No. 91/CF/48 - The Government of India set out in their Resolution dated 6 April 1948 the policy which they proposed to pursue in the industrial field. The Resolution emphasised the importance to the economy of securing a continuous increase in production and its equitable distribution and pointed out that the State must play a progressively active role in the development of industries. It laid down that besides arms and ammunition, atomic energy and railway transport, which would be the monopoly of the Central Government, the State would be exclusively responsible for the establishment of new undertakings in six basic industries—except where, in the national interest, the State itself found it necessary to secure the cooperation of private enterprise. The rest of the industrial field was left open to private enterprise though it was made clear that the State would also progressively participate in this field.

2. Eight years have passed since this declaration on industrial policy, these eight years have witnessed many important changes and developments in India. The Constitution of India has been enacted, guaranteeing certain Fundamental Rights and enunciating Directive Principles of State Policy. Planning has proceeded on an organised basis, and the First Five Year Plan has recently been completed. Parliament has accepted the socialist pattern of society as the objective of social and economic policy. These important developments necessitate a fresh statement of industrial policy, more particularly as the Second Five Year Plan will soon be placed before the country. This policy must be governed by
the principles laid down in the Constitution, the objective of socialism, and the experience gained during these years.

3. The Constitution of India, in its preamble, has declared that it aims at securing for all its citizens -

JUSTICE, Social, economic and political;

LIBERTY of thought, expression, belief, faith and worship.

EQUALITY OF status and of opportunity; and to promote among them all;

FRATERNITY assuring the dignity of the individual and the unity of the Nation."

In its Directive Principles of State Policy, it is stated that -

"The State shall strive to promote the welfare of the people by securing and protecting as effectively as it may a social order in which justice, social, economic and political, shall inform all the institutions of the national life".

Further that -

"The State shall, in particular, direct its policy towards securing -

(a) that the citizens, men and women equality, have the right to an adequate means of livelihood;

(b) that the ownership and control of the material resources of the community are so distributed a best to subserve the common good;
(c) that the operation of the economic system does not result in the concentration of wealth and means of production to the common detriment;

(d) that there is equal pay for equal work for both men and women;

(e) That the health and strength of workers, men and women, and the tender age of children are not abused and that citizens are not forced by economic necessity to enter vocations unsuited to their age or strength;

(f) that childhood, and youth are protected against exploitation and against moral and material abandonment".

4. These basic and general principles were given a more precise direction when Parliament accepted in December, 1954, the socialist pattern of society as the objective of social and economic policy. Industrial policy, as other policies, must therefore, be governed by these principles and directions.

5. In order to realise this objective, it is essential to accelerate the rate of economic growth and to speed up industrialisation and, in particular, to develop heavy industries and machine making industries, to expand the public sector, and to build up a large and growing cooperative sector. These provide the economic foundations for increasing opportunities for gainful employment and improving living standards and working conditions for the mass of the people. Equally, it is urgent, to reduce disparities in income and wealth which exist today, to prevent private monopolies and the concentration of economic power in different fields in the hands of small numbers of individuals. Accordingly, the State will progressively assume a predominant and direct responsibility for
setting up new industrial undertakings and for developing transport facilities. It will also undertake State trading on an increasing scale. At the same time, as an agency for planned national development, in the context of the country's expanding economy, the private sector will have the opportunity to develop and expand. The principle of cooperation should be applied wherever possible and a steadily increasing portion of the activities of the private sector developed along cooperative lines.

6. The adoption of the socialist pattern of society as the national objective, as well as the need for planned and rapid development, require that all industries of basic and strategic importance, or in the nature of public utility services, should be in the public sector. Other industries which are essential and require investment on a scale which only the State, in present circumstances, could provide, have also to be in the public sector. The State has, therefore, to assume direct responsibility for the future development of industries over a wider area. Nevertheless, there are limiting factors which make it necessary at this stage for the State to define the field in which it will undertake sole responsibility for further development, and to make a selection of industries in the development of which it will play a dominant role. After considering all aspects of the problem, in consultation with the Planning Commission, the Government of India have decided to classify industries into three categories, having regard to the part which the State would play in each of them. These categories will inevitably overlap to some extent and too great a rigidity might defeat the purpose in view. But the basic principles and objectives have always to be kept in view and the general directions hereafter referred to be followed. It should also be remembered that it is always open to the State to undertake any type of industrial production.
7. In the first category will be industries the future development of which will be the exclusive responsibility of the state. The second category will consist of industries, which will be progressively State-owned and in which the State will, therefore, generally take the initiative in establishing new undertakings, but in which private enterprise will also be expected to supplement the effort of the State. The third category will include all the remaining industries, and their future development will, in general, be left to the initiative and enterprise of the private sector.

8. Industries in the first category have been listed in Schedule A of this Resolution. All new units in these industries, save where establishment in the private sector has already been approved, will be set up only by the State. This does not preclude the expansion of the existing privately owned units, or the possibility of the State securing the cooperation of private enterprise in the establishment of new units when the national interests so require. Railways and air transport, arms and ammunition and atomic energy will, however, be developed as Central Government monopolies. Whenever cooperation with private enterprise is necessary, the State will ensure, either through majority participation in the capital or otherwise, that it has the requisite powers to guide the policy and control the operations of the undertaking.

9. Industries in the second category will be those listed in Schedule B. With a view to accelerating their future development, the State will increasingly establish new undertakings in these industries. At the same time, private
enterprise will also have the opportunity to develop in this field, either on its own or with State participation.

10. All the remaining industries will fall in the third category, and it is expected that their development will be undertaken ordinarily through the initiative and enterprise of the private sector, though it will be open to the State to start any industry even in this category. It will be the policy of the State to facilitate and encourage the development of these industries in the private sector, in accordance with the programmes formulated in successive Five Year Plans, by ensuring the development of transport, power and other services, and by appropriate fiscal and other measures. The State will continue to foster institutions to provide financial aid to these industries, and special assistance will be given to enterprises organised on cooperative lines for industrial and agricultural purposes. In suitable cases, the State may also grant financial assistance to the private sector. Such assistance, especially when the amount involved is substantial, will preferably be in the form of participation in equity capital, though it may also be in part, in the form of debenture capital.

11. Industrial undertakings in the Private Sector have necessarily to fit into the framework of the social and economic policy of the State and will be subject to control and regulation in terms of the Industries (Development and Regulation) Act and other relevant legislation. The Government of India, however, recognise that it would in general, be desirable to allow such undertakings to develop with as much freedom as possible, consistent with the targets and objectives of the national plan. When there
exist in the same industry both privately and publicly owned units, it would continue to be the policy of the State to give fair and non-discriminatory treatment to both of them.

12. The division of industries into separate categories does not imply that they are being placed in watertight compartments. Inevitably, there will not only be an area of overlapping but also a great deal of deviation between industries in the private and the public sectors. It will be open to the State to start any industry not included in Schedule A and Schedule B when the needs of planning so require or there are other important reasons for it. In appropriate cases, privately owned units be permitted to produce an item falling within schedule A for meeting their own requirements or as by-products. There will be ordinarily no bar to small privately owned units undertaking production, such as the making of launches and other light-craft generation for power for local needs and small-scale mining. Further, heavy industries in the public sector may obtain some of their requirements of lighter components from the private sector, while the private sector in turn would rely for many of its needs on the public sector. The same principle would apply with even greater force to the relationship between large-scale and small industries.

13. The Government of India would, in this context, stress the role of cottage and village and small scale industries in the development of the national economy. In relation to some of the problems that need urgent solutions, they offer some distinct advantages. They provide immediate large-scale employment; they offer a method of ensuring a more equitable distribution of the national income and they facilitate an
effective mobilisation of resources of capital and skill which might otherwise remain unutilised. Some of the problems that unplanned urbanisation tends to create will be avoided by the establishment of small centres of industrial production all over the country.

14. The State has been following a policy of supporting cottage and village and small-scale industries by restricting the volume of production in the large-scale sector, by differential taxation, or by direct subsidies. While such measures will continue to be taken, whenever necessary, the aim of the State policy will be to ensure that the decentralised sector acquires sufficient vitality to be self-supporting and its development is integrated with that of large-scale industry. The state will, therefore, concentrate on measures designed to improve the competitive strength of the small-sector producer. For this it is essential that the technique of production should be constantly improved and modernised, the pace of transformation being regulated so as to avoid, as far as possible, technological unemployment. Lack of technical and financial assistance, of suitable working accommodation and inadequacy of facilities for repair and maintenance are among the serious handicaps of small-scale producers. A start has been made with the establishment of industrial estates and rural community workshops to make good these deficiencies. The extension of rural electrification and the availability of power at prices which the workers can afford will also be of considerable help. Many of the activities relating to small-scale production will be greatly helped by the organisation of industrial cooperatives. Such cooperatives should be encouraged in every way and the State should give constant
attention to the development of cottage and village and small scale industry.

15. In order that industrialisation may benefit the economy of the country as a whole, it is important that disparities in levels of development between different regions should be progressively reduced. The lack of industries in different parts of the country is very often determined by factors such as the availability of the necessary raw materials or other natural resources. A concentration of industries in certain areas has also been due to the ready availability of power, water supply and transport facilities which have been developed there. It is one of the aims of national planning to ensure that these facilities are steadily made available to areas which are at present lagging behind industrially or where there is greater need for providing opportunities for employment, provided the location is otherwise suitable. Only by securing a balance and coordinated development of the industrial and the agricultural economy in each region, can the entire country attain higher standards of living.

16. This programme of industrial development will make large demands on the country's resources of technical and managerial personnel. To meet these rapidly growing needs for the expansion of the public sector and for the development of village and small-scale industries, proper managerial and technical cadres in the public services are being established. Steps are also being taken to meet shortages at supervisory levels, to organise apprenticeship schemes of training on a large-scale both in public and in private enterprises, and to extend training facilities in business management in Universities and other institutions.
17. It is necessary that proper amenities and incentives should be provided for all those engaged in industry. The living and working conditions of workers should be improved and their standards of efficiency raised. The maintenance of industrial peace is one of the prime requisites of industrial progress. In a socialist democracy, labour is a partner in the common task of development and should participate in it with enthusiasm. Some laws governing industrial relations have been enacted and a broad common approach has developed with the growing recognition of the obligations of both management and labour. There should be joint consultation and workers and technicians should, wherever possible, be associated progressively in management. Enterprises in the public sector have to set an example in this respect.

18. With the growing participation of the State in industry and trade, the manner in which these activities should be conducted and managed assumes considerable importance. Speedy decisions and a willingness to assume responsibility are essential if these enterprises are to succeed. For this, wherever possible, there should be decentralisation of authority and their management should be along business lines. It is to be expected that public enterprises will augment the revenues of the State and provide resources for further development in fresh fields. But such enterprises may sometimes incur losses. Public enterprises have to be judged by their total results and in their working they should have the largest possible measure of freedom.

19. The Industrial Policy Resolution of 1948 dealt with a number of other subjects which have since been covered by suitable legislation or by authoritative statements of policy. The division of responsibility between the Central Government
and the State Governments in regard to industries has been set out in the Industries (Development and Regulation) Act. The Prime Minister, in his statement in Parliament on 6 April, 1949, has enunciated the policy of the State in regard to foreign capital. It is, therefore, not necessary to deal with these subjects in this resolution.

20. The Government of India trust that this restatement of their Industrial Policy will receive the support of all sections of the people and promote the rapid industrialisation of the country.

SCHEDULE 'A'

1. Arms and ammunition and allied items of defence equipment.
2. Atomic energy.
3. Iron and Steel.
4. Heavy castings and forgings of iron and steel.
5. Heavy plant and machinery required for iron and steel production, for mining, for machine tool manufacture and for such other basic industries as may be specified by the Central Government.
6. Heavy electrical plant including large hydraulic and steam turbines.
7. Coal and lignite.
9. Mining of iron ore, manganese ore, chrome ore, gypsum, sulphur, gold and diamond.
10. Mining and processing copper, lead, zinc, tin, molybdenum and wolfram.
12. Aircraft.
15. Shipbuilding.
16. Telephones and telephone cables, telegraph and wireless apparatus (excluding radio receiving sets).
17. Generation and distribution of electricity.

**SCHEDULE 'B'**

1. All other minerals except "minor minerals" as defined in Section 3 of the Minerals Concession Rules 1949.
2. Alumimum and other non-ferrous metals not included in Schedule 'A'.
4. Ferro-alloys and tool steels.
5. Basic and intermediate products required by chemical industries such as the manufacture of drugs, dye-stuffs and plastics.
6. Antibiotics and other essential drugs.
7. Fertilisers.
8. Synthetic rubber.
10. Chemical pulp.
11. Road transport.
12. Sea transport.
APPENDIX - II.

THE FIRST SCHEDULE TO THE INDUSTRIES (DEVELOPMENT AND REGULATION) ACT 1951

Any industry engaged in the manufacture or production of any of the articles mentioned under each of the following headings or sub-headings namely,

1. Metallurgical industries

   A. Ferrous
      1. Iron and steel (metal)
      2. Ferro alloys
      3. Iron and steel castings and forgings
      4. Iron and steel structuralss
      5. Iron and steel pipes
      6. Special steels
      7. Other products of iron and steel.

   B. Non-ferrous
      1. Precious metals, including gold and silver and their alloys.
      2. Other non-ferous metals and their alloys

2. Fuels

   1. Coal, lignite, coke and their derivatives,
   2. Mineral oil (crude oil) motor and aviation, spirit, diesel oil, kerosene oil, fuel oil, diverse hydro carbon oils and their blends including synthetic fuels lubricating oils and the like.
3. Boilers and steam generating plants

Boilers and steam generating plants.

4. Prime movers (other than electrical generators)
   1. Steam engines and turbines
   2. Internal combustion engines.

5. Electrical equipment
   1. Equipment for generation, transmission and distribution of electricity, including transformers.
   2. Electrical motors
   3. Electrical fans
   4. Electrical lamps
   5. Electrical furnaces
   6. Electrical cables and wires
   7. X-ray equipment
   8. Electronic equipment
   9. Household appliances such as electric irons, heaters and the like
   10. Storage batteries
   11. Dry cells.

6. Telecommunications
   1. Telephones
   2. Telegraph equipment
   3. Wireless communication apparatus
   4. Radio receivers, including amplifying and public address equipment
   5. Television sets
   6. Teleprinters
7. Transportation:

1. Aircraft
2. Ships and other vessels drawn by power
3. Railway locomotives
4. Railway rolling stock
5. Automobiles (motor cars, buses, trucks, motor cycles, scooters, and the like)
6. Bicycles
7. Others, such as forklift trucks and the like.

8. Industry machinery:

A. Major items of specialised equipment used in specific industries:

1. Textile machinery (such as spinning frames, carding machines, powerlooms and the like) including textile accessories
2. Jute machinery
3. Rayon machinery
4. Sugar machinery
5. Tea machinery
6. Mining machinery
7. Metallurgical machinery
8. Cement machinery
9. Chemical machinery
10. Pharmaceuticals machinery

B. General items of machinery used in several industries such as the equipment required for various "unit processes".
1. **Size reduction equipment** - crushers, ball mills and the like.

2. **Conveying equipment** - bucket elevators, skip hoists, cranes, derricks and the like.

3. **Size separation units** - screens, classifiers and the like.

4. **Mixers and reactors** - kneading mills, turbo mixers and the like.

5. **Filtration equipment** - Filter presses, rotary filters and the like.

6. **Centrifugal machines**

7. **Evaporators**

8. **Distillation equipment**

9. **Crystallisers**

10. **Driers**

11. **Power driven pumps** - reciprocating, centrifugal and the like.

12. **Air and gas compressors and vacuum pipes** (excluding electrical furnaces)

13. **Refrigeration plants for industrial use**

14. **Fire fighting equipment and appliances including fire engines.**

C. **Other Items of industrial machinery**

1. **Ball, roller and tapered bearings**

2. **Speed reduction units**

3. **Grinding wheels and abrasives**

9. **Machine tools**

    Machine tools.
10. Agricultural machinery
   1. Tractors, harvestors and the like
   2. Agricultural implements

11. Earth-moving machinery
   Bulldozers, scrapers, loaders, shovels, drag lines
   bucket wheel excavators, road rollers and the like

12. Miscellaneous mechanical and engine ring industries
   1. Plastic moulded goods
   2. Razor blades
   3. Hand tools, small tools and the like

13. Commercial, office and household equipment
   1. Typewriters
   2. Calculating machines
   3. Air-conditioners and refrigerators
   4. Vacuum cleaners
   5. Sewing and knitting machines
   6. Hurricane lanterns

14. Medical and surgical appliances, surgical instruments -
    sterilisers, incubators and the like.

15. Industrial instruments
   1. Water meters, steam meters, electricity meters and the like
   2. Indicating, recording and regulating devices to
      pressure, temperature, rate of flow, weights, levels and the like.
   3. Weighing machines.
16. Scientific instruments

Scientific instruments

17. Mathematical, surveying and drawing instruments

Mathematical, surveying and drawing instruments

18. Fertilisers

1. Inorganic fertilisers
2. Organic fertilisers
3. Mixed fertilisers

19. Chemicals (other than fertilisers)

1. Inorganic heavy chemicals
2. Organic heavy chemicals
3. Fine chemicals including photographic chemicals
4. Synthetic resins and plastics
5. Paints, varnishes and enamels
6. Synthetic rubbers
7. Man-made fibres including regenerate cellulose-rayon, nylon and the like
8. Coke over by-products
9. Coal tar distillation products like naphthalene, anthracine and the like.
10. Explosives including gun powder and safety fuses
11. Insecticides, fungicides, weedicides and the like
12. Textile auxiliaries
13. Sizing materials including starch
14. Miscellaneous chemicals.

20. Photographic raw film and paper

1. Cinema film
2. Photographic amateur film
3. Photographic printing paper
21. Dye-stuffs

Dye-stuffs

22. Drugs and pharmaceuticals

Drugs and pharmaceuticals

23. Textile (including those dyed, printed or otherwise processed)

1. made wholly or in part of cotton, including cotton yarn, hosiery and ropes;
2. made wholly or in part of jute, including jute, twines, and ropes;
3. made wholly or in part of wool, including wool tops woolen yarn, hosiery, carpets and druggets;
4. made wholly or in part of silk, including silk yarn and hosiery; and
5. made wholly or in part of synthetic, artificial (man-made) fibres, including yarn and hosiery of such fibres.

24. Paper and pulp including paper products

1. Paper - Writing, printing and wrapping.
2. Newsprint
3. Paper board and straw board
4. Paper for packaging (corrugated paper, kraft paper, paper bags, paper containers and the like)
5. Pulp - wood pulp, mechanical, chemical, including dissolving pulp.

25. Sugar

Sugar

26. Fermentation industries

1. Alcohol
2. Other products of fermentation industries.
27. Food processing industries
   1. Canned fruits and fruit products
   2. Milk foods
   3. Malted foods
   4. Flour
   5. Other processed foods

28. Vegetable oils and vanaspati
   1. Vegetable oils
   2. Vanaspati

29. Soaps, cosmetics and toilet preparations
   1. Soaps
   2. Glycerine
   3. Cosmetics
   4. Perfumery
   5. Toilet preparations

30. Rubber goods
   1. Tyres and tubes
   2. Surgical and medicinal products including prophy­
      lactics
   3. Footwear
   4. Other rubber goods

31. Leather, leather goods and pickers
    Leather, leather goods and pickers

32. Glue and gelatin
    Glue and gelatin

33. Glass
   1. Hallow ware
   2. Sheet and plate glass
   3. Optical glass
4. Glass wool
5. Laboratory ware
6. Miscellaneous ware

34. Ceramics
   1. Fire bricks
   2. Refractories
   3. Furnace lining bricks — acidic, basic and neutral
   4. China ware and pottery
   5. Sanitary ware
   6. Insulators
   7. Tiles

35. Cement and Gypsum products
   1. Portland cement
   2. Asbestos cement
   3. Insulating boards
   4. Gypsum boards wall board and the like

36. Timber products
   1. Plywood
   2. Hardboard, including fibre-board, chip-board and the like
   3. Matches
   4. Miscellaneous (furniture components, bobbins, shuttles and the like)

37. Defence Industries
   Arms and ammunition
38. Miscellaneous Industries
   1. Cigarettes
   2. Linoleum, whether felt-based or jute based.

Explanation 1: The articles specified under each of the heading Nos. 3, 4, 5, 6, 7, 8, 10, 11 and 13 shall include their component parts and accessories.

Explanation 2: The articles specified under each of the heading Nos. 18, 19, 21 and 22 shall include the intermediates required for their manufacture.
RELEVANT PROVISIONS OF THE I (D & R) ACT, 1951 WHICH EXPLAIN
THE CIRCUMSTANCES UNDER WHICH LICENCE BECOMES NECESSARY.

Licensing of new Industrial Undertakings:

Section 11(1) No person or authority other than the Central Government, shall, after the commencement of this Act, establish any new industrial undertaking, except under and in accordance with a licence issued in that behalf by the Central Government. Provided that a Government other than the Central Government may, with the previous permission of the Central Government establish a new industrial undertaking.

(2) A licence or permission under sub-section (i) may contain such conditions including, in particular, conditions as to the location of the undertaking and the minimum standards in respect of size to be provided therein as the Central Government may deem fit to impose in accordance with the rules, if any, made under Section 30.

Licence for Producing or Manufacturing New Articles:

11. A The owner of an industrial undertaking not being the Central Government which is registered under Section 10 or in respect of which a licence or permission has been issued under section 11 shall not produce or manufacture any new article unless:-
(a) in the case of an industrial undertaking registered under Section 10 he has obtained a licence for producing or manufacturing such new article; and

(b) In the case of an industrial undertaking in respect of which a licence or permission has been issued under section 11 he has had existing licence or permission amended in the prescribed manner.

13 (1) No owner of an industrial undertaking, other than the Central Government shall -

(a) in the case of an industrial undertaking required to be registered under section 10, but which has not been registered within the time fixed for the purpose under that section, carry on the business of that undertaking after the expiry of such period; or

(b) in the case of an industrial undertaking the registration in respect of which has been revoked under Section 10A, carry on business of the undertaking after the revocation; or

(c) in case of an industrial undertaking to which the provisions of this Act did not originally apply but became applicable after the commencement of this Act for any reason, carry on the business of the undertaking after the expiry of three months from the date on which the provisions of this Act became so applicable, or

(d) Effect any substantial expansion of an industrial undertaking which has been registered or in respect of which a licence or permission has been issued, or
(e) change the location of the whole or any part of an
industrial undertaking which has been registered except
under, and in accordance with, a licence issued in
that behalf by the Central Government, and, in the
case of a State Government, except under and in accor-
dance with the previous permission of the Central
Government.

(2) The provisions of sub-section (2) of Section 11 and of
Section 12 shall apply so far as may be, in relation of
the issue of licences or permissions to any industrial
undertaking referred to in this Section as they apply
in relation to the issue of licences or permission to
a new industrial undertaking.

Explanation:- For the purpose of this section, 'substantial
expansion' means the expansion of an existing indus-
trial undertaking which substantially increases the
productive capacity of the undertaking or which is of
such a nature as to amount virtually to a new industrial
undertaking, but does not include any such expansion
as is normal to the undertaking having regard to its
nature and the circumstances relating to such
expansion.

Power to Exempt in Special Cases

29 B (1) If the Central Government is of opinion, having
regard to the smallness of the number of workers
employed or to the amount invested in any
industrial undertaking or to the desirability of
encouraging small undertakings generally or to
the stage of development of any scheduled industry
that it would not be in public interest to apply
all or any of the provisions of this Act thereto, it may, be notification in the official gazette, exempt subject to such conditions as it may think fit to impose, any industrial undertaking or class of industrial undertaking or any scheduled industry or class of scheduled industries it may specify in the notification from the operation of all or any of the provisions of this Act or of any rule or order made thereunder.

(2) Where any notification under sub-section (1) granting any exemption in cancelled, no owner of any industrial undertaking to which the provisions of Section 10, Section 11, Section 11 A, or Clause (d) of sub-section (1) of Section 13 would have applied if the notification under sub-section (1) had not been issued, shall carry on the business of the undertaking after the expiry of such period as may be specified in the notification cancelling the exemption except under and in accordance with a licence issued in this behalf by the Central Government and, in the case of a State Government except under and in accordance with the previous permission of the Central Government.

(3) The provisions of this Act shall apply so far as may be, in relation to the issue of a licence or permission to any industrial undertaking referred to in subsection (2) as they apply in relation to the issue of a licence or permission to a new industrial undertaking.
Government have carefully reviewed their policies relating to industrial development in the light of the experience gained in the implementation of the Industrial Licencing Policy of 18 February 1970 and in the context of the approach to the Fifth Year Plan. The industrial Policy Resolution of 1956 has laid down the basic principles that govern Government's approach towards industrial development. These principles have been derived from the Directive Principles of the State Policy contained in the Constitution and from the adoption by Parliament in December 1954 of the socialist pattern of society as the objective of social and economic policy. The Industrial Policy Resolution of 1956 will continue to government Governments policies for achieving the objectives of growth, social justice and self-reliance in the industrial sphere.

Role of Public Sector:

2. As pointed out in the Industrial Resolution the adoption of the socialist pattern of society as the national objective, as well as the need for planned and rapid development, requires that all industries of basic and strategic importance, or in the nature of public utility services, should be in the public sector. Other industries which
are essential and require investment on a scale which only the State, in the present circumstances could provide, have also to be in the public sector. In the context of the approach to the Fifth Five Year Plan, the State will have to take direct responsibility for the future development of industries over a wide field in order to promote the cardinal objectives of growth, social justice, self-reliance and satisfaction of basic minimum needs.

Licensing Policy:

3. The Industrial Licensing Policy of 18 February 1970 was formulated in the context of the Fourth Plan. It also precedes the coming into effect of the Monopolies and Restrictive Trade Practices Act 1969. Government consider it desirable to update the industrial licensing policy in order to reflect the approach to the Fifth Plan and taking into account the legal and institutional arrangements that are now available for the effective control of the concentration of economic power. The intention in amending the Industrial Licensing Policy at this time is that greater clarity in the investment climate will facilitate the priorities and production objectives in the Fifth Plan.

4. The Industrial Licensing Policy of 1970 places certain restrictions on undertakings belonging to the larger industrial houses as defined in the report of the Industrial Licensing policy Inquiry Committee (ILPIC). Such concerns are ordinarily excluded from participating in sectors other than the core and heavy investment sectors leaving the opportunities in the remaining sectors primarily to
other classes of entrepreneurs. The definition of larger industrial houses adopted by the ILPIC was, however, on the basis of assets, along with assets of interconnected undertakings, exceeding Rs. 35 crores. Government consider that the definition of larger industrial houses to be adopted for licensing restrictions should be in conformity in all respects with that adopted in the MRTP act 1969. The definition adopted in that Act is on the basis of a lower limit of assets, along with assets of interconnected undertakings, of not less than Rs. 20 crores. The adoption of the lower limit of Rs. 20 crores as well as the definition of interconnected undertakings as provided in the MRTP Act 1969 will result in a more effective control on the concentration of economic power, it will also remove the contradiction between the definition of larger industrial houses for licensing purposes (which is based on the ILPIC report) and for the control of concentration of economic power (which is based on the MRTP Act 1969).

5. Government consider it desirable to consolidate the list of industries which are opened, along with other applicants, for the participation of larger industrial houses (as defined in the MRTP Act), in the context of the approach to the Fifth Plan, the core industries of importance to the national economy in the future, industries having direct linkages with such core industries, and industries with a long term export potential are of basic, critical and strategic importance for the growth of the economy. A consolidated list of such industries is attached in Appendix D1. Such of the industries included in Schedule A of the Industrial Policy Resolution 1956 will be reserved for the public sector. Larger houses will be eligible to participate in and contribute to the establishment of industries
in the list included in Appendix D1 along with other applicants provided that the item of manufacture is not one that is reserved for production in the public sector or in the small-scale sector. They will ordinarily be excluded from the industries not included in this list except where, as is permitted under existing arrangements, production is predominantly for exports.

6. Foreign concerns and subsidiaries and branches of foreign companies will be eligible to participate in the industries specified in Appendix D1 along with other applicants but will ordinarily be excluded from the industries not included in this list. They will also be entitled as at present to invest in industries where production is predominantly for exports. Their investments will be subject as hitherto to the "guidelines on the dilution of foreign equity" and will be examined with special reference to technological aspects, export possibilities and the overall effect on the balance of payments.

Small Scale and Cooperative Sectors:

7. In the implementation of the licensing policy, Government will ensure that licensing decisions conform to the growth profile of the Plan and that techno-economic and social considerations such as economies of scale, appropriate technology, balanced regional development and development of backward areas are fully reflected. Government's policy will continue to be to encourage competent small and medium entrepreneurs in all industries including those listed in Appendix D1. Such entrepreneurs will be preferred vis-a-vis the larger industrial houses and foreign companies, in the setting up of new capacity. Licensing policy will seek to promote production of
of ancillaries, wherever feasible and appropriate, in the medium or small-scale sector, cooperatives and small and medium entrepreneurs will be encouraged to participate in the production of mass consumption goods with the public sector also taking an increasing role. Other investors will be allowed to participate in the production of mass consumption goods only if there are special factors such as sizable economies of scale resulting in reduced prices, technological improvements. Large investment requirements, substantial export possibilities or as part of modernisation. Government also intend to enlarge and intensify a variety of positive measures designed to promote the growth of small and medium entrepreneurs.

8. The exemption limit from licensing provisions which now applies to substantial expansion and new undertakings upto Rs. 1 crore by way of fixed assets in land, building and machinery will be continued. This exemption will not apply to larger industrial houses and to dominant undertakings as defined in the MRTP Act and to foreign companies including their branches and subsidiaries. Along with making the definition of larger MRTP Act, Government have also decided that the exemption will not apply to existing licensed or registered undertakings having fixed assets exceeding Rs. 5 crores. Such undertakings will hereafter be subject to the licensing provisions of the Industries (Development and Regulation) Act 1951 in respect of new undertakings as well as expansion and diversifications in the delicensed sector. Government hope that these changes will act as a safeguard against the entry of large undertakings into areas that are primarily meant for small, medium and new entrepreneurs.
9. The existing policy of reservation for the small-scale sector (involving investment in machinery and equipment up to \( \text{Rs. 7.5 lakhs}^* \) and in the case of ancillary industries up to \( \text{Rs. 10 lakhs}^{**} \)) will be continued. The area of such reservation will be extended consistent with potentialities and performance of the small-scale sector. The policy of encouragement to the cooperative sector will receive special emphasis in industries which process agricultural raw materials such as sugarcane, jute, cotton or produce agricultural inputs such as fertilisers. The cooperative sector is also ideally suited for the manufacture and distribution of mass consumption goods.

**Joint Sector:**

10. Government's policy regarding the joint sector is derived from the Industrial Policy Resolution 1956 and the objective of reducing the concentration of economic power. In appropriate cases, the Central and State Governments have taken equity participation either directly or through their Corporations with private parties. Some joint sector units have come up in this way. This type of joint sector unit is a device which may be resorted to in specific cases having regard to the production targets of the plan. Each proposal for establishing a joint sector unit of this nature will have to be judged and decided on its merits in the light of Government's social and economic objectives. The joint sector will also be promotional instrument, as for instance, in cases where State Governments go into partnership with new and medium entrepreneurs in order to guide them in developing a priority industry.

\*Raised to \( \text{Rs. 10 lakhs} \) with effect from 1st May 1975.
\**Raised to \( \text{Rs. 15 lakhs} \) with effect from 1st May 1975.
11. Government specifically wish to clarify that the joint sector will not be permitted to be used for the entry of larger houses, dominant undertakings and foreign companies in industries in which they are otherwise precluded on their own. In all the different kinds of joint sector units, the Government will ensure for itself an effective role in guiding policies, management and operations, the actual pattern and mode being decided as appropriate in each case.

12. Government hope that with these clarifications there will be greater certainty in the investment climate and that all sections of the community will come forward to play their due role in the promotion of growth with self-reliance within the accepted framework of a socialist pattern of society. The changes now proposed are designed to stimulate growth in all priority industries of importance to the Fifth Plan subject to a more effective enforcement of social objectives. It will be Government's objective to maintain a durable framework of licensing and other connected policies consistent with the basic principles of the Industrial Policy Resolution of 1956 and to further streamline licensing and connected procedures, wherever necessary, so as to expedite the investment process in all its stages.

APPENDIX D1*

Note: The classification of Industries follows the First schedule to the Industries (Development and Regulation) Act 1951. Items of manufacture reserved for the public sector under schedule A to the Industrial Policy Resolution 1956 or for production in the
small-scale sector as may be notified from time to time will be excluded from the application of this list).

1. Metallurgical industries
   (1) Ferro alloys
   (2) Steel castings and forgings
   (3) Special steels
   (4) Non-ferrous metals and their alloys

2. Boilers and Steam generating Plants.

3. Prime Movers (other than electrical generators)
   (1) Industrial turbines
   (2) Internal combustion engines

4. Electrical equipment
   (1) Equipment for transmission and distribution of electricity
   (2) Electrical motors
   (3) Electrical furnaces
   (4) X-ray equipment
   (5) Electronic components and equipment

5. Transportation
   (1) Mechanised sailing vessels upto 1000 DWT
   (2) Ship ancillaries
   (3) Commercial vehicles

6. Industrial machinery

7. Machine tools
8. Agricultural machinery
   Tractors and power tillers

9. Earth moving machinery

10. Industrial instruments, indicating, recording and regulating devices for pressure, temperature, rate of flow, weights, levels and the like.

11. Scientific instruments

12. Nitrogenous and phosphatic fertilisers falling under
   (1) Inorganic fertilisers' under '18, Fertilisers' in the First Schedule to the I (D & R) Act 1951.

13. Chemicals (other than Fertilisers)
   (i) Inorganic heavy chemicals
   (2) Organic heavy chemicals
   (3) Fine chemicals, including photographic chemicals
   (4) Synthetic resins and plastics
   (5) Synthetic rubbers
   (6) Man-made fibres
   (7) Industrial explosives
   (8) Insecticides, fungicides, weedicides and the like
   (9) Synthetic detergents
   (10) Miscellaneous chemicals (for industrial use only)

14. Drugs and Pharmaceuticals

15. Papers and pulp including paper products

16. Automobile tyres and tubes

17. Plate glass

18. Ceramics
   (1) Refractories
   (2) Furnace lining bricks - acidic, basic and neutral
APPENDIX - IV (a)

NOTIFICATION

S.O. 98(E)/IDRA/29B/73/1: In exercise of the powers conferred by sub-section (1) of section 29B of the Industries (Development and Regulation) Act 1951 (65 of 1951) (hereinafter referred to as the said Act), the Central Government hereby exempts, subject to the conditions, if any, hereinafter specified, the classes of industrial undertakings specified below from the operations of the provisions of:

Section 10: which relates to the registration of industrial undertakings.

Section 11: which relates to the licensing of new industrial undertakings.

Section 11A: which relates to licence for producing or manufacturing new articles, and

Section 13: which relates to further provisions for licensing of industrial undertakings, of the said Act and the relevant rules made thereunder.

Small-Scale Units:

(1) Undertakings having investments in fixed assets in plant and machinery not exceeding Rs. 10 lakhs*

Ancillaries

(2) Undertakings having investments in fixed assets in plant and machinery not exceeding Rs. 15* lakhs and engaged in

*Inserted vide Notification No. S.O. 220(E) IDRA/29B/7519-75.
(a) the manufacturer of parts, components, sub-assemblies, toolings or intermediates; or

(b) the rendering of services and supplying or rendering, or proposing to supply or render 50% of their production or the tool services as the case may be to other units for production of other articles.

Provided that no such undertaking shall be a subsidiary of, or owned or controlled by any other undertaking*

Other undertakings

(3) Other undertakings, if the proposed investment in an undertaking in fixed assets in land, buildings, plant and machinery for establishing a new undertaking or for effecting substantial expansion or for manufacture of new articles does not exceed Rs. 1 crore, subject to the following conditions, namely -

Investment limit applicable to one or more activities

(a) the limit of Rs. 1 crore shall apply to one or more of the activities specified above, whether singly or taken together, and whether in one or more stages;

Existing undertakings which are not registered etc. under the Act.

(b) If an undertaking is an existing undertaking not already covered by registration, licence or permission under the said Act, the proposed investment and the existing investment together do not result in the total investment exceeding Rs. 1 crore;

Existing undertakings which are registered etc. under the Act

(c) if an undertaking is an existing undertaking already

*amended vide notification No. 368(E)/IDRA/29B/75/6 dt.21.7.75
covered by registration, licence or permission under the said Act the proposed investment and the existing investment together with the additional investments covered by approvals, permissions or licences obtained by it and the proposed investment do not result in the total investment exceeding Rs. 5 crores;

**Foreign exchange limits**

(d) the proposed investment does not require foreign exchange in excess of the following limits;

(i) 5 per cent of the ex-factory value of the annual production arising from such investment of Rs. 5 lakhs, whichever is less, for the import of raw materials (other than steel and aluminium) required for such manufacture; or

(ii) 10 per cent of the ex-factory value of the annual production arising from such investment or Rs. 5 lakhs, whichever is less, in any year after three years of the commencement of production, for the import of parts and components of such manufacture;

Articles reserved for small-sector*** and other articles.

(e) no such undertaking shall be eligible for exemption for the manufacture of any of the articles specified in Schedule I (articles reserved for the small-scale sector)** or Schedule V (other articles).


*** added ibid.
PROVIDED THAT no undertaking referred to in item (1), (2) or (3) above shall be eligible for exemption under this notification if it falls under any of the categories of undertakings specified in Schedule II or if the article proposed to be manufactured relates to any of the industries specified in Schedule III (being industries specified in Schedule A of the Industrial Policy Resolution, 1956) or Schedule IV (being industries requiring special regulation).

2. This notification supersedes the notification of the Government of India specified below:

(1) No. S.O. 713/IDRA/29B/70/1, dated 19 February 1970 of the Ministry of Industrial Development, Internal Trade and Company Affairs (Department of Industrial development).


(3) No. S.O. 2443/IDRA/29B/70/5, dated 18 July 1970 of the Ministry of Industrial Development and Internal Trade, (Department of Industrial Development).

Provisions for carrying on Business:

Note I: Industrial undertakings other than those in the small-scale and ancillary sector listed at S.Nos. 1 to 10 of Schedule V have to obtain COB licences (Notification No. 66(E)/IDRA/74/1 dt. 25-1-1974) (Notification No. 122(E)/IDRA/73/3, dt. 26.2.1974). (Notification No. 512/(E)/IDRA/74/3, dt. 29.8.1974) (Notification No. 92(E)/IDRA/75/1 dt. 12.2.1975).
Note II: Industrial undertakings listed at serial No. 7 of Schedule IV have to obtain COB licence (Notification No. 122 (E)/IDRA/74/3 dt. 26.2.1974).

Note III: Industrial undertakings other than small-scale and ancillary units engaged in the manufacture of items listed at serial No. 31 to 38, 52 and 53, 55 to 62, 127 to 129, 134 and of Schedule I have to obtain COB licence (Notification No. 123(E)/IDRA/29B/74/2 dt. 26.2.1974).

Note IV: All undertakings listed at serial No. 8f of Schedule IV have to obtain COB licences (Press Note No. 12 (187/LP/75 dt. 19.11.1975).

3. In pursuance of sub-section (2) of section 29B of the said Act, the Central Government hereby specifies a period of six months from the date of publication of this notification as the period after the expiry of which no owner of any industrial undertaking, which was previously exempted from the operation of section 10, 11, 11A and 13 of the said Act and which is not so exempted by virtue of this notification, shall carry on the business of such undertaking, except under and in accordance with a licence issued in this behalf by the Central Government and in the case of State Governments except under and in accordance with the previous permission of the Central Government.

SCHEDULE I

(Articles reserved for the small scale sector)

I. Mechanical Engineering Industries:
   1. Barbed wire
   2. Beam scale
3. Bolts and nuts (except for high tensile and other special type)
4. Conduit pipes - metallic
5. Expanded metal
6. Hand numbering machines
7. Hand stapling machines
8. Hypodermic needles
9. Insecticide dusters and sprayers (manual)
10. Machine screws (except for socket head and special types)
11. Machine shop vices
12. Rivets of all types including bifurcated
13. Rolling shutters
14. Steel wool
15. Student's microscopes
16. Water meters
17. Welded wire mesh (except for expansion of existing units)
18. Wire brushes and fibre brushes
19. Wire products - all wire products such as wire nails, hob nails, panel pins, horse shoe nails
20. Wood screws
21. Hydraulic jacks below 30 tonnes capacity
22. Electric transmission line hardware (other than those manufactured in metallic castings)
23. Pressure guages (upto 50 lbs. per sq. inch)
24. Grease nipples and grease guns
25. Chaff cutter blades
26. Metal fittings for garments and leather goods
27. Weights
28. Domestic utensils (other than stainless steel).
29. Steel measuring tapes
30. Household knitting machines
31. Agricultural implements -  
   (a) Hand-operated tools and implements  
   (b) Animal driven implements  
32. Diesel engines up to 15 HP (slow speed)  
33. Bicycle tube valves  
34. Drawing and mathematical instruments and survey 
   instruments excluding theodolite  
35. Weighing machines except for sophisticated items  
36. Boosters  
37. Wire gauge and wire netting thicker than 100 mesh 
   size.  
38. Centrifugal pumps up to size 4" and 4"  
39. Gun metal bushes  
40. Hurricane lanterns  
41. Pressure die casting (up to 4 kg.)  
42. Drums and barrels (up to 5 litre capacity)  
43. Tin containers - unprinted (other than OTS) - cans 
   up to 18 litre capacity.  
44. Shoe grindery  
45. Washers  
46. Builders hardware  
47. Stranded wire  
48. File mechanism  
49. GI buckets  
50. Pressure cookers  
51. Belt fasteners  
52. Hand and animal drawn carriage fittings  
53. Cutlery  
54. Gate-hooks  
55. Tin cutters  
56. Domestic gas appliance such as cooking ranges, 
   water heaters, hot plates, etc.
57. Zip fasteners (metallic and non-metallic)
58. Oil stoves
59. Sanitary fixtures (metallic only)
60. Umbrella ribs and fittings
61. Snap fastners
62. Safety pins and other similar products like paper pins, staple pins, hair pins, etc.
63. Steel furniture
64. Duplicating machines other than special type
65. Circlips.

II. Electrical Industries

66. Domestic electrical appliances and accessories such as electric iron, roasters, heaters, washing machines, etc. other than vacuum cleaners, industrial washing and dry-cleaning machines, etc.
67. (a) Electrical wiring accessories;
(b) Electrical light fittings (such as chokes, starters, reflectors, etc.)
68. Metal clad switches upto 30 amps.
69. Miniature bulbs -
   (a) Miniature vacuum bulbs
   (b) Torch bulbs
   (c) Radio panel bulbs
   (d) cycle dynamo bulbs
   (e) Decoration bulbs
70. Battery cell tester
71. AA and ACSR conductors (upto and including 19 strands)
72. PVC and VIR wires of domestic type
73. Room coolers (desert type)
74. Emergency lamps
75. Voltage stabilisers - domestic types
76. Carbon brushes manufactured from carbon black
77. Black adhesive insulating tape

III. **Electronic industries**

78. Telescopic aerials (for radio receivers)
79. IF transformers
80. Air-trimmers for professional use
81. Assembly of loud-speakers
82. Hearing aids
83. Electronic flash guns
84. Amplifiers for entertainment and public address system
85. Low-cost radio receivers (below Rs. 200/-)
86. Transistor headers.

IV. **Automobile ancillary industries**

87. Automobile radiators (except/expansion on merits)
88. Electric horns
89. Exhaust mufflers
90. Auto leaf springs
91. Fuel tank caps
92. Fuel lines
93. Wiring harness
94. Tail lamp assembly
95. Side lamp assembly
96. Stop assembly
97. Horn buttohs
98. Bulb horns
99. Seats for bus and trucks
100. Ornamental fittings
101. Rear view mirrors
102. Sun shades
103. Luggage carrier
104. Tyre inflators (both hand and foot-operated)
105. Ash trays
106. Hub caps
107. Windshield wipers (arms and blades only)
108. Electrical fuses
109. Electrical fuse boxes
110. Battery cables and fittings
111. Spokes and nipples
112. Steering wheels
113. Spot lamp assembly
114. Sun visor.

V. Garage equipments

115. Armature tester
116. Battery terminal lifters
117. Condensors terminal and resistance testers
118. Fender spoons and hammers
119. Feeler gauges
120. Flaring tools
121. Gear flushes
122. Puller of all types
123. Screw extractors
124. Spark plug tester and cleaners
125. Toe in gauges
126. Stud removers (extractors)
127. Tyre valve pull out tools
128. Tube cutters
129. Flanging tools
130. Valve lifters
131. Valve replacing and resetting tools
132. Chamber testing equipment
133. Ring expanders
134. Ring compressor

VI. Chemical Industries:
135. Bichromates (except for exports)
136. Dyes - i) Azo dyes (directs and acids) and
    ii) Basic dyes
137. Fire-works
138. Formulated perfumery compounds
139. Laundry soap
140. Paints and varnishes - dry distempers, red lead, and red oxide, blacks, graphite paints all paste paints.
141. Palm rosa oil
142. Pine oil (except for composite schemes)
143. Plaster boards
144. Tooth paste
145. Zinc oxide
146. Sodium silicate
147. Cashew shell oil
148. Para-dichloro benzone balls
149. Potassium silicate
150. Calcium silicate
151. Chlorinate
152. Dimethyl sulphate based on methyl alcohol
153. Pyrazolone

VII. Glass and Ceramic Industries
154. Glass hollow-ware by semi-automatic process
155. Roofing, flooring and glazed tiles (except plastic and ceramic tiles of sizes 4" or 4" and above)
156. Thermometers (upto $150^\circ$C)
157. Low tension insulators
158. Asbestos pipes and fittings (for household purposes only and according to ISI specification)
159. Contact lenses.
160. Reinforced cement concrete pipes upto 100 cm.
161. Graphite crucibles upto 300 numbers and silicon carbide crucibles upto 100 numbers.

VIII. Leather-based industries
162. Leather footwear (except for expansion of the existing units for exports and new units for exports)
163. Belt lacing

X. Plastic-based Industries:
164. Plastic processed products -
   i) Bottle caps, buttons, lamp-shade, etc. produced by the compression moulding techniques;
   ii) Plastic articles manufactured from plastic sheets, rods or tubes by the fabrication technique excluding the technique of vacuum forming:
   iii) Polythene films (films with a thickness of less than 0.10 mm) and products from the film such as coloured printed film and bags;
   iv) Blow-moulded containers and other similar products manufactured by the blow moulding technique (except for captive use PVC containers and change over by existing units manufacturing metal containers to plastic containers)
   v) Spectacles frames from sheets by fabrication technique or by injection moulding;
   vi) Manufacture of polyster sheets for buttons and the processing of the sheets so produced to manufacture buttons.
165. Full PVC footwear (chappals, sandals and shoes) except for export by pre-dominantly export-oriented units.
166. Flash light torch cases (plastic)
167. HD polyethylene monofilament yarn

X. Rubber-based Industries
168. Surgical gloves (except plastic)
169. Cycle tyres and tubes
170. Rubberised cloth

XI. Wood-based Industries:
171. Safety matches
172. Truck body building (wooden structure)

XII. Miscellaneous
173. Absorbent cotton
174. Cotton measuring tapes
175. Paper convergent products
   a) corrugated paper and board
   b) paper and board cartons
   c) paper bags
   d) paper envelopes
   e) paper napkins
   f) paper cups
   g) paper plates
   h) drinking straws
   i) paper tubes and cones
   j) corrugated fibre board containers
   k) gum tape
176. Sanitary napkins
177. Woodwool slabs.
SCHEDULE - II

(Categories of Undertakings Not Eligible for Exemption).


(2) Undertakings owned by foreign companies, their branches or subsidiaries or by companies in respect of which more than 50 per cent of the paid up equity share capital is held directly or indirectly by foreign companies, their branches or subsidiaries, or by foreign nationals or non-resident Indians.

SCHEDULE - III


1. Arms and ammunition and allied items of defence equipment
2. Atomic energy
3. Iron and steel
4. Heavy castings and forgings of iron and steel
5. Heavy plant and machinery required for iron and steel production, for mining, for machine tool manufacture and for such other basic industries as may be specified by the Central Government.
6. Heavy electrical plant including large hydraulic and steam turbines
7. Coal and lignite
8. Mineral oils
9. Mining of iron ore, manganese ore, chrome ore, gypsum, sulphur and gold and diamond.
10. Mining and processing copper, lead, zinc, tin, molybdenum and wolfram


12. Aircraft

13. Air transport

14. Railway transport

15. Ship building

16. Telephones and telephone cables, telegraph and wireless apparatus (excluding radio receiving sets)

17. Generation and distribution of electricity.

**SCHEDULE IV**

(Industries requiring special regulation)

1. Coal falling under (1), Coal, lignite, coke and their derivatives under the heading "2, Fuels".

2. Textiles, falling under the heading "23, Textiles (including those dyed, printed or otherwise processed) manufactured, produced or processed on powerlooms".

3. Milk foods falling under "(2) Milk foods"; Malted foods falling under "(3) Malted Foods" and Roller flour milling falling under "(4) Flour" under the heading "27. Food processing Industries";

4. (a) Oil seed crushing, falling under "(a) Vegetable oils including solvent extracted oils" and (b) Vanaspati falling under "(2) Vanaspati" under the heading "28. Vegetable Oils and Vanaspati".

5. Leather falling under the heading "31. Leather, Leather Goods and Pickers".
6. Matches falling under (3) Matches under the heading "36 Timber products".

7. Beer falling under "(2) Other products of fermentation industries under the heading "26 - Fermentation Industries" (This item added vide Notification No. 122(E)/IDRA/64/3 dated 26 February 1974).


SCHEDULE - V

(Other Articles)

1. All qualities of steel manufactured from electric furnaces based on scrap falling under (I) Iron and Steel (Metal) and (6) Special Steel under the heading: "I METALLURGICAL INDUSTRIES: A. Ferrous".

2. Iron and Steel, pipes and tubes and stainless tubes falling under (5) Iron and Steel Pipes under the heading "I. METALLURGICAL INDUSTRIES: A. Ferrous".

3. Bright bars

4. Tin containers and metal containers

5. Drums and bales


7. Re-rolling of steel including manufacture of hot rolled bars/rods and sections using billets or rerollable scrap as raw material and also cold rolled billets and box strapping. The above items 3 to 7 fall under (7) Other products of iron and steel under the heading "I. METALLURGICAL INDUSTRIES: A. Ferrous".
8. Non-ferrous semis alloys, flat products and extrusions excluding aluminium semis falling under the heading "I. METALLURGICAL INDUSTRIES: B. Non-ferrous".

9. Plastic processed goods falling under "(1) Plastic moulded goods" under the heading. "12 MISCELLANEOUS MECHANICAL AND ENGINEERING INDUSTRIES".

10. Industrial gases falling under "(14) Miscellaneous Chemicals" under the heading, "19 CHEMICALS (OTHER THAN FERTILISERS)".

11. Steel forgings falling under (3) Iron and steel castings and forgings under the heading "I. METALLURGICAL INDUSTRIES".

12. AAC/ACSR. Conductors falling under '(6) Electrical Cables and Wires' under the heading "5 - ELECTRICAL EQUIPMENT".

13. Formaldehyde falling under "(2) Organic Heavy Chemicals" under the heading "19 CHEMICALS (OTHER THAN FERTILISERS)".
APPENDIX V

CATEGORY 'A'

NO-INDUSTRY DISTRICTS

1. Bihar
   1. Aurangabad
   2. Bhojpur
   3. Khagaria
   4. Nalanda
   5. Purnea
   6. Saharsa

2. Gujarat
   7. Danga

3. Karnataka
   8. Bidar

4. Madhya Pradesh
   9. Balaghat
   10. Bhind
   11. Chhatarpur
   12. Chhindwara
   13. Damoh
   14. Datia
   15. Dhar
   16. Guna
   17. Jhabua
   18. Mandla
   19. Narshinhapur
   20. Panna
   21. Rajgarh
   22. Seoni
   23. Shivpuri
   24. Sidi
   25. Surguja
   26. Tikamgarh

5. Orissa
   27. Balasore
   28. Bolangir
   29. Budh Khondmas (Phulbani)

6. Rajasthan
   30. Jaisalmer
   31. Sirohi

7. Uttar Pradesh
   32. Banda
   33. Fatehpur
   34. Hamirpur
   35. Jalaun
   36. Jaunpur
   37. Sultanpur
   38. Kanpur Dehat
8. West Bengal
39. Bankura
40. Cooch Behar
41. Jalpaiguri
42. Malda

SPECIAL REGION DISTRICTS

1. Assam
   1. Cachar
   2. Goalpara
   3. Kamrup
   4. Mikir Hills
   5. Nowgong
   6. North Cachar Hills
   7. Lakhimpur
   8. Darang
   9. Dibrugarh
  10. Sibsagar

2. Himachal Pradesh
   11. Chamba
   12. Kangra
   13. Kulu
   14. Lahaul & Spiti
   15. Kinaur
   16. Solan
   17. Sirmur
   18. Bilaspur
   19. Hamirpur
   20. Mandi
   21. Simla
   22. Una

3. Jammu & Kashmir
   23. Anantnag
   24. Baramula
   25. Doda
   26. Jammu
   27. Kathua
   28. Ladakh
   29. Poonch
   30. Rajouri
   31. Srinagar
   32. Udhampur
   33. Badgam
   34. Kargil
   35. Kupwara
   36. Pulwama

4. Meghalaya
   37. East Garo Hills
   38. West Garo Hills
   39. Jaintia Hills
5. Manipur
40. Manipur Central
41. Manipur East
42. Manipur North
43. Manipur South
44. Manipur West
45. Tangnoupal

6. Nagaland
46. Kohima
47. Mokokchung
48. Tuensang

7. Sikkim
49. Gangtok
50. Gyalshing
51. Mangan
52. Namchi

8. Tripura
53. Tripura North
54. Tripura South
55. Tripura West

9. Uttar Pradesh
56. Almora
57. Chamoli
58. Pauri Garhwal
59. Tehri Garhwal
60. Uttar Kashi
61. Pithoragarh
62. Dehradun
63. Nainital

10. Andaman & Nicobar Islands
64. Andaman Islands
65. Nicobar Islands

11. Arunachal Pradesh
66. Kameng
67. Siang
68. Subansiri
69. Tirap

12. Dadra & Nagar Haveli
70. Dadra & Nagar Haveli

13. Lakshadweep
71. Lakshadweep

14. Mizoram
72. Aizawl
73. Lunglei

15. Goa, Daman & Diu
74. Goa, Daman & Diu

16. Pondicherry
75. Pondicherry

17. West Bengal
76. Darjelling.

TOTAL NO. OF DISTRICTS - 118
1. Andhra Pradesh:

Srikakulam district and 5'areas' two areas from Rayalseema region comprising 22 blocks.

Area-I: Comprising 13 blocks viz. Chittor, Bangarupalam, Pulicherla, Pattur Chandragiri and Kalahasthi (from Chittor District) and Kodur, Rajampet, Sindhout, Cuddapah, Kamalpuram, Produture and Pulivend (from Cuddapah District).

Area-II: Comprising 9 blocks viz. Padpatri, Singanamala, Gooty, Kudai (from Anantapur District) and Dhone, Kurnool, Banganapalli, Nandyal and Giddalpur (from Jurnool district).

Three areas from Telengana region comprising 43 blocks:

Area-I: Comprising 14 blocks viz. Mahbubnagar, Jadhcherla, Shadnagar, Kalwakurthy and Amangal (from Mahbubnagar district) and Nalgonda, (Mungairl), Nanrakal, Suryapet, Kodad, Huzurnagar, Miryalguda, Peddavora and Deverakond (from Nalgonda district);
2. Bihar (5)
Bhagalpur, Darbhanga, Champaran, Palamau and Santhal Parganas district.

3. Gujarat (3)
Panchmahals, Bharuch and Surendranagar districts.

4. Haryana
Reorganised Mohindergarh district (comprising Mohindergarh and Rewari sub-division), Bhiwani district comprising Bhiwani and Dadri subdivisions and one 'areas' comprising 8 blocks viz. Hissar block No. 1 and Barwana Block (of Hissar Tehsil) Hansi Block No. 1 (from Hansi Tehsil) Bahuna Block (from Fatehabad Tehsil), Tohana Block (from Tohana Tehsil) from district of Hissar, Jind Block and Julana Block (from Jind Tehsil) Uchana block (Narwana Tehsil) from the district of Jind.

5. Karnataka (3)
Haichur, Mysore and Dharwar districts.
7. Madhya Pradesh
   (equivalent to 3-4 districts or 4 districts)

   'Six areas'

   Area-I: (from Eastern Region) comprising blocks viz. Korba, Maloda, Champa, Kota, Masturi and Bilha (Bilaspur) block (from Bilaspur district), Bhatapara Simga, Tilda, Dharaiwa (Raipur) Abhanpur and Anaim blocks (from Raipur district).

   Area-II: (from Western Region) comprising blocks viz. Dewas and Tonk Khurad Block (from Dewas district) Gulana, Shujalpur and Shajapur blocks (from Shajapur district)

   Area-III: (from Northern Region) comprising blocks Morena and Jaura (from Morena district)

   Area-IV: (from Central Region) comprising blocks viz. Bind-Itawa, Khuri-Banda (Binaika), Mahatagarh, Sagar, Sahgarh (Amarmau) (from Sagar district), Vidisha and Gyasarapur (from Vidisha district).

   Area-V: (from Western Region-II) comprising blocks viz. Maheswar, and Barwana (from Khargone district) Katlam and Jaura (from Ratlam district) Handsaur, Mahargarh and Meemuch (from Handsaur district).

   Area-VI: (from North-Eastern Region) comprising block viz., Rewa & Raipur (Garh) (from Rewa district).

8. Maharashtra(3)

   Ratnagiri, Aurangabad and Chandrapur districts.


11. Rajasthan (6) Alwar, Jodhpur, Bilwara, Churu, Nagaur and Udaipur districts.

12. Tamil Nadu (equivalent to 3 districts) Three areas/tracts comprising 33 Taluks:

   Area-I: Comprising 12 Taluks (including sub-Taluks) viz. Ramanathapuram, Madukulathur, Sivaganga, Pambakudi, Thiruvadani, Karaikudi and Thirupathur Taluks (from Ramanathapuram distt.) Melur Taluks (from Madurai district) Pudukkottai, Thirumayam, Alangudi and Kulthur Taluks (from Pudukkottai district).


   Area-III: Comprising 10 Taluks viz. Aruppukottai, Sivillipathur, Rajapalayam (from West Ramanathapuram of Ramanathapuram district), Thirumangalam, Usilampatti, Nilakothai, Dindigul and Vedassandur (from Madurai district).

13. Uttar Pradesh Ballia, Basti, Faizabad, Jhansi and Rae-Bareilly districts.

14. West Bengal Purulia, Midnapur and Nadia districts.

Total No. of districts are 55:

N.B.: As far as Madhya Pradesh is concerned out of 65 blocks equivalent to six districts/29 blocks are in the district stand included in No. 3. Industry districts.
remaining districts out of 240 districts eligible for concessional finance after excluding those covered by categories 'A' and 'B'

1. Andhra Pradesh (13)
   Anantpur (excluding Tadepatri, Singanamala, Gooty, Kudai/blocks) Chittoor (excluding Chittoor, Bangarupalam, Pulicherla, Pattur, Chunaragiri and Kalahasthi blocks), Cuddapah (excluding Kodur Rajampet, Sidhout, Cuddapah Kamalapuram, Prodduture and Pulivendla blocks), Karimnagar (excluding Sircilla, Karimnagar, Sultanabat, Peddapalli, Manthani and Muzurabad blocks) Khammam (excluding Khammam, Thirumalai-palem, Kullur, Yeelandu, Kothagudem, Aswaraop-eta, Puragampad and Bhadraphalam blocks)

2. Bihar (6)
   Muzaffarpur, Saran, Nawadah, Gaya, Begusarai and Monghyr.
3. Gujarat (7)  
Amreli, Banaskantha, Bhavnagar, Junaghar,  
Kutch, Mehsana, Sabarkantha.

4. Haryana (4)  
Bhiwani (excluding Bhiwani and Dadri subdivisions)  
Hissar (excluding Hissar Blocks and Barwana blocks  
of Hissar Tehsil) Hansi  
Block No. 1 (from Hansi Tehsil) Bahuna block  
(from Fatehabad Tehsil) Tohana block/Tehsil  
(from Jhula blocks) (from Jind Tehsil) and  
Uchana block (from Harwana Tehsil) Mohinder-  
garh (excluding Mohindergarh and Rewari subdivi-  
disons).

5. Kerala (2)  
Trichur and Trivandrum.

6. Karnataka (7)  
Belgaum, Bijapur, Gulbarga, Hassan, North  
Kanara, South Kanara and Tumkur.

7. Madhya Pradesh (19)  
Bastar, Betul, Bilaspur (excluding Korba,  
Baloda, Champa, Kota, Masturi and Bilha  
(Bilaspur blocks) Dewas (excluding Dewas and  
Tonk Khurd blocks) Hoshangabad, Kharagone  
(excluding Maheshwar and Barwana blocks)  
Mandsaur (excluding Mandsaur, Malhargarh and  
Neemuch blocks) Morena (excluding Morena and  
Jaura blocks), Raigarh, Raipur (excluding  
Bhatapara, Singa, Tilda, Dharsiwa, (Raipur)  
Abhanpur and Rajim blocks) Rajnandgaon,  
Raisen, Shajipur (excluding Gula, Shujalpur  
and Shajapur blocks) Ratlam (excluding Rewa  
and Raipur (Garh blocks) Sagar (excluding  
Bina-Itawa, Khuri-Banda (Binaika) Rahatgarh,  
Sagar, Sahgarh (Amarand blocks) Vidisha  
(excluding Vidisha and Gyaraspur blocks)  
New Sehore.

9. Orissa


Total No. of Districts are: 113.

Source: Ministry of Industry.
APPENDIX - VI

PROPOSAL FOR CERTIFICATION OF NUCLEUS PLANT

1. Name and address of the Applicant:

2. Name and address of the Industrial Undertaking:

3. Whether the Undertaking is registered under the MAPT Act, 1969, if so, please indicate necessary details about the registration number, date etc.:

4. Whether the Undertaking has or is proposed to have foreign holdings and, if so, indicate the name of the foreign participant and the percentage of the foreign holdings in the total equity participation of the project:

5. Name of the State and the location of the backward area indicating the Category to which the backward area belongs:

6. The main items of manufacture in the nucleus Plants:

7. Assemblies/Sub-assemblies, components and ancillaries which are proposed to be sub-contracted to ancillaries indicating the following particulars against each unit:

   i) Name of the Industrial Undertaking:

   ii) The list of components and sub-assemblies etc., proposed to be sub-contracted to the unit indicating the ex-factory value of the components and ancillaries, and their percentage for the ex-factory value of the end-product to be manufactured in Nucleus plant.
iii) The employment proposed to be generated at the unit:

iv) The nature of technology, design and documentation which are proposed to be provided to the ancillary unit:

v) The arrangements which have been made for the training of the personnel/workers in the ancillary unit:

vi) Particulars of raw materials which will be provided by the nucleus plant to the ancillary unit:

8. I/We hereby declare that:

i) None of the ancillary undertakings is a subsidiary of or owned or controlled by the nucleus undertaking:

ii) The nucleus undertaking will not set up manufacturing facilities in respect of any of the items/products off-loaded to any of the ancillary units:

I/We further declare that the above statement are true and correct to the best of my/our knowledge and belief.

Place: SIGNATURE OF THE APPLICANT
Date:

Source: Ministry of Industry.
Form I.L.

Application for Licence or Permission

(Vide Press Note 24 dt 20.8.1986)

This form is to be used for application for a licence/permission for the establishment of a new undertaking (under Section 11) or to effect Substantial Expansion (under Section 13(1)(d)) or for the manufacture of new article (under Section 11A) under the provisions of the Industries (Development & Regulation) Act, 1951.

* The application is to be submitted to the Secretariat for Industrial Approvals (SIA), Department of Industrial Development, Udyog Bhawan, New Delhi - 110011, with 8 spare copies of both the application and forwarding letter and a crossed demand draft for Rs.2500/- in favour of Pay & Accounts officer, Department of Industrial Development, Ministry of Industry, payable at State Bank of India, Nirman Bhawan branch, New Delhi.

* Please read the detailed instructions given at the end of the application form carefully before filling in the application.

* To avoid delays, please ensure that information against each column is indicated properly and legibly as per instructions and each copy of the application submitted is complete (including the forwarding letter and relevant annexures) in all respects.

FOR OFFICIAL USE ONLY

Appln.No. Date (Regn.)

(a) Name & address of the applicant/applicant undertaking (IN BLOCK LETTERS)

Name

Address

(b) Give the particulars of Proprietors/Partners/Directors of the Board as per the format given below and attach the same as an annexure to the application. If this application is in the name of an individual, the
particulars should pertain to the company/undertaking proposed to be formed to implement the project. In that case, the present occupation of Proprietors/Partners or Directors may also be indicated (see instruction no.6) (Information to be attached as annexure No.III)

Name and address  Whether Foreign National, Indian National or Non-Resident Indian

2. NATURE OF CONCERN
   (see instruction no.4)

   (a) Whether the proposed undertaking is/would be a :

      (Please tick the appropriate box)

      (1) Public Ltd. Company  (2) Private Ltd. Company
      (2) Partnership Firm       (4) Proprietary Firm

   (b) Whether the applicant undertaking is a :

      (Please tick the appropriate box)

      (1) Central Govt. Undertaking
      (2) State Govt. Undertaking
      (3) State Indl. Development/Investment Cropn.
      (4) Co-operative Sector Unit
      (5) Joint Sector Unit
      (6) Private Sector Unit/Undertaking

   (c) If the applicant undertaking is a State Industrial Development/Investment Corporation, please state whether the proposed project will be implemented in the :

      (Please tick the appropriate box)

      (1) State Public Sector
      (2) Joint Sector

If in Joint Sector, please indicate the names of the parties/sectors to be associated.
3. Whether the undertaking is registered under the MRTP Act, 1969:
   (see instruction no.3)

   (Please tick the appropriate box)
   (1) Yes ☐ (2) No ☐

   (a) If the answer is 'Yes', please indicate:

   (i) Sub-section of Section 20 with reference to which registered:

   (ii) Registration No. and Date:

   (iii) Whether clearance/permission required under the said Act for
   implementing the proposed scheme has already been obtained from the
   Deptt. of Company Affairs or has been applied for. Please attach three
   copies of the clearance obtained or of the application made to the DEA
   in this regard, as the case may be.
   (3 copies of the document to be attached as annexure no. IV)

   (b) Whether the applicant undertaking is a 'dominant' undertaking in terms
   of the MRTP Act:

   (Please tick the appropriate box)
   (1) Yes ☐ (2) No ☐

   If Yes, please furnish information regarding the items of manufacture, in
   respect of which the undertaking falls in the category of a 'dominant'
   undertaking, as per the format given below and attach the same as a
   separate annexure to the application.
   (Information to be attached as annexure no.V)

   FORMAT

<table>
<thead>
<tr>
<th>Name(s) of Item(s)</th>
<th>Licensed Capacity</th>
<th>Installed Capacity</th>
<th>Production during last three years</th>
</tr>
</thead>
</table>

   (c) If the undertaking is not registered under the MRTP Act, please
   indicate whether any show-cause notice has been issued to the
   applicant undertaking under the provisions of the said Act. If the
   undertaking is under show-cause notice, attach three copies of any
   representation or application made to the Deptt. of Company Affairs in
   this regard.
   (If applicable, 3 copies of the document to be attached as annexure no.VI)
(d) Whether the undertaking belongs to any large industrial house:

(Please tick the appropriate box)

(1)Yes □  (2)No □

If Yes, please indicate the name of the industrial house:

4. Whether the undertaking is covered under the Foreign Exchange Regulation Act:

(Please tick the appropriate box)

(1)Yes □  (2)No □

If yes, please indicate:

The percentage of foreign equity in the existing paid-up capital of the undertaking □□□□□□□

5. CAPITAL STRUCTURE

(see instruction no. 2 & 5)

(A) In the case of a Company (whether an existing one or new/proposed)

(I) Existing Capital:

<table>
<thead>
<tr>
<th>Authorised</th>
<th>Preference (in Rupees)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Subscribed

Paid-up

Break-up of existing paid-up capital:

<table>
<thead>
<tr>
<th>Amount (in rupees)</th>
<th>Percentage (w.r.t. paid-up capital)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(ii) On Non-repati

(ii) On Repatriable basis

Total (i) & (ii) of (b) □□□□□□□
(c) Indian holding

<table>
<thead>
<tr>
<th>Amount (in rupees)</th>
<th>Percentage (w.r.t. paid up capital)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Existing quantum of borrowings (in rupees):

Existing Debt-Equity ratio: ________________

(II) Proposed Capital:

(In case of an existing company, the existing capital as indicated in (I) above may be excluded and only additional capital that is proposed to be raised for implementing the proposed project may be indicated here)

<table>
<thead>
<tr>
<th>Equity (in Rupees)</th>
<th>Preference (in Rupees)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorised</td>
<td></td>
</tr>
<tr>
<td>Subscribed</td>
<td></td>
</tr>
<tr>
<td>Paid-up</td>
<td></td>
</tr>
</tbody>
</table>

Break-up of proposed paid-up capital:

<table>
<thead>
<tr>
<th>Amount (in rupees)</th>
<th>Percentage (w.r.t. paid-up capital)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(a) Foreign holding

(b) Non-Resident Indian holding:

(i) On Repatriable basis

(ii) On Non-repatriable basis

Total (i) & (ii) of (b)

(c) Indian holding

Proposed quantum of borrowings (in rupees):
(B) In the case of a proprietary or partnership firm/undertaking

(I) Proposed capital investment by the applicant and his partners

Break-up of the proposed capital investment:

a) Capital investment by resident Indian partners (amount in Rs.)

b) Capital to be contributed by Non-resident Indian partners, if any (In Rs. equivalent)

If capital investment by Non-resident Indians is involved, please indicate whether the same would be on non-repatriable or repatriable basis.

(II) Proposed quantum of borrowings (In Rupees)

(III) Give full details regarding the share of each of the partners in the proposed capital investment in a separate annexure. (Information to be attached as annexure no.VII)

6. Capital cost of the project and it's financing pattern

(A) Total estimated capital cost of the proposed project

(B) Financing pattern for the proposed investment:

(I) Share capital proposed to be raised:

a) Share capital of promoters (resident Indians)

b) Share participation by Financial/Investment Institutions

c) Share participation by the State/Central Government

d) Capital to be raised through public issue

e) Share participation by Non-resident Indians
<table>
<thead>
<tr>
<th></th>
<th>Amount (in Rupees)</th>
</tr>
</thead>
<tbody>
<tr>
<td>f) Share participation by foreign collaborator(s)</td>
<td>$\text{[Blank]}$</td>
</tr>
<tr>
<td>g) Share participation by other corporate bodies (i.e. inter-corporate investment)</td>
<td>$\text{[Blank]}$</td>
</tr>
<tr>
<td>h) Other sources, if any</td>
<td>$\text{[Blank]}$</td>
</tr>
<tr>
<td>Total (a) to (h)</td>
<td>$\text{[Blank]}$</td>
</tr>
</tbody>
</table>

(II) Loans from financial Institutions (In Rs.)

(C) If the proposal is from an existing undertaking, indicate the amount of internal resources/funds, if any, proposed to be invested in the proposed project:

(In Rupees)

7. **Indicate whether this proposal is for a licence/permission for:**

(Please tick the appropriate box)

(1) Establishment of a new undertaking

(2) Effecting Substantial Expansion

(3) Manufacture of New Articles

8. **Location of the proposed unit**

<table>
<thead>
<tr>
<th>Place/Town</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Tehsil/Taluk</td>
<td></td>
</tr>
<tr>
<td>District</td>
<td></td>
</tr>
<tr>
<td>State</td>
<td></td>
</tr>
</tbody>
</table>
a) If the location falls in a backward district/area qualifying for Central Scheme of investment subsidy, please indicate whether the same is Category "A" or "B" or "C" in terms of this Ministry's Press Note of 27th April, 1983:

(Please tick the appropriate box)

(1) Category "A" backward area
(2) Category "B" backward area
(3) Category "C" backward area

b) If the location falls in category "A" backward area, please indicate whether it is in a "No Industry District":

(Please tick the appropriate box)

(1) Yes (2) No

c) If the location is not in a backward area, please indicate whether the same falls in the:

(Please tick the appropriate box)

(1) Standard urban area limits of a city having population of more than one million as per 1981 Census
(2) Municipal limits of a city having population of more than five lakh as per 1981 Census

d) Whether the proposed unit will be a 'Nucleus Plant' as defined in this Ministry's Press Note of 27th April, 1983:

(Please tick the appropriate box)

(1) Yes (2) No

If yes, please furnish additional details as per the proforma given at Annexure IV to the said Press Note of 27th April, 1983:

(Information to be attached as annexure no.VIII)

e) Whether the setting up of the project or its ancillary units or procurement of raw materials involves the use of any forest land attracting the provisions of the Forest (Conservation) Act, 1980. If so, whether prior permission of the Ministry of Environment & Forests has been obtained. No. & Date of the permission, if already obtained, may be indicated:
f) Whether the location of the factory is near any of the National Parks/Sanctuaries (including Tiger Reserves) or National Monuments. If so, indicate the name of the said National Park/Sanctuary/Tiger Reserve/National Monument and its distance from the location of the proposed unit, and also whether the proposed manufacturing activity is likely to have any adverse effect on it:

g) In case the proposed location is not in a centrally declared backward area, whether the entrepreneur is prepared to locate the proposed manufacturing activity in any such backward area. If so, indicate the names of such alternative locations in order of preference:

h) If the proposal involves split location and/or the items involved are proposed to be manufactured by the applicant undertaking in more than one unit located at different places, while the location particulars of that unit where the main manufacturing activity is proposed to be located should be indicated in the location columns above, the particulars of the other unit/location may be given below:
9. **Proposed Items of manufacture**  
(see instruction no. 7)

(A) Item(s) proposed to be manufactured:

<table>
<thead>
<tr>
<th>Sr.No. of item</th>
<th>Name of item of manufacture (IN CAPITAL LETTERS)</th>
<th>Product code (not to be filled in by the applicant)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total number of items of manufacture involved: [ ]

Note:-The 'Sr.No. of item' as indicated above will be used as 'Identification No.' for the said item of manufacture now onwards, wherever applicable.
B) Whether any of the proposed items is/are reserved for small scale sector:

(Please tick the appropriate box)

(1)Yes □ (2)No □

If Yes, indicate the 'Identification Nos.' (i.e. Sr.Nos. as given in column (A) above) of such items:

[Space for numbers]

(C) Whether any of the proposed items is/are governed by special regulation (i.e. whether any of these items is/are included in schedule IV or schedule V to the notification of 16th Feb., 1973, as amended from time to time):

(Please tick the appropriate box)

(1)Yes □ (2)No □

If Yes, indicate the 'Identification Nos.' of such items included in:

(i) Schedule IV. □□□□; □□□□; □□□□; □□□□; □□□□; □□□□

(ii) Schedule V. □□□□; □□□□; □□□□; □□□□; □□□□; □□□□

(D) Whether any of the proposed items is/are included in Appendix-I to the press note of 21st April, 1982, as amended from time to time:

(Please tick the appropriate box)

(1)Yes □ (2)No □

If Yes, indicate the 'Identification Nos.' of such items:

□□□□; □□□□; □□□□; □□□□; □□□□; □□□□

(E) Whether any of the proposed items is/are included in the list of de-licensed industry items in terms of Notification No.201/E, dated 16th March, 1985:

(Please tick the appropriate box)

(1)Yes □ (2)No □

If Yes, indicate the 'Identification Nos.' of such items:

□□□□; □□□□; □□□□; □□□□; □□□□; □□□□
11. **Annual capacity and estimated ex-factory value of production of the proposed items of manufacture ('Sr. No.' of the item as given in 9(A) above may be used as 'Identification No.' for the said item).**

   (see instruction no. 2 & 7)

   (A) If the proposal is for the manufacture of the proposed items by establishing a New Undertaking:

<table>
<thead>
<tr>
<th>Identification number of item</th>
<th>Annual capacity on the basis of maximum utilisation of plant and machinery</th>
<th>Unit of capacity (name)</th>
<th>Estimated Ex-factory value of annual production at full capacity (In Rupees)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

   (P) If the proposal is for the manufacture of the proposed items as New Articles:

<table>
<thead>
<tr>
<th>Identification number of item</th>
<th>Annual capacity on the basis of maximum utilisation of plant and machinery</th>
<th>Unit of capacity (name)</th>
<th>Estimated Ex-factory value of annual production at full capacity (In Rupees)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
(C) If the proposal is for the manufacture of the proposed items by effecting Substantial Expansion:

(I) Existing licensed capacity and additional capacity envisaged:

<table>
<thead>
<tr>
<th>Identification number of item</th>
<th>Present licensed/approved capacity</th>
<th>Additional capacity envisaged on the basis of maximum utilisation of plant &amp; machinery</th>
<th>Unit of capacity (name)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(II) Total capacity after expansion:

<table>
<thead>
<tr>
<th>Identification number of item</th>
<th>Annual capacity after expansion (i.e. present licensed capacity plus additional capacity envisaged)</th>
<th>Unit of capacity (name)</th>
<th>Estimated ex-factory value of annual production (at full capacity) after expansion (in Rupees)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
(III) Furnish the following details regarding the capacity actually installed against the present licensed/approved capacity in respect of the above items proposed for expansion:

<table>
<thead>
<tr>
<th>Identification number of item</th>
<th>Annual installed capacity against the present licensed/approved capacity (Quantity)</th>
<th>Annual production of the item during the last one year (Quantity)</th>
<th>Ex-factory value of annual production during the last one year (in Rupees)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(IV) Please give reference number(s) and date(s) of the industrial licence(s)/letter(s) of intent already issued to the undertaking in respect of the above items of manufacture proposed for expansion:

(D) Please indicate the number of shifts assumed for working out the proposed annual capacity of the item(s) (as mentioned in (A) or (B) or (C) above) on the basis of maximum utilisation of plant and machinery:

<table>
<thead>
<tr>
<th>Identification number of item</th>
<th>Assumed number of shifts per day</th>
<th>Assumed number of hours per shift</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(E) If an existing undertaking and/or if the proposal is for the manufacture of New Articles or for effecting Substantial Expansion in the existing undertaking, please indicate the total ex-factory value of annual production of all the items/articles manufactured by the undertaking during the last one completed year:

(In Rupees)
11. **Estimated annual requirement of raw materials and components for the proposed items at full capacity production:**

(A) **Raw materials**

(I) **Indigenous raw materials:**

<table>
<thead>
<tr>
<th>Names of major raw materials (IN BLOCK LETTERS)</th>
<th>Annual requirement (Quantity)</th>
<th>Estimated value (In Rupees)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total estimated value of all indigenous raw materials (both major and minor ones) required per annum at full capacity production of the proposed items: Amount (In Rupees)

(II) **Imported raw materials:**

<table>
<thead>
<tr>
<th>Names of major raw materials (IN BLOCK LETTERS)</th>
<th>Annual requirement (Quantity)</th>
<th>Estimated CIF value (In Rupees)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total estimated value (CIF) of all imported raw materials (both major and minor ones) required per annum at full capacity production of the proposed items: Amount (In Rupees)
(B) Components:

(I) Indigenous components:

<table>
<thead>
<tr>
<th>Names of major components (IN CAPITAL LETTERS)</th>
<th>Annual requirement (Quantity)</th>
<th>Estimated value (In Rupees)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total estimated value of all indigenous components (both major and minor ones) required per annum at full capacity production of the proposed items:

Amount (In Rupees)

(II) Imported components:

<table>
<thead>
<tr>
<th>Names of major components (IN CAPITAL LETTERS)</th>
<th>Annual requirement (Quantity)</th>
<th>Estimated CIF value (In Rupees)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total estimated value (CIF) of all imported components (both major and minor ones) required per annum at full capacity production of the proposed items:

Amount (In Rupees)
12. Phased manufacturing programme for the proposed items during the first 5 years starting from the year of commencement of commercial production:

(This information, which is required to be given separately for each proposed item of manufacture (as indicated in col.9(A), may be furnished as per the format given below and attached as a separate annexure to this application).

(Information to be attached as annexure no.IX)

I. ITEM-WISE DETAILS

<table>
<thead>
<tr>
<th>a) Name of the item of manufacture</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>b) Serial No. of the Item (as given in col.9 above)</td>
<td></td>
</tr>
<tr>
<td>c) Year-wise details</td>
<td>1st yr.</td>
</tr>
</tbody>
</table>

i) Quantity of production

ii) Estimated ex-factory value (in Rs.) of production (net of excise duties)

iii) CIF value (in Rs.) of imported components

iv) CIF value (in Rs.) of imported raw materials

v) CIF value (in Rs.) of the product, if the entire quantity given in (i) above were to be imported

vi) %age of CIF value of imported components to CIF value of product if imported, i.e. (iii)/(v)*100

vii) %age of CIF value of imported raw materials to CIF value of product if imported, i.e. (iv)/(v)*100

II. Give year-wise details, viz. name(s), quantity and value (cif) of all imported components to be used during the first five years (separately for each item of manufacture involved) by using a similar format.

III. Give year-wise details, viz. name(s), quantity and value (cif) of all imported raw materials to be used during the first five years (separately for each item of manufacture involved) by using a similar format.
13. Import content in the value of production (for all the proposed items of manufacture taken together) on the basis of proposed phased manufacturing programme during the first five years, starting from the year of commencement of commercial production:

<table>
<thead>
<tr>
<th>Total estimated ex-factory value of production of the proposed item(s) (In Rupees)</th>
<th>Percentage of CIF value of Imported components to ex-factory value of materials to ex-factory value of production of proposed items</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Year</td>
<td></td>
</tr>
<tr>
<td>2nd Year</td>
<td></td>
</tr>
<tr>
<td>3rd Year</td>
<td></td>
</tr>
<tr>
<td>4th Year</td>
<td></td>
</tr>
<tr>
<td>5th Year</td>
<td></td>
</tr>
</tbody>
</table>

14. Approximate time required for starting commercial production from the date of issue of:

<table>
<thead>
<tr>
<th>Number of months</th>
</tr>
</thead>
<tbody>
<tr>
<td>(i) Letter of Intent</td>
</tr>
<tr>
<td>(ii) Industrial Licence</td>
</tr>
</tbody>
</table>

15. INVESTMENT DETAILS

(A) Estimated capital cost of the proposed project:

(1) Proposed investment in fixed assets:

(If the proposal is for effecting substantial expansion or for the manufacture of new articles, information only about the additional investment required for carrying out the proposed manufacturing activity may be indicated here)

a) Cost of Capital equipment

   i) Imported (landed cost) |  |
   ii) Indigenous |  |
b) Cost of other items of capital nature (if the land and/or building is rented, the capitalised value of the same may be given)

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount (in Rupees)</th>
</tr>
</thead>
<tbody>
<tr>
<td>(i) Land</td>
<td></td>
</tr>
<tr>
<td>(ii) Building</td>
<td></td>
</tr>
<tr>
<td>Total (a) &amp; (b)</td>
<td></td>
</tr>
<tr>
<td>(II) Working capital</td>
<td></td>
</tr>
</tbody>
</table>

(B) In case of an existing undertaking, indicate the existing investment of the undertaking in fixed assets. (Information should pertain to all the existing units/factories belonging to the undertaking):

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount (in Rupees)</th>
</tr>
</thead>
</table>

16. EMPLOYMENT DETAILS

(A) Staff and labour proposed to be employed in implementing the project:
(If the proposal is for Substantial Expansion or for the manufacture of New Articles, information only about the additional staff & labour proposed to be employed in carrying out the proposed manufacturing activity may be indicated here).

<table>
<thead>
<tr>
<th>Category</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>(i) Managerial</td>
<td></td>
</tr>
<tr>
<td>(ii) Supervisory</td>
<td></td>
</tr>
<tr>
<td>Technical</td>
<td></td>
</tr>
<tr>
<td>Non-Technical</td>
<td></td>
</tr>
<tr>
<td>(iii) Clerical</td>
<td></td>
</tr>
<tr>
<td>(iv) Labour</td>
<td></td>
</tr>
<tr>
<td>Skilled</td>
<td></td>
</tr>
<tr>
<td>Semi-skilled</td>
<td></td>
</tr>
<tr>
<td>Un-skilled</td>
<td></td>
</tr>
<tr>
<td>(v) Others</td>
<td></td>
</tr>
<tr>
<td>Grand Total</td>
<td></td>
</tr>
</tbody>
</table>
(B) If the proposal is for Substantial Expansion or for the manufacture of New Articles, please indicate the total number of staff and labour already employed in the factory/unit in which the proposed manufacturing activity is to be carried out:

(C) In case of an existing undertaking, indicate the total number of staff and labour already employed by the undertaking:
(information should pertain to all the existing units/factories belonging to the undertaking)

Employment (in numbers)

17. Whether any foreign collaboration is envisaged for the proposed manufacturing activity:

(Please tick the appropriate box)

(1)Yes □ (2)No □

If yes, please furnish the following information about the foreign collaborator and the proposed terms of collaboration:

a) Name and address of the foreign collaborator:

b) Nature of collaboration, i.e. whether it involves equity participation, import of technical know-how, consultancy or marketing:

c) Terms & conditions of the proposed collaboration:

18. EXPORT DETAILS

(A) Whether the item(s) proposed to be manufactured are exportable and can be exported:

(Please tick the appropriate box)

(1)Yes □ (2)No □

If yes, please indicate the extent of exports envisaged/likely to be realised in terms of quantity, percentage of production and value (item-wise):
(B) If the items are exportable, indicate whether the applicant is prepared to undertake an export obligation:

(Please tick the appropriate box)

(1)Yes □   (2)No □

If Yes, please indicate the percentage of production (item-wise) in terms of value and/or quantity that can be covered under such export obligation, and if the answer is 'No', please explain why the applicant is not prepared to undertake any export obligation:

(C) If the proposed items cannot be exported and/or the applicant is not willing to undertake an export obligation, please indicate whether these items are being imported in the country at present:

(Please tick the appropriate box)

(1)Yes □   (2)No □

19. Effect on balance of payments during the first 5 years

(Beginning from the year of starting commercial production in case of exports and imports of raw materials/components. For working out estimated payments on account of import of machinery and equipment and payments to foreign collaboration, however, all payments expected to be made up to the 5th year of production may be taken into account)

(A) Foreign exchange earnings based on F.O.B. value of exports covered by export obligation.

(B) Foreign exchange outgo on:

(i) Import of machinery and equipment

(ii) Import of raw materials & components

(iii) Repatriation of dividends and profits to foreign collaborator

(iv) Other payments to collaborator by way of lumpsum, royalty, technical knowhow fee, etc.

(C) Net foreign exchange inflow/outgo (A-B)
20. Give brief description of the end use of the proposed items, processes involved in the manufacture of the item(s) and the factors favourable for the adoption of such processes. (This information may be given in a separate annexure).

(Information to be attached as annexure X)

21. Water supply

(a) Whether adequate water supply is available for meeting the requirements of the proposed factory, township and staff quarters:

(Please tick the appropriate box)

(1)Yes □  (2)No □

(b) Indicate the approximate quantity of water required per annum and whether it will be drawn from public sources:

22. Power supply

Connected load Maximum demand
(in KW) (in KW)

(a) Total requirement of power for the proposed project

(b) Break-up of the above requirement of power to be met from:

(i) Own generating station

(ii) Public supply

(c) In case own generating station is to be installed, please furnish detailed particulars of the plant/station:

(d) Describe the measures, if any, envisaged to secure energy efficiency and its rational use including tapping of alternative sources of energy:
23. TRANSPORT REQUIREMENTS

Give details regarding the requirements of rail transport for movement of raw materials and finished products in the proforma attached at the end of the application form.

(Proforma to be attached as annexure no. I)

24. FUEL REQUIREMENTS

Give details regarding the requirements of coal/coke for the proposed project in the proforma attached at the end of the application form.

(Proforma to be attached as annexure no.II)

25. Please indicate whether any of the components required for the items to be manufactured are proposed to be sub-contracted to small scale and ancillary units and, if so, the details thereof. Details should include the particulars of each of such components, their value and percentage in relation to the total ex-factory value of production. It should also be indicated whether the small scale/ancillary unit(s), to which components are proposed to be sub-contracted, is a subsidiary or controlled/managed by the applicant/applicant undertaking.

(If applicable, information to be attached as annexure no.XI)

26. Please enumerate the steps proposed to be taken to ensure safe disposal of the discharge of effluents and gases in air, water and soil, including installation of anti-pollution measures according to the standards prevailing in the concerned State. Measures proposed to be taken for preserving environment should also be spelt out in detail. This information may be given in a separate annexure.

(Information to be attached as annexure no.XII).

27. Whether the applicant has been issued any industrial licence or letter of intent in the past:

(Please tick the appropriate box)

(1)Yes □  (2)No □

If yes, please furnish full particulars of each letter of intent/industrial licence issued, giving the reference number, date of issue, items of manufacture involved and progress of implementation of each such letter of intent/industrial licence. If the applicant has submitted any other application(s) for letter(s) of intent which is/are pending, the details thereof, including the item(s) of manufacture, proposed activity, location and investment may also be indicated. This information may be given in a separate annexure.

(Information to be attached as annexure no.XIII).

28. Give particulars of the industrial undertakings under the control of the applicant or with the management of which the applicant has been associated, which had remained closed for a consecutive period of more than 90 days at any time during the last three years preceding the date of this application. Reasons for closure, steps taken by the management for the revival and the present state of that industrial undertaking may also be indicated.

(If applicable, information to be attached as annexure no.XIV).
29. State the factors which are considered favourable in respect of this application. In this regard, mention should be made about the technical competence, experience and resources (managerial, technical and financial) of the applicant/undertaking for implementing the scheme as also the preliminary studies on techno-economic aspects, viability, market survey and forecast etc., made in this regard. The direct and indirect employment that is expected to be generated with the implementation of the proposed project may also be indicated. In the case of Substantial Expansion, the considerations which favour the grant of Substantial Expansion, including the economies of scale, if any, should clearly be brought out. The financial resources, of the applicant or the undertaking, and the pattern of financing the proposed investment should also be highlighted. This information may be given in a separate annexure.

(Information to be attached as annexure no.XV).

30. DETAILS OF SUPPORTING DOCUMENTS/INFORMATION ANNEXED

(A) Original Bank Draft towards payment of fee

No. ___________________________ Date ________________

Value Rs. ___________________________

(B) List of other documents and information attached in Annexures

<table>
<thead>
<tr>
<th>Annexure number</th>
<th>Column to which the information/document relates</th>
<th>Brief particulars of the information</th>
<th>Tick the appropriate box</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td>23</td>
<td>Transport requirements (part of the application)</td>
<td>Attached! Not applicable</td>
</tr>
<tr>
<td>II</td>
<td>24</td>
<td>Fuel requirements (part of the application)</td>
<td>Attached! Not applicable</td>
</tr>
<tr>
<td>III</td>
<td>1(b)</td>
<td>Particulars of Proprietors/Partners/Directors</td>
<td>Attached! Not applicable</td>
</tr>
<tr>
<td>IV</td>
<td>3(a)(iii)</td>
<td>3 copies of application made or clearance obtained from DCA</td>
<td>Attached! Not applicable</td>
</tr>
<tr>
<td>V</td>
<td>3(b)</td>
<td>Information regarding the items of manufacture for which the undertaking is a dominant undertaking</td>
<td>Attached! Not applicable</td>
</tr>
<tr>
<td>VI</td>
<td>3(c)</td>
<td>3 copies of any representation/application made to the Deptt. of Company Affairs regarding show-cause notice</td>
<td>Attached! Not applicable</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>VII</td>
<td>5(B)(III)</td>
<td>Details regarding the share of each partner in the proposed capital investment</td>
<td></td>
</tr>
<tr>
<td>VIII</td>
<td>8(d)</td>
<td>In case of a Nucleus Plant, details as per the proforma given at Annexure IV to the Press Note of 27-4-83.</td>
<td></td>
</tr>
<tr>
<td>IX</td>
<td>12</td>
<td>Phased Manufacturing Programme</td>
<td></td>
</tr>
<tr>
<td>X</td>
<td>20</td>
<td>Brief description of the end use of proposed item(s) of manufacture</td>
<td></td>
</tr>
<tr>
<td>XI</td>
<td>25</td>
<td>Details regarding components required for the items to be manufactured which are proposed to be sub-contracted to SSI</td>
<td></td>
</tr>
<tr>
<td>XII</td>
<td>26</td>
<td>Details regarding proposed measures for preserving environment</td>
<td></td>
</tr>
<tr>
<td>XIII</td>
<td>27</td>
<td>Particulars of letters of intent/industrial licences issued in the past</td>
<td></td>
</tr>
<tr>
<td>XIV</td>
<td>28</td>
<td>Particulars of industrial undertakings under the control of the applicant which had remained closed for a period of not less than 90 days</td>
<td></td>
</tr>
<tr>
<td>XV</td>
<td>29</td>
<td>Other information which is considered favourable in respect of this proposal.</td>
<td></td>
</tr>
</tbody>
</table>

If any other document/information is attached, please list them:
I/we hereby, declare that the information given in the application and documents/statements attached therewith are true and correct to the best of my/our knowledge and belief.

Signature of the applicant

Name (IN CAPITAL LETTERS)

Designation.

Place :

Date :
ANNEXURE - I

(Proforma referred to in Column No.23 in the IL Form)

STATEMENT SHOWING THE RAIL TRANSPORT REQUIREMENTS OF M/S ___________________________ FOR THE MOVEMENT OF RAW MATERIALS AND FINISHED GOODS

FOR THE MANUFACTURE OF ___________________________

1. Exact location of the undertaking and railway station which will serve it:

2. Commodity required to be manufactured:

3. Quantities of finished products in tonnes required to be moved by rail year by year during the next few years:
   a) Annual movement (tonnes)
   b) Daily average (tonnes)

4. The direction-wise break-down of traffic as stated in Col.3 on a daily basis indicating important stations/areas to which the despatches are to take place:

5. Name of each raw material:

6. Source of supply of each raw-material indicating stations and areas etc.:

7. Quantity of each raw-material
   a) Annual movement (tonnes)
   b) Daily movement (tonnes)

8. Brief indications of special facilities if any required at the despatching & receiving stations including special type of wagons:

9. Any other information relevant to railway transport requirements:
ANNEXURE - II

(Proforma referred to in Column No. 24 in IL Form)

STATEMENT SHOWING THE REQUIREMENTS OF COAL/COKE OF M/S ____________________________

1. Exact location of the undertaking & the Railway Station which will serve it:

2. Grade, Class etc., of Coal/ Coke required:
   a) Coal
   b) Coke

3. Quantity of coal/coke required per month:
   a) Coal
   b) Coke

4. Source of supply indicating station and areas:

5. Date of commencing of the works:

6. Type of burning equipment used:
INSTRUCTIONS

The form may be filled in with care keeping in view the fact that it will be used as a source document for data entry into the computerised information system. Ambiguities or lack of clarity may lead to delays in processing the application. The following points may be kept in mind while filling in the form:

1. Application must be made in the prescribed form only. For the sake of simplicity, it is suggested that the applicant may first fill in one copy of the prescribed application form properly and legibly, and then get the required number of xerox copies made out. However, the applicant must ensure that all the relevant information, including that required to be furnished in separate annexures, is properly tagged along with each of the 9 copies of the application to be submitted. Each copy of the application should be submitted along with a copy of the forwarding letter. Please ensure clarity in all copies. The forwarding letter, besides highlighting all the salient features of the proposal, may also include information on any other important aspects of the proposal not specifically covered in the application form.

2. Wherever the information relating to quantity (as in the case of annual capacity of an item or its production), amount/value (as in the case of equity capital, value of production and investment) or numbers (as in the case of serial/identification numbers of items of manufacture, employment and number of years) is required to be filled in boxes, it may be ensured that information is entered one character (numeric) per box. The character(s) must be entered in such a way that the box on the extreme right is not left blank.

10 boxes have been provided for indicating the quantity/value/amount, wherever applicable. These boxes can accommodate a figure of upto 9999 million units of quantity/value/amount.

Examples:

Capacity of 2.5 million tonnes or an investment of Rs.2.5 million in fixed assets would be entered as follows: -

```
[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
```

Similarly, paid-up equity capital of Rs.1.45 lakh or an ex-factory value of annual production of the item at Rs.1.45 lakh will be indicated as follows: -

```
[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
```

3. There are a number of items/columns against which 'Yes' or 'No' answer is required to be given. Wherever this is the case, the box provided against 'Yes' or 'No' entry, as the case may be, has to be ticked.
Example: (ii)

If the applicant undertaking is not registered under the MRTP Act, the information against column 3(a) may be indicated as follows:

(1) Yes □ (2) No ✔

4. Against certain items/columns, the information is required to be given by ticking one or more of the boxes provided against the various alternative answers that are possible. The box(es) provided against the relevant answer(s) should be ticked.

Example:

If the proposal is from a private individual or a partnership firm for a licence/permission for the manufacture of items by setting up a new undertaking, the information in column 2(a), 2(b) and 7 will be supplied by ticking the relevant boxes as follows:

Column 2(a):-

(Please tick the appropriate box)

(1) Public Ltd. Company □
(2) Private Ltd. Company □
(3) Partnership Firm ✔
(4) Proprietory Firm □

Column 2(b):-

(1) Central Govt. undertaking □
(2) State Govt. undertaking □
(3) State Indl. Development/Investment Corpn. □
(4) Co-operative Sector Unit □
(5) Joint Sector Unit □
(6) Private Sector Unit/Undertaking ✔

Column 7:–

(1) Establishment of a New Undertaking ✔
(2) Effecting Substantial Expansion □
(3) Manufacture of New Articles □

5. Wherever information regarding percentages is required to be given, please indicate the main figure in the first three boxes on the left of the decimal point and the decimal figure in the two boxes provided for on the right after the decimal point.
6. Against certain items, the relevant information is required to be furnished in separate annexures. Wherever applicable, the information should be submitted in an annexure by identifying the annexure with the same number as indicated in the relevant column of the printed application form. The applicant must also indicate the relevant column number and the question on top of the annexure attached.

7. Before filling in col.no.9, please go through both col. nos. 9 and 10 very carefully. Following points need special attention while supplying relevant information against these items/columns:-

   a) If a single annual capacity is proposed for a group of items/products, the names of all such products, punctuated by semi colons, must be listed together under one serial number under the sub-column heading 'Sr.No. of item of manufacture' in column 9(A). If, however, each distinct product or item of manufacture involves separate capacity, separate serial number is required to be given for such item/product in col. no.9(A).

   b) The serial number of the item of manufacture as given in col.9(A) should be used as 'Identification No.' of that item(s) in the subsequent columns, wherever applicable.

   c) The space provided for in columns 9 and 10 of the application form can accommodate a maximum of 7 items of manufacture, each item(s) having distinct capacity. If, however, the number of items of manufacture for which separate capacities are proposed exceeds 7, the applicant should use extra sheets of page numbers 10 to 14 of the application form. The total number of items of manufacture (with each such item having distinct capacity) involved in the proposal should be indicated properly in the boxes provided for at the bottom of col.9(A). In case more than one sheets are used for columns 9 and 10, the total number of items involved in the proposal should be indicated on each sheet.

   d) The proposed capacity in respect of each item of manufacture must be entered in column 10, (i.e. (A), (B) or (C) as applicable), as per instruction no. 2. The capacity applied for in respect of different item(s) of manufacture should be expressed in standard units of measurement, not accompanied by arithmetical multipliers like thousands, lakhs, millions, etc. The name of the standard unit of measurement, in which the capacity is expressed, should be indicated clearly in the space provided for the same under sub-column 'Unit of Capacity (name)'.