

Order

on

**Aggregate Revenue Requirement for
FY 2013-14 to FY 2015-16**

For

**State Load Despatch Centre of
Uttarakhand**

April 10, 2014

Uttarakhand Electricity Regulatory Commission

Vidyut Niyamak Bhawan, Near I.S.B.T., P.O. Majra

Dehradun - 248171

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Before

UTTARAKHAND ELECTRICITY REGULATORY COMMISSION

Petition No.: 26 of 2013

In the Matter of:

Petition filed by Power Transmission Corporation of Uttarakhand Limited for determination of Aggregate Revenue Requirement of SLDC for FY 2013-14 to FY 2015-16.

AND

In the Matter of:

Power Transmission Corporation of Uttarakhand Ltd.

Vidyut Bhawan, Near I.S.B.T. Crossing, Saharanpur Road, Majra, Dehradun-248002

.....Petitioner

Coram

Shri Jag Mohan Lal	Chairman
Shri C.S. Sharma	Member
Shri K.P. Singh	Member

Date of Order : April 10, 2014

Section 32(3) of the Electricity Act, 2003 (hereinafter referred to as "the Act") allows the State Load Despatch Centre to levy and collect such fee and charges from generating Companies and licensees involved in intra State transmission as may be specified by the Appropriate Commission. To this end, it is required to file an application for determination of these charges in such manner and alongwith such fee as may be specified by the Appropriate Commission through Regulations. In compliance with the above provisions of the Act and Regulation 11(3) of UERC (Terms and Conditions for Determination of Tariff) Regulations, 2011, State Load Despatch Centre (hereinafter referred to as "SLDC" or "Petitioner") filed a Petition (Petition No. 26 of 2013 and hereinafter

referred to as the “Petition”), giving details of its projections of Aggregate Revenue Requirement (ARR) for FY 2013-14 to FY 2015-16 on November 29, 2013.

The Petition filed by SLDC had certain infirmities/deficiencies. The Commission, accordingly, vide its letter no. UERC/6/TF-199/13-14/2013/1220 dated December 9, 2013 directed SLDC to rectify these infirmities/deficiencies and to submit certain additional information necessary for admission of the Petition. SLDC vide its letter no. 3081/MD/PTCUL/UERC dated December 16, 2013 and letter no. 3091/MD/PTCUL/UERC dated December 18, 2013 submitted most of the information sought by the Commission. Based on the submissions dated December 16, 2013 and December 18, 2013 by SLDC, the Commission vide its Order dated December 20, 2013 provisionally admitted the Petition, with the condition that SLDC shall furnish any further information/clarifications as deemed necessary by the Commission during the processing of the Petition and provide such information and clarifications to the satisfaction of the Commission within the time frame, as may be stipulated by the Commission, failing which the Commission may proceed to dispose of the matter as it deems fit based on the information available with it.

This Order, accordingly, relates to the ARR Petition filed by SLDC for FY 2013-14 to FY 2015-16 and is based on the original as well as all the subsequent submissions made by the SLDC during the course of the proceedings.

Tariff determination being the most vital function of the Commission, it has been the practice of the Commission to detail the procedure and explain the principles utilized by it in determination of tariffs. Accordingly, in the present Order also, in line with past practices, the Commission has tried to detail the procedure and principles followed by it in determining the ARR of SLDC. For the sake of convenience and clarity, this Order has further been divided into following Chapters:

Chapter 1 – Background and Procedural History

Chapter 2 – Stakeholders’ Responses & Petitioner’s Comments

Chapter 3 – Commission’s Analysis, Scrutiny and Conclusion on ARR for FY 2013-14 to FY 2015-16

Chapter 4 – Commission’s Directives

1 Background and Procedural History

In accordance with the provisions of the Uttar Pradesh Reorganization Act 2000 (Act 29 of 2000), enacted by the Parliament of India on August 25, 2000, the State of Uttaranchal came into existence on November 9, 2000. Section 63(4) of the above Reorganization Act allowed the Government of Uttaranchal (hereinafter referred to as “GoU” or “State Government”) to constitute a State Power Corporation at any time after the creation of the State. GoU, accordingly, established the Uttaranchal Power Corporation Limited (UPCL) under the Companies Act, 1956, on February 12, 2001 and entrusted it with the business of **transmission and distribution** in the State. Subsequently, from April 1, 2001, all works pertaining to the transmission, distribution and retail supply of electricity in the area of Uttaranchal were transferred from UPPCL to UPCL, in accordance with the Memorandum of Understanding dated March 13, 2001, signed between the Governments of Uttaranchal and Uttar Pradesh.

Meanwhile, the Electricity Act, 2003 was enacted by the Parliament of India on June 10, 2003, which mandated separate licenses for transmission and distribution activities. In exercise of powers conferred under sub-section 4 of Section 131 of the Electricity Act, 2003, the Government of Uttarakhand, therefore, through transfer scheme dated May 31, 2004, first vested all the interests, rights and liabilities related to Power Transmission and Load Despatch of “Uttaranchal Power Corporation Limited” into itself and, thereafter, re-vested them into a new company, i.e. “Power Transmission Corporation of Uttaranchal Limited”, now “Power Transmission Corporation of Uttarakhand Limited” after change of name of the State. The State Government, further vide another notification dated May 31, 2004 declared Power Transmission Corporation of Uttarakhand as the State Transmission Utility (STU) responsible for undertaking, amongst others, the following main functions:

- a) To undertake transmission of electricity through intra-State transmission system.
- b) To discharge all functions of planning and co-ordination relating to intra-State transmission system.
- c) To ensure development of an efficient, co-ordinated and economical system of intra-State transmission lines.
- d) To provide open access.

A new company in the State was thus, created to look after the functions of intra-State Transmission and Load Despatch, w.e.f. May 31, 2004. In view of re-structured function of UPCL and creation of a separate company for looking after the transmission related works, the Commission amended the earlier 'Transmission and Bulk Supply License' granted to 'Uttarakhand Power Corporation Limited' and Transmission license was vested on PTCUL for carrying out the transmission related works in the State vide Commission's Order dated June 9, 2004.

The Commission in its Order dated October 21, 2009, while approving Transmission Tariff for PTCUL for FY 2009-10, directed PTCUL to submit the progress towards completion of SLDC works and for segregating accounts of SLDC and submit the report on the same within 3 months of the issuance of the Order. PTCUL, in its Petition for determination of ARR for FY 2010-11 submitted that the scheme involving setting up of SLDC and associated works is being proposed under REC-II Scheme and capital expenditure towards the same had been earmarked during FY 2009-10 and FY 2010-11. The Commission in its Order dated April 6, 2010 while approving the Transmission Charges for FY 2010-11 directed PTCUL to submit a final compliance report on ring fencing of SLDC and also for separation of assets and accounts of SLDC within 3 months of the issuance of the Order. The Commission also directed PTCUL to file a separate Petition for SLDC from the subsequent year onwards.

PTCUL in its Petition for determination of ARR for FY 2011-12 submitted the trial balance of SLDC for FY 2009-10 and for first 6 months of FY 2010-11 but did not submit the projected ARR for FY 2011-12. The Commission in its Order dated May 10, 2011 while approving the Transmission Charges for FY 2011-12 highlighted that the policy maker at the highest level had reached to the conclusion that creation of separate SLDC is in the spirit of the Act. SLDC as a system operator has to be a separate entity and is essential for promoting open access and trading in power which in turn is necessary for promoting competition and thereby efficiencies in the sector. The Commission advised PTCUL to go through the report and recommendations of "Pradhan Committee" dated August 11, 2008 and document "Open Access - Theory & Practices" prepared by the Forum of Regulators. In view of such high importance assigned to the issue, the Commission directed PTCUL to complete the process and submit a final compliance report on the ring fencing of SLDC and also for separation of assets & accounts of SLDC within 3 months of issuance of the Order. The Commission also directed PTCUL to file a separate ARR Petition for SLDC from subsequent year onwards.

In exercise of powers conferred to it under Section 61 of the Electricity Act, 2003, and all other powers enabling it in this behalf, the Commission notified the UERC (Terms and Conditions for Determination of Tariff) Regulations, 2011 on December 19, 2011.

PTCUL in its Petition for determination of ARR for FY 2012-13 submitted that SLDC at Dehradun is under construction and is likely to be completed by December, 2012. The Commission in its Order dated April 4, 2012 while approving the Transmission Charges for FY 2012-13 directed PTCUL to file a separate Petition for SLDC while filing the Business Plan and MYT Petitions for the first Control Period.

PTCUL, in its Business Plan and MYT Petitions for the first Control Period submitted that ring fencing of SLDC function and separation of accounting of SLDC function is under progress and it is undertaking all efforts to complete the separation of SLDC function at the earliest. The Commission vide its Order dated May 6, 2013 issued the Order on approval of Business Plan and Multi Year Tariff for PTCUL for the first Control Period FY 2013-14 to FY 2015-16. The Commission directed PTCUL to file a separate Petition for SLDC while filing the Annual Performance Review for FY 2013-14.

The State Load Despatch Centre of Uttarakhand has been made operational w.e.f. November 27, 2012. As per Section 32 of the Electricity Act, 2003, the State Load Despatch Centre is the apex body to ensure integrated operation of the power system in the State. The functions of State Load Despatch Centre as stipulated in the Electricity Act, 2003 are as follows:

- a) be responsible for optimum scheduling and despatch of electricity within the State, in accordance with the contracts entered into within the Licensees or the Generating Companies operating in the State;
- b) monitor grid operations;
- c) keep accounts of the quantity of electricity transmitted through the State grid;
- d) exercise supervision and control over the intra-State transmission system; and
- e) be responsible for carrying out real time operations for grid control and despatch of electricity within the State through secure and economic operation of the State grid in accordance with the Grid Standards and the State Grid Code.

In compliance with the Regulations, SLDC filed its Petition for ARR for FY 2013-14 to FY 2015-16 on November 29, 2013. Through the above Petition, the Petitioner has also sought recovery of ARR for FY 2014-15 from the beneficiaries through suitable SLDC fees and charges. The above Petition was admitted by the Commission provisionally vide its Order dated December 20, 2013 with the condition that SLDC would furnish any further information/clarifications as deemed necessary by the Commission during the processing of the Petition and provide such information and clarifications to the satisfaction of the Commission, within the time frame as may be stipulated by the Commission, failing which the Commission may proceed to dispose of the matter as it deems fit based on the information available with it. The Commission, through its above Admittance Order dated December 20, 2013, to provide transparency to the process of tariff determination and give all stakeholders an opportunity to submit their objections/suggestions/comments on the proposals of SLDC, also directed SLDC to publish the salient points of its proposals in the leading newspapers. The salient points of the proposal were published by the Petitioner in the following newspapers:

Table 1.1: Publication of Notice

S. No.	Newspaper Name	Date Of Publication
1	Dainik Jagaran	December 22, 2013
2	Amar Ujala	December 22, 2013
3	Hindustan Times	December 23, 2013

Through above notice, stakeholders were requested to submit their objections/suggestions/comments latest by January 31, 2014 (copy of the notice is enclosed at **Annexure 1**). The Commission received 1 suggestion in writing on the Petition filed by SLDC for the determination of ARR for FY 2013-14 to FY 2015-16. The list of stakeholders who have submitted their objections/suggestions/comments in writing is enclosed at **Annexure-2**.

The Commission on its own sent the copies of salient points of tariff proposals to Members of the State Advisory Committee and the State Government. The salient points of the tariff proposals submitted by SLDC were also made available on the website of the Commission, i.e. www.uerc.gov.in. The Commission also organized a meeting with the Members of the Advisory Committee on March 14, 2014, wherein, detailed deliberations were held with the Members of the Advisory Committee on the various issues linked with the Petition filed by SLDC.

Further, for direct interaction with all the stakeholders and public at large, the Commission also conducted public hearings on the proposals filed by the Petitioner at the following places in the

State of Uttarakhand.

Table 1.2: Schedule of Hearing

S. No.	Place	Date
1	Nainital	February 17, 2014
2	Rudrapur	February 18, 2014
3	Narendra Nagar	February 21, 2014
4	Dehradun	February 25, 2014

The list of participants who attended the Public Hearing is enclosed at **Annexure-3**.

The objections/suggestions/comments, as received from the stakeholders through mail/post as well as during the course of public hearing were sent to the Petitioner for its response. All the issues as raised by the stakeholders and Petitioner's response on the same are detailed in Chapter 2 of this Order. In this context, it is also to underline that while finalizing this Order, the Commission has, as far as possible, tried to address the issues raised by the stakeholders.

Meanwhile, based on the scrutiny of the Petition submitted by SLDC, the Commission vide its letter no. UERC/6/TF-199/13-14/2013/1220 dated December 9, 2013, and UERC/6/TF-199/13-14/2013/1316 dated December 26, 2013 pointed out certain data gaps in the Petition and sought following additional information/clarifications from the Petitioner:

- DPR for SLDC works.
- Annual Maintenance Contract for SLDC.
- Capitalisation Policy for FY 2012-13 and FY 2013-14.
- Basis of allocating assets of PTCUL to SLDC.
- Monthly Trial Balance for first 6 months of FY 2013-14.
- Details of number of employees working as on April 1, 2012, March 31, 2013 and September 1, 2013 along with approved employees' structure.
- Loan Agreement executed for SLDC works.
- Year wise receipt and repayments of loans from the date of first disbursement along with the actual yearly interest paid.
- Computation of asset class wise Depreciation.
- Duly filled in formats as specified by UERC (Terms and Conditions for Determination

of Tariff) Regulations, 2011.

So as to have better clarity on the data filed by the Petitioner and to remove inconsistency in the data, a Technical Validation Session (TVS) was also held with the Petitioner's officers on January 7, 2014, for further deliberations on certain issues related to the Petition filed by SLDC. Minutes of the above Technical Validation Session were sent to the Petitioner vide Commission's letter no. UERC/6/TF-199/13-14/2014/1369 dated January 10, 2014, for its response.

The Petitioner submitted the replies to the datagaps vide its letter no. 3081/MD/PTCUL/UERC dated December 16, 2013, letter no. 3091/MD/PTCUL/UERC dated December 18, 2013, letter no. 04/MD/PTCUL/UERC dated January 3, 2014 and replies to Minutes of TVS vide letter no. 58/MD/PTCUL/UERC dated January 21, 2014. The submissions made by SLDC in the Petition as well as in the additional submissions have been discussed by the Commission at appropriate places in the Tariff Order along with the Commission's views on the same.

2 Stakeholder's Responses and Petitioner's Comments

The Commission received 1 suggestion/objection on the SLDC's Petition for determination of ARR for the Control Period FY 2013-14 to FY 2015-16. List of stakeholder who has submitted the objection/suggestion/comment in writing is given at Annexure-2 and the respondents who have participated in the Public Hearings are enclosed at Annexure-3. The Commission has further obtained replies from SLDC on the objection/suggestion/comment received from the stakeholder. For the sake of clarity, the objections raised by the stakeholder and responses of the Petitioner have been consolidated and summarised issue wise. In the subsequent Chapters of this Order, the Commission has kept in view the objection/suggestion/comment of the stakeholders and replies of the Petitioner while deciding the ARR for SLDC.

2.1 Increase in Expenses

2.1.1 Stakeholder's Comment

Shri Munish Talwar, Asahi India Glass Ltd., submitted that SLDC, alongwith PTCUL has proposed increase in R&M expenses, Administrative expenses and Maintenance expenses and such increase would result in increase in tariff which would put the already burdened industry into further hardship.

2.1.2 Petitioner's Response

SLDC submitted that its expenses (being part of PTCUL) were earlier included in the ARR of PTCUL and as per the direction of the Commission, it has filed a separate Petition for approval of Tariff for FY 2014-15. SLDC submitted that its Petition has been prepared in accordance with the Uttarakhand Electricity Regulatory Commission (Terms and Conditions for Determination of Tariff) Regulations, 2011.

2.1.3 Commission's Views

The Commission would like to clarify that the Commission has analysed each element of the ARR of SLDC for the first Control Period from FY 2013-14 to FY 2015-16 in accordance with Uttarakhand Electricity Regulatory Commission (Terms and Conditions for Determination of Tariff) Regulations, 2011 and as per the Regulations, only legitimate costs are allowed to be recovered from the consumers.

2.2 Views of State Advisory Committee

- The Members suggested that since SLDC plays a significant role in managing of demand-supply gap. Hence, SLDC should be provided with more funds to improve its infrastructure.

2.2.1 Commission's Views

It is in the overall interest of the sector that SLDC is strengthened and performs its core function of system operator. The Commission recognises the role of SLDC in managing the demand and also in ensuring the grid discipline and the Commission in its previous orders has also directed PTCUL for ring fencing of the SLDC. The Commission would like to point out that it will take adequate steps in strengthening the SLDC so that it carries out its functions as assigned under the Electricity Act, 2003 smoothly and efficiently.

3 Commission's Analysis, Scrutiny & Conclusion on ARR for FY 2013-14 to FY 2015-16

3.1 Business Plan and MYT for the first Control Period

Regulation 9 and Regulation 11 of the UERC Tariff Regulations, 2011 specifies that :

"9. Business Plan

(1) An Applicant shall submit, under affidavit and as per the UERC (Conduct of Business) Regulations, 2004, a Business Plan by May 31, 2012, for the Control Period of three (3) financial years from April 1, 2013 to March 31, 2016,

...

d) The Business Plan for the State Load Despatch Centre shall be for the entire control period and shall, interalia, contain-

(i) Capital Investment Plan including phasing of expenditure and funding pattern;

(ii) Estimated budget for the control period."

...

(3) The Applicant shall, prior to filing of MYT petition, get the Business Plan approved by the Commission.

..."

"11. MYT Petition for the Control Period

(1) The applicant shall submit under affidavit and as per the UERC (Conduct of Business) Regulations, 2004, the forecast of Aggregate Revenue Requirement and expected revenue from tariff for each year of the Control Period, accompanied by fees applicable, latest by 30th November of the year previous to the start of the Control Period in the format prescribed by the Commission.

(2) Forecast of Aggregate Revenue Requirement for each of the financial year of the Control Period

a) For projecting different components of Aggregate Revenue Requirement for each financial year of the Control Period Applicant shall develop a mathematical model. For this purpose

applicant may utilize suitable macro-economic variables, market indexes, past year's growth trends etc. Applicant shall further submit a soft copy of the above model with all the formulas and linkages along with its MYT petition and petition for Annual Performance Review and Tariff determination.

...

(3) Forecast of expected revenue from tariff and charges

The applicant shall develop mathematical model for projecting the expected revenue from tariff and charges based on the following:

...

(iv) In the case of a SLDC, based on Fee and Charges as applicable on the date of making the application and allocated transmission capacity to users of intra State Transmission System;

...

(4) After examining the application, the Commission shall either-

a) Pass an order approving the forecast of Aggregate Revenue Requirement and expected revenue from tariff and charges for the Control Period, subject to such modifications and conditions as it may specify in the said Order; or

...

(5) In its MYT Order, the Commission shall specify the variables comprised in the Aggregate Revenue Requirement and expected revenue from tariff and charges of the applicant that shall be reviewed by the Commission as part of the Annual Performance Review;

Provided that such variables shall be limited to the major items of cost and revenue forecast of the applicant that in the Commission's opinion could have a material impact on the cost of supply of electricity to consumers in the State over the Control Period:

Provided further that the variables, as may be stipulated by the Commission under Regulations below, shall form part of the Annual Performance Review, unless exempted by the Commission from such review in its Order."

The Commission vide its Order dated May 6, 2013 approved the Business Plan and MYT for PTCUL for the Control Period FY 2013-14 to FY 2015-16. The Commission in the said Order directed

the PTCUL to file a separate Petition for SLDC while filing the Annual Performance Review for FY 2013-14. The Petitioner submitted the ARR of SLDC for FY 2013-14 to FY 2015-16 for approval of the Commission in accordance with Regulation 11 of the UERC (Terms and Conditions for Determination of Tariff) Regulations 2011. As Regulation 9(3) mandates the Business Plan to be approved before filing of the MYT Petition, the Commission asked the Petitioner to submit the Business Plan for SLDC in accordance with the UERC Tariff Regulations, 2011. The Petitioner submitted that the SLDC business plan constitutes only one scheme "Construction of SLDC at Dehradun and 2 Nos. Sub-SLDC at Kashipur and Rishikesh" and the same was approved by the Commission vide its Order dated May 6, 2013 on the approval of Business Plan and MYT for PTCUL. As the scheme of SLDC was approved by the Commission in the Business Plan of PTCUL vide the Order dated May 6, 2013, the Commission is of the view that no separate Business Plan is required to be approved for SLDC for this Control Period. Accordingly, the Commission approves the ARR for SLDC for the Control Period FY 2013-14 to FY 2015-16 in this Order. The approach adopted by the Commission in approving the ARR for the Control Period is elaborated in the subsequent sections of the Order.

3.2 Details of the Project

The Petitioner submitted that Load Despatch & Communication System comprises of SCADA/EMS (Supervisory Control and Data Acquisition/Energy Management System) System, RTUs (Remote Terminal Units) and PLCC/PABX (Power Line Carrier Communication/Private Automatic Branch Exchange) Communication and Auxiliary Power Supply System. The Petitioner submitted that in this project, one SLDC at Dehradun and two Control Centres at Rishikesh and Kashipur are being established and Dehradun SLDC is planned to be integrated to NRLDC, New Delhi for data exchange required for SCADA/EMS applications in near future with completion of up-gradation of NRLDC, New Delhi. The Petitioner submitted that Dehradun SLDC is reporting to NRLDC, New Delhi via SLDC Lucknow of Uttar Pradesh Power Transmission Corporation Ltd. The Petitioner submitted that the Project was planned to be completed in two phases.

The Petitioner submitted that it had completed all the works in SLDC and SCADA division related to first phase according to the approved scheme by the Commission in FY 2013-14. The Petitioner submitted that in the first phase of the Project, SCADA/EMS system was established with modern Computer and Control System comprising of RTUs, Communication Front End, Data

Servers and Operator Consoles etc. at both Control Centre as well as at SLDC. The Petitioner submitted that the system also has Historical Recording System, Video Project System and Advance Power System Applications to support decision making at Control Centre. The Petitioner submitted that under the PLCC/PABX system, PLCC (digital as well as analog) and PABX equipment are installed in the Sub-stations/Control Centres. The Petitioner submitted that under the Auxiliary Power Supply System, UPS along with battery is provided at Dehradun SLDC and Kashipur Sub-LDC and 48 V DC Power Supply systems is also provided at field locations.

The Petitioner submitted that separate accounting heads for SLDC and SCADA division, which work as a unit within PTCUL, were created and all the expenses and income of SLDC and SCADA are booked under respective heads only. The Petitioner submitted that allocation of some of the assets and expenses of PTCUL to SLDC require policy level intervention and the same would be allocated after obtaining the approval of the State Government. The Petitioner submitted that a separate budget had been prepared for SLDC for FY 2013-14 and capital expenses for augmentation of IT hardware and software had been identified separately.

The Petitioner submitted that it is undertaking efforts for ring fencing of the SLDC and complete ring fencing could be achieved after obtaining the permission from the Government of Uttarakhand with regard to formation of a separate Board for SLDC. The Petitioner submitted that it had already made a request to the State Government for creation of separate representative Board structure in line with that of POSOCO and the approval in this regard is awaited.

The Petitioner submitted that this Petition includes projections of ARR, based on current running accounts, for all the three years of the Control Period. The Petitioner submitted that as FY 2013-14 is nearing completion and due to non-availability of approved targets, the ARR for FY 2013-14 is indicative and had been included in the Petition for APR of PTCUL for FY 2013-14.

3.3 Project Cost

The Petitioner submitted that the capital expenditure of the SLDC business is a part of a single scheme "Construction of SLDC at Dehradun and 2 Nos. Sub-SLDC at Kashipur and Rishikesh".

The Petitioner submitted that there are two phases in the project:

- Phase-1 comprising installation of RTUs in 16 substations, SCADA/EMS system at new

control centres Kashipur Sub-SLDC and Dehradun SLDC, replacement of existing Rishikesh Sub-SLDC with the new SCADA servers and software installation in these sites.

- Phase-2 comprising installation of RTUs in rest of 20 substations, installation of terminal equipment, software and creating fibre cable connectivity through OPGW covering 600 km distance.

The Petitioner submitted that Phase-1 is completed and had been commissioned in FY 2013-14. The Petitioner submitted that the total expenditure incurred towards Phase-1 is Rs. 13.61 Crore as against Rs. 16.11 Crore approved by the Commission.

The Petitioner submitted that the capital assets of SCADA are being built under REC-II Scheme. The Petitioner submitted that under Phase-2, capital expenditure of Rs. 9.00 Crore per year is planned during FY 2014-15 and FY 2015-16.

The Commission asked the Petitioner to submit the DPR of the SLDC works and the Contract Agreement executed for Phase-1 of SLDC works. The Commission also asked the Petitioner to submit the details of actual payments made till FY 2013-14. The Petitioner has submitted the DPR of the project, Agreement executed with M/s Areva T&D India Pvt. Ltd. and the details of payments made till FY 2013-14. The Commission also asked the Petitioner to submit the Electrical Inspector Clearance Certificate with respect to SLDC works. The Petitioner submitted that there is no requirement of Electrical Inspector Certificate for SLDC works and submitted the Commissioning and Operational Acceptance Certificate dated November 20, 2013. In the said Certificate it has been mentioned that the SCADA/EMS, Auxiliary Power Supply System and PLCC/PABX Package including supply and turnkey commissioning have been made operational w.e.f. April 18, 2013. In this regard, the Commission asked the Petitioner to clarify the date of commissioning of Phase-1 of the SLDC works. The Petitioner submitted that SLDC is operational w.e.f. November 27, 2012 and SCADA is operational w.e.f. April 18, 2013.

Based on the Agreement executed with M/s Areva T&D India Pvt. Ltd., the Commission observed that the start date is September, 27, 2008 and the period of completion is 24 months. In this regard, the Commission asked the Petitioner to submit the penalties levied because of the delay in commissioning. The Petitioner submitted that due to the delay in construction of office building in Dehradun, the Contractor has been given extension in time and hence, penalty had not been levied.

The Commission has gone through the submissions of the Petitioner. The Commission accorded in principle approval for the project “Construction of SLDC at Dehradun and 2 Nos. Sub-SLDC at Kashipur and Rishikesh” with a total project cost of Rs. 51.92 Crore vide its Order dated October 23, 2007 on approval of Capital Investment for REC-II Scheme. As against the approved project cost of Rs. 51.92 Crore, the Petitioner submitted the capitalisation of Rs. 13.14 Crore in FY 2013-14. The Commission observes from the trial balance of March, 2013 that the GFA as on March 31, 2013 is Rs. 0.47 Crore as submitted by the Petitioner. The Commission provisionally approves the capitalisation of Rs. 13.14 Crore in FY 2013-14 subject to true-up based on audited accounts for FY 2013-14. **The Commission directs the Petitioner to submit the audited accounts for FY 2013-14 along with Annual Performance Review of FY 2014-15. The Commission also directs the Petitioner to complete the process of transfer of assets from PTCUL to SLDC and submit the details of the same along with APR of FY 2014-15.**

3.4 Capital expenditure and capitalisation

The Petitioner submitted that under Phase – 2, annual capital expenditure of Rs. 9.00 Crore is planned during FY 2014-15 and FY 2015-16 and capitalisation of Rs. 7.65 Crore is planned in FY 2015-16. The Commission has provisionally considered the annual capital expenditure of Rs. 9.00 Crore each for FY 2014-15 and FY 2015-16 and capitalisation of Rs. 7.65 Crore in FY 2015-16 as submitted by the Petitioner subject to final true-up based on the audited accounts.

3.5 Gross Fixed Assets

The Table below shows the details of investment, work in progress and capitalisation as submitted by the Petitioner and approved by the Commission:

Table 3.1: Gross Fixed Assets (Rs. Crore)

Particulars	FY 2013-14		FY 2014-15		FY 2015-16	
	Proposed	Approved	Proposed	Approved	Proposed	Approved
Opening GFA	0.47	0.47	13.61	13.61	13.61	13.61
Opening CWIP	11.82	11.82	0.00	0.00	9.56	9.56
Investment during the year	1.32	1.32	9.00	9.00	9.00	9.00
IDC	0.00	0.00	0.56	0.56	1.28	1.28
Capitalisation during the year	13.14	13.14	0.00	0.00	7.65	7.65
Closing CWIP	0.00	0.00	9.56	9.56	12.19	12.19
Closing GFA	13.61	13.61	13.61	13.61	21.26	21.26

3.6 Capital Structure

Regulation 22 of UERC Tariff Regulations, 2011 specifies as under:

“(1) For a project declared under commercial operation on or after 1.4.2013, debt-equity ratio shall be 70:30. Where equity employed is more than 30%, the amount of equity for the purpose of tariff shall be limited to 30% and the balance amount shall be considered as normative loan. Where actual equity employed is less than 30%, the actual equity would be used for determination of Return on Equity in tariff computations.

(2) In case of Generating Company, Transmission Licensee, Distribution Licensee, or SLDC where investments have been made prior to 1.4.2013, Debt: Equity Ratio shall be as approved by the Commission in the previous Orders.”

The Petitioner has submitted that the Scheme is 100% debt funded from REC. The Commission asked the Petitioner to submit the loan agreement executed for the SLDC works. The Petitioner submitted the loan agreement executed with Rural Electrification Corporation Limited in which REC has approved a loan of Rs. 51.92 Crore for SLDC works. Based on the scrutiny of the submissions of the Petitioner, the Commission approves the capital structure of SLDC works as 100% debt funded in accordance with the provisions of UERC Tariff Regulations, 2011.

3.7 Annual SLDC Charges

Regulation 99 of the UERC Tariff Regulations, 2011 specify that :

“The annual charges to be recovered by the SLDC shall include the component of Return on Equity and also the following expenses:-

(a) O&M expenses;

(b) Return on Equity;

(c) Depreciation;

(d) Lease Charges;

(e) Interest and Finance charges;

(f) Income Tax, if any;

(g) Interest on working capital, if any;

(h) Any other expenses incidental to discharging the functions of SLDC as deemed appropriate by the Commission; minus

(i) Non-tariff income including but not limited to interest on investment, fees/charges other than

SLDC charges, Income from sale of scrap, etc."

3.7.1 Operation and Maintenance (O&M) expenses

The Petitioner submitted that O&M expenses includes Employee expenses, Repair and Maintenance (R&M) expenses and Administration and General (A&G) expenses. The Petitioner submitted that the accounting separation of direct expenses for SLDC and SCADA had been initiated recently and hence, adequate past information is not available to ascertain the actual growth in the O&M expenses. The Petitioner submitted that as the majority of assets have been commissioned in FY 2013-14, the projections of O&M expenses for SLDC and SCADA division have been arrived considering the actual expenses recorded in the accounting heads created for SLDC and SCADA for FY 2012-13 and first six months of FY 2013-14. The Petitioner requested the Commission to consider the actual expenses at the time of truing-up for the respective years.

In accordance with Regulation 100 of the UERC Tariff Regulations, 2011, the O&M expenses for the first year of the Control Period shall be approved by the Commission taking into account actual O&M expenses of the previous years and any other factors considered appropriate by the Commission. As SLDC is operational only from FY 2012-13 and in the absence of historical data to ascertain the actual O&M expenses for SLDC function for previous years, the Commission considers it appropriate to invoke Regulation 104 to remove the difficulty in determining the O&M expenses for FY 2013-14 in accordance with Regulation 100 of the UERC Tariff Regulations, 2011. Accordingly, the Commission has considered the O&M expenses as recorded in the monthly trial balances for the first six months of FY 2013-14 and has approved the same for the entire FY 2013-14 on proportionate basis. The O&M expenses for FY 2014-15 and FY 2015-16 have been computed in accordance with Regulation 100 of the UERC Tariff Regulations, 2011.

The Commission in its Order dated May 6, 2013 on approval of Business Plan and MYT for the Control Period FY 2013-14 to FY 2015-16 for PTCUL approved the CPI Inflation of 8.75% and WPI Inflation of 7.77% for computing the O&M expenses. The Commission for the purpose of approving the O&M expenses for SLDC for the Control Period FY 2013-14 to FY 2015-16 has considered the CPI Inflation and WPI Inflation as approved in the MYT Order for PTCUL.

The submissions of the Petitioner and the approach adopted by the Commission for approving the various components of O&M expenses for the Control Period for FY 2013-14 to FY 2015-16 are discussed below.

3.7.1.1 Employee expenses

The Petitioner submitted that as per the directions of the Commission regarding recommendations of Pradhan Committee concerning competent manpower deployment in the system operations in the LDCs, the process of identification of suitable personnel had been completed. The Petitioner submitted that 5 employees of SLDC have undergone basic level certification training at NPTI, Bangalore. The Petitioner submitted that currently, there are 35 employees working in SLDC and SCADA divisions, led by an Executive Engineer. The Table below shows the grade wise manpower in SLDC and SCADA divisions submitted by the Petitioner:

Table 3.2: Grade wise manpower as submitted by the Petitioner

Designation	FY 2013-14 (up to September, 2013)		FY 2014-15 (Proposed)	
	SLDC	SCADA	SLDC	SCADA
Superintendent Engineer	0	0	1	0
Executive Engineer	3	1	3	2
Assistant Engineer	6	4	9	4
Junior Engineer	8	2	4	12
Accountant	1	1	1	0
Technical Grade	1	4	2	4
Office Assistant	1	2	9	1
Skilled Coolie	0	1	0	0
Total	20	15	29	23

The Petitioner submitted that Employee expenses are linked to the Government approved scales and allowances and the Utility has no control over it. The Table below shows the actual Employee expenses booked in the accounts of FY 2012-13 and first 6 months of FY 2013-14 submitted by the Petitioner:

Table 3.3: Actual Employee expenses submitted by the Petitioner (Rs. Crore)

Particulars	FY 2012-13		FY 2013-14 (up to September, 2013)	
	SLDC	SCADA	SLDC	SCADA
Salaries	0.69	0.48	0.32	0.25
Dearness Allowance	0.45	0.29	0.27	0.19
Other allowances and Relief	0.06	0.04	0.06	0.03
HRA	0.03	0.01	0.00	0.00
Statutory Bonus/Ex-Gratia	0.00	0.00	0.00	0.00
Medical Reimbursement	0.00	0.00	0.02	0.00
Earned Leave Encashment	0.04	0.03	0.08	0.03
Sub Total	1.28	0.85	0.75	0.50
Provident Fund Contribution	0.06	0.04	0.03	0.03
Provision for GPF	0.08	0.05	0.03	0.03
Sub Total	0.14	0.09	0.07	0.06
Total Employee expenses	1.42	0.95	0.82	0.56

The Petitioner submitted that the Employee expenses for FY 2013-14 are computed on proportionate basis considering the actual employee expenses for first 6 months of FY 2013-14. The Petitioner submitted that the Employee expenses for the ensuing years have been computed in accordance with UERC (Terms and Conditions for Determination of Tariff) Regulations, 2011. The Petitioner submitted that the estimated employee expenses for FY 2013-14 have been escalated based on the three year average increase in CPI of 9.82% to arrive at the Employee expenses for FY 2014-15 and FY 2015-16. The Petitioner submitted that the Growth factor for FY 2014-15 and FY 2015-16 has been considered as the same approved by the Commission in the MYT Order of PTCUL.

As discussed above, the Commission, in the absence of historical information regarding the actual employee expenses for SLDC function, has approved the employee expenses for FY 2013-14 considering the employee expenses during first six months of FY 2013-14 as recorded in the trial balances for SLDC and SCADA divisions on proportionate basis. Further, the Commission has considered the CPI Inflation and the growth factor as approved for PTCUL in its MYT Order dated May 6, 2013. However, if the actual addition to number of employees is lower than the growth factor considered in this Order, the impact of the same shall be adjusted while carrying out the truing up and will not be considered as reduction in employee expenses on account of controllable factors. Accordingly, the employee expenses approved by the Commission for the Control Period FY 2013-14 to FY 2015-16 are as shown in the Table below:

Table 3.4: Employee expenses for the Control Period FY 2013-14 to FY 2015-16 (Rs. Crore)

Particulars	FY 2013-14		FY 2014-15		FY 2015-16	
	Proposed	Approved	Proposed	Approved	Proposed	Approved
CPI Inflation	-	-	9.82%	8.75%	9.82%	8.75%
Growth factor	-	-	10.42%	10.42%	6.30%	6.30%
Employee expenses	2.76	2.76	3.35	3.32	3.91	3.83

3.7.1.2 Repairs and Maintenance (R&M) expenses

The Petitioner submitted that the R&M expenses for SLDC consists of primarily expenses related to repairs of buildings. The Petitioner submitted that as the accounting of expenses of SLDC had been initiated recently and in the absence of historical cost allocated to repair works of SLDC, the R&M expenses have been projected based on the actual expenses booked in FY 2012-13 and first 6 months of FY 2013-14. The Table below shows the actual R&M expenses booked in the accounts of FY 2012-13 and first 6 months of FY 2013-14 submitted by the Petitioner:

Table 3.5: Actual R&M expenses submitted by the Petitioner (Rs. Crore)

Particulars	FY 2012-13		FY 2013-14 (up to September, 2013)	
	SLDC	SCADA	SLDC	SCADA
Office buildings	0.01	0.01	0.01	0.08
Residential buildings	0.00	-	-	-
Meter testing AMC	-	0.09	-	-
Fire system	-	0.00	-	-
Total	0.01	0.10	0.01	0.08

The Commission, from the monthly trial balance of SCADA for September, 2013 observed that the amount submitted under the head office buildings in the above Table by the Petitioner is actually recorded under the head "SLDC/SCADA Work PLCC/Comm. & higher frequency carrier system". **The Commission cautions the Petitioner to take due care in submitting factual information.** The Petitioner submitted that this being the first Petition filed separately for SLDC there is no historical R&M expenses available to determine the 'k' factor (R&M expenses as percentage of fixed assets) as specified in the UERC (Terms and Conditions for Determination of Tariff) Regulations, 2011. The Petitioner submitted that most of the assets of SLDC and SCADA are still work in progress and have only been capitalized in the first half of FY 2013-14 and hence, computation of 'k' factor would not be meaningful in this Petition. The Petitioner submitted that it had computed the R&M expenses for FY 2013-14 by pro-rating the actual R&M expenses for first 6 months of FY 2013-14. The Petitioner submitted that the R&M expenses for the ensuing years have been computed in accordance with UERC (Terms and Conditions for Determination of Tariff) Regulations, 2011. The Petitioner submitted that the estimated R&M expenses for FY 2013-14 have been escalated based on the three year average increase in WPI of 6.67% to arrive at the R&M expenses for FY 2014-15 and FY 2015-16.

The Petitioner submitted it had given an Annual Maintenance Contract (AMC) to the original executioner of the project for the up-keep and maintenance of the SLDC assets and the AMC cost as contracted for each year has been further added to the R&M expenses.

As discussed above, the Commission, in the absence of historical information regarding the actual R&M expenses for SLDC function, has considered the R&M expenses for FY 2013-14 based on the actual expenses incurred during first six months of FY 2013-14 as recorded in the trial balances for SLDC and SCADA divisions on proportionate basis. Further, the Commission has considered the WPI Inflation as approved for PTCUL in its MYT Order dated May 6, 2013. As regards the 'k'

factor for SLDC function, in the absence of historical information, the Commission has analyzed the R&M expenses as percentage of fixed assets for SLDC function in other States wherein the assets of SLDC function have been allocated separately. Based on the analysis for the States of Punjab, Maharashtra and Gujarat, the Commission observed that the 'k' factor of 2% as proposed by the Petitioner is reasonable and hence, approves the same for projecting the R&M expenses for FY 2014-15 and FY 2015-16. The Commission, accordingly, while projecting the R&M expenses for FY 2014-15 and FY 2015-16 has considered the GFA corresponding to only those assets which have not been covered under the Contract Agreement executed with Areva T&D India Pvt. Ltd. as the AMC fee is payable by the Petitioner to Areva T&D India Pvt. Ltd. In addition to above, the Commission has separately considered the AMC fee for FY 2013-14 to FY 2015-16. The Commission observed from the Contract Agreement executed with M/s Areva T&D India Pvt. Ltd., that the AMC fee is payable after the completion of SLDC works for 5 years. **The Commission directs the Petitioner to maintain separate details of actual AMC fee paid and the impact of the same shall be adjusted while carrying out the truing up and will not be considered as reduction in R&M expenses on account of controllable factors.** Accordingly, the R&M expense approved by the Commission for the Control Period FY 2013-14 to FY 2015-16 is as shown in the Table below:

Table 3.6: R&M expenses for the Control Period FY 2013-14 to FY 2015-16 (Rs. Crore)

Particulars	FY 2013-14		FY 2014-15		FY 2015-16	
	Proposed	Approved	Proposed	Approved	Proposed	Approved
R&M expenses as per UERC Tariff Regulations, 2011	0.19	0.02	0.20	0.07	0.22	0.07
AMC Fee	0.45	0.45	0.46	0.46	0.49	0.49
Total R&M expenses	0.64	0.47	0.66	0.53	0.71	0.56

3.7.1.3 Administrative and General (A&G) expenses

The Petitioner submitted that the A&G expenses consists of rent, rates and taxes, travel and conveyance expenses, consultancy and legal fees, insurance and other administration expenses. The Table below shows the actual A&G expenses booked in the accounts of FY 2012-13 and first 6 months of FY 2013-14 submitted by the Petitioner:

Table 3.7: Actual A&G expenses submitted by the Petitioner (Rs. Crore)

Particulars	FY 2012-13		FY 2013-14 (up to September, 2013)	
	SLDC	SCADA	SLDC	SCADA
Telephone and Telegraphs	0.02	0.11	0.01	0.06
Consultancy charges	0.00	0.00	0.00	0.00
Conveyance & Travelling	0.02	0.02	0.01	0.01
Vehicle expenses	0.01	0.00	0.00	0.02
Security charges	0.03	0.05	0.03	0.03
Subscriptions	-	0.00	-	-
Stationary	0.01	0.00	0.00	0.01
Advertisement expenses	0.00	0.00	-	0.00
AD expenses	0.00	-	-	-
Other miscellaneous expenses	0.01	0.02	0.00	0.01
Total	0.11	0.20	0.06	0.14

The Petitioner submitted that separate accounting of SLDC expenses has been initiated recently and due to the non-availability of long term historical cost information, A&G expenses have been projected based on the actual expenses recorded for 6 months of FY 2013-14. The Petitioner submitted that the 6 months actual A&G expenses has been prorated for estimating the total A&G expenses for FY 2013-14. The Petitioner submitted that the A&G expenses for the ensuing years have been computed in accordance with UERC (Terms and Conditions for Determination of Tariff) Regulations, 2011. The Petitioner submitted that the estimated A&G expenses for FY 2013-14 have been escalated by three year average wholesale price inflation to arrive at the projected A&G expenses for FY 2014-15 and FY 2015-16. The Petitioner submitted that FY 2014-15 being the first year for filing Tariff Petition by SLDC, an additional provision of Rs. 5 Lakh each year for FY 2014-15 and FY 2015-16 has been proposed towards consultancy support for filing of ARR/Tariff Petitions etc.

As discussed above, the Commission, in the absence of historical information regarding the actual A&G expenses for SLDC function, has considered the A&G expenses for FY 2013-14 based on actual expenses during first six months of FY 2013-14 as recorded in the trial balances for SLDC and SCADA divisions on proportionate basis. Further, the Commission has considered the WPI Inflation as approved for PTCUL in its MYT Order dated May 6, 2013. The Commission has also considered the additional provision of Rs. 5 Lakh as part of A&G expenses as submitted by the Petitioner. Accordingly, the A&G expenses approved by the Commission for the Control Period FY 2013-14 to FY 2015-16 are as shown in the Table below:

Table 3.8: A&G expenses for the Control Period FY 2013-14 to FY 2015-16 (Rs. Crore)

Particulars	FY 2013-14		FY 2014-15		FY 2015-16	
	Proposed	Approved	Proposed	Approved	Proposed	Approved
WPI Inflation	-	-	6.67%	7.77%	6.67%	7.77%
A&G expenses	0.40	0.40	0.43	0.43	0.46	0.47
Provision towards consultancy and Petition charges	-	-	0.05	0.05	0.05	0.05
Total A&G expenses	0.40	0.40	0.48	0.48	0.51	0.52

3.7.1.4 O&M expenses

The Table below shows the proposed and approved O&M expenses for the Control Period:

Table 3.9: O&M expenses for the Control Period FY 2013-14 to FY 2015-16 (Rs. Crore)

Particulars	FY 2013-14		FY 2014-15		FY 2015-16	
	Proposed	Approved	Proposed	Approved	Proposed	Approved
Employee expenses	2.76	2.76	3.35	3.32	3.91	3.83
R&M expenses	0.64	0.47	0.67	0.53	0.71	0.56
A&G expenses	0.40	0.40	0.48	0.48	0.51	0.52
O&M expenses	3.80	3.63	4.50	4.33	5.13	4.92

3.7.2 Return on Equity

The Petitioner submitted that all the assets under the SLDC and SCADA divisions are funded through debt and hence, it is not claiming any Return on Equity. As all the assets are funded through debt, the Commission has not approved Return on Equity for the Control Period FY 2013-14 to FY 2015-16.

3.7.3 Depreciation

The Petitioner submitted that the depreciation for the Control Period has been calculated considering the average depreciation rate of 5.28% as approved by the Commission in the previous Tariff Order. The Petitioner requested the Commission to consider the actual depreciation as per the depreciation rates at the time of true-up.

The Commission asked the Petitioner to submit the asset class wise depreciation considering the depreciation rates specified in the UERC Tariff Regulations, 2011. The Commission has computed the depreciation by considering the depreciation rates specified in the UERC Tariff Regulations, 2011. The Commission has computed the depreciation for full year on opening GFA and on proportionate basis on the assets added during the year. The depreciation approved by the Commission is as shown in the Table below:

Table 3.10: Depreciation for the Control Period FY 2013-14 to FY 2015-16 (Rs. Crore)

Particulars	FY 2013-14		FY 2014-15		FY 2015-16	
	Proposed	Approved	Proposed	Approved	Proposed	Approved
Depreciation	0.72	1.28	0.72	1.33	0.92	1.54

3.7.4 Interest charges

The Petitioner submitted that the project "Construction of SLDC at Dehradun and 2 Nos. Sub-SLDC at Kashipur and Rishikesh" is an entirely debt funded project under REC II funded projects. The Petitioner submitted that interest rate of 12.50% has been considered for projecting the interest expense and projected depreciation has been considered as repayment in accordance with UERC (Terms and Conditions for Determination of Tariff) Regulations, 2011.

The Commission has worked out the interest charges considering the approved means of finance. The Commission has provisionally considered the actual interest rate of REC II for FY 2012-13 as submitted by PTCUL in its APR Petition for FY 2013-14 and the same shall be trued up based on the actuals. The Commission has considered the normative repayment equal to depreciation in accordance with the UERC Tariff Regulations, 2011. The interest charges approved by the Commission for the Control Period is as shown in the Table below:

Table 3.11: Interest charges for the Control Period FY 2013-14 to FY 2015-16 (Rs. Crore)

Particulars	FY 2013-14		FY 2014-15		FY 2015-16	
	Proposed	Approved	Proposed	Approved	Proposed	Approved
Opening balance of loan	0.47	0.47	12.89	12.33	12.17	11.00
Addition during the year	13.14	13.14	0.00	0.00	7.65	7.65
Repayment	0.72	1.28	0.72	1.33	0.92	1.54
Closing balance of Loan	12.89	12.33	12.17	11.00	18.90	17.11
Average Loan	13.25	12.97	12.53	11.66	15.54	14.05
Interest rate	12.50%	11.44%	12.50%	11.44%	12.50%	11.44%
Interest	1.66	1.48	1.57	1.33	1.94	1.61

3.7.5 Interest on Working Capital

The Petitioner submitted that it had estimated the Interest on Working Capital for each year of the Control Period from FY 2013-14 to FY 2015-16 in accordance with the provisions of UERC (Terms and Conditions for Determination of Tariff) Regulations, 2011.

The Petitioner has calculated interest on Working Capital @ 14.45%. However, UERC Tariff Regulations, 2011 specifies the rate of interest on working capital as the SBAR of SBI as on the date on which tariff application is made, which is 14.75%. Accordingly, the Commission has considered a

rate of 14.75% for calculating interest on working capital.

The Commission has worked out the Interest on Working Capital in accordance with the UERC Tariff Regulations, 2011. The Interest on Working Capital approved by the Commission is as shown in the Table below:

Table 3.12: Interest on Working Capital for the Control Period FY 2013-14 to FY 2015-16 (Rs. Crore)

Particulars	FY 2013-14		FY 2014-15		FY 2015-16	
	Proposed	Approved	Proposed	Approved	Proposed	Approved
O&M Expenses of one month	0.32	0.32	0.37	0.36	0.43	0.41
Maintenance spares	0.57	0.57	0.67	0.65	0.77	0.74
Two months receivables	0.86	0.93	0.97	1.00	1.18	1.19
Working Capital	1.75	1.81	2.02	2.01	2.38	2.34
Rate of interest on working capital	14.45%	14.75%	14.45%	14.75%	14.45%	14.75%
Interest on Working Capital	0.25	0.26	0.29	0.29	0.34	0.34

3.7.6 Non-tariff income

The Petitioner submitted that SLDC charges include open access charges which are applicable to short-term open access ranging from part of the day to one month, medium term open access ranging from 3 months to 3 years and long term open access ranging from 12 years to 25 years. Apart from this, the SLDC receives various NOC charges and UI charges as well from its consumers. The Petitioner submitted that all the charges received from its short term open access consumers are categorized within Non-Tariff income and there are currently 42 short term open access consumers in Uttarakhand who pay Rs. 2000 per day for scheduling of power. The Petitioner submitted that due to the difficulty in estimating non-tariff income, it has projected the actual non-tariff income received in FY 2012-13 for the entire Control Period. The Petitioner requested the Commission to consider the actual non-tariff income at the time of truing-up.

The Commission has provisionally approved the Non-tariff income proposed by the Petitioner and the same shall be trued up based on the actual audited accounts for the year. The Non-tariff income approved by the Commission is as shown in the Table below:

Table 3.13: Non-tariff income for the Control Period FY 2013-14 to FY 2015-16 (Rs. Crore)

Particulars	FY 2013-14		FY 2014-15		FY 2015-16	
	Proposed	Approved	Proposed	Approved	Proposed	Approved
Non-Tariff income	1.27	1.27	1.27	1.27	1.27	1.27

3.7.7 Aggregate Revenue Requirement

Based on the above, the Aggregate Revenue Requirement approved by the Commission for the Control Period is as shown in the Table below:

Table 3.14: ARR for the Control Period FY 2013-14 to FY 2015-16 (Rs. Crore)

S. No.	Particulars	FY 2013-14		FY 2014-15		FY 2015-16	
		Proposed	Approved	Proposed	Approved	Proposed	Approved
1	O&M expenses	3.80	3.63	4.50	4.33	5.13	4.92
i	Employee expenses	2.76	2.76	3.35	3.32	3.91	3.83
ii	R&M expenses	0.64	0.47	0.67	0.53	0.71	0.56
iii	A&G expenses	0.40	0.40	0.48	0.48	0.51	0.52
2	Depreciation	0.72	1.28	0.72	1.33	0.92	1.54
3	Interest and finance charges	1.66	1.48	1.57	1.33	1.94	1.61
4	Return on Equity	0.00	0.00	0.00	0.00	0.00	0.00
5	Interest on Working Capital	0.25	0.26	0.29	0.29	0.34	0.34
6	Less: Non Tariff Income	1.27	1.27	1.27	1.27	1.27	1.27
7	ARR	5.16	5.39	5.81	6.02	7.07	7.13

As FY 2013-14 is already over, the ARR approved for FY 2013-14 is only for indicative purposes and has already been included in the approved ARR for PTCUL. The same shall be considered during the truing up for FY 2013-14. The Commission allows SLDC to recover the ARR approved for FY 2014-15 from the beneficiaries in accordance with the procedure prescribed in Regulation 102 of tariff Regulations. The funds received should be kept in a separate account to be used only for meeting its day to day expenses as approved above.

3.7.8 Operating Charges

The Commission vide the UERC (Terms and Conditions of Intra-State Open Access) Regulations, 2010 had specified Operating Charges in respect of short-term open access customer, limited short-term open access customer & for embedded open access consumers. Regulations 22(2)(b) of the UERC (Terms and Conditions of Intra-State Open Access) Regulations, 2010 specify the Operating Charges for the Short-term Open Access customer which is reproduced hereunder:

“(b) Short-term open access

(i) A composite operating charge @ Rs.2,000/- per day or part of the day shall be payable by a short-term open access customer for each transaction to the SLDC or as determined by the Commission from time to time.

Explanation: The operating charge includes fee for scheduling and system operation, energy accounting, fee for affecting revisions in schedule on bonafide grounds and collection and

disbursement of charges.”

Regulations 39(2) of the UERC (Terms and Conditions of Intra-State Open Access) Regulations, 2010 specify existing Operating Charges for the limited short-term open access customer which is reproduced hereunder:

“Limited short-term open access consumers shall also be liable to pay composite operating charges @ Rs.2,000/- per day or part of the day for each transaction to the SLDC or as determined by the Commission from time to time.”

Regulations 47(4) of the UERC (Terms and Conditions of Intra-State Open Access) Regulations, 2010 specify existing Operating Charges for the embedded open access customer which is reproduced hereunder:

“Embedded open access consumers shall also be liable to pay composite operating charges @ Rs.2,000/- per day or part of the day for each transaction to the SLDC or as determined by the Commission from time to time. “

The above referred Operating charges are in force from the date of notification of the UERC (Terms and Conditions of Intra-State Open Access) Regulations, 2010, i.e. 28.10.2010. All the above referred regulations also provide that these charges or the charges as determined by the Commission from time to time shall apply. The Commission is issuing first tariff order separately for SLDC. To meet the cost of time and resources spent on granting open access and the fact that the aforesaid charges are in existence since past three & half years, the Commission decides to revise the above referred charges to Rs. 3,000.00 per day or part of the day for each transaction to the SLDC, w.e.f the date of issuance of the Order.

4 Commission's Directives

4.1 Fresh Directives

4.1.1 Project Cost & Transfer of assets from PTCUL to SLDC (Para 3.3)

The Commission directs the Petitioner to submit the audited accounts for FY 2013-14 along with Annual Performance Review of FY 2014-15. The Commission also directs the Petitioner to complete the process of transfer of assets from PTCUL to SLDC and submit the details of the same along with APR of FY 2014-15.

4.1.2 Submission of factual information (Para 3.7.1.2)

The Commission cautions the Petitioner to take due care in submitting factual information.

4.1.3 Maintaining the separate details of actual AMC fee paid (Para 3.7.1.2)

The Commission directs the Petitioner to maintain separate details of actual AMC fee paid and the impact of the same shall be adjusted while carrying out the truing up and will not be considered as reduction in R&M expenses on account of controllable factors.


(K.P. Singh)
Member

(C.S. Sharma)
Member

(Jag Mohan Lal)
Chairman

5 Annexures

5.1 Annexure-1 : Public Notice on SLDC's Proposals



POWER TRANSMISSION CORPORATION OF UTTARAKHAND LTD.
(A Govt. of Uttarakhand Undertaking)
Vidyut Bhawan, Saharanpur Road, Majra, Near ISBT, Dehradun-248001,
Uttarakhand Phone: 0135-2642006 Fax: 0135-2643460

PUBLIC NOTICE

**Inviting Comments on the Petition filed by SLDC for approval
of the Proposed SLDC Charges for FY 2014-15**

Salient points of the ARR/Tariff Petition

1. State Load Despatch Center, Which has been made Operational for grid control and despatch of electricity within the State and other related works w.e.f. November 27, 2012 in the State of Uttarakhand, has filed a petition before the Commission for approval of Aggregate Revenue Requirement (ARR) for FY 2013-14 to FY 2015-16. The Summary of the proposal of the SLDC for FY 2013-14 to FY 2015-16 is given in the following Table:

Summary of the ARR of SLDC FY 2013-14 to FY 2015-16 - Rs. Crore				
S.No.	Particulars	FY 2013 -14	FY 2014-15	FY 2015-16
1.	Depreciation	0.719	0.719	0.920
2.	Interest on Long Term Loans	1.656	1.566	1.942
3.	Return on Equity	0.00	0.00	0.00
4.	O&M Expenses	3.802	4.495	5.132
5.	Interest on Working Capital	0.253	0.291	0.343
6.	Gross Expenditure	6.429	7.071	8.338
7.	Less Non Traiff Income	1.266	1.266	1.266
8.	Aggregate Revenue Requirement (ARR)	5.163	5.805	7.072

2. The recovery of the Charge from the beneficiaries has been proposed through suitable fees and charges.

3. Detailed proposals can be seen free of cost on any working day at the Commission's office or at the office of Managing Director, Power Transmission Corporation of Uttarakhand Limited, Vidyut Bhawan, Saharanpur Road, Majra, Near ISBT, Dehradun - 248001, Uttarakhand, Relevant extracts can also be obtained from the above mentioned offices of the petitioner.

4. The proposals are also available at the website of the Commission (www.uerc.gov.in) and at SLDC's website (www.ukslcd.org).

5. Objections/suggestion are sought from the consumers and other stakeholders on the above proposals. These may be sent to the Secretary, Uttarakhand Electricity Regulatory Commission, either in person, or by post at Vidyut Niyamak Bhawan, Near I.S.B.T., P.O. Majra, Dehradun or through e-mail to uttaranchalerc@rediffmail.com as a statement of objections or comments with copies of the documents and evidence in support thereof so as to reach the Secretary by 31.01.2014.

Managing Director

"Save Electricity in the Interest of Nation"

5.2 Annexure-2 : List of Respondent

Sl.	Name	Designation	Organization	Address
1.	Sh. Munish Talwar	-	M/s Asahi India Glass Ltd.	Integrated Glass Plant, Village-Latherdeva Hoon, Manglaur-Jhabrera Road, P.O. Jhabrera, Tehsil Roorkee, Distt. Haridwar, Uttarakhand

5.3 Annexure-3 : List of Participants in Public Hearings

List of Participants in Hearing at Nainital on 17.02.2014

Sl. No.	Name	Designation	Organization	Address
1.	Sh. Ranjeet Singh Bisht	-	-	Oak Cottage Compound, Mallital, Nainital
2.	Sh. Y.S. Chowdhury	Manager	M/s Uttaranchal Tea Co. (Pvt.) Ltd.	Pingalkot, Post-Kausani Tea Estate, Distt.- Bageshwar
3.	Sh. Shyam Singh	-	-	Bhawani Niwas, Ayarpata, Mallital, Nainital
4.	Sh. Rajendra Singh Thaguna	-	-	Talla Kisnapur, Tallital, Nainital
5.	Ms. Esha Shah	-	-	Opp. Jila Panchayat, Mall Road, Nainital
6.	Sh. Dinesh Sah	President	M/s Nainital Hotel's & Restaurant Association	India Hotel, Nainital
7.	Sh. D.N. Bhatt	-	-	Talla Kishanapur, Tallital, Nainital
8.	Sh. Sudhir Kumar Kansal	-	-	Kansal Bhawan, Bailvaidiyar Compound, Mallital, Nainital

List of Participants in Hearing at Rudrapur on 18.02.2014

Sl. No.	Name	Designation	Organization	Address
1.	Sh. Rakesh Kumar	-	M/s Syndicate Auto Components	Plot No.-37, Sector-11, SIDCUL, Pantnagar, Udham Singh Nagar
2.	Sh. G.S. Dangi	-	M/s KLT Automotive & Tubular Auto Component	Plot No.-20, Sector-11, SIDCUL, Pantnagar, Udham Singh Nagar
3.	Sh. Shivgiri	-	M/s Rojee Tasha Stamping	Plot No.-25 & 26, Sector-11, SIDCUL, Pantnagar, Udham Singh Nagar
4.	Sh. Vikas Jindal	President	Kumaon Garhwal Chamber of Commerce & Industry	Chamber House, Industrial Estate, Bazpur Road, Kashipur, Distt.- Udham Singh Nagar
5.	Sh. Alok Goyal	Secretary	Kumaon Garhwal Chamber of Commerce & Industry	Chamber House, Industrial Estate, Bazpur Road, Kashipur, Distt.- Udham Singh Nagar
6.	Sh. Pawan Agrawal	-	Kumaon Garhwal Chamber of Commerce & Industry	Chamber House, Industrial Estate, Bazpur Road, Kashipur, Distt.- Udham Singh Nagar
7.	Sh. Sanjay Adlakha	-	M/s Pioneer Polyleather	Plot No.-74, Sector-4, SIDCUL, Pantnagar, Udham Singh Nagar
8.	Sh. A.K. Singh	-	M/s Perfect Dynamics Auto Pvt. Ltd.	Fulsunga, Transit Camp, Rudrapur, Udham Singh Nagar
9.	Sh. Sukhram	-	M/s Sanjay Techno Plast Pvt. Ltd.	Pant Nagar Plant : Khata No. 182, Khasra No. 301 Min., Village-Fulsunga, Tehsil-Kichha, Rudrapur, Distt. Udham Singh Nagar, Uttarakhand-263153
10.	Sh. Suresh Kumar	President (Works)	M/s La Opala RG Ltd.	B-108, Eldeco Sidcul Industrial Park, Sitarganj, Udham Singh Nagar
11.	Sh. P.K. Katiyar	-	M/s Innovative Textiles Ltd.	B-8, Phase-1, ESIP, Sitarganj, Distt. Udham Singh Nagar
12.	Sh. Viresh Kumar Singh	Coordinator-HR	SIDCUL Entrepreneur Welfare Society	C/o Shirdi Industries Ltd. Plot No.-1, Sector-9, IIE, SIDCUL, Pantnagar, Udham Singh Nagar
13.	Sh. Ajay Rai	-	M/s Auto Comp Pans Pvt. Ltd.	Plot No.-38-39, Sector-11, IIE, SIDCUL, Pantnagar, Udham Singh Nagar
14.	Sh. S.C. Joshi	-	M/s Bajaj Motors Ltd.	Plot No. 41, Sector-11, IIE, SIDCUL, Pantnagar, Uttarakhand
15.	Sh. Praveen Kumar	-	M/s Om Industry	Plot No. 46, Sector-7, IIE, SIDCUL, Pantnagar, Uttarakhand
16.	Sh. P.C. Saini	Sr. Engineer-Fab/Maint.	M/s C&S Himoina (P) Ltd.	12-A, Sector-9, IIE, SIDCUL, Pantnagar-263153, Uttarakhand
17.	Sh. Umesh Sharma	-	M/s Voltas Ltd.	Plot No. 2-5, Sector-8, IIE, SIDCUL, Pantnagar, Uttarakhand
18.	Sh. N.L. Pant	-	M/s Aurangabad Electricals Ltd.	Plot No. 6, Sector-10, IIE, SIDCUL, Pantnagar, Uttarakhand

List of Participants in Hearing at Rudrapur on 18.02.2014

Sl. No.	Name	Designation	Organization	Address
19.	Sh. Mohit Mahtolia	-	M/s HCL Infosystems Ltd.	Plot No. 12, 27-28, Sector-5, IIE, SIDCUL, Pantnagar, Uttarakhand
20.	Sh. R.S. Yadav	-	M/s India Glycols Ltd.	A-1, Industrial Area, Bazpur Road, Kashipur, Distt. Udham Singh Nagar-244713
21.	Sh. Amit Kapoor	-	M/s Minda Corporation	Plot No. 9, Sector-10, IIE, SIDCUL, Pantnagar, Uttarakhand
22.	Sh. Himanshu Gupta		M/s Bhawani Industries	Plot No. 65, Sector-11, SIDCUL, Panatnagar, Uttarakhand
23.	Sh. P.K. Mishra	-	M/s Wills India Ltd.	Plot No. 56, Sector-11, IIE, SIDCUL, Pantnagar, Uttarakhand
24.	Sh. Sanjay Kumar	-	M/s Perfect Dynamics Auto Pvt. Ltd.	Village - Fulsunga, Post - Transit Camp, Tehsil - Kichha, Rudrapur, Dist. Udham Singh Nagar
25.	Sh. Vineet Saran	-	M/s Autoline Industries Ltd.	Plot No. 8, Sector-11, SIDCUL, Pant Nagar, Udham Singh Nagar-263153, Uttarakhand
26.	Sh. D.S. Rana	-	M/s Interarch Pvt. Ltd.	Plot No. 14, Sector-2, SIDCUL, Pant Nagar, Udham Singh Nagar
27.	Sh. Vitthal Rav	-	M/s Kusalava International Ltd.	Plot No. 10, Sector-2, SIDCUL, Pant Nagar, Udham Singh Nagar
28.	Sh. Ashok Bansal	-	M/s. Rudrapur Solvents Pvt. Ltd.	Lalpur, Kichha, Rudrapur, Distt.- Udham Singh Nagar
29.	Sh. S.S. Rawat	-	M/s Nestle India Ltd.	Plot No.-1A, Sector-1, IIE, Pantnagar, Rudrapur, Udham Singh Nagar-263145
30.	Sh. Jai Bhagwal Agrawal	Director	M/s Kashi Vishwanath Steels Ltd.	Narain Nagar Industrial Estate, Nainital Road, Kashipur-244713, Distt. Udham Singh Nagar
31.	Sh. Rajeev Gupta	-	M/s Galwalia Ispat Udyog Ltd.	Narain Nagar Industrial Estate, Nainital Road, Kashipur-244713, Distt. Udham Singh Nagar
32.	Sh. Sushil Sharma	-	M/s Kashi Vishwanath Textile Mill Ltd.	Works : 5th Km. Stone, Ramnagar Road, Kashipur-244713, Udham Singn Nagar
33.	Sh. Subhash Chandra	-	M/s Kiran Udhyog Pvt. Ltd.	Plot No. 34, Sector-11, Tata Complex, SIDCUL, Pantnagar, Udham Singh Nagar
34.	Sh. Jitendra Singh	-	M/s Kiran Udhyog Pvt. Ltd.	Plot No. 34, Sector-11, Tata Complex, SIDCUL, Pantnagar, Udham Singh Nagar
35.	Sh. Govind Singh Bisht	-	M/s Lucas TVS Ltd.	Plot No. 55, Sector-11, TML Vendor Park, Pantnagar, Udham Singh Nagar
36.	Sh. Atul Kumar Gupta	-	M/s Uttaranchal Ispat Ltd.	Plot No. D-1 to D-8, Pipalia Industrial Area, Gram-Jagannathpur, Bazpur, Distt. Udham Singh Nagar

List of Participants in Hearing at Rudrapur on 18.02.2014

Sl. No.	Name	Designation	Organization	Address
37.	Sh. Surendra Giridhar	Chairman	BDMS	House No. 11, Vimsquare, Kichha Road, Rudrapur, Udham Singh Nagar
38.	Sh. R.B. Biradar	General Manager	M/s Radico Khaitan Ltd.	Plot No. A-2/B-3, Bazpur Industrial Area, Phase-1, PO-Sultanpuri Patti, Bazpur, Distt. Udham Singh Nagar-262123
39.	Sh. Shyam Lal Bansal	-	M/s Shree Raj Builders	Near Hotel Midtown, Rudrapur, Udham Singh Nagar
40.	Sh. A.K. Sharma	-	M/s Mahalaxmi Polypack Pvt. Ltd.	Plot No. 3, Sector-9, SIDCUL, Rudrapur, Udham Singh Nagar
41.	Sh. H.D. Arora	-	-	D1, D2, 27/1, Civil Lines, Rudrapur, Udham Singh Nagar
42.	Sh. Puran Singh	-	-	Baanskheda Kalan, Fauzio Ka Dera, Raipur, Civil Lines, Rudrapur, Udham Singh Nagar
43.	Sh. Kulwant Singh	-	-	Baanskheda Kalan, Fauzio Ka Dera, Raipur, Civil Lines, Rudrapur, Udham Singh Nagar

List of Participants in Hearing at Narendra Nagar on 21.02.2014

Sl. No.	Name	Designation	Organization	Address
1.	Sh. Pyar Singh Kaintora	-	-	Kumar Khera, P.O.-Narendra Nagar, Narendra Nagar
2.	Sh. Sanjay Agrawal	President	M/s Industries Association of Uttarakhand	Aditya Industries, UPSIDC Ind. Area, Dhalwala, Rishikesh-249201, Uttarakhand
3.	Sh. Lokesh Makhija	Secretary	M/s Industries Association of Uttarakhand	Aditya Industries, UPSIDC Ind. Area, Dhalwala, Rishikesh-249201, Uttarakhand
4.	Sh. Jaipal Singh	-	-	Village & P.O.-Timli, Khaneti, Distt. Tehri, Uttarakhand
5.	Sh. Surendra Singh	-	-	Village & P.O.-Timli, Khaneti, Distt. Tehri, Uttarakhand
6.	Sh. Rajendra Singh Rana	Former Chairman	Nagarpalika	Near Kunjapuri Hotel, Narendra Nagar, Distt. Tehri, Uttarakhand
7.	Sh. Ajay Dhamanda	Hon'ble MP's Representative	-	34, Main Market, Narendra Nagar, Uttarakhand

List of Participants in Hearing at Dehradun on 25.02.2014

Sl. No.	Name	Designation	Organization	Address
1	Sh. Pankaj Gupta	President	M/s Industries Association of Uttarakhand	C/o Satya Industries, Mohabbewala Industrial Area, Dehradun
2	Sh. Rajiv Agarwal	Sr. Vice-President	M/s Industries Association of Uttarakhand	C/o Satya Industries, Mohabbewala Industrial Area, Dehradun
3	Sh. Rakesh Bhatia	President	M/s Uttarakhand Industrial Welfare Association	Off. G-31, UPSIDC, Industrial Area, Selaqui, Dehradun, Uttarakhand
4	Sh. Manoj Gupta	-	M/s Uttarakhand Industrial Welfare Association	Off. G-31, UPSIDC, Industrial Area, Selaqui, Dehradun, Uttarakhand
5	Sh. Mahesh Sharma	-	M/s Uttarakhand Industrial Welfare Association	Off. G-31, UPSIDC, Industrial Area, Selaqui, Dehradun, Uttarakhand
6	Sh. Arvind Jain	-	-	6, Ram Leela Bazaar, Dehradun
7	Sh. Sandeep Bhatt	-	-	35, Tyagi Road, Dehradun
8	Sh. R.S. Bisht	-	-	1347/22, Langha Road, Industrial Area, Sahaspur, Dehradun
9	Sh. Anil Marwah	General Secretary	M/s Prantiya Industries Association Uttarakhand	222/5, Gandhi Gram, Dehradun-248001
10	Sh. Lokesh Lohia	Member	Confederation of Indian Industry	Northern Region, 30/1, Rajpur Road, Dehradun-248001
11	Sh. Sunil	-	M/s Asahi India Glass Ltd.	Integrated Glass Plant, Village-Latherdeva Hoon, Manglaur-Jhabrera Road, P.O. Jhabrera, Tehsil Roorkee, Distt. Haridwar, Uttarakhand
12	Sh. Ramesh Srivastava	-	M/s Asahi India Glass Ltd.	Integrated Glass Plant, Village-Latherdeva Hoon, Manglaur-Jhabrera Road, P.O. Jhabrera, Tehsil Roorkee, Distt. Haridwar
13	Sh. Harindra Garg	Chairman	SIDCUL Manufacturing Association-Uttarakhand	SIDCUL, Haridwar
14	Sh. Mukesh Chauhan	-	-	Village-Nayagaon, Pelio, Post Off.-Nayagaon, Dehradun
15	Sh. Ram Swaroop Saini	-	-	Gram & P.O.-Jassowala, Tehsil-Vikas Nagar, Dehradun
16	Sh. Naveen Kumar	-	-	Village-Nayagaon, Pelio, Post Off.-Nayagaon, Dehradun

List of Participants in Hearing at Dehradun on 25.02.2014

Sl. No.	Name	Designation	Organization	Address
17	Sh. R.N. Mathur	President	Mussoorie Hotel Association	Price Hotel, Mussoorie, Dehradun
18	Sh. G.S. Manchanda	Proprietor	Hotel India	Gandhi Chowk, Mussoorie, Dehradun
19	Sh. Nityanand	-	-	Gram Nakraunda, P.O.-Nakraunda, Dehradun
20	Sh. R.K. Gupta	-	M/s Alps Industries Ltd.	Plot No. 1-A, Sector-10, IIE, SIDCUL, Roshnabad Road, Haridwar-249403
21	Sh. Yogendra Singh Rathi	-	-	D-125, Race Course, Dehradun
22	Sh. Vijay Singh	Member	Bhartiya Kisan Club	Village-Sultanpuri Sabatwali, Post-Ghabreda, Roorkee, Haridwar-247665
23	Sh. Katar Singh	Chairman	Bhartiya Kisan Club	Village-Sultanpuri Sabatwali, Post-Ghabreda, Roorkee, Haridwar-247665
24	Sh. G.S. Shukla	-	-	65-Vijay Park, Dehradun
25	Sh. Vijay Shankar Nautiyal	-	-	Village-Devipur, P.O.-Ummedpur, Via Prem Nagar, Dehradun
26	Sh. Vishwamitra Gogia	-	-	36-Panchsheel Park, Chakrata Road, P.O.-New Forest, Dehradun