period starting from 1.4.2019 till approval of the Fees and Charges by the Commission, in accordance with these Regulations. This shall be subject to true up as approved by the Commission for the Control Period 2019-2024.
- (9) After expiry of the control period, the applicant shall continue to bill the users on the basis of fees and charges approved by the Commission and applicable as on 31.3.2024 for the period starting from 1.4.2024 till approval of fees and charges under the applicable regulations.

7. Determination of Fees and Charges

- (1) The Fees and Charges shall be determined separately for the [.....] Load Despatch Centres; Provided that the annual charges of NLDC including corporate office expenses for the control period shall be apportioned among Regional Load Despatch Centre on the basis of the peak demand served (in MW) in the respective region as indicated on CEA's website for the preceding year (applicable only to NLDC & RLDCs).

8. Truing up of Annual Charges

- (1) The [.....] LDCs shall make an application, in the formats annexed as Appendix-I to these regulations by 31.10.2024, for carrying out truing up exercise after end of the control period.
- (2) The [.....]LDCs shall submit, along with the application for truing up, details of capital expenditure including additional capital expenditure, sources of financing, human resource expenditure, operation and maintenance expenditure etc. incurred for the period from 1.4.2019 to 31.3.2024, duly audited and certified by the auditor.

- (3) The Commission shall carry out truing up exercise along with the application for determination of fees and charges for the next control period based on the capital expenditure including additional capital expenditure incurred up to 31.3.2024 and as admitted by the Commission after prudence check at the time of truing up:

Provided that the [.....]Load Despatch Centre, as the case may be, shall carry out annual reconciliation and provisional truing up of expenditure based on the capital expenditure including additional capital expenditure up to 31st March of each financial year of the control period and refund the additional recovery of fees and charges to the users by 30th September of the following year.

Provided that the [.....] Load dispatch centre, as the case may be shall carry out mid-term review of its expenses at any point of time within the control period, if the same is felt necessary in view of the

emergent situation such as pay revision, significant deviation w.r.t. approved CAPEX/REPEX or any other unforeseen requirement etc., and may suitably file the Mid Term Review Petition before the appropriate commission.

- (4) The amount under-recovered or over-recovered by the [.....] Load Despatch Centres, 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 respective [.....] LDC within three months from the date of the order issued by the Commission after the truing up exercise.

CHAPTER-4

COMPUTATION OF CAPITAL COST AND ADDITIONAL CAPITALISATION

9. Computation of Capital Cost

- (1) The capital cost as admitted by the Commission after prudence check, for the [.....] Load Despatch Centre, shall form the basis for determination of annual charges.
- (2) The capital cost shall be computed by considering the following:
 - i) The Capital cost as admitted by the Commission as on 01.04.2019 duly trued up by excluding liability, if any;
 - ii) Expenditure on account of additional capitalization and de-capitalization determined in accordance with the Regulation 10;
 - iii) The original capital cost of the fixed assets which has been replaced during control period shall be de-capitalized from the admitted capital cost from the respective date duly adjusting cumulative depreciation and cumulative loan repayment, if any;
 - iv) Interest during construction and incidental expenditure during construction;
 - v) Any grant received from the Central or State Government or any statutory body or authority for execution of the project which does not carry any liability of repayment shall be excluded from the Capital Cost for the purpose of computation of interest on loan, return on equity and depreciation;
- (3) The Capital cost shall be admitted after prudence check which may include scrutiny of the reasonableness of the capital expenditure, financing plan, Interest During Construction (IDC), Incidental Expenditure During Construction (IEDC), financing charges, any gain or loss on account of Foreign Exchange Rate Variation (FERV), and such other matters as may be considered appropriate by the Commission:

Provided further that interest during construction shall be computed corresponding to the loan from the date of infusion of debt fund, and after taking into account the prudent phasing of funds duly adjusting IDC on account of time over run if any;

Provided further that incidental expenditure during construction shall be computed after prudence check duly adjusting the IEDC on account of time over run if any, interest on deposits or advances, or any other receipts and liquidated damages recovered or recoverable corresponding to the delay.

10. Additional Capitalization and De-Capitalization

- (1) The capital expenditure incurred or projected to be incurred for the assets already in service and the

additional assets projected to be procured during tariff period may be admitted, in its discretion, by the Commission, subject to prudence check.

- (2) In case of de-capitalization of assets under the REPEX or otherwise, the original cost of such asset as on the date of de-capitalization shall be deducted from the value of gross fixed asset along with corresponding adjustment in equity, outstanding loan, cumulative repayment of loan and depreciation in the year such de-capitalization takes place.

11. Debt-Equity Ratio

- (1) The actual debt - equity ratio as admitted by the Commission for the period ending 31.3.2019 shall be considered for the opening capital cost of the [.....] Load Despatch Centre for the next control period:

Provided that, if on the date of notification of these regulations, the accounts of the LDC(s) are not separated from the parent organization(s), the actual debt: equity ratio appearing in the books of accounts as on the date of transfer shall be considered for the opening capital cost of the Load Despatch Centre.

- (2) The capital expenditure incurred prior to 1.4.2019, where debt - equity ratio has not been determined by the commission for determination of annual charges of the [.....] LDC for the period ending 31.3.2019, the commission shall determine the debt: equity ratio in accordance with the *previous control period LDC fees & charges regulations of the Commission* i.e. Regulation [...] of the [...] Electricity Regulatory Commission (Fees and Charges for [...] Load Despatch Centres and other related matters) Regulations:

Provided that if no previous period regulation on LDC fees & charges is available, the commission shall determine the debt:equity ratio as per the existing tariff determination norms for the parent organization.

- (3) For the capital expenditure incurred or projected to be incurred on or after 1.4.2019, the debt-equity ratio shall be considered as 70:30. If the equity actually deployed is more than 30% of the capital cost, equity in excess of 30% shall be treated as normative loan:

Provided that:

- i. where equity actually deployed is less than 30% of the capital cost, actual equity shall be considered for determination of Return on Equity;
- ii. the equity invested in foreign currency shall be designated in Indian rupees the date of each investment;
- iii. any grant obtained for the execution of the project shall not be considered as a part of capital structure for the purpose of debt - equity ratio.

Explanation: The premium, if any, raised by the [...] Load Despatch Centre while issuing share capital and investment of internal resources created out of its free reserve, for the funding of the project, shall be reckoned as paid up capital for the purpose of computing return on equity, only if such premium amount and internal resources are actually utilized for meeting the capital expenditure of the [...] LDC.

CHAPTER-5

[...] LDC FEES AND CHARES STRUCTURE

- 12. Components of [...] LDC Fees and Charges:** The [...] LDC Fees and Charges shall comprise [...] Load Despatch Centre Fees to be recoverable by the [...] Load Despatch Centre towards registration for commencement of grid access and scheduling and annual charges to be collected in the form of Annual LDC Charges from users.
- 13. Annual LDC Charges (ALC):** The annual LDC charges shall correspond to the expenditure proposed to be incurred by the [...] LDC and as approved by the appropriate Commission. The annual LDC charges (ALC) as approved by the Appropriate Commission shall be recovered on monthly basis. The annual charges shall consist of the following components, namely:
- (a) Return on equity;
 - (b) Interest on loan capital;
 - (c) Depreciation;
 - (d) Operation and maintenance (excluding human resource) expenses including:
 - Administrative and General Expenses (excluding HRD expenses);
 - Repair and Maintenance Expenses;
 - (e) Human resource (HR) expenses including Human Resource Development (HRD) expenses;
 - (f) NLDC & Corporate office expenses [applicable only for RLDCs] **or** RLDC Charges (applicable only for SLDCs) and
 - (g) Interest on working capital;
 - (h) Statutory Taxes & Duties
 - (i) Any other incidental expenses incurred for discharging any responsibility assigned by statutory bodies

CHAPTER-6

COMPUTATION OF ANNUAL LDC CHARGES (ALC)

- 14. Return on Equity**
- (1) Return on equity shall be computed in Rupee terms on the equity base determined in accordance with Regulation 11 of these regulations.
 - (2) Return on equity shall be computed on pre-tax base rate of [...] % to be grossed up as per the sub-clause (3) of this regulation.
 - (3) The rate of return on equity shall be computed by grossing up the base rate with the effective tax rate of the financial year 2019-20 applicable to the [...] Load Despatch Centre:
Provided that the return on equity with respect to the actual tax rate applicable to the [...] Load Despatch Centre in line with the provisions of the relevant Finance Acts of the respective year during control period shall be trued up at the end of the control period.
 - (4) Rate of return on equity shall be rounded off to three decimal points and be computed as per the following formula:

$$\text{Rate of pre-tax return on equity} = \text{Base rate} / (1-t)$$

Where 't' is the effective tax rate in accordance with sub-clause (3) and regulation 3(15).

15. Interest on Loan Capital

- (1) The loan determined in accordance with Regulation 11 shall be considered as gross normative loan for calculation of interest on loan.
- (2) The normative loan outstanding as on 01.04.2019 shall be worked out by deducting the cumulative repayment as admitted by the Commission up to 31.03. 2019 from the gross normative loan.
- (3) The repayment for respective year of the control period shall be deemed to be equal to the depreciation allowed for that year. In case of de-capitalization of assets, the repayment shall be adjusted by taking into account cumulative repayment on a pro-rata basis and the adjustment should not exceed cumulative depreciation recovered up to the date of de-capitalization of such asset.
- (4) The rate of interest shall be the weighted average rate of interest calculated on the basis of the actual loan portfolio at the beginning of each year applicable to the respective [...] Load Despatch Centre:
Provided 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 further that if any of the [...] Load Despatch Centre does not have actual loan, then the weighted average rate of interest on the loan of [...] Load Despatch Centre as a whole shall be considered.
- (5) The interest on loan shall be calculated on the normative average loan of the year by applying the weighted average rate of interest.
- (6) The [...] Load Despatch Centre shall make every effort to re-finance the loan as long as it results in net savings on interest and in that event the costs associated with such re-financing shall be borne by the users and the net savings shall be shared between the users and the [...] Load Despatch Centre in the ratio of 2:1. The changes to the terms and conditions of the loans shall be reflected from the date of such re-financing.
- (7) In case of dispute, any of the parties may make an application in accordance with the [...] Electricity Regulatory Commission (Conduct of Business) Regulations, [Year], as amended from time to time, including statutory re- enactment thereof, for settlement of the dispute:
Provided that the users shall not withhold any payment on account of the interest claimed by the users and the [...] Load Despatch Centre] during the pendency of any dispute arising out of re-financing of loan.

16. Depreciation

- (1) The value base for the purpose of depreciation shall be the capital cost of the assets admitted by the Commission.
- (2) The salvage value of the asset (excluding IT equipment and Software) shall be considered as 10% and depreciation shall be allowed up to maximum of 90% of the capital cost of the asset. The salvage value for IT equipment and software shall be considered as NIL and 100% value of the assets shall be considered as depreciable.
- (3) Land shall not be a depreciable asset and its cost shall be excluded from the capital cost while computing depreciable value of the capital cost of the asset.

- (4) Depreciation shall be calculated annually based on Straight Line Method and at rates specified in Appendix-III to these regulations for the assets of the [...] Load Despatch Centre.
- (5) Assets fully depreciated shall be shown separately.
- (6) Value of the assets not in use or declared obsolete shall be taken out from the capital cost for the purpose of calculation of depreciation.
- (7) The balance depreciable value as on 1.4.2019 shall be worked out by deducting the cumulative depreciation from the gross depreciable value of the assets appearing in the books of accounts of the [...] Load Despatch Centre for the respective [...] Load Despatch Centre.
- (8) In case of de-capitalization of assets in respect of concerned [...] LDC, the cumulative depreciation shall be adjusted by taking into account the depreciation recovered in tariff by the de-capitalized asset during its useful services.

17. Operation and Maintenance Expenses

- (1) Operation and maintenance (O&M) expenses (excluding human resource expenses) shall be derived on the basis of actual operation and maintenance expenses for the years 2014-15 to 2018-19, based on the audited balance sheets. The O&M expenses shall be normalized by excluding abnormal operation and maintenance expenses, donation, loss-in-inventory, prior-period adjustments, claims and advances written-off, provisions, etc., if any, after prudence check by the Commission
- (2) The normalized operation and maintenance expenses, after prudence check, for the years 2014-15 to 2018-19, shall be escalated at the rate of [...%] to arrive at the normalized operation and maintenance expenses at the 2018-19 price level respectively and then averaged to arrive at normalized average operation and maintenance expenses for the 2014-15 to 2018-19 at 2018-19 price level. The average normalized operation and maintenance expenses of 2018-19 price level shall be escalated at the escalation rate as worked out in accordance with clause (4) of this Regulation to arrive the operation and maintenance expenses for the year 2019-20.
- (3) The operation and maintenance expenses for the year 2019-20 shall be escalated further at the annual escalation rate as worked out in accordance with clause (4) this Regulation to arrive at permissible operation and maintenance expenses for the subsequent years of the control period.
- (4) The escalation rate shall be worked out by considering the compounded annual growth rate, inflation rate, rationalization of O&M expenses and other factors, if any.
- (5) The actual expenditure towards Annual Maintenance Contract (AMC) of SCADA system, after prudence check, shall be considered for arriving at the Operation and Maintenance Expenses during 2019-20 to 2023-24.

18. Human Resource Expenses

- (1) Human resource expenses shall be derived on the basis of actual human resource expenses for the years 2014-15 to 2018-19 based on the audited balance sheets. The human resource expenses shall be normalized by excluding abnormal Human resource expenses, ex-gratia, VRS expenses, prior-period adjustments, claims and advances written-off, provisions, etc., if any, after prudence check by the Commission:

Provided that the expenses towards payment of Certificate Retainer-ship amount would be a part of the Human Resource Expenses.

Provided that performance related pay computed in accordance with DPE /other applicable guidelines shall be met from the incentive allowed in accordance with Regulation 27 of these Regulations.

- (2) The normalized human resource expenses, after prudence check, for the year 2014-15 to 2018-19, shall be escalated at the rate of [.....%]to arrive at the normalized human resource expenses at the 2018-19 price level respectively and then averaged to arrive at normalized average human resource expenses for the 2014-15 to 2018-19 at 2018-19 price level.
- (3) The manpower approved during the year 2018-19 shall be the basis for computation of the HR expenses for 2019-20. Thereafter, for the subsequent years, the HR expenses shall be escalated at the annual escalation rate.
- (4) The average normalized human resource expenses of 2018-19 price level shall be escalated at the escalation rate as worked out in accordance with clause (6) this Regulation to arrive the operation and maintenance expenses for the year 2019-20.
- (5) The human resource expenses for the year 2019-20 shall be escalated further at the annual escalation rate as worked out in accordance with clause (6) this Regulation to arrive at permissible human resource expenses for the subsequent years of the control period:
- (6) The escalation rate shall be worked out by considering the compound annual growth rate, inflation rate, rationalization of human resource and other factors, if any.
- (7) The cost of anticipated increase in the manpower of each year of the control period shall also be considered after prudence check. The strength of manpower required for effective functioning of [...] LDC will be as approved by the Appropriate Commission while specifying the fees and charges.
- (8) Human Resource Development (HRD) expenses, incurred by the [...] LDC will be a part of HR Expenses from FY 2019-20 onwards. In addition to the capacity building of the employees of LDC, capacity building workshops / training programs organized for other stakeholders will also form part of the HRD expenses. Projected annual HRD expenses will be at least 5% of the HR expenses arrived based on the methodology defined above. However, if the actual utilization towards HRD expenditure exceeds the 5% of HR expenses of any year, it shall be allowed at the time of truing up by the Commission after prudence check. In case of less than 5% utilization, it shall be refunded at the time of annual truing up. All efforts shall be made to ensure minimum seven days training per employee per annum is imparted as per the National Training Policy.

19. Interest on Working Capital

- (1) The working capital shall cover:
 - (i) Operation and maintenance expenses (excluding human resource expenses) for one month;
 - (ii) Human resource expenses including Human Resource Development Expenses for one month;
 - (iii) NLDC charges for one month (applicable to RLDCs only); and/or
 - (iv) RLDC charges for one month (applicable to SLDCs only); and
 - (v) Receivables equivalent to two months of annual charges as approved by the Commission.
- (2) Rate of interest on working capital shall be on normative basis and shall be considered as the bank rate as on 1.4.2019.
- (3) Interest on working capital shall be payable on normative basis notwithstanding that the [...] Load Despatch Centre] has not taken any loan for working capital from any outside agency.

20. NLDC Charges and Corporate Office) Expenses [only for RLDCs] / RLDC Charges [only for SLDCs]

- (1) To the extent applicable, NLDC charges shall be computed by following the methodology specified for computing annual charges of Regional Load Despatch Centres except interest on working capital.
- (2) The Corporate Office Expenses, computed in accordance with the actual expenses incurred, shall be allowed by the Commission, after prudence check.
- (3) The expenditure towards running the FOLD Secretariat computed in accordance with the actual expenses incurred, shall be allowed by the Commission, after prudence check.
- (4) All expenses of NLDC and Corporate Office expenses approved by the Commission shall be apportioned to the Regional Load Despatch Centre on the basis of the peak demand served (in MW) in the respective region as indicated in CEA's website for the preceding year.
- (5) RLDC Charges may be paid directly by the concerned users and/or the SLDCs / STU (on behalf of the RLDC users in the state) shall be approved by the Appropriate Commission while allowing the Annual Fees & Charges of the respective State Load Despatch Centre.

CHAPTER-7

LDC EMPOWERMENT RESERVE

21. LDC Empowerment Reserve

- (1) The Load Despatch Centre shall create and maintain a separate fund called 'Load Despatch Centre Empowerment Reserve' ('LDCE Reserve') for administering capital expenditure.
- (2) The charges on account of return on equity, interest on loan, depreciation of the [.....] Load Despatch Centre including the registration fees, shall be deposited into the LDCE Reserve after meeting the statutory tax requirements:
Provided that short term open access charges and other income of the [.....] LDCs, if any, shall not form part of the LDCE Reserve and will be deposited to a separate account namely Contingency Reserve as per regulation -23 of these regulations.
- (3) The [.....]LDC shall be entitled to utilize the money deposited in the LDCE Reserve for creation of new assets, loan repayment, servicing the capital raised in the form of interest and dividend payment restricted to -----% percentage [as allowed in proviso 14(2) of these Regulations] of Paid up Capital, meeting stipulated equity portion in asset creation, margin money for raising loan from the financial institutions, Corporate Social Responsibility and Sustainability Activities in compliance of the applicable provisions of the Companies Act and Dept. of Public Enterprises (DPE) / other applicable Government Guidelines issued and amended from time to time, Capacity Building of [.....] LDC and sub-LDC personnel and other users / stake holders, including but not limited to using the platform of Forum of Load Despatchers (FOLD) and/or through Institutes of national/international repute like NPTI/PSTI/NITs/ IITs/IIMs etc., funding participation in national/international conferences viz. NPSC, IEEE, CIGRE etc. and publication of technical papers there-in, facilitating higher education, availing institutional membership with national/international bodies such as the IEEE, CIGRE etc., and funding of Research & Development (R & D) projects, hiring consultancy service for learning & implementation of new technology & market products etc. subject to approval of the Commission.

- (4) To ensure betterment of Power System, it is imperative that LDC promotes interaction among stakeholders, shares and learns the best practices, quickly adopts technologies through using the platforms such as the FOLD. LDCs will ensure timely payment of any fees like membership fees or any other recurring or non-recurring expenditure related to the participation in the activities of the FOLD from its LDCE Reserve. NLDC, as the secretariat of FOLD, has to deposit such fees to its LDCE Reserve after meeting the expenses on FOLD activities, if any.
- (5) The LDCE Reserve shall not be utilized for any other revenue expenditure. However, in case of shortfall in meeting the revenue expenditure including human resource expenses, Load Despatch Centre shall be entitled to take interest free advance from LDCE Reserve which shall be recouped from the expenditure allowed by the Commission under the respective heads at the time of truing up to be carried out after the expiry of the control period.
- (6) Any asset created by the [...] LDC out of the money deposited into the LDCE Reserve shall be considered for computation of return on equity, and depreciation as per the rates specified in these Regulations. This will be treated as a normative loan with NIL Interest on Loan for this funding. Load Despatch Centre shall submit details of such assets in the CAPEX plan.
- (7) Load Despatch Centre shall submit the amount accumulated in LDCE Reserve along with the break-up of sources from where the fund is received. The [...] LDC shall submit at the end of every financial year (FY), a report on utilization of LDCE Reserve during last FY to the Commission. The Commission may (if necessary) issue directives to the [...] LDC for effective utilization of LDCE Reserve.

22. Contingency Reserve

- (1) The [...] Load Despatch Centre shall maintain a separate account namely Contingency Reserve for depositing other income like short term open access charges, REC charges, PAT Charges and any other income (if any) etc.
- (2) The [...] Load Despatch Centre shall use such income to meet the short fall, if any, in the annual charges allowed by the Commission or to meet the contingency expenses which were not foreseen at the time of making the application for fees and charges and are considered necessary for the efficient power system operation. Recovery of Contingency expenses incurred for works assigned by the Commission will be allowed after prudence check.
- (3) The balance amount shall be deposited into the LDCE Reserve after meeting the statutory tax requirements.
- (4) There may be some requirements for which funds available under the contingency expenses are not enough to meet the unforeseen requirements. Such short fall may be met from the LDCE Reserve.

CHAPTER-8

COMPUTATION AND RECOVERY OF [...] LDC FEES AND CHARGES

- 23. Registration Fees:** The fees shall be payable by the users including power exchanges and electricity traders before commencement of grid access and scheduling. The fees payable are as under:
- (1) The distribution licensees and [inter/intra]-State transmission licensees shall pay non-refundable one-time registration fees of Rs. 10 Lakh along with application for commencement of grid access:
Provided that the LDC concerned shall be intimated by 20th of every month by the [inter/intra]-State transmission licensees about the existing as well as additions of transmission elements synchronized with the grid and by the distribution licensees about the additional capacity tied up for the purpose of updating the record by concerned [...] LDC;
Provided that all other users having NIL contracted capacity shall be charged on the basis of a minimum capacity of (___) MW which is the least MW load for which an entity is eligible for grant of connectivity to Inter/Intra state transmission system as per the Connectivity (to Inter/Intrastate transmission system) Regulations (*Year*) of the Commission.
 - (2) The generating companies shall pay registration fees as under:
 - a) For generating station up to 10 MW installed capacity: Rs. 0.50 Lakh;
 - b) Generating stations having installed capacity of not less than 10 MW and up to 100 MW: Rs. 1.0 Lakh;
 - c) Generating stations having installed capacity of not less than 100 MW and up to 2000 MW : Rs. 5.0 Lakh;
 - d) Generating stations having capacity of 2000 MW and above : Rs.10.0 Lakh, and;
 - e) Provided that the entire capacity of the generating station or stage thereof whose scheduling, metering and energy accounting is done separately shall be considered for the purpose of registration fees at the time of the initial registration;
 - f) Provided further that the generating companies shall intimate the [...] LDC concerned about the additional capacity commissioned by the generating station or a stage thereof in the previous month by 20th day of each month.
 - (3) The [inter/intra]-State trading licensees, sellers and buyers shall pay one time registration fees of Rs. 10,000.00 (Rupees Ten Thousands only) along with application for commencement of scheduling for market operation.
 - (4) The Power exchanges shall pay Rs. 20.0 Lakh (Rupees Twenty Lakh only) as one time registration fees to NLDC and shall pay [...] as one time registration fees to [...] LDC.
 - (5) All other users as defined in 3(38) of these regulations shall be liable to pay one time registration fees of Rs. 10,000 (Rupees Ten Thousand only) along with the application (ref. Appendix-IV) for commencement of grid access.
- 24. Monthly LDC Charges:** The monthly LDC charges shall be calculated for the [inter/intra]-State transmission licensees, generating stations and sellers, distribution licensees and buyers as under:
- (a) The LDC Charges for [inter/intra]-state transmission licensees shall be determined on the basis of 33.34% of approved annual charges and shall be worked out on the basis of the circuit kilometers (ckt-

km) of the lines owned by [inter/intra]-state transmission licensees;

- (b) The LDC Charges for the [inter/intra]-state Generating station and sellers shall be determined on the basis of 33.33% of annual LDC charges and shall be worked out on the basis of installed capacity in case of the generating station and long term and/or medium term contracted capacity in case of sellers;
- (c) The LDC Charges for the distribution licensees and buyers shall be determined on the basis of 33.33% of annual charges and shall be worked out on the basis of sum of aggregate allocated capacity and/or contracted capacities in case of distribution licensee including deemed distribution licensees and sum of long term and/or medium term contracted capacity in case of buyer.

25. Computation and Payment of LDC Charges:

- (1) The rates of LDC charges for [inter/intra]-state transmission licensee shall be computed on annual basis and recovered on monthly basis in accordance with following formula;

$$\text{Monthly LDC Charge rate (for Transmission Licensee)} = \\ (33.34\%) [ALC / (Ckt_Km)]/12 \text{ in Rs./Kilometer}$$

Where,

ALC = Approved Annual LDC Charges in accordance with Chapters 5 & 6;

Ckt_Km = Length of aggregate [inter/intra]-state transmission lines as on last day of the month prior to the month of billing (rounded off to the nearest two decimals);

Provided that the monthly LDC charges for individual transmission licensee shall be computed on the basis of rates determined above and the length (in Ckt_ Km) of transmission lines owned and operated by the respective transmission licensee(s).

- (2) The rates of LDC charges for generating companies and sellers shall be computed on annual basis and recovered on monthly basis in accordance with following formula:

$$\text{Monthly LDC Charge rate (for Generation or seller)} = \\ (33.33\%) (ALC / (Capacity))/12 \text{ in Rs./ MW}$$

Where,

ALC = Approved Annual LDC Charges in accordance with Chapters 5 & 6;

Capacity = Aggregate Installed capacity (in MW) of generating stations and contracted capacity (in MW) of the sellers (rounded off to the nearest two decimals) whose scheduling and energy accounting is covered under concerned [...] LDC as on last day of the month prior to the month of billing;

Provided that the monthly LDC charges for generating companies or sellers shall be computed on the basis of rates determined above and respective 'capacity' (MW) of the generating station or seller.

- (3) The rates of LDC charges for distribution licensee and buyers shall be computed on annual basis and recovered monthly after taking into account aggregate contracted capacity in accordance with following formula:

$$\text{Monthly LDC Charge rate (for Distribution Licensee or buyer)} = \\ (33.33\%) (ALC / (Capacity))/12 \text{ in Rs./ MW}$$

Where,

ALC = Approved Annual LDC Charges in accordance with Chapters 5 & 6;

Capacity = Aggregate long term or medium term contracted capacity by distribution licensees and buyers (rounded off to the nearest two decimal) whose scheduling and accounting is covered under concern [...] LDC

as on last day of the month prior to the month of billing;

Provided that the monthly LDC charges from distribution licensees and buyers shall be collected in proportion to the sum of their allocations and contracted capacities, as the case may be, as on the last day of the month prior to billing of the month.

- (4) The respective State Load Despatch Centre (SLDC) shall be the nodal agency for collection of monthly LDC charges payable to the concerned Regional Load Despatch Centre (RLDC), from the distribution licensees and other RLDC users in the State. After collecting the monthly LDC charge the concerned SLDC shall deposit the same into the account of the concerned RLDC. The RLDC users in the state shall have to option to make direct payment of monthly RLDC Charges into the account of concerned RLDCs or they may choose to pay the same through the respective SLDCs.

- 26. National Load Despatch Centre charges and corporate office expenses:** All the expenses of National Load Despatch Centre and Corporate Office, as approved by the Commission, shall be apportioned to the Regional Load Despatch Centres on the basis of the demand served in the respective regions. The expenditure incurred for activities envisaged for the Forum of Load Despatchers (FOLD) shall be booked under NLDC charges & corporate office expenses.

CHAPTER-9

PERFORMANCE LINKED INCENTIVE

- 27. Performance linked incentive to [...] LDC**

- (1) Recovery of incentive by the [...] Load Despatch Centre shall be based on the achievement of the Key Performance Indicators (KPIs) as specified in **Appendix-V** or such other parameters as may be prescribed by the Commission.
- (2) Each [...] Load Despatch Centre shall submit its actual performance against each of the key performance indicators to the Commission on annual basis as per the format specified in **Appendix-V**.
- (3) The [...] LDC shall submit the details in regards to each Key Performance Indicator in the format specified in **Appendix-V** along with the methodology for approval of the Commission.
- (4) The Commission shall evaluate the overall performance of the [...] LDC, on the basis of KPIs and weightage specified in **Appendix-V**. The Commission, if required, may seek advice of the Central Electricity Authority for evaluation of the performance of system operator.
- (5) The [...] LDC as the case may be, shall be allowed to recover incentive of 10% of gross turnover / gross sales of the LDC for aggregate performance level of 85%. The incentive shall increase by 1% on pro-rata basis for every 5% increase of performance level above 85%:

Provided that incentive shall be reduced by 1% on pro-rata basis for the every 3% decrease in performance level below 85%.

- (6) The [...] LDC, as the case may be, shall compute the Key Performance Indicators on annual basis for the previous year ending on 31st March and submit to the Commission along with petitions for approval of the Commission as per **Appendix-V and Appendix-VI** of these Regulations:

Provided that the key performance indicators of previous year ending on 31st March shall be considered

to recover incentive on each year and shall be trued up at the end of the control period.

28. Certification Retainer-ship Amount to the employees of [...] LDC

- (1) The employees of [...] Load Despatch Centre who acquire the certificate of basic level, specialist level and management level in their respective areas of specialization shall be allowed a fixed retainer-ship amount during the validity of such certificate period as per the following parameters:

SI. No.	Certification Level	Retainer-ship amount (in Rs. Per Month)
1	Basic	7500
2	Specialist	10000
3	Management	12000

Provided that a person acquiring one basic level and more than one Specialist and/or Management level certificate shall be entitled for maximum retainer ship amount capped at the higher applicable slab. For e.g. a person having both basic & specialist certificates shall be entitled for a maximum retainer-ship amount of Rs. 10,000/- per month. Similarly, a person having all three levels of certificates shall be entitled for a maximum retainer-ship amount of Rs. 12,000/- per month.

Provided that, funding will be done from the LDCE Reserves for (i) payment of registration and/or application fees for appearing in basic, specialist and management level examinations, (ii) payment towards training expenses for these examinations, (iii) payment of certification retainer-ship amount to the certified LDC personnel.

- (2) Certificate Retainer-ship Amount shall be in addition to the performance linked incentive specified in Regulation 27.

CHAPTER-10

BILLING AND OTHER MISCELLANEOUS PROVISIONS

29. Billing and Payment of charges

- (1) Bills shall be raised for the [...] LDC charge on monthly basis by the [...] Load Despatch Centre in accordance with these regulations, and payments shall be made by the users directly to the concerned [...] Load Despatch Centre.
- (2) Persistent default in payment of [...] LDC fees and charges shall be brought to the notice of the Commission.

30. Late payment surcharge: In case the payment of any bill for charges payable under these regulations is delayed by a user beyond a period of 30 days from the date of billing, a late payment surcharge at the rate of **1.5%** per month shall be levied from the users.

31. Recovery of cost of hedging or Foreign Exchange Rate Variation: Recovery of cost of hedging or foreign exchange rate variation shall be made directly by the [...] LDC from the users without making any application before the Commission:

Provided that in case of any objections by users regarding the cost of hedging or foreign exchange rate variation, the [...] LDC may make an appropriate application before the Commission for decision.

32. Rebate

- (1) A rebate of 2% shall be allowed by the [...] LDC on gross bill amount settled through RTGS, NEFT, Letter of Credit or cheque up to seventh day (i.e. T+6 day) from the date of issuance of the bills, where T is the date of issuance of the bill by the [...] LDC.
- (2) The rebate of 1% shall be allowed when payment is made from T+7 to T+15 days from issuance of the bill.
- (3) No rebate shall be allowed for payment made after T+15 days where T is the date of issuance of bill by the [...] LDC

33. Power to Relax: The Commission, for reasons to be recorded in writing, may relax any of the provisions of these regulations on its own motion or on an application made before it by the [...] LDC /Users after giving reasonable opportunity to those likely to be affected by such relaxation.

34. Removal of Difficulty: The Commission, for reasons to be recorded in writing, may relax any of the provisions of these regulations on its own motion or on an application made before it by the [...] LDC /Users after giving reasonable opportunity to those likely to be affected by such relaxation.

APPENDIX

TARIFF FILING FORMS FOR [...] LDC

INDEX

Checklist of Forms and other information/ documents for tariff filing for [...]LDCs

Form No.	Tariff Filing Formats ([...] LDC)	Tick
FORM-1	Summary Sheet	
FORM-2	Normative Parameters considered for calculations	
FORM-3A	Financial Package up to COD	
FORM-3B	Statement of Capital cost	
FORM-3C	Financing of Additional Capitalization	
FORM-4A	Calculation of Interest on Normative Loan	
FORM-4B	Calculation of Weighted Average Rate of Interest on Actual Loans	
FORM-4C	Details of Foreign Loans	
FORM-5A	Statement of Depreciation	
FORM-5B	Calculation of Depreciation Rate	
FORM-6A	Details of Operation and Maintenance Expense excluding Human Resource Expenses	
FORM-6B	Details of Human Resource Expenses	
FORM-6C	Details of Repairs and Maintenance Expenses	
FORM-6D	Details of Administrative and General expenses	
FORM-7	Calculation of Interest on Working Capital	
FORM-8	Year wise statement of LDC Empowerment Reserve (projected)	
FORM-9	Other Income	

Other Information/ Documents		
Sl. No.	Information/Document	Tick
1	Audited Balance Sheet and Profit & Loss Accounts with all the Schedules & Annexure for [...] LDC and [...]LDC/Corporate office.	
2	Copies of relevant loan Agreements	
3	a) Copies of the approval of Competent Authority for the Capital Cost and Financial package. b) CAPEX and REPEX plan along with Board approval, estimated capital cost and justification	
4	a) Copies of the Equity participation agreements and necessary approval for the foreign equity, if any. b) Equity contribution from LDC Empowerment Reserve along with Board Approval	
5	Any other relevant information, (Please specify)	

Note 1. 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 electronic form.

Summary Sheet

Name of the LDC: _____

(Rs. in lacs)

S.N.	Particulars	Form No.	Existing 2018-19	2019-20	2020-21	2021-22	2022-23	2023-24
1	2		3	4	5	6	7	8
1	Return on Equity ¹							
2	Interest on Loan Capital							
3	Depreciation							
4	O&M Expenses excluding human resource expenses							
5	Human resource expenses including HRD							
6	NLDC*/RLDC ² charges and Corporate office expenses (as applicable)							
7	Interest on Working Capital							
	Total							

¹ Details of calculations, considering equity as per regulation, to be furnished.

*NLDC charge & corporate office expense applicable for RLDCs

²RLDC charge applicable for SLDCs where SLDC/STU is paying the RLDC charge on behalf of RLDC users in the State

Petitioner

Normative Parameters considered for calculations of annual charges

Name of the LDC:

Particulars	Unit	As Existing	Control Period				
		Existing 2018-19	2019-20	2020-21	2021-22	2022-23	2023-24
1	2	3	4	5	6	7	8
Base Rate of Return on Equity	%						
Tax Rate	%						
Receivables in Months for WC	months						
O&M excluding human resource expenses in Months for WC	months						
Human resource expenses in Months for WC	months						
*NLDC / #RLDC charges in Months for WC	months						
Base Rate of SBI as on (date)	%						

* Applicable only for RLDCs

Applicable only for SLDCs

Petitioner

Financial Package up to COD

Name of the LDC: _____

Project Cost as on 1.4.2019: _____

Date of Commercial Operation: _____

(Amount in lacs)

	Financial Package as Approved		Financial Package as on 1.4.2019		As Admitted on 1.4.2019	
	Currency and Amount ³		Currency and Amount ³		Currency and Amount ³	
1	2	3	4	5	6	7
Loan-I						
Loan-II						
Loan-III						
and so on						
Equity-						
Foreign						
Domestic						
Total Equity						
Debt : Equity Ratio						

Petitioner

Statement of Capital cost

Name of the LDC:

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

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

Petitioner

Financing of Additional Capitalization

Name of the LDC:

(Amount in Rs. lakh)

Financial Year (Starting from 1.4.2019)	Projected/Actual					Admitted				
	Year 1 ¹	Year 2	Year 3	Year 4	Year 5 & So on	Year 1	Year 2	Year 3	Year 4	Year 5 & So on
1	2	3	4	5	6	7	8	9	10	11
Amount capitalized in Work/ Equipment										
Financing Details										
Loan-1										
Loan-2										
Loan-3 and so on										
Total Loan²										
Equity										
Internal Resources										
Others										
Total										

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

Petitioner

Calculation of interest on Normative Loan						
Name of LDC:						
				Amount in Rs. lakh		
Particulars	Existing 2018-19	2019- 20	2020- 21	2021- 22	2022- 23	2023- 24
1	2	3	4	5	6	7
Gross Normative loan – Opening						
Cumulative repayment of Normative Loan up to previous year						
Net Normative loan-Opening						
Increase/Decrease due to ACE during the Year						
Repayments of Normative Loan during the year						
Net Normative loan-Closing						
Average Normative Loan						
Weighted average Rate of Interest on actual Loans						
Interest on Normative loan						

(Amount in Rs. lakh)

Petitioner

Calculation of Weighted Average Rate of Interest on Actual Loans¹

Name of LDC : _____

(Amount in lacs)

Sl. no.	Particulars	Existing 2018-19	2019-20	2020-21	2021-22	2022-23	2023-24
1	2	3	4	5	6	7	8
	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						
	Loan repayment effective from (date to be indicated)						
	Loan-2 ...						
	Loan-3 and so on						
	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						

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

Form - 4C

Name of the [] LDC: _____

Exchange Rate as on 01.04.2019: _____

Details of Foreign Loans

(Amount in Rs. lakh)

FY starting from 1.4.19		Year-1				Year-2 – Year-3 and so on				
S	1	2	3	4	5	6	7	8	9	10
		Date	Amount (Foreign Exchange)	Exchange rate	Amount (in Rs)	Date	Amount (Foreign Exc.)	Exchange Rate	Amount (in Rs)	...
	Currency1 [1]									
A	At the date of Drawl									
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									
	Currency2 [1]									
A	At the date of Drawl									
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									

Petitioner

Statement of Depreciation

Name of LDC:

(Amount in Rs. lakh)

Financial Year	Existing 2018-19	2019- 20	2020- 21	2021- 22	2022- 23	2023- 24
1	2	11	12	13	14	15
Depreciation on Capital Cost						
Depreciation recovered during the Year						
Cumulative depreciation deducted due to de-capitalization or write off of the assets etc.						
Cumulative Depreciation & Advance against Depreciation recovered up to the year						

Petitioner

FORM-5B

Calculation of Depreciation Rate

Name of LDC:

(Amount in Rs lakh)

Sl. no.	Name of the Assets ¹	gross Block as on 31.03.2019, whichever is later and subsequently for each year thereafter up to 31.3.2024	Depreciation Rates as per CERC's Depreciation Rate Schedule	Depreciation Amount for each year up to 31.03.2024
	1	2	3	4= Col.2 X Col.3
1	Land (Freehold, Lease hold)			
2	Building and civil works			
3	Auxiliary power supply system			
4	Office furniture and furnishing			
5	Communication equipment			
6	SCADA hardware with test equipment and spares			
7	ICT equipment			
8	Software			
9	TOTAL			
	Weighted Average Rate of Depreciation (%)			

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

Petitioner

Details of Operation and Maintenance Expenses excluding human resource expenses

Name of LDC:

(Rs. in lacs)

	ITEMS	2019-20	2020-21	2021-22	2022-23	2023-24
	1	2	3	4	5	6
1	Repairs and maintenance expenses					
2	Administrative and general expenses etc.					
3	Total					

NOTE:

1. Detail of these expenditure as per formats enclosed
2. To be furnished for the [...] LDC.

Petitioner

Name of LDC:

Details of Human Resource Expenses

Period-	1	ACTUALS FOR PREVIOUS FIVE YEARS
	2	ACTUALS FOR IST SIX MONTHS OF THE CURRENT YEAR
	3	EXPECTED FOR LAST SIX MONTHS OF THE CURRENT YEAR
	4	EXPECTED FOR ENSUING YEAR

Sr. No.	Account Code	Particulars	Executive		Non-Executive		Total
			Technical	Non-Tech.	Technical	Non-Tech.	
1	Number of Employees						
2	Salaries						
3	Over-time						
4	Dearness Allowance						
5	Other Allowance						
6	Bonus						
7	Productivity Linked Incentive						
8	Sub Total (1 to 6)						
	OTHER STAFF COST						
8	Reimbursement of Medical Expenses						
9	Leave Travel Concession						
10	Reimbursement of House Rent						
11	Interim Relief to Staff						
12	Encashment of Earned Leave						
13	Honorarium						
14	Payment under Workmen compensation Act						
15	Ex-gratia						
16	Expenditure on VRS						
17	Sub Total (8 to 16)						
18	Staff Welfare Expenses						

19	Terminal Benefits						
20	Provisions						
21	Others (Specify)						
22	Human Resource Development						
23	Total (7+17+18+19+20+21+22)						
24	Revenue recovered, if any						
25	Net Total (23-24)						
Additional Information							
1	No. of Employees as on :						
	i) Executives						
	ii) Non-Executives						
	iii) Skilled						
	iv) Non-Skilled						
	Total						
2	No. of Employees per						
	i) MW handled						
	ii) MKwh handled						

D)	An annual increase in HR expenses under a given head in excess of 20 percent should be explained with proper justification.
II)	The data should be based on audited balance sheets.
III)	Details of arrears, if any pertaining to prior period should be mentioned separately.
IV)	No. of employees opting for VRS during each year should be indicated.
V)	Details of abnormal expenses, if any shall be furnished separately.

Petitioner

Details of Repairs and Maintenance Expenses

Name of LDC:

A. Repairs and Maintenance Expenses (Actuals)

Sr.No.	Description	Actuals for previous Financial Year	Current Financial Year			Estimates for ensuing year
			Actual For First Six Months	Projection For Balance Six Months	Total	
1	Consumption of stores and spares					
2	Loss of stores and spares					
3	Plant & Machinery repairs and maintenance					
4	Civil works repairs and maintenance					
5	Annual Maintenance Contract (4a+4b+4c)					
5a	-Plant & machineries					
5b	-Civil repairs and maintenance					
5c	-Others					
6	Others (Specify)					
7	Total (1+2+3+4+5+6)					
8	Revenue recoveries, if any					
9	Net Total (7-8)					

B. Repairs And Maintenance Expenses (As per Regulation)

Particulars	2014-15	2015-16	2016-17	2017-18	2018-19
Admitted Capital cost as on 1st April of the year					
Repairs and Maintenance expenses					
Repairs and Maintenance expenses as a percentage of Capital cost					

Petitioner

Details of Administrative and General Expenses Name of LDC/:

Sl. No.	Description	Actuals for previous five Financial Year	(Current Financial Year)			Estimates for ensuing year
			Actual For First Six Months (Rs. in Crs.)	Projection For Balance Six Months	Total	
Property Related Expenses						
1	License Fees					
2	Rent					
3	Rates & Taxes					
4	Insurance					
5	Contribution to accident reserve fund					
6	Sub total :					
Communication						
7	Telephone & Trunk Call					
8	Postage & Telegram					
9	Telex, Teleprinter Charges, Telefax					
10	Courier Charges					
11	Other					
12	Sub total :					
Professional Charges						
13	Legal expenses					
14	Consultancy charges					
15	Technical fees					
16	Audit fees					
17	Other charges					
18	Sub total :					

	Conveyance & Travelling					
19	Conveyance expenses					
20	Travelling expenses					
21	Hire charges of vehicle					
22	Others					
23	Subtotal :					
	Other Expenses					
24	Electricity charges					
25	Fees & Subscription					
26	Books & Periodicals					
27	Printing & Stationery					
28	Advertisement					
29	Entertainment					
30	Watch & Ward					
31	Miscellaneous					
32	Organizational Development Expenses					
33	Donation					
34	Subtotal :					
	Material Related Expenses					
35	Demurrage and Wharf age on materials					
36	Clearing & forwarding charges					
37	Transit insurance					
38	Subtotal :					
39	Others (Specify)					
40	Total (6+12+18+23+34+38+39)					
41	Revenue recoveries, if any					
42	Net Total (40-41)					

Petitioner

Calculation of Interest on Working Capital**Name of LDC/**

(Amount in lacs)

Sl. No.	Particulars	Existing 2018-19	2019-20	2020-21	2021-22	2022-23	2023-24
1	2	3	4	5	6	7	8
1	O & M expenses excl. HR						
2	Human resource expenses						
3	NLDC charges (Applicable for RLDC only) or RLDC Charges (Applicable only for SLDCs)						
4	Receivables						
5	Total Working Capital						
6	Rate of Interest						
7	Interest on Working Capital						

Petitioner

LDC Empowerment Reserve

Name of LDC: _____

(Amount in lacs)

Particulars	Existing 2018-19	2019- 20	2020- 21	2021- 22	2022- 23	2023- 24
1	2	3	4	5	6	7
Opening LDC Empowerment Reserve – Opening						
Additions in LDC Empowerment Reserve during the year						
Total LDC Empowerment Reserve						
Less : Utilization for capital expenses						
Less : Utilization for revenue expenses						
Net LDC Empowerment Reserve as on 31 st March of the year						
Average fund accumulated during the year						

Note: Break-up of additions and utilization shall be provided in separate sheet for each year

Petitioner

Other Income

Name of LDC: _____

(Amount in lacs)

Particulars	As on 31.3.2019	2019- 20	2020- 21	2021- 22	2022- 23	2023- 24
1	2	3	4	5	6	7
Other Income – Opening						
Add : Short term open access charges						
Add : Allocation from REC income						
Add:						
Add:						
Gross Income during the year						
Less : Utilization to meet shortfall						
Less: Use for...						
So on						
...						
Net Income as on 31 st March....						

Petitioner

[To be published in pursuance of Regulation 6]

Name of the Applicant (in Bold Letters)

(Registered Office Address)

1. The applicant above-named has made an application before the (Central/Name of State) Electricity Regulatory Commission, [Location] for determination of fees and charges for [Give name of the applicant].

2. The users of the [...] LDC are:

a.

b.

3. Details of tariff (Publish only applicable portion):

(Rs. in lakh)

	Tariff for the previous year	Year-wise tariff sought to be determined					
		Previous year	2019-20	2020-21	2021-22	2022-23	2023-24
[...]LDC							

4. A copy of the application made for determination of tariff is posted on the website (indicate here the address of the website).

5. The suggestions and objections, if any, on the proposals for determination of tariff contained in the application be filed by any person, including the beneficiary before **the Secretary, [...] Electricity Regulatory Commission, [Address]** with a copy to the applicant within 30 days of publication of this notice.

Place _____

Name and Designation of the Authorized Signatory

Date _____

Depreciation Schedule

S. No.	Asset Particulars	Depreciation Rate
A	Land under full ownership	0.00%
B	Land under lease	
(a)	for investment in the land	3.34%
(b)	For cost of clearing the site	3.34%
C	<u>Other Assets</u>	
A	Building & Civil Engineering works	
(i)	Offices and residential	[3.34%]
(ii)	Containing plant and equipment	3.34%
(iii)	IT (Hardware Equipment and Software)	[100%]
(iv)	Temporary erections such as wooden structures	[100.00%]
(v)	Roads other than Kutcha roads	[3.34%]
(vi)	Others	[3.34%]
B	Transformers, Kiosk, sub-station equipment & other fixed apparatus (including plant foundation)	
(i)	Transformers including foundations having rating of 100 KVA and over	5.28%
(ii)	Others	5.28%
C	Solar Panel/Wind Mill	5.28%
D	Lightning arrestor	
(i)	Station type	5.28%
(ii)	Pole type	5.28%
(iii)	Synchronous condenser	5.28%
E	Batteries	15.00%
(i)	Underground cable including joint boxes and disconnected boxes	5.28%
(ii)	Cable duct system	3.34%

F	Overhead lines including cable support systems	
(i)	Lines on fabricated steel operating at terminal voltages higher than 66 kV	3.34%
(ii)	Lines on steel supports operating at terminal voltages higher than 13.2 kV but not exceeding 66 kV	5.28%
(iii)	Lines on steel on reinforced concrete support	5.28%
(iv)	Lines on treated wood support	5.28%
G	Meters	5.28%
H	Self-propelled Vehicles	9.50%
I	Air Conditioning Plants	
(i)	Static	5.28%
(ii)	Portable	9.50%
J	(i) Office furniture and furnishing	6.33%
	(ii) Office equipment	6.33%
	(iii) Internal wiring including fittings and apparatus	6.33%
	(iv) Street Light fittings	5.28%
K	Apparatus let on hire	
(i)	Other than motors	9.50%
(ii)	Motors	6.33%
L	Communication equipment	
(i)	Radio and high frequency carrier system	6.33%
(ii)	Telephone lines and telephones	6.33%
M	I. T equipment	15.00%
N	Software	30.00%
O	Any other assets not covered above	5.28%

Petitioner

(In Compliance of Regulation 4)

1. **Name of the entity** (in bold letters):
2. **Registered office address:**
3. **Region in which registration is sought:**
 - i. North-eastern
 - ii. North
 - iii. East
 - iv. West
 - v. South

4. **User category:**
 - i. Generating Station
 - ii. Seller
 - iii. Buyer
 - iv. Transmission Licensee
 - v. Distribution Licensee
 - vi. Trading Licensee
 - vii. Power Exchange
 - viii. Battery Energy Storage system
 - ix. Electric Vehicle Charging Stations
 - x. QCA / Aggregators
 - xi. Others

5. **User details** (as on 31st March of last financial year):

- i. **Category – generating Station**

- i. Total Installed Capacity
- ii. Maximum Contracted Capacity (MW) using ISTS
- iii. Points of connection to the ISTS:

Sl. No.	Point of connection	Voltage level (kV)	Number of Special Energy Meters (Main) installed at this location

- ii. **Category - Seller/Buyer/Distribution Licensee**

- i. Maximum Contracted Capacity (MW) using ISTS
- ii. Points of connection to the ISTS:

Sl. No.	Point of connection	Voltage level (kV)	Number of Special Energy Meters (Main) installed at this location

- iii. **Category – Transmission Licensee (inter-State)**

- i. Sub-stations:

Sl. No.	Sub-station Name	Number of transformer	Total Transformation Capacity or Design MVA handling capacity if switching Station

ii. Transmission lines: (line wise details to be given)

Sl. No.	Voltage level (kV)	Number of transmission lines	Total Circuit-Kilometers

iv. **Category (Others):** Please specify details.

6. Contact person(s) details for billing related to [...] LDC:

- i. Name:
- ii. Designation:
- iii. Telephone No.:
- iv. E-mail address:
- v. Postal address:

7. Other Details:

- i. PAN No.:
- ii. GST No.:
- iii. Bank Account No.:
- iv. Bank Name and Address:
- v. MICR No.:

The above information is true to the best of my knowledge and belief.

Signature of Authorized Representative

Place:

Name:

Date:

Designation:

Contact number:

Assessment of Key Performance Indicators

Name of LDC: _____

Performance Year: _____

Category	No.	Key Performance Indicators	Weightage	Previous Year	Current Year
(A) Stake holder satisfaction	1				
	2				
	3				
	.				
(B) Financial Prudence	1				
	2				
	3				
	.				
(C) Learning & Growth	1				
	2				
	3				
	.				
(D) Internal Process	1				
	2				
	3				
	.				

(Calculations of specific key performance indicators above are to be detailed in a Procedure duly prepared by the LDC which shall be approved by the Commission)

Human Resource Requirement - Projection for Control Period: _____**I. Number of regular employees posted in Load Despatch Centre**

Grade	Description	Year-1	Year-2	Year-3	Year-4	Year-5
Board	Director					
E9	Executive Director					
E8	General Manager /Chief Engineer					
E7	Dy. General Manager / Jt. CE/Addl. Chief Engineer					
E5-E6	Manager/Chief Manager / Superintending Engineer					
E3-E4	Engineer to Dy. Manager/ Executive Engineer					
E2	Assistant / Deputy Engineer					
E1	Supervisor / Junior Engineer					
NE	Non-Executives/Workmen					
TOT-E	Total Executives					
E/NE	Ratio of Executives to Non-Executive = (TOT-E)/(NE)					

II. Adequacy of personnel in functional areas

	Description	Year-1	Year-2	Year-3	Year-4	Year-5
E-RS	Executives working in rotating shifts					
E-SO	Executives in System Operation functions (Off-line)					
E-MO	Executives in Market Operation functions (Off-line)					
E-SL	Executives in System Logistics functions (off-line)					
E-OTH	Executives in Other Support functions (Off-line) (Law, HR, F&A, etc.)					
E-GS	Executives working in general shifts (E-SO+MO+SL+OTH)					
RS/GS	Ratio of Executives in Rotating Shift / General Shift					
SO/TOT	Ratio of Executives (SO/Total)					
MO/TOT	Ratio of Executives (MO/Total)					
SL/TOT	Ratio of Executives (SL/Total)					
OTH/TO T	Ratio of Executives (Oth/Total)					

III. Number of personnel in Load Despatch Centre having valid certificates (as on 31st March of respective year)

S No.	Particulars	Year-1	Year-2	Year-3	Year-4	Year-5
A	Certified executives- Basic level					
B	Certified executives - Reliability Specialist					
C	Certified executives - Market Specialist					
D	Certified executives- System Logistics Specialist					
E	Certified executives - Specialist (Others)					
F	Certified executives- Management level					
G	Total number of certified executives					
H	Total number of executives					
I	Ratio of Basic to Total (A/H)					
J	Ratio of Reliability Specialist to Total (B/H)					
K	Ratio of Market Specialist to Total (C/H)					
L	Ratio of Logistics Specialist to Total (D/H)					
M	Ratio of Other Specialist to Total (E/H)					
N	Ratio of Management Specialist to Total (F/H)					

IV. Qualification of personnel in Load Despatch Centre

S No.	Discipline (at graduation level)	Year-1	Year-2	Year-3	Year-4	Year-5
1	Power System					
2	Electrical					
3	Renewable					
4	Communication					
5	Computer Science					
6	Public Policy					
7	Economics					
8	Commerce					
9	Statistics					
10	Law					
11	Human Resource					
12	Finance					
13	Management					
14	Others-(Specify)					

V. Number of regular employees posted in Sub-Load Despatch Centre

Grade	Description	Year-1	Year-2	Year-3	Year-4	Year-5
E3-E4	Engineer to Dy. Manager/ Executive Engineer					
E2	Assistant / Deputy Engineer					
E1	Supervisor / Junior Engineer					
NE	Non-Executives/Workmen					
TOT-E	Total Executives					
E/NE	Ratio of Executives to Non-Executive = (TOT-E)/(NE)					
	Number of certified personnel					
