Dated 31.01.2011

My dear Regional Director,

As you are aware we have to determine the no. of Insured Persons as on 31.3.2011 at the beginning of the financial year 2011-12. I would, therefore, like to inform you that the procedure for assessment of number of Insured Persons has been modified. Unlike the procedure followed in the past, September of the year has been replaced by March as the base month for assessment. Accordingly, you are advised to furnish the number of IPs as on 31.3.2011 based on RC for CP ending March, 2011.

The figures of IPs should be got checked and verified by the Jt./Dy. Director (Finance) and his certificate appended in the statement. The supporting records in the form of registers be maintained so that checking and verification becomes easy. The requisite material may please be passed on for verification to the Jt./Dy. Director (Finance) well in time. I am therefore to request you to forward Annexure-I and II duly certified by Jt. Director (Finance)/Dy. Director (Finance) to Jt. Director (Actuarial) at Hqrs. Office by 30th June, 2011 positively.

Since, the March, 2011 RC data occupy most important parameter, you are requested to sensitize Employers and Trade Unions by giving wide publicity through advertisements, seminars etc. to submit the said RC within scheduled date by 12.5.2011 and that too similarly all particulars of IPs as available in RC return so that no IP otherwise eligible, miss benefit due to him/her.

Please acknowledge the receipt of this D.O. letter.

With best wishes

Yours sincerely,

Encl:- As above.

To
Shri
Regional Office/Sub-Regional Office,
My dear Regional Director,

As you are aware we have to determine the no. of Insured Persons as on 31.3.2011 at the beginning of the financial year 2011-12. I would, therefore, like to inform you that the procedure for assessment of number of Insured Persons has been modified. Unlike the procedure followed in the past, September of the year has been replaced by March as the base month for assessment. Accordingly, you are advised to furnish the number of IPs as on 31.3.2011 based on RC for CP ending March, 2011.

The figures of IPs should be got checked and verified by the Jt./Dy. Director (Finance) and his certificate appended in the statement. The supporting records in the form of registers be maintained so that checking and verification becomes easy. The requisite material may please be passed on for verification to the Jt./Dy. Director (Finance) well in time. I am therefore to request you to forward Annexure-I and II duly certified by Jt. Director (Finance)/Dy. Director (Finance) to Jt. Director (Actuarial) at Hqrs. Office by 30th June, 2011 positively.

Since, the March, 2011 RC data occupy most important parameter, you are requested to sensitize Employers and Trade Unions by giving wide publicity through advertisements, seminars etc. to submit the said RC within scheduled date by 12.5.2011 and that too similarly all particulars of IPs as available in RC return so that no IP otherwise eligible, miss benefit due to him/her.

Please acknowledge the receipt of this D.O. letter.

With best wishes

Yours sincerely,

(B.K. Sahu)

Encl:- As above.

To
Shri
Regional Office/Sub-Regional Office,

Copy to:-
1. F.C./M.C.
2. Jt. Director (Finance)/Dy. Director (Finance) with a request to contact the Regional Director /Jt. Director I/c of SRO in the matter and verify the data required for assessment of number of insured persons as on 31.3.2011 at the earliest. An intimation on verification of figures may please be forwarded to Actuarial Branch at Hqrs. Office by 30.6.2011.

(H.C. Sharma)
Director (Actuarial)
ANNEXURE-I

Proforma for assessment of No. of Insured Persons as on 31-3-2011

STATE/REGION

No. of Insured Persons eligible for Medical Benefit as on 31-3-2011

i) No. of I.Ps. eligible for Medical Benefit on the basis of ESIC 38 register after taking action in respect of R.Cs for contribution period ending March 2011.

(a) E:-

(b) S:-

Total

ii) No. of I.Ps. in r/o those defaulting units who neither submitted return of contribution for the period ending March 2010 nor for contribution period ending September 2010 but were inspected during the year 2010-11 (The figure may be given from the Inspection Reports)

iii) No. of I.Ps. in r/o those defaulting units which have not submitted return of contribution for the period ending March 2010 and were also not inspected during the year 2010-11.

1. (The figure of I.Ps. may be taken from the last R.C., out of the R.Cs. for the period ending 9/2009 or 3/2009, if submitted and provided contribution has been paid from April’ 10 to Sept.’ 10).

iv) No. of I.Ps. in the units closed during the year 2010-11 in respect of whom R.C. for contribution period ending March 2011 not received & subsequent closure of units thereafter.

(The figure may be taken from the latest I.R. or R.C. received for the period not prior to contribution period ended on 3/2010).

v) No. of disabled and retired I.Ps. as per register for medical benefit under Rules 60 and 61.

vi) No. of I.Ps. entitled to Medical Benefit as on 31.3.2011 but not included in any of the items (i) to (iv) above with a note indicating their eligibility.

(This figure will be in respect of those IPs who are entitled for Medical Benefit on the basis of ESIC – 48, ESIC 50 & ESIC 51 etc.)

vii) Total of Column

[ (i)+(ii)+(iii)+(iv)+(v)+(vi) ]

Signature of Regional Director

Signature of Joint Director/Dy. Director

CERTIFICATE

It is certified that No. of I.Ps under above mentioned heads have been verified from records maintained by the Regional Office & found correct.
ANNEXURE - II
(No. of I.P's)

STATE/REGION ________________

Details of employer with reference to the statement of number of Insured persons as on 31.3.2011

1. No. of employers who submitted R.Cs for the C.P.E. March, 11 out of, ____________ (No. of employers as on 31.3.10)

2. No. of employers covered during Sept. 2010 to March 2011

3. No. of employers involved against the figure shown at item No. (i) of Annexure-I

4. No. of employers involved against figure shown at item No. (iii) of Annexure-I

5. No. of employers involved against figure shown at item No. (iv) of Annexure-I

Signature of Regional Director
Joint Director (Incharge)

Certificate of Joint Director (Finance)/
Dy,. Director (Finance)
Dated 31.01.2011

My dear Regional Director,

I hope you are aware that we have to assess the number of employees in implemented areas as on 31-3-2011. The data are, therefore, required from the field offices based on number of employees as per RCs for the contribution period ending March 2011 employees in defaulting units and number of employees who became disentitled for medical benefit. You are also aware that data received from the field office form the basis for a number of issues, so the accuracy and adequacy ought not to be compromised. I am sure you will accord paramount importance to these aspects while furnishing the data to Hqrs. Office.

The data in respect of number of employees be furnished in Annexure-I in accordance with the instructions contained in Annexure-II. Since the data are required to be verified by the Jt. Director/Dy. Director (Fin.), it is essential to furnish the material to him well in time.

Further, the employees in respect of units where the court cases, if any, challenging the coverage of unit, the number of employees in respect of such cases may not be included in the statement. However, a separate statement of such employees may please be enclosed with Annexure-I.

The delay in assessment of number of employees leads to a number of difficulties while deciding important matters. I would, therefore, request you to please ensure that the required data, duly verified by Jt. Director/Dy. Director (Fin.) furnished to Director (Actuarial) latest by 30-06-2011 positively.

Please acknowledge the receipt of this DO letter.

With Best Wishes

Encl: as above.

Yours Sincerely,

(B. K. SAHU)

To
Sh.
Regional Office/ Sub-Regional Office,
My dear Regional Director,

I hope you are aware that we have to assess the number of employees in implemented areas as on 31-3-2011. The data are, therefore, required from the field offices based on number of employees as per RCs for the contribution period ending March 2011 employees in defaulting units and number of employees who became disentitled for medical benefit. You are also aware that data received from the field office form the basis for a number of issues, so the accuracy and adequacy ought not to be compromised. I am sure you will accord paramount importance to these aspects while furnishing the data to Hqrs. Office.

The data in respect of number of employees be furnished in Annexure-I in accordance with the instructions contained in Annexure-II. Since the data are required to be verified by the Jt. Director/Dy. Director (Fin.), it is essential to furnish the material to him well in time.

Further, the employees in respect of units where the court cases, if any, challenging the coverage of unit, the number of employees in respect of such cases may not be included in the statement. However, a separate statement of such employees may please be enclosed with Annexure-I.

The delay in assessment of number of employees leads to a number of difficulties while deciding important matters. I would, therefore, request you to please ensure that the required data, duly verified by Jt. Director/Dy. Director (Fin.) furnished to Director (Actuarial) latest by 30-06-2011 positively.

Please acknowledge the receipt of this DO letter.

With Best Wishes

Yours Sincerely,

(B. K. SAHU)

To
Sh.
Regional Office/ Sub-Regional Office

Copy to:
1.F.C/M.C.
2.Jt. Director(Finance)/Dy. Director(Finance) with a request to contact the Regional Director/Jt. Director Incharge of SRO in the matter and verify the data in respect of number of employees as on 31-3-2011 at the earliest. An intimation to this effect may please be forwarded to the undersigned by 30-6-2011.

[H. C. SHARMA]
DIRECTOR (ACTL.)
## IMPLEMENTED AREAS

**ANNEXURE-I**

Enclosure to DO No. H-14/13/1/2011-Actl. Dated ____________

**ASSESSMENT OF CENTRE-WISE NUMBER OF EMPLOYEES AS ON 31.3.2011**

<table>
<thead>
<tr>
<th>Sl. No</th>
<th>Centre/ Sub-Centre</th>
<th>No. of Employees as per Return of Contribuition for the period ending March 2011 (only those employees who have been allotted insurance No. are to be taken into account.)</th>
<th>No. of Employees in Defaulting Units</th>
<th>No. of Employees debarred out of employees shown in Column No. (3) i.e. 'X' cases</th>
<th>Net No. of Employees as per RC &amp; others (3)+(4)+(5)-(6)</th>
<th>No. of Insured Persons as on 31.3.2011 (7)</th>
<th>No. of Employees as on 31.3.2011 [- No. of Employees as on 31.3.2011 + new coverage due to Implementat ion during 2010-11] (10)</th>
<th>No. of Employees as on 31-3-2011 Recommended for approval of the Director General (12)</th>
<th>Remarks (13)</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1)</td>
<td>(2)</td>
<td>[In respect of which R.C.s for CP ending March 2011 not received but inspection conducted during the year 2009-2010]</td>
<td>[In respect of which neither R.C. received for CPE March 2011 nor inspection conducted during the year 2010-2011]</td>
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<td>(3)</td>
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<tr>
<td>(13)</td>
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<td></td>
</tr>
</tbody>
</table>

### Notes:
- Only the No. of Employees coverable under ESI Act as per Inspection Reports to be taken. Employees of the factory who are not cover-able should not be taken.
- (Signature of R.D.)

### Date

---

**CERTIFICATE**

Certified that figures under coin. No. (3) to (9) have been checked thoroughly from records mentioned at R.O. & found correct.

( Signature of A/cs officer)

Date ____________

---
Instructions for filling up the proforma for assessment of centre-wise number of employees in implemented areas as on 31st March, 2011 (Annexure-I)

1. Column-wise instructions

Col. No. (2)

All those centres/sub-centres where the benefit provision of the scheme have been extended upto 31st March, 2011 should be entered in this column. The centres where the Scheme has been implemented after 31st March 2011 should not be included as the same is included in the statement for non-implemented areas as on 31st March -2011. The separate data should be furnished in respect of each centre and sub-centre.

Col No. (3)

Actual number of employees, who have been allotted insurance numbers & whose names have included in the Return of Contribution for the period ending March, 2011 entered under this column.

Col. No. (4)

The number of employees in the defaulting units in respect of which Return of Contribution for contribution period ending March, 2011 have not been received but inspections have been conducted during the year 2010-11, are to be given under this Column. Figures of covered/cover-able employees as indicated in inspection reports are to be taken into consideration for reporting the figures under this column.

Col. No. (5)

Number of employees of the defaulting units in respect of which Returns of Contribution for the contribution period ending March, 2011 have not been received and the units were also not inspected during the year 2010-11 is to be given under this column. This figure may only be taken from the latest RCs, out of the R.Cs for contribution period ended on March 2010 or Sept 2010, if received and provided contribution has been received from April' 10 to Sept.' 10. A register may be maintained to record data collected in respect of the defaulting units for purpose of the audit.

Col. No. (6)

No. of employees debarred i.e. ‘X’ cases only for the contribution period ending Sept., 2010 may be indicated here.
Col. No. (7)
Self explanatory.

Col. No. (8)

This column will indicate the centre-wise No. of Insured Persons as on 31-3-2011. Total of this column should tally with the total Number of I.Ps as on 31.3.2011 furnished in reply to this office DO letter of even number dated . **It is to noted that No. of I.Ps as on date should be more than or equal to the No. of employees on that day in respect of every centre. Accordingly figures under col. (7) should be less than or equal to the figures under col. No. (8).**

Col. No. (9) to (11)

These columns should be left blank for use at Hqrs. Office.

2. It is also clarified that only those employees who are definitely covered as on 31.3.2011 should be taken into account. Employees who are of doubtful coverage due to closure, exemption or because of court case etc. should not be included for assessment of No. of employees as on 31-3-2011. All figures should be based on factual position as per records and in no circumstances any estimate be made while furnishing the data. The number of employees in respect of Sales offices/Branch offices may also be included in the statement under appropriate column by the respective Regional Offices/ Sub- Regional Offices in whose jurisdiction sales office/ Branch Office is located.

3. Figures furnished in the statement in Annexure-I should be got checked and verified by the Jt. Director /Dy. Dir. (Fin.) and his certificate relating to the correctness of the figures be appended with the Annexure-I.
My dear Regional Director,

It is proposed to assess the number of employees, in the Non-Implemented Areas as on 31.03.2011 who can be covered under ESI Act on implementation of the Scheme. I am enclosing annexures I & II for assessment of Number of Employees in Non-Implemented Areas. I would request you to please furnish the required data in Annexure-I in accordance with the instructions given in Annexure-II (copy enclosed).

The data compiled in respect of employees in non-implemented centres are required to be verified by the Jt./Dy. Director (finance). I therefore, request you to pass on the requisite material to the Jt./Dy. Director (Fin.) well in time and forward the verified statement to Director (Actuarial) latest by 30.06.2011.

While furnishing the information in Annexure-I, the number of employees according to recent surveys conducted shall be shown. I have in this regard observed that the same figures are being repeated every year.

Please acknowledge the receipt.

With Best wishes,

Encl: as above.

Yours Sincerely,

(B. K. SAHU)

To,

Shri __________
Regional Office / Sub-Regional Office
My dear Regional Director,

It is proposed to assess the number of employees, in the Non-Implemented Areas as on 31.03.2011 who can be covered under ESI Act on implementation of the Scheme. I am enclosing annexures I & II for assessment of Number of Employees in Non-Implemented Areas. I would request you to please furnish the required data in Annexure-I in accordance with the instructions given in Annexure-II (copy enclosed).

The data compiled in respect of employees in non-implemented centres are required to be verified by the Jt./Dy. Director (finance). I therefore, request you to pass on the requisite material to the Jt./Dy. Director (Fin.) well in time and forward the verified statement to Director (Actuarial) latest by 30.06.2011.

While furnishing the information in Annexure-I, the number of employees according to recent surveys conducted shall be shown. I have in this regard observed that the same figures are being repeated every year.

Please acknowledge the receipt.

With Best wishes,

Yours Sincerely,

(B. K. SAHU)

To,

Shri __________________________
Regional Office / Sub-Regional Office

Copy to:
1. Jt. Director (Finance)/Dy. Director (Finance) with the request to contact the Regional Director in the matter and verify the data required for assessment of number of employees as on 31-3-2011 latest by 31.3.2011. An intimation on verification of figures may please be sent to the undersigned by 30.6.2011.

[H. C. SHARMA]
DIRECTOR (ACTL.)
## Non-Implemented Areas

Enclosure to DO No. H-14/13/1/2011-Actl. Dated

**Assessment of Number of Employees as on 31.3.2011**

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Centre/Sub-Centre</th>
<th>Number of Employees</th>
<th>Recommendation by the Regional Director for approval as on 31-3-2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Name of the Centre/Sub-centre</td>
<td>Name of the District</td>
<td>Name</td>
</tr>
<tr>
<td>1</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
</tbody>
</table>
Instructions for filling up the proforma for assessment of centre-wise number of employees in Non-implemented areas as on 31st March, 2011 (Annexure-I)

1. Column-wise instructions

Col. No. (1)
This is self explanatory.

Col. No. (2)
All centres/sub-centres normally with an insurable population of not less than 500 where the benefit provisions of the Scheme have not been extended upto 31-3-2011 should be entered here.

It is added that as usual the Regional Director will shortly be approached to furnish the return of centers, sub-centres etc. in the non-implemented areas of his region as on 31-3-2011. It is, therefore, necessary that the information in respect of all sub-centres etc. which the Regional Director desires to depict in the Statistical Brochure as on 31-3-2011 are included in the statement.

Col No. (3)
Number of employees as per form 01 available at the Regional Office may be indicated here.

Col. No. (4)
The number of employees as per latest survey reports or any other relevant source available at the Regional Office may be indicated under this column.

Col. No. (5)
This may be left blank for use at Hqrs. Office.

Col. No. (6)
The Regional Director may please give his recommendations to the number of employees as on 31-3-2010 that should be adopted for different centers/sub-centres in his region. The recommendation in this column should be made judiciously, duly supported by data furnished in various columns. In case of wide difference between the figures supplied under various columns, clear, and correct explanation should be given in the forwarding letter to reconcile the differences.

It is of utmost importance that number of employees recommended by the Regional Director reflect, the correct number of employees in the area as on 31-3-2011. The employees coverable U/S 1(5), wherever applicable, should also be included.

Col. No. (7)
This may be left blank for use at Hqrs. Office.

COL. No. (8)
This is self explanatory.

2. The figures in the statement in Annexure-I should be got checked and verified by the Jt./Dy. Director(F) and his certificate be appended.