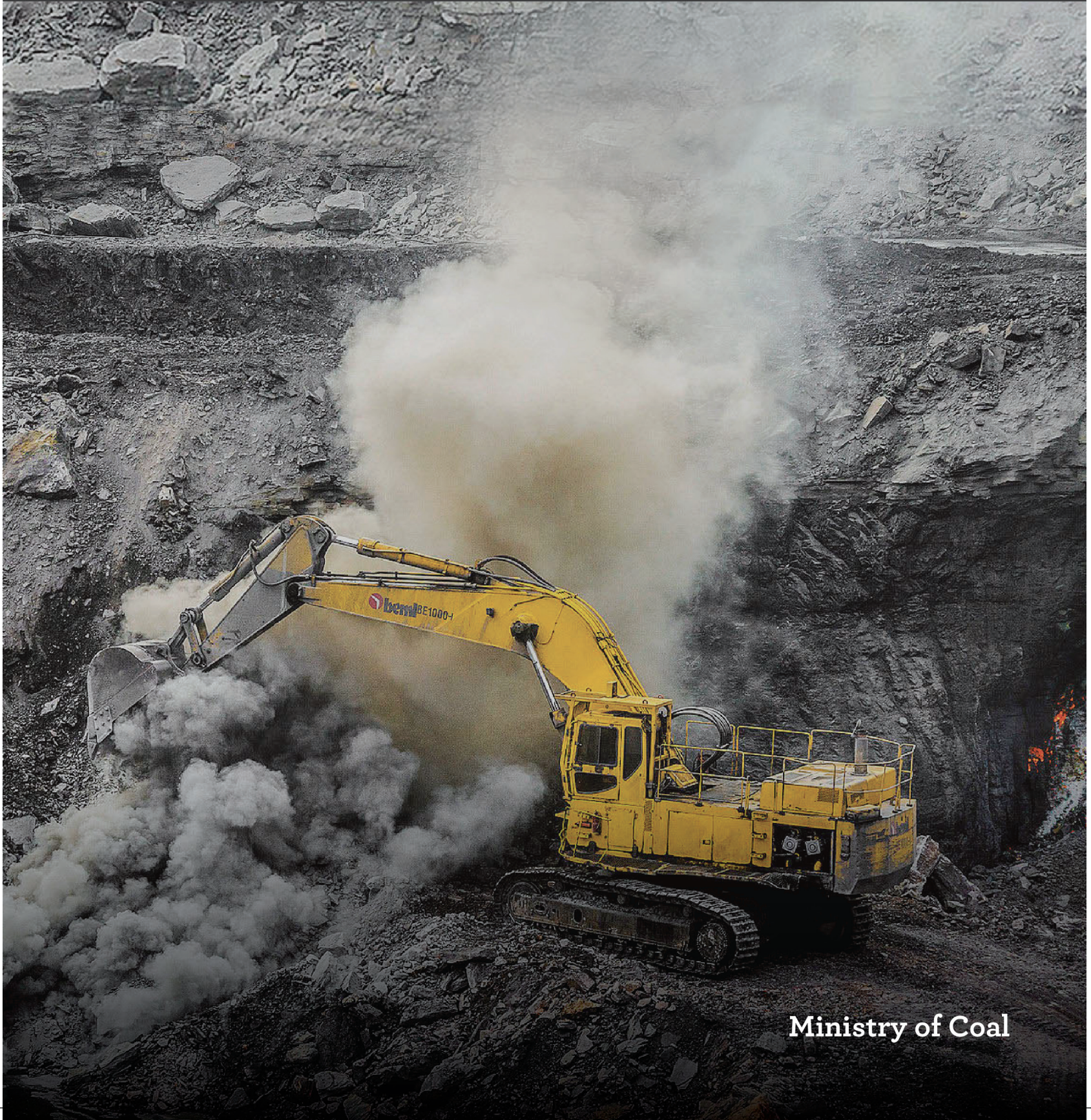
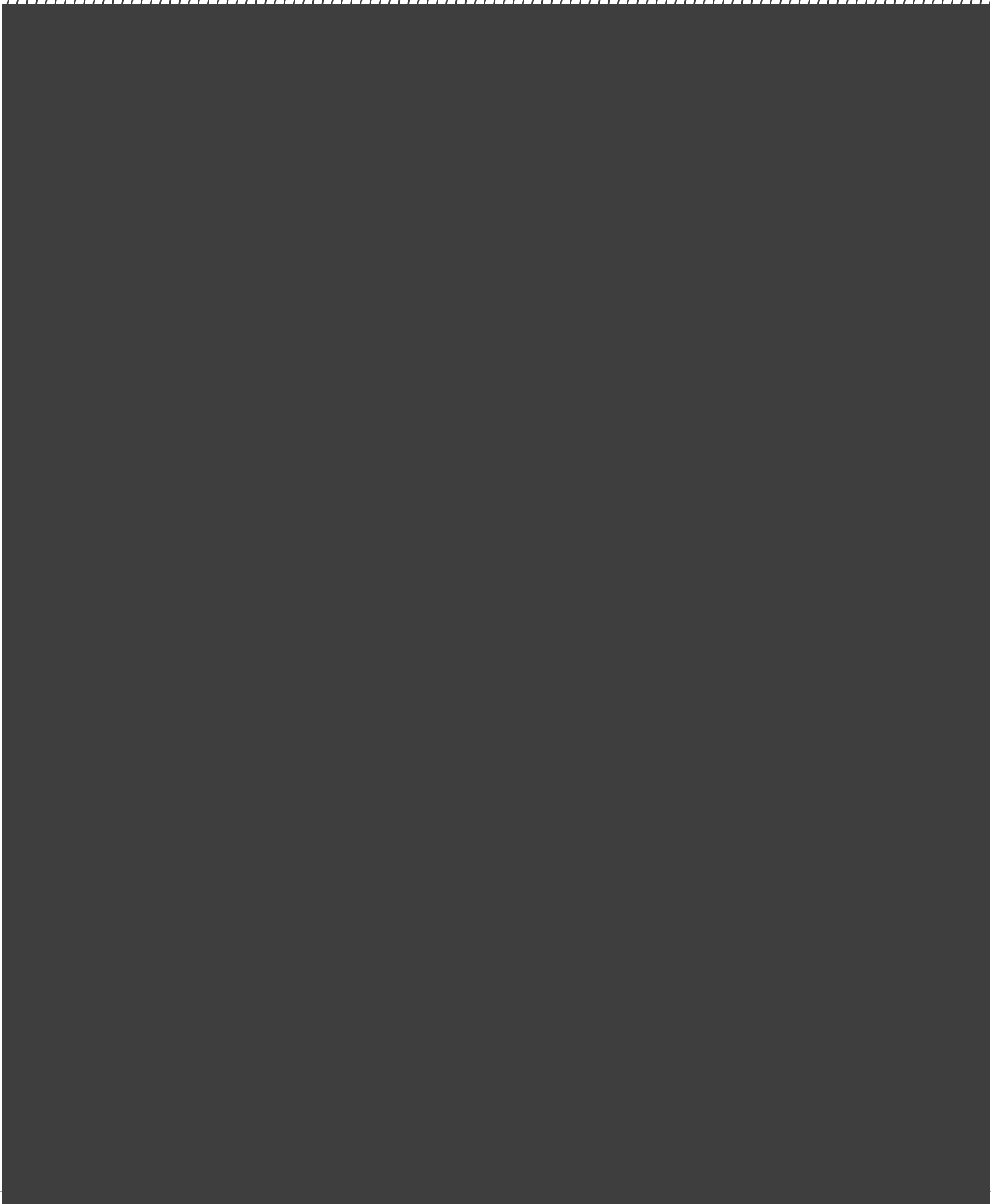




Department of Administrative Reforms and Public Grievances



Ministry of Coal



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Introduction



1.1 CONTEXT

The Department of Administrative Reforms and Public Grievances (DARPG) received 11,94,931 (related to central government) grievances in 2016 across 88 Ministries/Departments through Centralized Public Grievance Redress and Monitoring System (CPGRAMS). This department's role is to facilitate the pursuit of excellence in governance through improvements in government structures and processes, initiatives and dissemination of best practices. Moving towards this goal, the department commissioned a grievance analysis study of top 20 Ministries/Departments receiving high number of citizen grievances. The study involved identification of top grievance categories and recommending systemic reforms. The Parliamentary Standing Committee for Personnel, Public Grievances and Law & Justice recommended conducting similar study for next 20 Ministries/Departments.

1.2 OBJECTIVE

The study carried by Quality Council of India, as per the mandate given by DAR&PG, was conducted from August 2016 to March 2017, covering more than 100 grievance categories across 20 Ministries/Departments. A team of consultants was deployed to understand issues in depth from the officials and collect information from more than 70 domain experts. Moreover, this team of consultants conceived the methodology, process and outcome of the study. It is hoped that this study will bring the necessary third party evaluation into picture for guiding the schemes and providing useful lessons for similar evaluations on a larger scale in future.

1.3 IDENTIFICATION OF 20 MINISTRIES/DEPARTMENTS

The grievances received on the portal provided the source for data analysis. The top 20 Ministries/Departments were covered in the earlier grievance study. This study identifies next 20 Ministries/Departments, based on the number of grievances received by the particular Ministries/Departments (from 01.04.2012 to 31.03.2016). For the scope of this particular report we will be focusing on the Ministry of Coal (S.NO 40).

Table 1: List of 20 Grievance Study Ministries

| S.No | Ministry/Department | Number of grievances |
|------|---|----------------------|
| 21 | Information and Broadcasting | 18,567 |
| 22 | Financial Services (Insurance Division) | 17,840 |
| 23 | Environment, Forest and Climate Change | 17,323 |
| 24 | Corporate Affairs | 17,084 |
| 25 | Consumer Affairs | 16,047 |
| 26 | Agriculture Cooperation and Farmers Welfare | 14,342 |
| 27 | Electronics & Information Technology | 12,729 |
| 28 | Social Justice and Empowerment | 12,637 |
| 29 | Civil Aviation | 12,448 |
| 30 | Rural Development | 11,646 |
| 31 | Drinking Water and Sanitation | 10,723 |
| 32 | Power | 10,392 |
| 33 | Women and Child Development | 9,773 |
| 34 | Economic Affairs | 9,553 |
| 35 | Commerce | 9,509 |
| 36 | Water Resources, River Development & Ganga Rejuvenation | 9,265 |
| 37 | Food and Public Distribution | 8,292 |
| 38 | Housing and Urban Affairs | 7,287 |
| 39 | Defence Finance | 6,604 |
| 40 | Coal | 6,346 |

1.4 INTRODUCTION TO MINISTRY OF COAL

The Ministry of Coal has the overall responsibility of determining policies and strategies in respect of exploration and development of coal and lignite reserves, sanctioning of important projects of high value and for deciding all related issues. Under the administrative control of the Ministry, these key functions are exercised through the Public Sector Undertakings (PSUs), namely, Coal India Ltd. and its subsidiaries and Neyveli Lignite corporation Limited. Other than Coal India Ltd. and Neyveli Lignite Corporation Ltd., the Ministry of Coal also has a joint venture with Government of Andhra Pradesh called Singareni Collieries Company Limited. Government of Andhra Pradesh holds 51% equity and Government of India holds 49 % equity.



11,94,931 grievances
were received on PG portal in 2016
across 88 Ministries/Departments

83% of the grievances
were disposed by Ministries/
Departments in 2016

Rank 40 of 88 Ministries/
Departments (based on the number of
grievances received from 2012-16)

2,823 complaints were
received by Ministry of Coal in
2015-16

70% of grievances were
received by Coal India Limited

11% of the grievances were
received by Coal Mines Provident
Fund Organisation

25% of the grievances were
for pension and provident fund related
issues

18% of the grievances were
for malpractices in the process of
disbursing coal and the process of
allocating contracts

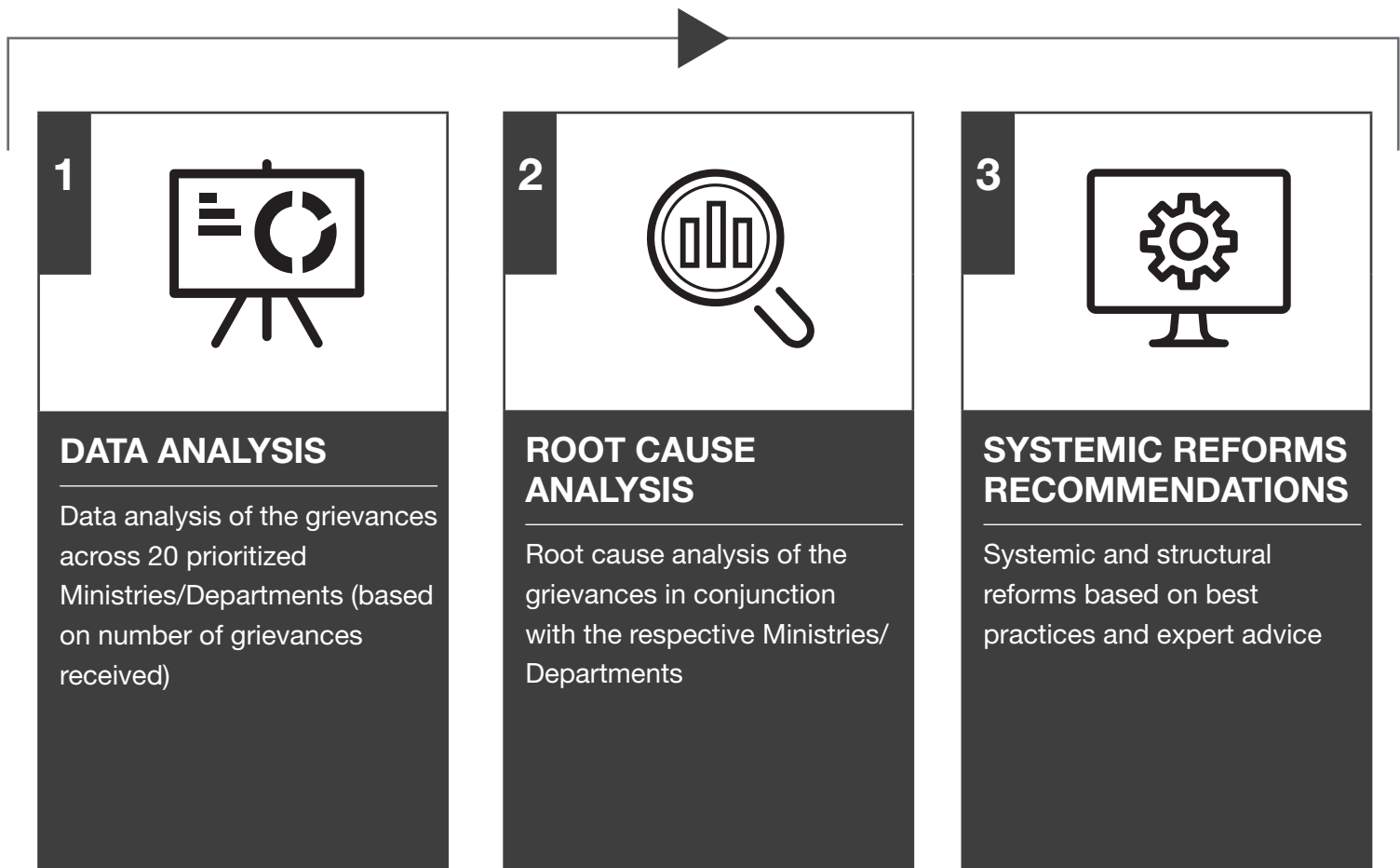
58%* of the grievances will
be impacted, as and when suggested
reforms are incorporated

*The percentage has been computed after multiplying a) Percentage of grievances under shortlisted divisions with, b) Percentage of addressable grievance categories

Deep Dive Grievance Analysis



The three point approach for grievance analysis study includes data analysis, root cause analysis, and systemic reforms recommendations for the service issues.



2.1 DATA ANALYSIS

2.1.1 IDENTIFICATION OF TOP DIVISION

The shortlisted divisions were the ones receiving maximum grievances (from 1.4.2015 to 31.3.2016). The highest grievances were received by Coal India Limited, which accounted for 70% of grievances. Coal India Limited is also appointed by the Ministry as the nodal and regulatory authority for 7 other Subsidiary companies across the country. Another 11% of the grievances were received by Coal Mines Provident Fund Organisation, the apex body responsible for accounting and disbursing entitlements to all retired employees.

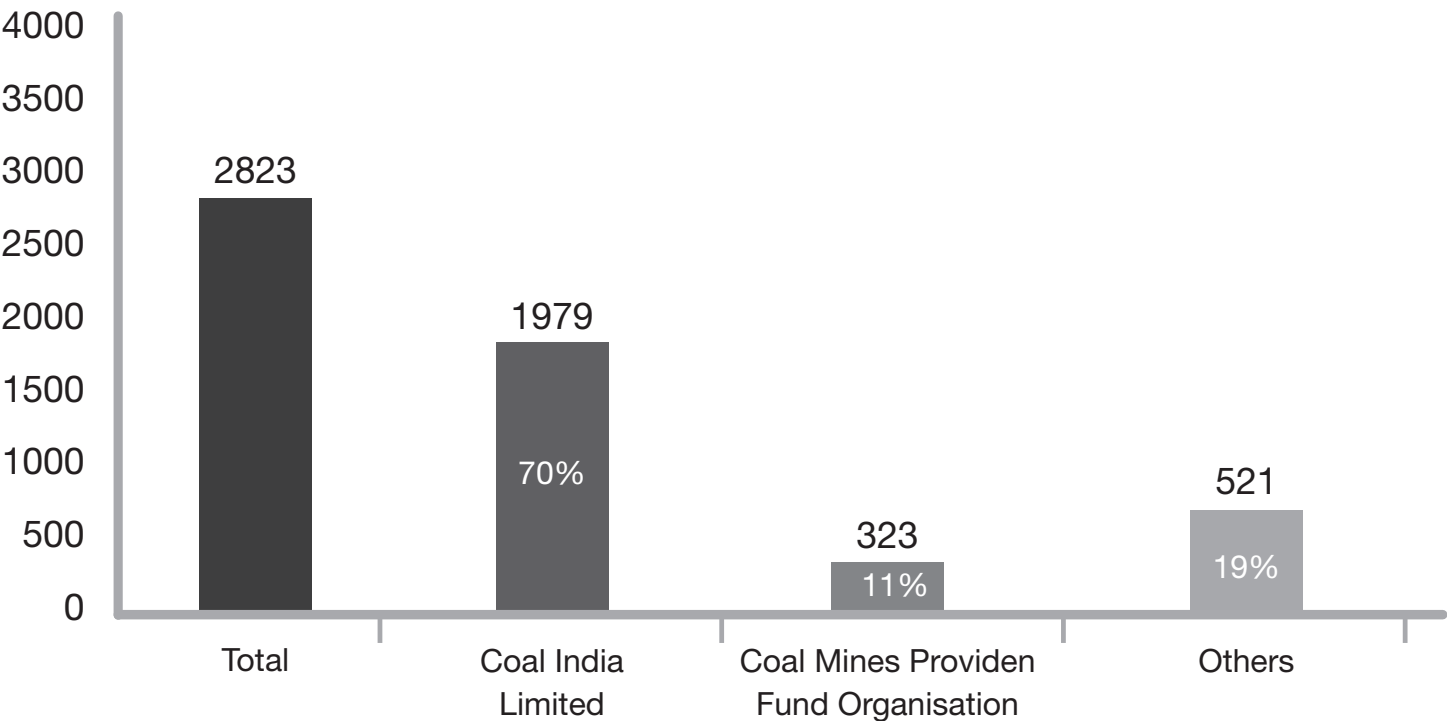


Chart 1: Categorized grievances received by divisions from 1.4.2015 to 31.3.2016

2.1.2 IDENTIFICATION OF FOCUS SERVICE

Grievance data in each top 2 divisions was deep dived and 10% of sample was analyzed.

Table 2: Sample size selected for the study

| | | |
|------------------|----------------------|----------------------------------|
| MINISTRY OF COAL | 2823 | 200 |
| | NUMBER OF GRIEVANCES | TOTAL SAMPLE GRIEVANCES ANALYSED |

The next step was grievance-by-grievance analysis for a sample of the grievances received by the top two divisions, namely, Coal India Limited (CIL) and Coal Mines Provident Fund Organisation (CMPFO). For these two divisions, recurring issues were categorized.

AN EXAMPLE OF GRIEVANCE ANALYZED IS AS FOLLOWS






"Discriminancy in distribution of COAL by RAOD from Jambad OCP Colliery of Eastern Coalfields Limited, Raniganj Sub of COAL India Limited are in going on for personal gain of the office bearers. Please review the matter and do the needful to disburse coal to the pending consumers with immediate effects within validity period. Sorry to say no officers are taking any response to our plea. For Association of Coal Consumer's Representative. D. C. Jain President. Our Registered no S/99015 dated 3/6/2000"

ACTION BY MINISTRY OF COAL

"It has been replied by Agent Jambad OCP bearing No.KA/JOCP/15/231 dated 18.05.2015 that the instant grievance has been sincerely looked into. The dispatch of coal by road from Jambad OCP has been going on smoothly. No discrimination in dispatch of coal has been observed pertaining to coal dispatch by road at Jambad OCP. Further, it has also been mentioned that dispatch of coal at Jambad OCP is also made through rail and that too has been going smoothly. Sufficient quantity of good quality coal was observed at the coal depot of Jambad OCP and smooth production of coal was observed from the mine. A copy of the reply as submitted by the colliery authority has also been provided to the complainant in his mail address."

For the Ministry of Coal the most recurring issue accounting for 25% of grievances was that of pensions and provident funds not being disbursed, followed by complaints for malpractices in the processes of contract allocation, loading, dispatching, etc, which accounted for another 18% of the grievances. This was followed by grievances related to employees' benefits, employment issues and unfair compensation against land acquired accounting for 12%, 8% and 8% respectively.

Table 3: Focus services for root cause analysis

| S.No | Grievance Causing Issues | Impact* | Details |
|------|---|---------|--|
| 1 |  Payment of Pension & Provident Fund | 25% | <ul style="list-style-type: none"> • Delay in release of pension to retired employees and the families of deceased employees • Sudden stop in pension payments • No revision has been inculcated in the pension amount |
| 2 |  Malpractices | 18% | <ul style="list-style-type: none"> • Unfair contract allocation • Improper disbursement of coal |
| 3 |  Employee benefits | 12% | <ul style="list-style-type: none"> • Transparency issues in transfer and promotion • No bonus or PRP has been awarded to the employees despite an order • Rent allowance, medical bill reimbursement not being provided |
| 4 |  Employment Issues | 8% | <ul style="list-style-type: none"> • Protracted delay in joining, despite being offered the job • Compassionate Appointment not being given |
| 5 |  Land Acquisition and Compensation | 8% | <ul style="list-style-type: none"> • No employment is being provided to the people who have given up their land for mine acquisition as promised • No compensation amount provided for the land acquired • No response to people to asking for their due compensation |

* Grievance Sample analysed: 250

2.2 ROOT CAUSE ANALYSIS (RCA)

The study team spent time with each implementation body within that division to understand core processes, accountability and performance tracking. Domain experts were also consulted to understand root cause for each grievance category.

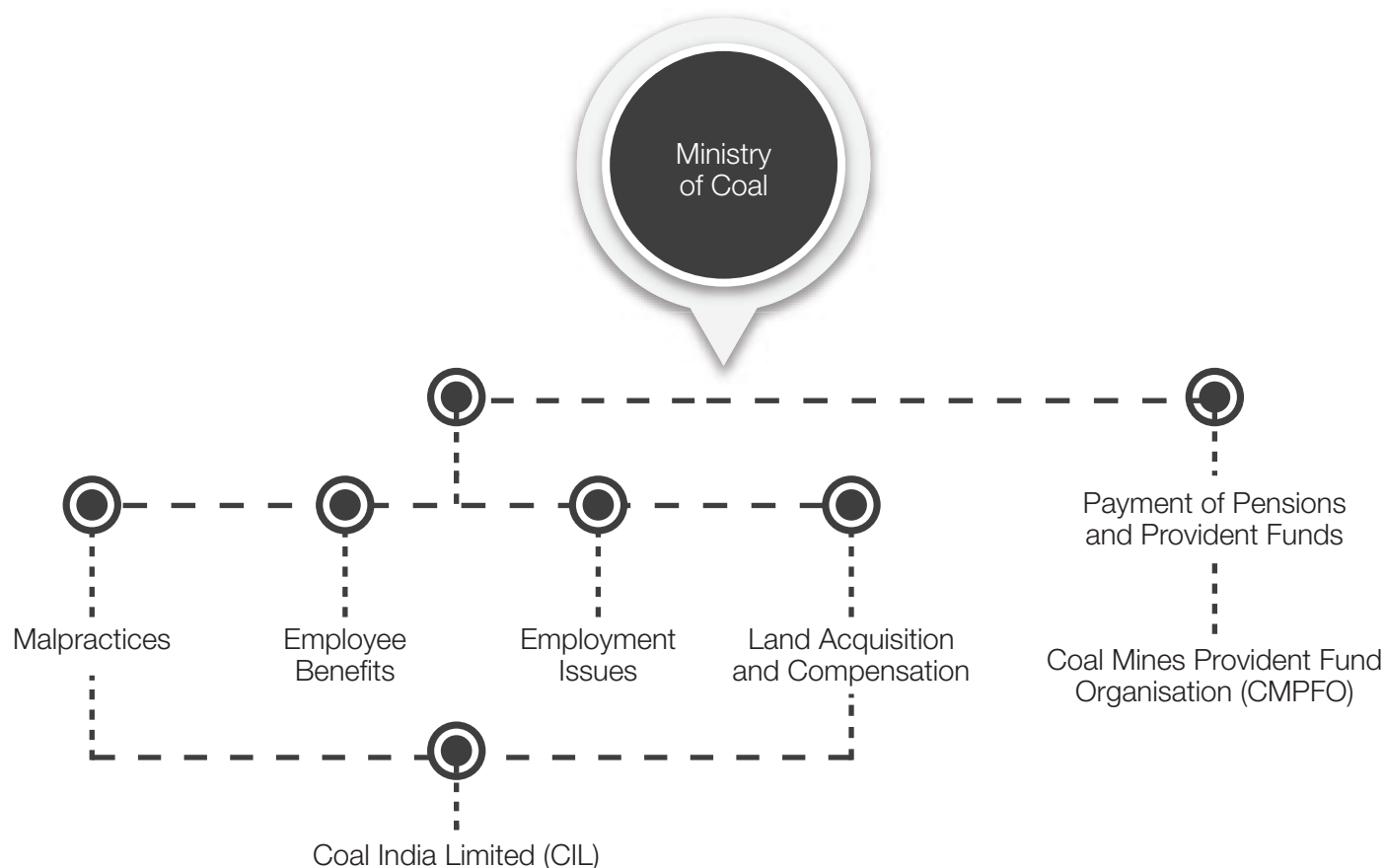
The questions revolved around policy, process and people problems that were leading to lack of quality implementation

Table 4: Root Cause Analysis of grievances related to Ministry of Coal

| Issue | Sub-Issue | Root Cause |
|-------------------------------------|---|--|
| Payment of Pension & Provident Fund | <ul style="list-style-type: none"> • Delay in release of pension to retired employees & families of deceased employees • Sudden stop in pension payments • No revision has been inculcated in the pension amount | <ul style="list-style-type: none"> • Requirement to produce life certificates • Required information about the pensioner not available with the CMPFO • No provision to track one's Pension Payment Order online |
| Malpractices | Unfair contract allocation | <ul style="list-style-type: none"> • Not all tenders and auctions take place through digital channels • Presence of unfair competitive practices |
| | Improper disbursement of coal | <ul style="list-style-type: none"> • Quantity issues arise due to estimation and dispatching of coal in tonnes. • Malpractices and corruption in the process of transporting coal • Fluctuations in quality arise because of the heterogenous nature of Indian coal with high amount of intrinsic atomic impurities and due to manual interventions • Grade classification across G1 to G17 in India has a smaller range than the global average, hence compliance becomes difficult • Third party investigator /custodian of referee sample may be compromised (earlier CIMFR) |
| Employee Benefits | <ul style="list-style-type: none"> • Transparency issues in transfer and promotion • No bonus or PRP awarded to employees despite an order • Rent allowance, medical bill reimbursement not being provided | <ul style="list-style-type: none"> • Absence of comprehensive transfer and promotion policies • Incorrect interpretation of rules • HRA not given for rented accommodation • Long overdue revision of medical bills, medical costs have gone up significantly since 1990s |
| Employment Issues | <ul style="list-style-type: none"> • Protracted delay in joining, despite being offered the job • Compassionate Appointment not being given | <ul style="list-style-type: none"> • Malpractices and corruption in the process of recruitment • Recruitment parameter not clearly defined • Lack of awareness about the policy for Compassionate Appointment |
| Land acquisition and compensation | <ul style="list-style-type: none"> • No employment provided to people in compensation of land acquired as promised • No compensation amount provided for land acquired • No response to people asking for their due compensation | <ul style="list-style-type: none"> • CPSU's Rehabilitation and Resettlement policy not in alignment with the Land Acquisition Act • Severity of the former act of 1984. This has been amended as of 2013 and will lead to reduction in grievances |

Malpractices, Employee Benefits, Employment Issues, Land Acquisition and Compensation issues are mapped to CIL while the payment of pensions and provident funds can be mapped to CMPFO

Chart 2: Major divisions for grievance issues



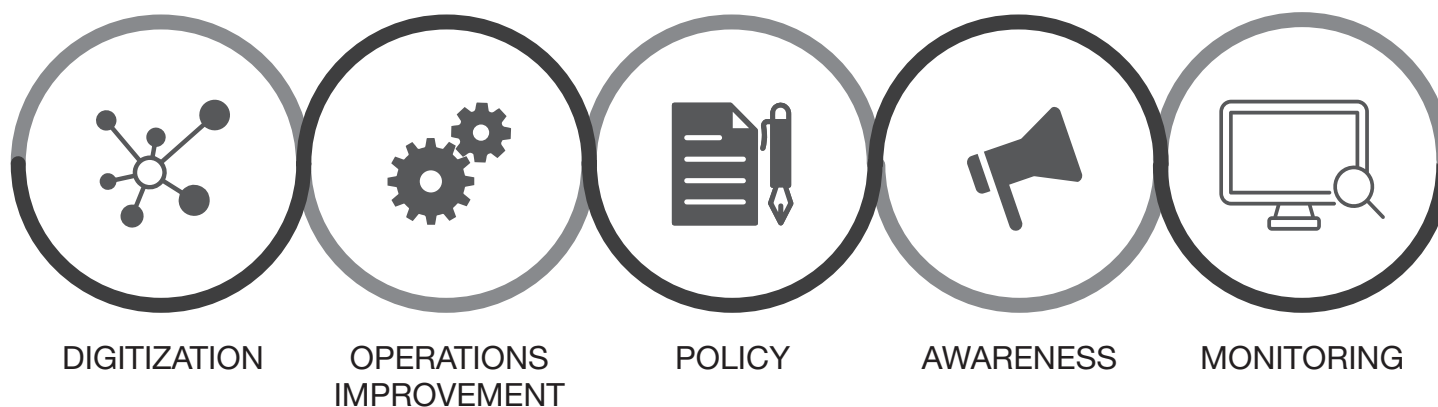
CIL is the largest coal producer company in the world and contributes around 82% of the coal production in India. The PSU plays a key role in producing and marketing the planned quantity of coal and coal products efficiently and economically in an eco-friendly manner throughout the country. There are considerations with regard to safety, conservation and quality which must be made by the organization. A large share of the grievances were pertaining to these functions of CIL. Study team spent time with many implementation bodies within CIL namely, Vigilance, Sales & Marketing, Quality Control, Personnel and Recruitment and Industrial Relations, to understand core processes, accountability and performance tracking. The root cause analysis for recurring grievances was detailed out for identifying types of interventions required for better service delivery. CMPFO is a body entrusted with the responsibility of administering the Coal Mines Provident Fund and Miscellaneous Provision Act, 1948 and different schemes framed there under. Grievances pertaining to delay in receiving pensions and provident funds are accrued to this body.

2.3 SYSTEMIC REFORMS RECOMMENDATIONS

Based on the key root cause for improper delivery of service, corresponding recommendations were identified and designed. These recommendations were arrived after discussing with the Ministry/Department representative.

For each issue, the problem was broken into multiple parts to ensure that each aspect of the problem is addressed independently, while ensuring maximum impact. Systemic and structural reform recommendations were made for the centre and its apex bodies to improve the quality of processes across the following areas.

AREAS ACROSS WHICH SYSTEMIC REFORMS ARE SUGGESTED



Systemic Reforms



The hazardous work done by miners in CIL, Neyveli Lignite Corporation Ltd, and other subsidiary bodies in mines and collieries directly impacts each citizen. It is of utmost importance that the process is streamlined, and monitoring is tight knit.

There are areas in terms of policy formulation, streamlined implementation, monitoring and awareness where few reforms can bring a major impact. Eleven recommendations have been made based on best practices adopted by state governments and other stakeholders.

Table 5: Systemic Reforms for Ministry of Coal

| S. No | Reform Category | Systemic Reforms | Ease of implementation |
|-------|------------------------|--|------------------------|
| 1 | Digitization | Encourage the adoption of Jeevan Pramaan Patra through avenues like Pension Adalats and streamline disbursement of Provident Funds by organising camps at regular intervals for ex-employees | Medium |
| 2 | Digitization | Introduction of mobile app for efficiently deriving the coal range for various collieries across India. Central Institute of Mining and Fuel Research (CIMFR) to provide the data, which once captured would fetch the variance, mean, deviations, coefficient of variance, etc | Medium |
| 3 | Digitization | Enforce PSUs to introduce Enterprise Resource Planning (ERP) system to monitor disbursement of materials and to check mutual requirements for transfers | Low |
| 4 | Digitization | Introduce digitisation in the transaction of funds from the state governments to the Project Affected People, enhance transparency in the process and create a dashboard for monitoring the timely disposal of compensation in lieu of land acquired to all Project Affected Persons | Medium |
| 5 | Digitization | Notify potential employees timely via SMS/emails about delays in the start of the project for which they have been recruited | Low |
| 6 | Operations Improvement | Employ closed rail wagons with proper locking mechanism for shipment of coal through areas where there is repeated occurrence of pilferage | Medium |

| | | | |
|----|------------------------|--|--------|
| 7 | Operations Improvement | Calibration of weight of loading vehicle with Department of Legal Metrology at regular intervals and maintenance through private third party agency | High |
| 8 | Operations Improvement | Establishment of an independent employee cell with direct reporting relationship with Chairman (such as Employee Satisfaction and Enhancement Cell) to deal with transfer and promotion cases whenever the decision of the Human Resource Department is challenged | High |
| 9 | Policy | Consider change in the calorific range of coal grades to 400-500 degree for better classification of coal grades | High |
| 10 | Awareness | Leaflets and awareness campaigns in vernacular and simple languages to be introduced since leesees, tribals, etc are not aware of provisions under the Land Acquisition Act | High |
| 11 | Monitoring | Consider sampling and accreditation of coal grades by a third-party agency, any liability arising out of false reporting to be dealt with by said agency | Medium |



Case Studies On Reforms



Given the large number of grievances received by CIL and other subsidiaries regarding employees' dissatisfaction with promotion, transfer and other conditions, BPCL's case was analysed by the Study Team and many parallels were found between the concerns of employees. Thus, the Ministry is recommended to draw inspiration and set up their own programs for redressal of unhappy employees. Adopting the Bhavishya portal will ensure that retired employees' complaints regarding pension processes is curbed.

4.1 BHARAT PETROLEUM'S EMPLOYEE SATISFACTION AND ENHANCEMENT CELL



BPCL went through a major restructuring in 1999 during which more than 1000 employees were transferred. This led reporting relationships within the organisation to alter significantly. A need was felt by the management to establish an independent body from the Human Resource Department that could address the issues of employees. This independent cell, known as the Employee Satisfaction and Enhancement (ESE) Cell had a direct reporting relationship with the Chairman and undertook redressing of employees' professional and personal grievances. The Cell runs successfully till date and undertakes fact-finding missions and dispute settlement exercises, especially where it is felt that the decision taken by the HR department was prejudiced. This brings objectivity into the system of transfers and promotions of employees.

4.2 DEPARTMENT OF PENSION & PENSIONERS' WELFARE USHERS IN THE FUTURE, WITH BHAVISHYA



Department of Pension & Pensioners' Welfare (P&PW) has introduced an online Pension Sanction and Payment Tracking System called 'BHAVISHYA'. Actions for timely payment of retirement dues and issue of Pension Payment Order (PPO) start one year before the date of retirement of the employee. There are a number of intervening stages and the system will pinpoint delays at each stage to enable timely interventions. The tracking can be done by the retiring employee as well as the administrative authorities. In addition, forms required during the process are available in electronic format. The retiring employee can fill the forms online. It facilitates the administrative authorities by processing the claims and passing on the calculated amounts and other details to the Pay and Accounts Offices. The new system will also capture personal information,

service data and contact details like mobile number and e-mail etc. The retiring employees will be kept informed of the progress of pension sanction process through SMS/E-mail.

Conclusion



This Grievance Analysis Study analysed 200 grievances of Ministry of Coal, distributed in the 29 states, spanning across the various processes of mining, loading, calibrating and dispatching of coal to the consumer or power companies. Following key systemic reforms have been recommended and implementation of these will make an impact in reducing grievances.

KEY RECOMMENDATIONS

This report evaluates the grievances of Ministry of Coal and recommends the following priority systemic reforms

- 01 Introduction of mobile app for efficiently deriving the coal range for various collieries across India. Central Institute of Mining and Fuel Research (CIMFR) to provide the data, which once captured would fetch the variance, mean, deviations, coefficient of variance, etc.
- 02 Employ closed rail wagons with proper locking mechanism for shipment of coal through areas where there is repeated occurrence of pilferage
- 03 Calibration of weight of loading vehicle with Department of Legal Metrology at regular intervals and maintenance through private third party agency

LIST OF EXPERTS CONSULTED

Table 6: List of experts

| Ministry of Coal | Outside Ministry | Quality Council of India |
|--|---|--|
| • Vivek Bharadwaj - Joint Secretary | • Prabhakar Chowki - GM & TS to Chairman and Chairman of the Grievance Redressal Cell, CIL | • Adil Zainulbhai - Chairman |
| • Animesh Bharati - Economic Advisor | • Vineet Singh - Sr. Manager, Sales & Marketing, CIL | • Dr. Ravi P. Singh - Secretary General |
| • Sujeet Kumar - Under Secretary | • K. Sunil Kumar - Chief Manager, Public Relations, CIL | |
| • Dominic Dung Dung - Under Secretary | • Ashok Sinha - Ex-Chairman, BPCL | |
| | • Sangita Kelkar - Employee Enhancement Cell, BPCL | |



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