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मध्यप्रदेश राजपत्र

प्राधिकार से प्रकाशित

क्रमांक 9]

भोपाल, शुक्रवार, दिनांक 1 मार्च 2024—फाल्गुन 11, शक 1945

भाग ४

विषय—सूची

(क)	(1) मध्यप्रदेश विधेयक,	(2) प्रवर समिति के प्रतिवेदन	(3) संसद् में पुरःस्थापित विधेयक.
(ख)	(1) अध्यादेश	(2) मध्यप्रदेश अधिनियम,	(3) संसद् के अधिनियम.
(ग)	(1) प्रारूप नियम,	(2) अन्तिम नियम.	

भाग ४ (क)—कुछ नहीं

भाग ४ (ख)

भाग ४ (ग)

अन्तिम विनियम

मध्यप्रदेश विद्युत् नियामक आयोग

पंचम् तल, मेट्रो प्लाजा, बिट्टन मार्केट, ई-5, अरेरा कालोनी, भोपाल

भोपाल, दिनांक 22 फरवरी 2024

क्रमांक 506 /मप्रविनिआ/2024. विद्युत् अधिनियम, 2003 (क्रमांक 36, वर्ष 2003) की धारा 86 की उप-धारा (झ) और (ट) और धारा 181 की उप-धारा (1) द्वारा प्रदत्त शक्तियों तथा इस निमित्त समर्थ बनाने वाली अन्य समस्त शक्तियों को प्रयोग में लाते हुए मध्य प्रदेश विद्युत् नियामक आयोग एतद् द्वारा मध्य प्रदेश विद्युत् नियामक आयोग (नियामक अनुपालन की रिपोर्टिंग के लिए दिशानिर्देश) विनियम, 2005 को संशोधित करता है;

मध्य प्रदेश विद्युत नियामक आयोग (नियामक अनुपालन की रिपोर्टिंग के लिए दिशानिर्देश) विनियम, 2024 (संशोधन - I) {आरजी-23(I), 2024}

1 परिचय

1.1 आयोग विद्युत अधिनियम, 2003 के प्रावधानों के अनुसार अधिसूचित विभिन्न विनियमों के माध्यम से जारी निर्देशों के अनुपालन की प्रभावी निगरानी की आवश्यकता को पहचानता है। विद्युत अधिनियम, 2003 की सच्ची भावना के कार्यान्वयन को सुनिश्चित करने के लिए विद्युत अधिनियम, 2003 के विभिन्न प्रावधानों के अंतर्गत आयोग के विनियमों के निर्देशों के अनुपालन की निगरानी का सर्वोपरी महत्व है। ये दिशानिर्देश मध्य प्रदेश में संचालित ट्रांसमिशन, ट्रेडिंग और वितरण लाइसेंसधारियों द्वारा अनुपालन प्रणाली की रूपरेखा स्थापित करने और नियामक अनुपालन की रिपोर्टिंग करने के लिए आयोग के दृष्टिकोण को रेखांकित करते हैं।

2. संक्षिप्त शीर्षक और प्रारंभ

2.1 ये विनियम "मध्य प्रदेश विद्युत नियामक आयोग (नियामक अनुपालन की रिपोर्टिंग के लिए दिशानिर्देश) विनियम, 2024 (संशोधन-I) {आरजी-23(I) 2024}" कहलायेंगे।

2.2 ये विनियम मध्य प्रदेश के क्षेत्र में संचालित सभी वितरण लाइसेंसधारियों, राज्य ट्रांसमिशन लाइसेंसधारियों, ट्रेडिंग लाइसेंसधारियों पर लागू होंगे।

2.3 ये विनियम मध्य प्रदेश सरकार के राजपत्र में प्रकाशन के दिनांक से लागू होंगे।

3. परिभाषा

3.1 इन विनियमों में, जब तक कि संदर्भ से अन्यथा अपेक्षित न हो:

(क) "अधिनियम" से अभिप्रेत है, विद्युत अधिनियम, 2003 (क्रमांक 36, वर्ष 2003);

(ख) "आयोग" से अभिप्रेत है, मप्र विद्युत नियामक आयोग;

(ग) "वितरण लाइसेंसधारी" से अभिप्रेत है, अपने आपूर्ति क्षेत्र में उपभोक्ताओं को बिजली की आपूर्ति के लिए वितरण प्रणाली को संचालित करने और बनाए रखने के लिए अधिकृत लाइसेंसधारी;

(घ) "ट्रांसमिशन लाइसेंसधारी" से अभिप्रेत है, ट्रांसमिशन लाइनों को स्थापित करने या संचालित करने के लिए अधिकृत लाइसेंसधारी;

(ङ) "ट्रेडिंग लाइसेंसधारी" से अभिप्रेत है, वह व्यक्ति जिसे आयोग द्वारा ट्रेडिंग लाइसेंस प्रदान किया गया है या अधिनियम की धारा 14 के अनुसार बिजली की ट्रेडिंग के लिए डीम्ड ट्रेडिंग लाइसेन्सी;

(च) "अनुपालन रिपोर्टर" से अभिप्रेत है, अपने संचालन क्षेत्र में नियामक अनुपालन की रिपोर्टिंग के लिए लाइसेंसधारी द्वारा नियुक्त व्यक्ति।

3.2 जो शब्द और अभिव्यक्तियाँ इन विनियमों में परिभाषित नहीं हैं, उनका वही अर्थ होगा जो आयोग के अधिनियम या विनियमों/संहिताओं में दिया गया है। इन विनियमों और अधिनियम के बीच किसी भी असंगतता के मामले में, अधिनियम में उल्लेखित अर्थ मान्य होगा।

4. विनियामक उद्देश्य

4.1 "अनुपालन रिपोर्टिंग प्रणाली" का उद्देश्य यह है कि लाइसेंसधारी एक मजबूत और प्रभावी नियामक अनुपालन तंत्र का निर्माण करे। आयोग को रिपोर्ट करने के साथ-साथ आयोग द्वारा अधिसूचित विभिन्न नियमों के अनुपालन की स्थिति को बहुत स्पष्ट रूप से सामने लाया जाता है और प्रासंगिक रिपोर्टिंग अवधि के दौरान किसी भी प्रकार के गैर-अनुपालन और उपभोक्ताओं और/या पर ऐसे गैर-अनुपालन के प्रभाव का आकलन किया जाता है। अन्य संस्थाओं को कारणों के साथ स्पष्ट रूप से और अलग से सूचित किया जाता है।

5. नियामक अनुपालन रिपोर्टिंग प्रणाली

5.1 लाइसेंसधारी लाइसेंस शर्तों को पूरा करने के लिए एक अनुपालन-रिपोर्टिंग प्रणाली अपनाएगा।

5.2 आयोग लाइसेंसधारियों को अनुपालन पर एक विस्तृत रिपोर्ट प्रस्तुत करने का निर्देश देता है जिसमें समय-समय पर आयोग द्वारा अधिसूचित विभिन्न नियमों के तहत जारी निर्देशों के कार्यान्वयन पर सभी मुद्दों का सारांश सामने आना चाहिए। अनुपालन की मुद्दावार स्थिति (पूर्ण, आंशिक या गैर-अनुपालन) निर्दिष्ट समयसीमा के लिए आयोग को सूचित की जाएगी। ऐसी रिपोर्ट में उन मुद्दों पर उचित कारण भी शामिल होंगे जहां निर्देशों का अनुपालन नहीं किया जा सका या आंशिक रूप से अनुपालन किया जा सका, यदि कोई हो।

5.3 नियामक अनुपालन रिपोर्टिंग प्रणाली का इरादा नियमित आधार पर "रिपोर्टर ऑफ कंप्लायंस (आरओसी)" द्वारा आंतरिक ऑडिट सुनिश्चित करना है। आरओसी द्वारा प्रस्तुत रिपोर्ट को प्रबंध निदेशक द्वारा विधिवत प्रमाणित किया जाएगा और लाइसेंसधारी के निदेशक मंडल द्वारा अनुमोदित किया जाएगा।

6. रिपोर्टिंग प्रक्रिया

6.1 लाइसेंसधारी अनुलग्नक-क में निर्दिष्ट तरीके से आयोग को "अर्धवार्षिक/वार्षिक नियामक अनुपालन रिपोर्ट" प्रस्तुत करेगा। इसके अलावा, लाइसेंसधारी को आयोग द्वारा इसके विभिन्न के तहत दिए गए निर्देशों के अनुपालन के स्तर को स्पष्ट रूप से प्रस्तुत करना चाहिए। इन विनियमों के साथ संलग्न अनुलग्नक-ख में सूचीबद्ध नियमों को समय-समय पर सक्षम प्राधिकारी द्वारा विधिवत प्रमाणित किया जाता है। लाइसेंसधारी यह भी सुनिश्चित करेगा कि सभी आवश्यक जानकारी इन नियमों के साथ संलग्न अनुलग्नक-ग के तहत प्रदान किए गए अतिरिक्त प्रारूपों में प्रस्तुत की जाएगी।

6.2 लाइसेंसधारी को अनुलग्नक-ख में निर्दिष्ट वस्तुओं द्वारा निर्देशित किया जाएगा, लेकिन यह इन्हीं तक सीमित नहीं होगा। लाइसेंसधारी को अपने व्यवसाय से संबंधित समय-समय पर आयोग द्वारा जारी विभिन्न विनियमों में निहित निर्देशों को ध्यानपूर्वक पढ़ना होगा और ऐसी सभी वस्तुओं की पहचान करनी होगी जिन्हें अनुलग्नक-ख में निर्दिष्ट वस्तुओं के अतिरिक्त रिपोर्ट करने की आवश्यकता है।

6.3 "अर्धवार्षिक/वार्षिक विनियामक अनुपालन रिपोर्ट" में नीचे दिए गए अनुसार अनुपालन का सारांश भी शामिल होगा:

(एक) आयोग के नियमों या निर्देशों के पूर्ण अनुपालन पर स्थिति (पूर्ण अनुपालन की गलत रिपोर्टिंग इन विनियमों के गैर-अनुपालन के लिए विद्युत अधिनियम, 2003 की धारा 142 के तहत नोटिस आमंत्रित करेगी);

(दो) आंशिक अनुपालन के विस्तृत कारणों और पूर्ण अनुपालन प्राप्त करने के लिए भविष्य की कार्रवाई के साथ आयोग के नियमों या निर्देशों के आंशिक अनुपालन पर स्थिति;

(तीन) गैर-अनुपालन के विस्तृत कारणों और पूर्ण अनुपालन प्राप्त करने के लिए भविष्य की कार्रवाई के साथ आयोग के नियमों या निर्देशों के गैर-अनुपालन पर स्थिति;

6.4 विनियामक अनुपालन रिपोर्ट पर अनुपालन रिपोर्टर द्वारा हस्ताक्षर किए जाएंगे और लाइसेंसधारी के प्रबंध निदेशक द्वारा सहमति दी जाएगी।

6.5 लाइसेंसधारी का निदेशक मंडल आयोग को प्रस्तुत करने से पहले "नियामक अनुपालन रिपोर्ट" को मंजूरी देगा। लाइसेंसधारी के निदेशक मंडल का एक संकल्प नियामक अनुपालन रिपोर्ट के साथ आयोग को प्रस्तुत किया जाएगा जिसमें कहा गया है:

"हमने _____ से _____ तक की अवधि के लिए नियामक अनुपालन रिपोर्ट पर ध्यान दिया है और हमने उन वस्तुओं पर भी ध्यान दिया है जिन पर अनुपालन अपर्याप्त पाया गया है। हम आयोग से ऐसी वस्तुओं के पूर्ण अनुपालन के लिए _____ समय देने का अनुरोध करते हैं। हम इसके द्वारा आयोग द्वारा दी गई निर्धारित विस्तारित समयावधि के भीतर आयोग को पूर्ण अनुपालन रिपोर्ट प्रस्तुत करने का वचन देता हूँ।"

6.6 अनुलग्नक-घ में दिए गए प्रारूप में नियामक अनुपालन रिपोर्ट के साथ एक प्रमाणपत्र संलग्न किया जाएगा।

6.7 विनियामक अनुपालन रिपोर्ट निम्नलिखित आवधिकता के अनुसार आयोग को प्रस्तुत की जाएगी:

1. अप्रैल से सितंबर की अवधि के लिए अर्धवार्षिक रिपोर्ट 31 दिसंबर तक प्रस्तुत की जाएगी, और
2. वित्तीय वर्ष के लिए समेकित रिपोर्ट 30 जून तक प्रस्तुत की जाएगी।

6.8 विनियामक अनुपालन रिपोर्ट प्रस्तुत करने में देरी या निर्देशों का अनुपालन न करने के मामले में आयोग लाइसेंसधारी के खिलाफ अधिनियम के प्रासंगिक प्रावधानों के अनुसार उचित कार्रवाई शुरू कर सकता है।

7. अनुपालन रिपोर्टर

7.1 लाइसेंसधारी को अधीक्षण अभियंता/महाप्रबंधक या उससे ऊपर (नियमित सेवा के कम से कम 20 वर्षों का अनुभव रखने वाला) के रूप में काम करने वाले एक नियमित सेवारत अधिकारी को "अनुपालन रिपोर्टर (आरओसी)" के रूप में नियुक्त किया जाना चाहिए, जिसे विशेष रूप से नियामक रिपोर्टिंग की जिम्मेदारी सौंपी जानी चाहिए। अनुपालन। उपयुक्त सेवारत अधिकारियों की कमी के मामले में, लाइसेंसधारी एक ऐसे अधिकारी को मानदेय के भुगतान पर नियुक्त कर सकता है जो राज्य के स्वामित्व वाले ट्रांसमिशन/वितरण/ट्रेडिंग लाइसेंसधारी की सेवाओं से सेवानिवृत्त हो और अधीक्षण अभियंता या उससे ऊपर के रूप में काम कर चुका हो। ऐसे अधिकारी को प्रचलित अधिनियमों, नियमों, विनियमों और प्रथाओं से अच्छी तरह परिचित होना चाहिए। सेवारत अधिकारी को आरओसी के पद से स्थानांतरित करने से पहले लाइसेंसधारी द्वारा वैकल्पिक व्यवस्था की जाएगी। सेवानिवृत्त अधिकारी की नियुक्ति के मामले में, किसी अन्य अधिकारी की नियुक्ति की प्रक्रिया पहले से शुरू की जाएगी और किसी भी स्थिति में उसके अनुबंध की समाप्ति से 3 महीने पहले शुरू की जाएगी।

7.2 लाइसेंसधारी लिखित रूप में अनुपालन के नामित रिपोर्टर की मंजूरी के लिए आयोग से संपर्क करेंगे। लाइसेंसधारी के अनुरोध में आरओसी के कार्य क्षेत्र, मुख्य विशेषज्ञता और अनुभव आदि का विवरण शामिल होगा।

7.3 आयोग अनुपालन रिपोर्टर के पदों/नियुक्ति की मंजूरी देगा और इसे लाइसेंसधारी को बताएगा। इसके बाद लाइसेंसधारी, आयोग से अनुमोदन प्राप्त होने के 15 दिनों के भीतर आरओसी की नियुक्ति के लिए आदेश जारी करेगा।

7.4 "अनुपालन रिपोर्टर" सीधे लाइसेंसधारी के प्रबंध निदेशक को रिपोर्ट करेगा और लाइसेंसधारी के विभिन्न फील्ड कार्यालयों/कॉर्पोरेट कार्यालयों से प्राप्त रिपोर्टों की लेखापरीक्षा और प्रमाणीकरण के लिए जिम्मेदार होगा। आरओसी यह सुनिश्चित करेगा कि नियामक अनुपालन रिपोर्ट समय-समय पर आयोग द्वारा जारी सभी नियमों और आदेशों के निर्देशों के कार्यान्वयन से संबंधित अनुपालन की स्थिति को कवर करती है। आरओसी विशेष रूप से रिपोर्ट में उन मुद्दों को सामने लाएगा, जिन पर लाइसेंसधारी और आयोग को ध्यान देने की आवश्यकता है। आरओसी आयोग को आगे प्रस्तुत करने के लिए लाइसेंसधारी के समक्ष रिपोर्ट रखेगा।

7.5 आरओसी उन विनियमों/निर्देशों के अनुपालन की भी रिपोर्ट करेगा, जो यहां शामिल नहीं हैं, लेकिन प्रासंगिक विनियमन पर रिपोर्टिंग अध्याय के तहत रिपोर्टिंग के लिए प्रासंगिक हैं। आरओसी यह भी सुनिश्चित करेगा कि रिपोर्ट वर्णनात्मक है और जहां प्रारूप निर्दिष्ट किए गए हैं, उसे रिपोर्ट में उचित विवरण/स्पष्टीकरण के साथ विधिवत भरा जाना चाहिए। विवरण/स्पष्टीकरण के लिए, संबंधित विनियम के संबंधित खंडों का संदर्भ लिया जाएगा।

8. नियामक अनुपालन रिपोर्ट की गोपनीयता

8.1 लाइसेंसधारी अनुपालन रिपोर्ट में प्रदान की गई जानकारी के उस हिस्से की पहचान कर सकता है जो गोपनीय है। गोपनीयता का दावा सावधानीपूर्वक विचार करने के बाद ही किया जाना चाहिए और जहां यह महसूस किया जाए कि जानकारी के प्रकटीकरण से आम तौर पर लाइसेंसधारी के वाणिज्यिक हितों को भौतिक क्षति होगी।

8.2 यद्यपि अनुपालन रिपोर्ट में प्रदान की गई जानकारी को गोपनीय बनाए रखने के लिए लाइसेंसधारियों के दृष्टिकोण पर आयोग द्वारा विचार किया जाएगा, आयोग लाइसेंसधारी के संचालन में पारदर्शिता की कानूनी आवश्यकता से बंधा होगा।

9. बचत

9.1 इन विनियमों में कुछ भी ऐसा नहीं माना जाएगा जो न्याय के उद्देश्यों को पूरा करने के लिए आवश्यक ऐसे आदेश या अभ्यास निर्देश देने के लिए आयोग की अंतर्निहित शक्ति को सीमित या अन्यथा प्रभावित करता है।

9.2 इन विनियमों में कुछ भी आयोग को अधिनियम के प्रावधानों के अनुरूप ऐसी प्रक्रिया अपनाने से नहीं रोकेगा, जो इन विनियमों के किसी भी प्रावधान से भिन्न हो, यदि आयोग, किसी मामले या वर्ग की विशेष परिस्थितियों को ध्यान में रखते हुए मामलों की और कारणों को लिखित रूप में दर्ज करने के लिए, ऐसे मामले या मामलों के वर्ग से निपटने के लिए इसे आवश्यक या समीचीन मानता है। हालाँकि, नियामक निर्देशों के अनुपालन की मांग के लिए अपनाए जाने से पहले लाइसेंसधारी को ऐसी प्रक्रियाओं पर अपना मामला प्रस्तुत करने का अवसर दिया जाएगा।

9.3 इन विनियमों में कुछ भी, स्पष्ट या अप्रत्यक्ष रूप से, आयोग को किसी भी मामले से निपटने या अधिनियम के तहत किसी भी शक्ति का प्रयोग करने से नहीं रोकेगा, जिसके लिए कोई विनियम तैयार नहीं किया गया है, और आयोग ऐसे मामलों, शक्तियों और कार्यों से उसी तरीके से निपट सकता है जैसे उचित समझता है।

9.4 मध्य प्रदेश विद्युत नियामक आयोग (विनियामक अनुपालन की रिपोर्टिंग के लिए दिशानिर्देश) विनियम, 2005 {जी-23, वर्ष 2005} मध्य प्रदेश सरकार के राजपत्र में अधिसूचना संख्या 1077/एमपीईआरसी/2005, दिनांक 05/05/2005 द्वारा प्रकाशित और उसमें संशोधन के साथ पढ़ा गया, जैसा कि इस विनियम की विषय वस्तु पर लागू होने वाले प्रावधानों को एतद् द्वारा निरस्त किया जाता है।

आयोग के आदेशानुसार,
उमाकांता पाण्डा, आयोग सचिव.

Bhopal, the 22nd February 2024

No. 506 - In exercise of the powers under sub-sections (i) and (k) of Section 86 and sub-section (1) of Section 181 of the Electricity Act, 2003 (36 of 2003) and all powers enabling it in that behalf, Madhya Pradesh Electricity Regulatory Commission hereby revises the MPERC (Guidelines for Reporting of Regulatory Compliance) Regulations, 2005, namely;

**MPERC (Guidelines for Reporting of Regulatory Compliance) (Revision– I)
Regulations, 2024 {RG-23(I) of 2024}**

1. Introduction

1.1 The Commission recognizes the need for effective monitoring of compliance of directives issued through various regulations notified as per the provisions of the Electricity Act, 2003. Monitoring of compliance of various provisions of the Electricity Act, 2003 deliberated in the form of directives of regulations of Commission is of paramount importance to ensure the implementation of true spirit of Electricity Act, 2003. These guidelines outline the Commission's approach to establish the framework for compliance system and reporting regulatory compliance by the transmission, trading and distribution licensees operating in Madhya Pradesh.

2. Short title and commencement

- 2.1 These Regulations shall be called the Madhya Pradesh Electricity Regulatory Commission (Guidelines for Reporting of Regulatory Compliance) (Revision-I) Regulations, 2024 {RG-23(I) of 2024}.
- 2.2 These Regulations shall be applicable to all the distribution licensees, state transmission licensee, trading licensees operating in the territory of Madhya Pradesh.
- 2.3 These Regulations shall come into force from the date of their publication in the Official Gazette of the Government of Madhya Pradesh.

3. Definition

- 3.1 In these regulations, unless the context otherwise requires:
- (a) "Act" means the Electricity Act, 2003 (No.36 of 2003);
- (b) "Commission" means the Madhya Pradesh Electricity Regulatory Commission.
- (c) "Distribution licensee" means a licensee authorized to operate and maintain a distribution

system for supplying electricity to the consumers in his area of supply;

- (d) "Transmission licensee" means a licensee authorized to establish or operate transmission lines;
- (e) "Trading licensee" means a person who has been granted a Trading License by the Commission or who is a deemed trading licensee as per the provisions of Section 14 of the Act to undertake trading in electricity;
- (f) "Reporter of compliance" means a person appointed by a licensee for reporting of regulatory compliance in its area of operation.

3.2 Words and expressions which are not defined in these Regulations shall have the same meaning as assigned in the Act or Regulations/ Codes of the Commission. In case of any inconsistency between these Regulations and the Act, the meaning assigned to them in the Act shall prevail.

4. Regulatory Objective

4.1 The objective of "compliance reporting system" is that the licensee should build a sound and effective regulatory compliance mechanism. The status of compliance of various regulations notified by the Commission along with reporting to the Commission are brought out very clearly and any non-compliance of any type during the relevant reporting period and assessment of the impact of such non-compliances on consumers and/or other entities is reported clearly and separately with reasons.

5. Regulatory Compliance Reporting System

- 5.1 The licensee shall adopt a compliance-reporting system to satisfy the license conditions.
- 5.2 The Commission directs licensees to submit a detailed report on compliance which should bring out summary of all issues on implementation of directives issued under various regulations notified by the Commission from time to time. Issue wise status of compliance (full, partial or non-compliance) shall be reported to the Commission for the specified period within timelines specified for reporting thereof. Such report shall also contain justified reasons on the issues where the directives could not be complied or partially complied, if any.
- 5.3 The intention of the regulatory compliance reporting system is to ensure internal audit by the "Reporter of Compliance (ROC)" on a regular basis. The report submitted by the ROC shall be duly authenticated by the Managing Director and approved by the Board of Directors of the Licensee.

6. Reporting Procedure

- 6.1 The Licensee shall submit the "Half-Yearly/Annual Regulatory Compliance Report" to the Commission as per details and composition specified at **Annexure-A**. Further, the Licensee should clearly submit the level of compliance towards the directives given by the Commission under its various regulations from time to time with remarks in writing by the competent authority as given in **Annexure-B** enclosed with these regulations. The licensee shall also ensure that all necessary information shall be submitted in the additional formats provided under **Annexure-C** enclosed with these regulations.
- 6.2 The licensee shall be guided by but not be limited to the extent of items specified in the **Annexure-B**. The licensee shall carefully go through the directives contained in various regulations and other directions issued by the Commission from time to time pertaining to his business and identify all such items that need to be reported in addition to the items specified in **Annexure B**.
- 6.3 The "Half-Yearly/Annual Regulatory Compliance Report" shall also contain summary of compliances as given below:
- i. Status on full compliance of regulations or directives of the Commission (incorrect reporting of full compliance shall invite notice under Section 142 of the Electricity Act, 2003 for non-compliance of these Regulations);
 - ii. Status on partial compliance of regulations or directives of the Commission with detailed reasons for partial compliance and future course of action to achieve full compliance;
 - iii. Status on non-compliance of regulations or directives of the Commission with detailed reasons for non-compliance and future course of action to achieve full compliance;
- 6.4 Regulatory Compliance report shall be signed by the Reporter of Compliance and consented by the Managing Director of the licensee.
- 6.5 Board of Directors of the licensee shall approve the "Regulatory Compliance Report" before its submission to the Commission. It shall be the responsibility of the Managing Director to obtain timely approval from the Board of Directors. A resolution of the Board of Directors of the licensee shall be submitted to commission along with the regulatory compliance report stating that:

"We have taken note of the regulatory compliance report for the period from _____ to _____ and we have also taken note on the items on which the compliance is found inadequate. We request Commission to grant _____ time for full compliance of such items. We hereby

undertake to furnish full compliance report to Commission within the stipulated extended time granted by Commission."

- 6.6 A Certificate shall be attached with the Regulatory Compliance report in the format as given at **Annexure D**.
- 6.7 Regulatory Compliance Report shall be submitted to the Commission as per following periodicity:
1. Half-yearly report for the period April to September shall be submitted by 31st December, and
 2. Consolidated report for the financial year shall be submitted by 30th June.
- 6.8 Commission may initiate appropriate action as per relevant provisions of Act, against the licensee(s) in case of delay in submission of Regulatory Compliance report or non-compliance of directives.

7. Reporter of Compliance

- 7.1 The Licensee shall appoint a regular serving Officer working as Superintending Engineer / General Manager or above (having experience of at least 20 years of regular service) as "Reporter of Compliance (RoC)" who should be exclusively entrusted with the responsibility of reporting regulatory compliance. In case of shortage of suitable serving Officers, the Licensee may appoint an officer on payment of an honorarium who has retired from services of state-owned transmission/distribution/trading licensee and worked as Superintending Engineer or above. Such officer should be well conversant of the prevailing Acts, rules, regulations and practices. Before transferring the Serving Officer from the post of ROC, alternative arrangement shall be made by the licensee. In case of appointment of retired officer, process for appointing another officer shall be initiated in advance and in any case 3 months before expiry of his contract.
- 7.2 The Licensee(s) shall approach the Commission for approval of the nominated Reporter of Compliance in writing. The request of licensee shall contain details of the RoC's field of work, core expertise and experience etc.
- 7.3 The Commission will give approval of positions/appointment of the Reporter of Compliance and convey it to the licensee. The licensee thereafter, shall issue an order for appointment of RoC within 15 days of receipt of approval from the Commission.
- 7.4 The "Reporter of Compliance" shall report directly to the Managing Director of the Licensee and shall be responsible for auditing and verifying the correctness of reports received from various Field Offices/Corporate Offices of the Licensee. The RoC shall ensure that the Regulatory

Compliance Report covers the status of compliance pertaining to implementation of directives of all regulations and orders issued by the Commission from time to time. The RoC shall specifically bring out issues in the report, which need attention of the Licensee and Commission. The RoC shall put up the report before the Licensee for further submission to the Commission.

- 7.5 The RoC shall also report the compliance of regulations/directives, which are not covered herein but are relevant for reporting, under reporting chapter on relevant regulation. The RoC shall also ensure that the Report is narrative and where the formats have been specified, it should be duly filled in with due narration/ explanation in the report. For details / clarification, respective clauses of the relevant regulation shall be referred.

8. Confidentiality of Regulatory Compliance report

- 8.1 The licensee may identify portion of information provided in compliance report which is confidential. Claim for confidentiality should be made only after careful consideration and where it is felt that the disclosure of information will generally cause material damage to the commercial interests of the licensee.
- 8.2 Although the viewpoint of the licensee/s for maintaining such portion of information provided in compliance report as confidential will be considered by the Commission, the Commission shall be bound by the statutory requirement of transparency as applicable in the operations of the licensee.

9. Savings

- 9.1 Nothing in these Regulations shall be deemed to limit or otherwise affect the inherent power of the Commission to make such orders or practice directions as may be necessary to meet the ends of justice.
- 9.2 Nothing in these Regulations shall bar the Commission from adopting in conformity with the provisions of the Act a procedure, which is at variance with any of the provisions of these Regulations, if the Commission, in view of the special circumstances of a matter or class of matters and for reasons to be recorded in writing, deems it necessary or expedient for dealing with such a matter or class of matters. However, the licensee shall be given an opportunity to present its case on such procedures before they are adopted forseeking compliance of regulatory directives.
- 9.3 Nothing in these Regulations shall, expressly or impliedly, bar the Commission from dealing with any matter or exercising any power under the Act for which no Regulations have been framed, and the Commission may deal with such matters, powers and functions in a manner it thinks fit.
- 9.4 The MPERC (Guidelines for Reporting of Regulatory Compliance) Regulations, 2005 {G-23 of 2005} published vide Notification No. 1077/MPERC/2005 dated 05/05/2005 in the Government of MP Gazette and read with amendment thereto, as applicable to the subject matter of this regulation are hereby repealed.

By order of the Commission,
UMAKANTA PANDA, Commission Secy.

Annexure A — Half Yearly/Annual Regulatory Compliance Report

Chapter No.	Particulars	Page No
(i)	Executive Summary	
(ii)	Certificate (as per Annexure-C of these Regulation)	
(iii)	Board Approval letter	
1	ROC Details (along with copy of letter of appointment)	
2	Compliance Status of Commission's Regulations (as per Annexure-B enclosed with these regulations)	
3(a)	Compliance of Commission's Regulations (Summary) - as per provisions of Regulation 6.3	
3(b)	Action plan along with breakup of activities and Work Plan with Targets for next 6-months (as per provisions of Regulation 6.3 above regarding partial /non-compliance of major Regulations) <i>License shall also include compliance status of Tariff directives / directives given the Commission given through Orders on various Petitions)</i>	
4	Concluding Remarks by the Managing Director of the Licensee	

Annexure B — Contents of Half-Yearly/Annual Regulatory Compliance Report
Report by Transmission Licensee only

(Note: In case of disagreement of MD on compliance status, reasons should be recorded in brief)

Chapter I- Madhya Pradesh Electricity Grid Code (Revision II), 2019 and amendments / revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
1	3.4	Constitution of Grid Code Review Committee – Within 15 days of approval of Grid Code	<i>Committee details, Last meeting held, MoM etc.</i>			
2	3.6.4	At the conclusion of each review meeting of the Grid Code Review Committee STU has to submit: (a) A report on the outcome of such review; (b) Any proposed revisions to the Grid Code from time to time as STU reasonably thinks necessary for the achievement of the objectives of this Code. (c) All written representations or objections from Users arising during the review / consultation process- At the conclusion of each review meeting of the Grid Code Review Committee	<i>Committee reports/ Proposal for revision/ stakeholder comments etc.</i>			
3	4.3.1, 4.3.2, 4.3.4	STU has to submit 10-year perspective transmission plan updated every year 5-year plan for identification of major State Transmission System, which shall fit into national power plan formulated by Central Government long term plan developed by CEA and the -5-year plan prepared by Central Transmission Utility - By September 30th every year	<i>Status of submission of 10-year Pan and 5-year plan</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
4	4.3.3, 4.3.4	Demand forecast for power within Area of Supply Proposal for the requirement of generation for the State to meet the load demand as per the forecast Reactive power planning exercise, Transmission system planning using load flow, short circuit, and transient stability study, relay coordination study and other techniques and simulation of contingency and system constraint conditions - To be submitted by the STU by September 30th every year	<i>Status of submission</i>			
5	14.1.1	Issue of monthly reports to users of STS containing Voltage Profile, Frequency Profile, Outage details, Transmission constraints and persistent/significant non-compliance of Grid Code	<i>Status of Compliance and issue of monthly reports</i>			
6	14.2.5	Report on any major failure - To be immediately informed and an enquiry report to be submitted within 2 months of the incident	<i>Status of Compliance</i>			
7	14.2.6	Accident Reporting – Fatal and Non-Fatal - Report shall be sent to Electrical Inspector in prescribed form	<i>Status of Compliance</i>			

Chapter II- MPERC (Transmission Performance Standards) (Revision II) Regulations, 2022 and amendments / revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
1	7.1, 7.2, 7.4	Quarterly Report – Within 45 days from end of every Quarter on actual performance vis-à-vis the performance standards laid down in these Regulations	Status of Compliance and Cumulative 6-monthly report be submitted			

Chapter III- MPERC (Terms and Conditions for Intra-State Open Access in Madhya Pradesh) Regulations, 2021 (Revision I) and amendments/revisions thereof

S.no	Clause no	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
1	10.6	Agreement between STU and Open Access customer - Within 7 days of formalization of agreement and display on its website	Status of Compliance			
2	11.1, 11.2, 11.3	Relinquishment or transfer of Long-Term Open Access rights and obligations specified in the Bulk Power Transmission Agreement - With approval of the Commission and after paying the compensation determined by it	Status of Compliance			
3	14.1	Information regarding average energy losses for the previous 12 months to be made available on the websites of Transmission and Distribution Licensees	Status of Compliance			

Chapter IV- MPERC (Methodology for Determination of Open Access Charges and Banking Charges for Green Energy Open Access Consumers) Regulations, 2023 and amendments / revisions thereof

S.no	Clause no	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
1	6(b)	Intra-state transmission charges 1st Proviso Provided that where a dedicated transmission system for open access has been constructed by Transmission Licensee and used for exclusive use of an Open Access Consumer, the Transmission Charges for such dedicated system shall be worked out by Transmission Licensee and shall get the same approved from the Commission	<i>Status of Compliance</i>			

Chapter V- MPERC (Treatment of Income of Other Businesses of Transmission Licensees and Distribution Licensee) Regulations, 2004 and amendments/revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
1	3(1)	In the event a Licensee engages in any Other Business for optimum utilization of the assets, he shall give prior intimations in writing to the Commission of such Other Business including the following details: (a) The nature of the Other Business; (b) The proposed capital investment in the Other Business; (c) The nature and extent of the use of assets and facilities of the Licensed Business for the Other Business; (d) The impact of the use of assets and facilities for the Other Business on the Licensed Business and on the ability of	<i>Details of other business/ Capex details/Assets of licensee used for other business</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
		<p>the Licensee to carry out the duties and obligations of the Licensed Business; and</p> <p>The manner in which the assets and facilities of the Licensed Business shall be used and justification that it will be used in an optimum manner without affecting the maintenance of the activities of the Licensed Business.</p> <p>At least 30 days prior to the engagement in any Other Business for optimum utilization of the Licensed Business' assets.</p>				
2	4 (1)	<p>The Licensee shall</p> <p>a. Maintain for Other Business activities separate accounting records, such as amounts of any revenue, cost, asset, liability, reserve, or provision which has been charged from or to any Other Business together with a description of the basis of that charge or determined by apportionment or allocation between the various business activities together with a description;</p> <p>b. Prepare on a consistent basis from such records accounting statements for each financial year comprising a profit and loss account, a balance sheet and a statement of source and application of funds;</p> <p>c. Provide in respect of the accounting statements prepared, a report by the Auditors in respect of each Financial Year, stating whether in their opinion the statements have been properly prepared and give a true and fair view of the</p>	<p><i>Status of Compliance (Whether separate accounts created for other business/maintain database for records/Submission of Accounting statements and Auditors report and other details to the Commission)</i></p>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
		revenue, costs, assets, liabilities, reserves reasonably attributable to the business to which the statements relate; d. Submit to the Commission such information that is required to review the additional cost incurred by the licensee for Other Business; and e. Submit copies of the accounting statements and Auditor's report not later than six months after the close of the financial year to which they relate.				
3	4 (2)	The Licensee shall establish to the satisfaction of the Commission that the Other Business duly bear an appropriate share of overhead costs and other common costs.	<i>Status of Compliance</i>			

Chapter VI- MPERC (Levy and Collection of Fee & Charges by State Load Dispatch Centre) (Revision I) Regulations, 2006 and amendment/revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
1	4.3	The State Load Dispatch Centre shall submit the following reports to the Commission: a. Monthly Energy Accounting Statement indicating source-wise input and Discom/Open Access Customer wise output of energy b. The reports on its operation as specified in i. MP Electricity Grid Code, ii. MPERC (Terms and Conditions of Intra-State Open Access in MP) Regulations, iii. Commission's various Orders	<i>Status of Compliance (Submission of SEA reports to Commission and other reports as per regulations)</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
		on Generation Tariff and Transmission Tariff and iv. Any other regulations.				
2	6.2	From the date the SLDC is established by the Government of Madhya Pradesh under section 31 of the Electricity Act 2003, it shall maintain its financial accounts separately and account its all expenses incurred separately. If STU is operating the SLDC, the financial account related to the SLDC shall be maintained separately by STU.	<i>Status of Compliance as per Electricity Act 2003</i>			
3	8.4	SLDC shall file information about the Licensees, Long-Term open Access Customers using the Intra-State Transmission System and Intra-State Generating Companies connected to the State Grid and being monitored/ serviced by them to the Commission every year by November 15th.	<i>Status of Compliance</i>			
4	8.6	Revenue earned from connection charges as per Regulation 8 above shall be treated as income for computation of SLDC Fee and Charges for the following year. The SLDC shall maintain separate account for such earnings and shall have to disclose the details of such account to the Commission at the time of determination of its annual revenue requirement.	<i>Status of Compliance</i>			
5	12.1	Each year, by September 15th, the SLDC shall file with the Commission, an application / petition with statements containing the Expected Revenues from the Fee and Charges of the ensuing financial year, under its currently approved Fee and Charges along with the	<i>Status of Compliance</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
		proposal, if any, for determination of fee and charges for the ensuing year. The information to be filed by the SLDC is provided in Annexure 2 along with detailed explanation for assumptions made and status of compliance of the directions issued in the previous order of the Commission.				
6	12.4	The SLDC shall prepare an investment plan for a five-year period commencing with the ensuing financial year and must include the sources of funds for investment. The investment plan must be updated every year and filed with the Commission along with the application for fee and charges in accordance with the Capital Expenditure guidelines for licensees specified by the Commission.	<i>Status of Compliance</i>			
7	12.5	If there is a revenue gap between the Expected Revenues from the currently applicable Fee and Charges and the revenue requirement for the ensuing financial year, the SLDC shall include a proposal as to how it proposes to bridge this revenue gap.	<i>Status of Compliance</i>			
8	16.1	The SLDC fee and charges determined by the Commission shall take effect only after seven days from the date of the Commission's order and bills shall be issued accordingly.	<i>Status of Compliance</i>			

Chapter VII- MPERC (The Conditions of Transmission License for Transmission Licensee (including deemed licensee)) Regulations 2004 and amendments/revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
1	7.2 (b)	<p>Prepare on a consistent basis from such accounting records and deliver to the Commission</p> <p>(i) the Financial Statements;</p> <p>(ii) in respect of the first six months of each financial year, an interim profit and loss account, cash flow statement and balance sheet together with such supporting documents and information as the Commission may prescribe from time to time such statements and documents to be published in the manner prescribed by the Commission;</p> <p>(iii) in respect of the Financial Statements prepared in accordance with this clause 7, an Auditor's report for each financial year, stating whether in their opinion, these statements have been properly prepared in accordance with this clause 7 and give a true and fair view of</p> <p>a. in case of Balance Sheet, of the state of Company Affairs;</p> <p>b. in case of the profit and loss account, of the profit or loss for its financial year.</p> <p>(iv) a copy of each interim profit and loss account not later than ninety days after the end of the period to which it relates, and copies of the Financial Statements and Auditor's report not later</p>	<p><i>Submit interim profit and loss account, cash flow statement and balance sheet, Auditor's report for each financial year</i></p>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
		than six months after the end of the financial year to which they relate.				
2	9.1	The licensee shall provide all information as applicable to the licensee in the formats enclosed within sixty days from coming into force of these Conditions of License. Subsequently all the formats shall be filled up and submitted by the licensees, annually, within a month after the completion of every financial year.	<i>Status of Compliance</i>			
3	9.3	The Licensee shall notify the Commission as soon as possible of any Major Incident affecting any part of the Distribution System which has occurred and shall at the earliest possible and in any event, by not later than two months from the date of such Major Incident: (a) submit a report to the Commission giving full details of the facts within the knowledge of the Licensee regarding the incident and its cause. (b) In the event the report under sub-clause (a) is likely to take more than 15 days from the date of the Major Incident, the Licensee shall 15 days from such date of the incident submit a preliminary report with such details which the Licensee can reasonably furnish and state reasons as to why the Licensee requires more than 15 days for giving full report of such incident. (c) give copies of the report to such other Persons as the	<i>Status of Compliance</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
		Commission may direct.				
4	10.4	The Licensee shall invite and finalize tenders for procurement of equipments, material and/or services relating to such investment, in accordance with a transparent tendering procedure as may be specified by the Commission. If the Licensee has some existing procedure, the same shall be submitted to the Commission for approval.	<i>Status of Compliance</i>			
5	17.1	The Licensee shall ensure that, within three months from the issue of these Conditions of License there is in force at all times a Grid Code, which meets the requirements of this Clause 17 the Licensee shall implement and comply with the Grid Code.	<i>Status of Compliance</i>			
6	18.2	The Licensee shall, within 60 days from the date the Conditions of this License become effective, submit to the Commission the existing Planning and Security Standards and the Operating Standards for its Transmission System	<i>Status of Compliance</i>			
7	18.3 (a)	The Licensee shall, within six months from the date of issue of these Conditions of License or such longer time as the Commission may allow after these Conditions become effective, prepare, in consultation with the Suppliers, Generating Companies, Central Transmission Utility, Regional Electricity Boards and such other Person as the Commission may specify, and submit to the Commission for approval the Licensee's proposal for Transmission Planning and Security Standards, Transmission	<i>Status of Compliance</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or disagreed)
		Operating Standards, in accordance with this Clause.				
8	18.10(a)	Prepare and submit forecasts to the Commission in accordance with the guidelines issued by the Commission from time to time.	<i>Status of Compliance</i>			
9	18.11	The Licensee shall within 3 months of the end of each financial year, submit to the Commission a report indicating the performance of the Transmission System during the previous financial year. The Licensee shall, if required by the Commission, publish a summary of the report in a manner to be determined by the Commission. Copies of this report shall be furnished to all persons applying for the same at the cost of photocopying.	<i>Status of Compliance</i>			
10	19.4	The Licensee shall prepare and submit to the Commission on an annual basis, a statement showing in respect of each of the 5 succeeding financial years forecasts of circuit capacity, power flows and loading on the Transmission System under standard planning criteria, together with: a. such further information as shall be reasonably necessary to enable any Person seeking Use of System to identify and evaluate the opportunities available when connecting to and making use of such system; and b. a commentary prepared by the Licensee indicating its views as to those parts of its Transmission System most suited to new connections and	<i>Status of Compliance</i>			
		transport of further quantities of electricity.				

Report by Distribution Licensee only

(Note: In case of disagreement of MD on compliance status, reasons should be recorded in brief)

Chapter I- MPERC (Monitoring performance of distribution licensees and state-owned generating company) (Revision-1) Regulations 2022 and amendments/revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	4.3	Last date of submission of each report shall be 60 days from the end of the quarter. -Cumulative 6-monthly report / Annual report to be submitted as per MIS formats	<i>Status of Compliance and Submit 6-monthly report/Annual report as per MIS Formats</i>			

Chapter II - MPERC (Treatment of Income of Other Businesses of Transmission Licensees and Distribution Licensee) Regulations, 2004 and amendments/revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	3(1)	In the event a Licensee engages in any Other Business for optimum utilization of the assets, he shall give prior intimations in writing to the Commission of such Other Business including the following details: (e) The nature of the Other Business; (f) The proposed capital investment in the Other Business; (g) The nature and extent of the use of assets and facilities of the Licensed Business for the Other Business; (h) The impact of the use of assets and facilities for the Other Business on the Licensed Business and on the ability of the Licensee to carry out the duties and obligations of the Licensed Business; and	<i>Details of other business/ Capex details/Assets of licensee used for other business</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		<p>The manner in which the assets and facilities of the Licensed Business shall be used and justification that it will be used in an optimum manner without affecting the maintenance of the activities of the Licensed Business.</p> <p>At least 30 days prior to the engagement in any Other Business for optimum utilization of the Licensed Business' assets.</p>				
2	4 (1)	<p>The Licensee shall</p> <p>a. Maintain for Other Business activities separate accounting records, such as amounts of any revenue, cost, asset, liability, reserve, or provision which has been charged from or to any Other Business together with a description of the basis of that charge or determined by apportionment or allocation between the various business activities together with a description;</p> <p>b. Prepare on a consistent basis from such records accounting statements for each financial year comprising a profit and loss account, a balance sheet and a statement of source and application of funds;</p> <p>c. Provide in respect of the accounting statements prepared, a report by the Auditors in respect of each Financial Year, stating whether in their opinion the statements have been properly prepared and give a true and fair view of the revenue, costs, assets, liabilities, reserves reasonably attributable to the business to which the statements</p>	<p><i>Status of Compliance (Whether separate accounts created for other business/maintain database for records/Submission of Accounting statements and Auditors report and other details to the Commission)</i></p>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		relate; d. Submit to the Commission such information that is required to review the additional cost incurred by the licensee for Other Business; and e. Submit copies of the accounting statements and Auditor's report not later than six months after the close of the financial year to which they relate.				
3	4 (2)	The Licensee shall establish to the satisfaction of the Commission that the Other Business duly bear an appropriate share of overhead costs and other common costs.	<i>Status of Compliance</i>			

Chapter III- MPERC (Manner of payment of subsidy by State Government) Regulations 2007 and amendments/revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	5.2	The quantum of subsidy shall be payable by the State Government in advance every quarter to the person affected by the grant of subsidy. The Licensee shall furnish to the Commission a statement on quarterly basis regarding quantum of subsidy claimed and subsidy released by the State Government by the end of each quarter.	<i>Status of Quarterly submission of information to the Commission as per Regulation</i>			
2	5.3	The Distribution Licensee / person affected by the grant of subsidy shall provide quarterly information to the Commission and the State Government of the quantum of sales to the consumer or class of consumers for whom the subsidy is being provided and	<i>Status of Quarterly submission of information to the Commission as per Regulation</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		the amount of subsidy received in advance from the State Government.				

Chapter IV – Madhya Pradesh Electricity Distribution Code (G-29 of 2006) and amendments/revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	5.3.3	- 5-year Demand forecast starting with ensuing year, revised annually By 31st March every year				
2	4.1.1	The Licensee shall periodically review this Code and its implementation. For the above purpose a Distribution Code Review Panel, hereinafter called Panel, shall be established. The Panel shall consist of the following members: a. One member from each of the Distribution Licensee not below the rank of Chief Engineer. He should preferably be the member of the Grid code review committee; b. One member from STU not below the rank of Chief Engineer. He should preferably be the member of the Grid code review committee also; c. One member nominated by MPERC who will also be the convener of the Distribution code review panel; and d. One member from among EHV/HV Consumers in MP State to represent all such Consumers.	<i>Details of Review Panel/Members/Last meeting held/MoM</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
3	5.3.4	The Licensee shall maintain the database of historical data for the load and the Distribution system for forecasting and system expansion studies. The Licensee shall prudently utilise modern forecasting tools in forecasting load demand and in addition, shall apply its knowledge of the electricity Consumers and an understanding of their usage of electricity and other economically viable sources of energy.	Status of Compliance/Use of modern tools/Capex utilised w.r.t to updating existing Software or new procurement			

Chapter V – Madhya Pradesh Electricity Supply Code 2021 and amendments/revisions thereof

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	4.8	The distribution licensee shall prominently display on its website and on the notice board in all its offices, the following namely: - a. detailed procedure for grant of new connection, temporary connection, shifting of meter or, service line, change of consumer category, enhancement of load, reduction of load or change in name, transfer of ownership and shifting of premises etc; b. address and telephone numbers of offices where filled-up application forms can be submitted; c. address of website for online submission of application form; d. complete list of copies of the documents required to be attached with the application; e. all applicable charges to be	Details of web-portal created for providing aforesaid services to consumers / consumer awareness/ compliance of other provisions of the Regulation			

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		deposited by the applicant; f. Application forms for all type of connections as well as modification in existing connection shall be available at all the local offices of the distribution licensee free of cost as well as on its website for free download. - Licensee to ensure compliance of aforesaid Regulation				
2	4.9	The distribution licensee shall create a web portal and a mobile app for submission of online application forms. - Licensee to ensure compliance of aforesaid Regulation	Details of web-portal / Apps / other services provided			
3	4.19	After payment of registration fee as specified in MPERC (Recovery of expenses and other charges for providing electric line or plant used for the purpose of giving supply) Regulations, as applicable, inspection, shall be done by Distribution Licensee within three working days in Commissary HQ, five working days in other urban areas and seven working days in rural areas. - Licensee to ensure compliance of aforesaid Regulation	Compliance of Regulation to be shared with the Commission			
4	4.47	The licensee shall carry out the maintenance of street light poles and electrical lines on payment basis as per mutual agreement between local bodies & distribution licensee and shall arrange to switch on fifteen minutes before sunset and switch off the streetlights fifteen minutes after sunrise as per local sunset/ sunrise timings. The licensee shall also carry out replacement of fixtures/ bulbs (of	Compliance of Regulation to be shared with the Commission			

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		<p>same wattage) etc. on the poles on request by the streetlight consumers. The fixtures, bulbs etc. shall be supplied by the consumers and replaced by the licensee within 7 days of receipt. All such services shall be chargeable as per MPERC (Recovery of expenses and other charges for providing electric line or plant used for the purpose of giving supply) (Revision-1) Regulations, as applicable.</p> <p>- Licensee to ensure compliance of aforesaid Regulation</p>				
5	5.2	<p>Supply to the consumer shall be given at a single point in the premises at the incoming terminals of the licensee's cut-outs/ MCB/ control switchgear. Separate premises shall have separate connection. However, as a special case in case of coal mines the licensee may provide supply at more than one point in the installation of the consumer having regard to the physical layout of the installation and the specific requirements of the consumer.</p> <p>- Licensee to intimate the commission on summary of cases where supply at more than one point has been given in the premises, half-yearly / annually.</p>	<p>To submit information half-yearly and annually in Format ESC 1 under Annexure C (Additional Formats)</p>			
6	6.17	<p>LT Shunt Capacitors The licensee may discontinue supply, after due notice of 15 days, to any installation where the average power factor is less than 70% without prejudice to the right of the licensee to levy demand/ minimum charges as applicable during the period of disconnection.</p>	<p>Compliance of Regulation to be shared with the Commission</p>			

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		- Licensee to ensure aforesaid regulation and report such incidents and action taken report by Discom.				
7	6.39 The licensee shall carryout periodic survey of streetlights and record the type of lamps being used along with their load.	To submit information half-yearly and annually in Format ESC 2. under Annexure C (Additional Formats)			
8	6.44	If the licensee detects and proves to the consumer that the consumer's system is generating harmonics, the licensee shall request the consumer to install appropriate harmonic filter. The consumer shall install such filters within a period of six months, failing which the Licensee may levy penalty on the consumer as decided by the Commission besides disconnection. Licensee to ensure aforesaid regulation and conduct periodic inspection for detecting harmonics	To submit information half-yearly and annually on periodic checks for harmonics carried out by Discom at identified consumer premises			
9	8.1	No new connection shall be given without a meter and such meter shall be the smart pre-payment meter or pre-payment meter and cut-out or a Miniature Circuit Breaker (MCB) or Circuit Breaker (CB) of appropriate specification complying with relevant standards. The Licensee should procure sufficient quantity of suitable meters/metering equipments for new service connections, providing meters for unmetered connections and replacement of stopped/defective meters/ metering	To submit information half-yearly and annually in Format ESC 3 under Annexure C (Additional Formats)			

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		equipments. Any exception to the smart meter or prepayment meter shall have to be duly approved by the Commission. The Commission, while doing so, shall record proper justification for allowing the deviation from installation of the smart pre-paid meter or pre-payment meter.				
10	8.11	Whenever new meter/ metering equipment is installed (as a replacement or for a new connection), the meter shall be properly sealed on behalf of and in the presence of representatives of both the parties. Both the representatives, witness to the sealing shall affix their signatures on the specified documents mentioning their full name. The seal, name plates and distinguishing numbers or marks affixed on the meter and metering equipment shall not be broken, erased, altered or in any way interfered with by either party except in the presence of a duly authorised representative of the other party. To confirm that proper sealing of meters is ensured - reporting half yearly and annually.	<i>Status of compliance</i>			
11	8.13	The licensee shall submit a list of all the types of meters installed in its area of operation, to the Commission annually. The information shall include the specification of each type of meter and the total number of units of each type in use and in stock with the licensee.	<i>To submit information half-yearly and annually in Format ESC 4(a) and 4(b) under Annexure C (Additional Formats).</i>			
12	8.15	The licensee shall conduct periodical inspection/testing of the meters as per the following schedule:	<i>To submit information half-yearly and annually in Format ESC</i>			

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		(a) Single phase/three phase meters: at least once every five years (b) HT meters: at least once a year. The CT and PT shall also be tested along with meters	5(a), 5(b) and 5(c) under Annexure C (Additional Formats).			
13	8.17	A consumer may request the licensee to test the meter, if he doubts its accuracy, by applying to the licensee. The licensee shall test the meter within 15 days of the receipt of the application. Preliminary testing of electronic meters can be carried out in the premises of the consumers through portable testing equipment.	To submit information half-yearly and annually in Format ESC 6(a) and 6(b) under Annexure C (Additional Formats).			
14	8.21	The list of third-party agencies approved by the Commission shall be available in their various offices as well as on the website of the distribution licensee	Status of Compliance			
15	8.29	In respect of domestic consumers meter should be read only during daylight hours. The meter shall be read at least once in every billing cycle in urban as well as rural areas by an authorized representative of the Distribution Licensee.	Status of Compliance			
16	8.30	In case of smart meters, the meters shall be read remotely at least once in every month and in case of other pre-payment meters, the meters shall be read by an authorized representative of the distribution licensee at least once in every three months. The data regarding energy consumption shall be made available to the consumer, through website or mobile App or SMS, etc. Consumers having smart pre-payment meters may also be given the data access for checking their consumption on real time basis.	Status of Compliance			

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
17	8.31	The meter reader shall carry the photo identity cards provided by the licensee which shall be pinned up on dress so that it is visible during the course of meter reading.	<i>Status of Compliance (standard procedure adopted be explained)</i>			
18	8.34	It shall be the licensee's obligation to assign a unique consumer number for each consumer and communicate the same to the concerned consumer.	<i>Status of Compliance</i>			
19	8.35	Bills shall be prepared for each category on the basis of the information provided in the prevailing tariff order. Tariff for each category of consumers shall be displayed on distribution licensee's website and consumers shall be notified of change in tariff including fuel surcharge and other charges, a full billing cycle ahead of time, through distribution licensee's website as well as through energy bills.	<i>Status of Compliance (details of information on bill/sample bill format be attached)</i>			
20	8.43	----- If for any reason still the meter is not accessible on third meter reading dates, the licensee shall send a notice in writing to the consumer to keep the meter available for reading at the time and date given in the notice. If after the notice being given as described, the consumer still does not give access to the meter for reading, the licensee shall be free to send a provisional bill together with a surcharge. The rate of surcharge shall be as provided in the prevailing tariff orders. The provisional bill shall be prepared on the basis of average monthly consumption of the previous financial year. The amount thus billed shall be adjusted against the bill raised on the basis of actual meter reading during subsequent billing cycle. Such	<i>To submit information half-yearly and annually in Format ESC 7 under Annexure C (Additional Formats).</i>			

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		provisional billing shall not continue for more than two-meter reading cycles at a stretch. If the meter remains inaccessible even for the next cycle, the consumer will be served with a notice, to open his premises for reading of the meter at a fixed time and date. If the meter is not accessible at the time fixed in the notice, the supply will liable to be disconnected after serving a 24-hour notice under section 163 (3) of the Electricity Act, 2003				
21	8.45	The licensee shall develop a detailed document describing systems, procedure and accountability regarding replacement of defective meters.	<i>Status of compliance (development of document / procedure)</i>			
22	8.54	The distribution licensee shall intimate the consumer about despatch of bill through SMS or email, or by both, SMS and e-mail, immediately and the intimation shall consist of the details of bill amount and the due date for payment.	<i>Status of compliance</i>			
23	8.55	The distribution licensee shall also upload the bill on its website on the day of bill generation: Provided that the billing details of last one year for all consumers shall also be made available on the licensee's website.	<i>Status of compliance</i>			
24	9.1	In respect of domestic consumers meter should be read only during daylight hours. The periodicity of the meter reading for various categories of consumers has been prescribed. The licensee may, however, improve upon the schedule if it finds that necessary or useful.	<i>To submit confirmation about implementation of schedule of readings as per directives of supply code</i>			
25	9.2	The distribution licensee shall establish online portal as well as sufficient number of collection	<i>To submit compliance along with</i>			

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		centres or drop boxes at suitable locations with necessary facilities, where consumer can deposit the bill amount with ease. The licensee shall ensure adequate publicity of the addresses/ locations and working hours of the collection centres including those of banks where consumers can make payments. The licensee shall provide a choice of maximum alternative modes of payment to the consumers like payment through cash, local cheque, bank draft, banker's cheque, Electronic Clearing System (ECS), credit card, drop boxes including online payment mode through portal /APPs etc. Provided that for Bill amount of more than Ten thousand rupees shall mandatorily be paid online	information half-yearly and annually in Format ESC 8 under Annexure C (Additional Formats).			
26	9.12 (a), (b), (c), (d) & (e)	Disputed/Erroneous Bills: (b) The representation may be made on plain paper along with the following details: i. Name and address of the consumer mentioning telephone number, if any ii. Service connection number iii. Category of connection iv. Facts and relief sought in brief The designated officer shall resolve the dispute within a maximum period of seven days from the date of receipt of such written representation.	To submit information half-yearly and annually in Format ESC 9(a) and 9(b) under Annexure C (Additional Formats).			
27	9.14	It shall be the responsibility of the licensee to ensure that no default in payment is continued beyond a reasonable period subject to a maximum of three months without	To submit information half-yearly and annually in Format ESC 10 under			

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		action for temporary disconnection. The authorised official of the licensee will ensure that all the cases pertaining to default in payment are monitored regularly and timely action is initiated for temporary or permanent disconnection.	<i>Annexure C (Additional Formats).</i>			
28	10.3.1	The Licensee or Supplier shall arrange periodic inspection/ testing of meters.	<i>Action taken for compliance of Regulation be submitted</i>			
29	10.3.4	The Licensee or Supplier shall evolve a system for carrying out regular monthly monitoring of consumption of high value consumers, which shall include all the HT connections and LT connections having contract demand of 50 HP & above. Variations in the consumption should be carefully analyzed. The Licensee or Supplier should arrange prompt inspection in doubtful cases	<i>Action taken for compliance of Regulation be submitted</i>			
30	10.3.6	The Licensee or Supplier shall install meters on all distribution transformers and carry out energy audit so as to identify localized high loss pockets and take further suitable action for reduction of losses in such pockets.	<i>Action taken for compliance of Regulation be submitted</i>			
31	10.3.8	The Licensee or Supplier shall arrange to give due publicity through the media, TV and newspaper to bring the awareness about the level of commercial losses, its implication on the honest consumers and seek the cooperation for prevention of theft or unauthorized use of electricity or tampering, distress or damage to electrical plant, electric lines or meter. The Licensee or Supplier shall also display boards containing the information about the above at its offices.	<i>Action taken for compliance of Regulation be submitted</i>			

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
32	10.3.9	The Licensee or Supplier shall arrange to provide requisite security force to the Authorised Officers for their safety and expenses on such account shall be pass-through in ARR (Aggregate Revenue Requirement). Such security squads shall have to invariably accompany the Authorised Officers in order to ensure their safety.	Action taken for compliance of Regulation be submitted			
33	11.8	The licensee may serve any general notice like message regarding load regulatory measures, applicability of new tariff or change in due date of payment etc. in a widely circulated local newspaper.	Action taken for compliance of Regulation be submitted			
34	11.12	The distribution licensee shall provide access to various services such as application submission, monitoring status of application, payment of bills, status of complaints raised ,etc., to consumers through its website, web portal, mobile app and its various designated offices area-wise.	Action taken for compliance of Regulation be submitted			
35	11.13	The distribution licensee shall provide all services such as application submission, payment of bills, etc., to senior citizens at their doorsteps.	Action taken for compliance of Regulation be submitted			
36	11.14	The details of scheduled power outages shall be informed to the consumers. In case of unplanned outage or fault, immediate intimation shall be given to the consumers through SMS or by any other electronic mode along with estimated time for restoration. This information shall also be available in the call center of the distribution licensee.	Action taken for compliance of Regulation be submitted			
37	11.15 (a)	Manual of procedure for providing common services and handling customer grievances shall be made	Action taken for compliance of Regulation			

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		available for reference of consumers at every office of the distribution licensee and downloadable from its website.	<i>be submitted</i>			
38	11.15 (b)	The distribution licensee shall publish the guaranteed standards of performance along with compensation structure, information on procedure for filing of complaints, in the bills for month of January and July. If it is not possible to publish the same at the back of the bills, the distribution licensee shall publish it on a separate hand out and distribute it along with the bills.	<i>Action taken for compliance of Regulation be submitted</i>			
39	11.15 (c)	The distribution licensee shall arrange to give due publicity through media, TV, newspaper, website and by displaying in boards at consumer service-related offices to bring awareness of consumer rights, standards of performance, compensation provisions, grievance redressal, measures for energy efficiency and any other schemes of the distribution licensee.	<i>Action taken for compliance of Regulation be submitted</i>			
40	11.15 (d)	The distribution licensee shall arrange to display feeder wise outage data, efforts made for minimizing outages, prevention of theft or unauthorized use of electricity or tampering, distress or damage to electrical plant, electric lines or meter and results obtained during the year, on its website.	<i>Action taken for compliance of Regulation be submitted</i>			
41	11.15 (e)	Whenever the existing meters are to be replaced by any new technology meters, the distribution licensee shall take adequate measures to create consumer awareness regarding the advantages of such replacement. Distribution licensee shall issue a public notice in at least four daily	<i>Action taken for compliance of Regulation be submitted</i>			

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		newspapers. Such information shall also be displayed in conspicuous manner on the distribution licensee's website and the distribution licensee shall indicate the area wise schedule of dates for replacement of such meter.				
42	11.16	The information regarding the authority with whom grievance or complaint pertaining to bill can be lodged shall be provided along with the bill & same shall also be available on distribution licensee's website.	Action taken for compliance of Regulation be submitted			

Chapter VI – MPERC (Recovery of Expenses and Other Charges for providing Electric Line or Plant used for the purpose of giving Supply) (Revision-II) Regulations 2022 and amendments/revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	4.1.9, 4.2.5, 4.2.8, 4.2.10, 4.2.12, 4.3.4,	For Domestic LT Consumers located in Multi-user complex or new Residential Colonies developed under relevant State Government Regulations; For Other LT Consumers such as non-Domestic (including shopping mall/complex), EV Charging stations, Industrial, Telecom Tower and other LT Consumers; LT Water Works; Street Lights; Agriculture and all other HT/EHT Consumers - The licensee shall display the list of licensed contractors on its website for ready reference of the applicants / consumers.	Status of Compliance of Regulation			
2	4.5.2 (i) & (vi), 4.6.1 (i) & (vi)	For Supply to Slum Areas & For supply to declared / undeclared illegal colonies: - The Distribution Licensee shall	Status of Compliance of Regulation			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		<p>identify such areas as mentioned above based on the list obtained from concerned Municipal Corporation / Municipality / Nagar Panchayat / Gram Panchayat and prepare the area-wise estimates for them. The connected load shall be assessed on the basis of provisions made in applicable Madhya Pradesh Electricity Supply Code, 2021 as amended from time to time.</p> <p>- The licensee shall display the list of licensed contractors on its website for ready reference of the applicants / consumers.</p>				
3	6.1	<p>Accounting of Charges: The charges collected under these Regulations shall be kept by the Licensee in a separate account. The Licensee shall also ensure that the funds to the extent they are allocated out of this separate account are used only for augmenting the existing Distribution / EHT System and/or creating new Distribution/EHT system. This will be got verified by the Statutory Auditors and compliance to this provision shall be included in the audit report on Annual Financial Statements:</p> <p>(i) Supply Affording Charges specified in these Regulations. (ii) Cost of Infrastructure / Electrification specified in these Regulations (excluding Supervision charges).</p>	<i>Status of Compliance of Regulation</i>			

Chapter VII- MPERC (The Conditions of distribution license for distribution licensee (including deemed licensee) Regulations 2004 and amendments/revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	7.2 (b)	<p>Prepare on a consistent basis from such accounting records and deliver to the Commission</p> <p>(i) the Financial Statements;</p> <p>(ii) in respect of the first six months of each financial year, an interim profit and loss account, cash flow statement and balance sheet together with such supporting documents and information as the Commission may prescribe from time to time such statements and documents to be published in the manner prescribed by the Commission;</p> <p>(iii) in respect of the Financial Statements prepared in accordance with this clause 7, an Auditor's report for each financial year, stating whether in their opinion, these statements have been properly prepared in accordance with this clause 7 and give a true and fair view of</p> <p>a. in case of Balance Sheet, of the state of Company Affairs;</p> <p>b. in case of the profit and loss account, of the profit or loss for its financial year.</p> <p>(iv) a copy of each interim profit and loss account not later than ninety days after the end of the period to which it relates, and copies of the Financial Statements and Auditor's report not later than six</p>	<p><i>Submit financial statements / interim report / Auditor's report</i></p>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		months after the end of the financial year to which they relate.				
2	9.1	The licensee shall provide all information as applicable to the licensee in the formats enclosed within sixty days from coming into force of these Conditions of License. Subsequently all the formats shall be filled up and submitted by the licensees, annually, within a month after the completion of every financial year.	<i>Submission of requisite information</i>			
3	9.3	The Licensee shall notify the Commission as soon as possible of any Major Incident affecting any part of the Distribution System which has occurred and shall at the earliest possible and in any event, by not later than two months from the date of such Major Incident: (a) submit a report to the Commission giving full details of the facts within the knowledge of the Licensee regarding the incident and its cause. (b) In the event the report under sub-clause (a) is likely to take more than 2 months from the date of the Major Incident, the Licensee shall within 2 months from such date of the incident submit a preliminary report with such details which the Licensee can reasonably furnish and state reasons as to why the Licensee requires more than 2 months for giving full report of such	<i>Submission of information of major incident as per regulation</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		incident. (c) give copies of the report to all parties concerned with the Major Incident and to such other Persons as the Commission may direct.				
4	20.2	The Licensee shall from time to time, as appropriate, review the Distribution Code and its implementation in consultation with other Licensees, Generating Companies, the State Transmission Unit, the State Load Despatch Centre and such other Persons as the Commission may order. The Licensee shall also undertake such review as and when directed to do by the Commission. Following any such review, the Licensee shall send to the Commission: (a) a report on the outcome of such review; (b) any proposed revisions to the Distribution Code as the Licensee (having regard to the outcome of such review) reasonably thinks fit for the achievement of the objectives of the Distribution Code and this Licence; and (c) all written representations or objections received during such review.	<i>Status of Compliance</i>			
5	20.5	A compilation of the existing codes and practices relating to construction of the Licensee's Distribution System and its Distribution facilities shall be filed with the Commission by the Licensee within 60 days of the grant of this Licence. The Licensee shall follow the existing codes and practices with such				

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		modification as the Commission may direct from time to time. The construction practices shall be reviewed and upgraded by the Licensee from time to time, as appropriate, based on relevant technological improvements and changes				
6	21.3	The Licensee shall, within 3 months of the end of each financial year, submit to the Commission a report indicating the performance of the Licensee's Distribution System during the previous financial year. The Licensee's compliance with the Standards of Performance may be measured by the Commission, in part, by the Licensee's adherence to the Electricity Supply Code, Guidelines for Redressal of Consumer Grievance, and Consumer Rights Statement set forth in accordance with clause 24 of this licence. The Licensee shall, if required by the Commission, publish a summary of the report in a manner approved by the Commission.	<i>Submission of report on Performance of licensee & confirm compliance of Regulation</i>			

Chapter VIII- MPERC (Distribution Performance Standards) (Revision II) Regulations, 2012 and amendments/revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	3.1	For Guaranteed Standards , each Licensee shall furnish to the Commission, in a quarterly report and in a consolidated annual report , the following information: The levels of performance	<i>Status of compliance. Whether report submitted</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		<p>achieved by the Licensees with reference to those specified in these Regulations on the following points;</p> <p>(i) Number of instances in the quarter when the particular event has occurred.</p> <p>(ii) Number of cases in which achievement is within specified limits.</p> <p>(iii) Number of cases in which achievement is not within specified limits.</p> <p>(iv) Number of consumers who were affected due to failure in meeting the standards.</p> <p>(v) Number of cases in which compensation was made and the aggregate amount of the compensation.</p> <p>(vi) Measures taken by the Licensee to improve performance in the areas covered by Guaranteed Standards and Licensee's assessment of the targets to be imposed for the ensuing year.</p>				
2	3.2	<p>For Overall Standards, each Licensee shall furnish to the Commission, in a report for every quarter and in a consolidated annual report, the following information:</p> <p>(a) The level of performance achieved with reference to those specified in Chapter IX of these Regulations</p> <p>(b) The measures taken by the Licensee to improve performance in the areas covered by Overall Standards and Licensee's assessment of</p>	<p><i>Status of compliance. Whether report submitted</i></p>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		the targets to be imposed for the ensuing year.				
3	3.3	The last date of submission of each report shall be 30 days from the end of the reporting quarter. The Commission may impose penalty for non-submission of reports by the licensee.	Status of compliance. Whether report submitted			
4	6.2.1	Licensee shall monitor harmonics at regular interval at strategic points in respect of HT consumers, which it considers prone to harmonic voltage generation and ask the user to comply with the specified standards	Status of compliance. Whether report submitted			
5	7.1	The Distribution Licensee shall provide the following monthly information in respect of all 11 KV feeders in each Commisionary Headquarter, District Headquarter and Industrial Growth Centre within 15 days from the end of each reporting month: (i) Total number of 11KV feeders feeding complete geographical area of Headquarter. (ii) Total number of 11KV feeders affected. (iii) Sum of Outage duration of all feeders (in Hours). (iv) Outage duration per feeder in hours and minutes (v) No. of outages per feeder. (vi) Total No. of trippings (interruption less than 5 minutes). (vii) Total No. of trippings (interruption less than 5 minutes) per feeder.	Status of compliance. Whether report submitted			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		(viii) Feeder Reliability Index of area under report				
6	7.3	The Commission has initially fixed the following levels of Supply Interruption Parameters Prior approval of Commission shall not be required for duration of interruptions up to this limit and the Licensee must obtain approval beyond this limit within 15 days from the end of the relevant month	<i>Status of compliance. Whether report submitted</i>			
7	8.14	The Licensee shall draw a scheme for ensuring voltage reliability in a phased manner in his area of operation selected by him. This scheme shall be submitted and got approved by the Commission within six months. The Commission may consider a voltage reliability charge from the consumers. The compensation on account of voltage variations and Harmonics shall be applicable after a year from the date of notification of these Regulations. Thereafter, the Commission may consider relating the compensation to the damage suffered by the consumer's equipment on the basis of verification by the third party.	<i>Status of compliance. Whether report submitted</i>			
8	10.3	All Force Majeure conditions should be reported to the Commission within 30 days from the date on which such condition first occurred.	<i>Status of compliance.</i>			

Chapter IX- MPERC (Establishment of Forums and Electricity Ombudsman for redressal of grievances of the consumers) (Revision II) Regulations, 2021 and amendments / revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	3.1 to 3.11	Establishment of Forum at Company level and at Circle Level	<i>Status of Compliance</i>			
2	3.1	Every Distribution Licensee shall appoint one or more Forum(s), to be designated as 'Electricity Consumers Grievances Redressal Forum' for redressal of Grievances of the Consumers in accordance with these Regulations to cater the needs of the sub- division, division, circle, region company level. These Forum(s) shall settle the Grievances of the consumers within a period of 30 days normally and not exceeding 45 days in any case. The forum may be assigned different types of grievances depending on the nature of the grievance and the level at which it can be best resolved.	<i>Status of Compliance</i>			
3	3.29	The Forum shall communicate its decision to the Complainant through a speaking order. The directions issued by the Forum shall be binding on the licensee. The licensee shall comply with the order of the Forum within 45 days from the date of receipt of the order. In appropriate cases, considering the nature of the case the Forum, upon the request of the licensee may extend the period of compliance of its order up to a maximum of three month under intimation to the complainant.	<i>Status of Compliance</i>			
4	3.31	The Licensee shall, from time to	<i>Status of</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		time, give publicity of the constitution and existence of the Forum including in the bills raised for the supply of electricity to the consumers in such manner as the Commission may from time to time notify. The names/ designation of the Members and the concerned Officers of the Forum, the address, e- mail, facsimile and phone numbers of the Forum shall be displayed at all the Offices of the Licensee and shall also be duly publicized, if considered appropriate, including on the bills raised on the consumers.	Compliance			
5	3.33	The Licensee shall arrange to upload on its website all the judgements/orders issued by the Company level Forum from time to time within seven days of issue of the judgement /order.	Status of Compliance			

Chapter X- MPERC (Security Deposit) (Revision I) Regulations, 2009 and amendments / revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	1.22	The Licensee shall pay interest from the date of connection at the Bank Rate {Reserve Bank of India (RBI) rate as prevailing on 1st April of the concerned Financial Year}, on cash Security Deposits accepted from the consumer. It shall be the responsibility of the Licensee to ascertain the prevailing Bank	Status of Compliance			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		Rate from RBI and to inform the consumers through the billing mechanism.				
2	1.23	The Licensee shall arrange to give a Credit to the consumer equivalent to the interest payable on Security Deposit every month and the same will be done through the monthly Bill. In case of delay exceeding a period of three months in adjustment of interest on Security Deposit, the consumer may lodge a complaint to the concerned Electricity consumers' Grievance Redressal Forum.	<i>Status of Compliance</i>			
3	1.25	The Security Deposit shall be refunded to consumer either in case of permanent disconnection or upon termination of the agreement or cancellation of application for new service connection, within 7 days of completion of formalities after adjustment of all dues. In case of delay beyond 7 days period, interest @ 1% over and above the prevailing Bank Rate shall be payable to the consumer by the Licensee for the period of delay beyond 7 days. The Licensee shall ensure that overall period of refund including the period of delay does not exceed 120 days, failing which penalty may be imposed on the Licensee by the Commission.	<i>Status of Compliance</i>			

Chapter XI- MPERC (Smart Grid) Regulations, 2016 and amendments / revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	5(1)	Every transmission licensee and the distribution licensee shall, constitute Smart Grid Cell within three months of the publication of notification of these Regulations.	Status of Compliance			

Chapter XII- MPERC (Demand Side Management) Regulations, 2016 and amendments / revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	7(1)	Creation of DSM Cell The DSM Cell so constituted by the Distribution Licensee shall be provided with necessary authority and resources so as to execute the functions assigned to it under these Regulations	Status of Compliance			
2	8(1)	Distribution Licensee shall undertake load research to identify the target consumer segment/s and end uses for DSM programmes to build the necessary database.	Status of Compliance			
3	8(2)	Distribution Licensee shall undertake market research to estimate market potential for specific energy efficiency technologies and applications, establish key performance indicators, and determine existing baseline market conditions.	Status of Compliance			
4	8(3)	On the basis of the results of load and market research, the Distribution Licensee shall develop baseline data for its area	Status of Compliance			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		of supply.				
5	9	<p>Formulation of DSM Plan. -</p> <p>(1) Distribution Licensee shall formulate and submit to the Commission a perspective DSM plan covering period of the control period, within one year of notification of these regulations. The Plan shall include:</p> <p>(a) an overall goal for DSM Plan;</p> <p>(b) description of DSM programmes to form a part of DSM Plan;</p> <p>(c) implementation process and schedule of each programme in the plan as a whole;</p> <p>(d) plan for Monitoring and Reporting;</p> <p>(e) indicative cost effectiveness assessment of programmes.</p> <p>Provided that the first DSM plan shall be prepared within one year of the date of notification of these Regulations and shall be applicable for the period till the end of ongoing MYT Control Period.</p>	<i>Status of Compliance</i>			
6	17	<p>DSM Plan and Programme Completion Report. -</p> <p>(1) Reports on progress of DSM Plan and expenses incurred on implementation of DSM Plan shall be submitted by the Distribution Licensee every six months.</p>	<i>Status of Compliance</i>			

Chapter XIII- MPERC (Grid Interactive Renewable Energy Systems Related Matters) Regulations, 2022 and amendments / revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	5	<p>The Distribution Licensee shall update distribution transformer level capacity available for connecting Renewable Energy systems under Net Metering or Gross Metering Arrangement, as the case may be, on yearly basis and shall provide the information on its website in the format as specified under Annexure-3:</p> <p>Provided that the cumulative capacity allowed at a particular distribution transformer of Distribution Licensee shall not exceed 70% of the rated capacity of the distribution transformer.</p>	<i>Status of Compliance as per format be submitted on Half-Yearly / Annual basis</i>			
2	7A(2)	<p>For each Billing Period, the Distribution Licensee shall make the following information available on its bill to the prosumer:</p> <p>a. Quantum of electricity injected by RE system in the grid in the billing period, showing opening and closing balance;</p> <p>b. Quantum of electricity supplied by the Distribution Licensee in the billing period, showing opening and closing balance;</p> <p>c. Quantum of Net billed electricity;</p> <p>d. Excess electricity carried forward from the last billing period;</p>	<i>Status of Compliance</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		e. Excess electricity carried forward to the next billing period; and f. Units used by the Distribution Licensee for RPO compliance				
3	7A(4)	The amount towards unadjusted net credited units of electricity at the end of settlement period shall be payable by the Distribution Licensee by 15th November of the current financial year.....	Status of Compliance			
4	7B(2)	For each Billing Period, the Distribution Licensee shall make the following information available on its bill to the prosumer: (a) Quantum of Renewable Energy generation recorded in the Renewable Energy Generation Meter, showing opening and closing balance; (b) Quantum of electricity units consumed by the Consumer from licensee's system in the billing period, showing opening and closing balance; (c) Amount of billing credit, if any, in the billing period, showing opening and closing balance; and (d) Units from Renewable Energy generation used by the Distribution Licensee for RPO compliance.	Status of Compliance			
5	7B (6)	At the end of each Settlement Period, the credited carried forward amount payable by the Distribution Licensee, shall be paid to the prosumer latest by the 15th November of the current Financial Year.	Status of Compliance			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
6	11	Processing of application and application fee	Status of Compliance			

Chapter XIV- MPERC (Power Purchase and Procurement Process) Regulations, 2023 and amendments / revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	3.1	The Distribution Licensee shall prepare the power procurement plan comprising of resource planning to optimize supply resources economically for a period of 5 years with due regard to the requirement of electricity in its area of supply and submit a rolling 5-year plan every year duly revising the projections and plans for the ensuing years to the Commission. The plan may include long-term, medium-term and short-term sources of power purchases as per demand – supply position in accordance with these Regulations.	Status of Compliance			
2	4.1	The Distribution Licensee shall submit the Power Procurement Plan along with necessary supporting documents and formats (attached as Annexure to the Regulation) every year on or before 31st July to the Commission: Provided that initial power procurement plan after notification of these Regulations shall be submitted by the Distribution Licensees for a time period aligned	Status of Compliance			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		with the Control period of MPERC MYT Regulations.				
3	4.24	Any new power purchase agreement for long/medium-term or amendments to existing long/medium-term Power Purchase Agreement (PPA's)/ Power Sale Agreement (PSA) entered into by the Distribution Licensee shall be subject to the prior approval of the Commission. Provided that in case of short-term purchases, the licensees shall submit details within 45 days of such procurement for information of the Commission.	<i>Status of Compliance</i>			
4	6.1	The monthly/weekly/day-ahead/intraday power procurements/sale by the licensees and generator schedule shall be made available on the websites of the licensees and SLDC within 30 days of such procurements/sale with ease of access to the current as well as archived data.	<i>Status of Compliance</i>			
5	7.1	Around the clock dedicated cell shall be constituted by the distribution licensees within three months from the regulation coming into force. The cell should have the requisite capability and tools for energy forecast. The cell shall have the power to purchase/sell the energy in real-time, intra-day, day-ahead, week ahead or any longer duration through Power Exchanges or any other means. The licensees shall frame suitable guidelines for the modus operandi of the dedicated cell in line with the spirit of this Regulation and shall apprise the	<i>Status of Compliance</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		Commission for the same within 45 days from the coming into force of this Regulations.				

Chapter XV- MPERC (Co-generation and Generation of Electricity from Renewable Sources of Energy) Regulations, 2021 and amendments / revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	3	Quantum of Purchase of Electricity from Generation / Co-generation from Renewable Sources of Energy	RPO Compliance Status be shared			
2	10	Banking Licensee shall reconcile the banking charges at the end of each financial year on the basis of actual cost of power purchase to return the banked energy and claim additional expenses through a separate petition along with truing up petition of retail supply tariff of subsequent financial year	Compliance Status be shared			

Chapter XVI- MPERC (Methodology for Determination of Open Access Charges and Banking Charges for Green Energy Open Access Consumers) Regulations, 2023 and amendments / revisions thereof

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	7	Wheeling Charges: 1st Proviso Provided that where a dedicated distribution system for open access has been constructed by Distribution Licensee and used for exclusive use of an Open Access Consumer, the Wheeling Charges for such				

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		dedicated system shall be worked out by Distribution Licensee and shall get the same approved from the Commission.				

Chapter XVII- MPERC (Verification of Captive Generating Plants and Captive Users) Regulations, 2023 and amendments / revisions thereof

S.no	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	6	Verification of status of CGP - To be done by Designated Authority with the assistance of Distribution Licensee (in whose area the CGP or Captive User is located)	<i>Status of Compliance if any be reported</i>			

Report by Trading Licensee only

(Note: In case of disagreement of MD on compliance status, reasons should be recorded in brief)

Chapter I – MPERC (Eligibility Criteria for Grant of Trading License, the Duties and the Terms and Conditions of Trading Licensee) Regulations 2004 and amendments/revision thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	2.1 (d)	The applicant shall furnish to the Commission the details of the professional and the supporting staff engaged by him on full-time basis before undertaking intra-state trading.	<i>Status of Compliance</i>			
2	2.3	The applicant shall declare to the Commission the maximum trading volume the applicant proposes to handle in a year and its future plans for trading during the initial three years.	<i>Status of Compliance</i>			
3	2.5	The net worth at any point of time during the operation of trading should not reduce below 75% of the minimum requirements specified for the respective category of trader and shall be replenished at the end of every quarter ending June, September, December and March every year to the above specified levels. An audited certificate of compliance would need to be submitted to the Commission for every quarter within a period of 30 days from the end of that quarter.	<i>Status of Compliance</i>			
4	2.8	At the time of application, the applicant shall submit to the Commission the applicant's earnings history, balance sheet, cash flow, funding arrangements and risk management strategy,	<i>Status of Compliance</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		which will demonstrate that the applicant has met the net worth requirement.				
5	3.6(b)	that the Trading Licensee shall report to the Commission, for each financial year, the details of all transactions of the nature referred to in this Regulation entered into during the financial year;	<i>Status of Compliance</i>			
6	3.6(c)	that the Trading Licensee shall submit to the Commission, for each financial year, a certificate from a Chartered Accountant as regards compliance with the requirement of clause 3.6(a) above.	<i>Status of Compliance</i>			
7	5.2(b)	prepare on a consistent basis from such accounting records and deliver to the Commission: (i) the Financial Statements; (ii) in respect of first six months of each financial year, an interim profit and loss account, cash flow statement and balance sheet together with such supporting documents and information as the Commission may prescribe from time to time, such statements and documents to be published in the manner prescribed by the Commission; (iii) in respect of the Financial Statements prepared in accordance with this CHAPTER 5, an Auditor's report in respect of each financial year, stating whether in their opinion these Statements have been	<i>Status of Compliance</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		<p>properly prepared in accordance with this CHAPTER 5 and give a true and fair view:</p> <p>I) in case of Balance Sheet, of the state of Company Affairs;</p> <p>II) in case of the profit and loss account, of the profit or loss for its financial year.</p> <p>(iv) a copy of each interim profit and loss account not later than forty-five days after the end of the period to which it relates, and copies of the Financial Statements and Auditor's report not later than six months after the end of the financial year to which they relate.</p>				
8	5.7	The Licensee shall ensure that the Financial Statements in respect of each financial year prepared under clause 5.2 and the Auditor's report in respect of each financial year are made available to any person requesting them at a price not exceeding the cost of duplicating them.	<i>Status of Compliance</i>			
9	6.1	Within fifteen days of the end of every three months, i.e., June, September, December and March, the trader shall provide information to the Commission in such form and manner as may be prescribed by the Commission from time to time to demonstrate that the trader has complied with the net worth criteria	<i>Status of Compliance</i>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
10	6.2	The licensee shall provide all information as applicable to the licensee in the annexure III enclosed, within sixty days from the date of grant of License. Subsequently, the format shall be filled up and submitted by the licensees, annually, within a month after the completion of every financial year.	<i>Status of Compliance</i>			
11	6.3	The Trading Licensee shall furnish to the Commission without undue delay such information, documents and details related to the Licensed Business or any Other Business of the Trading Licensee, as the Commission may require for its own purposes or for the purposes of the Government of India, State Government, the State Transmission Utility, The State Load Dispatch Centre, the Central Commission and/or the Central Electricity Authority. The information to be submitted to the Commission every quarter is provided in the annexures I and II.	<i>Status of Compliance</i>			
12	6.6	The Trading Licensee shall provide data and business plan to the Commission, the State Transmission Utility and the SLDC, annually, as well as on request.	<i>Status of Compliance</i>			
13	6.8	The Trading Licensee shall submit information to the Central Electricity Authority as required under Sections 73 (i) and 74 of the Act.	<i>Status of Compliance</i>			

Chapter II - MPERC (Treatment of Income of Other Businesses of Transmission Licensees and Distribution Licensee) Regulations, 2004 and amendments/revisions thereof

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
1	3(1)	<p>In the event a Licensee engages in any Other Business for optimum utilization of the assets, he shall give prior intimations in writing to the Commission of such Other Business including the following details:</p> <p>(j) The nature of the Other Business;</p> <p>(k) The proposed capital investment in the Other Business;</p> <p>(l) The nature and extent of the use of assets and facilities of the Licensed Business for the Other Business;</p> <p>(m) The impact of the use of assets and facilities for the Other Business on the Licensed Business and on the ability of the Licensee to carry out the duties and obligations of the Licensed Business; and</p> <p>The manner in which the assets and facilities of the Licensed Business shall be used and justification that it will be used in an optimum manner without affecting the maintenance of the activities of the Licensed Business.</p> <p>At least 30 days prior to the engagement in any Other Business for optimum utilization of the Licensed Business' assets.</p>	<p><i>Details of other business/ Capex details/Assets of licensee used for other business</i></p>			
2	4 (1)	<p>The Licensee shall</p> <p>f. Maintain for Other Business activities separate accounting records, such as amounts of any revenue, cost, asset, liability, reserve, or provision which has been charged from or to any</p>	<p><i>Status of Compliance (Whether separate accounts created for other business/maintain database for records/Submission</i></p>			

S.no.	Clause no.	Regulation	Action taken by Licensee on the directives given under the Regulations	Compliance Status (Full / Partial / Non-Compliance)	Remarks (by Reporter of Compliance)	MD's Observation (Agreed or Disagreed)
		<p>Other Business together with a description of the basis of that charge or determined by apportionment or allocation between the various business activities together with a description;</p> <p>g. Prepare on a consistent basis from such records accounting statements for each financial year comprising a profit and loss account, a balance sheet and a statement of source and application of funds;</p> <p>h. Provide in respect of the accounting statements prepared, a report by the Auditors in respect of each Financial Year, stating whether in their opinion the statements have been properly prepared and give a true and fair view of the revenue, costs, assets, liabilities, reserves reasonably attributable to the business to which the statements relate;</p> <p>i. Submit to the Commission such information that is required to review the additional cost incurred by the licensee for Other Business; and</p> <p>j. Submit copies of the accounting statements and Auditor's report not later than six months after the close of the financial year to which they relate.</p>	<i>of Accounting statements and Auditors report and other details to the Commission)</i>			
3	4 (2)	The Licensee shall establish to the satisfaction of the Commission that the Other Business duly bear an appropriate share of overhead costs and other common costs.	<i>Status of Compliance</i>			

Annexure C- Additional Formats

SUMMARY OF CASES WHERE SUPPLY AT MORE THAN ONE POINT HAS BEEN GIVEN IN ONE PREMISES
(Compliance Status of Clause 5.2 of M.P Electricity Supply Code 2021 and amendments thereof)

Financial Year
Discom: -

Format - ESC-1
Period: Half-Yearly/Annual

Sr. No.	Name of Region	Name of Circle	Name of Division	No. of cases where supply at more than one point has been given in one premises	Address(es) of premises where more than one connection given	Reasons for giving more than one connection in one premise
1	2	3	4	5	6	7
1						
2						
Discom-TOTAL						

PERIODIC SURVEY OF STREET LIGHTS
(Compliance Status of Clause 6.39 of M.P Electricity Supply Code 2021 and amendments thereof)

Financial Year
Discom: -

Format - ESC-2
Period: Half-Yearly/Annual

Name of Region	Total No. of Street Light	No. of street light points	LED Lights		Non-LED Lights		Total		Programmable on-off/dimmer switch with automation for street lights*	
			No.	kW	No.	kW	No.	kW	No.	%
1	2	3	4	5	6	7	8=4+6	9=5+7	10	11=10/8
Discom- TOTAL										

*As per the Specific Terms and Conditions for LV-3 category (PUBLIC WATER WORKS AND STREET LIGHTS) given in the Retail Supply Tariff Order

RELEASE OF NEW CONNECTIONS
(Compliance Status of Clause 8.1 of M.P Electricity Supply Code 2021 and amendments thereof)

Format - ESC-3

Period: Half-Yearly / Annual

Financial Year

Discom: -

Name of Region:

S. No.	Consumer Category (Tariff Wise)	Total no. of new connections released during the Period	No. of new connections released with Smart meter having pre-payment feature	No. of new connections released with non-communicable meters with pre-payment features	No. of new connections released with non-smart non-prepayment facility meters	No. of new connections released without meters	Total no. of existing metered connections at the end of Period	Total no. of existing Unmetered connections at the end of the Period
1	2	3=4+5+6+7	4	5	6	7	8	9
TOTAL								

Note: Information to be provided for each Region of the Company along with reasons for providing un-metered connections

DETAILS OF VARIOUS TYPE OF METERS INSTALLED IN AREA OF LICENSEE
(Compliance Status of Clause 8.13 of M.P Electricity Supply Code 2021 and amendments thereof)

Format - ESC-4(a)

URBAN AREA

Period: Half-Yearly/Annual

Financial Year

Discom: -

Name of Region:

S. No.	Type of meters	No. of meters installed at the beginning of the Period	No. of meters installed during the Period	Total No. of meters installed at the end of the Period	No. of meters available in Stock
1	2	3	4	5=3+4	6
1	Single phase Conventional Meters				
2	Three phase Conventional Meters				
3	Net Meters				
4	Non-Communicable Prepayment Meters				
5	Smart Meters				
(A)	Total LT Metered Consumers (A)				
6	HT Meter- Electronic				
7	Net Meters				
8	Smart Meters				
(B)	Total HT Metered Consumers (B)				
	TOTAL (A+B)				

Note: Information to be provided for each Region of the Company

DETAILS OF VARIOUS TYPE OF METERS INSTALLED IN AREA OF LICENSEE
(Compliance Status of Clause 8.13 of M.P Electricity Supply Code 2021 and amendments thereof)

Format - ESC-4(b)

RURAL AREA

Period: Half-Yearly/Annual

Financial Year

Discom: -

Name of Region:

S. No.	Type of meters	No. of meters installed at the beginning of the Period	No. of meters installed during the Period	Total No. of meters installed at the end of the Period	No. of meters available in Stock
1	2	3	4	5=3+4	6
1	Single phase Conventional Meters				
2	Three phase Conventional Meters				
3	Net Meters				
4	Non-Communicable Prepayment Meters				
5	Smart Meters				
(A)	Total LT Metered Consumers (A)				
6	HT Meter- Electronic				
7	Net Meters				
8	Smart Meters				
(B)	Total HT Metered Consumers (B)				
	TOTAL (A+B)				

Note: Information to be provided for each Region of the Company

PERIODIC TESTING OF METERS
(Compliance Status of Clause 8.15 of M.P Electricity Supply Code 2021 and amendments thereof)

Format - ESC-5(a)

URBAN AREA

Period: Half-Yearly/Annual

Financial Year

Discom: -

Name of Region:

S. no.	Particulars	Category	Total no. of meters installed at the beginning of the period			No. of meters inspected/ tested during the period under report for verification of its accuracy			% of meters inspected/ tested during the period for verification of its accuracy		
			Electro mechanical	Electronic	Smart Meters	Electro mechanical	Electronic	Smart Meters	Electro mechanical	Electronic	Smart Meters
1	2	3	4	5	6	7	8	9	10=7/4	11=8/5	12=9/6
1	Single Phase										
2	Three Phase	Commercial Industrial Others Total									
3	Three Phase Whole Current	Commercial Industrial Others Total									
4	Three Phase CT Meters	Commercial Industrial Others Total									
5	HT Meter										
6	HT CT/PT Set										
	Total										

Note: Information to be provided for each Region of the Company

PERIODIC TESTING OF METERS
(Compliance Status of Clause 8.15 of M.P Electricity Supply Code 2021 and amendments thereof)

Format - ESC-5(b)

RURAL AREA

Period: Half-Yearly/Annual

Financial Year
Discom: -

Name of Region:

S. no.	Particulars	Category	Total no. of meters installed at the beginning of the period			No. of meters inspected/ tested during the period under report for verification of its accuracy			% of meters inspected/ tested during the period for verification of its accuracy		
			Electro mechanical	Electronic	Smart Meters	Electro mechanical	Electronic	Smart Meters	Electro mechanical	Electronic	Smart Meters
1	2	3	4	5	6	7	8	9	10=7/4	11=8/5	12=9/6
1	Single Phase										
2	Three Phase	Commercial									
		Industrial									
		Others									
		Total									
3	Three Phase Whole Current	Commercial									
		Industrial									
		Others									
		Total									
4	Three Phase CT Meters	Commercial									
		Industrial									
		Others									
		Total									
5	HT Meter										
6	HT CT/PT Set										
	Total										

Note: Information to be provided for each Region of the Company

PERIODIC TESTING OF METERS
 (Compliance Status of Clause 8.15 of M.P Electricity Supply Code 2021 and amendments thereof)

Format - ESC-5(c)

Period: Half-Yearly/Annual

TOTAL AREA

Financial Year:
 Discom: -

S No.	Name of Region	No. of Portable Meter Testing Equipments (such as Accu-check etc.)	No. of Portable Meter Testing Equipments earmarked for Rural Areas, if any	Nos/Capacity/Day of meter testing benches (shifts of meter testing labs)	Remarks (if any)
Total - Discom					

TESTING OF ACCURACY OF METERS ON CONSUMER'S REQUEST
(Compliance Status of Clause 8.17, 8.19, 8.20 of M.P Electricity Supply Code 2021 and amendments thereof)
Format - ESC-6(a)

URBAN AREA

Financial Year Discom: -		Period: Half-Yearly/Annual									
Name of Region: -		URBAN AREA									
S. No.	Consumer Category (as per Retail Supply Tariff Order)	No. of consumers who applied for testing their meters	Additional meter/Check Meter installed within 3 days of receipt of complaint (as per MoP Rules)	No. of consumers whose meter was tested within 15 days of receipt of application	No. of cases of Non-Compliance of timelines as per Col. (5)	Reasons of delay	No. of meters found within permissible accuracy Against col.5	No. of meters Found beyond permissible Accuracy Against col.5	No. of Cases where Consumer contested the results of testing	No. of meters tested at Third-Party Testing Agency approved by the Commission	No. of Cases where the results of the test are found to be contrary to the test performed by licensee
1	2	3	4	5	6	7	8	9	10	11	12
1											
2											
3											
4											
TOTAL											

Note: Information to be provided for each Region of the Company

TESTING OF ACCURACY OF METERS ON CONSUMER'S REQUEST
(Compliance Status of Clause 8.17, 8.19, 8.20 of M.P Electricity Supply Code 2021 and amendments thereof)

Format - ESC-6(b)

RURAL AREA

Financial Year: _____ Period: Half-Yearly/Annual
 Discom: - _____
 Name of Region: - _____

S. No.	Consumer Category (as per Retail Supply Tariff Order)	No. of consumers who applied for testing their meters	Additional meter/Check Meter installed within 3 days of receipt of complaint (as per MoP Rules)	No. of consumers whose meter was tested within 15 days of receipt of application	No. of cases of Non-Compliance of timelines as per Col. (5)	Reasons of delay	No. of meters found within permissible limits of accuracy Against col.5	No. of meters Found beyond permissible Limits of Accuracy Against col.5	No. of Cases where Consumer contested the results of testing	No. of meters tested at Third-Party Testing Agency approved by the Commission	No. of Cases where the results of the test are found to be contrary to the test performed by licensee
1	2	3	4	5	6	7	8	9	10	11	12
1											
2											
3											
4											
	TOTAL										

Note: Information to be provided for each Region of the Company

**TESTING OF METERS (Including Maximum Demand Indicator) NOT RECORDING
(Compliance Status of Clause 8.23, 8.24, 8.26 of M.P Electricity Supply Code 2021 and amendments thereof)**

Financial Year _____ **Format - ESC-7**
Discom: - _____ **Half-Yearly/Annual**
Name of Region: - _____ **Period:** _____

S. No.	Consumer Category (as per Retail Supply Tariff Order)	Total No. of consumers who applied for testing their meters under clause 8.23 of Supply Code	Total No. cases where licensee arranged for meter to be tested within 7 days of receipt of application	No of Consumers whose Meter was replaced within 24 hours in Urban Areas	No of Consumers whose Meter was replaced within 72 hours in Rural Areas	No. of cases of Non-Compliance of timelines as per Col. (5)	No. of cases of Non-Compliance of timelines as per Col. (6)	Reasons for non-compliance	Total No. of Claims for compensation received	Total no. of cases where compensation was paid by licensee	Total Compensation Amount (in INR)
1	2	3	4	5	6	7	8	9	10	11	12
1											
2											
3											
4											
	TOTAL										

Note: Information to be provided for each Region of the Company

PROVISIONAL BILLING DETAILS
(Compliance Status of Clause 8.42 & 8.43 of M.P Electricity Supply Code 2021 and amendments thereof)

Financial Year
Discom: -

Format - ESC-8
Half-Yearly/Annual

Period:

Name of Region: -

Consumer Category (as per Retail Supply Tariff Order)	Total no. of Connections for which meter reading was done during the period		No of connections billed on Meter Reading Basis		No. of connections billed on Provisions of clause 8.42 & 8.43 of the Supply Code)		% of connections billed on Provisional Basis	
	HT	LT	HT	LT	HT	LT	HT	LT
1	2	3	4	5	6	7	8	9
TOTAL - Discom								

Note: Information to be provided for each Region of the Company

DETAILS OF PAYMENT AVENUES AND PAYMENT MADE BY CONSUMERS

(Compliance Status of Clause 9.2 of M.P Electricity Supply Code 2021 and amendments thereof)

Financial Year
Discom: -

Format-ESC-9
Half-Yearly/Annual

Period:

Name of Region: -

Consumer Category (as per Retail Supply Tariff Order)	Total Consumers Billed (Nos) during the period	Total Billed Amount (INR)	Collection (INR)			
			Cash	Cheque, Drop boxes	Other Online Modes such as ECS, credit card, Apps/UPI	Total Collection made during the period
1	2	3	4	5	6	7=4+5+6
Total Discom						

Note: Information to be provided for each Region of the Company

DISPUTED/ERRONEOUS BILLS
(Compliance Status of Clause 9.12 of M.P Electricity Supply Code 2021 and amendments thereof & Appendix-A of the MPERC
(Distribution Performance Standards) Regulations 2012 as amendment from time to time)

Format - ESC-10 (a)

URBAN AREA

Financial Year		Period: Half-Yearly/Annual					
Discom: -		Period: Half-Yearly/Annual					
S. No.	Name of Region	No. of complaints pending at the beginning of the period	No. of complaints received during the period	Total complaints received	No. of complaints resolved on the same day of its receipt (except for HT Consumers) if no additional information required	No. of complaints resolved within 5 days (in case additional information required)	No. of complaints pending at the end of the period
1	2	3	4	5=3+4	6	7	8
1							
2							
3	Discom-TOTAL						

DISPUTED/ERRONEOUS BILLS
(Compliance Status of Clause 9.12 of M.P Electricity Supply Code 2021 and amendments thereof & Appendix-A of the MPERC
(Distribution Performance Standards) Regulations 2012 as amendment from time to time)

Format - ESC-10 (b)

RURAL AREA

Financial Year		Period: Half-Yearly/Annual					
Discom: -		Period: Half-Yearly/Annual					
S. No.	Name of Region	No. of complaints pending at the beginning of the period	No. of complaints received during the period	Total complaints received	No. of complaints resolved on the same day of its receipt (except for HT Consumers) if no additional information required	No. of complaints resolved within 5 days (in case additional information required)	No. of complaints pending at the end of the period
1	2	3	4	5=3+4	6	7	8
1							
2							
3	Discom-TOTAL						

CONNECTED CONSUMERS HAVING ARREARS FOR MORE THAN 3 MONTHS & DETAILS OF PERMANENTLY DISCONNECTED CONSUMER
(Compliance Status of Clause 9.14 of M.P Electricity Supply Code 2021 and amendments thereof)

Format -ESC-11(a)

URBAN AREA

Financial Year

Discom: -

Period: Half-Yearly/Annual

S. n	Name of Region	No. of connected consumers who are in arrears of more than three months	Amount of arrears against col. 3 (Rs. In Lakh)	Reasons for non-disconnection of consumers of col. 3	No. of connections permanently disconnected	Amount of arrears against col. 6 (Rs. In lakhs)
1	2	3	4	5	6	7
1						
2						
3	Discom- TOTAL					

CONNECTED CONSUMERS HAVING ARREARS FOR MORE THAN 3 MONTHS & DETAILS OF PERMANENTLY DISCONNECTED CONSUMER
(Compliance Status of Clause 9.14 of M.P Electricity Supply Code 2021 and amendments thereof)

Format -ESC-11(b)

RURAL AREA

Financial Year

Discom: -

Period: Half-Yearly/Annual

S. n	Name of Region	No. of connected consumers who are in arrears of more than three months	Amount of arrears against col. 3 (Rs. In Lakh)	Reasons for non-disconnection of consumers of col. 3	No. of connections permanently disconnected	Amount of arrears against col. 6 (Rs. In lakhs)
1	2	3	4	5	6	7
1						
2						
3	Discom- TOTAL					

GRID INTERACTIVE RE SYSTEM (NET METERING/GROSS METERING ARRANGEMENT)
(Compliance status of Regulation 4, 7A, 7B, 8 of the MPERC (Grid Interactive Renewable Energy System and Related Matters) Regulations, 2022 as amended from to time)

Format -12
Period: Half-Yearly / Annual

Financial Year
Discom :-

(A) Net Metering Arrangement (1kW to 500kW)

Sr. No.	Consumer Category	Total existing consumers	Total Connected Load (kW) against Col. 3	Consumers with Net Metering Connections at the start of the Period	Total Connected Load (kW) against Col. 5	New Net Metering connections released during the Period	Total Connected Load (kW) against Col. 7	Consumers with Net Metering Connections at the end of the Period	Total Connected Load (kW) against Col. 9	Total Units Exported to Disco during the period (MU)	Total Units Imported from Disco during the period (MU)	RPO Claimed by Disco during the period (MU)	Rate (In Rs/kWh) considered for settlement of unadjusted net credited units
1	2	3	4	5	6	7	8	9	10	11	12	13	14
Discom - Total													

(B) Gross Metering Arrangement (1kW to 1MW)

Sr. No.	Consumer Category	Total existing consumers	Total Connected Load (kW) against Col. 3	Consumers with Net Metering Connections at the start of the Period	Total Connected Load (kW) against Col. 5	New Net Metering connections released during the Period	Total Connected Load (kW) against Col. 7	Consumers with Net Metering Connections at the end of the Period	Total Connected Load (kW) against Col. 9	Total Units Exported to Disco during the period (MU)	Total Units Imported from Disco during the period (MU)	RPO Claimed by Disco during the period (MU)	Rate (In Rs/kWh) considered for settlement of unadjusted net credited units
1	2	3	4	5	6	7	8	9	10	11	12	13	14
Discom - Total													

Annexure D- Half-yearly/Annual Regulatory Compliance Report**To****The MP. Electricity Regulatory Commission,
5TH Floor, Metro Plaza, E-5 Arera Colony,
Bittan Market, Bhopal – 462 016.**

1. The enclosed report is the Half-yearly/Annual Regulatory Compliance Report for the period ____ (FY ____) which has been prepared in a manner that meets the requirements of the compliance systems and reporting.
2. The enclosed report covers information about all the details that were to be furnished to the Commission during the period specified at Serial No.1 above.
3. Enclosed report has been discussed in the Directors and has approval of the Board for submission before the Commission.
4. The licensee, having made due enquiry, is not aware of any breach of any of the obligations of license conditions or regulations.

Dated the _____ day of _____ 200_____.

Signature:

Name:
Reporter of Compliance:

Signature:

Name:
Managing Director: