



सत्यमेव जयते

**Government of India**

**Workbook and Instructions for Practice Exercise on  
“Capability Assessment and Enhancement Process”**

Department of Administrative Reforms and Public Grievances

**September 2011**

### **1.1 Objective of the Exercise**

The objective of this exercise is to enhance participants’ understanding of the work to be done for designing and implementing Sevottam in their own organizations.

### **1.2 Approach**

Various presentations and discussions before this exercise would have provided participants with a conceptual understanding of the Sevottam framework. This exercise uses the learning-by-doing approach to develop a more thorough understanding of the ‘do’s and don’ts’ of designing and implementing Sevottam. It takes the participants through the basic assessment-improvement exercises necessary to implement systems for enhancing service quality.

### **1.3 Formation of Groups**

On the first day of the workshop, participants will be divided into groups for a group exercise. Each group is expected to complete this exercise with reference to one Ministry or Department to be taken up by the group.

### **1.4 Overview of the Department / Ministry**

Before starting the activities, participants should set the tone by going over the Citizen’s Charter of the Ministry or Department which they will be taking up so that all Group members are familiar with the same.

### **1.5 Activities**

This exercise involves completing **twelve** distinct activities to produce the final output in the presentation format. Instructions for each activity along with the format to be filled for that activity are described in the next section.

### **1.6 Group Work Evaluation**

On the second day, participants will be provided printouts of the outputs developed by other Groups and given time to evaluate these documents. Each participant will individually evaluate the other Groups’ work using the format shown on **page 20** of this workbook. Each Group will discuss and write down two substantive suggestions for improving the other Groups’ work using the format shown on **page 21** of this workbook and hand it over to their group facilitator. Groups can then improve their own work if they want, and convert it into presentation format. All Groups will then present their work, and immediately after each presentation, suggestions from other Groups will be read out and explained as needed. Based on the presentation and the presenter Group’s response to suggestions, participants from non-presenter Groups will individually evaluate the presenter Groups’ work and hand over their evaluation to their respective group facilitators.

### Group Exercise Step I

#### Study the assigned Citizen’s Charter

The Citizen Charter of one organization has been provided to your group. Please go through the Charter carefully so that the quality of its content can be assessed. Discuss the working of the organization in your group to develop a common understanding on the practices this organization may be following for ensuring consistent and reliable service delivery, and meeting the expectations of its service recipients.

### Group Exercise Step II

#### Study the format for conducting Baseline Study

A format for conducting a Baseline Study has been provided on page 38 of the Guidelines for Designing and Implementing Sevottam. Take note of the five requirements for which the baseline study has to be conducted, viz. Documentation, Monitoring, Review, Technology, and Top Management Focus. Take note of the three evaluation criteria, viz. Fulfilled, Partially Fulfilled, and Not Fulfilled. Briefly discuss within your group the significance of each requirement and make a note of any important requirement that you think is missing.

REQUIREMENTS	CRITERIA		
	Fulfilled	Partially Fulfilled	Not Fulfilled at all
Availability of Clear Documentation			
1			
..			
N			
Service Quality Monitoring Mechanism			
1			
..			
N			
Feedback and Review Mechanism			
1			
..			
N			
Use of Technology			
1			
..			
N			
Top Management Focus			
1			
..			
N			

### **Group Exercise Step III**

#### **Study the relevant details for each Requirement**

Go through Chapter 7 Step 1 of the guidelines document. Discuss the details with your group and list the items your group thinks should be included in the baseline study under each Requirement. This means answering the following questions:

- On what aspects related to service delivery should clear documentation be available?
- What are the key elements of a robust service quality monitoring mechanism?
- What are the key elements of a robust service quality feedback and review mechanism?
- In what ways should technology be used in service delivery?
- What are the issues on which Top Management must focus in order to ensure service quality?

If your group believes that any additional questions are relevant, please add them to the list. Corresponding to these questions, add new requirements in the table and list the items to be covered under them.

#### **How to fill the Format for Step III**

Use the following checklists to include/exclude/modify/add items under each of the Requirements, as well as add Requirements if needed. Take the following actions to finalize the Requirements and Items agreed by your group:

- For each item, select ‘Include’, ‘Exclude’ or ‘Modify’ as decided by your group
- For all items where ‘Modify’ has been selected, use the blank row below it to write the item in modified form
- Use the blank rows at the end of each Requirement table to include any additional items that your group thinks should be included under the same Requirement. Add more rows if required.
- Use the last table to document any new Requirements that your group decides to include along with relevant items underneath it.

#	Availability of Clear Documentation	Include/Exclude/Modify Item
1	Main services offered	
1		
2	Minimum standards prescribed for these services	
2		
3	Expectations from service recipients	
3		
4	Process for lodging complaints/grievances	
4		
5	Time norms for acknowledgement of complaints	
5		
6	Time norms for intermediate progress of complaint redress	
6		
7	Time norms for final closure of complaints	
7		
8	Standards generally considered acceptable for similar services in the public sector	
8		
9	Best practice standards relevant for services listed in Citizen's /Client's Charter	
9		
10	Maximum waiting time for each counter service	
10		
11	Expectations of service recipients while availing services	
11		
12	Classification of grievances according to the expected time taken to resolve them	
12		
13	Differential time norms for redress of different types of grievances	
13		
14	Minimum infrastructure requirements for meeting standards	
14		
15	Minimum requirements for awareness/training of staff coming in contact with service recipients	
15		
16	Minimum requirements for awareness/training of staff engaged in other supporting activities	
16		
17		
18		

.#	Service Quality Monitoring Mechanism	Include/Exclude/Modify Item
1	Prescribed service standards are being met	
1		
2	Time norms for acknowledgement of complaints/grievances are being met	
2		
3	Time norms for informing intermediate progress of complaints/grievances are being met	
3		
4	Time norms for final closure of complaints/grievances are being met	
4		
5	Online system for lodging of grievances is fully functional on a 24x7 basis	
5		
6	Telephone numbers provided for grievance lodging are promptly responded to	
6		
7	Minimum infrastructure requirements for delivery of services as per standards are available	
7		
8	Available infrastructure for delivery of services as per standards is in working order	
8		
9	Minimum required awareness/training is given to staff	
9		
10		
11		

#	Feedback and Review Mechanism	Include/Exclude/Modify Item
1	Bringing prescribed standards closer to service recipients' expectations	
1		
2	Bringing prescribed standards closer to national or known benchmarks and best practices	
2		
3	Ensuring that service recipients are aware of Citizen's / Client's Charter	
3		
4	Ensuring that service recipients understand how to avail services, most conveniently	
4		
5	Ensuring that staff understands the purpose and content of the Citizen's / Client's Charter	
5		
6	Ensuring that staff is following basic courtesy and punctuality requirements in dealing with service recipients	
6		
6	Ensuring that staff understand how their day-to-day working is linked to achievement of service standards	
6		
7	Ensuring that staff is following basic courtesy and punctuality requirements in dealing with service recipients	
7		
8	Ensuring that staff understands what they need to do for success of initiatives that are aimed at bringing prescribed standards closer to service recipient expectations	
8		
9	Ensuring that staff understands what they need to do for success of initiatives that are aimed at bringing prescribed standards closer to benchmarks/best practice	
9		
10		
11		
12		

#	Use of Technology	Include/Exclude/Modify Item
1	Availing services on phone without physical visit by service recipients	
1		
2	Availing services through internet without physical visit by service recipients	
2		
3	Phone help lines for registering complaints/grievances	
3		
4	Website for registering complaints/grievances	
4		
5	Electronic system to monitor time taken/other standards for services listed in Citizen's / Client's Charter	
5		
6	Electronic system to enter and transmit complaints received to concerned functionaries	
6		
7	Escalation of complaints not redressed within norms	
7		
8		
9		



#	Top Management Focus	Include/Exclude/Modify Item
1	Reducing causes of complaints	
1		
2	Redressing maximum complaints immediately on receipt	
2		
3	Increasing resource availability for improved service standards	
3		
4	Introducing new, efficient methods to improve services and standards	
4		
5	Eliminating fire-fighting style of working	
5		
6	Reviewing and updating outdated activities and methods	
6		
7		
8		

#	Additional Requirement identified by your Group
1	
2	
3	
4	
5	

#### Group Exercise Step IV

##### Assess current status of the organization.

Using the complete list of items created in Step III, and your group’s understanding of the organization’s working, choose the applicable criteria by placing a tick mark in the relevant cell. Discuss and document the actions you think should be taken to address the cases where the requirements are partially or not at all fulfilled. The format to be used is shown under Step II

### **Group Exercise Step V**

#### **Select a standard Service from the Citizen’s Charter**

Out of all the services listed in the Citizen’s Charter, select one significant service to be taken up for process mapping. Select the service in such a manner that it is not very specific to the concerned organization only, so that your group can make a process map for the service based on general understanding of government working. Discuss the service with your group members to develop a common understanding on the process and steps in the process this organization may be following for delivering those services.

### **Group Exercise Step VI**

#### **Develop Process Map for Selected Service**

Based on the common understanding of your group and the experience of its members in government functioning, break up the service delivery process for the selected service into small steps. Do not club tasks performed by different staff members into one step. For each step, fill up the tabular format for process mapping given in Section 2 Chapter 6 of the Guidelines for the selected service. Information like names, dates can be filled in on the basis of hypothetical data or left blank. The tabular format is shown below.

<b>Process Name:</b>	
Step 1 Name:	
Time to Completion:	_____ working hours/working days
Dealing staff name and designation:	
Process completion output:	<E.g. Acknowledgement/ receipt>
Process quality criteria:	<E.g. Acknowledgement has legible identification number and date >
Is any internal record created?	Yes/No
If yes to above, please mention name/s of records:	
Is any checklist used?	Yes/No
If yes to above, please mention name/s of checklist/s	
Process Mapping done by:	(Name)
Date of Mapping:	<Date>

**Group Exercise Step VII**  
**Identify existing or potential bottlenecks in the process mapped in Step VI**

From the details captured in Step VI, add the total time taken to perform all the steps and check whether the process design is such that the service standards laid down in the Citizen’s Charter will be consistently met. Note down the existing or potential bottlenecks that might interfere with consistent and reliable delivery of services as per standards in the following format.

#	Name of Bottleneck	Existing or Potential	Stage of Occurrence
			Step # or Transit between Step – and --
1			
2			
3			
4			
5			

**Group Exercise Step VIII**  
**Identify ways and means to circumvent or avoid the bottlenecks**

Taking note of the bottlenecks identified above, discuss and document ways and means to remove the bottlenecks in the following format. If your group believes that there is no way to remove the bottlenecks, then discuss and document whether the standards should be changed to accommodate the unsurmountable bottlenecks.

#	Removable Bottleneck	E/P	Stage of Occurrence	Removal Method
1				
2				
3				
4				
5				
#	Unsurmountable Bottleneck	E/P	Stage of Occurrence	Impact on Standards
1				
2				
3				

### **Group Exercise Step IX**

#### **Study the format for conducting Gap Analysis**

A format for conducting Gap Analysis has been provided on **page 38** of the Guidelines for Designing and Implementing Sevottam. Take note of the three main issues in respect of which the organization should have established systems to ensure that the required activities are being undertaken in the organization in routine, viz. Setting Service Standards, Smooth delivery of services, and Continuous improvement in Service Standards. Take note of the five possibilities that could exist related to the system pertaining to each issue, viz. there is no system at all and nothing has been prepared to implement such system, something has been discussed and prepared but not formally documented, something has been formally documented but not disseminated freely to those who will use/implement the system, something has been prepared, documented, disseminated but not widely implemented. Briefly discuss within your group the significance of each issue and make a note of any important issue that you think is missing. Also discuss the five possibilities from preparation to implementation, and make note of any possibilities that you think may be missing.

### **Group Exercise Step X**

#### **Study the relevant details for each Issue**

Go through Chapter 7 Step 3 of the guidelines document. Discuss the details within your group and list the items your group would like to include in the Gap Analysis under each Issue. This means answering the following questions:

- What practices for standard setting should be standardized and implemented?
- What practices for delivery of routine services should be standardized and implemented?
- What practices for continuous improvement in service delivery should be standardized and implemented?

If your group believes that any additional questions are relevant, please add them to the list. Corresponding to these questions, add new issues in the table and list the items to be covered under them. Use the following formats to undertake this exercise:

Most of these issues have been discussed during the Baseline Study and this Step can be done much faster now.

#	Standard Setting	Include/Exclude/Modify Item
1	Main services offered	
1		
2	Minimum standards prescribed for these services	
2		
3	Expectations from service recipients	
3		
4	Process for lodging complaints/grievances	
4		
5	Classification of grievances/complaints according to time required for their redress	
5		
6	Time norms for acknowledgement of grievances	
6		
7	Time norms for informing intermediate progress of grievances	
7		
8	Time norms for final redress and closure of grievances	
8		
9	Maximum waiting times for counter services	
9		
10	Standards that are generally considered acceptable for the services in public sector	
10		
11	Standards expected by service recipients	
11		
12		
13		

#	Systems for smooth delivery of routine services	Include/Exclude/Modify Item
1	Phone lines for availing services without physical visit by service recipients	
1		
2	Internet for availing services without physical visit by service recipients	
2		
3	Phone lines for lodging grievances/complaints	
3		
4	Online system for lodging grievances/complaints	
4		
5	Minimum infrastructure requirements for delivery of services as per standards	
5		
6	Minimum required awareness/training of staff coming in contact with service recipients	
6		
7	Electronic system to monitor time taken to provide services listed in Citizen’s Charter	
7		
8	Escalation of complaints not redressed within norms	
8		
9		
10		

#	Systems for continuous improvement	Include/Exclude/Modify Item
1	Motivational interventions to recognize Outlets excelling in service delivery	
1		
2	Motivational interventions to recognize Individual staff members contributing to high standards of service delivery	
2		
3	Motivational interventions to recognize Individual staff members providing implementable process improvement suggestions	
3		
4	Proactive seeking of feedback from service recipients through Customer surveys	
4		
5	Proactive seeking of feedback from service recipients through Analysis of grievances	
5		
6	Proactive seeking of feedback from service recipients through Observations through visits and inspections	
6		
7	Proactive seeking of feedback from service recipients through Periodic consultations with citizen representatives	
7		
8	System improvement activities as priorities on top management's regular agenda	
8		
9	System improvement activities as priorities on top management's regular agenda for bringing prescribed standards closer to service recipient expectations	
9		
10	System improvement activities as priorities on top management's regular agenda for bringing prescribed standards closer to benchmarks/best practice	
10		
11	System improvement activities as priorities on top management's regular agenda for improving the effectiveness of Citizen's / Client's Charter	
11		
12	System improvement activities as priorities on top management's regular agenda for removing causes behind grievance prone areas	
12		
13	System improvement activities as priorities on top management's regular agenda redressing maximum grievances immediately on receipt	
13		



#	Systems for continuous improvement	Include/Exclude/Modify Item
14	System improvement activities as priorities on top management’s regular agenda for increasing resource availability for improved service standards	
14		
15	System improvement activities as priorities on top management’s regular agenda for introducing new, efficient methods to improve services	
15		
16	System improvement activities as priorities on top management’s regular agenda for eliminating fire-fighting style of working	
16		
17	System improvement activities as priorities on top management’s regular agenda for reviewing and updating outdated activities and methods	
17		
18		
19		

#	Additional Issues identified by your Group
1	
2	
3	
4	
5	

### **Group Exercise Step XI**

#### **Conduct Gap Analysis.**

Using the list of items created in Step X, and your group’s understanding of the organization’s working, choose the applicable criteria by coloring the relevant cell using the format shown in Step 3 Chapter 7 of the Guidelines document. Discuss and document your suggestions for improvement wherever the colors are closer to Red.

### **Group Exercise Step XII**

#### **Consolidate Suggestions for Improvement**

Combine all the improvements suggested by your group from Baseline Study, Process Mapping, and Gap Analysis into a set of consolidated recommendations. Discuss and document how these recommendations will get refined by following the remaining steps in the Guidelines document.

.

### GROUP WORK PEER EVALUATION SHEET

OUR GROUP # _____	GROUP BEING EVALUATED _____							
Evaluation Criteria	Unit	Weight	Excellent	Very Good	Good	Fair	Poor	Result
			100%	90%	80%	70%	60%	
			Give raw score by circling a number for each criterion					
All critical items are covered in the Baseline Study	%	0.10	5	4	3	2	1	
Irrelevant items have been dropped from the Baseline Study	%	0.10	5	4	3	2	1	
Baseline Study Findings are representative of the selected organization	%	0.10	5	4	3	2	1	
Process Mapping has been done in a way that bottlenecks can be easily identified	%	0.15	5	4	3	2	1	
All critical items are covered in the Gap Analysis	%	0.10	5	4	3	2	1	
Irrelevant items have been dropped from the Gap Analysis	%	0.10	5	4	3	2	1	
Gap Analysis Findings are representative of the selected organization	%	0.10	5	4	3	2	1	
Quality of Consolidated Recommendations	%	0.15	5	4	3	2	1	
Quality of Group presentation and response to suggestions	%	0.10	5	4	3	2	1	
<b>Final Score</b>								

### SUGGESTIONS FOR IMPROVEMENT

<b>OUR GROUP # _____</b>	
<b>GROUP #</b>	<b>SUGGESTIONS (PLEASE DO NOT GIVE ANY COMMENT FOR YOUR OWN GROUP)</b>
	<b>Baseline Study</b>
	<b>Process Mapping</b>
	<b>Gap Analysis</b>