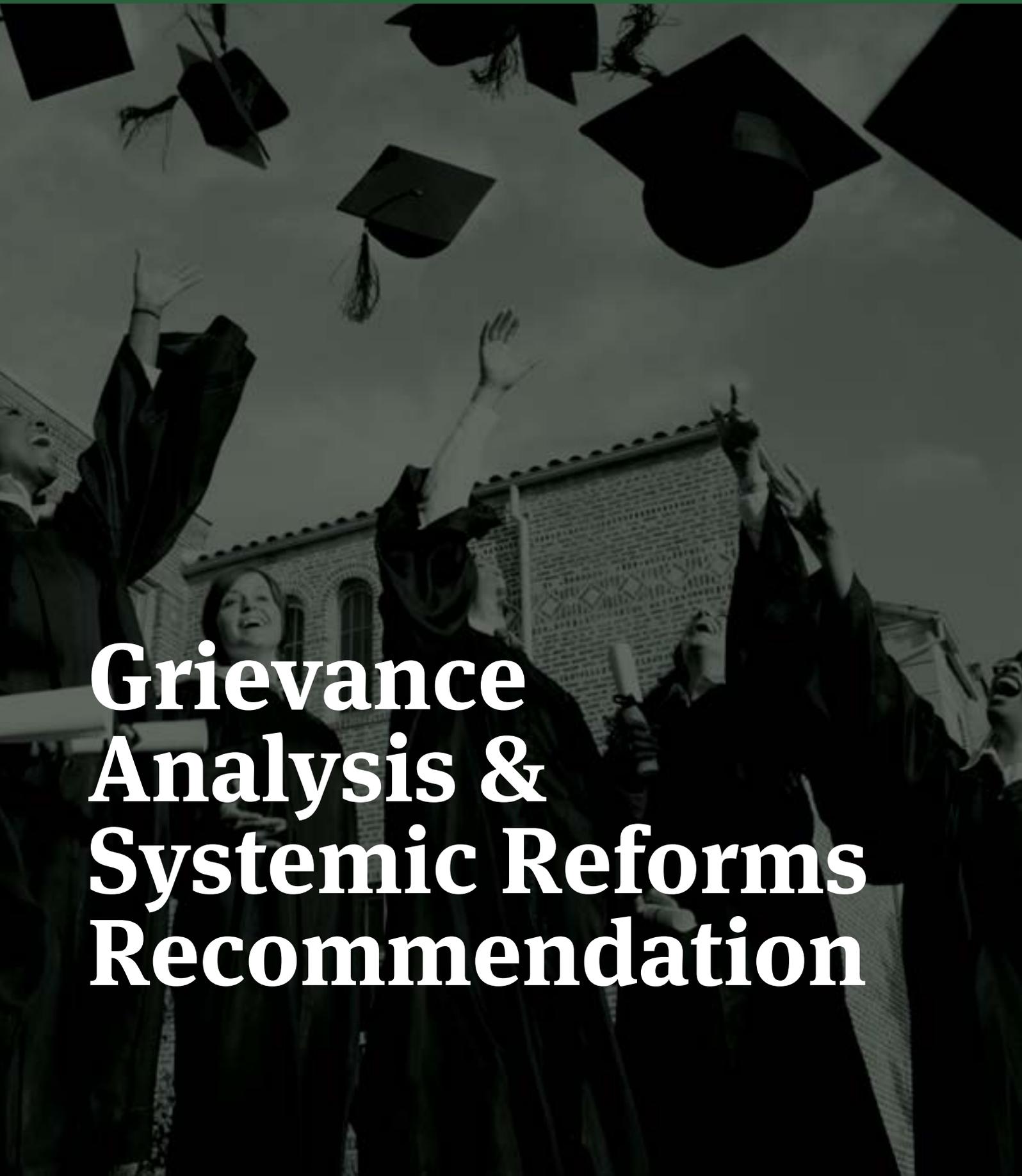




Department of
Higher Education

A black and white photograph of a graduation ceremony. Graduates in gowns and mortarboards are seen from a low angle, with their hands raised and mortarboards tossed into the air. The background shows a brick building with arched windows.

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

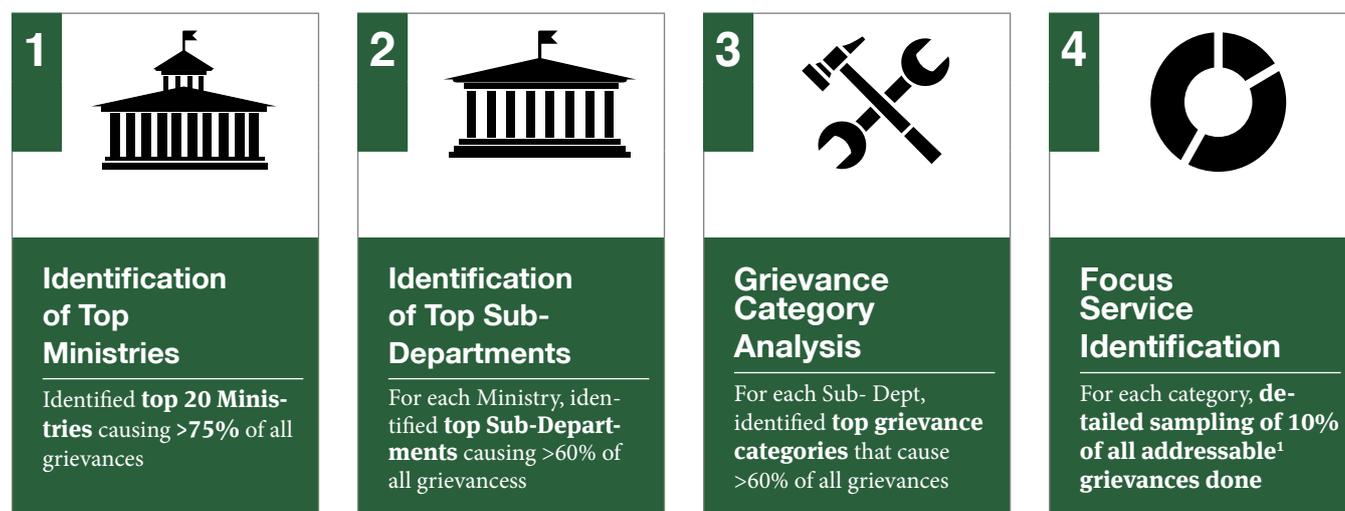
Approach

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/Ministry 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 Department of Higher Education (rank 6).

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

Overall Rank	Ministry	No. of Grievances recieved # of grievances		No. of Grievances pending (> 12M)		No. of Grievances pending (6M - 12M)	
		Rank	No. of Grievances	Rank	No. of Grievances	Rank	No. of Grievances
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

The Ministry of Human Resources Development is one of the most important Ministries which is responsible for the Education System in India. It has two important departments executing its objective, namely, (1) Department of School Education & Literacy, and (2) Department of Higher Education.

The Department of Higher Education at the Central level is responsible for creating policies to ensure accessibility of quality higher education, not only in terms of rules and regulations regarding running these institutes, but also providing quality higher education through institutes and universities set up by the Centre. This Department ensures that there are policies in place to ensure that the correct courses are being offered, and relevant infrastructure is in present

in these colleges, and the colleges are setup as per certain rules, and these rules are followed throughout. There are two bodies under the government, namely, University Grants Commission (UGC) and All India Council for Technical Education (AICTE) - which ensure that the colleges and universities in India are set up for proper running of affiliated colleges also.

This department takes care of a subject which affects the future of the population of India, and of India itself, as this pumps in skilled individuals in various fields like industry, academia, and also, the social and public sector. As a result of its impact, it is a department which receives a large number of grievances and detailed analysis follows from here on.

Identification of top Sub-Departments

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.

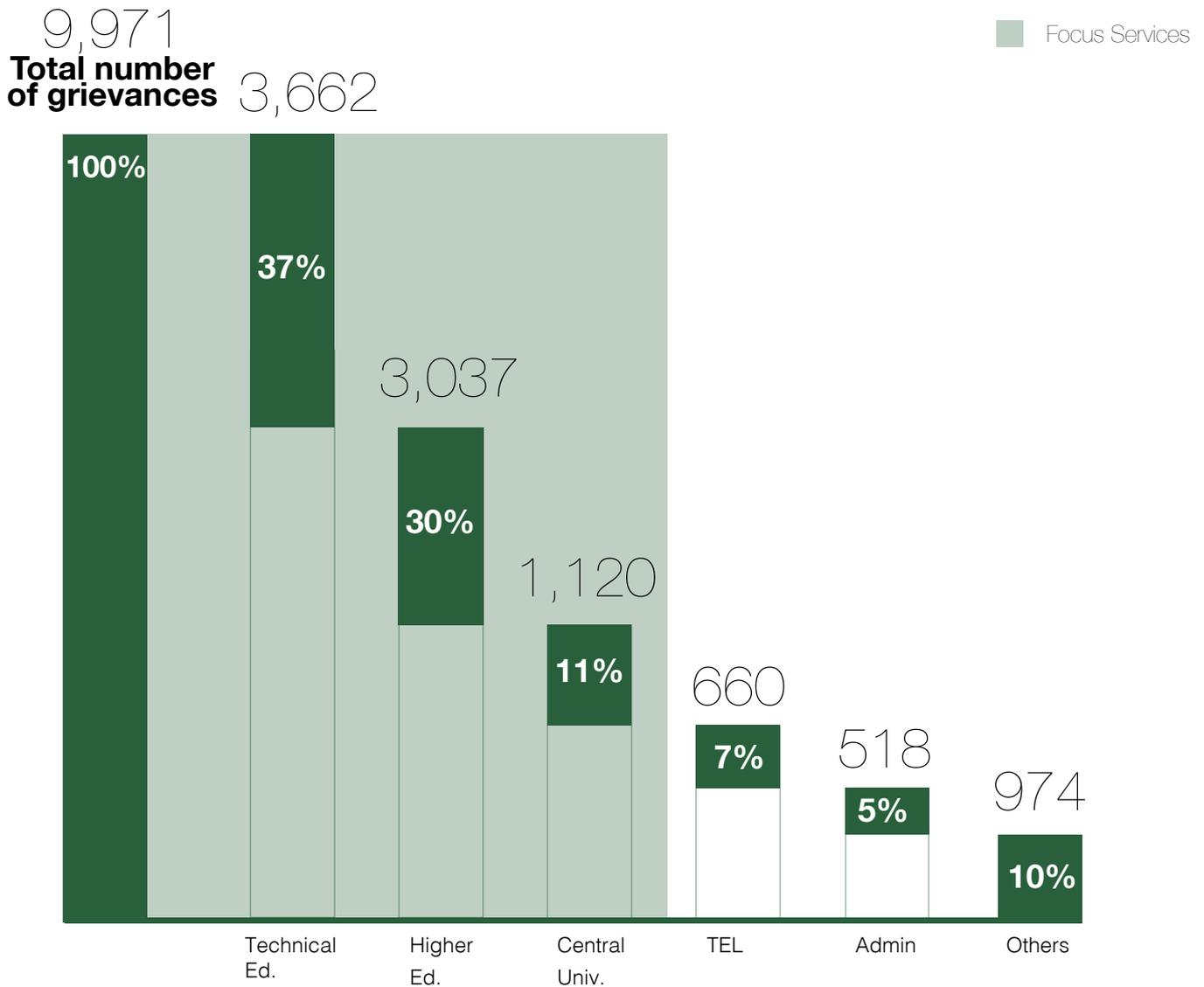
These sub-departments have been defined as per the officer-in-charge who it is forwarded to within the Department/Ministry, as defined by the respective Department/Ministry. For the Department of Higher Education, the sub-departments receiving maximum number of complaints have been defined by service/responsibility of that Bureau Head. The highest grievances have been received by the Technical Education Bureau (account for 37% of grievances) Dept led by the corresponding Bureau Head in charge (as defined by the Ministry), and the next highest grievances received by Higher Education Bureau - accounting for 30% of all grievances.

The figure below depicts the sub-departments that receive the maximum number of grievances for this particular department, and a detailed category wise analysis for the sub-departments is shown below.

The top 3 departments, namely Bureau Head - Technical Education, Bureau Head - Higher Education, and Bureau Head - Central University (as per the ministry definition of the sub-department it is forwarded to within the Department), and these account for ~80% of all grievances and have the grievances received by these sub-departments have been analyzed further.

Top 3 Sub-Departments account for ~80% of grievances

Categorized grievances received by Sub-Departments¹



¹ All grievance reported from 01/04/2015 to 31/08/2015 across all touch points

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, Bureau Head - Technical Education, Bureau Head - Higher Education, and Bureau Head - Central University (as per the ministry definition of the sub-departments the grievances are forwarded to).

summarized below in the table. The top most issue for the Ministry is the delay in disbursement of fellowships/scholarships which accounts for 23% of all addressable grievances, followed by quality of higher education which accounts for 9%. The specific details of these two type of grievance issues and the other grievances issues have been detailed out in the table below.

For the Department of Higher Education, the top recurring addressable issues across the sub-departments have been

Top 5 services identified to focus on for root cause analysis

Focus services for deep dive

Top Grievance Causing Services (QCI defined)	Impact % ¹	Details
1 Fellowship, scholarships not being paid on time	23%	<ul style="list-style-type: none"> • Delay in disbursement of scholarship, fellowship money • Gap in implementation of revised amounts
2 Quality of higher education	9%	<ul style="list-style-type: none"> • Teacher quality below par, with under-trained or untrained teachers • Colleges lacking infrastructure for practical studies, overall development
3 Lack of job opportunities for courses	7%	<ul style="list-style-type: none"> • Employability of candidates in certain courses is low • Low job opportunities post higher education
4 VC ² appointment issues	6%	<ul style="list-style-type: none"> • VC position vacant for last few years - appointment not being made • Appointment not done according to norms
5 Delay in awarding of degrees	7%	<ul style="list-style-type: none"> • Degrees not being given in time to students; causes delay in joining job • Results for exams delayed by colleges

¹ Impact is defined as a fraction of all addressable grievances - those that can be solved through administrative reforms
² Vice Chancellor

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 grievance causing services is chosen for further deep-dive and root cause analysis, which is - fellowships, scholarships not being paid on time.

The other issues have been de-prioritized as per discussions with Ministry representative and the Additional Secretary (TE) of Department of Higher Education. Instead, an analysis and study of the best practice for a public grievance portal and the relevant suggestions have been done, for quick and quality redressal of the grievances.

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

STRUCTURAL REFORMS DESIGN

(Suggestions & next steps)

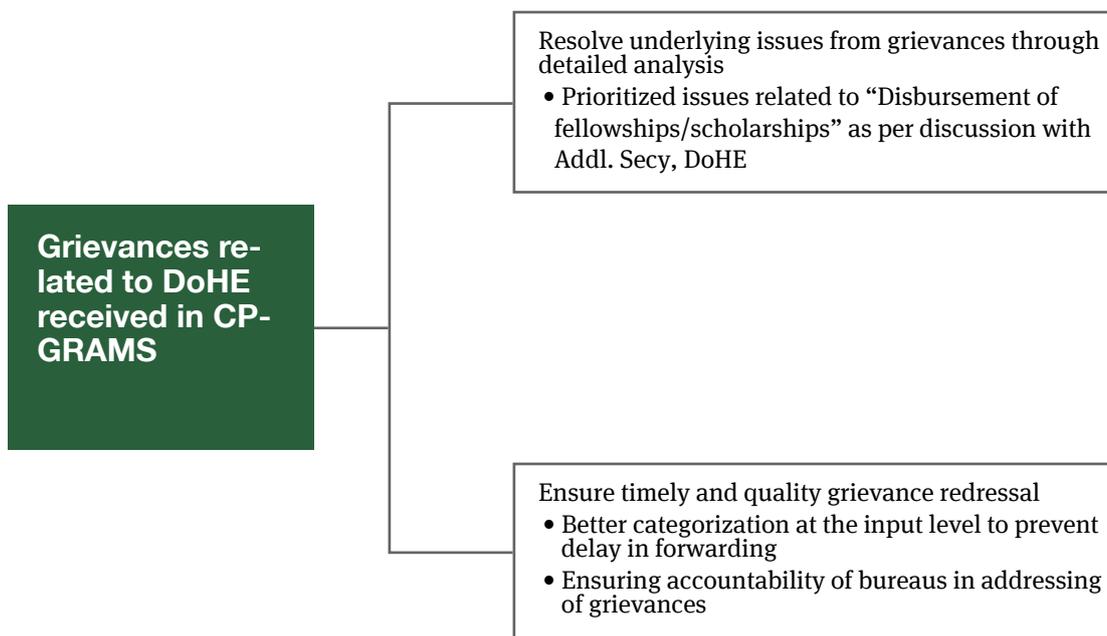
Focus primarily on grievance redressal & regulation for DoHE through CPGRAMS

As mentioned in the conclusion on the previous page, the grievances that are received by the Department of Higher Education, can be segregated into two types, (1) Addressable grievances, (2) Non - addressable grievances.

Of the addressable grievances, identified through this study, the issue regarding, “Disbursement of fellowships/scholarships” has been prioritized as per discussions with Additional Secretary of the Department.

For the rest of the process, it was imperative to ensure the timely grievance redressal, with high customer satisfaction. In order to ensure this, it is important that the grievance redressal mechanism itself is improved, by doing a thorough study of the best practices followed in private sector or other government bodies for redressal of grievances.

Actions by DoHE



The focus services identified, of the addressable grievances, 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, and are based on global best practices. These solutions have been finalized post interactions with experts from that particular field or experts who have implemented similar solutions.

The utility of these systemic recommendations is to serve as starting points for improving the quality of services, and the final solution would take shape after further discussions. The following table summarizes the reform recommendations specifically for the Fellowships/scholarships disbursement delay issue, and tries to capture the ease of implementation of these recommendations. The detailed root cause analysis for each of the issues follows thereafter, giving an understanding of the procedure used to arrive at these recommendations.

Summary: Fellowship disbursement process reforms

Process Reform		Description	Proposed Owner	Ease of implementation
1a	Single portal system	<ul style="list-style-type: none"> • Single online portal with interface for student, university, and respective agency for: • Data capturing and verification of students • Document uploading • Periodic renewal and verification 	UGC	
1b	Online notification system	<ul style="list-style-type: none"> • Online notification to students regarding discrepancies in records • Notification to be sent on mail as well in case of discrepancies 	UGC, AICTE	
1c	Dashboard for tracking of fellowship	<ul style="list-style-type: none"> • Dashboard provision on portal for tracking of fellowship verification, disbursement 	UGC	
1d	DBT - independent of bank	<ul style="list-style-type: none"> • Direct Beneficiary Transfer directly to the student a/c as mentioned by the student 	UGC, AICTE	

Ease of implementation  High  Medium  Low

Detailed Process Analysis - Fellowships disbursement process

For each one of the reforms summarized in the above table, 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 fellowship disbursement processes, a step-wise breakup has been done, to understand the various steps involved in the disbursement process. This is done to better understand the improvements that can be made in the process to help ensure speedy disbursement of scholarships. The detailed process flow, for all the fellowship disbursement agencies and process types have been tabulated below. In addition to that, it has been contrasted with the international practise observed by the Massachusetts Institute of Technology (MIT), for the disbursements of its stipends, fellowships and scholarships.

Process for disbursement of fellowship

There are a number of fellowships that are provided to the students studying in Higher Education, ranging from the GATE scholarship provided to the Masters students, to the fellowships provided to the SC/ST students. The two main disbursing agencies in India for Higher Education, are the following:

1. All India Council for Technical Education (AICTE)
2. University Grants Commission (UGC)

The number of students, availing this fellowships is high, and there are a large number of complaints about there being a delay in the various parts of the process ranging from delay in approval from the universities, delay in disbursement from the bank or a delay in approval of the documents by the disbursing authority. This eventually leads to a delay in disbursement to the students, which has led to large number of grievances.

The following section details out the process flow, and contrasts every step of the process with that of the fellowships disbursement process of Masachussets Institute of Technology (MIT), and the changes in that step that can be incorporated.

Process for disbursement of fellowship

Process for approval and disbursement of fellowships

Steps involved	AICTE - GATE	UGC - GATE	UGC - NON - GATE	MIT (Best practice) ¹	Recommendations	
Collection of student details	Filled by student on online portal	Manually collected by university	Filled by student on online portal	Filled by student on online portal	Single portal encompassing: <ul style="list-style-type: none"> • Uploading of document by the student • Provision for verification by university and agency involved 	
Document uploading by student	Online portal	Manual submission - university	Manual submission - Bank branch	Online portal		
Document verification by university	Manual verification - institute	Manual verification - institute	Manual verification - institute	Electronic verification - university		
Document verification by disbursement agency	Electronic verification on portal - AICTE	Manual verification - UGC	Manual verification - bank	-		
Notification (in case of discrepancy)	Online notification on portal	Re-sent manually to institute/ university	No electronic notification	Online notification, with mail sent to student		Online notification on portal, with mail sent to student
Periodic performance verification	Uploaded on portal - institute	Manually sent - university	Manually sent - university	Filled by student on portal, online admin verification		Filled by student on portal, online admin verification

¹ MIT has a single portal for the end-to-end fellowship process with access for student, professor, administration

Process for disbursement of fellowship

Process for approval and disbursement of fellowships

Steps involved	AICTE - GATE	UGC - GATE	UGC - NON - GATE	MIT (Best practice) ¹	Recommendations
Performance verification	Performance verification not on portal	Manual report sent by university	Performance verification not on portal	-	Online renewal and verification - single portal
Renewal of fellowship	Online renewal on portal	Documents sent manually	Document procured manually	Online renewal on portal by prof.	
Money disbursing agency and receiver	Disbursed by AICTE to student a/c (DBT ²)	Disbursed by UGC- paychecks to university	Disbursed by UGC to Canara Bank A/cs	Disbursed to student A/c (DBT)	Disbursed directly to student A/c (DBT) - not bank specific
Money disbursed through	PFMS portal, support from State Bank	Manually sent to the university	PFMS portal, support from Canara Bank	MIT, with funds from prof.	
Student dashboard for monitoring	Student can view status of payment on portal	Nothing in place	Nothing in place	Student can view status at each step	Student dashboard for complete verification

¹ MIT has a single portal for the end-to-end fellowship process with access for student, professor, administration

² Direct Beneficiary Transfer

For each one of the suggestions/recommendations given above, the intention is that these will serve as starting point for further discussions within the Departments to ensure quality delivery of services to the citizen.

It must be noted that the above recommendations may also already be incorporated into existing activities/plans of the Department.

GRIEVANCE PROCESS REFORM DESIGN

The grievance redressal process, is one that is of utmost importance, as it is a sign of dissatisfied customers, and it is of utmost importance to ensure customer satisfaction.

Hence, in order to ensure that, it is important to have robust and efficient grievance redressal mechanism, which is of extreme importance to the governing authorities.

The key components of a quality grievance redressal mechanism are:

1. **Input of grievances should not only be user-friendly, but also identify the right stakeholder for redressal**
2. **The grievances should be treated with criticality, and with importance, as it is a sign of a dissatisfied customer**
3. **The grievance redressal process should be efficient and should lead to quick redressal**
4. **A management system in place, to ensure that each one of the stakeholders responsible for grievance redressal ensures that they ensure quality redressal, and this is tracked on a regular basis.**

The following table details out the various aspects that need to be considered for each one of these points, and the corresponding best practice followed in that matter.

Improvements in grievance addressing mechanism

	Issues	Present state	Proposed solution	Best practices
1	Input of grievances by citizen	<ul style="list-style-type: none"> • Input categorization not citizen friendly • All inputs categorized as grievances 	<ul style="list-style-type: none"> • Citizens can choose from list of top recurring issues • Input categorization as Query, Suggestion or Grievance 	
2	Criticality of grievance	<ul style="list-style-type: none"> • PMO grievances not flagged as important or treated with criticality 	<ul style="list-style-type: none"> • Tracking of responsiveness of service providers; slow redressal to be flagged and addressed • Escalation of grievance to superiors, in case of delay in responding 	
3	Delay in forwarding of grievances	<ul style="list-style-type: none"> • Manual forwarding of grievances to the respective stakeholder 	<ul style="list-style-type: none"> • Auto-forward to based on input (of service provider) chosen by citizen 	<ul style="list-style-type: none"> • CPGRAMS auto-forwards complaints if Ministry is input
4	Accountability of respective bureaus	<ul style="list-style-type: none"> • Disposal report submitted monitored by PG dept.; quality not monitored 	<ul style="list-style-type: none"> • Regular tracking, monitoring of customer satisfaction (of redressal), responsiveness 	

1

A well designed portal for citizens is required to ensure efficient grievance redressal; examples of changes suggested below

Separate suggestions and queries

The key to a well designed grievance portal is to ensure that the right type of input is asked from the customer, the citizen in this case.

The two important categorization levels required at the input level are as follows:

1. Issue type: It is important to understand the difference between as 1) Suggestions, 2) Queries, and 3) Complaints. A provision of a portal for reaching out to the higher authorities is inevitably used for any of these, and also RTI in case of India.

It is important to segregate this at the beginning, as the redressal of each one of them is separate from the other.

2. Grievance issues: The categories of grievance causing issues that are provided at the portal, should be specific to the grievance causing services, and the top recurring services rather than just generic categoriation, and it should be specific to that particular Ministry/Department.

Another important thing that needs to be done is acknowledgement of the grievance that has come in. A standard protocol followed by private sector customer care cells is to acknowledge the same by sending a confirmation over mail and through SMS.

Sample: Dept. of Higher Education Complaints portal

TAKE ACTION

Transferred By : DARPG

Grievance Registration No.	DARPG/E/2015/12907
Classification	PUBLIC GRIEVANCE
Grievance Category	--Select--
Local File No.(if any)	--Select--
Decision	001 - Non-payment of Fixed/Term Deposit on maturity/bef. maturity 002 - Non-payment/non-issue of drafts 003 - Retirement benefits/delay in payment of pensions 004 - Delay in clearance of cheques 005 - Non issue/delay in issue of duplicate drafts 006 - Misbehaviour/rudebehaviour/harassment/corruption by bank staff 007 - Non settlement/delay in settlement of deceased a/c 008 - Non transfer/delay in transfer of a/cs from one office to another 009 - Non opening/delay in opening of new accounts 010 - Noncompliance with standing instructions of the customers 011 - Complaints relating to Credit Cards/ATMs/Debit cards etc. 012 - Representations received from bank employees on various service matters 013 - Complaints relating to agriculture matters 014 - Complaints relating to various govt. sponsored schemes 015 - Miscellaneous complaints 016 - Complaints relating to service charges 017 - Complaint reg. deficiency in customer service 018 - Complaint regarding housing loan 019 - Complaint regarding education loan
Remarks or Reason(if any)	

Optimal grievance categorization

- Categorization specific to grievance causing services
- Option for Miscellaneous category to make list comprehensive

Intuitive user input design

- Allows citizens to define the specific issue to minimize effort for employees to categorize & forward
- Employees to focus on redressal rather than responding

The portal for collecting the grievances from the citizen should be both, citizen friendly and intuitive to use. It is imperative to understand, that the citizen does not know what his problem is, and giving a free-text option instead of an objective list from which the citizen can chose from, makes it tougher for redressal.

As mentioned earlier as well, the categories for grievances facing the citizen on the portal should also be more oriented towards the services offered rather than a set of generic categories.

A re-designed version of the portal has been shown below, as per learnings from the private sector for making the website citizen friendly and intuitive, and contrasted with the original version of the website

1 Portal should be citizen-friendly & intuitive: Current Portal

CPGRAMS - Dept. of Higher Education

The screenshot displays a web form for filing a grievance. At the top, there are input fields for 'Phone No.', 'Mobile No', and 'Email Id.'. Below these are instructions: '(ISD Code+STD Code-without '0' prefix+Tel.No) eg : 911123367688' and 'Provide Mobile number/e-mail address in order to Receive SMS/e-mail alerts related to this grievance (ISD Code & Mobile Number)eg : 919999999999'. The 'Grievance Category' dropdown menu is open, showing a list of categories including 'Employee Related', 'Harassment/Atrocities', 'Allegation Of Corruption/Malpractices', 'Legal Matters/Judiciary', 'Quality Of Service/Civic Amenities', 'Land Related Problems', 'Financial Services', 'Implementation of Schemes', 'Environment Issues/Animal Welfare/ForestConservati', 'Education', 'Labour Issues', 'Financial Assistance', 'Housing', 'Urban Development', 'Agriculture', 'Police', 'Other Central Government Related', 'State Government Related', 'External Affairs/Overseas Affairs', and 'Railway'. Below the dropdown is a text area for 'Please enter Grievance Description upto' and a note about 'Special charecters like ^ [^ { } ` ~ | ^'. Further down, there are fields for 'Reference Number (If any) And Date of Reference' and a radio button for 'Do you want to upload PDF Attachment ?' with 'Yes' and 'No' options. At the bottom, there is a CAPTCHA instruction: 'Please type the characters appearing in the image below:'.

CPGRAMS - Dept. of Higher Education

pgportal.gov.in/GrievanceNew.aspx

* Address

Pincode

Country

* State

District

Phone No.

OSD Code+STD Code without '+' prefix+Tel.No} eg: 911123367888

Provide Mobile number & e-mail address in order to Receive SMS/e-mail alerts related to this grievance

Mobile No.

OSD Code & Mobile Number} eg: 91999999999

Email ID.

* Please enter the institute pertaining to your grievance:

* Please tell us more about your grievance:

Insights

The portal has been re-designed as a sample for the Department of Higher Education, and the two key insights that we feel can be taken away from this new portal is that:

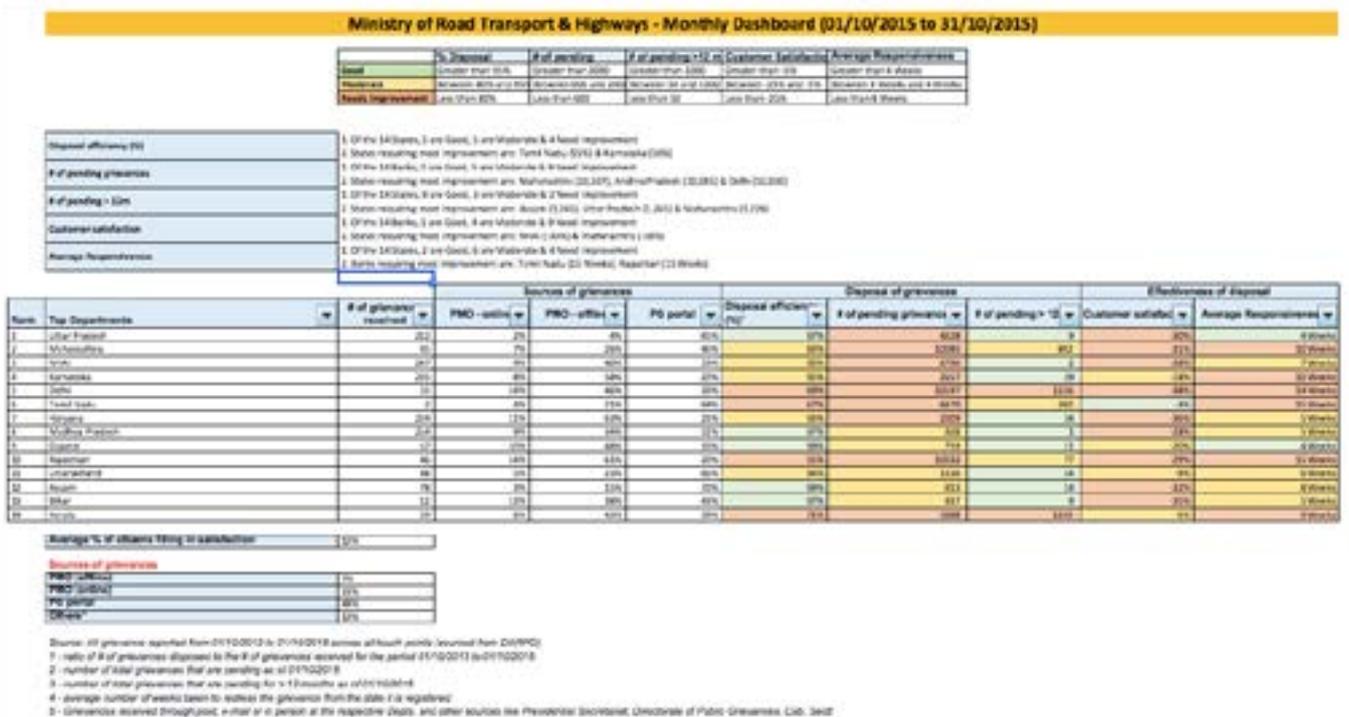
1. Categories are relatively more citizen-friendly (not showing Technical Education, Higher Education etc.); all forwarding is done in back-end
2. Citizens can choose from list of top recurring-issues; top 6 issues are shown (Delay of Fellowship is ~25% of all grievances), remaining can be categorized as 'Others'

Disposal rate inadequate measure of quality of redressal process so NPS and timely redressal must be tracked

Quality dashboard for tracking performance

In order to ensure that grievances are tracked and redressed on time, it is important to have a report or dashboard that can not only take a stock of the number of grievances being received, redressed and also track the quality of redressal. The current tracking of performance takes into consideration only the disposal rate, and not the quality of disposal, and hence quality of redressal is not being tracked. A sample dashboard has been developed with the following principles kept in mind:

1. A dashboard should track the right metrics of redressal - including both quality and the disposal rate
 2. Dashboard should provide a view on the Bureaus or organizations doing well, and those that need improvement on any of the parameters.
- A sample dashboard has been shown below based on these principles.



The above suggestions will serve as the starting point for further discussions within the Departments to ensure quality delivery of services & grievance redressal to the citizen.

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