

PROCEDURAL GUIDELINES FOR COMPASSIONATE APPOINTMENT IN EPFO

A consolidated set of instructions on compassionate appointment was issued by the Department of Personnel and Training (DoP&T) vide OM No.14014/02/2012--Estt. (D) dated 16.01.2013 as amended from time to time. In view of the statutory nature of the Employees' Provident Fund Organisation (EPFO), the said guidelines have been adopted for implementation in EPFO, subject to such delegation as deemed appropriate by the CBT, EPF and with such modification as deemed expedient by the circulars issued by the Head Office from time to time. (A list of such circulars/guidelines issued on the matter is enclosed as **Annexure-I** along with copies thereof for ready reference).

2. The CBT, EPF delegated the power of appointment on compassionate grounds to CPFC and the ACC (Zone) in its 226th Meeting held on 05.03.2020. To give effect to the said delegation, a detailed set of procedural guidelines is laid down herewith. These guidelines shall further be subject to such amendment as deemed necessary by the DoP&T and Head Office from time to time.

3. The object of these guidelines is to bring uniformity and transparency in the procedure of granting approval for appointment on compassionate grounds to a dependent family member of an employee of the Central Board of Trustees (CBT), who died in harness or who is retired on medical grounds, thereby leaving his family in penury and without any means of livelihood, to relieve the family of the employee concerned from financial destitution and to help it get over the emergency.

4. APPLICATION FOR APPOINTMENT:

- a) The process shall begin with the receipt of an application for appointment on compassionate appointment from an eligible dependent family member of an

employee of the CBT, EPF, who died in harness or retired on medical grounds as specified under the delegation of powers by the CBT, EPF.

- b) An empirical 100-point scale has been adopted by EPFO to bring about uniformity and transparency in assessing the suitability of such appointment on compassionate ground by allocating points to various attributes/parameters.
- c) The prescribed Application proforma should be used for ascertaining necessary information and processing the cases of compassionate appointment.
- d) The applicant shall furnish an undertaking to serve anywhere in India.
- e) The Welfare Officer of the concerned Regional Office should meet the members of the family of the employee in question immediately after his death to advise and assist them in getting appointment on compassionate grounds. The applicant should be called at the very first stage and advised in person about the requirements and formalities to be completed by him.
- f) The Welfare Officer should furnish his comprehensive report along with the relevant documents/records/materials substantiating the claim of the applicant as prescribed by the Head Office from time to time.
- g) The request for appointment in the prescribed proforma with the report of Welfare Officer should be forwarded to the Zonal Office along with a specific recommendation of RPFC-in-charge of the Region in the light of suitability test/interview, the financial condition of the family, the vacancy status of the cadre in the RO for the post applied for and other relevant material, if any.
- h) The suitability of those proposed to be appointed on compassionate grounds should be properly assessed. Applicant for compassionate appointment should be eligible and suitable for the post in all respects under the provisions of the relevant Recruitment Rules. Final offer of appointment will, however, be subject to the availability of vacancies, passing of medical examination, production of necessary certificates etc.

- i) A register of all requests received for appointment on compassionate basis shall be maintained by the Cadre Controlling Authority *i.e.*, the ACC (Zone) of the state or the ACC (HQ) in a state, where more than one Zone exists, for each state under their jurisdiction on the basis of date of receipt of completed request for appointment on compassionate basis.

5. CONSIDERATION OF REQUEST:

- a) In the light of instructions issued from time to time by the Head Office on the subject, the request for appointment on compassionate grounds should be considered by a Zonal Screening Committee (ZSC) of officers consisting of at least three officers – one Chairman and two Members – of the rank of RPFC-I/RPFC-II in Zonal Office concerned. The Welfare Officer may be co-opted as one of the members of the Committee, if needed.
- b) The ZSC shall be constituted by the cadre controlling authority of the state concerned, *i.e.*, the ACC (Zone) of the state or the ACC (HQ) in a state, where more than one Zone exists (due representation of other Zones in such state may also be considered while constituting the Zonal Committee).
- c) The ZSC may meet during the second week of the month following each Quarter to consider cases received during the previous quarter. That is, the Committee shall meet in second week of Jan, Apr, Jul and Oct to consider the cases received up to the quarter ending Dec, Mar, Jun and Sep, respectively, every year.
- d) The applicant may also be granted personal hearing by the Committee, if deemed necessary, for better appreciation of the facts of the case.
- e) The Committee shall examine all requests for appointment on compassionate basis objectively, taking all factors into consideration and assess an overall financial condition of the family on the basis of the Welfare Officer's Report and other available documents/ records/ materials. Each case should be

considered on of its own merit. Ernest efforts should be made to fulfill any technical shortcomings by referring the case back to RO concerned.

- f) Head Office has already laid down a Relative Merit Points Assessment on a 100-point-scale, which shall be considered by the Zonal Committee to arrive at an objective evaluation. In order to maintain a uniformity and to preclude any disproportionate weightage of one or two factors in the said 100-point scale and also considering a limited availability of vacancies for compassionate appointment, it shall be appropriate that the requests of applicants scoring at least 50 points on the 100-point scale are considered. Thus, only in a very genuine cases, where, in the opinion of the ZSC, the family is indigent and deserves immediate assistance for relief from financial destitution, the appointment on compassionate basis may be recommended.
- g) The candidates applying for appointments on compassionate grounds in SSA post should be subjected to a suitability test by the Committee, if not already conducted by the RO concerned.
- h) The recommendation of the ZSC should be comprehensive and self-speaking so as to enable the cadre controlling authority to take an apt decision in the matter.
- i) Once an application has been rejected by the ZSC which, after due consideration of all facts and circumstances of the case, did not find merit in the case, the candidature of the applicant shall not, ordinarily, be considered again except under explicit direction of the court or discovery of new facts or material which was either not in the knowledge of the applicant or the applicant was prevented to produce the same on account of some sufficient cause.

6. APPROVAL OF APPOINTMENT:

- a) The recommendation of the ZSC should be placed before the Cadre Controlling Authority, who shall take a prompt decision after due

examination of the recommendation of the Committee in the light of records/ reports/ material/ documents available.

- b) The appointment on compassionate grounds shall be made only after the approval of the competent authority in terms of delegation by the CBT, EPF.
- c) In case of a dependent family member of an employee of the CBT, EPF, who died while in service (including death by suicide) and where no relaxation of Recruitment Rules is required, the Cadre Controlling Authority shall be the competent authority to approve the appointment on compassionate ground.
- d) A reference shall be made to the Head Office for the approval of CPFC in following types of request, where appointment on compassionate ground is sought by a dependent family member:
 - (i) of an employee, who is retired on medical grounds under Rule 2 of the CCS (Medical Examination) Rules, 1957 or the corresponding provision in the EPF (Officers' and Employees' Conditions of Services) Regulations, 2008; or under Rule 38 of the CCS (Pension) Rules, 1972 or the corresponding provision in the EPF (Officers' and Employees' Conditions of Services) Regulations, 2008, before attaining the age of 55 years (57 years for erstwhile Group 'D' employee); or
 - (ii) of an employee who died in harness or retired on medical grounds (*supra*), by relaxation of RRs with respect to prescribed age or educational qualification; or
 - (iii) where the death or retirement on medical grounds (*supra*) of an employee took place long back, say five years or so; or
 - (iv) of an employee who died in harness or retired on medical grounds and there is already an earning member in the family; or
 - (v) of a missing employee subject to the such conditions as prescribed by the DoP&T.

- e) The cadre controlling authority, along with his specific recommendation, shall forward the application (complete with all relevant documents and reports including the vacancy in the cadre in the region and the state concerned) along with the report of the ZSC for compassionate appointment in cases falling under sub-paragraph (d) above to HRM Division of the Head Office.
- f) A Central Screening Committee (CSC) will be constituted at the Head Office comprising of three members in the rank of ACC/RC-I for considering the cases falling under sub-paragraph (d) above.
- g) The cadre controlling authority of the state concerned or his representative (not below the rank of RPFC-I of the ZO) may also be co-opted as an invitee-member of the CSC, if deemed necessary.
- h) The Central Committee may meet during the fourth week of the month following each quarter to consider cases received during the previous quarter. That is, the Committee would meet in fourth week of Jan, Apr, Jul and Oct to consider the cases received up to the quarter ending Dec, Mar, Jun and Sep, respectively, every year.
- i) For cases falling under paragraphs 6 (d), the recommendation of the Central Committee should be placed before the CPFC for taking a final decision.

7. NOTE ON VACANCY:

- a) As on 31.12.2019, total sanctioned post in MTS cadre is less than MTS in-position strength in EPFO. Though a regional office or a state may have vacancy in MTS cadre but as an organizational perspective, in-position strength is over-saturated and, **hence, no appointment in the cadre of MTS shall be considered by any cadre controlling authority till further direction from Head Office** barring the proposals already approved by the Head Office.

- b) As on 31.12.2019, the vacancy status in SSA cadre for appointment on compassionate basis shall be ascertained by Zonal Offices after verification before considering any application for compassionate appointment.

8. Reports

- a) A calendar for the scheduled meetings of ZSC in a year shall be drawn by each cadre controlling authority in the month of October for the following calendar year and communicated to the Head Office by the first week of November.
- b) The cadre controlling authority shall furnish a quarterly report in the format enclosed as **Annexure-II** by the first week of Feb, May, Aug and Nov every year.
- c) If no application is received, the Committee shall furnish a NIL report to the cadre controlling authority, who shall forward the same to the Head Office for placing before the CPFC.
- d) An annual report in the format enclosed as **Annexure-III** shall be furnished by the cadre controlling authority by the second week of April to the Head Office in respect of appointments made on compassionate grounds during the preceding financial year. The first report shall be furnished within 15 days of the issue of these guidelines.

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Annexure-I

List of DoP&T and Head Office Circulars on Compassionate Appointment

Sl	Circular No	Dated
1.	DoP&T OM No.14014/02/2012--Estt. (D)	16.01.2013
2.	DoP&T OM No.14014/02/2012--Estt. (D)	30.05.2013
3.	DoP&T OM No. 14014/02/2012-Estt. (D)	07.10.2014
4.	DoP&T OM No.14014/02/2012--Estt. (D)	05.09.2016
5.	DoP&T OM No. 14014/2/2009-Estt.D Circulated vide HO circular no HRD/1(34)2014/7th CPC/Vol.II/14	09.10.2017 17.10.2017
6.	HO Circular no. HRM/IV/ 11/ 07/2015/CA Policy Matter/4038	23.05.2017
7.	HO Circular no. HRM-IV/11(07)/2015/CA Policy Matter/7179	05.07.2017
8.	HO Circular no. HRM-V /IV/ 11(07)/2015/CA Policy Matter/ Vol. I/4563	29.06.2018
9.	HO Circular no. HRM-IV / 1(12)2012/KN/Vol. II/ 13324	18.10.2018
10.	HO Circular no. HRM-V/11 (07) Compassionate Appointment/ Policy Matter/2019/Vol.III /I/473/2020	23.07.2020
11.	HO Circular no. HRM-V/11 (07) Compassionate Appointment/ Policy Matter/2019/Vol.III /I/474/2020	23.07.2020
12.	HO Circular no. HRM-V/11 (07) Compassionate Appointment/ Policy Matter/2019/Vol.III /I/475/2020	23.07.2020

ANNEXURE-II

**QUARTERLY REPORT ON MEETINGS OF ZONAL SCREENING COMMITTEE
FOR THE COMPASSIONATE APPOINTMENT**

(To be submitted by the Cadre Controlling Authority quarterly)

Quarter Ending: Mar/Jun/Sep/Dec, 2020

S1	Item	MTS Cadre	SSA cadre
1	Quarterly Meeting of the Zonal Screening Committee held	Yes/No	
2	Number of vacancies available for compassionate appointment		
3	Opening Balance beginning I/II/III/IV Quarter (= CB of the last Quarter)		
4	Number of fresh applications received		
5	Number of applications referred back to ROs		
6	Number of applications recommended for appointment		
7	Number of applications rejected		
8	Number of applications recommended for Head Office		
9	Closing Balance ending I/II/III/IV Quarter (=3+4-5-6-7-8)		
10	Time taken to dispose of the cases		
11	Reasons for rejecting the applications		
12	Reasons for not holding the quarterly meeting of the Zonal Screening Committee		

Signature of ACC (HQ)/ACC (Zone)

Name:

Designation:

Date:

ANNEXURE-III**REPORT ON COMPASSIONATE APPOINTMENT
(To be submitted by the Cadre Controlling Authority every year)****As on 01.01.2020**

SI	Item	MTS Cadre	SSA cadre
1	Total Sanctioned strength in the State		
2	In-position Strength		
3	Direct Recruitment Quota		
4	Compassionate appointment Quota		
5	Persons already appointed on compassionate grounds		
6	Vacancies available for compassionate appointment [Opening Balance for the year] = (4-5)		
7	Number of applications received during the year		
8	Number of applications recommended for appointment by Zonal Screening Committee		
9	Number of appointments approved (out of 8)		
10	Number of applications referred to Head Office (out of 8)		
11	Number of vacancies arose in DR quota during the year		
12	Number vacancies added for compassionate appointment during the year (= 5% of 11)		
13	Closing balance for the year (= 6-9+12)		
14	Time taken to dispose of the cases		
15	Reasons for not approving the appointment		

Signature of ACC (HQ)/ACC (Zone)**Name:****Designation:****Date:**