

प्रेषक,

डा0 आर0 राजेश कुमार,
अपर सचिव,
उत्तराखण्ड शासन।

सेवा में,

निदेशक उद्योग,
उद्योग निदेशालय, उत्तराखण्ड,
पटेल नगर, देहरादून।

सूक्ष्म, लघु एवं मध्यम उद्योग अनुभाग

देहरादून : दिनांक 24 मई, 2017

विषय:- "ईज ऑफ डूइंग बिजनेस" के अंतर्गत "इन्वेस्टर फॅसिलिटेशन सेन्टर" स्थापित किये जाने के संबंध में।
महोदय,

उपर्युक्त विषयक प्रकरण में प्रमुख सचिव, एम0एस0एम0ई0, उत्तराखण्ड शासन की अध्यक्षता में दिनांक 19.04.2017 को आयोजित बैठक के कार्यवृत्त दिनांक 23.05.2017 (छायाप्रति संलग्न) का संदर्भ ग्रहण करें। उक्त बैठक में यह निर्णय लिया गया कि "ईज ऑफ डूइंग बिजनेस" कार्यक्रम के अंतर्गत वर्ष 2017 हेतु निर्धारित 405 कार्यबिन्दुओं के बिन्दु संख्या 356 एवं 357 में की गयी अपेक्षानुसार निवेश प्रोत्साहन, निवेशकों को मार्गदर्शन तथा सहायता, विनियामक हेतु सुझाव तथा निवेशकों से फीड बैक प्राप्त करने के लिये राज्य स्तर पर एक "इन्वेस्टर फॅसिलिटेशन सेन्टर" स्थापित किया जाय।

2. इस संबंध में मुझे यह कहने का निदेश हुआ है कि उक्त प्रयोजन की पूर्ति हेतु उद्योग निदेशालय में अपर निदेशक, उद्योग की देख-रेख में एक इन्वेस्टर फॅसिलिटेशन सेन्टर स्थापित किया जाय, जिसमें 01 संयुक्त निदेशक, 02 सहायक निदेशक, ई0 एण्ड वाई0 से एक कन्सलटेन्ट तथा उद्योग निदेशालय से सेवानिवृत्त श्री के0सी0 त्रिपाठी के अनुभव के दृष्टिगत उन्हें कन्सलटेन्ट के रूप में तैनात किया जाय। कार्यालय सहायता हेतु 02 ऐसे रिसोर्स पर्सन नियुक्त किये जायें, जो डी0टी0पी0, पी0पी0टी0, हिन्दी से अंग्रेजी एवं अंग्रेजी से हिन्दी अनुवाद करने में सक्षम हों। निवेशकों को अन्य क्षेत्रों में किये जाने वाले निवेश, जैसे उद्यान, शिक्षा, आयुर्वेद तथा चिकित्सा आदि के संबंध में जानकारी देने हेतु संबंधित विभागों से योग्य एवं अनुभवी कार्मिकों को प्रतिनियुक्ति के आधार पर उक्त सेन्टर में नियुक्ति दी जा सकती है। ई0 एण्ड वाई0 वर्तमान में नियुक्त कन्सलटेन्ट में से ही एक कन्सलटेन्ट को प्राथमिकता के आधार पर फॅसिलिटेशन सेन्टर में नियुक्त कर सेंटर का संचालन करना सुनिश्चित करेगी।

उपर्युक्तानुसार अग्रेत्तर कार्यवाही किया जाना सुनिश्चित करें।

संलग्नक-मधोपरि।

भवदीय,

(डा0 आर0 राजेश कुमार)
अपर सचिव।

संख्या: — (1)/VII-2/21(02)-एम0एस0एम0ई0/2017 तददिनांकित।

प्रतिलिपि:-निजी सचिव-मुख्य सचिव, उत्तराखण्ड शासन को मुख्य सचिव महोदय के संज्ञानार्थ।

आज्ञा से,

(राजेन्द्र सिंह बिष्ट)
उप सचिव।

उद्योग निदेशालय उत्तराखण्ड

औद्योगिक आस्थान, पटेलनगर, देहरादून

पत्रांक: 667 / स.नि. / (पाँच) -7 / ई.ओ.डी.बी. / 2017-18

दिनांक: 24 मई, 2017

टेली नं० 0135-2728227, फ़ैक्स नं. 2728226

Web: www.doiuk.org, E-mail: mpr@doiuk.org

कार्यालय ज्ञाप

Ease of Doing Business कार्यक्रम के अंतर्गत उत्तराखण्ड शासन के सूक्ष्म, लघु एवं मध्यम उद्यम विभाग द्वारा जारी पत्र सं० 822/VII-2/21 (02)MSME/2017, दिनांक 24 मई, 2017 के क्रम में उद्योग निदेशालय देहरादून में निम्नानुसार "इन्वेस्टर फ़ैसिलिटेशन सेंटर" की स्थापना की जाती है :-

क्र०स०	पदनाम	अधिकारी का नाम
1	अपर निदेशक उद्योग - प्रभारी	श्री एस० सी० नौटियाल
2	संयुक्त निदेशक उद्योग	श्रीमती कौशल्या बन्धु
3	सहायक निदेशक उद्योग (2)	श्री राजेन्द्र कुमार, उप निदेशक, (सहायक निदेशकों की नियुक्ति होने तक)
4	कंसल्टेंट	श्री के० सी० त्रिपाठी
5	कंसल्टेंट (अर्नस्ट एंड यंग)	श्री कन्हान विजय
6	कार्यालयी स्टाफ (2)	आउटसोर्सिंग से

उक्त फ़ैसिलिटेशन सेण्टर निवेश प्रोत्साहन, निवेशकों को मार्गदर्शन, विभिन्न प्रकार की स्वीकृतियों/अनापत्तियों आदि की प्राप्ति में सहायता, विनियामक सुधारों हेतु सुझाव तथा निवेशकों से फीडबैक प्राप्त करना आदि कार्य सम्पादित करेगा।


(एस० सी० नौटियाल)

अपर निदेशक उद्योग।

उद्योग निदेशालय उत्तराखण्ड।

औद्योगिक आस्थान, पटेलनगर, देहरादून।

पत्रांक: मेमो /उ.नि./ (पांच)-14/2017-18

टेली नं.-0135-2728227, फ़ैक्स नं. 2728226 वेबसाइट: WWW.doiuk.org, E-mail: mpr@doiuk.org

दिनांक: 3 अक्टूबर, 2017

कार्यालय ज्ञाप

उत्तराखण्ड शासन के सूक्ष्म, लघु एवं मध्यम उद्यम अनुभाग के पत्र सं० 882/VII-2/21(02)-एम.एस.एम.ई/2017 दिनांक 24 मई, 2017 के क्रम में उद्योग निदेशालय के कार्यालय ज्ञाप सं० 667(पांच)-7/ई.ओ.डी.बी./2017-18 दि०24 मई, 2017 द्वारा उद्योग निदेशालय में इंवेस्टर फ़ैसिलिटेशन सैल की स्थापना की गयी है। इंवेस्टर फ़ैसिलिटेशन सैल इस कार्यालय ज्ञाप के साथ संलग्न दिशा-निर्देशानुसार अपने कार्य सम्पादित करेगा।

- ६० -

(बी.आर.आर्य)

संयुक्त निदेशक उद्योग।

संख्या: 3002 /उ.नि./ (पांच)-14/2017-18, तददिनांकित।

प्रतिलिपि प्रमुख सचिव, सूक्ष्म, लघु एवं मध्यम उद्यम, उत्तराखण्ड शासन, देहरादून को उक्त वर्णित शासनादेश दिनांक 24 मई, 2017 के क्रम में सूचनार्थ प्रेषित।

(बी.आर.आर्य)

संयुक्त निदेशक उद्योग।

Working Procedure Document

For

Investor Facilitation Center (IFC)

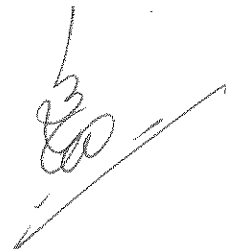
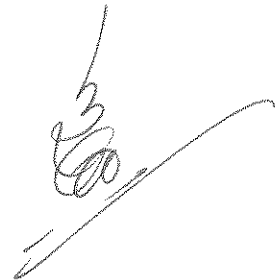
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1. Background

The State Government of Uttarakhand enacted The Uttarakhand Enterprises Single Window Facilitation and Clearance Act, 2012 [Uttarakhand Act No. 05 of 2013] which was passed by the Uttarakhand Legislative Assembly and assented to by the H. E. Governor on 24th January, 2013. The act was passed to provide necessary time bound license, permissions and sanctions to the establishment of industry in the State of Uttarakhand.

In light of the recommendations of the Department of Industrial Policy & Promotion to Ministries/Departments as well as the State Governments and UTs to set up Investor Facilitation Centers to help channelize investments into the country; the State Government of Uttarakhand notified the establishment of the Investor Facilitation Centre vide order no. 667/U.N./Five-7/EODB/2017-18 with the objectives of Investor Facilitation, handholding of investors in regards to their queries/grievances, assistance in the provision of various approvals, no-objection certificates, permissions from various departments in the State and invite feedback from investors. The Investor Facilitation Centre will focus on ensuring investment realization and sustainable industrialization in the State.

2. About Investor Facilitation Center

The Investor Facilitation Centre (IFC) will be a centralized one-stop shop for the investors / businesses and provide complete handholding support to investors / business in a structured, focused and comprehensive manner. The institution will be dedicated institution for the functions of investment promotion, facilitation, direct engagement and consultation with investors/stakeholder and provision of investment related queries/assistance.

2.1 Responsibilities of the Investor Facilitation Centre

To facilitate and ensure investments in the State, the Investor Facilitation Center will have Nodal Officers from the departments in the key sectors on industrial investment. These Nodal Officers will be the single point of reference for a particular sector and responsible of drawing investments in the respective sector.

The various functions of the IFC can broadly be divided into two parts.

Investment Promotion

The center will help the state government in creating a roadmap and execute it to make Uttarakhand the most preferred Investment Destination

- Formulate policies & guidelines taking an integrated view of the requirements of the state
- Suggesting regulatory reforms to address lacunae identified through stakeholder consultation
- Assist departments in identifying gaps in their Sectoral policies to strengthen Uttarakhand's position as a preferred investment destination for focus sectors



- Creation of collaterals (detailed sector-and state-specific information of various channels of investment through website, brochures, films, presentation etc.)required to project Uttarakhand`s competitive advantages as an investment destination
- Providing information to general public and investors, specifically, regarding the investment opportunities available in the State for commerce, industry, trade, services, manufacturing through various promotion medium (Digital marketing, Traditional media)
- Organization of investment road shows and roundtables
- Participation in national and international seminars / webinars to attract investors in the State
- Interact and take feedback from Industry Associations like CII,PHD Chambers, IAU etc.

Investor Facilitation

The Centre will ensure quality assistance and support services is provided to existing and potential investors from India and outside through

- Step-by-step guidance on the application and approval procedures for various regulatory approvals
- Coordination with various departments in expediting the processes of regulatory approvals
- Facilitation of meetings with relevant government officials
- Facilitation with financial institutions, legal and insurance agencies
- Single point interface for all the grievances / queries / feedback in regards to the industrial scenario in the State
- Time-bound remedial action on queries / grievances raised by investors by involving the respective departments

The Investor Facilitation Cell will guide, assist and handhold investors / businesses during the entire life-cycle of the business.

3. Online Support Systems for Investor Facilitation

Understanding the need to provide investor support services, an online support system has been created under the aegis of the Investor Facilitation Center.

To ensure that investors / businessmen / other stakeholders have a centralized medium for raising their queries & grievances and that replies or action is taken on them in a timely manner, the State Government has developed the Investor Query, Ticketing & Grievance Management System (IQTGM System). The IQTGM System will play an important role in providing quick, efficient and transparent resolution.

The IQTGMSystem has been established as a centralized system which will accept all the queries, tickets & grievances submitted by investors, existing and new,through Single Window Clearance System (SWCS)Portal i.e. www.investuttarakhand.com and provideeffective, real-time and timeline oriented workflow-based system. The system will enablethe various regulatory



agencies and departments to assemble, manage and analyze queries, tickets and grievances reported by investors.

Below are the few key processes implemented for Investor Facilitation Center.

- Investor Query Management System (IQMS)
- Investor Ticket Management System (ITMS)
- Investor Grievance Management System (IGMS)

3.1 Detailed Working Procedure of IQTGM System

The Working Procedure details out the procedure for the implementation and management of IQTGM System so that relevant information is captured for the various queries, tickets & grievances raised by Investors over various mediums – walk-ins, toll-free helpline and online through Single Window Clearance System (SWCS) i.e. <http://investuttarakhand.com/>

This document explains the broad level of process flow & respective stakeholder's roles & responsibilities.

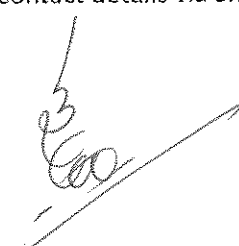
4. Process Flow

4.1 Investor Query Management System (Over IFC Toll Free / Online Form)

The Investor Facilitation Center has a physical office at Directorate of Industries, Patel Nagar, Industrial Area, Dehradun, Uttarakhand which houses the dedicated IFC Staff for facilitating walk-ins by investors and businessmen for raising any query and to seek resolution on the same.

Each walk-in investor shall be able to meet the dedicated IFC Staff at the IFC Office housed in the Directorate of Industries. The IFC Staff shall understand the query raised by the investor and redress the same on-the-spot in case of basic queries. In case of queries which cannot be redressed on-the-spot, the IFC Staff shall record the query on the online Investor Query Management System (IQMS) capturing the details of the investor and the query raised on behalf of the investor / businessmen. The walk-in queries, even if solved, shall also be recorded on the online QMS capturing the details of the investor, the query raised on behalf of the investor / businessmen and the resolution provided.

The queries on which immediate solution has not been provided and having been raised on the QMS, shall be forwarded to the concerned nodal officer of the concerned department, if it is specific to any department. All the queries recorded on the system will generate a Unique Reference Number which gets communicated to the investor's contact details via SMS and Email Notification.



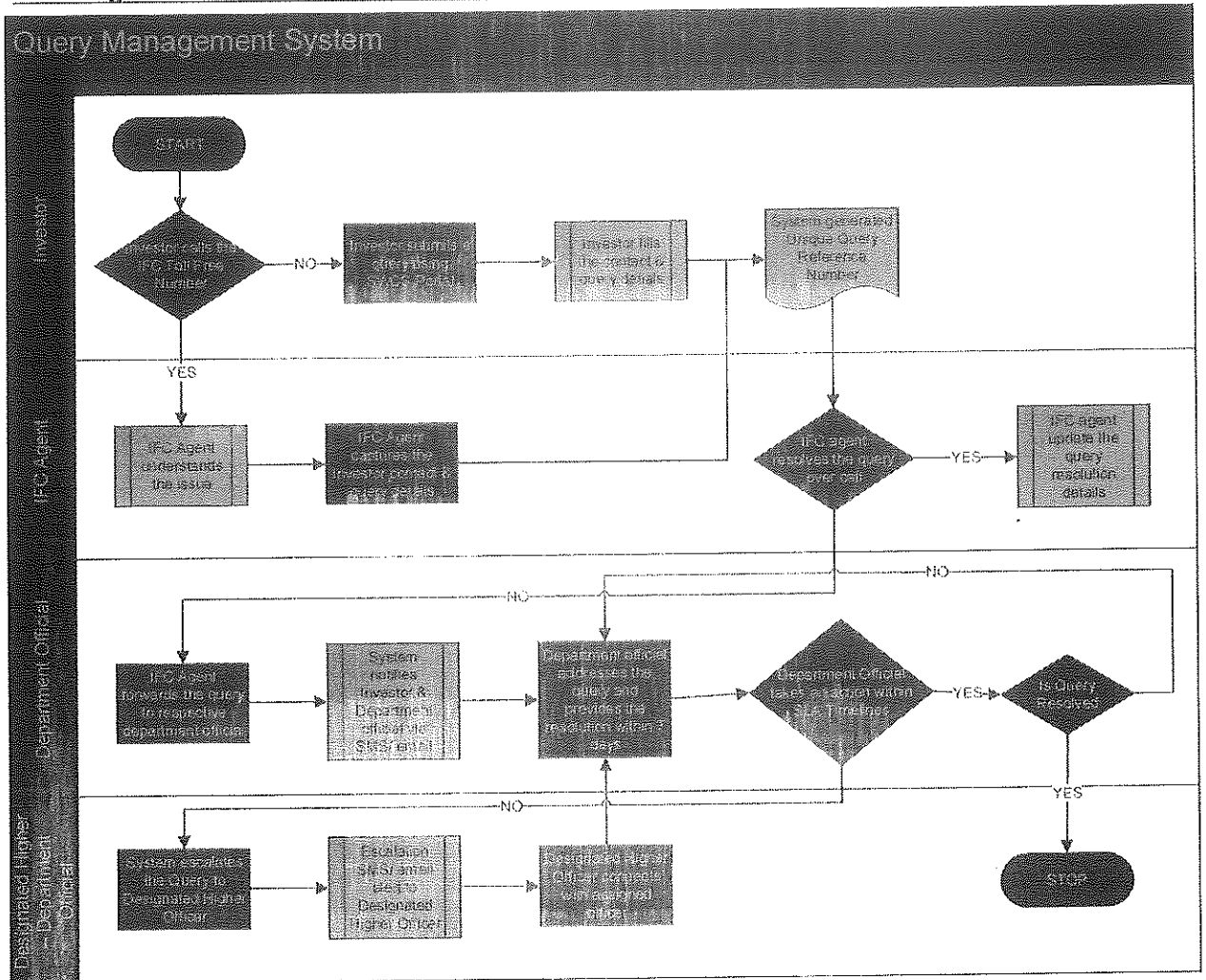
All the queries then will reflect on the departmental dashboards who is required to revert to the query raised with the defined SLAs. The queries raised can be tracked through the system through the Unique Reference Number. Automated SMS/Email notification are also sent to the investor to enable smooth tracking of the queries raised.

Investors can raise also raise the queries through Online QMS which allows the investor to raise queries without any physical touch point. All such queries raised, then reflect on the online dashboard. The IFC agent can resolve the queries themselves & update the resolution. In case, IFC agent is not able to provide the resolution, then system allows to forward the query to respective departments for resolution. As per the defined SLA of 7 days, assigned department have to provide the resolution within timeframe.

Investors can raise also raise the queries through dedicated Toll Free Number where IFC agents attends the call & raises the query on behalf of investors by capturing contact & query details in system. IFC agent resolves the queries over the call & update the resolution. In case, IFC agent is not able to provide the resolution, then system allows to forward the query to respective departments for resolution. As per the defined SLA of 7 days, assigned department have to provide the resolution within timeframe.

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Flow Diagram of Investor Query Management System



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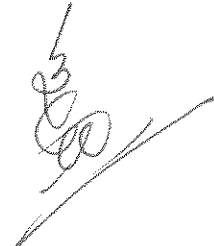
4.2 Investor Ticket Management System (ITMS) & Investor Grievance Management System (IGMS)

The State has developed the Investor Ticket Management System (ITMS) to resolve the various types of issues raised by Investors. Investors can raise the tickets for technical or functional operational issues like not able to submit application, restricted access etc. through SWCS online portal & seek resolution. To provide ease to investors, the State has also set up a dedicated Toll Free number where IFC agents attend the call & raises the ticket on behalf of investors by capturing contact & issue details in system. System generates the unique reference number on successful submission and assigns ticket to respective department. As per the defined SLA of 7 days, assigned department stakeholders have to provide the resolution within the specified timeframe.

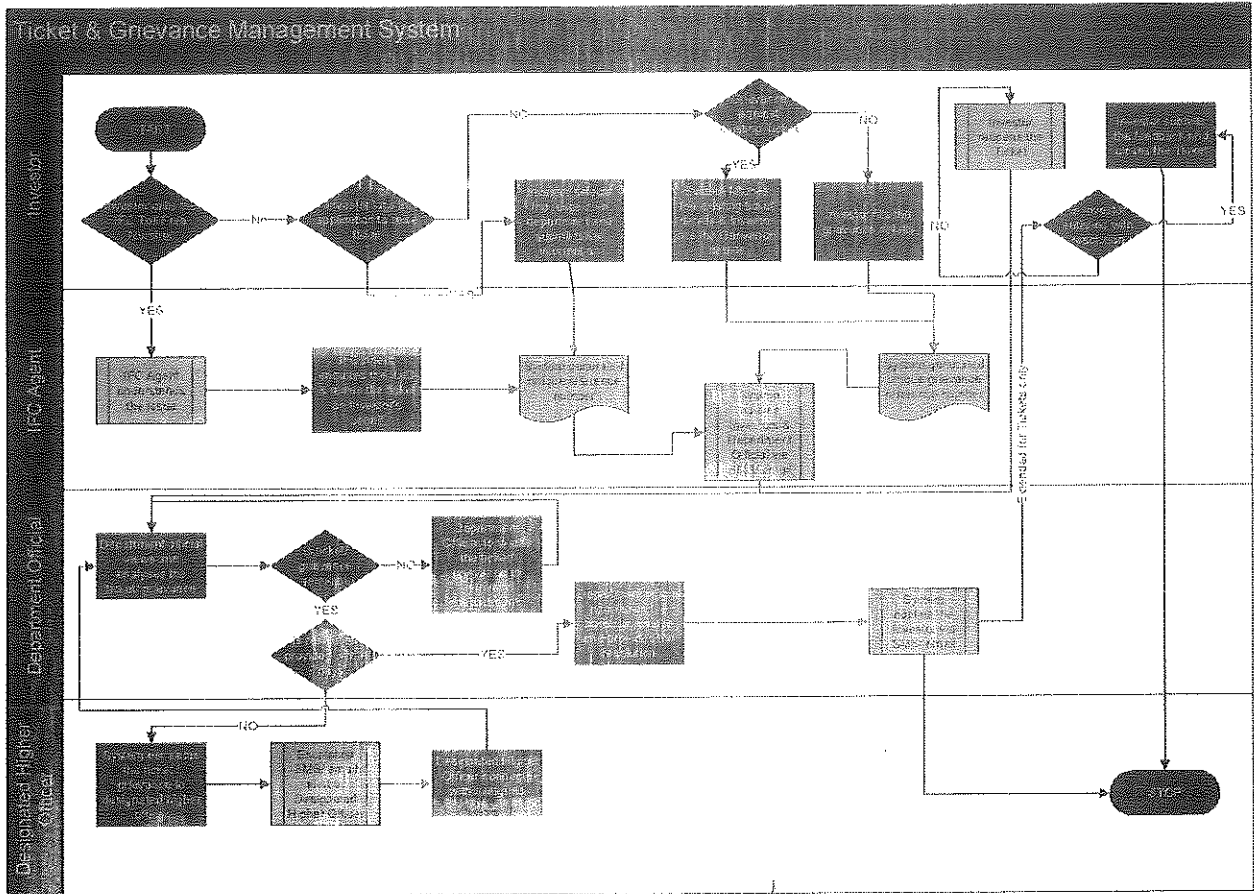
The system notifies the investor on resolution of ticket via SMS/ email and if Investor is not satisfied with the provided resolution then Investor can re-open the ticket once again and system assigns it to respective department stakeholder. In case if designated department officer doesn't take an action within the defined timelines then system auto-escalates the ticket details to higher officers of the department based on defined SLA. Higher officials can seek the reasons for delay in resolutions.

The Investor Grievance Management System (IGMS) enables an investor to raise a grievance through Single Window Clearance System (SWCS) Portal i.e. www.investuttarakhand.com, where the system facilitates investor to link existing ticket with grievance if investors are not satisfied with ticket resolution. Investor can also raise the grievances on services requests e.g. CAF, Stand Alone Department's Integrated Online Services with Single Window etc. Investor selects the respective department for grievance to be raised, fills additional details and on submission system generates unique grievance reference number and assign grievance to respective department. As per the defined SLA of 7 days, assigned department stakeholders have to provide the resolution within timeframe

System notifies the investor on resolution of grievance via SMS/ email. In case if designated department officer doesn't take an action within defined timelines then system auto escalates the grievance details to higher officers of the department based on defined SLA. Higher officials can seek the reasons for delay in resolutions and ensures earlier resolution.

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Flow Diagram of Investor Ticket Management System (ITMS) & Investor Grievance Management System (IGMS)



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5. Stakeholders

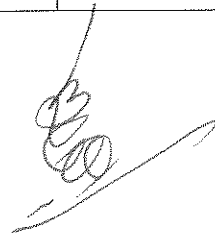
The stakeholders involved in this system are:

- Directorate of Industries Uttarakhand
- Investors
- External departments:
 - a. Department of Food and Civil Supplies
 - b. Department of Labour
 - c. Department of Law and Justice
 - d. Department of Medical, Health and Family Welfare
 - e. Department of Revenue
 - f. Department of Stamps and Registration
 - g. Environment Protection and Pollution Control Board
 - h. Housing/ Urban Development
 - i. Ministry Of Corporate Affairs - Registrar of Companies
 - j. Municipal Corporation
 - k. Public Works Department
 - l. Uttarakhand Fire and Emergency Services
 - m. Uttarakhand Forest Development Corporation
 - n. Uttarakhand Jal Sansthan
 - o. Uttarakhand Power Corporation Limited

6. Service Level Agreements(SLAs) & Timelines

6.1 SLAs for InvestorQuery Management System (Over IFC Toll Free / Online Form)

Sl. No.	Scenario	Assigned To	SLA Timeline	Alert & Notification
1	Investor submits a query through Single Window Portal	IFC Agent of respective user group	3 working days from date of Query Submission	1. SMS/ Email alert 2. Notification in IFC agent's console
2	Investor calls on Toll free and IFC Agent submits Query on Investor's behalf	IFC Agent of respective user group	3 working days from date of Query Submission	1. SMS/ Email alert 2. Notification in IFC agent's console



Sl. No.	Activity	Assigned To	SLA Timeline	Alert & Notification
3	If IFC agent exceeds the defined SLA timeline	Supervisor of IFC Agent User Group	4 working days from date of escalation	1. SMS/ Email alert 2. Notification in IFC agent's & Supervisor's console
4	If IFC agent forwards query to respective department official	Respective Department Official	4 working days from date of Query Assignment	1. SMS/ Email alert 2. Notification in Department Official's console
5	If IFC agent forwards query to respective department official	Supervisor of Respective Department Official	4 working days from date of escalation	1. SMS/ Email alert 2. Notification in Department Official's & Supervisor's console

6.2 SLA for Investor Ticket Management System (ITMS) & Investor Grievance Management System (IGMS)

Sl. No.	Activity	Assigned To	SLA Timeline	Alert & Notification
1	Investor submits a Ticket through Single Window Portal	Respective Department Official	3 working days from date of Ticket Submission	1. SMS/ Email alert 2. Notification in Department Officer's console
2	Investor calls on Toll free and IFC Agent submits Ticket's on Investor's behalf	Respective Department Official	3 working days from date of Ticket Submission	1. SMS/ Email alert 2. Notification in Department Officer's console
3	Investor submits a Grievance through Single Window Portal	Respective Department Official	3 working days from date of Grievance Submission	1. SMS/ Email alert 2. Notification in Department Officer's console
4	If designated Department Officer fails to take action in defined SLA timeframe	Supervisor of Respective Department Official	4 working days from date of escalation	1. SMS/ Email alert 2. Notification in Department Officer's & Supervisor's console
5	If designated Department Officer forwards the Ticket/ Grievance to other Department Official	Respective Department Official where Ticket/ Grievance is forwarded	4 working days from date of Ticket/ Grievance Assignment	1. SMS/ Email alert 2. Notification in Department Officer's console

Handwritten signature and date '23/09'.