



सत्यमेव जयते

Government of India

# SCHEME GUIDELINES

for

## CRITICAL MINERAL RECYCLING INCENTIVE SCHEME

Notified vide gazette notification No. CG-DL-E-08092025-266005

Dated September 8, 2025

GOVERNMENT OF INDIA  
MINISTRY OF MINES

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**Dated: 02.10.2025**

**Guidelines for Operation of the Incentive Scheme for Promotion of Critical Minerals Recycling**

**1 Background**

- 1.1 The incentive scheme for promotion of Critical Mineral Recycling (hereinafter referred to as 'Scheme') was notified vide gazette notification no CG-DL-E-08092025-266005 dated 08 September 2025.
- 1.2 In pursuance of para 10.6 of the said gazette notification, the scheme guidelines are to be laid down for the effective operation and smooth implementation of the Scheme.
- 1.3 The guidelines have been prepared after detailed consultation with industry and other relevant stakeholders.
- 1.4 Any modifications or amendments to these Scheme guidelines shall be issued by the Ministry of Mines, as deemed necessary

**2 Definitions**

- 2.1 Applicant: An applicant shall be either a company registered in Bharat under the Companies Act, 2013 (erstwhile Companies Act, 1956) or a Limited Liability Partnership (LLP) registered under Limited Liability Partnership Act, 2008. Such an applicant should be investing in the production of target segment goods in Bharat and applying for the Scheme.
- 2.2 Application: Application means the form submitted by an applicant in the prescribed format on the online portal, along with supporting documents and application fee.
- 2.3 Application Window: It is the time period allowed for filing the application under the scheme.
- 2.4 Base Year: For computation of turnover linked incentive for Opex subsidy, FY 2025-26 shall be the base year for the calculation of incremental sales.
- 2.5 Beneficial owner: For the purposes of this Scheme, "Beneficial Owner" shall mean any individual, who, directly or indirectly, whether as a registered member in the company's records or otherwise, holds more than fifty percent (50%) of the ownership interest, voting rights, or controlling interest in the

applicant entity or its subsidiaries/ SPVs. This definition shall include both (a) registered members of the company as reflected in the register of members, and (b) individuals or entities having ultimate beneficial interest as defined under Section 89(10) and Section 90 of the Companies Act, 2013 and the Companies (Significant Beneficial Owners) Rules, 2018.

- 2.6 Capital Expenditure/ Investment: The capital investment made by an applicant as per clause 6.2 for recycling of critical minerals in Bharat.
- 2.7 Chartered Engineer (CE): An engineer with corporate membership of the Institution of Engineers (India) and Chartered Engineer (India) certificate issued by Institution of Engineers (India).
- 2.8 Commercial Production: It shall mean compliance with the following milestones
- 2.8.1 The project has started the production of target critical minerals under the scheme.
  - 2.8.2 CE certifies the installed capacity and commencement of production of target critical minerals for commercial use.
  - 2.8.3 Statutory Auditor certifies the commencement of production for sale and capitalisation of assets in books of accounts of applicant.
- 2.9 Competent Authority: Competent Authority under the scheme shall be as defined in Clause 9.4 of the scheme guidelines.
- 2.10 Cumulative Investment: Investment made by an applicant from date of Scheme Notification, duly verified by project management agency (PMA).
- 2.11 Date of Acknowledgement: The date on which acknowledgement is issued to the applicant by the PMA after initial scrutiny of the application. Acknowledgement of an application shall not be construed as being eligible under the scheme.
- 2.12 Critical Minerals: Set of naturally occurring elements and compounds that have diverse irreplaceable industrial applications but confront supply-related vulnerabilities either in the form of their limited geographic occurrences or sourcing challenges. For the purpose of this Scheme, only those minerals specified in Annexure-1 shall be treated as "Critical Minerals" eligible for incentive support.
- 2.13 Critical Mineral Recycling (CMR): CMR shall refer to the recycling of e-waste, Lithium-Ion Batteries (LIB) and other scrap (i.e., other than e-waste and LIB) and production of Critical Minerals and their eligible compounds.
- 2.14 Financial Year: Financial Year (FY) begins on the 1st of April of a year and ends on 31st March of the following year.

- 2.15 Force Majeure: Extraordinary events or circumstances beyond human control such as an event described as an act of god (like a natural calamity) or events such as a war, strike, public health emergency, riots, crimes (but not including negligence or wrong-doing, predictable/ seasonal rain and any other events specifically excluded).
- 2.16 Governing Council (GC): Governing Council shall be an inter-ministerial council under the chairmanship of Secretary, Ministry of Mines (MoM) as per clause 9.3.
- 2.17 Group Company/ Companies: As per FDI policy circular of 2020, Group company/ companies shall mean two or more enterprises which, directly or indirectly, are in position to:
- 2.17.1 Exercise twenty-six percent (26%) Or more voting rights in other enterprise; or
- 2.17.2 Appoint more than fifty percent (50%) of members of board directors in the other enterprise.
- 2.18 Extractive Metallurgy: It shall be referred to the Critical Mineral Recycling using technologies such as Pyro Metallurgy, Hydro Metallurgy etc.
- 2.19 Self-Reliant: It refers to the critical mineral production which are domestically manufactured either by the applicant or by any other domestic manufacturer from whom the applicant procures.
- 2.20 Manufacturing: According to Central Goods and Service Tax (CGST) Act, 2017; manufacturing shall mean processing of raw material or input in any manner that results in the emergence of a new product having a distinct name, character and use. The term "manufacturer" shall be construed accordingly.
- 2.21 Net Incremental Sales: It is the difference between net sales of critical minerals produced in the incentive claim period and the base year.
- 2.22 Net Sales: Sales, net of credit notes (raised for any purpose), discounts (including but not limited to cash, volume, turnover, target or for any other purpose), any other adjustments/refunds to customers against sales consideration, applicable taxes, pertaining to advertisement and sales promotion, and brand royalty.
- 2.23 Project/Unit: A project/ unit shall be a recycling unit(s), which an applicant intends to manufacture the target critical minerals under the scheme. It can be a greenfield project i.e. a new business unit or brownfield project i.e. expansion of capacity/ modernization and/ or diversification of an existing unit.
- 2.24 Project Management Agency (PMA): Any entity appointed by MoM to act on its behalf for purposes mentioned in clause 9.1.

- 2.25 Promoter: The term promoter shall be construed as defined u/s section 2(69) of Companies Act, 2013. The promoter means a person – (a) who has been named as such in a prospectus or is identified by the company in the annual return referred to in section 92 Companies Act (2013); or (b) who has control over the affairs of the company, directly indirectly whether as a shareholder, director or otherwise; or (c) in accordance with Whose advice, directions or instructions the Board of Directors of the company is accustomed to act: provided that nothing in sub-clause (c) shall apply to a person who is acting merely in a professional capacity;
- 2.26 Related Party/ Parties: The term 'related party' shall be defined in Accounting Standard-18: Related Party Disclosures or Indian Accounting Standard (Ind-AS)-24 Related Party Disclosure, as may be applicable to the applicant, as notified by Ministry of Corporate Affairs or any other appropriate authority from time to time.
- 2.27 Successor-in-Interest: Successor-in-interest shall mean the new or re-organized entity formed after the merger, demerger, acquisition, transfer of business or significant change in ownership of an applicant.
- 2.28 Target Segment: The target segments refer to the identified critical mineral resources under the scheme that are eligible for recycling incentives. The target segments covered under the scheme shall be as follows

Target Segment	Eligible scraps
<b>Spent LIB (Lithium-ion Batteries)</b>	Scrap of different advanced chemistry cell (ACC) mixes of LIB like lithium iron phosphate (LFP), lithium nickel manganese cobalt oxide (NMC), lithium cobalt oxide (LCO), etc.
<b>E-waste</b>	e-waste as defined in the E-Waste (Management) Rules, 2022, in section 3(1)(l) and in Schedule I to the rules that lists out categories of electrical and electronic equipment
<b>Other waste (wastes other than e-waste &amp; spent LIB)</b>	Permanent magnets from wind turbines, EVs, medical equipment etc.; catalytic converters in end-of-life vehicles, spent catalysts from pharma, petrochemical industries, etc.; special / super alloy scraps containing critical minerals, etc.

### 3 Beneficiaries & Qualification criteria under the scheme

#### 3.1 Eligible & Target beneficiaries

3.1.1 The target beneficiary of this scheme will be the recyclers of secondary products recovering and extracting critical minerals registered in India.

3.1.2 The target beneficiaries will be classified into two groups on the basis of their Global Manufacturing Revenue (GMR) i.e. the total revenue earned by a company including its holding company (in case of the company being a subsidiary) or subsidiary companies (in case of the company being a holding company). The criteria for grouping are given below:

#	Group	Criteria (GMR of applicants in base year)	Recycler type
1.	A	Equal to or more than Rs. 200 crores	Large, established
2.	B	Below Rs. 200 crores	Small, new (including start-up)

3.1.3 If a company follows the calendar year as its accounting year, the revenue shall be calculated and submitted by the applicant on a financial year basis.

3.1.4 The applicant shall submit a self-certified statement of consolidated global manufacturing revenue for FY 2024-25.

#### 3.2 General qualification criteria

3.2.1 An applicant making investment for greenfield or brownfield recycling facilities for recovery and extraction of critical minerals from eligible scrap sources (target segments in clause 2.28) shall be eligible.

3.2.2 If an applicant has foreign direct investment (FDI), it must comply with FDI Policy Circular 2020 (as amended from time to time) issued by DPIIT, Ministry of Commerce and Industry, Government of India. A foreign owned company, should be registered in India to be eligible under this scheme

3.2.3 Feedstock sourcing, whether domestic or imported, must comply with extant laws, rules and regulations.

3.2.4 Special Purpose Vehicles (SPVs), subsidiaries, or group companies promoted by the same parent entity shall be permitted to apply individually under this Scheme, and the parent company's Global

Manufacturing Revenue (GMR) may be considered for eligibility classification of such SPVs/ subsidiaries, subject always to the ceilings in Clause 7.3.

#### 4 Indicative outlay of the scheme

- 4.1 The scheme will incentivize the development of recycling capacity for separation and extraction of critical minerals in the country. Accordingly, the scheme will incentivize various recycling systems, with indicative outlay arrived based on average investment cost and recycling capacity addition estimated:

#	Type of recycling	Indicative Outlay (₹ crore)
1.	Lithium-ion Battery (LIB) recycling	700
2.	E-waste recycling	650
3.	Other recycling	135

- 4.2 The target beneficiaries are classified into two groups and indicative outlay allocation is given below:

#	Beneficiary Group	Indicative Outlay (₹ crore)
1.	Group A	990
2.	Group B	495

*Note: The allocation among the scheme components - whether recycling system-wise or target beneficiary-wise – is indicative of a desired allocation. However, outlay unspent on any particular component will be deployed to other components as per need.*

- 4.3 The incentive under the scheme shall be provided on a reimbursement basis for capital expenditure and on the achievement of threshold incremental sales for operational expenditure (if opted)

#### 5 Incentive Period & Tenure of the scheme

- 5.1 The tenure of the Scheme shall be six (6) financial years, starting from FY 2025-26 and ending with FY 2030-31.
- 5.2 The Scheme shall initially be open for submission of applications for a period of six (6) months from the date of issue of Scheme guidelines.

- 5.3 Applications received under the Scheme will be appraised on an ongoing basis.
- 5.4 The Ministry of Mines may invite further applications as and when required during the tenure of the Scheme.

## 6 Eligibility Conditions for Incentives

### 6.1 General eligibility

- 6.1.1 The applicant shall meet the minimum threshold criteria with respect to capacity and investment as specified below.

Beneficiary type	Capacity threshold (in KTPA)	Minimum investment threshold (₹ crores)
Group A	10	100
Group B	5	25

*Note: For the purpose of determining eligibility under Clause 6.1.1, the prescribed capacity thresholds of 10,000 TPA (Group A) and 5,000 TPA (Group B) shall be reckoned with reference to the total annual input tonnage of eligible scrap / waste streams as defined under this Scheme. For avoidance of doubt, the input tonnage shall be considered as the gross weight (on dry-basis) of spent lithium-ion batteries, e-waste, catalytic converters, permanent magnets, alloy scraps, and other eligible waste streams, as the case may be.*

- 6.1.2 Only entities that recycle eligible waste streams and undertake extraction of critical minerals through eligible processes, such as chemical processing, metallurgical extraction, R3 and R4 level recycling of LIB scrap, or other advanced technologies including hydrometallurgy, pyrometallurgy, electrometallurgy etc., shall be eligible under this Scheme. Entities engaged, or intending to engage, solely in collection, dismantling, shredding, crushing, or sorting operations (for example, units producing only black mass from LIBs without further extraction) shall not be eligible.
- 6.1.3 Eligibility under this Scheme shall not affect eligibility under any other scheme of the Government of India and vice versa. However, the same investment/ sales shall not be claimed under more than one scheme. Applicants shall provide a management undertaking in this regard.
- 6.1.4 Recyclers handling waste streams that are covered under Extended Producer Responsibility (EPR) as notified by the Central Pollution

Control Board (CPCB) shall be required to obtain EPR registration and furnish proof of such registration along with their application under this Scheme. For waste streams not presently covered under EPR, no such registration shall be required. As and when CPCB notifies additional streams under EPR in future, compliance with EPR registration for such streams shall become mandatory.

#### 6.1.5 Provision for Special Cases

- 6.1.5.1 In case of applicants proposing to commence operations from black mass derived from spent LIBs, the prescribed input capacity thresholds under Clause 6.1.1 shall be reduced by 50% (e.g., 10,000 / 5,000 TPA of spent LIBs = 5,000 / 2,500 TPA of black mass).
- 6.1.5.2 Such capacity adjustments shall be subject to recommendation by the Project Management Agency (PMA) and approval by the Executive Committee (EC).
- 6.1.5.3 Applicants commencing operations from black mass shall be eligible under this Scheme only if the black mass has been sourced from entities registered under the Extended Producer Responsibility (EPR) framework of CPCB, in accordance with the Battery Waste Management Rules, 2022. The applicant shall furnish documentary evidence to demonstrate such traceability of input material.

#### 6.2 Investment

6.2.1 For the purpose of determining the investment threshold under this Scheme, Investment shall mean following:

- 6.2.1.1 Non-creditable taxes and duties, expenditure towards Transfer of Technology and royalty
- 6.2.1.2 Plant, machinery, equipment and associated utilities required, and related tools, spares, accessories and components thereof for recycling of target segment as per Annexure-2.
- 6.2.1.3 Packaging, freight/transport, insurance, erection and commissioning of plant, machinery, equipment and associated utilities.
- 6.2.1.4 Environmental and associated utilities such as effluent and emission treatment systems, air/water management, waste handling systems, captive power, control systems, IT/ERP infrastructure, laboratory and testing facilities essential for recycling/refining operations.

- 6.2.1.5 Benchmarking of Capital Equipment Costs: Applicants shall ensure that the cost of capital equipment claimed under this Scheme is reasonable and in line with prevailing market/ benchmark prices. Each claim must be supported by a Chartered Engineer Certificate attesting to cost reasonableness.
- 6.2.1.6 In cases of over-invoicing, the PMA will apply the benchmarked cost for incentive computation.
- 6.2.2 The associated utilities will be capped as per CPWD schedule of rates wherever available. The applicant shall provide a statutory auditor certificate in respect of expenditure related to associated utilities.
- 6.2.3 Expenditure on packaging, freight, insurance, erection and commissioning shall be on actual basis and capped at 7.5% of the base investment.
- 6.2.4 Expenditure on in-house R&D and process development for recycling and refining of target critical minerals shall be considered eligible investment. This includes development of chemical processes, separation technologies, hydrometallurgical circuits, and related pilot set-up.
- 6.2.5 The applicant shall provide a statutory auditor certificate and purchase agreements in respect of the intellectual property rights (IPR), patents and copyrights.
- 6.2.6 The software associated with R&D shall be procured / licensed through legally valid documents.
- 6.2.7 Non-creditable taxes and duties, expenditure towards Transfer of Technology and royalty may be included for threshold computation but shall not be incentivized.
- 6.2.8 Expenditure on land and building shall not be considered as eligible investment.
- 6.2.9 Expenditure on consumables and raw material shall not be considered as eligible investment.
- 6.2.10 Procurement of used/ second-hand/ refurbished plant, machinery and equipment during the eligible time period under the scheme shall be allowed for incentives provided:
- 6.2.10.1 They have a minimum residual life of at least 5 years,
- 6.2.10.2 Proper valuation/residual life certificate is furnished by a Chartered Engineer,

6.2.10.3 Value considered shall be lower of depreciated value (as per Customs scale) or value assessed by Chartered Engineer.

6.2.10.4 However, refurbished equipment shall not exceed 20% of eligible investment for incentive purposes.

6.2.11 Plant, machinery, and equipment must be purchased or leased in the name of the applicant only. Leases must be financial leases under Indian Accounting Standard (Ind-AS) 116.

6.2.12 Plant, machinery and equipment should be used for recycling of scraps and recovery of critical minerals under this Scheme.

6.2.13 The date of invoice for purchase towards capital expenditure shall be considered as the date of investment, subject to capitalization in the books of account. Only investment made on or after the date of notification of scheme shall be considered eligible for incentive.

### 6.3 Sales

6.3.1 The applicant shall meet incremental sales thresholds for eligibility under the Opex subsidy.

6.3.2 Net sales shall be computed as per audited financial statements. Sales of recovered critical minerals in the eligible output form given in Annexure-3 with minimum specified purity shall only be considered. Date of invoice shall be considered as date of sales, subject to recognition in the books of account.

6.3.3 Sales returns, if any, shall be adjusted in the year in which the return is recognized.

6.3.4 In case an applicant is engaged in both trading and recycling, only sales from recycling/refining of critical minerals shall be considered, supported by separate accounting and statutory auditor certificate.

6.3.5 Applicant shall submit reconciliation of net sales with operational income as per books of accounts, along with GST and e-way bill reconciliation, duly certified by a statutory auditor.

6.3.6 In case of acquisition or JV with a brownfield recycling company, incremental sales shall be calculated after including the base year sales of the acquired company.

## 7 Methodology for Capex and Opex Incentive Allocation

### 7.1 Capex incentive

7.1.1 Capex incentive shall be admissible on eligible investment as per clause 6.2. Incentive will be provided on expenditure incurred on equipment as per list given in Annexure – 2.

7.1.2 Indicative scale of capex subsidy as per time taken to start production from the date of approval of eligibility.

New unit with EC	Expansion Unit with EC	Rate of Subsidy
Within 18 months	Within 12 months	20%
After 18 and before 24 months	After 12 and before 18 months	17%
After 24 months	After 18 months	14%

New unit without EC	Expansion Unit without EC	Rate of Subsidy
Within 12 months	Within 8 months	20%
After 12 and before 18 months	After 8 and before 12 months	17%
After 18 months	After 12 months	14%

7.1.3 Capex Incentive conditions

7.1.3.1 Incentive shall be calculated on eligible capital expenditure at the applicable rate depending on production timeline (refer clause 7.1.2).

7.1.3.2 Disbursement shall be contingent upon:

- Meeting the minimum investment threshold; and
- Commencement of commercial production.

7.1.3.3 Applicants must furnish:

- Statutory Auditor Certificate for eligible investment, capitalization of assets, and commencement of production.
- Chartered Engineer Certificate for cost reasonableness, installation, and residual life of refurbished equipment (if applicable).

## 7.2 Opex Incentive

7.2.1 Incentive shall be calculated on incremental sales over the base year (FY 2025-26).

7.2.2 Opex incentive shall be released in two instalments: forty percent (40%) upon achievement of the Year-2 incremental sales threshold and sixty percent (60%) upon achievement of the Year-5 threshold, subject to auditor certification. Incentive on incremental sales over the base year (FY 2025-26) shall be provided as follows:

Year	Incentive of total eligible Opex (%)	Incremental Sales threshold (₹ crore)	
		Group A	Group B
2027-28	40%	60	30
2030-31	60%	150	75

7.2.3 Ineligibility to claim Opex incentive in a particular milestone year (Year 2) shall not restrict the applicant from claiming the remaining eligible incentive in subsequent milestone year (Year 5), provided the incremental sales thresholds specified for that year are met.

7.2.4 Applicants must provide statutory auditor certification of incremental sales, with reconciliation of GST and e-way bills.

## 7.3 Ceiling on incentive

7.3.1 Applicants may claim the incentive either:

7.3.1.1 entirely as Capex support, and / or

7.3.1.2 Opex support, subject to the ceiling as indicated in the table below.

### Absolute Ceiling (per applicant):

Beneficiary type	Maximum total incentive (₹ Crores)	Of which, maximum total OPEX incentive (₹ Crores)
Group A (GMR ≥ ₹200 Cr)	50	10
Group B (GMR < ₹200 Cr)	25	5

7.4 The maximum incentive shall apply at two levels:

7.4.1 Per Applicant: Each individual entity may claim incentives up to the ceiling specified for its category.

7.4.2 Per Beneficial Owner (clause 2.5): Where multiple entities (including subsidiaries, SPVs, or group companies) are under the control of the same Beneficial Owner, the total combined incentive for all such entities shall not exceed ₹50 / ₹25 crore depending on the beneficiary type under this Scheme.

#### 7.5 Commercial Production Condition

7.5.1 Units receiving incentive under the Scheme shall remain in commercial production for a minimum of three (3) years from the date of commencement of production, or at least one (1) year from the date of receipt of the last incentive, whichever is later.

#### 7.6 Incentive Disbursal Mechanism (Capex and Opex)

7.6.1 For the purpose of these Guidelines, the Commencement Year shall mean the Financial Year in which commercial production is commenced. The 2<sup>nd</sup> Financial Year shall mean the immediately succeeding Financial Year, the 3<sup>rd</sup> Financial Year the one thereafter, and so on.

7.6.2 Capex incentive shall be disbursed in two main parts

7.6.2.1 Part 1: Initial Tranche (50% of Eligible Incentive) released upon commencement of commercial production (hereinafter referred to as the "Commencement Year"). The order of preference for release of incentive will be the commencement of production, on first-come first-serve basis.

7.6.2.2 Part 2: Capacity Utilisation-Linked Tranche (Remaining 50% of Eligible Incentive) disbursal of which shall be conditional upon achievement of cumulative capacity utilisation milestones, reckoned from the Commencement Year, as under:

Milestone (from Commencement Year as per clause 7.6.1)	Required Capacity Utilisation	Incentive Release Condition
Latest by FY 2029-30	≥50%	Release of Part-2 incentive

7.6.2.3 Verification of each milestone shall be supported by:

- Chartered Engineer Certificate (installation, commissioning, operational readiness),
- Statutory Auditor Certificate (capitalisation in books), and
- Production records evidencing actual operation at the respective utilisation level.

7.6.2.4 In case the beneficiary is not able to achieve at least 50% capacity utilization by FY 2030-31, the beneficiary shall return the Part 1 incentive with interest at the prevailing 3-year SBI MCLR/ base rate, compounded annually, for the period between disbursement and return.

7.7 Target Segment–Specific Criteria for Eligibility of Incentive

7.7.1 To be eligible for subsidy under this Scheme, entities shall ensure that the recovered critical minerals and compounds conform to the specifications laid down in Annexure-3.

7.7.2 Specifically:

7.7.2.1 A minimum metallic yield and minimum purity as indicated against each mineral or compound in Annexure-3, shall be maintained.

7.7.2.2 Incentive claims for outputs not meeting the thresholds shall not be considered for subsidy, even if other eligibility criteria are fulfilled.

7.8 The minimum number of critical minerals to be extracted, in the permissible forms specified in Annexure-3, for each eligible segment shall be as indicated in the table below:

Segment	Eligible Processes	Non-Eligible Processes	Minimum Critical Mineral Extraction Requirement
E-waste Recycling (PCBs, electronic assemblies)	L3 level chemical recovery (extractive metallurgy, hydrometallurgy, pyrometallurgy, advanced separation)	Only dismantling, segregation, or mechanical shredding (L1, L2) without refining	3
Spent LIB Scrap Recycling	R3: Black mass to metal salts/metals R4: End-to-end recycling to metal salts/metals	Collection, sorting, dismantling, or black mass production (R2) only	2 – if only LFP chemistry is used as input 3 – for all other LIB chemistries and combinations

Other wastes (wastes other than e-waste & spent LIB)	Recovery of critical minerals (e.g., REEs, PGMs, strategic alloying elements) through eligible metallurgical or advanced separation processes	Simple dismantling without recovery/refining	1 – spent catalysts from pharma and petrochemical industries & REE magnets 2 – other waste streams
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## 7.9 Flexibility for Additional Chemistries

- 7.9.1 In addition to the eligible outputs specified in Annexure-3, entities may produce any other chemistry or form of critical mineral, as required by customer demand.
- 7.9.2 Such additional outputs shall be subject to prior intimation and approval by the Project Management Agency (PMA) to ensure conformity with the Scheme's objectives.

## 7.10 Incentive Claim Procedure

- 7.10.1 The applicant shall submit incentive claims (Annexure-4) on the online portal, complete with all requisite documents as outlined in Annexure-5, after commencement of commercial production.
- 7.10.2 The PMA may seek additional clarifications or documentation if required.
- 7.10.3 Detailed provisions relating to verification, eligibility, and disbursement of claims are set out under Clause 10.

## 8 Application Procedure and evaluations

### 8.1 Application format and submission

- 8.1.1 Applications shall be submitted on the online portal when the application window is open.
- 8.1.2 Applicants shall register at Ministry of Mines website, under the NCMM / Scheme category.
- 8.1.3 For registration, applicants may log in to the Scheme dashboard and select "Apply for Incentive Scheme".
- 8.1.4 The application form prescribed under these guidelines shall be completed online, and all mandatory information and supporting documents must be uploaded in the specified formats.

8.1.5 A list of documents required for application is provided under Annexure-5 of these Guidelines for reference

## 8.2 Application Fee

8.2.1 An application fee shall be paid electronically, only through NEFT/ RTGS, to the PMA account as applicable to the beneficiary type. Proof of payment must be submitted in the **Application Fee Details** section.

Beneficiary type	Application fee (₹)
Group A	20,000
Group B	10,000

8.2.2 Once an eligible applicant claims subsidy after start of production, a further fee will be charged for processing of disbursement claims. Details will be intimated subsequently.

8.3 Application Window: The Scheme shall be opened initially for a period of 6 (six) months from the date of issue of Scheme guidelines. If required, applications will be invited again.

## 8.4 Preliminary Scrutiny for Acknowledgement

8.4.1 Applications will undergo a preliminary scrutiny based on the details, requirements and documents submitted outlined in annexure-5.

### 8.4.2 Action:

8.4.2.1 If complete → Acknowledgement issued (Annexure-6), application moves to detailed evaluation.

8.4.2.2 If incomplete → The applicant shall have 15 days from the date of communication by the PMA to submit the missing documents; failing which, the application may be closed.

8.4.2.3 PMA will acknowledge the receipt of a complete / incomplete application within 60 days.

## 8.5 Evaluation for Eligibility

8.5.1 The applicant must submit all specified documents (outlined in Annexure-5) for eligibility under the Scheme within 90 days of acknowledgement.

8.5.2 Non-submission of the complete set of specified documents within the prescribed timeframe shall lead to disqualification of the application.

8.5.3 The PMA will evaluate the application based on the details, requirements and documents submitted.

- 8.5.4 After detailed examination of the application, the PMA will make recommendations to the Executive Committee (EC) regarding eligibility of the project within 60 days of receiving all the specified documents.
- 8.5.5 The EC will review and consider eligibility, or rejection, or modification of the application.
- 8.5.6 The eligibility letter issued under the Scheme shall, inter-alia, include the details outlined in Annexure-7.

## 8.6 Portal and Application ID

- 8.6.1 Upon successful submission, PMA will issue a unique application ID to the applicant. This ID must be used for all future communications and activities related to the scheme, including claim submissions and document uploads.
- 8.6.2 All post-eligibility communications, including incentive claims, document verification, and correspondence, shall be routed exclusively through the online portal / email.

- 8.7 The PMA shall ensure that the portal is fully functional for smooth implementation of the Scheme, including secure document submission, tracking, and reporting features.

## 9 Institutional Mechanism

### 9.1 Project Management Agency (PMA)

- 9.1.1 The scheme will be implemented through a nodal agency designated as the Project Management Agency (PMA). The PMA shall be responsible for the secretarial, managerial, and operational implementation of the scheme, as well as any other responsibilities assigned by MoM.
- 9.1.2 The PMA shall, inter alia, perform the following functions:
- 9.1.3 Application Management
  - 9.1.3.1 Receive applications via the online portal, issue acknowledgements, appraise applications, and verify applicant eligibility.
  - 9.1.3.2 Assign a unique application ID for all future correspondence.

#### 9.1.4 Evaluation & Recommendations

- 9.1.4.1 Examine applications and forward eligible ones to the Executive Committee (EC) for review.
- 9.1.4.2 Ensure all eligible applications meet capacity, investment, financial, and technical thresholds.

#### 9.1.5 Incentive Disbursement

- 9.1.5.1 Examine disbursement claims submitted by applicants and forward them to the EC for approval.
- 9.1.5.2 Disbursement of incentives shall be made by the PMA only after EC approval.
- 9.1.5.3 Ensure total disbursement does not exceed the overall scheme outlay as well as per beneficiary ceiling.

#### 9.1.6 Reporting & Monitoring

- 9.1.6.1 Submit periodic reports to the Ministry of Mines on progress, performance, and utilization of incentives.
- 9.1.6.2 Conduct physical verification of assets.
- 9.1.6.3 Submit consolidated budgetary requirements for disbursement to the Ministry of Mines on a regular basis, and the Ministry shall make the necessary budgetary provisions for release of funds under the Scheme.

### 9.2 Executive Committee (EC)

- 9.2.1 The Executive Committee (EC) will review applications appraised by PMA.
- 9.2.2 Chair: Officer not below the rank of Joint Secretary, MoM.
- 9.2.3 Composition: To be constituted and notified separately.
- 9.2.4 Responsibilities:
  - 9.2.4.1 Approve eligibility of beneficiaries as recommended by PMA or rejection, or modification of applications.
  - 9.2.4.2 Approve disbursement claims of eligible entities as per specified criteria on recommendation of PMA.
- 9.2.5 Post-EC Recommendation: PMA will issue the eligibility / disbursal letter, as the case may be, to the applicant with a copy to MoM.

### 9.3 Governing Council (GC)

9.3.1 The Governing Council (GC) shall periodically review scheme progress and projects.

9.3.2 Chair: Secretary, Ministry of Mines.

9.3.3 Composition: To be constituted and notified separately.

9.3.4 Responsibilities:

9.3.4.1 Review progress of Scheme implementation from time to time.

9.3.4.2 Review and suggest amendments to the Scheme guidelines, if considered necessary for effective Scheme implementation.

### 9.4 Competent Authority

9.4.1 The Project Management Agency (PMA) shall be responsible for evaluation of applications and incentive claims and shall place its recommendations before the Executive Committee (EC).

9.4.2 The Executive Committee (EC) shall be the Competent Authority for approval or rejection of disbursement of incentives based on PMA recommendations.

9.4.3 Upon approval by the EC, the PMA shall release the incentive funds directly to the applicant through bank transfer.

9.4.4 The Governing Council (GC) shall have a supervisory and monitoring role, and may review overall scheme implementation, issue clarifications where necessary, and advise on policy-level matters.

9.4.5 For amendments to the Scheme or its Guidelines, the Hon'ble Minister for Mines shall be the Competent Authority.

## 10 Disbursement of Incentives

10.1 Applicants may submit incentive claims at any time during the year, provided the eligibility thresholds have been met. Claims must be supported with statutory auditor certification and a management undertaking.

10.2 Claims based on unaudited financial statements may be submitted provisionally, subject to statutory audit certification within 60 days.

10.3 Incentive disbursement shall be contingent upon verification of the submitted documents. The PMA shall examine each claim, including sales realization,

investment payments, and other supporting documents such as auditors' certificates, bank statements, purchase invoices, and production records.

- 10.4 The PMA shall carry out audit of the submitted claims to verify reasonableness, conformity with guidelines, and compliance with thresholds of metal yield, purity, output form, and capacity utilisation.
- 10.5 Based on this audit and verification, the PMA shall make a formal recommendation to the Executive Committee (EC) regarding admissibility of the claim and the eligible disbursement amount.
- 10.6 Disbursement of incentives shall commence only upon approval of the EC. The PMA shall disburse the incentive in accordance with the EC's approval and extant financial rules.
- 10.7 In case of ambiguity, the PMA may refer matters to the EC, whose decision shall be final.
- 10.8 In case of excess disbursement, the applicant shall reimburse the excess amount along with interest at the prevailing 3-year SBI MCLR/base rate, compounded annually, for the period between disbursement and repayment.
- 10.9 If eligibility or disbursement is found to have been obtained by misrepresentation or furnishing false information, the applicant shall refund the entire disbursed incentive with interest as per Clause 10.8, after being given an opportunity of being heard.
- 10.10 Before final rejection of any claim on technical or documentary grounds, the applicant shall be furnished with a consolidated list of deficiencies and given fifteen (15) days to respond and cure such deficiencies.
- 10.11 The PMA shall furnish quarterly reports to the Ministry of Mines on claims received, amounts disbursed, and reasons for rejection/delay.
- 10.12 The Executive Committee (EC) shall convene at least once every three (3) months to consider and approve disbursement claims recommended by the PMA.

## **11 Related Party Transactions (RPT)**

- 11.1 The applicant shall comply with provisions of the Companies Act, 2013 and the Income Tax Act, 1961 relating to related party transactions.
- 11.2 For international RPT, Form 3CEB filed under the Income Tax Act shall be the reference document. For domestic RPT, the applicant shall submit a management undertaking that arm's length pricing has been applied consistently during the Scheme tenure. The PMA may seek additional documents if required.

- 11.3 Since assessments under the Income Tax Act and other regulatory statutes may take place after incentive claims are processed, the applicant shall provide an undertaking in the prescribed format (Annexure 8), undertaking to refund any excess incentive disbursed (along with interest as per clause 10.8 in case subsequent adjustments are made to RPT values that affect incentive eligibility).

## **12 Review of Performance**

- 12.1 The Scheme shall be implemented with regular monitoring to ensure effective utilization of funds. Performance of beneficiaries shall be reviewed periodically by the PMA and EC.
- 12.2 All beneficiaries shall furnish Quarterly Review Reports (QRRs) within 30 days from the end of each quarter, in the prescribed format on the online portal.

## **13 Request for clarification**

- 13.1 Any clarification regarding the provisions of the Scheme may be sought in writing via email at [director@jnarddc.gov.in](mailto:director@jnarddc.gov.in).

## **14 Residual Conditions**

- 14.1 Applicants must inform the PMA of any change in shareholding pattern during the tenure of the Scheme, post update with the Registrar of Companies.
- 14.2 In case of successor-in-interest (merger, acquisition, or transfer), investments made by the non-approved entity prior to such change shall not be considered. Baseline sales shall remain unchanged.
- 14.3 Prior to disbursement of incentives, applicants must submit the following documents:
- 14.3.1 Management undertaking in prescribed format.
  - 14.3.2 Agreement/Indemnity Bond confirming refund obligation in case of false or excessive claims.
  - 14.3.3 Board Resolution affirming compliance with the Scheme Guidelines.

- 14.4 To promote transparency and deter malpractices, all applicants must provide Integrity Pact undertakings (Annexure 9)
- 14.4.1 **Format A:** At the stage of claim submission.
- 14.4.2 **Format B:** Post-claim submission, before release of funds. No application / claim shall be processed without submission of the undertakings.
- 14.5 Integrity Pact undertakings shall be signed by the applicant's CEO/ MD / Director or an authorized signatory.
- 14.6 Any changes in project location during the tenure shall be notified by the applicant to the PMA, which shall in turn inform the EC and GC.



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## ACRONYMS

- ACC – Advanced Chemistry Cell
- AoA – Articles of Association
- CA – Chartered Accountant
- CE – Chartered Engineer
- CGST – Central Goods and Services Tax
- Col – Certificate of Incorporation
- CPCB – Central Pollution Control Board
- DPIIT – Department for Promotion of Industry and Internal Trade
- EC – Executive Committee / Environmental Clearance (context-specific; used both ways)
- EoL – End-of-Life
- EPR – Extended Producer Responsibility
- FY – Financial Year
- GC – Governing Council
- GMR – Global Manufacturing Revenue
- GST – Goods and Services Tax
- Ind-AS – Indian Accounting Standard
- IPR – Intellectual Property Rights
- JV – Joint Venture
- LCO – Lithium Cobalt Oxide
- LFP – Lithium Iron Phosphate
- LIB – Lithium-Ion Battery
- LLP – Limited Liability Partnership
- MCLR – Marginal Cost of Lending Rate (SBI 3-year reference)
- MoA – Memorandum of Association
- MoM – Ministry of Mines
- MSME – Micro, Small & Medium Enterprises
- NMC – Nickel Manganese Cobalt (battery chemistry)
- Opex – Operational Expenditure
- PAT – Profit After Tax
- PBT – Profit Before Tax
- PCB – Printed Circuit Board
- PGM – Platinum Group of Metals/ Elements
- PMA – Project Management Agency
- PV – Photovoltaic
- QRR – Quarterly Review Report
- R1, R2, R3, R4 – Recycling levels (as per CPCB classification; only R3 and R4 are eligible)

- REE – Rare Earth Elements
- RPT – Related Party Transactions
- SBI – State Bank of India
- SPV – Special Purpose Vehicle
- UTR – Unique Transaction Reference (payment)

### Annexure-1

#### List of critical minerals under the ambit of the incentive scheme

1.	Antimony bearing ores
2.	Beryl and other beryllium bearing minerals
3.	Bismuth bearing ores
4.	Cadmium bearing minerals
5.	Cobalt bearing minerals
6.	Gallium bearing minerals
7.	Germanium bearing Zinc ores
8.	Glauconite
9.	Graphite
10.	Indium bearing minerals
11.	Lithium bearing minerals
12.	Molybdenum bearing minerals
13.	Nickel bearing minerals
14.	Niobium bearing minerals
15.	Phosphate (without uranium)
16.	Platinum Group of Elements bearing minerals
17.	Potash
18.	REE (minerals of the "rare earths" group not containing Uranium and Thorium)
19.	Rhenium bearing minerals
20.	Selenium bearing minerals
21.	Tantalum bearing minerals
22.	Tellurium bearing minerals

23.	Tin bearing minerals
24.	Titanium bearing minerals and ores (ilmenite, rutile and leucoxene)
25.	Tungsten bearing minerals
26.	Vanadium bearing minerals
27.	Zirconium-/ Hafnium-bearing minerals and ores including Zircon

## Annexure-2

### List of Equipment

Equipment	Purpose
Crushing & grinding	
Primary Shredder (double shaft shredders)	Initial size reduction
Hydraulic Shears or Guillotine Cutters	used for cutting large battery modules, metal casings, and e-waste components into smaller pieces
Hammer Crusher	Secondary crushing
High-Speed Turbine Crusher	Fine grinding
Ball Mill & Pulverizer	Reduces material size further for fine separation or leaching, for e.g. black mass from LIBs
Granulation Mill	Breaks down shredded materials into smaller, uniform granules for further processing and separation
Automated Dismantling/Component Removal	The automated dismantling unit efficiently removes electronic components from EoL PCBs, enabling better recovery of valuable metals
Optical sorting using Near-Infrared (NIR) and X-Ray Transmission (XRT) and color	Optical sorting using Near-Infrared (NIR), X-Ray Transmission (XRT), and Color Sorting enables automated separation of materials based on composition and visual characteristics, enhancing the efficiency of critical mineral recovery from mixed waste streams
Laser-Induced Breakdown Spectroscopy (LIBS)	Utilizes high-energy laser pulses to generate micro plasma on the material surface, enabling rapid, in-line elemental analysis and precise sorting of metals and minerals based on their atomic composition. This enhances the efficiency of critical mineral recovery by enabling selective separation of metals or minerals

Electrostatic separators	Utilize high-voltage electric fields to induce charge differences between conductive and non-conductive materials, enabling efficient separation of metals and plastics in e-waste recycling and recovery of critical minerals.
Airflow Separator (Air Classification Unit)	Non-metal separation
Magnetic Separator	Ferrous metal removal
Eddy current separator	separation of non-ferrous from non-metal
Hydrocyclones	Classifies and concentrates fine critical minerals (Li, Co, Ni) using water-based separation.
Briquetting & Pelletizing Machine	Compresses fine metal residues or powders into briquettes or pellets for easier handling, smelting, or recycling.
Multi-Gravity Separator	Advanced gravity separation for recovering ultra-fine metal and mineral particles from e-waste residues.
Rotary Sieves	Separates fine metal powders and black mass from larger fractions.
Flotation Cells	Generate air bubbles to selectively float metal/plastic particles.
Trommel Screens	Rotating drum screens for classifying different-sized particles. Used for pre-sorting battery and e-waste materials.
Vibrating Screens	Separates crushed material into different particle sizes for further processing
Dewatering Screens/Filters	Remove excess water from flotation concentrates before drying.

Slurry Pumps	Transport slurry between different stages of flotation.
Reagent Dosing System	adds flotation reagents (surfactants, collectors).
Extraction of Metallic Values	
Smelting & Refining Furnace	Extraction of metals and refining
Water Circulation System	Cooling & temperature control
High-Temperature Pyrolysis Furnace	Breaks down organic binders and extracts valuable metals.
Vacuum Distillation Unit	Recovers high-purity metals through distillation.
Vacuum System & Pumps	Maintains the required vacuum (~20 Pa) for controlled evaporation of metals.
Condensation & Collection Unit	Captures volatilized gallium and arsenic vapors, preventing atmospheric release.
Hydrothermal Reactor	Operates under high pressure and temperature to dissolve GaAs using oxidants and phosphate buffer.
pH & Oxidant Dosing System	Precisely controls oxidant and phosphate buffer addition for optimal GaAs decomposition.
Leaching System	
Leaching Reactors	Dissolves target metals from waste material using acids or alkalis.
Peristaltic & Chemical Dosing Pumps	Peristaltic pump is characterized by a special combination of fluid handling mechanism and design flexibility for multichannel applications

Filter Press / Vacuum Filtration Unit	Filtration plates, hydraulic press, filter cloth.
Ultrasonic Leaching Reactors	Utilizes high-frequency ultrasound waves to enhance mass transfer, improve reaction kinetics, and accelerate mineral dissolution
Microwave-Assisted Leaching	Uses microwave energy to selectively heat minerals, improving reaction rates and reducing reagent consumption. Beneficial for selective extraction of metals from ores and e-waste
Electro-Leaching Reactors	Applies electrical potential to facilitate metal dissolution and enhance ion transport, leaching efficiency reducing the consumption of chemical reagents. Ideal for recovery of metals like Cu, Ni, Co, and rare earths
Ionic Liquid Leaching Reactors	Utilize non-volatile, non-aqueous ionic liquids as environmentally friendly solvents to selectively dissolve metals from ores, industrial residues, permanent magnet scraps or electronic waste. Unlike conventional acid-based leaching, IL-based leaching reduces toxic emissions, enhances metal selectivity, and enables efficient recovery of rare earth elements (REEs) and precious metals (Au, Pt, Pd, etc.)
pH Control System & Neutralization Tank	pH sensors, neutralization tanks, chemical dosing.
Bioreactors (Aerobic & Anaerobic)	Provides controlled conditions for bacteria/fungi to leach metals from e-waste.
Culture Growth & Inoculation Tanks	Cultivates bacterial and fungal cultures
Nutrient Dosing System	Supplies nutrients (sulfur, iron, carbon sources) for microbial activity and metal solubilization.
Agitation & Aeration System	Ensures oxygen and CO <sub>2</sub> exchange for microbial growth and enhances metal recovery kinetics.

Solvent Extraction (SX) & Ion Exchange (IX) System	
Solvent Extraction Columns/Mixer-Settlers	Selectively extracts metal ions from leach solution.
Organic & Aqueous Phase Storage Tanks	Storage system
Ion-Exchange Resin Columns	Purifies metal solutions using ion exchange resins.
Strip Solution Regeneration Tanks	Recovers extracted metals into separate solutions.
Precipitation & Crystallization Unit	
Precipitation Tanks (Agitated Reactor Tanks)	Converts dissolved metals into solid precipitates.
Filtration Unit (Vacuum Filter Press or Centrifuge)	Separates precipitated solids from liquid.
Drying & Calcination Furnace	Removes moisture from precipitated metal salts.
Rotary Evaporators	Removes solvents to purify metal extracts.
Electrolysis / Electro winning	
Electrowinning Cells	Recovers high-purity metals from solution via electrolysis.
Rectifier Power Supply	Provides controlled DC power for metal deposition.
Electrolyte Circulation Pumps	Continuously circulate / agitate the electrolyte to maintain homogenous bath composition for better kinetics
Cathode Stripping Machine	Strip the deposited metal from cathode surface
Lithium-ion Battery recycling	

Battery Conveyor & Feeding System	Transports batteries in a controlled manner to the discharge units, ensuring a steady flow and avoiding bottlenecks.
Resistive Load Bank Discharge Unit	Connects batteries to a controlled resistive load to safely discharge stored energy in a monitored and controlled manner. Convert excess energy into heat while ensuring voltage drop control.
Fume Extraction & Scrubbing System	Captures and neutralizes any hazardous gases released during discharge, such as fluoride vapors or hydrogen fluoride (HF).
Battery Crushing/Shredding System	After full discharge, the batteries are mechanically shredded into small fragments for easier separation of black mass, metals, and plastics.
Black Mass Collection Unit	Collects the discharged black mass (containing lithium, cobalt, nickel, manganese, and graphite) for further refining and metal extraction.
High temperature Pyrolysis Furnace	Removes organic binders and improves recovery.
Graphite Recovery Unit for black mass	Separates graphite for reuse in battery production through sieving or flotation or chemical process
Plasma Smelting Furnace	Generates high temperatures to melt metal content and refines molten metal
Reactors for lithium hydroxide production	Convert lithium carbonate into lithium hydroxide.
Crystallizers for lithium hydroxide production	Forms lithium hydroxide crystals.
Filtration	Removes impurities from lithium hydroxide.
General equipment	

Conveyor Belt System	facilitates the efficient transport of materials between processing stages, ensuring smooth handling, sorting, and separation of valuable metals
Scrap storage bins	To store scraps of different materials
Chemical storage tanks	Safely stores acids, bases, and chemical reagents.
Automated Control Systems (SCADA/PLC)	Controls and monitors the entire recycling process.
Safety Equipment (PPE, Fire Suppression, Gas Sensors)	Ensure worker safety and prevent hazardous incidents.
Vibratory feeders	Facilitates smooth and controlled feeding of raw materials to crushers, shredders, or processing units. Prevents clogging and ensures uniform flow.
Air Compressors	Provide pressurized air for bubble generation in flotation cells.
Pollution Abatement	
Pulse Dust Collection System	Air pollution control
Dust & Gas Scrubbing System	Controls air pollution by capturing dust, fumes, and toxic gases emitted from shredding, pyrolysis, or metal recovery processes
Effluent/water treatment plant	
Neutralization Tanks	Adjusts pH and removes heavy metals
Filtration System	Removes suspended solids and contaminants.
Evaporators	Concentrates and recycles process water through steam heating & distillation setup

Testing & Characterization	
Battery Cycler (Charge-Discharge Tester)	Evaluates battery charge retention and discharge performance.
Thermal Chamber	Tests battery performance under extreme temperatures.
Gas Analyzers (CO <sub>2</sub> , H <sub>2</sub> , HF, etc.)	Monitors toxic gas emissions during discharge and black mass processing.
Ion Chromatography (IC)	Analyzes fluoride, chloride, and sulfate ions in effluents.
Total Organic Carbon (TOC) Analyzer	Measures organic contamination in process water.
Gas Chromatography – Mass Spectrometry (GC-MS)	Detects volatile organic compounds (VOCs) from e-waste processing.
Titration	Determines water content in black mass and electrolyte residues.
pH Meter	Monitors acidity/alkalinity in leaching and precipitation processes.
Conductivity Meter (for liquids)	Measures ionic strength in leach solutions.
Redox Potential (ORP) Meter	Evaluates oxidation-reduction potential in solvent extraction & electrowinning.
Laser Particle Size Analyzer	Measures particle size distribution of processed black mass and cathode powders.
X-Ray Fluorescence (XRF) Analyzer	Rapid elemental composition analysis of metals, alloys, and black mass.
Inductively Coupled Plasma – Optical Emission Spectroscopy (ICP-OES)	Determines trace metal concentrations in leach solutions, black mass, and extracted materials.

Inductively Coupled Plasma – Mass Spectrometry (ICP-MS)	Ultra-trace level metal detection, essential for rare earth and precious metals analysis.
Scanning Electron Microscope (SEM) with EDS	Morphological and elemental analysis of fine metal particles and black mass residues.
X-Ray Diffraction (XRD) Analyzer	Identifies crystalline phases in battery cathodes, slags, and processed materials.
Carbon/Sulfur Analyzer	Determines carbon and sulfur content in recycled anode materials and slags.
Thermogravimetric Analyzer (TGA/DSC)	Studies thermal decomposition behavior
Electrochemical Workstation	Studies lithium, nickel, cobalt, and copper electrode behavior.
Atomic Fluorescence Spectrometer (AFS)	Detects mercury, arsenic, and heavy metal traces in wastewater.

### Annexure-3

#### Eligible outputs, purity and yield – Battery Recycling

Critical Mineral	Compound / form	Purity
Lithium	Lithium carbonate ( $\text{Li}_2\text{CO}_3$ )	≥99%
	Lithium hydroxide monohydrate ( $\text{LiOH}\cdot\text{H}_2\text{O}$ )	≥99%
	Lithium chloride ( $\text{LiCl}$ )	≥99%
Yield ≥ 70% for 1-2 years Yield ≥ 80% for 3-4 years Yield ≥ 90% for 5 <sup>th</sup> year		
Nickel	Nickel sulphate	≥99%
	Nickel carbonate ( $\text{NiCO}_3$ )	≥99%
	Nickel hydroxide ( $\text{Ni}(\text{OH})_2$ )	≥99%
	Nickel oxide ( $\text{NiO} / \text{Ni}_2\text{O}_3$ )	≥99%
	Pure metal	≥99%
Yield ≥ 90%		
Cobalt	Cobalt sulphate	≥99%
	Cobalt carbonate ( $\text{CoCO}_3$ )	≥99%
	Cobalt hydroxide ( $\text{Co}(\text{OH})_2$ )	≥99%
	Cobalt oxide ( $\text{Co}_3\text{O}_4 / \text{CoO}$ )	≥99%
	Pure metal	≥99%
Yield ≥ 90%		
Graphite	Graphite	≥95%
Yield ≥ 90%		

**Eligible outputs, purity and yield – E-waste Recycling**

<b>Metal</b>	<b>Allowed Commercial Forms</b>	<b>Minimum Recovery Yield (%)</b>	<b>Minimum Purity Required (%)</b>
Gallium (Ga)	Gallium metal (6N grade), Gallium arsenide (GaAs), Gallium nitride (GaN)	≥ 90 %	≥ 99 %
Tantalum (Ta)	Tantalum carbide (TaC) sponge, Tantalum metal powder, Tantalum oxide	≥ 85 %	≥ 97 %
Tin (Sn)	Tin metal, Tin chloride	≥ 80 %	≥ 99 %
Cobalt (Co)	Cobalt metal powder, Cobalt oxide (CoO)	≥ 85 %	≥ 97 %
Cadmium (Cd)	Cadmium metal	≥ 75 %	≥ 99 %
Tellurium (Te)	Tellurium metal	≥ 75 %	≥ 99 %
Palladium (Pd)	Palladium metal powder, Palladium flakes, Palladium nanoparticles	≥ 80 %	≥ 98 %
Platinum (Pt)	Platinum metal powder, Platinum bars	≥ 80 %	≥ 98 %
Indium (In)	Indium metal ingots, Indium chloride, Indium oxide	≥ 90 %	≥ 99 %
Selenium (Se)	selenium (Se) powder, Selenium dioxide (SeO <sub>2</sub> ), diethyl selenide	≥ 80 %	≥ 99 %
Nickel	Nickel sulphate, Nickel carbonate, Nickel hydroxide, Nickel oxide, Pure metal	≥ 80 %	≥ 99 %

Eligible outputs, purity and yield – RE Magnets Recycling

Metal	Allowed Commercial Forms	Minimum Recovery Yield (%)	Minimum Purity Required (%)
REE Neodymium (Nd), Dysprosium (Dy), Praseodymium (Pr), Terbium (Tb), Samarium (Sm)	Neodymium oxide, Neodymium metal, High-purity Nd alloy powder Dysprosium oxide, Dysprosium metal, Praseodymium oxide, Praseodymium metal Terbium oxide, Terbium metal, Samarium oxide, Samarium metal  Recovery of mixed rare-earth oxides (REO) blends (e.g., Nd-Pr-Dy) will be admissible provided overall purity is $\geq 99\%$ , yield $\geq 80\%$ and the blend comprises two (2) or more rare-earth elements	$\geq 80\%$	$\geq 99\%$

Eligible outputs, purity and yield – Catalytic Converter Recycling

Metal	Allowed Commercial Forms	Minimum Recovery Yield (%)	Minimum Purity Required (%)
Platinum (Pt)	Platinum metal (powder, ingots, sponge)	$\geq 90\%$	$\geq 99\%$
Palladium (Pd)	Palladium metal (powder, flakes)	$\geq 90\%$	$\geq 99\%$
Rhodium (Rh)	Rhodium metal (powder, small beads)	$\geq 85\%$	$\geq 99\%$
Cerium (Ce)	Cerium oxide	$\geq 80\%$	$\geq 99\%$
Lanthanum (La)	Lanthanum oxide	$\geq 80\%$	$\geq 99\%$

#### Annexure-4

#### Disbursement / Incentive claim form

1. Applicant name
2. Target segment
3. Description of raw material / scrap type: [alpha-numeric] (write wastes like magnets, alloy scraps, catalytic converters)
4. Targeted critical minerals to be recovered: [multiple selections form below]
  - Antimony bearing ores
  - Beryl and other beryllium bearing minerals
  - Bismuth bearing ores
  - Cadmium bearing minerals
  - Cobalt bearing minerals
  - Gallium bearing minerals
  - Germanium bearing Zinc ores
  - Glaucosite
  - Graphite
  - Indium bearing minerals
  - Lithium bearing minerals
  - Molybdenum bearing minerals
  - Nickel bearing minerals
  - Niobium bearing minerals
  - Phosphate (without uranium)
  - Platinum Group of Elements
  - Potash
  - REE (minerals of the "rare earths" group not containing Uranium and Thorium)
  - Rhenium bearing minerals
  - Selenium bearing minerals
  - Tantalum bearing minerals
  - Tellurium bearing minerals
  - Tin bearing minerals
  - Titanium bearing minerals and ores (ilmenite, rutile and leucosene)
  - Tungsten bearing minerals
  - Vanadium bearing minerals
  - Zirconium-/ Hafnium-bearing minerals and ores including Zircon
5. Application acknowledgement date:
6. Ref no and date of issue of eligibility letter

7. Thresholds of incremental investment and incremental sale of critical minerals produced achieved
  - Yes
  - No
8. If yes, please upload documentation proof
9. Baseline for investment (as on 31-03-2025)
10. Baseline for sales of critical minerals covered under target segment (date shall be after the date of scheme notification):
11. Incentive sought
  - Capex
  - Opex
12. Applicable ceilings as per eligibility letter:
13. Utilisation Certificate from statutory auditor:
14. Certificates / undertakings stating / covering no deviation in eligible investment on equipment
15. Certificates from company secretary stating obtaining of all clearances
16. Certificates from statutory auditor stating / covering incremental threshold sales achievement
17. Documents / certificates from chartered engineer
18. Undertaking letter, attested on letter head as per Annexure-8 in scheme guidelines

**Annexure- 5**

**List of Documents required - Stagewise**

Stage	Documents Required	Mandatory / Conditional
<b>Application Stage</b>	Company PAN (with file upload)	Mandatory
	GST No. (with file upload)	Mandatory
	Registered Office & Factory/Plant Address	Mandatory
	Geo Location of Factory/Plant	Mandatory
	ID proof of authorized representative (Employee card / Aadhaar / PAN / Passport)	Mandatory
	Board Resolution / Authorisation letter or Self-declaration (for Proprietorships/ Partnerships/Startups) as per formats in Annexure-10 & 11	Mandatory
	Entity type-specific documents: <ul style="list-style-type: none"> <li>• Pvt Ltd/Public Ltd → Col, MoA, AoA, Shareholding Pattern</li> <li>• LLP → Col, LLP Agreement, Partner Contribution (CA/CS certified)</li> <li>• Partnership → Partnership Deed, Registration Certificate</li> <li>• Proprietorship → PAN of Proprietor, Udyam/MSME cert. (optional)</li> <li>• JV → JV Agreement, Col, MoA, AoA, Certified Shareholding Pattern</li> </ul>	Mandatory (based on entity type)
	Audited Financial Statements (last 3 FYs, turnover/net worth/PBT/PAT)	Mandatory (if >3 years old); Conditional (if startup/ <3 yrs)
	Gross Manufacturing Revenue – CA/Auditor certificate	Mandatory
	Proofs of funds received from Govt./Agencies	Conditional
RBI/SEBI defaulter proofs (if applicable)	Conditional	

	CIBIL Score + File Upload	Mandatory (except startups with no borrowing history)
	Declaration of No Double-Claim (self-declaration)	Mandatory
	Chairman / CEO / CTO Profiles (PDFs)	Mandatory
	Senior Management CVs (min 3, up to 5)	Mandatory
	Undertaking on proposed capacity & investment as per Annexure-12	Mandatory
	Proof of land ownership (purchase deed) OR lease deed (≥5 years)	Mandatory
	Target segment description (if "Others" selected)	Conditional
	Battery chemistry details (for LIBs)	Conditional
	E-waste type description	Conditional
	Proof of Application Fee Payment (UTR receipt)	Mandatory
	Declarations (No Double-Claim, Compliance, Truthful Info)	Mandatory
<b>Eligibility Stage</b>	Detailed Project Report (DPR) with process flow, CAPEX/OPEX, recovery efficiency, M&E balance	Mandatory
	EPR Registration/Authorization from CPCB (for e-waste recyclers)	Conditional
	Technology/Technical Evaluation docs (pilot/commercial data, EHS controls, IP/TOT agreements, purity certificates)	Mandatory
	DPR Presentation Slides (for Technical Committee)	Mandatory
	Bank/FI sanction letters, investor pledges, promoter equity proofs	Mandatory
	Breakup of eligible & non-eligible investments (with proofs)	Mandatory

	Raw Material Sourcing Agreements (minimum 2 years' capacity)	Mandatory
<b>Disbursement Stage</b>	Purity Test Certificate (ISO 17025:2017 accredited lab)	Mandatory
	Metal Yield Verification docs (material balance chart, raw material invoices, sales invoices, production sheets)	Mandatory
	Consent to Operate (CTO) document	Mandatory
	CA-certified statement of actual expenditure (with invoices & payment proofs)	Mandatory
	Proof of Production Activity (utility bills, RM invoices, dispatch invoices)	Mandatory
	Production logs (last 3 months – ERP or manual logs)	Mandatory
	Actual production data sheets/reports (min 3 critical minerals, except CC & PMs)	Mandatory
	Undertaking (Annexure-8)	Mandatory
	Format A & B (Annexure-9)	Mandatory

## Annexure-6

### Contents of acknowledgement

#### Acknowledgement of Application

(Incentive Scheme for Promotion of Critical Mineral Recycling under NCMM)

We hereby acknowledge the receipt of the application for consideration under the Incentive Scheme for Critical Mineral Recycling. The details provided by the applicant are as follows:

#### Applicant Details

- Name of the Applicant / Organization: \_\_\_\_\_
- Registered Address: \_\_\_\_\_
- Contact Person & Designation: \_\_\_\_\_
- Email ID & Phone Number: \_\_\_\_\_

#### Scheme Details

- Target Segment Applied For: (e.g., Lithium-ion Battery Waste Recycling / E-waste Recycling / Catalytic Converters / Permanent Magnets / Superalloy Scrap / Others): \_\_\_\_\_
- Beneficiary Type: (Group A / Group B)
- Application Reference Number (ARN)/Unique ID: \_\_\_\_\_
- Date of Application Submission: \_\_\_\_\_

#### Operational / Technical Information

- Proposed Project Location(s): \_\_\_\_\_
- Proposed Annual Recycling Capacity (in MT): \_\_\_\_\_
- Critical Minerals Targeted for Recovery: \_\_\_\_\_
- Purity Levels Proposed: \_\_\_\_\_
- Estimated CAPEX Investment (₹ Cr): \_\_\_\_\_
- Estimated OPEX Investment (₹ Cr): \_\_\_\_\_

#### Compliance & Eligibility

- Eligibility Category: (As per Guidelines) \_\_\_\_\_

#### Supporting Documents Submitted:

- Incorporation / Registration Certificate
- Net Worth / Financial Statements with Auditor's Certification
- Land ownership/lease deed
- Environment & Safety Compliance Documents
- Any other supporting documents

## Annexure-7

### Contents of Eligibility Letter

The **eligibility letter** issued under the Scheme shall, inter-alia, include the following details:

1. Name of Applicant
2. Project Unit Location
3. Date of Acknowledgement and/or Eligibility
4. Target Segment
5. Critical minerals to be Recovered
6. Base Year, as applicable
7. Incentive Period / incentive schedule subject to conditions
8. Eligibility Criteria with respect to investment and sales, as applicable
9. Target Segment Specific Eligibility Criteria (yield, eligible outputs, etc.)
10. Yearly Projections Submitted by Applicant (Capital Expenditure, Incremental Sales,)
11. Expected OPEX Incentive
12. Any Other Information or Conditions stipulated by the Competent Authority

**Annexure-8**

**FORMAT OF UNDERTAKING**

*(On the Letterhead of the Applicant)*

We, \_\_\_\_\_, hereby acknowledge that the incentives that may be provided to us under the Incentive Scheme for Critical Mineral Recycling, notified by the Ministry of Mines under the National Critical Minerals Mission, will be extended based on, and in reliance upon, the information submitted by us for availing the said incentives.

We hereby confirm that the information furnished by us for availing the said incentives is true, correct, and complete in all respects, and that no material fact or information having an adverse bearing on our eligibility or claim under the Scheme has been concealed. We further confirm that this declaration shall remain valid on an ongoing basis and undertake to promptly apprise the Ministry of Mines of any change in the status of the information furnished by us.

We further undertake that in the event of:

- i) any of the information furnished by us being found to be false, incorrect, or incomplete, or
- ii) any of the undertakings and confirmations provided herein being found false, incorrect, incomplete, or breached,

we shall:

- a) refund the entire amount of incentives availed by us along with interest calculated at the prevailing 3-year SBI MCLR/base rate, compounded annually, for the period between the date of disbursement and the date of refund; and
- b) accept any other directions issued by the PMA / Ministry of Mines in this regard.

We acknowledge that the remedies provided in clause (a) and (b) above are not exclusive and are without prejudice to any other legal remedies available to the Ministry of Mines under applicable laws or guidelines of the Scheme.

Authorized

Signatory

Signature:

Name:

Designation:

Date:

Seal/Stamp of Applicant

Annexure-9

**Integrity Pact – Format A**

*(To be submitted at the stage of Claim Submission under Incentive Scheme for Critical Mineral Recycling)*

UNDERTAKING

This Integrity Pact is made and executed on this \_\_\_ day of \_\_\_\_\_, 20, between:

(i) The JNARDDC (Autonomous body under the Ministry of Mines), acting through the **Ministry of Mines** as Project Management Agency, hereinafter referred to as the "Authority",

AND

(ii) M/s \_\_\_\_\_, a company/ partnership/ LLP/ startup / JV having its registered office at \_\_\_\_\_, hereinafter referred to as the "Applicant/ Beneficiary".

WHEREAS

1. The Authority has issued guidelines for the **Incentive Scheme for Promotion of Critical Mineral Recycling** under the National Critical Mineral Mission (NCMM).
2. The Applicant/Beneficiary has applied, got approved and submitted a claim under the said scheme.
3. The Authority and the Applicant/Beneficiary agree to enter this Pact to ensure transparency, fairness, and integrity during the processing of the claim.

NOW, THEREFORE, IT IS HEREBY AGREED AS FOLLOWS:

**1. Commitment of the Authority**

- o The Authority undertakes that no official of the Authority will demand, accept, or take any benefit of any kind whatsoever, directly or indirectly, from the Applicant/Beneficiary.
- o The Authority will ensure fair and transparent evaluation of the application/claim in accordance with the scheme guidelines.

**2. Commitment of the Applicant/Beneficiary**

- o The Applicant undertakes that it has not offered, promised, or given and shall not offer, promise, or give to any person in the Authority or otherwise any undue advantage to obtain or influence the processing of its application/claim.
- o The Applicant shall disclose all relevant facts and documents truly and fully.

- o The Applicant shall not engage in collusion, cartelization, or manipulation in the application/claim process.

### 3. Violations & Consequences

- o Any violation of this Pact by the Applicant shall entitle the Authority to reject the application/claim, forfeit any benefits, and initiate appropriate legal action.
- o Any violation by the Authority's officials shall be subject to disciplinary and legal action under applicable laws.

### 4. Duration of the Pact

- o This Pact shall remain valid from the date of claim submission till the final settlement of all dues under the Incentive Scheme.

### 5. Other Provisions

- o This Pact is subject to the laws of India.
- o The Authority and the Applicant agree to refer any unresolved issues arising out of this Pact to an Independent External Monitor (IEM) appointed by the Ministry of Mines.

#### Signatures

For and on behalf of the **Applicant/Beneficiary**

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Date: \_\_\_\_\_

Seal/Stamp: \_\_\_\_\_

For and on behalf of the **Authority**  
(Authorized Signatory – PMA)

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Date: \_\_\_\_\_

Seal/Stamp: \_\_\_\_\_

## Integrity Pact – Format B

*(To be submitted post-claim submission and before release of funds under Incentive Scheme for Critical Mineral Recycling)*

### UNDERTAKING

(i) The JNARDDC (Autonomous body under the Ministry of Mines), acting through the **Ministry of Mines** as Project Management Agency, hereinafter referred to as the "Authority",

AND

(ii) M/s \_\_\_\_\_, a company/ partnership/ LLP/ startup / JV having its registered office at \_\_\_\_\_, hereinafter referred to as the "Applicant/ Beneficiary".

### WHEREAS

1. The Authority has issued guidelines for the **Incentive Scheme for Critical Mineral Recycling** under the National Critical Mineral Mission (NCMM).
2. The Applicant/Beneficiary has submitted its claim under the said scheme for disbursement of incentive.
3. The Authority and the Applicant/Beneficiary agree to enter this Pact to ensure integrity, transparency, and proper utilization of funds released under the scheme.

NOW, THEREFORE, IT IS HEREBY AGREED AS FOLLOWS:

#### 1. Commitment of the Authority

- o The Authority undertakes that no official of the Authority will demand, accept, or take any benefit of any kind whatsoever, directly or indirectly, from the Applicant/Beneficiary.
- o The Authority will process the claim strictly as per the guidelines of the scheme and ensure transparency in the release of funds.

#### 2. Commitment of the Applicant/Beneficiary

- o The Applicant undertakes that all information furnished in the claim submission is true, complete, and correct to the best of its knowledge.
- o The Applicant undertakes to utilize the incentive funds released solely for the purposes stated in the application /claim and in compliance with scheme guidelines.

- o The Applicant shall not misrepresent facts, submit falsified documents, or misappropriate funds received under the scheme.
- o The Applicant agrees to maintain proper books of accounts, records, and supporting documents and to make them available for inspection/ verification by the Authority or its authorized representatives.

**3. Violations & Consequences**

- o In case of violation of this Pact or misrepresentation by the Applicant, the Authority shall have the right to:
  - Reject the claim and/or recover disbursed funds with interest.
  - Blacklist the Applicant from future participation under the scheme.
  - Initiate legal/penal action under applicable laws.
- o Any violation by the Authority's officials shall be subject to disciplinary and legal action under applicable laws.

**4. Duration of the Pact**

- o This Pact shall remain valid until the complete settlement of all obligations arising from the release and utilization of funds.

**5. Other Provisions**

- o This Pact is subject to the laws of India.
- o Any disputes arising out of this Pact shall be referred to the Independent External Monitor (IEM) appointed by the Ministry of Mines.

**Signatures**

For and on behalf of the **Applicant/Beneficiary**

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Date: \_\_\_\_\_

Seal/Stamp: \_\_\_\_\_

For and on behalf of the **Authority**

(Authorized Signatory – Ministry of Mines / PMA)

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Date: \_\_\_\_\_

Seal/Stamp: \_\_\_\_\_

**Annexure-10**

**Board Resolution / Authorization**

(To be printed on company's letterhead)

Subject: Resolution passed at the meeting of the Board of Directors of M/s  
\_\_\_\_\_ held on \_\_\_\_\_ at \_\_\_\_\_:

RESOLVED THAT Mr./Ms. \_\_\_\_\_, Designation \_\_\_\_\_, be and is hereby authorized to submit the application under the Incentive Scheme for Critical Mineral Recycling under NCMM on behalf of the company and to sign, execute, and submit all related documents.

(Signature of Board Director)

Name

Designation

Date

Seal/Stamp

(Signature of Board Member - I)

Name

Designation

Date

Seal/Stamp

(Signature of Board Member - II)

Name

Designation

Date

Seal/Stamp

**Annexure-11**

**Self-Declaration / Authorization**

(To be printed on company's letterhead)

Subject: Self-Declaration for participation in Incentive Scheme for Critical Mineral Recycling

I hereby declare that myself Mr./Ms. \_\_\_\_\_, be and is hereby authorized to submit the application under the Incentive Scheme for Critical Recycling under NCMM on behalf of the company and to sign, execute, and submit all related documents.

(Signature)

Name

Designation

Date

Seal/Stamp

**Annexure-12**

**Capacity & Investment Undertaking**

(To be printed on company's letterhead)

We, M/s \_\_\_\_\_, undertake that the proposed installed capacity for the project is \_\_\_\_\_ KTPA and the total investment pledged is ₹ \_\_\_\_\_ crores. We understand that if we don't meet the minimum threshold for capacity and investment as per the guidelines of Incentive Scheme for Critical Minerals Recycling under NCMM, we would need to return the subsidy amount, if any received will be returned as per the guidelines of Project Management Agency / Executive Committee / Ministry of Mines. The investment break-up and financial closure details are enclosed.

Reference Board Resolution No. \_\_\_\_\_ dated \_\_\_\_\_. (if applicable)

(Signature of Authorized Signatory with Seal)

Name

Designation

Date

Seal/Stamp