

Operational Guidelines for Pioneer Units under IPR, 2015.

(See Para- 17 of Definitions and Interpretations- Annexure-I of IPR, 2015)

- 1. Short Title:** Operational guidelines for grant of Pioneer unit status under the provision of Para -16 of Definitions and Interpretations of Annexure-I of Industrial Policy Resolution- 2015.
- 2. Extent:** It shall extend to the whole of the state of Odisha
- 3. Commencement:** It shall come into force from the "Effective Date" of Industrial Policy Resolution – 2015 i.e. 24.08.2015.
- 4. Terms & Expressions:** Terms & expressions used in this operational guideline, but not specifically defined / explained here, shall have the same meaning as in Industrial Policy Resolution– 2015.
- 5. Policy Provisions:-**
"Pioneer" units" mean the first five Industrial units of each Priority Sector which commence fixed capital investment and go into production during the operative period of IPR – 2015(Defined under the provision of Para-16 of Definitions and Interpretations of Annexure-I of Industrial Policy Resolution, 2015).
- 6. Eligibility :**
 - 6.1** The first five Industrial units of each Priority Sector as below which commence fixed capital investment and go into production during the operative period of IPR – 2015
 - (a) Agro and Food Processing
 - (b) Ancillary and down stream
 - (c) Automobiles & Auto – components
 - (d) Manufacturing in Aviation and Maintenance Repair & Overhaul (MRO) facilities
 - (e) Bio- technology
 - (f) Fly Ash & Blast furnaces slag based industries utilizing a minimum of 25% by weight as base raw material
 - (g) Gem stone cutting and polishing
 - (h) Handicraft, Handloom, Coir and Leather Products
 - (i) Information technology and IT enable service and ESDM units
 - (j) Petroleum, Chemicals & Petro-chemicals
 - (k) Pharmaceuticals
 - (l) Sea food Processing

- (m) Ship building and construction of other floating vessels / ship repair
- (n) Textile including Technical Textile & Apparel
- (o) Tourism and Hospitality (All the units / activities specified in Para 6.11 of Odisha Tourism Policy- 2013 are eligible units except Multiplexes (Cinema halls) of at least three (3) screens at Sl. No. p(iv) of Annexure I as defined in Operational Guidelines of Priority Sector)
- (p) Any industry other than mineral extraction and mineral based industries, which export more than 50% of its total turnover, duly certified by the Director, Export Promotion and Marketing.
- (q) Migrated industrial unit treated as new industrial unit under Priority Sector.
- (r) Rehabilitated sick industrial unit treated at par with new industrial unit under Priority sector.
- (s) Industrial unit seized under Section 29 of the State Financial Corporation Act, 1951 / SARFAESI Act, 2002 and thereafter sold to a new entrepreneur on sale of assets basis and treated as new industrial unit for the purpose of this IPR under Priority Sector.
- (t) Non-mineral based new industrial units located in the Revenue districts of Kalahandi, Nuapada, Bolangir, Subarnpur, Koraput, Malkangiri, Rayagada, Nawrangpur, Khandamal, Gajapati and Mayurbhanj with minimum investment of five crore rupees in plant & machinery

6.2 Industrial units satisfying the provisions of Para 16 of Definitions and Interpretations of Annexure -I of Industrial Policy Resolution – 2015 out of which first five industrial units in terms of chronology of commencement of production only shall be granted status of Pioneer units.

6.3 If, more than five industrial units in each Priority Sector have commenced investment on different dates and go into production on a single date during the operative period of this IPR, the unit(s) which has / have started investment chronologically in later date(s) shall not be considered for grant of status of Pioneer unit

6.4 If, more than five industrial units in each Priority Sector have commenced investment on a single date and go into production on a single date during the operative period of this IPR or on arise of any other contingencies, the decision of Government in Industries Department in this regard shall be final and binding on all concerned as under the provisions of Para 14 (h) of Industrial Policy Resolution -2015.

7. Time frame for filing application :

7.1 Eligible industrial units shall file its claim for grant of Pioneer unit status complete in all respect, at the same time or before or after filing its claim for grant of Priority Sector status, within six months from the date of starting production.

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.

8. Procedure:-

8.1 Industrial unit satisfying the eligibility criteria shall file application in the prescribed form appended to this operational guideline at Annexure -'A' along with copies of all relevant documents as mentioned in the Checklist at Annexure -'B' to the concerned General Manager, RIC / DIC in duplicate within the prescribed time limit.

Copies of the documents as indicated in the checklist shall be self - attested by Proprietor / Managing Partner / Managing Director / Authorized Signatory.

8.2 On receipt of application, 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. General Manager, RIC / DIC may authorize any of his officers for the purpose.

8.3 After receipt of the application from the industrial unit, the concerned RIC / DIC will check the eligibility and veracity of facts concerning the claim, determine the first date of fixed capital investment, date of commercial production, IPR applicability, & may visit the industrial unit with financier to ascertain the working status and report in the prescribed format at Annexure- 'D' along with certificate of verification in the format prescribed at Annexure -E and recommend one set of application with all supporting documents to the Director of Industries, Odisha within next **7 days** from the date of receipt of application of the unit under intimation to the IPICOL (in case of Large Industries) / applicant unit / and to the all other RICs & DICs.

8.4 General Manager, RIC / DIC shall preferably recommend the aforesaid application along with application for grant of Priority Sector Certificate and or for issue of Production Certificate (in case of large Industries) in favour of the unit.

8.5 On receipt of application supported with relevant documents from the RIC / DIC, the Directorate of Industries, Odisha, on **the same day**, shall ask all other RIC / DICs in the format prescribed at Annexure -F, to report in the format prescribed at Annexure -G, if any such proposal is received at their level / available with them under the specified category of Priority Sector to be considered for grant of Pioneer units status within next **7 days** positively. RIC / DIC should furnish intimation and process such proposal (s) and recommend the same supported with relevant documents in the manner prescribed at Para -8.3 &8.4 as above.

8.6 On receipt of reply from all RIC / DICs, Director of Industries, Odisha shall examine the proposals and issue Pioneer Units Certificate in the prescribed format at Annexure- 'H', if found eligible within next **10 days**.

8.7 After issue of certificate to five Pioneer units on each Priority Sector, no further proposal will be considered.

9. Rejection:-

9.1 In case of rejection of application at RIC / DIC / DI Odisha, the same will be communicated by RIC / DIC / DI, Odisha assigning the reasons to the applicant unit as prescribed in format at Annexure- 'I',

9.2 Where an industrial unit has issued with Pioneer Unit Certificate by misrepresentation, fraud or by furnishing false & misleading information or by suppressing facts / materials, or violates the criteria of eligibility or for any valid reason the said Certificate shall be cancelled by the Authority (D.I, Odisha). In such cases, the incentives administered, if any, shall be recovered from the unit under the provisions of respective schemes.

10. Miscellaneous:-

10.1 RIC / DIC / IPICOL / D. I Odisha may inspect the industrial unit as & when required by the authority.

10.2 Any change in facts or circumstances affecting the eligibility of the unit shall be intimated immediately to the RIC / DIC / IPICOL / Directorate of Industries, Odisha by the unit.

10.3 Where any doubt arises regarding implementation of these rules, the same shall be referred to Government of Odisha in the Industries Department whose decision shall be final and binding on all the parties.

10.4 The industrial unit may furnish information, reports, periodical statements etc to the RIC / DIC / IPICOL / Directorate of Industries, Odisha as and when required.

10.5 Time limit prescribed in this guidelines are of working days only.

11. This has been concurred in by Finance Department vide their UOR No. 127-ES-II/F, dated 10.06.2015.

GOVERNMENT OF ODISHA
INDUSTRIES DEPARTMENT

Memo No. 5927 /I., Bhubaneswar, dated 2/9/2015.
XIV-HI-34/2015

Copy forwarded to All Departments/ All Heads of Departments/ All PSUs/ All Revenue Divisional Commissioners/ All Collectors/ All DICs/ All RICs/ Head, State Portal Group, IT Centre, Secretariat, Bhubaneswar/ All Sections of Industries Department/ Guard File (5 copies) for information and necessary action.


Joint Secretary to Government

| Sl. No. | Name of the Unit (Word, Brand, Trademark) | Type of Organization (Partnership, Private Limited, Public Limited) | Name of Proprietor / Managing Partner / Managing Director / Authorized Signatory | E.M.I. / I.I. Number & Date | Date of last Govt. sanction for investment in the unit, date necessary and working capital | Date of commencement of production | Activity | Productive capacity, Mts. and date | Year (19) | Quantity | Year (19) |
|---------|---|---|--|-----------------------------|--|------------------------------------|----------|------------------------------------|-----------|----------|-----------|
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**APPLICATION BY INDUSTRIAL UNIT FOR GRANT OF PIONEER UNIT STATUS
UNDER INDUSTRIAL POLICY RESOLUTION 2015.**

(Strike out whichever is not applicable)

From

M/s. _____

At/PO _____

Dist. _____

(Location / proposed location of the Industrial Unit)

To

The General Manager,

Regional Industries Centre / District Industries Centre _____

Sub: Application for issue of Pioneer Unit certificate under Industrial Policy Resolution 2015

Sir,

In accordance with the provisions laid down in the Industrial Policy Resolution 2015 and its operational guidelines for grant of Pioneer Unit Certificate, I submit the application as follows-

| | | | | |
|----|--|------|---------------|---|
| 1 | Address of Registered office | | | : |
| 2 | Category of the Unit (Micro / Small / Medium Enterprises / Large Industries) | | | |
| 3 | Type of Organization (Proprietorship / Partnership / Co-operative / Private Limited / Public Limited) | | | |
| 4 | Name of Proprietor / Managing Partner / Managing Director / Authorized Signatory | | | |
| 5 | E M- II / I E M / I L Number & Date | | | |
| 6 | Date of first fixed capital investment (i.e. investment in land / building / plant & machinery and balancing equipment). | | | |
| 7 | Date of Commencement of Production / Activity | | | |
| 8 | Production certificate, No. and date (in case of Large Industry) | | | |
| 9 | Items of Production / Activity | | | |
| | Sl. No | Item | Quantity (MT) | Value (Rs) |
| | (i) | | | |
| | (ii) | | | |
| | (iii) | | | |
| 10 | Employment generated | | | |
| 11 | Capital Investment (Rs) | | As per DPR | Actual expenditure incurred (till date) |

| | | | | | |
|----|---|---|--|-------------------|---|
| | a) | Land & land development | | | |
| | b) | Building & Civil construction | | | |
| | c) | Electrification & electrical installations | | | |
| | d) | Plant & Machinery | | | |
| | e) | Other fixed assets of permanent nature | | | |
| | f) | Loading, unloading, transportation, tax & duties paid, erection expenses etc. | | | |
| | g) | Margin money for Working Capital | | | |
| | | Total | | | |
| 12 | Means of Finance | | | | |
| | Internal sources (Rs) | | | | |
| | Name of Financial Institution (OSFC / Banks / FI- Specify the Branch) | | | | |
| | | Name of F. I | Loan applied for (Rs.) | Loan availed (Rs) | Date of sanction (in case of more than one installment give dates for each of them) |
| | i | Term loan | | | |
| | ii | Working capital | | | |
| 13 | Whether the project has obtained clearance from State Pollution Control Board | | Yes / No / Not required (If yes, furnish copy of consent to operate issued by OSPCB) | | |
| 14 | Whether issued with Priority Sector Certificate under Odisha Industrial Policy Resolution –2015 | | Yes / No / Applied (If issued, furnish a copy of the same. If applied, furnish the copy of Acknowledgement) | | |

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

I hereby undertake to surrender the Pioneer Unit Certificate with penalty as decided by the authority, If the information stated above is found to be false / fraud / incorrect / misleading / misrepresented / or there has been suppression of facts / materials, or violates the criteria of eligibility,

I hereby undertake to furnish information, reports, periodical statements etc. to the RIC / DIC / IPICOL / Directorate of Industries, Odisha as and when required.

I hereby undertake to abide by the terms and conditions prescribed under the provisions of Industrial Policy Resolution –2015 and its operational guidelines.

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

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

Date-
Place-

CHECK LIST**(Strike out whichever is not applicable)**

(Copies of documents to be attached with the application shall be attested by Proprietor / Managing Partner/Managing Director / Authorized Signatory)

| | |
|----|---|
| 1 | Power of Attorney / Board Resolution / Society Resolution, as applicable, while signing as Partner / Managing Director / Authorized person. |
| 2 | Certificate of registration under Indian Partnership Act-1932 / Societies Registration Act- 1860 / Certificate of incorporation (Memorandum of Association & Article of Association) under Company Act-1956 |
| 3 | E M- II / I E M / I L. |
| 4 | Production certificate (in case of Large Industry) |
| 5 | Document in support of date of first investment in fixed capital i.e. first investment in land / building / plant & machinery and balancing equipment |
| 6 | Loan sanction order |
| 7 | Assessment report (Industrial units set up without financial assistance from Public Financial Institutions and or Banks will be required to be assessed by the appropriate agency as envisaged under Para- h – of IPR-20105). |
| 8 | Documents in support of Fixed Capital Investment ie Land ,building plant and machinery and balancing equipment |
| 9 | Clearance from Pollution Control Board and Statutory clearances |
| 10 | Copy of Priority Sector Certificate |
| 11 | Document in support of delay in implementation condoned by Empowered Committee |

OFFICE OF THE GENERAL MANAGER, RIC / DIC----- /

Letter No.----- / Date-----

Acknowledgement

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

To

Sri _____
M/s. _____

Received the application for grant of Pioneer Unit Status under INDUSTRIAL POLICY RESOLUTION -2015 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-----

Annexure -C
(TO BE DISPATCHED TO THE APPLICANT)

OFFICE OF THE GENERAL MANAGER, RIC / DIC----- /

Letter No.----- / Date-----

Acknowledgement

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

To

Sri _____
M/s. _____

Received the application for grant of Pioneer Unit Status under ODISHA INDUSTRIAL POLICY RESOLUTION -2015 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-----

INSPECTION REPORT

(Strike out whichever is not applicable)

(Inspection of industrial project by DIC / Joint inspection of industrial project by DIC with financier)

| | | | | |
|----|--|--|---|-------|
| 1 | Name & designation of Inspecting Officer(s) with name of Organization(s) | (i) | | |
| | | (ii) | | |
| 2 | Date of inspection | | | |
| 3 | Name & Detailed Address of the unit (Location) | | | |
| 4 | E M-II / I E M / I L Registration Number & Date | | | |
| 5 | Name of Proprietor / Managing Partner / Managing Director / Authorized Representative present during inspection / Joint inspection | | | |
| 6 | Date of first fixed capital investment | Fixed capital investment has been made for the first time for establishment of the project on dt----i.e. during operative period of IPR 2015 | | |
| 7 | Name of Financial Institution (Specify the Branch) | | | |
| 8 | Amount of loan availed | | | |
| 9 | Employment Generated | | | |
| 10 | Capital Investment (Rs) | As per DPR | Actual expenditure incurred (till date) | |
| | a) Land & land development | | | |
| | b) Building & Civil construction | | | |
| | c) Electrification & electrical installations | | | |
| | d) Plant & Machinery | | | |
| | e) Other fixed assets of permanent nature | | | |
| | f) Loading, unloading, transportation, tax & duties paid, erection expenses etc | | | |
| | Total | | | |
| 11 | I / We have physically verified the project and the records & registers maintained by the unit & found that the unit has acquired fixed assets of cost o / value as indicated above. | | | |
| 12 | Date of Commencement of Production / Activity | | | |
| 13 | Installed Capacity | Items | Quantity | Value |
| 14 | Production certificate No. & Date | | | |
| 15 | Priority Sector Certificate | No.- | Date of issue- | |
| 16 | It is verified that the applicant unit has availed following incentives. (specify the quantum, value , period & IPR applicability) 1. 2. | | | |
| 17 | Present working status | | | |
| 18 | Remark (s) | | | |

Suggestions

- 1.
- 2.

Signature & designation of Inspecting Officer of
DIC. _____
Date _____

Signature & designation of Inspecting Officer of
Financing Institution _____
Date _____

Certificate of Verification.

(Strike out whichever is not applicable)

Certified that the information furnished by M/s. _____ bearing EM-II / I E M / I L Registration Number-----& Date ----- located at ----- Thasil / Block ----- Dist----- and engaged in production of activities / manufacture of items as below and has started production with effect from _____ during the operative period of IPR – 2015 and has duly been issued with Priority Sector certificate / satisfy the criteria of Priority Sector.

| | | | |
|-----|--|---|-----------|
| (a) | Activities / items of production with NIC-2004 /ASICC code | : | |
| (b) | <p>Sector</p> <ul style="list-style-type: none"> (a) Agro and Food Processing (b) Ancillary and down stream (c) Automobiles & Auto – components (d) Manufacturing in Aviation and Maintenance Repair & Overhaul (MRO) facilities (e) Bio- technology (f) Fly Ash & Blast furnaces slag based industries utilizing a minimum of 25% by weight as base raw material (g) Gem stone cutting and polishing (h) Handicraft, Handloom, Coir and Leather Products (i) Information technology and IT enable service and ESDM units (j) Petroleum, Chemicals & Petro-chemicals (k) Pharmaceuticals (l) Sea food Processing (m) Ship building and construction of other floating vessels / ship repair (n) Textile including Technical Textile & Apparel (o) Tourism and Hospitality (All the units / activities specified in Para 6.11 of Odisha Tourism Policy- 2013 are eligible units) (p) Any industry other than mineral extraction and mineral based industries, which export more than 50% of its total turnover, duly certified by the Director, Export Promotion and Marketing. (q) Migrated industrial unit treated as new industrial unit under Priority Sector. (r) Rehabilitated sick industrial unit treated at par with new industrial unit under Priority sector. (s) Industrial unit seized under Section 29 of the State Financial Corporation Act, 1951 / SARFAESI Act, 2002 and thereafter sold to a new entrepreneur on sale of assets basis and treated as new industrial unit for the purpose of this IPR under Priority Sector. (t) Non-mineral based new industrial units located in the Revenue districts of Kalahandi, Nuapada, Bolangir, Subarnpur, Koraput, Malkangiri, Rayagada, Nawrangpur, Khandamal, Gajapati and Mayurbhanj with minimum investment of five crore rupees in plant & machinery | : | |
| (c) | Capital investment in Rs (actual) | : | |
| (d) | Priority Sector Certificate | : | No & Date |

2. The unit has made first fixed capital investment on ----- (date) & have gone in to production within three years from the date of starting first fixed capital investment.
3. The unit has obtained all the statutory clearances like Odisha State Pollution Control Board, -----etc.
4. The unit is determined under the provisions of IPR-2015 and does not included / included in the activities enlisted at SI-3 SCHEDULE- Annexure II of IPR 2015.

As such, the Industrial unit may be declared as a Pioneer unit under IPR – 2015 as defined in Para – 16 of *Definitions and Interpretations of Annexure -I of Industrial Policy Resolution – 2015* and necessary certificate to this effect may be issued

General Manager, RIC / DIC _____