State Business Reform Action Plan - Implementation Guide for States

June 2017

Contents

Introduction

This guide has been produced to support states in implementing the Business Reform Action Plan for States and UTs 2017, circulated by DIPP to all state Governments.

This guide is intended to strategically discuss the intended objective and end-result envisioned in each of the revised 406 action points identified in the Business Reform Action Plan. It is our hope that the guide will allow states to understand in depth what is required for full implementation, so that they can identify the reforms that should be undertaken to achieve the objectives of the Action Plan.

The end results envisioned for each question have been developed based on a mix of global best practice as well as initiatives already underway by states in India. There is therefore tremendous scope to learn from each other's experiences and design effective reforms that can make it easier for business to start and operate in India.

DIPP will support state implementation efforts by sharing lessons and knowledge on national good practices already in place in various states, so that we can together reform and improve the regulatory environment surrounding business in India.

This guide is divided into 12 sections, each focusing on the 12 areas of the Business Reform Action Plan. In some cases, questions on similar topics have been reorganized into distinct thematic groups to support the discussion on the topic. The original question numbers are retained and specified in each case.

General Instructions

- Wherever a response to a reform point is N/A, supporting documentation such as notification etc. should be provided as evidence.
- In case of uploading of multiple documents, a single integrated document combining all should be provided.
- Public Service Delivery Guarantee Act has to be passed for defining timelines wherever applicable. Any notification or order from the state as evidence shall not suffice as it is not binding.
- States/UTs shall double check all the evidences (i.e. links and documents) before and after uploading to make sure that they are valid and functional.

1. Labour Regulation Enablers

Recommendation 1:
Mandate online filing of single integrated return and applicable payments under all Labour Laws

Labour departments are tasked with implementing and ensuring compliance under more than 40 different laws, and most, if not all, of these laws require the submission of returns and payment annually. If these returns are not integrated and made online, the burden on both, the business and the Labour department can be very high. The business may have to submit multiple returns containing the same information and pay at different point of time. Simultaneously, the department must manage multiple returns for the same firm every year and keep account of payment against each return. From the business owner's perspective, a single online integrated return under all Labour laws would greatly reduce the regulatory burden. From the department's perspective, a single online integrated return will make it easier to capture data on the firm, while also ensuring that it can use the data more effectively for developing effective risk profiles for inspections. A single integrated return along with online filing is also a prerequisite for building an effective online return filing system and its underlying database.

Recommendation 2:
Introduce a provision for self-certification /third party certification for boilers during use u/s 34(3) of the Boilers Act, 1923, by persons having requisite qualification and experience

In the case of inspections with a safety dimension, i.e. the case of the boilers, inspections can be substituted with third-party certifications. To enable this, the state must not only issue a notification, but also lay out criteria for accreditation and empanelment of third-party service providers, as well as clearly lay out that, in the event of an accident, the liability falls equally upon the entrepreneur and the certifying authority. A draft notification with reference to third-party certification of boilers has already been circulated to states by DIPP, so that states can easily adapt and issue the notification.

Recommendation 3:
Introduce a provision for issuing Factory License and all subsequent renewals with validity of 10 years or more

Similar to the case of environmental licenses, factory licenses can also be issued for a longer validity, subject to no changes in the factory plan. Reregistration can be mandated in the case of changes, and this provision can be built in to the certificate itself. Random checks and audits to ensure that the factory conforms to the plan originally submitted can be carried out, thus reducing the burden on states to inspect every single factory prior to certification. Provision for issuing Factory License for 10 years or more may be implemented through a notification.

Recommendation 4:
Eliminate the requirement of inspection prior to registration under the Shops and Establishment Act and ensure that the registration is granted within one day from the date of application

The registration under Shops and Establishment Act of the State is often a prerequisite for businesses to start a business to truly begin its operations. Therefore, delays in issuing this certificate may lead to delays in the business's establishment and operations, thereby reducing the ability of the business to get operational in terms of getting bank loans, employ workers and generate incomes. Eliminating the requirement of inspection prior to registration and providing this registration in a timely manner may help reduce this burden significantly.

However, should the state choose to do so, it is necessary to put in place this commitment through a written notification mandating registration certificate to be issued in 1 day from date of application, and to ensure that any online systems for these registrations are equipped to allow this to happen in a timely manner.

2. Registration and grant and renewal of license under The Factories Act, 1948

Recommendation 5: Publish information about the procedure and comprehensive list of documents on the Department's web site	Recommendation 6: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 7: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 8: Ensure that the system allows users to download the final signed approval certificate from the online portal.
Recommendation 9: Allow third parties to easily verify approval certificates in the public domain	

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission to application approval, is published online on department's website. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  o Entrepreneurs should be able to fill out and submit the application form online;
  o The user can pay all associated fees online;
  o Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  o The user can track the status of his applications online using the portal; and
  o Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/valid issued certificates or granted approval should be made available in the public domain for third party.

3. Approval of plan and permission to construct/extend/or take into use any building as a factory under the Factories Act, 1948

Recommendation 10: Publish information about the procedure and comprehensive list of documents on the Department's web site	Recommendation 11: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 12: Design and implement a system that allows online	Recommendation 13: Ensure that the system allows users to download the

application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	final signed approval certificate from the online portal.

Recommendation 14: Allow third parties to easily verify approval certificates in the public domain

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4. Registration and Renewal of Boilers under The Boilers Act, 1923

Recommendation 15: Publish information about the procedure and comprehensive list of documents on the Department's web site	Recommendation 16: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 17: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 18: Ensure that the system allows users to download the final signed approval certificate from the online portal.

Recommendation 19: Allow third parties to easily verify approval certificates in the public domain

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
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5. Approval for Boiler manufacturer and renewal thereof

Recommendation 20: Publish information about the procedure and comprehensive list of documents on the Department's web site	Recommendation 21: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 22: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 23: Ensure that the system allows users to download the final signed approval certificate from the online portal.
Recommendation 24: Allow third parties to easily verify approval certificates in the public domain	

Wherever the State government has made a provision for approval of boiler manufacturers, provision shall also be made for online submission and disposal of application.

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
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6. Approval for Boiler erector and renewal thereof

Recommendation 25: Publish information about the procedure and comprehensive list of documents on the Department's web site	**Recommendation** 26: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 27: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	**Recommendation** 28: Ensure that the system allows users to download the final signed approval certificate from the online portal.
Recommendation 29: Allow third parties to easily verify approval certificates in the public domain	

Wherever the State government has made a provision for approval of boiler erectors, provision shall also be made for online submission and disposal of application.

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
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7. License and renewal of license for contractors under provision of The Contracts Labour (Regulation and Abolition) Act, 1970

Recommendation 30: Publish information about the procedure and comprehensive list of documents on the Department's web site	**Recommendation** 31: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 32: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	**Recommendation** 33: Ensure that the system allows users to download the final signed approval certificate from the online portal.

Recommendation 34: Allow third parties to easily verify approval certificates in the public domain

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
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8. Registration and renewal under The Shops and Establishment Act

Recommendation 35: Publish information about the procedure and comprehensive list of documents on the Department's web site	Recommendation 36: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 37: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 38: Ensure that the system allows users to download the final signed approval certificate from the online portal.

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The ideal system covered by these questions includes the following criteria:

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9. Registration of principal employer's establishment under provision of The Contracts Labour (Regulation and Abolition) Act, 1970

Recommendation 40: Publish information about the procedure and comprehensive list of documents on the Department's web site	**Recommendation** 41: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 42: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	**Recommendation** 43: Ensure that the system allows users to download the final signed approval certificate from the online portal.

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10. Registration under The Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Act, 1996

Recommendation 45: Publish information about the procedure and comprehensive list of documents on the Department's web site	**Recommendation 46:** Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 47: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	**Recommendation 48:** Ensure that the system allows users to download the final signed approval certificate from the online portal.

Recommendation 49: Allow third parties to easily verify approval certificates in the public domain

The ideal system covered by these questions includes the following criteria:

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11. Registration of establishment under the Inter State Migrant Workmen (RE&CS) Act, 1979

Recommendation 50: Publish information about the procedure and comprehensive list of documents on the Department's web site	**Recommendation** 51: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 52: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	**Recommendation** 53: Ensure that the system allows users to download the final signed approval certificate from the online portal.

Recommendation 54: Allow third parties to easily verify approval certificates in the public domain

The ideal system covered by these questions includes the following criteria:

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12. Contract Enforcement

Recommendation 55:	Recommendation 56:
Establish a specialized division/bench under the High Court to hear commercial disputes	Establish specialized commercial courts (in major towns/cluster of district so as to cover the whole State) to hear and resolve the commercial disputes
Recommendation 57:	**Recommendation 58:**
Ensure at least 90% of the vacancies in District courts/Commercial courts been filled up	Ensure that the time standards for commercial disputes are adhered for the following key court events: i. First hearing; ii. Filing of the statement of defense; iii. Completion of the evidence period; iv. Filing of testimony by expert; and v. Submission of the final judgment

The objective of the questions above is to understand the readiness of the state's judicial system to reduce the backlog in courts. These measures can help reduce the time taken to enforce contracts by providing efficient judgments in commercial cases without undue delay in various ways:

- Specialized commercial courts at High Courts and District Courts can focus on contract disputes exclusively, thereby reducing the requirement for complainants and defendants to wait for delayed judgments through the regular court system. This can reduce the time and the cost of enforcing contracts. The District courts are to be established across the State covering districts that have significant commercial activity and disputes.
- Recruiting judges and ensuring that vacancies are filled up can help ensure that there are sufficient judges in place to deal with disputes, thus tackling the backlog as well as rendering judgments more efficiently in future cases.
- Timelines for delivery of key events under a commercial dispute case must be enforceable. The timelines to be adhered shall be as provided under Civil Procedure Code, 1908 (CPC). This means that the commercial court must mandate time-bound delivery of events. These events include First hearing of the case; Filing of the statement of defense by defendant; Completion of the evidence period; Filing of testimony by expert; and Submission of the final judgment by the commercial court.
- These measures should be notified appropriately through the relevant legislation or notification issued by the state governments.

Recommendation 59:	Recommendation 60:
Limit the maximum number of adjournments that can be granted in commercial disputes	Limit the adjournments to unforeseen and exceptional circumstances

Adjournments on frivolous grounds is the main cause for judicial delays. Measures such as, limiting maximum number of adjournments and limit adjournments to unforeseen and exceptional circumstances in the commercial disputes can help reduce the unwarranted delay in cases. Order XVII Rule 1 (a) (b) (c) (d) of the Code of Civil Procedures, 1908 limits the grant of the adjournments in a civil trial to unforeseen and exceptional circumstances. These provisions need to be adhered in letter and spirit. Accordingly, a mechanism to track the number of adjournments and reasons for adjournments for commercial courts needs to be created.

Recommendation 61:
Merge payment of court fees and process fees into a single transaction/procedure

Multiple payments impose additional burdens on lawyers and litigants, whereas merging these fees may not only reduce the burden, but may also enable easier online fee payment as a part of electronic case flow management systems.

Recommendation 62:
Publish model commercial contract templates in public domain in downloadable and editable format along with instructions to use them
Model contract templates and guidelines can help standardize contracts with standard terms and conditions that are easily enforceable. The format required for a contract should be user-friendly with a facility to download and edit it so that the commercial terms and conditions can be filled in the contract template. The absence of such templates means various contracts are executed with loopholes that can be exploited by filing a court case.

13. Paper-less Courts

Recommendation 63:	Recommendation 64:
Design and implement a system to allow for e-filing for commercial disputes in Commercial courts	Design and implement a system to allow for e-summons for commercial disputes in Commercial courts
Recommendation 65:	Recommendation 66:
Design and implement a system to allow for publishing e-cause lists for commercial disputes in Commercial courts	Design and implement a system to allow for e-payments for court fees and process fees for commercial disputes in Commercial courts

Recommendation 67:
Design and implement a system to allow for issuing digitally signed court orders in Commercial courts
- The questions above examine the state's readiness to introduce electronic court systems in the Commercial courts. Globally such systems have been found to significantly reduce the time and cost associated with filing, administering, tracking and resolving legal disputes; further, they allow for a more efficient record management in courts and thereby reduce the administrative costs associated with judicial administration. The questions above seek to examine whether an electronic case management system exists, and, if so, whether it includes features that allow electronic summons, payments, cause lists and court orders etc., thereby increasing the transparency of court's decision-making process. Online payment should also be integrated with the payment gateway.   - Globally, more advanced systems are also integrated with property records, thereby allowing the land records to also cover legal encumbrances so that the potential land-buyers are aware of outstanding litigation and court judgments on the land they are planning to purchase.

14. Property Registrations - Enablers

Recommendation 68:	Recommendation 69:
Digitize land transaction deeds of last 2 years at all sub-registrar offices and make the same available on an online system	Digitize land records of last 2 years at all land records offices and publish the updated land records online in public domain
Recommendation 70:	Recommendation 71:
Digitize land records of last 2 years at local municipality office and publish the updated land records online in public domain	Digitize Property tax payment records of last 2 years with a functionality to view balance payments at all local municipality offices and publish the updated records online in public domain
Recommendation 72:	Recommendation 73:
Digitize cadastral maps of all rural areas in the state	Integrate last 2 years' data at all sub-registrar offices, all land records offices and all local municipality offices to facilitate property wise mapping of transactions

Digitized land records across various State Government agencies can be beneficial in increasing the efficiency and effectiveness in property registration and maintenance:

- Digitized land ownership records at the sub-registrar i.e. land transaction deeds including sale deeds, transfer deeds, lease deeds, etc. so that sub-registrar can easily verify land ownership when new transactions are initiated on the land. In addition, it allows prospective land-buyers with a single point of contact to determine land ownership by checking the required historical documentation.
- Digitized land records (Records of Rights (textual), Khatoni, Khasra, Mutation Register, Village/ Tehsil

/ District Note Book) at all the land records office in the State can help ensuring that the requisite information on ownership is available when issuing Property Cards to citizens, and for pre-mutation verification of land transactions

- Digitized land records covering compliance history of property tax at the local municipality office in the State can help effectively target property taxes to the correct owners, as well as conducting verifications to ensure that all property taxes are paid upon submission of construction permit applications
- Digitalized cadastral maps (spatial records) of all rural areas in the state
- Digitalized land records at all sub registrar offices, survey and land record offices, municipal corporations and revenue department in the State should be available online in public domain and should have records for last 2 years
- It should be noted that the ideal solution is a single integrated database that allows real-time access from all relevant land related agencies and also allows the agencies to update the relevant data. This reduces the burden posed by digitizing records by slashing the costs of maintaining separate systems and databases for each department. The systems at all agencies should be integrated in a manner that allows all transactions for a given piece of land to be captured adequately, thus providing the government as well as potential buyers with a clear indication of land ownership.

Recommendation 74:

Ensure that statistics of land disputes is maintained in land record offices and also, ensure to publish list of current disputes in public domain

The quality of land administration has various dimensions such as reliability of infrastructure, transparency of information, geographic coverage, land dispute resolution and equal access to property rights. The quality of framework for property registration and the accessibility of dispute resolution mechanisms in a state is a key factor for business. The state should make publicly available the statistics of land disputes (such as boundary disputes, tenure rights) at the revenue courts in each districts. The statistics may be made available for the past few years that highlight the number of land disputes and/or the land dispute rate (i.e. the percentage of land disputes out of the total number of disputes in the first instance) and also provide the cause list of pending/ongoing disputes. Thereby creating database on the history of land disputes w.r.t any property.

Recommendation 75:

Integrate all sub-registrar offices with PAN and Aadhar data to create a State level database to verify the accuracy of documents

Various documents are required to be submitted for a business (the buyer) to purchase a property from another business (the seller) and to transfer the property title to the buyer's name so that the buyer can use the property for expanding its business, use the property as collateral in taking new loans or, if necessary, sell the property to another business. To minimize the potential for disputes, the documents should be verified from a national database for accuracy. The sub – registrar offices should be able to check the accuracy of the documents submitted by the parties by integrating or accessing the PAN (for business) and Aadhar (for individuals) database.

Recommendation 76:

Integrate land record databases with Judicial database (Revenue) to provide complete picture of current land disputes

When an entrepreneur wishes to purchase land, he must first ensure that there are no encumbrances – legal, judicial or otherwise – on the property. This due diligence involves the employment of a lawyer, because at present there are three separate databases that must be consulted: the land records database to ensure ownership of the property by the seller, also searches of mortgage and judicial records to ensure there are no pending legal or financial encumbrances. Combining this information in a single database will significantly reduce the burden of obtaining complete ownership and encumbrance data on land parcels. Judicial database pertaining to pending cases should be integrated which requires automation of the Revenue Courts. The land disputes related with revenue land is registered under Revenue Court and State needs develop web-based integration of all Revenue Courts with all land record offices.

Recommendation 77:
Integrate the mutation process with the registration process and allow intimation of mutation as soon as the deed is registered
Advanced automation approaches which are already under development in India involve, integration between registration at the sub-registrar office and mutation at the land records office. This integration includes not only the data-sharing above, but also focuses on process integration. This allows newly registered deeds for property sales to automatically intimate the mutation process to the relevant agency (Land records office, electricity department, water department, other utility department, etc.). This also reduces the number of interfaces between the user and the state government and thus promotes greater transparency.

15. Property Registration – Online system

Recommendation 78:	Recommendation 79:
Publish information about the procedure and comprehensive list of documents required for property registration on the Department's web site	Provide model deed templates for sale, gift, lease, mortgage and rent in downloadable and editable format along with instructions to use them
Recommendation 80:	**Recommendation 81:**
Design and implement a system that allows online application, payment for submission and verification of document and mandate that all applications are submitted online	The online system should have the facility of auto calculation of the applicable fee and stamp duty as per the valuation of the property
Recommendation 82:	**Recommendation 83:**
The online system should have the facility of auto generation of appointment (date and time) on making the required payment online at respective SRO offices	The registration of the transaction deed to be provided to related parties on the same day of appointment
Recommendation 84:	**Recommendation 85:**
Ensure that the system allows user to download the final signed approval certificate from the online portal	Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for document registration and mutation of land

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is uploaded on the website.
- Model templates for deeds including sale, gift, lease, mortgage and rent should be made available online to standardize deeds. The format required for the deeds should be user-friendly with a facility to download and should be editable so that details can be filled in the template.
- The application to be made mandatorily online, through a system with the following features:
  - Applicants should be able to fill out and submit the application form online;
  - The user can pay all associated fees online;
  - System should have an auto calculator that calculates fee, stamp duty and other charges based on the value of the property, circle rate, etc.
  - System should provide auto generated date and time for appointment. Thee system should also have a facility to modify the date and time for appointment.
  - Once registered, the signed registered deed – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.

- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act) and Registered deed should be made available on the day of appointment. The timelines should be highlighted clearly on the portal along with the supporting documents.

16. Inspection Reform Enablers

Recommendation 86:	Recommendation 87:
Institutionalize a Central Inspection System responsible for undertaking compliance inspections of the departments concerned	Design and develop an online inspection system for scheduling of inspections

Recommendation 88:
Ensure that the selection of establishments for inspection is done using computerized risk assessment and allocation of inspectors is undertaken under the Central Inspection System

A good regulatory practice for business inspections requires coordination among various inspection agencies to ensure that all relevant risks are properly addressed during the inspection process. However, agencies within States often carry out inspections in silos. They refrain from sharing information with other departments and do not communicate regularly with the businesses.

It is proposed to develop and implement a Central Inspection System (integrated risk based shared inspection system) for States covering Labour, Factories and Boilers, State Pollution Control Board of the State along with compliance behavior of specific businesses. In this context, inspections refer to periodic compliance inspections under various Acts and rules. The Central Inspection System (CIS) shall be responsible for inspections whereby inspectorates will directly report online in the system to synchronize multiple inspections.

Coordination of inspections can benefit both businesses and inspectors in several ways. First, it allows for more effective planning of inspections by ensuring that inspector visits may be coordinated or synchronized. Second, it allows for the data collected through inspections to be used effectively across departments. Anecdotal evidence suggest that businesses show a pattern of systematic and/or repeated violations of regulations i.e. if a business is non-compliant with tax regulation it is much more likely to be non-compliant with other regulation. Collection and effective analysis of inspection data can also help the state develop effective compliance histories for firms, through collating information across departments, and allow for this information to be used in categorizing risk for particular industries by incorporating compliance history as one of the risk-determination criteria.

Key elements of the Framework
Few key benefits of Central Inspection Framework are as follows:
- A central inspection system will streamline the inspection procedures in the States/UTs
- It will ensure timely and synchronized inspections between various departments
- It will bring clarity in inspections, its frequency and reduce duplications
- It will improve cooperation and coordination between inspection authorities
- It will enable Unified review of information about past inspections, schedules of controls, registries of controls, and compliance with Inspection Laws
- It will eliminate the regulatory uncertainty that generates an inspection.
- It will improve implementation practices, increase compliance and reduce the budgetary costs to governments.

Proposed operational model
- Form a Central Inspection System (CIS): Integrate the independent inspection systems at various departments to form a Central Inspection System. CIS will be responsible for synchronization of multiple inspections and all inspections will be directed through the system.
- Inspection schedule: Generate computerized list of units to be inspected based on risk levels of the businesses (depends on sector, history of compliance, etc.)
- Allocation of the inspection resources (supervision-monitoring): Decision is based on a risk assessment analysis or predefined parameters and analyzed data from the field.
    - Inspectors to be informed directly to conduct the inspections based on the inspector scheduling

- o Send inspection forms and templates before the inspection process to the establishment (business)
  - o Inspector scheduling on rotational basis i.e. mandate that same inspector cannot perform two consecutive inspections of the same business.
- Allow third party inspections and introduce self-certification for the low & medium risk units and inspections based on their past records (Frequency of defaults, consistency in the compliance, etc.)
- The final report to be submitted within 48 hours to the CIS
- Also a final report is to be submitted to concerned Department and establishment through CIS
- Build capacity of the inspectors and inspectorates by introducing trainings for enhancing the skill sets. Introduce cross training of the inspectors for different inspections to optimize use of resources.
- Surprise inspections to be done based on complaints with specific permission from head of the respective department.

Recommendation 89:	Recommendation 90:
Differentiate compliance inspection requirements based on risk profile (such as High, Medium and Low risk) of industries under all labour laws	Exempt low risk industries with a history of satisfactory compliance from labour compliance inspections, or allow self-certification in lieu of conducting physical inspections under all Labour laws
Recommendation 92:	Recommendation 93:
Differentiate compliance inspection requirements based on industry pollution categorization such as Red, Amber, and Green under all environment/pollution laws	Allow for third party certifications instead of Departmental inspections under all labour and environment/pollution laws for medium risk industries
Recommendation 94:	
Exempt Green industries with a history of satisfactory compliance from environmental compliance inspection, or allow self-certification (in lieu of conducting physical inspections)	

These recommendations are targeted to provide streamlined compliance inspection regimes for industries on the basis of their relative risk or hazard levels. The prerequisite to enable this streamlined and differentiated environment is first to make provisions for different categories of industries based on the risk posed by the industries.

The relative risk of an industry arises from a combination of factors. From an environmental compliance perspective, the risk categorization is already complete, as most states already classify industries as either Green, Red or Amber based on their pollution and discharge potential. In the area of Labour inspections, there are a number of other factors that must be taken into account, including nature of production processes, number of employees, etc.

From a Labour perspective, therefore, the first step will be to identify these criteria or underlying factors, and categorize existing industries into Low, Medium or High risk categories on the basis of these criteria. To fully guard against the potential of fraud, a satisfactory compliance record for three or more years can be counted as a criteria for Low or Medium risk industries. These categorizations should be notified through a State notification to be fully enacted.

Once enacted, the objective of these recommendations is to promote a differentiated and streamlined inspection environment for businesses on the basis of their Labour or Environmental risk, as follows:

- Low Labour Risk and/or Green industries that exhibit a satisfactory history of compliance can be exempted from compliance inspections altogether, or the compliance inspection can be substituted with a self-certification mechanism.
- Medium Labour Risk and/or Amber industries that exhibit a satisfactory history of compliance can have their physical compliance inspections replaced with a third party inspection, conducted by an empaneled list of accredited third party inspection agencies.
- High Labour Risk and/or Red industries will have to undergo physical compliance inspections annually as per current practice.

To ensure that industries are not taking undue advantage of these streamlined inspection regimes through misrepresentation, states may choose to continue to allow surprise inspections to occur on the basis of complaints received and subject to approval from the Head of Office/Magistrate of the State Government as appropriate.

Recommendation 91:
Allow for synchronized/joint- inspection under all of the following acts
I. Inspection under The Equal Remuneration Act, 1976
II. Inspection under The Factories Act, 1948
III. Inspection under The Maternity Benefit Act, 1961
IV. Inspection under The Minimum Wages Act, 1948
V. Inspection under The Shops and Establishments Act (as applicable)
VI. Inspection under The Labour Welfare Fund Act (as applicable)
VII. Inspection under The Payment of Bonus Act, 1965
VIII. Inspection under The Payment of Wages Act, 1936
IX. Inspection under The Payment of Gratuity Act, 1972
X Inspection under The Contract Labour (Regulation and Abolition) Act, 1970
Businesses that have to deal with multiple inspections from the same agency several times a year face higher compliance time and cost burdens in dealing with inspections. The inspections above are related to the compliance function of the Labor Department, and can easily be converted into a single joint inspection. To enable this, the Labor Department must issue a notification, as well as publish a single checklist and procedures for undertaking this single inspection. This can drastically reduce the burden on the limited inspector base available to states as well, and enable more efficient identification of violations while laying out comprehensive plans to correct any violations that are detected.

17. Inspection of the business premises for VAT (Value Added Tax) registration

Recommendation 95:	Recommendation 96:
Publish a well-defined inspection procedure and checklist on department's web site	Design and implement a system for identifying establishments that need to be inspected based on computerized risk assessment
Recommendation 97:	Recommendation 98:
Mandate online submission of inspection report within 48 hours to the Department	Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 99:	
Design and implement a system for computerized allocation of inspectors	

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.

18. Inspection by Building Proposal Office/ relevant agency as part of obtaining construction permit

Recommendation 100: Publish a well-defined inspection procedure and checklist on department's web site	Recommendation 101: Design and implement a computerized system for identifying building/area that needs to be inspected based on risk assessment
Recommendation 102: Mandate online submission of inspection report within 48 hours to the Department	Recommendation 103: Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 104: Design and implement a system for computerized allocation of inspectors	

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.

19. Inspection by Appropriate Authority for felling trees (prior to commencement of construction activities)

Recommendation 105: Publish a well-defined inspection procedure and checklist on department's web site	Recommendation 106: Design and implement a system for identifying establishments that need to be inspected based on computerized risk assessment
Recommendation 107: Mandate online submission of inspection report within 48 hours to the Department	Recommendation 108: Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 109: Design and implement a system for computerized allocation of inspectors	Recommendation 110: Mandate that the same inspector will not inspect the same establishment twice consecutively

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection

reports must be submitted within 48 hours through a notification or circular.

- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.
- Inspectors should be assigned randomly for inspections in consecutive years in order to increase transparency and reduce potential for corruption.

20. Inspection by Building Proposal Office/ relevant agency as part of obtaining occupancy/completion certificate

Recommendation 111: Publish a well-defined inspection procedure and checklist on department's web site	Recommendation 112: Design and implement a system for identifying establishments that need to be inspected based on computerized risk assessment
Recommendation 113: Mandate online submission of inspection report within 48 hours to the Department	Recommendation 114: Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 115: Design and implement a system for computerized allocation of inspectors	

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.

21. Compliance Inspection under The Equal Remuneration Act, 1976

Recommendation 116: Publish a well-defined inspection procedure and checklist on department's web site	**Recommendation** 117: Design and implement a system for identifying establishments that need to be inspected based on computerized risk assessment
Recommendation 118: Mandate online submission of inspection report within 48 hours to the Department	**Recommendation** 119: Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 120: Design and implement a system for computerized allocation of inspectors	**Recommendation** 121: Mandate that the same inspector will not inspect the same establishment twice consecutively

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.
- Inspectors should be assigned randomly for inspections in consecutive years in order to increase transparency and reduce potential for corruption.

22. Compliance Inspection under The Factories Act, 1948

Recommendation 122: Publish a well-defined inspection procedure and checklist on department's web site	Recommendation 123: Design and implement a system for identifying establishments that need to be inspected based on computerized risk assessment
Recommendation 124: Mandate online submission of inspection report within 48 hours to the Department	Recommendation 125: Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 126: Design and implement a system for computerized allocation of inspectors	Recommendation 127: Mandate that the same inspector will not inspect the same establishment twice consecutively

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.
- Inspectors should be assigned randomly for inspections in consecutive years in order to increase transparency and reduce potential for corruption.

23. Compliance Inspection under The Minimum Wages Act, 1948

Recommendation 128: Publish a well-defined inspection procedure and checklist on department's web site	Recommendation 129: Design and implement a system for identifying establishments that need to be inspected based on computerized risk assessment
Recommendation 130: Mandate online submission of inspection report within 48 hours to the Department	Recommendation 131: Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 132: Design and implement a system for computerized allocation of inspectors	Recommendation 133: Mandate that the same inspector will not inspect the same establishment twice consecutively

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.
- Inspectors should be assigned randomly for inspections in consecutive years in order to increase transparency and reduce potential for corruption.

24. Compliance Inspection under The Shops and Establishments Act (as applicable)

Recommendation 134: Publish a well-defined inspection procedure and checklist on department's web site	**Recommendation 135:** Design and implement a system for identifying establishments that need to be inspected based on computerized risk assessment
Recommendation 136: Mandate online submission of inspection report within 48 hours to the Department	**Recommendation 137:** Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 138: Design and implement a system for computerized allocation of inspectors	**Recommendation 139:** Mandate that the same inspector will not inspect the same establishment twice consecutively

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.
- Inspectors should be assigned randomly for inspections in consecutive years in order to increase transparency and reduce potential for corruption.

25. Compliance Inspection under The Payment of Bonus Act, 1965

Recommendation 140: Publish a well-defined inspection procedure and checklist on department's web site	**Recommendation 141:** Design and implement a system for identifying establishments that need to be inspected based on computerized risk assessment
Recommendation 142: Mandate online submission of inspection report within 48 hours to the Department	**Recommendation 143:** Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 144: Design and implement a system for computerized allocation of inspectors	**Recommendation 145:** Mandate that the same inspector will not inspect the same establishment twice consecutively

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.
- Inspectors should be assigned randomly for inspections in consecutive years in order to increase transparency and reduce potential for corruption.

26. Compliance Inspection under The Payment of Wages Act, 1936

Recommendation 146: Publish a well-defined inspection procedure and checklist on department's web site	Recommendation 147: Design and implement a system for identifying establishments that need to be inspected based on computerized risk assessment
Recommendation 148: Mandate online submission of inspection report within 48 hours to the Department	Recommendation 149: Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 150: Design and implement a system for computerized allocation of inspectors	Recommendation 151: Mandate that the same inspector will not inspect the same establishment twice consecutively

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.
- Inspectors should be assigned randomly for inspections in consecutive years in order to increase transparency and reduce potential for corruption.

27. Compliance Inspection under The Payment of Gratuity Act, 1972

Recommendation 152: Publish a well-defined inspection procedure and checklist on department's web site	**Recommendation 153:** Design and implement a system for identifying establishments that need to be inspected based on computerized risk assessment
Recommendation 154: Mandate online submission of inspection report within 48 hours to the Department	**Recommendation 155:** Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 156: Design and implement a system for computerized allocation of inspectors	**Recommendation 157:** Mandate that the same inspector will not inspect the same establishment twice consecutively

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.
- Inspectors should be assigned randomly for inspections in consecutive years in order to increase transparency and reduce potential for corruption.

28. Compliance Inspection under The Contract Labour (Regulation and Abolition) Act, 1970

Recommendation 158: Publish a well-defined inspection procedure and checklist on department's web site	**Recommendation** 159: Design and implement a system for identifying establishments that need to be inspected based on computerized risk assessment
Recommendation 160: Mandate online submission of inspection report within 48 hours to the Department	**Recommendation** 161: Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 162: Design and implement a system for computerized allocation of inspectors	**Recommendation** 163: Mandate that the same inspector will not inspect the same establishment twice consecutively

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.
- Inspectors should be assigned randomly for inspections in consecutive years in order to increase transparency and reduce potential for corruption.

29. Compliance Inspection under The Water (Prevention and Control of Pollution) Act, 1974

Recommendation 164: Publish a well-defined inspection procedure and checklist on department's web site	**Recommendation** 165: Design and implement a system for identifying establishments that need to be inspected based on computerized risk assessment
Recommendation 166: Mandate online submission of inspection report within 48 hours to the Department	**Recommendation** 167: Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 168: Design and implement a system for computerized allocation of inspectors	**Recommendation** 169: Mandate that the same inspector will not inspect the same establishment twice consecutively

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.
- Inspectors should be assigned randomly for inspections in consecutive years in order to increase transparency and reduce potential for corruption.

30. Compliance Inspection under The Air (Prevention and Control of Pollution) Act, 1981

Recommendation 170:	Recommendation 171:
Publish a well-defined inspection procedure and checklist on department's web site	Design and implement a system for identifying establishments that need to be inspected based on computerized risk assessment
Recommendation 172:	**Recommendation 173:**
Mandate online submission of inspection report within 48 hours to the Department	Allow establishments to view and download submitted inspection reports of at least past two years
Recommendation 174:	**Recommendation 175:**
Design and implement a system for computerized allocation of inspectors	Mandate that the same inspector will not inspect the same establishment twice consecutively

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- Inspectorates should define risk criteria to ensure that they are programmed into the system to make sure that inspections occur only for certain high-risk categories, instead of in 100% of the applications. This can reduce burden on the limited inspectors, while increasing the efficiency and effectiveness of inspections and the available human resources by reducing the burden on low risk business while ensuring that high-risk businesses are adequately monitored.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.
- Inspectors should be assigned randomly for inspections in consecutive years in order to increase transparency and reduce potential for corruption.

31. Inspection under the Legal Metrology General Act, 2009 and Rules

Recommendation 176: Publish a well-defined inspection procedure and checklist on department's web site	Recommendation 177: Design and implement a system for identifying licensees that need to be inspected
Recommendation 178: Mandate online submission of inspection report within 48 hours to the Department	Recommendation 179: Allow licensees to view and download submitted inspection reports of at least past two years
Recommendation 180: Design and implement a system for computerized allocation of inspectors	Recommendation 181: Mandate that the same inspector will not inspect the same establishment twice consecutively

These recommendations cover the verification process for all classes of weights and measures as prescribed under the Legal Metrology (General) Rules, 2011. This is also to cover any verification process that the states may have included in their respective enforcement rules.

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps and the comprehensive inspection checklist/form is published online on department's website. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A specific provision must be made by the state government or by the associated agencies that inspection reports must be submitted within 48 hours through a notification or circular.
- The inspector allocation system must be linked to the online application and approval system, and the approval authority should be able to allocate inspectors once applications are submitted either by jurisdiction or randomly. The inspector should also have an online workspace within the system where they can see their inspection workflows and submit their reports.
- The signed inspection report – either digitally signed or signed manually and scanned – should be made available for viewing and downloading by the user on the portal or the website. The inspection reports of last two years of the establishment should be made available for the establishment.
- Inspectors should be assigned randomly for inspections in consecutive years in order to increase transparency and reduce potential for corruption.

32. Single Window System

Recommendation 182: Establish a dedicated single window agency as the sole point of contact for setting up a business in State	Recommendation 183: Ensure that the single window agency has been set up through a Legislation

To be truly effective, a single window system requires a few key policy enablers including:
- A single dedicated agency should be designated to act as a single window system. This body can be an existing state government body, e.g. the investment promotion agency or the Industries department, or can be a new entity that is established for the purpose of providing the single window service. In either case, the agency must be mandated to be a single point of contact for all business start-up licensing, so that entrepreneurs do not have to visit multiple agencies.
- In order to empower the body or setup to effectively carry out the functions above, it must be given explicit mandate through a legislation. The absence of legislation may mean that the single window system is not effective at coordinating among the various agencies, thereby limiting its effectiveness.

Recommendation 184: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for issuing all approvals being provided by single window agency	Recommendation 185: Define clear timelines mandated through legislation or through notification under the Public Service Delivery Guarantee Act for issuing intent letter, granting sanction and disbursal of applicable incentives as per the industrial/sectoral policy in the State

- Once established, the single window system should establish and publicize through its website clear

timelines for each service that it provides, so that entrepreneurs are aware of the time it takes to meet their regulatory compliance requirements.

- In order to have an effective functioning of single window system, the time lines should be mandated through a legislation such as Public Service Guarantee Act or an equivalent legislation. The timelines should be highlighted clearly on the portal along with the notification. The absence of such legislation may lead to non-adherence of timeline and an ineffective system. The services related to disbursal of incentives under various industrial and sector specific policies should also be covered under the Public Service Guarantee Act or an equivalent legislation. The services such as issuing intent letter, granting sanction, disbursal of applicable incentives and any other activity related with disbursal of incentives under the State specific industrial and sectoral policy should be included.

33. Online Single Window System

Recommendation 186:	Recommendation 187:
Design and implement an online single window system with functionality for online application submission, payment and approvals and mandate that all applications are submitted online	Implement a standardized online Common Application Form (CAF) combining applications of all services wherein common information such as applicant's name, project details, address etc. and common documents are required to be provided only once through single window system
Recommendation 210:	Recommendation 211:
Mandate that all queries/clarifications related to investor's application are sought once and within 7 days of receiving the application	Ensure that the Single Window System sends out SMS/e-mail notification to the applicant as and when the application is submitted and/or query is raised and/or application is approved/rejected

An effective single window system can also be placed online, so that entrepreneurs can apply for, track status and receive their registrations in an efficient manner mandatorily though online system. An effective online single window should have the following features:

Entrepreneurs should be able to fill out, upload documents and submit the application form online;

- Mandated by a legislation for submission of all the application in an online mode with no requirement of submissions of hard copy
- The user can pay all associated fees online;
- Once submitted, the applications are processed and approved by each approving agency online, and not through a manual or hard copy process;
- The query/clarification raised by the reviewing/approving officer after submission of the application should be raised only once and the timeline for raising the query should be 7 days from the date of submission of the application
- The user can track the status of his applications online using the portal;
- The Single Window System should be integrated with SMS gate way and emails so that the entrepreneur should get notification on at critical stages of application processing – application and query submission, application approval or rejection at various level, query submission and response, etc.
- Once approved, the user can obtain the approval or registration certificate online through the portal.
- Any other third party has an option to verify online about the authenticity of the approval or registration granted by each agency

An important first step in an effective single window system is the formulation of a Common Application Form (CAF), which combines the applications for all services provided by the single window system. At the same time, a CAF streamlines and documents the need for entrepreneurs to submit the same information multiple times to multiple agencies. The CAF should follow the principle of "Information and Document once submitted by the entrepreneur during any point of his investment cycle should not be asked again by any other agency for approval in the State". The CAF should be easily accessible to entrepreneurs from the online portal. The state government should mandate the validity of the CAF and make it acceptable to all agencies covering all the services in the State related with industries and businesses.

Recommendation 188-207 and 212:

Ensure Consent/ Authorization/ Registration/ Permission/ Incentives/ License/ Approval/ NOC/ Renewal under following Acts/Regulations/Procedures is provided as a service through the online single window system facilitating the online application submission, payments, tracking of status, approvals and issuance of the certificate(s)

1. Registration under The Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Act, 1996	8. Permission for engaging contractor for labour
	9. Factories license
	10. Factory building plan approval' (under the Factories Act, 1948)
2. Registration certificate of Establishment Inter State Migrant Workmen (RE&CS) Act,1979 (License of Contractor Establishment)	11. Registration under Boiler Act
	12. Change of land use
	13. Approval of building plans
3. Registration under weights and measures, 1998	14. NOC from Fire Department
	15. Renewal of Consent to operate (under Water Act & Air Act)
4. Consent to establish (under Water Act & Air Act	16. Renewal under Shops and Establishments Act
5. Consent to operate (under Water Act & Air Act	17. Renewal under Factories license
	18. Renewal under Registration under Boiler Act
6. Authorization under Hazardous Waste Rules	19. Electricity connection
7. Registration under Shops and Establishments Act	20. Water connection
	21. Incentives under Industrial/Sectoral Policy

These questions aim to assess the services provided by the single window system. A truly comprehensive single window system should provide at least above mentioned Consent/ Authorization / Registration/ Permission/ Incentives/ License/ Approval/ NOC/ Renewal services:

In addition, the single window system should also seek to provide services related to other state economy-wide and industry-specific registrations – although these are not considered within the scope of this assessment, the delivery of all services helps entrepreneurs effectively complete their regulatory compliance requirements with minimal hassle.

Each of the registration services enlisted above should be provided through the single window system in a manner that

- The application can be made in the single window system (in case of an online portal it should not be simply redirected to another portal/ website)
- The application status can be enquired through single window system
- The application approval certificate is provided through single window system
- The approved application can be verified on the through single window system

Note: The change in land use is for unplanned areas.

Recommendation 208:

Publish information on the procedure, timelines and a comprehensive list of documents that are required to be submitted for applying for various incentives in the state

Recommendation 209:

Ensure that incentives of all applicable industrial/sectoral policies are applied through a common form without the physical touch points

The ideal system covered by these questions include the following criteria:

- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department.
- It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- Online Common Application Form (CAF) for applying for incentives should be developed for all sectoral policies and Industrial Policy of the State. The CAF should follow the principle of "Information and

Document once submitted by the entrepreneur during any point of his investment cycle should not be asked again by any other agency for approval in the State".

- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the CAF online for incentives;
  - Once submitted, the applications are processed and approved by each agency online, and not through a manual or hard copy process;
  - The user can track the status of his applications online using the portal; and
  - Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.

34. Availability of Land / Infrastructure

Recommendation 213: Ensure information on land banks for industrial use is publicly available online at one place	Recommendation 214: Design and implement a GIS system to provide details about the land earmarked for industrial use across the State
Recommendation 215: Ensure that the GIS system provides details about available infrastructure such as road, water, electrical substation and poles, proximity to National/State highways, Railway lines etc. for all industrial land banks of State	

- Numerous studies cite access to land as a constraint faced by business in India, and the first step in solving this problem is to ensure access to information on the availability of land for business.
- Many states have already established land banks to provide serviced land to investors – however, this information is often not publicly available. A necessary step would be to first list the number of land banks available in the state for industrial use, along with their respective areas. The list should be as comprehensive as possible, and should cover all the available land banks in the state. Second, this information should be made available online on an appropriate website – it can even be an informational service provided by the single window. Additionally, the State should have a framework (process to be followed/ criteria such as proximity to water bodies etc. to be used) to earmark land parcels with the kind of industry that can be setup on such land
- To ensure more effective investor enquiry, it would be useful to allow users to filter the data on land banks that is on the website by the type of industry that is permitted to be established on the land. This will allow entrepreneurs to more accurately target their inquiries to land banks that support their intended business.
- Providing such information on industrial land availability can also be evolved into a more modern system by using GIS maps. Such systems allow for a multitude of layers to be place upon geospatial maps to better understand the quality of the land available. From an infrastructure perspective, the GIS system can provide information and details on road infrastructure, water pipelines, sewerage systems, electricity connections and gas pipelines that are available or accessible to each plot of land. This information should be as comprehensive as possible, covering all the land banks in the state. The system should also clearly highlight the type of industries that are set up and the common facilities that are available for the industries across the state

35. Land Allotment

Recommendation 216:
Define objective criteria, applicable for all industrial land, for evaluating land allotment application for industrial use

Once an entrepreneur has identified a plot of land which meets the requirements of his intended venture, he requires clarity on how he can access the land itself. Different states follow different principles in terms of allocating land: some use a first-come, first-serve model, while others use an objective weighted criterion in evaluating investment proposals. Each state should however define the criteria used in defining land allocation clearly through a notification or legislation, and make this information available online.

Recommendation 217: Publish information about the procedure and a comprehensive list of documents required to be submitted for land allotment on the web site	**Recommendation** 218: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for land allotment
Recommendation 219: Design and implement a land allotment system that allows online application and payment without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	**Recommendation** 220: Ensure that the system allows users to download the final signed land allotment certificate from the online portal

Recommendation 221:
Allow third parties to easily verify the land allotment certificates in the public domain

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
    - Entrepreneurs should be able to fill out and submit the application form online;
    - The user can pay all associated fees online;
    - Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
    - The user can track the status of his applications online using the portal; and
    - Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points from the time of application process till the allotment of land. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and

scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/valid issued certificates or granted approval should be made available in the public domain for third party.

36. Construction Permit Enablers

Recommendation 222:

Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for processing of application for conversion of land/ change in land use (from the date of application) for land outside of industrial parks/IDCs

The absence of clear timelines for processing of applications for conversion of land/ change in land use for land outside industrial parks / IDCs may delay the process through frivolous practices or other means, and may even introduce irrelevant witnesses to delay. Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting documents.

Note: The change in land use/land conversion is for unplanned areas.

Recommendation 223:	**Recommendation 224:**
Enact a comprehensive uniform building code/building by-law applicable to the entire State	Ensure that the uniform building code/building by-law include provisions for risk-based classification of buildings

Construction projects in India today are subject to a wide variety of regulations and controls, often spanning a multitude of laws, regulations and notifications that are not available in a single document. The more developed the urban area, the higher the number of potential agencies and permissions involved in construction permit approvals, and therefore the higher the number of regulatory compliance requirements. Therefore, a comprehensive formal building code can unite all these regulations into a single document that outlines all requirements with which a building must abide, thereby increasing access to information on the regulatory requirements associated with each construction permit. Depending on the complexity of the code, the requirements can also be integrated into automated building permit approval software using AutoCAD, to ensure that the ULB can use software to conduct an initial scrutiny of submitted construction permit approval applications, thereby reducing the burden on the ULB.

The development of a formal building code also allows for the integration of provisions related to risk based classification of buildings. Not all buildings pose equal health or safety burdens – some buildings may in fact be lower risk in nature, depending on the proposed usage, the proposed occupancy, the height and a variety of other factors. A risk-based building classification enables the introduction of fast-track mechanisms for low-risk buildings, thereby freeing up time of ULB officials to spend more time thoroughly reviewing and ensuring structural and public safety of higher risk buildings.

Recommendation 225:

Ensure that the uniform building code/building by-law includes accreditation programs and clear responsibilities for professionals including architects and engineers engaged in the construction process

The building code or by-laws are an ideal mechanism to introduce accreditation and registration programs for professionals involved in construction. The by-laws should lay out the criteria required for registration or accreditation, but should also specify the specific responsibilities and liabilities that professionals have throughout the construction process. Currently, most ULBs in India define clear responsibilities and liabilities for faults until the construction is complete; however, many do not include provisions and liabilities once the building is in use. Defining clear responsibilities and liabilities can not only unlock the insurance industry for architects, but it can also reduce the liability on the ULB to ensure that the building as proposed is fit for use. Instead, if the liability is clearly on the shoulders of the professionals, there is more incentive to ensure that the

building is of sufficient quality, while also reducing the burden on the ULB to take responsibility for damage or accidents.

Recommendation 226:
Define mandatory qualifications for architects and structural engineers in the uniform building by-law applicable in State

In order to have an effective system of accreditation of experts like architects and structural engineers, the Government should notify the qualifications required to be accredited uniform building by-law applicable in State. The accreditation of architects and structural engineers can be a first step in moving to a trust-based system of construction permitting – a project that is staffed with accredited architects and structural engineers are more likely to abide by construction and building safety requirements, and may require less scrutiny and review than projects staffed by unaccredited professionals. This allows the ULB to dedicate its limited human resources to ensuring the quality of high-risk buildings while remaining relatively reassured that other buildings are being built responsibly by accredited professionals. In addition, making information on accredited professionals available publicly can help the community by identifying the best professionals for construction projects.

Recommendation 227:
Develop legally valid master plans/zonal plans/land use plans for all urban areas and make it available online in public domain

Plans for urban areas designate spaces for commercial, residential and other use within urban areas. Once developed, such plans can provide all parties in construction projects with clarity on the kinds of buildings allowed in certain areas, and allow land owners to understand what kind of buildings can be built on their land. Once these plans are published online, users are able to access this information easily and take effective decisions when designing building projects. Plans that are tied effectively to building codes, or clearly outline the building restrictions or conditions on specific projects can help reduce the burdens faced by ULBs by reducing the number of ineligible or incorrect building plans for construction projects. In addition, this information can be codified in building plan approval software to ensure that only building plan applications that meet the required criteria as per the plan are allowed to be submitted.

Recommendation 228:
Establish a dedicated conflict resolution mechanism for land and construction permits

With regard to land use and building code administrative decisions, the absence of independent professional appeal mechanisms can act as another disincentive for builders to seek solutions consistent with legal and technical requirements. Appeal mechanisms can be in place through the formal judicial system, but the courts are usually slow and may not have the required expertise in dealing with compliance issues. These mechanisms can help reduce the burden on courts and the legal system to address appeals dealing with disputes between building professionals and permitting authorities on matters related to the interpretation of the building code or "sufficiency of code compliance", in relation to construction projects. Such dedicated conflict resolution bodies may be established at ULB/IDCs.
Secondly, in case a regulatory authority registers or certifies building practitioners, an independent appeal body should be established to deal with appeals from practitioners concerning registration and certification.

Recommendation 229:	**Recommendation 230:**
Conduct a survey of all industrial areas of State and create a list of plots with trees and publish online a comprehensive information on type of trees	Publish online the detailed information on applicable replanting requirements for plots with varying tree populations

The Business Reform Action Plan for States/UTs provides states with mechanisms for streamlining the issuance of Tree-Cutting Permissions or Tree NOCs.
The first step is to conduct a survey of the trees in all industrial areas in the state, and create a list of plots with the number of trees. This is understandably a measure that requires significant effort and time, and is therefore a

medium-term objective, but it can begin through pilots in areas where the vast majority of new buildings are being built at present. Simultaneously, the state should determine and publish online information on the replanting requirements for the state. These requirements may stipulate the need to replant an equal number of trees, or to pay a fixed cost per tree that is to be cut down. Given the importance of trees, these requirements can be designed to escalate in intensity as the number of trees to be cut down increases.

Finally, once the survey is complete and the replanting requirements have been determined, applicants may be allowed to avail of a self-certification mechanism that allows them to submit either evidence of deposit of the total sum to the government's funds, or evidence of replantation. In the long run, this scheme can reduce the burden to inspect and administer the issuance of these permissions on the government, while making it easier for business to construct their buildings while ensuring that environmental interests are protected.

Recommendation 231:
Allow authorized architects to issue the completion certificate at all urban areas and IDCs, instead of requiring a separate completion certificate to be issued

This recommendation is valid for states where separate completion and occupancy certificates are issued by the ULB or municipal body. An ideal approach for states where this continues to be the case is to merge the completion and occupancy certificates into a single certificate; however, if this is difficult to do, it is recommended that the issuance of the compliance certificate is given to the authorized architect, following which the municipality/ULB/IDC issues the occupancy certificate.

Recommendation 232:
Implement a system to allow approval based on third party certification (during construction and/or completion stage, as applicable) of structural design and architectural drawings by authorized structural engineers and architects respectively across all urban areas and IDCs

Once the state has sufficiently strong accreditation and qualifications for architects and engineers that allows the ULB to monitor quality of building processes, the state can move to a more advanced model where building plans may be submitted on the basis of self-certification by these accredited professionals. This can reduce the burden on the ULB to review the drawings prior to approval, and instead allow them to rely on the accredited professionals to ensure that the building by-laws are complied with in the construction process. Further, this allows the ULB to function effectively without requiring a large technical staff to be maintained. This provision of course requires the architects and engineers to have clearly defined responsibilities and liabilities (see Recommendation 64). This also requires sufficient controls to ensure that penalties may be imposed if non-compliance is discovered through random audits by experienced professionals.

Recommendation 233:
Combine all affidavits & undertakings required to be submitted for obtaining the building plan approval into one affidavit/undertaking

While applying for a building plan approval, the applicant is required to be submit various affidavits/undertakings on stamp paper to the building permitting authority. To reduce the time and procedures in obtaining the approval, the various undertakings/affidavits may be integrated into a single document. The affidavit/undertaking may be then submitted online on the building plan approval portal of the permitting authority.

37. Building Plan Approval

Recommendation 234:	Recommendation 235:
Publish information about the procedure and a comprehensive list of documents including pre-construction and post-construction No Objection Certificates (NOCs), registrations and other mandatory	Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation to grant construction permits including all required approvals; pre-construction, during construction

State approvals (prior to plinth and pre - occupancy) on the web site	and post construction
Recommendation 236: Mandate that a single, joint site inspection will be carried out by all concerned authorities such as Fire, Sewerage, Electricity, Labour (such as Factory license), Water Department and internal departments responsible for granting construction permits in urban areas and IDCs	**Recommendation** 237: Design and develop an online single window system for granting construction permits with following functionalities: i. A common integrated application for all internal and external agencies required to provide applicable NOCs/Approvals such as Fire Services, Water and Sewerage Department, Discoms, AAI, NMA, Forest, labour, Factory Directorate etc. ii. Provision for making an online application with integrated payment without the need for a physical touch point for document submission and verification iii. The system should allow auto scrutiny of building plans from compliance perspective according to the uniform building codes/building by-law using Auto DCR (or similar) software iv. Ensure that the system issues digitally signed approved building plan within 30 days from the date of application v. Provision for e-intimation to authorities of plinth level completion vi. Provision for online issuance of certificate of inspections vii. Provision for online common completion request form cum Occupancy Certificate Application with online payment viii. Provision for online issuance of digitally signed occupancy cum completion certificate to the applicant
Recommendation 238: Define clear timelines mandated through legislation for sanctioning of building permits/building plan approval in 30 days	**Recommendation** 239: Stipulate that construction permits, are provided within 45 days I. Building Plan approval is provided within 30 days II. Plinth Inspection is done within 7 days of intimation III. Final completion/occupancy certificate is provided within 8 days (7 days for inspection + 1day for issuing the certificate)

Recommendation 240:
Allow third parties to easily verify the approval certificates in the public domain
The ideal system covered by these questions includes the following criteria: • The detailed procedure covering all applicable steps, from application submission to application approval (including all NOC requirements, registrations and other state approvals), is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules. • A comprehensive list of the documents that need to be submitted as part of the application is included on the website. • Clear timelines are notified, either on the portal, or through a notification and citizen charter. Building plan

may be sanctioned within 30days, plinth certificate be issued within 7 days and the final completion cum occupancy certificate be provided within 8 days including inspection. The inspection may be conducted within 7 days of intimation and the final certificate is issued on the 8th day. This period of 45 days can be spread across from the date of application of building plan approval till issuing of completion certificate. The timelines should be highlighted clearly on the portal along with the notification.

- Allowing applicants/architects to upload building plans as part of their online application is but the first step in automated construction permit approval. Technology has today evolved to the point where a lot of the processing and review of building plans can also be processed using software. In particular, CAD systems can be developed that automatically scan building plans and monitor compliance with the building by-laws and building codes in force. Such automated systems greatly increase efficiency by allowing computer verification, and simultaneously reduce the risk of human error in the review of the plans. This requires a system that allows applicants to upload building plans – these tend to be very large files, so the system should also include adequate storage space. Second, the municipal corporation should incorporate the filters and restrictions into the CAD software on the server end so that they are automatically reviewed for compliance against the building code

- The online construction permit approval portal should have the following features:
  o Common Application Form for all internal and external agencies such as Fire, Forest, AAI etc.;
  o The user can pay all associated fees online;
  o Once submitted, the plans are scrutinized online without any manual interference
  o Applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  o Provision for e-intimation to authorities of plinth level completion
  o Provision for online issuance of certificate of inspections; and
  o Once approved, the user can obtain the digitally approved plans and occupancy cum completion certificate.

- There are no physical touch-points in the application process. This means that applicants are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.

- Similarly, for many large buildings, a variety of government agencies are involved in inspecting and clearing the construction, at all stages of the construction process. Integrating the multiple inspections into a single joint inspection through an Act, notification or rule can help integrate the various inspection requirements into a single comprehensive checklist, which allows for a single clearance for compliant buildings, or for the development of a comprehensive corrective.

- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.

- Third parties/other users should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal.

38. NOC for tree felling from Tree Authority/ Appropriate Authority (prior to commencement of construction activities)

Recommendation 241: Publish information about the procedure and a comprehensive list of documents required on the Department's web site	Recommendation 242: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application
Recommendation 243: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 244: Ensure that the system allows user to download the final signed approval certificate from the online portal
Recommendation 245:	

Allow third parties to easily verify the approval certificates in the public domain

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the application form online;
  - The user can pay all associated fees online;
  - Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - The user can track the status of his applications online using the portal; and
  - Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points for the submission of documents in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/valid issued certificates or granted approval should be made available in the public domain for third party.

39. Tree Transit permission

Recommendation 246: Publish information about the procedure and a comprehensive list of documents required on the Department's web site	Recommendation 247: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application
Recommendation 248: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 249: Ensure that the system allows user to download the final signed approval certificate from the online portal
Recommendation 250: Allow third parties to easily verify the approval certificates in the public domain	

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and

should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the application form online;
  - The user can pay all associated fees online;
  - Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - The user can track the status of his applications online using the portal; and
  - Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points for the submission of documents in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/valid issued certificates or granted approval should be made available in the public domain for third party.

40. NOC for Fire Department (prior to commencement of construction activities)

Recommendation 251: Publish information about the procedure and a comprehensive list of documents required on the Department's web site	Recommendation 252: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application
Recommendation 253: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 254: Ensure that the system allows user to download the final signed approval certificate from the online portal
Recommendation 255: Allow third parties to easily verify the approval certificates in the public domain	

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the application form online;

- o The user can pay all associated fees online;
- o Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
- o The user can track the status of his applications online using the portal; and
- o Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points for the submission of documents in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/valid issued certificates or granted approval should be made available in the public domain for third party.

41. Environment Registration Enablers

Recommendation 256:
Notify a list of white category industries, which are exempted from taking clearances from State pollution control board
- For white industries, the state can do away with pollution control board clearances / mandatory inspections and replace them with need-based inspections which are only invoked in case there are specific complaints. The simplest approach to reducing the regulatory burden on business from environmental procedures and licensing is to introduce different approval inspection regimes for different categories of pollution. The inspection regime for amber and red industries should also be differentiated, with less frequent inspections for Amber and more frequent inspections for Red industries and firms. Implementing this differentiated inspection regime will require a clear notification that outlines the process for each type of industry, and also mandates the frequency of inspections for Amber and Red industries.   - This list will have to be mandated through legislation or notification, and be made available publicly.

Recommendation 257:	Recommendation 258:
Allow for auto-renewal of Consent to Establish (under Water Act, 1974 and Air Act, 1981) based on self-certification/third party certification and ensure that majority of establishments avail this provision	Allow for auto-renewal of Consent to Operate (under Water Act, 1974 and Air Act, 1981) based on self-certification/third party certification and ensure that majority of establishments avail this provision
Recommendation 259:	Recommendation 260:
Issue Consent to Operate with a validity period of 5 years or above	Issue Consent to Establish with a validity period of 5 years or above

Separate processes to renew Consents to Establish and Operate annually impose costs upon both the state government as well on entrepreneurs. For state governments, annual renewals imply repeated paperwork, inspection and costs associated with recruiting and maintaining sufficient manpower to carry out the annual checks and reregistration. However, in many cases, there are no changes in pollution levels or activities – therefore, the exercise is only repeated annually, thereby imposing repeated costs on the department and the entrepreneur.
One option to remove this cost is to issue Consents to Operate and Establish for longer durations, especially in cases pertaining to Green and Orange industries, subject to there were no changes in pollution levels or activities; in case there has been a change in pollution levels or activities, reregistration will be mandatory. State resources can then be geared toward randomly auditing to ensure compliance with the terms of the certificate. Additionally, the state can mandate auto renewal of the Consent, subject to self- or third-party certification of that there were no changes in pollution levels or activities. This will require the issuance of a notification in this regard, as well as systems to process the submission of auto-renewal filings.

If the state wishes to pursue third-party certification instead of self-certification, the state must not only issue a notification, but also lay out criteria for accreditation and empanelment of third-party service providers, as well as clearly lay out that, in the event of misrepresentation, the liability is shared equally between the entrepreneur and the certifying authority.

42. Consent to Establish under the Water (Prevention and Control of Pollution) Act, 1974

Recommendation 261: Publish information about the procedure and a comprehensive list of documents required on the Department's web site	**Recommendation 262:** Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application
Recommendation 263: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	**Recommendation 264:** Ensure that the system allows user to download the final signed approval certificate from the online portal

Recommendation 265:
Allow third parties to easily verify the approval certificates in the public domain

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the application form online;
  - The user can pay all associated fees online;
  - Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - The user can track the status of his applications online using the portal; and
  - Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points for the submission of documents in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/valid issued certificates or granted approval should be made available in the public domain for third party.

43. Consent to Establish under the Air (Prevention and Control of Pollution) Act, 1981

Recommendation 266: Publish information about the procedure and a comprehensive list of documents required on the Department's web site	Recommendation 267: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application
Recommendation 268: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 269: Ensure that the system allows user to download the final signed approval certificate from the online portal
Recommendation 270: Allow third parties to easily verify the approval certificates in the public domain	

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  o Entrepreneurs should be able to fill out and submit the application form online;
  o The user can pay all associated fees online;
  o Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  o The user can track the status of his applications online using the portal; and
  o Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points for the submission of documents in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/valid issued certificates or granted approval should be made available in the public domain for third party.

44. Authorization under the Hazardous and Other Wastes (Management and Transboundary Movement) Rules, 2016

Recommendation 271: Publish information about the procedure and a comprehensive list of documents required on the Department's web site	Recommendation 272: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application

Recommendation 273: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 274: Ensure that the system allows user to download the final signed approval certificate from the online portal
Recommendation 275: Allow third parties to easily verify the approval certificates in the public domain	

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - o Entrepreneurs should be able to fill out and submit the application form online;
  - o The user can pay all associated fees online;
  - o Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - o The user can track the status of his applications online using the portal; and
  - o Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points for the submission of documents in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.

45. Consent to Operate under the Water (Prevention and Control of Pollution) Act, 1974

Recommendation 276: Publish information about the procedure and a comprehensive list of documents required on the Department's web site	Recommendation 277: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application
Recommendation 278: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 279: Ensure that the system allows user to download the final signed approval certificate from the online portal
Recommendation 280: Allow third parties to easily verify the approval certificates in the public domain	

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The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the application form online;
  - The user can pay all associated fees online;
  - Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - The user can track the status of his applications online using the portal; and
  - Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points for the submission of documents in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.

46. Consent to Operate under the Air (Prevention and Control of Pollution) Act, 1981

Recommendation 281: Publish information about the procedure and a comprehensive list of documents required on the Department's web site	Recommendation 282: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application
Recommendation 283: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 284: Ensure that the system allows user to download the final signed approval certificate from the online portal
Recommendation 285: Allow third parties to easily verify the approval certificates in the public domain	

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines

should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the application form online;
  - The user can pay all associated fees online;
  - Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - The user can track the status of his applications online using the portal; and
  - Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points for the submission of documents in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.

47. Obtaining Electricity Connection

Recommendation 286: Ensure that DisComs uses automated tools to monitor outages in all Industrial areas of State	Recommendation 287: Ensure that DisComs uses automated tools for service restoration in all Industrial areas of State
Recommendation 288: Ensure that the regulator publishes monthly or quarterly the data regarding total duration and frequency of outages online in public domain	Recommendation 289: Ensure that total outage cap is fixed by regulator for a quarter/year and the Discoms compensates customers for outages that go over the fixed cap

These questions are aimed at improving the quality of electricity supply available. In recent years, DisComs around the country have been implementing Supervisory Control and Data Acquisition (SCADA) systems, which allow them to monitor outages and restore services. Such system replaces manual processes to monitor outages on the basis of customer complaints, reliance on field crews or maintenance personnel to restore service and has other advantages. Firstly, this systems help improve the quality and reliability of electricity supply by tracking problems and resolving them in a timely manner. Secondly, with the help of such SCADA-based systems, regulators can effectively monitor reliability of supply, either on a periodic basis or real-time, and can publish such information online. This allows businesses to understand the quality of the electricity supply available, and to take steps necessary to plan for and mitigate outages as and when they arise. The states may choose to use SCADA or any other automated tool in this regard. SCADA is implemented in all cities that are eligible under R-APDRP, or if the State has implemented an alternative mechanism for monitoring outages and service restoration in these cities.

Finally, the imposition of an outage cap also helps businesses plan for and mitigate the impact of outages, by ensuring that they are compensated for outages beyond what they have planned for. Alternatively, if the regulator imposes a fine for exceeding the cap, the DisComs has greater incentive to ensure its reliability and service quality.

Recommendation 290: Ensure that information on effective tariffs are available online, and that customers are notified of a change in tariff ahead of the billing cycle
Beyond a reliable electricity supply, transparency around tariffs is also important for customers, to enable them to forecast the cost of their energy consumption and deal effectively with future price increases. Publishing this information and notifying users of changes in tariffs ahead of time allow regulators to ensure that tariff information is transparent.

Recommendation 291:	Recommendation 292:
Reduce the number of documents required for obtaining the electricity connection to only two i.e. proof of ownership/occupancy and authorization document (in case of firm/company)	Allow third party inspection of internal installations and ensure that majority of establishments avail this provision
Recommendation 293:	Recommendation 294:
Ensure that users are provided a fixed cost estimate based on the load (KVA/KW) required for obtaining electricity connection in all industrial areas of State and ensure these charges (demand note) is generated through the online system	Implement a system that allows online application submission, payment and tracking of status without the need for a physical touch point for document submission for new electricity connection and mandate that all applications are submitted online

Recommendation 295:
Stipulate that charged electrical connections (up to 150 KVA) is provided within Seven days (where no 'Right of Way' (RoW) is required) and in Fifteen days where RoW is required from concerned agencies

The questions above are based on reforms that have significant benefits for entrepreneurs:
 	
• An online application form, perhaps combined with the single window system, can make applications for connections easier and, by enabling tracking of applications online, can also introduce transparency into the process. If connections are provided by private distribution companies, energy regulators can also use the system to obtain data and track performance in terms of the time it takes to obtain an electricity connection.
• The application to be made mandatorily online, through a portal with the following features:
    ○ Entrepreneurs should be able to fill out and submit the application form online;
    ○ The user can pay all associated fees online;
    ○ Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
    ○ The user can track the status of his applications online using the portal; and
    ○ Once approved, the user can obtain the approval or registration certificate online through the portal.
• There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
• In many cases, road cutting (RoW) may be required to provide electric connections; often, this permission is given by a separate department, and involves a separate application by the utility and a separate payment by the consumer. It is recommended that a fixed cost per load unit be stipulated by the government, which includes all costs associated with providing the average electricity connection. The distribution company can then use this payment to pay for any restoration charges or any other costs that may be incurred, and the consumer only has to apply once and pay once.
• A large number of documents are generally required to obtain an electricity connection to prove that the applicant is authorized to apply for the electricity connection. This can be streamlined significantly by requiring only 2 documents: proof of ownership/ occupancy and proof of authorization to apply in the case of a firm/ company.
• A mandatory time limit for electricity connections is helpful if notified by state governments as it helps reduce uncertainty of entrepreneurs regarding the time required to obtain the connection, thus enabling them to plan effectively.
• In many cases, electricity connections require detailed inspections by the distribution companies or by the Government prior to connections. However, this inspection can be outsourced to third party agencies who have the skills to inspect internal wiring and can complete this during the building planning and construction stage itself. To enable this, the state must not only issue a notification, but also lay out criteria for accreditation and empanelment of third-party service providers, as well as clearly lay out that, in the event of an accident, the liability falls equally upon the entrepreneur and the certifying authority.

Recommendation 296:	Recommendation 297:
Design and develop an online system for granting road cutting permissions in a manner that it allows online	Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent)

application submission, payment, document submission and approvals.	legislation for approval of complete application for granting 'Right of Way' (RoW) permission

Recommendation 298:
Allow third parties to easily verify the authenticity of electricity connections and respective premise/entity/individual through online system in the public domain

- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the application form online;
  - The user can pay all associated fees online;
  - Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - The user can track the status of his applications online using the portal; and
  - Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.

48. Certification of Electrical Installation by Chief Electrical Inspector

Recommendation 299:	**Recommendation** 300:
Publish information about the procedure and a comprehensive list of documents required on the Department's web site	Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application
Recommendation 301:	**Recommendation** 302:
Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Ensure that the system allows user to download the final signed approval certificate from the online portal
Recommendation 303:	
Allow third parties to easily verify the approval certificates in the public domain	

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the application form online;
  - The user can pay all associated fees online;

- o Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - o The user can track the status of his applications online using the portal; and
  - o Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points for the submission of documents in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.

49. Obtaining Water Connection

Recommendation 304: Publish information about the procedure and a comprehensive list of documents required by all relevant agencies for providing water connection in urban and industrial areas of State on the Department's web site	Recommendation 305: Define clear timelines mandated through legislation for obtaining water connection by all concerned agencies

Recommendation 306:
Design and implement an integrated system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification from all concerned agencies and mandate that all applications are submitted online

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - o Entrepreneurs should be able to fill out and submit the application form online;
  - o The user can pay all associated fees online;
  - o Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - o The user can track the status of his applications online using the portal; and
  - o Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points for the submission of documents in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.

50. Tax Enablers

Recommendation 307:	Recommendation 308:
Ensure that users are provided assistance for e-filing at service centers	Establish a helpline providing basic services and assisting users in preparing and filing returns
E-filing service centers can be an effective mechanism to assist tax payers to make the transition from manual filing and payment. These centers can assist taxpayers to file and pay taxes online, thereby allowing greater use of the online system. Wide availability of such centers can also increase adoption of online filing and payment mechanisms. Similarly, a helpline number can also provide real-time information and support to users.	

Recommendation 309:
Mandate that the VAT refund payment should directly be paid into organization's account within 60 days
VAT refunds are a source of capital that entrepreneurs can use to expand their business or to carry out transactions – therefore, delays in the refund reaching the entrepreneur can slow down the pace of business. For this question, we examine whether notifications or legislation exist that mandate this repayment into the entrepreneur's account, as well as whether the refund is made directly to the user's bank account, instead of through a voucher or check.

Recommendation 310:
Implement a system for risk based audit related to tax compliance
A tax database that captures data effectively on tax payments and compliance can be used by the tax authority to identify the most high-risk tax payers. This allows tax audits and inspections to be targeted at cases that pose risk, instead of being conducted uniformly across all businesses, many of which may be of a very small scale or may partake in small transactions only. This also increases the efficiency of the tax audit process, by reducing the workload on officials who undertake these audits. The criteria that define the risk parameters should be clearly defined in a government notification or circular, and can also be built into advanced tax registration, filing and payment systems

Recommendation 311:
Introduce a system for advance tax ruling for State level taxes on the lines of Income Tax Act
Advance tax provisions allow businesses to pay taxes upfront, and thereby reduce their cost of compliance. Such provisions should be built in to the state's VAT and other tax laws, so that they can be enforced.

Recommendation 312:	Recommendation 313:
Publish forms relating to information captured at check posts been made available online	Phased out static check posts and implement random checking by mobile squads
Recommendation 314:	**Recommendation 315:**
Ensure that the provision for uploading way bill/forms is available on the department's website	Provide green channel facility i.e. no checking of documents at the check post if the requisite information is provided in advance except checking of weight if required
These questions relates to a transparent, risk-based approach to ensure tax compliance for goods moving through a state. In line with the other risk-based inspections discussed throughout this document, risk based mobile check posts can be more efficient than static check posts that seek to examine every single truck, by allowing officials to focus on those that pose the highest risk. A first step in this regard is to allow entrepreneurs to generate and upload waybills, transit forms and other check post related forms through an online interface. This online system can then be enhanced with filters that allow random sampling or other risk based criteria, which is then sent to the mobile squads who can then inspect the specific outliers. The ones with the lowest risk may be allowed to	

transport without checking of documents at the check post if the requisite information is provided in advance except checking of weight if required. This can reduce the time taken for domestic transshipment of goods and therefore spur greater domestic and international trade.

51. Registration for Value Added Tax (VAT)

Recommendation 316: Publish information about the procedure and a comprehensive list of documents required on the Department's web site	Recommendation 317: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application
Recommendation 318: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 319: Ensure that the system allows user to download the final signed approval certificate from the online portal.
Recommendation 320: Allow third parties to easily verify the approval certificates in the public domain	

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - o Entrepreneurs should be able to fill out and submit the application form online;
  - o The user can pay all associated fees online;
  - o Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - o The user can track the status of his applications online using the portal; and
  - o Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.

52. Registration for Central Sales Tax (CST)

Recommendation 321: Publish information about the procedure and a comprehensive list of documents required on the Department's web site	Recommendation 322: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application

Recommendation 323:	Recommendation 324:
Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Ensure that the system allows user to download the final signed approval certificate from the online portal.

Recommendation 325: Allow third parties to easily verify the approval certificates in the public domain
The ideal system covered by these questions includes the following criteria: • The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules. • A comprehensive list of the documents that need to be submitted as part of the application is included on the website. • Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document. • The application to be made mandatorily online, through a portal with the following features: o Entrepreneurs should be able to fill out and submit the application form online; o The user can pay all associated fees online; o Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process; o The user can track the status of his applications online using the portal; and o Once approved, the user can obtain the approval or registration certificate online through the portal. • There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system. • Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user. • Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.

53. Registration for Profession Tax

Recommendation 326:	Recommendation 327:
Publish information about the procedure and a comprehensive list of documents required on the Department's web site	Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application
Recommendation 328:	Recommendation 329:
Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Ensure that the system allows user to download the final signed approval certificate from the online portal.

Recommendation 330: Allow third parties to easily verify the approval certificates in the public domain
The ideal system covered by these questions includes the following criteria: • The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts

or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the application form online;
  - The user can pay all associated fees online;
  - Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - The user can track the status of his applications online using the portal; and
  - Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.

54. Registration for Entry Tax

Recommendation 331: Publish information about the procedure and a comprehensive list of documents required on the Department's web site	Recommendation 332: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application
Recommendation 333: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 334: Ensure that the system allows user to download the final signed approval certificate from the online portal.
Recommendation 335: Allow third parties to easily verify the approval certificates in the public domain	

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the application form online;
  - The user can pay all associated fees online;
  - Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - The user can track the status of his applications online using the portal; and
  - Once approved, the user can obtain the approval or registration certificate online through the portal.

- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.

55. Registration for Entertainment Tax

Recommendation 336: Publish information about the procedure and a comprehensive list of documents required on the Department's web site	Recommendation 337: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application
Recommendation 338: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 339: Ensure that the system allows user to download the final signed approval certificate from the online portal.

Recommendation 340: Allow third parties to easily verify the approval certificates in the public domain

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  o Entrepreneurs should be able to fill out and submit the application form online;
  o The user can pay all associated fees online;
  o Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  o The user can track the status of his applications online using the portal; and
  o Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.

56. Registration for Luxury Tax

Recommendation 341: Publish information about the procedure and a comprehensive list of documents required on the Department's web site	**Recommendation** 342: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete application
Recommendation 343: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	**Recommendation** 344: Ensure that the system allows user to download the final signed approval certificate from the online portal.
Recommendation 345: Allow third parties to easily verify the approval certificates in the public domain	

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the application form online;
  - The user can pay all associated fees online;
  - Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - The user can track the status of his applications online using the portal; and
  - Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.

57. Online filing of returns

Recommendation 346: Design and implement a system for online filing of Value Added Tax (VAT)	**Recommendation** 347: Design and implement a system for online filing of Central Sales Tax (CST)
Recommendation 348: Design and implement a system for online filing of Profession Tax	**Recommendation** 349: Design and implement a system for online filing of Luxury Tax
Recommendation 350: Design and implement a system for online filing of Entry Tax	**Recommendation** 351: Design and implement a system for online filing of Entertainment Tax to be filed online
Similarly, in the case of filing taxes, online returns filing mechanisms are also useful in easily and quickly capturing	

relevant data effectively from the users. This allows better quality control on the database itself, by ensuring that it is error-free, and by thereby allowing state tax authorities to compile comprehensive tax payment histories and develop risk profiles for each tax payer. The online filing mechanism can also be effectively combined into single software, and made available through the single window.

58. Online tax payment

Recommendation 352: Design and implement a system for online payment of Value Added Tax (VAT)	**Recommendation** 353: Design and implement a system for online payment of Central Sales Tax (CST)
Recommendation 354: Design and implement a system for online payment of Profession Tax	**Recommendation** 355: Design and implement a system for online payment of Luxury Tax
Recommendation 356: Design and implement a system for online payment of Entry Tax	**Recommendation** 357: Design and implement a system for online payment of Entertainment Tax
Once returns are filed online, a payment gateway can be deployed to allow taxes to also be paid online. This reduces the burden on the entrepreneurs to manually visit banks to pay taxes, and enables more accurate tax payments if they are based on the filings, as opposed to manual payments which may be subject to errors.	

59. Access to Information and Transparency Enablers

Recommendation 358: Develop and make publicly available a comprehensive checklist, applicable procedure and timeline of all required pre-establishment No Objection Certificates (NOCs), licenses, registrations and other mandatory State approvals required for setting up of a business	**Recommendation** 359: Develop and make publicly available a comprehensive checklist, applicable procedure and timeline of all required pre-operation No Objection Certificates (NOCs), licenses, registrations and other mandatory State approvals required for starting business operations
Recommendation 360: Develop an online information wizard (one portal/functionality covering all categories/types of industries/businesses) to provide accurate information regarding all approvals (No Objection Certificates (NOCs), licenses, registrations and other mandatory approvals, timelines, procedure) applicable to establish a business/industrial unit (pre-establishment)	**Recommendation** 361: Develop an online information wizard (one portal/functionality covering all categories/types of industries/businesses) to provide accurate information regarding all approvals (No Objection Certificates (NOCs), licenses, registrations and other mandatory approvals, timelines, procedure) applicable to establish a business/industrial unit (pre operation)

Investors and businesses often suffer from uncertainty about the exact regulatory requirements required to set up and start their operations. In addition to central registration and licensing, states often have a variety of "economy-wide" regulatory compliances; further, businesses in some industries may also require a number of sector- or industry-specific licenses. In order to ensure that all this information is readily available to an entrepreneur intending to set up a business, it is intended that:
- A comprehensive list of all required licenses, registrations and NOCs, both economy-wide and industry-specific is compiled, covering at least the areas covered in the State Business Reform Action Plan 2016, along with all industry-specific clearances;
- Good practice from several states indicates that the licenses, registrations and NOCs can be sub-divided into two distinct categories: pre-establishment and pre-operation. Segregating license and registration information into these two categories can also assist in offering single window services for licenses at these two stages of a business's establishment.
- The checklist is verified and validated effectively to ensure that no other state approval is required by consulting all licensing agencies as well as private sector associations and chambers;
- The checklist is made available to users on a state government website;

- In addition, an entrepreneur using the website for the purpose of understanding his or her regulatory burden should be able to filter the list by a set number of criteria, including the stage of the businesses life cycle, type of industry, location, number of employees, etc. to understand the unique mix of economy-wide and industry-specific licenses and registrations.

Such efforts can help ensure effective access to information for entrepreneurs, as well as provide regulatory certainty to ensure that they are aware of their exact compliance requirements. In addition, this information is critical to helping develop and implement a comprehensive single-window system and Common Application Forms (CAF).

Recommendation 362:	Recommendation 363:
Establish a formal investors' facilitation center/bureau in State for investment promotion, industrial facilitation, regulatory reforms and obtaining user feedback	Define working procedures for the investors' facilitation center/bureau such as for queries regarding the application and approval process, query recording and ticketing, service timelines for query handling, aligning relationship managers and reverting back to investors

Investment promotion and facilitation can assist in attracting new investments in the state and retain existing ones. Developing a formal process of improving the business climate requires a dedicated institution with responsibility for investment promotion & facilitation, simplification of regulatory procedures and direct engagement with the industry for information gathering, stakeholder consultations etc.

The investor facilitation center/bureau's ability to resolve problems is related to its legal status, mandate and location within government. Such an agency may be established a legislation or a legal mandate.

The investor facilitation center/bureau must clearly publish online clear procedures and timelines regarding the following

- Application approval process
- Query recording and handling
- Grievance handling

Recommendation 364:
Implement a system whereby business entities are issued a single ID for all State taxes (VAT and CST, and PT, Entertainment Tax, Entry Tax and Luxury Tax where applicable)

Entrepreneurs are subject to various registrations for tax purposes at a state level, including VAT, CST, Entry tax, Entertainment tax, Luxury tax and Professional tax. A separate registration number for each makes it difficult on the part of the entrepreneur to remember and file; similarly, separate registration numbers make it difficult for tax authorities to develop risk profiles as they often do not have access to the full tax compliance history of a business. A single ID from the user perspective makes it easier to file taxes and also enables greater integration of tax payment and filing systems, thus reducing the cost on government to maintain multiple systems and databases.

Recommendation 365:	Recommendation 366:
Mandate that the final VAT registration certification will be issued within at most one (1) working day from the date of submission of application form	Mandate that the final professional tax registration certification (where applicable) will be issued within at most one (1) working day from the date of submission of application form

The provision of VAT and professional tax registration certificates are often a prerequisite for businesses to open bank accounts and therefore truly begin operations. Therefore, delays in issuing these certificates may lead to delays in the business's establishment and operations, thereby reducing the ability of the business to get bank loans, employ workers and generate incomes. Providing these certificates in a timely manner may help reduce this burden significantly. However, should the state choose to do so, it is necessary to put in place this commitment through a written notification mandating registration certificate to be issued in 1 day from date of application, and to ensure that any online systems for these registrations are equipped to allow this to happen in a timely manner.

Recommendation 367:	Recommendation 368:
Enact a legislation (e.g. Right to Services Act) to	Ensure that the time-bound service delivery legislation

mandate time-bound delivery of all services provided by the State Government to Industries/Businesses	defines punitive provisions that deter officials from not complying with the defined timelines for services being provided to Industry/Business

Recommendation 371:
Ensure that the time-bound service delivery legislation defines clear procedures for applicants to submit grievances relating to noncompliance with the defined timelines

In order to make the delivery of services truly effective, the timelines for delivery by various agencies must be enforceable. This means that the state must have legislation that:
- Mandates time-bound delivery of services to business, in line with the timelines published above; and
- Lays out punitive measures against officials who do not abide with these timelines.

For the purposes of this assessment, we recommend that the legislation cover time-bound service delivery for at least any four of the following registration or licensing processes: Labor, Environment, Land Allotment, Construction Permits, Power/electricity connections and State taxes.

The single window legislation should also indicate clear timelines that govern its processes for dealing with grievances related to the registration process. Such timelines provide additional certainty to entrepreneurs who wish to register their businesses. However, to be truly effective, these timelines should relate to fully resolving the grievances themselves – not just routing the grievance to other agencies or departments.

Recommendation 369:	Recommendation 370:
Develop an online system available in public to publish real time status of applications submitted to the departments concerned for obtaining clearances	Ensure that online system sends automated SMS/e-mail notification to respective Head of the Department with status information on the applications in which clearances are likely to breach the prescribed timelines (e.g. when 90% of prescribed time limit is passed and clearance is still not given to applicant)

The above online system should be enabled for the services beyond the ones covered under Single Window. Such online portals should clearly make public the real time status of the applications submitted to the departments concerned for obtaining clearances. The online system should also send automated SMS/ emails to the respective department heads in case there is a breach of prescribed timelines (e.g. when 90% of prescribed time limit is passed and clearance is still not given to applicant)

Recommendation 372:	Recommendation 373:
Mandate and make arrangements to publish draft business regulation online and invite public comments/ feedback on the same prior to enactment	Mandate and make arrangements to publish the comments/feedback received online on the draft business regulation and how they are addressed in the final regulation

Global best practice around promoting regulatory certainty for business includes allowing stakeholders the opportunity to review and provide feedback on draft regulations before they are enacted. Regulations that are compiled with stakeholder input tend to feature higher compliance and impose a lower burden in terms of enforcement as well as compliance. Allowing stakeholder inputs in business regulations is therefore a critical prerequisite for good private sector governance.

Many states have already introduced provisions for posting draft regulations online for public comment prior to enactment. In addition to these efforts, we recommend introducing a mechanism to provide transparency on the comments that have been received, as well as how they were addressed in the final draft of the regulation that is ultimately enacted.

60. Retail Drug License (Pharmacy) and renewal thereof

Recommendation 374:	Recommendation 375:
Publish information about the procedure and comprehensive list of documents on the Department's	Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent)

web site	legislation for approval of complete Application
Recommendation 376: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	**Recommendation** 377: Ensure that the system allows users to download the final signed approval certificate from the online portal.

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the application form online;
  - The user can pay all associated fees online;
  - Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - The user can track the status of his applications online using the portal; and
  - Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.

61. Wholesale drug license

Recommendation 378: Publish information about the procedure and comprehensive list of documents on the Department's web site	**Recommendation** 379: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 380: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	**Recommendation** 381: Ensure that the system allows users to download the final signed approval certificate from the online portal.

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.

- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  o Entrepreneurs should be able to fill out and submit the application form online;
  o The user can pay all associated fees online;
  o Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  o The user can track the status of his applications online using the portal; and
  o Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.

62. Granting and renewal of Drug Manufacturing License

Recommendation 382: Publish information about the procedure and comprehensive list of documents on the Department's web site	Recommendation 383: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 384: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 385: Ensure that the system allows users to download the final signed approval certificate from the online portal.

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  o Entrepreneurs should be able to fill out and submit the application form online;
  o The user can pay all associated fees online;
  o Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  o The user can track the status of his applications online using the portal; and
  o Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned –

should be made available for download from the website by the user.

63. Registrations and renewals under the Legal Metrology Act, 2009

Recommendation 386: Publish information about the procedure and comprehensive list of documents on the Department's web site	Recommendation 387: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 388: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 389: Ensure that the system allows users to download the final signed approval certificate from the online portal.
Recommendation 390: Allow third parties to easily verify the approval certificates in the public domain	

The Legal Metrology Act, 2009 replace the Standards of Weights and Measures Act, 1976 and the Standards of Weights and Measures (Enforcement) Act, 1985. This law establishes uniform standards of weights and measures to regulate trade in weights, and other goods which are sold or distributed by weight, measure or number. Under this recommendation, registration is required for manufacturer, importer, dealer and repairer of any weight or measure.

The ideal system covered by these questions includes the following criteria:

- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - Entrepreneurs should be able to fill out and submit the application form online;
  - The user can pay all associated fees online;
  - Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - The user can track the status of his applications online using the portal; and
  - Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.

64. Registration of partnership firms

Recommendation 391: Publish information about the procedure and comprehensive list of documents on the Department's web site	Recommendation 392: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 393: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 394: Ensure that the system allows users to download the final signed approval certificate from the online portal.
Recommendation 395: Allow third parties to easily verify approval certificates in the public domain	

The ideal system covered by these questions includes the following criteria:
- The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
    - Entrepreneurs should be able to fill out and submit the application form online;
    - The user can pay all associated fees online;
    - Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
    - The user can track the status of his applications online using the portal; and
    - Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.

65. Registration of Societies

Recommendation 396: Publish information about the procedure and comprehensive list of documents on the Department's web site	Recommendation 397: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 398: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point	Recommendation 399: Ensure that the system allows users to download the final signed approval certificate from the online portal.

for document submission and verification and mandate that all applications are submitted online	

Recommendation 400: Allow third parties to easily verify approval certificates in the public domain

Registration of Societies will cover both the Societies Registration Act, 1806 and Cooperative Societies Act, 1912.
 	
The ideal system covered by these questions includes the following criteria:
• The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.
• A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
• Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
• The application to be made mandatorily online, through a portal with the following features:
   o Entrepreneurs should be able to fill out and submit the application form online;
   o The user can pay all associated fees online;
   o Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
   o The user can track the status of his applications online using the portal; and
   o Once approved, the user can obtain the approval or registration certificate online through the portal.
• There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
• Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
• Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.

66. Trade Licence

Recommendation 401: Publish information about the procedure and comprehensive list of documents on the Department's web site	Recommendation 402: Define clear timelines mandated through the Public Service Delivery Guarantee Act (or equivalent) legislation for approval of complete Application
Recommendation 403: Design and implement a system that allows online application submission, payment, tracking and monitoring without the need for a physical touch point for document submission and verification and mandate that all applications are submitted online	Recommendation 404: Reduce the number of documents required for obtaining trade license to only two: ID Proof and Lease Deed/Legal Occupancy document
Recommendation 405: Ensure that the system allows user to download the final signed approval certificate from the online portal.	Recommendation 406: Allow third parties to easily verify the approval certificates in the public domain
The Trade License as per the recommendation covers all trade licences under the Municipal Acts of the respective municipal corporation and other local bodies of the states as relevant. The ideal system covered by these questions includes the following criteria: • The detailed procedure covering all applicable steps, from application submission (online/offline, inspection etc.) to application approval, is published online on department's website. The procedure should clearly	

highlight the step by step movement of the application within the department. It may be supplemented with process maps if available; in any case, the details should be published explicitly and should not refer to Acts or rules.

- A comprehensive list of the documents that need to be submitted as part of the application is included on the website.
- Reduce the number of documents required for obtaining trade license to only two: ID Proof and Lease Deed/Legal Occupancy document. The ID proof for an individual may be the Aadhar number and for business it may be PAN or Incorporation certificate
- Clear timelines are mandated through a Public Service Guarantee Act (or equivalent Act). The timelines should be highlighted clearly on the portal along with the supporting document.
- The application to be made mandatorily online, through a portal with the following features:
  - o Entrepreneurs should be able to fill out and submit the application form online;
  - o The user can pay all associated fees online;
  - o Once submitted, the applications are processed and approved by each licensing agency online, and not through a manual or hard copy process;
  - o The user can track the status of his applications online using the portal; and
  - o Once approved, the user can obtain the approval or registration certificate online through the portal.
- There are no physical touch-points in the application process. This means that entrepreneurs are not required to physically present and submit all documents for verification before the certificate is issued. Instead, entrepreneurs can use digital signature certificates to submit their documents through the online system.
- Once approval is obtained, the signed certificate – either digitally signed or signed manually and scanned – should be made available for download from the website by the user.
- Third parties/other users such as Other Government Agencies, Banks, etc. should be able to check the authenticity of the document online, using the certificate number or other unique reference, by visiting the portal. Current/Valid issued certificates or granted approval should be made available in the public domain for third party.