

# **Guidelines on empanelment of inspection agencies and inspection of warehouses**

**Warehousing Development and Regulatory Authority,  
Government of India**

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## **CHAPTER I PRELIMINARY**

### **1. Short title and objective**

- 1) These guidelines may be called the Guidelines on empanelment of inspection agencies and inspection of warehouses.
- 2) These guidelines seek to establish a well-defined framework for inspection of warehouses by the Authority by itself or through empanelled inspection agencies. Accordingly, these guidelines define the types of inspections, lay down procedures and checklists for inspections, empanelment of inspection agencies and monitor their functioning.

### **2. Definitions**

- 1) In these guidelines, unless the context requires otherwise:
  - a) “Act” means the Warehousing (Development and Regulation) Act, 2007 (37 of 2007);
  - b) “affiliate” means —
    - i. applicant’s key managerial persons or any of their relatives who are key managerial persons;
    - ii. a company in which the applicant or any of its key managerial persons is a Member or Director; any person on whose advice, directions or instructions the applicant or any of its key managerial persons is authorised to act, except where the advice, directions or instructions are given in a professional capacity;
    - iii. any company which is —
      - 1) a holding, subsidiary or an associate company of the applicant; or
      - 2) a subsidiary of a holding company to which the applicant is also a subsidiary.
  - c) “applicant” means a person making an application for seeking empanelment or renewal of empanelment as an Inspection Agency to the Authority under clause 5 or clause 9A of these guidelines;
  - d) “Authority” means the Warehousing Development and Regulatory Authority established under the Act;
  - e) “authorisation letter” means a letter issued by the Authority, which directs an inspection agency or an employee of the Authority, to inspect a warehouse and includes such details as are required under these guidelines.

f) “discrepancy note” means a note issued to the warehouseman or his representative by an Inspecting Officer at the site of the inspection highlighting major non-compliances in the working of the warehouse.

g) “follow-up inspection” means an inspection on the basis of Authority’s assessment of the last inspection report which highlights non-compliance with the provisions of the Act, Rules, Regulations and Guidelines made thereunder.

h) “general inspection” means an inspection that covers any or all aspects of physical inspection, inspection with regard to adherence to the SOP, and verification of the quantity and quality of goods in the warehouse.

i) “guidelines” means these guidelines issued by the Authority and as amended from time to time.

j) “holding company” in relation to one or more other companies, means a company of which such companies are subsidiary companies.

k) “inspection” means examination of a warehouse in order to assess compliance with the provisions of the Act, Rules, Regulations and Guidelines/Circulars made thereunder and includes physical verification of stocks, equipments, examination of records, collection of information including documents, samples, records from one or more warehouses and any other office or premise of a warehouseman.

l) “inspection agency” means an agency, whatever be its constitution, empanelled with the Authority under clause 9 of these guidelines.

m) “Inspecting Officer” means an employee of the Authority or an employee of an inspection agency who shall inspect a warehouse as per these guidelines.

n) “key managerial person”, in relation to an applicant or an inspection agency, means-

i. if the applicant or an inspection agency is a partnership, each of the partners mentioned in its registered partnership deed;

ii. if the applicant or an inspection agency is a society, the president, secretary and treasurer of the society and each member of its governing body;

iii. if the applicant is a company –

1) the Chief Executive Officer or the Managing Director;

2) the Company Secretary;

3) each Director; and

- 4) the Chief Financial Officer.
- 5) any other official by whatever name called, who performs the functions of any of the aforesaid officials or functions of a similar nature.
- o) “net-worth” means —
- i. for a company, the aggregate value of the paid-up share capital and all reserves created out of the profits and securities premium account, after deducting the aggregate value of the accumulated losses, deferred expenditure and miscellaneous expenditure not written off, as per the audited balance sheet, but does not include reserves created out of revaluation of assets, write-back of depreciation and amalgamation; and
  - ii. for a partnership, society or sole proprietorship, the aggregate value of paid up capital and the free reserves.
- p) “order” means any order issued by the Authority which may be in writing or electronically and states a decision of the Authority under these guidelines.
- q) “physical inspection” means an inspection of the physical infrastructure of the warehouse to assess that the physical parameters of the warehouse are in compliance with the infrastructural and any other requirement specified by the Authority from time to time.
- r) “relative” means a relative as defined under the Companies Act, 2013
- s) “show cause notice” means a written or electronic notice issued by the Authority which —
- i. states an action that the Authority proposes to take;
  - ii. states the causes requiring the proposed action; and
  - iii. provides the time limit within which such notice must be replied to;
  - iv. provides the manner of replying to the show-cause notice, including whether replies are sought in person or through written representations or both.
- t) “Standard Operating Procedure (SOP)” means information relating to the processes, actions and responsibilities with regard to the following subjects:
- i. procedure for deposit and delivery of goods;
  - ii. procedure for weighing, sampling of goods to be deposited as per industry standards;

- iii. procedure for verification of quality of goods and communication to depositor;
  - iv. procedure for maintaining details of persons who may act as authorised representatives of the warehouseman for issuing negotiable warehouse receipt;
  - v. procedure for ensuring the safety of the goods from fire, theft, burglary, etc.;
  - vi. procedure for scientific storage of goods, including stacking;
  - vii. procedure for clear identification of stored goods up to the lowest common factor (for example lot size);
  - viii. procedure for determining losses caused due to fire, flood, burglary, misappropriation, fraud, negligence and force majeure events;
  - ix. procedure for internal verification of stock;
  - x. procedure for grievance redressal; and
  - xi. roles and responsibilities of employees (including outsourced employees).
- u) “stock inspection” means an inspection of the registered warehouses issuing NWRs/eNWRs/eNNWRs to physically verify the total quantity of stocks reflected in the NWRs/eNWRs/eNNWRs and test check of its quality.
- v) “subsidiary” in relation to any other company (that is to say the holding company), means a company in which the holding company directly or indirectly through another subsidiary —
- i. controls the composition of the Board of Directors, such control being implied in cases where the holding company by exercise of some power exercisable by it at its discretion can appoint or remove all or a majority of the directors; or
  - ii. exercises or controls more than one-half of the total share capital either on its own or together with one or more of its subsidiary companies.
- w) “surprise inspection” means an inspection without an advance notice to the warehouseman to cover any or all aspects of physical inspection and general inspection.

2) The words and expressions used in these guidelines will have the meaning assigned to them in the Act.



## **CHAPTER II**

### **PERSONS AUTHORISED TO CONDUCT INSPECTION**

#### **3. Requirement of authorisation letter from Authority to conduct inspection**

- 1) No person shall conduct any inspection without an authorisation letter from the Authority.
- 2) The Authority shall issue an authorisation letter only to an inspection agency or to Authority's own employee who is assigned the task of conducting the inspection.
- 3) The Authority or the inspection agency may depute one or more Inspecting Officers to conduct an inspection.
- 4) The authorisation letter issued by the Authority shall require the inspection agency or its employee to conduct one or more of the following in respect of one or more warehouses-
  - a) physical inspection;
  - b) stock inspection;
  - c) general inspection.

## **CHAPTER III**

### **EMPANELMENT OF INSPECTION AGENCIES**

#### **4. Call of applications for empanelment of inspection agencies**

- 1) The Authority shall empanel inspection agencies pursuant to call for applications for empanelment of inspection agencies as published on WDRA website.
- 2) The Authority may not empanel any person as an inspection agency unless the agency has placed an application in this regard to the Authority in the form and manner as determined by the Authority.
- 3) The agencies desirous of getting empanelled with WDRA as an inspection agency shall apply in standard formats as per Schedule 1.

#### **5. Submission of application**

- 1) The applicant shall submit the application in the format specified in Schedule 1.
- 2) The Authority shall treat the application as complete if all of the following requirements are met-

a) the applicant submits the application for empanelment in the format and manner specified;

b) the applicant submits all documents required under Schedule 1 of these guidelines; and

c) the applicant pays a non-refundable application fee of Rupees ten thousand to the Authority.

d) the applicant declares that he does not have conflict of interest with any of the registered warehouse or a warehouse with respect to which an application for registration is made.

3) the Authority may call for additional information from the applicant and the applicant shall furnish such information within such time as may be stipulated by the Authority.

## **6. Acknowledgement of application**

1) The Authority shall send an acknowledgement to the applicant within one week of receipt of the application.

2) Mere submission of the application for empanelment shall not bind the Authority to empanel the applicant as an inspection agency under these guidelines.

## **7. Persons ineligible for empanelment**

1) Any person that has been blacklisted by the Government of India or the Government of any State or any organisation associated with such Governments shall be debarred from empanelment as an inspection agency.

2) Any person whose empanelment has been cancelled by the Authority for any reason shall be debarred from empanelment for a period of five years from the date of cancellation of empanelment.

3) Any warehouseman who is already registered with the Authority under the Act.

## **8. Eligibility of applicants and evaluation of applications**

1) The Authority shall evaluate applications only if they are complete as per clause 5(2).

2) The application shall be evaluated for eligibility on the basis of the criteria laid down in Schedule 2 of these guidelines and the Authority is satisfied that the applicant meets the criteria laid down in Schedule 2.

## **9. Empanelment of inspection agencies**

1) If the Authority decides to empanel an applicant, it shall issue a written or electronic communication to the applicant and ask him to submit the security deposit in accordance with clause 11 within a period of fifteen working days or such time period allowed by the Authority.

2) If the applicant fails to submit the security deposit within such time period, the application may be rejected by the Authority.

3) If the applicant submits the security deposit in accordance with clause 11, it shall empanel the applicant as an inspection agency for a period of five years from the date of empanelment unless such empanelment is surrendered or cancelled before such period. ***Provided further that an agreement as provided under Schedule 8 to this effect shall be executed on a Non-Judicial Stamp paper, pursuant to which, the Applicant shall be treated as empaneled Inspection Agency with WDRA.***

#### **9A. Renewal of Empanelment**

1. An Inspection Agency may submit an application for renewal of empanelment to the Authority in the form appended in Schedule 1 (Part A and Part B).

2. Application for renewal shall be submitted at least two months prior to the expiry of empanelment period.

3. An application for renewal shall be accompanied with a non-refundable application fee of Rupees ten thousand.

4. The applicant inspection agency shall furnish and maintain security deposit as required under Clause 11 of these guidelines for the entire period of renewed empanelment with validity of 6 months beyond such empanelment period as per Schedule 4. Provisions of Clause 11 shall apply in this reference.

5. The terms and conditions enshrined under these guidelines shall be applicable and the inspection agency shall at all times during the period of its empanelment comply with these guidelines and the direction issued by the Authority from time to time.

6. Performance assessment of the applicant for renewal of empanelment shall be done on the identified parameters specified in Schedule 1, Part B basis the performance during the empanelment period which is getting expired. The information furnished by the applicant shall be validated with the Authority records.

7. The Authority may reject an application for the renewal of empanelment of the inspection agency if the applicant agency fails to secure minimum qualifying score in the performance assessment.

Provided that before rejection, the procedure in sub-clause (6) to (9) of Clause 10 shall be followed.

8. In case of non-satisfactory performance, the agency would be eligible to apply afresh only after a gap of 6 months post its expiry of validity of empanelment.

9. Authority may renew empanelment of an Inspection for another term of 5 years, based on the assessment of performance of the Inspection Agency and if the Authority is satisfied that the applicant meets the eligibility requirements under these guidelines.

10. An agreement as provided under Schedule 8 to this effect, shall be executed on a Non-Judicial Stamp paper.

## **10. Process for rejection of applications**

1) The Authority may reject an application if it finds that the applicant does not fulfill the eligibility requirements under clause 8.

2) The Authority may reject an application if any information submitted by the applicant under clause 5 is found to be false.

3) The Authority may reject an application if the applicant does not furnish the information required by the Authority within the time period specified under clause 5(3).

4) The Authority may reject an application if it finds the applicant ineligible under clause 7.

5) The Authority may reject an application on any other ground, recorded in writing, if it is satisfied that it is necessary to do so.

6) The Authority, before rejecting the application, shall issue a communication to the applicant providing at least fifteen working days to make representation, if any, to the Authority.

7) The representation under clause 10(6) shall be made by the applicant in writing.

8) If the Authority has provided time to an applicant to provide representation, the Authority shall consider the representation made by the applicant on merits and decide on the application.

9) If no representation is received within the period specified under clause 10(6), the Authority may reject the application.

## **11. Security Deposit**

1) An applicant shall submit and maintain a security deposit of Rupees five lakh to be held by the Authority during the period of empanelment.

2) The security deposit shall be in the form of a Bank Guarantee issued by Scheduled Commercial Bank which shall be valid for six months beyond the empanelment period.

3) The Authority shall release the security deposit if –

a) an inspection agency surrenders its empanelment and the Authority is satisfied that the inspection agency has discharged its obligations as per the requirements under these guidelines; or

b) the period of empanelment of the inspection agency has expired and the Authority is satisfied that the inspection agency has discharged its obligations as per the requirements under these guidelines.

## **CHAPTER IV**

### **INSPECTION PROCEDURES, RIGHTS AND OBLIGATIONS OF INSPECTION AGENCIES, WAREHOUSEMAN AND THE AUTHORITY**

#### **12. Common inspection procedures for warehouses registered with the Authority**

1) The inspection agency shall conduct an inspection within ten working days of the receipt of the authorization letter or within such time as may be stipulated by the Authority.

2) In exceptional cases, the Authority may require the inspection agency to conduct an inspection in less than ten working days of the receipt of the authorization letter.

3) The authorisation letter issued by the Authority to such inspection agency or its own Inspecting Officer(s) shall include -

a) the name and the address of the warehouse(s) and the warehouseman;

b) type of inspection (physical inspection, stock inspection, general inspection) to be carried out.

c) Nature of inspection whether it is with or without prior notice.

4) The Inspecting Officer shall submit an inspection report to the Authority within five days of the completion of the inspection or within such time as stipulated by the Authority.

5) The Authority may send additional documents and information along with the authorisation letter required for carrying out the inspections, including other details of the warehouseman and the warehouse, past inspection reports, Standard Operating Procedure of the warehouseman and any other relevant information.

6) Unless otherwise specified in these guidelines, the inspection agency or Authority, as the case may be, will give a notice of at least two working days to the warehouseman prior to the inspection;

7) The authorisation letter and the credentials of the Inspecting Officer must be presented to the warehouseman or his representative at the site of inspection;

8) The Inspecting Officer shall explain the inspection process to the warehouseman or his representative at the site of inspection prior to the commencement of the inspection;

9) The inspection shall be conducted in the presence of the warehouseman or his representative.

10) For physical inspection/general inspection, a walk-through of the warehouse/ premises will be conducted by the Inspecting Officer at the time of commencement of the inspection.

11) At the end of the inspection, the warehouseman or his representative shall sign or authenticate a declaration stating –

a) he was present throughout the inspection; and

b) the inspection process as well as the discrepancies or non-compliances were explained to him by the Inspecting Officer; and

c) the Inspecting Officer has issued a discrepancy note to him.

12) The Inspecting Officer will maintain a written record of all documents requested, furnished and inspected, and all information that was requested, but not made available. Such record must be sent along with the inspection report to the Authority.

13) If the Inspecting Officer collects any sample, record or document from the warehouse, a receipt acknowledging the same to the warehouseman or his representative will be issued by the Inspecting Officer. The procedure for sampling shall be as per the circulars, manuals or checklists issued by the Authority from time to time.

14) The Inspecting Officer shall complete the inspection as per the requirements of the authorisation letter and submit an inspection report in the online/manual format prescribed by the Authority, the outline of which shall be given in Schedule 6&7.

15) In cases where testing of samples is required as part of the inspection, the results of such tests should be communicated to the Authority within ten days of the inspection.

16) Collection and analysis of samples shall be done following BIS procedure. Generally representative samples in duplicate shall be collected jointly alongwith warehouseman or his representative and the inspecting officer. One of the representative samples collected would be used for testing physical quality parameters while the other shall be jointly sealed in weather proof packing and left with the warehouseman as a reference sample to be used in case of any dispute. Depending upon the commodity, in case a chemical test is also required representative samples in triplicate will be drawn, the first sample to be used for physical testing, the other jointly sealed sample sent for chemical testing and the remaining one shall be jointly sealed in weather proof packing and left with the warehouseman as a reference sample to be used in case of any dispute.

The size of the samples for physical tests & chemical tests shall be sufficient enough to ensure that all the desired tests can be completed on it. As per need, the guidance on the sample shape & size may be obtained from the NABL accredited lab.

17) The representative sample shall be preserved by the warehouseman till liquidation of the stock covered under the NWR/eNWR.

18) If any chemical test is required it will be got done from a government or a government recognized/NABL accredited laboratory. The prescribed fee for the chemical analysis would be borne by WDRA. The inspection agency will pay the fee and claim from the Authority through their monthly invoice mentioned in section 19.

19) If the Authority requires, it may ask the inspection agency or its official to submit its inspection report earlier, and the inspection agency shall comply with such direction.

20) Inspection Report finalized by the Inspecting Officer shall be reviewed first by Authorised Representative (AR) of the Inspection agency and shall be forwarded to WDRA with his comments. In no case, AR shall be nominated as Inspecting officer.

21) Physical Inspection: In case, capacity of each warehouse is upto 5000 MT and are within a distance of 25 km, then an IO is allowed to inspect maximum two physical inspections in a day.

22) Inspection photographs shall be Time, date and latitude and Longitude (Geo Coordinates) stamped.

### **13. Procedure for physical inspection of warehouse**

1) All physical inspections shall be conducted as per the procedure laid down in Rule 9 of the Warehousing (Development and Regulation) Registration of Warehouses Rules, 2017.

### **14. Power of the Authority to conduct surprise inspections**

1) The Authority may conduct a surprise inspection of a warehouse through its own Inspecting Officer or an inspection agency.

2) Surprise inspections of a warehouse may be conducted by the Authority in the following cases:

- a) if Authority receives complaints regarding the warehouse or a warehouseman.
- b) if serious discrepancies have been discovered during previous inspections.

c) if the Authority notices discrepancies in the information contained in NWRs/eNWRs such as the price, quality, quantity etc. of goods stated therein, or notices any unusual transactions.

3) The Authority will not be required to issue any prior notice for surprise inspection of a warehouse(s) with regard to such inspection.

4) The Inspecting Officer shall complete the inspection as per the requirements of the authorisation letter and submit an inspection report in the online format after signing in on the WDRA portal as explained under Schedule 6 within five days of completion of inspection.

5) Inspection Report finalized by the Inspecting Officer shall be reviewed first by Authorised Representative (AR) of the Inspection agency and shall be forwarded to WDRA with his comments. In no case, AR shall be nominated as Inspecting officer.

6) If the Authority requires, it may direct the inspection agency to submit its inspection report earlier, and the inspection agency shall comply with such direction.

## **15. Obligations of inspection agencies**

1) The inspection agency shall inspect a warehouse after receiving an authorisation letter from the Authority and shall conduct the inspection strictly as per the instructions contained in the letter.

2) The inspection agency shall not outsource inspection to any other agency, and all inspection reports and communications under these guidelines must be under the name and authority of the inspection agency.

3) The inspection agency shall ensure that it has a valid non-disclosure agreement with all of its staff at all times, preventing them from disclosing any information gathered during an inspection under these guidelines, except if required to do so by order of a court, tribunal or law enforcement agency.

4) Inspection shall be conducted by Inspecting Officer approved by the Authority at the time of empanelment or from time to time.

5) If an inspection agency wants to add to the list of Inspecting Officers, it must submit an online request providing relevant information and should also upload required documents to seek the prior approval of the Authority. Authority may approve such Inspecting Officer after satisfying itself that such person meets the qualifications set out in Schedule 2 of these guidelines.



6) The inspection agency or its Inspecting Officer shall not accept any pecuniary benefits, gifts, donations or obligations from any warehouseman or any of its employees, workers or agents at any time during the period of empanelment.

7) All arrangement for travel, logistics, accommodation etc., necessary for conduct of inspection shall be made by the inspection agency and cost thereof, borne by it.

8) The inspection agency shall ensure that its Inspecting Officers are adequately trained on various functions of warehousing and conduct of inspections thereof, in addition to being conversant with the manuals and checklists issued under these guidelines and are fully conversant with the provisions of the Act, Rules, Regulations and Guidelines/Circulars issued thereunder.

9) The inspection agency shall be required to preserve the samples collected by it for a period of at least six months from the date of inspection and provide the same to the Authority as and when required.

10) At the end of the inspection, the Inspecting Officer shall explain the discrepancies or non-compliances noticed, and shall issue a discrepancy note to the warehouseman or his representative, directing the warehouseman to submit a compliance report to the Authority within ten days from the date of inspection.

11) An inspection agency may be required to conduct a follow up inspection on instructions of the Authority in cases where discrepancies pointed out during an inspection have not been addressed adequately in the opinion of the Authority.

12) The inspection agency shall be required to share with the Authority any or all records relating to one or more inspections carried out by it as and when required by the Authority.

13) The inspection agency shall put in place a system and procedure of grievance redressal within the organization and submit a copy of the same to the Authority in the form and manner specified by the authority.

14) The inspection agency shall, on a written communication from the Authority, allow its books of accounts, its inspection processes and systems and past inspections conducted by it to be audited by an auditor appointed by the Authority.

15) The Authorized Representative (AR) of the Inspection Agency (IA) should be separate from the Inspecting Officer(IO) and no person shall be allowed to carry out the functions of both AR and IO.

#### **16. Warehouseman's rights and obligations regarding the inspection process.**

1) A warehouseman or an applicant for warehouse registration, as the case may be, shall not prevent or obstruct an inspection process.

2) A warehouseman or an applicant for warehouse registration has a right to disallow an inspection if –

a) a copy of the authorisation letter has not been provided to him as specified under these guidelines;

b) the Inspecting Officer refuses to establish his credentials before commencement of the inspection; or

c) the Inspecting Officer seeks information or documents outside the scope of the inspection as stated in the authorisation letter;

3) The warehouseman shall provide full cooperation to the Inspecting Officer for the purpose of conducting the inspection, collecting samples, documents and capturing images from the warehouse and recording data from the warehouse or any office or premise belonging to the warehouseman or under his effective control.

#### **17. Request by the warehouseman for change of inspection date**

If the warehouseman requests the inspection agency for a change of inspection date with sufficient reasons, the inspection agency may, if it considers necessary to do so, accommodate such request subject to the timeline stipulated by the Authority in the authorisation letter.

#### **18. Refusal by the warehouseman for inspection of warehouse and consequences of such refusal**

1) If the warehouseman or his representative refuses to let the Inspecting Officer carry out the inspection, or does not extend full cooperation, the Inspecting Officer shall report about such refusal/non-cooperation immediately to the Authority and the inspection agency.

2) The Authority may, after ascertaining the grounds of such refusal or non-cooperation, if it considers necessary to do so, may initiate the process for rejection of application for registration or suspension or cancellation of registration of such warehouse in accordance with the Warehousing (Development and Regulation) Registration of Warehouses Rules, 2017.

## **CHAPTER V**

### **PAYMENT FOR INSPECTION**

#### **19. Payment of fees by Authority to inspection agency for conducting inspection**

1) The Authority shall pay an all-inclusive fee to the inspection agency as per the rates specified in schedule 3 against monthly invoices raised by it.

2) In case an inspection is aborted owing to any mistake on part of the warehouseman/his representative or any other event or incident, natural or otherwise, the Authority shall make full payment of the fee to the inspection agency, provided that the Inspecting Officer visited the locations specified in the authorisation letter and provides sufficient reasons for which the inspection was aborted.

## **20. Warehouseman to bear cost of inspection in certain cases**

The warehouseman shall bear the cost of inspection :

1) if the situation of the stock or the condition of the warehouse in the first inspection rendered it unsuitable for inspection due to non-compliances in the practices observed by the Inspecting Officer. In such a case, the Inspecting Officer shall inform the Authority immediately from the warehouse site and furnish relevant evidence including photographs, videos and copies of documents to the Authority.

2) if the warehouseman or his representative refuses to extend full cooperation to the Inspecting Officer as per clause 18. In such a case, the Inspecting Officer must inform the Authority immediately from the warehouse site and furnish relevant evidence to satisfy the Authority. The Authority may verify the evidence submitted by the Inspecting Officer in any manner it deems fit.

3) if the Authority deems that an additional physical inspection of the warehouse, for which application for registration is made, is required to satisfy itself with respect to such corrective measures as are pointed out during the first physical inspection, it may cause a second physical inspection that shall be conducted at the cost of the applicant.

## **CHAPTER VI**

### **SUSPENSION, CANCELLATION AND SURRENDER OF EMPANELMENT**

#### **21. Suspension of empanelment**

1) The Authority may suspend the empanelment of an inspection agency, if –

a) such inspection agency fails to comply with any of the terms and conditions subject to which the empanelment was granted to it; or

b) such inspection agency violates the provisions of the Act, Rules, Regulations and Guidelines/Circulars made thereunder; or

c) the Authority has reasons to believe that the inspection agency has colluded with the warehouseman or his representative for the inspection; or

- d) the inspection agency ceases to carry on business of inspection or goes into liquidation; or
  - e) the inspection agency fails to maintain any of the Eligibility criteria for empanelment as per Schedule 2 of these guidelines.
- 2) The Authority may suspend the empanelment of an inspection agency after issuing a communication to the inspection agency.
  - 3) Such communication shall include the following details —
    - a) the specific requirements of the Act, Rules, Regulations and Guidelines/Circulars made thereunder that the inspection agency has violated;
    - b) the action the inspection agency is required to take to rectify such violation; and
    - c) the time limit within which such corrective action must be taken.

## **22. Effect of suspension**

- 1) An inspection agency shall not undertake any inspection during the period of suspension.
- 2) In the event of suspension, the inspection agency shall continue to discharge its obligations as per clause 15.

## **23. Power of Authority in the event of suspension**

During the period of suspension of an inspection agency, the Authority may call for information from the inspection agency to verify such inspection agency's compliance with the provisions of the Act, Rules, Regulations, and Guidelines/Circulars made thereunder.

## **24. Revocation of suspension**

- 1) The Authority may revoke the suspension of an inspection agency if it is satisfied that the inspection agency has fulfilled the requirements mentioned in the communication issued under clause 21 and shall communicate such decision to the inspection agency.
- 2) An inspection agency whose suspension has been revoked shall be eligible to inspect warehouses as per these guidelines.

## **25. Request for surrender of empanelment by the inspection agency**

- 1) If any inspection agency wishes to surrender its empanelment, it may make such request in writing.

- 2) While disposing a request under this clause, the Authority may require the inspection agency to fulfill all its obligations with respect to inspection of such warehouses that it was directed to inspect before the date of request of such surrender.
- 3) The Authority shall not assign the inspection agency the task of inspection of warehouse, once such a request for surrender is made.
- 4) The Authority may accept the surrender of empanelment and release the security deposit of the inspection agency if it is satisfied that the requirements under this clause have been met.

## **26. Cancellation of empanelment**

1) The Authority may cancel the empanelment of an inspection agency for one or more of the following reasons:

a) the Authority has a reason to believe that the inspection agency has colluded with the warehouseman or his representative for the inspection; or

b) the inspection agency ceases to carry on business or goes into liquidation; or

c) the inspection agency fails to comply with any of the terms and conditions subject to which the empanelment was granted to it; or

d) the inspection agency violates the provisions of the Act, Rules, Regulations, and Guidelines/ Circulars made thereunder; or

e) the inspection agency has been repeatedly suspended for violation of any of these guidelines; or

f) the inspection agency fails to respond to a communication issued to it under these guidelines; or

g) empanelment of the inspection agency has been suspended and the inspection agency fails to comply with the requirements specified in the communication issued to it under clause 21(2).

2) The Authority may not cancel the empanelment of an inspection agency except after holding an enquiry in accordance with this clause.

3) The Authority, or the enquiry officer appointed by it, acting under this clause, shall issue a show cause notice to the inspection agency which includes the following details:

a) the specific requirements under these guidelines that the inspection agency has violated;

- b) the information which would enable the Authority to satisfy itself regarding the violation; and
  - c) the time limit within which the notice must be replied to.
- 4) If the Authority or the enquiry officer acts under sub-clause (2) of clause 26, it shall allow the inspection agency –
- a) access to all the material considered by it in taking the decision to issue a show cause notice;
  - b) access to any material that was collected in the course of any inquiry or investigation that was used in taking the decision to issue the show cause notice; and
  - c) access to any recorded conclusions or findings that the Authority drew based on material collected during any inquiry or investigation in taking the decision to issue the show cause notice.
- 5) The Authority, or the enquiry officer, may conduct, or cause to be conducted by an external person to examine compliance with the Act, Rules, Regulations and Guidelines/Circulars made thereunder.
- 6) If an enquiry officer was appointed, such officer shall submit an enquiry report to the Authority after considering all the facts, and the submissions made by the inspection agency.
- 7) The enquiry report submitted by the enquiry officer under sub-clause (6) of clause 26 shall include all the following:
- a) copy of the show cause notice;
  - b) all material considered in taking the decision to issue the show cause notice;
  - c) copy of all communication and submissions made by the inspection agency to the enquiry officer in respect of the show cause notice;
  - d) copy of all material considered during the investigation;
  - e) findings of the investigation;
  - f) specific violations by the inspection agency under these guidelines which make the inspection agency liable for action; and
  - g) name of the enquiry officer or officer of the Authority as the case may be.

8) The Authority shall issue a final order on the basis of the enquiry report or on the basis of all the facts and the submissions made by inspection agency before it and shall immediately communicate such order to the inspection agency.

9) The final order issued by the Authority shall contain all of the following:

- a) the decision taken by the Authority;
- b) the reasons for taking such decision;
- c) the materials on which the Authority has relied upon to arrive at such decision;
- d) any right that the inspection agency may have to have the matter referred to the Appellate Authority;
- e) the procedure of such reference.

10) The order shall be published on the website of the Authority.

## **27 Effect of Cancellation**

1) On and from the date of cancellation of the empanelment of the inspection agency, the inspection agency shall-

- a) cease to conduct any inspection on behalf of the Authority; and
- b) continue to discharge its obligations in respect of pending inspection reports in respect of the inspections conducted by it.
- c) forfeit the security deposit submitted to the Authority.

(2) The Authority may recover from the Inspection Agency the costs of any expenditure or loss incurred by the Authority due to the inspection agency not fulfilling the requirements under these guidelines and/or penalty as may be decided by the Authority and by forfeiting the security deposit of the inspection agency to the extent decided by the Authority.

## **28. Appeals**

Any person aggrieved by an order of the Authority made under these guidelines may prefer an appeal to the Appellate Authority as specified under section 42 of the Act.

## CHAPTER VII

### SCHEDULES

#### Schedule 1

##### **Part A:** Application form for empanelment/**renewal** of empanelment of inspection agency

1. Information concerning the applicant —
  - a) Name of the applicant
  - b) If the applicant was previously empanelled with the Authority, identification number issued to the applicant
  - c) Type of person
    - i. Company
    - ii. PSU
    - iii. Partnership Firm
    - iv. Society
    - v. Trust
  - d) Address along with documents required as proof of ID and address (out of documents and listed at Schedule 5)
  - e) Email address:
  - f) Telephone number:
  - g) Photograph of the applicant or authorised representative of the applicant signing the application:
  - h) If the application is submitted by the authorized representative of the applicant, one of the following must be provided:
    - i. Power of attorney:
    - ii. Board resolution authorising the representative;
    - iii. Board resolution in favour of the person providing a letter of authorisation in favour of the authorised representative; or,
    - iv. A letter of authorization from the governing body of the trust,

Paste Passport sized picture of the Authorised person signing the application



society, partnership firm, as the case may be (the governing body shall be the body constituted by such organisation under its registered incorporation documents). In case of partnership firms, a resolution signed by all partners, or an authorized person, to do the work shall also be acceptable.

i) The address, email, phone number of the authorised representative of the applicant must be provided. Enclose ID and Address proof of the authorized representative out of the documents enlisted at Schedule 5.

2. Documents and other information to be submitted relating to eligibility as per Schedule 2.

a) Declaration in the following format, stating that the Applicant meets the requirements for a fit and proper person:

Declaration by applicant stating compliance with requirements for a fit and proper person

I/We, \_\_\_\_\_ (name of applicant), a \_\_\_\_\_ (Company/PSU) Partnership firm/ Society/ Trust), having my registered office at \_\_\_\_\_ (complete address), hereby declare and certify that I/We have perused these guidelines, and as per the requirements for eligibility:-

a) Neither I or any of my key managerial persons, have been convicted by a court for any offence, at any time in the preceding five years;

b) Neither I or any of my key managerial persons, have been declared an un-discharged insolvent;

c) Neither I or any of my key managerial persons, have been declared to be of unsound mind by a court.

d) I/We am/are not under a declaration of ineligibility/banned/ blacklisted by any Regulatory Authority, State or Central Government/ any other Government institutions in India for any reason whatsoever as on the date of submission of the application.

e) I/We am/are not under investigation by any law enforcement agency for unfair practices or any other offence;

f) Neither I nor my affiliates are licensed by the Authority to carry out any other function under the Act; and

g) Neither I or any of my key managerial persons have conflict of interest with any of the registered warehouse or the warehouse with respect to which an application for registration is made.

h) I/We agree to comply with the provisions of the Act, Rules, Regulations and Guidelines/Circulars made thereunder from time to time during the period of my empanelment with the Authority.

Signature of Applicant or Authorised representative

Date:  
Place :

b) A declaration with regards to the number of inspections conducted by the applicant, if any, on behalf of the Authority in the past, enclose a statement as per following format:

<b>Sl. No.</b>	<b>Name of warehouseman</b>	<b>Name of the warehouse</b>	<b>Type of inspection (physical/ stock/general)</b>	<b>Date of Inspection</b>

c) Total years of experience .....years (as per Schedule 2)

Enclose details of inspections/ audit conducted alongwith documentary proof/certificate from the client (work completion report or final payment order on completion) in the following format (provide details of at least three clients per year and for a period of maximum 12 years):

<b>S. No.</b>	<b>Type of inspection/ audit (warehouse/Commodity /other - specify)</b>	<b>Client</b>	<b>Year of inspection</b>	<b>Documentary evidence attached</b>

d) Details of total inspections/ audits conducted in the previous financial year alongwith documentary proof/certificate from the client (as detailed in previous para) in the following format (details of at least ten inspections is required):

<b>S.No.</b>	<b>Type of inspection/ audit/ certification (warehouse/ commodity/ other - specify)</b>	<b>Client</b>	<b>Date(s) of inspection</b>	<b>Documentary evidence attached</b>

e) Details of inspections/ audits / certifications of warehouses, firms and entities engaged in warehousing, logistics, commodity management, food storage and processing, food safety conducted in the last three financial years alongwith documentary proof/certificate from the client (as detailed in Para c above) in the following format (details of at least thirty such inspection are required):

<b>S.No.</b>	<b>Type of inspection/ audit/ certification (warehouse/ commodity/ other - specify)</b>	<b>Inspected entity involved in: (warehousing/ logistics/ commodity management/ storage and processing/ food safety)</b>	<b>Date(s) of inspection</b>	<b>Documentary evidence attached</b>

f) Details of Inspecting Officers working with/for the applicant qualified to inspect warehouses and warehousemen, in the following format (In addition, CV of each Inspecting Officer to be attached alongwith detailed list of atleast five inspections conducted by each Inspecting Officer):

<b>S. No.</b>	<b>Name</b>	<b>Educational qualification</b>	<b>Areas of experience, and years of experience</b>	<b>Number of inspections/ audits/ certifications</b>	<b>Recommended for type of agri/ non-agri warehouses</b>	<b>Recommended for type of inspection (physical/stock/general) **</b>

**\*May suggest keeping in view the experience in relevant areas. Can be recommended for more than one warehouse type.**

**\*\*May suggest considering qualification and relevant experience. Can be recommended for more than one type of inspection.**

g) Details of offices/ branches of the applicant:

<b>Zone</b>	<b>State</b>	<b>Number of offices</b>	<b>Address of each office</b>

**The Authority may ask for additional information from the applicant to verify the information submitted in the application.**

3. Details of payment of Nonrefundable Application Fee:-

Date  
Place

Signature of the Applicant /  
Authorised Representative

**Schedule 1**  
**Part B: Performance data sheet for renewal of Inspection Agencies**

1. Name of Agency
2. IA ID
3. Period of Empanelment
4. No. of present active IOs
5. No. of Zone where IA is presently working
6. No. of offices
7. Performance data sheet

S. No.	Year No.	No. of inspections allotted	No. of inspections conducted	No. of surrendered inspections	No. of inspection delayed beyond 10 working days	No. of strictures * issued against IA	Non Performance score			Annual Performance score = $\{1 - (A+B+C)\} \times 100$ In percent
							A= $(5)/(3)$	B= $(6)/(4)$	C= $(7)*0.05$	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)			(9)
							A	B	C	
1.	Year 1	500	400	100	20	1	0.2	0.05	0.05	70.00

\* Any kind of adverse remarks or notice or letter, issued by WDRA against the Inspection Agency owing to violation of the provisions of the Act, Rules, Regulations and Guidelines or Circulars or Directions issued thereunder, during the period of empanelment with WDRA.

Note – (1). Total performance score shall be calculated as sum of the annual performance score of each year of the period of empanelment divided by number of years. The annual performance score for the last year of the period of empanelment will be calculated for 9 months only as the application for renewal has to be submitted prior to the expiry of empanelment period as provided in Clause 9A(2).

(2). The total performance score should be at least 60%.

(3). The numbers in the row at sl. No. 1 in the above Table are indicative to demonstrate the calculation of annual performance score.

## Schedule 2

### Part A: Eligibility criteria for empanelment as an inspection agency

1. The applicant must meet all of the following conditions in order to be considered for empanelment as an inspection agency –

- a) The applicant must be a fit and proper person.
- b) The applicant should have conducted inspections for a minimum period of three years.
- c) The applicant should have conducted a minimum of ten inspections/ audits in the previous financial year.
- d) The applicant should have conducted a minimum of thirty inspections/ audits/ certifications of warehouses, firms and entities engaged in warehousing, logistics, commodity management, food storage and processing, food safety in the last three financial years.
- e) The applicant should have a minimum of three Inspecting Officers qualified to inspect warehouses and warehousemen as per the following requirements:
  - i. A minimum graduate degree in science (including engineering and technology graduates), agriculture or allied sciences.
  - ii. Have experience of at least five years in one or more of the following fields – storage, assaying, inspection or testing of agricultural/ non-agricultural commodities, warehousing, logistics, and supply chain management.

“Storage, assaying, inspection or testing of agricultural commodities indicates that the inspection experience should encompass verifying stocks of agricultural commodities or food products. Experience in textile mills etc. may not fit the criteria, as the products therein cannot be classified as commodities or food”
  - iii. Have conducted at least five inspections/audits/certifications of warehouses, firms and entities engaged in warehousing, logistics, commodity management, food storage, processing and food safety.
  - iv. Should have good IT skills and conversant with working on online reporting system including email, internet etc.
  - v. Should be preferably a trained and licensed assayer.
- f) The applicant should have offices in at least two of the following zones.

- i. North (Including Chandigarh, Haryana, Himachal Pradesh, NCT of Delhi, Jammu & Kashmir, Punjab, Uttarakhand, Uttar Pradesh)
- ii. South (including Andaman & Nicobar Islands, Andhra Pradesh, Karnataka, Kerala, Lakshadweep, Puducherry, Tamil Nadu, Telangana)
- iii. East (including Arunachal Pradesh, Assam, Bihar, Jharkhand, Manipur, Meghalaya, Mizoram, Nagaland, Odisha, Sikkim, Tripura, West Bengal)
- iv. West (including Dadra & Nagar Haveli, Daman & Diu, Goa, Gujarat, Maharashtra, Rajasthan)
- v. Central (including Chhattisgarh, Madhya Pradesh)

2. Requirements for a fit and proper person: The Authority shall consider the applicant a fit and proper person if the applicant satisfies all of the following requirements —

- a) the applicant, or any of its key managerial persons, have not been convicted by a court for any offence, at any time in the preceding five years;
- b) the applicant, or any of its key managerial persons, has not been declared an undischarged insolvent;
- c) the applicant, or any of its key managerial persons, have not been declared to be of unsound mind by a court
- d) the applicant, or any of its key managerial persons should not be under a declaration of ineligibility/banned/ blacklisted by any Regulatory Authority, State or Central Government/ any other Government institutions in India for any reason whatsoever as on the date of submission of the application
- e) the applicant, or any of its key managerial persons should not be under investigation by any law enforcement agency for unfair practices or any other offence;
- f) the applicant or any of its key managerial persons should not have conflict of interest with any of the registered warehouse or the warehouse with respect to which an application for registration is made.
- g) the applicant or its affiliates are not licensed by the Authority to carry out any other function under the Act; and
- h) the applicant or its authorised representative shall submit a declaration stating that it will comply with the provisions of the Act, Rules, Regulations and Guidelines/Circulars made thereunder from time to time.



**Schedule 2**  
**Part B: Scoring Matrix**

Sr. No.	Criteria	Maximum Score	Minimum score required	Scoring system
1	No of inspections (physical, stock or general) of warehouses conducted by the applicant, if any, on behalf of the Authority in the past	10	0	1 - 50 : 2 51 - 100 : 4 101 - 150 : 6 151 - 200 : 8 > 200 : 10
2	Number of years for which the applicant has been in the business of conducting inspections\$ with a minimum of three inspections in a year (based on submitted documentary proof*)  <b>(Minimum three years experience required)</b>	15	10	3-5 years : 10 6-8 years: 12 >8 years :15
3	Number of inspections\$ /audits conducted in the <b>previous</b> financial year (based on submitted documentary proof*)  <b>(minimum inspections) 10</b>	15	<b>06</b>	10 - 15 : 06 16 – 25 : 10 > 25 : 15

Sr. No.	Criteria	Maximum Score	Minimum score required	Scoring system
4	<p>Number of inspections of warehouses, firms and entities engaged in warehousing, logistics, commodity management, food storage and processing, food safety conducted by the applicant during the last three financial years. (May include inspections listed in criteria 3) (based on submitted documentary proof*)</p> <p><b>(minimum inspections) 30</b></p>	20	10	<p>30 – 50 : 10  51- 75 : 15  &gt; 75 : 20</p>
5	<p>Number of inspecting officers qualified to inspect warehouses and warehousemen, as detailed in Schedule 2 <b>Part A</b>, available with the applicant</p> <p><b>(minimum three IOs required)</b></p>	20	4	<p>3 – 5 : 4  6 – 10 : 8  11 – 15 : 12  16 – 20 : 16  &gt; 20 : 20</p>
6	<p>No of Zones in which the applicant has offices (Refer Schedule 2 <b>Part A</b>)</p> <p><b>(minimum 2 zones required)</b></p>	15	4	<p>2 Zones : 4  3 Zones : 8  4 Zones : 12  5 Zones : 15</p>
7	<p>Whether the applicant is certified for conducting inspections/ audits for quality certification viz. ISO, HACCP etc.</p>	5	0	<p>If Yes : 5  If No : 0</p>

\*Documentary proof includes work completion certificate, final bill payment on completion of the work order issued by the client or any such document evidencing the work done to the satisfaction of the authority.

\$ Inspection includes accreditation and physical/ stock/ general inspection

Entities scoring more than 40% marks in aggregate shall be eligible for empanelment. Applicant has to obtain minimum qualifying marks against each criteria of the scoring matrix for qualifying to be empanelled as Inspection Agency of WDRA.

### Schedule 3

#### Payment of fees to be made to the inspection agency by the Authority

Type of inspection	Fee per inspection for different capacity of warehouses (All inclusive)		
	Up to 10,000 Ton (In Rs)	10,001 Ton - 25,000 Ton (In Rs)	Above 25,000 Ton (In Rs)
Physical inspection	10,000	12,500	15,000
General inspection	12,000	17,000	25,000

1) The Authority shall provide Rs 2,500 extra for warehouse located in the North-eastern States.

2) If the general inspection consists of only one of the following:

(a) physical inspection, or

(b) stock inspection, rates for physical inspection given in this table shall be applicable for payment to the inspection agency.

3) If the general inspection consists of more than one of the following:

(a) physical inspection, or

(b) stock inspection, rates for general inspection given in this table shall be applicable for payment to the inspection agency.

4) For surprise inspections, if the inspection consists of only one of the following:

(a) physical inspection, or

(b) stock inspection, rates for physical inspection given in this table shall be applicable for payment to the inspection agency.

5) If the inspection consists of more than one of the following:

(a) physical inspection, or

(b) stock inspection, rates for general inspection given in this table shall be applicable for payment to the inspection agency.

## Schedule 4

### **Format for Bank Guarantee for Security Deposit Payment to be submitted by Inspection Agency before empanelment**

**Director (Administration & Finance)**

**Warehousing Development and Regulatory Authority (WDRA)**

**NCUI Building (4th Floor),**

**3, Siri Institutional Area, August Kranti Marg,**

**Hauz Khas, New Delhi – 110016**

**(With due stamp duty as applicable)**

#### **OUR LETTER OF GUARANTEE No. :**

1. In consideration of Warehousing Development and Regulatory Authority, having its office at NCUI Complex (4th Floor), 3, Institutional Area, August Kranti Marg, Hauz Khas, New Delhi – 110016 (INDIA) (hereinafter referred to as “WDRA” which expression shall unless repugnant to the content or meaning thereof include all its successors, administrators and executors) and having entered into an agreement dated...../ issued Empanelment Order No. ....dated..... with/on M/s..... (hereinafter referred to as “The Inspection Agency” which expression unless repugnant to the content or meaning thereof, shall include all the successors, administrators, and executors).

2. Whereas the Inspection Agency having unequivocally accepted to conduct inspections as per terms and conditions given in the Agreement dated...../ Empanelment Order No..... dated .....and having agreed to furnish to WDRA a Security Deposit in the form of a Bank Guarantee for Rs 5.00 Lakh (Rupees Five Lakh only) for the faithful performance of the entire empanelment, we..... (hereinafter referred to as "the Bank") at the request of the Inspection Agency do hereby undertake to pay to the WDRA an amount not exceeding Rs 5.00 Lakh against any loss or damage caused to or suffered or breach by the Inspection Agency of any of the terms and conditions contained in the said agreement.

3. We, ..... (Name of the Bank) do hereby undertake to pay the amount due and payable under this guarantee without any demur merely on a demand from the WDRA stating that the amount claimed is due by way of loss or damage caused to or would be caused to or suffered by the WDRA by reason of breach by the Inspection Agency of any of the terms or conditions contained in the said Agreement or by reason of the Inspection Agency’s failure to perform the said Agreement. Any such demand made on the bank shall be conclusive as regards the amount due and payable by the Bank under this guarantee.

However, our liability under this guarantee shall be restricted to an amount not exceeding Rs 5.00 Lakh

4. We undertake to pay to the WDRA any money so demanded notwithstanding any dispute or disputes raised by the Inspection Agency in any suit or proceeding pending before any court or Tribunal relating thereto, our liability under this present being absolute and unequivocal. The payment so made by us under this bond shall be a valid discharge or our liability for payment thereunder and the Inspection Agency shall have no claim against us for making such payment.

5. We, ..... (Name of the Bank) further Agree that the guarantee herein contained shall remain in full force and effect during the period that would be taken for the performance of the said Agreement and that it shall continue to be enforceable till all the dues of the WDRA under or by virtue of said Agreement have been fully paid and its claims satisfied or discharged or till the WDRA certifies that the terms and conditions of the said Agreement have been fully and properly carried out by the Inspection Agency and accordingly discharges this guarantee.

6. We, ..... (Name of the Bank) further agree that the WDRA shall have the fullest liberty without our consent and without affecting in any manner our obligations hereunder to vary any of the terms and conditions of the said Agreement or to extend time of performance by the Inspection Agency from time to time or to postpone for any time or from time to time any of the powers exercisable by the WDRA against the Inspection Agency and to forbear or enforce any of the terms and conditions relating to the said Agreement and we shall not be relieved from our liability under terms and conditions relating to the said Agreement and we shall not be relieved from our liability by reason of any such variation, or extension being granted to the Inspection Agency or for any forbearance, act or omission on the part of the WDRA or any indulgence by the WDRA to the Inspection Agency or by any such matter or thing whatsoever which under the law relating to sureties would, but for this provision, have effect of so relieving us.

7. This guarantee will not be discharged due to the change in the constitution of the Bank or the Inspection Agency

8. We, ..... (Name of the Bank) lastly undertake not to revoke this guarantee during its currency except with the previous consent of the WDRA in writing.

9. Notwithstanding anything contained herein:-

i) Our liability under this Bank Guarantee shall not exceed Rs. 5.00 Lakh (Rupees Five Lakh only)

ii) This Bank Guarantee shall be valid upto..... and

iii) We are liable to pay the guaranteed amount or any part thereof under this Bank Guarantee only and only if the WDRA serve upon us a written claim or demand on or before..... (Date of expiry of guarantee)

Dated the..... day of ..... 20

Name of Authorized Signatory/ Manager

For **(Name of the Bank)**

Branch

*Seal of the bank*

## Schedule 5

### **Proof of identity and address to be submitted along with application for registration**

The following will be regarded as valid documents to establish the identity and the address of the applicant and the Authorised Representative –

1. In case individual (including the authorized representative applying on behalf of the non-individual entities) , an attested copy of any one of the documents listed below;

- (i) Aadhar card;
- (ii) Permanent Account Number (PAN) card (Only as identity proof);
- (iii) Driving license;
- (iv) Passport; or
- (v) Current passbook of post office/any scheduled bank having photo.

2. In case of PSU an attested copy of the following

- (i) Notification of the Government regarding establishment of the entity
- (ii) PAN Card
- (iii) Annual Report

3. If the applicant is a company, an attested copy of its —

- (i) certificate of incorporation;
- (ii) memorandum of association;
- (iii) articles of association; and
- (iv) PAN card

4. If the applicant is a partnership firm, an attested copy of both of the following must be submitted:

- (i) partnership firm registered deed / statement of the partnership firm/ partnership firm; and
- (ii) Registration certificate of the partnership firm.
- (iii) PAN card of the partnership firm



5. If the applicant is a society, an attested copy of both of the following must be submitted--

(i) Memorandum of association of the society; and

(ii) Registration certificate of the society.

6. If the applicant is a trust, an attested copy of the registered trust deed of the trust must be submitted.

## **Schedule 6**

### **Procedure for Physical Inspection of Warehouses**

#### **Physical Inspection - Infrastructure requirement for registration of warehouses**

The warehouse intending to register with the Warehousing Development and Regulatory Authority (WDRA) shall be required to meet the infrastructure standard prescribed by the Authority under the Warehousing (Development and Regulation) Registration of Warehouses Rules, 2017. The warehouse, fulfilling the eligibility requirements prescribed in the Registration Rules, shall be subjected to a physical inspection by WDRA itself or an Inspection Agency empanelled with WDRA. A communication, either in writing or electronic, shall be issued to the Warehouseman and/or the concerned agency.

The Inspecting Officer deputed for physical inspection shall collect information on physical infrastructure of the warehouse apart from key criteria establishing the ownership/effective control of the warehouse by the applicant. The formats of online reports for physical inspection are available in the login of inspecting officers. The particulars which will be verified during course of physical inspection of different types of warehouses are detailed as under:

#### **I. Infrastructure for conventional (covered) warehouses**

The infrastructure in a conventional (covered) warehouse can be categorised into the following heads:

1. Construction & Structural requirements.
2. Laboratory facilities including equipment for physical and chemical analysis of goods.
3. Equipment and infrastructure required for handling/ preservation / maintenance of stocks
4. Arrangements for weighment of goods.
5. Firefighting arrangements.
6. Security Arrangements
7. Office facilities.

#### **I.1. Structural requirements:**

(i) The godown (s) should be to the following standards. Though these standards are acceptable to the Authority for the purpose of registration of a warehouse, the Inspection Agency may, if satisfied, relax some of the structural requirements without compromising the overall storage worthiness of the warehouse with specific observations/reasons for relaxing the same. However, following aspects shall be given due consideration. A warehouse complex could be registered by warehouseman for both Agri and Non-Agri Commodities. However, Agri and Non-Agri Commodities should be stored in separate warehouses or separate compartments. The words Godown(s) and Warehouse(s) have been used interchangeably.

**(ii) Common requirements for both Agri Warehouses and Non Agri Warehouses**

- (a) The godown(s) shall be located on a raised site with adequate drainage facilities, not liable to flooding and inundation and shall be away from a place likely to cause water seepage into the godown(s).
- (b) The godown(s) should be free from any high tension electric line passing over it, and in the event of such line passing over, relevant electric core position should be taken into account while planning the storage structure. The structure should be free from gas/fire pipe lines.
- (c) The storage structure should be as far as possible away from possible source of fire-hazard, such a timber stores and petrol/CNG/PNG pumping stations.
- (d) There shall be no tree adjoining the godown, roots of which can affect the foundation of the godown structure. The structure shall always be kept clear of branches of tree, poles etc. by at least by 3 meters as otherwise rats, squirrels etc would find access into it. Necessary measures for preventing termite infestation shall also be demonstrated.
- (e) The warehouse should be accessible by an all-weather motorable road. The warehouse may preferably be situated near a transport head or a main road. If the warehouse is located away from the main road, then it must have easy accessibility for the transport vehicles.
- (f) In the warehouse complex, there shall be sufficient parking space and space for easy maneuverability of vehicles. If the warehouse is situated at a ferry head, railway station, airport, etc, sufficient berthing, loading and unloading facilities shall be available.
- (g) The plinth shall generally be kept 61 cm above the finished ground level for the road fed godowns whereas for the rail-fed godowns, the plinth height shall be 91 cm above the top of the rail.
- (h) The flooring in the storage godown should be made of heavy-duty cement concrete with sufficient load bearing capacity and should be rodent proof, damp proof, rigid, durable and free from any cracks or crevices.
- (i) The roof of the godowns shall preferably be of single span structural steel or tubular trusses which shall be fixed on the RCC columns of RS joints at a height not less than 5600 mm from the plinth level to the tie level at the column ends, both for the road-fed and rail-fed storage godowns. Any better arrangement shall also be acceptable.
- (j) Roofing material may be of galvanised corrugated steel sheets or corrugated aluminum sheets not lesser than 0.56 mm thick. Any better arrangement shall also be acceptable. For facility of natural illumination sufficient number of translucent sheets may be provided. For facility of ventilation and cooling effect, sufficient number of turbo ventilators may be provided on the roof.
- (l) A beam may be provided at the tie level of truss over gable walls and partition walls. Any better arrangement shall also be acceptable. Where gabled roof is constructed, care should be taken that no hollow space is left between the walls and the roof covering.
- (m) Adequate arrangements for drainage of rain water shall be provided in the complex to avoid flooding.

(n) The internal faces of the walls of the godowns shall be cement plastered and external faces up to floor level shall be smooth plastered. The internal faces may be whitewashed and external faces provided with colour wash.

(o) Sufficient lighting may be provided inside the godown in the alleyways and on the outside of the godown at door points to facilitate loading and unloading operations. All the electrical connections and fittings should be got checked and tested regularly to avoid any electrical short circuit. In case some defects are observed, these should be immediately got rectified.

(p) There may be one or more ancillary structures at the warehouse depending upon the storage capacity and scope for future expansion. A small compact block consisting of an office room, a store room and a separate room for keeping pesticides under lock and key with proper ventilation may be provided.

(q) Warehouse official shall ensure that all the walls, pillars, partitions, ceilings, staircases inside the warehouse are white/colour washed at defined intervals (at least once in 3 years).

(r) In the earthquake prone areas the godown shall be designed and constructed to take care of earthquake tremors in accordance with the provision given in the latest version of IS: 1893-2016 and IS : 4326-2013.

### **(iii) Requirements specific to warehouses storing Agri Commodities**

(a) The warehouse should be constructed as per Bureau of Indian Standards (BIS) (BIS Standard No.IS16144:2014)/FCI/CWC specifications.

(b) The storage structure, as far as possible, shall be well away from source of contamination, such as slaughter-house and tanneries.

(c) Doors shall be provided preferably opposite each gangway for facility of cross ventilation. The doors shall be of rolling shutters. The doors shall be not less than 1830 x 2450 mm. Alternately, the garage door of clear opening 1830 mm x 2450 mm may also be used.

(d) In longitudinal walls, one steel ventilator of opening not less than 1494 mm and 594 mm shall be provided in each bay between RCC columns spaced at 4650 mm from centre to centre. Air inlets of steel ventilator 620 mm x 620 mm in each bay shall also be provided at 600mm above the floor level of the godown. Where good local timber is available or in coastal region where steel may be subjected to corrosion, timber ventilators may be provided.

### **(iv) Requirements specific to warehouses storing Non Agri Commodities**

(a) Base Metals/ Non Ferrous Metals and Alloys should be stored in conventional (closed) warehouses with flat-bed storage or rack storage system.

(b) Load bearing capacity of warehouse floor should be designed commensurate with the intended stacking height & items to be stored generally drawing the guidance from IS 875(Part I)-1987.

(c) Warehouses should preferably have adjustable ramps/ dock leveller at the loading/unloading bay so as to enable cargo vehicles of different heights to load/unload at the entry point of the warehouse.

(d) The compartment/godown/warehouse being used for Non Agri Commodities should be covered by CCTV system.

(e) Wild growth of vegetation around the boundary walls (inside & outside) should be controlled & regularly cleaned to ensure better visibility, avoiding fire incidents & for safety of the boundary walls.

## **I.2. Laboratory facilities including equipment for physical and chemical analysis of goods**

### **(i) For warehouses storing Agri Commodities**

(a) Though it would be ideal to have a laboratory fully equipped with required equipment for physical and chemical analysis of goods stored in the warehouse, a separate laboratory space may not be mandatory for registration of a warehouse provided that a space in the warehouse premises is earmarked for testing and analysis and the warehouse has minimum laboratory equipment as detailed at **Annexure-I**. Option shall also be given to the warehouse to either have its own facilities for sampling and grading of the commodities for which registration is being sought or have tie up with some assaying agency/ laboratory.

### **(ii) For warehouses storing Non-Agri Commodities:**

(a) The assaying/ testing in case of Non Agri Commodities, wherever required shall be carried out in a National Accreditation Board for Testing and Calibration Laboratories (NABL) accredited Lab. The warehouse for which the Registration is sought should have a tie up with an NABL accredited lab for assaying of Non Agri Commodities.

(b) Towards evidence of implementation of prescribed practices & smooth operation, following documents & information are expected to be available along-with an effective system for their long term storage/ retrieval:

- 1) List of NABL accredited labs with whom the warehouse has the tie up for testing and the agreement correspondence/ document(s).
- 2) Validity period and scope of accreditation of these labs with NABL.
- 3) Availability of prescribed product standards of the concerned product stored/proposed to be stored for purposes of comparison with test/assaying result.

## **I.3. Equipment and infrastructure required for handling/ preservation and analysis of goods:**

(i) The warehouse should have necessary equipment and other items required for operating a warehouse.

(ii) The equipment and items requiring calibration should be got calibrated periodically from some approved calibrating laboratories/ institutions and a certificate to this effect should be obtained and displayed. A separate calibration register for the equipment which requires calibration should be maintained.

**(iii) For warehouses storing Agri Commodities**

(a) The warehouse should have necessary equipment and other items for preservation and maintenance of goods. A list of such equipment and items is given in **Annexure-I**.

**(iv) For warehouses storing Non-Agri Commodities:**

(a) Adequate material handling equipment like Cranes, Forklift, Hydra, Stackers, Chain pulley blocks etc. shall be available. An indicative list of such equipment and items is given in **Annexure-I**. These could be hired or owned. In case of hired equipment, an agreement with the hired agency should be available with the warehouse.

(b) The handling & lifting equipment & their load bearing parts should be calibrated/ load tested as per statutory requirements for their safe operation. The list of such equipment & their relevant load bearing components including the hooks, ropes, harnesses, chains etc. with their testing details along with their test certificates issued by the authorized persons should be available.

**I.4. Arrangements for weighment of goods:**

(i) The warehouse should have adequate facilities for weighment of goods brought for storage in the warehouse. Ideally, the warehouse should have its own electronic lorry weighbridge (LWB). Alternatively, there should be a LWB within the vicinity of the warehouse. Additionally, warehouse should have Electronic Platform Scales of desired capacity to qualify for registration. Details of last date of stamping of weighing scales shall be prominently displayed in the warehouse.

(ii) In case of availability of an electronic lorry weighbridge in the warehouse, its capacity and make may also be indicated apart from details of last stamping. If not, the following details may also be provided:

- (a) Address of at least one or more lorry weighbridge available in the vicinity to be used for weighment;
- (b) Name of owner of the weighbridge;
- (c) Distance of the weighbridge from the warehouse;
- (d) Capacity of the LWB.
- (e) Calibration dates of the weighing devices and the related calibration certificates

**(iv) Additional requirements for warehouses storing Non-Agri Commodities:**

- a) All goods should be 100% weighed before accepting them for deposit by a warehouseman. Base metals should be weighed on a platform scale for accuracy.
- b) Provisions of clause I.4 (ii) would be applicable if the size/ weight of individual package exceeds the capacity of the platform scale available in the warehouse.

c) With regards to weighing, all stipulations prescribed for agri commodities in WDRA Model SOP for agri warehouses (<https://wdra.gov.in/documents/32110/553933/Final+Model+SOP+of+WDRA.pdf/1fb-d9dcb-862a-932d-8c1e-3d66d686f18c> ) are to be followed.

#### **I.5. Firefighting arrangements:**

- (i) The warehouse should have adequate arrangements to ensure that the warehouse and stocks stored therein are well protected from losses due to fire hazards.
- (ii) Warehouse security shall ensure that no personnel entering in to the premises carry any match box, gas lighter, chemicals and inflammable items which can cause fire.
- (iii) Warehouse official shall take precautions to avoid any outbreak of fire in the premises.
- (iv) **“No Smoking”** signage boards shall be prominently displayed at vantage locations.
- (v) The warehouse shall have adequate number of fire extinguishers or a combination of “fire extinguishers and fire buckets” as detailed at **Annexure-II**.
- (vi) The warehouse may have any other better provision/arrangement for fire detection and fire protection/ fighting duly approved by fire service authorities. Water supply and firefighting arrangement shall be made in accordance with the requirement of the local fire department.
- (vii) In case of storage of hazardous goods like cotton bales, jute bales etc., static water tanks of appropriate capacity/ fire hydrants should be provided and shall always be maintained.
- (viii) Warehouse shall ensure that addresses and telephone numbers of Local Fire Station, Police Station, Hospital and warehouseman shall be displayed prominently at the security room, office and conspicuous places so that in case of emergency, the concerned authorities can be contacted without any delay.
- (ix) The employees of the warehouseman shall undergo training in fire safety and use of firefighting equipment.

#### **I.6. Security Arrangement**

- (i) The warehouse should have requisite infrastructure for security of the premises and stock. In addition to required watch and ward staff, the warehouse should have a well-protected pucca boundary wall or barbed wire fencing with a well secured gate.
- (ii) A Security Room at the gate(s) would be advisable.
- (iii) Adequate arrangement for lighting on the warehouse perimeter wall and inside the complex shall also be provided for proper watch and ward.
- (iv) In case of non-agri warehouses, CCTV system shall be installed which shall have a provision for storage of the last 90 days footage.

#### **I.7. Office facilities**

- (i) Wherever possible, the warehouse may have a small compact block consisting of an office room or a designated chamber/space to act as office area.
- (ii) Sufficient office equipment viz. computers with internet facility, telephone and furniture (table, chairs almirah, etc.) also may be available in the office.

## II. Infrastructure requirement for Silos

The current trend is towards adoption of bulk storage of grains in silos for better efficiency, safety/security of stock and maintenance of quality. Silo is a unit consisting of several vertical cylindrical bins having height greater than their diameter or horizontal bins used for storage and handling of grains in bulk and fitted with necessary equipment and accessories. IS:5503 (Part-I)-1969 (reaffirmed 2020) & IS:5503(Part- II)- 2020 provides detailed specification of general requirements for silos for grain storage. However, following requirements shall be given due consideration while examining the proposals for registration of silos:

1. The structure shall be located on a site having adequate load bearing capacity with proper drainage not liable to flooding or inundation.
2. The structure should be free from any high tension electric line passing over it, and in the event of such line passing over, relevant electric core position should be taken into account while planning the storage structure. The structure should be free from gas/fire pipe lines.
3. The structure, as far as possible, shall be well away from source of contamination, such as slaughter-house and tanneries, and possible sources of fire-hazard, such as timber stores and petrol/CNG/PNG pumping stations.
4. Silos shall be preferably rail connected. There shall be loading and unloading facilities and sufficient space for maneuvering of vehicles. Where silo is near waterways, such as docks and ferry heads, sufficient berthing, loading and unloading facilities shall be made available.
5. A silo shall generally consist of truck and wagon dump or both, head-house, storage block, and distribution & collection galleries. Besides, it may have a number of ancillary structures at each site, such as a small block consisting of office and store rooms, a laboratory, a store/building with adequate fire protection for storing fuels, a bagging shed, a track shed (where the wagons or lorries may be handled under cover), repair shop, weigh bridges for lorries and wagons, an electric substation, and a control room.
6. Truck dump and wagon dump shall be adequately protected against rain and shall be provided with suitable metal sieves with sufficient strength for separation of foreign matter, such as hay or other bigger sized grains.
7. The dump shall have adequate provision for drainage to prevent water accumulation.
8. A headhouse shall consist of basement and number of floors. It shall accommodate chiefly the buckets elevators for vertical elevation of grains, automatic weighing and cleaning machines, garners and other handling equipment.
9. The silo bins may be circular, rectangular or of any other shape. The bins may be constructed of reinforced cement concrete or of steel.
10. The silo bins may preferably be arranged in rows (not exceeding four rows) with the headhouse located in a convenient position.
11. The concrete mat on which the silo bins stand shall be deemed as the plinth, unless the mat is laid directly on hard soil or rock. The plinth level shall be at least 0.5 meter higher than the maximum rain water level.



12. The silo shall also have following facilities for proper storage and upkeep of food grains stored therein:

- Cleaning Machines.
- Drying Equipment.
- Temperature Detection Equipment.
- Aeration Equipment.
- Fumigation Pumps.
- Weighing and Bagging Machines.
- Fire-Fighting Equipment.
- Control Room.

### **III. Infrastructure requirement for Cold Storages**

#### **III.1. General Consideration:**

Following are minimum requirements which shall be given due consideration:

- i) The cold storage unit / chamber shall be located on a raised site with adequate drainage facilities, not liable for flooding and inundation and shall be away from a place likely to cause entry of waste seepage water into the cold storage unit/ chamber.
- ii) The cold storage unit / chamber should be free from any high-tension electric line passing over it, and in the event of such line passing over; relevant electric core position should be taken into account while planning the storage structure. The structure should be free from gas/fire pipe lines.
- iii) There shall be no tree close to the structure, roots of which can affect the foundation of the cold storage unit / chamber structure. The structure shall always be kept clear of branches of tree, poles etc. by at least by 3 meters as otherwise rats, squirrels etc would find access into it. Necessary measures for preventing termite infestation shall also be demonstrated.
- iv) The warehouse (cold storage) should be accessible by an all-weather motorable road. The warehouse (cold storage) may preferably be situated near a transport head or a main road. If the warehouse (cold storage) is located away from the main road, then it must have easy accessibility for the transport vehicles.
- v) The structure, as far as possible, shall be well away from source of contamination, such as slaughter-house and tanneries, and possible source of fire-hazard, such a timber stores and petrol/CNG/PNG pumping stations.
- vi) In the warehouse (cold storage) complex, there shall be sufficient parking space and space for easy maneuverability of vehicles. If the warehouse is situated at a ferry head, railway station, airport, etc, sufficient berthing, loading and unloading facilities shall be available.

vii) As required for conventional warehouses, the plinth shall generally be kept 61 cm above the finished ground level. In case the cold storage is constructed under the scheme of any Organization/Department/Ministry of the Centre/State Government, the standards applicable under those schemes shall be followed.

viii) The size, material / item and specifications / standards / design for foundation, beam, columns, wall, plaster (if applicable), insulation, staircases, mezzanine floor, doors, roofs, electricity, flooring, cooling, refrigeration, compressor, condenser, cooling tower, pressure vessel, evaporators / air cooling units, energy saving equipment and measures, etc. should be as per the prescribed specifications under BIS or as per the approved standards of any Central / State Government Department / Organization under which the cold storage is constructed. The standards followed may also be got cross verified as per details furnished in the Basic Data Sheet and certificates provided by the experts.

ix) Generally, cold storages are constructed as per two types of technical standards –

a. In accordance with the technical standards prescribed under the schemes of Organizations/Department/ministry of Central/State Government In such cases, particulars of the scheme along with documentary proof may be verified by the Inspecting Officer (s) to be cross verified as per details mentioned in the Basic Data Sheet and certificates provided by the experts.

b. In accordance with any other nationally or internationally recognized standard design practice load eg. American Society of Heating, Refrigerating, and Air-Conditioning Engineers (ASHRAE)/ Indian Society of Heating, Refrigerating and Air Conditioning Engineers (ISHRAE)/ Air Conditioning, Heating and Refrigeration Institute (AHRI). In such cases the design methodology followed must be cross verified by the Inspecting Officer as per details mentioned in the Basic Data Sheet (**Annexure V**) and certificates provided by the experts.

x) In the earthquake prone areas the godown shall be designed and constructed to take care of earthquake tremors in accordance with the provision given in IS:1893 -2016 and IS : 4326 - 2013.

## **2. Infrastructure requirement in a warehouse (cold storage):**

### **i) Structural requirements:**

(a) Cold storage chamber (s) sizing and capacity: The sketches depicting layout plan of the cold storage along with the basic data sheet prescribed for these type of cold storage are required to be verified. The format of the basic data sheet applicable as per the technical standards of the relevant type of cold storage constructed under the approved schemes of the organization / Department / Ministry of the Centre / State Government or as per any other national or internationally recognized standard design will be used as detailed in Annexure V. Copy of the basic data sheet shall be collected by the Inspecting Officer during physical inspection of the cold storage. The capacity of the cold storage will be calculated as per norms described under NHB/NCCD guidelines i.e 3.4 cubic meter or 120 cubic feet of temperature-controlled

storage space created shall be equivalent to 1 MT (metric ton) of storage capacity, irrespective of the product stored.

(b) Machine Room, generator room, admin, block & utility areas

(c) Cold store doors / internal emergency doors and air/strip barrier or curtain

(d) Ante Room, Process / handling Areas and pre-cooling unit

(e) Cooling system design detail (cooling system configuration: mechanical refrigeration)

(f) Refrigeration equipment

(g) Electrical installations

**ii) Storage Conditions, storing of goods and stacking in cold storage:** The prescribed critical storage conditions of temperature, relative humidity, presence of CO<sub>2</sub>, ethylene, air circulations, light etc. for goods to be stored should be adequate in the cold storage.

**iii) Equipment (including weighing, handling, etc), items (including chemical, electronic, etc), Laboratory facilities including equipment for physical and chemical analysis of goods and other systems followed:** The equipment, facilities and systems at the cold storage as indicated in the online format shall be checked for its availability, adequacy and working condition and the actual findings should be recorded.

**iv) Security Arrangements:** The warehouse (cold storage) should have requisite infrastructure for security of the premises and stock. In addition to required watch and ward staff, the cold storage should have a well-protected pucca boundary wall with a well secured gate. A Security Room at the gate(s) would be advisable. Adequate arrangement for lighting of the warehouse complex shall also be provided for proper watch and ward.

**v) Firefighting arrangements:** The cold storage should have adequate arrangements to ensure that the cold storage and stocks stored therein are well protected from losses due to fire hazards. The security staff shall ensure that no personnel entering in its premises carry any match box, gas lighter, chemicals and inflammable items which can cause fire. Cold storage official shall take precautions to avoid any outbreak of fire in the premises. "No Smoking" signages shall be displayed at the prominent locations. The cold storage shall have adequate number of fire extinguishers, recommended by the local fire office, and fire buckets as detailed in **Annexure-II**. However, the cold storage may have any other better provision/arrangement for fire protection, detection and firefighting duly approved by the local fire service authorities. Water supply and firefighting arrangement shall be made in accordance with the requirement of the local fire department. In case of storage of hazardous goods, static water tanks of appropriate capacity should be provided and shall always be maintained. The fire alarm and refrigerant leakage alarm system shall be kept functional.

The cold storage shall ensure that addresses and telephone numbers of Local Fire Station, Police Station, Hospital and warehouseman shall be displayed at the security room, office and conspicuous places so that in case of emergency, the concerned authorities can be contacted without any delay.

**vi) Deployment of adequate trained manpower:** The warehouse (cold storage) should have a full-time manager who is well conversant with provisions of Warehousing (Development and Regulation) Act 2007, Rules, Regulations, guidelines/circulars framed

under the Act and Management of warehouses (cold storage) for perishable goods. It is also desirable to have a full time or part time project engineer who is registered with the recognized professional organization. A full time supervisor who can monitor functioning of cold storage through PLC and who is conversant with stacking, packaging and cold storage management shall also be required to be deployed in the cold storage. Apart from these personnel adequate number of functional staff for carrying out activities like quality grading, weighing sampling, account keeping, record management and security arrangement may also be placed in the cold storage.

**vii) Storage Worthiness of Cold Storage:** Storage worthiness of the cold storage shall be certified by concerned agency as given hereunder:

The applicant must submit basic data sheet as per format given at **Annexure V** which should be accompanied by a certificate from a chartered graduate mechanical / refrigeration engineering firm that –

*“the heat load calculation has been done as per procedure laid down by ASHRAE fundamentals and Refrigeration Handbook with safety factor of 5% to 10% on estimated load and that the design is energy efficient, takes in to account safety of work men and goods stored and environmental concern”.*

No other documents will be required.

The above condition is applicable for cold storages constructed either under a government scheme or through own finance.

**viii) Annual Maintenance Contract (AMC):** There should be valid AMC covering all the areas of its operation. The Inspecting Officer shall, verify this during inspection.

**ix) Compliance to the local laws for cold storage business:** During inspection the compliance towards following local laws shall be specifically verified in addition to other applicable local laws such as:

a) **Warehousing / cold store license from the concerned authority of the State (if applicable):** The warehousing/cold storage license, wherever applicable, along with name of the authorized authority concerned and period of validity is to be verified. A copy of the license may be collected, if applicable.

b) **Industrial license / DIC registration (as is applicable):** Name of the issuing authority along with validity period is to be verified.

c) **No Objection Certificate from Pollution Control Board (if applicable under local laws):** Name of the issuing authority along with validity period is to be verified.

d) **Fire Safety Certificate / Approval (if applicable under local laws):** Name of the issuing authority along with validity period is to be verified.

#### **IV Infrastructure requirement for Open storage warehouses (yard):**

Open yard shall be used to store only hot rolled ingots, billets, blooms, black coils, plates, sheets, rails, wire rods and other long rolled black steel products. The cold rolled black coils, pickled and galvanized/tin or electroplated products should be stored in an open shed. The steel products protected with corrosion resistant/ protective packaging may be stored in open yard with mutual consent between the owner/holder of steel products and the warehouseman.

Layout Plan of the open warehouse, including the shed(s) and showing the location of the storage bays, LWB, office etc. should be displayed in the warehouse- preferably near the entrance.

The infrastructure in an **Open storage warehouses (yard)** can be categorized into the following heads:

1. Structural requirements.
2. Laboratory facilities including equipment for physical and chemical analysis of goods.
3. Equipment and infrastructure required for handling/ maintenance of stocks.
4. Arrangements for weighment of goods.
5. Firefighting arrangements.
6. Security Arrangements
7. Office facilities.

##### **1. Structural requirements:**

(a) The open yard shall be located on a raised site with adequate drainage facilities, not liable to flooding and inundation and shall be away from a place likely to cause water seepage.

(b) The open yard should be free from any high tension electric line passing over it, and in the event of such line passing over, relevant electric core position should be taken into account while planning the storage structure. The structure should be free from gas/fire pipe lines.

(c) The storage area should be, as far as possible, away from possible source of fire-hazard, such as timber stores and petrol/CNG/PNG pumping stations.

(e) The open yard should be accessible by an all-weather motorable road. The warehouse may preferably be situated near a transport head or a main road. If the warehouse is located away from the main road, then it must have easy accessibility for the transport vehicles.

(f) In the open yard, there shall be sufficient parking space and space for easy maneuverability of vehicles. If the open yard is situated at a ferry head, railway station, airport etc, sufficient berthing, loading and unloading facilities shall be available.

(g) Adequate arrangements for drainage of rain water shall be provided in the complex to avoid flooding.

(h) Sufficient lighting may be provided inside the open yard, to facilitate loading and unloading operations. All the electrical connections and fittings should be got checked

and tested regularly to avoid any electrical short circuit. In case some defects are observed, these should be immediately got rectified.

(i) In the earthquake prone areas the open yard, shall take care of earthquake tremors in accordance with the provision given in the latest version of IS: 1893-2016 and IS : 4326-2013.

(j) The storage area should be of sufficient strength to bear the load of the stored material and handling equipment.

(k) Steel products should be stored on dunnage, with inter-layer separators.

(l) Open yard should have leveled floor to ensure stability of stack

(m) Yards should have large gates and open spaces for entry/exit of large vehicles and for smooth loading/unloading of cargo

(n) Wild growth of vegetation around the boundary walls (inside & outside) should be controlled & regularly cleaned to ensure better visibility, avoiding fire incidents & for safety of the boundary walls.

## **2. Laboratory facilities including equipment for physical and chemical analysis of goods**

The assaying/ testing in case of open yards for Non Agri Commodities, wherever required, shall also be carried out in a National Accreditation Board for Testing and Calibration Laboratories (NABL) accredited Lab. The open yards for which the Registration is sought should have a tie up with an NABL accredited lab for assaying of Non Agri Commodities.

Towards evidence of implementation of prescribed practices & smooth operation, following documents & information are expected to be available along-with an effective system for their long term storage/ retrieval:

a) List of NABL accredited labs with whom the warehouse has the tie up for testing and the agreement correspondence/ document(s).

b) Validity period and scope of accreditation of these labs with NABL.

c) Availability of prescribed product standards of the concerned product stored/proposed to be stored for purposes of comparison with test/assaying result

## **3. Equipment and infrastructure required for handling and maintenance of stock:**

The open Non Agri yards should have necessary equipment and other items required for operating a warehouse.

The equipment and items requiring calibration should be got calibrated periodically from some approved calibrating laboratories/ institutions and a certificate to this effect should be obtained and displayed. A separate calibration register for the equipment which requires calibration should be maintained.

Adequate material handling equipment like Heavy duty Cranes, Forklift, Hydra, Stackers, Chain pulley blocks etc. shall be available as per requirement. An indicative list of such equipment and items is given in **Annexure-I**. These could be hired or owned. In case of hired equipment, an agreement with the hired agency should be available with the warehouse.

The handling & lifting equipment & their load bearing parts should be calibrated/ load tested as per statutory requirements for their safe operation. The list of such equipment & their

relevant load bearing components including the hooks, ropes, harnesses, chains etc. with their testing details along with their test certificates issued by the authorized persons should be available.

#### **4. Arrangements for weighment of goods:**

The open yard should have adequate facilities for weighment of goods brought for storage in the warehouse. Ideally, the open yard should have its own electronic lorry weighbridge (LWB). Alternatively, there should be a LWB within the vicinity of the open yard. Details of last date of stamping of weighing scales shall be prominently displayed in the warehouse.

In case of availability of an electronic lorry weighbridge in the warehouse, its capacity and make may also be indicated apart from details of last stamping. If not, the following details of the nearest available weighbridge may also be provided –

- (i) address of at least one or more lorry weighbridge available in the vicinity to be used for weighment;
- (ii) name of owner of the weighbridge;
- (iii) distance of the weighbridge from the warehouse;
- (iv) capacity of the LWB.
- (v) Calibration dates of the weighing devices and the related calibration certificates

While grading and testing standards primarily govern the quality of the products stored in warehouses, the standards specified for weighment are aimed to ensure the quantity of products. The existing standards are mandatory and must be adhered to agnostic of warehouse structure.

[BIS Standards for Weigh Bridge specifications (IS 1436) and BIS Standards for General Requirements for Weighing Instruments (IS 1432)]

- All goods should be 100% weighed before accepting them for deposit by a warehouseman.
- With regards to weighment, all stipulations prescribed for agri commodities in WDRA Model SOP for agri warehouses (<https://wdra.gov.in/documents/32110/553933/Final+Model+SOP+of+WDRA.pdf/1fdb9dcb-862a-932d-8c1e-3d66d686f18c>) are to be followed.

#### **5. Firefighting arrangements:**

i) The open yards for Non Agri Commodities should have adequate arrangements to ensure that the warehouse and stocks stored therein are well protected from losses due to fire hazards. Warehouse security shall ensure that no personnel entering into the premises carry any match box, gas lighter, chemicals and inflammable items which can cause fire.

ii) Warehouse official shall take precautions to avoid any outbreak of fire in the premises. “No Smoking” signage boards shall be prominently displayed at vantage locations.

iii) The yards shall have adequate number of firefighting equipment of suitable type at strategic locations as per requirement determined by the Warehouseman..

- iv) The open yards may have any other better provision/arrangement for fire detection and fire protection/ fighting duly approved by fire service authorities.
- v) Water supply and firefighting arrangement shall be made in accordance with the requirement of the local fire department.
- vi) Open Yards shall ensure that addresses and telephone numbers of Local Fire Station, Police Station, Hospital and Warehouseman shall be displayed prominently at the security room, office and conspicuous places so that in case of emergency, the concerned authorities can be contacted without any delay.
- vii) The employees of the Warehouseman shall undergo training in fire safety and use of firefighting equipment.

## **6. Security Arrangement**

- i) The open yards should have requisite infrastructure for security of the premises and stock. In addition to required watch and ward staff, the open yards should have a well-protected pucca boundary wall or barbed wire fencing with a well secured gate.
- ii) A Security Room at the gate(s) would be advisable. Adequate arrangement for lighting on the warehouse perimeter wall and inside the complex shall also be provided for proper watch and ward.
- iii) The open warehouses/ yards should have installed CCTV system in their premises shall be installed which shall have a provision for storage of the last 90 days footage.

## **7. Office facilities**

Wherever possible, the warehouse may have a small compact block consisting of an office room or a designated chamber/space to act as office area. Sufficient office equipment viz. computers with internet facility, telephone and furniture (table, chairs almirah, etc.) also may be available in the office.



**Schedule 8**

**AGREEMENT FOR EMPANELMENT/RENEWAL OF EMPANELEMNT AS INSPECTION AGENCY FOR THE WAREHOUSING DEVELOPMENT AND REGULATORY AUTHORITY**

(To be executed on non-judicial Stamp Paper of Rs. 100/- and attested by Notary Public)

This Agreement is made on .....day of .....between .....(Name of Inspection Agency) having its registered office at .....hereinafter called the Inspection Agency) which expression shall unless excluded by or repugnant to the context include its successors and permitted assigns through Shri....., its authorised signatory of the FIRST PART;

AND

The Warehousing Development and Regulatory Authority established under the Warehousing (Development and Regulation) Act, 2007, having its office at NCUI Building (4<sup>th</sup> Floor), 3, Siri Institutional Area, August Kranti Marg, New Delhi – 110016 (hereinafter called as the WDRA) through Shri .....who is duly authorized by Chairman to sign and execute this agreement, which expression shall unless excluded by or repugnant to the context include its successors and assign(s), of the SECOND PART;

Whereas the WDRA has identified the Inspection Agency M/s.....(name of IA) to be empanelled as its Inspection Agency for the purpose of conducting inspections of the warehouses.

AND Whereas the Inspection Agency M/s.....(name of IA) is willing to act as Inspection Agency of WDRA for the purpose of conducting inspection of warehouses and accept all the terms and conditions laid down by WDRA.

NOW THIS AGREEMENT WITNESSED AS UNDER:

1. The Inspection Agency M/s.....(name of IA) shall at all times comply with the, “Guidelines on empanelment of inspection agencies and inspection of warehouses” issued by WDRA, as updated from time to time.
2. The Inspection Agency M/s.....(name of IA) has submitted security deposit of Rs. 5,00,000/- (Rs. Five Lakhs only) in the form of a Bank Guarantee ( no..... dated.....) issued by the scheduled commercial bank(name....) as per format given at Schedule-4 of the terms and conditions for empanelment enclosed with this agreement and the same shall be maintained by the M/s.....(name of IA) as per the guidelines on empanelment of inspection agency issued by the Authority.
3. The Bank Guarantee furnished as above shall be valid for the empanelment period and six months beyond the empanelment period.
4. The duly signed copy of the terms and conditions of empanelment at each page shall be and hereby constitute an integral part of this agreement.
5. This Agreement shall be subject to the jurisdiction of the courts at Delhi only.

IN WITNESS WHEREOF THE PARTIES HERE INTO HAVE SET THEIR HANDS TO THESE PRESENTS ON THE DAY, MONTH AND YEAR ABOVE WRITTEN:

Signed by the Inspection Agency  
Name and Address of the Inspection Agency.....  
.....  
.....

Signed by the WDRA  
Warehousing Development and Regulatory Authority, NCUI, Building (4<sup>th</sup> Floor), 3 Siri Institutional Area, August Kranti Marg, Hauz Khas, New Delhi – 110016

By the hands of its Chief Executive  
Shri .....

By the hands of duly Authorized signatory  
Shri .....

In the presence of

In the presence of

Witnesses

Witnesses

- 1.
- 2.

- 1.
- 2.

**Table 1. Minimum equipment required for physical analysis laboratory in a warehouse and preservation of Agri Commodities.**

Sl. No	Name of the Equipment	Minimum number required
<b>I. Mandatory Equipment</b>		
(A)	FIXTURES/FURNITURE IN PHYSICAL ANALYSIS LABORATORY*.	
(B)	EQUIPMENT	
1.	Physical balance (01mg sensitivity)	1
2.	Counter Balance (01gm sensitivity)	1
4.	Digital moisture meter calibrated for all the commodities to be stored/ handled	1
5.	Sieve Set	1
6.	Scoops (different sizes)	Two sets
7.	Forceps and brushes	Two each
8.	Weight Box (1mg to 200gm)	One set
9.	Enamel plates with smooth white surface (30 cm dia with raised rims)	10
10.	Sample bags-polythene and cloth	As per requirement
11.	Parkhi (Bag trier)	As per requirement
12.	Sample seal	1
13.	Magnifying glass (magnification 10X)	2
14.	Petri dish (80X70 mm)	As per requirement
15.	Measuring Cylinders (5ml to 50ml) graduated	
(C)	DISINFESTATION	
1.	Recommended Pesticides (for prophylactic and curative treatments) and rat control	As per requirement
2.	Rat cages (wonder traps)	As per requirement
3.	Thermoplastic fumigation covers (IS No. 13217:1991)	As per requirement
4.	Multilayered cross laminated fumigation sheets/covers (IS 14611:1998)	As per requirement
5.	Foot / Hand sprayers	As per requirement
6.	Sand snakes	As per requirement
7.	Adhesive tape	As per requirement
(D)	OTHER ITEMS / EQUIPMENT	
1.	Tarpaulin	2

2.	Ladder	1
3.	First Aid box	1
4.	Fire extinguishers	As prescribed in Annexure V
5.	Fire buckets	As prescribed in Annexure V
6.	Platform Scales	As per need
(E)	SAFETY EQUIPMENT	
1.	Gum boots	As per need
2.	Goggles	As per requirement
3.	Gas Mask (full vision face mask) & Canister for use with AIP	As per requirement
(F)	DUNNAGE MATERIALS	
1.	Polythene film	As per requirement
2.	Bamboo mats	As per requirement
3.	Wooden crates/poly crates	As per requirement
<b>II. Desirable Equipment*</b>		
1.	Hectolitre weight apparatus	1
2.	Sample Divider	1
3.	Vernier Caliper (manual/ Digital)	1
4.	Thermo-hygrometer	2
5.	Glass wares (Beakers 500 ml , Funnels ,Flasks conical 200 ml & 500 ml	Two each
6.	Filter papers	As per requirement
7.	Chemical reagents: (i) Methylene Blue solution (ii) Dilute hydrochloric acid (iii) distilled water (for determination of de-husked grain in rice)	As per requirement
8.	Specimen tubes	10
9.	Metal Probe (12 ft long for introducing ALP tablets)	As per requirement
11.	Phosphine Alert personal monitor	1
12.	Phosphine gas Monitor	1
13.	Tool Box (for minor repairs of pesticide application equipment)	As per requirement
14.	Dust Mask	As per requirement
15.	Aprons	As per requirement
16.	Resuscitator	1
17.	SCBA (Self Contained Breathing Apparatus)	As per requirement

**Table 2. Minimum equipment required for physical analysis laboratory in a warehouse and handling and maintenance of Non-Agri Commodities.**

<b>Sl. No</b>	<b>Name of the Equipment</b>	<b>Minimum number required</b>
<b>1</b>	Tarpaulin	As per requirement
<b>2</b>	Ladder	As per requirement
<b>3</b>	First Aid box	As per requirement
<b>4</b>	Fire extinguishers	As per requirement
<b>5</b>	Fire buckets	As per requirement
<b>6</b>	Platform Scales (Minimum 3MT capacity)	Minimum 01
<b>7</b>	*Gum Boots	As per requirement
<b>8</b>	*Polythene film	As per requirement
<b>9</b>	*Bamboo mats	As per requirement
<b>10</b>	*Wooden crates/poly crates	As per requirement
<b>11</b>	*Pallets	As per requirement
<b>12</b>	*Flat bed storage or rack storage system	As per requirement
<b>13</b>	*Inter layer separators	As per requirement

**\* These equipment are desirable but not mandatory for registration of a warehouse**

**Table 1. Norms for fire extinguishers of appropriate type and fire buckets with sand and water in different capacity warehouses**

S. No	Capacity of Godown	No. of fire extinguishers to be provided	No. of fire buckets to be provided
1.	Upto 1,500 MT	3	15
2.	Above 1,500 MT and upto 3,000 MT	4	20
3.	Above 3,000 MTs and upto 5,000 MTs	6	30
4.	Above 5,000 MTs and upto 10,000 MTs	8	40
5.	Above 10,000 MTs and upto 15,000 MTs	10	50
6.	Above 15,000 MTs and upto 25,000 MTs	15	75
7.	Above 25000 MTs	25	125

Note: For capacity calculation, 01MT is equivalent to 0.557sq meters area for agri as well as non-agri warehouses.

**Note: Instead of fire buckets, adequate number of fire extinguishers can be used, in addition to the minimum requirement as given in table above.**

**Table 2. Appropriate type of Extinguishers as per the class of fire**

Type of Fire		Type of Fire Extinguishers
Category	Details	
CLASS –A	Fires involving solid combustible materials of organic nature such as wood, paper, rubber, plastics, etc, where the cooling effect of water is essential for extinction of fires.	Water, foam, ABC dry power and halocarbons.
CLASS- B	Fires involving flammable liquids or liquefiable solids or the like where a blanketing effect is essential Examples: Oil, Paraffin, Petrol.	Foam, dry powder, clean agent and carbon dioxide extinguishers.
CLASS- C	Fires involving flammable gases under pressure including liquefied gases, where it is necessary to inhibit the burning gas at fast rate with an inert gas, powder or vaporising liquid for extinguishment. Examples: Methane, Butane, Propane.	Dry powder, clean agent and carbon dioxide extinguishers.
CLASS –D	Fires involving combustible metals, such as magnesium, aluminium, zinc, sodium, potassium, etc, when the burning metals are reactive to water and water containing agents and in certain cases carbon dioxide, halogenated hydrocarbons and ordinary dry powders. These fires require special media and techniques to extinguish. Examples: Magnesium, Titanium, Aluminum.	Extinguishers with special dry powder for metal fires.
CLASS- E	Electrical fires. It is important to decide selection and use of extinguisher on live electrical installations. The extinguisher that have passed electrical conductivity test should only be used	Carbon Dioxide

## **Annexure III**

### **Documents to demonstrate ownership of warehouse concerned by applicant**

The applicant must submit the following documents to exhibit ownership over the warehouse concerned.

(a) copy of the record of rights of land on which the warehouse concerned is located;

or

(b) if the record of rights is not available, a registered title deed in respect of the land on which the warehouse concerned is located.



**Documents to demonstrate effective control of warehouse concerned by applicant**

The applicant must submit any one of the following documents to exhibit effective control over the warehouse concerned —

- (1) a copy of the lease deed or rent agreement in respect of the warehouse concerned, or any other document evidencing a lease or rent, in favour of the applicant;
- (2) in case of sub-lease, a copy of the lease deed indicating that sub-leasing is permitted, and a copy of the sub-lease deed. The lease deed must permit a sub-lease with effective control over the warehouse concerned;
- (3) a revenue sharing agreement in respect of the warehouse concerned, with clear mandate to the applicant to manage and operate the warehouse;
- (4) no objection certificate from the municipal corporation/panchayat/local body, as the case may be, for carrying out the business of warehousing in favour of the applicant on land owned by the municipal corporation/panchayat/local body ;
- (5) copy of lease document from the concerned Agricultural Produce Marketing Committee or Board indicating lawful possession of land/ warehouse in favour of the applicant; or
- (6) copy of the allotment letter by respective State Government indicating lawful possession of land/warehouse, in favour of the applicant.

**Model Basic Data Sheet for Cold Storage**  
(Ref. Section 2 of relevant Technical Standards of NHB as is applicable)

**A. Identification**

Name of the warehouse (cold storage)			
Location of warehouse (cold storage)	Area / Village	Town	
	District	State	
Name of Promoter Company / Owner			
Type of company (Proprietorship / Partnership / Pvt. Ltd / Ltd)			
Postal address of Promoter	Tel / Fax	Mob. No	E-mail
Present activity in brief			
Name of CEO / MD			
Name of Manager / Contact Person			Phone / Mobile No

**B. Basic Cold Store Design Considerations****i) Commodity Storage Requirements**

Type of Commodities/Produce		
Ideal / Recommended Storage Conditions -Temperature (DB in °C) -Humidity RH (%) Range -Air Circulation (CMH/MT of Produce) -Ventilation (Air Changes/Day) -CO2 Range (PPM) -Produce Cooling Rate (°C/day) -Freezing Point °C -Others		
Cold Chamber Dry bulb (DB in °C)		
Cold Chamber RH (%)		
Max Storage period (months)		
Max product temp (°C)		

– at the time of loading		
Daily loading rate (MT/day) – in each cold chamber		
Loading Period (months)		
Pull down rate (°C / day)		
Unloading Period (months)		
Daily unloading rate (MT/day) – from each cold chamber		
Ante Room Conditions (T °C & RH %)		
Sorting & Grading Area (T °C & RH %)		
Special Provisions – CIPC treatment for Process Potatoes		
Special Provisions – MA / Ethylene Control / Fumigation/ Fresh Air etc		

### ii) Fresh Air / Ventilation System

Brief Description of CO <sub>2</sub> Extraction / Ventilation System	
CO <sub>2</sub> Concentration Control Range (PPM)	
Monitoring & Control Instrument – Type – Accuracy	
Ventilation Capacity (Max Air Changes/Day)	
Design Considerations for Energy Recovery and Preventing Wetting of Produce	

### iii) Cold Store Chamber Sizing and Capacity

1. No. of chambers:
2. Type: Mezzanine/ Palletized
3. Max Height of Building

<b>Details</b>	<b>CS Chamber-1</b>	<b>CS Chamber- 2</b>	<b>CS Chamber- 3</b>	<b>CS Chamber- 4</b>
Total Capacity of Each Cold Store Chamber ( MT)				
Internal Chamber Dimensions L x B x H (m)				
No. of mezzanine floors X Height (m) per floor				
Size &Weight of Bags or Boxes being stored				
Total number of Bags/Boxes / crates stored in each Cold Store Chamber				

**iv) Ante Room & Process Areas**

<b>Details</b>	<b>Length (m)</b>	<b>Width (m)</b>	<b>Height (m)</b>
Ante Room			
Sorting & Grading Area			
Loading / Unloading dock			

**v) Machine Room & Utility Areas**

<b>Details</b>	<b>Length (m)</b>	<b>Width (m)</b>	<b>Height (m)</b>
Machine Room			
Office Area			
Toilets & Changing rooms			
Any other			

**vi) Building & Construction Details**

– **Type of construction:** Civil/ Pre-engineered Building

Type of External walls of cold chambers	
Type of Internal / Partition walls	
Type of Roof / Ceiling	
Type of Internal structure / Racks	
Type of mezzanine grating	
Types of Lighting fixtures in cold Chambers	
Types of Lighting fixtures in Process & Other Areas	

**vii) Insulation and Vapor Barrier**

– **Type of Insulation:** Insulating Sheets / Metal Skin Composite panels

Type of Insulation	Wall		Ceiling Roof	/Floor
	External	Internal		
Type of material EPS / Metal Skin PUF Composite Panels / XPS/ PUR, Others				
Relevant IS Code				
Density (kg/m <sup>3</sup> )				
Thermal Conductivity at +10°C k value ( W/m.K)				
Thermal diffusivity m <sup>2</sup> /h				
Water vapour transmission rate, ng/Pa.sm, Max.				
Water absorption after 24h immersion, percentage by mass.				
Relevant IS Code of Practice for Thermal Insulation of Cold Store				
Total Insulation Thickness (mm)				
No. of layers & Thickness / layer (mm)				
Type of vapor barrier & thickness (microns)				
Type of Bituminous/Sticking Compound				
Type of Cladding / Covering/External Finish				
Locking/Fixing & Sealing System in case of Metal Skin Composite Panels				
Any other info				

**viii) Cold Store Doors & Air Curtains**

Type of Insulation	Details
No. of Insulated doors	
Type hinged / sliding	
Insulation Material EPS / PUF / Others	
Thickness of Insulation (mm)	
Type of cladding	

Size of door opening	
Provision of Strip curtains – nos. & overlap %	
Air curtains, if any	
Others	

**ix) Material Handling**

– **Proposed Practice:** Manual / Semi Automated /Automated

Procedure	Brief Description
Material Handling Procedures & Equipments	
Cap of Electric Elevator	
Rating of motor (kW)	
Any other device	

**x) Grading, Sorting Washing & Packing Line (optional)**

– **Proposed Practice:** Manual / Semi Automated /Automated

Procedure	Brief Description
Process Line	
Total Connected Load (kW)	

*Please attach a Plan & Layout of the proposed Cold Store unit in accordance to the Statutory Building By-Laws and BIS Building Codes & Standards duly approved by a Registered Architect and Structural Engineer. The drawings should detail out insulation type, thickness, and fixing methodology in sectional details.*

**C. Heat Load Calculation of Cooling System – Summary**

Ambient Conditions	Summer	Monsoon	Winter
Dry Bulb Temperature (°C)			
Wet Bulb Temperature (°C)			

<b>Refrigeration Load</b>		<b>During Loading (kW)</b>	<b>During Pull Down (kW)</b>	<b>During Holding (kW)</b>
Transmission Load				
Product Load				
Internal Load	Lighting load			
	Occupancy load			
Infiltration Load				
Ventilation/ Fresh Air Load				
Equipment Load - Fan motors etc.				
Total Load (kW/24 hrs)				

<b>Compressor Operation Hours/Day</b>	Loading Period		
	Pull Down Period		
	Holding period		
<b>Multipliers</b>	Safety Factor		
	Defrost Period		
<b>Total Refrigeration Load</b>	<b>Peak Period</b>	<b>Holding Period</b>	<b>Lean Period</b>
Total Load (KW)			

*Please attach detailed heat load calculation sheets of the proposed cold store unit in accordance to the prescribed Technical Standards and Guidelines duly approved by a Qualified Engineer.*

#### **D. Cooling System Design & Equipment Selection**

##### **i) Cooling System Configuration**

Type of Refrigerant	Ammonia /Freon /Others
Type of System	Direct Exp / Gravity Feed / Overfeed
Type of compressor	Reciprocating / Screw / Scroll / Others
Type of capacity control	Automatic In steps / Step less
Type of condenser	Atmospheric / Evaporative / Shell & Tube / Plate Heat Exchanger / Other
Cooling Towers ( if applicable)	FRP Induced Draft / Others
Type of cooling coil	Ceiling suspended / Floor Mounted / Others
Type of defrosting	Air / Water / Electric / Hot gas
Humidification System & Control ( Brief Description)	

**ii) Compressor Detail**

Compressor Make & Model	Nos.	Comp. RPM	Operating Parameters Evap. SST. /Cond. Temp (°C)	Refrigeration Capacity (KW)	Motor Rating. (KW)	Total Electric Power. (BkW)	Remarks Working /Standby

**iii) Condenser Details**

Condenser Make & Model	Nos.	Operating Parameters Cond. Temp. (SDT)/ in/out water temp(°C) & flow (lps)	Condenser Capacity (kW)	Electric Fan /Pump Motor Rating (kW)	Total Electric Power (BkW)	Remarks Working /Standby

**iv) Cooling Tower Details (if applicable)**

Cooling Tower Make & Model	Nos.	Operating Parameters DB & WB Temp, in/out water temp(°C)	Cooling Tower Capacity (KW)	Fan & Pump Capacity (CMH/LPS) & Motor (kW)	Total Electric Power (BkW)	Remarks Working /Standby

**v) Air Cooling Units (ACU)**

ACU Make & Model	Nos.	Operating Parameter s Evap. (SST) & TD* (°C)	Cooling Capacity (kW)	Air Flow (CMH) & Face Velocity (M/S)	Material of Coil Tubes & Fins	Fin pitch (mm)	Total Fan Electric Power (BkW)



(\* ) TD – Temperature difference between Evap. (SST) °C & Return Air (at coil inlet).

*Please attach Detailed Technical Data Sheets of each equipment namely Compressors, Condensers, Cooling Towers, Air Cooling Units giving General Layout, Dimensions, Material of Construction, Rated Capacity, Operating Parameters and COP (please note that the Air Cooling Unit data sheet should include heat transfer area, fin spacing, no. of rows, air flow, face velocity, fan static, air throw, Fan Motor BKW/KW, fin spacing, etc ) duly Certified by the respective equipment manufacturers with reference to the Relevant Codes & Standards.*

#### **E. Electrical Instillation**

Total Connected load (kW)	
Estimated power requirement at Peak Load Period (BkW)	
Estimated power requirement at Holding Load Period (BkW)	
Estimated power requirement at Lean Load Period (BkW)	
Capacity of Transformer (kVA) (proposed)	
Size of Capacitor for power factor correction & their operation	
Make & Capacity of standby D.G. Set (kVA)	

#### **F. Safety Provisions**

Details of Fire Fighting equipment	Dry	
	Water based	
Handling Refrigerants & Leaks	Leak Detection	
	Handling measures	
Safety devices – LP/HP cut-outs, safety valves, shut off valves etc.		
Details of Emergency alarm system & push button system in cold chambers		
Emergency lighting in Cold chambers & other areas		
Lightening arrestors		
Any other safety provisions		

#### **G. Codes & Standards Followed**

Building Design & Structure	
Construction Materials	

Thermal Insulation & Application	
Refrigeration Equipment & Systems	
Electrical & Mechanical Systems	
Food Safety	
Others	

## H. Energy Saving Equipment & Measures

Details of Energy Saving devices	Brief Description and Savings
Light Fixtures CFL/LED	
Natural Lighting for general areas	
VFD for fans / compressors	
Refrigerant Controls and Automation	
Air Purger	
Power Factor Controller	
Energy recovery heat- exchanger for Ventilation System	
Renewable/ Solar Energy e.g. PV lighting	
PLC Control, & Data Acquisition	
Any other features e.g. water recycling, rain water harvesting.	

## I. Operation & Maintenance

Description	Nos. / Details
Proposed staff for Operation & Maintenance	
Proposed Annual Maintenance Contracts (if any)	
Training & Preventive Maintenance procedures	
Sanitation & Hygiene practice	
Pollution Control	

## J. Estimated Performance Parameters of Proposed Cold Store

Parameters	Peak Period	Holding Period	Lean Period
Coefficient Of Performance (COP) Of the Cold Store Unit			
Power Consumption (kWH/Day)			
Total Electricity Cost (Rs/Day)			
Electricity Cost towards Storage (Rs/ MT /Day)			

**K. Other Information**

**Enclosures-**

- i. Applicant must submit for record “as built drawings”, including cold store layout, P&I and electrical drawing and an operation & maintenance manual along with a list of essential spare parts supplied to him by the refrigeration contracting agency.
- ii. He should also submit a copy of the certificate of satisfactory commissioning of the cooling system in conformance to the performance indicators as per prescribed standards as issued by the refrigeration contracting agency to him.

**Note-** For cold storages set up in accordance with technical standards prescribed by DAC in this regard and which case implementation protocol has been followed under Government schemes of NHM / HMNEHA/ NHB / APEDA / MOFPI etc., applicant may submit a copy of basic data sheet in prescribed format, duly approved by such scheme implementing agency at the time of issue of letter of intent/ in principle approval to the project proposal and also a copy of Joint Inspection Report prepared before release of subsidy under the scheme as evidence for storage worthiness of cold storage. Applications for cold storages not covered by this provision must submit basic data sheet in following format for latest position prior to date of application.

Place .....  
Date .....

Signature and  
Name of Warehouseman with seal

Place .....  
Date .....

Signature and  
Name of Project Engineer with seal

## Schedule 7

### System / Procedure / Norms for Stock Inspection and General Inspection of Warehouses

#### 1. Introduction:

One of the objectives of Warehousing Development and Regulatory Authority (WDRA) is to enhance the fiduciary trust of stakeholders such as depositors, banks and other financial institutions, commodity exchanges, etc. on the Negotiable Warehouse Receipt (NWR) System. One of the means to accomplish this is through an effective supervisory regime and a robust inspection system.

#### 2. Objectives of inspection:

The main objective of inspection is to ensure and promote proper and healthy working of the warehouses by:

- (i) observance of prescribed procedures,
- (ii) care, maintenance and preservation of goods,
- (iii) up-to-date maintenance of accounts and other records,
- (iv) compliance to other regulatory requirements for continuing registration with the WDRA,
- (v) ensure that e-NWRs have been issued against all notified commodities stored in the warehouse,
- (vi) the warehouseman has effective control over all the operations in the registered warehouse.

The process of general inspection, therefore, aims at mitigating the risks to the NWR holders as well as NWR market as under:

- a) Risk to holder of NWRs:
  - i. poor quality maintenance and/or preservation of goods;
  - ii. inaccurate recording of details of goods or the depositor and subsequent NWR holders;
  - iii. frauds, theft, burglaries and natural disasters; and
  - iv. non-delivery of goods.

- b) Risks to the NWR market

This risk arises due to the failure of the regulatory system in ensuring the safety of the market. This may happen due to:

- i. inadequate compliance requirements;

- ii. inadequate supervision of the NWR market, caused by:
  - 1. low priority on supervision; and /or
  - 2. defective design of the supervisory framework that causes WDRA to miss out on risks that actually threaten the NWR market.

### **3. Components of Inspection:**

The Stock inspection is a major component of warehouse inspection as it gives correct picture of risk profile of the registered warehouses. The Authority would organize stock inspection with respect to the warehouses which issue a higher number and value of electronic Negotiable Warehouse Receipts (limits to be decided by the Authority) to confirm the correctness of physical quantity and quality of the goods reflected in the Negotiable Warehouse Receipts and physically present in the warehouse. General inspection of warehouses is conducted at periodic intervals to get a comprehensive view of compliance with respect to integrity of NWRs, infrastructure, regulatory requirements and standard operating procedures.

Since, inspection process of warehouses is now online, format of stock inspection as well as general inspection is available in the login of empanelled Inspecting Officers.

### **4. Physical verification of infrastructure:**

This involves a walkthrough of the warehouse immediately on start of the inspection to check for the storage worthiness of godowns, maintenance, repair and hygiene. Security arrangements in the warehouse with respect to availability of a pucca boundary wall / barbed wire fencing protecting the warehouse with proper security gate, other structural requirements, fire safety arrangements, adequate parking and maneuvering space for vehicles shall be specifically examined. During the walk through, upkeep of other equipment and storage of dead stock/ consumable items shall also be observed. Besides location of the warehouse with reference to nearby sources of fire and environmental hazards, safety from floods, connectivity to roads etc. shall also be observed.

### **5. Stock Inspection:**

The stock inspection may be conducted in isolation and also as a part of general inspection of a warehouse. Major verifications conducted during stock inspection are as under:

#### **5.1. Physical Verification (PV) of stocks:**

The verification of stock involves overview of transactions, maintenance of spillages account, godown-wise stock verification in terms of quantity, test weightment, quality etc. pertaining to the stock covered under the eNWRs/eNNWRs.

i) On arrival at the warehouse, the Inspecting Officer shall ensure that till the completion of physical verification of stocks, all transactions in the godowns shall take place with the knowledge of the Inspecting Officer. He should take rounds in all godowns to take note of the spillages kept in heap or in bags to avoid any manipulation afterwards. In case of non-agri commodities, he will also verify the soundness of the packages and availability of the identification stickers on the packages. It will also be verified that the stock is not visibly deformed, corroded or damaged in any manner. The certificate of analysis of the items stored in the warehouse should be available and tallied with the lots/ heats.

ii) Before starting the physical verification, the IO should obtain the updated statement of stock under different eNWRs/eNNWRs organized stack wise.

iii) The verification of stocks at a warehouse will be restricted to the eNWRs/eNNWRs issued and has to be done from three aspects i.e.

(a) verification of the weight and number of packages;

(b) verification of type and grade of the commodity said to be contained in the package; and

(c) verification of maintenance of quality i.e. preservation aspects.

iv) Inspecting Officer shall go from godown to godown, where 100% verification of stocks / packages under eNWRs/eNNWRs shall be done by count and tallied with the stack/ lot cards and stack/ lot wise registers and the statement of stocks prepared at the time of physical verification by the Inspecting Officer. Simultaneously, the entries in the stack/ lot wise registers may be seen and verified.

v) The PV sheet shall be prepared in IO's own handwriting detailing therein the breakup of the formation/configuration of the stack.

vi) The master statement prepared at the end of physical verification should clearly indicate the eNWR/eNNWR wise number of units physically verified in different stacks/ lots and those mentioned in the physical and electronic records.

vii) After the physical verification has been started, the IO should take note of the transactions in different stacks/lots/eNWRs as on the date of inspection to ensure accuracy of the physical verification.

viii) There may be variation in stock balance (of quality and/ or quantity) and damage to stocks due to lack of preservation and other irregularities. In all such cases, the Inspecting Officer should immediately report the matter to the WDRA giving firsthand information of the case and seek instructions for further action. In any case, the Inspecting Officer is not expected to leave the station without complete verification of stocks.

ix) There may be cases, where stock verification is not possible due to defective stacking. In such cases, the Inspecting Officer, if necessary, may break the stacks to the extent needed to ascertain the actual number of bags in the stack. In case of non-agri commodities, if stacking is defective, the bundles may be separated so that they are stacked lot/ heat wise and the quantity/ quality can be visually assessed. The warehouseman shall provide required support for such restacking. Mention of action taken on such happenings shall be made in the inspection report

x) In case, for some other reasons, the IO is not able to verify any of the stack(s) in the warehouse. He shall report the matter to WDRA immediately for necessary instructions in this regard.

## **5.2. Verification of eNWRs:**

i. After scrutiny of the basic records, Inspecting Officer shall prepare a list of current NWRs in the prescribed proforma. A commodity-wise/ godown- wise statement shall then be compiled. Each page of these two statements should bear the dated signature of the Inspecting Officer.

ii. While compiling these two statements, Inspecting Officer shall conduct a general checking of the essential records on the basis of which eNWRs are prepared and deliveries are effected by the warehouse manager.

iii. The quantity and quality of stocks mentioned in the eNWRs is taken as correct by the banks. It is, therefore, absolutely essential that a thorough checking of records covered by the eNWRs is carried out so as to ensure that these stocks are actually in the custody of the warehouse and conform to the quantity and quality as recorded in the eNWRs.

## **5.3. Test check of weighment and quality control of stock:**

i) Inspecting Officer shall verify whether the stocks are being properly graded and preserved. He should ensure that:-

### **(a) For agri commodities**

(i) the stocks are free from infestation and conform to the grade specified in the eNWRs

(ii) timely disinfection measures are being given to maintain the quality of stocks

(iii) necessary entries in this respect are made in the relevant registers and stack cards etc.

(iv) the weighment of stock is done properly and accurately.

**(b) For non-agri commodities**

- (i) Each lot should have corresponding Certificate of Analysis (manufacturer's/ NABL accredited lab's) mentioning specification/ standard and grade.
- (ii) The purity and impurity percentage of the commodity, as mentioned in the eNWR, shall be cross checked with the specified limits in the corresponding product specifications for compliance and the Certificate of Analysis.
- (iii) The packages/ lots should not have any deformation, damage, corrosion and illegible/ damaged manufacturer's stickers.
- (iv) the weighment of stock is done properly and accurately.

ii. For agri commodities, the Inspecting Officer shall select at random atleast 10 stacks or 10% of the stacks covered under eNWR, whichever is higher and select atleast 01 eNWR per stack (making a total of 10 eNWRs) for detailed analysis of the test check of weighment and quality. In case number of stacks in the Warehouse is less than 10, even then, at least 10 eNWRs shall be selected randomly from the available stacks for conducting test check of weighment and quality.

For non-agri commodities, 10 eNWRs/eNNWRs or 10% of the eNWRs/eNNWRs (whichever is higher) issued by the warehouse in the last one year as indicated in para 5.2 shall be selected and corresponding Certificate of Analysis (manufacturer's/ NABL accredited lab's) mentioning specification/ standard and grade shall be verified. Further, the purity and impurity percentage of the commodity, as mentioned in the eNWR/eNNWRs, shall be cross checked with the specified limits in the corresponding product specifications for compliance.

iii. Test weighment:

- a. Out of the eNWRs randomly selected as detailed in the para 5.3 (ii), 10 bags/ units shall be randomly picked from each of the eNWR and its weighment is taken . A statement of the test weighment shall be prepared as per the following format:

eNWR no.	Commodity	Godown/ stack number	Number of Units in the eNWR	Net weight (Qtls)	Average net weight per unit (Qtls)	Average net weight per unit on test weighment (Qtls)	Variation if any (+/-)	Remarks
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- iv. In the event of any abnormal variation in the weight on test weighing, the IO shall inform to the Authority and wait for further instructions in the matter.
- v. The IO shall also undertake verification of the entries recorded in various records, viz. stack-wise register, stock register, depositors’ ledger, gate pass, gate register, daily transactions register, analysis register etc. to ensure that the information recorded in the eNWRs tallies with these records.
- vi. For agri commodities, apart from checking the level of infestation in different stacks and details of timely disinfestation measures taken and updation of relevant quality records, the IO will also carry out a test check of the grade/quality recorded in the selected eNWRs in the proforma already circulated to the IOs of the IAs. Any abnormal variation in the grade / quality physically verified in the test check and that mentioned in the records, shall be reported to WDRA immediately for further instructions in the matter.
- vii. For non-agri commodities, the grade/ quality shall be test checked with the grade/ quality recorded in the corresponding Certificate of Analysis (manufacturer’s/ NABL accredited lab’s) mentioning specification/ standard and grade.

**5.4.** Inspecting Officer should confirm that the warehouseman has effective control over all the operations of the warehouse and confirm the same in the prescribed proforma.

**5.5. Verification of equipment/ dead stocks / consumable articles / dunnage:**

Complete verification of equipment/dead stocks / consumable articles including dunnage and pesticides is also to be conducted by the Inspecting Officers. Required statements are to be submitted along with inspection report respectively.

**6. Audit and Accounts:**

- i) Transaction Audit: Transaction audit is an important part of inspection process which is carried out to assess the level of compliance to SOPs by cross verifying various documentation with respect to all the transactions concerning some eNWRs/eNNWRs randomly selected.

For the purpose, in case of agri commodities, 10 eNWRs/eNNWRs or more issued by the warehouse during the last 6 months selected as described at para 5.3 (ii) above, shall be taken for carrying out the transaction audit and a report on it shall form a part of the inspection report.

In case of non-agri commodities, 10 eNWRs/eNNWRs or 10% of the eNWRs/eNNWRs out of the total non agri e-NWRs issued by the warehouse in the last one year shall be taken for carrying out the transaction audit as detailed at para 5.3(ii) and a report on it shall form a part of the inspection report.

ii) The Inspecting Officer shall verify the net worth of the warehouse at the close of the last financial year based on either of the following, as applicable;

- a) audited balance sheet for the last financial year;
- b) provisional net worth certificate issued by applicant's statutory auditor, provided that an audited balance sheet of the last financial year is submitted within a period of twelve months;
- c) in case of persons not subject to audit, balance sheet certified by a chartered accountant.

iii) In addition, the Inspecting Officer shall also check the adequacy of security deposit furnished by the warehouseman in view of criteria decided by the Authority. The Inspecting Officer shall make a reference to discount, if any, provided to the farmers in storage charges or any other payables.

iv) Adequacy of insurance coverage prescribed by the WDRA shall be checked in particular. In case of fire policy taken for the stock on declaration basis, daily valuation of stocks shall also be examined and confirmed whether the insurance policy is adequate to cover this value. Validity of the insurance policy shall also be examined. Wherever the insurance policy is going to expire in the next three months, the warehouseman shall be notified apart from making a reference in the inspection report.

v) The Inspecting Officer shall examine the Bank Lien Register maintained by the warehouse with respect to details of the eNWRs pledged with different banks. The Inspecting Officer shall also personally visit the concerned banks and cross check the particulars in the Bank Lien records in the warehouse and those available with the banks particularly with respect to the latest balance of stocks and quality observed during inspection against the eNWRs pledged with them. In case of variation in the

records of the warehouse and the bank, the same shall be examined and details of the same provided in the inspection report.

### **7. Security Arrangements:**

The warehouseman is the custodian of its depositor's stocks. It acts as a bailee. It is absolutely necessary for the Inspecting Officer to ensure that instructions issued by the WDRA from time to time on security measures are being followed by the warehouseman in letter and spirit. Some of the main points to be carefully looked into during the course of inspection are listed below:

- i. The e-NWRs are prepared by the authorized official following a proper procedure..
- ii. The cash book and other important documents are kept in safe custody of the authorized person.
- iii. Watch and ward arrangements are adequate.
- iv. All incoming and outgoing stocks are properly accounted for in the inward and outward gate registers. The stocks moving out of the warehouse is covered by a proper gate pass.
- v. The deposits/ deliveries are authorized as per the SOPs. Proper lighting arrangements inside the godowns and in the warehouse campus are provided.
- vi. The warehouses are adequately equipped with right type of firefighting equipment and recharged timely. Important equipment, like weighing scales, moisture meters, spraying machines, handling equipment etc. are in working condition.
- vii. Security guard duty records are maintained properly.

### **8. Record of ownership and effective control of warehouse:**

The Inspecting Officer shall confirm whether the warehouse is owned or hired / leased. In case of hired / leased warehouses the validity of lease deed / rent agreement shall be verified. The Inspecting Officer shall also ensure that the warehouseman has effective control over the warehouse as evidenced by any one of the following documents:

- a) a copy of the lease deed or rent agreement in respect of the warehouse concerned, or any other document evidencing a lease or rent, in favour of the applicant;
- b) in case of sub-lease, a copy of the lease deed indicating that sub-leasing is permitted, and a copy of the sub-lease deed. The lease deed must permit a sub-lease with effective control over the warehouse concerned;

c) in case of a revenue sharing arrangement, an agreement to this effect in respect of the warehouse concerned, with clear responsibility of the applicant to manage and operate the warehouse;

d) no objection certificate from the municipal corporation/ panchayat/ local body, as the case may be, for carrying out the business of warehousing in favour of the applicant on land owned by the municipal corporation/ panchayat/ local body;

e) copy of lease document from the concerned Agricultural Produce Marketing Committee or Board indicating lawful possession of land/ warehouse in favour of the applicant; or

f) copy of the allotment letter by respective State Government indicating lawful possession of land/warehouse, in favour of the applicant.

#### **9. System of grievance handling:**

The Inspecting Officer shall examine that the warehouse has standard operating procedure for handling grievances of their depositors and stakeholders in light of circulars/guidelines issued by the Authority from time to time. He shall also review the status of grievances received by the warehouse after the last general inspection. Any incident of non-resolution / incomplete resolution of grievances shall be recorded in the inspection report.

#### **10. Inspection checklist:**

a) The checklist for inspection, has been designed to achieve the objectives of inspection. The sequence of questionnaire listed therein will help the Inspecting Officer, while scrutinizing the records and verifying the stocks etc. to have a clear idea of the functioning of the warehouse. This will also provide him with important data to evaluate the performance of the warehouse, suggest means to rectify deficiencies in any area of working of the warehouse and provide meaningful guidance to the warehouse manager and his staff in effective and efficient management of the warehouse. In case, the Inspecting Officer finds that any aspect of the functioning of the warehouse is not covered in the inspection format, he should take care of the same and report it in the Discrepancy Note & Inspection Report.

b) The Inspecting Officer should take care that all the questions and points listed in the checklist are properly replied to and nothing is left blank. It should also be noted that the checklist carries a list of points and documents etc. which need to be checked. In some cases, the points listed are only a sort of memoranda to facilitate the work of the Inspecting Officer so that no particular point is overlooked. There may be

a number of questions in reply to which the Inspecting Officer may have only to say 'Yes ' after they are satisfied that the work is being done as per instructions. It is necessary that complete details are given against points needing attention so that reference can be easily passed on to WDRA.

**11. Issue of discrepancy note:**

a) At the end of inspection, the Inspecting Officer shall explain the discrepancies or shortcomings found and must issue a discrepancy note listing all discrepancies noticed by the Inspecting Officer during the course of inspection to the warehouseman or his representative directing the warehouseman to submit a compliance report to the Authority within 10 working days.

b) The Inspecting Officer shall review the non-compliances/discrepancies noticed in previous inspection and the corrective/ preventive action taken as well as their effect and record in the report.

c) The non-compliances/discrepancies and proposed corrective actions with time bound action plan, after discussion with warehouse manager, shall be reported on separate sheet. The Inspecting Officer shall prepare the inspection report in the prescribed format and submit to the Authority, within 5 working days of completion of the inspection, or within such time as stipulated by the Authority. However, the endeavor shall be made to ensure that the inspection report containing the following information is dispatched to WDRA from the warehouse itself:

- i. Review of previous inspection
- ii. Infrastructural aspects of the warehouse
- iii. Status of NWRs
- iv. Quality control aspects
- v. Security aspects
- vi. Status of compliance to requirements pertaining to net worth, insurance and security deposit
- vii. Status of grievance handling
- viii. Copy of the inspection checklist with all the columns duly filled and documents attached.
- ix. Copy of the discrepancy note given to the warehouseman at the end of inspection.

d) At the end of inspection, the warehouseman or his representative must sign or authenticate a declaration stating:

- i. he was present throughout the inspection; and

- ii. the inspection process as well as the discrepancies or non-compliances were explained to him by the Inspecting Officer; and
- iii. the Inspecting Officer has issued a discrepancy note (if applicable) to him.

## **12. Submission of inspection report:**

The Inspecting Officer shall observe the following procedure for submission, dispatch and distribution of the inspection report.

- a) The original copy of the inspection report along with one copy of the Discrepancy Note, Special Note, Annexure (s) and other supporting statements will be forwarded to the designated officer in WDRA with a forwarding letter;
- b) The special note shall cover critical analysis of the working, performance, status of NWRs, problems areas, and other risk related aspects in respect of the warehouse concerned;
- c) The second copy of the inspection report, discrepancy note and other documents shall be handed over on the spot to the warehouse manager with the instructions to report full compliance to WDRA within a period of 10 days.

## **13. Follow up on rectification of the discrepancies noticed during inspection:**

As far as possible, the Inspecting Officer will get the discrepancies rectified in their presence before leaving the station and make a mention of the same in the discrepancy note. To illustrate this point, a few common discrepancies and action to be taken by the Inspecting Officer are listed below:

- i. If some stocks are found heavily infested and need immediate fumigation, he should ensure that the fumigation is initiated in his presence.
- ii. If entries in some of the basic records like stack-wise register, stock register, depositor's ledger, insurance register are found incomplete, he should ensure that these records are brought up to date in his presence.
- iii. If the deficiencies could not be rectified on the spot, the Inspecting Officer, while listing the same in the discrepancy note, shall give clear instructions to the warehouseman for their rectification within a period of 10 days.

#### **14. Compliance by the warehouseman:**

The warehouseman will report, point by point, compliance to WDRA within 10 working days of the receipt of discrepancy note clearly indicating the action taken by him to rectify the discrepancies.

#### **15. Examination of inspection report by the WDRA:**

- a) The concerned officer in WDRA shall scrutinize the inspection report and the compliance report received from the warehouseman and identify the high risk discrepancies, discrepancies already complied, discrepancies yet to be complied, quality of the inspection conducted by the inspection agency and suggested course of action and submit the details to the WDRA for follow up action.
- b) Where submission of the compliance report is delayed by the warehouseman, necessary action as deemed fit shall be initiated apart from sending the reminders to do the same.
- c) The concerned officer in the WDRA shall also review the progress of inspection vis a vis inspection allotted to different agencies and Inspecting Officers and any shortfall observed shall be brought to the notice of concerned officers in the WDRA.

#### **16. Planning of inspection programmes:**

##### **a) Frequency of Inspections:**

All the warehouses registered with WDRA shall be inspected atleast once during the financial year. However, the warehouses shall be prioritised for inspection based on the quantity of stocks covered under NWRs, risk severity of discrepancies noticed during inspection as well as various other sources including stakeholders' grievances, public complaints etc.

##### **b) Inspections by the WDRA:**

Generally, the inspections shall be allotted to the empanelled inspection agencies. However, few of the general inspections as decided by the Authority from time to time (may be 10 to 15% of the warehouses registered) could be allotted to the Inspecting Officers of the Authority itself.

##### **c) Planning of the Inspection Programmes:**

- i) The monthly inspection programmes enlisting the warehouses to be inspected and agencies to be assigned the task for the next quarter shall be chalked out by the

inspection division of WDRA well in advance and communicated to the concerned inspection agencies / Inspecting Officers of WDRA as the case may be latest by 15<sup>th</sup> of the preceding month.

ii) Care shall be taken in allotting the programmes to agencies having their set up in the concerned State and also to ensure that all the agencies get equal opportunity in getting the inspection programmes allotted to them.

iii) The inspection programme shall be treated strictly confidential and no advance intimation shall be given to the warehouseman concerned except the time and manner prescribed by the Authority.

**d) Time schedule for the inspections:**

i. The time schedule for General inspection of warehouses of various capacities will henceforth be as under:

<b>Quantity of stocks covered under eNWRs/eNNWRs (in MTs)</b>	<b>Maximum number of days up to</b>
Upto 2500	01
2501 to 5000	02
5001 to 10000	03
10001 to 15000	04
above 15000	05

ii. In case where only stock inspection is carried out in isolation as a routine or as surprise inspection, the time schedule for such stock inspection of warehouses of various capacities will henceforth be as under:

<b>Quantity of stocks covered under eNWRs/eNNWRs (in MTs)</b>	<b>Maximum number of days up to</b>
Upto 10000	01
10001 to 25000	02
above 25000	03



iii. The above time schedule is just a guideline, the inspection may be accomplished in lesser time depending upon actual quantity of stock covered under NWRs, quantum of work/ problems etc. In case more time is required, permission from WDRA may be obtained.

iv. In case more time is required for completing the inspection than as scheduled above, permission from the authority should be taken with due justification and an additional amount of Rs. 2500/- for each additional day shall be payable to the agency.

v. Stock/Surprise/General Inspection: The IO is allowed to inspect one warehouse per day.