

In pursuance of the provisions of Clause (3) of article 348 of the Constitution of India, the Governor is pleased to order the publication of the following English translation of Notification No. 522/VIII-1/22-32(Labour)/2016 T.C., dated November 22, 2022 for general information:

No. 522/VIII-1/22-32(Labour)/2016 T.C.

Dated Dehradun, November 22, 2022

NOTIFICATION

In exercise of the powers conferred by sub-section (1) of section 28 of the Uttarakhand Shops and Establishment (Regulation of Employment and Conditions of Service) Act, 2017 and of all other powers enabling it in that behalf, the Governor hereby makes the following rules:-

The Uttarakhand Shops and Establishment (Regulation of Employment and Conditions of Service) Rules, 2022

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|-------------------------------------|--|
| Short title and commencement | <p>1. (1) These rules may be called the Uttarakhand Shops and Establishment (Regulation of Employment and Conditions of Service) Rules, 2020.</p> <p>(2) It shall come into force from the date of publication in the Official Gazette.</p> |
| Definitions | <p>2. (1) In these rules unless the context otherwise requires :-</p> <p>(a) 'Act' means the Uttarakhand Shops and Establishment (Regulation of Employment and Conditions of Service) Act, 2017 (No. 3 Act of 2017);</p> <p>(b) 'Form' means the Forms appended to these rules;</p> <p>(c) 'Government' means the Government of Uttarakhand;</p> <p>(d) 'Schedule' means a Schedule appended to these rules;</p> <p>(e) 'Section' means a section of the Act;</p> <p>(f) 'Managerial Functions' means all such functions which are inherently supervisory in nature and are bestowed with powers and authority to take all policy and administrative decision in an organization, e.g. power to sanction leave, award increment, take disciplinary action, to terminate, suspend or dismiss a worker or indulge in policy making decision regarding any aspect of the business or service, conditions of workers and such other similar powers.</p> <p>(2) Words and expressions used in these rules but not defined hereinabove shall have the same meanings as are respectively assigned to them in the Act.</p> |

- | | | |
|---|----|--|
| Application for registration of establishment under section 5 | 3. | The employer of every establishment engaging ten or more workers shall submit online application in Form "A" for registration of the establishment as per section 5 of the Act alongwith the required documents as specified in Part "A" of the Schedule. |
| Payment of Electronic Transaction or Service Charges and Others | 4. | No fee is prescribed under those rules. However, the employer shall pay the electronic transaction or service charges as fixed by the Government from time to time for availing e-services under the Act and these rules. |
| Manner of registration of establishment | 5. | (1) Every online application in Form "A" for registration of establishment may be assigned to any of the Facilitator of that local office, who shall scrutinize the application, uploaded documents along with the details mentioned in the application. If the application is complete in all respects and supported with all the required documents, he shall digitally sign the certificate of the registration, which shall be in Form "B" within working twenty four hours from the date of application appears on the dashboard of the Facilitator. The digitally signed certificate may be downloaded by the applicant. The entry of the establishment which is registered shall be made in the Register of Establishment to be maintained in Form "C". The registration of Shop and establishment shall be whole time.
(2) If an application is incomplete or not supported with required documents as mentioned in these rules, then the Facilitator, may reject such application by mentioning the reasons thereof within working twenty four hours from the date on which the application appears on the dashboard of the Facilitator.
(3) It shall be the duty of every employer to issue identity card to her/his employees. This should be furnished all the details of the workers with emergency contact number and issue labour identity number according to their registration number. |
| Form for intimation of commencement of business by such employer engaging less than ten workers | 6. | The employer of every establishment engaging less than ten workers shall submit an online intimation in Form "D" of commencement of the business alongwith the required documents as specified in Part "B" of the Schedule. |

- Issue of receipt of intimation** 7. After receiving intimation in Form "D" alongwith all the documents, a receipt of such intimation in Form "E" shall be issued to the applicant online and the details thereof shall be recorded in a register maintained for that purpose in Form "F".
- Notice to make changes in registration certificate** 8. (1) Any changes in the certificate of registration shall be notified online in Form "G" to the Facilitator as per section 5 of the Act within thirty days from the date the change took place along with required documents to be uploaded as specified in the application and Part "C" of the Schedule.
(2) On receipt of such notice the Facilitator shall scrutinize the same and shall digitally sign and issue a fresh modified certificate within working twenty four hours from the date of receipt of such notice. However, if the notice is not complete or is not supported by the required documents he shall reject the notice by mentioning the reasons thereof.
- Closing of business** 9. (1) Every employer of an establishment engaging ten or more workers, on closing its business permanently shall communicate the same to the Facilitator in Form "H".
(2) Every employer of an establishment engaging less than ten workers on closing of its business permanently shall communicate the same to the Facilitator, in Form "I".
- Conditions for employment of women in general as well as in night shifts** 10. (1) The following are the conditions for employment of women workers in general in any establishment irrespective of the number of woman workers employed therein, namely:-
(i) The employer shall take all the measures and safeguards to prevent or deter the commission of the Acts of sexual harassment place of work by strictly implementing and enforcing all the provisions of the Sexual Harassment of Women at Work Place (Prevention, Prohibition and Redressal) Act, 2013 (14 of 2013).
(2) The following additional conditions shall be complied for employment of women workers in night shifts,
(a) Women workers shall be allowed to work during 9.00p.m. and 6.00a.m. in any establishment only after obtaining her consent in Form "J".
- Health, Safety and Welfare Committee** 11. (1) Every establishment wherein one hundred or more workers are ordinarily employed, there shall be constituted a Health, Safety and Welfare Committee, consisting of equal number of employer and worker's representatives.

(2) The representative of the employer and workers on the Health, Safety and Welfare Committee shall include:-

(i) Senior official who by his position in the organization can contribute effectively to the function of the said Committee and he shall be the Chairman.

(ii) Representatives of Head of all the Departments or In-charge of Sections of the establishment, e.g. sales, purchase, material, personnel, marketing, finance, if any.

(iii) Maximum five workers representative nominated by the workers of the establishment as members of the said Committee. The said Committee shall have sufficient number of representatives of women worker, wherever women workers are employed.

(3) The duties, functions and responsibilities of the said Committee are as follows:-

(i) To survey the premises and to examine whether there is any accident prone spots in the premises or defects or hazardous object or hazards in the premises.

(ii) To follow and pursue to get such spots, defects, objects or hazards rectified.

(iii) To conduct health care or wellness camps once in a year in the organization or establishment.

(iv) To create awareness about any contagious disease or epidemics or any natural calamities or any calamities due to accident, fire, etc.

(v) To conduct recreation, cultural, sports activities annually.

(vi) To conduct social and educational awareness programmes like Swaccha Bharat Abhiyan, Tree Plantation, Family Welfare, Beti Bachao-Beti Padhao, etc.

(vii) It shall be the duty and responsibility of the said Committee to organize above event with due care and diligence.

Cleanliness,
lighting and
ventilation

12. Premises of every establishment shall be kept clean and free from infection. It should have proper ventilation and lighting. No rubbish, filth or debris shall be allowed to accumulate or to remain on any premises or in an establishment or in the surroundings of such establishment in such position that effluvia therefrom can arise within the area of the establishment or its surroundings.

**Precautions
against fire**

13. (1) Every employer shall take all the measures to protect the premises and the workers therein from the danger of fire. He shall adopt and implement all such measures as suggested, recommended or directed by the Fire Officer, Department of the Local Authority or Fire Brigade of that local area or any such authority. It shall be his duty to follow the norms and guidelines for protection against fire as per the provision of any law for the time being in force or any direction or instruction issued by any Local Authority or any such authority wherein the establishment is situated. The employer shall produce, whenever demanded by the Facilitator, a copy of the order or instruction or guidelines, etc. issued by the Fire Officer of Local Authority or any such authority.
- (2) Every employer shall also adopt and implement all the safety measures mentioned, suggested and recommended in the Fire and Safety Policy as declared by the Government, from time to time.

**Notice of hours of
work, rest
interval, weekly
holiday**

14. (1) Every employer shall display a notice on his website and at a conspicuous place of the premises of the establishment on a notice board showing the hours of work, rest-interval, weekly holiday in Form "K".
- (2) For the health safety of the workers working in their shop/establishment premises, every employer shall invariably provide suitable arrangement for sitting in the workplace. The said rest arrangement will be used by the workers in such a way that the work of the shop/establishment is not affected.

**Prohibition of
overlapping of
shifts**

15. Work shall not be carried out in any establishment by means of a system of shift so arranged that more than one relay of workers is engaged in work of the same kind at the same time.

**Notice of shift
schedule, weekly
holiday of
workers engaged
in shift**

16. (1) In case of establishment operating in shift, the employer shall display well in advance a shift schedule, along with weekly holiday showing the names and designation of all persons working in the shift, so that each worker is aware of his weekly holiday and the shift in which he has to work. Such notice shall be in Form "L" and shall be kept in every establishment and made available for inspection to the Facilitator on demand. The notice shall be displayed on the website and at a conspicuous place of the premises of the establishment on the notice board. A copy of the same shall be send to the Facilitator electronically or otherwise.

(2) There shall not be less than twelve consecutive hours of rest or gap between the last shift and night shift whenever a worker is changed from day shift to night shift and also from night shift to day shift.

Part
employment

time 17. (1) It shall be lawful for the employer to engage part time worker provided that, he shall not be allowed to work more than five hours in a day.

(2) No part time worker shall be allowed to work overtime under any circumstances.

(3) Wages payable to a part time worker shall be computed by dividing the per day rate of Minimum Wages applicable to that schedule employment by eight (hours) with fifteen per cent, rise in it or by divided the prevailing rate of per day wages fixed for permanent workers doing similar nature of work in that establishment by eight (hours) with fifteen per cent, rise in it, whichever is higher.

Leave Book

18. Every employer shall provide to each worker with a book called 'Leave Book' in Form "M". A copy of the same shall be retained by employer. All the entries of sanctioned earned leave as per section 11 shall be noted in the Leave Book. Any earned leave applied for and is refused shall also be noted in the Leave Book with initials of the employer or his representative in the respective column of Leave Book. If the Leave Book is lost by the worker, the employer or manager shall provide him the duplicate copy of the same. However, every employer shall be free to maintain Leave Book in such format as he deems fit providing therein all the particulars which would be inconsonance with Form "M".

Notice
employer
manager
of
accumulated
leave

by 19. The employer or manager shall communicate in Form "N" to the concerned worker, whose leave, which has been carried forward has reached the maximum limit allowed under sub-section (4) of section 11 of the Act, as soon as possible in the first quarter of each calendar year. Such notice shall state that no further leave can be carried forward.

Toilets
urinals

and 20. Every employer either individually or group of employers shall provide and maintain a common, neat and clean urinal and Toilets facility with supply of antibacterial liquid soap for men and women worker separately in such sufficient numbers. It shall be well ventilated with exhaust fan and lighted and safe for use of women worker in particular. It should have a proper provision of water supply and flushing of waste.

**First-aid
appliances**

21. Every employer shall maintain such duly equipped first-aid box in each establishment with the following first-aid appliances and medicine, namely:-

- (i) small, medium and large sterilized dressing in required numbers;
- (ii) large size sterilized burn dressing in required numbers;
- (iii) packets of sterilized cotton-wool in required numbers;
- (iv) pair of dressing scissors;
- (v) bottle containing solution of iodine or mercury-chrome;
- (vi) bottle containing solution of savolatine having the dose and mode of administration indicated on the label;
- (vii) bottle containing potassium permanganate crystals;
- (viii) any antidote from burns;
- (ix) Sufficient numbers of sanitary napkins for women worker, wherever applicable.

**Qualification of
Facilitator**

22. A person shall not below the qualification as defined for appointment of Labour Enforcement Officer's qualification.

**Duties and
powers of
Facilitator**

23. (1) The facilitator shall make such examination as may appear to him to be necessary for the purpose of satisfying himself that the provisions of the Act and rules made thereunder and any orders issued by the Government under the Act and rules made thereunder are duly observed.
- (2) He shall follow the instructions issued by the Chief Facilitator from time to time.
- (3) It shall be his duty to serve all the notices and orders as per the Act to the concerned persons issued by the Compounding Officer.
- (4) It shall be his duty to carry out inspection as per the online randomization inspection system or any other system for the time being in force in the office of the Chief Facilitator.
- (5) It shall be the duty of each Facilitator to maintain court cases register independently and the register of cases referred to the Compounding Authority as per the instruction of the Chief Facilitator.
- (6) It shall be the duty of the Facilitator to advise the employer so as to comply with the irregularities pointed out by him in his inspection memo. It shall also be his duty to guide the workers in an establishment about their rights under the Act and the remedies

available to them.

(7) It shall be his duty to confirm that the defaulting employer has paid the fees as per the direction of the Compounding Officer and shall verify whether the amount is deposited in the local area treasury office.

Maintenance of registers and records 24. (1) The employer shall maintain a Muster-Roll cum Wages Register in Form "O".

Provided that, where any employer or manager maintains a Muster Roll-cum-Wages Register under the Minimum Wages Act, 1948 (IX of 1948), it shall not be necessary for him to maintain Muster Roll-cum-Wages Register as per the provisions of this Act and Rules.

(2) Every entry in the register or records requires to be maintained under these rules shall be authenticated digitally or manually by the employer or the manager or any person so authorized by him. The entries relating to overtime shall be made immediately after completion of such overtime work. In case both the employer and the manager are absent on any day, the entries shall be authenticated by such person as may be authorized in writing by the employer.

(3) Every register, record and notice required to be maintained, exhibited or given under these rules shall be either in Hindi or in English language.

(4) Every employer or manager shall preserve the inspection records of the Facilitator for a period of three years and shall produce the same whenever demanded by the Facilitator.

(5) Where an office, store-room, godown, warehouse, or work place used in connection with the trade and business of an establishment is situated at the premises other than the premises of such establishment, all such registers, records and muster-rolls required to be maintained under the Act and these rules may be separately so maintained in respect of such office, store-room, godown, warehouse or work place, etc.

- Annual Return** 25. Every employer shall online upload the Annual Return in Form "P" on the website within two months for the year ending on 31st December. A print copy of the same may be furnished as and when demanded by the Facilitator.
- (2) It shall be mandatory for every employer to attach annual return along with labour identity number, which is issued by the employer or previously prevailing any act, such as Employees' State Insurance Act, 1948 or Employees' Provident Fund and Miscellaneous Provisions Act, 1952.
- Application for Compounding of Offence** 26. (1) Every application for compounding of an offence shall be in Form "Q".
- (2) The Compounding Officer shall maintain a proper Rojnama of all the cases heard by him.
- (3) The Compounding Officer notified under section 24(1) of the Act, shall hold sittings in each region/district or in such a place in the local area regularly as per the work load or the matter referred to it.
- Procedure for Compounding of Offence** 27. (1) The Compounding Officer on receipt of an application shall examine all the documents, the nature of breaches of the Act and rules made thereunder and shall pass a detailed order within working seven days from receipt of application. The Compounding Officer while determining the amount of compounding fees shall have regard to the seriousness of breaches, nature of an offence and evidence on record. The Compounding Officer shall on receipt of the compounding fees make the order for deposit of compounding fees and after deposit of such amount, the offence shall be compounded and the Compounding Officer shall make necessary entries in a register kept for that purpose.
- (2) An order passed by the Compounding Officer shall be forwarded to the concerned local Facilitator for serving the same to the defaulting employer within seven working days.
- (3) The maximum fees for compounding of offence may be imposed by the Compounding Officer shall not be less than fifty per cent of the maximum fine specified for such offence under the Act.
- (4) In calculating the period for filing of prosecution under section 23, the time period taken for compounding of offence shall be excluded.

Intimation of 28. Every employer registered under section 5 shall inform to the persons discharging managerial function Facilitator in Form "R" the names and designation and brief nature of duties of such persons who are discharging managerial function. The information in Form "R" shall be submitted annually and whenever there is any change, during the year.

Intimation of 29. Every employer shall inform in Form "S" the names of such persons persons doing confidential work- who are occupying position of confidential character in an establishment. However, the number of such persons shall not be more than one per cent of the total strength of workers of the establishment subject to a maximum of fifty persons. The information in Form "S" shall be submitted annually and whenever there is any change, during the year.

Name Board to be 30. The Name Board of every establishment shall be in Hindi language in Hindi and English- in Devnagari Script as well as in English and shall essentially be written in the beginning:

Provided that, the employer may also have the Name Board in any other language and script in addition to Hindi in Devnagari Script But font size of Name Board in Hindi shall not be less than that of the Name Board in any other language.

Cancellation of 31. Where the Facilitator proposes to take action under section 5 of the registration certificate Act for cancellation of registration he shall,-
(i) by a notice require the employer to submit his say as to why the registration shall not be cancelled;
(ii) if, within ten days from the date of the receipt of the notice, the employer fails to submit his say along with relevant documents, the Facilitator may cancel the registration. If within the period of ten days, the employer submits his say along with all relevant documents the Facilitator may, after considering the say and the documents either withdraw the notice or cancel the registration as he may deem fit.

Form- 'A'

(See rule-3)

APPLICATION FOR REGISTRATION

Employer
Photo

1.	Name of the Establishment	:-	
2.	Address and Situation of the Establishment	:-	
3.	Date of commencement of Business	:-	
4.	Nature of Business	:-	
	Whether establishment falls under Public Sector or Private Sector		
	Note- (a) Establishment in public sector means an establishment owned or managed by (i) the Government or Department of the Government, (ii) a Government Company as defined in clause (45) of section 2 of the Companies Act, 2013 (18 of 2013), (iii) a Corporation (including co-operative society) established by or under any Central Act or State Act which is owned, controlled and managed by the Government, (iv) a Local Authority. (b) Establishment in private sector means an establishment which is not an establishment in public sector.		
5.	Address of the office, storeroom, godown, warehouse or work place, if any, other than the above address, (should be filled only when office, showroom, etc. is not separately registered under the Act.)		
6.	Name of the Employer.		
7.	Residential Address of the Employer.		
	Status/Designation		
	Mobile No. and E-mail ID		
	Aadhar Card No. (upload copy)		

8.	(1) Category of Establishment (i.e. Shop/ Establishment/ Residential Hotel/Restaurant/ Theatre/Other places of public amusement or entertainment and other establishment) (2) Type of organization (i.e. Proprietor, Partnership, LLP, Company/Trust/Co-operative Society/Board)	:-		
9.	Details of the Partner/Director/ Trustee/Board and Society Members.	Name and Residential Address	Aadhar Card No.	Mobile No. and e-mail ID
10.	Government Resolution No. in case of Board/Corporation. (upload copy)	:-		
11.	IN case of Company or LLP, certificate of incorporation or partnership registration certificate of appropriate authority (upload copy)	:-		
12.	In case of Co-operative Society or Trust, the certificate or registration of appropriate authority (upload copy)	:-		
13.	Registration No. of Reserve Bank of India/Securities and Exchange Board of India/Insurance Regulatory and Development Authority, etc. or any such registration number which is mandatory before starting such business as banking/share/mutual fund/insurance/finance lending institute, etc. (upload copy)	:-		
14.	Name of the members of employer's family employed in the establishment	Name of the person	Relation	
	Total			
15.	(a) No. of the persons occupying position of management	Men	Women	

	(b) No. of persons engaged in confidential capacity			
	Total			
16.	Details of Manpower/Workers	:-	Men	Women
	No. of Workers	:-		
	No. of apprentices under the Apprentices Act, 1961 (52 of 1961)	:-		
	No. of contract labour	:-		
	No. of part-time workers	:-		
	Total	:-		
17.	(a) Name and Residential Address of Authorized person	:-	Name and e-mail ID	Aadhar Card No. Mobile No.
	(b) Name and Residential Address of Manager		Name and e-mail ID	Aadhar Card No. Mobile No.
18.	(A) Is the place of business conducted in owned premises?	:-	Yes/No	
	If yes, details of the owner as per agreement.	:-	Name of the owner- Address - Plot No.- Gala/Shop No.- City Survey No.- Name of the Building/Society - Name of the Road - Locality, District, Taluka, Village - Pin No. -	
	If the place of business is located in self owned premises documents mentioned at serial number (4) of Part-A of the Schedule should be uploaded alongwith the application.			
	(B) Is the place of business conducted in rental or leased premises?			
	If yes, details of the lessor as per agreement.	:-	Name of the lessor- Address - Plot No.- Gala/Shop No.- City Survey No.- Name of the Building/Society - Name of the Road - Locality, District, Taluka, Village - Pin No. -	
	If the place of business is located in rented or leased premises documents mentioned at serial number (5) of Part-A of the Schedule should be uploaded alongwith the application. The employer must also upload any one of the document relating to the owner of the premises which is rented or leased as per Sr. No. 4 in Part 'A' of the Schedule			

19.	Is the business conducted in the premises owned/rented by any member of the family/relative?	:-	Yes/No
	If yes, no objection letter for doing such business in the premises of such owner shall be obtained and uploaded, alongwith documents mentioned in column No. 18.		
20.	Is the place of business is conducted in a flat/apartment or residential unit in a housing society?	:-	Yes/No
	If yes, obtain and upload a no objection certificate from the society or any such authority responsible for the maintenance of the premises, alongwith documents mentioned in column No. 18.		

Self-Declaration

I/We hereby solemnly affirm and state that the business which I/we have started is not banned or prohibited by any Act, Rules, Law or Order of any Court of Law or any competent authority and the premises where I am/we are conducting the said business is free from violation of any Act, Rules, Order of any Court of Law or any Competent Authority.

I/We hereby declare that the information provided above is true and correct to the best of my/our personal knowledge, information and belief. I am/we are fully aware about the consequences of giving false information. If the information is found to be false, I/We shall be liable for prosecution and punishment under the Indian Penal Code (45 of 1860) and /or any other law applicable thereto.

I/We have obtained necessary licenses, permissions, permit for the conduct of this business and the place of business from the appropriate Authority.

I/We shall be responsible and liable for legal action if the business is conducted without proper license, permission and permit from the appropriate Authority.

I/We submit and declare that I/we will not undertake any illegal activity or any business prohibited in law in force in India.

I/We declare that the place of business is not located in any area wherein commencing/running of such business is prohibited by any law or order of any Competent Authority.

I/We hereby declare that the copies attested by me are true copies of original documents. I am/we are well aware of the fact that if the copies are found false/forged, I shall be liable for prosecution and punishment under the Indian Penal Code (45 of 1860) and/or any other law applicable thereto.

I/We undertake to abide by the provisions of the Uttarakhand Shops and Establishment (Regulation of Employment and Conditions of Service) Act, 2017 (3 of 2017) and the Rules and Orders passed thereunder by any Authority.

Date :

Place :

Name and Signature of Applicant

Government
Emblem

Form- 'B'

(See rule 5 (1))

REGISTRATION CERTIFICATE

Barcode

1.	Registration Number	:-	
2.	Name of the Establishment	:-	
3.	This certificate is issued based on the application and the uploaded Self-Certified documents and declaration given by the applicant, without physical verification of the existence of establishment, the nature of business carried out and the details mentioned in the application. This is just a certificate of registration and does not give any right to property or possession or title of the rights of the premises or property.		
4.	Date of commencement of business	:-	
5.	Period of registration	:-	
6.	Name of the Employer	:-	
7.	Nature of Business	:-	
8.	Address of Establishment	:-	
9.	Details of Manpower/workers	Men	Women
	No. of Workers	:-	
	No. of apprentices under the Apprentices Act, 1961 (52 of 1961)	:-	
	No. of contract labour	:-	
	No. of part time workers	:-	
	Total	:-	

It is hereby certified that the above establishment has been registered under the Uttarakhand Shops and Establishment (Regulation of Employment and Conditions of Service) Act, 2017 (Uttara..... of 2017) on this.....day of20.....as shop/establishment/eating house/residential hotel/theatre or other places of public amusement or entertainment and other establishment.

Date :

Place :

Name & Signature of Facilitator
Office Address

Date of Expiry	Application Id No.

Form-'C'

(See rule 5(1))

REGISTER OF ESTABLISHMENT

Sr. No.	Registration Certificate No. with Date	Name and Address of the Establishment	Name and residential address of the Employer	Name and residential address of the Authorised Person and Manager	Whether establishment falls under public/private sector	Situation of office, showroom, godown, warehouse or workplace, if any, attached to a establishment but situated in premises different from those of the establishment
1	2	3	4	5	6	7

Date of Commencement of business	Nature of business	No. of family members of employer employed in the establishment (Men/Women)	No. of other persons occupying position of management or persons engaged in confidential capacity	Total No. of workers (including part-time workers)	Application ID No.	Remarks, if any
8	9	10	11	12	13	14

Form- 'D'

(See rule-6)

APPLICATION FOR INTIMATION

Employer
Photo

1.	Name of the Establishment	:-		
2.	Previous details of establishment	:-		
	In case of online Certificate	:-		
	(i) Registration No.			
	(ii) Application ID No.	:-		
3.	In case of Manual Certificate Registration	:-		
4.	Address and situation of the Establishment	:-		
5.	Date of Commencement of Business	:-		
6.	Nature of Business	:-		
	Whether establishment falls under Public Sector or Private Sector	:-		Public/Private
	Note-(a) Establishment in public sector means an establishment owned or managed by (i) the Government or Department of the Government, (ii) a Government Company as defined in clause (45) of section 2 of the Companies Act, 2013 (18 of 2013), (iii) a Corporation (including co-operative society) established by or under any Central Act or State Act which is owned, controlled and managed by the Government, (iv) a Local Authority. (b) Establishment in private sector means an establishment which is not an establishment in public sector.			
7	Details of Manpower/workers		Men	Women
	No. of workers			
	No. of apprentices under the Apprentices Act, 1961 (5 of 1961)			
	No. of contract labour			
	No. of part time workers			
	Total			
8.	Name of Employer			
	Residential Address of the Employer			
	Status/Designation			
	Mobile No. and e-mail ID			
	Aadhar Card No. (upload copy)			
9-	Name, Address, Mobile No. and E-mail ID of the Manager (if any)			

10.	(a) Category of Establishment i.e. Shop/Establishment/Residential Hotel/Restaurant/Theatre/Other places of public amusement or entertainment and other establishment	:-													
	(b) Type of organization i.e. Proprietor, Partnership, LLP, Company/Trust/Co-operative Society/Board														
11.	Name of the members of employer's family employed in the establishment	:-	<table border="1"> <tr> <th>Name of the persons</th> <th>Relation</th> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td colspan="2" style="text-align: center;">Total</td> </tr> </table>	Name of the persons	Relation									Total	
Name of the persons	Relation														
Total															

Self – Declaration

I/We hereby solemnly affirm and state that the business which I/we have started is not banned or prohibited by any Act, Rules, Law or Order of any Court of Law or any competent authority and the premises where I am/we are conducting the said business is free from violation of any Act, Rules, Order of any Court of Law or any Competent Authority.

I/We hereby declare that the information provided above is true and correct to the best of my/our personal knowledge, information and belief. I am/we are fully aware about the consequences of giving false information. If the information is found to be false, I/We shall be liable for prosecution and punishment under the Indian Penal Code (45 of 1860) and /or any other law applicable thereto.

I/We have obtained necessary licenses, permissions, permit for the conduct of this business and the place of business from the appropriate Authority.

I/We shall be responsible and liable for legal action if the business is conducted without proper license, permission and permit from the appropriate Authority.

I/We submit and declare that I/we will not undertake any illegal activity or any business prohibited in law in force in India.

I/We declare that the place of business is not located in any area wherein commencing/running of such business is prohibited by any law or order of any Competent Authority.

I/We hereby declare that the copies attested by me are true copies of original documents. I am/we are well aware of the fact that if the copies are found false/forged, I shall be liable for prosecution and punishment under the Indian Penal Code (45 of 1860) and/or any other law applicable thereto.

I/We undertake to abide by the provisions of the Uttarakhand Act and the Rules and Orders passed thereunder by any Authority.

Date :

Place :

Name and Signature of Applicant

Watermark

Form-E

Barcode

(See rule 7)

INTIMATION RECEIPT

The employer has intimated the following details for having commenced the Business in Form D to this office. The details thereof are as follows:-

1.	Receipt Number	:-	
2.	Application Id number	:-	
3.	Name of the Establishment	:-	
4.	Total No. of Workers	:-	
5.	a) Name of the Employer	:-	
	b) Address of the Establishment	:-	
	c) Registered Office Address of the Establishment (if any)	:-	
6.	This is just an acknowledgement of the intimation application and not a proof of existence of the business and the place of business as mentioned in the Intimation application. It shall be the responsibility of the employer to obtain all the prior and post permission, permit, licenses mandatory for the conduct of the said business and for the place of business from the concerned authority.		
7.	Nature of Business	:-	
8.	Old Registration No. and Date, if applicable	:-	

Note :- This is an electronically generated receipt, hence does not required signature.

Date :

Place :

Office Address

Form-F

(See rule7)

REGISTER OF ESTABLISHMENT WHO HAVE GIVEN INTIMATION

(For Establishment engaging less than ten workers)

Sr. No.	Intimation Receipt No. with date	Name and Address of the Establishment	Name and residential address of the Employer	Name and residential address of the Authorised Person and Manager	Whether establishment falls under public/private sector
1	2	3	4	5	6

Situation of office, showroom, godown, warehouse or workplace, if any, attached to the establishment but situated in premises different from those of the establishment	Date of Commencement of business	Nature of the business	No. of family members of employer employed in the establishment (Men/Women)	Total No. of Workers (Including part time workers)
7	8	9	10	11

Form-G

(See rule8)

NOTICE OF CHANGE

To,

The Facilitator,
Office Address.

Subject :- Request to make the changes in the registration certificate No.....as mentioned below.

Dear Sir,

It is to inform you that I/We wish to make following changes in the Registration Certificate as per details mentioned below:-

Details.

1.	Name of the employer	:-	
2.	Aadhar card no. of the employer.	:-	
3.	Registration Certificate No./Intimation Receipt No.	:-	
4.	The following change shall be made in the registration certificate :-		
		Existing details	Change to be made
	(a) Name of the Establishment	:-	
	(b) Name of the employer/applicant	:-	
	(c) Nature of Business	:-	
	(d) Address of place of the establishment	:-	
	(e) Manpower Details	Change the figure in manpower as follows.	
		Men	Women
		Existing	New
		Existing	New
		Existing	New
	(f) Any other details to be changed	:-	

Self-Declaration

I/We hereby solemnly affirm and state that the business which I/we have started is not banned or prohibited by any Act, Rules, Law or Order of any Court of Law or any competent authority and the premises where I am/we are conducting the said business is free from violation of any Act, Rules, Order of any Court of Law or any Competent Authority.

I/We hereby declare that the information provided above is true and correct to the best of my/our personal knowledge, information and belief. I am/we are fully aware about the consequences of giving false information. If the information is found to be false, I/We shall be liable for prosecution and punishment under the Indian Penal Code (45 of 1860) and /or any other law applicable thereto.

I/We have obtained necessary licenses, permissions, permit for the conduct of this business and the place of business from the appropriate Authority.

I/We shall be responsible and liable for legal action if the business is conducted without proper license, permission and permit from the appropriate Authority.

I/We submit and declare that I/we will not undertake any illegal activity or any business prohibited in law in force in India.

I/We declare that the place of business is not located in any area wherein commencing/running of such business is prohibited by any law or order of any Competent Authority.

I/We hereby declare that the copies attested by me are true copies of original documents. I am/we are well aware of the fact that if the copies are found false/forged, I shall be liable for prosecution and punishment under the Indian Penal Code (45 of 1860) and/or any other law applicable thereto.

I/We undertake to abide by the provisions of the Uttarakhand Act and the Rules and Orders passed thereunder by any Authority.

Date :

Place :

Name and Signature of Applicant

Form-H
(See rule 9 (1))

INTIMATION OF CLOSING OF BUSINESS

(For Establishment engaging more than ten workers)

To,

The Facilitator,
Office Address.

Subject :- Closing of business and removal of the name of Establishment from the Register.

Dear Sir,

I/We wish to inform you that I/We have permanently closed all the business of the establishment as per the details mentioned below:-

I/We request you to cancel our Registration number and remove the name of our establishment from your records.

Details of Establishment

1.	Registration Certificate no.	:-			
2.	Name of the Establishment	:-			
3.	Address of place of establishment	:-			
4.	Registered/principal office address, if any.	:-			
5.	Type of organization	:-	Proprietor,	Partnership,	LLP,
			Company/Trust/Society/Board		
6.	(A) Category of business (B) Nature of business	:-			
7.	Name and residential address of the Proprietor	:-			
8.	Details of the Partner/Director/Trust/Board Member/Member	:-			
9.	Name and residential address of Authorized persons, if any,	:-	Name and e-mail	Aadhar Card No.	Mobile No.
10.	Name and residential address of Manager, if any	:-	Name and e-mail	Aadhar Card No.	Mobile No.
11.	Manpower Details	:-	Men	Women	Total
12.	Date of closing of business	:-			
13.	Reasons for closing of business	:-			

Self-Declaration

I/We hereby solemnly affirm and state that the business which I/we had started was not banned or prohibited by any Act, Rules, Law or Order of any Court of Law or any competent authority and the premises where I was/we were conducting the said business was free from violation of any Act, Rules, Order of any Court of Law or any Competent Authority.

I/We hereby declare that the information provided above is true and correct to the best of my/our personal knowledge, information and belief. I am/we are fully aware about the consequences of giving false information. If the information is found to be false, I/We shall be liable for prosecution and punishment under the Indian Penal Code (45 of 1860) and /or any other law applicable thereto.

Date :

Place :

Name and Signature of Applicant

Form-I

(See rule 9 (2))

INTIMATION OF CLOSING OF BUSINESS

(For Establishment engaging less than ten workers)

To,

The Facilitator,
Office Address.

Subject :- Closing of business and removal of the name of Establishment from the Register.

Dear Sir,

I/We wish to inform you that I/We have permanently closed all the business of the establishment as per the details mentioned below:-

I/We request you to remove the name of our establishment from your register.

Details of Establishment

1.	Intimation Receipt no.	:-			
2.	Name of the Establishment	:-			
3.	Address of place of establishment	:-			
4.	Registered/principal office address, if any.	:-			
5.	Type of organization	:-	Proprietor, Partnership, LLP, Company/Trust/Society/Board		
6.	(A) Category of business (B) Nature of business	:-			
7.	Name and residential address of the Proprietor	:-			
8.	Details of the Partner/Director/Trust/Board Member/Member	:-			
9.	Name and residential address of Authorized persons, if any,	:-	Name and e-mail	Aadhar Card No.	Mobile No.
10.	Name and residential address of Manager, if any		Name and e-mail	Aadhar Card No.	Mobile No.
11.	Manpower Details	:-	Men	Women	Total
12.	Date of closing of business	:-			
13.	Reasons for closing of business	:-			

Form-K

(See rule 14)

NOTICE OF HOURS OF WORK, REST-INTERVAL, WEEKLY HOLIDAY

Name and address of the Establishment :

Name of the Manager/Authorised representative :

All the workers in the establishment are hereby informed that the hours of work, rest-interval and weekly holiday of each workers is given below :-

Sr. No.	Name of worker	Designation	Hours of Work from..... to.....	Rest- interval from..... to.....	Day of weekly holiday
(1)	(2)	(3)	(4)	(5)	(6)
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					

Date :

Place :

Signature of the Manager or Authorised representative

Form-N

(See rule 19)

NOTICE OF MAXIMUM LEAVE ACCUMULATED

Name and address of the establishment.

Name of the Authorised person/Manager.

To,

Shri/Smt.....(Name of workers)

Address :.....

.....

It is hereby informed that as per section 11(4) of the Uttarakhand Shops and Establishment (Regulation of Employment and Conditions of Service) Act, 2017 the maximum leave that can be accumulated is for 45 days. Maximum leave of 45 days has been accumulated at your credit. Hence, no further leave due to you, but not availed by you will not be accumulated and it shall lapse, if unavailed.

Details of the leave accumulated.

Sr. No.	Number of accumulated leave	Period for which leave is accumulated	
		From	Till

Date :

Place :

Name and Signature of Authorised
Person/Manager.

I/We am/are aware that if we failed to pay the fine in stipulated time we will be liable for additional fine as per the provisions of the Act and prosecution may also be launched against us in the Court of Law.

Date :

Name and Signature of the Proprietor/
Partner/Director or Authorised Representative

Place :

Name and Address of the Establishment with Seal.

FORM - R

(See rule 28)

DETAILS OF PERSONS DISCHARGING MANAGERIAL FUNCTIONS

Name and address of the Establishment/Organisation :

E-mail ID/ Website Address :

Name of Authorised person/manager :

E-mail ID :

The Management hereby declares the following persons to be the persons who will be engaged to conduct managerial functions and shall be responsible for discharging managerial functions in the establishment.

Sr. No.	Name of the person	Designation	Brief Nature of Duties

Date :

Place :

Signature of the Manager/Authorised Person.

CC to- Facilitator

FORM -S

(See rule 29)

DETAILS OF PERSONS OCCUPYING POSITION OF CONFIDENTIAL CHARACTER

Name of the Establishment/Organisation :

E-mail ID/Website Address :

Name of Authorised person/manager :

E-mail ID :

The Management hereby declares the following persons to be the persons who will be engaged in and shall be responsible for discharging work of confidential Nature relating to the Business of the Establishment.

Sr. No.	Name of the person.

Date :

Place :

Signature of the Manager/Authorised Person with Seal

CC to -Facilitator

SCHEDULE

(See rules 3)

LIST OF DOCUMENTS TO BE UPLOADED

PART-A

- (A) Documents to be uploaded for Registration (Form A) :-
- (1) Adhar card of the employer (in case of legal statute such as company etc. copy of Adhar card of responsible person under the respective act.)
 - (2) Actual photo of the establishment displaying the interior and the Name Board at the appropriate place of the establishment.
 - (3) Copy of the License, Registration which is mandatory under any other law from competent authority before starting of such business.
 - (4) In case of business conducted in owned premises any one of the following :-
 - (i) Sale/Purchase Deed
 - (ii) Current Property Tax paid Receipt
 - (iii) Current Electricity Bill
 - (iv) Current Society Maintenance Receipt
 - (5) In case of business conducted in rental/leased premises any one of the following documents:-
 - (i) Lease Agreement
 - (ii) Leave and License Agreement
 - (iii) In case where the possession is held by way of any other order of the court or order of any competent authority, copy of such order. And
 - (iv) Any one document mentioned at Sr. No. 4 with respect to the owner of the establishment whose premises is rented or leased.
 - (6) If the place of business is owned or leased or rented by any member of family or relative No objection letter from such member or relative.
 - (7) If the place of business is situated in any residential housing society No objection certificate from the residential society or any such authority responsible for its maintenance.
 - (8) All such documents wherever mentioned in the forms.

PART-B

(See rule 6)

- (B) List of documents to be uploaded for intimation (Form D) :-
- (1) Adhar card of the employer (in case of legal statute such as company, etc. copy of Adhar card of responsible person under the respective act.)
 - (2) Actual photo of the establishment displaying the interior and the Name Board at the appropriate place of the establishment.

PART-C

(See rule 8)

- (C) List of documents to be uploaded for Notice of Change (Form G):-
- (1) Adhar card of the employer (in case of legal statute such as company, etc. copy of Adhar card of responsible person under the respective act.)
 - (2) Actual photo of the establishment displaying the interior and the Name Board at the appropriate place of the establishment.
 - (3) Old registration certificate.
 - (4) Copy of the License, Registration which is mandatory under any other law from competent authority before starting of such business.
 - (5) In case of business conducted in owned premises any one of the following :-
 - (i) Sale/Purchase Deed
 - (ii) Current Property Tax paid Receipt
 - (iii) Current Electricity Bill
 - (iv) Current Society Maintenance Receipt
 - (6) In case of business conducted in rental/leased premises any one of the following documents :-
 - (i) Lease Agreement
 - (ii) Leave and License Agreement
 - (iii) In case where the possession is held by way of any other order of the Court or order of any competent authority, copy of such order. And
 - (iv) Any one document mentioned at Sr. No. 5 with respect of the owner of the Establishment whose premise is rented or leased.
 - (7) If the place of business is owned or leased or rented by any member of family or relative No objection letter from such member or relative.
 - (8) If the place of business is situated in any residential housing society No objection certificate from the residential society or any such authority responsible for its maintenance.
 - (9) All such documents as mentioned wherever in the forms.

By order and in the name of the Governor of Uttarakhand.

By Order,

R. MEENAKSHI SUNDARAM,
Secretary.