

OIMS USER GUIDE

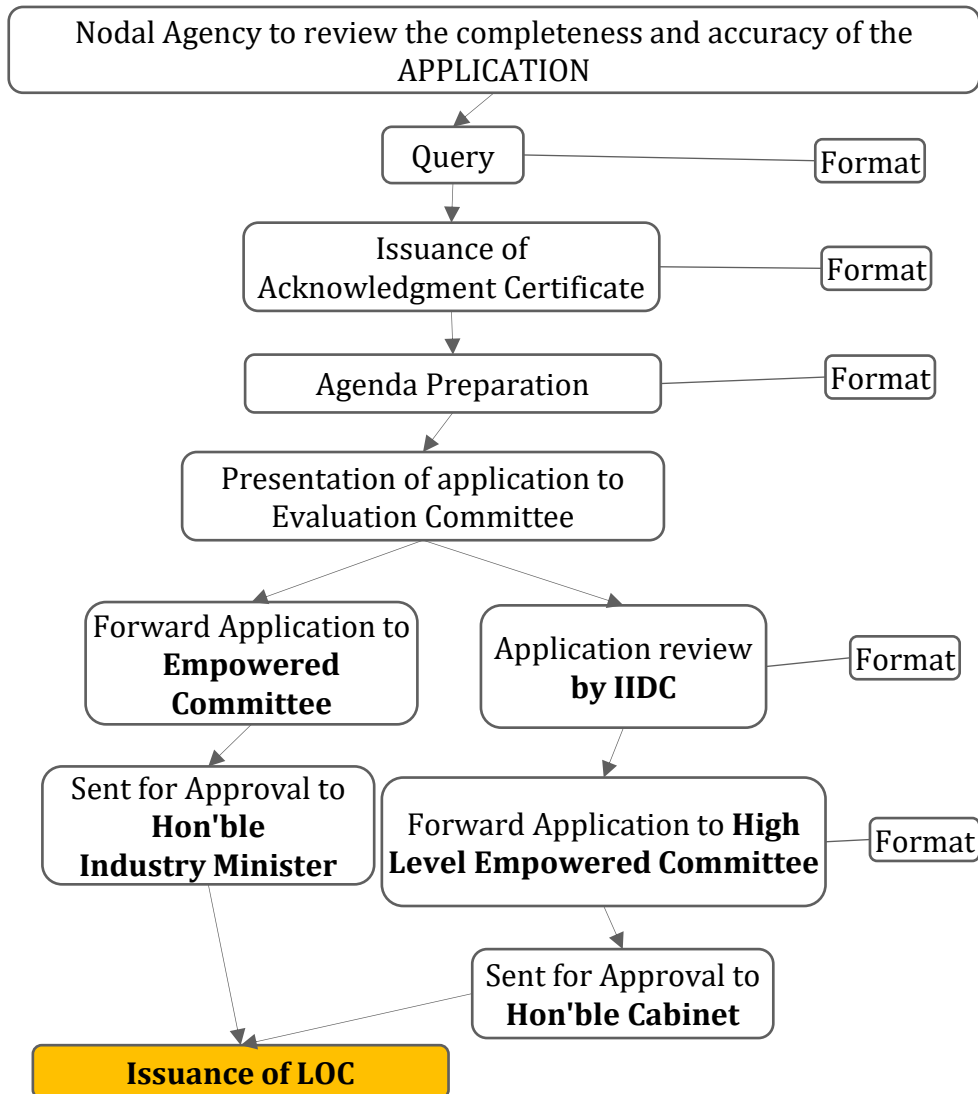
Application filing – LoC & disbursal

Incentive Schemes at Invest UP

Process Flow: Letter of Comfort (Pre-Commercial Operations)



Process Flow - For Grant of Letter of Comfort – (Pre-Commercial Operations)



Key check points for Nodal Agency

- Getting CA certified documents (UDIN updated)
- Getting updated DPRs, Investment breakup & KYC details
- Accurate information of Incentives availed or applied (Format4)
- Complete information of phased investment/capacity/completion
- ***Verifying actual details of land/ building / P&M already acquired***
- ***Verification of documents & incentives from Deptt (AIG, DIC & PICUP mainly)***
- Details of Existing gross block (in case expansion/ diversification)

Key check points – high level appraisal

- Clarity on policy / process (E.g. Case2Case, FDI)
- Follow up for dates for Empowered/ HLEC
- Coordinate for putting up Agenda for Cabinet/ IM post HLEC/ Empowered approval
- Getting other deptt & applicants to respond through OIMS to smoothly run application online

Online Incentive Management System – LoC Stage

One-stop Digital Incentive application platform

Documents Checklist

- ✓ Format1: CA certified Detailed Project Report (DPR)
- ✓ Format2: CA certified proposed Investment break-up
- ✓ Format3: CA certified proposed Means of Finance
- ✓ Format4A: Self Declaration on Stamp Paper of Rs 100/-
- ✓ Copy of Company documents viz. PAN, CIN, MoA/ AoA, etc.
- ✓ KYC of Directors & Authorised Signatory

In case of FDI/FCI applicant

- ✓ Audited Balance Sheet or equivalent document of last year of Foreign investor/ company and Indian promoter/ company
- ✓ In case of newly incorporated Foreign investor, net-worth certificates of its foreign promoters

Additional for FDI projects-

- ✓ Format4B: CA Declaration of proposed FDI investment
- ✓ Forward Inward Remittance Certificate (FIRC) from Category-1 Bank and Letters issued by RBI for FDI remittance

In case of Fortune 500 listed applicant

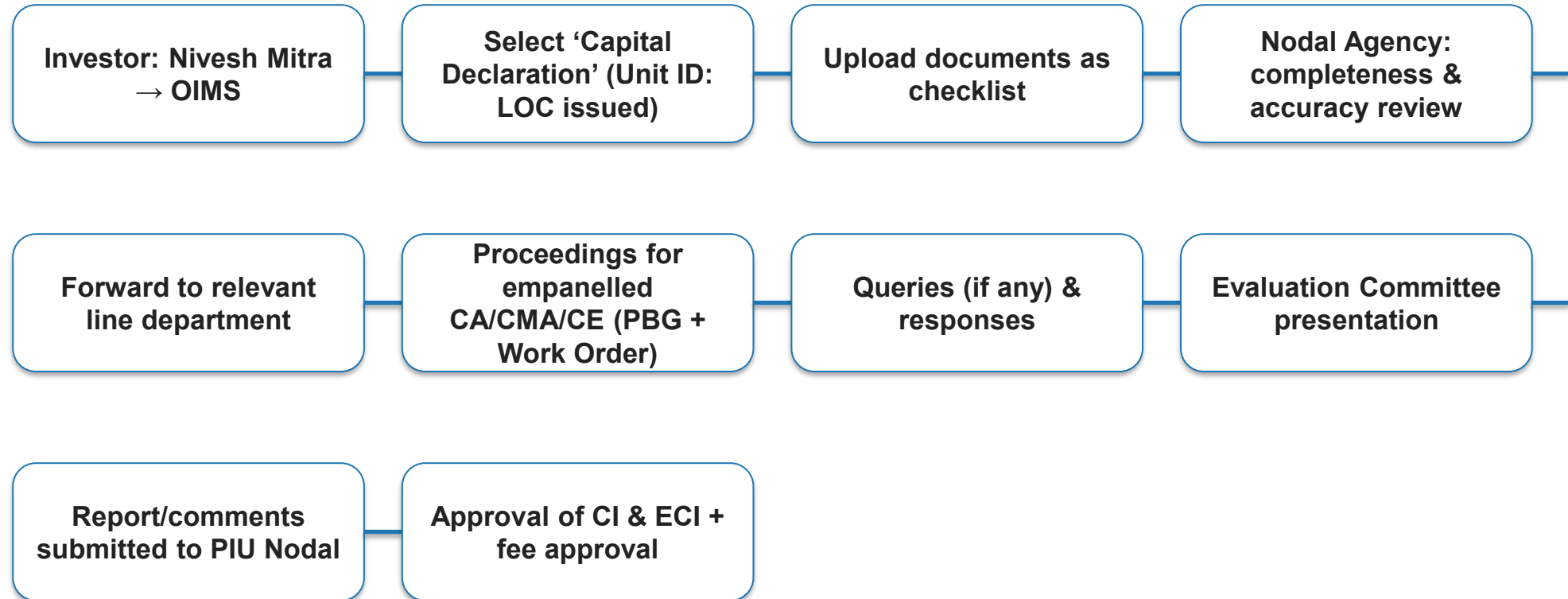
Ranking in the latest published Fortune 500 list

Appraisal process – LoC Stage

Review of documentation at PIU

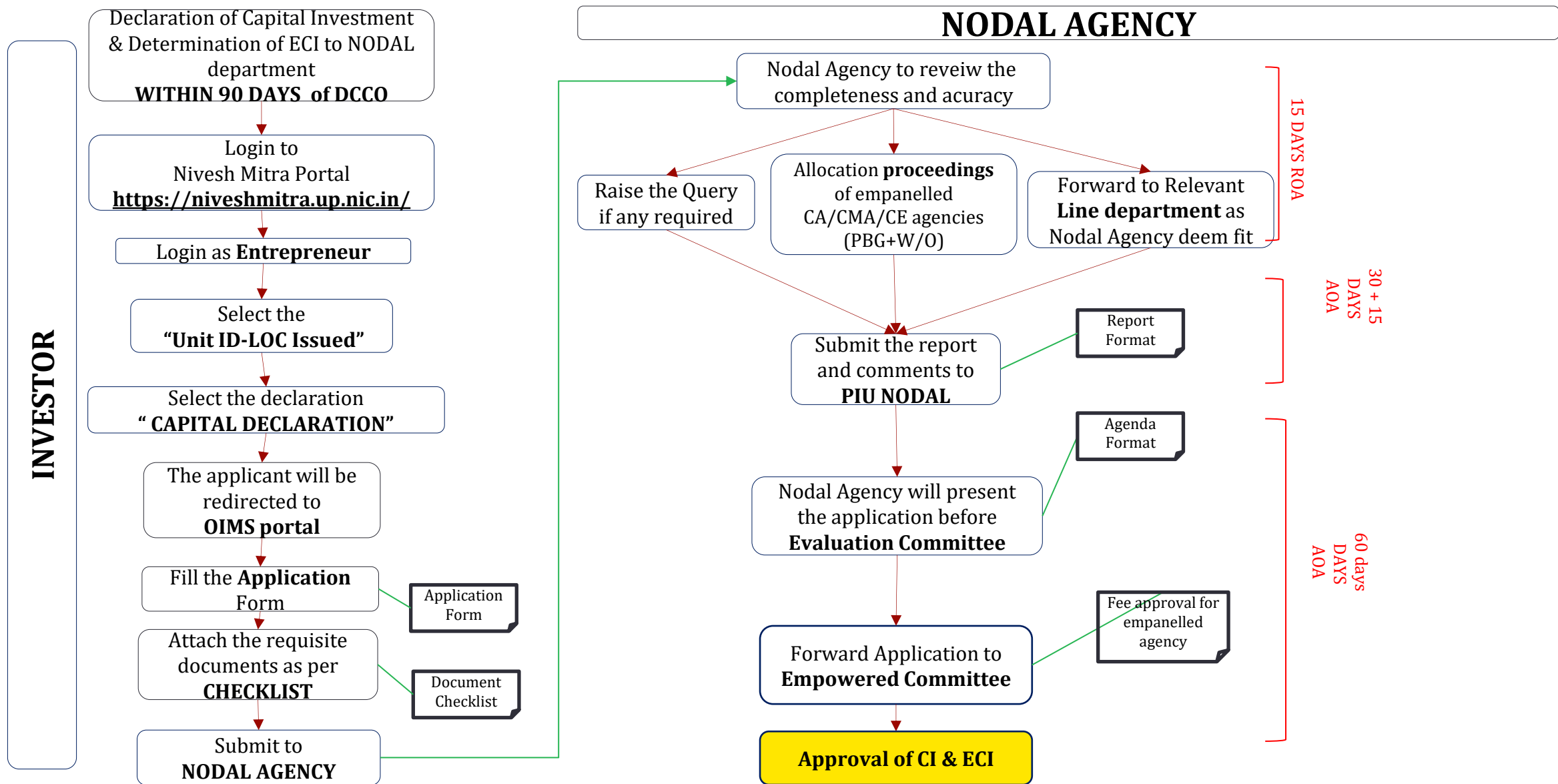
SI	Documentation <i>(as per Policy and portal)</i>
1	Estimated Investment Break-up–CA Certified (Format 2)
2	Means of Financing- CA Certified (Format 3)
3	Detailed Project Report (DPR) CA certified <i>(with details of all suggestive heads as per Format-1)</i>
4	Copy of Certificate of Incorporation
5	Copy of Memorandum of Understanding/ Article of Association
6	Directors-PAN or Aadhar details
7	Copy of Board Resolution
8	Self-Declaration Form (Format 4)
9	Copy of PAN of company
10	Copy of GSTIN of proposed unit
11	Copy of IEM Registration Certificate
12	Registration No under Companies Act (CIN)
13	Importer-Exporter Code (IEC)
14	Nature of Business (as per NIC Code)
15	Details of Promoter/ Director(s) <i>(Address, Mobile, Email, PAN, DIN)</i>
16	Details of Authorized Signatory <i>(Address, Mobile, Email, PAN)</i>
17	Basic Bank Details
18	Whether applied for incentives under IIEPP 2017?

Process Flow: Capital Declaration (Part-A) — within 90 days of DCCO

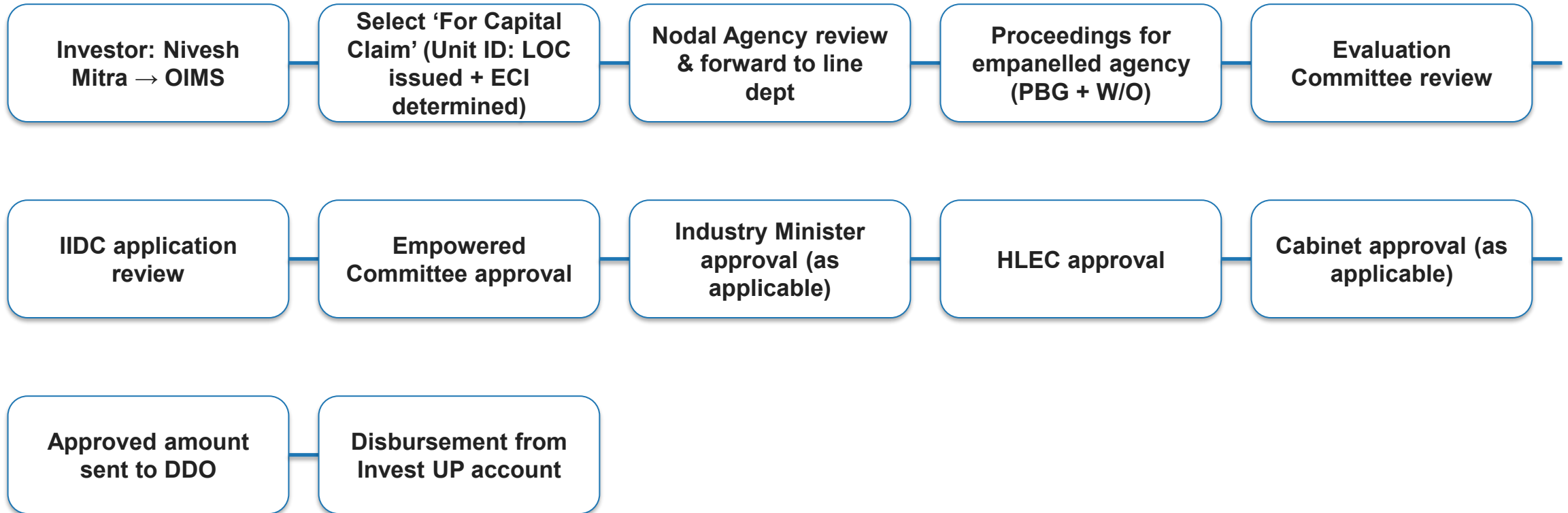


After Commercial Operations

PROCESS FLOW - FOR Disbursal – (CAPITAL DECLARATION-Part-A)

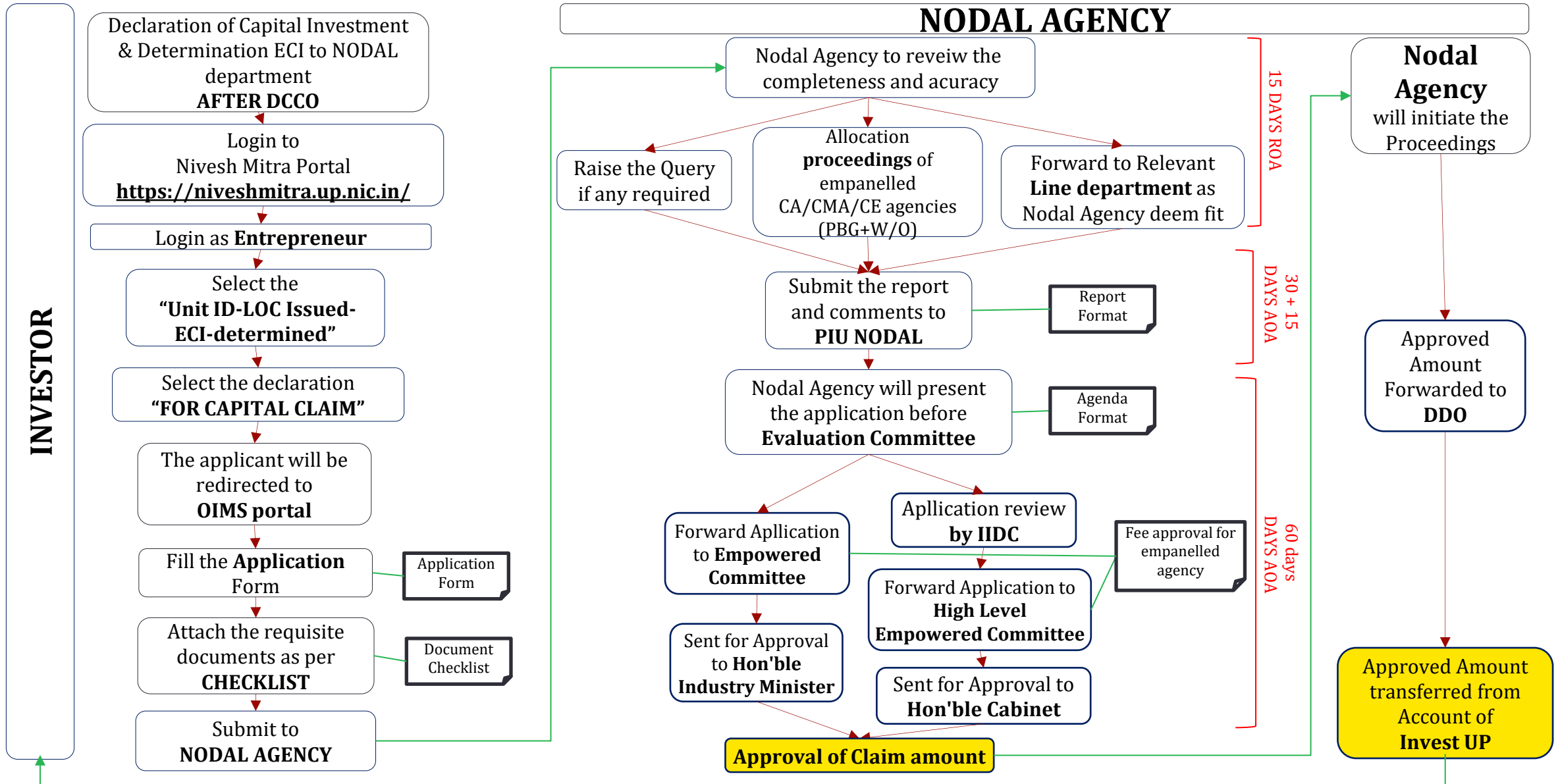


Process Flow: Capital/SGST Claim (Part-B) — after DCCO



PROCESS FLOW - FOR CLAIM – (CAPITAL/SGST CLAIM-Part-B)

After Commercial Operations



Disbursement Journey (High-level)

From portal login to funds release

Login on Nivesh Mitra

Apply for Disbursement

Select Unit/Enterprise

Complete online form

Upload documents

Submit & track

Approval/Order

DDO processing

Funds transfer

Control points: (1) Unit selection must match LOC/ECI status, (2) bank details validated, (3) document checklist complete, (4) portal acknowledgement saved for audit.

Step 1: Login to Nivesh Mitra

Screenshots from Disbursement User Manual

The screenshot shows the Nivesh Mitra Single Window System login page. The header includes the Nivesh Mitra logo and navigation links: About UP, Investor Assistance, Feedback, Media, Information, Contact Us, Dashboard, and Login. The main heading is "Entrepreneur/Admin Login". The login form includes fields for "Login ID OR Email-ID" and "Password", a "Forgot your Login ID/password?" link, and a "Register Here" button. A verification code "17dgC" is displayed. The footer contains contact information for Invest UP, a list of policies (Copyright, Hyperlinking, Cyber Security, Terms & Conditions, Site Map, Jansunwai-Samadhan, Privacy Policy, Disclaimer, NIC-UP), and social media links. The page is dated 2023 and powered by the National Informatics Centre Uttar Pradesh State Unit.

Nivesh Mitra
Single Window System, Government of Uttar Pradesh

Entrepreneur/Admin Login

Login

☒ Entrepreneur ☐ Admin

Login ID OR Email-ID

Password

Enter Verification Code 17dgC

Login Register Here

Forgot your Login ID/password?

Nivesh Mitra [V2.0]
Single Window System
Government of Uttar Pradesh

Invest UP
Picup Bhawan, Block A, 4th Floor, Lucknow, UP

Call
0522 6923000 (9.30 AM - 6 PM, Monday - Saturday, Only in Working days)

Email
info[at]investup[dot]org[dot]in

Copyright Policy
Terms & Conditions
Privacy Policy

Hyperlinking Policy
Site Map
Disclaimer

Cyber Security
Jansunwai-Samadhan
NIC-UP

Visitors

Last Updated on

Social Media Connect

© 2023 - IT Solution powered by National Informatics Centre Uttar Pradesh State Unit

The screenshot shows the Online Incentive Management System registration form. The header includes the system name and a welcome message. The form is divided into sections: Applicant Basic Details, Details of LOC, Promoter/Director Information, Details of authorised signatory, and Entity Bank Details. The form includes fields for Name of the Entity, Location of project (District/Region), Constitution of the Entity, PAN, Category of Investment, IEC CODE, IEM CERTIFICATE NO, Status of LOC, DATE OF ISSUANCE OF LOC, Upload Copy of LOC, Promoter/Director Information, Details of authorised signatory, and Entity Bank Details. The form is dated 2023 and powered by the National Informatics Centre Uttar Pradesh State Unit.

Online Incentive Management System
Uttar Pradesh Industrial Investment & Employment Promotion Policy 2022

Welcome (Registration: UPSWP22161173309)

Applicant Basic Details

Name of the Entity
BALAJI WAFERS PVT LTD

NAME OF THE UNIT (IF OTHER THAN SPECIFIED ABOVE)

Location of project (District) *
HARDOI

Location of project (Region) *
MADHYANCHAL

Constitution of the Entity *
Company

Registration No of the Industrial Undertaking *
U15400GJ1999PTC027555

PAN *
09AAAC8755A1ZT

Category of Investment *
Mega (₹200 Cr or above but below ₹500 Cr)

GSTIN OF THE UNIT *
09AAAC8755A1ZT

Actual Capital Investment *

IEC CODE (if any)

IEM CERTIFICATE NO *

IEM CERTIFICATE NO (Part B) *

Details of LOC *

Status of LOC *

DATE OF ISSUANCE OF LOC *

Upload Copy of LOC *

Choose file No file chosen

Promoter/ Director Information *

S.No.	Name	Address	Mobile No.	Email id	PAN No.	DIN No.	Upload Pan	Upload Aadhar	Submit
							Choose file No. sen	Choose file No. sen	Upload

Details of authorised signatory

Name *
Shyam Karjibhai Virani

Designation *
Whole Time Director

Email id *
shyamvirani@balajiwafers.com

Phone no *
8141100002

PAN *
ACEPV6309H

Copy of Board Resolution/ Authorization Letter *

Address *
"Shri Ram", Plot No 13, Opp. Bharat Van Society, Arjun Park, Amin Marg, Rajkot - 360 001, Gujarat

Entity Bank Details

Beneficiary Name *

Account No. *

Name of Bank *

IFSC Code *

Save As Draft & Next

Step 2: Select Enterprise/Unit

Screenshots from Disbursement User Manual

Choose the Enterprise/Unit name for which claim is to be filed.

Confirm details and proceed to application form.

The screenshot displays the Nivesh Mitra portal interface. The top header bar is orange and pink, showing the user's name 'Nivesh Mitra' and a menu icon. The right side of the header shows a notification bell, a profile icon, and the user ID 'UPSWP222146746'. The left sidebar is white and contains a list of navigation options: Dashboard, Fill Common Application Form, Apply For Permissions/NOC's/License, Apply for LoC/Sanction Letter, Apply for Disbursement, Pay Consolidated Fee, Payment Reconciliation (Verification), Raise Your Grievance, Check Grievance Status, Change Password, and My Profile. The main content area is light blue and titled 'Apply for Disbursement'. It features a dropdown menu labeled 'Select Enterprise/Unit Name' with a red asterisk and the text 'Please Select'. Below the dropdown are two green buttons: 'View Applied Application' and 'Apply for Disbursement Letter'. The breadcrumb navigation at the top right shows 'Home > Apply for Disbursement'.

Step 3: Start Disbursement Application



Online Incentive Management System

Uttar Pradesh Industrial Investment & Employment Promotion Policy 2022



Welcome (Registration: UPSWP22161173309)

Applicant Basic Details

Actual Capital Investment Details

Production Details

Incentives Requested

Capital Subsidy

Net SGST Reimbursement

Upload Enclosures

Final Submit

Applicant Basic Details

Name of the Entity

BALAJI WAFERS PVT LTD

NAME OF THE UNIT (IF OTHER THAN SPECIFIED ABOVE)

Location of project (District) *

HARDOI

Location of project (Region) *

MADHYANCHAL

Constitution of the Entity *

Company

Registration No of the Industrial Undertaking*

U15400GJ1996PTC027555

PAN*

GSTIN OF THE UNIT*

09AAACB8755A1ZT

Category of Investment *

Mega (₹200 Cr or above but below ₹500 Cr)

Actual Capital Investment *

IEC CODE (if any)

ITEM CERTIFICATE NO*

ITEM CERTIFICATE NO (Part B)*

Details of LOC *

Status of LOC *

DATE OF ISSUANCE OF LOC *

Upload Copy of LOC *

Choose file | No file chosen

Promoter/ Director information *

S.No.

Name

Address

Mobile No.

Email id

PAN No.

DIN No.

Upload Pan

Upload Aadhar

Submit

Choose file

No ... sen

Choose file

No ... sen

Upload

Details of authorised signatory

Name *

Shyam Kanjibhai Virani

Designation *

Whole Time Director

Email id *

shyamvirani@balajiwafers.com

Phone no *

8141100002

PAN *

ACEFV6309H

Copy of Board Resolution/ Authorization Letter *



Address *

"Shri Ram", Plot No 13, Opp. Bharat Van Society, Ajun Park, Amin Marg, Rajkot - 360 001, Gujarat

Entity Bank Details

Beneficiary Name *

Account No. *

Name of Bank *

IFSC Code *

Save As Draft & Next

Applicant Basic Details

Actual Capital Investment Details

Production Details

Incentives Requested

Capital Subsidy

Net SGST Reimbursement

Upload Enclosures

Final Submit

Capital Subsidy

PART A - BASE CAPITAL SUBSIDY*

Installment Number*

Incentive Amount Claimed*

Maximum Eligible Incentive *

Production Capacity *

Download Excel Template

Choose file | No file chosen

Upload Excel

S.No.

PRODUCT NAME

HSN CODE

UNIT

INSTALLED PRODUCTION CAPACITY

CAPACITY UTILISATION

% UTILISATION

Details of Raw Material Procured*

Download Excel Template

Choose file | No file chosen

Upload Excel

S.NO.

PRODUCT NAME

HSN CODE

UNIT

RATE/ UNIT

QTY

INVOICE NO

GSTIN OF VENDOR

DATE OF INVOICE

DATE OF PAYMENT

Details of Machinery*

Download Excel Template

Choose file | No file chosen

Upload Excel

S.No.

NAME OF THE MACHINERY

HSN CODE

UNIT

INSTALLED PRODUCTION CAPACITY (In units)

UTILISED PRODUCTION CAPACITY (In units)

Input Output Ratio*

Sl.No

Year

Input(Specify Unit)

-- Select --

Output(Specify Unit)

Action

Add

Sl.No

Year

Insurance Cover

-- Select --

Plant & Machinery:

Building:

Stock :

Other:

Attach Bills of Electricity/Fuel/Power

Choose file | No fil...hosen

Choose file in .pdf format and less than or equal to 1 MB.

Choose file | No fil...hosen

Choose file in .pdf format and less than or equal to 1 MB.

Choose file | No fil...hosen

Choose file in .pdf format and less than or equal to 1 MB.

Choose file | No fil...hosen

Choose file in .pdf format and less than or equal to 1 MB.

PART B - BOOSTERS*

1.EMPLOYMENT - Booster*

1a.Number of Employment (Year wise)*

Download Excel Template

Choose file | No file chosen

Upload Excel

S.No.

Year

Male

Female

Total

1b.Labour Payment & PF Challan(Payment of Compensation made details)*

Payment of Compensation made details*

Download Excel Template

Choose file | No file chosen

Upload Excel

S.No.

Period

Amount

Date of Payment

Payment Reference

Challan Details *

Download Excel Template

Choose file | No file chosen

Upload Excel

Checkpoint Matrix (What to verify & evidence required)

Investor-side Checkpoints

Data readiness: Format-2 totals reconcile with ledger;
Evidence: Invoice→payment→capitalization trail available

Document validity: CA certifications with UDIN;
Evidence: KYC & statutory IDs up to date

Asset evidence: Site photos; machine tags/serials;
Evidence: Installed capacity and commissioning proof

Consistency: Head-wise totals match CE/CA verified totals;
Evidence: Rejected items separated with remarks

Verifier/Committee Checkpoints

Eligibility: Ineligible items removed (policy clauses);
Evidence: Building items restricted to eligible heads

Capping: Land+Building within 30% cap;
Evidence: Post-DCCO investments within permitted limit

Periodization: Split by periods: pre-policy / post-policy to
DCCO / post-DCCO;
Evidence: EIP compliance

Outputs: ECI computation sheet (A–J);
Evidence: Independent Technical Report (ITR) annexures

Investor

- Prepare formats & evidence
- Reconcile totals
- Respond to queries

CA / Verifier

- Verify investments
- Identify ineligible items
- Prepare ITR & ECI

Nodal/PIU

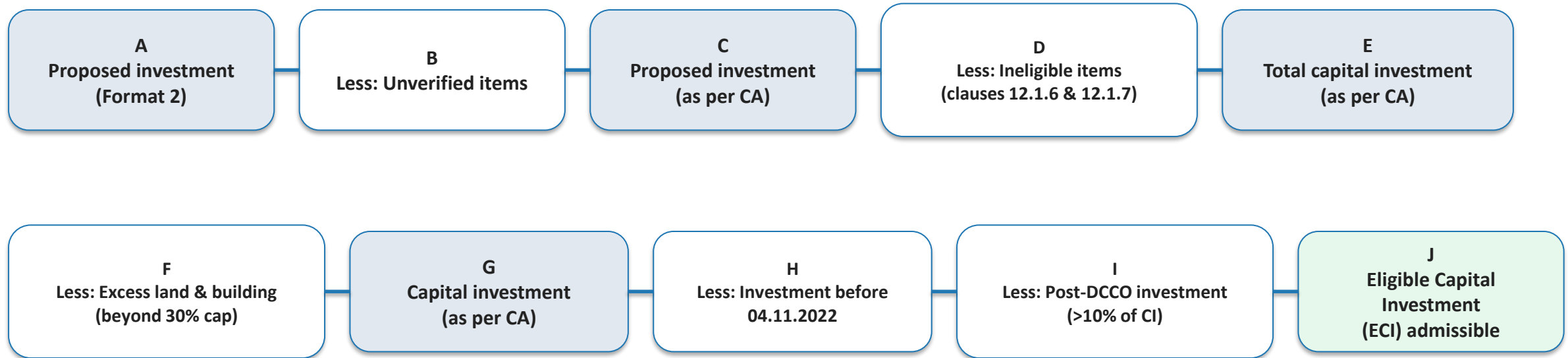
- Scrutiny & routing
- Query management
- Committee pack readiness

Committee

- Appraise ECI
- Approve/recommend
- Ensure compliance

ECI Verification Logic (A → J)

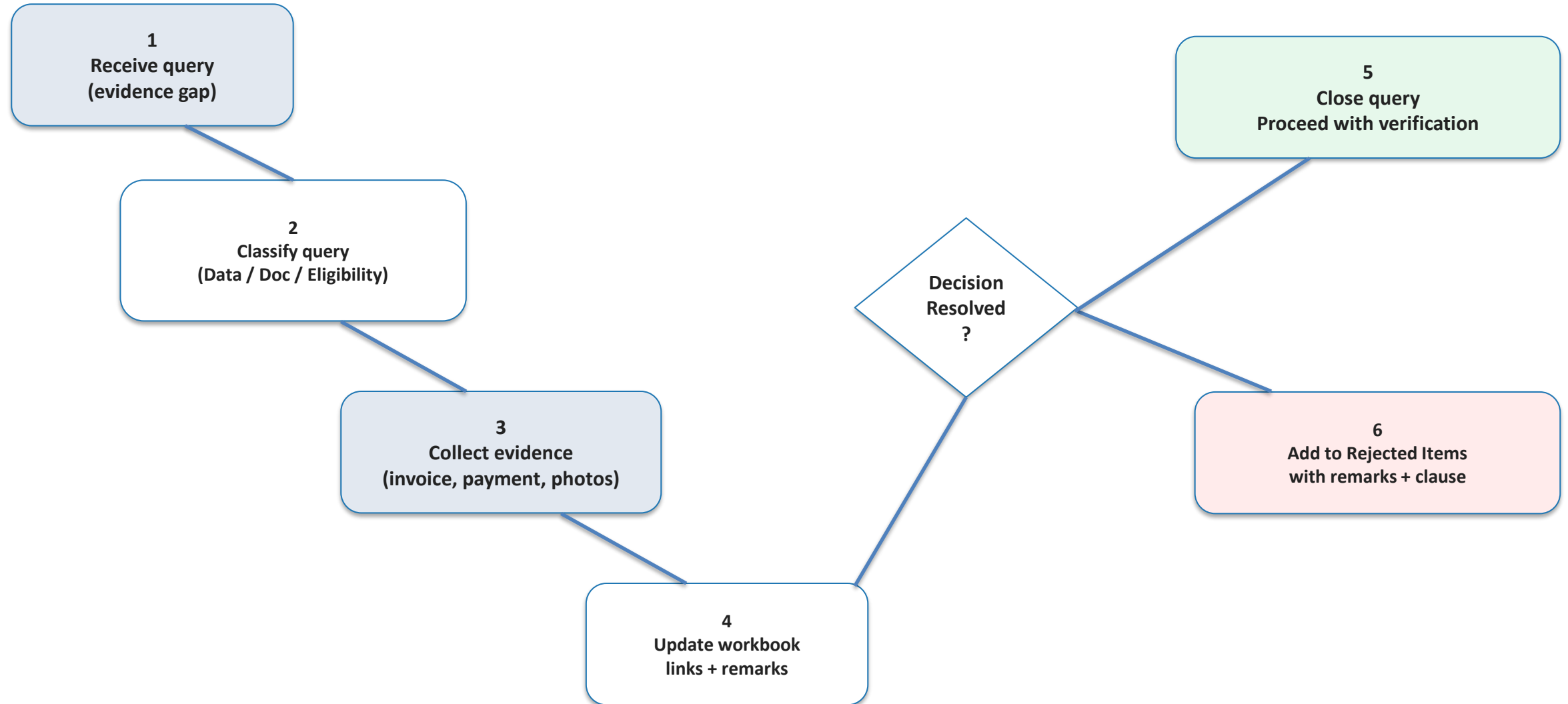
Step-by-step computation with mandatory rejected-items register



Mandatory: Maintain a separate 'Rejected Items' sheet/register for every disallowed line-item with clear remarks (why rejected, clause reference, evidence gap, and corrective action).

Verification Query Loop (How to handle gaps)

A structured approach for faster closure



Investment Break-up Workbook Structure

Structure Checkpoints

Create a MASTER SUMMARY tab with head-wise totals.

- Each head must be a separate tab, linked to the summary (no hard-typing).
- Common heads: Land, Stamp Duty, Registration Charges, Building, Other Construction, Plant & Machinery, Infrastructure Facilities, Any Other Costs (incl. in-house R&D).

Periodization & Eligibility

For each head, split investments by period:

A) Before 04.11.2022

B) 04.11.2022 to DCCO/EIP limit

C) After DCCO within EIP

D) After EIP

Include only eligible items (u/s 12.1.6 & 12.1.7 of IIEPP-22); exclude other construction-related expenses, opex and other expenses (u/s 12.1.7)

Do this to avoid delays

- Maintain invoice → payment → capitalization trail (bill no., invoice date, entry/posting date, capitalization date, payment reference)
- Tag each cost line as hard/soft cost; clearly mark related party transactions and sick-unit acquisitions.
- Provide site photographs and machine tags/serial numbers for Plant & Machinery; include installed capacity details.
- Respond quickly to portal queries; delays usually come from missing KYC, mismatched totals, or unclear remarks.
- Ensure investor head-wise totals match CA/CE verified totals; otherwise add substantiated remarks.

Common Pitfalls (and how to avoid)

Top issues observed

Certification issues

Missing UDIN / expired CA certificates

Reconciliation

Mismatch between summary and component tabs (broken links)

Totals not matching CE/CA outputs

Eligibility errors

Ineligible building/other construction included

Rejected items not separated with remarks

Policy limits

Post-DCCO investments exceeding allowed limits without justification

Land documentation

No proof of possession/registration; missing coordinates/site plan

Checklist to closure

- 1) Decide the incentive option (Capital subsidy vs SGST reimbursement vs PLI top-up).
- 2) Prepare CA-certified formats and all supporting company/KYC documents.
- 3) Submit application and track status/queries regularly on the system.
- 4) File Capital Declaration (Part-A) within 90 days of DCCO (where applicable).
- 5) Submit claim (Part-B) after ECI determination and complete verification promptly.

Disbursement Pre-Submission Checkpoints

Recommended controls for smoother approval

Portal readiness

- Correct Unit/Enterprise selected
- Scheme/claim type matches eligibility status

Financial readiness

- Bank account details and IFSC correct
- Cancelled cheque / bank proof attached (if required by portal)

Documentation

- All required PDFs legible and signed
- CA/CE certifications include UDIN (where applicable)
- Any deviations captured in remarks/rejected items

Audit trail

- Save acknowledgement/receipt number
- Maintain query-response log and evidence folder

Must-have artefacts

- Portal acknowledgement/receipt
- Sanction/approval order
- DDO processing note
- UTR / bank transfer confirmation

Supporting records

- Final ECI computation sheet
- ITR annexures (photos, land/building/P&M tables)
- Query log (dates, responses)

LOC stage

- CA-certified Formats 1–4 uploaded
- KYC + company statutory IDs complete
- Nodal agency completeness check (UDIN, DPR, investment breakup)
- Evaluation Committee agenda prepared

Part-A (Capital Declaration)

- Filed within 90 days of DCCO
- Proceedings for empanelled CA/CMA/CE (PBG+W/O)
- ECI determination sheet + rejected items register

Part-B (Claim)

- Unit ID: LOC issued + ECI determined
- Verification report uploaded
- Approvals: EC → IIDC → Empowered → HLEC/Cabinet (as applicable)

Disbursement

- DDO receives approved amount
- Fund release recorded and shared with applicant
- Maintain sanction order + UTR proof

Submit

Acknowledge

Approve

Sanction

Transfer

Archive

Indicative Timelines

Stage	Indicative SLA
Nodal Agency review	15 days (ROA)
Allocation/Proceedings + queries loop	30 + 15 days (AOA)
End-to-end appraisal to committee submission	Up to 60 days (AOA)
Part-A trigger	Within 90 days of DCCO
Part-B trigger	After DCCO (once ECI determined)

Note: Actual time depends on completeness of documents and response time to queries on OIMS.

End-to-End Swimlane (Simplified)

Investor	Submit on OIMS	Upload docs	Respond to queries	Submit claim
Nodal Agency	Check completeness	Route/allocate	Present to EC	Forward approvals
Line Dept / Empanelled Agency	Verification	Site visit	ECI report	Recommendations
Committees/Approvals	Evaluation Committee	Empowered Committee	HLEC / IM	Cabinet (if needed)
Finance (DDO)	Sanction processing	Fund release		