

**(TO BE PUBLISHED IN THE GAZETTE OF INDIA EXTRAORDINARY PART-I  
SECTION-I)**

**GOVERNMENT OF INDIA  
MINISTRY OF COMMERCE AND INDUSTRY  
DEPARTMENT OF COMMERCE**

**PUBLIC NOTICE No. 68 /2015-2020  
NEW DELHI, DATED THE 22 March, 2018**

**Subject: Amendments in Handbook of Procedures 2015-20- reg.**

In exercise of powers conferred under Paragraph 1.03 of the Foreign Trade Policy 2015-2020, as amended from time to time, the Director General of Foreign Trade makes the following amendment in Hand Book of Procedures 2015-20:

2. Below the existing para 4.07 HBP 2015-20, a new para 4.07A is added as follows:-

**Para 4.07A Self - Ratification Scheme**

(i) Policy related to Self ratification Scheme is provided at Para 4.07A of Foreign Trade Policy (2015-20). Applications shall be filed online along with complete details as per Appendix-4E along with a certificate from Chartered Engineer in Appendix-4K. For issuance of such a certificate, the Chartered Engineer shall act only in the domain of his/her competence.

(ii) General Notes given in the book titled Standard Input Output Norms including policy for packing material and fuel shall also be applicable to this scheme in so far as they are not inconsistent with this scheme.

(iii) The applicant shall apply for inputs with specific descriptions along with 8 digit ITC (HS) Classification. Where ever the export product and/or inputs are given in brand names, the correct chemical /technical name shall also be given in the application.

(iv) RA may issue Advance authorisation as applied for subject to the conditions specified in FTP and Handbook of Procedures (2015-20). Input Output Norms as applied and wastage claimed by the applicant shall be treated as final. Ratification of the same by NC is not required.

(v) Applicant or his supporting manufacturer/co-licensee shall maintain a proper account of consumption and utilization of duty free imported / domestically procured inputs against each authorisation, as prescribed in Appendix-4H. Application for EODC shall be submitted in prescribed format along with Appendix-4H to the Regional Authority concerned. Regional Authority shall compare the details of Appendix-4H, with that of the inputs

allowed in the Authorisation. Such records shall be preserved by the authorisation holder/manufacturee for a period as specified in Para 4.51 of HBP.

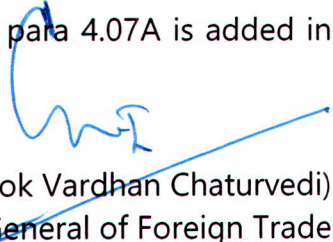
(vi) Production and consumption records of the export item under this scheme shall be audited by DGFT or any Authorised/nominated agency(ies) or team of officers as may be nominated from time to time. Such audit may be conducted within three years from the date of issue of Authorisation based on Risk Based Management System (RBMS). Exporters shall be required to provide necessary facility to verify Books of Accounts or other documents and assistance as may be required for timely completion of the audit. DGFT shall constitute the audit teams and specify the manner of audit from time to time through administrative orders.

(vii) Non providing of prescribed documents/information to the Audit team by the applicant shall make him liable for penal action under the provisions of FT(D&R) Act, 1992, as amended and Rules and order made there under. In case items imported/procured duty free are found to be in excess or not consumed fully, the applicant shall suo moto pay immediately duty with applicable interest to the Customs Authority. However, if Audit team found that duty free items were imported in excess and not consumed fully in the resultant products and duty and interest have not been paid suo moto, the applicant shall be placed under Denied Entity List (DEL) under Rule 7 of FT(Regulation) Rules, 1993, as amended, in addition to other penal action under FT(DR) Act/Customs Act. The Chartered Engineer shall also be liable for penal action for abetment under the provisions of Section 11(2) of the FT(DR)Act.

(viii) All the provisions of Advance Authorisation scheme shall also be applicable to this scheme in so far they are not inconsistent with the specific provisions of this scheme.

3. The amended Appendix 4K is annexed to this Public Notice.

**Effect of this Public Notice:** With this Public Notice, a new para 4.07A is added in Handbook of Procedures 2015-20

  
(Alok Vardhan Chaturvedi)  
Director General of Foreign Trade  
Email:dgft@nic.in

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**APPENDIX -4K**

**Format of Chartered Engineer Certificate for fixation of SION / Adhoc norms under para 4.07A of HBP/ Self Ratification Scheme.**

(To be furnished on the letterhead of the Chartered Engineer)

1. I am a Chartered Engineer with Registration No. \_\_\_\_\_ dated \_\_\_\_\_ (copy enclosed). My domain competence is in (example Chemicals, mechanical, electrical, textiles etc.....)\_\_\_\_\_.

2. I have examined the details of requirements of inputs of the applicant/manufacturer M/s \_\_\_\_\_, \_\_\_\_\_ (Name applicant/manufacturer and address of factory where goods would be manufactured) with regard to their application for advance Authorisation. I have examined Appendix-4E along with technical details thereof filed by the applicant and requirements of raw materials etc. with regard to their technical description/ specification and the quantity against each item of import as given in 'Aayat Niryaat Form' and having due regard to proper technical norms of consumption and after technical scrutiny of relevant process, designs and drawings of the export product, I do hereby certify that they are correct in all respects and are actually required for the execution of the export order for which the application is made.

3. I hereby certify the export product and the requirement of inputs thereof as follows:

(a) Details of product(s) to be exported / supplied under the Authorisation:

<b>Sl. No.</b>	<b>Product Description</b>	<b>Technical Characteristics / Quality / Specification</b>	<b>ITC (HS) Code</b>	<b>Quantity (Along with the Unit of Measurement)</b>

(b) Details of inputs required for manufacturing export product.

<b>Sl. No</b>	<b>Input Description</b>	<b>Technical Characteristics / Quality / Specification of the Inputs</b>	<b>ITC (HS) Code</b>	<b>Quantity (Along with the Unit of Measurement)</b>

4. At any point of time the statements / facts certified above by the undersigned if found to be incorrect, I will be liable for penal action under the provisions of Foreign Trade (Development & Regulation) Act, 1992 (as amended), Rules and Orders framed there under and the provisions of any other Act, inforce.

Signature & Seal of Chartered Engineer

Place

Date

Registration Number

Official Address

Official Telephone

Residential Address

Name & Address of the Institution with which registered

**Declaration/undertaking by applicant**

1. The particulars and the data furnished in Appendix-4E and the Chartered Engineer Certificate are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held there from and if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
2. We would abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed there under, the Foreign trade Policy, the Handbook Procedure and the ITC(HS) Classification of Export & Import Items, as amended from time to time.
3. I am authorised to verify and sign this declaration as per paragraph 9.06 of the FTP.

Place:

Date:

Signature of the Applicant

Name

Designation

Official Address

Telephone

Residential Address

Email Address

**Note for Appendix-4K:**

1. Complete Appendix-4E along with technical details shall be submitted.
2. Unless and otherwise provided for, solvent(s) shall be allowed maximum upto 25% of the requirement of solvents indicated in for the purpose of advance authorisation. However, in cases where recovery is not possible and the solvent gets poisoned, full quantity of solvent shall be allowed. Chartered Engineer shall verify and certify the same accordingly for the details of solvents required as in Table 3(b) above.
3. Wherever value of by-products and recoverable wastage generated during manufacturing process is more than 5% of CIF value, corresponding quantity of main input shall be reduced from the entitlement to the extent that value of disallowed quantity is equal to the value of by-products and recoverable wastage generated during manufacturing process. Chartered Engineer shall verify and certify the same accordingly in Table 3(b) above.
4. In case of application by merchant exporter, the details to be given at para 3 of Certificate shall be of supporting manufacturer whose name is to be endorsed in the advance authorisation.