

**Government of Odisha
MSME Department**

NOTIFICATION

No. II-MSME-2/2017 614 /MSME, Bhubaneswar, the 31st January, 2017

**Sub: Operational Guidelines for Sanction and Disbursement of
Capital Investment Subsidy under Odisha MSME Development
Policy- 2016 (See Para 6.1 of Odisha MSME Development Policy-2016)**

1. **Short Title:** "Operational Guidelines for Sanction and Disbursement of Capital Investment Subsidy" under Odisha MSME Development Policy-2016.
2. **Extent:** It shall extend to the whole of the State of Odisha.
3. **Commencement:** It shall come into force with effect from 24th November, 2016 i.e. date of Notification of Odisha MSME Development Policy-2016.
4. **Policy Provisions: "Capital Investment Subsidy"**

Sl.	Category of Enterprise	Quantum of Assistance
1.	New Micro & Small Enterprises	@ 25% of capital investment made in Plant & Machinery subject to an upper limit of Rs.1 crore only.
2.	New Micro & Small Enterprises owned by SC, ST, Differently abled, Women & Technical (Degree / Diploma) entrepreneur.	@ 30% of capital investment made in Plant & Machinery subject to an upper limit of Rs.1.25 crore only.
3.	New Micro & Small Enterprises set up in industrially backward districts including KBK districts.	Additional capital investment subsidy @ 5% of investment made in Plant & Machinery with an upper limit prescribed at sl.1 & 2 above as applicable.
4.	New Micro & Small Enterprises engaged in recycling of E-waste, Hospital waste, Construction & demolition waste.	Additional capital investment subsidy @ 5% of capital investment made in Plant & Machinery subject to an upper limit of Rs.10 lakh over and above the limits specified as above.

Note: For the Enterprises set up by SC / ST / Differently Abled / Women / Technical Degree or Diploma holders, their stake in equity participation / shareholding shall be 51% or more individually or jointly."

5. **Terms and Expressions:** Terms and expressions used in this Operational Guidelines, but not specifically defined here, shall have the same meaning as in Odisha MSME Development Policy-2016.
- 5.1 Scheduled Caste Entrepreneur / Scheduled Tribe Entrepreneur: Person(s) belonging to Scheduled Caste / Scheduled Tribe, managing enterprise in proprietary concern or in which he / she / they individually or jointly has or have a share capital of not less than 51% as partner(s) / share holder(s) /

- Director(s) of Private Limited Company / Member(s) of Co- Operative Society and issued with Scheduled Caste Certificate / Scheduled Tribe Certificate by the competent authority such as District Magistrate / Collector, Additional District Magistrate, Sub-divisional Magistrate / Sub-divisional Officer, Revenue Officers not below the rank of Tahasildar / Additional Tahasildar or authority declared competent by the State Government for the purpose.
- 5.2 Differently abled Entrepreneur: Person (s) managing enterprise in proprietary concern or in which he / she / they individually or jointly has or have a share capital of not less than 51% as partner(s) / share holder(s) / Director(s) of Private Limited Company / Member(s) of Co-operative Society and preferred with interchangeable terms like physically / mentally challenged, handicapped, impaired, disabled and holding Certificate to this effect by Medical Authority / State / District Medical Board / Govt. Hospitals notified by the State Government / Union Territory Administration or authority declared competent by the State Government / Union Territory Administration for the purpose.
- 5.3 Women Entrepreneur: Woman managing enterprise in proprietary concern or in which she / they individually or jointly has or have a share capital of not less than 51% as partner(s) / share holder(s) / Director(s) of Private Limited Company / Member(s) of Co-operative Society or as defined by Ministry of MSME, Government of India.
- 5.4 Technical (Degree / Diploma) Entrepreneur: Person(s) having Degree in Engineering / Technology from accredited Institution / University or equivalent Bachelor Degree approved under Ministry of Human Resources Development (Education) Govt. of India or having Diploma in Engineering / Technology from accredited Institution under State Board of Technical Education / All India Council of Technical Education managing enterprise in proprietary concern or in which he / she / they individually or jointly has or have a share capital of not less than 51% as partner(s) / share holder(s) / Director(s) of Private Limited Company / Member(s) of Co-operative Society.
- 5.5 Industrially backward districts including KBK districts: Kalahandi, Nuapada, Bolangir, Subarnapur, Koraput, Malkangiri, Rayagada, Nabarangapur, Kandhamal, Gajapati & Mayurbhanj.
- 5.6 Recycling of E-waste: The "e" in e-waste stands for "electronics." Generally, e-waste describes discarded electrical or electronic devices. Recycling of E-waste refers to recycling / processing of electrical and electronic equipment, whole or in part discarded as waste by the consumer or bulk consumer as well as rejects from manufacturing, refurbishment and repair processes. Micro / Small Enterprises shall have been granted with authorization for recycling /

processing of E-waste by State Pollution Control Board under the provisions of E-Waste (Management) Rules, 2016 or as amended by the Govt. from time to time.

- 5.7 Recycling of Hospital waste: Refers to recycling / processing of bio medical waste in any form generated during the diagnosis, treatment or immunisation of human beings or animals or research activities pertaining thereto from hospitals, nursing homes, clinics, dispensaries, veterinary institutions, animal houses, pathological laboratories, blood banks, ayush hospitals, clinical establishments, research or educational institutions, health camps, medical or surgical camps, vaccination camps, blood donation camps, first-aid rooms of schools, forensic laboratories and research labs etc. Micro / Small Enterprises shall have been granted with authorization for recycling / processing of such bio-medical waste by State Pollution Control Board under the provisions of Bio-Medical Waste Management Rules, 2016 or as amended by the Govt. from time to time.
- 5.8 Recycling of Construction & demolition waste: Recycling / processing of waste comprising of building materials, debris and rubble resulting from construction, re-modelling, renovation, repair and demolition of any civil structure. Micro / Small Enterprises shall have been granted with authorization for recycling / processing of construction & demolition waste (CDW) by State Pollution Control Board under Construction & Demolition Waste Management Rules, 2016 or as amended by the Govt. from time to time.
- 5.9 Balancing Equipment: Generally means equipment required for debottlenecking the production process.

6. **Eligibility:**

- 6.1 New Micro and Small Enterprises as defined in Annexure I of Appendices of Odisha MSME Development Policy, 2016 where fixed capital investment has commenced on or after 24th November, 2016 i.e. effective date of Odisha MSME Development Policy-2016 and gone into production within three years from the date of starting first fixed capital investment.
- 6.2 Where period of implementation of projects (new Micro and Small Enterprises) exceeds stipulated period of three years due to force majeure (reasons like natural calamities), if such delay shall have been condoned by Empowered Committee.
- 6.3 New Micro and Small Enterprises shall have been acknowledged with Entrepreneurship Identification Number (EIN) and or Production Certificate (PC) from the RIC / DIC.
- 6.4 Enterprises / activities which are declared ineligible as in Annexure II of

- Appendices of Odisha MSME Development Policy, 2016 to avail incentives shall not be entitled to get Capital Investment Subsidy (CIS).
- 6.5 Any portion / part / whole of Plant and Machinery for which subsidy have been availed under any other scheme(s) / source(s) shall not be entitled for CIS under this Policy.
- 6.6 Expansion / Modernization / Diversification of an enterprise shall not be entitled for CIS.
- 6.7 New Micro and Small Enterprises financed by Banks / Financial Institutions shall be required to get their projects appraised and or approved by the Financial Institutions / Bank(s). New Micro and Small Enterprises set up **without** financial assistance from Financial Institutions / Bank(s) will be required to get their projects approved by the RIC / DIC concerned.
- 6.8 The eligible New Micro and Small Enterprises shall furnish a VAT clearance Certificate till notification of GST. Post Notification of GST, it may be suitably revised / changed.
- 6.9 Identified viable sick Micro & Small Enterprises treated at par with new industrial unit shall avail Capital Investment Subsidy after rehabilitation provided such Micro Enterprise / Small Enterprises have not availed Capital Investment Subsidy from any source under any Policy / scheme before or after rehabilitation and subject to fulfilment of relevant conditions as stipulated as above provided CIS is the one of the constituents of rehabilitation package.
7. **Date of Commencement of Production:** The date determined and recorded in the Production Certificate of Micro & Small Enterprises by RIC / DIC.
8. **Time Limit for filing CIS application:**
- 8.1 Eligible Enterprise shall file its claim for Capital Investment Subsidy in the prescribed Application Form complete in all respect, **within one year** from the date of commencement of production / **within one year** from the date of notification of this Operational Guidelines, whichever is later.
- 8.2 Eligible rehabilitated sick Micro & Small Enterprises as in Para-6.9 of this Operational Guidelines shall file its claim for Capital Investment Subsidy in the prescribed Application Form complete in all respect, **within one year** from the date of commencement / resumption of production after rehabilitation / **within one year** from the date of notification of this Operational Guidelines, whichever is later.
- 8.3 CIS Application received after the due date / incomplete in any respect shall be liable to be summarily rejected. There shall be no consideration for

condonation of delay in filing CIS application.

9. Quantum of Assistance applicable:

- 9.1 Eligible new Micro & Small Enterprises set up in general area (not in industrially backward districts including KBK districts) and owned by general category entrepreneur [not by SC, ST, Differently abled, Women & Technical (Degree / Diploma) entrepreneur] shall be entitled for CIS @ 25% of capital investment made in Plant & Machinery subject to an upper limit of Rs.1 crore only.
- 9.2 Eligible new Micro & Small Enterprises set up in industrially backward districts including KBK districts and owned by general category entrepreneur [not by SC, ST, Differently abled, Women & Technical (Degree / Diploma) entrepreneur] shall be entitled for CIS @ 25% + additional 5% of capital investment made in Plant & Machinery subject to an upper limit of Rs.1 crore only.
- 9.3 Eligible new Micro & Small Enterprises set up in general area (not in industrially backward districts including KBK districts) and owned by general category entrepreneur [not by SC, ST, Differently abled, Women & Technical (Degree / Diploma) entrepreneur] and engaged in recycling of E-waste, Hospital waste, Construction & demolition waste shall be entitled for CIS @ 25% of capital investment made in Plant & Machinery subject to an upper limit of Rs.1 crore and additional capital investment subsidy @ 5% of capital investment made in Plant & Machinery subject to an upper limit of Rs.10 lakh over and above the limit of Rs.1 crore.
- 9.4 Eligible new Micro & Small Enterprises set up in industrially backward districts including KBK districts and owned by general category entrepreneur [not by SC, ST, Differently abled, Women & Technical (Degree / Diploma) entrepreneur] and engaged in recycling of E-waste, Hospital waste, Construction & demolition waste shall be entitled for CIS @ 25% + additional 5% of capital investment made in Plant & Machinery subject to an upper limit of Rs.1 crore and additional capital investment subsidy @ 5% of capital investment made in Plant & Machinery subject to an upper limit of Rs.10 lakh over and above the limit of Rs.1 crore.
- 9.5 Eligible new Micro & Small Enterprises set up in general area (not in industrially backward districts including KBK districts) and owned by SC, ST, Differently abled, Women & Technical (Degree / Diploma) entrepreneur shall be entitled for CIS @ 30% of capital investment made in Plant & Machinery subject to an upper limit of Rs.1.25 crore only.
- 9.6 Eligible new Micro & Small Enterprises set up in industrially backward districts including KBK districts and owned by SC, ST, Differently abled, Women &

Technical (Degree / Diploma) entrepreneur shall be entitled for CIS @ 30% + additional 5% of capital investment made in Plant & Machinery subject to an upper limit of Rs.1.25 crore only.

- 9.7 Eligible new Micro & Small Enterprises set up in general area (not in industrially backward districts including KBK districts) and owned by SC, ST, Differently abled, Women & Technical (Degree / Diploma) entrepreneur and engaged in recycling of E-waste, Hospital waste, Construction & demolition waste shall be entitled for CIS @ 30% of capital investment made in Plant & Machinery subject to an upper limit of Rs.1.25 crore and additional capital investment subsidy @ 5% of capital investment made in Plant & Machinery subject to an upper limit of Rs.10 lakh over and above the limit of Rs.1.25 crore.
- 9.8 Eligible new Micro & Small Enterprises set up in industrially backward districts including KBK districts and owned by SC, ST, Differently abled, Women & Technical (Degree / Diploma) entrepreneur and engaged in recycling of E-waste, Hospital waste, Construction & demolition waste shall be entitled for CIS @ 30% + additional 5% of capital investment made in Plant & Machinery subject to an upper limit of Rs.1.25 crore and additional capital investment subsidy @ 5% of capital investment made in Plant & Machinery subject to an upper limit of Rs.10 lakh over and above the limit of Rs.1.25 crore.

10. Constitution and Powers of District Level Committee (DLC) and State Directorate Level Committee (SDLC):

- 10.1 **District Level Committee (DLC):** There shall be a District Level Committee in each RIC / DIC which shall be the competent authority to sanction Capital Investment Subsidy in favour of Micro Enterprises. The District Level Committee shall comprise of following members:

1	General Manager, RIC / DIC	Chairman-cum-Convenor
2	Branch Manager, OSFC - concerned	Member
3	Manager / Asst. Manager, RIC / DIC dealing with the subject	Member
4	Divisional Head of IDCO or His representative	Member
5	Branch Manager(s) of Financing Bank (s) (Bank / FI financed the enterprise whose CIS claim is placed in the Committee)	Member (s)
6	District Agriculture Officer	Member
7	Asst. Commissioner / Deputy Commissioner, Commercial Tax	Special Invitee

- 10.1.1 District Level Committee shall meet once in every two month or as often as necessary. Chairman may invite any other officer / agency concerning the sector for which applications are under consideration.

- 10.1.2 The RIC / DIC concerned shall provide secretarial services to District Level

Committee.

- 10.1.3 The District Level Committee shall go into merits of CIS Application of each Micro Enterprise and decide whether the enterprise qualifies for grant of capital investment subsidy and shall also decide the quantum of CIS admissible to the enterprise.
- 10.1.4 The District Level Committee may accord sanction / rejection of the CIS claim of Micro Enterprises or refer the same to the State Directorate Level Committee with sufficient reasons and recommendations for decision.
- 10.1.5 Proceedings of each DLC meeting shall be recorded by the Convener & approved by the Chairman and shall be circulated to all members.
- 10.1.6 District Level Committee (DLC), as constituted above, shall also be competent authority to accord necessary sanction of Project Report Subsidy, Reimbursement of Audit cost for Water Conservation, Trade Mark Assistance and Reimbursement of Training Expenditure under Odisha MSME Development Policy 2016.
- 10.2 **State Directorate Level Committee (SDLC):** The State Directorate Level Committee with following composition shall be the competent authority to accord sanction / rejection of the CIS claims of Small Enterprises and Micro Enterprises referred by District Level Committee.

1	Director of Industries, Odisha	Chairman
2	Managing Director / representative, OSFC	Member
3	Managing Director / representative, IDCO	Member
4	Managing Director / representative, APICOL	Member
5	Branch Manager (s) of Financing Bank (s) (Bank / FI financed the project whose CIS claim is placed in the Committee)	Member (s)
6	Joint Commissioner, Commercial Tax.	Member
7	General Manager RIC / DIC whose referred Micro Enterprise and or Small Enterprise proposal is placed in the Committee	Member
8	Additional Director of Industries / Joint Director of Industries	Member- Convenor

- 10.2.1 State Directorate Level Committee shall meet once in every two month or as often as necessary. Chairman may invite any other officer / agency concerning the sector for which applications are under consideration.
- 10.2.2 The Directorate of Industries, Odisha shall provide secretarial services to SDLC.
- 10.2.3 The State Directorate Level Committee shall go into merits of CIS Application of each Small Enterprises and Micro Enterprise referred by DLC and decide whether the enterprise qualifies for grant of capital investment subsidy and shall also decide the quantum of CIS admissible to the enterprise.
- 10.2.4 The State Directorate Level Committee may accord sanction / rejection of the

CIS claim of Small Enterprises and Micro Enterprises referred by DLC. In case of any doubt relating to interpretation of any term and or dispute relating to Policy provisions for CIS, the same may be referred to MSME Department for clarification / resolution.

10.2.5 Proceedings of State Directorate Level Committee meeting shall be recorded by the Convener, approved by the Chairman and circulated to all members.

10.2.6 The State Directorate Level Committee shall discharge all other functions as may be necessary and subservient to the sanction and disbursement of incentives prescribed under this Policy and shall also regulate / monitor the implementation of the same.

10.2.7 State Directorate Level Committee (SDLC), as constituted above, shall also be competent authority to accord necessary sanction of Assistance for raising Capital through SME Exchange under Odisha MSME Development Policy 2016.

11. **Determination of First Date of Fixed Capital Investment:**

11.1 The date of acknowledgement of Entrepreneurship Identification Number (EIN) shall be on or after the effective date (dt.24.11.2016) viz. date of Notification of Odisha MSME Development Policy-2016.

11.2 In case of own or ancestral land / land & building, the date of acknowledgement of Entrepreneurship Identification Number (EIN) shall be the date of first investment.

11.3 In case, land has been purchased after acknowledgement of Entrepreneurship Identification Number (EIN) and capital investment has been made on building, plant & machineries and balancing equipment subsequently, actual date of purchase of land as per registered Sale Deed will be taken as date of first investment.

11.4 In case of lease hold of IDCO land / IDCO land & shed / IDCO building, the date of payment of money towards cost of such IDCO land / IDCO land & shed / IDCO building shall be the date of first investment provided plant & machineries and balancing equipment are acquired later on. (Generally, allocation of IDCO land / IDCO land & shed / IDCO building is made after acknowledgement of EIN)

11.5 In case, where plant & machineries and balancing equipment are acquired after acknowledgement of EIN and before making payment of money towards cost of such IDCO land / IDCO land & shed / IDCO building, the first date of purchase of plant & machineries / balancing equipment which happens first shall be the date of first investment.

11.6 In case of private lease-hold land / private lease-hold land & building, where investment for construction of building & civil works / acquisition of plant & machinery and balancing equipment is made after acknowledgement of EIN,

the first date of investment towards construction of building & civil works / acquisition of plant & machinery / balancing equipment which is made first, shall be the date of first investment. [If 1st date of investment is considered against investment made in construction of building and civil works, the expenditure incurred towards purchase of building material should exceed 10% of cost envisaged for building and civil works in Detailed Project Report (DPR), the date of attaining such expenditure shall be treated as date of first investment].

11.7 In case of Enterprise who made new investment after the effective date (dt.24.11.2016) of the Odisha MSME Development Policy-2016 on the existing land towards building and plant & machinery, the date of acknowledgement of Entrepreneurship Identification Number (EIN) shall be the date of first investment.

12. **Assessment of Capital Investment in Plant & Machinery:**

12.1 The value of plant & machinery as installed at enterprise site shall be taken into account.

12.2 The cost new plant & machinery acquired as on the date of commencement of production shall be considered for computation of CIS. The same acquired after the date of commencement of production shall not be considered for the purpose.

12.3 The cost of second-hand plant & machinery acquired shall not be considered for computation of capital investment subsidy.

12.4 In calculating the value of plant & machinery, the following shall be **excluded**, namely:

- i) the cost of equipment such as tools, jigs, dies, moulds and spare parts for maintenance and the cost of consumable stores,
- ii) the cost of installation of plant & machinery,
- iii) the cost of Research & Development equipment and pollution control equipment,
- iv) the cost of generation sets, extra transformer etc installed,
- v) the bank charges and service charges paid,
- vi) the cost involved in procurement or installation of cables, wiring, bus bars, electrical control panels (not those mounted on individual machines), oil, circuit breakers / miniature circuit breakers etc. which are necessarily to be used for providing electric power to the plant and machinery / safety measures,
- vii) the cost of gas producer plants,
- viii) transportation charges (excluding of taxes e.g. Sales Tax, Excise etc.) for indigenous machinery from the place of manufacturing to the site of factory,
- ix) charges paid for technical know-how for erection of plant & machinery,

- x) cost of such storage tanks which store raw materials, finished products only and are not linked with the manufacturing process, and
- xi) cost of fire-fighting equipment,
- xii) cost of cylinders for supply of gas.

In case of imported machinery, the following shall be **included** in calculating the value, namely:

- (i) import duty (excluding miscellaneous expenses as transportation from the port to the site of factory, demurrage paid at the port),
- (ii) the shipping charges,
- (iii) custom clearance charges, and
- (iv) VAT& CST paid thereon.

12.5 The claim for CIS against new plant & machinery shall be supported with Bills & vouchers. Where the new plant & machinery have been procured from the Supplier(s) of outside the State, such Bills & vouchers checked / verified by the Commercial Tax authority only shall be taken in to consideration (as amended on introduction of GST). The view / opinion of Commercial Tax authority may be taken into account, if felt necessary.

12.6 In case, the cost of plant & machinery acquired exceeds the schematic provisions (as in approved DPR), the reasons for the excess investment should be explained by the enterprise and while recommending the proposal, the RIC / DIC shall also furnish justification thereof.

12.7 The cost of land, building, balancing equipment, electrification including, wiring, installation of cables, bus bar, electrical panels (not mounted on individual machines), circuit breakers etc., installation & erection and fixed assets of permanent nature including the amount invested on purchase of goods carriers utilized for transport of raw materials and marketing of the finished products etc. shall not be considered towards computation of Capital Investment Subsidy. But the enterprise shall fulfil the following conditions.

12.7.1 Land / land & building / building / shed shall be in the name of enterprise / Company **represented through** its proprietor / partner(s) / Director (s) / share-holder (s) / Member (s). If ROR of the land is in joint possession and no clear-cut title deed is established in the name of the promoter, the said land may be leased out vide registered lease deed in favour of the enterprise for a minimum period of **ten** years.

12.7.2 A certificate should be furnished by the General Manager, RIC / DIC that the land except lease hold on which the enterprise is established, belongs to the Promoter / firm / Company and that the Promoter / firm / Company is the absolute owner of the land.

- 12.7.3 The building & civil works shall be accompanied with Plan layout, wherever applicable.
- 12.7.4 Registered Office of the enterprise / firm shall be in Odisha. Enterprises / firms / company whose Registered Office were outside the State before starting an enterprise in Odisha, in such cases the Enterprise / firm may be allowed to retain their Registered Office outside the State subject to following conditions.
- 12.7.4.1 Enterprises / firms / company should give an undertaking that they would continue to retain their purchase office within the State of Odisha and would give consideration and concession facilities to local units on merit in their purchase.
- 12.7.4.2 Undertake to give due consideration to local persons for employment.
- 12.7.4.3 Enterprises / firms / company should agree that they would be subject to the jurisdiction of competent Courts within Odisha in the matter of recovery and labour related matters.

13. **Procedure:**

- 13.1 Micro & Small Enterprise considered itself eligible shall submit application in the form prescribed at **Annexure – A** along with copies of relevant documents as mentioned in the Checklist at **Annexure – B** (application form and checklist in duplicate in case of Small Enterprise) to the concerned General Manager, RIC / DIC irrespective of sources of finance within the prescribed time limit. Copies of the documents as indicated in the checklist shall be self-certified in each page by Proprietor / Managing Partner / Managing Director / Authorized Signatory. The documents / relevant data which are already uploaded / furnished to RIC / DIC earlier shall not be uploaded / furnished once again unless there is any change including change in validity of the same. In case of online filing of CIS Application, there is no need to furnish the hard copy of documents unless asked for.
- 13.2 On receipt of complete application with relevant documents / data, the acknowledgement as prescribed at **Annexure – C** shall be dispatched to the applicant duly signed by the authorized officer / General Manager, RIC / DIC on the day of receipt. The General Manager RIC / DIC may authorize any of his sub-ordinate officers for the purpose. In case of online filing, the same shall be generated automatically.
- 13.3 RIC / DIC will check the veracity facts / data of CIS application & documents, determine the 1st date of fixed capital investment, eligibility & applicability of policy provisions in each case within **next 7 days**.
- 13.4 RIC / DIC with prior intimation shall take up joint inspection of the enterprise with financier in case of FI / Bank financed cases, if felt necessary, for

assessment of the value of Plant & Machinery and record certificates in the format prescribed at **Annexure – D** within next **10 days**.

- 13.4.1 The cost approved by Financing Institution / Bank may be taken in to account.
- 13.4.2 The valuation of Plant & Machinery shall be supported with certificate as prescribed in Annexure-D. The General Manager (Assessing Officer) may take assistance of Financing Institution / Bank / technical officer(s) of RIC / DIC, Directorate of Industries, Odisha, OSPCB, APICOL, or obtain technical opinion of line Department(s), if required for the purpose of valuation of Plant & Machinery.
- 13.5 All the documents / bills & vouchers etc. submitted by the enterprise shall be verified with the original by an officer of the RIC / DIC not below the rank of Asst. Manager who will record his verification on the body of the copy of the document(s).
- 13.6 Agenda Note prescribed at **Annexure – E** may be prepared & duly signed by officers and staff of RIC / DIC / Directorate of Industries as applicable.
- 13.7 After assessment of value of Plant & machinery, RIC /DIC shall:
 - 13.7.1 Recommend the CIS application with copies of relevant documents of eligible Small Enterprises along with **Annexure – C, D & E** duly fill-in and signed to the Directorate of Industries within **next 7 days**.
 - 13.7.2 CIS application of eligible Micro Enterprises shall be placed in District Level Committee.
 - 13.7.3 CIS application of eligible Micro Enterprises referred by District Level Committee shall also be recommended to Directorate of Industries within **next 7 days** of convening of DLC along with Minutes of DLC, **Annexure – C, D & E** duly fill-in and signed and copies of relevant documents.
- 13.8 Directorate of Industries, Odisha on receipt of CIS application of Small Enterprises and referred cases of Micro Enterprises shall scrutinize the same and make necessary correction as deemed fit within **next 15 days** and place before the State Directorate Level Committee (SDLC).
14. **SANCTION:**
 - 14.1 Agenda Note on fulfilment of eligibility criteria, time limit, Policy applicability, eligible amount of subsidy vis-à-vis investment in Plant & Machinery, excess investment with justification, working status, specific suggestion, if any, shall be placed by the Convenor in DLC / SDLC for consideration which shall be held once in every two months or as often as necessary. Model Agenda Note prescribed at **Annexure – E** may be followed for the purpose.
 - 14.2 The DLC / SDLC shall consider proposals for sanction of CIS in favour of the eligible Micro Enterprises / Small Enterprises on merit.

- 14.3 After sanction of CIS by the DLC / SDLC, the RIC / DIC / Directorate of Industries shall communicate the sanction in the format prescribed at **Annexure – F** to the concerned Micro / Small Enterprises within **7 days** of holding DLC / SDLC.
- 14.4 In case of rejection / any other decision taken by the DLC / SDLC, the same will be communicated by RIC / DIC / Directorate of Industries to the concerned enterprises in the format prescribed at **Annexure – G** within **10 days** of holding DLC / SDLC.
15. **DISBURSEMENT:**
- 15.1 Micro / Small Enterprises on receipt of sanction letter shall execute **Agreement** in the format prescribed at **Annexure – H**, furnish the advance stamped money receipt, valid copies of consent to operate of OSPCB, VAT clearances Certificate and copies of any other document (s) asked for by DLC / SDLC within **next 15 days** to RIC / DIC who shall verify the working status of the enterprise and disburse the CIS.
- 15.2 The disbursement shall be made to the Term loan Account of the Enterprise. In case of self-financed or where the term loan has been recovered, the CIS may be disbursed to Bank Account of Enterprise. Disbursement shall be made within **next 7 days** subject to availability of funds under the scheme.
- 15.3 Disbursement of CIS shall not be made, if the unit is found closed. It may be deferred and effected on satisfactory resumption of production.
- 15.4 The details of disbursement / utilization of funds shall be communicated to Directorate of Industries, Odisha.
16. **Maintenance of Records:** The receipt, forwarding, sanction, rejection, disbursement of CIS shall be monitored both electronically & manually by RIC / DIC / Directorate of Industries.
17. **Recovery:** Capital Investment Subsidy received by enterprise shall be recoverable under the provision of OPDR Act, 1962 as arrears of land revenue on violation of Policy provisions, terms & conditions of Operational Guidelines & Agreement.
18. **Miscellaneous:-**
- 18.1 RIC / DIC / Bank / FI may inspect the enterprise once a year individually / jointly.

- 18.2 Administration of CIS in the contingencies like shifting of enterprise within the State, change of ownership etc. within the period of this incentive shall be governed as per the terms & conditions stipulated in the **Agreement**.
- 18.3 Enterprise shall furnish information / financial statements to RIC / DIC when asked for.
- 18.4 Any change in facts or circumstances affecting the eligibility of the enterprise shall be intimated immediately to the RIC / DIC / DI, Odisha by the enterprise.
19. Time limit prescribed in this Guideline is of working days only.
20. This has been concurred by Finance Department vide their UOR No. 270/PSF dated 21-01-2017.

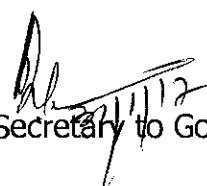
By Order of Governor


(L.N. Gupta) 31.1.17

Principal Secretary to Government

Memo No. 615 /MSME Date: 31-01-2017

Copy forwarded to All Departments / All Heads of Departments / All Revenue Divisional Commissioners / All Collectors / All RICs / All DICs / Technical Director, NIC (managing MSME portal) / All sections of MSME Department / Guard File (5 copies) for information and necessary action.


Additional Secretary to Government

**APPLICATION FOR SANCTION AND DISBURSEMENT OF CAPITAL INVESTMENT SUBSIDY
UNDER ODISHA MSME DEVELOPMENT POLICY-2016**

Application received after the due date / incomplete in any respect shall be liable for rejection

(Strike out whichever is not applicable)

(See Para 13.1 of Operational Guidelines)

From

M/s. _____

At _____

PO _____ Sub-Division _____

Dist. _____

(Location of the Industrial Unit)

To

The General Manager,
Regional Industries Centre / District Industries Centre, _____

Sub: Sanction and disbursement of Capital Investment Subsidy @ 25 % / 30% of capital investment made in Plant & Machinery and additional CIS @ 5 % of capital investment made in Plant & Machinery under Odisha MSME Development Policy-2016.

Sir,

In accordance with the provisions laid down in Odisha MSME Development Policy-2016 and its Guidelines, the Application for sanction and disbursement of Capital Investment Subsidy is submitted with following particulars.

1	Category of the Enterprise (New Micro / Small Enterprises)	:	
2	Sick unit treated at par with new Micro / Small Enterprise	:	
3	Address of Registered office	:	
4	Location of enterprise is in industrially backward districts including KBK districts (Mention the Name of District)	:	
5	Type of organization (Proprietorship / Partnership /LLP/ Co-operative / Private Limited)	:	
6	Name of Proprietor / Managing Partner / Managing Director / Authorized Signatory	:	
7	SC / ST / Women / Differently abled Enterprise	:	
8	Promoter (s) are Technical (Degree / Diploma holder)	:	
9	Percentage of share in the enterprise in case of SC / ST / Women / Differently abled / Technical (Degree / Diploma holder) Promoter(s)	:	
10	EIN No and date	:	
11	Date of first fixed capital investment with its mode {EIN / investment in land / building / plant & machinery and balancing equipment (specify the investment & mode of investment)}	:	
12	Udyog Aadhaar Memorandum No & date	:	
13	Production Certificate No. and Date	:	
14	Date of commencement of production	:	
15	Whether Production has commenced within three years from the 1 st date of FCI. If no, whether project implementation delay has been condoned by Empowered Committee.	:	
16	Items of manufacture / activity with installed capacity	:	Item(s) Quantity Value
			(I)
			(ii)
17	Whether engaged in recycling of E-waste / Hospital waste / Construction & demolition waste	:	
18	Name of the Financer (Bank Branch details) / Self-Financed	:	

19	Amount of Term loan sanctioned with date	:	
20	Amount of Term loan availed	:	
21	Term Loan A/c No, IFS Code, e-mail Id (Mention Bank A/c of Enterprise in case Term loan is recovered or Self-financed)	:	
22	Investment in Plant & Machinery (Furnish details in the format as in Annexure-D in a separate Sheet)	:	
23	Validity of Consent to operate / Authorisation granted by State Pollution Control Board, Odisha	:	
24	Validity of VAT Clearance (Post Notification of GST, it may be suitably revised / changed)	:	
25	Employment created	:	
26	Amount of CIS claimed (Rs)	:	
27	Have applied for /availed CIS from any source, if so furnish the details.	:	

I, Sri _____ s/o _____ at present _____ (designation) of M/S _____ (name of the enterprise) located in Mouza _____, Khata No _____, Plot No _____ certify that the information furnished as above is true and correct to the best of my knowledge and belief.

I hereby undertake to abide by the terms and conditions prescribed under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines.

I hereby certify that this enterprise has applied / not applied / availed / not availed the incentives claimed here under any other scheme of the State Government or the Central Government or any Financial Institution(s).

I hereby undertake to repay / surrender forthwith the Capital Investment Subsidy amount or any part thereof availed with penal interest as decided by the authority-

- (i) If capital investment subsidy amount disbursed in excess of the amount actually admissible for whatsoever reason
- (ii) If the information stated above is found to be false / incorrect / misleading or misrepresented and there has been suppression of facts / materials
- (iii) If the enterprise goes out of production for a period exceeding six months at a time for any reasons other than labour troubles, want of electric power or for the reason which is beyond the control of entrepreneur / management during the period of incentives.

I hereby undertake to furnish information, reports, periodical statements etc to the RIC / DIC / D I, Odisha as and when asked for.

Copies of relevant documents in support of information / facts furnished above are **enclosed** here with.

Enclo.-

- 1.
- 2.
- 3.

Date:

Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory in full and on behalf of

Place:

M/s. _____

CHECK LIST**See Para 13.1 of Operational Guidelines**

Copies of documents to be attached with CIS application shall be self- certified in each page by
Proprietor / Managing Partner / Managing Director / Authorized Signatory

(Strike out whichever is not applicable)

There is no need to submit / upload the documents which have already been furnished /
uploaded unless there is any change or change in validity.

1	Production Certificate and Entrepreneurs Identification Number.
2	Power of Attorney / Board Resolution / Society Resolution, as applicable, while signing as Partner / Managing Director / Authorized person.
3	Certificate from competent authority as SC, ST, Differently abled, and Technical (Degree / Diploma holding)
4	Certificate of registration under Indian Partnership Act, 1932 / Limited Liability Partnership Act 2009 / Societies Registration Act, 1860 / Certificate of incorporation (Memorandum of association & Article of Association) under Company Act, 1956 & 2013 indicating share of SC, ST, PH, Women and Technical (Degree / Diploma holding) Entrepreneurs (not less than 51%)
5	Approved DPR / Project Profile / Project at a Glance with Process flow diagram
6	Document in support of date of first investment in fixed capital i.e. investment in land / building / plant & machinery and balancing equipment
7	Sanction order(s) of the Term Loan, Status of Term Loan A/c, Bank Account of Enterprise where Term loan is recovered or Self-Finance case, IFS Code of Bank concerned
8	Copies of bills, vouchers of Plant & Machinery signed by the Entrepreneur / Authorized person
9	Copies of bills, vouchers of investment in building construction in consonance with Para 11.6
10	Justification, if the investment in Plant & Machinery exceeds the Schematic provision
11	Consent to operate / Authorization issued by State Pollution Control Board, Odisha
12	VAT clearance Certificate (may be changed accordingly on introduction of GST)
13	Condonation of implementation delay due to force majeure (reasons like natural calamities) by Empowered Committee, if any.
14	Sick unit treated at par with new Micro / Small Enterprise & Copy of Rehabilitation package decided, if any.
15	Declaration by firms whose Registered Office is outside the State.
16	Document in support of land / land & building / building / shed over which the enterprise is established is in the name of enterprise / Company represented through its proprietor / partner(s) / Director(s) / share-holder(s) / Member(s).
17	Registered lease deed in favour of the enterprise for a minimum period of five years if the land / land & building is leasehold.
18	Approval of the Plan & layout of building (wherever applicable).
19	Self-Certification on non-availing of Subsidy earlier on this project.
20	Permission / clearance from Local Body

Acknowledgement

(See Para - 13.2 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)
(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for Capital Investment Subsidy under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s. _____ At/PO _____ Dist. _____ on dt. _____ through post / person.

List of documents

- 1.
- 2.
- 3.

Signature of authorized officer / General Manager, RIC / DIC
with seal & date _____

- ❖ In case of online filing of CIS application, the acknowledgement shall be generated electronically on receipt of complete application.

Annexure- C

(TO BE DISPATCHED TO THE APPLICANT)

Acknowledgement

(See Para - 13.2 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)
(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for Capital Investment Subsidy under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s. _____ At/PO _____ Dist. _____ on dt. _____ through post / person.

List of documents

- 1.
- 2.
- 3.

Signature of authorized officer / General Manager, RIC / DIC
with seal & date _____

- ❖ In case of online filing of CIS application, the acknowledgement shall be generated electronically on receipt of complete application.

VALUATION OF PLANT & MACHINERY
(See Para13.4 of Operational Guidelines)
 (Strike out whichever is not applicable)

Name & Address of the Enterprise: M/s _____

Sl	Name with detailed specifications	Name & address of supplier	Date of Supply	Bill No. & Date	Cost (In Rs)	Duty / Tax/ Ins. etc.	Total cost of the assets (6 & 7) (In Rs)	Remarks
1	2	3	4	5	6	7	8	9
1								
2								
3								
							Total	

1. Certified that the captioned unit is a new Micro / Small Enterprise / Sick unit treated as new Micro / Small Enterprise and the Plant & Machinery as above have been verified during my / our inspection on date _____ and are new, the cost has been duly paid for and found to be working in the factory premises of the enterprise and actually required in process of operation.
2. The Plant & Machinery acquired after the date of commencement of production and cost of second-hand plant & machinery acquired have not been considered here for CIS purpose.
3. In calculating the value of plant & machinery, provisions laid down at Para-12 of Operational Guidelines have been followed.
4. The cost of Plant & Machinery acquired does not exceeds the schematic provisions (as in approved DPR) / exceeds the schematic provisions for the reasons _____ (to be mentioned by RIC /DIC)
5. Land / land & building / building / shed over which the enterprise is established is in the name of enterprise / Company represented through its Proprietor / Partner(s) / Director (s) / Share-holder (s) / Member (s).
6. The Land / land & building is leasehold vide registered lease deed in favour of the enterprise for a minimum period of **ten** years.
7. The building & civil works has been approved by competent authority / Urban Local Body.
8. Bills & vouchers etc. submitted by the enterprise has been verified with the original by an officer of the RIC / DIC Sri _____ (not below the rank of Asst. Manager) and has recorded his verification on the body of the document(s).
9. 1st Fixed Capital Investment has been made on _____ (date) by way of acquisition of _____ (mode of investment)
10. The enterprise is eligible to get Capital Investment Subsidy @ 25 % / 30% of capital investment made in Plant & Machinery and additional CIS @ 5 % of capital investment made in Plant & Machinery under Odisha MSME Development Policy-2016 and its Operational Guidelines and it amounts to Rs. _____ (in words also) Rupees _____
11. It is a working enterprise and the status of Term Loan A/c is _____
12. Remarks (If any)

Name & signature of the Proprietor / Managing Partner / Managing Director / Director / Authorized Signatory of the Enterprise present during valuation with date & seal

Name & signature of Branch Manager of Bank / Financing Institution with date & seal (Not required in Self-financed case)

Signature of General Manager, RIC / DIC with date & seal

Part-B

Policy Applicability, Eligibility & Recommendation to DLC / SDLC

Sl	Items	Details	
1	Date of 1 st Fixed Capital Investment and mode of investment (Para-11 of OG)		
2	Whether the unit has made 1 st investment in Fixed capital on or after 24.11.2016 (Para 6.1 of OG)		
3	Whether Production has commenced within three years from 1 st Date of Fixed Capital Investment (Para 6.1 of OG)		
4	If Production has not commenced within three years from the 1 st date of Fixed Capital Investment, whether project implementation delay has been condoned by Empowered Committee (Para 6.2 of OG)		
5	Whether EIN and Production Certificate have been acknowledged / issued after 24.11.2016 (Para 6.3 of OG)		
6	Whether item(s) of production / activities declared ineligible under the provisions of this Policy (Para 6.4 of OG)		
7	Whether any portion / part / whole of Plant & Machinery for which subsidy is claimed here have availed subsidy under any other scheme(s) / sources (Para 6.5 of OG)		
8	Whether the present claim of CIS is for new Micro / Small Enterprise and not for the expansion / modernisation / diversification (Para 6.6 of OG)		
9	Whether DPR has been approved by Bank / FI / RIC / DIC (Para 6.7 of OG)		
10	Validity of VAT Clearance Certificate (Para 6.8 of OG)		
11	Whether Sick Micro / Small Enterprises treated at par with new Micro / Small Enterprises have not availed CIS from any source under any Policy / scheme before or after rehabilitation and CIS is the one of the constituents of rehabilitation package. (Para 6.9 of OG)		
12	Applicability of Odisha MSME Development Policy-2016		
13	In time submission of application (Whether CIS Application is received within prescribed time limit of One year)		
14	Capital investment made in Plant & Machinery (in Rs.)	Schematic Provision	Actual Expenditure Incurred
15	Justification if actual expenditure incurred in Plant & Machinery exceeds Schematic Provision		
16	Validity of VAT Clearance Certificate		
17	Validity of Consent to Operate / Authorisation issued by OSPCCB		
18	Rate of Capital Investment Subsidy applicable		
19	Eligible amount of Capital Investment Subsidy		
20	Present working status		
21	Status of Term Loan Account		

Observations: _____

Recommendation:- The captioned enterprise is eligible to get Capital Investment Subsidy @ 25 % / 30% of capital investment made in Plant & Machinery and additional CIS @ 5 % of capital investment made in Plant & Machinery under Odisha MSME Development Policy-2016 its Guidelines and it amounts to Rs. _____ (in words also) Rupees _____ and _____ (Add condition if any)

Prepared by

Checked by

Approved by

Part- C

Documents Acknowledged with CIS Application of M/s. _____

Sl.	Documents	Page reference & remarks, if any
1	CIS Application in Annexure A format duly Signed by the Applicant	
2	Entrepreneurs Identification Number & Date	
3	Udyog Aadhaar Memorandum Number & Date	
4	Production Certificate Number & Date	
5	Power of attorney / Board resolution / Society resolution as applicable while signing as Partner / Managing Director / Authorized Person.	
6	Certificate from Competent Authority as SC, ST, Differently abled and Technical (Degree / Diploma holder)	
7	Documents in support of having share capital of not less than 51% as SC, ST, Woman, and Technical (Degree/Diploma holding) Entrepreneurs individually or jointly.	
8	Certificate of registration under Indian Partnership Act, 1932 / Societies registration Act 1860 / Certificate of incorporation (Memorandum of Association and articles of Association) under Company Act, 1956 & 2013	
9	Self-certificate on non-availing of Subsidy earlier on this project	
10	Approved copy of DPR/ Project Profile / Project at a Glance and Copy of Process Flow Diagram	
11	Document in support of date of first investment in fixed capital	
12	Sanction order(s) of the Term Loan	
13	Status of Term loan Account issued by Financial Institution(s)	
14	Term Loan A/c No , Bank Branch details with IFS code,	
15	Land document- Title Deed / Sale Deed	
16	Copy of Registered Lease Deed in support of land/ land & building / building for a period of not less than 10 years.	
17	Approved plan for civil construction.	
18	Copies of Bills, Vouchers etc. signed by the entrepreneur/ Authorized person in support of Plant & machinery and also bearing the signature of Officer of RIC /DIC not below the rank of Asst. Manager certifying the verification of Bills & vouchers with Original	
19	Whether Bills, Vouchers of outside the State Suppliers have bear check Seal of Commercial Tax Authority	
20	Consent to operate / Authorization issued by Odisha State Pollution Control Board	
21	VAT Clearance certificate	
22	Clearance from Local Body	
23	Valuation of Plant & Machinery in Annexure D format duly signed.	
24	E-mail Id & Cell Phone No of Enterprise	
25	Any other Document (s) submitted by Entrepreneur to justify his claim	

Prepared by

Checked by

Approved by

SANCTION LETTER
(See Para 14.3 of Operational Guidelines)
OFFICE OF THE GENERAL MANAGER, RIC / DIC _____ /
OFFICE OF THE DIRECTOR OF INDUSTRIES, ODISHA, CUTTACK.

No. _____ Dt _____

(Strike out whichever is not applicable)

District Level Committee / State Directorate Level Committee in its _____ meeting held on _____ have sanctioned Capital Investment Subsidy of Rs. _____ (Rupees _____) only in favour of M/s _____ @ 25 % / 30% of capital investment made in Plant & Machinery and additional CIS @ 5 % of capital investment made in Plant & Machinery under Odisha MSME Development Policy-2016 and its Operational Guidelines.

The said sanction of subsidy is subject to the conditions communicated as hereunder in addition to the conditions prescribed under the scheme.

From the evidence furnished by the entrepreneur from time to time for the purpose of sanction of CIS, the capital investment made in Plant & Machinery of the enterprise already set up has been estimated as Rs. _____ (Rupees _____)

Based on the above, the amount of CIS @ 25 % / 30% of capital investment made in Plant & Machinery and additional CIS @ 5 % of capital investment made in Plant & Machinery to which you are entitled to is determined at Rs. _____ (Rupees _____).

The above sanctioned can be disbursed in full subject to availability of funds.

General Manager, RIC / DIC _____ /
Director of Industries, Odisha.

Memo No _____ Date _____

Copy forwarded to M/s. _____, At _____, PO _____ Sub-Division _____ Dist. _____ (Location of the Enterprise / Registered Office Address) for information.

He is requested to furnish-

1. An attested copy of the sanction letter of the bank from which loan has been obtained for financing the project,
2. Advance stamped receipt in triplicate for each instalment of disbursement as per the proforma given below on the letterhead of the enterprise.
3. You shall also have to execute an agreement and the agreement shall be on stamp paper of Rs. _____ which shall be kept by us / Inspector General Registration.
4. The agreement should be executed by the proprietor, in the case of proprietary concern,

OFFICE OF THE GENERAL MANAGER, RIC / DIC _____ /
OFFICE OF THE DIRECTOR OF INDUSTRIES, ODISHA, CUTTACK.

(See Para 14.4 of Operational Guidelines)

Letter No. _____ / Date _____

(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

At _____

PO _____

Sub-Division _____

Dist. _____

(Location of the Enterprise / Registered Office Address)

Sir,

This is to inform that your application for sanction of Capital Investment Subsidy @ 25 % / 30% of capital investment made in Plant & Machinery and additional CIS @ 5 % of capital investment made in Plant & Machinery under Odisha MSME Development Policy-2016 and its Operational Guidelines filed on dt. _____ is rejected due to following reasons.

(Specify the reasons)

- 1.
- 2.
- 3.
- 4.

Signature of General Manager, RIC / DIC _____ /
Director of Industries, Odisha
with seal & date _____.

Memo Dt

Copy forwarded to Director of Industries, Odisha, Cuttack / Branch Manager (concerned Bank Branch) / General Manager, RIC / DIC----- for information

Signature of General Manager, RIC / DIC _____ /
Director of Industries, Odisha
with seal & date _____.

AGREEMENT
(See Para 15.1 of Operational Guidelines)
 (Strike out whichever is not applicable)

This INDENTURE made in this _____ day of _____, 20---- between a Private / Public Limited company incorporated under Companies Act, 1956 & 2013, a Co-operative Society registered under the Odisha Cooperative Society Act, 1962 and having its registered office at _____

OR

Carrying on business as a sole proprietor / partners in the firm with the name and style of M/s. _____ having its office at _____ hereinafter called the entrepreneur(s) (which expression shall unless it be repugnant to the context or meaning there of be deemed to include its successor or successors and assigns / the partners for the time being of the said firm and their assigns / his / her / their, executors, administrators and assigns) of the first part,

And

The Regional Industries Centre / District Industries Centre _____ operating in the District _____ under the administrative control of MSME Department, Government of Odisha, representing the Governor of Odisha, exercising the executive powers of the Government of Odisha (here in after referred to as "the Governor" which expression shall unless it be repugnant to the context or meaning the thereof be deemed to include his successor or successors and assigns) of second part, as:

- A. The Government of Odisha have framed a scheme as Capital Investment Subsidy under the provisions of Odisha MSME Development Policy-2016 for the enterprises with a view to promote growth of MSME standing therein that Government of Odisha will grant a subsidy to the parties who set up new Micro / Small Enterprises in the districts of the State if the said parties satisfy the terms and conditions laid down under the Policy and its Operational Guidelines which shall be deemed to be a part of this agreement.
- B. The Entrepreneur(s) have set up an Micro / Small Enterprise at _____ on Plot No. ___ Khata No. ___ measurement of area _____, Mouza _____ District _____ standing in the name of _____ / lease-hold and have satisfied other conditions of the capital investment subsidy scheme and have, therefore, become entitled to the benefits under the said scheme.
- C. The entrepreneur(s) by their application dated the day of ___20___ applied to the Government for the grant of subsidy for (Rupees ___ @ 25 % / 30% of capital investment made in Plant & Machinery and additional CIS @ 5 % of capital investment made in Plant & Machinery under Odisha MSME Development Policy-2016 and its Operational Guidelines amounting to Rs. _____ (Rupees _____) and whereas:
 - i) Relying on the said application and subsequent representations made by the entrepreneurs, the Government have sanctioned subsidy @ 25 % / 30% of capital

investment made in Plant & Machinery and additional CIS @ 5 % of capital investment made in Plant & Machinery under Odisha MSME Development Policy-2016 and its Operational Guidelines for Rs. _____ and the Directorate of Industries, Odisha has agreed to pay the same on behalf of the Government to the entrepreneur on executing the necessary documents on the Plant & Machinery acquired to the tune of Rs. _____

ii) Now this INDENTURE witnesses and it is hereby agreed by and between the parties hereto as under:

1. In consideration of the Government agreeing to give to the entrepreneurs under the said scheme, in such instalments the Government in its sole discretion think fit, an aggregate amount of subsidy of _____ and the entrepreneurs do and each of them do hereby covenant with the Government as under.
2. In the event of the District Level Committee / State Directorate Level Committee ultimately deciding for any reasons whatsoever that the entrepreneurs are entitled to a lesser amount of subsidy the excess amount of the capital investment subsidy shall be repaid by the entrepreneurs to the RIC /DIC as agent of the Government along with interest thereon @ 12 ½% per annum or such other higher rate as the Government might decide from time to time from the date of payment of the said amount of Rs. _____ or any part thereof paid under this agreement till the repayment.
3. The entrepreneurs shall duly observe and perform the covenants and the conditions to be observed and performed by him / them under the said scheme.
4. The entrepreneurs shall not without prior approval of the District Level Committee / State Directorate Level Committee change the location of the whole or any part of the enterprise or affect any substantial change in the said project within a period of 5 years from the commencement of production of the Enterprise.
5. The entrepreneurs shall promptly furnish all the information / statements / documents asked for to the RIC / DIC _____ / Director of Industries / Government by such dates as may be prescribed by the Government from time to time.
6. The said sum of Rs. _____ or such part thereof as may have been till then paid by the Government to the entrepreneurs shall become forthwith repayable by the entrepreneurs to the Government in each and every of the following events namely :-
 - a) If the enterprise go out of production within 5 years from the date of commencement of production.
 - b) If the entrepreneurs shift the registered office of the unit outside the State without taking prior permission of the State Government.
 - c) If any information furnished by the entrepreneur(s) in his / her / their application for the subsidy or otherwise particularly regarding location, capital investment and production, capacity of the said unit prior to the sanctioning of the sum of Rs. _____ as the subsidy is found to be incorrect or false or misleading and there has been suppression of any material / facts.

- d) If a distress of execution shall be levied upon any property of the entrepreneurs or any part of the said factory or a receiver thereof is appointed.
 - e) If the entrepreneurs shall commit a breach of any one of the covenants or provisions herein contained and on his / her / their part to be observed and performed.
 - f) If the entrepreneurs close the said enterprise for a period exceeding 6 months at a time for reasons other than the labour troubles, want of electric power or raw material or shall cease to carry on business for any reason whatsoever within 5 years from the date of commencement of production.
 - g) If the entrepreneurs or any of them file a petition for being adjudicated as insolvent or are / is adjudicated as insolvent.
 - h) If any petition for winding up the entrepreneurs company / enterprise is presenting to any court or the entrepreneurs company passes any resolution for being wound up.
 - i) If the entrepreneurs fail or neglect to forthwith execute such further documents as may be required by the Government or to duly comply with any direction given to it by the Government or the RIC / DIC. In each one of the aforesaid contingencies the entrepreneurs are to repay the whole amount mentioned above with interest thereon @ 12 ½% per annum or such higher rate as the Government might decide from time to time from the date of disbursement of the subsidy till the repayment.
7. Whenever any sum due and payable by the entrepreneur under these presents shall be in arrears the same shall be deemed to be public demand and may without prejudice to any other right and the remedies of the Government be recovered from the entrepreneurs as a public demand under the Odisha Public Demand Recovery Act, 1962.
8. The entrepreneurs shall permit any person or persons authorized by the Government in that behalf at any time and from time to time during the usual time or business to inspect and examine any part of the said enterprise and shall render to him / them such assistance as may be required for the Government and furnish to such person or person as aforesaid all such information relating to the said enterprise as may be required by such person or persons.
9. In the event of any dispute or difference arising between the parties hereto in respect of or in relation to this agreement or any provision herein contained either during the subsistence of this agreement or thereafter the same shall be referred to the sole arbitration or a suitable person acceptable to the entrepreneurs as well as the Government and / or the RIC / DIC _____ or any other person nominated by Govt. and his decision thereof shall be final and binding on the parties. Such arbitration shall be under the provision of the Arbitration Act, 1940 and shall be held in **Cuttack**.
10. The entrepreneurs agree that in respect of any matters arising under this agreement, the courts at Cuttack along with have exclusive jurisdiction and that the entrepreneurs

submit to the same will not object that the courts at Cuttack have no jurisdiction for any reason whatsoever.

11. In the event of any action arising under any of the clause herein above the entrepreneurs agree to pay to the RIC / DIC _____ as agent of the Government legal charges and such other costs as the RIC / DIC _____ may be required to incur in connection with the aforesaid action.
12. The entrepreneurs agree to bear and pay all the costs charged and the expenses incidental to the preparation and the execution of the agreement.

In Witness whereof of parties hereto have affixed their common seal of this writing the day and year first herein above written.

The common seal of:

Is there into affixed pursuant to the resolution of the Board of Directors of the company passed on the day of _____ in the presence of who has / have put his / her / their signatures.

In token of his / their presence in the presence of _____

In the witness thereof the entrepreneurs have put their (Respective hand here today _____ year herein above written)

Signed and delivered by the _____

With name in the presence of _____

Witness

- 1.
- 2.

Signature of Officer

Acting in the premises for on behalf of the Government of Odisha in the presence of Witness

- 1.
- 2.

Signature of _____

Government of Odisha
MSME Department

NOTIFICATION

No. II-MSME-2/2017 616 /MSME, Bhubaneswar, the 31st January, 2017

Sub: Operational Guidelines for Sanction and Disbursement of Seed Capital Assistance under Odisha MSME Development Policy-2016 (See Para 6.2 of Odisha MSME Development Policy-2016)

1. **Short Title:** "Operational Guidelines for Seed Capital Assistance" under Odisha MSME Development Policy-2016.
2. **Extent:** It shall extend to the whole of the State of Odisha.
3. **Commencement:** It shall come into force with effect from 24th November, 2016 i.e. date of Notification of Odisha MSME Development Policy-2016.
4. **Policy Provisions: Seed Capital Assistance**
"The 1st generation Women, SC, ST, Differently abled entrepreneurs setting up new Micro / Small Enterprises in Industrially Backward Districts including KBK districts shall be entitled to a onetime grant equivalent to 10% of Term Loan disbursed by the financing Bank / institution subject to a maximum of Rs.15 lakh."
5. **Terms and Expressions:** Terms and expressions used in this operational guideline shall have the same meaning as in Odisha MSME Development Policy-2016.
 - 5.1 **Seed Capital:** It refers to the initial capital needed to get the enterprise started. Seed capital assistance is meant to reduce the burden of promoter's contribution / to meet a part of his margin money required for availing institutional finance.
 - 5.2 **1st Generation Entrepreneur:** are those entrepreneurs who do not possess any entrepreneurial background i.e. they do not inherit the enterprise passing from one generation to another. They start an enterprise by means of their own entrepreneurial ability and skills.
 - 5.3 **Women, SC, ST, Differently abled entrepreneurs:** Women SC / ST / Differently abled persons whose stake in equity participation / shareholding shall be 51% or more individually or jointly in the enterprise. (For details, expressions made

in Operational Guidelines for Capital Investment Subsidy under Odisha MSME Development Policy-2016 may be referred)

- 5.4 Industrially Backward Districts including KBK districts: Kalahandi, Nuapada, Bolangir, Subarnapur, Koraput, Malkangiri, Rayagada, Nabarangapur, Kandhamal, Gajapati & Mayurbhanj.

6. **Eligibility:**

- 6.1 New Micro / Small Enterprises as defined in MSMED Act-2006 where fixed capital investment has commenced on or after 24th November, 2016 i.e. effective date of Odisha MSME Development Policy-2016 and extended with term loan by Bank / Financial Institution for setting up new Micro / Small Enterprises in Industrially Backward Districts including KBK districts .
- 6.2 The entrepreneur(s) shall belong to 1st generation Women, SC, ST, Differently abled entrepreneur's category.
- 6.3 New Micro / Small Enterprises shall have been acknowledged with Entrepreneurship Identification Number (EIN) from the RIC / DIC.
- 6.4 Enterprises / activities which are declared ineligible as in Annexure II of Appendices of Odisha MSME Development Policy, 2016 to avail incentives shall not be entitled to get Seed Capital Assistance.
- 6.5 Seed Capital Assistance / Margin Money Subsidy / Margin Money Loan / Soft Loan / similar assistance known in any other form / name on the same project has been availed under any other scheme(s) / source(s), it shall not be entitled for Seed Capital Assistance under this Policy.
- 6.6 Project selected under Prime Minister's Employment Generation Programme (PMEGP) or any other similar programme of GoI / State Govt. where Margin Money (Subsidy) is a component of the Scheme **shall not** be eligible for Seed Capital Assistance under this Policy.
- 6.7 Enterprises undertaking Expansion / Modernization / Diversification of an enterprise **shall not** be entitled for Seed Capital Assistance.
- 6.8 Detailed Feasibility Report / Detailed Project Report of New Micro / Small Enterprises shall be required to be appraised and approved by financing Banks / Financial Institutions.
- 6.9 Identified viable sick Micro Enterprise / Small Enterprise treated at par with new industrial unit shall avail Seed Capital Assistance after rehabilitation provided Seed Capital Assistance is one of the constituents of rehabilitation package of that Micro / Small Enterprise subject to fulfillment of relevant conditions as stipulated as above.
- 6.10 The 1st generation Women, SC, ST, Differently abled entrepreneurs setting up new Micro / Small Enterprises in Industrially Backward Districts including KBK

districts should have preferably undergone Entrepreneurship Development Programme (EDP) / Skill Development Programme (SDP) / Management Development Programme (MDP) / Entrepreneurship- cum - Skill Development Programme (ESDP). If an entrepreneur has not undertaken EDP / SDP / MDP / ESDP, General Manager, DIC / RIC shall arrange to cover such entrepreneur under any of the above mentioned trainings.

6.11 As sanction of Seed Capital Assistance is made before commencement of production (pre-production incentive), the new Micro / Small Enterprise shall have to undertake that-

6.11.1 The enterprise shall go into production within three years from the date of starting first fixed capital investment.

6.11.2 Where period of implementation of projects (new Micro /Small Enterprises) exceeds stipulated period of three years due to force majeure (reasons like natural calamities), such case(s) of delay shall be placed before the Empowered Committee for consideration.

6.11.3 In cases where Empowered Committee has decided not to condone the delay, the Seed Capital Assistance availed be recovered through the financing Bank under OPDR Act, 1962.

7. **Constitution of Task Force:** A Task Force under the Chairmanship of District Collector with Members as constituted below shall be the competent authority to sanction Seed Capital Assistance prescribed in Para-6.2 of Odisha MSME Development Policy-2016.

1	District Collector	Chairman
2	Additional Director of Industries / Joint Director of Industries / Deputy Director of Industries	Member
3	District Agriculture Officer	Member
4	Branch Manager / representative of OSFC	Member
5	Divisional Head / representative of IDCO	Member
6	Lead Bank Manager	Member
7	Branch Manager(s) of the Financing Bank Branch	Member
8	General Manager, RIC /DIC	Convenor

7.1 Task Force shall meet every month or as often as necessary. Chairman may invite any other officer / agency concerning the sector for which applications are under consideration.

7.2 RIC / DIC concerned shall provide secretarial services to the Task Force.

7.3 RIC / DIC shall prepare the detail agenda note to be placed before the Task Force.

7.4 The financing Bank Branch shall place the detailed project report / feasibility & viability report and Bank Appraisal Report made on the proposed

project of Micro / Small Enterprises considered for finance before the Task Force.

- 7.5 The Task Force shall go into eligibility, policy applicability and merits of credit proposal of each Micro / Small Enterprise and decide the sanction of Seed Capital Assistance admissible / rejection of proposal in favour of the enterprise.
- 7.6 The minutes of Task force shall be recorded by the Convener & approved by the Chairman and shall be circulated to all members.

8. Procedure:

- 8.1 The 1st generation Women, SC, ST, Differently abled entrepreneurs interested for setting up new Micro / Small Enterprises in Industrially Backward Districts including KBK districts and satisfying eligibility for Seed Capital Assistance, shall submit application in the form prescribed at **Annexure – A** along with copies of relevant documents as mentioned in the Checklist at **Annexure – B** to the concerned General Manager, RIC / DIC for availing credit (Term loan and or cash credit) from Bank / FI and also Seed Capital Assistance under this Policy.
- 8.2 Application & copies of the documents shall be made in duplicate, if filed in offline mode.
- 8.3 Copies of the documents as indicated in the checklist shall be self-certified in each page by Proprietor / Managing Partner / Managing Director / Authorized Signatory. The documents / relevant data which are already uploaded / furnished to RIC / DIC earlier shall not be uploaded / furnished once again unless there is any change including change in validity of the same. In case of online filing of Application for Seed Capital Assistance, there is no need to furnish the hard copy of documents unless asked for.
- 8.4 On receipt of complete application with relevant documents / data, the acknowledgement as prescribed at **Annexure – C** shall be dispatched to the applicant duly signed by the authorized officer / General Manager, RIC / DIC on the day of receipt. The General Manager RIC / D I C may authorize any of his sub-ordinate officers for the purpose. In case of online filing, the same shall be generated electronically.
- 8.5 Applications received at RIC / DIC shall be examined & scrutinised as regards to eligibility, policy applicability, project cost, promoter's contribution, seed capital assistance required etc and forwarded to Bank /FI willing to finance the project in the format prescribed at **Annexure – D** within 15 days from the date of receipt.

- 8.6 The Bank / FI shall complete the documentation, approve the Detailed Project Report, prepare Appraisal Report and accord sanction of Term Loan and or Cash Credit (Working Capital) in favour of enterprise within next 21 days.
- 8.7 The Bank / FI shall be associated with RIC / DIC for preparation of Agenda Note jointly, which shall be placed before Task Force for sanction of Seed Capital Assistance in favour of enterprise sanctioned with Term Loan within next 7 days.
9. **Sanction:**
- 9.1 The Task Force shall consider the proposals for sanction of Seed Capital Assistance equivalent to 10 % of Term loan limiting to Rs.15 lakh per proposal in favour of eligible Micro / Small Enterprises.
- 9.2 Sanction of Seed Capital Assistance shall be communicated by General Manager, RIC /DIC in the format as prescribed at **Annexure – E** to the promoter under intimation to financing Bank / Directorate of Industries, Odisha within next 07 days of holding the Task Force meeting.
- 9.3 On receipt of sanction, the promoter(s) shall execute tripartite agreement with RIC / DIC and financing Bank in the format as prescribed at **Annexure – F**.
- 9.4 In case of rejection, the reasons of rejection shall be communicated in the format as prescribed at **Annexure – G** to the promoter under intimation to financing Bank / Directorate of Industries, Odisha within next 07 days of holding Task Force.
10. **Bank Finance & Disbursement of Seed Capital Assistance:-**
- 10.1 The Concerned Bank shall disburse the Term Loan and working capital in form of cash credit in favour of the enterprise. On disbursement of Term loan, Bank shall furnish the claim to RIC / DIC with details of loan sanctioned & disbursed in the format as prescribed at **Annexure – H** under intimation to the Promoter, Directorate of Industries, Odisha.
- 10.2 RIC / DIC will release the funds, **subject to the availability of funds**, to the financing Bank under intimation to the Promoter / Directorate of Industries, Odisha.
- 10.3 Once Seed Capital Assistance is released to the bank in favour of the enterprise, it should be kept in Term Deposit Receipt (TDR) and credited to the Term Loan Account after three years from the date of first disbursement of Term Loan.

10.4 No interest shall be paid on the TDR and no interest shall also be charged by the concerned bank on the corresponding loan amount equivalent to TDR.

10.5 Seed Capital Assistance on availing the actual amount of Term loan shall be retained and excess, if any, shall be refunded to RIC / DIC immediately once the project is ready for commencement of production under intimation to the Promoter / Directorate of Industries, Odisha.

11. Funds Management:

11.1 The Director of Industries, Odisha in consultation with RIC / DIC will estimate the requirement of funds and furnish the requisition to the MSME Department well in advance for making budget provision every year.

11.2 The State Government in MSME Department will provide funds every year to the Director of Industries, Odisha.

11.3 Director of Industries, Odisha shall place the funds with RIC / DIC which shall maintain regular accounts of Seed Capital assistance with case wise details.

11.4 The concerned Bank shall avail sanctioned amount of Seed Capital Assistance from the RIC / DIC concerned.

11.5 The RIC / DIC shall furnish the utilization of funds along with the list of beneficiaries disbursed with Seed Capital Assistance regularly to the Director of Industries.

11.6 Director of Industries, Odisha shall furnish utilization Certificate regularly to the MSME Department & A.G., Odisha.

12. Maintenance of Records: The receipt, forwarding, sanction, rejection, disbursement of Seed Capital Assistance shall be monitored both electronically & manually by RIC / DIC & Directorate of Industries, Odisha.

13. Recovery:

13.1 The amount paid towards Seed Capital assistance or any part thereof shall be recoverable by the financing Bank and paid back to the RIC / DIC concerned under intimation to Directorate of Industries, Odisha, if the information furnished is found to be false / incorrect / misleading or mis-represented and there has been suppression of facts / materials or paid in excess of the amount actually admissible for whatsoever reason.

- 13.2 The recovery shall be made under the provision of OPDR Act, 1962 as arrears of land revenue on violation of Policy provisions, terms & conditions of Operational Guidelines & Agreement.
- 13.3 In case the enterprise fails to commence production within three years from the date of first fixed capital investment due to force majeure (reasons like natural calamity) and the delay has been condoned by Govt. on recommendation of Empowered Committee / in case the Banks advance goes 'bad' before the three year period of TDR due to force majeure (reasons like natural calamity), the seed Capital Assistance shall be adjusted by the financing Bank to liquidate the Term loan liability of enterprise.
14. **Miscellaneous:**
- 14.1 RIC /DIC / Directorate of Industries, Odisha/ Financing Bank Branch may inspect the assisted project, if felt necessary.
- 14.2 Any change in facts or circumstances affecting the eligibility of the enterprise shall be intimated immediately to the RIC / DIC / Directorate of Industries, Odisha by the enterprise / Financing Bank.
15. Time limit prescribed in this guidelines are of working days only.
16. This has been concurred in by Finance Department and communicated vide their UOR No. 270/PSF dated 21-01-2017.

By Order of Governor


31.1.17
(L.N. Gupta)

Principal Secretary to Government

Memo No. 617 /MSME Date 31-01-2017

Copy forwarded to All Departments / All Heads of Departments / All Revenue Divisional Commissioners / All Collectors / All RICs / All DICs / Technical Director, NIC (managing MSME portal) / All sections of MSME Department / Guard File (5 copies) for information and necessary action.


Additional Secretary to Government

**APPLICATION FOR AVAILING ADVANCE FROM BANK AND SEED CAPITAL ASSISTANCE UNDER
ODISHA MSME DEVELOPMENT POLICY-2016.**

(See Para 8.1 of Operational Guidelines)

Application received incomplete in any respect shall be liable for rejection

(Strike out whichever is not applicable)

From :

Sri_ _____

M/s. _____

(Address of Communication / Registered Office Address)

To

The General Manager,
Regional Industries Centre / District Industries Centre, _____

Sub: Application for availing advance from Bank and Seed Capital Assistance under Odisha MSME Development Policy-2016

Sir,

In accordance with the provisions laid down in Odisha MSME Development Policy-2016 and its operational guidelines, following particulars are submitted for availing advance from Bank and Seed Capital Assistance.

1	Name and Address of communication of the Enterprise with E-mail Id & Cell Phone Number			:	
2	Micro Enterprise / Small Enterprise			:	
3	Type of organization (Proprietorship / Partnership /LLP/ Co-operative / Private Limited)			:	
4	Name of Proprietor / Managing Partner / Managing Director / Authorized Signatory			:	
5	Proposed location of Enterprise with name of District (Industrially Backward Districts including KBK districts:- Kalahandi, Nuapada, Bolangir, Subarnapur, Koraput, Malkangiri, Rayagada, Nabarangapur, Kandhamal, Gajapati & Mayurbhanj).			:	
6	Entrepreneurs Identification Number (EIN) & Date			:	
7	Proposed item(s) of manufacture / activity			:	
8	Proposed date of commencement of Production			:	
9	Are you 1 st generation Entrepreneur (Furnish self- declaration)			:	
10	Are you women / SC / ST / Differently abled (Furnish copy of certificate from the competent authority against claim for SC / ST/ Differently- abled)			:	
11	Percentage of share in the enterprise in case of Women / SC / ST / Differently abled			:	
12	Are you EDP / SDP / MDP / ESDP trained (Furnish copy of Certificate)			:	
13	Total Project cost (in Rs.)			:	
14	Means of Finance	Bank	Promoter's contribution	Seed Capital Assistance required	
	Fixed Capital (Term Loan)				
	Working Capital			XXXXXXXXXXXXX	
15	Date of first fixed capital investment with its mode {EIN / investment in land / building / plant & machinery and balancing equipment (specify the investment & mode of investment , if made)}			:	
16	Details of assistance sanctioned / availed so far from GoI / State Govt / other organization / Agencies, if so specify -			:	

17	Amount of Seed Capital Assistance claimed (Rs.)	:	
18	Name of Bank Branch interested to Finance the Project	:	
19	Identified viable sick Micro / Small Enterprises treated at par with new industrial unit (Furnish the Copy)		

I, Sri _____ s/o _____ at present _____ (designation) of M/s. _____

(name of the enterprise) certify that the information furnished as above is true and correct to the best of my knowledge and belief.

I hereby undertake to abide by the terms and conditions prescribed under the provisions of Odisha MSME Development Policy-2016 and its operational guidelines.

I hereby certify that the enterprise has not applied for / sanctioned / availed any amount of assistance towards Seed Capital / Margin Money (Subsidy) / Margin Money Loan / Soft Loan / similar assistance known in any other form / name on this project from State Govt. or GoI or any Financial Institution(s) against which the present claim is made.

I hereby undertake that this Enterprise shall commence production within stipulated time of three years from the date of starting first fixed capital investment.

I hereby undertake to repay / surrender forthwith the Seed Capital Assistance or any part thereof availed with penal interest as decided by the authority-

- (i) If the assistance amount disbursed is in excess of the amount actually admissible for whatsoever reason.
- (ii) If the information stated above is found to be false / incorrect / misleading or misrepresented and there has been suppression of facts / materials.
- (iii) If the Enterprise fails to commence production within three years from the date of starting first fixed capital investment.
- (iv) If the enterprise violates Policy provisions and its Operational Guidelines and the terms & conditions enunciated in the Agreement.
- (v) I hereby undertake to furnish information, reports, statements etc to the RIC/ DIC /D I, Odisha / Financing Bank as and when asked for.

Copies of relevant documents in support of information / facts furnished above are **enclosed** here with.

List of documents attached.

- 1.
- 2.
- 3.

Date:

Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory in full and on behalf of

Place:

M/s. _____

CHECK LIST

(See Para 8.1 of Operational Guidelines)

Copies of documents to be attached with Application for availing advance from Bank and Seed Capital Assistance shall be self-certified in each page by Proprietor / Managing Partner / Managing Director / Authorized Signatory. There is no need to submit / upload the documents which have already been furnished / uploaded unless there is any change or change in validity.

(Strike out whichever is not applicable)

1	Entrepreneurs Identification Number (EIN)
2	Detailed Feasibility Report / detailed Project Report with details means of finance & process flow diagram
3	Power of Attorney / Board Resolution / Society Resolution, as applicable, while signing as Partner / Managing Director / Authorized person
4	Certificate of registration under Indian Partnership Act1932 / Societies Registration Act- 1860 / Certificate of incorporation (Memorandum of association & Article of Association) under Company Act-1956 & 2013 indicating share of Women, SC, ST, Differently abled Entrepreneur(s) not less than 51%
5	Certificate from competent authority as SC, ST, Differently abled
6	Certificate in support of EDP / MDP / SDP / ESDP training, if undergone
7	Self- declaration being 1 st generation entrepreneur in non-judicial Stamp Paper of Rs.10/- in the format prescribed at Annexure- B1
8	Documents in support of assistance applied for / sanctioned / availed towards Seed Capital / Margin Money (Subsidy) / Margin Money Loan / Soft Loan / similar assistance known in any other form / name so far with sanction order no & date from State Govt. / Central Govt (GoI) / Govt Agencies / Financial Institutions
9	Document in support of identified viable sick Micro / Small Enterprises treated at par with new industrial unit
10	Document in support of date of first investment in fixed capital i.e. investment in land / building / plant & machinery and balancing equipment, if made
11	Copy of Aadhaar Card & Passport size photograph of Applicant

Annexure- B1**SELF- DECLARATION BEING 1ST GENERATION ENTREPRENEUR**

(In non-judicial Stamp Paper of Rs.10/-)

I / We, 1. Sri _____, s/o _____ at present _____ (designation), 2. Sri _____, s/o _____ at present _____ (designation) of M/s. _____ (name of the enterprise) certify that I / We do not possess any entrepreneurial background and do not inherit any enterprise passing from one generation to another. I / We propose to start this enterprise by means of my / our own entrepreneurial ability and skills and qualify to be 1st Generation Entrepreneur(s).

Date
Place

1.
2.
3.

(Signature of 1st Generation Entrepreneur(s))

Acknowledgement

(See Para - 8.4 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)
(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for availing advance from Bank and Seed Capital Assistance under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s _____
At/PO _____ Dist. _____ on dt. _____ through post / person.

List of documents

- 1.
- 2.

Signature of authorized officer / General Manager, RIC /, DIC
with seal & date _____

- ❖ In case of online filing of application for availing advance from Bank and Seed Capital Assistance, the acknowledgement shall be generated electronically on receipt of complete application.

Annexure – C

(TO BE DISPATCHED TO THE APPLICANT)

Acknowledgement

(See Para - 8.4 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)
(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for availing advance from Bank and Seed Capital Assistance under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s _____
At/PO _____ Dist. _____ on dt. _____ through post / person.

List of documents

- 1.
- 2.

Signature of authorized officer / General Manager, RIC /, DIC
with seal & date _____

- ❖ In case of online filing of application for availing advance from Bank and Seed Capital Assistance, the acknowledgement shall be generated electronically on receipt of complete application.

OFFICE OF THE GENERAL MANAGER, RIC/ DIC _____

Lt. No. _____ Dt. _____

(See Para – 8.5 of Operational Guidelines)
(Strike out whichever is not applicable)

To

The Branch Manager,

Sub- Recommendation of Application for availing advance from Bank and Seed Capital Assistance under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines.

Sir,

Enclosed, Please find herewith the application received from Sri _____

M/s _____ for availing advance (Term Loan & Working Capital) from Bank and Seed Capital Assistance under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines.

As regards to eligibility & applicability of Policy provisions, this project may be eligible to avail Seed Capital Assistance subject to approval of the Task Force under the Chairmanship of District Collector.

You are advised to complete the documentation & processing of this proposal and please be associated with RIC / DIC for preparation of Agenda Note jointly, which shall be placed before Task Force for sanction of Seed Capital Assistance in favour of enterprise within next 21 days.

Enclos. Application with documents

Yours faithfully,

General Manger, RIC /DIC.

Memo. _____ Dt. _____

Copy forwarded to Sri _____, M/s. _____ At. _____

Po _____ Dist. _____ for information. He is advised to contact the Bank Branch for necessary documentation within 3 days.

General Manger, RIC /DIC

Memo. _____ Dt. _____

Copy forwarded to Director of Industries, Odisha, Cuttack for favour of kind information.

General Manger, RIC /DIC

SANCTION LETTER

No. _____ dt. _____
 (Strike out whichever is not applicable)

The Task Force in its _____ meeting dated _____ has accorded sanction of Seed Capital Assistance for Rs. _____ (in words) Rupees _____ only in favour of M/s. _____ At _____ Po _____ Dist. _____ bearing Entrepreneurs Identification Number (EIN) _____ & date _____ for the setting up Micro Enterprise for manufacture of _____ (proposed item(s) of Production / Activities) / identified viable sick Micro Enterprises treated at par with new industrial unit under Odisha MSME Development Policy-2016 subject to condition that beneficiary enterprise shall go into production within three years from the date of first fixed capital investment .

Signature of General Manager, RIC / DIC _____
 with seal & date _____.

Memo No. _____/dt. _____

Copy forwarded to the Director of Industries, Odisha for information.

General Manager, RIC/ DIC _____

Memo No. _____/Ind., dt. _____

Copy forwarded to Branch Manager, _____ for information necessary action.

General Manager, RIC/ DIC _____

Memo No. _____/Ind., dt. _____

Copy forwarded to Sri _____ M/s. _____ Proprietor / Managing Partner / Managing Director / Authorized Signatory At _____ PO _____ Dist. _____ for information. She / He is requested to furnish Advance Stamped Money Receipt in the format as below and execute tripartite Agreement in the format prescribed at Annexure-F within 07 days.

General Manager, RIC/ DIC _____

Advance Stamped Money Receipt

“Received with thanks from _____ sum of Rs. _____ (Rupees _____) only by Cheque / Draft No./ On-line mode _____ dated _____ on account of Seed Capital Assistance as per the provisions of Odisha MSME Development Policy 2016, its Operational Guidelines & terms and conditions laid down in the Agreement executed by me / us on Dt. _____”.

Signature of the Proprietor / Managing Partner/
 Managing Director / Authorized Signatory in full and on behalf of
 M/s. _____

AGREEMENT
(See Para 9.3 of Operational Guidelines)
(Strike out whichever is not applicable)

This INDENTURE made in this _____ day of _____, 20----- between a private / public limited company incorporated under companies Act, 1956, a cooperative society registered under the Odisha Cooperative Society Act 1962 and having its registered office at _____

OR

Carrying on business as a sole proprietor / partners in the firm with the name and style of M/s. _____ having its office at _____ hereinafter called the entrepreneur(s) (which expression shall unless it be repugnant to the context or meaning there of be deemed to include its successor or successors and assigns / the partners for the time being of the said firm and their assigns / his / her / their, executors, administrators and assigns) of the first part,

And

The Regional Industries Centre / District Industries Centre _____ operating in the District _____ under the administrative control of MSME Department, Government of Odisha, representing the Governor of Odisha, exercising the executive powers of the Government of Odisha (here in after referred to as "the Governor" which expression shall unless it be repugnant to the context or meaning the thereof be deemed to include his successor of successors and assigns) of second part,

And

The _____, _____ Branch operating in the District _____ which expression shall unless it be repugnant to the context or meaning the thereof be deemed to include his successor of successors and assigns) of third part, as:

- a) The Government of Odisha have framed a scheme as Seed Capital Assistance under the provisions of Odisha MSME Development Policy-2016 for the 1st generation Women, SC, ST, Differently abled entrepreneurs setting up new Micro / Small Enterprises in Industrially Backward Districts including KBK districts with a view to promote growth of MSME standing therein that Government of Odisha will grant Seed Capital assistance to the parties if the said parties satisfy the terms and conditions laid down under the Policy and its Operational Guidelines which shall be deemed to be a part of this agreement.
- b) The entrepreneur(s) by their application dated the day of _____ 20____ applied to the Government for sanction of Seed Capital Assistance for Rs. _____

(Rupees _____ @ 10% of Term Loan disbursed by the financing Bank / financial institution subject to a maximum of Rs.15 lakh whichever is less under Odisha MSME Development Policy-2016 and its Operational Guidelines and whereas :

i) Relying on the said application and subsequent representations made by the entrepreneurs, the Government have sanctioned Seed Capital assistance @ 10% of Term Loan disbursed by the financing Bank / financial institution for Rs. _____ and the RIC / DIC has agreed to pay the same on behalf of the Government to the entrepreneur on executing the necessary documents.

ii) Now this INDENTURE witnesses and it is hereby agreed by and between the parties hereto as under:

1. In consideration of the Government agreeing to give to the entrepreneurs under the said scheme, in such instalments the Government in its sole discretion think fit, an aggregate amount of Seed Capital Assistance of Rs. _____ and the entrepreneurs do and each of them do hereby covenant with the Government as under:
2. In the event of the Task Force ultimately deciding for any reasons whatsoever that the entrepreneurs are entitled to a lesser amount of assistance, the excess amount of the Seed Capital Assistance shall be repaid by the entrepreneurs to the RIC / DIC as agent of the Government along with interest thereon @ 12 ½% per annum or such other higher rate as the Government might decide from time to time from the date of payment of the said amount of Rs. _____ or any part thereof paid under this agreement till the repayment.
3. The entrepreneurs shall duly observe and perform the covenants and the conditions to be observed and performed by him / them under the said scheme.
4. The entrepreneurs shall promptly furnish all the information / statements / documents asked for to the RIC / DIC _____ / Director of Industries / Government by such dates as may be prescribed by the Government from time to time.
5. The said sum of Rs. _____ or such part thereof as may have been till then paid by the Government to the entrepreneurs shall become forthwith repayable with interest thereon @ 12 ½% per annum or such higher rate as the Government might decide from time to time from the date of disbursement of the subsidy till the

repayment by the entrepreneurs to the Government in each and every of the following events namely:-

- (a) If the entrepreneurs fails to abide by the terms and conditions prescribed under the provisions of Odisha MSME Development Policy-2016 and its operational guidelines and this Agreement.
 - (b) If the enterprise fails to commence production within stipulated time of three years from the date of starting first fixed capital investment.
 - (c) If the assistance amount disbursed is in excess of the amount actually admissible for whatsoever reason.
 - (d) If the information stated above is found to be false / incorrect / misleading or mis-represented and there has been suppression of facts / materials.
 - (e) If the entrepreneurs shift the registered office of the unit outside the State without taking prior permission of the State Government.
 - (f) If a distress of execution shall be levied upon any property of the entrepreneurs or any part of the said factory or a receiver thereof is appointed.
 - (g) If any petition for winding up the entrepreneurs company / enterprise is presenting to any court or the entrepreneurs company passes any resolution for being wound up.
6. Whenever any sum due and payable by the entrepreneur under these presents shall be in arrears the same shall be deemed to be public demand and may without prejudice to any other right and the remedies of the Government be recovered from the entrepreneurs as a public demand under the Odisha Public Demand Recovery Act, 1962.
 7. The entrepreneurs shall permit any person or persons authorized by the Government in that behalf at any time and from time to time during the usual time or business to inspect and examine any part of the said enterprise and shall render to him / them such assistance as may be required for the Government and furnish to such person or person as aforesaid all such information relating to the said enterprise as may be required by such person or persons.
 8. In the event of any dispute or difference arising between the parties hereto in respect of or in relation to this agreement or any provision herein contained either during the subsistence of this agreement or thereafter the same shall be referred to the sole arbitration or a suitable person acceptable to the entrepreneurs as well as the Government and / or the RIC / DIC _____ or any other person nominated

by Govt. and his decision thereof shall be final and binding on the parties. Such arbitration shall be under the provision of the Arbitration Act, 1940 and shall be held in **Cuttack**.

9. The entrepreneurs agree that in respect of any matters arising under this agreement, the courts at Cuttack along with have exclusive jurisdiction and that the entrepreneurs submit to the same will not object that the courts at Cuttack have no jurisdiction for any reason whatsoever.

10. In the event of any action arising under any of the clause herein above the entrepreneurs agree to pay to the RIC / DIC _____ as agent of the Government legal charges and such other costs as the RIC / DIC _____ may be required to incur in connection with the aforesaid action.

11. The entrepreneurs agree to bear and pay all the costs charged and the expenses incidental to the preparation and the execution of the agreement.

In Witness whereof of parties hereto have affixed their common seal of this writing the day and year first herein above written.

The common seal of :

Is there into affixed pursuant to the resolution of the Board of Directors of the company passed on the day of _____ in the presence of _____ who has / have put his/their signatures.

In token of his / their presence in the presence of _____

In the witness thereof the entrepreneurs have put their (Respective hand here today _____ year herein above written)

Signed and delivered by the _____

With name in the presence of _____

Witness

- 1.
- 2.

Signature of General Manager of RIC / DIC with name in the presence of _____

Witness

- 1.
- 2.

Signature of Branch Manager with name in the presence of _____

Witness

- 1.
- 2.

OFFICE OF THE GENERAL MANAGER, RIC / DIC _____
(See Para – 9.4 of Operational Guidelines)

Letter No. _____ / Date _____
(Strike out whichever is not applicable)

To

Sri _____
M/s. _____
At _____
PO _____
Sub-Division _____
Dist. _____

(Location of the Enterprise / Registered Office Address)

Sir,

This is to inform that your application for sanction of Seed Capital Assistance under Odisha MSME Development Policy-2016 and its Operational Guidelines filed on dt. _____ is rejected due to following reasons.

(Specify the reasons)

- 1.
- 2.
- 3.
- 4.

Signature of General Manager, RIC / DIC _____
with seal & date _____.

Memo Dt

Copy forwarded to Director of Industries, Odisha, Cuttack / Branch Manager (concerned Bank Branch) for information

Signature of General Manager, RIC / DIC _____
with seal & date _____.

CLAIM FOR DISBURSEMENT OF SEED CAPITAL ASSISTANCE
(To be furnished by the Financing Bank)
(See Para – 10.1 of Operational Guidelines)

Letter No. _____ / Date _____
(Strike out whichever is not applicable)

1. Name of the Bank-
2. IFS code-
3. Name & address of beneficiary Enterprise-
4. Category of Entrepreneur (Women SC / ST / Differently abled)-
5. Term Loan A/c No-
6. Details of Loan Sanctioned in favour of beneficiary Enterprise-
 - a. Term Loan-
 - b. Working Capital / Cash credit-
7. Details of Term Loan disbursed
 - a. Amount (In Rs.) & date (Date wise)-
 - b. Promoters contribution paid (Rs.)-
 - c. Amount of Seed Capital Assistance sanctioned in the Task Force-
 - d. Claim for release of Seed Capital Assistance sanctioned corresponding to the Term Loan-
8. Remarks, if any

Signature of Branch Manager of Financing Branch

Date

To

- (1) General Manager, RIC /DIC -----
- (2) Beneficiary Enterprise.

**Government of Odisha
MSME Department**

NOTIFICATION

No. II-MSME-2/2017 618 /MSME, Bhubaneswar, the 31st January, 2017

Sub: Operational Guidelines for Sanction and Disbursement of Project Report Subsidy under Odisha MSME Development Policy- 2016

(See Para 6.3 of Odisha MSME Development Policy-2016)

1. **Short Title:** "Operational Guidelines for Project Report Subsidy" under Odisha MSME Development Policy-2016.
2. **Extent:** It shall extend to the whole of the State of Odisha.
3. **Commencement:** It shall come into force with effect from 24th November, 2016 i.e. date of Notification of Odisha MSME Development Policy-2016.
4. **Policy Provisions: Project Report Subsidy**
"New Micro enterprises shall be entitled to a one time grant up to Rs.50,000/- or 2% of the project cost, whichever is lower for preparation of the detailed feasibility report / detailed project report, which will facilitate the entrepreneur to access finance from Banks / financial institutions. The said amount will be disbursed after sanction and disbursement of the first instalment of term loan by Bank / Financial Institution to the Micro enterprise."
5. **Terms and Expressions:** Terms and expressions used in this operational guideline shall have the same meaning as in Odisha MSME Development Policy, 2016.
 - 5.1 Project Cost means the total cost which includes design fees, material costs, construction costs, permit fees, land, furnishings, plant & machinery, financing and all other costs that are incurred for completion of the project and appraised by the financing bank based on feasibility and viability of the project.
6. **Eligibility:**
 - 6.1 New Micro Enterprises as defined in MSMED Act, 2006 where fixed capital investment has commenced on or after 24th November 2016 i.e. effective date of Odisha MSME Development Policy-2016 and extended with term loan

- by Bank / Financial Institution.
- 6.2 New Micro Enterprises shall have been acknowledged with Entrepreneurship Identification Number (EIN) from the RIC / DIC.
 - 6.3 Enterprises / activities which are declared ineligible as in Annexure II of Appendices of Odisha MSME Development Policy, 2016 to avail incentives shall not be entitled to get Project Report Subsidy.
 - 6.4 Project Report Subsidy on the same project if availed under any other scheme(s) / source(s), the enterprise shall not be entitled for Project Report Subsidy under this Policy.
 - 6.5 Enterprises undertaking Expansion / Modernization / Diversification shall not be entitled for Project Report Subsidy.
 - 6.6 Detailed Feasibility Report / Detailed Project Report of New Micro Enterprises shall be required to be appraised and approved by financing Banks / Financial Institutions.
 - 6.7 Identified viable sick Micro Enterprises treated at par with new industrial unit shall avail Project Report Subsidy after rehabilitation provided such Micro Enterprise has not availed Project Report Subsidy from any source under any Policy / scheme before or after rehabilitation and subject to fulfillment of relevant conditions as stipulated as above provided Project Report Subsidy is one of the constituents of rehabilitation package.
 - 6.8 As Project Report Subsidy is a pre-production incentive, the Micro Enterprise shall have to undertake that: a) The enterprise will go into production within three years from the date of starting first fixed capital investment, and b) where period of implementation of enterprise exceeds the stipulated period of three years due to reasons other than force majeure (reasons like natural calamities), the amount shall be recovered from the enterprise.
7. **Time Limit for filing application:**
- 7.1 Eligible Micro Enterprise shall file its claim for Project Report Subsidy in the prescribed Application Form complete in all respect, **within one year** from the date of disbursement of first installment of Term loan by Bank / Financial Institution / **within one year** from the date of notification of this Operational Guidelines, whichever is later.
 - 7.2 Eligible rehabilitated sick Micro Enterprises as in Para 6.7 of this Operational Guidelines shall file its claim for Project Report Subsidy in the prescribed Application Form complete in all respect, **within one year** from the date of disbursement of first installment of Term loan by Bank / Financial Institution after rehabilitation / **within one year** from the date of notification of this Operational Guidelines, whichever is later.

- 7.3 Application for Project Report Subsidy received after the due date / incomplete in any respect shall be liable to be summarily rejected. There shall be no condonation for the delay in filing application for Project Report Subsidy.
8. **District Level Committee (DLC):** The District Level Committee constituted in each RIC / DIC as per para 10.1 of Operational Guidelines of CIS under Odisha MSMED Policy-2016 shall be competent to sanction reimbursement of Project Report Subsidy.
9. **Procedure:**
- 9.1 Micro Enterprise considered itself eligible shall submit application in the form prescribed at **Annexure – A** along with copies of relevant documents as mentioned in the Checklist at **Annexure – B** to the concerned General Manager, RIC / DIC. Copies of the documents as indicated in the checklist shall be self-certified in each page by Proprietor / Managing Partner / Managing Director / Authorized Signatory. The documents / relevant data which are already uploaded / furnished to RIC / DIC earlier shall not be uploaded / furnished once again unless there is any change including change in validity of the same. In case of online filing of Application for Project Report Subsidy, there is no need to furnish the hard copy of documents unless asked for.
- 9.2 On receipt of complete application with relevant documents / data, the acknowledgement as prescribed at **Annexure – C** shall be dispatched to the applicant duly signed by the authorized officer / General Manager, RIC / DIC on the day of receipt. The General Manager RIC / D I C may authorize any of his sub-ordinate officers for the purpose. In case of online filing, the same shall be generated automatically.
- 9.3 RIC /DIC will check the veracity of facts / data filled in the application & documents, determine the 1st date of fixed capital investment (refer Para 11 of Operational Guidelines for sanction of CIS), eligibility & applicability of policy provisions, Project cost, date of disbursement of first installment of Term Loan, quantum of subsidy in each case within **next 7 days**.
- 9.4 Agenda Note in terms of fulfilment of eligibility criteria, time limit, Policy applicability, approved Project cost, date of disbursement of first instalment of Term Loan etc. shall be placed by the Convenor before District Level Committee (DLC) to be held during the current month for consideration.

10. **SANCTION:**

- 10.1 The DLC will consider proposals for sanction of Project Report Subsidy in favour of the eligible Micro Enterprises on merit.
- 10.2 Sanction of Project Report subsidy shall be limited to the actual expenditure incurred on the detailed feasibility report / detailed project report or Rs.50,000/- or 2% of Project cost whichever is the lowest.
- 10.3 After sanction of Project Report Subsidy by the DLC, the RIC / DIC shall communicate the sanction in the format prescribed at **Annexure – D** to the concerned Micro Enterprise under intimation to the concerned Bank and Director of Industries, Odisha within **7 days** of the DLC meeting.
- 10.4 In case of rejection / any other decision taken by the DLC, the same will be communicated by RIC / DIC to the concerned enterprise under intimation to the concerned Bank and Director of Industries, Odisha in the format prescribed at **Annexure – E** within **7 days** of the DLC meeting.

11. **DISBURSEMENT:**

- 11.1 Micro Enterprise on receipt of sanction letter shall furnish the advance money receipt and Undertaking in the format prescribed at **Annexure – F** to RIC / DIC with copies of duly self-certified document (s), if any, asked for by DLC within **next 7 days**.
- 11.2 On receipt, disbursement of Project Report Subsidy shall be made by RIC / DIC directly to the Term loan Account of the Enterprise. Disbursement shall be made within **next 5 days** subject to availability of funds under the scheme.

12 **Maintenance of Records:** The receipt, forwarding, sanction, rejection, disbursement of Project Report Subsidy shall be monitored both electronically & manually at RIC / DIC / Directorate of Industries level.

13 **Recovery:** Project Report Subsidy received by enterprise shall be recoverable under the provision of OPDR Act as arrears of land revenue on violation of Policy provisions, terms & conditions of Operational Guidelines & Undertaking, misrepresentation of facts and in cases rejected by the Empowered Committee.

14 **Miscellaneous :**

- 14.1 RIC /DIC / Directorate of Industries, Odisha / Financing Bank Branch may inspect the assisted Micro Enterprises, if felt necessary.
- 14.2 Any change in facts or circumstances affecting the eligibility of the Enterprise shall be intimated immediately to the RIC / DIC / Directorate of Industries, Odisha by the beneficiary enterprise.

- 14.3 The amount paid towards Project Report Subsidy or any part thereof shall be recoverable by RIC / DIC from the beneficiary, if
- 14.3.1 the information furnished is found to be false / incorrect / misleading or mis-represented and there has been suppression of facts / materials or paid in excess of the amount actually admissible for whatsoever reason.
 - 14.3.2 the enterprise fails to commence production within three years from the date of starting first fixed capital investment, and
 - 14.3.3 where period of implementation of enterprise exceeds the stipulated period of three years which has not been condoned by the Empowered Committee.
15. Time limit prescribed in these guidelines is of working days only.
16. This has been concurred in by Finance Department and communicated vide their UoR No. 270/PSF dated 21-01-2017.

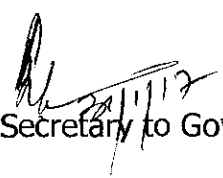
By Order of Governor


(L.N. Gupta)

Principal Secretary to Government

Memo No. 619 /MSME Date 31-01-2017

Copy forwarded to All Departments / All Heads of Departments / All Revenue Divisional Commissioners / All Collectors / All RICs / All DICs / Technical Director, NIC (managing MSME portal) / All sections of MSME Department / Guard File (5 copies) for information and necessary action.


Additional Secretary to Government

**APPLICATION FOR PROJECT REPORT SUBSIDY UNDER
ODISHA MSME DEVELOPMENT POLICY-2016.**

(See Para 9.1 of Operational Guidelines)

Application received after the due date / incomplete in any respect shall be liable for rejection

(Strike out whichever is not applicable)

From :

Sri _____

M/s. _____

(Location of the Enterprise / Registered Office Address)

To

The General Manager,
Regional Industries Centre / District Industries Centre, _____

Sub: Sanction and disbursement of Project Report Subsidy under Odisha MSME Development Policy-2016

Sir,

In accordance with the provisions laid down in Odisha MSME Development Policy-2016 and its operational guidelines, the claim for Project Report Subsidy is submitted with following particulars.

1	Name and Address of the Micro Enterprise with E-mail Id & Cell Phone Number	:	
2	Entrepreneurs Identification Number (EIN) & Date	:	
3	Proposed items of manufacture / activity	:	
4	Proposed date of commencement of Production	:	
5	Name & address of Bank extended Term loan	:	
6	Project cost appraised and approved by Bank	:	
7	Date of Disbursement of first instalment of term loan with details of disbursement.	:	
8	Name & address with a profile of the Consultant / Agency / Organization prepared the detailed feasibility report / detailed project report	:	
9	Amount of expenditure incurred towards preparation the detailed feasibility report / detailed project report (Copy of the bills / vouchers / receipt etc. be submitted)	:	
10	Date of first fixed capital investment with its mode [EIN / investment in land / building / plant & machinery and balancing equipment (specify the investment & mode of investment , if made)]	:	
11	Details of assistance sanctioned / availed so far from Govt. of India / State Govt. / other organization / Agencies, if so specify:	:	
12	Amount of Project Report Subsidy claimed (@2% limiting to Rs.50000/-)	:	
13	Details of Term loan Account with IFS Code for e-payment	:	
14	Identified viable sick Micro Enterprises treated at par with new industrial unit (Furnish the Copy)	:	

I, Sri _____ s/o _____ at present

_____ (designation) of M/S _____ (name of the enterprise)

certify that the information furnished as above is true and correct to the best of my knowledge and belief.

I hereby undertake to abide by the terms and conditions prescribed under the provisions of Odisha MSME Development Policy-2016 and its operational guidelines.

I hereby certify that the enterprise has not applied for / sanctioned / availed any amount of assistance towards preparation of detailed feasibility report / detailed Project report from State Govt. or the Central Govt. or any Financial Institution(s) against which the present claim is made.

I hereby undertake that this Enterprise shall commence production within stipulated time of three years from the date of starting first fixed capital investment.

I hereby undertake to repay / surrender forthwith the Project Report Subsidy amount or any part thereof availed with penal interest as decided by the authority-

- (i) If Project Report Subsidy amount disbursed in excess of the amount actually admissible for whatsoever reason.
- (ii) If the information stated above is found to be false / incorrect / misleading or misrepresented and there has been suppression of facts / materials.
- (iii) If the Enterprise fails to commence production within three years from the date of starting first fixed capital investment.
- (iv) If the enterprise violates Policy provisions and its Operational Guidelines and the terms & conditions enunciated in the Undertaking.
- (v) I hereby undertake to furnish information, reports, statements etc to the RIC / DIC / D I, Odisha as and when asked for.

Copies of relevant documents in support of information / facts furnished above are **enclosed** here with.

List of documents attached.

- 1.
- 2.
- 3.

Date: _____ Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory in full and on behalf of
Place: M/s. _____

CHECK LIST**(See Para 9.1 of Operational Guidelines)**

Copies of documents to be attached with Application for Project Report Subsidy shall be self- certified in each page by the Proprietor / Managing Partner / Managing Director / Authorized Signatory
(Strike out whichever is not applicable)

There is no need to submit / upload the documents which have already been furnished / uploaded unless there is any change or change in validity.

(Strike out whichever is not applicable)

1	Entrepreneurs Identification Number (EIN)
2	Detailed Feasibility Report / detailed Project Report appraised & Approved by Bank
3	Sanction order of Banks extended Term loan
4	Details of First disbursement of Term Loan certified by financier
5	Detailed feasibility report / detailed Project report approved by Bank.
6	Profile of the Consultant / Agency / Organization prepared detailed feasibility report / detailed Project report
7	Bills / vouchers / receipt etc. on payment made towards preparation of Detailed feasibility report / detailed Project report
8	Details of assistance applied for / sanctioned / availed so far with sanction order no & date and other supporting documents towards preparation of Detailed feasibility report / detailed Project report from State Govt. / Central Govt. (GoI) / Govt. Agencies / Financial Institutions
9	Document in support of identified viable sick Micro Enterprises treated at par with new industrial unit
10	Undertaking duly signed
11	Details of Term Loan Account, IFS Code etc. for e-payment

Annexure – C

(FOR OFFICE USE)

Acknowledgement

(See Para - 9.2 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)

(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for Project Report Subsidy under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s. _____ At/PO. _____ Dist. _____ on dt. _____ through post / person.

List of documents

- 1.
- 2.
- 3.

Signature of authorized officer / General Manager, RIC /, DIC
with seal & date-----

❖ In case of online filing of application for Project Report Subsidy, the acknowledgement shall be generated electronically on receipt of complete application.

Annexure – C

(TO BE DISPATCHED TO THE APPLICANT)

Acknowledgement

(See Para - 9.2 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)

(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for Project Report Subsidy under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s. _____ At/PO. _____ Dist. _____ on dt. _____ through post / person.

List of documents

- 1.
- 2.
- 3.

Signature of authorized officer / General Manager, RIC /, DIC
with seal & date_____

❖ In case of online filing of application for Project Report Subsidy, the acknowledgement shall be generated electronically on receipt of complete application.

OFFICE OF THE GENERAL MANAGER, RIC/ DIC _____
(See Para - 10.2 of Operational Guidelines)

SANCTION LETTER

No. _____ dt. _____

(Strike out whichever is not applicable)

The District Level Committee in its _____ meeting dated _____ has accorded sanction of Project Report Subsidy for Rs. _____ (in words) Rupees _____ only in favour of M/s. _____ At _____ PO _____ Dist _____ bearing Entrepreneurs Identification Number (EIN) _____ dated _____ for the setting up Micro Enterprise for manufacture of _____ (proposed item(s) of Production / Activities) / identified viable sick Micro Enterprises treated at par with new industrial unit under Odisha MSME Development Policy-2016 subject to condition that beneficiary enterprise shall go into production within three years from the date of first fixed capital investment.

The Details of Term loan Account with IFS code etc. are as below for e-payment.

Signature of General Manager, RIC /, DIC _____
with seal & date _____

Memo No. _____/dt. _____

Copy forwarded to the Director of Industries, Odisha for information.

General Manager, RIC/ DIC _____

Memo No. _____/Ind., dt. _____

Copy forwarded to A.F.A – cum Under Secretary to Govt, MSME Department for information.

General Manager, RIC/ DIC _____

Memo No. _____/Ind., dt. _____

Copy forwarded to Sri _____ M/s. _____ Proprietor / Managing Partner / Managing Director / Authorized Signatory At _____ PO _____ Dist. _____ for information. She / He is requested to furnish Advance Stamped Money Receipt (in duplicate) in the format as below and Undertaking in the format prescribed at Annexure-F of in the Non-Judicial Stamp Paper of Rs.10/-

General Manager, RIC/ DIC _____

Advance Stamped Money Receipt

"Received with thanks from _____ sum of Rs. _____ (Rupees _____) only by Cheque / Draft No./ On-line mode _____ dated _____ on account of Project Report Subsidy as per the provisions of Odisha MSME Development Policy 2016, its Operational Guidelines & terms and conditions laid down in the Undertaking by me / us on Dt. _____".

Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory in full and on behalf of
M/s. _____ with date

OFFICE OF THE GENERAL MANAGER, RIC / DIC _____
(See Para - 10.3 of Operational Guidelines)

No. _____ / Date _____
(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

At _____

PO _____

Sub-Division _____

Dist. _____

(Location of the Enterprise / Registered Office Address)

Sir,

This is to inform that your application for sanction of Project Report Subsidy under Odisha MSME Development Policy-2016 and its Operational Guidelines filed on dt. _____ is rejected due to following reasons.

(Specify the reasons)

1.

2.

3.

4.

Signature of General Manager, RIC / DIC-----
with seal & date-----.

Memo _____ Dt

Copy forwarded to Director of Industries, Odisha, Cuttack for information.

Signature of General Manager, RIC / DIC-----
with seal & date-----.

UNDERTAKING

(Non-Judicial Stamp Paper of Rs.10/-)
(Strike out whichever is not applicable)

- i) I, Sri _____ s/o _____ at present _____ (designation) of M/S _____ (name of the enterprise) do hereby undertake that -
- ii) I shall abide by the terms and conditions prescribed under the provisions of Odisha MSME Development Policy-2016 and its operational guidelines.
- iii) I hereby undertake that this Enterprise shall commence production within stipulated time of three years from the date of starting first fixed capital investment.
- iv. I hereby certify that the enterprise has not applied for / sanctioned / availed any amount of assistance towards preparation of detailed feasibility report / detailed Project report from State Govt. or the Central Govt. or any Financial Institution(s) against which the present claim is made.
- v) I hereby undertake to repay / surrender forthwith the Project Report Subsidy amount or any part thereof availed with penal interest as decided by the authority:
- (a) If Project Report Subsidy amount disbursed in excess of the amount actually admissible for whatsoever reason.
 - (b) If the information furnished on the basis of which Project Report Subsidy has been sanctioned is found to be false / incorrect / misleading or mis-represented and there has been suppression of facts / materials.
 - (c) If the Enterprise fails to commence production within three years from the date of starting first fixed capital investment.
 - (d) If the enterprise shifts its location without prior approval of RIC / DIC / Director of Industries, Odisha / MSME Department.

I hereby undertake to furnish information, reports, statements etc to the RIC / DIC / D I, Odisha as and when asked for.

Date: _____ Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory in full and on behalf of
Place: _____ M/s. _____

Government of Odisha
MSME Department

NOTIFICATION

No. II-MSME-2/2017 620/MSME, Bhubaneswar, the 31st January, 2017

Sub: Operational Guidelines for Reimbursement of Audit Cost for Water Conservation under Odisha MSME Development Policy-2016 (See Para 6.4 of Odisha MSME Development Policy-2016)

1. **Short Title:** "Operational Guidelines for Reimbursement of Audit Cost for Water Conservation" under Odisha MSME Development Policy-2016.
2. **Extent:** It shall extend to the whole of the State of Odisha.
3. **Commencement:** It shall come into force from 24th November, 2016 i.e. date of Notification of the Odisha MSME Development Policy-2016.
4. **Policy Provisions:**
"To encourage water conservation, a onetime reimbursement of 50% of audit cost by approved agencies limiting to Rs.25,000/- shall be provided to the new MSMEs undertaking water conservation measures."
5. **Terms and Expressions:** Terms and expressions used in this operational guideline, but not specifically defined here, shall have the same meaning as in Odisha MSME Development Policy-2016.
 - 5.1 **Audit for Water conservation:** Water audit is an accounting procedure involves measuring the actual water consumption of various water consumption gadgets used in the premises of the enterprise, comparing it with the minimum water required to undertake the process and establishing technically and economically feasible means to achieve the same & suggest best ways to optimize the water consumption leading to water saving and reducing water consumption bills.
 - 5.2 **Approved Agencies:** Means an ISO certified agency for Water Audit.
 - 5.3 **Audit Cost:** Payment made to ISO certified Audit Agency conducted Water Audit.
6. **Eligibility:**
 - 6.1 New Micro, Small & Medium Enterprises as defined in Annexure I of Appendices of Odisha MSME Development Policy, 2016 where fixed capital

- investment has commenced on or after 24th November, 2016 i.e. effective date of Odisha MSME Development Policy-2016 and have gone into production within three years from the date of starting first fixed capital investment.
- 6.2 Where period of implementation of projects (new Micro, Small & Medium Enterprises) exceeds stipulated period of three years due to force majeure (reasons like natural calamities), if such delay shall have been condoned by Empowered Committee.
 - 6.3 New Micro, Small and Medium Enterprises shall have been acknowledged with Entrepreneurship Identification Number (EIN) and or Production Certificate (PC) from the RIC / DIC.
 - 6.4 Enterprises / activities which are declared ineligible as in Annexure II of Appendices of Odisha MSME Development Policy, 2016 to avail incentives shall not be entitled to get reimbursement of Audit Cost for Water Conservation.
 - 6.5 The claim for reimbursement of Audit cost for Water Conservation shall be considered on successful implementation of water Audit result only if there has been at least 25% reduction in the water consumption of average monthly consumption of previous 12 months before conducting of audit.
 - 6.6 Reimbursement of Audit cost for Water Conservation shall include assessment / audit fee, calibration & technical consultancy charges, certificate on successful implementation of audit report, etc. and **not** include / cover cost of change over assets like acquisition of water saving equipment, new installations, remodeling, up-gradation of existing, replacement of obsolete machineries etc.
 - 6.7 New MSME shall not be entitled for reimbursement of Audit Cost for Water Conservation if the project has availed same under any other scheme(s) / source(s).
 - 6.8 Expansion / Modernization / Diversification shall not be entitled for reimbursement of Audit cost for Water Conservation.
 - 6.9 Identified viable sick Micro, Small & Medium Enterprises treated at par with new industrial unit shall avail reimbursement of Audit cost for Water Conservation after rehabilitation provided such Micro Enterprise / Small Enterprises / Medium Enterprise have not availed reimbursement of Audit Cost for Water Conservation from any source under any Policy / Scheme before or after rehabilitation and subject to fulfillment of relevant conditions as stipulated as above provided reimbursement of Audit Cost for Water Conservation is the one of the constituents of rehabilitation package.

7. **Time Limit for filing application:**
- 7.1 Eligible New Micro, Small & Medium Enterprise shall file its claim for reimbursement of Audit Cost for Water Conservation in the prescribed Application Form complete in all respect **within one year** from the date of completion of successful implementation audit report for water conservation / **within one year** from the date of notification of this Operational Guidelines, whichever is later.
- 7.2 Eligible rehabilitated sick Micro, Small & Medium Enterprises as in Para- 6.9 of this Operational Guidelines shall file its claim for reimbursement of Audit Cost for Water Conservation in the prescribed Application Form complete in all respect within one year from the date of completion of successful implementation audit report for water conservation / within one year from the date of notification of this Operational Guidelines, whichever is later.
- 7.3 Application in the prescribed form received after the due date / incomplete in any respect shall be liable to be summarily rejected. There shall be no consideration for condonation of delay in filing application for reimbursement of Audit Cost for Water Conservation.
8. **District Level Committee (DLC):** The District Level Committee constituted in each RIC / DIC as per para 10.1 of Operational Guidelines of CIS under Odisha MSMED Policy-2016 shall be competent to sanction reimbursement of Audit Cost for Water Conservation.
9. **Procedure:**
- 9.1 New Micro, Small & Medium Enterprise considered itself eligible shall submit application in the Form prescribed at **Annexure – A** along with copies of all relevant documents as mentioned in the Checklist at **Annexure – B** to the concerned General Manager, Regional Industries Centre / District Industries Centres. Copies of the documents as indicated in the checklist shall be self-certified by Proprietor / Managing Partner / Managing Director / Authorized Signatory. The documents / relevant data which are already uploaded / furnished to RIC / DIC earlier shall not be uploaded / furnished once again unless there is any change including change in validity of the same. In case of online filing of Application for reimbursement of Audit Cost for Water Conservation, there is no need to furnish the hard copy of documents unless asked for.
- 9.2 On receipt of complete application with relevant documents / data, the acknowledgement as prescribed at **Annexure – C** shall be dispatched to the applicant duly signed by the authorized officer / General Manager, RIC / DIC

on the day of receipt. The General Manager RIC / D I C may authorize any of his sub-ordinate officers for the purpose. In case of online filing, the same shall be generated electronically.

9.3 The application shall be examined, scrutinized, checked with original by the concerned RIC/ DIC and wherever necessary spot verification shall be made, determine the 1st date of fixed capital investment, eligibility & applicability of policy provisions in each case within next **7 days**.

9.4 Agenda Note on fulfilment of eligibility criteria, time limit, Policy applicability, details of water auditor / Audit Agency, successful implementation of water audit, percentage of (at least 25%) reduction in the water consumption, average monthly consumption of previous 12 months before conducting of audit, etc. shall be placed by the Convenor in District Level Committee to be held in during the month.

10. **Sanction:**

10.1 The DLC shall consider proposals for sanction of eligible MSMEs for reimbursement of audit cost for water conservation on merit.

10.2 One time reimbursement of 50% of audit cost by approved agencies limiting to Rs.25, 000/- whichever is lower shall be considered for sanction.

10.3 After sanction for reimbursement of audit cost for water conservation by the DLC, the RIC / DIC shall communicate the details of sanction in the format prescribed at **Annexure – D** to the concerned MSME under intimation to the concerned Bank / FI and Director of Industries, Odisha within next **7 days** of holding DLC.

10.4 In case of rejection / any other decision taken by the D L C, the same will be communicated by RIC / DIC to the concerned enterprise under intimation to the concerned Bank / FI and Director of Industries, Odisha in the format prescribed at **Annexure – E** within next **7 days** of holding DLC.

11. **Disbursement:**

11.1 On receipt of sanction letter, the advance money receipt and Undertaking in the format prescribed at **Annexure – F** shall be furnished by MSME to RIC / DIC along with the present working status and copies of any other document (s) asked for, if any, by DLC within **next 7 days**.

11.2 Disbursement of sanctioned amount shall be made by RIC / DIC directly to the Term loan Account of the Enterprise. In case of self-financed or where the term loan has been recovered, the sanctioned amount may be disbursed to Bank Account of the Enterprise within **next 5 days** subject to availability of funds under the scheme.

- 11.3 The disbursement may be deferred if the enterprise is found closed and may be effected on resumption of production.
12. **Maintenance of Records:** The receipt, sanction, rejection, disbursement of one time reimbursement of audit cost for water conservation shall be monitored both electronically & manually at RIC / DIC / Directorate of Industries level.
13. **Recovery:** Reimbursement of audit cost for water conservation, received by enterprise shall be recoverable under the provision of OPDR Act as arrears of land revenue on violation of Policy provisions, terms & conditions of Operational Guidelines & Undertaking.
14. **Miscellaneous:**
- 14.1 RIC/ DIC / Directorate of Industries, Odisha may inspect the enterprise as and when required / if felt necessary.
- 14.2 Reimbursement of cost of Water conservation or any part thereof with penal interest as decided by the authority shall become forthwith repayable by the entrepreneur(s), if the information furnished is found to be false / incorrect / misleading or mis-represented and there has been suppression of facts / materials or disbursed in excess of the amount actually admissible for whatsoever reason.
15. Time limit prescribed in this guidelines are of working days only.
16. This operational guidelines have been concurred in by Finance Department in their UOR No. 270/PSF dated 21-01-2017.

By Order of Governor

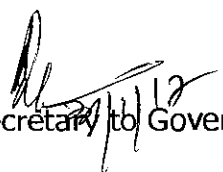

31.1.17

(L.N. Gupta)

Principal Secretary to Government

Memo No. 621 /MSME Date 31-01-2017

Copy forwarded to All Departments / All Heads of Departments / All Revenue Divisional Commissioners / All Collectors / All RICs / All DICs / Technical Director, NIC (managing MSME portal) / All sections of MSME Department / Guard File (5 copies) for information and necessary action.


Additional Secretary to Government

**APPLICATION FOR SANCTION AND ONE TIME REIMBURSEMENT OF AUDIT COST FOR WATER
CONSERVATION UNDER ODISHA MSME DEVELOPMENT POLICY-2016**

(See Para 9.1 of Operational Guidelines)

Application received after the due date / incomplete in any respect shall be liable for rejection)

(Strike out whichever is not applicable)

From

M/s. _____

At. _____

PO. _____

Sub-Division _____

Dist. _____

(Location of the Industrial Unit)

To

The General Manager,
Regional Industries Centre / District Industries Centre, _____

Sub: One time reimbursement of audit cost for water conservation under Odisha MSME Development Policy 2016.

Sir,

In accordance with the provisions laid down in Odisha MSME Development Policy 2016 and its operational guidelines, the claim for one time reimbursement of 50% audit cost for water conservation is submitted herewith with following particulars.

1	Category of the Unit (Micro / Small / Medium Enterprises)	:							
2	Name and Address of the Enterprise with e-mail Id & Cell Phone Number	:							
3	Address of Registered office	:							
4	Type of organization (Proprietorship / Partnership / Limited Liability Partner / Co-operative / Private Limited / Public Limited)	:							
5	Name of Proprietor / Managing Partner / Managing Director / Authorized Signatory	:							
6	Entrepreneurs Identification Number (EIN) & Date	:							
7	Production Certificate No & date	:							
8	Item(s) of manufacture / activity	:							
9	Date of commencement of production	:	<table border="1"> <thead> <tr> <th>Item (s)</th> <th>Quantity</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Item (s)	Quantity	Value			
Item (s)	Quantity	Value							
10	Date of first fixed capital investment with its mode [EIN / investment in land / building / plant & machinery and balancing equipment (specify the investment & mode of investment , if made)]	:							
11	Whether it is an identified viable sick MSME treated at par with new industrial unit.	:							
12	Whether the Original Project has availed Term Loan	:							
	(a) Name of Bank with IFS Code sanctioned Term Loan	:							
	(b) Date & amount of Term Loan sanctioned	:							
13	Name of the Financial Institution (Specify the date of sanction & amount of loan availed for Water Conservation Audit, if any)	:							
	a Name of F I / Bank with IFS Code	:							
	b Amount of loan availed for the Water Audit	:							
14	Name & address of Auditor / Organization conducted Water Audit	:							

15	Accreditation of Auditor / Organization conducted Water Audit with Details (copy to be submitted)	:	
16	Whether Auditor / Organization conducted Water Audit is an ISO certified agency (Furnish details)	:	
17	Amount of expenditure incurred for Water Audit (Proof of expenditure for conducting water audit/ copies of the bills / vouchers / receipt etc. be submitted (with a statement in case of multiple bills))	:	
18	Date of completion of successful implementation Water Audit.	:	
19	Water Audit Report & Certificate on successful implementation of Water Audit Report furnished by Auditor / Organization conducted Water Audit (Furnish details)	:	
20	25% reduction in the water consumption of average monthly consumption of previous 12 months before conducting of audit has achieved.	:	
21	Water Consumption	average monthly consumption of previous 12 months before Audit	:
		average monthly consumption after Audit	:
22	Details of assistance sanctioned / availed form any State Govt. /Govt. of India / FI of the country or abroad, with sanction order No & date.	:	
23	Present claim for reimbursement	:	
24	Validity of Consent to Operate / Authorization of State Pollution Control Board (Furnish Copy)	:	

I, Sri_____ s/o _____ at present _____ (designation) of M/S _____ (name of the enterprise) certify that the information furnished as above is true and correct to the best of my knowledge and belief.

I hereby undertake to abide by the terms and conditions prescribed under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines.

I hereby certify that this enterprise has not applied / sanctioned / availed any amount of assistance under any other scheme of the State Govt. or the Central Govt. or any Financial Institution(s) / Support organization in the country and abroad against which the present claim is made.

I hereby undertake to repay the assistance amount or any part thereof with penal interest as decided by the authority, if the information furnished is found to be false / incorrect / misleading or mis-represented and there has been suppression of facts / materials or disbursed in excess of the amount actually admissible for whatsoever reason.

Copies of relevant documents in support of information / facts furnished above are enclosed here with.

- 1.
- 2.
- 3.

Place.
Date.

Signature of the Proprietor / Managing Partner / Managing Director /
Authorized Signatory in full and behalf of

M/s. _____

CHECK LIST

(See Para 9.1 of Operational Guidelines)

Copies of documents to be attached with Application for reimbursement of Audit Cost for Water Conservation shall be self-certified in each page by Proprietor / Managing Partner / Managing Director / Authorized Signatory

There is no need to submit / upload the documents which have already been furnished / uploaded unless there is any change or change in validity.

(Strike out whichever is not applicable)

1	Entrepreneurs Identification Number (EIN) and or Production Certificate
2	Document in support of identified viable sick MSME treated at par with new industrial unit
3	Power of Attorney / Board Resolution / Society Resolution, as applicable, while signing as Partner / Managing Director / Authorized person.
4	Certificate of registration under Indian Partnership Act 1932 / Limited Liability Partnership Act 2009 / Societies Registration Act- 1860 / Certificate of incorporation (Memorandum of association & Article of Association) under Company Act-1956
5	Document in support of date of first investment in fixed capital i.e. land / building / plant & machinery and balancing equipment
6	Document in support of delay in implementation condoned by Empowered Committee
7	Sanction order(s) of the Term Loan, Status of Term Loan A/c, Bank A/c of Enterprise where Term loan is recovered or Self-Finance case, IFS Code of Bank concerned
8	Sanction order of Loan if availed for conducting Water Audit, status of said Loan A/c, IFS Code
9	Document (s) in support of engagement of Water Auditor / Water Audit Agencies
10	Accreditation of Auditor / Organization conducted Water Audit
11	ISO certificate in favour of Auditor / Agency conducted Water Audit
12	Proof of expenditure for conducting water audit/ copies of the bills / vouchers / receipt etc. with a statement in case of multiple bills.
13	Document in support of date of completion of successful implementation Water Audit.
14	Water Audit Report
15	Certificate on successful implementation of Water Audit Report
16	Proof on 25% reduction in the water consumption of average monthly consumption of previous 12 months before conducting of audit has achieved.
17	Document in support of Average monthly consumption after implementation of Water Audit Report
18	Sanction order of assistance sanctioned / availed form any State Govt. / Govt. of India / any FI of the country or abroad
19	Consent to Operate / Authorization of State Pollution Control Board
20	Undertaking on non-judicial Stamp Paper duly signed by the applicant (Annexure- F)

Acknowledgement

(See Para - 9.2 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)
(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for one time reimbursement of 50% of Audit Cost for Water Conservation under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s _____ At/PO _____ Dist. _____ on dt. _____ through post / person.

List of documents

- 1.
- 2.
- 3.

Signature of authorized officer / General Manager, RIC /, DIC
with seal & date _____

- ❖ In case of online filing of application for one time reimbursement of Audit Cost for Water Conservation, the acknowledgement shall be generated electronically on receipt of complete application.

Annexure – C

(TO BE DISPATCHED TO THE APPLICANT)

Acknowledgement

(See Para - 9.2 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)
(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for one time reimbursement of 50% of Audit Cost for Water Conservation under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s _____ At/PO _____ Dist. _____ on dt. _____ through post / person.

List of documents

- 1.
- 2.
- 3.

❖ Signature of authorized officer / General Manager, RIC /, DIC
❖ with seal & date _____

- ❖ In case of online filing of application for one time reimbursement of Audit Cost for Water Conservation, the acknowledgement shall be generated electronically on receipt of complete application.

OFFICE OF THE GENERAL MANAGER, RIC/ DIC _____
(See Para - 10.3 of Operational Guidelines)

SANCTION LETTER

No. _____ dt. _____
(Strike out whichever is not applicable)

The District Level Committee in its _____ meeting dated _____ has accorded sanction towards one time reimbursement of 50% of Audit Cost for Water Conservation for Rs. _____ (in words) Rupees _____ only in favour of M/s. _____ At _____ Po _____ Dist _____ a Micro / Small / Medium Enterprise bearing Production Certificate Number _____ Date _____ under Odisha MSME Development Policy-2016. It is an identified viable sick MSME treated at par with new industrial unit. The details of Term Loan Account with IFS code etc are as below for e-payment.

Signature of General Manager, RIC /, DIC _____
with seal & date _____

Memo No. _____/dt. _____
Copy forwarded to the Director of Industries, Odisha for information.

General Manager, RIC/ DIC _____

Memo No. _____/Ind., dt. _____
Copy forwarded to A.F.A – cum Under Secretary to Govt, MSME Department for information.

General Manager, RIC/ DIC _____

Memo No. _____/Ind., dt. _____
Copy forwarded to Sri _____ M/s. _____
Proprietor / Managing Partner / Managing Director / Authorized Signatory At _____ PO _____ Dist. _____ for information. She / He is requested to furnish Advance Stamped Money Receipt (induplicate) in the format as below and Undertaking in the format prescribed at Annexure–F of in the Non-Judicial Stamp Paper of Rs.10/-
General Manager, RIC/ DIC _____

Advance Stamped Money Receipt

“Received with thanks from _____ sum of Rs. _____ (Rupees _____) only by Cheque / Draft No./ On-line mode _____ dated _____ on account of one time reimbursement of audit cost for water conservation under the provisions of Odisha MSME Development Policy 2016, its Operational Guidelines & terms and conditions laid down in the Undertaking by me / us on Dt. _____”.

Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory in full and on behalf of
M/s. _____ with date

OFFICE OF THE GENERAL MANAGER, RIC / DIC _____
(See Para - 10.4 of Operational Guidelines)

No. _____ / Date _____
(Strike out whichever is not applicable)

To

Sri _____
M/s. _____
At _____
PO _____
Sub-Division _____
Dist. _____

(Location of the Enterprise / Registered Office Address)

Sir,

This is to inform that your application for sanction towards one time reimbursement of 50% of Audit Cost for Water Conservation under Odisha MSME Development Policy-2016 and its Operational Guidelines filed on dt. _____ is rejected due to following reasons.

(Specify the reasons)

- 1.
- 2.
- 3.
- 4.

Signature of General Manager, RIC /, DIC _____
with seal & date _____

Memo Dt

Copy forwarded to Director of Industries, Odisha, Cuttack for information.

Signature of General Manager, RIC /, DIC _____
with seal & date _____

UNDERTAKING

(In non-judicial Stamp Paper of Rs.10/- duly signed by the applicant)

(Strike out whichever is not applicable)

- i) I / We shall abide by the terms and conditions prescribed under the provisions of Odisha MSME Development Policy 2016 and its Operational Guidelines.
- ii) I hereby certify that this enterprise has not applied / sanctioned / availed any amount of assistance under any other scheme of the State Govt. or the Central Govt. or any Financial Institution(s) / Support organization in the country and abroad except the present claim is made.
- iii) I / We shall repay the one time reimbursement of audit cost for water conservation or any part thereof with penal interest as decided by the authority, if the information furnished is found to be false/ incorrect / misleading or mis-represented and there has been suppression of facts / materials or if found to have been disbursed in excess of the amount actually admissible for whatsoever reason.
- iv) The claim for onetime reimbursement of audit cost for water conservation does **not** include / cover cost of change over assets like acquisition of water saving equipment, new installations, remodelling, up gradation of existing, replacement of obsolete machineries etc.
- v) I / we shall furnish information, reports, statements etc. to the RIC / DIC / D I, Odisha as and when asked for.

Date:

Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory in full and on behalf of

Place:

M/s. _____

Government of Odisha
MSME Department

NOTIFICATION

No. II-MSME-2/2017 622/MSME, Bhubaneswar, the 31st January, 2017

Sub: Operational Guidelines for Assistance for Raising Capital Through SME Exchange under Odisha MSME Development Policy- 2016 (See Para 6.5 of Odisha MSME Development Policy-2016)

1. **Short Title:** "Operational Guidelines for Assistance for raising Capital through SME Exchange" under Odisha MSME Development Policy-2016.
2. **Extent:** It shall extend to the whole of the State of Odisha.
3. **Commencement:** It shall come into force from 24th November, 2016 i.e. date of Notification of the Odisha MSME Development Policy-2016.
4. **Policy Provisions:**
"New Small & Medium Enterprises shall be entitled for one time grant @20% of expenditure incurred for raising of capital through SME Exchange subject to a maximum amount of Rs.10 lakh after successful raising of equity as per the scheme approved by SME Exchange."
5. **Terms and Expressions:** Terms and expressions used in this operational guideline, but not specifically defined here, shall have the same meaning as in Odisha MSME Development Policy-2016. **For the purpose of understanding / awareness only, the terms are clarified below:**
 - 5.1 SME Exchange: means a trading platform of a recognised stock exchange having nationwide trading terminals permitted by the Board to list the specified securities issued in accordance with Chapter XA of the Securities And Exchange Board Of India (Issue Of Capital And Disclosure Requirements) Regulations and includes a stock exchange granted recognition for this purpose but does not include the Main Board. (<http://www.sebi.gov.in/acts/icdrthirdamendapr2010.pdf>)
 - 5.2 Equity: is the net amount of funds invested in a business by its owners plus any retained earnings.
 - 5.3 Only a Public Limited Company can be listed in SME Exchange. In case of Private Limited Company, Partnership firm, Proprietary firm, first of all, conversion to a Public Limited Company is required.

6. Eligibility:

- 6.1 New Small & Medium Enterprises as defined in Annexure I of Appendices of Odisha MSME Development Policy, 2016 where fixed capital investment has commenced on or after 24th November, 2016 i.e. effective date of Odisha MSME Development Policy-2016 and gone into production within three years from the date of starting first fixed capital investment.
- 6.2 Where period of implementation of projects (new Micro, Small & Medium Enterprises) exceeds stipulated period of three years due to force majeure (reasons like natural calamities), if such delay shall have been condoned by Empowered Committee.
- 6.3 New Small / Medium Enterprises shall have been acknowledged with Entrepreneurship Identification Number (EIN) and or Production Certificate (PC) from the RIC / DIC.
- 6.4 Enterprises / activities which are declared ineligible as in Annexure II of Appendices of Odisha MSME Development Policy, 2016 to avail incentives shall not be entitled for assistance for raising Capital through SME Exchange.
- 6.5 The claim for assistance for raising Capital through SME Exchange shall be considered only after successful raising of equity.
- 6.6 New Small & Medium Enterprises shall not be entitled for assistance for raising Capital through SME Exchange if the project has availed same under any other scheme(s) / source(s).
- 6.7 Enterprises undertaken Expansion / Modernization / Diversification shall not be entitled for assistance for raising Capital through SME Exchange.
- 6.8 New small / medium enterprises (not in negative list) converting to Public Limited for the purpose of listing in SME Exchange, the expenditure incurred there to along with expenditure incurred for raising equity capital (one time) shall qualify for assistance.

7. Time Limit for filing Application:-

- 7.1 Eligible new Small & Medium Enterprise shall file its claim for assistance for raising capital through SME Exchange in the prescribed Application Form complete in all respect within **one** year from the date of raising equity / within **one** year from the date of notification of this Operational Guidelines, whichever is later.
- 7.2 Application in the prescribed form received after the due date / incomplete in any respect shall be liable to be summarily rejected. There shall be no consideration for condonation of delay in filing application for assistance for raising Capital through SME Exchange.

8. **State Directorate Level Committee (SDLC):** The State Directorate Level Committee constituted at Directorate of Industries as per para 10.2 of Operational Guidelines of CIS under Odisha MSMED Policy-2016 shall be competent to sanction assistance for raising Capital through SME Exchange.
9. **Procedure:**
- 9.1 New Small & Medium Enterprise considered itself eligible shall submit application in the Form prescribed at **Annexure – A** along with copies of all relevant documents as mentioned in the Checklist at **Annexure – B** to the concerned General Manager, Regional Industries Centre / District Industries Centres. Copies of the documents as indicated in the checklist shall be self-certified by Managing Director / Authorized Signatory. The documents / relevant data which are already uploaded / furnished to RIC / DIC earlier shall not be uploaded / furnished once again unless there is any change including change in validity of the same. In case of online filing of Application for assistance for raising Capital through SME Exchange, there is no need to furnish the hard copy of documents unless asked for.
- 9.2 On receipt of complete application with relevant documents / data, the acknowledgement as prescribed at **Annexure – C** shall be dispatched to the applicant duly signed by the authorized officer / General Manager, RIC / DIC on the day of receipt. The General Manager RIC / DIC may authorize any of his sub-ordinate officers for the purpose. In case of online filing, the same shall be generated electronically.
- 9.3 RIC/ DIC concerned shall be examine the application, scrutinized, checked with original, determine the 1st date of fixed capital investment, eligibility & applicability of policy provisions in each case and forward the same with copies of relevant documents offline / online to the Directorate of Industries, Odisha in the Format Prescribed at **Annexure – D** within **next 7 days**.
- 9.4 On receipt, Directorate of Industries shall also examine fulfilment of eligibility criteria, time limit, Policy applicability, compute eligible amount of assistance and place in State Directorate Level Committee to be held during the month.
10. **Sanction:**
- 10.1 The SDLC shall consider for sanction assistance for raising Capital through SME Exchange in favour of the eligible Small & Medium Enterprise on merit.

- 10.2 One time grant @20% of expenditure incurred for raising of capital through SME Exchange subject to a maximum amount of Rs.10 lakh after successful raising of equity, whichever is lower, shall be considered for sanction.
- 10.3 After sanction of assistance by SDLC, the Directorate of Industries, Odisha shall communicate the details of sanction in the format prescribed at **Annexure – E** to the concerned Small Enterprise / Medium Enterprise under intimation to the concerned Bank / FI and RIC / DIC within next **7 days** of holding SDLC.
- 10.4 In case of rejection / any other decision taken by the SDLC, the same will be communicated by RIC / DIC / Directorate of Industries, Odisha to the concerned enterprise under intimation to the concerned Bank / FI and Director of Industries, Odisha / RIC / DIC in the format prescribed at **Annexure – F** within next **7 days** of holding of State Directorate Level Committee meeting.
11. **Disbursement:**
 - 11.1 On receipt of sanction letter, the enterprise shall execute an **Agreement** in the format prescribed at **Annexure – G**, furnish the advance money receipt at RIC / DIC who shall forward the same with working status of the enterprise, valid copies of consent to operate of OSPCB, and copies of duly certified document(s) asked for by SDLC within next **7 days**.
 - 11.2 On receipt, disbursement of sanctioned amount of assistance or of any part thereof of either in one or more instalments shall be made by Directorate of Industries directly to the Term loan Account of the concerned enterprise within next **5 days** subject to availability of funds through budgetary provision under the scheme. In case of self-financed or where the term loan has been recovered, the same shall be made to Bank Account of Enterprise.
 - 11.3 Disbursement of sanctioned assistance shall not be made, if the unit is found closed. It may be deferred and effected on satisfactory resumption of production.
12. **Maintenance of Records:** The receipt, sanction, rejection, disbursement of assistance for raising Capital through SME Exchange shall be monitored both electronically & manually at RIC / DIC / Directorate of Industries level.
13. **Recovery:** Assistance received by enterprise shall be recoverable under the provision of OPDR Act, 1962 as arrears of land revenue on violation of Policy provisions, terms & conditions of Operational Guidelines & Agreement / Undertaking.

14. **Miscellaneous:**

- 14.1 RIC/ DIC / Directorate of Industries, Odisha / Bank / FI may inspect the enterprise individually or jointly as and when required / if felt necessary.
- 14.2 Assistance for raising Capital through SME Exchange disbursed or any part thereof with penal interest as decided by the authority shall become forthwith repayable by the entrepreneur(s), if the information furnished is found to be false / incorrect / misleading or mis-represented and there has been suppression of facts / materials or disbursed in excess of the amount actually admissible for whatsoever reason.
15. Time limit prescribed in this guidelines are of working days only.
16. This operational guidelines have been concurred in by Finance Department in their UOR No. 270/PSF dated 21-01-2017.

By Order of Governor

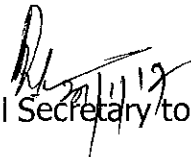

31.1.17

(L.N. Gupta)

Principal Secretary to Government

Memo No. 623 /MSME Date 31-01-2017

Copy forwarded to All Departments / All Heads of Departments / All Revenue Divisional Commissioners / All Collectors / All RICs / All DICs / Technical Director, NIC (managing MSME portal) / All sections of MSME Department / Guard File (5 copies) for information and necessary action.


Additional Secretary to Government

**APPLICATION FOR SANCTION OF
ASSISTANCE FOR RAISING CAPITAL THROUGH SME EXCHANGE
UNDER ODISHA MSME DEVELOPMENT POLICY-2016**

(See Para 9.1 of Operational Guidelines)

Application received after the due date / incomplete in any respect shall be liable for rejection)

(Strike out whichever is not applicable)

From

M/s. _____

At. _____

PO. _____

Sub-Division _____

Dist. _____

(Location of the Industrial Unit)

To

The General Manager,
Regional Industries Centre / District Industries Centre, _____

Sub: Assistance for raising capital through SME Exchange under Odisha MSME Development Policy 2016.

Sir,

In accordance with the provisions laid down in Odisha MSME Development Policy 2016 and its operational guidelines, the claim for one time grant @ 20% of expenditure incurred subject to a maximum amount of Rs. 10 lakh for successful raising of equity through SME Exchange is submitted herewith with following particulars.

1	Category of the Enterprise (Small / Medium Enterprises)	:							
2	Name and Address of the Enterprise with e-mail Id & Cell Phone Number	:							
3	Address of Registered office of Public Limited	:							
4	Name of Managing Director / Authorized Signatory	:							
5	Entrepreneurs Identification Number (EIN) & Date	:							
6	Production Certificate No & date	:							
7	Date of commencement of production	:							
8	Item(s) of manufacture / activity	:	<table border="1"> <thead> <tr> <th>Item (s)</th> <th>Quantity</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Item (s)	Quantity	Value			
Item (s)	Quantity	Value							
9	Date of first fixed capital investment with its mode [EIN / investment in land / building / plant & machinery and balancing equipment (specify the investment & mode of investment , if made)]	:							
10	Project Cost	:							
11	Whether the Project has availed Bank Finance	:							
	(a) Name of Bank with IFS Code sanctioned Loan								
	(b) Date & amount of Loan sanctioned								
12	Details of Certificate of Permission / Registration with SEBI (Securities and Exchange Board of India)	:							
13	Details of SME Exchange Registration / Permission	:							
14	Details of approval of SEBI on Application prepared by Enterprise	:							
15	Name & Address of Registrar of Capital issue of the Enterprise	:							

16	Name & Address of Intermediaries for Capital issue of the Enterprise	:	
17	Date of capital Issue Published	:	
18	Quantum of equity capital raised through SME Exchange	:	
19	Expenditure incurred for raising Equity Capital (Listing cost comprises Professional Fee, Statutory fee / Expenses, Market making Fee)	:	
20	Present claim for assistance	:	
21	Validity of Consent to Operate / Authorization of State Pollution Control Board	:	

I, Sri _____ s/o _____ at present _____ (designation) of M/S _____ (name of the enterprise) certify that the information furnished as above is true and correct to the best of my knowledge and belief.

I hereby undertake to abide by the terms and conditions prescribed under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines.

I hereby certify that this enterprise has not applied / sanctioned / availed any amount of assistance under any other scheme of the State Govt. or the Central Govt. or any Financial Institution(s) / Support organization against which the present claim is made.

I hereby undertake to repay the assistance amount or any part thereof with penal interest as decided by the authority, if the information furnished is found to be false / incorrect / misleading or mis-represented and there has been suppression of facts / materials or disbursed in excess of the amount actually admissible for whatsoever reason.

Copies of relevant documents in support of information / facts furnished above are enclosed here with.

- 1.
- 2.
- 3.

Place:
Date.

Signature of the Managing Director /
Authorized Signatory in full and behalf of

M/s -----

CHECK LIST**(See Para 9.1 of Operational Guidelines)**

Copies of documents to be attached with Application for assistance for raising Capital through SME Exchange shall be self-certified in each page by Managing Director / Authorized Signatory

There is no need to submit / upload the documents which have already been furnished / uploaded unless there is any change or change in validity.

(Strike out whichever is not applicable)

1	Entrepreneurs Identification Number (EIN) and or Production Certificate
2	Board Resolution while signing as Managing Director / Authorized person.
3	Document in support of date of first investment in fixed capital i.e. land / building / plant & machinery and balancing equipment
4	Document in support of delay in implementation condoned by Empowered Committee
5	Approved DPR (Detailed Project Report)
6	Sanction order(s) of the Loan, Status of Loan A/c, Bank A/c of Enterprise where Loan is recovered or Self-Finance case, IFS Code of Bank concerned
7	Certificate of Permission / Registration with SEBI (<i>Securities and Exchange Board of India</i>)
8	SME Exchange Registration / Permission
9	Approval of SEBI on Application prepared by Enterprise
10	Public Issue Broucher
11	Documents in support of quantum of equity capital raised through SME Exchange
12	Proof of expenditure incurred for raising Equity Capital (Listing cost comprises Professional Fee, Statutory fee / Expenses, Market making Fee) with a Certificate from Chartered Accountant(Format at Annexure B1)
13	Sanction order of assistance sanctioned / availed form any State Govt. / GoI / any F I
14	Consent to Operate / Authorization of State Pollution Control Board
15	Undertaking on non-judicial Stamp Paper / Agreement duly signed by the applicant (Annexure-F)

Certificate from Chartered Accountant

(On a CA Letter Head)

The document & records of M/s Regd. office at and enterprise located atbearing Production Certificate No. dated in respect of the expenditure incurred for raising Equity Capital through SME Exchange have been verified, and it is certified that the said company have incurred a total expenditure of Rs. (Rupees) towards Listing cost which comprises Professional Fee, Statutory fee / expenses, Market making Fee as per the following details of payments.

Details of payments (Name of agency/ organisation) amount paid (in rupees)

- a) Professional Fee paid to _____ Rs. _____
- b) Statutory fee / expenses paid to _____ Rs. _____
- c) Market making Fee paid to _____ Rs. _____
- d) Others, please specify

Total

AND

Verified from the books of accounts of above firm that the equity raised through SME Exchange as on date _____ stands as Rs. _____ (Rupees _____)

Name & signature of the Chartered Accountant
with stamps & CA membership number
Dated _____

Payment at (a), (b), (c) & (d) above should be supported by copies of receipts of payments made indicating the purpose for which the payments have been made.

Acknowledgement

(See Para - 9.2 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)

(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for onetime assistance for raising Capital through SME Exchange under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s----- At/PO-----Dist. _____ on dt. -----through post / person.

List of documents

- 1.
- 2.
- 3.

Signature of authorized officer / General Manager, RIC /, DIC
with seal & date-----

- ❖ In case of online filing of application for onetime assistance for raising Capital through SME Exchange, the acknowledgement shall be generated electronically on receipt of complete application.

Annexure- C

(TO BE DISPATCHED TO THE APPLICANT)

Acknowledgement

(See Para - 9.2 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)

(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for onetime assistance for raising Capital through SME Exchange under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s----- At/PO-----Dist. _____ on dt. -----through post / person.

List of documents

- 1.
- 2.
- 3.

Signature of authorized officer / General Manager, RIC /, DIC
with seal & date-----

- ❖ In case of online filing of application for onetime assistance for raising Capital through SME Exchange, the acknowledgement shall be generated electronically on receipt of complete application.

❖

OFFICE OF THE GENERAL MANAGER, RIC/ DIC _____
(See Para - 9.3 of Operational Guidelines)

The Application & copies of documents for sanction of assistance for raising capital through SME Exchange filed by M/s _____ has been examined, scrutinized, checked with original and found correct. Determination of first date of fixed capital investment, applicability of Policy, eligible amount of claim are as below.

1	Date of first fixed capital investment with its mode {EIN / investment in land / building / plant & machinery and balancing equipment (specify the investment & mode of investment , if made)}	:	
2	Whether it is an identified viable sick MSME treated at par with new industrial unit. (Small / Medium Enterprises)	:	
3	Eligibility under Odisha MSME Development Policy-2016	:	
4	Amount eligible for one time grant for raising equity through SME Exchange	:	
5	Validity of documents a) b) c)	:	

The Application & copies of relevant documents for sanction of assistance for raising capital through SME Exchange filed by M/s _____ are forwarded to the Directorate of Industries, Odisha for consideration in SDLC.

Encl.

General Manager, RIC / DIC _____

OFFICE OF THE DIRECTOR OF INDUSTRIES, ODISHA, CUTTACK
(See Para - 10.3 of Operational Guidelines)

SANCTION LETTER

No. _____ dt. _____
(Strike out whichever is not applicable)

The State Directorate Level Committee in its ---- meeting dated----- has accorded sanction of onetime grant @ 20% of expenditure incurred for successful raising of equity through SME Exchange for Rs.____ (in words) Rupees_____ only / Rs. 10,00,000/- (Rupees Ten lakh) in favour of M/s. _____ At _____ Po_____ Dist_____ a Small / Medium Enterprise bearing Production Certificate Number _____ Date_____ under Odisha MSME Development Policy-2016. It is an identified viable sick SME treated at par with new industrial unit. The details of Loan Account with IFS code etc are as below for e-payment.

Signature of Director of Industries, Odisha
with seal & date-----

Memo No. _____/dt. _____

Copy forwarded to the General Manager, RIC /, DIC _____ for information.

Director of Industries, Odisha

Memo No. _____/Ind., dt. _____

Copy forwarded to A.F.A-cum Under Secretary to Govt, MSME Department for information.

Director of Industries, Odisha

Memo No. _____/Ind., dt. _____

Copy forwarded to Sri-----M/s. _____ Managing Director / Authorized Signatory At _____ PO _____ Dist. _____ for information. She / He is requested to furnish Advance Stamped Money Receipt (induplicate) in the format as below and Undertaking / Agreement in the format prescribed at Annexure-G .

Director of Industries, Odisha

Advance Stamped Money Receipt

“Received with thanks from _____ sum of Rs. _____ (Rupees _____) only by Cheque / Draft No./ On-line mode _____ dated _____ on account of onetime grant @ 20% of expenditure incurred for successful raising of equity through SME Exchange under the provisions of Odisha MSME Development Policy 2016, its Operational Guidelines & terms and conditions laid down in the Agreement /Undertaking by me / us on Dt. _____”.

Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory in full and on behalf of
M/s. _____ with date

OFFICE OF THE DIRECTOR OF INDUSTRIES, ODISHA, CUTTACK
OFFICE OF THE GENERAL MANAGER, RIC / DIC-----
(See Para - 10.4 of Operational Guidelines)

No. _____ / Date _____
(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

At _____

PO _____

Sub-Division _____

Dist. _____

(Location of the Enterprise / Registered Office Address)

Sir,

This is to inform that your application for sanction of onetime grant @ 20% of expenditure incurred for successful raising of equity through SME Exchange under Odisha MSME Development Policy-2016 and its Operational Guidelines filed on dt. _____ is rejected due to following reasons.

(Specify the reasons)

1.

2.

3.

4.

Signature of Director of Industries, Odisha /
General Manager, RIC / DIC _____
with seal & date _____

Memo Dt

Copy forwarded to Director of Industries, Odisha, Cuttack / General Manager, RIC /
DIC _____ for information.

Signature of Director of Industries, Odisha /
General Manager, RIC / DIC _____
with seal & date _____

(Strike out whichever is not applicable)

AGREEMENT

(See Para 11.1 of Operational Guidelines)

This INDENTURE made in this _____ day of _____, 20---- between a public limited company incorporated under companies Act, 1956 having its registered office at _____

And

The Regional Industries Centre / District Industries Centre _____ operating in the District _____ under the administrative control of MSME Department, Government of Odisha, representing the Governor of Odisha, exercising the executive powers of the Government of Odisha (here in after referred to as "the Governor" which expression shall unless it be repugnant to the context or meaning the thereof be deemed to include his successor of successors and assigns) of second part, as :-

- a) The Government of Odisha have framed a scheme as Assistance for raising Capital through SME Exchange under the provisions of Odisha MSME Development Policy-2016 for the Small & Medium Enterprises with a view to promote growth of SME standing therein that Government of Odisha will grant an assistance to the parties who set up new Small / Medium Enterprises in the districts of the State and on successful raising of equity through SME Exchange if the said parties satisfy the terms and conditions laid down under the Policy and its Operational Guidelines which shall be deemed to be a part of this agreement.
- b) The Entrepreneur(s) have set up a Small Enterprise / Medium Enterprise at _____ on Plot No. _____ Khata No. _____ measurement of area _____ Mouza _____ District _____ standing in the name of _____ and have satisfied other conditions of the scheme, assistance for raising Capital through SME Exchange and have, therefore, become entitled to the benefits under the said scheme.
- c) The entrepreneur(s) by their application dated the day of _____ 20 __ applied to the Government for sanction of onetime grant for (Rupees _____ @ 20 % of expenditure incurred limiting to rupees Ten lakh whichever is lower on successful raising of equity through SME Exchange under Odisha MSME Development Policy-2016 and its Operational Guidelines and whereas :-
 - i) Relying on the said application and subsequent representations made by the entrepreneurs, the Government have sanctioned assistance on successful raising of equity through SME Exchange @ 20 % of expenditure incurred (limiting to rupees Ten lakh whichever is lower) under Odisha MSME Development Policy-2016 and its

Operational Guidelines for Rs. _____ and the Directorate of Industries, Odisha has agreed to pay the same on behalf of the Government to the entrepreneur on executing the necessary documents.

ii) Now this INDENTURE witnesses and it is hereby agreed by and between the parties hereto as under:

1. In consideration of the Government agreeing to give to the entrepreneurs under the said scheme, in such instalments the Government in its sole discretion think fit, an aggregate amount of assistance of _____ and the entrepreneurs do and each of them do hereby covenant with the Government as under :-
2. In the event of the State Directorate Level Committee ultimately deciding for any reasons whatsoever that the entrepreneurs are entitled to a lesser amount of assistance the excess amount of the assistance shall be repaid by the entrepreneurs to the RIC /DIC as agent of the Government along with interest thereon @ 12 ½% per annum or such other higher rate as the Government might decide from time to time from the date of payment of the said amount of Rs. _____ or any part thereof paid under this agreement till the repayment.
3. The entrepreneurs shall duly observe and perform the covenants and the conditions to be observed and performed by him / them under the said scheme.
4. The entrepreneurs shall not without prior approval of the State Directorate Level Committee change the location of the whole or any part of the enterprise or affect any substantial change in the said project within a period of 5 years from the commencement of production of the Enterprise.
5. The entrepreneurs shall promptly furnish all the information / statements / documents asked for to the RIC / DIC----- / Director of Industries / Government by such dates as may be prescribed by the Government from time to time.
6. The said sum of Rs. _____ or such part thereof as may have been till then paid by the Government to the entrepreneurs shall become forthwith repayable by the entrepreneurs to the Government in each and every of the following events namely;
 - a) If the enterprise go out of production within 5 years from the date of commencement of production.
 - b) If the entrepreneurs shift the registered office of the unit outside the State without taking prior permission of the State Government.
 - c) If any information furnished by the entrepreneur(s) in his / their application for the subsidy or otherwise particularly regarding location, capital investment and production, capacity of the said unit prior to the sanctioning of the sum of Rs.

_____ as the assistance is found to be incorrect or false or misleading and there has been suppression of any material / facts.

- d) If a distress of execution shall be levied upon any property of the entrepreneurs or any part of the said factory or a receiver thereof is appointed.
 - e) If the entrepreneurs shall commit a breach of any one of the covenants or provisions herein contained and on his / their part to be observed and performed.
 - f) If the entrepreneurs close the said enterprise for a period exceeding 6 months at a time for reasons other than the labour troubles, want of electric power or raw material or shall cease to carry on business for any reason whatsoever within 5 years from the date of commencement of production.
 - g) If the entrepreneurs or any of them file a petition for being adjudicated as insolvent or are / is adjudicated as insolvent.
 - h) If any petition for winding up the entrepreneurs company / enterprise is presenting to any court or the entrepreneurs company passes any resolution for being wound up.
 - i) If the entrepreneurs fail or neglect to forthwith execute such further documents as may be required by the Government or to duly comply with any direction given to it by the Government or the RIC / DIC. In each one of the aforesaid contingencies the entrepreneurs are to repay the whole amount mentioned above with interest thereon @ 12 ½% per annum or such higher rate as the Government might decide from time to time from the date of disbursement of the assistance till the repayment.
7. Whenever any sum due and payable by the entrepreneur under these presents shall be in arrears the same shall be deemed to be public demand and may without prejudice to any other right and the remedies of the Government be recovered from the entrepreneurs as a public demand under the Odisha Public Demand Recovery Act, 1962.
8. The entrepreneurs shall permit any person or persons authorized by the Government in that behalf at any time and from time to time during the usual time or business to inspect and examine any part of the said enterprise and shall render to him / them such assistance as may be required for the Government and furnish to such person or person as aforesaid all such information relating to the said enterprise as may be required by such person or persons.
9. In the event of any dispute or difference arising between the parties hereto in respect of or in relation to this agreement or any provision herein contained either during the subsistence of this agreement or thereafter the same shall be referred to

the sole arbitration or a suitable person acceptable to the entrepreneurs as well as the Government and / or the RIC / DIC----- or any other person nominated by Govt. and his decision thereof shall be final and binding on the parties. Such arbitration shall be under the provision of the Arbitration Act, 1940 and shall be held in **Cuttack.**

10. The entrepreneurs agree that in respect of any matters arising under this agreement, the courts at Cuttack along with have exclusive jurisdiction and that the entrepreneurs submit to the same will not object that the courts at Cuttack have no jurisdiction for any reason whatsoever.

11. In the event of any action arising under any of the clause herein above the entrepreneurs agree to pay to the RIC / DIC----- as agent of the Government legal charges and such other costs as the RIC / DIC----- may be required to incur in connection with the aforesaid action.

12. The entrepreneurs agree to bear and pay all the costs charged and the expenses incidental to the preparation and the execution of the agreement.

In Witness whereof of parties hereto have affixed their common seal of this writing the day and year first herein above written.

The common seal of :

Is there into affixed pursuant to the resolution of the Board of Directors of the company passed on the day of in the presence of who has / have put his/their signatures.

In token of his / their presence in the presence of

In the witness thereof the entrepreneurs have put their (Respective hand here today _____ year herein above written)

Signed and delivered by the _____

With name in the presence of

Witness

1.

2.

Signature of Officer

Acting in the premises for on behalf of the Government of Odisha in the presence of Witness

1.

2.

Signature of

Government of Odisha
MSME Department

NOTIFICATION

No. II-MSME-2/2017 624/MSME, Bhubaneswar, the 31st January, 2017

Sub: Operational Guidelines for Trade Mark Assistance under Odisha MSME Development Policy- 2016 (See Para 6.6 of Odisha MSME Development Policy-2016)

1. **Short Title:** "Operational Guidelines for Trade Mark Assistance" under Odisha MSME Development Policy-2016.
2. **Extent:** It shall extend to the whole of the State of Odisha.
3. **Commencement:** It shall come into force from 24th November, 2016 i.e. date of Notification of the Odisha MSME Development Policy-2016.
4. **Policy Provisions:**
"New MSMEs shall be entitled for reimbursement of 50% of expenditure incurred in obtaining Trade Mark subject to maximum of Rs.25,000/-."
5. **Terms and Expressions:** Terms and expressions used in this operational guideline, but not specifically defined here, shall have the same meaning as in Odisha MSME Development Policy-2016.
 - 5.1 **Trade Mark:** means a mark capable of being represented graphically and which is capable of distinguishing the goods of one from those of others and may include shape of goods, their packaging and combination of colours. A mark can include a device, brand, heading, label, ticket, name, signature, word, letter, numeral, shape of goods, packaging or combination of colours or any such combinations.
 - 5.2 The letters "TM" in superscript is for an unregistered trademark and letter "R" surrounded by a circle is for a registered trademark.
6. **Eligibility:**
 - 6.1 New Micro, Small & Medium Enterprises as defined in Annexure I of Appendices of Odisha MSME Development Policy, 2016 where fixed capital investment has commenced on or after 24th November, 2016 i.e. effective date of Odisha MSME Development Policy-2016 and gone into production within three years from the date of starting first fixed capital investment.

- 6.2 Where period of implementation of projects (new Micro, Small & Medium Enterprises) exceeds stipulated period of three years due to force majeure (reasons like natural calamities), if such delay shall have been condoned by Empowered Committee.
- 6.3 New Micro and Small Enterprises shall have been acknowledged with Entrepreneurship Identification Number (EIN) and or Production Certificate (PC) from the RIC / DIC.
- 6.4 Enterprises which are declared ineligible as in Annexure II of Appendices of Odisha MSME Development Policy, 2016 to avail incentives shall not be entitled for the assistance.
- 6.5 Expenditure incurred in obtaining Trade Mark shall include fees paid to Registry of Trademark in India on the basis of number of classes applied and payment / consultancy charges paid to Professionals towards trademark search, trademark application filing, trademark examination–response, trademark registration and **not** include fees or any kind of payment made for renewal of registration of Trade mark / restoration of Trademark.
- 6.6 New MSME shall not be entitled for reimbursement of 50% of expenditure incurred in obtaining Trade Mark, if the project has availed same under any other scheme(s) / source(s).
- 6.7 Enterprises undertaking Expansion / Modernization / Diversification shall not be entitled for reimbursement of 50% of expenditure incurred in obtaining Trade Mark.
- 6.8 Identified viable sick Micro, Small & Medium Enterprises treated at par with new industrial unit shall avail reimbursement of 50% of expenditure incurred in obtaining Trade Mark after rehabilitation provided such Micro Enterprise / Small Enterprises Medium Enterprise have not availed reimbursement of 50% of expenditure incurred in obtaining Trade Mark from any source under any Policy / Scheme before or after rehabilitation and subject to fulfillment of relevant conditions as stipulated as above provided reimbursement of 50% of expenditure incurred in obtaining Trade Mark is the one of the constituents of rehabilitation package.

7. **Time Limit for filing application:**

- 7.1 Eligible New Micro, Small & Medium Enterprise shall file its claim for reimbursement of 50% of expenditure incurred towards obtaining Trade Mark in the prescribed Application Form complete in all respect **within one year** from the date of obtaining Trade Mark / **within one year** from the date of notification of this Operational Guidelines, whichever is later.
- 7.2 Eligible rehabilitated sick Micro, Small & Medium Enterprises as in Para-6.8 of

this Operational Guidelines shall file its claim for reimbursement of 50% of expenditure incurred in obtaining Trade Mark in the prescribed Application Form complete in all respect within one year from the date of obtaining Trade Mark / within one year from the date of notification of this Operational Guidelines, whichever is later.

7.3 Application in the prescribed form received after the due date / incomplete in any respect shall be liable to be summarily rejected. There shall be no condonation of delay in filing application for reimbursement of 50% of expenditure incurred in obtaining Trade Mark.

8. **District Level Committee (DLC):** The District Level Committee constituted in each RIC / DIC as per para 10.1 of Operational Guidelines of CIS under Odisha MSMED Policy-2016 shall be competent to sanction reimbursement of 50% of expenditure incurred in obtaining Trade Mark in favour of new MSMEs.

9. **Procedure:**

9.1 New Micro, Small & Medium Enterprise considered itself eligible shall submit application in the Form prescribed at **Annexure – A** along with copies of all relevant documents as mentioned in the Checklist at **Annexure – B** to the concerned General Manager, Regional Industries Centre / District Industries Centres. Copies of the documents as indicated in the checklist shall be self-certified by Proprietor / Managing Partner / Managing Director / Authorized Signatory. The documents / relevant data which are already uploaded / furnished to RIC / DIC earlier shall not be uploaded / furnished once again unless there is any change including change in validity of the same. In case of online filing of Application for reimbursement of 50% of expenditure incurred in obtaining Trade Mark, there is no need to furnish the hard copy of documents unless asked for.

9.2 On receipt of complete application with relevant documents / data, the acknowledgement as prescribed at **Annexure – C** shall be dispatched to the applicant duly signed by the authorized officer / General Manager, RIC / DIC on the day of receipt. The General Manager RIC / D I C may authorize any of his sub-ordinate officers for the purpose. In case of online filing, the same shall be generated electronically.

9.3 The application shall be examined, scrutinized, checked with original by the concerned RIC/ DIC and wherever necessary spot verification shall be made, determine the 1st date of fixed capital investment, eligibility & applicability of policy provisions in each case within next 7 days.

9.4 Agenda Note on fulfilment of eligibility criteria, time limit, Policy applicability, expenditure incurred in obtaining Trade Mark etc. shall be placed by the Convenor in District Level Committee to be held during the month.

10. **Sanction:**

10.1 The DLC will consider proposals for sanction of sanction for reimbursement of 50% of expenditure incurred in obtaining Trade Mark in favour of the eligible MSME.

10.2 Reimbursement of 50% of actual expenditure incurred in obtaining Trade Mark limiting to Rs.25,000/-, whichever is lower, shall be considered for sanction.

10.3 After sanction for reimbursement of 50% of expenditure incurred in obtaining Trade Mark by the DLC, the RIC / DIC shall communicate the sanction in the format prescribed at **Annexure – D** to the concerned MSME under intimation to Director of Industries, Odisha within **next 7 days** of the DLC meeting .

10.4 In case of rejection / any other decision taken by the DLC, the same will be communicated by RIC / DIC to the concerned enterprise under intimation to Director of Industries, Odisha in the format prescribed at **Annexure – E** within **next 7 days** of the DLC meeting.

11. **Disbursement:**

11.1 On receipt of sanction letter, the advance money receipt and Undertaking in the format prescribed at **Annexure – F** shall be furnished by MSME to RIC / DIC along with the present working status and copies of any other document (s) asked for, if any, by DLC within **next 7 days**.

11.2 Disbursement of sanctioned amount shall be made by RIC / DIC directly to the Term loan Account of the Enterprise. In case of self-financed or where the term loan has been recovered, the sanctioned amount may be disbursed to Bank Account of the Enterprise within **next 5 days** subject to availability of funds under the scheme.

11.3 The disbursement may be deferred if the enterprise is found closed and may be effected on resumption of production.

12. **Maintenance of Records:** The receipt, sanction, rejection, disbursement of reimbursement of 50% of expenditure incurred in obtaining Trade Mark shall be monitored both electronically & manually at RIC / DIC / Directorate of Industries level.

13. **Recovery:** Reimbursement of 50% of expenditure incurred in obtaining Trade Mark, received by enterprise shall be recoverable under the provision of

OPDR Act, 1962 as arrears of land revenue on violation of Policy provisions, terms & conditions of Operational Guidelines & Undertaking.

14. **Miscellaneous:**

- 14.1 RIC/ DIC / Directorate of Industries, Odisha may inspect the enterprise as and when required / if felt necessary.
- 14.2 Reimbursement of 50% of expenditure incurred in obtaining Trade Mark or any part thereof with penal interest as decided by the authority shall become forthwith repayable by the entrepreneur(s), if the information furnished is found to be false / incorrect / misleading or mis-represented and there has been suppression of facts / materials or disbursed in excess of the amount actually admissible for whatsoever reason.
15. Time limit prescribed in this guidelines are of working days only.
16. This operational guidelines have been concurred in by Finance Department in their UOR No. 270/PSF dated 21-01-2017.

By Order of Governor



(L.N. Gupta)

Principal Secretary to Government

Memo No. 625 /MSME Date 31-01-2017

Copy forwarded to All Departments / All Heads of Departments / All Revenue Divisional Commissioners / All Collectors / All RICs / All DICs / Technical Director, NIC (managing MSME portal) / All sections of MSME Department / Guard File (5 copies) for information and necessary action.


Additional Secretary to Government

**APPLICATION FOR SANCTION OF TRADE ASSISTANCE
UNDER ODISHA MSME DEVELOPMENT POLICY-2016**

(See Para 9.1 of Operational Guidelines)

Application received after the due date / incomplete in any respect shall be liable for rejection)

(Strike out whichever is not applicable)

From

M/s. _____

At. _____

PO. _____

Sub-Division _____

Dist. _____

(Location of the Industrial Unit)

To

The General Manager,
Regional Industries Centre / District Industries Centre, _____

Sub: Trademark assistance under Odisha MSME Development Policy 2016.

Sir,

In accordance with the provisions laid down in Odisha MSME Development Policy 2016 and its operational guidelines, the claim for reimbursement of 50% of expenditure incurred in obtaining Trade Mark is submitted herewith with following particulars.

1	Category of the Unit (Micro / Small / Medium Enterprises)	:							
2	Name and Address of the Enterprise with e-mail Id & Cell Phone Number	:							
3	Address of Registered office	:							
4	Type of organization (Proprietorship / Partnership / Limited Liability Partner / Co-operative / Private Limited / Public Limited)	:							
5	Name of Proprietor / Managing Partner / Managing Director / Authorized Signatory	:							
6	Entrepreneurs Identification Number (EIN) & Date	:							
7	Production Certificate No & date	:							
8	Date of commencement of production	:							
9	Item(s) of manufacture / activity	:	<table border="1"> <thead> <tr> <th>Item (s)</th> <th>Quantity</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Item (s)	Quantity	Value			
Item (s)	Quantity	Value							
10	Date of first fixed capital investment with its mode {EIN / investment in land / building / plant & machinery and balancing equipment (specify the investment & mode of investment , if made)}	:							
11	Whether it is an identified viable sick MSME treated at par with new industrial unit.	:							
12	Whether the Original Project has availed Term Loan	:							
	(a) Name of Bank with IFS Code sanctioned Term Loan	:							
	(b) Date & amount of Term Loan sanctioned	:							
13	Name of the Financial Institution (Specify the date of sanction & amount of loan availed for Trademark registration, if any)	:							
	a Name of F I / Bank with IFS Code	:							
	b Amount of loan availed for Trade mark registration	:							
14	Address of Registry of Trademark (Registration Authority)	:							
15	Name address of Professionals / consultancy firms provided services for Trademark registration	:							

16	Amount of expenditure incurred in obtaining Trade Mark.	:	
	a) Fees paid to Registry of Trademark In India on the basis of number of classes applied	:	
	b) Payment / consultancy charges paid to Professionals towards trademark search, trademark application filing, trademark examination –response, trademark registration	:	
17	Date of obtaining Trademark	:	
18	Details of assistance sanctioned / availed form any State Govt. / GoI / any F I earlier expenditure incurred in obtaining Trade Mark, with sanction order No & date.	:	
19	Present claim for reimbursement	:	
20	Validity of Consent to Operate / Authorization of State Pollution Control Board (Furnish Copy)	:	

I, Sri_____ s/o _____ at present _____ (designation) of M/S _____ (name of the enterprise) certify that the information furnished as above is true and correct to the best of my knowledge and belief.

I hereby undertake to abide by the terms and conditions prescribed under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines.

I hereby certify that this enterprise has not applied / sanctioned / availed any amount of assistance under any other scheme of the State Govt. or the Central Govt. or any Financial Institution(s) against which the present claim is made.

I hereby undertake to repay the assistance amount or any part thereof with penal interest as decided by the authority, if the information furnished is found to be false / incorrect / misleading or mis-represented and there has been suppression of facts / materials or disbursed in excess of the amount actually admissible for whatsoever reason.

Copies of relevant documents in support of information / facts furnished above are enclosed here with.

- 1.
- 2.
- 3.

Place.
Date.

Signature of the Proprietor / Managing Partner / Managing Director /
Authorized Signatory in full and behalf of

M/s . _____

CHECK LIST**(See Para 9.1 of Operational Guidelines)**

Copies of documents to be attached with Application for reimbursement of expenditure incurred in obtaining Trade Mark shall be self- certified in each page by Proprietor / Managing Partner / Managing Director / Authorized Signatory
There is no need to submit / upload the documents which have already been furnished / uploaded unless there is any change or change in validity.

(Strike out whichever is not applicable)

1	Entrepreneurs Identification Number (EIN) and or Production Certificate
2	Document in support of identified viable sick MSME treated at par with new industrial unit
3	Power of Attorney / Board Resolution / Society Resolution, as applicable, while signing as Partner / Managing Director / Authorized person.
4	Certificate of registration under Indian Partnership Act 1932 / Limited Liability Partnership Act 2009 / Societies Registration Act- 1860 / Certificate of incorporation (Memorandum of association & Article of Association) under Company Act-1956
5	Document in support of date of first investment in fixed capital i.e. land / building / plant & machinery and balancing equipment
6	Document in support of delay in implementation condoned by Empowered Committee
7	Sanction order(s) of the Term Loan, Status of Term Loan A/c, Bank A/c of Enterprise where Term loan is recovered or Self-Finance case, IFS Code of Bank concerned
8	Sanction order of Loan if availed for obtaining Trade Mark, status of said Loan A/c, IFS Code
9	Proof of Fees paid to Registry of Trademark (Registration Authority)
10	Proof of expenditure Payment / consultancy charges paid to Professionals towards trademark search, trademark application filing, trademark examination – response, trademark registration
11	Trademark Registration Certificate with date of registration / date of issue.
12	Sanction order assistance towards trademark registration sanctioned / availed form any State Govt. / GoI / any F I of the country or abroad
13	Consent to Operate / Authorization of State Pollution Control Board
14	Undertaking on non-judicial Stamp Paper duly signed by the applicant (Annexure- F)

Acknowledgement

(See Para - 9.2 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)
(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for reimbursement of 50% of expenditure incurred in obtaining Trade Mark under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s _____ At/PO _____ Dist. _____ on dt. _____ through post / person.

List of documents

- 1.
- 2.
- 3.

Signature of authorized officer / General Manager, RIC /, DIC
with seal & date _____

- ❖ In case of online filing of application for one time reimbursement of 50% of expenditure incurred in obtaining Trade Mark, the acknowledgement shall be generated electronically on receipt of complete application.

Annexure – C

(TO BE DISPATCHED TO THE APPLICANT)

Acknowledgement

(See Para - 9.2 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)
(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for reimbursement of 50% of expenditure incurred in obtaining Trade Mark under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s _____ At/PO _____ Dist. _____ on dt. _____ through post / person.

List of documents

- 1.
- 2.
- 3.

Signature of authorized officer / General Manager, RIC /, DIC
with seal & date _____

- ❖ In case of online filing of application for reimbursement of 50% of expenditure incurred in obtaining Trade Mark, the acknowledgement shall be generated electronically on receipt of complete application.

OFFICE OF THE GENERAL MANAGER, RIC/ DIC _____
(See Para - 10.3 of Operational Guidelines)

SANCTION LETTER

Lt . No. _____ dt. _____
(Strike out whichever is not applicable)

The District Level Committee in its ---- meeting dated----- has accorded sanction for reimbursement of 50% of expenditure incurred in obtaining Trade Mark for Rs.____ (in words) Rupees_____ only in favour of M/s. _____ At _____ Po _____ Dist _____ a Micro / Small / Medium Enterprise bearing Production Certificate Number _____ Date _____ under Odisha MSME Development Policy-2016. It is an identified viable sick MSME treated at par with new industrial unit. The details of Term Loan Account / Loan Account with IFS code etc are as below for e-payment.

Signature of General Manager, RIC /, DIC _____
with seal & date _____

Memo No. _____/dt. _____

Copy forwarded to the Director of Industries, Odisha for information.

General Manager, RIC/ DIC _____

Memo No. _____/Ind., dt. _____

Copy forwarded to A.F.A – cum Under Secretary to Govt, MSME Department for information.

General Manager, RIC/ DIC _____

Memo No. _____/Ind., dt. _____

Copy forwarded to Sri _____ M/s. _____ Proprietor / Managing Partner / Managing Director / Authorized Signatory At _____ PO _____ Dist. _____ for information. She / He is requested to furnish Advance Stamped Money Receipt (induplicate) in the format as below and Undertaking in the format prescribed at Annexure–F of in the Non-Judicial Stamp Paper of Rs.10/-

General Manager, RIC/ DIC _____

Advance Stamped Money Receipt

"Received with thanks from _____ sum of Rs. _____ (Rupees _____) only by Cheque / Draft No./ On-line mode _____ dated _____ on account of reimbursement of 50% of expenditure incurred in obtaining Trade Mark under the provisions of Odisha MSME Development Policy 2016, its Operational Guidelines & terms and conditions laid down in the Undertaking by me / us on Dt. _____".

Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory in full and on behalf of
M/s. _____ with date

OFFICE OF THE GENERAL MANAGER, RIC / DIC _____
(See Para - 10.4 of Operational Guidelines)

No. _____ / Date _____
(Strike out whichever is not applicable)

To

Sri _____
M/s. _____
At _____
PO _____
Sub-Division _____
Dist. _____
(Location of the Enterprise / Registered Office Address)

Sir,

This is to inform that your application for sanction of reimbursement of 50% of expenditure incurred in obtaining Trade Mark under Odisha MSME Development Policy-2016 and its Operational Guidelines filed on dt. _____ is rejected due to following reasons.

(Specify the reasons)

- 1.
- 2.
- 3.
- 4.

Signature of General Manager, RIC / DIC _____
with seal & date _____.

Memo No. _____ Dt. _____

Copy forwarded to Director of Industries, Odisha, Cuttack for information.

Signature of General Manager, RIC / DIC _____
with seal & date _____.

UNDERTAKING
(See Para - 11.1 of Operational Guidelines)

(In non-judicial Stamp Paper of Rs.10/- duly signed by the applicant)
(Strike out whichever is not applicable)

- i) I / We shall abide by the terms and conditions prescribed under the provisions of Odisha MSME Development Policy 2016 and its Operational Guidelines.
- ii) I hereby certify that this enterprise has not applied / sanctioned / availed any amount of assistance towards trademark registration under any other scheme of the State Govt. or the Central Govt. or any Financial Institution(s) / Support organization in the country and abroad except the present claim is made.
- iii) I / We shall repay the of 50% of expenditure incurred in obtaining Trade Mark or any part thereof with penal interest as decided by the authority, if the information furnished is found to be false / incorrect / misleading or mis-represented and suppression of facts / materials or if found to have been disbursed in excess of the amount actually admissible for whatsoever reason.
- iv) The claim for 50% of expenditure incurred in obtaining Trade Mark does **not** include / cover fees or any kind of payment made for renewal of registration of Trade mark / restoration of Trademark.
- v) I / we shall furnish information, reports, statements etc to the RIC / DIC / D I, Odisha as and when asked for.

Place:

Signature of Proprietor / Managing Partner/ Managing Director / Authorized Signatory in full and on behalf of

Date:

M/s _____

Government of Odisha
MSME Department

NOTIFICATION

No. II-MSME-2/2017 626 /MSME, Bhubaneswar, the 31st January, 2017

Sub: Operational Guidelines for Reimbursement of Training Expenditure under Odisha MSME Development Policy- 2016

(See Para 6.7 of Odisha MSME Development Policy-2016)

1. **Short Title:** "Operational Guidelines for Reimbursement of Training Expenditure" under Odisha MSME Development Policy-2016.
2. **Extent:** It shall extend to the whole of the State of Odisha.
3. **Commencement:** It shall come into force with effect from 24th November, 2016 i.e. date of Notification of Odisha MSME Development Policy-2016.
4. **Policy Provisions:** Reimbursement of Training Expenditure.
"Government will reimburse 50% of the cost of skill up-gradation and training of local manpower limited to Rs.3000/- per person for a maximum of 10 persons in Micro and 20 persons in Small and Medium Enterprises. Thrust will be given on skill development of women to enhance their employability and for that purpose an additional training cost of Rs.1000/- shall be reimbursed per woman. This support shall not be available to those employee trainees who are availing benefit under other skill development programmes of the Government. The Skill up-gradation training of local man power shall be supported in consultation with Skill Development & Technical Education Department / Odisha Skill Development Authority."
5. **Terms and Expressions:** Terms and expressions used in this Operational Guidelines, but not specifically defined here, shall have the same meaning as in Odisha MSME Development Policy-2016.
 - 5.1 Local Manpower: Manpower domiciled in the State of Odisha.
6. **Eligibility & Quantum of Assistance:**
 - 6.1 Micro, Small & Medium Enterprises as defined by the Government of India in MSMED Act-2006 amended from time to time and shall have been acknowledged with Udoyg Aadhaar Memorandum (UAM) from GoI &

- Production Certificate (PC) from the RIC / DIC.
- 6.2 Enterprises / activities which are declared ineligible as in Annexure II of Appendices of Odisha MSME Development Policy, 2016 to avail incentives shall not be entitled to get reimbursement of training expenditure.
 - 6.3 Reimbursement of Training expenditure claimed against the manpower imparted with skill up-gradation and **OR** trained should be domicile of the State of Odisha and regular employees on the payroll of MSME.
 - 6.4 Reimbursement of 50% of the cost of skill up-gradation and training shall be for a maximum of 10 persons in Micro and 20 persons in Small and Medium Enterprises (either in a single batch or in multiple batches of small number of persons summing up to the maximum limit of 10 persons in Micro and 20 persons in Small and Medium Enterprises) during the operative period of this Policy.
 - 6.5 The reimbursement of 50% of the cost of skill up-gradation and training shall be limited to Rs.3000/- per person and @ Rs.3000/- plus additional Rs.1000/- (total Rs.4000/-) per woman.
 - 6.6 The Skill up-gradation and training should have been imparted in the Institute accredited by All India Council of Technical Education / Skill Development & Technical Education Department / Odisha Skill Development Authority, Directorate of Technical Education & Training, Odisha and Odisha Skill Development Authority shall share the list of such accredited / empaneled Institutions along with brief specific skill / training being imparted (District wise) to the respective RIC / DIC
 - 6.7 Duration of skill up-gradation and training as per each course module.
 - 6.8 This support shall not be available to those employee trainees who are availing or have availed benefit under other skill development programmes of the Government (Govt. of India & State Govt. of Odisha).
7. **Time Limit for filing Application for reimbursement of Training Expenditure:**
- 7.1 Eligible Micro, Small & Medium Enterprise shall file its claim for 50% of the cost of skill up-gradation and training within 2nd quarter of a financial year against the expenditure made in the preceding financial year in the prescribed Application Form complete in all respect.
 - 7.2 Application received after the due date / incomplete in any respect shall be liable to be summarily rejected. There shall be no consideration for condonation of delay in filing application for reimbursement of training expenditure.
8. **District Level Committee (DLC):** The District Level Committee constituted

in each RIC / DIC as per para 10.1 of Operational Guidelines of CIS under Odisha MSMED Policy-2016 shall be competent to consider such Reimbursement of Training Expenditure.

9. Procedure:

- 9.1 Micro, Small & Medium Enterprise considered itself eligible shall submit application in the form prescribed at **Annexure – A** along with copies of relevant documents as mentioned in the Checklist at **Annexure – B** to the concerned General Manager, RIC / DIC. Copies of the documents as indicated in the checklist shall be self-certified in each page by Proprietor / Managing Partner / Managing Director / Authorized Signatory. The documents / relevant data which are already uploaded / furnished to RIC / DIC earlier shall not be uploaded / furnished once again unless there is any change including change in validity of the same. In case of online filing of Application for Reimbursement of Training Expenditure, there is no need to furnish the hard copy of documents unless asked for.
- 9.2 On receipt of complete application with relevant documents / data, the acknowledgement as prescribed at **Annexure – C** shall be dispatched to the applicant duly signed by the authorized officer / General Manager, RIC / DIC on the day of receipt. The General Manager RIC / DIC may authorize any of his sub-ordinate officers for the purpose. In case of online filing, the same shall be generated electronically.
- 9.3 RIC /DIC will check the veracity of facts / data filled in the application & documents, determine eligibility & quantum of assistance in each case within **next 7 days**.
- 9.4 Agenda Note on fulfillment of eligibility criteria, time limit, applicability, eligible quantum of assistance etc. shall be placed by the Convenor in District Level Committee to be held during the month.

10. SANCTION:

- 10.1 The DLC will consider proposals for Reimbursement of Training Expenditure in favour of the eligible enterprise on merit.
- 10.2 50% of the cost of skill up-gradation and training or Rs.3000/- per person and @ Rs.3000/- plus additional Rs.1000/- (total Rs.4000/-) per woman, whichever is less, for a maximum of 10 persons in Micro and 20 persons in Small and Medium Enterprises or the actual number of manpower imparted with skill up gradation / training whichever is lower shall be considered for sanction.
- 10.3 RIC / DIC shall communicate the details of sanction in the format prescribed at **Annexure – D** to the concerned MSMEs under intimation to Director of

Industries, Odisha / Director of Technical Education & Training, Odisha / Odisha Skill Development Authority within **07 days** of DLC meeting.

10.4 In case of rejection / any other decision taken by the DLC, the same will be communicated by RIC / DIC to the concerned enterprises under intimation to Director of Industries, Odisha / Director of Technical Education & Training, Odisha / Odisha Skill Development Authority in the format prescribed at **Annexure – E** within **07 days** of DLC meeting.

11. **DISBURSEMENT:**

11.1 MSME on receipt of sanction letter shall furnish the advance money receipt and Undertaking in the format prescribed at **Annexure – F** and copies of duly self- certified document (s), if any, asked for at RIC / DIC concerned within **next 07 days**.

11.2 On receipt, disbursement of sanctioned amount of assistance shall be made by RIC / DIC concerned to the Term loan Account of the Enterprise. In case of self-financed or where the term loan has been recovered, the disbursement shall be made to Bank A/c of Enterprise within **next 07 days** subject to availability of funds under the Scheme.

12. **Maintenance of Records:** The receipt, forwarding, sanction, rejection, disbursement of amount sanctioned for reimbursement of Training Expenditure shall be monitored both electronically & manually by RIC / DIC / Directorate of Industries.

13. **Recovery:** Reimbursement of Training Expenditure shall be recoverable under the provision of OPDR Act as arrears of land revenue on violation of Policy provisions, terms & conditions of Operational Guidelines & Undertaking and submission of false / incorrect / misleading or mis-represented information and suppression of facts / materials or payment of excess of the amount actually admissible for whatsoever reason.

14. **Miscellaneous:**

14.1 RIC /DIC / Directorate of Industries, Odisha may inspect the assisted MSME, if felt necessary.

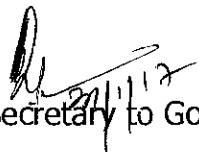
- 14.1 RIC /DIC / Directorate of Industries, Odisha may inspect the assisted MSME, if felt necessary.
- 14.2 Any change in facts or circumstances affecting the eligibility of the Enterprise shall be intimated immediately to the RIC / DIC / Directorate of Industries, Odisha by the beneficiary enterprise.
- 14.3 Time limit prescribed in this guidelines are of working days only
- 14.4 This has been concurred in by Finance Department and communicated vide their UoR No. 270/PSF dated 21-01-2017.

By Order of Governor


(L.N. Gupta)
Principal Secretary to Government

Memo No. 627 / **MSME Date:** 31-01-2017

Copy forwarded to All Departments / All Heads of Departments / All Revenue Divisional Commissioners / All Collectors / All RICs / All DICs / Technical Director, NIC (managing MSME portal) / All sections of MSME Department / Guard File (5 copies) for information and necessary action.


Additional Secretary to Government

**APPLICATION FOR SANCTION FOR REIMBURSEMENT OF TRAINING EXPENDITURE
UNDER ODISHA MSME DEVELOPMENT POLICY-2016**

(See Para 9.1 of Operational Guidelines)

Application received after the due date / incomplete in any respect shall be liable for rejection)

(Strike out whichever is not applicable)

From

M/s. _____

At. _____

PO. _____

Sub-Division _____

Dist. _____

(Location Address of the Enterprise / Address of Registered Office of the Enterprise)

To

The General Manager,
Regional Industries Centre / District Industries Centre, _____

Sub: Reimbursement of Training Expenditure under Odisha MSME Development Policy 2016.

Sir,

In accordance with the provisions laid down in Odisha MSME Development Policy 2016 and its operational guidelines, the claim for reimbursement of 50% of cost of Skill- up-gradation and training imparted to the local manpower of this enterprises during ----- (mention the Financial Year) is submitted herewith with following particulars.

1	Category of the Unit (Micro / Small / Medium Enterprises)	:															
2	Name and Address of the Enterprise with e-mail Id & Cell Phone Number	:															
3	Address of Registered office	:															
4	Type of Organization (Proprietorship / Partnership / Limited Liability Partner / Co-operative / Private Limited / Public Limited)	:															
5	Name of Proprietor / Managing Partner / Managing Director / Authorized Signatory	:															
6	Production Certificate No & date	:															
7	Date of commencement of production	:															
8	Item(s) of manufacture / activity	:	<table border="1"> <thead> <tr> <th>Item (s)</th> <th>Quantity</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Item (s)	Quantity	Value											
Item (s)	Quantity	Value															
9	No of Persons (Local Manpower) undergone Skill up-gradation / Training during the Financial year against which claim is made	:	<table border="1"> <thead> <tr> <th rowspan="2">Persons</th> <th colspan="2">Trained</th> <th rowspan="2">Total</th> </tr> <tr> <th>Earlier</th> <th>Present</th> </tr> </thead> <tbody> <tr> <td>Men</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Women</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Persons	Trained		Total	Earlier	Present	Men				Women			
Persons	Trained		Total														
	Earlier	Present															
Men																	
Women																	
10	Whether the manpower undergone Skill up-gradation / Training are domicile of Odisha	:															
11	Name & Address of the Institution (S) imparted training during the Financial year against which claim is made	:	(Furnish the List Institution (s) with list of local manpower undergone Skill up-gradation / Training)														
12	Total amount of Expenditure incurred (in Rs.)	:	(Furnish Statement -Institution wise & local manpower-wise undergone Skill up-gradation / Training)														

13	Details of assistance sanctioned / availed form State Govt. / Govt. of India / any other sources on same Skill up-gradation & training imparted in respect of same local manpower earlier. If so, furnish the details of sanction order No & date & amount availed.	:	
14	Present claim for reimbursement (in Rs)	:	
15	Validity of Consent to Operate / Authorization of State Pollution Control Board (Furnish Copy)	:	

I, Sri _____ s/o _____ at present _____ (designation) of M/S _____ (name of the enterprise) certify that the information furnished as above is true and correct to the best of my knowledge and belief.

I hereby undertake to abide by the terms and conditions prescribed under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines.

I hereby certify that this enterprise has not applied / sanctioned / availed any amount of assistance under any other scheme of the State Govt. or the Central Govt. against which the present claim is made.

I hereby undertake to repay the assistance amount or any part thereof with penal interest as decided by the authority, if the information furnished is found to be false / incorrect / misleading or mis-represented and there has been suppression of facts / materials or disbursed in excess of the amount actually admissible for whatsoever reason.

Copies of relevant documents in support of information / facts furnished above are enclosed here with.

- 1.
- 2.
- 3.

Date: _____
Place: _____
Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory in full and on behalf of
M/s. _____

CHECK LIST

(See Para 9.1 of Operational Guidelines)

Copies of documents to be attached with Application for reimbursement of Training Expenditure shall be self- certified in each page by Proprietor / Managing Partner / Managing Director / Authorized Signatory

There is no need to submit / upload the documents which have already been furnished / uploaded unless there is any change or change in validity.

(Strike out whichever is not applicable)

1	Production Certificate
2	Power of Attorney / Board Resolution / Society Resolution, as applicable, while signing as Partner / Managing Director / Authorized person.
3	Certificate of registration under Indian Partnership Act 1932 / Limited Liability Partnership Act 2009 / Societies Registration Act- 1860 / Certificate of incorporation (Memorandum of association & Article of Association) under Company Act-1956
4	List Institution (s) with list of local manpower undergone Skill up-gradation & Training during the period against which claim is made.
5	Statement-Institution wise & local manpower-wise details undergone Skill up-gradation & Training in Format B1
6	Extract of Pay roll to show the details of local manpower who has undergone Skill up-gradation & Training / Appointment Order / Document in support of employment of local manpower in the MSME who has undergone Skill up-gradation & Training.
7	Certificate of domicile of Odisha in the name of each manpower who has undergone Skill up-gradation & Training.
8	Documents in support of sanctioned / availed form State Govt. / GoI / any other sources on same Skill up-gradation & training imparted in respect of same local manpower earlier. If any.
9	Proof of cost of expenditure incurred for Skill up-gradation & Training against which claim is made (Copies of the bills / vouchers / receipt etc. with a statement in case of multiple bills).
10	Term Loan A/c, Bank A/c of Enterprise where Term loan is recovered or Self-Finance case, IFS Code of Bank concerned
11	Consent to Operate / Authorization of State Pollution Control Board
12	Undertaking on non-judicial Stamp Paper duly signed by the applicant (Annexure- F)

Statement giving
Institution wise local manpower undergone Skill up-gradation & Training

* * * * *

1. Financial Year: _____

2. Name of the MSME : _____

3. Details of manpower undergone skill upgradation & training

Sl	Name & Permanent Address	Pay Roll No / Appointment Letter No & dt.	His / Her Aadhaar No	Name of the Training Institution	Name of course / training	Period of course / training	Expenditure incurred	Self-signed His / Her Ticket Size Photographs
1	2	3	4	5	6	7	8	9

Enclose: Copies of required supporting documents with photograph of trainee worker.

- 1.
- 2.
- 3.

Date:

Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory In full and on behalf of

Place:

M/s. _____

Acknowledgement

(See Para - 9.2 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)
(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for Reimbursement of Training Expenditure under Odisha MSME Development Policy 2016 and its Operational Guidelines along with documents mentioned below from M/s _____ At/PO _____ Dist. _____ on dt. _____ through post / person.

List of documents

- 1.
- 2.

Signature of authorized officer / General Manager, RIC /, DIC
with seal & date _____

❖ In case of online filing of application for Reimbursement of Training Expenditure, the acknowledgement shall be generated electronically on receipt of complete application.

Annexure- C

(TO BE DISPATCHED TO THE APPLICANT)

Acknowledgement

(See Para - 9.2 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)
(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

Received the application for Reimbursement of Training Expenditure under Odisha MSME Development Policy 2016 and its Operational Guidelines along with documents mentioned below from M/s----- At/PO-----Dist. _____ on dt. _____ through post / person.

List of documents

- 1.
- 2.

Signature of authorized officer / General Manager, RIC /, DIC
with seal & date _____

❖ In case of online filing of application for Reimbursement of Training Expenditure, the acknowledgement shall be generated electronically on receipt of complete application.

OFFICE OF THE GENERAL MANAGER, RIC/ DIC---
(See Para - 10.3 of Operational Guidelines)

SANCTION LETTER

No. _____ dt. _____
(Strike out whichever is not applicable)

The District Level Committee in its _____ meeting dated _____ has accorded sanction for Reimbursement of Training Expenditure for Rs. _____ (in words) Rupees _____ only in favour of M/s. _____ At _____ Po _____ Dist. _____ a Micro / Small / Medium Enterprise bearing Production Certificate Number _____ Date _____ under Odisha MSME Development Policy-2016 as 50% of expenditure of the cost of Skill up-gradation & Training of _____ no of local manpower (Men) and _____ no of local manpower (Women) . This sanction does not exceed the maximum limit of the reimbursement of Training Expenditure @ Rs.3000/- per person and @ Rs.4000/- (Rs.3000/- +Additional Rs.1000/-=Rs.4000/-) per Woman.

The details of Term Loan Account / Loan Account with IFS code etc are as below for e-payment.

Signature of General Manager, RIC /, DIC _____
with seal & date-----

Memo No. _____/dt. _____

Copy forwarded to the Director of Industries, Odisha for information.

General Manager, RIC/ DIC _____

Memo No. _____/Ind., dt. _____

Copy forwarded to A.F.A – cum Under Secretary to Govt, MSME Department for information.

General Manager, RIC/ DIC _____

Memo No. _____/Ind., dt. _____

Copy forwarded to Sri _____ M/s. _____
Proprietor / Managing Partner / Managing Director / Authorized Signatory At _____ PO _____
Dist. _____ for information. She / He is requested to furnish Advance Stamped Money Receipt in the format as below and Undertaking in the format prescribed at Annexure-F of in the Non-Judicial Stamp Paper of Rs.10/-

General Manager, RIC/ DIC _____

Advance Stamped Money Receipt

"Received with thanks from _____ sum of Rs. _____ (Rupees _____) only by Cheque / Draft No./ On-line mode _____ dated _____ on account of Reimbursement of Training Expenditure under the provisions of Odisha MSME Development Policy 2016, its Operational Guidelines & terms and conditions laid down in the Undertaking by me / us on Dt. _____".

Date:

Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory in full and on behalf of
M/s. _____

Place:

OFFICE OF THE GENERAL MANAGER, RIC / DIC----- .
(See Para - 10.4 of Operational Guidelines)

No. _____ dt. _____
(Strike out whichever is not applicable)

To

Sri _____

M/s. _____

At _____

PO _____

Sub-Division _____

Dist. _____

(Location of the Enterprise / Registered Office Address)

Sir,

This is to inform that your application for sanction for Reimbursement of Training Expenditure under Odisha MSME Development Policy-2016 and its Operational Guidelines filed on dt. _____ is rejected due to following reasons.

(Specify the reasons)

- 1.
- 2.
- 3.
- 4.

Signature of General Manager, RIC / DIC-----
with seal & date-----.

Memo Dt

Copy forwarded to Director of Industries, Odisha, Cuttack for information.

Signature of General Manager, RIC / DIC-----
with seal & date-----.

UNDERTAKING

(In non-judicial Stamp Paper of Rs.10/- duly signed by the applicant)
(Strike out whichever is not applicable)

- i) I / We shall abide by the terms and conditions prescribed under the provisions of Odisha MSME Development Policy 2016 and its Operational Guidelines.
- ii) I hereby certify that this enterprise has not applied / sanctioned / availed any amount of assistance under any other scheme of the State Govt. or the Central Govt. or any Financial Institution(s) / Support organization against which the present claim is made.
- iii) I / We shall repay the assistance availed as 'Reimbursement of Training Expenditure' or any part thereof with penal interest as decided by the authority, if the information furnished is found to be false/ incorrect / misleading or mis-represented and there has been suppression of facts / materials or if found to have been disbursed in excess of the amount actually admissible for whatsoever reason.
- iv) I / we shall furnish information, reports, statements etc to the RIC / DIC / D I, Odisha as and when asked for.

Date:

Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory in full and on behalf of
M/s. _____

Place:

Government of Odisha
MSME Department

NOTIFICATION

No. II-MSME-2/2017 628 /MSME, Bhubaneswar, the 31st January, 2017

Sub: Operational Guidelines for Award to Micro, Small & Medium Enterprises / Entrepreneurs under Odisha MSME Development Policy- 2016 (See Para 6.8 of Odisha MSME Development Policy-2016)

1. **Short Title:** "Operational Guidelines for Award to Micro, Small & Medium Enterprises / Entrepreneurs" under Odisha MSME Development Policy-2016.
2. **Extent:** It shall extend to the whole of the State of Odisha.
3. **Commencement:** It shall come into force with effect from 24th November, 2016 i e date of Notification of Odisha MSME Development Policy-2016.
4. **Policy Provisions:**
"In order to encourage competition and efficiency amongst MSM enterprises, annual State Awards shall be given to best MSM enterprises / entrepreneurs in recognition of their contribution in terms of achieving highest turnover, highest employment, adoption of environment friendly & innovative technology, registration of patent, etc. for each category of Micro, Small and Medium enterprise."
5. **Terms and Expressions:** Terms and expressions used in this operational guideline shall have the same meaning as in Odisha MSME Development Policy-2016.
6. **Eligibility:** A Micro, Small & Medium Enterprise shall be eligible if it fulfills the following criteria:
 - 6.1 it should possess valid Production Certificate / Entrepreneurs' Memorandum Part-II / PMT Registration and Udyog Aadhaar Memorandum & registered in MSME data bank,
 - 6.2 it is in continuous production activity for the last three years,
 - 6.3 it has paid taxes, revenue & dues of Govt, & other organizations,
 - 6.4 it has valid statutory clearances, Licenses, permissions, regulatory approvals etc.,

- 6.5 it has not defaulted to any Financial Institution, Bank, Government Agencies and the Loan Account shall be regular,
- 6.6 it has not been blacklisted by State / Union Govt., Govt. Agencies, Public Financing Institutions, Banks, Marketing promotion bodies or by any other local bodies and or not involved in any economic or other offences for which enquiry / legal action is pending,
- 6.7 it has not been awarded at National & State level for their achievement / contribution for development of MSME Sector earlier,
- 6.8 it is not included in the list of ineligible enterprises / activities enunciated in Annexure II of Odisha MSME Development Policy-2016.
- 6.9 Any other conditions / contingencies, deemed fit may be added to the Eligibility criteria by MSME Department as and when required.

7. Award Details:

- 7.1 The Award shall be provided annually to:
 - 7.1.1 Three general entrepreneurs rated best in each category of Micro & Small enterprise and one from Medium Enterprise category in the manufacturing sector.
 - 7.1.2 One each from SC, ST, Differently abled, Woman entrepreneur category (as defined in Para 5.1, 5.2 & 5.3 of Operational Guidelines for CIS under Odisha MSME Development Policy-2016) rated best each from Micro, Small & Medium Enterprises in manufacturing sector.
- 7.2 The award shall comprise of Cash prize (to be notified separately), Certificate & Plaque and shall be given during MSME Trade Fair / Entrepreneurs Week / any other occasion to be decided by Government.

8. Selection of Awardees:

- 8.1 Screening Committee under the Chairmanship of Director of Industries, Odisha as constituted below shall examine the applications for award as per eligibility at Para 6 as above.

1.	Director of Industries, Odisha.	Chairman
2.	Joint Commissioner, Commercial Taxes or Representative	Member
3.	Director, Export Promotion & Marketing	Member
4.	Director, MSME-DI, Cuttack	Member
5.	Representatives of two Industries Associations nominated by MSME Dept on bi-annual rotation basis	Member
6.	General Manager, RIC / DIC concerned	Member
7.	Additional Director of Industries / Joint Director of Industries	Member-Convener

Chairman may invite any other officer / agency concerning the sector for which applications are under consideration. The Screening Committee shall recommend all eligible case to Selection Committee

- 8.2 The selection of Awardees form each category shall be made by a Committee constituted under the Chairmanship of Principal Secretary / Secretary to Govt, MSME Department with the following Members. The decision of the Selection Committee shall be final and binding.

1.	Principal Secretary / Secretary to Govt, MSME Department	Chairman
2.	Commilssioner, Commercial Taxes or Representative	Member
3.	Director, Institutional Finance	Member
4.	Director, Export Promotion & Marketing	Member
5.	Director, MSME-DI, Cuttack	Member
	General Manager-cum-Convenor, S L B C	Member
6.	Representatives of two Industries Associations nominated by MSME Dept on bi-annual rotation basis	Member
7.	Director of Industries, Odisha.	Member- Convener

Chairman may invite any other officer / agency concerning the sector for which applications are under consideration.

9. **Procedure:**

- 9.1 An indicative advertisement inviting application from eligible MSMEs shall be published in the daily News Papers having wide circulation by Director of Industries, Odisha.
- 9.2 The criteria of eligibility dateline for making application and prescribed application format shall be hosted in the website of MSME Department and Director of Industries, Odisha.
- 9.3 Only fresh applications will be considered for the purpose. No backlog cases will be taken into account.
- 9.4 Micro, Small & Medium Enterprise / Entrepreneur considered itself eligible shall apply for the award in the prescribed format as at **Annexure – A**.
- 9.5 Application received after due date / incomplete in any respect shall be summarily rejected.
- 9.6 Applications shall be received of-line /on-line at respective RIC / DIC and General Manager, RIC / DIC shall issue acknowledgment to this effect to the applicant in the format prescribed as at **Annexure – B**. Acknowledgment shall be generated electronically in case of filing Application on-line.
- 9.7 RIC / DIC shall scrutinize & check the veracity of facts of filled in Application and documents in all respect, put counter signature and forward the same (category-wise) to the Director of Industries, Odisha through Special Messenger / online.

9.8 Directorate of Industries, Odisha shall consolidate the data of applications of each sector separately in tabular format and do necessary exercise for screening of applications and place the same before the Screening Committee as at Para 8.1 above.

9.9 The eligible cases shall be placed before Selection Committee as at Para 8.2 above for selection.

10. **Basis of Evaluation & Selection:**

10.1 Evaluation of each application shall be made on a matrix prescribed at **Annexure – C** and Marks would be awarded on the basis of documentary evidence. The evaluation of applications may be made on the basis of following criteria. The Selection Committee may add or delete any of the criteria.

- a) Ratio of investment ~ employment,
- b) Turnover performance during the previous three years,
- c) Use of innovative technology / modern technology,
- d) Adoption of environment friendly technology / Pollution control measures,
- e) Innovation in technology for new product or process development,
- f) Adoption of Quality control standards like ISO.
- g) Adoption of Safety measures and safety / accident record,
- h) Export growth during previous three years,
- i) Patent / trade mark Registration,
- i) CIBIL track record of the entrepreneur.

10.2 After evaluation, the applications shall be examined and ranked by the Committee. It may be the discretion of the Committee to prepare a shortlist of application and invite them for a power point presentation of their achievement or the enterprises may be visited by the Committee Members. The awardees from each sector (Micro, Small & Medium Enterprises and SC / ST / Differently abled / Women Enterprise shall be selected in the prescribed format as at **Annexure – D**.

10.3 The list of selected enterprises / entrepreneurs shall be notified & circulated by Director of Industries, Odisha with detail programme and venue of

celebration of Award Ceremony for distribution of Awards. Concerned entrepreneurs should be invited well in advance to receive the Award.

11. The expenditure will be met out of the annual budget provision for Exhibition and Publicity placed with Director of Industries, Odisha.
12. This has been concurred in by Finance Department and communicated vide their UOR No. 270/PSF dated 21-01-2017.

By Order of Governor


31.1.17
(L.N. Gupta)

Principal Secretary to Government

Memo No. 629 /MSME Date 31-01-2017

Copy forwarded to All Departments / All Heads of Departments / All Revenue Divisional Commissioners / All Collectors / All RICs / All DICs / Technical Director, NIC (managing MSME portal) / All sections of MSME Department / Guard File (5 copies) for information and necessary action.


Additional Secretary to Government

APPLICATION FOR AWARD TO MSME ENTREPRENEURS / ENTERPRISES

(See Para 9.4 of Operational Guidelines)

(Strike out whichever is not applicable)

Sector:

Micro Enterprise	Scheduled Caste Enterprise
Small Enterprise	Scheduled Tribe Enterprise
Medium Enterprise	Women Enterprise
	Differently able Enterprises
	Technical (Degree / Diploma) Entrepreneur

Affix one passport size photograph and attach two extra in a separate cover

To

The Director of Industries, Odisha, Cuttack.

(Through General Manager, Regional Industries Centre ____ / District Industries Centre, ____)

1	Name of the Entrepreneur (in capital letters)	:				
2	Address of Entrepreneur (in capital letters)	:	At :			
			PO:			
			PS:			
			Dist.			
			Pin :			
			STD Code			
			Tel. (O) :			
			Tel.(Res.):			
			Cell Phone / Mobile :			
			Fax :			
			E-mail :			
3	Name & location of the Enterprise (in capital letters)	:	Name:			
			At :			
			PO :			
			Dist.			
4	Whether Proprietorship/ Partnership/Limited Liability Partnership / Private Limited / Public Limited / Cooperative society.	:				
5	Percentage of Share individually or jointly by Scheduled Caste / Scheduled Tribe / Differently able / Women Entrepreneur(s) / Technical (Degree / Diploma) Entrepreneur	:				
6	Items of manufacture / Service rendered as recorded in the Production Certificate / EM-II / PMT	:				
7	Date of birth of Entrepreneur					
	Date	Month	Y	e	a	r
	Age in years					
8	Educational / Professional Qualification (Enclose copies of certificates)					
9	Production Certificate / EM-II & date / PMT No. & date (Enclose copy of certificate)					
	Number _____	Date _____	Activities _____			

10	Quantum of Production / Service activities for last 3 years.			
		Financial Year 20 -	Financial Year 20 -	Financial Year 20 -
	Item(s)			
	Quantity			
	Value (Rs.)			
11	Details of the investment employment, production & profit of the enterprise for last 3 years.			
		Financial Year 20 -	Financial Year 20 -	Financial Year 20 -
a)	Investment in plant & machinery (Rs. in lakh) (cumulative value) by end of Financial Year			
b)	No. of employees by end of Financial Year			
c)	Value of annual sales of products / Service (Rs. in lakh)			
d)	Total Tax paid			
e)	Net profit after taxes (Rs. in lakh)			
12	Use of Technology- Indigenous / imported – a brief note on Technology. A separate Sheet may be attached, if required			
13	Have you purchased Technical Know-how- Indigenous / imported with details of the source of purchase.			
14	Export of products / Services in last 3 years (Rs. in lakh) Have you exported product / Service directly / indirect? If yes, give details of exporters, year & country to which exported and value of exports with appropriate documentary proof during last three years?			
15	Innovation details, if any. (A separate Sheet may be attached, if required)			
16	Quality control standards Are you accredited with ISO certification- Hazard Analysis and Critical Control Points (HACCP)/ Good Manufacturing Practices (GMP)/ Food Products Order (FPO)/ Ag-Mark/ Spice-Mark/ BIS or equivalent certificate during last three years (Furnish details)			
17	Patent Registration details, if any. (A separate Sheet may be attached, if required)			
18	Cost of the project (Rs. in lakh) year wise in last 03 years			
a	Land	:		
b	Building	:		
c	Plant & machinery	:		
d	Other fixed assets if any of permanent nature	:		
e	Working capital	:		
19	Incentives availed if any (year wise with details) A separate Sheet may be attached, if required			
20	Finance availed, if any	:		
a)	Name of Bank with address	:		
b)	Term loan	:		
c)	Working capital	:		
21	Outstanding loan as on Dt. _____ (Enclose supporting documents from Bank	:		

22	Enclose copy of Audited balance sheet for last 3 years (For Medium Enterprise). (Micro & Small Enterprises may furnish self- certified Financial Statements in absence of Audited Balance sheet)	:	
23	Furnish Self- Certificate on non-judicial stamp paper on qualifying the eligible criteria prescribed under the Scheme for Award	:	
24	Brief on Previous track-record of the Entrepreneur	:	
25	Attach Photocopy of Certificate in support of Scheduled Caste / Scheduled Tribe / Differently abled).	:	

I, Sri _____ S/o _____ at present _____ (designation) of M/S _____ (name of the Enterprise) certify that the information furnished as above is true and correct to the best of my knowledge and belief.

I hereby undertake to abide by the terms and conditions prescribed under the provisions of Odisha MSME Development Policy-2016 & its Operational Guidelines as well as the decision of the Selection Committee.

I hereby undertake to refund the cash prize / surrender the plaque and certificate awarded to me and liable for prosecution under law, if the information stated above is found to be false/ incorrect / misleading or mis-represented and there has been suppression of facts / materials.

❖ Copies of relevant documents in support of information / facts furnished above are enclosed herewith.

Date: _____
Place: _____
Signature of the Proprietor / Managing Partner/
Managing Director / Authorized Signatory in full and on behalf of
M/s. _____

Acknowledgement

(See Para - 9.6 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)
(Strike out whichever is not applicable)

To

Sri _____
M/s. _____

Received the application for Award to MSME Enterprises / Entrepreneurs under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s _____ At _____ PO _____ Dist. _____ on dt. _____ through post / person / Online.

List of documents

- 1.
- 2.
- 3.

Signature of authorized officer / General Manager, RIC /, DIC _____
with seal & date _____

- ❖ In case of online filing of application for Award to MSME Enterprises / Entrepreneurs, the acknowledgement shall be generated electronically on receipt of complete application.

Acknowledgement

(See Para - 9.6 of Operational Guidelines)

(To be issued by authorized officer / General Manager, RIC / DIC)
(Strike out whichever is not applicable)

To

Sri _____
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Received the application for Award to MSME Enterprises / Entrepreneurs under the provisions of Odisha MSME Development Policy-2016 and its Operational Guidelines along with documents mentioned below from M/s _____ At _____ PO _____ Dist. _____ on dt. _____ through post / person / Online.

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with seal & date _____

- ❖ In case of online filing of application for Award to MSME Enterprises / Entrepreneurs, the acknowledgement shall be generated electronically on receipt of complete application.

EVALUATION MATRIX
(See Para - 10 of Operational Guidelines)
 (Strike out whichever is not applicable)

[Total Marks – 100]

Micro Enterprise / Small Enterprise / Medium Enterprise / Scheduled Caste / Scheduled Tribe / Differently able / Women Enterprise / Women Entrepreneur

A. Name & address of the enterprise

B. Item of Production

Sl	Evaluation Criteria		Maximum marks	Marks Scored
1	Ratio in investment - employment		05	
	(i) Rs. 1.00 lakh : 0.5 - 01 employment	02 marks		
	(ii) Rs. 1.00 lakh : 01-02 employment	03 marks		
	(iii) Rs. 1.00 lakh : 02-03 employment	04 marks		
	(iv) Rs. 1.00 lakh : 04 and above employment	05 marks		
2	Performance during last three years,		20	
	(A) Investment in Land, Building, Plant & machineries, other fixed assets of permanent in nature	04 marks		
	(i) Rising – 4 marks			
	(ii) Stable – 2 marks			
	(B) Working Capital	04 marks		
	(i) Rising – 4 marks			
	(ii) Stable – 2 marks			
	(C) Employment	04 marks		
	i) Rising – 4 marks			
	ii) Stable – 2 marks			
	(D) Annual Sales of produce / service / Job work	04 marks		
	i) Rising – 4 marks			
	ii) Stable – 2 marks			
	(E) Net profit (After taxes)	04 marks		
	i) Rising – 4 marks			
	ii) Stable – 2 marks			
3	Export (Direct) / indirect		15	
	(i) Rising – 15 marks			
	(ii) Stable – 10 marks			
4	Use of Innovative Technology / modern technology / environment friendly technology / Pollution Control Measures		15	
	(i) Innovative Technology Adopted - 05 marks			
	(ii) New technology / modern Technology adopted – 05 marks			
	(iii) Pollution Control Measures installed- 05 marks			
5	Innovation		10	

	(i)	Innovation –	05 marks		
	(ii)	Innovation with Patent Registration-	10 marks		
6	Quality Control Standards			15	
	Obtaining quality certification like ISO, HACCP, GMP, FPO, Ag-mark, Spice-mark, BIS, or equivalent.				
	(i)	Single Quality Certificate-	05 marks		
	(ii)	Multiple Quality Certificates-	10 marks		
7	Safety measures			10	
8	Previous track record of the entrepreneurs			10	
	i)	Awarded at Block level –	05 marks		
	ii)	Awarded at District level-	10 marks		
	Total Score			100	

SELECTION BY THE COMMITTEE
(See Para – 10 of Operational Guidelines)
(Only Manufacturing Sector)

Sector	Name & address of applicant Selected	Score / Total	Position in order of Merit	Remarks
Micro Enterprise				
Small Enterprise				
Medium Enterprise				
Scheduled Caste Enterprise				
Scheduled Tribe Enterprise				
Differently able				
Women Enterprise				

Recommendation :-

Certified that the list of above entrepreneurs have been selected for the Award by the Selection Committee.

Sl	Name of the Chairman & Members	Designation	Signature
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

* * * * *