PART 1
FORM- C

Break-up of Capital Cost for Gas/Liquid fuel 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	Liabilities/ Provisions	Variation (3 – 4 - 5)	Specific Reasons for Variation*	Actual/Estimated Capital Expenditure upto Cut-off date
1	2	3	4	5	6	7	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						

S. No.	Break Down	As per Original Estimates as per Investment Approval	Actual Capital Expenditure	Liabilities/ Provisions	Variation (3 – 4 - 5)	Specific Reasons for Variation*	Actual/Estimated Capital Expenditure upto Cut-off date
1	2	3	4	5	6	7	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						

S. No.	Break Down	As per Original Estimates as per Investment Approval	Actual Capital Expenditure	Liabilities/ Provisions	Variation (3 – 4 - 5)	Specific Reasons for Variation*	Actual/Estimated Capital Expenditure upto Cut-off date
1	2	3	4	5	6	7	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	Startup fuel						
	Total Construction & Pre-Commissioning Expenses						
6	Overheads						
6.1	Establishment						

S. No.	Break Down	As per Original Estimates as per Investment Approval	Actual Capital Expenditure	Liabilities/ Provisions	Variation (3 – 4 - 5)	Specific Reasons for Variation*	Actual/Estimated Capital Expenditure upto Cut-off date
1	2	3	4	5	6	7	8
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 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:

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)

PART 1
FORM- D

Break-upofConstruction/Supply/Servicepackages

Name of the Petitioner
Name of the Generating Station

(Amount in Rs. Lakh)

S. No.	Name/No. of Construction / Supply / Service Package	Package A	Package B	Package C	…	Total Cost of all packages
1	Scope of works[1] (in line with head of cost break-ups as applicable)					
2	Whether awarded through ICB/DCB/ Departmentally/ Deposit Work					
3	No. of bids received					
4	Date of Award					
5	Date of Start of work					
6	Date of Completion of Work/Expected date of completion of work					
7	Value of Award[2] in (Rs. Lakh)					
8	Firm or With Escalation in prices					

9	Actual capital expenditure till the completion or up to COD whichever is earlier(Rs.Lakh)					
10	Taxes & Duties and IEDC (Rs. Lakh)					
11	IDC, FC, FERV & Hedging cost (Rs. Lakh)					
12	Sub -total (9+10+11) (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-B 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-C.
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 e.g. Rs.80 Cr. +US$50m=Rs.430Cr. at US$=Rs70 as on say 1.4.19.

(Petitioner)

PART 1
FORM-E

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 handling 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)

PART 1
FORM- F

Detail of cost over run

Name of the Petitioner _____
Name of the Generating Station _____

S. 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*					
1.2	Rehabilitation & Resettlement (R&R)					
1.3	Preliminary Investigation & Site Development					
2	Plant & Equipment					
2.1	Steam Generator Island					
2.2	Turbine Generator Island					
2.3	BOP Mechanical					
2.3.1	Fuel Handling & Storage system					
2.3.2	External water supply 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					

S. 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		
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					
2.4	BOP Electrical					
2.4.1	Switch Yard Package					
2.4.2	Transformers Package					
2.4.3	Switch gear Package					
2.4.4	Cables, Cable facilities & grounding					

2.4.5	Lighting					
2.4.6	Emergency D.G. set					
	Total BOP Electrical					
2.5	Control & Instrumentation (C & I) Package					
	Total Plant & Equipment excluding taxes & Duties					
3	Initial Spares					
4	Civil Works					
4.1	Main plant/Adm. Building					
4.2	CW system					
4.3	Cooling Towers					
4.4	DM water Plant					

S. 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		
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					
4.15	Road & Drainage					
	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	Startup fuel					
	Total Construction & Pre-Commissioning Expenses					
6	Overheads					
6.1	Establishment					

S. 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		
6.2	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 Coat					
	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.

(Petitioner)

PART 1
FORM- G

Detail of time over run

Name of the Petitioner _____
Name of the Generating Station _____

S. No	Description of Activity / Works / Service	Original Schedule (As per Planning)		Actual Schedule (As per Actual)		Time Over-Run	Reasons for delay	Other Activity affected (Mention S. No. of activity affected)
		Start Date	Completion Date	Actual Start Date	Actual Completion Date	Days		
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)

PART 1
FORM- H

StatementofAdditionalCapitalisationduringfive year beforethe end ofusefullife ofthe Project

Name of the Petitioner _____
Name of the Generating Station _____
COD _____

S. No.	Year	Work / Equipment added during last five years of useful life of each Unit/Station	ACE Claimed (Actual / Projected)				Regulations under which claimed	Justification	Impact on life extension
			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)

PART 1
FORM- I

DetailsofAssetsDe-capitalizedduringthe period

Name of the Petitioner
Name of the Generating Station
Region State District

(Amount in Rs. Lakh)

S. No.	Name of the Asset	Nature of de-capitlization (whether claimed under exclusion or as additional capital expenditure)	Original Value of the Asset Capitalised	Year Put to use	Depreciation recovered till date of de-capitalization	Whether earning RoE at the normal rate of weightage average rate of interest on loan
1	2	3	4	5	6	7
1						
2						
3						
4						
5						

Note: Year wise detail need to be submitted.

(Petitioner)

PART 1
FORM- J

Reconciliation of capitalisation claimed vis-à-vis books

Name of the Petitioner _____
Name of the Generating Station _____
COD _____

(Amount in Rs. Lakh)

S. No.	Particulars	2019-20	2020-21	2021-22	2022-23	2023-24
1	2	3	4	5	6	7
1	Closing Gross Block as per IND AS					
2	Add/Less: Adjustments*					
3	Closing Gross Block as per IGAAP					
4	Opening Gross Block as per IND AS					
5	Add/Less: Adjustments*					
6	Opening Gross Block as per IGAAP					
7	Total Additions as per books (G = 3 - 5)					
8	Less: Additions pertaining to other Stages (give Stage wise breakup)					
9	Net Additions pertaining to instant project/Unit/Stage					
10	Less: Exclusions (items not allowable / not claimed)					

11	Net Additional Capital Expenditure Claimed (on accrual basis)					
12	Less: Un-discharged Liabilities (as per IGAAP)					
13	Add: Discharges of un-discharged liabilities, corresponding to admitted assets/works (as per IGAAP)					
14	Net Additional Capital Expenditure Claimed (on cash basis)					

Note: (1) Form is to be certified by the Auditor and Certificate issued as per the guidelines prescribed by their governing body.
(2) Reason for exclusion of any expenditure shall be given in Clear terms. *Break-up to be specified.

(Petitioner)

PART 1
FORM- K

Statement showing items/assets/works claimed under Exclusions:

Name of the Petitioner _____
Name of the Generating Station _____
COD _____

(Amount in Rs. Lakh)

S. No.	Head of Work / Equipment	ACE Claimed under Exclusion				Justification
		Accrual basis	Un-discharged Liability included in col. 3	Cash basis	IDC included in col. 3	
1	2	3	4	(5 = 3 – 4)	6	7

Note: 1. Exclusions claimed on assets not allowed in Tariff should be supported by the specific reference of Commission Order date, Petition No., amount disallowed, etc.

2. For inter unit transfer, nature of transfer i.e. temporary or permanent should be mentioned. It is to be certified that exclusion sought in receiving station only and not in sending station or in both the station.

(Petitioner)

PART 1
FORM- L

Name of the Petitioner _____
Name of the Generating Station _____

StatementofCapitalcost
(To be given for relevant dates and year wise)

(Amount in Rs. Lakh)

S. No.	Particulars	As on relevant date		
		Accrual Basis	Un-discharged Liabilities	Cash Basis
A	a) Opening Gross Block Amount as per books			
	b) Amount of IDC in A(a) above			
	c) Amount of FC in A(a) above			
	d) Amount of FERV in A(a) above			
	e) Amount of Hedging Cost in A(a) above			
	f) Amount of IEDC in A(a) above			
B	a) Addition in Gross Block Amount during the period (Direct purchases)			
	b) Amount of IDC in B(a) above			
	c) Amount of FC in B(a) above			
	d) Amount of FERV in B(a) above			

	e) Amount of Hedging Cost in B(a) above			
	f) Amount of IEDC in B(a) above			
C	a) Addition in Gross Block Amount during the period (Transferred from CWIP)			

S. No.	Particulars	As on relevant date		
		Accrual Basis	Un-discharged Liabilities	Cash Basis
	b) Amount of IDC in C(a) above			
	c) Amount of FC in C(a) above			
	d) Amount of FERV in C(a) above			
	e) Amount of Hedging Cost in C(a) above			
	f) Amount of IEDC in C(a) above			
D	a) Deletion in Gross Block Amount during the period			
	b) Amount of IDC in D(a) above			
	c) Amount of FC in D(a) above			
	d) Amount of FERV in D(a) above			
	e) Amount of Hedging Cost in D(a) above			
	f) Amount of IEDC in D(a) above			

E	a) Closing Gross Block Amount as per books			
	b) Amount of IDC in E(a) above			
	c) Amount of FC in E(a) above			
	d) Amount of FERV in E(a) above			
	e) Amount of Hedging Cost in E(a) above			
	f) 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)

PART 1
FORM- M

Name of the Petitioner _____
Name of the Generating Station _____

StatementofCapitalcost
(To be given for relevant dates and year wise)

(Amount in Rs. Lakh)

S. No.	Particulars	As on relevant date		
		Accrual Basis	Un-discharged Liabilities	Cash Basis
A	a) Opening Gross Block Amount as per books			
	b) Amount of IDC in A(a) above			
	c) Amount of FC in A(a) above			

	d) Amount of FERV in A(a) above			
	e) Amount of Hedging Cost in A(a) above			
	f) Amount of IEDC in A(a) above			
B	a) Addition in Gross Block Amount during the period (Direct purchases)			
	b) Amount of IDC in B(a) above			
	c) Amount of FC in B(a) above			
	d) Amount of FERV in B(a) above			
	e) Amount of Hedging Cost in B(a) above			
	f) Amount of IEDC in B(a) above			
C	a) Addition in Gross Block Amount during the period (Transferred from CWIP)			

S. No.	Particulars	As on relevant date		
		Accrual Basis	Un-discharged Liabilities	Cash Basis
	b) Amount of IDC in C(a) above			
	c) Amount of FC in C(a) above			
	d) Amount of FERV in C(a) above			
	e) Amount of Hedging Cost in C(a) above			
	f) Amount of IEDC in C(a) above			

D	a) Deletion in Gross Block Amount during the period			
	b) Amount of IDC in D(a) above			
	c) Amount of FC in D(a) above			
	d) Amount of FERV in D(a) above			
	e) Amount of Hedging Cost in D(a) above			
	f) Amount of IEDC in D(a) above			
E	a) Closing Gross Block Amount as per books			
	b) Amount of IDC in E(a) above			
	c) Amount of FC in E(a) above			
	d) Amount of FERV in E(a) above			
	e) Amount of Hedging Cost in E(a) above			
	f) 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)

PART 1
FORM- N

CalculationofIntereston NormativeLoan

Name of the Petitioner _____
Name of the Generating Station _____

(Amount in Rs Lakh)

S. No.	Particulars	Existing 2018-19	2019-20	2020-21	2021-22	2022-23	2023-24
1	2	3	4	5	6	7	8
1	Gross Normative loan – Opening						
2	Cumulative repayment of Normative loan up to previous year						
3	Net Normative loan – Opening						
4	Add: Increase due to addition during the year / period						
5	Less: Decrease due to de-capitalisation during the year / period						
6	Less: Decrease due to reversal during the year / period						
7	Add: Increase due to discharges during the year / period						
8	Net Normative loan - Closing						
9	Average Normative loan						
10	Weighted average rate of interest						
11	Interest on Loan						

(Petitioner)

PART 1
FORM-O

CalculationofIntereston WorkingCapital

Name of the Petitioner _____
Name of the Generating Station _____

(Amount in Rs Lakh)

S. No.	Particulars	Existing 2018-19	2019-20	2020-21	2021-22	2022-23	2023-24
1	2	3	4	5	6	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)

PART 1
FORM- P

IncidentalExpenditureup toSCODand up toActual/anticipatedCOD

Name of the Petitioner _____
Name of the Generating Station _____

(Amount in Rs. Lakh)

S. 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	Depreciation		
7	Other Office and Administrative Expenses		
8	Others (Please Specify Details)		
9	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)

PART 1
FORM- Q

Expenditureunderdifferentpackagesup toSCODand up toActual/anticipatedCOD

Name of the Petitioner _____
Name of the Generating Station _____

(Amount in Rs. Lakh)

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

(Petitioner)

PART 1
FORM- R

Actualcash expenditure

Name of the Petitioner _____
Name of the Generating Station _____

(Amount in Rs. Lakh)

Particulars	Quarter-I	Quarter-II	Quarter-III	Quarter-n / DOCO
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)

PART 1
FORM- S

Statement of Liability Flow

Name of the Petitioner _____
Name of the Generating Station _____

Party	Asset / Work	Year of actual capitalisation	Original Liability	Liability as on 31.03.2019	Discharges (Year wise)	Reversal (Year wise)
a) For assets eligible for normal RoE						

b) For assets eligible for RoE at weightage average rate of interest on loan						

(Petitioner)

PART 1
FORM- T

Summary of issue involved in the petition

1.	Petitioner:		
2.	Subject		
3.	Prayer:		
4.	Respondents		
	Name of Respondents		
	a.		
	b.		
	c.		
5.	Project Scope		
	Cost		
	Commissioning		
	Claim		
	AFC		
	Capital cost		
	Initial spare		
	NAPAF (Gen)		
	Any Specific		

TARIFF FILING FORMS (HYDRO)

FOR DETERMINATION OF TARIFF

PART-II

Annexure

PART-II

ChecklistofForms and otherinformation/documentsfor tarifffilingfor HydroStations

Form No.	Title of Tariff Filing Forms (Hydro)	Tick
FORM- 1	Summary of Tariff	
FORM -1 (I)	Statement showing claimed capital cost	
FORM -1 (II)	Statement showing Return on Equity	
FORM-2	Details of COD, Type of hydro station, Normative Annual Plant Availability Factor(NAPAF) & Other normative parameters considered for tariff calculation	
FORM-3	Salient Features of Hydroelectric Project	
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 Hydro Power Generating Station	
FORM-5C	Break-up of Capital Cost for Plant & Equipment	
FORM-5D	Break-up of Construction/Supply/Service packages	
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 end of the Project	
FORM 9Bi	Details of Asset De-capitalized during the period	
FORM- 9C	Statement showing reconciliation of ACE claimed with the capital additions as per books	
FORM- 9D	Statement showing items/assets/works claimed under Exclusions	
FORM- 9E	Statement of Capital cost	
FORM- 9F	Statement of Capital Woks in Progress	

Form No.	Title of Tariff Filing Forms (Hydro)	Tick
FORM- 10	Financing of Additional Capitalisation	
FORM- 11	Calculation of Depreciation on original project cost	
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- 13B	Calculation of Interest on Working Capital	
FORM- 13C	Non-Tariff Income	
FORM- 13D	Incidental Expenditure during Construction	
FORM- 14	Draw Down Schedule for Calculation of IDC & Financing Charges	
FORM- 14A	Actual cash expenditure	
FORM- 15A	Design energy and peaking capability (month wise)- ROR with Pondage/Storage type new stations	
FORM- 15B	Design energy and MW Continuous (month wise)- ROR type stations	
FORM- 16	Statement of Liability Flow	
FORM- 17	Operation & Maintenance Expense	
FORM- 18	Details of Statutory Charges	
FORM- 19	Summary of issue involved in the petition	
Other Information/ Documents		
Sl. No.	Information/Document	Tick
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. B. Station wise and Corporate audited Balance Sheet and Profit & Loss Accounts with all the Schedules & annexures for the existing station for the relevant years.	
3	Copies of relevant loan Agreements	

Form No.	Title of Tariff Filing Forms (Hydro)	Tick
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: 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. 2019-20 and 2020-21 at the time of mid-term true-up in 2012-22 and for balance period of tariff period 2019-24 at the time of final true-up in 2023-24.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	

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 has to be uploaded in the e-filing website and shall also be furnished in pen drive/flash drive.

PART-II
FORM- 1

SummaryofTariff

Name of the Petitioner: _____
Name of the Generating Station: _____
Place (Region/District/State): _____

(Rs. lakh)

S. No.	Particulars	Existing 2018-19	2019-20	2020-21	2021-22	2022-23	2023-24
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(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.

(Petitioner)

PART-II
FORM- 1 (I)

Name of the Petitioner: _____
Name of the Generating Station: _____

Statement showing claimed capital cost- (A+B)

S. No.	Particulars	2019-20	2020-21	2021-22	2022-23	2023-24
(1)	(2)	(3)	(4)	(5)	(6)	(7)
1.	Opening Capital Cost					
2.	Add: Addition during the year / period					
3.	Less: De-capitalisation during the year / period					
4.	Less: Reversal during the year / period					
5.	Add: Discharges during the year / period					
6.	Closing Capital Cost					
7.	Average Capital Cost					

Statementshowingclaimedcapitalcost eligiblefor RoEatnormalrate (A)

S. No.	Particulars	2019-20	2020-21	2021-22	2022-23	2023-24
(1)	(2)	(3)	(4)	(5)	(6)	(7)
1.	Opening Capital Cost					
2.	Add: Addition during the year / period					
3.	Less: Decapitalisation during the year / period					
4.	Less: Reversal during the year / period					
5.	Add: Discharges during the year / period					
6.	Closing Capital Cost					
7.	Average Capital Cost					

Statementshowingclaimedcapitalcost eligiblefor RoEatweightedaveragerate ofintereston actualloan portfolio(B)

S. No.	Particulars	2019-20	2020-21	2021-22	2022-23	2023-24
(1)	(2)	(3)	(4)	(5)	(6)	(7)
1.	Opening Capital Cost					
2.	Add: Addition during the year / period					
3.	Less: De-capitalisation during the year / period					
4.	Less: Reversal during the year / period					
5.	Add: Discharges during the year / period					
6.	Closing Capital Cost					
7.	Average Capital Cost					

(Petitioner)

PART-II
FORM- 1 (II)

Name of the Petitioner: _____
Name of the Generating Station: _____

S. No.	Particulars	2019-20	2020-21	2021-22	2022-23	2023-24
(1)	(2)	(3)	(4)	(5)	(6)	(7)
1.	Gross Opening Equity (Normal)					
2.	Less: Adjustment in Equity					
3.	Adjustment during the year					

4.	Net Opening Equity(Normal)					
5.	Add: Increase in equity due to addition during the year / period					
6.	Less: Decrease due to de-capitalisation during the year / period					
7.	Less: Decrease due to reversal during the year / period					
8.	Add: Increase due to discharges during the year / period					
9.	Net closing Equity (Normal)					
10.	Average Equity (Normal)					
11.	Rate of ROE					
12.	Total ROE					

(Petitioner)

StatementshowingReturnon EquityatWeightedAverageRate ofIntereston ActualLoan Portfolio

S. No.	Particulars	2019-20	2020-21	2021-22	2022-23	2023-24
(1)	(2)	(3)	(4)	(5)	(6)	(7)
1.	Gross Opening Equity [pertaining to Proviso to Regulation 30(2)]					
2.	Less: Adjustment in Equity					
3.	Adjustment during the year					
4.	Net Opening Equity					

5.	Add: Increase in equity due to addition during the year / period					
6.	Less: Decrease due to de-capitalisation during the year / period					
7.	Less: Decrease due to reversal during the year / period					
8.	Add: Increase due to discharges during the year / period					
9.	Net closing Equity [pertaining to Proviso to Regulation 30(2)]					
10.	Average Equity [pertaining to Proviso to Regulation 30(2)]					
11.	Rate of ROE (weighted average rate of interest on actual loan portfolio)					
12.	Total ROE					

Note: 1.Adjustment of equity as per Proviso to Regulation 18(3) of 2019 Tariff Regulations.
2. With respect to Equity infusion, the Generating Company is required to substantiate with supporting documents such as board resolutions, balance sheet/ reconciliation statement with balance sheet

(Petitioner)

PART-II
FORM- 2

DetailsofCOD, Type of hydrostation,NormativeAnnualPlantAvailabilityFactor(NAPAF)&othernormativeparameters consideredfor tariffcalculation

Name of the Petitioner: _____
Name of the Generating Station: _____

Year Ending March

S. No.	Particulars	Unit	Existing 2018-19	2019-20	2020-21	2021-22	2022-23	2023-24
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
1	Installed Capacity	MW						
2	Free power to home state	%						
3	Free Power under Local Area Development Fund (LADF)	%						
4	Date of commercial operation (actual/anticipated)							
	Unit-1							
	Unit-2							
	Unit-3							
5	Type of Station							
	a) Surface/underground							
	b) Purely ROR/ Pondage/Storage							
	c) Peaking/non-peaking							
	d) No. of hours of peaking							
	e) Overload capacity(MW) & period							
6	Type of excitation							
	a) Rotating exciters on generator							
	b) Static excitation							
7	Design Energy (Annual)[1]	GWh						

S. No.	Particulars	Unit	Existing 2018-19	2019-20	2020-21	2021-22	2022-23	2023-24
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
8	Auxiliary Consumption including Transformation losses	%						
9	Normative Plant Availability Factor (NAPAF)							
9.1	Maintenance Spares for WC	% of O&M						
9.2	Receivables for WC	in Months						
9.3	Base Rate of Return on Equity	%						
9.4	Base Rate of Return on Equity on Add. Capitalization							
9.5	Tax Rate[2]	%						
9.6	Effective Tax Rate [4]							
9.7	SBI Base Rate + 350 basis points as on [3]	%						

1. Month wise 10day Design energy figures to be given separately with the petition.
2. Tax rate applicable to the company for the year FY2018-19should also be furnished.
3. Mention relevant date
4. Effective tax rate is to be computed in accordance with Regulation 31 i.e. actual tax (or advance tax)/gross income, where gross income refers the profit before tax.

(Petitioner)

PART-II
FORM- 3

SalientFeaturesofHydroelectricProject

Name of the Petitioner: _____
Name of the Generating Station: _____

1. Location	
State/Dist.	
River	
2. Diversion Tunnel	
Size, shape	
Length (M)	
3. Dam	
Type	
Maximum dam height (M)	
4. Spillway	
Type	
Crest level of spillway (M)	
5. Reservoir	
Full Reservoir Level (FRL) (M)	
Minimum Draw Down Level (MDDL) (M)	
Live storage (MCM)	
6. De-silting Chamber	
Type	
Number and Size	
Particle size to be removed(mm)	
7. Head Race Tunnel	
Size and type	
Length (M)	
Design discharge(Cumecs)	
8. Surge Shaft	
Type	
Diameter (M)	
Height (M)	
9. Penstock/Pressure shafts	
Type	
Diameter & Length (M)	
10. Power House	
Installed capacity (No of units x MW)	
Type of turbine	
Rated Head(M)	
Rated Discharge(Cumecs)	

Head at Full Reservoir Level (M)	
Head at Minimum Draw down Level (M)	
MW Capability at FRL	
MW Capability at MDDL	
11. Tail Race Tunnel/Channel	
Diameter (M) , shape	
Length (M)	
Minimum tail water level (M)	
12. Switchyard	
Type of Switch gear	
No. of generator bays	
No. of Bus coupler bays	
No. of line bays	
Efficiency (overall) Turbine and generator	

Note: Specify limitation on generation during specific time period(s) on account of restrictions on water use due to irrigation, drinking water, industrial, environmental considerations etc.

(Petitioner)

PART-II
FORM- 4

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 _____
Exchange Rate at COD _____
Exchange Rate as on 31.3.2019 _____

S. 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)	(14)
		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)
	Currency1[1]												
A.1	At the date 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												
	Currency2[1]												

A.1	At the date of Drawl[2]												
2	Scheduled repayment date of principal												
3	Scheduled payment date of interest												

S. 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)	(14)
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												
	Currency3[1]& so on												
A.1	At the date 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												

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

(Petitioner)

PART-II
FORM- 4A

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 _____

S. No.	Financial Year	Year 1				Year 2				Year 3 and so on			
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)
		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)
Currency1[1]													
A.1 At the date of infusion[2]													
2													
3													

Currency2[1] A.1 At the date of infusion[2]													
2													
3													
Currency3[1] A.1 At the date of infusion[2]													
2													
3													
Currency4[1] and so on A.1 At the date of infusion[2]													
2													
3													

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)

PART-II
FORM- 5

Abstract of Admitted Capital Cost for the existing Projects

Name of the Petitioner _____
Name of the Generating Station _____

	Capital Cost as admitted by CERC	
a)	Capital cost admitted as on_____	
	(Give reference of the relevant CERC Order with Petition No. & Date)	
b)	Foreign Component, if any (In Million US $ or the relevant Currency)	
c)	Foreign Exchange rate considered for the admitted Capital cost (Rs Lakh)	
d)	Total Foreign Component (Rs. Lakh)	
e)	Domestic Component (Rs. Lakh.)	
f)	Hedging cost, if any, considered for the admitted Capital cost (Rs. Lakh)	
	Total Capital cost admitted (Rs. Lakh) (d+e+f)	

(Petitioner)

PART-II
FORM-5A

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:		
	Present Day Cost	Completed Cost

Price level of approved estimates	As on End of _____Qtr. of the year	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. Lakh)		
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)		
Capital cost Including IDC, IEDC& FC (Rs. Lakh)		
Schedule of Commissioning as per investment		
approval		
Scheduled COD of Unit-I		
Scheduled COD of Unit-II		

Scheduled COD of last Unit/Station		

Note:

1. Copy of 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.

(Petitioner)

PART-II
FORM- 5B

Break-up of Capital Cost for New Hydro Power Generating Station

Name of the Petitioner _____
Name of the Generating Station _____

(Amount in Rs Lakh)

S. No. (1)	Break Down (2)	Original Cost as approved by Authority/Investment Approval (3)	Actual Capital Expenditure as on actual/anticipated COD (4)	Liabilities/ Provisions (5)	Variation (6=3-4-5)	Reasons for Variation (7)
1.0	Infrastructure Works					
1.1	Preliminary including Development					
1.2	Land*					
1.3	R&R expenditure					
1.4	Buildings					
1.5	Township					
1.6	Maintenance					
1.7	Tools & Plants					
1.8	Communication					
1.9	Environment & Ecology					
1.10	Losses on stock					
1.11	Receipt & Recoveries					
1.12	Total (Infrastructure works)					

2.0	Major Civil Works					
2.1	Dam, Intake & De-silting Chambers					

S. No. (1)	Break Down (2)	Original Cost as approved by Authority/Investme nt Approval (3)	Actual Capital Expenditure as on actual/anticipa ted COD (4)	Liabilities/ Provisions (5)	Variation (6=3-4-5)	Reasons for Variation (7)
2.2	HRT, TRT, Surge Shaft & Pressure shafts					
2.3	Power Plant civil works					
2.4	Other civil works (to be specified)					
2.5	Total (Major Civil Works)					
3.0	Hydro Mechanical equipment					
4.0	Plant & Equipment					
4.1	Initial spares of Plant & Equipment					