

**Format for application for grant of financial assistance towards organizing awareness programmes on Energy Efficient Technologies and application of Renewable Energy sources including Clean Development Mechanism (CDM) in MSME manufacturing sector.**

1. Name of the organisation with complete postal address, Telephone No., Fax No. and E-mail ID.
2. Whether registered or approved under any Act or Regulation, (to be specified) and the date thereof (please enclose a copy of the Registration Certificate).
  - (i) Particulars of the present members of Executive Body/Board of Management, date on which it was constituted and tenure
  - (ii) Name of the person and his/her designation nominated/authorized to act on behalf of the organisation.
  - (iii) Name of the professional expert, certified as an Energy Manager/Auditor.
3. A brief note on work done in EET and/or RE areas for the benefit of MSME manufacturing sector, if any.
4. Details of the target Group, its geographical coverage and expected benefits.
5. Tentative date and Venue for organising the programme.
6. Is it proposed to receive grant/grants from any other source for the same purpose or Activity to which this application pertains? If so, details thereof.
7. Information relating to the grants received/or likely to be received from this office for any other Activity. (If any grant had been received in the past, details thereof with file/letter No. of the Commission – Copy).
9. Additional information if any.
10. List of documents to be attached:
  - (i) Certified copy of Registration Certificate, if applicable.
  - (ii) Certified copy of Memorandum & Articles of Association, where applicable.

- (iii) Certified copy of Audited Statement of Accounts / Annual report for the last two years.
- (iv) Details of Expenditure - Document giving an undertaking to conduct the Programme as per scheme guidelines and objectives and in case the programme is not organised, to return the cheque/refund the advance given.

**Signature & Designation**

With seal/stamp

**Terms and conditions:**

- (i) The financial assistance under the scheme will only be used for organising the event/Activity approved under the scheme.
- (ii) The assistance will be released in two instalments. 50% of the sanctioned amount will be released after the proposal is approved on receipt of write-up on programme, venue, item-wise budget estimates likely number of participants and relevant documents.
- (iii) The balance amount will be released after the submission of the (i) Utilisation certificates from the Chartered Accountant, (ii) Statement of Accounts (iii) Report of the Resource Persons of the programme and (iv) List of participants, which is to be submitted in a month's time from the date of organising the Awareness Programme.
- (iv) No equipment/asset will be purchased out of the assistance.
- (v) Unspent portion of the assistance will be refunded.
- (vi) In the event of violation of any of the terms and conditions of sanction, the organisation will have to refund the entire sanctioned amount on demand or such part thereof along with penal interest as per the Government rates.
- (vii) For private agencies, the requisite bond as per rule 209 – 6 (ix) of GFR- 2005, will have to be executed.

\*\*\*\*\*

**Application for conducting energy audit/ preparation of detailed project report (DPR) for MSME clusters / units**

1. Name of the Institute/organization.....
2. Full particulars of the Institute/Organization
  - (i) Constitution
  - (ii) Ownership
  - (iii) Organizational structure
3. Main activities of the prospective consultant  
(Including details of full time professionals)
4. Annual reports or audited accounts ( for the last two years)
5. Name and short CVs of the full time & part time researchers proposed to be involved in the work.  
(The CVs would need to be backed by written commitments of the persons about the availability of his/her service).
6. Details of major assignments of similar nature undertaken during the last five years.
7. Details of the cluster of Industries/ Group of Industries where the Energy Audit Study/DPR is to be made including the information related to MSME units.
8. List of documents to be attached:
  - (i) Certified copy of Registration or Equivalent Certificate
  - (ii) Certified copy of memorandum Articles of Association or Rules/Regulation, as applicable.
  - (iii) Certified copy of Audited statement of Accounts/ Annual Report for the last two years.
  - (iv) Details of Expenditure - Document giving an undertaking to properly conduct the study and in case the study is not conducted, to return/refund the advance received.

**Signature & Designation**

**With Seal/Stamp**

\*\*\*\*\*

**Application for assistance for implementation of Energy Efficient Technology (EET) Projects**

1. Name of the firm/ company .....
2. Constitution (Proprietary concern, partnership firm, Pvt. Ltd. Co., Public Ltd. Co., Co-op. Societies)
3. Name(s) of sole proprietor/ partners/ directors  
.....
4. Category of borrower (women entrepreneur, SC/ST, Physically handicapped, Ex-servicemen, etc.)
5. Registered Office Address .....  
.....  
.....  
Pin.....Phone No.....  
Fax.....E-mail.....
6. Factory Address.....  
.....  
.....Pin.....  
Phone.....Fax.....  
E-mail.....
7. Location of factory – Backward or Non-backward area.....
8. Date of incorporation/ commencement of production  
.....
9. Product(s)/Sub-sector.....

10. Installed capacity.....
11. Past Performance (for last three years on the basis of audited balance sheets – in respect of existing units. In respect of new units projections for next three years may be given).

SL.No.	Description	Financial Year (Y-1)	Financial Year (Y-2)	Financial Year (Y-3)
I	Total Sales			
II	Gross profit (Before interest & depreciation)			
III	Depreciation			
IV	Interest			
V	Operating Profit			
VI	Net Profit(after tax)			

12. Total cost of EET Project as per DPR and approved by SIDBI /Bank/Financial Institution (Rs. in lakh) (Enclose a copy of DPR)
13. Total Sources of funding (as approved by Bank/ Financial Institution) (in Rs. in lakh)
- Term Loan.....
- Add share capital .....
- Internal accruals.....
- Capital Subsidy .....
14. Time frame for completion of the project.....

15. Incremental benefits from implementation of the project (indicate in terms of energy savings and any other benefits - give projected results quantitatively).
16. List of eligible new plant and machinery along with their detailed specifications, rates, quantities and total value for which subsidy is claimed.

### **DECLARATION**

I/We, hereby declare that the information given above and the statement and other papers enclosed are to the best of our knowledge and belief are true and correct.

**Place:**  
**Date:**

**Signature(s)**  
**Name and designation**  
**Seal of the company**

\*\*\*\*\*

**Format of Application for Grant of Financial Assistance for Setting up of Carbon Credit Aggregation Centre in MSME Cluster**

1. Title of the proposed project
2. Name and Address of organisation / institute
3. Activity of the organisation / Institute, number and size (also in term of installed capacity) of units and number of units
4. Name of the chairperson and members of the organizing committee, if any
5. Category in which the organising institution falls:
  - (i) Registered Society or similar body.
  - (ii) Academic Institution.
  - (iii) University College/ Technical Institutions.
  - (iv) Quasi Government or Government aided body.
  - (v) Others (specify).
6. Details of Affiliates, if any. (Attach statement)
7. Details of proposed project
  - (a) Objectives
  - (b) Duration
  - (c) Target groups (including areas to be covered under the project)
  - (d) Major activities to be undertaken
  - (e) Details of the Consultants / Experts to be associated with the Project (written agreement required)
  - (f) Is there any other organization providing similar facilities in the adjoining areas. If so, the details thereof and justification for setting up of similar facility.
  - (g) Project highlights (a brief project report may be submitted)
  - (h) Proposed costs and time frame (Activity wise costing/ expenditure).
  - (i) Structure of proposed SPV (users body) to be constituted
  - (j) Previous track record of MSME initiatives pursued by applicant organisation need to be highlighted with support documents.
  - (k) Revenue generation mechanism for sustainability of assets (service/ user charges to be levied, any other to be specified).
  - (l) Project implementation schedule and completion period (enclose Bar / Pert Chart).
  - (m) Highlight the likely impact of the project on beneficiary enterprises

- particularly with regard to tradable Carbon Credits (CER)
- (n) Mechanism for monitoring the progress of the C.C.A. centre in assisting MSMEs.
8. Any Additional Information giving justification for the project.
9. List of Documents Attached:
- (i) Certified copy of Registration or equivalent Certificate.
  - (ii) Certified copy of Memorandum Articles of Association or Rules/ Regulation etc.(if applicable).
  - (iii) Certified copy of Audited statement of accounts for the last two years, if applicable.
  - (iv) Annual Report for the last two years, if applicable.

**Signature & Designation**

**With seal/stamp**

**Terms and conditions**

- (i) The financial assistance will only be used for setting up of Carbon Credit Aggregation Centre.
- (ii) The assistance will be released in instalments depending on the progress of the centre. First instalment will be released after the proposal is approved on receipt of write-up on proposal, budget estimates (item-wise), etc.
- (iii) The subsequent instalments will be released in accordance with the funding assistance approved by the Scheme Steering Committee.
- (iv) Unspent portion of the assistance will be refunded to the Office of DC (MSME).
- (v) Separate accounts of the Programme will be maintained and the same will be subjected to test check by any Govt. official
- (vi) In the event of violation of any of the terms and conditions of sanction, the organisation will have to refund the entire amount sanctioned, to the Government on demand or such part thereof along with penal interest as per the government rates.
- (vii) The office of DC (MSME) may lay down any other condition prior to the release of the financial assistance.

\*\*\*\*\*

**Application Format for Claiming Reimbursement of Product Certification Charges by MSMEs for Certification of Products to Indian and International Standards**

1. (a) Name and address of the unit  
[Office & Factory Location (s)]  
(b) Telephone No. Factory & Office  
(c) E-mail & Fax
2. Details of E.M. No. / D.I.C. Registration  
(Enclose an attested copy of all pages of E.M. No.)
3. Whether SC/ST
4. Whether Women Entrepreneurship
5. Item (s) of manufacture/processing  
as indicated in the E.M. Certificate.

6. **Proof of MSME status and functional status of the unit as on the date of submission of Application**  
**The following document(s) to be submitted**

An Affidavit (in original) from Managing Director/  
Director/Proprietor/Partner of the MSME duly sworn  
before a Notary Public confirming MSME status and functional  
status of the unit at the time of acquiring Product  
certificate; and as on date,( As per Format **at Annex - IV B**)  
accompanied by CA certificate of the total investment in  
plant & machinery as on date (original purchase value)  
(As per Format at Annex – **IV C**)

7. **Details of Product Certificate**  
Name and address of Certification Agency; The Certificate  
must have address of the site/location certified; Scope  
of certification, Certificate No , date of issue &  
period of validity (or date of expiry).  
(Enclose an attested copy of the Certificate)
8. Details of expenditure incurred in acquiring Product Certificate

[Furnish a CA certificate of expenditure (in original)  
giving the details (as per the Format at **Annex- IV D**)]

9. Details of reimbursement/grant/subsidy already received, if any, from Govt. of India State Govt./Financial Institution etc. for the product Certification to BIS, BEE or International Standard ( Furnish an Undertaking/declaration (in original) from the Managing Director/Director/ Proprietor/ Partner sworn before Notary Public(as per the Format **Annex –IV E**)

10. Pre-receipt to be furnished as per Format at **Annex – IV F**

Declaration:

I (full name) .....,S/o of .....Managing Director/  
Director/Proprietor/Partner of M/s. .... (complete address) hereby  
declare that the particulars given in the application are correct. In case any of the  
statement/information furnished in the application/documents later found to be  
wrong or incorrect or misleading, I do hereby bind myself and my unit to pay to  
the Government on demand the full amount received as reimbursement in

respect of above mentioned Activity, within seven days of the demand being  
made to me in writing.

Name and Signature of Managing Director/  
Director/Proprietor/Partner  
(Full Name)

**Note:**

Copies of Entrepreneurial Memorandum (E M) / D.I.C. Registration, Product  
Certification Certificate must be attested by Chartered Accountant (with name of  
the signatory, CA Stamp, and CA Membership No. )

\*\*\*\*\*

**Annexure 'IV B'**

**AFFIDAVIT\*\***

I,-----s/o-----  
Managing Director/Director/Proprietor/Partner,\* M/s.-----  
-----with their Regd. Office at ----- & Factory  
located at----- with E.M. No.-----  
-----dt.-----do hereby solemnly affirm and declare as under:

The Company/Firm/Establishment has been a Micro / Small/ Medium Enterprise as per the Govt. of India definition; and has been functional & in production at the time of acquiring Product Certification No.-----dated-----

- i. The Company/Firm/Establishment continues to be a a Micro / Small/ Medium Enterprise and functional & in production as on date.
- ii. As per books of account, the total investment (original purchase value) in plant and machinery in the Company/Firm/Establishment as on ----- is Rs----- (Chartered Accountant Certificate dated-----to this effect is attached).

Signed on this day of-----dt-----

DEPONENT

**VERIFICATION:**

I do solemnly affirm that the contents of the Affidavit are true to the best of my knowledge & belief.

DEPONENT

Date:

Place:

(Note) \* Strike out whichever is not applicable.

\*\*On a Stamp paper (of Rs.10/- min) in Delhi /amount as applicable in the respective State duly sworn before a Notary Public( duly affixed with Notarial Stamp; and with Notary Seal; and Notary Registration number) or First Class Magistrate

**Annexure 'IV C'**

**Certificate from Chartered Accountant about investment in Plant & Machinery (on C.A. Letter Head)**

To Whom It May Concern

Verified from the Books of Accounts of  
M/s. \_\_\_\_\_ with their Regd. Office at  
\_\_\_\_\_ and Factory located  
at \_\_\_\_\_ and E.M. / D.I.C. Registration  
No. \_\_\_\_\_ dt. \_\_\_\_\_ that the total  
investment in plant and machinery (original purchase value) of the company as  
on date\* \_\_\_\_\_ stands as  
Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_  
\_\_\_\_\_)

Name & Signature of the  
Chartered Accountant with stamp  
and Membership number.

Place:

Date:

\*\*\*\*\*

**Annexure 'IV D'**

**Certificate from Chartered Accountant in respect of Proof of Expenditure incurred for acquiring Product Certification (on a C.A Letter Head)**

**To Whom It May Concern**

The documents & records of M/s. \_\_\_\_\_ with their Regd. office at \_\_\_\_\_ and factory located at \_\_\_\_\_ and E.M. / D.I.C.

Registration No. \_\_\_\_\_ dt. \_\_\_\_\_) in respect of the expenditure incurred by them in acquiring Product certification have been verified; and it is certified that the said company have incurred a total expenditure of Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_) towards ; Application fee; / Product Testing Fee to the relevant standards / Inspection Charges / Advance Licence Fee for the 1<sup>st</sup> year from the Certification Agency namely \_\_\_\_\_; as per the following details of payments:

Details of Payments (Name of Certification Agency/Orgn.) Amount paid(in Rupees)

- a) Application Fee paid to -----
- b) Inspection Fee paid to -----
- c) Annual Licence Fee paid to -----
- d) Calibration charges paid to-----Total -----

Place-----

Dated-----

(Signature of the Chartered Accountant with Name CA Stamp & CA Membership Number)

Payments above should be supported by copies of receipts of payments made duly attested. The payment receipts must indicate the purpose for which the payments have been made.

\*\*\*\*\*

**Annexure 'IV E'**

*To be submitted by the Applicant on a Non-judicial Stamp paper of Rs. 50/-(Min) in Delhi /amount as applicable in the respective State duly sworn before a Notary Public (duly affixed with Notarial Stamp; and with Notary Seal & Notary Registration number) or First Class Magistrate*

**UNDERTAKING/ DECLARATION**

I,-----s/o-----Managing  
Director/Director/Proprietor/Partner, M/s.-----with Regd. office  
at----- & factory located at-----  
and with E.M. No.-----dt.----- do hereby solemnly affirm and declare as  
under:

(a) (i) That the aforesaid Company/Firm/Establishment(s) have not availed reimbursement/subsidy/grant/incentive for acquiring, Product Certification under any Scheme operated by Central Govt. (including o/o DC(MSME), M/o MSME)/ State Govt./ Financial Institution etc.

OR

(a) (ii) That the aforesaid Company/Firm/Establishment(s) have claimed & received reimbursement/subsidy/ grant/incentive for acquiring Product Certification amounting to Rs\_\_\_\_\_ (Rupees \_\_\_\_\_ from \_\_\_\_\_(Name of the Central Govt/State Govt Deptt./Financial Institution vide draft/cheque No-----dt----- of----- (Name of Bank).

(b) (i) That the aforesaid Company/Firm/Establishment(s) have already applied to-----Name of the Central Govt (other than O/o DC(MSME))/ State Govt/ Financial Institution ) vide application dated-----for reimbursement/ subsidy/ grant/incentive for acquiring Product Certification .

OR

(b) (ii) That the aforesaid Company/Firm/Establishment(s) have not applied to any Central Govt./State Govt./ Financial Institution (except o/o DC(MSME), Ministry of MSME), for reimbursement/subsidy/grant/incentive, for acquiring Product Certification.

( c) That after availing reimbursement for Product Certification from Office of DC(MSME), Ministry of MSME, in respect of the said Company/Firm/Establishment(s), I shall disclose this fact on behalf of the said

Company/Firm/Establishment(s) at the time of claiming/ receiving reimbursement/ subsidy/grant/incentive, if any, under any other similar scheme run by Central Govt./State Govt. /Financial Institutions etc..

(d) I hereby solemnly affirm that the information given above is correct. In case above declaration is found wrong or incorrect or misleading, I do hereby bind myself & my unit and undertake to pay to the Government on demand the full amount received as reimbursement in respect of above mentioned Activity, within seven days of the demand being made to me in writing.

Partner/Proprietor/ Managing Director/ Director

In the presence of:

1. (Full Name and addresses of the two witnesses also to be indicated along with signatures)
- 2.

Note: The factual status as on date under the respective paras at (a); (b) & (c) above must be clearly indicated

\*\*\*\*\*

**Annexure 'IV F'**

Name of the Industry: \_\_\_\_\_

Address : \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Phone Number : \_\_\_\_\_

**PRE – RECEIPT (in Triplicate)**

Received a sum of Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_ Stamp)

**(B) FOR OFFICE USE ONLY**

Passed for the payment for

Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_

\_\_\_\_\_ ) Vide sanction

No. \_\_\_\_\_ dated \_\_\_\_\_.

Director

\_\_\_\_\_ ) from the Development  
Commissioner (Micro, Small & Medium Enterprises) towards the reimbursement  
of expenses incurred for obtaining Product Certification

Rubber Stamp of the Unit

\*Signature of the Authorized Person (on Revenue

Micro, Small & Medium Enterprises, DI

\_\_\_\_\_ (Place)

## INSTRUCTIONS

1. Please ensure you prepare the Annexure IV in A-4 size paper only.
2. Please ensure you give Annexure IV in triplicate.
3. Please type the name of your industry, full address and telephone numbers as indicated in the sample format, in the portion marked A.
4. Please do not fill in the amount in the pre-receipt. Leave the portion blank. The office of DC (MSME) will fill it up after calculating the amount due to you.
5. Please ensure the authorized person of your unit signs at the places indicated for signatures of the authorized person on revenue stamp.
6. Please type portion 'B' yourself in the A-4 size paper as indicated in the format.
7. Office of the DC (MSME) will fill up the amount and the sanction no. in the spaces provided for the same.
8. The Assistant Director concerned will sign at the place earmarked for his signature.

\*\*\*\*\*

## Annexure 'IV G'

**Check List** of documents to be annexed along with the Application for claiming reimbursement of expenses of Product Certification.

1. Copy of E.M. / D.I.C. Registration No. duly attested by an Chartered Accountant (Name, Signature, Membership number; and Seal)
2. An Affidavit( In original) on a non judicial stamp paper of Rs. 10 (Min.) in Delhi/Amount as applicable in the respective State) duly sworn before a Notary Public as per Annexure 'II'( with Notary Seal, Notarial Stamp & Noatry Registration no. ; and Chartered Accountant's Certificate of investment in Plant and machinery as per Annexure 'III'.
3. Copy of Product Certification Licence duly attested by Chartered Accountant (Name, Signature, Membership number and Seal.)
4. Chartered Accountant's certificate of the details of the Expenses incurred by the unit in acquiring Product Certificate in Annexure 'IV'. The payments made to the Certification agency **must be supported by copies of Receipts duly attested** (The payments directly made to the Certification Agency shall only be eligible for reimbursement) Invoices should be supported to Receipts.
5. Undertaking/Declaration of the Incentive/grant/subsidy already received, if any, in Annexure 'V' on a Non-Judicial stamp paper of Rs.50/-,(Min) in Delhi/Amount as applicable in the respective State. with witnesses name & their addresses & signatures, Notary Seal, Notarial Stamp & Notary Registration nos.)
6. Pre-receipt in Triplicate on Company's Letter head with company's Rubber Stamp and affixed with Revenue Stamp in Annexure 'VI'
7. Certificate to be attached for SC/ST category.

Any other documents annexed to be mentioned.

\*\*\*\*\*

**INDICATIVE TIMELINE FOR ACTIVITY NO. 2**

<b>Sl.No.</b>	<b>Activity</b>	<b>Time frame</b>
<b>A.</b>	<b>APPROVAL OF PROJECT</b>	
1.	Submission of Application by the units to SIDBI/ Banks as per performa along with DPR.	D
2.	Appraisal of DPR by SIDBI/ Banks and forwarding to O/O DC (MSME)	D + 2 months
3.	Approval by SSC & communication to SIDBI	D + 4 months
4.	Disbursal of loan by SIDBI / Banks	D + 5 months
5.	Forwarding of claims by SIDBI to office of DC(MSME)	D + 7 months
6.	Transfer of GOI subsidy to SIDBI	D + 9 months
<b>B.</b>	<b>DISBURSEMENT OF GOI ASSISTANCE</b>	
7.	Procurement of machines as per DPR, after availing loan from SIDBI / Banks and installation by the unit at site.	Y
8.	Disbursement of subsidy by SIDBI / Banks to the MSME unit	Y + 1 month
9.	Submission of Utilisation Certificate by SIDBI to the office of DC (MSME)	Y + 3 months

**Note: (1) In general 'Y' should not be more than 'D + 9' months.**

**(2) Scheme Steering Committee can relax above time frame in deserving cases**