

**CHECK LISTS FOR AVAILING THE MAJOR INCENTIVES PROVIDED TO  
SSI/ MEDIUM/LARGE SCALE UNITS AS PER GOVT. ORDER NO.21-IND  
OF 2004 DATED 27-01-2004.**

**CAPITAL INVESTMENT SUBSIDY:-**

Capital Investment Subsidy is meant to supplement resources of the promoter for smooth functioning of the unit. As and when a unit is registered formally, it becomes entitled for CIS. However, those units which have gone into commercial production before 14<sup>th</sup> day of June, 2002 will be entitled for CIS after expansion programme. The various documents required for processing of CIS cases of the unit are given below and all papers to be submitted in duplicate.

1. CIS Application Form.
2. Copy of Project report.
3. Copy of Provisional & Permanent Registration of the unit.
4. Copy of Ownership deed/ Lease deed / Rent deed, etc
5. Bills, Vouchers of Plant Machinery installed/ GR's Toll Receipts / Payee's Receipts & List of Plant & Machinery Installed of reputed manufacturers or authorized dealers/distributors.
6. Chartered Accountant Certificate regarding investment made on the project as per the prescribed Proforma.
7. Valuation of civil works of the Factory Building as per the prescribed proforma work done estimates, site plan by the approved valuer from Ministry of Finance, Government of India / SIDCO / SICOP authorities or Executive Engineer, (R&B) of the concerned area if unit is existing in Backward Area and entitled for CIS on building.
8. Bank loan Certificate/ Means of Finance / Source of investment.
9. Power connection sanction copy / power fitness certificate, NOC from PDD in case of unit operated on D.G. set., Bills of D.G. Set , Fitness from PDD, NOC from PCB for DG Set.
10. Mode of payment certificate of Plant & machinery & Civil Works from C.A.
11. Licence from the concerned department if any.
12. Affidavit / Undertaking & Indemnity Bond as per proforma available in the respective DIC's.
13. Balance Sheet & Profit and Loss account.
14. Photographs of the unit.
15. Affidavit of the promoters (s) if got unsecured loan.
16. Partnership Deed / Memorandum and articles of Association.
17. NOC /Consent from PCB.

## **TRANSPORT SUBSIDY:-**

Transport Subsidy to all the SSI units in J&K as per GOI instructions addressed to Directorate of Industries & Commerce will be processed in two phases.

### **Phase -I**

All such units which intends to avail Transport subsidy will have to apply before General Manager, District Industries Centre for registration under Transport Subsidy Scheme of Government of India shall be supported by the following documents:-

1. Application Form.
2. Land Documents / Lease Deed.
3. Formal Registration Certificate.
4. Assessment of the unit (Raw material & Finished Products).
5. Power Sanction / Power Fitness Certificate.
6. List of Plant & Machinery.
7. Copy of Partnership Deed / Memorandum & Article of Association in case of Limited or Pvt. Limited Company.

### **Phase -II**

After the unit is registered with Director, Industries & Commerce under Transport Subsidy Scheme, 1971 the promoter will have to submit complete quarterly claim of Transport subsidy in duplicate along with the following documents to GM DIC concern within a period of one month after the close of each quarter along with consumption certificate to be submitted separately.

1. Verification statement of raw material received from outside the State for concerned quarter to be processed through Raw Material Section of DIC's.
2. Abstract of verification for the quarter concern.
3. Statement showing the details of import of raw materials received by the unit during the quarter reflecting freight paid including weight.
4. Sales statement depicting the sales made during the quarters.
5. C.A. certificate showing the details of raw material received and consumed thereof during the quarter as per prescribed proforma.
6. Bills of suppliers GR's /TT's.
7. Copy of Raw material assessment, Permanent Registration Certificate, Transport Registration Certificate, Income Tax

- Clearances Certificate for the concerned quarters, power bills paid during the quarter / Sales Tax Return and Central Excise Return.
8. Means of finance authenticated by C.A. along with Balance Sheet.
  9. Mode of payment certified by the CA/Bank.
  10. Bank Certificate with regards to sanction of CC Limit/ Term loan.
  11. Project report copy.
  12. Investment certificate in favour of Fixed Assets.
  13. Consent to operate from PCB if applicable.

### **FORMAL REGISTRATION OF SSI UNIT**

After provisional registration when the required infrastructure like land, building, power sanction, installation of required Plant & Machinery in the said allotted premises and the unit will be ready for production. The promoter of the unit will have to submit application regarding formal registration of his unit alongwith the below mentioned formalities required under the rules:-

1. Copy of Bills/ Vouchers / GR's of machinery installed.
2. Land documents:- ownership deed/ rent deed/ lease deed duly registered in the Hon'ble court of law.
3. Power sanction certificate / power fitness certificate from PDD /DG Fitness certificate if power not sanctioned.
4. Affidavit containing 16 points of PMT registration.
5. Consent to operate from PCB.
6. Licence if any required.
7. Copy of Bills/ Vouchers / GR's of raw material purchased/TTR.
8. Photographs of unit including machinery installed.
9. Copy of RGI Register / Stock Register depicting date of issue of Raw Material for production.
10. Part-II of Memorandum to be filled as per MSMED ACT-2006.

### **CHANGE OF CONSTITUTION/ LOCATION OF THE UNIT:-**

1. NOC from the concerned Bank/ Financial Institution.
2. NOC from Sales Tax Department.
3. NOC from PDD.
4. Partnership Deed / Dissolution Deed duly registered in the Court of Law.
5. Land documents for new location /proposed location.
6. PAC for power from PDD at new location /proposed location.

### **CHEKLIST FOR PURCHASE OF D.G.SET.:**

1. Application Form "D" duly filled in.
2. NOC issued by PDD regarding installation of D.G.Set of desired Rating.
3. Quotation of D.G.Set at least from two suppliers.
4. Copy of power sanction / fitness certificate in case of formally registered unit.
5. List of Plant & Machinery installed with Power load.
6. Affidavit (Regarding not installed and claimed D.G.Set subsidy earlier on the unit.)

The unit holder should apply for D.G.Set permission within six month from the date of Commencement of production. The D.G.Set permission for existing line of activity and expansion programme requires prior permission from Director Industries & Commerce.

### **100% Subsidy on New D.G.Set.**

1. Sanction from General Manager, DIC.
2. Bill/ Vouchers/ payees receipts etc. of the D.G.Set purchased and installed.
3. C.A. Certificate certifying the cost of D.G.Set.
4. Power load sanction copy.
5. Undertaking / indemnity bond etc. (specimen available in respective DIC's).
6. Satisfactory commissioning / Fitness Certificate from PDD.

### **FORMALITIES FOR RELEASE OF / DISBURSEMENT OF D. G. SET SUBSIDY:**

1. Agreement deed from 1<sup>st</sup> Class Magistrate.
2. Indemnity Bond from 1<sup>st</sup> Class Magistrate.
3. Last Power bill paid.
4. NOC regarding clearance of electric Dues / Power Tariff.
5. NOC from SICOP/ SIDCO regarding Rent Clearance.
6. Labour Certificate.

**CHECKLIST FOR ADDITIONAL LINE / MODERNISATION/  
UPGRADATION/ EXPANSION/ ADDITIONAL MACHINERY.**

(No Project report required if additional line is undertaken with the existing Plant & Machinery).

1. Power availability certificate /NOC for D.G. Set from PDD as the case may be.
2. Site Plan for additional Infrastructure / Construction.
3. Land Documents / Lease Deed if additional land is required.
4. SEA & SFB forms in case of substantial expansion.

**INCORPORATION / INSERTION (ADDITIONAL MACHINERY)**

1. Fitness of Additional Power/ D.G.Set from PDD.
2. Bills/ Vouchers of additional machinery.
3. Affidavit.
4. NOC from PCB.

**CHECK LIST FOR TESTING EQUIPMENT**

1. B.I.S. Manual/Any other standard.
2. Quotation of testing equipment of proposed Lab, equipments.
3. Bio-data of person handling lab. Equipment.
4. C.A. Certificate for Capital Investment made.
5. Set of forms duly filled in by the unit holder.
6. List of Testing Equipment to be purchased.

**DOCUMENTS REQUIRED FOR PROVISIONAL REGISTRATION UNDER  
SINGLE WINDOW SYSTEM:**

1. Demand Draft of Rs.250.00 for SSI units as processing fee in favour of the concerned nodal officer.
2. Demand Draft of Rs.100.00 as the cost of application in favour of Member Secretary, J&K State Pollution Control Board.
3. Demand Draft towards consent fee/authorization as per schedule attached.
4. One original composite application form and 6 copies of composite application form.
5. Seven copies of detailed project report (one original) duly prepared by approved consultant.
6. Declaration regarding the distance of the unit from the bank of the main river or estuary (declared under the Act) and in respect of Stone Crusher for distance from Highway and habitations.
7. Layout plan showing the location of stacks (chimneys), effluent treatment plant, effluent disposal area, air pollution control devices and hazardous waste treatment and disposal areas.

8. Manufacturing process with details of raw material alongwith flow sheet.
9. a) In case of partnership concerned: -  
Copy of partnership deed duly registered in the Hon'ble Court.
10. b) In case of Pvt. Limited:-  
Copy of Memorandum of articles of Association/Certificate of incorporation.

**FORMALITIES REQUIRED FOR PROVISIONAL REGISTRATION UNDER NORMAL PROCEDURE:**

1. Application prescribed form.
2. Application addressed to GM DIC for registration.
3. An Affidavit giving status of the unit, Line of activity and Proposed Location, Details of project investment.
4. a) In case of partnership concern:-  
Copy of partnership deed duly registered in the Hon'ble Court.
- b) In case of Pvt. Ltd.  
Copy of Memorandum of articles of association/Certificate of ROC.
5. Licence /NOCs if any
6. Project report/Scheme from approved consultant or Project Manger of DIC.

**DOCUMENTS REQUIRED FOR INTEREST SUBSIDY CLAIM**

1. Bank application form duly filled in by Banker as per Annexure-I (Part A+B) with certificate that C/C limit has been utilized for the bonafide purpose for which it has been sanctioned.
2. Date of sanction of working capital loan with amount sanctioned/ Bank Sanction letter with date of sanction/disbursement.
3. Date of encashment in case of enhancement in working capital/enhancement sanction letter.
4. Production certificate /Balance Sheet and Profit and Loss Account.

**DOCUMENTS REQUIRED FOR BANK LOAN CASE:**

1. Quotation of Plant and Machinery to be installed (at least three)
2. Site Plan of proposed factory shed building.
3. Detailed work done estimate from approved valuer /SIDCO/ SICOP/ PWD in respect of civil workers.
4. Land documents/lease deed/rent deed.
5. Power availability certificate /NOC for DG Set.
6. Affidavit regarding Margin Money Contribution.
7. Detailed Project Report.
8. Technical Report for working capital loan in case of formally registered unit to be proposed by Project Manager of DIC.

## **DETAILS OF FORMALITIES REQUIRE FOR AVAILING TOLL**

### **EXEMPTION:**

1. Toll Tax Exemption Form to be filled by the party.
2. Consent to operate from PCB.
3. Labour certificate in case of new unit/units gone under substantial expansion.
4. Latest Bill Payment Receipts of Electricity Dues.

### **COMPREHENSIVE INSURANCE SCHEME:**

1. Annexure-II as per prescribed Format.
2. Insurance Cover Note/Premium Receipts/Policy copy in favour of standard fix/under C-Policy.
3. Production statement.
4. PCB Consent to operate.

### **100% SUBSIDY ON QUALITY CONTROL /TESTING EQUIPMENT:**

1. Permission for purchase of testing equipments from DI&C.
2. Copy of Order of GM sanctioning of the purchase of testing equipment by the unit.
3. Bills/Vouchers/Payees receipt etc. from whom the equipments have been purchased.
4. C.A. Certificate regarding the capital investment made on the project and also certifying the cost of the testing equipment purchased by the unit.
5. Satisfactory commissioning of the equipment from SICOP authority.
6. Undertaking / Indemnity bond from the unit holder (Specimen available in respective DICs.)
7. Proof of National/ International quality mark in respect of the product.

### **SUBSIDY ON ISO 9000 CERTIFICATION:**

1. Details of the expenditure incurred along with the bills/vouchers and payees receipts.
2. Chartered Accountant Certificate certifying the cost of expenditure incurred in obtaining the ISO 9000.
3. Copy of Certification for ISO 9000 from the concerned agency.
4. Affidavit /undertakings/Indemnity bond from the unit holder.

### **HUMAN RESOURCE DEVELOPMENT:**

1. Permission from DI&C.
2. Details of the expenditure incurred with documentary evidence like bills/vouchers and payees receipts etc.
3. Certificate for having undergone the said training from the concerned agency.
4. CA Certificate for certifying the cost of the expenditure incurred.
5. Affidavit /Undertakings/Indemnity Bond from the unit holder.

**100% SUBSIDY ON PROJECT FEASIBILITY REPORT:**

1. Copy of Project feasibility Report.
2. Bill of approved consultant.
3. Certificate in respect of expenditure incurred for Project Report.
4. Payment receipts.
5. An Affidavit /undertaking that no subsidy drawn earlier.

**CHECKLIST OF DOCUMENTS TO BE SUBMITTED BY THE PROPOSED UNIT HOLDER FOR OBTAINING PROVISIONAL REGISTRATION UNDER THE CATEGORY OF LARGE AND MEDIUM SCALE INDUSTRIES.**

1. Copy of Clearance /approval letter by APCC (APEX).
2. SIA Registration issued by Government of India.
3. Provisional registration issued by J&K SIDCO.
4. Lease deed / land documents.
5. Detailed Project Report.
6. Consent to establish issued by Pollution Control Board.
7. PAC/Power Sanction issued by Power Development Department.
8. MOU in case of (P) Ltd. Companies.
9. Certificate of incorporation issued by Registrar of Companies.
10. Copy of resolution passed by Board of Directors.

(All the documents to be submitted duly authenticated)