

OPERATIONAL GUIDELINES ON QUALITY CERTIFICATION

(See Para- 5.4.9 of IPR-2015)

Quality certification ensure conformity to legal and regulatory requirements, customers requirements, operational results, products and better return on investment and also better working environment.

Efforts are being made to ensure that local products are cost-effective and meet overall quality requirement for competitiveness. But finance could be a major deterrent to invest in implementation of quality management and other related management system standards. To support to this endeavor, the State Government is providing assistance for obtaining quality certification under the provisions of Industrial Policy Resolution 2015

1. Short Title: - Operational guidelines for providing assistance for obtaining Quality Certification under 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 and Expressions: -Terms and expressions used in this operational guideline, but not specifically defined here, shall have the same meaning as in Industrial Policy Resolution 2015.

5. Definition:-

Nationally and Internationally recognized Institutions - Certification Body or Certification Registrar accredited by National / Regional Accreditation Bodies or by International Accreditation Forum.

6. Policy Provisions:-

New Industrial units and Existing Industrial Units in Micro, Small & Medium Enterprises and Priority Sector taking up expansion / modernization / diversification shall be provided with assistance on obtaining quality certification from Nationally and Internationally recognized Institutions and its renewal for next consecutive two years i e for a period of 3 years from the date of commencement of production @ 100% of the quality certification charges up to a total maximum limit of three lakh rupees (INR 3.00 lakh).

7. Eligibility: -

- 7.1 New Industrial units.
- 7.2 Existing Industrial Units in Micro, Small & Medium Enterprises taking up expansion / modernization / diversification.
- 7.3 Existing Priority Sector Units taking up expansion / modernization / diversification
- 7.3 Migrated industrial unit treated as new industrial unit.
- 7.4 Rehabilitated sick industrial unit treated at par with new industrial unit and duly recommended by State Level Inter Institutional Committee (SLIIC) for this incentive.
- 7.5 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.

8. Eligible costs of assistance shall include -

- a) Cost of application form and or application fees, assessment fees, processing charges, and all other costs / charges / fees, known by whatever name, paid to the competent Registering Authority.
- b) The total amount of assistance under these rules shall be limited to Rs.3.00 lakh for a unit. If any unit obtains quality certificate for more than one product during the operative period of this IPR, the assistance shall be available for each quality certificate separately subject to an overall cumulative limit of Rs.3.00 lakh (Three lakh).

8.2 If the industrial unit has availed assistance / subsidy / any incentive for obtaining quality certification from any State Govt. or the Central Govt. (GoI) or any Financial Institutions of the country or abroad, it shall be eligible for the differential amount of benefit only.

9. Time frame for filing Application: - The entrepreneur shall submit his claim within **one year** from the end of each financial year on obtaining quality certification / renewals.

Application in the prescribed form received after the due date / incomplete in any respect shall be liable to be summarily rejected.

10. Procedure:-

10.1 Industrial unit satisfying the eligibility 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' (in duplicate in

case of Medium Enterprises & Large Industries) to the concerned General Manager, RIC/ DIC within the prescribed time limit.

Application for assistance on renewal of quality certification for subsequent years, after 1st year / initial year of claim, during the eligible period shall accompany with the documents & valid statutory clearances / approvals only related to the year of claim.

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

10.2 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.

10.3 After receipt of the application from the industrial unit i.e Micro and Small Enterprises, the concerned RIC/DIC will check the eligibility and veracity of facts concerning the claim, determine the IPR applicability & eligible amount of assistance and accord sanction of assistance in the prescribed format at Annexure- 'D' in favour of the Micro and Small Enterprises under intimation to D.I. Odisha within next **15 days** from the date of receipt of application of the unit.

10.4 In case of Medium Enterprises and Large Industries, the concerned RIC/DIC will check the eligibility and veracity of facts concerning the claim and forward one set of Application with its relevant enclosures to the Director of Industries under intimation to the IPICOL and the industrial unit within 3 days of receipt.

10.5 On receipt of application with requisite documents from General Manager, RIC / DIC concerned, Director of Industries, Odisha shall examine the proposal of Medium Enterprises and Large Industries, determine the IPR applicability & eligible amount of assistance and accord sanction of assistance in the prescribed format at Annexure- 'D' under intimation to the IPICOL and RIC / DIC within next **15 days** from the date of receipt of application from RIC /DIC concerned.

10.6 The Scheme officer of the Directorate of Industries, Odisha shall maintain a list of national and International recognized institutions and communicate the same to the General Manager, RIC / DIC, If required. RIC/ DIC may refer the proposal or obtain technical opinion of Directorate of Industries, Odisha or from any other Govt./ Semi Govt./ Certified Private Organization within the country or abroad from time to time through Directorate of Industries, Odisha / Industries Department / MSME Department in the matter.

11. Disbursement:-

11.1 The RIC / DIC in case of Micro and Small Enterprises and Director of Industries in case of Medium Enterprises & Large Industries shall disburse the sanctioned amount of assistance to the industrial unit within next 5 days subject to availability of funds under the scheme under intimation to Director of Industries, Odisha / RIC / DIC.

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

12. In case of **rejection** of application, the reasons of rejection shall be communicated to the applicant unit as early as possible or within 25 days of receipt of application by concerned General Manager, RIC / DIC / D.I Odisha in the format prescribed at Annexure – 'E'.

13. Miscellaneous :-

13.1 RIC/ DIC / Directorate of Industries, Odisha may inspect the industrial unit, if felt necessary.

13.2 The entrepreneurs shall immediately intimate to the concerned RIC/ DIC and Director of Industries, Odisha if the Quality Certificate is revoked by the authority for any reason.

13.3 The Assistance or any part thereof with penal interest as decided by the authority shall become forthwith repayable by the entrepreneur(s) on the following events, namely-

(a) 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.

(b) If the Quality Certificate is revoked by the authority for any reason.

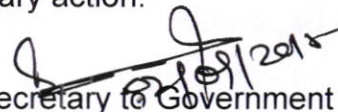
14. Time limit prescribed in this guideline is of working days only.

15. The operational guidelines have been concurred in by Finance Department in their UOR No. 87-ES-II/F, dated 10.06.2015.

GOVERNMENT OF ODISHA INDUSTRIES DEPARTMENT

Memo No. 5929 /I., Bhubaneswar, dated 2/9/2015.
XIV-HI-36/2015

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

**APPLICATION FOR SANCTION AND DISBURSEMENT OF ASSISTANCE
FOR QUALITY CERTIFICATION UNDER PROVISIONS OF INDUSTRIAL POLICY
RESOLUTION 2015**

*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: Sanction & disbursement of assistance for quality certification under provisions of Industrial Policy Resolution-2015.

Sir,

In accordance with the provisions laid down in Industrial Policy Resolution –2015 and operational guidelines, the claim for assistance for quality certification is submitted herewith with following particulars.

1	Category of the Unit (Micro / Small / Medium Enterprises / Large Industries)	:	
2	New Industrial unit / Existing Industrial Unit in Micro, Small & Medium Enterprises taking up expansion / modernization / diversification / Existing Priority Sector Units taking up expansion / modernization / diversification / Migrated industrial unit treated as new industrial unit / Rehabilitated sick industrial unit treated at par with new industrial unit and duly recommended by State Level Inter Institutional Committee (SLIIC) / 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.	:	
3	Address of Registered office	:	
4	Type of organization (Proprietorship / Partnership / Co-operative / Private Limited / Public Limited)	:	
5	Name of Proprietor / Managing Partner / Managing Director / Authorized Signatory	:	
6	EM-II / IEM / I L No. and date	:	
7	Items of manufacture / activity (Original / E/M/D)	:	Item Quantity Value
8	Date of commencement of production	:	
9	Date of first fixed capital investment for New Industrial Unit i.e. land / building / plant & machinery and balancing equipment.	:	

10	Date of first fixed capital investment for E/M/D of Existing units		
11	Date of commencement of production for E/ M/D		
12	Total capital investment (Head-wise & specify investment in Laboratory / R&D Lab)	:	Original E/M/D Total
	a		
	b		
	c		
	d		
13	Name of the Financial Institution Specify the date of sanction & amount of term loan / working capital loan		
14	Whether loan has been availed from FI / Banks for the purpose of obtaining quality certification, if so specify-		
	a Name of F I / Bank	:	
	b Amount of loan availed	:	
15	Name the products or activities for which quality certificate has been obtained.	:	
16	Name & address of the Registration Authority/ Authorities issued Certificate(s)		
17	Certificate No. with date (copy to be submitted)		
18	Certificate No. with date of its renewal and period of validity (copy to be submitted)		
19	Amt. of expenditure incurred for obtaining quality certification / its renewal (Copy of the bills/vouchers/receipt etc. be submitted with a statement of)		
20	Details of assistance sanctioned / availed so far with sanction order no & date	:	
21	Present claim for assistance	:	
22	Details of assistance sanctioned / availed form any State Govt. or the Central Govt.(GoI) or any Financial Institutions of the country or abroad, with sanction order no & date		
23	Differential amount of Claim		

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 abide by the terms and conditions prescribed under the provisions of Odisha Industrial Policy –2015 and **its operational guidelines**.

I hereby undertake to repay the assistance amount or any part thereof with penal interest as decided by the authority-

(a) If the information furnished is found to be false / incorrect / misleading or misrepresented and there has been suppression of facts / materials or disbursed in excess of the amount actually admissible for whatsoever reason.

(b) If the Quality Certificate is revoked by the authority within five years of obtaining such certificate for any reason.

I hereby certify that this industrial unit 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.

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

Date.

Signature of the Proprietor / Mg. Partner/ Mg. Director /

Authorized Signatory in full and on behalf of M/s -----

List of documents attached :

.....

Annexure –B**CHECK LIST**

Copies of documents to be attached with the application shall be self-attested by Proprietor / Managing Partner/Managing Director / Authorized Signatory
(Strike out whichever is not applicable)

1	Entrepreneurs Memorandum- II / IEM / Industrial License / 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 / Societies Registration Act- 1860 / Certificate of incorporation (Memorandum of association & Article of Association) under Company Act-1956
4	Certificate of Priority Sector / Pioneer Unit in each Priority Sector /
5	Migrated industrial unit treated as new industrial unit.
6	Rehabilitated sick industrial unit treated at par with new industrial unit and duly recommended by State Level Inter Institutional Committee (SLIIC) for this incentive.
7	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.
8	Document in support of date of first investment in fixed capital for original / Expansion / Modernization / Diversification i.e. land / building / plant & machinery and balancing equipment /
9	Appraisal / approval for Expansion / Modernization / Diversification as in –Annexure –I - Definition and Interpretation of IPR.
10	Statement on fixed asset acquired & installed for Lab. / R&D Lab. supported with bills & vouchers
11	Term loan sanction order of OSFC / Banks / FI
12	Sanction order of loan availed from FI / Banks for the purpose of obtaining Quality Certification.
13	Quality Certificate / Registration Certificate issued by the competent authority
14	Renewed copy of valid Quality Certificate / Registration Certificate issued by the competent authority
15	Statement on expenditure incurred for obtaining Quality Certification / its renewal supported with copies of the bills / vouchers / receipt etc.
16	Details of assistance sanctioned / availed so far with sanction order no & date and other supporting documents from State Govt / Central Govt / Govt. Agencies / Financial Institutions
17	Document in support of delay in implementation condoned by Empowered Committee
18	Undertaking on non-judicial Stamp Paper duly signed by the applicant in the format – Annexure- B1
19	<i>Valid statutory clearances including consent to operate issued by OSPCB</i>

UNDERTAKING

- i) I / We shall abide by the terms and conditions prescribed under the provisions of Industrial Policy Resolution 2015 and its operational guidelines.
- ii) I / We shall repay the assistance for quality certification or any part thereof with penal interest as decided by the authority-
 - (a) If the information stated above 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.
 - (b) If the industrial unit 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.
- iii) I / we the promoter(s) have not defaulted to Banks / Development Financial Institutions / SIDBI / OSFC / IPICOL / Government and Government controlled agencies in connection with the unit for which the incentive is sought or for any other unit / activity in the state with which concerned promoter(s) is / are directly or indirectly associated.
- iv) This industrial unit has not applied / availed assistance for quality certification / its' renewal under any other scheme of the State Govt. or the Central Govt. or any Financial Institution(s).

I / we shall furnish its audited Financial statements and other periodical statements of each financial year to the RIC / DIC / IPICOL/ Directorate of Industries, Odisha during the period of incentives.

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

Place-

Date-

Annexure –C

(FOR OFFICE USE)

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 sanction & disbursement of assistance for obtaining Quality Certification under INDUSTRIAL POLICY RESOLUTION –2014 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 sanction & disbursement of assistance for obtaining Quality Certification under INDUSTRIAL POLICY RESOLUTION –2014 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- D

OFFICE OF THE GENERAL MANAGER, RIC/ DIC---
OFFICE OF THE DIRECTORATE OF INDUSTRIES, ODISHA, CUTTACK
(Strike out whichever is not applicable)

SANCTION ORDER

No. _____ dt. _____

Sanction is hereby accorded for payment of assistance towards 100% (Hundred percent) of the quality certification charges for Rs.____ (Rupees _____) only in favour of M/s. _____ Proprietor / Managing Partner / Managing Director / Authorized Signatory Sri _____ At/PO _____ Dist. _____ (Address of the Registered office of the unit) located at _____ Sub-Division _____ District _____ in accordance with the provisions laid down in Industrial Policy Resolution –2015 and the operational guidelines.

The captioned industrial unit is a New Micro Enterprise / Small Enterprise / Medium Enterprises / Large Industries / Existing Industrial Units in Micro, Small & Medium Enterprises taking up expansion / modernization / diversification / Existing Priority Sector Units taking up expansion / modernization / diversification / Migrated industrial unit treated as new industrial unit / Rehabilitated sick industrial unit treated at par with new industrial unit and duly recommended by State Level Inter Institutional Committee (SLIIC) / 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 and the total amount sanctioned so far, does not exceed the limit of Three lakh rupees prescribed in the Industrial Policy Resolution 2015.

This Sanction is towards differential amount of assistance and does not exceed the limit of Three lakh rupees prescribed in said Industrial Policy Resolution 2015.

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

Memo No. _____/dt. _____

Copy forwarded to the Director of Industries, Odisha / General Manager, RIC/ DIC ____/ Managing Director, IPICOL for information and necessary action.

General Manager, RIC/ DIC ____/
Director of Industries, Odisha

Memo No. _____/Ind., dt. _____

Copy forwarded to M/s. _____ Proprietor / Managing Partner / Managing Director / Authorized Signatory Sri _____ At/PO _____ Dist. _____ for information.

General Manager, RIC/ DIC ____/
Director of Industries, Odisha

Annexure- E

**OFFICE OF THE GENERAL MANAGER , RIC/ DIC--- /
OFFICE OF THE DIRECTOR OF INDUSTRIES, ODISHA, CUTTACK**

No ----- Dt.-----

(Strike out whichever is not applicable)

This is to inform that –

The application for sanction of assistance on obtaining quality certification / for its renewal filed by M / S _____ bearing Regn. No _____ Dt _____ on dt. _____ under IPR-2015 is rejected due to following reasons.

(Specify the reasons)

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

General Manager, RIC/ DIC ____
Director of Industries, Odisha