

Annexure-I

LoP assessment form

Ref.: No. STPIG/EXIM/S-

Date: -

Name of the unit :

Registered office address :

Unit's location address :

Letter of Permission & Date :

Legal Undertaking Date :

Date of Commencement of Production
Under STP Scheme :

Change of name, if any:

S. No.	First Name	Changed to	Reference No.	Date

Change of Registered Office address:

S. No.	First Name	Changed to	Reference No.	Date

Change of location, if any

S. No.	First Name	Changed to	Reference No.	Date

Limit granted for of import approval : Rs.

Limit granted for indigenous approval : Rs.

Import-Export Code No. & Date :

Green Card No. & Date :

Customs Warehouse License details:

PBW License No.	Date	Valid from	to	Remarks

C.G. Import Details till date:

S.No.	Year	CIF Value in FE	CIF Value in Rs.
1			
2			
3			
4			
5			
	Total:		

(Details are as per Annexure-A)

Indigenous Approvals granted till date:

S.No.	Year	Amount in Rs.
1		
2		
3		
4		
5		
Total:		

(Details are as per Annexure-B)

DTA Approval granted till date:

S.No.	Year	Amount in Rs.	Valid upto	Amount utilised
1				
2				
3				
4				
5				
Total:-				

(Details are as per Annexure-C)

Export made till date:

Year	Amount in FE	Amount in Rs.
Total		

(Details are as per Annexure-D)

Export Obligation/Export performance/NFE:

	I Year	II Year	III Year	IV Year	V Year	Total
Minimum Export Oblig'n. to be achieved						
Exp. Oblig'n. Achieved						
Shortfall						

(As per Annexure E/F/G/H)

NFEP Achieved:

	I Year	II Year	III Year	IV Year	V Year	Total
Net Foreign Exchange Earning as % of Export (NFEP)						

(As per Annexure F/G/H)

C.S.T. Reimbursement, if any:

	I Year	II Year	III Year	IV Year	V Year	Total
C.S.T. Reimbursement amount claimed (Rs.)						
C.S.T. Reimbursed (Rs)						

With reference to the above, the followings are noted:

1. Unit has/*has not done export* since the commencement of operation.
2. Unit has /has not *exported the software* during the operation.
3. The unit has/*has not met* the export obligation on *annual basis*.
4. The unit has/*has not met the export obligation on cumulative basis*.
5. The unit have shortfall/excess in Export Obligation of Rs. (%)

Annexure-B

Enclosure to Indigenous approval

Year-wise	Sl. No.	Indigenous C.G. Approval			Invoice Details			CT-3 form details		
		No.	Date	Amount Rs.	No.	Date	Amount Rs.	No.	Date	Amount Rs.
I Yr. ()										
Sub total										
II Yr. ()										
Sub total										
III Yr. ()										
Sub total										
IV Yr. ()										
Sub total										
V Yr. ()										
Sub total										

Authorized Signatory's Signature:.....

Authorized Signatory's Name:.....

Authorized Signatory's Designation:.....

Company Seal

Chartered Accountant Signature:.....

Chartered Accountant Name :.....

Chartered Accountant's Seal

Annexure-C

Enclosure to DTA Sale Permission & DTA sales done

Year-wise	Sl. No.	DTA sales permission granted			DTA Sales done at actual against permission granted			
		Re. No.	Date	Amount Rs.	Invoice No.	Invoice Date	Amount Rs.	Balance
I Yr. ()								
Sub-total								
II Yr. ()								
Sub-total								
III Yr. ()								
Sub-total								
IV Yr. ()								
Sub-total								
V Yr. ()								
Sub-total								

Authorized Signatory's Signature:.....
 Authorized Signatory's Name:.....
 Authorized Signatory's Designation:.....

Company
Seal

Chartered Accountant Signature:.....
 Chartered Accountant Name :.....

Chartered
Accountant's
Seal

Export Obligation Calculation statement

Applicable for STP Units whose LoP is issued before 31.3.99 and no capacity enhancement done after 31.3.99

(Amt. In Rs. Lacs)

Sl. No.	Particulars	I Year	II Year	III Yr	IV Year	V Year	Total
1	Export Earning (a)	:					
2	Capital Goods Imported (b)	:					
3	Minimum Export Obligation on Imported Capital Goods 1/4 of (b) spread over for 5 years	:					
		:					
		:					
		:					
4	Total Export Obligation on Imported CG ©	:					
5	Wage Bill (d)	:					
6	Export Obligation on W.B (1.5* (d))	:					
7	Total Export Obligation (Export Obligation on Imported Capital Goods + Export Obligation on Wage Bill)	:					
8	FE outflow other than Imported Capital Goods	:					
9	Net F.E Earning = Export Earning - FE Outflow other than Imported Capital Goods	:					

I Minimum Net Foreign Exchange Earning as a Percentage of Export and Export Performance of STP Unit

(Applicable for STP Units whose LOP is issued after 31.3.99 or whose capacity in LOP is increased after 31.3.99.)

(Amount in Rs. Lacs)

Sl. No.	Particulars	I Year ()	II Year ()	III Yr ()	IV Year ()	V Year ()	Total
1	Export Earnings (A)	:					
2	Imported Capital Goods	:					
3	5 times of import of C.G spread over for 5 years	:					
	Total minimum export performance **	:					
4	1/5 th of 5 times of C.G. Spread over for 5 years	:					
5	CIF value of Inputs imported	:					
6	Foreign Exchange outflow other than Imported Inputs and Imported C. Goods	:					
7	Total of Sl.No. 4,5 & 6 - (B)	:					
8	A - B	:					
9	<u>A - B</u> A	:					
10	Net Foreign Exchange Earning as a Percentage of Export (NFEP) = $\frac{A - B}{A} \times 100$:					
11	Minimum Export Performance as per EXIM Policy in case import is 'Nil' or import is less than Rs. 35Lacs (i.e. 3times CG import /5 is less than 22Lacs, min. EP)	:	22	22	22	22	110

** In case import done by the unit is 'nil' Export Performance of the unit is 0.25 million US\$ for 5 years which was envisaged by EXIM Policy which is annually 0.05 million US\$

Note:

I Minimum Net Foreign Exchange Earning as a Percentage of Export and Export Performance of STP Unit

(Applicable for STP Units whose LOP is issued after 31.3.2001 or whose capacity in LOP is increased after 31.3.2001)

(Amount in Rs. Lacs)

Sl. No.	Particulars	I Year ()	II Year ()	III Yr ()	IV Year ()	V Year ()	Total
1	Export Earnings (A)	:					
2	Imported Capital Goods	:					
3	3 times of import of C.G spread over for 5 years	:					
		:					
		:					
		:					
	Total minimum export performance **	:					
4	1/5 th of 3 times of C.G. Spread over for 5 years	:					
5	CIF value of Inputs imported	:					
6	Foreign Exchange outflow other than Imported Inputs and Imported C. Goods	:					
7	Total of Sl.No. 4,5 & 6 - (B)	:					
8	A - B	:					
9	<u>A - B</u> A	:					
10	Net Foreign Exchange Earning as a Percentage of Export (NFEP) = $\frac{A - B}{A} \times 100$:					
11	Minimum Export Performance as per EXIM Policy in case import is 'Nil' or import is less than Rs. 35Lacs (i.e. 3times CG import /5 is less than 22Lacs, min. EP)	:	22	22	22	22	110

** In case import done by the unit is 'nil' Export Performance of the unit is 0.25 million US\$ for 5 years which was envisaged by EXIM Policy which is annually 0.05 million US\$

Note:

Minimum Net Foreign Exchange Earning of STP Units

Annexure-H

Applicable for STP Units whose LOP issued and STP agreement signed from 01.04.2003 or whose capacity in LOP is increased from 01.04.2003

(Amount in Rs. Lacs)

S.No.	Particulars	I Year ()	II Year ()	III Yr ()	IV Yr ()	V Year ()	Total
1	Export Earnings (A) *						
2	Import of hardware & software I.e. C.G.- (X)						
3	Lumpsum Payment of Foreign Technical Know-how fee (M)						
4	Spreading of imported CG and Lumpsum payment of Foreign Technical Know-how fee for Annual NFE Calculation:- (a) 10% of (X+M) in 1st - 10th year						
	Sub-total (Z)						
5	CIF value of Inputs imported						
6	Foreign Exchange outflow other than Imported Inputs, imported Capital goods & Lumpsum payment of Foreign Technical know-how fee						
7	Total of Sl.No. Z & Sl.No. 5 & 6 - (B)						
8	Net Foreign Exchange Earning (NFE) = A-B > 0						

Note: * Value for Export Earning (A) should match with details of certified softex forms, Customs certified SDF/GR forms, on-site and its realization etc. in Bank Certificate to be attached with annual report.

** CIF Value of Imported Capital Goods should match with CIF value in Bill of Entry and Import statement.

Authorized Signatory's Signature :

Chartered Accountant Signature :

Authorized Signatory's Name :

Company Seal

Chartered Accountant Name :

Chartered Accountant's
Seal

Authorized Signatory's Designation :

Foreign Exchange outflow statement

Amt. In Rs. Lacs

	Foreign Exchange gone on account of	Yr-1()	Yr-2()	Yr-3()	Yr-4()	Yr-5()	Total ()
(I)	Import of Raw Materials and components						
(ii)	Import of spares and consumables						
(iii)	Repatriation of dividends and profits to foreign collaborators						
(iv)	Royalty						
(v)	Lumpsum know-how fee						
(vi)	Design and drawing fee						
(vii)	Payment on training of indian technicians aborad						
(viii)	Payment to foreign technicians						
(ix)	commission on exports						
(x)	Foreign travel						
(xi)	Amount of interest to be paid on External commercial Borrowing / deferred payment credit						
(xii)	Any other payments						
	Total						

APPENDIX -23

**FORMAT OF CERTIFICATE OF CHARTERED ACCOUNTANT/
COST AND WORKS ACCOUNTANT**

I/We hereby confirm that I/We have examined the prescribed registers and also the relevant records of M/S _____ for the period _____ towards the cancellation of LoP issued under STP Scheme and hereby certify that:

- (i) M/S. _____ (full name and address of the applicant) have done the financial transactions as per the Annexure - , Annexure - , Annexure - , Annexure - , Annexure - , Annexure - , Annexure - , Annexure - duly attested and enclosed herewith in the preceding licensing years (From date of LoP issuance).
- (ii) The following documents/ records have been furnished by the applicant and have been examined and verified by me/us namely :-
- Export order/ Contract, shipping bills, Bill of Lading (and/ or Airways Bills/ Receipts). Customs/ Bank attested Invoices, Bank Certificates of exports showing exports made and export proceeds realised in freely convertible currency in their own name and connected books of accounts.
- (iii) The relevant registers have been authenticated under my/ our seal/signature.
- (iv) The financial information given in the above statement is in agreement with the relevant register and records; the same has been incorporated in the books of accounts maintained by the exporter; and is also true and correct.
- (v) It has been ensured that the information furnished is true and correct in all respect; no part of it is false or misleading and no relevant information has been concealed or withheld;
- (vi) Neither I, nor any of my partners/director is a partner, director, or an employee of the above-named entity or its associated concerns;
- (vii) I/We fully understand that any statement made in this certificate, if proved incorrect or false, will render me/us liable for any penal or other consequences as may be prescribed in law or otherwise warranted.

(Signature and Stamp/Seal of the Signatory)

(Chartered Accountant/Cost & Works Accountant)

Place:
Date:

Name of the Signatory :
Full Address :
Membership No. :

If any of the documents or record mentioned in item (ii) of the certificate have not been maintained/ furnished, examined or verified, they may please be specified below:-

- 1.
- 2.
- 3.

Note: Wherever CA certificate has been specified in any paragraph of the Policy/Handbook (Vol.1), CA/Cost and Work Accountant Certificate may be furnished by the applicant as per the Performa given above.

BANK CERTIFICATE OF EXPORT AND REALISATION (UNDER STP SCHEME)

(Note: Please see Chapter 4 and 5 of the Policy and Chapter 4 and 5 of the Handbook of Procedure)

FORM NO. 1

To _____ (Name and address of Licensing Authority) We _____ (Name & Address of the Exporters) hereby declare that we have forwarded documentary export Bill /Invoices for Fin. Year _____ to _____ (Name and address of the bank i.e., Branch and City) for collection /negotiation /purchase /remittance as per particulars given hereunder.

Invoice		Mode of Export *	Description of goods	Destination of goods Country Name	Invoice Amt. CIF /C&F/FOB (In foreign exchange)	Freight Amt as per Bill of lading	Insurance Amt. as per insurance Company's bill/Receipt	Commission/Discount paid/payable
No	Date							
[1]	[2]	[3]	[4]	[5]	[6]	[7]	[8]	[9]
Sub-Total					_____			

*A – Through Datacom Link, B – Physical Export Through Air or Sea, C – Through Onsite Consultancy Abroad

Whether export is in freely convertible currency	FOB value actually realized		Date of realization of export proceeds	Export Declaration Form viz. Softex/GR/PP/SDF, etc.			No., Date & category of applicable license	Remarks viz. action taken in case of non-realisation, etc.
	Foreign Exchange	In Indian Rupee		Number	Amount	Date of Certification		
[10]	[11]	[12]	[13]	[14]	[15]	[16]	[17]	[18]
Sub-Total	_____	_____			_____			

We further declare that the aforesaid particulars are correct. (Copies of invoices relevant to these exports & Customs attested EP. Copy of relevant Shipping Bill is attached for verification by the bank).

Signature of the Exporter: -----

Name in Block Letters: -----

Place :

Designation :-----

Full official address :-----

Official Seal/
Stamp

Full Residential :-----

Address :-----

BANK'S CERTIFICATE

Authorized Foreign Exchange Dealer
Code No. allotted to the Bank by

RBI _____
Ref. No. _____
Date _____
Place _____

1. This is to certify that we have verified the relevant Export Invoices, Customs attested E.P. Copy of the Shipping Bill and other relevant documents of M/s. _____ . We further certify that the particulars given in Co.1 to 17 have been verified and found to be correct. We have also verified the F.O.B. value mentioned in Col. 14 above with reference to following documents: -
 - (i) Bill of Lading/PP receipt/ Airways Bill
 - (ii) Insurance policy/Cover/Insurance Receipt.
2. We have also verified that the date of the connected mate receipt as indicated in the relevant Shipping Bill is _____ (date to be given).
3. We have also verified that the date of Export is _____.
(Applicable only in respect of Exports by air.)
4. This is to certify that we have certified the amount of the commission paid/ payable, as declared above, by the exporter i.e. _____
(in figures and words) with G.R./Softex/PP, etc. Forms & found to be correct).

(Signature of the Bankers)

Full address of the Bankers

Branch and City _____

Official Stamp.

- Note :
1. Bank can issue a consolidated certificate (consignment wise) for more than one consignment.
 2. FOB actually realized and date of realization of export proceeds are to be given in all cases except where consignment has been sent against conformed irrevocable letter of credit.
 3. This shall be required wherever specifically prescribed in the Policy / Procedure.