



Ministry of  
Railways



# Grievance Analysis & Systemic Reforms Recommendation

# GRIEVANCE DATA ANALYSIS PROJECT

(Objective & Outcome)

## Context

Department of Administrative Reforms & Public Grievances (DAR&PG) administers a public grievance portal - Central Public Grievance Redress and Monitoring System (CPGRAMS). This is a portal where the citizen can register his/her grievances pertaining to any of the 94 Central Government Departments/Ministries.

This portal receives ~3,00,000 complaints annually across the 94 Departments/Ministries and the number of grievances registered has gone up from 1,32,751 between May 2014 to September 2014, to 4,66,406 in the same period, i.e., from May 2015 to September 2015, due the Prime Minister's personal interest.

The grievances received on the portal are rich data points, especially in terms of the type of reforms (administrative and policy) that would create maximum positive impact on the citizens.

## Objective

The objective of the diagnostic study undertaken by the Quality Council of India, as per the mandate given by DAR&PG, was two fold:

1. **Grievance Data Analysis** (in bold): Analysis of the grievances being received by the respective Departments/Ministries on CGPRAMS and identification of key issues
2. **Systemic Reforms Recommendation**: Identifying key systemic reforms that can be implemented to resolve these issues to prevent recurrence of these issues

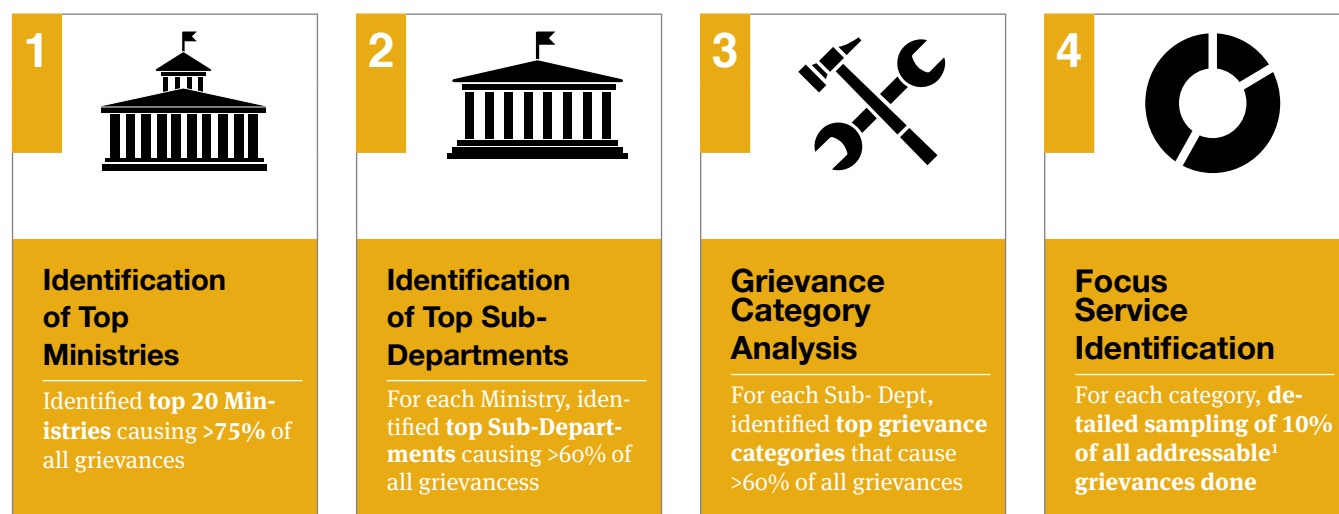
## Approach

To ensure that the above objectives are achieved, a 3 point approach has been used, which has been detailed below:

1. Data analysis of the grievances across top 20 (based on number of grievances received) prioritized Ministries with a structured approach which has been detailed in the diagram below.

### Data Analysis Process for all Ministries

Focus on identifying services that cause maximum number of grievances



2. Root cause analysis of the above grievances in conjunction with the respective Departments/Ministries, explained in detail on page 7.
3. Systemic and structural changes reform recommendations after discussions with the Department/Minsitry based on learnings from global and domestic best practices

## Identification of the top 20 Department/Ministries for initial focus of efforts

The first step of the effort, as per the approach mentioned earlier, is the identification of the top 20 Ministries, which has been done based on the number of grievances being received by the particular Department from 01.01.2012 to 19.08.2015. The findings have been summarized in the table below and for the scope of this particular report we will be focussing on the Ministry of Railways (Railway Board) (rank 2).

### List of top Ministries/Departments based on combination of quality parameters

Overall Rank	Ministry	Rank	No. of Grievances recieved		No. of Grievances pending		
			# of grievances		(> 12M)	(6M - 12M)	
1	Department of Telecommunications	1	161,014	13	11	11	126
2	Ministry of Railways (Railway Board)	2	76,776	3	878	2	1,750
3	Department of Financial Services (Banking Division)	3	65,095	16	-	13	43
4	Ministry of Home Affairs	4	41,443	11	47	12	73
5	Central Board Of Direct Taxes (Income Tax)	5	38,825	5	381	9	200
6	Department of Higher Education	6	34,594	2	1422	1	2,143
7	Ministry of External Affairs	7	30,780	16	-	17	-
8	Department of Posts	8	27,552	14	9	15	17
9	Department of Health & Family Welfare	9	27,552	10	52	10	160
10	Ministry of Petroleum and Natural Gas	10	26,836	7	83	8	447
11	Ministry of Labour and Employment	11	25,835	16	-	17	-
12	Department Of Defence	12	25,423	1	1877	6	744
13	Department of School Education and Literacy	13	23,862	8	68	3	1,114
14	Department of Personnel and Training	14	21,681	12	12	16	14
15	Ministry of Road Transport and Highways	15	20,660	6	198	4	984
16	Ministry of Urban Development	16	15,187	4	400	7	459
17	Department of Justice	17	13,879	16	-	17	-
18	Central Board Of Excise and Customs	18	12,698	15	3	14	27
19	Department of Revenue	19	12,616	9	64	5	954
20	Department of Ex Servicemen Welfare	20	12,062	16	-	17	-

SOURCE: DARPG Data (01-01-2012 to 19-08-2015)

Focusing on these 20 ministries/departments will target ~73% of the overall grievances in Central Govt.

# DEEP DIVE ANALYSIS

## Introduction

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Ministry of Railways is the ministry in the Government of India, responsible for the rail transport in the country. The Indian Railways, the state-owned enterprise owned by the Ministry of Railways is the world's largest network of railways, running passenger services as well as commercial freight services for transport of commodities and goods.

The responsibility of the Ministry of Railways, is to ensure smooth operation of the train services across the country and to frame policies regarding the implementation of new services of railways in the country. The Ministry of Railways operates the Indian Railways, as mentioned earlier, which is further divided into 17 Zonal Railway bodies, which are the implementation bodies at the zonal level based on the described areas of jurisdiction.

Indian Railways is responsible for end-to-end execution of the rail service across the country, from the buying of tickets, to the maintaining the stations, tracks, and platforms, to ensuring proper facilities both on the platforms and on trains, and most importantly is to schedule the trains and implement timely running.

Since more than 23 million passengers use the service of the Indian Railways, the grievances received by this Ministry are one of the highest, and the following report is an evaluative study of the delivery of the rail service to the citizens, based on the grievances received by the Ministry of Railways.

## Identification of top Sub-Departments

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As per the methodology mentioned above, the first step was to break the grievances down in terms of the sub-departments it was being forwarded to.

These sub-departments have been defined as per the officer-in-charge who it is forwarded to within the Department/Ministry, as defined by the respective Department/Ministry.

For the Ministry of Railways, the sub-departments receiving maximum number of complaints have been defined by service/responsibility of that Director. The highest grievances have been received by the Zonal Railways put together, which accounts for nearly 71% of all grievances received. The Zonal Railways defined in the system is a combination

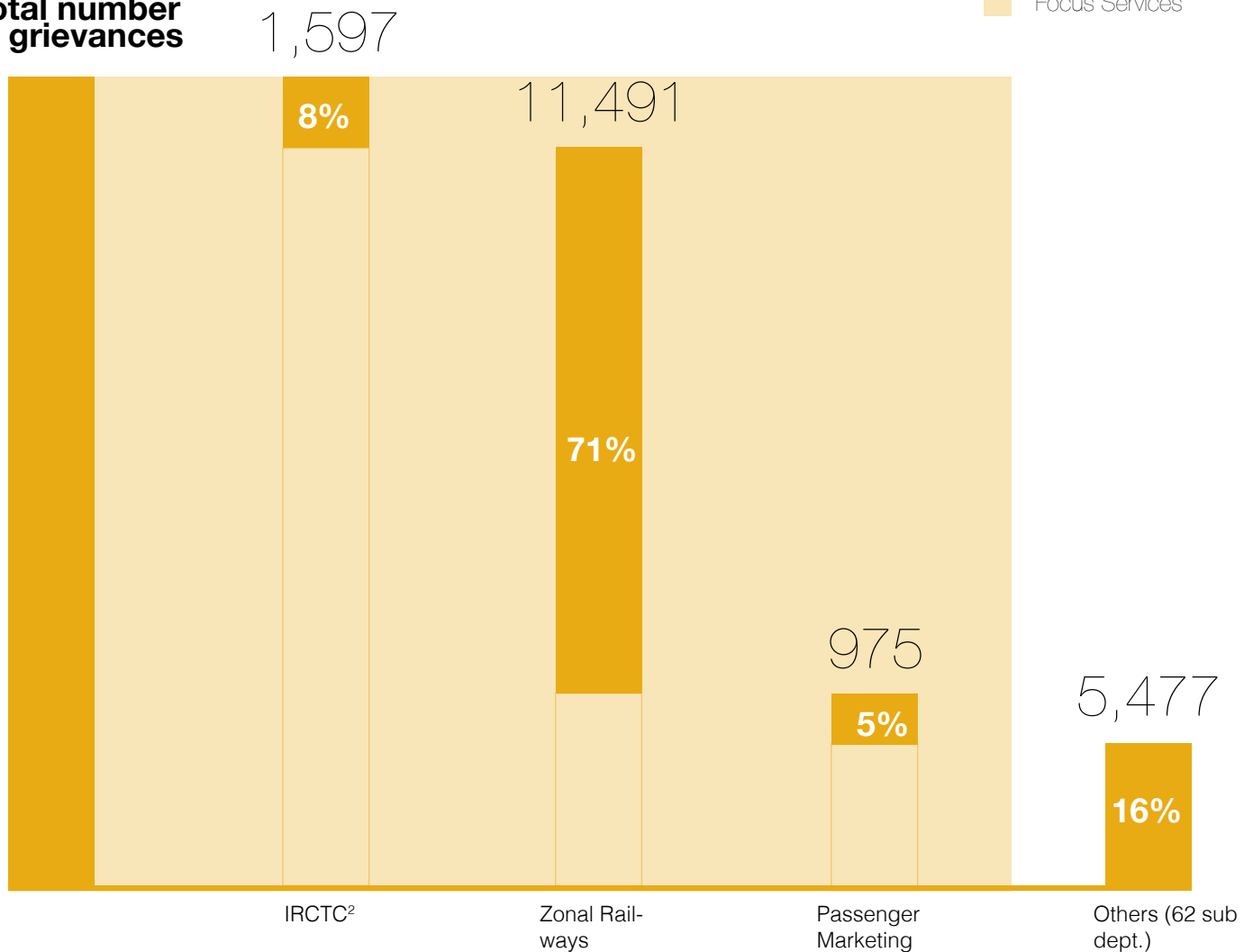
of the grievances of all the 17 Zonal Railways (as defined by the Ministry) put together, as the grievances across each Zone are similar in nature. The second highest grievances are received by Indian Railways Catering & Tourism Cooperation (IRCTC).

The figure below depicts the sub-departments that receive the maximum number of grievances for this particular Ministry, and a detailed category wise analysis for the sub-departments is shown below. The top 4 departments, account for ~85% of all grievances and have the grievances received by these sub-departments have been analyzed further.

## Categorized grievances received by Sub-Departments<sup>1</sup>

19,540  
Total number  
of grievances

Focus Services



<sup>1</sup> All grievances reported between 01/04/2015 & 31/08/2015 across all touch points

<sup>2</sup> Indian Railway Catering and Tourism Corporation

SOURCE: DARPG data

## Identification of Focus Service

The next step as defined in the process earlier, is to grievance-by-grievance analysis for a sample of the grievances received by the top 3 sub-departments, namely, Zonal Railways, Indian Railways Catering & Tourism Cooperation (IRCTC) and Passenger Marketing.

For the Ministry of Railways, the top recurring addressable issues across the sub-departments have been summarized below in the table.

The top most issue for the Ministry is the inefficiency in refunds process which accounts for ~45% of all addressable grievances, followed by the long delay in pensions release which account for approximately 34%. These grievance issue types along with issues' with train service quality and station quality account for nearly 90% of all addressable grievances. The specific details of these grievances issue types have been detailed out in the table below.

## 5 services identified to focus on for designing process reforms

Top Grievance Causing Services (QCI defined)	Impact % <sup>1</sup>	Details <sup>2</sup>
1 Inefficiency in refunds process	45%	<ul style="list-style-type: none"> <li>• Long delays in refunds payment (average 2-4 months)</li> <li>• Faulty rejection of refund claims (non-travelling passengers marked present)</li> </ul>
2 Long delays in pension release	34%	<ul style="list-style-type: none"> <li>• Long delay in pension release (average 1-2 years)</li> <li>• No revision in pension amount, as per the 6th pay commission</li> </ul>
3 Congestion on IRCTC website	1%	<ul style="list-style-type: none"> <li>• Website down often; Payment gateway faulty (money deducted without booking)</li> <li>• Tatkal tickets booked out in very short time</li> </ul>
4 Issues with trains' service quality	7%	<ul style="list-style-type: none"> <li>• Lack of cleanliness in trains (no soap or water in toilets; torn seats, pillows)</li> <li>• Late running of trains</li> </ul>
5 Unclean railways stations	2%	<ul style="list-style-type: none"> <li>• Inadequate cleaning of railway tracks</li> <li>• No provision of clean toilets on some stations</li> </ul>

1 % of total grievances

2 90% of total addressable grievances received by Ministry of Railways between 1/4/2015 and 31/8/2015

### Conclusions

For the focus services identified, the ones that are addressable and with maximum impact have been selected for further analysis. For the given department, the top 5 grievance causing services are chosen for further deep-dive and root cause analysis.

The issue regarding, "Black-marketing of tickets", has been de-prioritized as there is no proof of these alleged activities, and the following conclusion was reached after consulting with the department representatives. In addition to the above set of issues, the issue related to the "Improvement of frontline staff interaction with citizens was taken up", as per interactions with Ministry representative.

The following section details the process flow for the root cause analysis, and the procedure followed for coming up with systemic reforms for each one of the service issues

Based on ministry feedback, we are also importantly looking into improving frontline staff interaction with citizens (Section 6a, 6b)



# ROOT CAUSE ANALYSIS

## Conducted detailed discussions with each Ministry to define root cause for each focus issue

For each of the focus service issues that has been identified, the study tries to evaluate the root cause behind the lack of quality implementation of that service. The study team has spent time with each one of the implementation bodies within that department to understand the core process, accountability and performance tracking, and also the training aspects for the leadership and frontline staff.

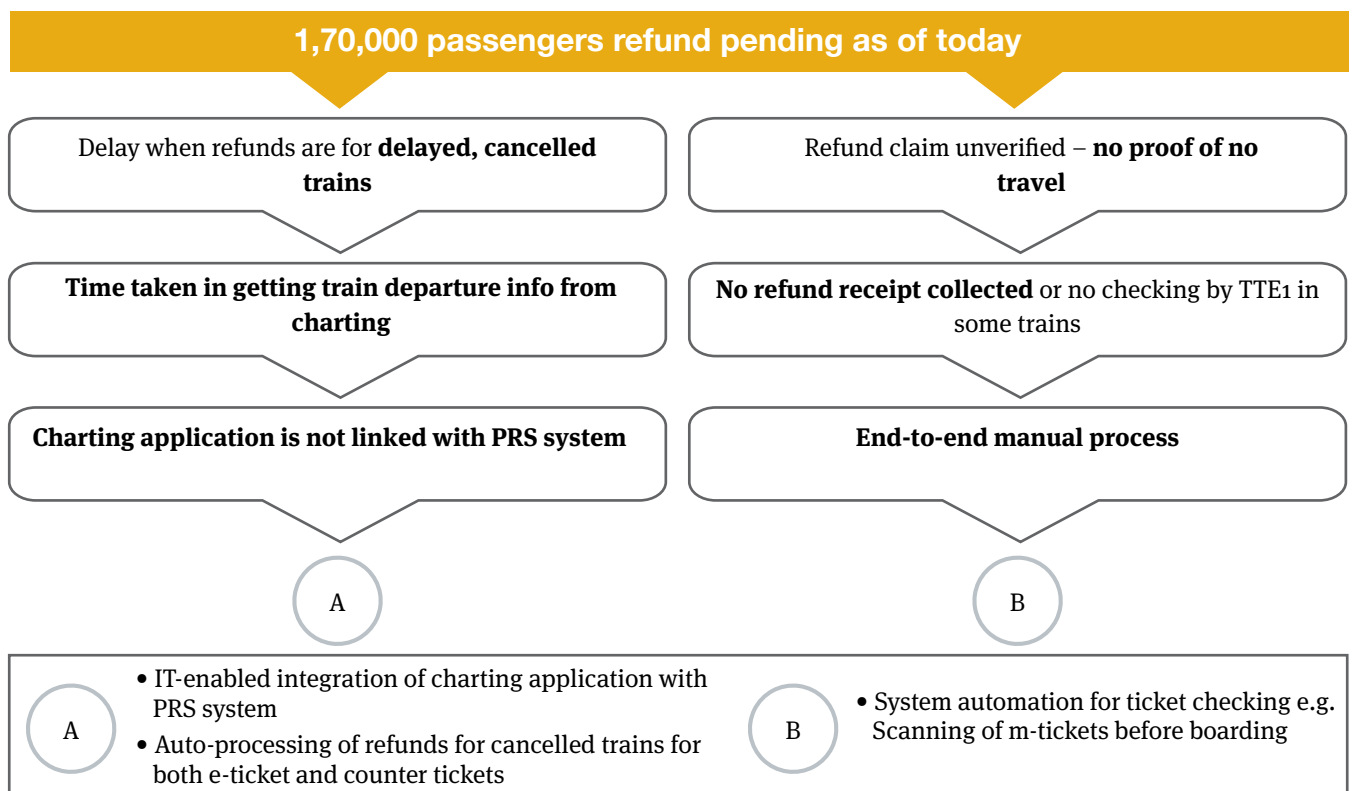
The root cause analysis has been detailed out for one of the issues below, to give a flavor of the process followed for identifying the types of interventions required for better delivery of that service.

For instance, in Ministry of Railways, “Long delay in refunds process” was one of the top recurring issues and the study team analyzed this issue from two perspectives, (i) Delay when refunds are for delayed, cancelled trains or (ii) Refund claim unverified - no proof of no travel.

For the delay when refunds are for delayed, cancelled trains, the team spoke to the representative from Ministry of Railways, to realize that there was a delay in getting the train departure info from charting, and the charting application not being linked with the PRS system.

From best practices from the private industry, one of the solutions for that would be to have an IT-enabled integration of charting applications with the PRS system, and an auto-processing of refunds for cancelled trains for both e-tickets and counter tickets. A similar analysis was done for the refund claim unverified section, and a system of automating ticket checking through, scanning of m-tickets before boarding has been proposed.

### Problem Long delays in refund processing



### Quality implications

#### Quality failures

- Manual process is redundant and time-consuming
- Non-integrated IT systems cause wait time delays
- Trains are understaffed, 1/5 trains run unmanned

#### Culture and capability building failure

- Lack of self-governance culture, leading to false rejection of claims some times
- Owing to scale, reluctance with using IT tools to simplify processes

# PROCESS REFORMS DESIGN

The focus services identified for further analysis are studied in detail. The processes for the delivery of the service, the monitoring mechanism, and other aspects of service delivery have been studied as a part of the project.

For each one of the issues, the key root cause for the improper delivery of service is identified and studied, and a corresponding solution or recommendation is designed. These recommendations are arrived at in conjunction with the ministry representative.

Since, these issues faced by the departments at the Central level in India have been faced before by other organizations in both the private and public sector in both India and globally. The global and local learning's have been incorporated into the recommendations made for each one of the process reforms.

A detailed description of the root cause for the below par service quality, a proposed solution based on global and local best practices, and the current status of such an initiative being undertaken by the government has been mentioned in the following part of the report.

For each one of the issues, the problem has been broken into multiple parts in order to ensure that each aspect of the problem is addressed independently, while ensuring maximum impact.

## Inefficiency in refunds process

### Issue analysis and proposed solution

Focus issue	Root Cause	Proposed solution	Current status
<b>Long delays in processing refunds</b>	<ul style="list-style-type: none"> <li>• Ticket checking end to end manual process; Passengers fail to collect refund note from TTE</li> <li>• Time lag to add charting info to PRS system (for cancelled/delayed trains)</li> <li>• Verification system not robust (Limited TTE staff)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Handheld devices per TTE</b> Real time electronic record of passengers on train</li> <li>• <b>Barcoded tickets</b> Tickets (counter or website) delivered as bar code to passenger's phone (via SMS or Picture) or in print on paper</li> <li>• Ticket activated on day of travel; Dashboard displays travelling/empty seats</li> </ul>	<ul style="list-style-type: none"> <li>• Ideated by Indian Rail</li> <li>• Rollout planned by December' 2016</li> </ul>
<b>Faulty rejection of refund claims</b>	<ul style="list-style-type: none"> <li>• Mismatch in travel information</li> <li>• Verification system not robust (Limited TTE staff)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Integrate charting and PRS systems</b> for cancelled/delayed train refunds e.g. Delhi Metro Rail Corporation, European Railways, All airlines</li> </ul>	



## Congestion and irregularities on IRCTC Website

### Issue analysis and proposed solution

Focus issue	Root Cause	Proposed solution	Current status
<b>Site abruptly shuts down, Payment gateway faulty</b>	<ul style="list-style-type: none"> <li>Server capacity inadequate for scale of travel bookings - 23 mn passengers travel daily</li> </ul>	<ul style="list-style-type: none"> <li><b>Increase server capacity;</b> Stagger transactions and query requests</li> <li><b>Slot server capacity</b> for Tatkal booking</li> </ul>	<ul style="list-style-type: none"> <li>Being implemented by Indian Rail</li> <li>Major issues resolved; no plan further</li> </ul>
<b>Tatkal tickets booked out</b>	<ul style="list-style-type: none"> <li>Demand supply gap</li> </ul>	<ul style="list-style-type: none"> <li><b>Explore unmet demand</b> to decide additional train/coach requirements</li> </ul>	<ul style="list-style-type: none"> <li>Grievance flagged off as Suggestion - Deprioritized</li> </ul>
<b>Issue with seat allocation for specially abled passengers</b>	<ul style="list-style-type: none"> <li>Limited seats for specially abled citizens, open allocation thereafter</li> </ul>	<ul style="list-style-type: none"> <li><b>Modify website to prioritize specially abled passengers when allocating seat</b> Confirm seat on booking but allot seat on charting closure e.g. IRCTC waiting reservation</li> </ul>	<ul style="list-style-type: none"> <li>Rollout by December 2017</li> </ul>

Delay and irregularities in the pension process is one of the major grievance causing issue as far as the Ministry of Railways related grievances are concerned, and it is also seen across departments.

As a result of this, all grievances related to pensions process have been addressed as a separate issue and with process recommendations in much greater detail.

## Pensions process irregularities

### Issue analysis and proposed solution

Focus issue	Root Cause	Proposed solution	Current status
<b>Pensions are delayed</b>	<b>Reforms for pensions process will be collated in a separate document applicable across Railways, CBEC and Ex-servicemen Welfare ministries</b>		
<b>Pensions are not revised</b>			

# Issues with train service quality

## Issue analysis and proposed solution

Focus issue	Root Cause	Proposed solution	Current status
<b>Cleanliness issue in trains</b>	<ul style="list-style-type: none"> <li>• Weak supervision; No performance monitoring system to incentivize staff</li> <li>• Lack of “cleanliness” attitude; No training focused on housekeeping process</li> <li>• Lack of knowledge as to how to measure cleanliness</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Compare railway zones – link supervisor KPIs with cleanliness</b> (track citizen feedback via on-board surveys)</li> <li>• <b>Build supervisor training on housekeeping</b>; Build “positive attitude” towards cleaning job</li> <li>• <b>Scale ‘SMS based on-demand cleaning’ of trains</b></li> <li>• <b>Conduct 3rd party surprise check</b> e.g. EU rail passenger survey</li> </ul>	No plan in place
<b>Late running of trains</b>	<ul style="list-style-type: none"> <li>• Manual train data entry in system – time consuming; Thus, misreporting</li> <li>• No performance monitoring system – no incentives</li> <li>• Priority path to cargo trains thus, some trains late</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Automate train tracking system</b> Reduce data entry time Check misreporting Ensure quick remedy of delays (e.g. damaged track repaired before next train arrival)</li> <li>• <b>Link KPIs of drivers to punctuality</b> e.g. Lisbon Metro monitors with RFID</li> </ul>	

## Inadequate facilities on stations

### Issue analysis and proposed solution

Focus issue	Root Cause	Proposed solution	Current status
<b>Unhygienic toilets on railway stations</b>	<ul style="list-style-type: none"> <li>Lack of maintenance; No water facility in or near stations</li> <li>No disposal facility</li> </ul>	<ul style="list-style-type: none"> <li><b>Explore alternate toilet technology</b> e.g. waterless toilets</li> <li>Continue efforts for water near or on station e.g. in-house bore well</li> </ul>	No plan in place
<b>Lack of basic facilities on station</b>	<ul style="list-style-type: none"> <li>Service level for each station defined by station class, denoted by passenger handling, earning</li> </ul>	<ul style="list-style-type: none"> <li><b>Create competition within stations, reward “best-in-class”</b>; Link KPIs of station officer with maintenance e.g. Swachh Bharat cleanliness index for wards, cities</li> </ul>	
<b>No staff on ticket counters</b>	<ul style="list-style-type: none"> <li>Staff frequently late; No tracking system to keep checks</li> <li>No central performance monitoring leads to zero risk of penalty</li> </ul>	<ul style="list-style-type: none"> <li><b>Aadhar-based IT attendance system</b>, with central tracking of railways’ employees</li> <li><b>Link KPIs with attendance</b> to incentivize/penalize as reqd. e.g. Attendance system at GoI offices for staff</li> <li><b>Self-service ticketing kiosks</b> e.g. European railway stations</li> </ul>	

For each one of the suggestions/recommendations given above we would plan to sit with the Ministries and chalk the way forward, with ownership of these reforms lying with the respective owners of these projects. The above recommendations will serve as starting point for further discussions within the Departments to ensure quality delivery of services to the citizen.

Each Ministry will have their own final definitions of these reforms which will be developed into finalized action points based on further discussions and deliberations.

Railways is a service in which each customer interacts with the front-line staff, and it is of utmost importance that we ensure that the interaction with the staff is friendly, and appropriate.

This is one of the major areas of concern in the Rail Ministry, despite it not showing as a major grievance causing issue, but is something that the Ministry wanted the study to look into, especially for the TTE.

The team has made three recommendations for training the TTE on service attitude, and explained the various components of each one of them, based on who should conduct the training for the TTEs, what modules should be included in the training, and how should it be conducted, based on global best practices

For each one of these training modules, the details on these aspects have been summarized in the table below.

## Process Reforms Design




Three modes for training frontline staff on service attitude;  
 “Train the trainer” model is most favorable

■ Preferred option

Who conducts TTE training?	What modules are taught in TTE training?	How is TTE training conducted?
External organizations who have established customer-oriented cultures (e.g. <b>Disney, Toyota, Amazon</b> )	CARE (Clarify, Align, Reinforce, Empower) module for employee experience	Model: Leadership workshop or full transformation Participants: Senior client leaders, change agents or full organization Timing: 2 days – 9 months
Internal team comprising senior leadership following “ <b>train the trainer</b> ” model for coaching supervisors to TTEs (e.g. <b>Starbucks, Southwest Airlines</b> )	Influence model that combines Role modelling Fostering conviction Developing talents and skills Reinforcing formal mechanisms	“Reimbursement from the CGHS account pending, in spite of order from PGC”
Self-learning through gamification(e.g. <b>Ninja Master</b> )	4 modules: Self-driven capability building, Behavior driving, Rewards and recognition, Performance tracking	Model: Tech enabled gaming tool with analytical and performance dashboard Participants: TTEs Timing: Users choose when and where to learn

In order to make this training effort effective, it is of utmost importance for the TTEs to not only be trained in the right way but also be incentivised to perform better. The training needs to be made more effective by using tools like videos and movies, while making the content more focussing on shifting mindset. To incentivise the TTEs better the following 2 parts can be done, (i) Creating team competition to encourage frontline staff to work better, and (ii) Tracking performance by defining KPIs, and incentivising good performance employees

## Modify curriculum to cause shift in behaviors while using simple training tools (videos, role plays)


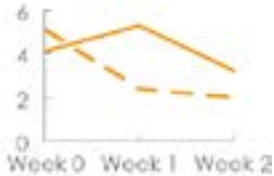

Delivery modes – keep audience in mind	
<p>Key is to use creative yet simple training methods leading to high impact:</p> <p><b>Videos – e.g. in mess, in office</b> Larger appeal, audio visual message Easy access, re-watched Retain ratio &gt;70%</p>	
<p><b>Role-play workshops – e.g. “mirror” technique</b> Small group, interactive session Allows dialogue to clarify doubts High impact, drama-based learning</p>	
<p><b>Virtual college – e.g. Indian rail e-learn portal</b> Accredited content uploaded Make mandatory as part of induction program for “new hires”</p>	

### Curriculum – shift mindsets and behaviour








Four key influencers to unleash “gold standard” frontline behavior:

- **Role modelling** – alter leadership actions, share success stories, group peers
- **Fostering understanding and conviction** – lay down clear vision, hold employee dialogue
- **Developing talent and skills** – conduct training on communication , EQ, share best practice guide
- **Formal mechanisms** – set performance reporting, align incentives, reward top performers

## Additionally, create team competition to encourage frontline staff to work harder for citizen satisfaction and gain incentives

Team competition – inter zonal	Performance metrics – citizen satisfaction score	Performance-based incentives
<p>Divide frontline staff into zonal <b>teams and have them compete over time frame of 2-3 months</b></p> <p>Clearly <b>define performance metrics</b></p> <p>Teams led by <b>top performers</b></p> 	<p><b>Structured review of onboard citizen satisfaction score (focus on staff interaction)</b></p> <p><b>Highly standardized survey</b></p> 	<p><b>Clear and significant reward</b> to “winning zone”</p> <p><b>Improvement in performance results in points scored</b></p> 

## Indian Railways must track performance to incentivize good service behavior amongst frontline staff

	Objective	Best Practices	Examples
<b>Define KPIs</b>	KPIs help quantify and measure quality of service	<ul style="list-style-type: none"> <li>• <b>KPIs are measurable</b> and comparable with external industry benchmarks (e.g. average NPS (services) ~25%)</li> <li>• <b>KPIs cascaded down across all levels</b> (TTEs, supervisors, etc)</li> </ul>	 
<b>Visual dashboards</b>	Analytical reports to help compare progress on set targets and identify improvement areas	<ul style="list-style-type: none"> <li>• Frontline performance must <b>be visually displayed</b></li> <li>• <b>Regular monitoring and analysis</b> of reports by supervisors</li> <li>• Report must <b>support root cause analysis</b></li> </ul>	 
<b>Performance coaching</b>	Performance coaching and feedback helps staff to reflect on their performance	<ul style="list-style-type: none"> <li>• <b>Regular (biweekly/ monthly) feedback sessions</b> between supervisor and frontline teams</li> <li>• <b>Frontline peer grouping – high influence</b></li> </ul>	  
<b>Performance-based incentives</b>	Financial and non-financial incentives are powerful to motivate employees	<ul style="list-style-type: none"> <li>• <b>Compensation and benefits aligned with performance-based KPIs</b></li> <li>• <b>Formal recognition events</b> (monthly/ad-hoc) to motivate top performers</li> </ul>	