



कर्मचारी भविष्य निधि संगठन
EMPLOYEES' PROVIDENT FUND ORGANISATION
धर्म सदन राजगंधार मंत्रालय, भारत सरकार
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WEB CIRCULATION ONLY

Central Analysis & Intelligence Unit
(CAIU)

No. CAIU/SOP/2022/(E-47416)/2818

Date: **31 JUL 2023**

To,

All ACC(HQ)/ACC (Zones)
All RPFC-I/RPFC-II/APFC In-charge of Field Offices

Sub: - Standard Operating Procedure (SOP) for Inspection of Establishments-reg.

Ref: - 1) HO letter no. CAIU/SOP/2022/17206 dated 21.03.2023
2) HO No. CAIU/011(5)2016/Inspection/20509 dated 27/02/2018

Sir / Madam,

Please refer to HO letter no. CAIU/SOP/2022/17206 dated 21.03.2023, wherein approved Standard Operating Procedure (SOP) for Inspection of Establishments was shared for ready reference and necessary preparatory activities. It was also stated that the date of effectiveness for the SOP will be communicated in due course.

2. The development of IT Tools for complete implementation of the SOP is under process and the automated system is being operationalised in stages. However, the processes of SOP can be implemented within existing framework using already available tools. The SOP, thus, is made effective from 01-August-2023.

3. The mechanism for implementation to be adopted, using already available tools, is listed as follows:

Para No. of SOP	Tasks to be done	Responsibility
4.1 (Periodic Desk Review)	<p>i. Each field office shall undertake a Desk Review of all the establishments (which are not marked as "closed") within their jurisdiction, at least once in a year.</p> <p>ii. Each field office will undertake Desk Review with the following selection-cum-prioritization criteria:</p> <p>a. All establishments starting from Oldest Registration Code (<i>Establishment Master sorted in ascending order of Establishment PF Code</i>).</p>	OIC of Field Office.

	<p>b. Physical inspection will be assigned to EO only where nudging has been completed and desk review has been undertaken.</p> <p>iii. The report format as per <i>Annexure-I</i> of this Circular would be used for Periodic Desk Review Report which would be recorded in compliance e-file of the establishment for further necessary action. It is also desirable that each desk review compares monthly report of at least 14 month period to examine variations in membership and contribution. Idea is to develop a time-series report in each establishment file with each desk review.</p> <p>iv. Part-A of the Desk Review Report is available on MIS Portal as a system generated Report. (<i>MIS Desk review report work flow enclosed</i>)</p> <p>v. Part B of the Desk Review Report contains fields which have to be manually recorded in the format in e-file.</p> <p>vi. In respect of establishments where insufficient data is found in system/office records, triangulation with readily available data of other agencies (eg. Websites of ESIC/GSTN/MCA/etc.) may be undertaken in order to ascertain the present activity status (eg. defaulter/closed/inactive) of such establishments.</p> <p>vii. Any findings in the Periodic Desk Review of establishments, deemed fit for carrying out inspection of the establishment after approval of the RPFC-I/OIC, should be regulated as per the existing mechanism of CAIU portal and this SOP for permission from the respective Zonal Office.</p>	<p>EO to refer Desk Review Report before proceeding for Inspection.</p>
<p>4.2 (Periodic Desk Review)</p>	<p>Relevant SSA/SSSA, entrusted with Periodic Desk Review task, to review at least 40 establishments per month and submit review report through e-office.</p>	<p>OIC of Field Office</p>
<p>5.2 (Nudge and Watch)</p>	<p>A. Nudge and Watch:</p> <p>i. To make Priority Matrix available to IS Division for identification of establishments.</p>	<p>CAIU (HO)</p>

	<p>B. Nudge and Watch:</p> <ol style="list-style-type: none"> i. Providing office wise list of defaulting establishments as per priority matrix to CAIU. ii. Weekly SMS & e-mail alerts to all defaulting establishment and owner/employer during Nudging Phase as per Priority Matrix. iii. SMS alert to all members whose contribution is not deposited by due date. 	IS Division
	<p>C. Nudge and Watch:</p> <ol style="list-style-type: none"> i. To include any response of the establishment during this phase in the Desk Review Report and compliance e-file of the establishment. 	Field Office
5.4 (Physical Inspection)	<p>After conclusion of Nudging Phase, IS Division to provide following list to CAIU:</p> <ol style="list-style-type: none"> i. List of establishments as per Priority Matrix (Key List I) and limited to the Regional Office capacity for undertaking Inspections in that month. The list will exclude those names that have complied during the nudging phase. ii. Remaining defaulter list (Key List II) for the respective wage month for information and further analysis. 	IS Division
	Uploading Key List I on SSP after nudging phase ends.	CAIU(HO)
	<p>Physical Inspection:</p> <ol style="list-style-type: none"> i. On every first working day of the week, Regional Head (on SSP) will identify number of Inspectors available for Inspections that week. Regional Head will thereafter select this number on SSP, which in turn will generate the list of establishments for Inspections. These establishments will then be allocated one each to the available EOs. Wherever necessary, Regional Head may allot it to a Squad also. ii. Once inspection is assigned, EO should complete the Inspection within 5 working days from the start date of inspection and upload its report within next 48 hours on 	Field Office

	<p>SSP.</p> <p>iii. The process will be repeated each week.</p> <p>iv. In case, Inspection has not been undertaken or the report has not been submitted in time in that week, Circle Officer will get the reasons and comments recorded in the file.</p> <p>v. Inspection Report Format as in <i>Annexure-C</i> of SOP for Inspection of Establishments to be filled by the EO for submitting Inspection Report.</p> <p>vi. e-SCN to be sent on the registered email ID of establishment.</p>	
<p>5.5 (Inspection Report and follow up action)</p>	<p>Inspection Report and follow up action:</p> <p>i. Sending Inspection Report electronically to the establishment and its owner / employer on the registered email address.</p> <p>ii. Inspection report to be put up in establishment e-file by the Dealing Assistant within 3 working days for necessary action of the Circle Officer. The Circle Officer will examine the report and record necessary directions/actions on the e-file within 5 working days.</p> <p>iii. To record any response received from the establishment in compliance e-file and further necessary action.</p> <p>iv. In case of non-production of records, Para 5.5(ii) of SOP should be followed.</p>	Field Office
<p>6.1 & 6.2 (Priority Matrix)</p>	To obtain recommendations of the Committee on Priority Matrix and prioritization criteria.	CAIU(HO)
<p>6.3 B (Non-ECR Category)</p>	Inspections in respect of Non-ECR Category parameters as listed under Para 6.3B of SOP to continue as per existing mechanism of CAIU portal.	CAIU(HO), CAIU(ZO) and Field Office
<p>8 (Monitoring Mechanism)</p>	To monitor the inspections from SSP dashboard.	CAIU(HO), CAIU(ZO) and OIC of Field Office

4. Accordingly, the Circular No. *HO No. CAIU/011(5)2016/Inspection/20509 dated 27/02/2018* stands withdrawn with immediate effect.

5. It is requested to follow the above-mentioned processes of SOP, which will be carried out within the existing framework using a hybrid of already available tools.

6. Till this SOP gets institutionalized, OIC of RO/DO, Zonal Heads and ACC (CAIU,HO) will monitor it on a weekly basis at respective level. This monitoring report on implementation, progress and challenges will be forwarded to ACC (HQ), CAIU.

7. Any difficulty faced by Field Offices shall be informed to Zonal Office for onward transmission to HO with their comments and proposed solutions.

(This issues with the approval of Central PF Commissioner)

*Encl: 1. Approved SOP for Inspection of Establishments
2. Annexure-I (Periodic Desk Review Report format)
3. MIS Desk review report workflow*

Yours faithfully,


31/7/23
(Abhay Ranjan)

Additional Central PF Commissioner

Copy for information to:

1. PS to CPFC
2. PS to FA & CAO/ACC(HQ) IS / CVO
3. PS to All ACC(HQ)/ACCs at Head Office
4. Director, PDUNASS/RPFCs in-charge of ZTI's
5. ACC(IS): for necessary action
6. DD(OL): for providing Hindi version
7. RPFC-I, NDC: with request to upload on official website
8. All Officers at Head Office
9. Guard file