

A Handbook for
**Designing and Implementing
SEVOTTAM Compliant**

Book-3

**Quality Management
System**

Citizen's Charter

Sevottam

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Grievance Redress Mechanism

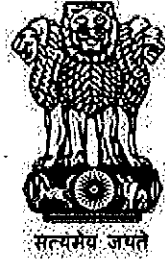


Government of Karnataka

Sevottam Training Cell

Administrative Training Institute

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**A Handbook for
Designing and Implementing SEVOTTAM Compliant**

**CITIZEN'S / CLIENT'S CHARTER &
GRIEVANCE REDRESS MECHANISM**

BY
CENTRAL MINISTRIES / DEPARTMENTS

Performance Management Division
Cabinet Secretariat

Department of Administrative
Reforms and Public Grievances

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ಮಹಾ ನಿರ್ದೇಶಕರು

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ಆಡಳಿತ ತರಬೇತಿ ಸಂಸ್ಥೆ
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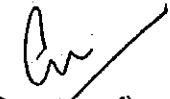
ಮುನ್ನುಡಿ

ಸರ್ಕಾರ ಒದಗಿಸುವ ಎಲ್ಲ ಸೇವೆಗಳು ಉತ್ತಮ ಗುಣಮಟ್ಟದ್ದಾಗಿರಬೇಕೆಂದು ಸಾರ್ವಜನಿಕರು ನಿರೀಕ್ಷಿಸಿದರೆ ಅದು ಅವರ ಸಂವಿಧಾನಾತ್ಮಕ ಹಕ್ಕಾಗಿದೆ. ಇದೇ ಕಾರಣದಿಂದಾಗಿ ಸರ್ಕಾರದ ಎಲ್ಲ ಇಲಾಖೆಗಳು ಒದಗಿಸುವ ಜನಪರ ಸೇವೆಗಳ ಗುಣಮಟ್ಟವನ್ನು ಸುಧಾರಿಸಿಕೊಳ್ಳಬೇಕೆಂದು ಅನಿವಾರ್ಯತೆ ಉಂಟಾಗಿದೆ. 1997ರಲ್ಲಿನಡೆದ ರಾಷ್ಟ್ರಮಟ್ಟದ ಮುಖ್ಯಮಂತ್ರಿಗಳ ಸಮಾವೇಶದಲ್ಲಿ ಆಡಳಿತದಲ್ಲಿ ಉತ್ತರದಾಯಿತ್ವ ಪಾರದರ್ಶಕತೆ ಹಾಗೂ ನಿರಂತರವಾಗಿ ಸುಧಾರಿತ ಸೇವೆಗಳನ್ನು ಒದಗಿಸಲು "ನಾಗರಿಕ ಸನದು" ರಚಿಸಿಕೊಳ್ಳಬೇಕೆಂದು ನಿರ್ಣಯಿಸಲಾಯಿತು. ಅಲ್ಲದೇ ಹಿರಿಗೆ ರಾಷ್ಟ್ರ ಹಾಗೂ ರಾಜ್ಯ ಮಟ್ಟದಲ್ಲಿ ಆಡಳಿತದಲ್ಲಿ ಹಲವಾರು ಸುಧಾರಣೆಗಳನ್ನು ಮಾಡುತ್ತಾ ಬಂದಿದೆ.

ಉತ್ತಮ ಆಡಳಿತದ ಸಂಕೇತವಾದ ಜನರಿಗೆ ಸ್ಪಂದಿಸುವ ಆಡಳಿತ ನೀಡಲು ಎಲ್ಲ ಇಲಾಖೆಗಳು ದಕ್ಷತೆಯಿಂದ ಕಾರ್ಯ ನಿರ್ವಹಿಸುವ ಜೊತೆಗೆ ಪಾರದರ್ಶಕ ಆಡಳಿತ ನೀಡಲು ನಾಗರಿಕ ಸನದು ರಚನೆಗೆ ಮುಂದಾಗಬೇಕಿದೆ. ಈ ಬಗ್ಗೆ ರಾಷ್ಟ್ರದ ಪ್ರಧಾನ ಮಂತ್ರಿಗಳ ಸ್ವ-ಆಸಕ್ತಿಯಿಂದ ಸರ್ಕಾರದ ಎಲ್ಲ ಇಲಾಖೆಗಳಲ್ಲಿ ಗುಣಮಟ್ಟ ನಿರ್ವಹಣೆ ಪದ್ಧತಿಯ (Quality Management System) ಮೂಲಕ ಉತ್ಕೃಷ್ಟ ಸೇವೆಗಳನ್ನು ಒದಗಿಸುವ ಸಂಕಲ್ಪತೊಟ್ಟು ಸೇವೋತ್ತಮ್-ಐಎಸ್:15700:2005 ಎಂಬ ಗುಣಮಟ್ಟ ಪದ್ಧತಿಯನ್ನು ಅವಿಷ್ಕಾರಗೊಳಿಸಲು ಸ್ಪೂರ್ತಿ ನೀಡಿದ್ದಾರೆ. ಅಂತೆಯೇ ಕೇಂದ್ರ ಸರ್ಕಾರದ ಡಿ.ಎ.ಸಿ.ಆರ್.ಜಿ ಇಲಾಖೆಯ ನೇತೃತ್ವದಲ್ಲಿ ರಾಷ್ಟ್ರದಾದ್ಯಂತ ಸೇವೋತ್ತಮ್ ಪದ್ಧತಿಯನ್ನು ಅಳವಡಿಸಿಕೊಳ್ಳಲು ಮುಂದಾಗಿದೆ. ಕರ್ನಾಟಕದಲ್ಲಿಯೂ ಕೂಡ ಮಹಿಳಾ ಮತ್ತು ಮಕ್ಕಳ ಅಭಿವೃದ್ಧಿ ಇಲಾಖೆಯ ಶಿಶು ಅಭಿವೃದ್ಧಿ ಯೋಜನೆಯಲ್ಲಿ ಗುಣಮಟ್ಟ ಸುಧಾರಣೆಗೆ ಪ್ರಾಯೋಗಿಕ ಕ್ರಮ ಕೈಗೊಳ್ಳಲಾಗಿದೆ.

ಆಡಳಿತ ತರಬೇತಿ ಸಂಸ್ಥೆಯು ಈ ಪ್ರಯೋಗದ ಸಹಭಾಗಿವೆಂದಾಗಿದ್ದು ಸೇವೋತ್ತಮ್ ಪ್ರಯತ್ನಗಳನ್ನು ಇತರ ಇಲಾಖೆಗಳಿಗೂ ವಿಸ್ತರಿಸಲು ಸಾಧ್ಯವಾಗುವಂತೆ, ರಾಜ್ಯ ಸರ್ಕಾರದ ಶಿಫಾರಸುಮೇರೆಗೆ ಸೇವೋತ್ತಮ ತರಬೇತಿ ಕೇಂದ್ರವನ್ನು ಆರಂಭಿಸಲು ಕೇಂದ್ರ ಸರ್ಕಾರವು ಮುಂದಾಗಿದೆ. ಅಂತೆಯೇ ಆಡಳಿತ ತರಬೇತಿ ಸಂಸ್ಥೆಯಲ್ಲಿ ಸೇವೋತ್ತಮ್ ತರಬೇತಿ ಕೇಂದ್ರ ವನ್ನು ಡಿಸೆಂಬರ್, 2010 ರಿಂದ ಆರಂಭಿಸಲಾಗಿದೆ. ರಾಜ್ಯ ಸರ್ಕಾರದ ಪ್ರಮುಖ ಇಲಾಖೆಗಳಲ್ಲಿ ಜನಪರ ಸೇವೆಗಳಲ್ಲಿ ಗುಣಮಟ್ಟ ನಿರ್ವಹಣೆ ಪದ್ಧತಿ ಅಳವಡಿಸಿಯ ಮೂಲಕ ಉತ್ಕೃಷ್ಟ ಸೇವೆಗಳನ್ನು ಒದಗಿಸಲು ಸೇವೋತ್ತಮ ಕೇಂದ್ರವು ತರಬೇತಿ ಹಾಗೂ ಮಾರ್ಗದರ್ಶನ ನೀಡಲು ಉದ್ದೇಶಿಸಿದೆ.

ತರಬೇತಿಗೆ ಪೂರಕವಾದ ವಿಷಯ ಹಾಗೂ ಓದುವ ಸಾಮಗ್ರಿಗಳನ್ನು ಸಿದ್ಧಪಡಿಸಲು ಸೇವೋತ್ತಮ್ ಕೇಂದ್ರದ ಜವಾಬ್ದಾರಿಯಲ್ಲಿರುವ ಬೋಧಕರಾದ ಶ್ರೀ ಹೆಚ್.ಪಿ. ಶಿವಶಂಕರ್ ಅವರು ಸೇವೋತ್ತಮ್ ಪರಿಚಯಾತ್ಮಕ ಹಾಗೂ ಅದಕ್ಕೆ ಪೂರಕವಾದ ಅಂಶಗಳ ಬಗ್ಗೆ ಕೈಪಿಡಿಯನ್ನು ಸಿದ್ಧಪಡಿಸಿದ್ದು ಸೇವೋತ್ತಮ ಪದ್ಧತಿ ಅಳವಡಿಸಿಕೊಳ್ಳಲು ಇಚ್ಛಿಸುವ ಎಲ್ಲರಿಗೂ ಈ ಮಾಹಿತಿ ಉಪಯುಕ್ತವಾಗಲಿದೆ. ಜನಪರ ಕಾಳಜಿಯ ಸೇವೆಗಳನ್ನು ಒದಗಿಸುತ್ತಿರುವ ಸರ್ಕಾರದ ಇಲಾಖೆಗಳು ಸೇವೋತ್ತಮ ತರಬೇತಿ ಕೇಂದ್ರದ ಪ್ರಯೋಜನ ಪಡೆಯುವಂತಾಗಲು ಕೈಪಿಡಿಯು ಸಹಾಯಕವೆಂದು ಆಶಿಸುತ್ತೇನೆ.


(ಅಮಿತಾ ಪ್ರಸಾದ್)

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CHAPTER 1

INTRODUCTION

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Guidelines for Designing and Implementing SEVOTTAM Compliant Citizen's / Client's Charters and Public Grievance Redress Mechanisms

I. Background and Purpose

The Prime Minister approved the outline of a "Performance Monitoring and Evaluation System (PMES) for Government Departments" vide PMO I.D. No. 1331721/PMO/2009-Pol dated 11.9.2009. Under PMES, each department is required to prepare a Results-Framework Document (RFD). A RFD provides a summary of the most important results that a department/ministry expects to achieve during the financial year.

The High Power Committee (HPC) on Government Performance chaired by the Cabinet Secretary decided that all RFDs for 2010-2011 will include the following mandatory success indicators:

Mandatory Success Indicators	Unit	Weight	Target / Criteria Value				
			Excellent	Very Good	Good	Fair	Poor
			100%	90%	80%	70%	60%
Create a Sevottam compliant system to implement, monitor and review Citizen's Charter	Date	1%	Dec. 30 2010	Jan. 10 2011	Jan. 15 2011	Jan. 20 2011	Jan.25 2011
Create a Sevottam Compliant system to redress and monitor public Grievances	Date	1%	Dec. 30 2010	Jan. 10 2011	Jan. 15 2011	Jan. 20 2011	Jan.25 2011
Independent Audit of Implementation of Citizen's Charter	%	1%	100	95	90	85	80
Independent Audit of implementation of Public Grievance Redress System	%	1%	100	95	90	85	80

The purpose of these Guidelines is to provide guidance to Ministries/Departments to design and implement Citizen's Charter and Grievance Redress Mechanisms for Sevottam compliance.

Concept of Citizen's / Client's Charter

The Citizen's / Client's Charter is a written declaration by a Government department that highlights the standards of service delivery that it subscribes to, availability of choice for consumers, avenues for grievance redress and other related information. In other words, it is a set of commitments made by a department regarding the standards of service which it delivers.

Though not enforceable in a court of law, the Citizen's / Client Charter is intended to empower citizens and clients so that they can demand committed standards of service and avail remedies in case of non-compliance by service provider organizations. The basic thrust of the Citizen's / Client's Charter is to render public services citizen centric by making them demand driven rather than supply driven.

Central Ministries/ Departments are expected to design a Client's Charter instead of a Citizen's Charter in case they are not dealing with the public directly. The difference between the two service recipients is as follows:

Citizens

Citizens are individuals, groups of individuals (companies, trusts, associations, unions etc.) and the common public at large. They are outside the government and are generally referred to as *external clients*. Being outside the government machinery, the general presumption is that they do not have sufficient knowledge of the government's internal processes. Therefore the onus is on the service provider to ensure that citizens are well aware of the service standards and the expectations from service recipients. It cannot be presumed that all citizens are literate or understand the official language, and it may be necessary to communicate with them in the local language also.

Clients

Clients could be government agencies and government employees availing services from another government agency. Services here will exclude administrative control activities, references and opinions to be provided on policy-related matters which cannot be disposed-off within pre-defined time norms. Clients are part of the government and are generally referred to as *internal clients*. Being part of the government machinery, the general presumption is that clients have sufficient knowledge of the government's internal processes. Therefore the onus of ensuring that clients who are also part of the government are well aware of the service standards and the expectations from service recipients is equally divided between the service provider and the service recipient. It is presumed that all clients are literate and communicating with them in the official language of the service provider agency is sufficient.

Citizen's Charter / Client's Charter or Citizen's / Client's Charter

The Charter prepared by the department may be either called a Citizen's Charter or a Client's Charter depending on whether the organization is serving internal or external clients. It can be called 'Citizen's / Client's Charter' in case the service recipients are a combination of the two. For simplicity, it is referred to as Citizen's Charter or Charter in the remainder of this document.

CHAPTER 2

FORMAT OF CITIZEN'S / CLIENT'S CHARTER

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2. Format of Citizen's Charter

The Citizen's Charter for a Ministry / Department should contain the following nine sections:

- i. Cover Page
- ii. Vision
- iii. Mission
- iv. Service Standards
- v. Grievance Redress Mechanism
- vi. Stakeholders / Clients
- vii. Responsibility Centers
- viii. Indicative expectations from service recipients
- ix. Month and Year for next review of the charter

In what follows, each section is described briefly:

i. Cover Page

To ensure instant recognition and user-friendliness, it is important that all Citizen's / Client's Charters have a uniform cover page as given on the next page:

<p style="text-align: center;"><u>National Emblem</u></p> <p style="text-align: center;"><u>Logo (if any)</u></p> <p style="text-align: center;"><u>CITIZEN'S / CLIENT'S CHARTER</u></p> <p style="text-align: center;">NAME OF THE MINISTRY / DEPARTMENT (Name of the Ministry to which the department belongs)</p> <p style="text-align: center;">Address with website ID</p> <p style="text-align: center;">Month and Year of issue</p>
--

ii. Vision

This should be consistent with the Vision in the Results-Framework Document

iii. Mission

This should be consistent with the Mission in the Results-Framework Document as well as Departmental Strategy.

iv. Service Standards

The information in this section should be presented in the following format

SERVICE STANDARDS		
S NO.	MAIN SERVICES*	STANDARD

* Main Services include services that are being provided on a regular basis to the Ministry / Department's service recipients. Departmental Services rendered occasionally under exceptional or extraordinary circumstances should not be a part of Main Services. These should also be aligned with the GRM processes.

v. Grievance Redress Mechanism

This section should contain information relating to the following items:

- a. Name and contact details of Public Grievance Officer:
- b. Helpline number/Website url to lodge grievance
- c. Response to be expected by person lodging the grievance
- d. Timelines for redress

vi. Stakeholders

This section should contain the list of stakeholders / clients who have been consulted for setting service standards. The stakeholder consultations done for the Strategy development process may be used for the purpose of setting standards as well.

vii. Responsibility Centers and Subordinate Organizations

This section should contain a list of the Responsibility Centers and Subordinate Organizations under the administrative control of the Ministry/Department. Information in this section should include references to the service standards of the Responsibility Centers and Subordinate Organizations, how to lodge a grievance against them, and the role of the Ministry/Department in ensuring that they have set standards for service and are delivering services accordingly.

viii. Indicative expectations from service recipients

This section should contain responsibilities of the citizens / clients if they are to avail efficient service delivery at the standards stated in the Charter. Examples of this would include submitting completed application forms along with all the required enclosures, duly attested where required; cross-checking for information or the latest position on a matter on the Department's website before raising a query or a grievance etc.

ix. Month and Year for the next review of the Charter

This section should indicate the month and year for the next review of the Charter. This allows the citizens to be patient till the next major revision. The next date of review should not be too distant. Upper time limit of once in a year or once in two years may be prescribed.

Concluding Remarks

The above formats show the standard format for the Citizen's Charter. Ministries/Departments may need to include additional information pertinent to their specific domain in the Citizen's Charter. In such cases, the information can be included, but without changing the overall look and feel of the Charter. Care must be taken not to make the Charter too long. If the additional information that the Ministry/Department needs to include is very lengthy, it can be provided separately on the website in another document, and in the Charter a reference can be given as to how and where the information is available. It is imperative that the Citizen's Charter be kept user friendly as well as concise by including all the necessary information, but without clutter, rhetoric, and very lengthy information which may be daunting for the average service recipient.

Mandatory requirements for Charters of Central Ministries/Departments are as follows:

- The Charter is to be made in bilingual version as per requirements of the Official Languages Act and approved by Minister-in-charge before publication.
- After publication twenty copies are required to be sent to the Librarian, Parliament Library, Parliament House Annexe, Sansad Marg, New Delhi 110001
- The Charter needs to be placed on the Ministry / Department's website. It may also be publicized in select newspapers / media to ensure wide publicity if required by the nature of work allocated to a ministry / department
- In offices located in Region 'C' it should also be published in the local language in addition to English and Hindi for circulation in the region
- A single page containing extracts of main services and standards from the charter can be displayed at the Reception and other prominent places in the Ministry / Department

All Guidelines on Citizen's / Client's Charter including duties of 'Nodal Officer for Citizen's / Client's Charter are available on DARPG website www.darpg.nic.in in the 'Compilation of Guidelines for Redress of Public Grievances 2010'. A hard copy can also be obtained from DARPG. The Compilation of Guidelines for Redress of Public Grievances 2010 contains all the major guidelines issued since 1985 for the creation of grievance redress mechanism in all Ministries/Departments/Organization of Government of India. The compilation also includes separate sections containing all the original orders issued since 1997 on Citizen's/Client Charter and Information Facilitation counters in Government of India as well as State Governments/ Union Territories Administrations.

The Sevottam Framework evolved in 2005, assimilated the essentials of the then existing GRM framework and is re created through these guidelines.

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CHAPTER 3

CHARTER DESIGN AND IMPLEMENTATION PROCESS

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3. Citizen's Charter Design and Implementation Process

This section describes the step by step process for formulation of Service standards by Ministry/Departments and their Responsibility Centers including stakeholders' consultation process and stakeholders' expectation for the preparation of Citizen's Charter (CC).

Step 1: Collect information on service standards achieved / can be achieved by Ministry / Department

This step explains the information regarding the services provided by the Ministry/Department that is required for inclusion in the Charter, and how it is identified and collected. This step consists of four tasks described below.

Task 1: Identify services delivered

Prepare a complete and exhaustive list of the services offered by the Ministry/ Department. This will help the service recipients to know the services they can receive. Out of this exhaustive list, the main services are filtered out for inclusion in the Citizen's Charter. Main services include services that are being availed in routine by a large majority of service recipients. Services rendered occasionally under exceptional or extraordinary situations are not part of main services. However, if the Ministry/ Department provide a very large number of services, then the main services are prioritized according to frequency of use. The most frequently availed services are included in the Charter and a reference is made in the Charter to the document or website where a more exhaustive list is available.

Refer Appendix I for an example of how services are listed and classified in Kendriya Vidyalaya Sangathan.

Task 2: Identify indicators to measure service standards

Identify the indicators on which standards for each service are laid down. This will help the Ministry/Department measure its current service standards. If the Ministry/Department does not have service standards currently in use, then the indicators are to be defined first so that service standards can be laid down on basis of such indicators.

Refer Appendix II for an example of indicators on which service standards are laid down in Central Board of Excise and Customs.

Task 3: Estimate current service standards

Estimate the service standards being achieved at present using the indicators identified in Task 2. This will help the Ministry/Department to set realistic service standards. The estimate is prepared on the basis of internally available data. In case there is no mechanism to collect this data at present, a rough estimate is created through consensus among senior officers who have first hand experience of the service standards being achieved.

Refer Appendix III for an example from Central Board of Excise and Customs, where very little

internal data was available to estimate current service standards.

Task 4: Document the current service standards

Create a formal document with exhaustive list of services offered along with the service standards that the Ministry/Department believes that it are achieving. This will help the Ministry/Department to set realistic service standards for inclusion in the Citizen's Charter. This document forms the baseline of the current service standards and is used to make improvements going forward. Improvements are in the form of addition of new / deletion of outdated services, addition of new / deletion of outdated indicators, more stringent standards for same services / indicators, etc.

Refer Appendix IV for format of a formal document created by Central Board of Direct Taxes.

Step 2: Collect information on service standards achieved by Responsibility Centres

This step explains the information regarding the services provided by its Responsibility Centres that the Ministry/Department requires for inclusion in the Charter, and how it is identified and collected. Some Ministries/Departments may not have any Responsibility Centres under their administrative control. In such cases Step 2 is not applicable to them.

Task 1: Prepare list of Responsibility Centres

Prepare a list of the responsibility centres under the administrative control of the Ministry/Department. This will help the Ministry/Department to include the relevant information in its Citizen's Charter and to ensure that the entire chain of vertical service delivery is covered.

Refer Appendix V for a real life example of list of Responsibility Centres as given in the Citizen's Charter of the Ministry of Labour & Employment.

Task 2: Prepare list of services offered by Responsibility Centres

Prepare a list of the services offered by Responsibility Centres under the administrative control of the Ministry/Department. This will help provide complete information to all service recipients and to the public at large about the complete gamut of services under the Ministry/Department. This list is prepared in consultation with the Responsibility Centres.

Task 3: Estimate current service standards achieved by the Responsibility Centres

Prepare a document on the service standards being achieved by the Responsibility Centres. This will help the Ministry/Department to decide whether or not the service standards are adequate and the improvements needed in them. This document is prepared in consultation with the Responsibility Centres.

Task 4: Document role of Ministry/Department in service delivery by Responsibility Centres

Decide and document the role of the Ministry/Department in ensuring service delivery by each of its Responsibility Centres. This will help the Ministry/Department to fulfil its own responsibility

vis-à-vis service standards at the Responsibility Centres. This is documented in consultation with the Responsibility Centres. It includes, among others, identification of services, setting of service standards, establishing public grievance redress mechanism at the Responsibility Centres.

Step 3: Plan for stakeholder consultations on service standards of Ministry/Department and its Responsibility Centres

This step explains how a plan for receiving stakeholder inputs for setting service standards is to be drawn up as it is important that service standards are determined in consultation with the service recipients, employees who deliver the services, and external experts / practitioners in relevant domains.

Task 1: Identify stakeholder groups to be consulted

Prepare an exhaustive list of all stakeholder groups that should be consulted before setting standards for services delivered by the Ministry/Department and the Responsibility Centres under its administrative control. This will help in prioritizing the stakeholders and develop a plan for receiving critical inputs within a specified time frame.

Refer Appendix VI for a real life list of various stakeholders for some Central and State Government Departments.

Task 2: Prepare plan to receive stakeholder inputs

Prepare a detailed survey plan including information on whether it will be a survey on mail, or data will be collected through open house discussions, or through open advertisement, the timelines for the survey, number of beneficiaries to be surveyed, location (number of places) etc. This will help in scheduling stakeholder consultation meets or receiving stakeholder inputs through any other means. The sample includes service recipients of all services rendered by the Ministry/Department and its Responsibility Centres.

Refer Appendix VII for a real life survey plan used by Department of Posts.

Task 3: Design tool to collect data on service recipient expectations

Develop a tool to capture service recipient expectations vis-à-vis Ministry/Department services. This tool will help capture the specifications of how, where and when the services are preferred to be received by the service recipients, and from whom. Service recipient expectations can be gathered through multiple methods, e.g. survey to capture beneficiary expectations on the standards, open house discussions, soliciting public views through advertisements, analysis of complaints/grievances.

Refer Appendix VIII for a real life tool used by Department of Woman & Child Development, Government of Karnataka to capture citizen/client expectations

Task 4: Design tool for internal stakeholder consultations on services and service standards

Develop a tool to capture views of internal stakeholders on services and service standards. This

tool will help consultations with officials and staff involved in service delivery while determining the service delivery standards. Internal stakeholder consultations are primarily through focus group discussions of distinct levels of officials and field level functionaries. Separate discussions with different levels will enable a better understanding of the key issues from different perspectives and also prevent dominance of higher level groups to overshadow concerns of lower level functionaries.

Refer Appendix IX for a real life tool used to capture employees' inputs on service standards in Department of Posts

Task 5: Design tool for external expert consultations on services and service standards

Develop a tool to capture views of external stakeholders other than service recipients, e.g. experts / academicians / practitioners in relevant sectors / officials from related departments. This tool will help consultations with all remaining stakeholders. External expert consultation is primarily through focus group discussions and workshops where representatives of the identified stakeholder groups are invited. The key objective is to obtain inputs from sector experts in setting service delivery standards. Written inputs are sought from the experts using the tool prepared for the purpose so that appropriate records are available for reference as needed.

Refer Appendix X for a real life tool used by Department of Woman & Child Development, Government of Karnataka to capture external stakeholder inputs on service standards.

Step 4: Receive inputs through stakeholder consultations

This step explains how inputs from various stakeholder groups are collected for setting service standards.

Task 1: Administer survey tools as per survey plan

Collect data as per requirements identified in the survey tools from service recipients, internal staff, and external experts / practitioners. The task of actually conducting the survey is done with the involvement of concerned staff, Responsibility Centres and field level implementation teams at the locations specified in survey plan.

Task 2: Analyse data collected through survey tools

Compile results of the survey and identify the key expectations of stakeholders' vis-à-vis service standards of the Ministry and its Responsibility Centres.

Task 3: Prioritize stakeholder expectations

Decide which of the key expectations of stakeholders are to be incorporated into the service standards to be laid down now.

Step 5: Consolidate internal information and stakeholder consultation results

This step explains the process of finalisation of the sector standards after taking into account the

current standards and the standards expected by stakeholders.

Task 1: Compare existing service standards with stakeholder expectations

Identify the key variations between existing service standards documented through Steps 1 and 2 and stakeholder expectations summarized through Step 5.

Task 2: Finalise standards of service delivered by Ministry/Department

Finalise service standards after taking into account the variations between existing service standards and stakeholder expectations, and the decisions relating to how these variations are managed.

Step 6: Prepare Charter and get approval

This step explains tasks involved in the actual preparation and launch of the Citizen's Charter.

Task 1: Prepare draft Citizen's Charter

Prepare Citizen's Charter for Ministry / Department consisting of nine sections described previously. The vision and mission statement included in the Charter should be consistent with the same given in the Results Framework Document. This should also include the Grievance Redress Mechanism which has been described in detail in the Chapter 4.

Task 2: Circulate draft Citizen's Charter for comments

Circulate the draft Charter among internal and external stakeholders for a final round of feedback.

Task 3: Finalize Charter

Consider the feedback received through circulation of draft Charter before finalizing the Charter and getting it approved from the competent authority.

Task 4: Make Hindi version of final charter

A public document is required to be published in bilingual version as per the mandatory requirement of Official Languages Act.

Task 5: Get the Charter approved by Minister-in-charge

Approval of the Charter in bilingual version by the Minister-in-charge is mandatory.

Step 7: Publish Charter in public domain

Task 1: Get the approved Charter uploaded on website, printed and disseminated.

After approval of the Minister-in-charge the Charter must be placed on the Ministry / Department's website immediately. Thereafter it may be got printed for dissemination.

At least 20 copies of the printed Charter are required to be sent to the Librarian, Parliament Library, Parliament House Annexe, Sansad Marg, New Delhi. Copies of the Charter can also be sent for information of members of the Department Related Parliamentary Standing Committee or be given to them during the next meeting.

Copies of the Charter should be available for free distribution to the Citizen's / Client's through the Ministry's / Department's Reception and /or the Information Facilitation Counters, where ever functional. The main aspects of the Charter may be displayed in the Reception / waiting area of the Ministry / Department or display the contact details of the person from whom a copy of the Charter can be obtained. Circulate printed copies of the Charter to stakeholders as appropriate.

Step 8: Ensure implementation of Charter by staff

This step explains the tasks required for ensuring that staff of the Ministry/Department delivers services in accordance with the service standards laid down in the Charter.

Task 1: Send communication to all staff

Send a communication to all staff members enclosing the Charter and advising them on how they will be delivering services in accordance with standards laid down in the Charter.

Task 2: Conduct training/orientation sessions for staff on Citizen's Charter

Ensure that all the functionaries within the department throughout the vertical chain must be aware of the contents and use of the charter through training. A presentation on the contents of the charter can be prepared centrally, and then presented to the functionaries at various levels through the hierarchy. E.g. the head office makes a presentation to the state level, state level makes a presentation to district level and district level officials present to block level, block level officials present to lower level functionaries etc.

Step 9: Initiate process for Sevottam compliance by Responsibility Centres

This step explains the responsibility of the Ministry/Department in ensuring that the Responsibility Centres under its administrative control also achieve Sevottam compliance.

Task 1: Provide inputs to Responsibility Centres

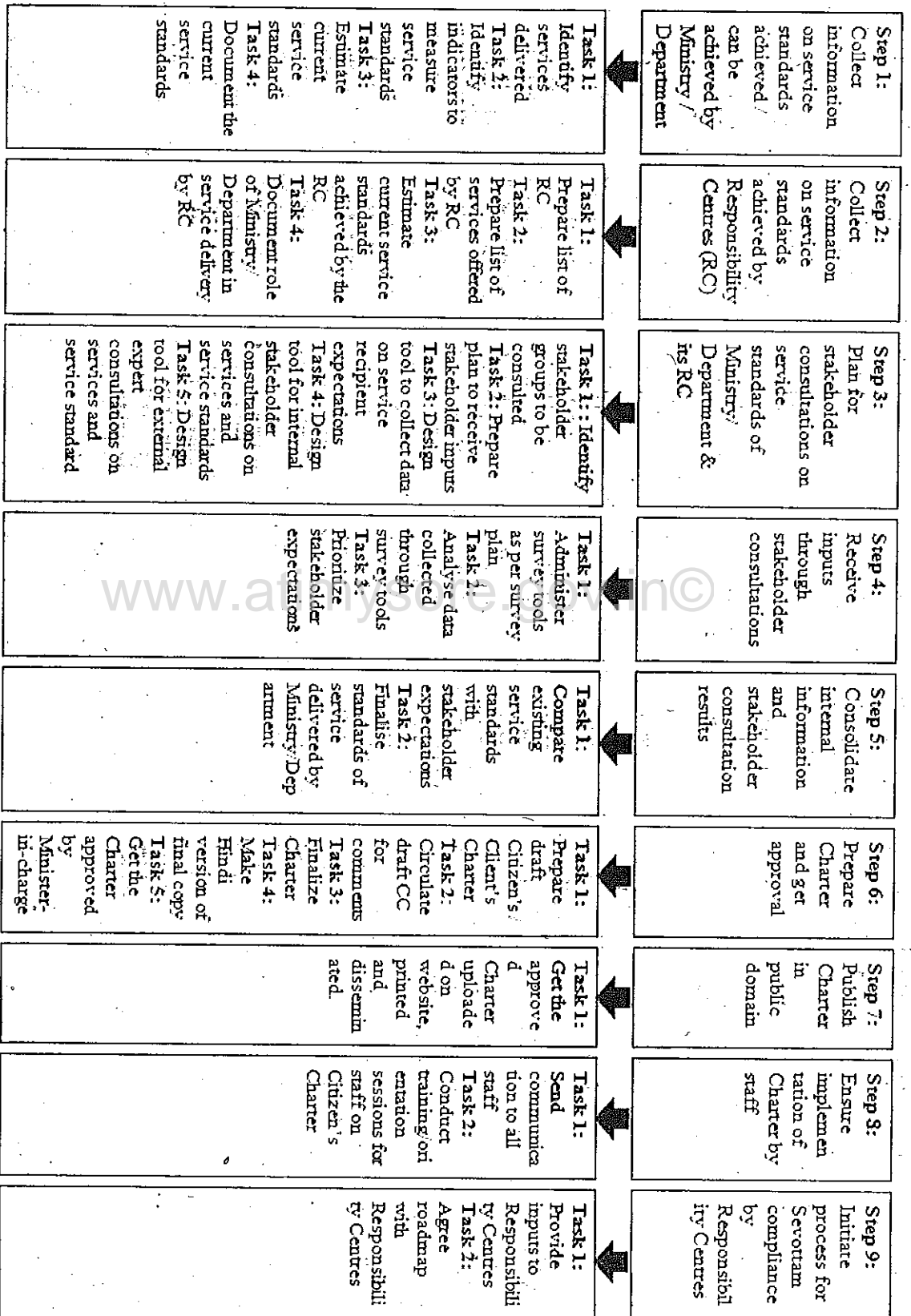
Provide inputs to Responsibility Centres to design and implement Sevottam compliant Citizen's Charters.

Task 2: Agree roadmap with Responsibility Centres

Discuss and agree on a roadmap with Responsibility Centres on achieving Sevottam compliance by the Responsibility Centres.

The following figure shows the above process in a schematic form.

CHARTER DESIGN AND IMPLEMENTATION PROCESS – AT A GLANCE



CHAPTER 4

FORMATS FOR GRIEVANCE REDRESS MECHANISM

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4. Formats for Grievance Redress Mechanism

The Grievance Redress Mechanism for a Ministry/Department/ Responsibility Centers should cover the three processes of receipt, redress, and prevention and should contain information in the following sections:

- i. Information on receipt
- ii. Communications to complainant
- iii. Criteria for classification
- iv. Time norms for redress
- v. Level of responsibility for Redress
- vi. Analysis and prevention

In what follows, each process section is described briefly.

i. Information on receipt

Every Central Ministry/Department/Responsibility center shall identify the place, time, and personnel for receiving grievances brought personally by the complainant or received by post. Such a person should ideally be a part of the information facilitation counter or the reception or an as an arrangement in the form of an internal desk/unit/section/division in an office. He/she would be responsible for receiving the grievances, issuing the acknowledgment receipt simultaneously and maintain the record in the format given below. In case of online system the acknowledgement should be sent automatically.

To ensure that all relevant particulars are available for further actions to be taken, full details must be recorded at the time of receiving a grievance or complaint as shown below and an additional column should be provided for tracking date of redress:

#	Date of Receipt	Particulars of Citizen / Client				Particulars of the Grievance			Date of Acknowledgement Date of Redress
		Name	Address	Landline/ Mobile / Email	Whether Acknowledgment given at the time of receipt	Subject of the grievance	Office	Brief Description	
1	2	3	4	5	6(Yes / No)	7	8	9	10

Information under Chapter 4, Section (ii) c, of these guidelines must also be furnished.

ii. Communication to complainant

At the time of acknowledgement, the complainant should be provided with the following information:

- a. Grievance number to facilitate monitoring and reminders by complainants
- b. Expected time of redress (Prescribed maximum time limit for completion of redress is three months)
- c. If not addressed within expected time, action to be taken by complainant

If the grievance is not redressed within the expected time, the complainant should be provided with the following information by the person responsible for receiving the manual/postal grievances:

- a. Information on reasons for delay
- b. Updated expected time of redress
- c. If not addressed within expected time, action to be taken by complainant

At the time of final redress, the complainant should be provided with the following information by the office responsible for redress of the grievances:

- d. Action taken for redress
- e. If not satisfied with the redress action, avenues for pursuing the matter further

The information should be given in the same letter/order through which the final decision on redress is conveyed to the complainant.

iii. Criteria for classification

Different types of grievances or complaints need different responses or ways to respond to them. Therefore the grievance must be categorized to facilitate action appropriate to the type of grievance. The Department of Administrative Reforms and Public Grievances has provided five broad suggestive criteria under which the Ministry/Department can categorize their grievances. These five criteria can be listed in the following format:

#	Criteria	Grievance Category
1.	Charter related	
2.	Policy related	
3.	Personnel related	
4.	Pensioners' related	
5.	Vigilance related	

iv. Time norms for redress

Based on the criteria listed as above time norms for redress must be laid down as shown below:

#	Grievance Category	Time Norm for Redress

v. Level of Responsibility for Redress

In order to ensure that grievances are addressed within the prescribed time norms, the GRM should define the levels of responsibility for redress of each category of grievances and their time norms. In case the grievance is not redressed at a particular defined level then an avenue should be available to the complainant to approach the next higher authority. The responsible officials at each level should alert their next superior official well in time if a grievance is likely to exceed the prescribed time norm. The next higher authority should call for a report to redress escalated grievances.

They can then take appropriate action without the complainant having to repeatedly remind or pursue the issue. The table for level of responsibility for Redress must contain the following information as applicable:

#	Type of Grievance	Time line for redress at Level 1	Time line for Level 2	Time line for Level 3	Time line for Level 4

vi. Analysis and Prevention

Grievances can be viewed as free inputs to the organizations, to understand the expectations of service recipients better and initiate systemic reforms to meet those expectations. Ministries/Departments must analyze why they are receiving particular types of grievances more frequently than others. Such grievance prone areas need to be identified and analyzed for bringing about necessary changes proactively.

A format for root cause analysis of grievance prone areas is as follows:

#	Date and description of Grievance	Grievance prone areas identified	Root cause identified	Action required to improve system	Planned date and Authority responsible for taking action	Action taken date

Periodic Review - The Ministry/Department should have a system in place to call for monthly reports on grievance redress from Responsibility centers. The report should also contain information regarding the status of unaddressed/ unresolved grievances. In case of an automated system the monthly report should be able to automatically generate this information. All Ministries/ Departments should also consolidate the grievances redressed and pending at their own level on a monthly basis. The Director of Public Grievances of the Ministry/Department should review the grievances pending at their own level and with the Responsibility centers periodically.

Concluding Remarks

The above formats show the minimum format requirements for GRMs. Ministries/Departments can improvise and add on to the above formats to make their GRMs more efficient and effective. Although it is theoretically possible to maintain these formats manually, in order to implement them practically in situations where the volume of grievances is very large, it will be necessary to install an electronic system for recording receipt of grievances, issuing alerts when prescribed time norms are exceeded, and retrieving data at periodic intervals for conducting root cause analysis. A web based system (CPGRAMS) is being used in the Central Government to manage grievances received by the Department of Administrative Reforms and Public Grievances (DAR&PG), President's Secretariat, Directorate of Public Grievances (DPG) under Cabinet Secretariat and Ministries/Department. This system is designed and managed by the DARPG. A large percentage of such grievances received at the highest level are redressed at local/subordinate level. This system facilitates the higher organizations to send such grievances at a nodal point in each Ministry/Department from where they are further sent to the concerned office where it eventually gets redressed.

The Director of Public Grievances (a JS level officer) in each Ministry/Department is using the system by accessing it through a user name and password given by DARPG. All grievances received by the President's Secretariat, Directorate of Public Grievances (DPG) under Cabinet Secretariat and DARPG are forwarded electronically to the concerned Director of Public Grievances. The Prime Minister's office will also be shortly connected to this system. The CPGRAMS has a facility for the Director of Public Grievances to create similar accounts for their subordinate offices and Responsibility centers that can further create their account till the last level. A facility is also provided for categorization and classification of grievances. The grievances are normally redressed at a decentralized level and higher formations that receive them can monitor the progress of redress received by them on a specially designed monitoring desk. A new upgraded version of CPGRAMS will be launched shortly and a multimedia CD on "How to use the CPGRAMS" is provided as part of the workshop kit. A copy will also be made available on the website – www.pgportal.gov.in at the link helpdesk. Any query about the CPGRAMS can be sent by email to cpgrams-darpg@nic.in. Many organizations having a large public interface may require special arrangement at local level to deal with grievances within their domain. In such cases CPGRAMS may not be useful for their purpose and may require installation of special software for their own use.

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CHAPTER 5

GRIEVANCE REDRESS MECHANISM DESIGN AND IMPLEMENTATION PROCESS

5. Grievance Redress mechanism

This section describes the step by step process for managing the GRM.

Step 1: Design of GRM

This step explains the information required for setting up new GRM/reviewing existing GRM, and how it is identified and collected. This step consists of four tasks described below.

Task 1: Prepare list of data items to be captured in the GRM

Prepare a complete list of data items required in the system for both static and dynamic data elements. Static (or master) data includes information on the offices, responsibility centers, and all subordinate offices for which grievances are received in the Ministry/Department either through post or online or manually. A list of all possible types of grievances that are expected to be received in the Ministry/Department, categorization of grievances as per criteria defined above, level of responsibility for redress and timelines for redress for each level is also part of the static data. For dynamic (or transaction) data, prepare a list of the data elements that need to be captured for each complainant the time of receipt including complainant details, complaint description, and any other information to be provided by the complainant.

Appendix XI shows information to be collected on receipt of grievance - Example from Central Board of Excise and Customs

Task 2: Prepare the internal process flow chart for GRM

Prepare a process flow for grievances to enter and flow through the organizational hierarchy of the Ministry/Department up till the final point where it will be redressed. It must be ensured that the process does not make it cumbersome for the complainant to lodge a grievance and track it while it is pending for redress. It must also be ensured that the process is optimized to ensure fastest possible redress. At a very high level, the process flow will be the same for all grievances that flow through the GRM. However, the actual process for redress after it reaches the dealing hand may be different depending upon the type of service to which the grievance is related. For the purposes of GRM process flow, only the high level process flow chart needs to be prepared. It is assumed that the process flow for redress at the level of the dealing hand is known to the dealing hand and that process is specific to each dealing hand.

Step 2: Implementation of GRM

This step explains how the GRM is to be implemented across all offices, divisions, Responsibility Centers, and Subordinate offices of the Ministry/Department.

Task 1: Implement the process flow through existing systems

The existing system requires that each Ministry/Department should designate a JS level officer as Director of Grievances. The Director of Grievances should ensure that nodal officers of grievances are nominated at each of the Responsibility Centers. The Director of Grievances has also been assigned under the CPGRAMS, and grievances received on the CPGRMS by DARPG, DPG Cabinet Secretariat, President's Secretariat and directly by Ministry/Department through the web should be directed to his account. Furthermore, the system is implemented through manual, semi-automated, fully automated system whatever is available at present.

Task 2: Training/Workshops on GRM

Identify the officials at the apex level who will be implementing the process documented as above and ensure that they are aware and trained in respect of their role in implementation of the process flow.

Task 3: Initiate process for automation related decisions

Take a view on the feasibility of implementing the process in its entirety through a manual, semi-automated, or fully automated system and initiate actions required for automation as appropriate. The process for the ongoing GRM activities will vary with the degree of automation. Furthermore, actual implementation of the complete process flow documented as above is aligned with the automation plans of the Ministry/Department.

Task 4: Launch the GRM

Ensure that the GRM is working as laid down in the process flow charts and approved for implementation so that when the GRM is publicized and service recipients actually try to use it, it actually works. If the task involved in implementing the entire process flow is too huge to take up in one go, the same may be taken up in phases within the outer limit of 1 year.

Task 5: Publicize the GRM

Conduct a publicity campaign to make service recipients aware of the GRM in alignment with the process flows in the GRM that are actually working as in above task. The basic information regarding GRM is also made available through the Citizen's Charter.

Step 3: Grievance Prevention

This step explains how grievances are analyzed in order to make the GRM efficient as well as effective.

Task 1: Conduct systemic analysis

Retrieve data on all grievances received during the last month or quarter as appropriate for your Ministry/Department. Using the information on grievance description and subsequent redress provided to the complainant, identify the root cause behind each grievance.

Task 2: Identify grievances prone areas and remedial actions

Identify the most frequent types of grievances and the most frequent causes behind the grievances. Also identify remedial measures on how the Citizen's Charter, the service delivery system and/or the GRM need/s to be modified in order to prevent the root causes from recurring.

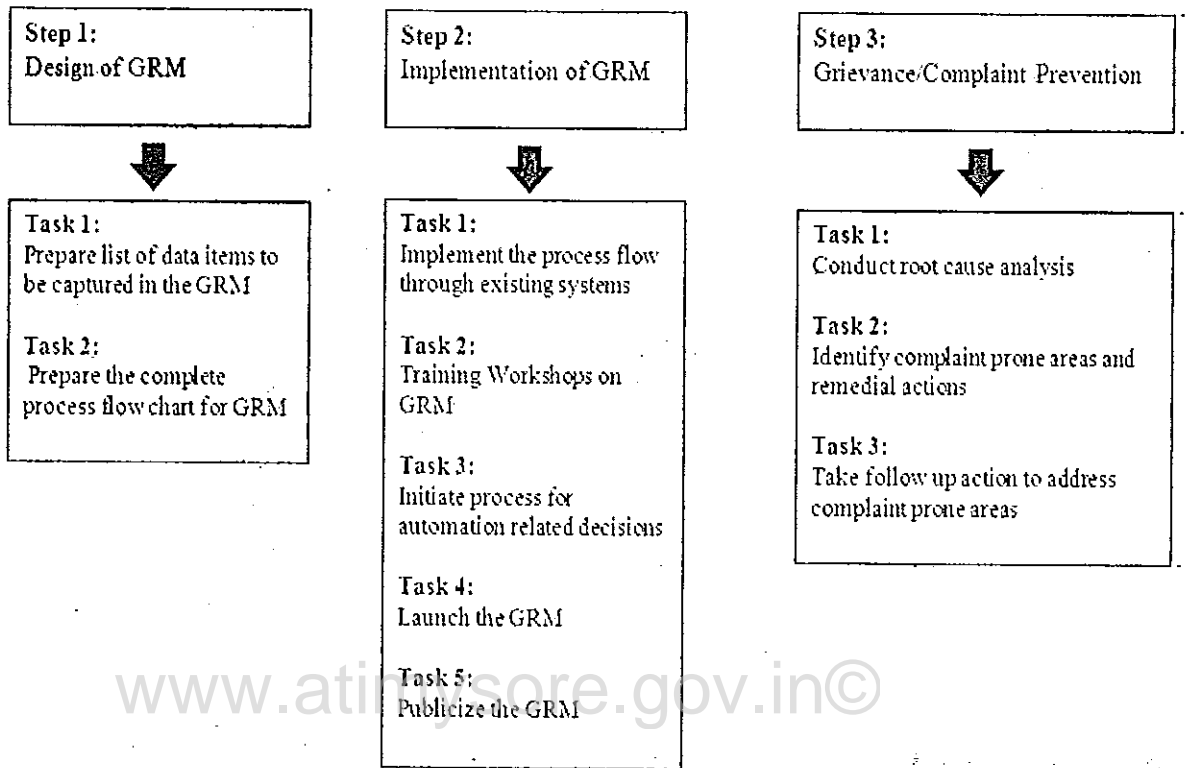
Appendix XII shows an example of how grievance prone areas and remedial actions were identified for Employees Provident Fund Organization.

Task 3: Take follow up action to address grievance prone areas

Assign the remedial actions identified to appropriate personnel depending on the nature of action which could range from localized process improvements to apex level policy changes. Appropriate decisions are required for policy level decisions and these are referred to the competent authority for further action. Localized process improvements are identified and implemented quickly in a time-bound manner with clear responsibilities assigned to appropriate functionaries. Every quarter, results of the previous quarter's analysis should be reviewed to ensure that there is no backlog in the localized process improvements.

The following figure shows the above process in a schematic form.

GRM DESIGN AND IMPLEMENTATION PROCESS - AT A GLANCE



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CHAPTER 6

INSTITUTIONAL ARRANGEMENTS FOR DESIGN AND IMPLEMENTATION

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6. Institutional Arrangements for Sevottam Compliance

Institutional Arrangements refer to organizational structures including delegation, distribution, or sharing of roles and responsibilities related to designing and implementing any organizational initiative. In the context of Sevottam compliance, institutional arrangements are the organizational structures needed to ensure that the compliance requirements are properly designed, deployed and monitored to suit the specific context of the Ministry/ Department. Ministries/Departments need to create new arrangements for the activities and tasks that are not being done at present, in alignment with the arrangements that exist for the tasks that are already underway.

The following sections explain the institutional arrangements at the Ministry/Department level required for the present purpose.

1. Steering Group at the Apex level

Steering Group is responsible for ensuring that appropriate policies and processes have been laid down in respect of design and implementation of Citizen's / Client's Charter and Grievance Redress Mechanism (GRM). This includes setting time frames for review and revision of the Charter and GRM so that the same is periodically updated in line with emerging requirements.

Chairperson: Secretary heading the Ministry/Department

Members: Senior most functionaries responsible for policy and design of service delivery processes for all services delivered by the Ministry/Department, its Responsibility Centers, and its Subordinate Offices.

Member Secretary: A Joint Secretary level officer should be made the Nodal Officer, responsible for Citizen's / Client's Charter and Grievance Redress Mechanism. The Member Secretary may also be designated as Sevottam Champion at the apex level.

Member Secretary is responsible for preparing the agenda and convening meetings of the Steering Group in order to get the required policy decisions taken for setting and achieving service standards by the Ministry/Department, its Responsibility Centers, and its Subordinate Offices.

2. Working Group/Task Force at the Apex level

Chairperson: Member Secretary of the Steering Group

Members: Divisional heads responsible for ensuring that service standards as laid down in the Charter are actually being implemented in the Ministry/Department, its Responsibility Centers, and its Subordinate Offices.

Member Secretary: Senior functionary to be appointed by the Chairperson for coordinating and communicating with various functionaries and/or committees responsible for delivery of services as per standards laid down in the Charter.

Member Secretary is responsible for preparing the agenda and convening meetings of the Working Group in order to disseminate the decisions taken by the Steering Group and to deliberate on implementation modalities.

3. Implementation Committees at the Ministry/Department level

There will be multiple implementation committees in each Ministry/Department depending upon the number of separate Divisions, Responsibility Centers, and Subordinate Offices under the Ministry/Department.

Chairperson: Departmental/Divisional, Responsibility Centre, or Subordinate Office, Head

responsible for each service/group of services.

Members: Departmental/Divisional Head direct reportees responsible for ensuring implementation of service delivery processes for all services delivered by the Department/Division

Special Invitee: Member Secretary of the apex level Working Group/Task Force will be a special invitee to all the Implementation Committees.

Special Invitee will be responsible for ensuring that the decisions taken by the Steering Group and the Working Group/Task Force at the apex level are communicated to the Implementation Committee for taking appropriate action at their level.

Member Secretary: Nodal Officer responsible for Citizen's / Client's Charter and Grievance Redress Mechanism at the Departmental/ Divisional, Responsibility Centre, or Subordinate Office level. The Member Secretary may also be designated as Sevottam Champion at the Departmental/ Divisional, Responsibility Centre, or Subordinate Office level as applicable.

Member Secretary is responsible for preparing the agenda and convening meetings of the Implementation Committee in order to disseminate the decisions taken by the Working Group and to deliberate on implementation modalities at the next level.

Next level Implementation Committees may be formed at Regional/subordinate offices depending on the need and the structure of the organization.

Appendix XIII shows a real life example of institutional arrangements at CBDT which has implemented Sevottam through the Aaykar Seva Kendras.

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CHAPTER 7

ENSURING SEVOTTAM COMPLIANCE

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7. Ensuring Sevottam Compliance

The Sevottam framework has been developed with the overarching objective of improving the quality of public service delivery in the country. The framework has three components: Citizen's Charter, Grievance Redress Mechanism and Service Delivery Capability.

The first component of the framework requires effective charter implementation thereby opening up a channel for receiving citizen's inputs into the way in which organizations determine service delivery requirements. Citizen's Charters publicly declare the information on citizens' entitlements; making citizens better informed and hence empowering them to demand better services.

The second component of the framework, 'Public Grievance Redress' requires a good grievance redress system operating in a manner that leaves the citizen more satisfied with how the organization responds to complaints/grievances, irrespective of the final decision.

The third component 'Service Delivery Capability', postulates that an organization can have an excellent performance in service delivery only if it is managing the key ingredients for good service delivery well, and building its own capacity to continuously improve delivery.

The current focus of the RFD policy is on the first two components. For them to be Sevottam Compliant they have to meet two levels of assessment criteria:

7.1 Compliance Assessment

This part of the assessment acts as a screening mechanism to filter out organizations that do not meet the basic requirements to even enter the assessment process. Currently it consists of 5 criteria that ascertain whether the organization has started applying some tools that can improve service delivery and is therefore likely to benefit from the assessment process. The criteria are articulated in the form of questions that offer binary choices ("Yes/No"). We go to the next level of assessment only after all questions in the first level have been answered in the affirmative:

Table 1: First level of Sevottam Compliance

	YES	NO
i. Has the department published an approved Citizen's Charter?		
ii. Has the department circulated the Charter among service delivery units?		
iii. Has the department appointed a senior officer as Director of Public Grievances / Nodal officer for Citizens' Charter for the Department?		
iv. Has the department set up a task force for formulation, implementation and review of Citizen's Charter as per standards & for conducting self-assessment with involvement of representative citizen groups?		
v. Has the department published grievance lodging and redress procedure, and timelines for redress?		

7.2 Process Quality Assessment

This part of the assessment acts as a rating mechanism to assess the quality of tool application and its utilization for improved service delivery. It consists of 11 criteria for each of the modules, viz. Citizen's Charter and Public Grievance Redress Mechanism, thereby comprising 22 criteria in all. These criteria ascertain the extent to which the organization is applying service delivery improvement tools in a systematic manner and is able to learn from experience. The criteria are articulated in the form of questions that can invite rating on a five-point scale ranging from "ad hoc" to "systematic" action. The rating given in response to each question needs to be backed up by evidence attached with the application. Each Ministry/ Department that is participating in the RFD for the year 2010 -11 should carry out a self assessment on the 22 criteria under the Sevottam Framework. The Ministry/ Department should then send an application along with the Self assessment format to the Performance Management Division by 31 Dec, 2010. An organization that scores well on these criteria deserves commendation for having understood the utility of service improvement tools and for putting this understanding to good use.

The following 22 questions listed in Table 2 on the next page need to be cleared adequately in the second level of Sevottam compliance. For Sevottam compliance a Citizen's Charter for a department would need to get an average score of 4 and a minimum of 3 in all indicators.

7.3 Who will do the Quality Assessment for Sevottam Compliance?

The assessment of degree of Sevottam compliance of departmental Citizen's Charters' according to criteria mentioned in Tables 1 and 2 will be done by a third party authorized by the Performance Management Division, Cabinet Secretariat

Table 2: Second Level of Sevottam Compliance

No.	Module/Criteria/Element	Systematic					Ad-hoc
		5	4	3	2	1	
1	Citizens' Charter						
1.1	Charter Implementation						
1.1.1	How do you determine and/or distinguish the citizen groups as also your stakeholders and what services do you offer to them?						
1.1.2	How do you meet the service expectations of your citizen groups?						
1.1.3	How do you ensure that services and their standards as described in the charter are in accordance with expectations of citizen groups identified above?						
1.1.4	How do you ensure that preparation and/or review of the charter is participatory and inclusive of all your citizen groups?						
1.1.5	How do you ensure that frontline staff and citizen groups are aware of the charter and can understand its contents easily for compliance?						
1.2	Charter Monitoring						
1.2.1	How do you measure and track service delivery performance of different outlets against charter contents?						
1.2.2	How do you communicate the gaps in service delivery to officer/team responsible for charter monitoring and to the outlets concerned?						
1.2.3	How do you fill the observed and/or reported gaps?						
1.3	Charter Review						
1.3.1	How do you find out whether your charter is serving its purpose and take measures to enhance its effectiveness?						
1.3.2	How do you incorporate legislative changes (e.g. introduction of Right to Information Act, etc.) and other relevant provisions/developments in your charter revision process?						
1.3.3	How do you ensure that frontline staff and the citizens are aware of the basis for making changes as above?						

No.	Module/Criteria/Element	Systematic					Ad-hoc
		5	4	3	2	1	
2	Grievance Redress Mechanism						
2.1	Grievance Receipt						
2.1.1	How do you prepare and implement guidelines for spreading awareness on public grievance process and ensure that citizens get the information they need?						
2.1.2	How do you prepare and implement guidelines for recording and classifying grievances?						
2.1.3	How do you prepare and implement guidelines for multiple channels of grievance redress such as toll-free telephone lines, web site, etc.?						
2.2	Grievance Redress						
2.2.1	How do you determine time norms for acknowledgement, and redress of grievances/complaints received?						
2.2.2	How do you ensure that the time norms as above are adhered to?						
2.2.3	How do you continuously improve the system and use forums like Jan Sunwai, Lok Adalats and other single window disposal systems to expedite grievance redress?						
2.3	Grievance Prevention						
2.3.1	How do you use grievance analysis while preparing annual action plans and strategy of the organization?						
2.3.2	How do you find out grievance prone areas and communicate them to the officer/team responsible for service delivery improvement and to the Public Grievance Redress Officer?						
2.3.3	How do you link grievance analysis to charter review and to other guidelines so that complaint prone areas are improved upon?						
2.3.4	How do you measure and track the progress on improvements required to reduce complaint prone areas?						
2.3.5	How do you ensure that frontline staff and the citizens are aware of improvements made in grievance redress mechanism?						

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CHAPTER 8

EVALUATION OF CITIZEN'S / CLIENT'S CHARTER AND GRIEVANCE REDRESS MECHANISM

8. Evaluation of Charter / GRM Implementation

Even if the Citizen's Charter and GRM are well drafted and the process of developing is Sevottam Compliant, there is no guarantee that they will be implemented effectively. To ensure that they are implemented effectively, the following procedure will be followed:

1. Each department will be asked for a list of clients and citizens that interacted with them.
2. Then a few of the citizens / clients will be picked up at random.
3. These citizens / clients will be contacted to get their view on the relative importance of each service availed and to find out whether the promises made in the Citizen's Charter / Grievance Redress Mechanism were delivered.
4. Based on the findings, the department will be given a single score on the following scale:

Excellent	Very Good	Good	Fair	Poor
100 %	90%	80%	70 %	60 %

This exercise will be conducted by specially designated teams appointed by the Performance Management Division, Cabinet Secretariat.

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APPENDICES

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Appendix I: Listing and classification of services - Example of Kendriya Vidyalaya Sangathan

List of Services	
Type of Service	Service
Admissions	Scrutiny of registration forms received for admission by the Admission Committee
	Issue notification for admissions for the next academic year
	Issue of prospectus with registration forms to the parents desirous of admission of their wards.
Examination	Conduct Half yearly Examination based on the coverage of syllabus up to 31st October of the academic year
	Conduct Annual Examination based on the whole syllabus
	Conduct the 1 st Pre Board Tests for classes X and XII

Appendix II: Indicators for service standards – Example of Central Board of Excise and Customs

RC	Service Name	Indicator
Customs (Imports and General)	Issue of acknowledgement receipt	Turn Around Time
	Clearance of Bill of Entry	Turn Around Time
	Grant CHA licences	Turn Around Time
	Issue G& H cards	Turn Around Time
	Registration of Bill of Entry	Turn Around Time
DGICCE Office	Issue of acknowledgements for all correspondence received from a retired employee	Turn Around Time
	Provide final decision on pension claim for all retired employees	Turn Around Time
	Issue of acknowledgement receipt for every public grievance	Turn Around Time
	Resolution of a public grievance	Turn Around Time
Central Excise	Issue of Acknowledgements in all written communication including declarations, intimations, applications and returns like ER-I, ER-II, ER-III	Turn Around Time
	Issue of Acknowledgements for Registration, Refunds/Rebates, CT-1 applications, Undertakings/Bonds/ SSI declarations	Turn Around Time
	Disposal of Rebates claims	Turn Around Time
	Disposal of Refunds claims	Turn Around Time
	Issue of deficiency memo in case any deficiency is noticed in the refund/rebate claim to the party	Turn Around Time
Service Tax	Issue of Acknowledgements for Centralized Registration	Turn Around Time
	Issue of deficiency memo in case any deficiency is noticed in the Registration form, to the party	Turn Around Time
	Provide Centralized Registration	Turn Around Time

Appendix III: Estimation of current standards - Example of Central Board of Excise and Customs

RC	Service Name	Standard
Customs (Imports and General)	Issue of acknowledgement receipt	7 days
	Clearance of Bill of Entry	48 Hours/2 days
	Grant CHA licences	1 month/ 30 days
	Issue G& H cards	1 month/ 30 days
	Registration of Bill of Entry	1 hour
DGICCE Office	Issue of acknowledgements for all correspondence received from a retired employee	7 days
	Provide final decision on pension claim for all retired employees	90 days
	Issue of acknowledgement receipt for every public grievance	48 hours
	Resolution of a public grievance	30 days
Central Excise	Issue of Acknowledgements in all written communication including declarations, intimations, applications and returns like ER-I, ER-II, ER-III	24 hours
	Issue of Acknowledgements for Registration, Refunds/Rebates, CT-1 applications, Undertakings/Bonds/ SSI declarations	7 days
	Disposal of Rebates claims	3 months
	Disposal of Refunds claims	3 months
	Issue of deficiency memo in case any deficiency is noticed in the refund/rebate claim to the party	15 days/ 30 days
Service Tax	Issue of Acknowledgements for Centralized Registration	7 Working days
	Issue of deficiency memo in case any deficiency is noticed in the Registration form, to the party	7 Working days
	Provide Centralized Registration	15 Working days

Appendix IV: Formal documentation of service standards - Example of Central Board of Direct Taxes

Service Name	Standard
Allotment of PAN	Within 15 days of receipt of PAN application
Disposal of application for approval to a fund under Section 10(23AAA) of the IT Act	Within 3 months from the end of the month of its receipt
Disposal of application for approval to Hospitals in respect of medical treatment of prescribed diseases	Within 90 days of its receipt
Disposal of application for grant of approval to Institution under Section 80G 5(Vi) of the IT Act	Within 6 months from date on which application was made
Disposal of Application for grant of exemption or continuance thereof to institutions (Hospitals, School, University etc.) under Section 10 (23C) of IT Act	Within one Year
Disposal of Application for no deduction of tax or deduction of tax at lower rate	As early as possible but not later than 30 days of its receipt
Disposal of application for recognition/approval to Provident fund/Superannuation /gratuity fund	Within 3 months from the end of month of its receipt
Disposal of application for registration of Charitable or religious trust on institutions	Within 4 months from the end of month of its receipt.
Disposal of Application for transfer of case	within 60 days of the receipt of application
Disposal of Application seeking extension of time for payment of tax or grant of instalments	Within 1 month from end of the month in which the application is received
Disposal of rectification application	Within 2 months from end of the month in which the application is received.
Issue of refund including interest, if any arising from proceedings other than Section 143(1)	Within 30 days of its determination
Issue of tax clearance certificate under Section 230 of IT Act	On the date of receipt of application or latest by the following working day
Issue of Tax refund along with interest, if any	within 9 months from the end of the months in which the return complete in all respect is received
Redress/disposal of complaints/grievance	Within 2 months from the end of the month of its receipt

Appendix V: List of Responsibility Centers – Example of Ministry of Labour & Employment

ATTACHED / SUBORDINATE OFFICES AND AUTONOMOUS BODIES

Directorate General of Employment & Training (DGE&T): (<http://dget.gov.in>)

- Laying down the policies, standards, norms and guidelines in the area of vocational training throughout the country.
- Co-ordinating employment services.

Office of the Chief Labour Commissioner (Central): (<http://labour.gov.in/clc>)

- Prevention, investigation and settlement of industrial disputes in the Central sphere.
- Enforcement of awards and settlements.
- Implementation of labour laws in industries and establishments in respect of which, Central Government is the appropriate Government.
- Verification of membership of Unions affiliated to the Central Organizations of Workers for giving them representation on national and international conferences and committees.
- Enforcement of the provisions of the Minimum Wages Act in the Central Sphere establishments.
- Authorized to adjust Variable Dearness Allowance (VDA) every six months effective from 1st April and 1st October every year on the basis of 6 monthly averages Consumer Price Index for the preceding six months ending 31st December and 30th June respectively.

Directorate General of Factory Advice Service and Labour Institutes (DGFASLI): (<http://dgfasli.nic.in>)

- Safety, health and welfare in factories and docks.
- Coordinating implementation of the Factories Act, 1948 by the State Governments and formulation of model rules.
- Administration of the Dock Workers (Safety, Health and Welfare) Act, 1986
- Undertaking research in industrial safety, occupational health, industrial hygiene, industrial psychology and industrial physiology.
- Providing training, mainly in the field of industrial safety and health, including a diploma course of one year duration in industrial safety which is an essential qualification for appointment of safety officers in factories, 3 months certificate course in industrial health (AFIH) for Doctors for their appointment as factory medical officers.
- Regular in-service training of factory inspectors.
- Implementing the Vishwakarma Rashtriya Puraskar (VRP) and National Safety Awards (NSA) Schemes.

Directorate General, Labour Bureau : (<http://labourbureau.nic.in>)

- Collection, compilation, analysis and publication of statistical data on labour related subjects like employment, wages, earnings, industrial relations, working conditions etc.
- Compilation and dissemination of the Consumer Price Index Numbers for Industrial and Agricultural/Rural Workers.
- Rendering necessary assistance to the State Governments in conducting training programmes in Labour Statistics at State/District/Unit levels.
- Updating the base of Consumer Price Index Numbers for:-
 - i. Industrial Workers from base 2001=100 to 2010=100
 - ii. Agricultural/Rural Labourers from 1986-87=100 to 2004-05=100
- Updating the base of Wage Rate Index Numbers from 1963-65=100 to 2006-07=100.
- Improvement of Labour Statistics, Human Resource Development and Creation of Management Information System.

Directorate General of Mines Safety (<http://www.dgms.in>)

- Enforcement of the provisions of the Mines Act, 1952 and Regulations framed there under {Coal Mines Regulations, 1957, Metalliferous Mines Regulations, 1961, Oil Mines Regulations, 1984, Mines Rules, 1955, Mines Vocational Training Rules, 1966, Mines Rescue Rules, 1985., Mines Crèche Rules, 1966, Coal Mines Pit Head Bath Rules, 1959}
- Enforcement of the provisions of the Electricity Act, 2003 and Indian Electricity Rules, 1956 and Allied Legislations {Factories Act, 1948 : Chapter III & IV, Manufacture, Storage & Import of Hazardous Chemicals Rules, 1989 – under Environmental Protection Act, 1986, Land Acquisition (Mines) Act, 1985, The Coal Mines (Conservation & Development) Act, 1974} as applicable to Mines and Oils fields.

Welfare Commissioners (9 offices):

Providing welfare facilities to the workers employed in the mica, limestone, dolomite, iron ore, manganese and chrome ore mines and in the beedi and cinema industries.

Appendix VI: Service Recipients/Citizens/Clients

Department of Posts: Service Recipients/Citizens/Clients

1. Walk-in Customers in Post Offices
2. Households receiving letters

CBDT: Service Recipients/Citizens/Clients

Tax Payers

Example from the Department of Women and Child Development, Karnataka

The draft citizen charter was circulated to the following stakeholders for review:

- Working Group members
- State ATI, Mysore
- Selected NGOs
- Academicians
- Health Department
- UNICEF

Appendix VII: Survey Plan - Example of Department of Post

	Forenoon (8am – 1pm)	Afternoon (2pm – 8pm)
1 st Period 2 days (Dates...)	4 Teams (2 member each) Day 1 Team 1&2: PO 1 Team 3&4: PO 2 Day 2 Team 1&2: PO 2 Team 3&4: PO 1 Frequency of Observations: Every 15 min	4 Teams Day 1 Team 1&2: PO 1 Team 3&4: PO 2 Day 2 Team 1&2: PO 2 Team 3&4: PO 1
2 nd Period 5 days (Dates...)	2 Teams (2 member each) Day 1 Team 1: PO 1 Team 2: PO 2 Day 2 Team 1: PO 2 Team 2: PO 1 Day 3 Team 1: PO 1 Team 2: PO 2 Day 4 Team 1: PO 2 Team 2: PO 1 Day 5 Team 1: PO 1/PO 2 as per need Team 2: PO 1/PO 2 as per need Frequency of Observations: Every 15 min	2 Teams Day 1 Team 1: PO 1 Team 2: PO 2 Day 2 Team 1: PO 2 Team 2: PO 1 Day 3 Team 1: PO 1 Team 2: PO 2 Day 4 Team 1: PO 2 Team 2: PO 1 Day 5 Team 1: PO 1/PO 2 as per need Team 2: PO 1/PO 2 as per need

Appendix VIII - Tool to capture citizen/client expectations - Example from Department of Woman & Child Development, Government of Karnataka.

Survey of Citizens / Beneficiaries on Sector Standards in ICDS			
This survey is being conducted as part of the pilot project to implement "Sevottam" to improve the quality of service delivery at the Anganwadi centres. It is being done by representatives of PwC on behalf of the Department of Woman and Child Development, Government of Karnataka.			
Supplementary Nutrition Programme			
1. Which of the following beneficiaries must be given food at the anganwadi centre and how?			
	Beneficiary	Cooked & served at AWC	Given as Take home ration
	Children (0-3 years)		
	Children attending pre-school		
	Pregnant women		
	Lactating Mothers		
	Adolescent girls (under KSY)		
	AWW and AWH		
	Others (Pls specify)		
2. How many number of days a week should food be provided at the anganwadi centre for children attending pre-school? 1. All days including Sunday / 2. Weekdays only			
3. At the Anganwadi centre, how many times a day should food be provided for children attending pre-school and at what time?			
	Once a day	Time: _____	
	Twice a day	Time: _____	
4. For food being cooked & served at the AWC, which of the following items do you want? (Pls tick)			
	Food Item	Morning	Afternoon
	Cooked food with curry (Rice and Sambar cooked with vegetables)		
	Cooked food dish (Chitranna, Bisi Bele Bath, Khichdi etc)		
	Amylase Rich Energy Food (AREF)		
	Fortified Ready-to-cook food		
	Cooked locally available food (Jowar, Ragi, Groundnut, Rice flour, Puffed Rice, Green Gram/ Bengal Gram Dal, Jaggery, etc.)		
	Non-cooked foods (Fruits, milk, nuts etc)		
	Energy rich snacks (milk peda, groundnut chiki)		
	Others (please specify)		
5. How many times in a month should take-home ration be distributed at the Anganwadi Centre?			
1. Once a week/ 2. Once every fortnight/ 3. Once a Month/ 4. Once in three months			
6. Which of the following foods do you want as take home ration? (Please specify quantity in kgs/ month in the boxes)			
Tick	Food Item	0 - 3 years	PLM
	Amylase Rich Energy Food (AREF)		
	Fortified Ready-to-cook food		
	Non-cooked foods (Fruits, milk, nuts etc)		
	Energy rich snacks (milk peda, groundnut chiki)		
	Infant food Mix from Ragi Malt/ local food for 6m-3y children		
	Uncooked Rice / Wheat		
	Uncooked local food grains (Jowar, Ragi etc.)		
	Uncooked Dal		
	Others (please specify)		

7. Which of the following supplements do you want to be given at the Anganwadi centre and to whom?			
Supplement	Only children having severe malnutrition (Grade III and IV)	All children attached to anganwadi centre	All Pregnant women attached to anganwadi centre
Iron-Folic Acid Tablets/ Syrup			
De-worming tablets			
Vitamin A Supplement			
Double fortified/ Iodised Salt			
Any other (Pls specify)			
8. Do you have any suggestion regarding SNP services?			
Immunization Services			
1. What should be the frequency of holding immunization sessions? (1. Daily/ 2. Twice a week/ 3. Weekly/ 4. Fortnightly/ 5. Monthly/ 6. Others)			
2. Where should immunizations sessions be conducted? (1. Anganwadi centre/ 2. Sub-centre/ 3. PHC/ 4. Taluk or District hospital / 5. Others)			
3. During what time of the day should immunization session be conducted? (1. Early Morning (8-10) / 2. Morning (10-12) / 3. Mid-day (12-2) / 4. Early Evening (2-4) / 5. Evening (4-6) / 6. All Day (10-4))			
4. Who should be present during the immunization sessions? (1. ANM/ 2. ASHA worker/ 3. Medical Officer / 4. LHV/ 5. AWW)			
5. Do you have any suggestion regarding Immunization services?			
Health Check-up			
1. What should be the frequency of health check-ups? (1. Weekly/ 2. Fortnightly/ 3. Monthly/4. Quarterly/ 5. Half yearly/ 6. Others)			
2. Where should health check-ups be conducted? (1. AWC/ 2. Sub-centre/ 3. PHC/ 4. Taluk or District hospital)			
3. During what time of the day should health check-ups be conducted? (1. Early Morning (8-10) / 2. Morning (10-12) / 3. Mid-day (12-2) / 4. Early Evening (2-4) / 5. Evening (4-6) / 6. All Day (10-4))			
4. Who should conduct the regular health check-ups? (1. ANM/ 2. LHV/ 3. Medical Officer/ 4. Other)			
5. Who should receive the health check-up at the AWC? (1. Malnourished or sick children/ 2. Mentally and Physically Challenged Children/ 3. Pregnant women/ 4. Lactating Mothers/ 5. Should be for all beneficiaries)			
6. Do you have any suggestion regarding Health Check-up services?			
Health Referral			
1. Should health referral service be provided at Anganwadi centre? (Y/N)			
2. Should there be a fixed day allocated for referral cases from AWC at (1. PHC / 2. Taluk or district hospital / 3. Both)			
3. Who should receive the health referrals? (1. Malnourished or sick children/ 2. Mentally and Physically Challenged Children/ 3. Pregnant women/ 4. Lactating Mothers/ 5. Should be for all beneficiaries)			
4. Do you have any suggestion regarding Health Referral services?			
 Nutrition and Health education			
1. How many times a month should NHE sessions be conducted by the health department? (1. Daily/ 2. Weekly/ 3. Fortnightly/ 4. Monthly/ 5. Others)			
2. What should be the frequency of Mothers Meeting sessions held by AWW? (1. Daily/ 2. Weekly/ 3. Fortnightly/ 4. Monthly/ 5. Others)			

Appendix IX: Tool to capture employees' inputs on service standards - Example of Department of Posts

Dear staff member.....

This questionnaire has been designed to understand your perception of your job. Please tell us about the strengths and weaknesses of your work place and working environment. Your suggestions will be kept strictly confidential and will be used for service improvement only.

There are 2 parts to this questionnaire. Please answer all the questions relevant to you.

Thank you for your co-operation

-sd-

Sub post master/Postmaster

..... SO/HO

Name (Optional):-

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(1) How do you rate the services provided to the customers by your post office?

- Very good
- Good
- Satisfactory
- Not satisfactory

(2) How can we better satisfy our customers?

- By providing quick services
- By courteous behavior
- By efficient mail delivery
- Any other (please specify)

(3) Are you aware of the specialized value added services being offered by the post office? (List may be modified to suit the needs of the PO)

- Sale / processing of passport applications Yes No
- International money transfer Yes No
- Postal ID card Yes No
- SB cash delivery at doorstep through postmen Yes No

- ale of packaging materials Yes No
E-payment of bills Yes No

(4) Which branch of this office needs immediate improvement?

Ans _____

(5) What should be done to improve above referred branch?

Ans _____

(6) What are your suggestions to improve quality of services towards the customers?

Ans _____

Questions for delivery staff

Has the public approached you for purchase of stamps?

- Yes No I am not aware of the scheme

(1) Has the public approached you for posting their mail?

- Yes No I am not aware of the scheme

(2) Has the public approached you for receiving SB cash at their door step?

- Yes No I am not aware of the scheme.

(3) What are the problems you face while delivering mail?

- Incorrect addresses/missent letters.
 Non availability of forms and stationery.
 Dealing with the public.
 Others (specify).

(4) Any other suggestions to improve delivery services:-

THANK YOU

Appendix X: Tool to capture external inputs on service standards - - Example from Department of Woman & Child Development, Government of Karnataka.

Component	Sectoral Standards/ Targets	Performance Monitoring Indicators
Supplementary Nutrition Programme		
Kishori Shakti Yojana		
Non-formal Pre-school Education		
Health related services – Immunization		
Health related services – Health Check Ups		
Health related services – Referral Services		
Health related services – Nutrition Health Education		
Support services – Finance		
Support services – Human Resource Management		
Support services – Infrastructure		

Appendix XI: Information to be collected on receipt of grievance - Example from Central Board of Excise and Customs

Criteria for Classification		
#	Criteria	Categories
1.	Charter related	Clearance of Bill of Entry
		Grant of CHA License
		Decision on Pension Claims

Time norms for redress		
#	Grievance Category	Time Norm for Redress
1	Clearance of Bill of Entry	1 working day
2	Grant of CHA License	15 working days
3	Decision on Pension Claims	30 working days

#	Type of Complaint	Time line for redress at Level 1	Time line for Level 2	Time line for Level 3	Time line for Level 4
1	Clearance of Bill of Entry	1 working day	On 2 nd working day	On 3 rd Working day	On 4 th working day
2	Grant of CHA License	15 working days	On 15 th working day	On 20 th working day	On 30 th working day
3	Decision on Pension Claims	30 working days	At the end of 1 months	At the end of 1 month +1 week	At the end of 2 months

Appendix XII: Identification of grievance-prone areas and remedial action - Example of Employees Provident Fund Organization.

Example: Employees Provident Fund Organization:						
#	Date and description of Complaint	Date of analysis and Root cause identified	Most frequent root cause	Action required to improve system	Planned date and Authority responsible for taking action	Action taken date
	15/03/10	31/03/10			15/04/10	
1	Claim not settled	Complainant not aware of time norms	Incomplete claim form	Sample of complete claim form to be displayed at service delivery offices	Regional Provident Fund Commissioner	Actual date when action is taken
2	Claim not settled	Incomplete claim form				
3	Claim not settled	Incomplete claim form				

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Appendix XIII: Example of institutional arrangements Central Board of Direct Taxes

