

## Standard Operating Procedure and Checklist

<b>Name of Department</b>	<b>Department of Factories and Boilers</b>
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### 1. Standard Operating Procedure for Applicant

<b>Application for</b>	Factory Plan Approval
<b>Mandatory supporting documents required</b>	<ol style="list-style-type: none"> <li>1. Flowchart of the manufacturing process</li> <li>2. Description of the manufacturing process in various stages</li> <li>3. 1:400 scale plan of the site of the factory and surroundings</li> <li>4. Plan, elevation and cross section of the buildings of the factory in 1:200 scale</li> <li>5. Drawings of machinery layout in 1:200 scale</li> <li>6. Drawings of rainwater harvesting plant</li> <li>7. NOC from pollution control board (Hazardous industries only)</li> <li>8. NOC from Chief Town Planner (Hazardous industries only)</li> </ol>
<b>Process description</b>	<ul style="list-style-type: none"> <li>— Step 1: Submission of online application along with supporting documents and required fees through Single window portal.</li> <li>— Step 2: Review of application at the office of the Regional Joint Director</li> <li>— Step 3: Site Inspection by Factory Inspector</li> <li>— Step 4: Issue of permit after satisfactory site inspection</li> <li>— Step 5: Once the permit is issued, the downloadable version shall be available on the user's home page.</li> </ul>
<b>Procedure for Fees payment</b>	Online payment through Single window portal
<b>List of Reference Documents</b>	<p>Factories Act 1948</p> <p>Kerala Factories Rules 2A,3,4,5,6,7,11 and 12C</p>
<b>Time line for completing the process</b>	90 days from the date of submission of completed application.
<b>Checking of Application Status</b>	Application status can be tracked through Single window portal

<b>Application for</b>	Issue of Factory Licence
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<p><b>Mandatory supporting documents required</b></p>	<ol style="list-style-type: none"> <li>1. Stability certificate</li> <li>2. Copy of plan approval permit</li> <li>3. Company documents as applicable for the type of company: <ol style="list-style-type: none"> <li>a. Ownership/proprietorship/partnership deed</li> <li>b. Memorandum and articles of association</li> <li>c. List of partners</li> <li>d. List of directors</li> <li>e. Copy of appointment order of Director/Managing Director/Chairman/ President/ in-charge appointed by Government or Local Authority for government run factories.</li> </ol> </li> <li>4. NOC from Pollution Control Board</li> <li>5. NOC from Kerala Forest Department (if timber processing or tree felling is involved)</li> <li>6. Copy of rental agreement/registered lease agreement or property tax receipt.</li> <li>7. Power of attorney if the application is being submitted by someone else on behalf of the promoter.</li> </ol>
<p><b>Process description</b></p>	<ul style="list-style-type: none"> <li>— Step1: Submission of online application along with supporting documents and required fees through Single window portal.</li> <li>— Step 2: Review of application at the office of the Regional Joint Director</li> <li>— Step 3: Site inspection by Factory Inspector</li> <li>— Step 4: Issue of licence after satisfactory site inspection</li> <li>— Step 5: Once the licence is issued, the downloadable version shall be available on the user’s home page.</li> </ul>
<p><b>Procedure for Fees payment</b></p>	<p>Online payment</p>
<p><b>List of Reference Documents</b></p>	<p>Factories Act 1948 Kerala Factories Rules 2A,3,4,5,6,7,11 and 12C</p>
<p><b>Time line for completing the process</b></p>	<p>60 days from the date of submission of completed application.</p>

<b>Checking of Application Status</b>	Application status can be tracked through Single window portal
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## 2. Standard Operating Procedure for Approver

<b>Application for</b>	Factory Plan Approval
<b>Mandatory supporting documents required</b>	<ol style="list-style-type: none"> <li>1. Flowchart of the manufacturing process</li> <li>2. Description of the manufacturing process in various stages</li> <li>3. 1:400 scale plan of the site of the factory and surroundings</li> <li>4. Plan, elevation and cross section of the buildings of the factory in 1:200 scale</li> <li>5. Drawings of machinery layout in 1:200 scale</li> <li>6. Drawings of rainwater harvesting plant</li> <li>7. NOC from pollution control board (Hazardous industries only)</li> <li>8. NOC from Chief Town Planner (Hazardous industries only)</li> </ol>
<b>List of Reference Documents</b>	Factories Act 1948 Kerala Factories Rules 1957
<b>Time line for completing the process</b>	90 days
<b>Departmental Work Flow</b>	Online Application → Inspector → Clerk → Inspector → Joint Director → SS/JS → Clerk → SS/JS → Joint Director → Director → Tapal Clerk → Draftsman → Head Draftsman → Inspector of factories & Boilers(HQ) → Joint Director (HQ) → Director → Order issued online for applicant

<b>Application for</b>	Issue of factory licence
<b>Mandatory supporting documents required</b>	<ol style="list-style-type: none"> <li>1. Stability certificate</li> <li>2. Copy of plan approval permit</li> <li>3. Company documents as applicable for the type of company: <ol style="list-style-type: none"> <li>a. Ownership/proprietorship/partnership deed</li> <li>b. Memorandum and articles of association</li> <li>c. List of partners</li> <li>d. List of directors</li> </ol> </li> </ol>

	<p>e. Copy of appointment order of Director/Managing Director/Chairman/ President/ in-charge appointed by Government or Local Authority for government run factories.</p> <p>4. NOC from Pollution Control Board</p> <p>5. NOC from Kerala Forest Department (if timber processing or tree felling is involved)</p> <p>6. Copy of registered rental agreement/lease agreement or property tax receipt.</p> <p>7. Power of attorney if the application is being submitted by someone else on behalf of the promoter.</p>
<b>List of Reference Documents</b>	<p>Factories Act 1948</p> <p>Kerala Factories Rules 1957</p>
<b>Time line for completing the process</b>	60 days
<b>Departmental Work Flow</b>	<p>For Section 85 Factories</p> <p>Online Application →Inspector/Additional Inspector→ Clerk→ Inspector/Additional Inspector →Joint Director→ SS/JS→ Clerk→ SS/JS→Joint Director→ ONLINE to Public</p> <p>For 2M Factories</p> <p>Online Application →Inspector/Additional Inspector→ Clerk→ Inspector/Additional Inspector →Joint Director→ SS/JS→ Clerk→ SS/JS→Joint Director→ Director → Tapal Clerk→Section Clerk→ JS→ Joint Director (HQ)→ Director→ ONLINE to Public</p>

### 3. Inspection Procedure:

#### A. Pre-Inspection

1. A quality check shall be done on the documents submitted by the applicant in terms of completeness and correctness of the information furnished with respect to the type of industry.
2. The inspector shall collect background information and previous compliance history (if available) of the applicant. This will enable the inspector to be familiar with the nature of operations of the industry and note down specific areas that may require more detailed investigation or verification during the inspection process.
3. The inspector shall obtain the following information about the industry from the Regional Office or the Head Office:

- Location of the industry
- Past consents issued to the industry
- Previous inspection reports
- Notices issued to the industry for non-compliance and track record of the industry with respect to carrying out orders from the Department
- Line of activity of the industry
- Manufacturing process of the industry

## **B. Inspection**

1. Inspection shall be made during regular working hours of the establishment / industry except when special circumstances indicate otherwise.
2. At the beginning of the inspection, the inspector shall locate the occupier / representative of the occupier / person in charge of the industry and inform about the purpose of the proposed inspection.
3. The inspector shall inspect the following:
  - A. Boundaries of the site and compliance in terms of access, setback etc.
  - B. Height of the building
  - C. Manufacturing area
  - D. Working conditions of the labourers
  - E. Storage area of raw materials and finished goods.
  - F. Disposal of wastes and effluents
  - G. Ventilation, lighting and temperature
  - H. Availability of drinking water
  - I. Availability of adequate, functional latrines and urinals
  - J. Fire-prevention precautions and fire-fighting mechanisms.
  - K. Maintenance of mandatory records and forms as stipulated by the Kerala Factories Rules and Factories Act
  - L. <Department to mention other inspection items>
4. The inspector should collect photographic evidence if any non-compliance has been observed.
5. The inspector may seek information / clarifications or documentary evidence from the representative or occupier to ascertain the correctness of the application.

6. If any representative / occupier of the industry willfully delays or obstructs the inspector in carrying out inspection, the same shall be recorded in the inspection report for taking further necessary action in the matter.
7. At the end of the inspection, the Inspector may inform the representative of the industry about apparent non-compliance observed during inspection so that industry may initiate necessary corrective action wherever required.

### **C. Post Inspection**

1. Inspection report should be submitted within 48 hours of completion of the inspection and a copy of the same should be issued to the factory.
2. All observations of the inspection along with photographic evidence of non-compliance should be included as part of the report.
3. Noncompliance areas should be listed in the report along with additional measures that need to be taken by the applicant to ensure compliance.
4. Noncompliance areas should be listed along with the relevant section of the Act/Rule or G.O. which is violated.

## **4. Checklist of Documents**

### **A. For Factory Plan Approval**

- Flowchart of the manufacturing process
- Description of the manufacturing process in various stages
- 1:400 scale plan of the site of the factory and surroundings
- Plan, elevation and cross section of the buildings of the factory in 1:200 scale
- Drawings of machinery layout in 1:200 scale
- Drawings of rainwater harvesting plant
- NOC from pollution control board (Hazardous industries only)
- NOC from Chief Town Planner (Hazardous industries only)

### **B. For Issue of Factory License**

- Stability certificate
- Copy of plan approval permit
- Company documents as applicable for the type of company:
  - Ownership/proprietorship/partnership deed
  - Memorandum and articles of association

- List of partners
  - List of directors
  - Copy of appointment order of Director/Managing Director/Chairman/ President/ in-charge appointed by Government or Local Authority for government run factories.
- NOC from Pollution Control Board
  - NOC from Kerala Forest Department (if timber processing or tree felling is involved)
  - Copy of registered rental agreement/lease agreement or property tax receipt.
  - Power of attorney if someone else on behalf of the promoter is submitting the application.

**C. For Renewal of Factory License**

**For renewal of factory license, the following documents have to be submitted in addition to the documents mentioned under Issue of Factory License.**

- Original License
- Revised permit, in case there is revision of details
- Stability Certificate (if modifications have been made to existing layout)