**Report**

**on**

**REVIEW OF WORK PROCESSES AND STRUCTURE**

**OF**

**MINISTRY OF HOME AFFAIRS**

**Government of India**

**Sponsored by**

**Bureau of Police Research & Development**

**Ministry of Home Affairs**

**Government of India**

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**Submitted By**

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**List of Abbreviations used**

|  |  |  |
| --- | --- | --- |
| **S. No.** | **Abbreviation** | **Description** |
| 1 | AD | Assistant Director |
| 2 | APIS | Advanced Passenger Information System |
| 3 | AS (F&A) | Additional Secretary |
| 4 | AR | Assam Rifles |
| 5 | ASI | Assistant Sub-Inspector |
| 6 | ASO | Assistant Section Officer |
| 7 | BADP | Border Area Development Programme |
| 8 | BE | Bachelor of Engineering |
| 9 | BM | Border Management |
| 10 | BoI | Bureau of Immigration |
| 11 | BPR&D | Bureau of Police Research and Development |
| 12 | BSF | Border Security Force |
| 13 | CAPFs | Central Armed Police Forces |
| 14 | CAPFIMS | Central Armed Police Forces Institute of Medical Sciences |
| 15 | CBI | Central Bureau of Intelligence |
| 16 | CCTNS | Crime and Criminal Tracking Networks and Systems |
| 17 | CI | Counter Insurgency |
| 18 | CIAT | Counter Insurgency and Anti-Terrorism |
| 19 | CISF | Central Industrial Security Force |
| 20 | CFSL | Central Forensic Science Laboratories |
| 21 | COBs | Company Operating Bases |
| 22 | CPGRAM | Centralized Public Grievance Redress And Monitoring System |
| 23 | CPI | Communist Party of India |
| 24 | CPIO | Chief Public Information Officer |
| 25 | CPMFs | Central Para-military Forces |
| 26 | CRPF | Central Reserve Police Force |
| 27 | CS | Centre-State |
| 28 | CVC | Central Vigilance Commission |
| 29 | CVCF | Central Victim Compensation Fund |
| 30 | DANICS | Delhi, Andaman and Nicobar Island Civil Service |
| 31 | DANIPS | Delhi, Andaman and Nicobar Island Police Service |
| 32 | DCPW | Directorate of Co-ordination, Police Wireless |
| 33 | DG | Directorate-General |
| 34 | DGACE | Director General of Audit (Central Expenditure*)* |
| 35 | DGFT | Directorate General of Foreign Trade |
| 36 | DIR | Director |
| 37 | DoFS | Department of Financial Services |
| 38 | DoP | Department of Post |
| 39 | DoPT | Department of Personnel and Training |
| 40 | DPC | Departmental Promotion Committee |
| 41 | DRDO | Defence Research and Development Organization |
| 42 | DSSC | Defence Services Staff College |
| 43 | ERSS | Emergency Response Support System |
| 44 | FC | Foreign Contribution |
| 45 | FCRA | Foreign Contribution Regulation Act |
| 46 | FDI | Foreign Direct Investment |
| 47 | FMR | Free movement Regime |
| 48 | FRO | Foreigner’s Registration Officer |
| 49 | FRROs | Foreigner’s Regional Registration Offices |
| 50 | GEQDs | Government Examiner of Questioned Documents |
| 51 | GFR | General Financial Rule |
| 52 | GoM | Group of Ministers |
| 53 | GTA | Gorkhaland Territorial Administration |
| 54 | HS | Home Secretary |
| 55 | IB | Intelligence Bureau |
| 56 | IBB | Indo-Bangladesh Border |
| 57 | IBhB | Indo-Bhutan Border |
| 58 | ICB | Indo-China Border |
| 59 | ICPs | Immigration Check Posts Integrated Check Posts |
| 60 | ICT | Information and Communication Technology |
| 61 | IEDs | Improvise Explosive Devices |
| 62 | IES | Indian Engineering Service |
| 63 | IFD | Integrated Finance Division |
| 64 | IIPA | Indian Institute of Public Administration |
| 65 | IMB | Indo-Myanmar Border |
| 66 | INB | Indo-Nepal Border |
| 67 | IOFS | Indian Ordnance Factories Service |
| 68 | IPB | Indo-Pakistan Border |
| 69 | IPS | Indian Police Service |
| 70 | IR Battalions | India Reserve Battalions |
| 71 | ISCS | Inter-State Council Secretariat |
| 72 | IT | Information Technology |
| 73 | ITBP | Indo-Tibetan Border Police |
| 74 | IVFRT | Immigration, Visa Foreigners’ Registration and Tracking |
| 75 | JIC | Joint Intelligence Committee |
| 76 | JS | Joint Secretary |
| 77 | JW | Jungle Warfare |
| 78 | KSA | Knowledge, Skills and Attitude |
| 79 | KPIs | Key Performance Indicators |
| 80 | LPAI | Land Ports Authority of India |
| 81 | LWE | Left Wing Extremism |
| 82 | MBA | Masters in Business Administration |
| 83 | M&G | Ministers & Governance |
| 84 | MHA | Ministry of Home Affairs |
| 85 | MIS | Management Information Systems |
| 86 | MoL&J | Ministry of Labour & Justice |
| 87 | MoRTH | Ministry of Road Transport and Highways |
| 88 | MoS | Minister of State |
| 89 | MPF | Modernization of Police Forces |
| 90 | MP | Member of Parliament |
| 91 | MTS | Multi Tasking Staff |
| 92 | MU | Monitoring Unit |
| 93 | NCRB | National Crime Records Bureau |
| 94 | NeGP | National e-Governance Plan |
| 95 | NGO | Non-Governmental Organization |
| 96 | NIA | National Investigation Agency |
| 97 | NIC | National Informatics Centre |
| 98 | NICFS | National Institute of Crime and Forensic Science |
| 99 | NIFM | National Institute of Financial Management |
| 100 | NOC | No Objection Certificate |
| 101 | NSCS | National Security Council Secretariat |
| 102 | NSG | National Security Guards |
| 103 | OBC | Other Backward Classes |
| 104 | OCI | Overseas Citizenship of India |
| 105 | OFB | Ordnance Factory Board |
| 106 | P-II | Police-II |
| 107 | PA | Personal Assistant |
| 108 | PCR Act | Protection of Civil Rights Act |
| 109 | PF | Police Finance |
| 110 | PFMS | Public Financial Management System |
| 111 | PGDOM | Post Graduate Diploma in Operations Management |
| 112 | PM | Police Modernisation |
| 113 | PMO | Prime Minister’s Office |
| 114 | PMU | Progress Monitoring Unit |
| 115 | POA Act | Prevention of Atrocities Act |
| 116 | PRC | Prior Reference Countries |
| 117 | PSUs | Public Sector Undertakings |
| 118 | QRs | Qualitative Requirements |
| 119 | RAW | Research and Analysis Wing |
| 120 | RBC | River Basin Committee |
| 121 | RRP-I | Road Requirement Plan-I |
| 122 | RTI | Right to Information |
| 123 | SC | Scheduled Caste |
| 124 | SCA | Special Central Assistance |
| 125 | SIB | State Intelligence Bureau |
| 126 | SIRB | Specialised Indian Reserve Battalion |
| 127 | SIS | Special Infrastructure Scheme |
| 128 | SO | Section Officer |
| 129 | SOP | Standard Operating Procedure |
| 130 | SP | Superintendent of Police |
| 131 | SPC | Student Police Cadet |
| 132 | SPOs | Special Police Officers |
| 133 | SR | State Reorganization |
| 134 | SRE | Security Related Expenditure |
| 135 | SS | Special Secretary |
| 136 | SSA | Social Security Assistant |
| 137 | SSB | Sashastra Seema Bal |
| 138 | SSP | State Security Plan |
| 139 | ST | Scheduled Tribe |
| 140 | UAV | Unmanned Aerial Vehicle |
| 141 | UN | United Nations |
| 142 | UPSC | Union Public Service Commission |
| 143 | US | Under Secretary |
| 144 | UTs | Union Territories |
| 145 | VIP | Very Important Person |
| 146 | VPN | Virtual Private Network |
| 147 | VUCA | Volatile, Uncertain, Complex, Ambiguous |
| 148 | WRB | Welfare and Rehabilitation Board |

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# Executive Summary

Bureau of Police Research and Development (BPR&D) had entrusted Indian Institute of Public Administration (IIPA) the project titled ‘Review of Work Processes and Structure of Ministry of Home Affairs’. The study is aimed at evaluating the work processes, the workload, and extent of usage of Information and Communication Technology (ICT) applications in different divisions of MHA and to suggest measures to make the system and processes more efficient and effective in select divisions. The study team reviewed the structure, work processes, work load and usage of ICT applications in the following six divisions of MHA :

1. Foreigners Division
2. Police Modernisation Division
3. LWE Division
4. Border Management –I Division
5. Center State Division
6. Police Division –II

Both quantitative and qualitative tools of data collection were used. In order to study the work processes, around 50 to 70 files were studied in the select divisions of MHA. Therefore, diagnostics were carried out on a total of 362 files. The purpose was to assess the movement of files from one level to another such as time taken in file movement from a particular level to another level, different levels it passes through, its procedural aspects and finally the level and process of disposal of files. Kick off meetings were held with the Joint Secretaries of the given divisions. With an objective to understand the work process, work load and prevailing issues of respective divisions, detailed discussions were carried out with the JS, DS/ US and Section Officers of above six mentioned divisions. Official files/documents were processed on following parameters:

* Different functions of the divisions
* File processing at various levels ( from ASO to SO to US to DIR to JS level)
* What is the nature of file? ( nature and type of references)
* How much time each file takes in its movement from dealing hand to JS level?
* Reasons for pendency
* Extent of Internal coordination in the division
* Extent of Inter–division consultation required

Two different questionnaires were developed. Questionnaire - A was administered to some officials of the division to capture factual information about extent of IT used in the division. Questionnaire- B was administered to around 30 people across all levels of hierarchy in each of the six divisions. Therefore, a total of 115 responses were received from the officials. This helped unravel certain significant issues by understanding the perception of people about them. The purpose was to provide insight into obstacles which need to be taken care of before implementing ICT in divisions in order to improve the process efficiency and reduce the workload.

The Study team dealt with the subject of study division-wise. For every division, the report covers the following issues:

* Introduction of the Division
* Sections and Current state of affairs
* Workload study
* Work Process study
* Assessment about ICT readiness and usage
* Observations of the Study team
* Conclusion and Recommendations for the division

Recommendations based on observations across all the identified divisions of MHA are given in four priority themes i.e Work process related ,Workload related, ICT related and General recommendations. Overall recommendations are given below:

* Decentralization and Delegation by redefining file movement levels
* Measures for Faster Decision-Making
* Training of Officers to ensure availability of quality manpower
* Enhance Manpower Strength
* Workload and Manpower Assessment
* Clear demarcation of Roles and Responsibilities between MHA Divisions and States
* Pro-active ICT application and usage
* Use of Decision Support System
* Create Knowledge Management System to maintain Institutional Memory
* Creation of Search Engine of MHA
* Knowledge Sharing Sessions between the Existing and Incumbent Officers
* Regular updating of website of MHA
* Use of e- File Management System for retrieval of data and files
* Use of Social Media for Perception Management
* Handling of inter-division matters by a Joint Consultative Committee
* Strengthen IFD
* Locate the entire MHA (all Divisions) in one building with proper work space
* Use of Key Performance Indicators
* Shift focus of MHA Divisions from Routine functions to Value Addition or Policy Making
* Stability of Tenure
* Establishing MHA’s own Training Institute
* Introduction of new systems and policies

# CHAPTER I

# Introduction

1. **Background**

Unprecedented changes are taking place at a breathtaking pace in the VUCA (Volatile, Uncertain, Complex, Ambiguous) world. Global economic competition, international capital mobility, cross border security, breathtaking improvements in telecommunications and information technology and citizen centric-governance require Government to take quick decisions and respond faster to security challenges and legal issues confronting the country. In the current scenario, Government has to be more responsive to the needs of customers and stakeholders like never before. Therefore, the Government needs to constantly review and redefine the way it operates, interacts, interface and transacts with its stakeholders. Ministry of Home Affairs (MHA) is a very crucial ministry of Government of India. Keeping this backdrop in view, a need is felt to revisit its existing structure and processes. Hence, Bureau of Police Research and Development (BPR&D) had entrusted The Indian Institute of Public Administration (IIPA) the project titled ‘Review of Work Processes and Structure of Ministry of Home Affairs’. The study is aimed at evaluating the structure, work processes, the workload and extent of Information and Communication Technology (ICT) usage in different divisions of MHA and to suggest measures to make the system and processes more efficient and effective in the select divisions.

1. **About MHA**

The Ministry of Home Affairs has multifarious responsibilities, important among them being internal security, management of Para-military forces, border management, Centre-State relations, administration of union territories, disaster management and domestic policy. The Home Ministry is also the cadre controlling authority for the Indian Police Service (IPS), Delhi, Andaman and Nicobar Island Police Service (DANIPS) and Delhi, Andaman and Nicobar Island Civil Service (DANICS). Ministry of Home Affairs has several departments and divisions. The current study by IIPA is however, limited to six divisions identified by MHA.

1. **Terms of Reference of the Research Study**

The terms of reference of the research study are:

1. To understand the working of various divisions of MHA and the role of these divisions viz. layout of department, subject dealt with and sections etc;
2. To examine and evaluate the work processes of identified divisions of MHA;
3. To examine and evaluate work load of identified divisions of MHA;
4. To examine the extent of ICT applications used in the work processes; and
5. To propose measures to bridge the gap between current state and desired state of affairs to make the system and processes more efficient and effective.
6. **Scope of the Study**

As per given terms of reference, the study to review the work processes , work load and structure of the following six divisions of MHA was given to IIPA:

1. Foreigners Division
2. Police Modernisation Division
3. LWE Division
4. Border Management –I Division
5. Center State Division
6. Police Division –II

The Study team studied the following issues related to the aforesaid divisions of MHA:

1. Examined the structure and working of each of the aforementioned divisions;
2. Examined the current status of work processes in each of the aforementioned divisions;
3. Examined the current status of the workload in each of the aforementioned divisions;
4. Examined the current status of ICT applications in each of the aforementioned divisions;
5. Recommended measures for bridging the gap between the current and desired state of affairs with a view to making the working of the identified divisions efficient, effective and sustainable.

As per terms of reference, IIPA worked under the close supervision of the Committee constituted by the MHA for the purpose of Restructuring of Ministry of Home Affairs (MHA).

1. **Methodology**

The Study team used a balanced combination of quantitative and qualitative tools of data collection. The research study comprised identification of primary and secondary sources of information. The research methodology and sampling design followed in the study are given below:

**i. Collection of Primary Data**

* **Study of files**

In order to study the work processes, file diagnostics was carried out and a total of 362 files were studied in the identified six divisions by the Study team. The purpose was to assess the movement of files from one level to another such as time taken in file movement from a particular level to another level, different levels it passes through, its procedural aspects and finally the level and process of disposal of files from the identified divisions.

The following number of files were studied (from June 2017 to July 2017) from different divisions:

* + Foreigners Division – 81 files
  + Police division-II – 46 files
  + Police Modernisation Division – 46 files
  + LWE Division – 73 files
  + Border Management Division – 57 files
  + Centre-State Division – 59 files

For the purpose of collection of files and analysis a template was designed in MS Excel .This template indicated and captured various aspects and facets of file movement and processing. The template helped in consolidating data with regard to time taken by an official in carrying out different functions and tasks allocated to him during a particular period of time in a particular division of MHA. Details of files studied are placed in Annexure-I.

The official files and documents were studied and processed to understand the following parameters:

* Different functions of the divisions;
* File processing at various levels (from ASO to SO to US to DIR to JS level);
* Nature of files;
* Time taken by each file during its movement from dealing hand to JS;
* Reasons for pendency;
* Extent of internal coordination and inter-division consultation required in the division;
* **Administration of Questionnaire**

A survey was conducted at different levels in the identified six divisions of MHA in order to understand the extent of Information and Communication Technology (ICT) applications used in work processes. For this purpose, two questionnaires were designed; Questionnaire A (factual) and Questionnaire B (opinion based). The questionnaires were circulated amongst officials of all the six divisions. Both the questionnaires are placed in Annexure-II.

* **Interactive discussions with the officials of the identified divisions of MHA**

The Study team of IIPA had kick off meetings with the Joint Secretaries,   
 Deputy Secretaries, Under Secretaries and Section Officers of below mentioned   
 divisions:

* Police Modernisation Division
* LWE Division
* Foreigners Division
* Police Division – II
* Border Management Division
* Centre State Division

In the meetings detailed discussions were carried out to understand the core functions of   
the divisions, work processes, workload and major issues of concern and challenges. For the purpose of semi -structured interview with the JS a brief questionnaire was prepared which is placed at Annexure –III.

ii) **Collection of Secondary Data**

The Study team collected secondary information from the following sources:

* Annual reports of the Ministry of Home Affairs.
* Official website of the Ministry of Home Affairs.
* Copies of relevant documents provided by the divisions.

1. **Data Collation and Analysis**

After collection of primary and secondary data in the manner indicated above, the Study team compiled and collated all the data. The compiled data was processed and analysed by applying various statistical tools and techniques using SPSS software. The Study team dealt the subject of study division-wise. For every division, the report covers the following issues:

* Introduction of the division
* Sections and current state of affairs
* Workload study
* Work process study
* Assessment about ICT readiness and usage
* Observations of the Study team
* Conclusion and recommendations for the division

1. **Limitations of the Study**

* The study was conducted within a tight and challenging time frame of three months.
* On account of sensitive nature of some divisions, officials were hesitant in showing the files to the Study team. Thus, seeking the data from the divisions on some parameters was a challenge.
* Timely conduct of interviews and collection of official files in the divisions and timely access of official documents was difficult to seek.
* Due to shortage of time, other divisions of MHA could not be studied.

# CHAPTER II

# Study of Foreigners Division

1. **About Foreigners Division**

The Foreigners Division of the Ministry of Home Affairs (MHA), Government of India occupies a position of eminence with multiple responsibilities. In a rapidly changing context the responsibilities of the Foreigners Division have increased substantially over the years. The Foreigners Division has huge and multi-fold responsibilities keeping in view the rapid changes taking place in the current global scenario. Following are the core functions of the Foreigners Division:

* Foreign Contribution Regulation Act (FCRA)
* Acts, Rules and Regulations pertaining to Foreigners Division
* Visa
* Regulation of Entry and exit of foreigners
* Mobility of foreigners
* Human Trafficking
* Citizenship related issues etc. The issues like exchange of enclaves with Bangladesh and the Rohingyas have added the responsibilities of the Division.

**2. Sections and Current State of Affairs**

The Foreigners Division currently deals with the following matters:

1. **Visa**

* Foreign nationals in India may require various services like Registration, Visa extension/conversion etc. For this purpose, various powers have been delegated to the Foreigner’s Regional Registration Offices (FRROs)/Foreigner’s Registration Officers. The foreign nationals visit the concerned FRRO/FRO for such Visa related services.
* If any service is required by foreign national which is not covered in the above mentioned delegated powers, even then the foreign national is required to visit the concerned jurisdictional FRRO/FRO and submit formal request for the service. The concerned FRRO/FRO will examine the request completely and if FRO prima facie agrees with the request of the foreigner, he/she will forward the application to the Ministry of Home Affairs for appropriate decision. If the concerned person feels that the request of the foreigner cannot be agreed to, he will advise the foreigner accordingly.
* Services of e-visa involve submission of complete online application for which no facilitation is required by any intermediary agency/agents etc.

1. **Immigration**

* Bureau of Immigration (BoI) is headed by Commissioner of Immigration and assisted by FRROs for immigration facilitation services at the airports and work relating to registration of foreigners under various Acts and Rules. Altogether, there are 86 Immigration Check Posts (ICPs) all over India, catering to international traffic. Out of these, 37 ICPs are functioning under the BoI, while the remaining are being managed by the concerned State Governments.  At present, there are 12 FRROs in major cities i.e. Delhi, Mumbai Kolkata, Chennai, Amritsar, Bengaluru, Hyderabad, Calicut, Kochi, Trivandrum, Lucknow and Ahmedabad. Apart from this, there are 12 Chief Immigration Officers in the cities i.e. Goa, Jaipur, Gaya, Varanasi, Nagpur, Pune, Mangalore, Trichy, Coimbatore, Bagdogra, Chandigarh and Guwahati. At remaining places District Superintendent of Police (SP) or the prescribed authority functions as FRO.
* To strengthen the Immigration system, a modernisation programme viz. Mission Mode Project on Immigration, Visa Foreigners’ Registration and Tracking (IVFRT) has been undertaken by MHA/BoI, with the assistance of  National Informatics Center (NIC). Under the project, all the Indian Missions, Immigration Check Posts (ICPs), FRRO/FRO offices are being computerized and networked to develop a secure and integrated delivery framework to facilitate legitimate travelers.

1. **Citizenship & Overseas Citizenship of India**

* The Constitution of India does not allow holding Indian citizenship and Citizenship of a foreign country simultaneously. Based on the recommendation of the High Level Committee on Indian Diaspora, the Government of India decided to register Persons of Indian Origin (PIOs) of certain category as has been specified in the Section 7A of the Citizenship Act, 1955, as Overseas Citizenship of India (OCI) Cardholder.
* Application for registration as OCI Cardholder can be made online and further dealings are handled by this division.

1. **Acceptance of Foreign contribution and Hospitality**

This is an e-governance initiative by the Ministry of Home Affairs to provide a smart, citizen centric & transparent mechanism for citizens and organisations to avail various services related to FCRA and Foreign Hospitality.

1. **Monitoring Unit of FCRA**

The Monitoring Unit oversees the implementation of FCRA 2010. Action is taken in cases of violations after –

* Scrutiny of Annual Reports
* Examining complaints received/inputs received from security agencies (i.e. IB, RAW)
* Offsite and Onsite inspection focusing on:
* Accounting audit
* Performance audit (checking utilisation of financial contribution received by them)
* Penal Actions
* Suspension of FCRA registration
* Cancellation of registration or prior permission
* Investigation and Prosecution of defaulting person/association through CBI or State Crime Branch
* Compounding of offences under Section 41

**3. Workload Study**

Organisational Chart of Foreigners Division indicating the positions and reporting relations is given below:

Figure 1: Organogram of Foreigners Division

**Source:** MHA website/PowerPoint Presentation of Division

* Total number of files, court cases, contempt cases, public grievances, RTI and parliament questions dealt by the Division in the year 2016-17 is given as follows:

Table 1: Workload of Foreigners Division

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S. No.** | **Nature of Work** | | | **Number (approx)** |
| 1 | Number of files | | | 55234 |
| 2 | Court Cases (Section-wise details) | | | 148 |
| Name of Section | Cases pending in Supreme Court | Cases pending in High Court |
| Visa | 63 SLPs | 41 |
| Immigration | Nil | Nil |
| Citizenship | 04 | 12 |
| FCRA | 01 | 08 |
| MU | Nil | 19 |
|  | **Total** | 68 | 80 |
| 148 | |
| 3 | Contempt Cases | | | 07 |
| 4 | Public grievances | | | 1561 |
| 5 | RTI Applications | | | 1097 |
| 6 | No. of Parliament Questions | | | 205 |

**Source:** PowerPoint Presentation of the Division

The Division receives huge number of files followed by public grievances and RTI   
 applications. Of the total number of court cases received by the Division in 2016-17,   
 68 are pending in Supreme Court while 80 are pending in High Court pertaining to the   
 various sections of the Division.

Figure 2: Workload of Foreigners Division (2016-17)

* 95% of the workload of the Division comprised of files followed by 3% public grievances and 2% RTI applications in 2016-17. While the Division received less than 1% parliament questions, court cases and contempt cases in the same year.
* The average time taken for disposal of files (e.g. cFRO Cases, PRC Cases, Physical Files) in Visa Wing varies from level to level, with maximum time consumed at the Assistant Section Officer level. It was also seen that total time taken for processing 2700 cFRO cases in a month (@ 6hrs/day) is 337 days. At the Section Officer level, it takes 150 days to process the same number of files and in case of the Under Secretary (US), it takes 56 days. Keeping in view the total time taken to handle the workload comprising approximately 2700 files in a month at all the three levels, the Division would require a total strength of 17 Assistant Section Officers, 7 Section Officers and 3 Under-Secretaries.

* As far as physical files in Visa Section are concerned, it takes 417 days for processing 2500 such files at Assistant Section Officer Level, 173 days at the Section Officer level, 69 days at level of Under Secretary and 35 days at Director/Deputy-Secretary level. In this case, the number of staff required is 21 Assistant Section Officers, 8 Section Officers, three Under-Secretaries and two Directors.
* 70% of the work volume in Visa Section of the Foreigners Division is related to grant of visa services to foreigners. This is a time bound activity having an operational character.
* Considering the workload handled by the Visa Section and the average time taken at each level to dispose of this work, there is substantial requirement for additional staff within this Section. During the course of this study, the maximum shortfall of staff is experienced at the level of Assistant Section Officer and Section Officer.

Table 2: Projection of additional staff (Visa Section, Foreigners Division)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S. No.** | **Designation** | **In position strength** | **Requirement in terms of work flow** | **Deficiency** |
| 1 | ASO | 25 | 38 | 13 |
| 2 | SO | 7 | 11 | 4 |
| 3 | US | 2 | 3 | 1 |
| 4 | DIRECTOR | 1 | 2 | 1 |

**Source:** PowerPoint Presentation of the Division

* Assessment of Work Flow of the FCRA Section reveals that total number of personnel required to process all the cases (nearly 2500 Registration cases, 350 Prior Permission applications, 5000 Renewal files, 5000 Foreign Hospitality cases and 3000 Change of details cases annually) at the Assistant Section Officer level @240 working days in a given year would be 21 while the present status is 10. At the Section Officer level, total staff requirement for handling the same amount of work annually @240 working days is 17 while the present status is one only. At the Under Secretary and Director Level, this deficit is equally acute with a shortfall of 12 and five personnel respectively.

Table 3: Statistics of FCRA services during 2015-17

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Type of Service** | **Year** | **Total** | **Approved** | **Denied** | **Closed** | **Pending** | **Remarks** |
| Registration | 2015 | **2,160** | 734 | 946 | 458 | **22** | Since 2015, all services were made online. In 2015, cases of Hospitality were significantly disposed of in physical files. |
|  | 2016 | **2,099** | 742 | 887 | 236 | **234** |
|  | 2017 | **1,727** | 502 | 716 | 22 | **487** |
| Renewal | 2015 | **282** | 270 | 8 | 4 | **0** |
|  | 2016 | **19,980** | 19,019 | 816 | 62 | **83** |
|  | 2017 | **1,248** | 1,062 | 108 | 2 | **76** |
| Prior Permission | 2015 | **383** | 52 | 51 | 278 | **2** |
|  | 2016 | **296** | 34 | 124 | 70 | **68** |
|  | 2017 | **233** | 14 | 114 | 3 | **102** |
| Hospitality | 2015 | **80** | 70 | 2 | 0 | **8** |
|  | 2016 | **4,834** | 4,297 | 96 | 72 | **369** |
|  | 2017 | **5,094** | 4,875 | 75 | 89 | **55** |

The above table shows that maximum pendency has been in case of Registration Services, Foreign Hospitality followed by cases of Prior Permission in the last three years.

* As far as Citizenship and OCI Wing are concerned, on an average 800-900 applications are processed every year under sections 5 & 6. The number of applications received and number of citizenship certificates issued during the last 4 years are given below:

Table 4: Status of Citizenship Applications during 2015-18

|  |  |  |
| --- | --- | --- |
| **Year** | **Total no. of applications received for citizenship** | **Total no. of citizenship certificates issued** |
| 2015 | 900 | 607 |
| 2016 | 1471 | 1109 |
| 2017 | 622 | 817 |
| 2018 (till 04.07.2018) | 297 | 369 |
| **Total** | **3290** | **2902** |

* In case of the Monitoring Unit of FCRA, the workload largely ranges from the analysis of Annual Returns (AR), audit of books of accounts, preparation of offsite/onsite inspection report as well as analysis of reply to standard questionnaire.
* The requirement of teams for Annual Returns and Audit/Inspection/Standard Questionnaire (SQ) analysis in 2016-17 is given below:

Table 5: Requirement of Teams for annual returns and audit/inspection/SQ analysis in 2016-17

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **FC range** | **Days per team per association** | **No. of associations** | **5% of associations** | **Total number of team days** |
| Less than 1 crore | 3 | 19457 | 973 | 2918 |
| 1-5 crore | 4 | 2254 | 113 | 450 |
| 5-25 crore | 6 | 534 | 27 | 159 |
| 25-50 crore | 8 | 56 | 3 | 24 |
| More than 50 crore | 8 | 37 | 2 | 16 |
| Total days per team |  |  |  | 3567 |

**Source:** PowerPoint Presentation of the Division

Total teams required for 5% sample check of ARs = 3567/240 (number of working days in a year) = **14 teams**

Table 6: Requirement of Teams for Audit/Inspection/SQ

|  |  |  |  |
| --- | --- | --- | --- |
| **Activity** | **No of team days per case** | **No of cases per year** | **Total team days required** |
| Inspection/Audit of books on accounts of an association | 3 | 200 | 600 |
| Finalisation of report of inspection/audit | 5 | 200 | 1000 |
| Examination of Standard Questionnaire reply from association | 3 | 200 | 600 |

**Source**: PowerPoint Presentation of the Division

Total teams required for Audit/Inspection/SQ = 2200/240 (working days in a day) = **8 teams**

* In terms of the final requirement of staff in Monitoring Unit of FCRA, there is a total additional requirement of 57 personnel. The details are given below:

Table 7: Projection of additional staff (Monitoring Unit, Foreigners Division)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S.No.** | **Designation** | **In position strength** | **Sanctioned strength** | **Deficiency** |
| 1 | DS/Director | 1 | 1 | 1 |
| 2 | US | 1 | 1 | 2 |
| 3 | AD | 6 | 6 | 14 |
| 4 | SO | Nil | 0 | 2 |
| 5 | Accountant | 4 | 6 | 34 |
| 6 | ASO | 1 | 1 | 1 |
| 7 | PS/PA | 2 | 2 | 1 |
| 8 | Steno | 1 | 1 | 2 |

**Source**: PowerPoint Presentation of the Division

* An analysis of the maximum number of grievances received by the various sections within the Division since January 2015 under the CPGRAM Portal shows that as on 7 April, 2018, Visa Section has the maximum pendency of 32 grievances followed by MU Section with 23 pending grievances whereas Citizenship and Immigration Section are equating at three pending grievances. Among the four sections studied by the research team, Citizenship Section received highest number of grievances (857) followed by Visa Section (630), FCRA Section (627) and Immigration Section (187).

**4. Work Process Study**

* The Division follows a distinct Channel of submission and Final Level of Disposal. Matters including policy-making, Cabinet notes, statutory orders/rules/Acts, parliament matters, sanction of prosecution, freezing of foreign contribution, financial sanctions, administrative instructions etc pass through many levels and dispose of not below the level of Home Secretary. While matters such as availing FCRA services, applications for citizenship follow a smaller Channel of submission and are disposed of at the level of Joint Secretary and below.
* In case of Citizenship and OCI Wing, the dealing hands at the level of ASO prepare individual files, verify documents and put up for in principle approval. Under Secretary is authorized to sign the acceptance letter and citizenship certificates after approval of the same by competent authority. Every case files goes through the dealing hand at least four times in the above process i.e. forwarding the file to Intelligence Bureau for security clearance or to state government for deficiency removal and also submitting for in principle approval, submitting for approval of citizenship certificate and clarifications asked from State Government/applicant.
* In the Visa Section, 70% of the work related to visa services is disposed of at Director (Foreigners) level. Only matters related to policy, amendment in visa manual, visa agreement with other countries, administrative instructions, black list (Grade A), court cases and clearances for repatriation of Pakistani nationals are submitted up to HS/SS/JS level.
* For FCRA Services, normally grant of Registration is disposed of at the level of Director (FCRA) whereas Prior Permission cases are disposed of at the level of Director, Joint Secretary and Additional Secretary depending on the value of the foreign contribution under consideration. Normally, Renewal and Foreign Hospitality cases are disposed of at the level of Under Secretary except in cases of political functionaries, members of legislatures and judges etc. which are disposed at the level of Minister of State.
* The functions carried out by the concerned Division involve inter-division, inter-agency and inter-ministerial interface. These include matters related to security vetting of foreigners, Indians and NGOs where the interface happens with the Cabinet Secretariat, Intelligence Bureau, Ministry of External Affairs, divisions of MHA like Internal Security-I, Jammu & Kashmir, North-East, Border Management-I & II, International Cooperation Division & National Crime Records Bureau. In case of stake-holders consultations, various divisions like International Cooperation, Internal Security-I, North East, Border Management-I&II, Jammu & Kashmir and Left Wing Extremism (LWE) are consulted with. Similarly, for Inter-ministerial stake-holders consultations, the Division co-ordinates with Cabinet Secretariat, Ministry of Tourism, Ministry of Defence, Ministry of Civil Aviation, Ministry of Law & Justice, Ministry of Shipping, Ministry of Road Transport & Highways and Ministry of External Affairs.

**5. Application and use of ICT in the Division**

In order to understand the extent of ICT applications used in work processes, questionnaire A was prepared by the Study team. It captured the current status of the Division in terms of usage of ICT in the Division. It threw light on the future requirement of IT in their work processes and work environment. From the responses received to this questionnaire, the following points emerged:

* The day to day routine office work is performed both manually and using ICT.
* Upto 80% of the staff employs ICT applications in the work processes.
* Two of the most popular ICT applications/office tools which are majorly used by the Division include MS Word and e-Office.
* Some of the most common obstacles faced in the adoption of ICT applications include ‘lack of required skills’, ‘technical issues’ and ‘lack of infrastructure’.
* In response to the question on preferred platform used for information sharing in this Division, it is expressed that NIC mail service is largely used among the staff and is found adequate according to the responses received.
* As far as security of data in the Division is concerned, most of the services of the Division have been made completely online and file movement also take place online only in a protected working environment through VPN tokens (a type of security mechanism that is used to authenticate a user or device on a VPN infrastructure). There is no interface with any external server or a perpetual threat of cyber attack considering VPN tokens provide additional layer of authentication and security.

**6. Observations of the Study team**

* The concerned Division has taken steps by making several services online to ensure transparency and swift flow of information. This includes the provision of making contributions to any company, trust and NGOs through the online portal of FCRA. This falls under the e-governance initiative of MHA with the objective to provide a smart, citizen-centric and transparent mechanism for citizens and organisations to avail various services related to FCRA and Foreign Hospitality. In addition, the Government of India has decided to integrate FC account of FCRA registered persons/organisations with the Public Financial Management System (PFMS). Significance of FCRA has increased in the last 4-5 years. Although the system has become online, yet the work load in FCRA Section has also increased manifold.
* E-governance initiatives such as e-Visa, online FCRA services, online Citizenship, online Overseas Citizen of India Card Holder etc are found to have improved the service delivery mechanism and made the entire system more effective, transparent and hassle-free.
* Regular meetings of all senior officials of this Division are held in order to sort out day to day issues.
* Workload of this Division is increasing tremendously. As the workload has drastically gone up over the years, there has been a lot of pressure on the officials as well. FCRA has specifically raised the pressure manifold. Currently, passport data of seven crore people is stored. This number is going up by two crores every year. This Division is handling around 55234 Files, 148 Court Cases, 07 Contempt Cases, 1561 Public grievances, 1097 RTI Applications and 205 parliament questions annually. Several functions of this Division involve inter-division, inter-agency and inter-ministerial interface as well. This workload is taking a toll on the efficiency of the officers working in this Division.
* This Division is providing more than 70 citizen/foreigner centric services. On account of citizen/foreigner interface, the workload again increases manifold. Moreover, there is variation among workload of various sections of this Division. There is shortage of staff in Visa Section. An assistant handles all the work related to RTI, Legal cases, Citizenship etc, therefore, is over-burdened. Many officers are apprehensive of being posted in this Division keeping in view the sensitivities associated with the assigned work and the possibilities of facing inquiry in future. In addition, there are some recent and complex issues such as issues of evangelist, surrogacy etc which have added new responsibilities to the Division.
* There is lack of proper training and induction programme for the new recruits. This causes delay in delivery of work as well as hinders one’s ability to utilize one’s full potential.
* There is dependency on Intelligence Bureau and Research & Analysis Wing report for issues related to Prior Reference countries (PRC), FCRA, Security Clearance etc.
* A large number of functions/workload of the Division involve inter-division, inter-agency and inter-ministerial interface which calls for rationalisation of allocation of work in various divisions based on the actual workload and functional requirements.
* During the last five years, Bureau of Immigration (BoI) has expanded drastically by bringing ease in visa regime. As a result, there has been an increase of nearly 13-15% of foreign tourists every year and 166 countries have been granted e-visa which has compounded the work load in the Division. Several new airports have also come up such as Vizag, Vijayawada and Kannur airport. In addition, e-Office is not being fully implemented and huge number of court cases and policy files are still being handled manually.
* This Division handles many complex and sensitive issues yet there are no experts in the field of Information Technology, Law and Accountancy to assist the officials.
* Work has increased manifold but the number of staff is same. There is a shortfall of people on existing positions let alone creating new ones, for example, Immigration, Visa and Foreigner’s Registration & Tracking (IVFRT) section. IVFRT is a project undertaken by the MHA under the National e-Governance Plan (NeGP). It is observed that there is no staff in IVFRT section despite being of immense importance. They are doing work of two sections with inadequate staff. Dealing hands in this section are not able to understand practical functioning of BoI. This calls for mandatory training of every dealing hand about functioning of BoI.
* Within this Division in sections namely Visa, FCRA and Monitoring Unit of FCRA, there is huge requirement for additional staff. It is as high as 57 personnel in Monitoring Unit, 44 personnel in FCRA and 19 personnel in Visa Wing.
* It is observed that this Division deals with maximum number of files among all the divisions considered in this study. While looking at the file movement at various levels, it can be seen that even among the files of the same nature, the time taken for disposal varies tremendously. Moreover, a fixed number of days required to dispose of a file of a given nature is not specified against which delays could be assessed.
* Upon analysing the movement of files within the Division, the Study team made the following observations:
* Delay was observed at the level of dealing hands in all sections of Foreigners Division especially in cases where clearance had to be sought from the Intelligence Bureau, RAW and Bureau of Immigration (BoI).
* During the discussions held in Citizenship Section with the Study team, it was observed that the assistant is overburdened because a single person handles all the work related to RTI, Legal cases, Citizenship etc.
* Legal matters also take longer time for disposal. A full-fledged legal cell could be established to tackle such cases effectively in a timely manner and to reduce the burden. Additionally, need is felt to have an e-event/conference clearance system.

Figure 3: Time taken for Disposal of Files in Foreigners Division

53% of the files consumed more than 30 days to get disposed of while 24% of the files   
 took around 7-15 days. Only 8% files were disposed of in less than   
 7 days

**Nature of Files and Number of Days:**

|  |  |
| --- | --- |
|  | **Files which took 0-7 days to dispose of**: Prior Permission, Immigration, Course of DSSC to visit Sikkim, Deportation, Petitions, VIP References  **Files which took 7-15 days to dispose of**: Renewal cases, Immigration, Citizenship Registration, Clearance from security, matters relating to Coordination Division  **Files which took 15-30 days to dispose of:** Immigration, Application of grant of OCI, Court Cases  **Files which took more than 30 days to dispose of:** Prior Permission, Registration, Renewal, Immigration, Citizenship application, RTI applications, Court cases, Granting permission to stay in a protected area, visa applications, matters relating to Coordination Division   * The study team observed that Foreigners Division is using IT applications to the greatest extent in the delivery of services provided by it. These include facilities such as e-Visa, e-FRRO, computerization of processes of visa issuance and immigration, services granted under FCRA and Citizenship as well as the Advanced Passenger Information System (APIS). In order to ensure a protected working environment, VPN tokens are used. |
|  |  |
|  |  |

**7.Conclusion and Recommendations**

* In order to make the work process more efficient, automation of existing processes through the use of IT (processes remain the same but will be carried out electronically) should be done. Use of technology would greatly enhance the operational efficiency of the workforce and greatly improve the speed of work/operation/administration.
* Full implementation of e-Office is highly recommended. The advantages of this include easier status updates, real time Management Information Systems (MIS), anytime / anywhere service etc.
* Remaining services of the Division can also be made online (providing e-forms for submission of applications, File Management System etc).
* Keeping in view the heavy workload handled by this Division, it is recommended to split this Division. FCRA should be made a separate Directorate under an appropriate Division. Such a Directorate may include 4 Directors (FC), 2 Directors (Monitoring Unit), 1 Director (Admin & Fin.), Dy. Legal Adviser (Director level), 8 US (FC), 2 US (Monitoring Unit), 12 SOs, 12 ADs, 24 ASOs and 12 Accountants.
* Establishing a full-fledged legal cell is strongly recommended.
* People with IT background should be posted in this Division. B-Tech/BCA degree can be the minimum qualification of officials being posted in this Division.
* The Division is facing dearth of people who are experts in the area of accounts, law and IT. Therefore, consultants from other ministries or departments or divisions can be posted or deputed to this Division so that issues pertaining to these areas can be handled effectively.
* The Visa Section of the Division alone takes approximately 90 different kinds of decisions in different visa cases. Out of these, 70 are related to routine services and 20 are related to policy matters. There is a need for delegation, decentralisation and de-concentration of powers. Some of the functions can be decentralized and therefore, can be handed over to states and district levels. Some citizenship related services can also be delegated to the district level. The renewal of FCRA registration can be delegated to the home secretaries of states, subject to the jurisdiction of the states in such matters.
* Being citizen/foreigners centric Division, the number of services provided to the customers is also manifold. Therefore, in order to be responsive to the customers, it is crucial to have more manpower that can handle and examine issues involving multiple perspectives. Manpower allocation to Division should be on the basis of nature, type and significance of work.
* Considering the huge workload and long working hours within the Division, people are not very keen to join this Division if other options are available. There is therefore, an urgent need to incentivize competent and motivated manpower. In addition, there is immediate requirement of manpower audit and rationalisation of the sanctioned/authorized strength through creation of new posts and rationalisation of existing staff.
* The process of granting Indian citizenship involves routine nature of work in the MHA which does not add any value. It is proposed to delegate this work to Home Department of State Government subject to the State’s jurisdiction as per Concurrent or State list. Already 16 districts and seven State Governments have been delegated the power of Central Government to grant citizenship for applicants belonging to minority communities of Pakistan, Afghanistan and Bangladesh by MHA notification of 2016. Alternatively, it is suggested that the routine work of processing of citizenship applications and OCI card applications may be handed over to a Directorate of Foreigners. Such a Directorate may include one officer of Director rank, two Under Secretary level officers and eight Section Officers/Assistant Section Officers working as dealing hands.
* From the various interactions, the Study team could infer that keeping in view the ever increasing workload combined with lack of requisite manpower, there is a need to enhance quality of available staff in the Division by providing training opportunities. There is an urgent need to create additional posts, identify, attract and select competent talent and induct them in the Ministry. Selection should be strictly based on merit than availability.

# CHAPTER III

# Study of Police Modernisation Division

* 1. **About Police Modernisation Division**

For keeping pace with the requirements of the police force and for smooth conduct of various activities, a new division was created in 2002 which is known as Police Modernisation (PM) Division in the Ministry of Home Affairs, Government of India. The core functions of this Division are very diverse. This Division deals with matters pertaining to modernisation of State Police Forces, provisioning of various items for modernisation of Central Armed Police Forces, police communication, police reforms, forensic infrastructure at central level, administration of Private Security Agencies (Regulation)Act, 2005 etc.

**Areas of Responsibility**

* Modernisation of Police Forces – Central and State
* Authorisation/Provisioning of matters of CAPFs, NIA and IB.
* Procurement matters such as the Division procures:

(i) Clothing & Tentage  
(ii) Machinery & Equipment

(iii) Arms & Ammunition

(iv) Motor vehicles

(v) IT equipment

* Private Security Agencies Regulation Act, 2005
* Directorate of Co-ordination, Police Wireless (DCPW).
* Monitoring of Police Reforms
* National Institute of Criminology and Forensic Science (NICFS), Delhi
* Student Police Cadet Programme

**2. Sections and Current State of Affairs**

The PM division includes sections namely PM-I, PM-II, Provisioning (Prov-I & Prov-II) and Procurement. PM-III which deals with forensic, CCTNS, Emergency Response Support System (ERSS) is no more part of PM division. The roles and functions of each of the sections are summarized below:

**i) PM-I**

* Scheme for Modernisation of Police Forces (MPF) in the States, including budget, financial sanctions, control of expenditure etc.
* The Private Security Agencies (Regulation) Act, 2005.
* Matters relating to Private Detective Agencies.

**ii) PM-II**

* Use of Police Wireless Grids for transmission of messages relating to non-law and order matters.
* Miscellaneous matters relating to DCPW, Cryptography and Breaches of Radio Security.
* Work relating to Administrative and Financial matter of DCPW.
* Police reforms.
* Enactment of State Police Acts.
* Processing of reports of National Police Commission.
* Student Police Cadet (SPC) programme.
* Miscellaneous coordination work of PM Division.

**iii) Procurement**

* Procurement of various equipments for Central Armed Police Forces (CAPFs) where the value of procurement is beyond their delegated financial powers.
* Procurement of various equipments required by Central Forensic Science Laboratories and Government Examiner of Questioned Documents (GEQD’s)
* Procurement of goods and services on behalf of Divisions of MHA.

**iv) Provisioning-I**

* Introduction, authorisation and laying down of scale of various equipment, clothing items, motor vehicles other than arms & ammunitions and tear smoke material for CAPFs.
* Enhancement of delegated financial powers to DG/IG/DIG, etc.
* Condemnation and write off sanction in respect of stores or vehicles the value of which exceeds the delegated financial powers of DGs of CAPFs.
* Constitution of Sub-Group for laying down the Qualitative Requirements (QRs) in respect of various security items except weaponry items and its finalisation.
* Monitoring of expenditure incurred by CAPFs on five provisioning heads.
* Monitoring of implementation of modernisation plan of CAPFs.
* Grant of customs duty exemption on various security related equipment except arms & ammunitions.
* Processing of requests from Directorate General of Foreign Trade (DGFT) seeking NOC for importing certain security equipment by CAPFs/State Government.
* Fixation of life span of various items to be used by CAPFs.
* Examination of technical literature of security items received from various firms in consultation with concerned CAPFs and organizing their presentation.
* Examination of the recommendation made by BPR&D with regard to introduction of various new items.

**v) Provisioning-II**

* Compilation of yearly demand and finalisation of allocation of Arms, Ammunitions & its spares/components, explosive items for CAPFs/Special Police Officers (SPOs)/Union Territories (UTs) from Ordnance Factory Board.
* Co-ordination with the Ministry of Defence (OFB) and Central Police Organisation /SPOs/UTs.
* Grant of excise duty exemption for pistol 9mm Auto being issued by M/s Bharat Dynamics Limited to SPOs and UTs.
* Introduction, authorisation and laying down of scale of various arms & ammunitions for CAPFs.
* Sanction for condemnation or write off of weaponry stores of the value exceeding the delegated financial powers of DGs of CAPFs
* Finalisation of Qualitative Requirements (QRs) of various weaponry items.
* Distribution of surplus items of weaponry amongst needy State Police Forces.
* Policy regarding disposal of empty fired cartridges by CAPFs.
* Issuance of NOC pertaining to import permission and custom duty exemption certificate for arms & ammunitions being imported by CAPFs/SPOs/UTs.
* Examination of technical literature and brochures pertaining to arms, ammunitions & accessories received from various firms and their presentation.
* Examination of the recommendations made by BPR&D with regard to introduction of new weaponry items including accessories for use by CAPFs.

**2.1 New Initiatives of the Division:**

* The Division has taken many initiatives which have brought positive impact on the workload. The work processes of the Division have been streamlined. Consequently, the work load has been reduced substantially in the past few months and the Division has been able to focus more on long-term policy issues.
* Procurement has always been an important function of the Division. The process of procurement has also been streamlined. The stages involved in the process include i) Authorisation, ii) Tender and iii) Expenditure Sanction which have now been reduced to two.
* The clearance of proposals has been made systematic with the help of specific course conducted on Procurement by National Institute of Financial Management (NIFM), Faridabad. This institute would also be conducting specialized course for CAPF as well.
* Delegation of power has been one of the big initiatives taken by the Division which has significantly improved the functioning of the Division. Previously approval for several things was granted by MHA, but now it has been delegated to the Forces. Previously, 100 decisions related to condemnation of vehicle used to be taken by this Division in a year. Now due authority has been given to Directorate-General (DG) of CAPF for the same. This Division has also given power to DG for the purchase of vehicles worth Rs. 20 crores in case of newly raised battalions which was not there before. Similarly, due powers are given to all the officers till Commandant level. Now approval committee is headed by DG. The Division used to deal with several files on import licensing. Now CAPF and all the Police Forces are exempted from licensing.
* The Division conducted several workshops with states and assisted them in making a State Security Plan (SSP). Action Plan helps any Division to know its future goals vis-à-vis its current position. Action Plan also helps in framing the strategy to reach desired goals.
* MHA created a separate Division for women safety. Therefore, currently this Division is not handling matters related to women safety and Crime and Criminal Tracking Network & Systems (CCTNS).
* Technical specifications have been developed by the Division.

**3. Workload Study**

Organisational Chart of PM Division indicating the positions and reporting relationships is given below:

Figure 4: Organogram of PM Division

**Source**: MHA website

**Table 8: Workload of PM Division (2016-17)**

|  |  |  |
| --- | --- | --- |
| **S.No.** | **Subject details** | **Numbers** |
| 1 | Files | 1884 |
| 2 | Court cases | 49 |
| 3 | Contempt cases | 02 |
| 4 | Public grievances | 1345 |
| 5 | RTI applications | 416 |
| 6 | Parliament Questions | 166 |

**Source**: PowerPoint Presentation of the Division

Figure 5: Workload of PM Division (2016-17)

* The Division handled workload comprising 49% files, 35% public grievances, 11% RTI applications while only 4% parliament questions and 1% court cases

Table 9: Section-wise workload of PM Division (2016-17)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **S.No.** | **Name of Section** | **No. of files** | **Court and Contempt cases** | **Public grievances** | **RTI application** | **Parliament questions** |
| 1 | PM II | 300 | 10 | 200 | 120 | 50 |
| 2 | Prov-I | 940 | 1 | 10 | 35 | 30 |
| 3 | Prov-II | 420 | Nil | 2 | 7 | 13 |

* Many of the functions of the Division involve inter-division, inter-agency (organisations under MHA) and inter-Ministerial interface. These are:

1. Matters relating to modernisation of Police Forces (states and Central Forces).
2. Implementation of Private Security Agencies Regulation Act, 2005 requires inter-Ministerial as well as inter-state consultation.
3. Matters relating to police reforms require inter-state consultation.
4. Implementation of Student Police Cadet Programme involves inter-state as well as inter-Ministerial consultations.
5. Matters relating to budget, parliament matters, annual plans, various conferences etc. require inter-divisional coordination.

* The references received/disposed at each level of the Division in the year 2017-18 are given below:

Table 10: Status of References in 2017-18

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S.NO.** | **Wing of PM Division** | **References received** | **References disposed** | **Percent** |
| 1 | PM-I | 506 | 490 | 96.84 |
| 2 | PM-II | 1510 | 1488 | 98.54 |
| 3 | PM-III | 2799 | 2582 | 92.25 |
| 4 | PM(Projects) | 1439 | 1380 | 95.90 |
| 5 | Proc. | 195 | 195 | 100.00 |
| 6 | Prov.-I | 1891 | 1891 | 100.00 |
| 7 | Prov.-II | 708 | 708 | 100.00 |
| **Total** | | 9048 | 8734 | **96.53** |

From the above data it can be seen that PM division received a total of 9048 references   
 in the year 2017-18 and was able to dispose of around 96 percent of them, of which   
 Procurement & Provisioning sections have zero pendency and showed 100 percent   
 efficiency.

* As far as the average time taken for disposal of the different kinds of files is concerned, the time taken for disposal largely depends on the type of the subject at hand. Clarification/replies on routine matters are given to organisations under administrative control of the Division within a week. Parliamentary matters, public grievances, VIP references, RTI references are disposed of on priority and in a time bound manner. Whereas various policy issues take considerable time depending upon inter-division, inter-organisation and inter-ministerial consultations, to reach a conclusion.
* Across all the levels in Provisioning-I & II sections, it is observed that there is zero pendency in terms of the references received and disposed in 2016-17. The details are tabulated below:

Table 11: Status of References in Provisioning-I & II sections in 2016-17

|  |  |  |  |
| --- | --- | --- | --- |
| **Level** | **Name of Section** | **References received** | **References disposed** |
| SSA | Prov-I | 360 | 360 |
| ASI | Prov-I | 393 | 393 |
| Sub. Inspt. | Prov-I | 180 | 180 |
| ASO | Prov-I | 301 | 301 |
| ASO | Prov-II | 470 | 470 |
| Inspector | Prov-I | 250 | 250 |
| SO | Prov-I | 1233 | 1233 |
| 2-I/C | Prov-I | 400 | 400 |
| US | Prov-I | 1153 | 1153 |
| US | Prov-II | 612 | 612 |
| Deputy Secretary | Prov. | 1420 | 1420 |

* With respect to the strength of manpower at each level of the Division, it is seen that at the level of Joint Secretary, Under Secretary, 2-I/C and Dy. Commandant, all the posts are filled up whereas there is a shortfall of 2 Directors/DS, 2 Section Officers, 1 Inspector and 1 Senior Secretariat Assistant as on date.

**Table 12: Projection of additional staff (PM Division)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S. No.** | **Designation** | **In position strength** | **Requirement in terms of work flow** | **Deficiency** |
| 1. | Joint Secretary | 1 | 1 | 0 |
| 2. | Director/DS | 5 | 3 | 2 |
| 3. | Under Secretary | 5 | 5 | 0 |
| 4. | 2 I/C | - | 3 | 0 |
| 5. | Dy. Commandant | - | 1 | 0 |
| 6. | Section Officer | 5 | 3 | 2 |
| 7. | Asstt. Section Officer | - | 8 | - |
| 8. | Inspector | - | 2 | 1 |
| 9. | Sub-Inspector | - | 3 | - |
| 10. | Senior Secretariat Assistant | - | 3 | 1 |
| 11. | Junior Secretariat Assistant | - | 2 | - |
| 12. | ASI/Head Constable/Constable | - | 4 | - |
| 13. | MTS | - | 5 | - |

**Source:** PowerPoint Presentation of the Division

* The number of in-house meetings within the Division and meetings outside the Division attended by officers and staff of the Division including total average time spent on attending meetings, frequency of meetings, average time of the meeting and the average time spent by officers and staff on attending telephone calls is shown below:

**Table 13: Average time spent in meetings and on telephone calls at each level in PM Division**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S.No.** | **Levels** | **No. of meetings (per month)** | | **Average time spent per meeting (mins)** | | **Total time spent per month (in hrs)** | **Telephone calls per day** | **Commuting time from one Division to another (mins)** |
|  |  | Within a Division | Outside the Division | Within the Division | Outside the Division |  |  |  |
| 1 | Director (PM-II) | 15 | 3 | 40 | 60 | 13 | 10 | 60 |
| 2 | SO (Proc. Wing) | 5+ | 2+ | 20-120 | 30-60 | 7+ | 10 | 15 |
| 3 | US (PM-I) | 4 | 1 | 15 | 120 | 3 | 15 | 40+ |
| 4 | US (Prov-II) | 5 | 1 | 60 | 90 | 6.5 | 17 | 30 |
| 5 | SO (PM-II) | 3 | 2 | 60 | 60-180 | 7 | 15-30 | 60 |
| 6 | US (PM-II) | 8 | 2 | 30 | 60 | 6 | 10 | 30 |

The study team observed that a lot of time is spent in attending meetings at various levels within the Division, with maximum time spent at the level of Director. The officials also attend to a large number of phone calls every day. The number of phone calls varies in each case with maximum at SO and US levels. As far as time spent in commuting between divisions is concerned, it ranges from 30 to 60 minutes on average.

**4. Work Process Study**

* The Division has a discrete compendium on channel of submission and final disposal that is strictly adhered to for a variety matters handled by the different sections within the Division. Files involving policy matters, framing/amendment of Act and Rules, formulation of draft bill and Cabinet note, cases dealing with recruitment rules, financial matters and starred parliament questions have the longest Channel of submission with final disposal taking place not below the level of Minister of State/Home Minister.
* It is significant to note that across the various sections within this Division, matters of policy-making, guideline formulation, amendments, and financial implications of more than Rs. 20 crores are initiated at the level of Under Secretary (US). For such policy matters, initiation of files at a level below US has been a cause of concern. Across the board, it is expressed that for files of critical nature, the level of initiation must not be lower than the US level and be disposed of at the same or higher level unlike in matters of routine nature.

**5. Application and use of ICT in the division**

From the responses received to questionnaire A, the following points emerged:

* In PM Division, day to day work is performed by using ICT as well as manually.
* The extent of ICT Applications in the work processes of the Division is up to 20%.
* MS Word is mostly used application in the Division.
* Lack of required skills, technical issues, lack of infrastructure/technical support are some of the main obstacles that the Division is facing in the adoption of ICT Applications.
* Desktops and printers are the only facilities that are available to ASO/SO of the Division.
* ‘Malware attacks’ and ‘loss of data’ are some of the ICT related security problems generally faced by the Division.
* The Division is yet to fully implement e-Office. Despite having the software, not all items in e-Office are active for use by the staff. As of now, ICT application is used for tracking of files only.

1. **Observations of the Study team**

* In terms of pendency of references received by the various sections of the Division, it was observed that three of the sections namely Procurement, Provisioning-I & II have zero pendency while PM-I, PM-II and PM (projects) have 96.84%, 98.54% and 95.90% efficiency rates respectively. It is clear that references are being disposed of efficiently with no or little pendency.
* With regard to the data gathered on the amount of time spent in attending meetings, telephone calls and commuting from one Division to another, one can infer that maximum time spent on meetings in a given month is at the level of Director followed by Section Officer and Under Secretary. In case of telephone calls, it varies between 10-30 calls each day across different posts. Time spent in commuting from one Division to another spans from 30-60 minutes. It is seen that in addition to the requisite workload, a lot of time of the employees is spent in attending meetings physically, attending numerous phone calls during the day as well as in commuting between various Divisions. Time spent in these activities delays the process of timely disposal of work, thereby resulting in increase in actual time spent on job.
* The Division has projected requirement for additional staff considering its workload and shortage of manpower. As on date, there are a total of six vacancies in the Division across various levels.
* It is brought to the attention of Study team that several proposals which are sent by CAPFs are not in correct form and format. Many a times, checklist is also not filled properly by them. It takes lot of time to correct it.
* There is absence of domain knowledge among the staff on various issues related to the Division. Additionally, no training is provided to the newly recruited staff to acclimatize them to the nature of work in the Division.
* Few critical organisational issues were brought to the attention of the Study team like the issue of coordination and attitude of staff. On the issue of coordination, it was highlighted that maximum number of files comes from the Coordination Division. There is a coordination unit in the PM Division itself as well. The coordination becomes complex many a times leading to repetitive work.
* There is no list of licensed security agencies. There is need to launch a website that can provide access to this list.
* Upon analyzing the movement of files within the Division, the Study team made the following observations pertaining to the respective sections (PM-I, Provisioning – I&II) The files studied were related to matters such as release of funds, miscellaneous references, parliament questions, proposals for purchase/procurement, requirement for arms and ammunitions and miscellaneous matters.
* Files which require close coordination with other Ministries, Divisions, State Government, IFD took more time to process.
* The type of files that took longer time to dispose of included matters related to release of funds, procurement/purchase of vehicles, arms and ammunitions.
* Of all the files that were analysed, the maximum time taken for a file to get disposed was 201 days where the matter pertained to   
  proposal of SSB for sanction of arms and ammunition. Matters such as miscellaneous references took the least time to get disposed of.
* The maximum number of files that were studied from the Division belonged to the subject of miscellaneous references, release of funds for weaponry items/equipments, purchase/procurement of vehicles and matters related to requirement for arms and ammunition.
* It was observed that on an average files pertaining to release of funds for weaponry items/equipments took 15 days for disposal. In case of miscellaneous references, it took about nine days time while time taken by proposals related to requirement for arms and ammunitions took minimum of three days and the maximum time taken was 201 days.

Figure 6: Time taken for disposal of files in PM Division

* 44% of the files consumed less than 7 days, 28% consumed 15-30 days, 8% took between 7-15 days for disposal while 20% of the files took more than 30 days time.

**Nature of Files and Number of Days:**

**Files which took 0-7 days to dispose of:** Release of funds for the equipments/weaponry   
 items; miscellaneous references (priority); miscellaneous matter of IB (urgent);   
 requirements for arms and ammunitions

**Files which took 7-15 days to dispose of**: Release of funds for the   
 equipments/weaponry items; miscellaneous references (priority)

**Files which took 15-30 days to dispose of:** Release of funds for the   
 equipments/weaponry items; miscellaneous references (priority); miscellaneous matters;   
 requirements for arms and ammunitions

**Files which took more than 30 days to dispose of:** Consideration of criteria for Inter-  
 state distribution of funds under various sub-schemes of MPF; Miscellaneous references   
 (Priority); purchase/procurement of vehicles and matters related to requirement for arms   
 and ammunition.

1. **Conclusion and Recommendations**

The Study team recommends the following points:

* Domain knowledge of staff needs to be strengthened.
* To reduce the workload related of RTI queries, more pro-active disclosures can be uploaded on website.
* There is shortage of staff in MHA as a result of heavy workload and working overtime. Keeping this in view, the need of the hour is to recruit more people in order to ensure efficient working of the Division. Thus, vacant posts should be filled up on an urgent basis.
* Considering that a website acts as an interface between public and the government, it is strongly recommended to regularly update the website of MHA and the divisions thereof.
* Vehicle facility and laptops can be provided to officers at the level of Section Officer as well to ensure smooth and timely disposal of work.
* All officers deputed in MHA should be given training for around three to six months in order to acclimatize them to the nature of work undertaken by the concerned division/ministry.
* Periodic reviews need to be carried out by senior officers at regular intervals in sections/wings of the Division to ensure timely disposal of files. Additionally, monitoring of disposal of work can be done at every level to prevent delays.
* It is suggested to make use of Video conferencing, Teleconferencing, FaceTime or Skype or any other web application in the Division for the purpose of conducting meetings and discussions with officials of other divisions. It will cut the need for frequent meetings and thereby, result in saving time of officers and staff at all levels.
* Most of the work comes from Coordination Division wherein reports are needed to be compiled. However, coordination can be better managed if processes are automated. Customized application of Information Technology can help in automating the processes. This can also be done by preparing a template for circulation to all the units for seeking their opinion and information.
* Forensic units are often neglected and therefore, they need to be strengthened. New labs need not be created when there is a National Institute of Crime and Forensic Science (NICFS) which is highly under-utilized and can be reinvented in order to utilize its expertise judiciously.
* No significant specialized training is imparted to the officers before and after joining the Division. The importance of training in enhancing the efficiency of these officials cannot be undermined. Therefore, it becomes critical to focus on increasing Knowledge, Skills and Attitude (KSA) of people working in the Division.

# CHAPTER IV

# Study of Left Wing Extremism (LWE) Division

1. **About LWE Division**

LWE Division marked its inception on 19 October, 2006 in the Ministry of Home Affairs (MHA), Government of India in order to effectively address the Left Wing Extremist insurgency in a holistic manner. It implements security related schemes aimed at capacity building in the LWE affected states. The Division also monitors the LWE situation and counter-measures being taken by the affected states. The LWE Division coordinates the implementation of various development schemes of Ministries/Departments of Government of India in LWE affected areas. The states of Chhattisgarh, Jharkhand, Odisha, Bihar, West Bengal, Andhra Pradesh, Telangana, Maharashtra, Madhya Pradesh and Uttar Pradesh are considered LWE affected, although in varying degrees.

**Functions of the Division**

LWE Division handles a complex set of activities involving many stakeholders across the country. LWE Division supplements the development activities and coordinates with other ministries. The following are the core functions handled by LWE Division:

1. Capacity building of states to combat LWE through schemes of Ministry of Home Affairs like Security Related Expenditure (SRE) scheme, Special Infrastructure Scheme, Special Central Assistance etc.
2. Deployment of Central Armed Police Forces (CAPFs) in LWE affected states.
3. Providing funds to the CAPFs for strengthening of infrastructure/Helicopters/civic action, etc.
4. Reviewing the security situation in the LWE affected states and issuing advisories to the concerned State Governments.
5. Providing assistance to State Governments for initiatives to combat LWE in the form of funds for items which are of emergent nature.
6. Coordinating implementation of LWE related schemes of other central ministries for LWE affected districts.

**2. Sections and Current State of Affairs**

The LWE Division currently deals with the following matters:

1. **LWE-I Section**

* Special Central Assistance (SCA) scheme and Special Infrastructure Scheme (SIS).
* Civic Action Plan.
* Monitoring and Review of Road Requirement Plan-I(RRP-I) in close coordination with Ministry of Road Transport and Highways (MoRTH), other ministries and LWE affected states.
* Follow-up environment clearance of projects in the LWE affected areas.
* Coordination with other Ministries on important legislation and policies (Tribal Rights, Tribal Development, Land Acquisition, Rehabilitation & Resettlement etc.)
* Ensure suitable delegation of power by different Ministries/Departments concerned for speedy implementation of development activities in LWE affected areas.
* Parliament matters, VIP matters, RTI matters, grievance redressal and legal matters.
* Coordination with following ministries, including meetings of the Empowered Committee under the Chairmanship of AS (LWE) for development in LWE.
* Road Transport and Highway
* Tribal Affairs
* Environment and Forest
* Skill Development and Entrepreneurship
* Human Resource Development
* Agriculture and Farmers’ Welfare
* Social Justice & Empowerment
* Drinking Water & Sanitation
* Power
* Niti Aayog

1. **LWE-II Section**

* Administration & Coordination.
* National Policy and Action Plan Formulation and Implementation on LWE.
* LWE review group meetings with Cabinet Secretariat and State Governments.
* Chief Minister Conference/Governor’s Conference on LWE, Senior Officers Meetings, etc.
* Preparation of Annual Report/Annual Action Plan.
* Review/Examination of public grievances received through online CPGRAM Mechanism.
* Updating of e-Samiksha portal of Cabinet Secretariat.
* Furnishing comments to various ministries/department on Cabinet notes, misc. LWE matters.
* Coordination of VIP references/RTI matters.
* Coordination with other ministries on important legislations and policy.
* Periodical achievements and initiatives in respect of LWE Division.
* Security Related Expenditure (SRE) Scheme of LWE affected states.
* Assistance to central agencies for LWE management
* Coordination and compilation of monthly reports of LWE Division.
* Coordination of budgetary and parliament matters of LWE Division
* Coordination with ministries – Department of Financial Services (DoFS) and Department of Post (DoP)

1. **LWE-III Section**

* Security Related Expenditure (SRE) Scheme of LWE affected areas including air support.
* Coordination of all parliamentary and budget matters pertaining to LWE Division.
* Coordination related to monthly DO and monthly summary sought by Coordination Division.
* Parliament matters/VIP matters/RTI matters/grievance redressal
* Coordination with following ministries/departments, including meetings of the Empowered Committee under the chairmanship of AS (LWE) for development in LWE
* Department of Post
* Department of Financial Services
* Labour & Employment

1. **LWE-IV Section**

* Coordination with following ministries/departments, including meetings of the Empowered Committee under the chairmanship of AS (LWE) for development in LWE
* Agriculture and Farmers’ Welfare
* Social Justice & Empowerment
* Drinking Water & Sanitation
* Power
* Niti Aayog
* Legal issues relating to LWE affected states
* Any other developmental scheme in LWE affected areas
* Parliament matters/VIP matters/RTI matters/grievance redressal

1. **LWEO-I Section**

* State specific operational review of LWE states like Andhra Pradesh, Bihar, Chhattisgarh, Odisha, Telangana and KKT Corridor.
* Issues related to explosives including Improvise Explosive Devices (IEDs) and mines security-improving capability of the states backtracking of explosives.
* Performance evaluation of CAPFs.
* Analysis of intelligence inputs and follow up action, such as sensitizing the states and issuing advisories, JIC meetings & NSCS meeting.
* Improving the capability of State Intelligence Bureau (SIB) of LWE affected states-up gradation of SIB.
* Drawing operational strategy to counter LWE including inter-state operation, joint operations.
* Analysis of LWE scenario in LWE affected states including analysis of incident of LWE violence, monitoring of expansion of CPI (Maoist) to new areas and preparing strategy to counter the expansion.
* Central Propaganda Management Group.
* Press notes, release, analysis of newspaper reports, and coordination with other division on above operational matter.
* All lower LWE cadres other than PBM and CCM.
* All issues relating to deployment of CAPFs. Unified Command related issues.
* Parliament matters/VIP matters/RTI matters/grievance redressal.

1. **LWEO-II**

* Fortified Police Stations scheme.
* Holding state specific operational review meetings of Jharkhand, Madhya Pradesh, Maharashtra, Uttar Pradesh, West Bengal and monitoring front organisation.
* Matters relating to security of vital installations and infrastructure in LWE affected areas.
* Preparation of amendments in SOPs in various aspects.
* Issues of IR Battalions/SIRB in LWE affected areas.
* Dossiers up gradation of PBMs/CCMs.
* Coordination with NIA for the cases pertaining to LWE and monitoring the major incidents of LWE violence.
* Issue relating Indo-Nepal and Indo-Bhutan borders.
* Any other Left Wing activities across the borders and issuing advisories/alerts on these issues.
* Parliament matters/VIP matters/RTI matters/grievance redressal.
* Coordination and monitoring of Road Connectivity Project for LWE areas (RRP-II)
* CAPFs camp infrastructure facilities.
* Coordination with ministries i.e. Health & Family welfare, Railways, Rural Development, DoT.

1. **Security Adviser (LWE) Section**

* Coordination for Training in Counter Insurgency (CI) and Jungle Warfare (JW) of Central Armed Police Forces/ State Force deployed in Left Wing Extremism affected states & liaison with army authorities about the same.
* Monitoring of Counter Insurgency and Anti-Terrorism (CIAT) schools in LWE affected areas and training matters.
* Use and up-gradation of technology enhancing the operational capability of CAPFs and State Police Force.
* Co-ordination of intelligence with Director General Military Intelligence.
* Air support, Unmanned Aerial Vehicle (UAV).
* Use of Defence Research and Development Organisation (DRDO) technology.
* Liaison with State & Army authorities for allocation of land for defence establishments in LWE affected areas.
* Equipments/arms/ammunition procurement including matters relating to co-ordination with PM division.
* Coordination with following ministries/departments i.e. Civil Aviation and Defence.

**2.1 New Initiatives of the Division**

* Recently, the Division has taken certain new initiatives to holistically address its mandate. One of the most significant of these is the formulation of National Policy and Action Plan adopting multi-pronged strategy in the areas of security, development, ensuring rights and entitlement of local communities and perception management. Other initiatives include Special Central Assistance (SCA) for 35 most LWE affected districts. The main objective of this scheme is to fill the critical gaps related to public infrastructure and services. The Division provides financial support to improve the critical gap in the infrastructure in various districts. In addition to this, the Division is also responsible for monitoring the implementation of the ‘Aspirational Districts’ scheme launched by the honorable Prime Minister. 35 LWE affected districts have come under the purview of this scheme. Additionally, certain new districts have also been included under the purview of LWE by MHA as a pre-emptive measure since left-wing extremists as part of their strategy keep striving to expand to new areas.
* The above-mentioned initiatives have added to the work of the Division and have widened the spectrum of work handled by the Division. The Division now handles a range of issues e.g. assisting para-military forces in initiating and implementing developmental activities. In recent times, the Division has been quite pro-active in ensuring development works like building of 10,800 kms of roads. The Division has also worked for ‘financial inclusion’ by opening new bank accounts. The developmental works also include the provisioning of solar powered pumps in many areas. Thus, the range of workload involves the initiation of an idea and then taking it to the empowered committee and finally coordination with authorities at the states to implement it.

**3. Workload Study**

Organisational Chart of LWE Division indicating positions and reporting relationships is given below:

Figure 7: Organogram of LWE Division

**Source:** MHA website

* In order to understand the nature of workload, the Study team sought the following data from the Division. It can be seen that the Division receives large number of files, RTI applications and parliament questions.

|  |  |  |
| --- | --- | --- |
| **S.No.** | **Nature of Work** | **Numbers** |
| 1 | Files | 618 |
| 2 | Supreme Court cases | 4 |
| 3 | High Court cases | 8 |
| 4 | Contempt cases | 0 |
| 5 | Public grievances | 62 |
| 6 | RTI Applications | 280 |
| 7 | Parliament Questions | 193 |

Table 14: Workload of LWE Division (2016-17)

**Source:** PowerPoint Presentation of the Division

* During the course of the study, the total number of references received by the Division is 5553. All of which have been disposed of within the average time of one week.

Figure 8: Workload of LWE Division (2016-17)

* Files covered 56% of the Division’s workload whereas RTI applications, parliament questions and public grievances constitute 19%, 18% and 6% of the total share of work respectively.
* The expected time and the actual time spent on the job at different levels are given as follows:

Table 15: Average time taken for disposal of files at each level in LWE Division

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **S. No.** | **Designation** | **Expected time (in hours) required on the job (weekly)** | **Actual time (in hours) spent on the job**  **(weekly)** | **Extra time (in hours) spent on job**  **(weekly)** | **Nature of Work** | **Strength** |
| 1 | Joint Secretary (JS) | 40 | 64 | 24 | Coordination, Security. All Developmental, funding of budget of LWE area along with Aspirational District by NITI Aayog | 01 |
| 2 | Director/DS | 40 | 58 | 18 | -do- | 03 |
| 3 | Under Secretary (US) | 40 | 52 | 12 | -do- | 04 |
| 4 | Section Officer (SO) | 40 | 52 | 12 | -do- | 05 |
| 5 | Assistant Section Officer (ASO) | 40 | 48 | 8 | -do- | 06 |

From the above table, it is clear that the number of extra hours put on job is highest in case of the Joint Secretary and decreases as we go down the hierarchy with increase in the number of posts. Considering the fact that the workforce available in the Division meets its sanctioned strength and that the number of extra hours spent on the job are not too alarming, it can be inferred that the workload in the Division is in consonance with the available workforce and the Division is adequately staffed at present.

* As of today, the sanctioned strength for the posts of Joint Secretary (JS), Security Adviser (SA), Under Secretary (US), Section Officer (SO) and Assistant Section Officer (ASO) is met completely. Few months back there was a shortfall at the level of Director with vacant post. As per latest discussion with the officials of the Division, it was brought to the notice of the study team that this vacant post has recently been filled by one IPS Officer. The Division also expressed requirements for IPS officers at Director level, at least 2 CAPF officers at Dy. Commandant level as well as for one Under Secretary and one Section Officer for monitoring progress of Aspirational Districts scheme.

Table 16: Projection of additional staff (LWE Division)

|  |  |  |  |
| --- | --- | --- | --- |
| **Designation** | **In position strength** | **Requirement in terms of work flow** | **Deficiency** |
| ASO | 6 | 6 | 0 |
| SO | 5 | 5 | 0 |
| US | 4 | 4 | 0 |
| DIRECTOR | 4 | 3 | 1 |

**Source:** PowerPoint Presentation of the Division

* The number of in-house meetings attended by officers and staff within the Division including total average time spent on attending meetings, frequency of meetings, average time of the meeting and the number of telephone calls per day is given below. Similar information with regard to meetings outside the Division but within Ministry and also outside the Ministry is as follows:

Table 17: Average time spent in meetings and on telephone calls at each level in LWE Division

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S.No.** | **Levels** | **No. of meetings (per month)** | | **Time spent per meeting (in hrs)** | | **Total hours spent on meetings in a month (approx)** | **Telephone calls per day** | **Commuting from one Division to another (minutes)** |
|  |  | Within the Division | Outside the Division | Within the Division | Outside the Division |  |  |  |
| 1 | Director | 10 | 2 | 1 | 2-3 | 15 | 20 | - |
| 2 | US (LWE-II) | 4 | 1 | 2 | 1 | 9 | 30 | 25 |
| 3 | SO (LWE-II) | 4 | 1 | 2 | 1 | 9 | 25 | 30 |
| 4 | SO (LWE-III) | 2 | 0 | 1 | 0 | 2 | 05 | 30 |
| 5 | ASO (LWE-III) | 6-8 | 0-2 | 3 | 3 | 24 | 25-30 | 30 |

* From the above table, it can be inferred that maximum time spent on meetings is at the level of ASO followed by Director. While in case of phone calls, it is maximum in case of US as well as ASO. It is also seen that a lot of time is also consumed in commuting from one division to other which ideally should not be the case considering that the whole MHA is one unit. However, in reality the various divisions are located in different locations which make travelling to another Division a time-consuming exercise.

**4. Work Process Study**

* The Division has a discrete compendium on channel of submission and final disposal that is strictly adhered to for a variety matters handled by the different sections within the Division. For a majority of files, the channel of submission does not exceed 4 levels where the first level of initiation lies mostly at the levels of SO, ASO and US. Some of the common files handled by all the sections include VIP references/PMO references, parliamentary matters, RTI appeals, co-ordination with different ministries and meetings of the Empowered Committee.
* In light of the responses solicited from the Division and the Sections within, it is seen that there is no specified time limit for disposal of files of different nature against which the assessment of delay in the file disposal/movement could be gauged. Upon interaction with the concerned officials, it is understood that time taken for disposal of files at each level primarily depends on the subject. Matters such as RTI, VIP reference, parliament questions, budget matter, public grievances etc are time bound and are dealt with promptly. Other general receipt/issues are dealt within a period of maximum two weeks.

**5. Application and use of ICT in the division**From the responses received to questionnaire A, the following points emerged:

* The Division performs its work manually as well as using ICT.
* The Division faces problem of internet facility and malfunctioning of UPS.
* The extent of ICT used in the work processes of the Division is 61-80%.
* MS Word and e-Office are the two most used applications in the Division.
* There is need for training at all levels to ease the adoption of e-Office.
* Technical issues and lack of infrastructure are the main obstacles faced by the Division in adoption of ICT.
* Desktops and printers are the only facilities that are available to SO and ASO of this Division.
* Malware attack, loss of data and unauthorized access are the main ICT related security problems generally faced by LWE Division.

**6. Observations of the Study team**

* In terms of the nature and pendency of workload handled by the Division, it is observed that the Division handles a large number of references and all of which have been disposed of in a timely manner. According to the data received, the Division received 5553 references. All of them were disposed of within a week’s time. As far as files of other nature are concerned, the Division received a large number of RTI applications which took longer than usual to get processed. In the file movement studied by the research team, one of the RTI matters took 93 days to get disposed.
* For matters related to RTI, it is observed that same type of queries continue to arrive several times even after the issue has been addressed and information has been shared. In such cases, it is important have a system in place which ensures that once a file has been disposed of and if the same matter is raised again under RTI, that can be easily retrieved or accessed online.
* The application of IT in the Division has taken place however, at a slow rate.
* From the data gathered on the amount of time spent in attending meetings, telephone calls and commuting from one division to another, it is seen that a Director spends approximately 15 hours in attending meetings in a month. On the other hand, an ASO spends around 24 hours. As far as number of telephone calls received are concerned, on an average at every level, around 25-30 calls are attended to each day. A significant observation is made with regard to the time spent in commuting from one Division to another. It is seen that at every level, on an average 25-30 minutes per meeting are spent in commuting from one division to another.
* There is lack of availability of institutional memory in an organized manner since there is no mechanism for retrieval of past information which has impacted the efficiency of the Division over the years. It has also resulted in the lack of domain knowledge among the staff.
* It is brought to the attention of the Study team that over the years the contribution at the level of ASO/SO has been unsatisfactory and less than required. Their role has largely become limited to organizing data and information gathering. It is crucial that matters pertaining to decision-making, policy formulation and other critical matters get initiated at the Under Secretary level and not below that.
* Upon analyzing the movement of files within the Division, the Study team made the following observations pertaining to the respective sections (LWE-I, II, III&IV, LWEO-I &II). The files which were analysed include VIP reference, parliament questions, monitoring & review, public grievances, RTI matters, deputations, incidents in LWE areas etc.
* Most matters which took longer time for disposal experienced delay at the level of initiation.
* Files which require close coordination with other ministries, divisions, State Government, IFD took maximum time to process.
* Of all the files that were analysed, the maximum time taken for a file to get disposed was 338 days where the matter pertained to a ‘Committee for use of cutting edge of technology in LWE Theatre’. During the discussion with Director (LWE), it came to the fore that the time taken in this case was infact less keeping in view that it included the initiation of an idea till its implementation. Some of the matters that were disposed of within the same day or took not more than one day were pertaining to parliament questions, matters related to public grievances and annual report of MHA.
* The maximum number of files that were studied from the Division belonged to the subject of parliament questions, public grievances and incidents of violence in LWE areas. It was observed that on an average parliament questions took not more than 1-5 days for disposal. In case of public grievances, it varied from one day to two weeks time while incidents of violence in LWE areas took relatively more time, ranging from six to seventy days.

Figure 9: Time taken for Disposal of Files in LWE Division

36% of the files took more than 30 days to dispose of whereas 40% were disposed of in less than seven days with 9% taking 7-15 days and 15% consuming 15-30 days.

**Nature of Files and Number of Days**

**Files which took 0-7 days to dispose of:** VIP Reference, review the progress of Skill Development Scheme, parliament questions, annual report related, public grievances, monthly summary /DO sent to Cabinet Secretary for LWE Division, meeting folder for Consultative Committee Meeting, statistics, allocation of fund, infrastructure development, incidents of violence

**Files which took 7-15 days to dispose of:** Implementation of development of flagship scheme in LWE, review of meeting, references received for Coordination Division, incidents of violence

**Files which took 15-30 days to dispose of:** Monitoring and review of road, review of meeting, public grievances, deployment of CAPFs, request of buses of CAPF by Govt. of Bihar.

**Files which took more than 30 days to dispose of:** Guideline for Special Central Assistance (SCA), reference pending for Central Assistance, review of progress of Skill Development, parliament questions, monitoring and review of road, RTI Matters, Action Plan for 2017-18, deputation, incidents in LWE areas, infrastructure development, monthly review on activities of LWE groups.

**7. Conclusion and Recommendations**

* The Study team opines that requisite initiatives could be taken to increase the efficiency of the manpower available in the Division given that the additional time spent on the job at various levels ranges from 8-24 hours weekly. There is no projection of additional staff from the Division as well. In this regard, periodic monitoring and evaluation of the staff is extremely necessary. In addition, requisite skill-building, training and familiarisation with ICT of the employees are essential.
* Keeping in view the crucial role played by the Division, it is recommended that proper handing and taking over of official documents should take place, before the officers take charge as it eventually results in loss of efficiency.
* The Study team is of the view that in order to use IT extensively at different levels of the Division, extensive training is required at all levels.
* State capacity building is important and it is very much required that states take lead for handling security and development issues. There is a need to empower the capacity of states vigorously which will yield effective results.
* It is recommended to address the requirement for at least 2 CAPF officers at Dy. Commandant Level as well as for one Under Secretary and one Section Officer for monitoring progress of Aspirational Districts.

# CHAPTER V

# Study of Border Management-I Division

1. **About Border Management-I (BM-I) Division**

Border Management Division marked its inception in January 2004 as a result of recommendations of Group of Ministers (GoM) in order to secure the nation’s borders. It deals with issues relating to strengthening of border policing & guarding, intensify border infrastructure like road adjustments, fencing, flood lighting, border outposts and Company Operating Bases (COBs) along the borders. The borders are namely Indo-Myanmar Border (IMB), Indo-Bangladesh Border (IBB), Indo-Pakistan Border (IPB), Indo-China Border (ICB), Indo-Nepal Border (INB) and Indo-Bhutan Borders (IBhB). Core functions of BM-I can be broadly classified as follows:

* Strengthening of border policing, surveillance and patrolling.
* Management of International Land Border
* Creation of infrastructure in the border belt.
* Analysis of intelligence reports.
* MHA’s inputs with respect to demarcation of border.
* Matters relating to border trade and commerce.
* Survey of boundary pillars.
* Composite strategy defining complementary roles of the state government and of the Centre in border management.
* Coordination with states & ministries/departments of Government of India for border security

**2. Sections and Current State of Affairs**

The Border Management-I Division currently deals with the following matters:

1. **BM-I Desk**

* All matters relating to management of Indo-Pak border (excluding LoC in Jammu & Kashmir sector) and Indo-China border.
* Matters relating to fencing and flood lighting of Indo-Pak border.
* Strengthening of border policing, surveillance and patrolling in respect of Indo-Pak border.
* Creation of infrastructure including construction of motorable roads, provision of communication facilities etc. in the border belt.
* Matters relating to Samjhauta Express.
* Analysis of the intelligence reports and sharing of actionable intelligence with concerned agencies relating to Indo-Pak and Indo-China borders.
* Composite strategy defining complementary roles of the State Governments and of the Centre in border management.

**ii) BM-II Desk**

* All matters relating to management of border with Myanmar.
* Strengthening of border policing, surveillance and patrolling.
* Creation of infrastructure including construction of motorable roads, provision of communication facilities etc. in the border belt.
* Analysis of the intelligence reports and sharing of actionable intelligence with concerned agencies relating to Indo-Myanmar border.
* MHA’s inputs in regard to demarcation of border.
* Matters relating to border trade with Myanmar.
* Survey of Boundary Pillars along Indo-Myanmar border.
* Composite strategy defining complementary roles of the State Governments and of the Centre in border management.

1. **BM-III Section**

* All matters relating to management of Indo-Bangladesh border.
* Matters relating to fencing and flood lighting of the border.
* Strengthening of border policing, surveillance and patrolling.
* Creation of infrastructure including construction of motorable roads, provision of communication facilities etc. in the border belt.
* Analysis of the intelligence reports and sharing of actionable intelligence with concerned agencies relating to Indo-Bangladesh border.
* MHA’s inputs in regard to demarcation of border.
* Matters relating to border trade with Bangladesh.
* Survey of boundary pillars along the border.
* Composite strategy defining complementary roles of the State Governments and of the Centre in border management.
* Matters relating to Indian enclaves.

1. **BM-IV Section/Coastal Security Section**

* All matters relating to the coastal border including island territories of Andaman & Nicobar Islands and Lakshadweep etc.
* Strengthening of coastal policing, surveillance and patrolling.
* Creation of infrastructure in the coastal belt.
* Composite strategy defining complementary roles of the State Governments and of the Centre in border management.
* Island possessions of India.
* Matters relating to lead intelligence agencies.

1. **BM-V Section**

* All matters relating to management of border with Nepal and Bhutan.
* MHA’s inputs in regard to demarcation of border.
* Strengthening of border policing, surveillance and patrolling along Indo-Nepal & Indo-Bhutan borders.
* Creation of infrastructure including construction of motorable roads, provision of communication facilities etc in the border belt.
* Analysis of the intelligence reports and sharing of actionable intelligence with concerned agencies relating to Indo-Nepal and Indo-Bhutan borders.
* Matters relating to border trade with Nepal and Bhutan.
* Survey of Boundary Pillars along the border.
* Composite strategy defining complementary roles of the State Governments and of the Centre in border management

1. **BM-VI (Coordination)**

* All matters relating to general coordination of all aspects of border management.
* Coordination within the various divisions of MHA and ministries/departments of the government regarding the preparation of the Action Taken Report on the recommendation of the Group of Ministers on Border Management.
* Coordination in the matters pertaining to intelligence reports being received from Border Guarding Forces, Intelligence Bureau, etc.
* Deployment of hi-tech electronic surveillance equipment on the International Borders of the country.
* Monitoring and controlling indiscriminate growth of religious fundamentalist institutions along the border.
* O&M and other returns/reports of Border Management Division.

1. **BADP (Border Area Development Programme) Section**

* All matters relating to implementation of Border Area Development Programme.

1. **Integrated Check Post (ICP) Section**

* Development of ICPs on the land borders of the country including setting up of Land Ports Authority of India (LPAI).

**3. Workload Study**

Organisational Chart of BM-I Division indicating the positions and reporting relationships is given below**:**

Figure 10: Organogram of BM-I Division

**Source:** MHA website

* In terms of the workload handled by the Division in the year 2016-17, BM-I received 4608 files, 9 court cases while zero contempt cases. In the year 2016, the Division handled 203 public grievances, 60 RTI applications and 89 parliament questions while in 2017, there were 116 public grievances, 107 RTI applications and 75 Parliament questions.

Figure 11: Workload of BM-I Division (2016-17)

* The workload of BM-I Division is primarily composed of 88% files of the total share   
   followed by 6% public grievances, 3% RTI applications and parliament questions each.
* The total number of references received by the Division in the year 2017 was 9795, of which 9729 were disposed of resulting in pendency of 66 references. In 2018, the Division disposed of 4094 references of a total of 4620 received resulting in 523 pending references.
* Other than RTI, the functions of the Division lack any citizen interface as it deals with matters of security and infrastructure in border areas. At the same time, several functions of the Division involve inter-division, inter-agency and inter-ministerial interface. These include matters related to policy-making, coordination, approval authority, parliamentary issues, inspection & verification, repository of data etc.
* The sanctioned strength at different levels and posts filled up/vacancies in the Division are as follows:

Table 18: Projection of additional staff (BM-I Division)

|  |  |  |  |
| --- | --- | --- | --- |
| **Designation** | **In position strength** | **Sanctioned strength** | **Deficiency** |
| ASO | 8 | 8 | 0 |
| SO | 3 | 5 | 2 |
| US | 3 | 3 | 0 |
| DIRECTOR | 2 | 3 | 1 |

**Source:** PowerPoint Presentation of the Division

* The number of in-house meetings within the Division attended by officers and staff of the Division including total average time spent on attending meetings, frequency of meetings, average time of the meeting and the average time spent by officers and staff on attending telephone calls and meetings outside the Division is shown below:

**Table 19: Average time spent in meetings and on telephone calls at different levels in BM-I Division**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S.No.** | **Levels** | **No. of meetings (per month)** | | **Average time spent per meeting (mins)** | | **Total time spent per month (in hrs)** | **Telephone calls per day** | **Commuting time from one division to another (mins)** |
|  |  | Within a Division | Outside the Division | Within the Division | Outside the Division |  |  |  |
| 1 | US (PB Branch) | 21 | 6 | 60 | 120 | 33 | 25-30 | 10-30 |
| 5 | SO | 8 | 4 | 90 | 120 | 20 | 9 | 60 |
| 6 | ASO | 5 | 3 | 90 | 90 | 12 | 7-10 | 15-45 |

From the table above, it can be inferred that at every level a substantial amount of time is spent in attending meetings and phone calls every day. The average time spent in meetings is highest at the level of Under-Secretary followed by at the level of SOs and ASOs. The number of phone calls range from 10-30 calls per day depending on the level. Additionally, lot of time is consumed in commuting from one division to another, varying from 10 to 60 minutes.

**4. Work Process Study**

* The work flow chart regarding levels of decision-making at different stages with reference to the delegation of powers is: Secretary (BM) 🡪Joint Secretary (BM-I)🡪 Director (BM-I), Director (BM-III) and Director (BM-IV).
* Important policy matters on management of borders including approval of Cabinet notes, VVIP references and other important matters relating to management of borders of country are initiated at the level of US and disposed of at the level of Home Minister. Matters such as preparation of Cabinet notes, development of infrastructure on the borders of the country, analysis of intelligence reports/situation reports, financial matters and those relating to Department related Parliamentary Standing Committees are initiated at the SO level with final level of disposal being Secretary (BM).
* The average time for disposal of files at different levels is 15 days.

**5. Application and use of ICT in the Division**

From the responses received to the questionnaire A, the following points emerged:

* The day to day work is performed by using both ICT applications as well as manually.
* The extent of ICT application used in the work processes of the Division is 41-60%.
* MS Word and e-Office are majorly used in this Division.
* Lack of required skills, technical issues; support from higher ups are the main obstacles faced by the Division in adoption of ICT applications.
* Desktops and printers are the only facilities available to ASO/SO.
* Malware attack and unauthorized access are the main ICT related security problems generally faced by the Division.

**6. Observations of the Study team**

* There is improper maintenance of records. The matters dealt by the Division in the past cannot be accessed conveniently since there is no Database Management System in place and hence if such information is required, files and physical material is relied upon which is difficult to access many a times.
* There exist vacancies within the Division that need to be addressed on a priority basis. In all, 1 Director/Dy. Secretary and 2 Section Officers are required. In addition, there is also concern regarding lack of skills among the existing manpower.
* The Division experiences lack of strategic perspective among its staff. This necessitates for ‘perspective planning’ in order to plan for the future of border guarding and other strategic issues to have a vision of what kind of technology and resources are required to be deployed.
* Close coordination between BM, PM and P-II is needed. There are certain issues that require engagement of all the three divisions. However, presently there is no holistic approach or infrastructure in place for the same.
* BM Division is not equipped for tendering process though earlier it was allowed to allocate this task to PSUs but vide amendment in General Financial Rule (GFR), it can now only be done by government agencies not PSUs which restricts competition.
* There is a huge pile of intelligence reports received by the Division but there are no specific instructions as to how they are to be dealt with. Additionally, the Division provides many services but has no authority to analyze the performance of funds allocated or to assess effectiveness of agencies.
* It is brought to the attention of the Study team that within the Division work is monitored on a regular basis. Meetings are taken by the senior officers with the subordinates to discuss the issues hampering quick disposal of files.
* Some of the other issues faced by the Division include increase in workload especially due to adoption of new work areas, frequent transfer of staff/officers, non availability of internal legal advisory set up and internal technology advice, several sub-budget heads that restricts flexibility, lack of proper land records etc.
* The Study team analysed the movement of files across various sections of the Division. These include matters pertaining to Indo-Myanmar Border, proposals for construction of roads or development of infrastructure in border areas, parliamentary matters, RTI applications, public grievances and matters related to Indo-Bhutan Border. Upon studying the movement of above mentioned files, the Study team recorded the following observations:
* Maximum time is consumed at the ASO level for initiation of file. Probable reasons for the same include huge workload at the ASO/SO level, shortage of manpower or lack of efficiency in expediting the files on time.
* With regard to the movement of file and its final disposal, it was observed that considerable delay happened at the level of initiation. Sometimes, it takes weeks before the file is initiated at the entry level.
* Matters such as reimbursement of expenditure by State Government of Sikkim, proposal to write-off sanction received from BSF, Indo-Bhutan meeting on Border Management consumed more time while files of routine nature, audit matters, proposal for construction of infrastructure in border areas and public grievances consumed lesser time.

Figure 12: Time Taken for Disposal of Files in BM-I Division

* It took less than seven days to dispose of 72% of the total files received in the Division while 9% of the files took 15-30 days and 6% of them consumed 7-15 days. 13% of the files took more than 30 days to get disposed of.

**Nature of Files and Number of Days:**

**Files which took 0-7 days to dispose of:** Parliament questions, Indo-Myanmar Border-Miscellaneous matters, Review meetings , Outcome Budget 2017-18, monitoring of outcome of project of MHA, review meetings, miscellaneous budget matters, audit matters, public grievances, miscellaneous receipt, release of funds for border roads, proposal for construction of roads.

**Files which took 7-15 days to dispose of:** IMB-Miscellaneous matter, construction of roads, helipads & helibases, review meetings on operational scheme.

**Files which took 15-30 days to dispose of:** IMB-Miscellaneous matters, Proposal for development of infrastructure, parliament questions.

**Files which took more than 30 days to dispose of:** Reimbursement of expenditure by State Govt. of Sikkim, Indo-Bhutan Secretary level meeting on border management, steering committee matter, proposal of write off sanction received from BSF, Free Movement Regime (FMR) along Indo-Myanmar border, River Basin Committee (RBC) meeting between India and Myanmar.

**7. Conclusion and Recommendations**

* Considering that the issue of border management is comprehensive in nature and requires to be studied holistically, it is imperative to have an integrated approach towards this subject. In view of the same, divisions such as Police Modernisation, Police-II and Border Management-I that require close coordination on this matter can be housed in the same premises so that decision-making and information sharing can be handled in a timely and effective manner.
* There is need for a Technical Cell which can deal with issues such as tendering process considering that the Division is not well-equipped for it as it was earlier allocated to PSUs.
* Proper perspective planning is the need of the hour. Systems need to be put in place (a think tank perhaps) to develop strategies anticipating possible threats which may emanate while border guarding such as immigration, innocent threats, etc.
* Keeping in view the quantum of work handled by the Division, it is important to ensure that there is adequate manpower and all current vacancies are filled up expeditiously.
* To ensure better policing and to enhance the efficiency of MHA, space technology and satellite imagery can be put to use provided the Division has requisite understanding of as to how the technologies can be effectively deployed for the said purpose.
* It is suggested to have a General (G) branch in the Division that will coordinate all matters of Border Management including border infrastructure development, deployment of forces, managing strength of Border Guarding Forces (BGFs) so that the guarding rule is adhered to and there number of forces does not thin out at the borders due to deployment elsewhere during elections etc. At the moment, P-II Division sanctions deployment of Coys in areas where elections are scheduled, causing decrease in number of such Coys in border areas. This raises security concerns. Hence, it is suggested that all such matters related to border management must be taken care of by BM Division alone instead of spreading them among separate divisions. Keeping this in view, a G-branch can be created that is empowered to ensure better deployment, border guarding and analyzing the inputs from intelligence.
* There is a need to have a dedicated Progress Monitoring Unit (PMU) in BM Division to assess the progress of border infrastructure work with a dedicated team including both technical and non technical staff.
* Creation of a Legal Cell as well as a dedicated cell for Land Management is highly recommended.
* To ensure proper maintenance of records and data that can be easily retrieved at a later date or whenever required, there is need for a proper Data Management System. This will eliminate dependency on physical files/documents that are susceptible to get misplaced and frequently move from one desk to another consuming lot of time if required to be brought back when needed in future.
* Some of the issues though logistical in nature but need to be addressed on a priority basis to ensure quick disposal of work and for staff convenience. Every section should have direct telephone lines. A separate vehicle can be provided for every Division to increase the pace of work carried out. Additionally, every Under Secretary must have independent direct telephone lines and a separate Personal Assistant (PA).

# CHAPTER VI

# Study of Centre State Division

1. **About Centre State (CS) Division**

The Centre State Division marked its inception in 1969. It deals with Centre-State relations, including working of the constitutional provisions, appointment of Governors, creation of new states, nominations to Rajya Sabha/Lok Sabha, inter-state boundary disputes, over-seeing the crime situation in states, imposition of President's Rule, etc. Matters relating to human trafficking, state reorganisation, protection of SC/ST, coordination, prisoners, etc are managed by this Division. E-Prison, Gorkhaland Territorial Administration (GTA) and Central Victim Compensation Fund (CVCF) are some of the projects implemented by the Division.

**2.Sections and Current Status of Affairs**

The CS Division currently deals with the following matters:

1. **CSR-I Section**

* Governor’s Report
* Lottery Rules
* Chief Minister’s Conference
* Imposition of President’s Rule in States

1. **CSR-II Section**

* All coordination matters
* Election matters

1. **CSR-III(A) Section**

* All general matters, Law& Order
* ISCS (Administrative)

1. **CSR-III(B) Section**

* Public grievances (Electronically and Physically)
* PMO, VIP/MP references

1. **M&G Section**

* Governor’s Appointment/additional charge
* Reimbursement to former Governors for Secretariat Assistance
* Change of Name of Railway Stations, Villages etc
* Governor’s Conference

1. **SR Section**

* All matters relate to State Reorganisation/Bifurcation

1. **PR Section**

* All matters relating to Prisons
* All matters relating to Prisoners
* Implementation of Scheme relating to Prison Reforms
* Processing and Coordination of the recommendation for the Award of President’s Correctional Service Medals for Prison Personnel on the occasion of Republic Day and Independence Day

1. **ATC Section**

* Matters relating to human trafficking, especially women and children excluding legislative, welfare and promotional aspects, which are subject matters of Ministry of Women & Child Development (except matters relating to repatriation/deportation of victims (foreign nationals) of human trafficking. Human smuggling, illegal migration on take visa/passport and trafficking in human organs.

1. **SC/ST-W Section**

* Matters relating to crime against the members of Scheduled Castes & Scheduled Tribe committed against POA Act and PCR Act, 1955 (excluding reservation and representation in Govt.)
* Matters relating to crime against Women/Children/Transgender/Elderly persons

1. **Public Section**

* Work related to Bharat Ratna and Padma Awards
* Ashok Chakra Series of Gallantry Award for civilians
* Order of Precedence of wearing of President’s medals and decorations
* Jeevan Raksha Padak
* State Emblem of India
* National Anthem of India
* National Flag of India
* Table of Precedence
* SOP on Death of High Dignitaries
* Swearing-in-ceremony of President and Vice President
* Institution of New Awards/Decorations
* Authentication (Orders and other Instruments Rules)

1. **Judicial & PP Section**

* Brief and Cabinet Notes sponsored by other Ministries/Departments for comments of the Ministry of Home Affairs-coordination.
* Legislative aspects of the Commissions of Inquiry Act, 1952-Amendment of the Act and Rules there-under.
* Arrangements with State Governments for defending suits in matters not specifically assigned to other sections.

1. **Judicial Cell-I**

* Judicial Cell-I deals with the legislative aspect of the Indian Penal Code and Code of Criminal Conduct

**xiii) Judicial Cell-II**

Deals with mercy petitions of the convicts seeking clemency of the President

**3. Workload Study**

Organisational Chart of Centre-State Division indicating the positions and reporting relationships is given below:

Figure 13: Organogram of CS Division

**Source:** MHA website

* The profile of files in the Division including the number of files, court and contempt cases, public grievances, RTI and parliament questions dealt by the Division in the year 2016-17 is given below:

Table 20: Section-wise Workload of the CS Division in 2016-17

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **S.No** | **Sections of CS Division** | **No. of Files** | **Court Cases & Contempt Cases** | **Public grievances** | **RTI Applications** | **No. of Parliament Questions** |
| 1 | CSR-I | 65 | 09 | Old file continue | 08 | 11 |
| 2 | CSR-II | 214 | 19 | 59 | 47 | 43 |
| 3 | CSR-III-A&B | 565 | 59 | **31,821** | **1617** | 385 |
| 4 | CSR-IV | 146 | 15 | 07 | 28 | 08 |
| 5 | M&G | 672 | 07 | 124 | 478 | 21 |
| 6 | SR | 369 | 152 | 198 | 227 | 54 |
| 7 | PR | 493 | 19 | 290 | 192 | 130 |
| 8 | ATC | 275 | 04 | 144 | 23 | 41 |
| 9 | SC/ST-W | 671 | 15 | **6,000** | 456 | 200 |
|  | **Total** | **3470** | **299** | **38,643** | **3076** | **893** |
| 10  **Judicial Wing, CS Division** | | | | | | |
| i. | Judicial & PP | 341 | 12 | 2218 | 134 | 4 |
| ii. | Judicial Cell-I | 433 | 32 | 212 | 27 |
| iii. | Judicial Cell-II | 259 | 16 | 70 | 16 |
|  | **Total** | **1033** | **60** | **416** | **47** |
| 11 **Public Section** | | | | | | |
|  | **Public** | **417** | **19** | **1110** | **360** | **16** |

* Of all types of subjects handled by the Division in the year 2016-17, public grievances were the highest in number with maximum to the count of 31,821 being dealt by CSR-III Section followed by SC/ST-W Section and Judicial Wing. The Division also handled a large number of files and RTI applications.

Figure 14: Workload of CS Division (2016-17)

* In its total workload, CS Division handled 83% public grievances, 7% files and RTI applications while 2% parliament questions and 1 % court cases.
* As on April 4, 2018, the requirement of staff across various sections in CS Division is given below:

Table 21: Projection of additional staff (CS Division)

|  |  |  |
| --- | --- | --- |
| **S. No.** | **Designation** | **Requirement in terms of work flow** |
| 1 | ASO | 03 |
| 2 | SO | 04 |
| 3 | US | 03 |
| 4 | DIRECTOR | 02 |

**Source:** PowerPoint Presentation of the Division

* The number of in-house meetings within the Division and meeting with other divisions attended by its officers and staff including total average time spent on attending meetings, frequency of meetings, average time of the meeting and the number of telephone calls per day is given below:

Table 22: Average time spent in meetings and on telephone calls in CS Division

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **S. No.** | **Designation** | **No. of meetings (per month)** | | **Average time spent per meeting (in minutes)** | **Total hours spent on meetings in a month (approx)** | **Telephone calls per day** | **Commuting time from one to another Division (hrs)** |
|  |  | Within the Division | Outside the Division | Within the Division |  |  |  |
| 1 | US (CSR) | 15 | 4 | 60 | 15+ | 25 | 1.5 |
| 2 | SO | 30 | 0 | 20 | 10 | 20 | - |
| 3 | SO | 35 | 0 | 15 | 9 | 35 | - |

From the above table, it is observed that the total hours spent on meetings in a month is maximum (15 hours in a month) in case of Under Secretary. In case of telephone calls attended per day, the average number of calls per day across the different levels range from 20-30 calls.

**4. Work Process Study**

* The Division follows a Compendium of Channel of submission and Level of Final disposal. Matters of importance including general Centre-State constitutional matters, proclamation and revocation of President’s Rule, legislative and administrative matters, policy matters, Commission on Centre-State Relations, Cabinet Notes etc are disposed at the level of Home Minister. Routine administrative matters/ correspondence, information collection, views/comments on various routine issues are initiated at the SO level and disposed of at Joint Secretary Level or below.
* As on 3 August 2017, the status of pendency of RTI applications for the months of June and July 2017 across the different sections is given below:

Table 23: Status of pendency of RTI applications for June and July 2017 in CS Division

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **June 2017** | | | **July 2017** | | |
| **Section** | **Total References** | **Number of references disposed of** | **Pending references** | **Total References** | **Number of references disposed of** | **Pending references** |
| **CSR-I** | 06 | 05 | 01 | 05 | 05 | - |
| **CSR-II** | 02 | 02 | - | 03 | 03 | - |
| **CSR-III** | 83 | 82 | 01 | 74 | 74 | - |
| **CSR-IV** | - | - | - | - | - | - |
| **M&G** | 18 | 18 | - | 29 | 29 | - |
| **SR** | 10 | 09 | 01 | 10 | 06 | 04 |
| **PR** | 16 | 11 | 05 | 10 | 05 | 05 |
| **SC/ST-W** | 16 | 14 | 02 | 30 | 21 | 09 |
| **ATC** | 01 | 01 | - | - | - | - |
| **Total** | **152** | **142** | **10** | **161** | **143** | **18** |

* The above data reveals that in the month of June 2017, 10 RTI matters were pending with the Division while the number increased to 18 in the July 2017. It is significant to note that even though the workload differed during both months, though not substantially, the efficiency to dispose of the RTI matters remained static at 142 and 143 respectively.
* As on 2 June 2017, the disposal status of MP/VIP References received by the Division is that out of total 42 references, 41 references have been disposed of resulting in pendency of one. In case of PMO references, a total of 39 references were received, of these 35 have been disposed of resulting in four pending references. As on 5 July 2017, the number of pending MP/VIP references as well as PMO references is seven each.

* In case of Public Section, of the total number of receipts, public grievances and court cases received in 2016-17, 30 receipts, 33 public grievances and 13 court cases are pending.

1. **Application and use of ICT in the Division**

From the responses received to questionnaire A, the following points emerged:

* The Division performs its day to day office work manually.
* The extent of ICT application used in the work processes of the Division is up to 20%.
* MS Word and e-Office are the two most used applications in the Division.
* Technical issues, lack of required skills are some of the main obstacles faced by the Division in adoption of ICT applications.
* Desktops and printers are the only facilities that are available to ASO/SO of this Division.
* Malware attack and loss of data are the main ICT related security problems generally faced by CS Division.

1. **Observations of the Study team**

* It has come to the fore that the Division receives a large number of RTI queries and receipts. A large number of such queries and receipts deal with matters such as marital discord, general crime and law and order issues. Issues that do not fall under the jurisdiction of any other division also come to this Division which at times are beyond its scope. As a result, there is a problem of dealing with such matters/grievances, howsoever innocuous, as there is no specialized staff to understand and answer them.
* Maximum number of RTIs is received by three sections namely M&G (Ministers & Governance), State Reorganisation (SR) and CSR-III. Considering there is no limit on the number of questions and subjects per RTI, it has further overburdened the Division.
* Every receipt/representation is of different nature. There is no access to standardized information which can act as a precedent for the division to deal with its matters. Considering the non-routine nature of matters, there are no guidelines available which may help in handling such issues.
* There are pending vacancies in the Division. To illustrate, there is a requirement for seven Section Officers but there are only three Section Officers. As far as positions at the Under Secretary level are concerned, US is on deputation and one is about to retire. Due to vacant positions, workload of one section is entirely dealt by other sections. There is need for more staff as compared to staff sanctioned for the Division. In all, additional strength of 26 personnel is required by the Division as on 4 April 2018.
* As on 4 April 2018, one post of DS (CS-II) has been vacant since July 2017. Presently, one section is dealing with SC/ST-W. This section is over-burdened with references from President’s Sectt./PMO/MP/VIP. Section also deals with court cases related to crimes against women, SC/ST, children, senior citizens and also issues advisories from time to time in this regard. In view of the above, one section is to be created for dealing with matters related to SC/ST-W.
* After assessment of the section-wise workload in the Division, the Study team observed that CSR-III Section is the most overburdened Section with files, public grievances and RTI applications. As far as the total strength of staff is concerned in this Section, there are two SOs, three ASOs, two SSAs, three DEOs, and one MTS.
* There is problem of absence of legal cell considering that so many legal matters are dealt by the Division. More so matters of legal nature involve multi-stakeholder consultation and consume more time to get disposed.
* Upon analyzing the movement of files within the Division, the Study team made the following observations. The files analysed mostly include Governor’s report, PMO/MP/VIP references, RTI matters, parliament questions, court cases, and reimbursements etc.
* Most matters which took longer time for disposal experienced delay at the level of initiation.
* Files which require close coordination with other ministries, divisions, State Governments, IFD as well as legal matters involving multi-stakeholder consultations took longer time for disposal.
* The maximum number of files that were studied from the Division were pertaining to Governor’s monthly report, references and parliamentary matters. On an average, the time taken for disposal of Governor’s report is 22 days, for PMO/MP/VIP references it is 37 days and 2-3 days for parliamentary matters.

Figure 15: Time Taken for Disposal of Files in CS Division

* The Division disposed of 49% of the total files in less than 7 days while 27% of them consumed more than 30 days. The share of files taking 7-15 days and 15-30 days time was 13% and 11% respectively

**Nature of Files and Number of Days**

**Files which took 0-7 days to dispose of:** Monthly reports, meetings with ministers, parliamentary matters, matters related to elections, Observation of DGACE Audit, permanent transfer of Land by Airports Authority of India, scholarship matters, miscellaneous references, RTI matters, budget matter, PMO references

**Files which took 7-15 days to dispose of:** Visit of Governor, reimbursement to former Governor for secretarial assistance, visit of Governor, VVIP references, monthly Governor’s Report, PMO/MP references.

**Files which took 15-30 days to dispose of:** Implementation of guidelines of Indian Govt., PMO/MP references, Election Commission matter, matters related to change of name

**Files which took more than 30 days to dispose of:** RTI matters, court cases, References, review of expenditure, meeting of Dispute Resolution Committee, A.P. Reorganisation Act 2014, Division of asset & liability of institution, letter received requesting to find out alleged irregularities & corruption, miscellaneous representation received from VVIP, Governors Report, lottery complaint

**7. Conclusion and Recommendations**

* The Study team recommends that a separate core group or team could be created to handle RTI matters in particular in a standardized format considering the repetitive nature of such queries.
* As per the requirement, staff needs to be deployed and vacant positions are required to be filled expeditiously. Attention must also be paid to improving the quality of manpower within the Division by imparting requisite training to the workforce before and after joining the Division.
* Proper use of e-Office is expected to ease operations of the divisions. E-Office could be fully implemented to ensure easy access to any past information. In addition, these initiatives are expected to standardize RTIs, receipts etc which are of similar nature. System can be improved where work is of routine nature/repetitive type.
* The Study team proposes to expedite the handling of files at the level of initiation as well as accelerate the process of file movement at the entry level. It is also strongly recommended that a weekly review shall be carried out to ensure speedy disposal of files.
* The Division deals with specialized matters relating to various states day in and day out. Keeping this in mind, a legal cell with specialized staff needs to be put in place.
* Steps need to be taken to address the workload of overburdened sections such as CSR-III by addressing the requirement for additional staff strength as well as by employing ICT applications to increase the efficiency and to ensure quick disposal of work.
* Often the Division receives matters which do not directly relate to their mandate or any other Division in MHA for that matter. In addition, the bulk of tasks received by the Division are repetitive in nature. This unnecessarily increases the workload of the Division and has an impact on its efficiency. Deployment of technology and standardized systems may help in reducing this workload and improve its focus on core issues.

# CHAPTER VII

# Study of Police-II Division

1. **About Police-II Division**

Due to expansion of forces, Police–II (P-II) Division was established in the year 2009.It administers the policy, personnel, operational (including deployment) and financial matters relating to all the Central Armed Police Forces (CAPFs) including BSF Air Wing. Also, matters relating to welfare of the serving and retired CAPF personnel and the deployments in UN Peace Keeping Missions are managed by the Division. The Central Armed Police Forces dealt with by P-II include Assam Rifles (AR), Border Security Force (BSF), Central Industrial Security Force (CISF), Central Reserve Police Force (CRPF), Indo-Tibetan Border Police (ITBP), National Security Guards (NSG) and Sashastra Seema Bal (SSB).

The other major responsibilities of Police-II Division include:

1. Raising Battalions in CAPFs.
2. Re-organisation and re-structuring of CAPFs and Intelligence Bureau.
3. Policy matters relating to reservation in services for SC, ST, OBC, physically challenged, women, etc.
4. Policy and schemes for recruitment of CAPFs personnel.
5. Deputation/absorption of CAPFs personnel in other organisations.
6. Policies relating to re-settlement and rehabilitation and welfare of ex-CAPFs personnel, widow/NOKs (next of kin) of CAPFs personnel laying down their lives in various operations.
7. Matters relating to canteen facilities to CAPFs.
8. Matters relating to pensionary benefits to CAPFs personnel.
9. Matters relating to Welfare and Rehabilitation Board (WRB) for CAPFs.
10. Deployment of police personnel to UN Peace Keeping Missions, etc.
11. **Sections and Current State of Affairs**

The Police-II Division currently deals with the following matters:

**i) Police Finance Wing**

* Infrastructure Creation (Land, Housing, Medical Setup, Central Armed Police Forces Institute of Medical Sciences (CAPFIMS) etc).
* Financial Matters of Forces (Budget Allocations, Creation of Posts, Allowances etc).
* Raising of Battalions.
* India Reserve (IR) Bns & Specialised Indian Reserve Battalion (SIRB) Schemes.

1. **Pers Wing**

* Acts & Rules of Forces
* Pers Matters (Appointments, Recruitments, Promotions, Disciplinary Matters, Court Cases etc.)
* Common Medical Cadre
* Cadre Reviews and Restructuring
* Matters related to Representation of SC, ST & Women in Forces.

1. **Air Wing & G Desk**

* Management and Deployment of Air Assets
* Procurement of Aircraft and Training of Pilots
* Deployment of CAPFs

1. **Coordination and R&W**

* Welfare Matters of Force Personnel & Ex-Force Personnel, Central Police Canteen System
* All miscellaneous and coordination matters of the Division.

**3. Workload Study**

Organisational Chart of Police-II Division indicating the positions and reporting relationships is given below:

Figure 16: Organogram of Police-II Division

**Source:** MHA website

* Total number of files, court cases, contempt cases, public grievances, RTI and parliament questions dealt by the Division in the year 2016-17 is given as follows:

Table 24: Workload of P-II Division in 2016-17

|  |  |  |
| --- | --- | --- |
| **S. No.** | **Nature of Work** | **Number** |
| 1 | Files | 5038 |
| 2 | Court Cases | 6436 |
| 3 | Contempt cases | 69 |
| 4 | Public grievances | 3079 |
| 5 | RTI Applications | 1140 |
| 6 | Parliament Questions | 109 |

**Source:** PowerPoint Presentation of the Division

* Among the various kinds of files that the Division handled, court cases are the highest   
  followed by public grievances and RTI applications.

Figure 17: Workload of P-II Division (2016-17)

* 41% of the workload of the Division comprised of court cases, 32% files, 19% public grievances, followed by 7% RTI applications and 1% parliament questions.
* The Division receives different kinds of references including PMO references, VIP references and other references. For the year 2017, the total number of PMO references received was 395 and all of them have been disposed of. In the same year, the Division processed 1232 VIP references from a total of 1248 references received, with 16 remaining pending. In case of other references, 233 are pending. Around 54 VIP references (319 received) and 216 other references (585 received) are pending for the current year with zero pendency in case of PMO references (107 received).
* The Division operates a Grievance Redressal System for CAPFs that acts as a direct channel of communication between Force Personnel and MHA. The system has received 1720 grievances since launch. Of this, 1622 grievances have been disposed of while 98 are pending. The status of these grievances is being monitored by MHA regularly.
* It is brought to the attention of the Study team that the Division is facing constraints due to shortage of manpower as shown in the table below. There is a shortfall at the Director and SO level. In all, 2 posts for the position of Director and 3 posts for the position of SO are vacant during the course of this study. Additionally, it is felt that there is lack of work delegation at the level of DS/Director within the Division.

Table 25: Projection of additional staff (P-II Division)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S.No.** | **Designation** | **In position strength** | **Sanctioned strength** | **Deficiency** |
| 1 | Joint Secretary | 01 | 01 | 0 |
| 2 | DS/Director | 02 | 04 | 2 |
| 3 | Under Secretary | 05 | 05 | 0 |
| 4 | Section Officer | 03 | 06 | 3 |
| 5 | Assistant and below | - | - | - |

**Source:** PowerPoint Presentation of the Division

* The number of in-house meetings within the Division attended by officers and staff of the Division including total average time spent on attending meetings, frequency of meetings, average time of the meeting and the number of telephone calls per day is given below. Similar information with regard to meetings outside the Division but within Ministry and also outside the Ministry is as follows:

Table 26: Average time spent in meetings and on telephone calls at each level in P-II Division

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S.No.** | **Levels** | **No. of meetings (per month)** | | **Time spent per meeting (in hrs)** | | **Total hours spent on meetings in a month (approx)** | **Telephone calls per day** | **Commuting from one Division to another (minutes)** |
|  |  | Within the Division | Outside the Division | Within the Division | Outside the Division |  |  |  |
| 1 | US (PF-III) | 10 | - | 0.5 | - | 5 | 20 | - |
| 2 | US (PF-VI) | 15 | 05 | 1 | 1 | 20 | 30 | 10 |
| 3 | US (PF-V) | 13 | 01 | 1 | 1 | 14 | 10-15 | - |
| 4 | US (Pers II) | 15 | 06 | 1 | 1 | 21 | 50 | 5-20 |
| 5 | US (G Desk) | 15 | - | 1 | - | 15 | 20-25 | - |
| 6 | IIC ( R&W) | 3 | 1 | 1 | 1 | 4 | 35 | - |
| 7 | SO (PF-III) | 10 | 01 | 1 | 1 | 11 | 15 | - |
| 8 | SO (PF-I) | 08 | 04 | 1 | 1 | 12 | 10 | - |
| 9 | SO (PF-IV) | 4 | - | 1 | - | 4 | 40 | - |
| 10 | SO (PF-V) | 10 | 4 | 0.5 | - | 5+ | 20 | - |
| 11 | ASO (PF-I) | 9 | 3 | NA | NA | - | 20 | - |

From the table above, it can be inferred that the average time spent on meetings in a given month is around 10 hours across the various levels. While the total number of telephone calls received in a day varies between 10-50 calls. More number of meetings are held within the Division than outside at various levels every month. The data shows that maximum time spent on meetings or phone calls is at the level of Under Secretary. Time taken in commuting from one division to another is not much and largely ranges from 5 to 20 minutes.

1. **Work Process Study**

* A distinct Work Flow Chart pertaining to the level of decision-making is followed within the Division. It is seen that once the proposal is received from the CAPFs by the Division, it moves linearly from the concerned desk/section to the higher level after close scrutiny and before the decision is taken at the final level of disposal. The Channel of submission and the Final Level of Disposal frequently employed by the Division dates back to 1995 while a new one came into force in 2013. Matters involving disciplinary proceedings/cases, deputations, amendments, creation of posts, penalty follow the longest Channel of submission involving 5-6 levels with final disposal not below the level of Joint Secretary.
* Disciplinary/financial/legal and other policy related matters often require consultation with multiple agencies like UPSC, DoPT, MoL&J, CVC etc. before a decision is arrived at. In such cases, the time for disposal has not been fixed. Moreover, the average time for final disposal largely depends on the nature of issue and therefore, remains unspecified. For financial matters, the time for disposal usually depends on the IFD/Technical cell.
* Weekly review is carried out between Forces and MHA officials to ensure speedy disposal of cases. Supervisory officers have been made responsible for monitoring the progress of the matters to ensure early disposal. There is resolution of issues by personal hearing as well, if required.

**5. Application and use of ICT in the Division**

From the responses received to questionnaire A, the following points emerged:

* The Division performs its day to day work both manually and using ICT.
* The extent of ICT application is up to 20% in the work processes of the Division.
* Some of the most common obstacles faced in the adoption of ICT applications include ‘lack of infrastructure’, ‘lack of requisite hardware’ and ‘technical issues’.
* MS Word and e-Office are majorly used in this Division.
* Desktops and printers are the only facilities that are available to SO/ASO of this Division.
* Malware attack, unauthorized access are the main ICT related security problems generally faced by the Division.

**6. Observations of the Study team**

* In terms of the nature and pendency of workload handled by the Division, it is observed that the Division handled a large number of court cases (6436), followed by public grievances (3079) and RTI applications (1140). The Division is also experiencing pendency with regard to matters such as VIP reference and other references. In the current year, 54 VIP references and 216 other references are pending. Under the Grievance Redressal System for CAPFs, the Division has a pendency of 98 grievances. The Division is facing constraints in terms of huge workload coupled with the need for additional staff especially at the level of Director and SO.
* From the data gathered on amount of time spent in attending meetings or number of telephone calls received each day, it was observed that the time spent on meetings in a given month is not alarming across this Division while the amount of calls each day ranges between the usual 20-40 calls across all the levels.
* The Ministry of Home Affairs is dealing with sensitive and important issues. The workload and working hours in this Ministry are comparatively much higher than other Ministries. There is need to recruit such persons who are willing to adapt to the requirements of the nature of work undertaken by the Ministry and the respective divisions therein.
* It was brought to the notice of Study team that DoPT has not been filling up vacancies on regular basis. This has created huge shortage at the levels of Assistants, Section Officers and Under Secretaries causing serious problems in handling the large volume of work.
* Work process is highly fluid. Within divisions there are desks and work process changes with desk. Each desk will have unique diagram of work process. Therefore, it becomes difficult to map the work process. For this purpose, it is also important to see the commonality between the desks.
* There is lack of work delegation at the level of DS/Director.
* Proper examination of proposals at the level of Forces should be there.
* As on date, the Division is facing a shortage of manpower. There is shortage of funds therefore, needed manpower is not hired. 2 posts of Directors and 3 posts of SOs are vacant. As part of cadre restructuring Lower Division Clerk, Upper Division Clerk posts were submitted to create the post of Joint Secretary. State Service Commission has closed the recruitment for the past few years. Posts are cut at the base level only. Promotions are also closed on account of reservation issue pending in the court. People are retiring and posts are falling vacant. DoPT should look into this matter as steps can be taken to correct the litigation issue. Policy decisions can be taken by DoPT.
* Owing to frequent transfers, many new officers join the Division. However, due to absence of institutional memory/knowledge repository, they tend to underperform.
* Lack of infrastructure in the Division creates hindrance in retrieving the information. There is no space for keeping the voluminous records.
* Secrecy and confidentiality of issues restricts the use of technology which creates dependence on paper.
* There is no proper mechanism established for handing and taking over of files between the different sections in a division or between various divisions.
* Lack of institutional memory has impacted the efficiency of the Division over the years. It has also resulted in the lack of domain knowledge among the staff.
* The Study team analysed the movement of files within various sections of the Division. Upon studying the movement of above mentioned files, the Study team recorded the following observations:
* With regard to the movement of file and its final disposal, it was observed that maximum delay happened at the level of initiation. Sometimes, it takes weeks before the file is initiated at the entry level.
* Legal matters often require consultation with multiple agencies. The time for disposal is unspecified and thus, they usually take longer time to process and dispose of.
* With regard to RTI matters in specific, it was observed that there was lack of information available at the ASO/SO level which led to transfer of matters to the concerned CPIO or Division which results in dependency and subsequent delay.
* Across the board, CBI cases were found to consume lot of time to get disposed of.
* The maximum number of files that were studied across the Division included RTI matters. The average time taken by the Division to dispose these matters is around 40 days. Of all the files analysed, court cases took maximum time to dispose with one of the cases taking 118 days. Matters that took less than 10 days to dispose include public grievances and parliament questions.
* Matters pertaining to proposals from Forces for creation of posts, infrastructure related matters, purchase of land etc consume more time in disposal.
* The PF Wing deals with financial matters with dependency on concurrence from Integrated Finance Division (IFD) which require longer time for disposal.
* Matters such as VIP/PMO/MP references, parliament questions, contempt cases are highly time bound matters and are usually disposed of the same day.
* Common reasons for delay include dependency on reply/information/concurrence from concerned agencies such as IFD, different forces, security agencies etc, typing and examining of long proposals, officials on leave or busy with meetings etc.

Figure 18: Time taken for disposal of Files in P-II Division

Majority (47%) of the files took 30 days and above to dispose of whereas 18% of them took 7-15 days and 13% of the files took 15-30 days and another 22% took less than 7 days for disposal.

**Nature of Files and Number of Days**:

**Files which took 0-7 days to dispose of:** RTI Matters, parliament questions, public   
 grievances, deployment of forces, law and order

**Files which took 7-15 days to dispose of:** RTI Matters, public grievances,   
promotions/DPC file

**Files which took 15-30 days to dispose of:** RTI Matters, MHA Coordination Division   
related matters, acquisition of land related matters

**Files which took more than 30 days to dispose of:** CBI cases,   
deputation files, hiring of helicopter for CRPF in Jammu and Kashmir, delegation of   
financial powers to DG, NSG, air courier services on North East, Jammu & Kashmir   
and Delhi-Leh-Delhi sectors for CAPFs and IB personnel, deployment of Forces.

**7.Conclusion and Recommendations**

* To correct the problem pertaining to shortage of manpower, vacant posts need to be filled up expeditiously. There is immediate requirement of manpower audit and rationalisation of the sanctioned /authorized strength through creation of new posts and rationalisation of existing staff.
* Since the Division examines proposals of CAPFs, there is a practice of attachment of CAPFs personnel in the divisions for examination of such cases and proposals. Officials in the Division have divided opinion about this practice. Some of them are of the view that this results in conflict of interest and biased decision-making. On the contrary, some of the officials opine that personnel from CAPF are more discipline systematic and sincere in their approach to handle the work.
* There is an urgent need to create additional posts, identify, attract and select competent talent and induct them in the Ministry.
* It is critical to define the level of initiation and disposal of files. Procedure of file movement needs to be punctured. A level should be fixed and a file should not move back beyond that level. Papers / files should not travel down below the hierarchy till the last level. For example, it can be defined that a particular type of paper will not go below the Director level and the file will be closed at that level only. This will save time and increase efficiency.
* There is a need to create search engines for different divisions of MHA. This will help accessing all the past data of different divisions by using certain key words. Whatever important decision is there, it will go to search engine. Therefore, things can be easily located and requisite information can be culled out from search engine easily, when required.
* For staff augmentation and rationalization, for better resource deployment, it is recommended that desk pattern needs revision as the work and functions have increased manifold.
* Regular civilian staff needs to be deployed instead of attachment staff from Forces.
* Field visits can be undertaken by the civilian staff to understand the complexity of the Forces.
* There has to be better use of technology which has great advantage of acting as a force multiplier, enhancing the efficiency of the security functions and at the same time be very cost effective over the technology life cycles. This will greatly reduce the increasing burden of additional manpower creation and would allow the government to utilize the existing manpower in a more effective and efficient manner. Time bound implementation of e-Office in the Division is highly recommended.
* There are many cases which are going on for years together. On account of time gap, their files get destroyed / weeded out. There is no staff to search the old files either. Hence, one has to depend on whatever facts are available. If all the documents are converted into soft form then processes will become better.
* All the documentation in the soft copy should be done at back end by way of scanning the documents. Scanners can have software which can read and catch phrases. For this purpose big servers are needed.
* In place of giving the work of data feeding to Under Secretary, a centre can be allotted to handle such work. A massive centre for IT is needed in this regard.
* DoPT works on policy of rotational transfers. At the level of public dealing frequent transfers are understandable but beyond that level it should be stopped as it hampers the functioning and efficiency of the Division and there is no institutional memory as well to support the newcomer in his / her work.
* With respect to confidentiality of information, proper handling and movement of official documents should be taken care of.
* The Study team is of the view that the Division should be equipped with requisite technologies which will ensure effectiveness in decision making.
* Currently the work space is crowded and there is no proper seating arrangement for people. Space is much less than compared to volume of records handled by MHA. Therefore, MHA needs a proper state of the art office equipped with all the latest and modern amenities with all its divisions in one place. This will also help MHA in communicating and connecting better with other divisions.
* There is a need to expedite the handling of files at the level of initiation and weekly review should be carried out to ensure speedy disposal. Additionally, expedite the process of file movement at the entry level as well as accelerate the process of initiation. It is recommended to have specialized staff that is well-equipped with information to answer standard queries received under RTI matters for quick disposal.
* The level of initiation of files such as VIP reference should be raised from ASO to a higher level since these files are usually disposed of at MoS/HM/other higher levels. Some of the levels are irrelevant to decision-making and therefore, must be done away with.

# CHAPTER VIII

# Analysis of Workload, Work Process and ICT Applications

**1.Introduction to study of workload**

Workload Analysis is a methodology to determine the time, effort and resources necessary to carry out the department’s operations, resulting in identifying the organization’s actual needs of manpower both in terms of quality and quantity, and develop these resources to achieve the goals and strategies that the organization wants to achieve in the various divisions. Workload analysis is basically analyzing the amount of work assigned or expected from an employee in a specified time period. It also used as a tool to predict and plan future work and skill set requirement based on current and past data to set the baseline for specific job . The main implication will be improvement of the resource capabilities and improvement of the process.

Following is the significance of work load analysis:

* Identifying the actual needs of human resources both in terms of quality and quantity in the short term and long term.
* Identifying the current and future training needs, which facilitate designing training programs according to actual needs.
* Maintaining the appropriate number of employees in the work system, to ensure not to prevent or delay executing tasks.

The goal of workload analysis is to have:

* The right number of people
* With the right skills
* In the right place
* At the right time
* With the right attitude
* Doing the right work
* With the right work output.

There are two basic analysis tools used for work load analysis:

* Lead Time analysis: It is a tool to measure time consumed on each activity and set the effective time for the specific activity
* Job weight analysis : To measure job load compare to individual work load

**1.1.Workload of identified divisions**

The Study team has discussed and analysed the profile of each division including making observations and recommendations specific to each division. While the Study team strongly recommends that the conclusions and recommendations made for each of the identified divisions of MHA should be factored for bringing in a better workload regime and speedier and efficient work processes for that particular division. The following template was used to study the workload in various divisions of MHA:

**Draft Template for study of workload at various levels**

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S. No.** | | **Division** | **No. of Files** | **File type / Nature of File** | | | | **No. of visitors in a given point in time** | **No. and duration of meetings** | **No. of visits outside office** | **Other work**  **(Nature and time taken)** | **Remarks/ comments** |
| **Court Cases & Contempt cases** | **RTI applications** | **No. Of Parliament questions** | **Public Grievances** |
|  |  | |  |  |  |  |  |  |  |  |  |  |
|  |  | |  |  |  |  |  |  |  |  |  |  |
|  |  | |  |  |  |  |  |  |  |  |  |  |
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**1.2.Comparative Analysis of Workload of select divisions**

The comparative workload study done by the Study team across all six divisions of MHA indicates that the workload pattern differs from division to division on account of differences in the nature and subject of files.

Figure 19: Work load of the different types of subjects across the six   
 divisions in 2016-17

The figure 19 shows that Public grievances, RTI matters and parliament questions are highest in case of CS Division. Number of files is highest in Foreigners Division. Court cases and contempt cases are highest in case of P-II Division.

Figure 20: Number of files across the six divisions in 2016-17

The figure 20 indicates that Foreigners Division received the highest number of files totaling 55234 in comparison with other five divisions. The LWE Division, on the other hand, got only 618 files during the same period. In other divisions, these range from 1884 to around 5000 files.

*\*includes contempt cases also*

Figure 21: Number of court cases across the six divisions in 2016-17

The figure 21 depicts that Police-II Division deals with the highest number of court cases totaling 6436 in comparison with other five divisions. The Border Management-I Division, on the other hand, had only 9 court cases during the same period. In other divisions, they range from 12 to 299 cases.

*\*includes court cases also*

**Figure 22: Number of contempt cases across the six divisions in 2016-17**

The figure 22 indicates that Police-II Division has the highest number of contempt cases totaling 69 in comparison with other five divisions. The BM-I Division and the LWE Division do not have contempt cases with them. Whereas Foreigners Division has 7 and PM Division has 2 contempt cases.

**Figure 23:** **Number of public grievances across the six divisions in 2016-17**

The figure 23 indicates that CS Division has the highest number of public grievances matters in comparison with other five divisions totaling 38643. The LWE Division had minimum matters of public grievance in their Division i.e. 62. In other divisions, they range from 319 in BM-I Division to 3079 in Police-II Division.

**Figure 24: Number of RTI matters across the six divisions in 2016-17**

Figure 24 shows that CS Division got maximum RTI matters to the tune of 3076 whereas BM-I Division got merely 167 RTI matters in their Division. In other four divisions, these range from 280 to 1140.

**Figure 25:** Number of parliament questions across the six divisions in 2016-17

The figure 25 depicts that CS Division got the highest number of parliament questions totaling 893 whereas Police-II Division received 109 parliament questions during the same period. Other divisions received the questions in the range of 164 to 205.

**Figure 26: Number of references received across five divisions in 2016-17**

Figure 27: Number of references disposed across five divisions in 2016-17

**Figure 28: Number of references pending across five divisions in 2016-17**

The figures 26, 27 and 28 depict that BM-I and PM divisions received large number of references as compared to the other divisions. The disposal of references in all the divisions have been more than 90% and the pendency of references is relatively greater in Police-II and PM divisions.

**1.3. Workload Analysis in terms of Manpower requirement for six selected divisions of MHA**

Following calculation of workload of divisions is done on the basis of average time taken to process a routine file (other than policy making or critical cases) and total workload handled by a specific division in one year 2016-17.

Table 27: Work Load Calculation of Foreigners Division (VISA, FCRA, MU) 2016-17

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Levels | Numbers of Files  (contempt cases, RTI , parliament questions, public grievances, no. of files) | | Average Total Time taken per file (Hour) | | Expected Time available on the job (annually) in hrs ( 240 days \*6 hrs ) | | Current Strength | | Total hrs with current strength at one level | | Time Required for processing of Files (in hrs ) | | Additional Hrs Required to Process all files | | Additional Staff Required to process all files |
| ASO | 58252 | | 1 | | 1440 | | 36 | | 51840 | | 58252 | | 6412 | | 4 |
| SO | 58252 | | 0.5 | | 1440 | | 4 | | 5760 | | 29772 | | 24012 | | 17 |
| US | 58252 | | 0.17 | | 1440 | | 4 | | 5760 | | 9709 | | 3949 | | 3 |
| DS | 58252 | | 0.08 | | 1440 | | 3 | | 4320 | | 4854 | | 534 | | 0 |
|  | **Note : - In certain cases or urgent matter takes more than a day or week to process file at all levels** | | | | | | | | | | | |  | |  |
| From the above calculation it is depicted that more Section Officers are required as compared to Assistant Section Officers and Under Secretaries in Foreigners Division to manage routine workload.  **Table 28: Work Load Calculation of Border Management Division 2016-17** | | | | | | | | | | | | | | | | |
| Levels | | Numbers of Files  (contempt cases, RTI , parliament questions, public grievances, no. of files) | Average Total Time taken per file (Hour) | | Expected Time available on the job (annually) in hrs ( 240 days \*6 hrs) | | Current Strength | | Total hrs with current strength at one level | | Time Required for processing of Files (in hrs ) | | Additional Hrs Required to Process all files | | Additional Staff Required to process all files | |
| ASO | | 5103 | 2 | | 1440 | | 8 | | 11520 | | 10206 | | -1314 | | -1 | |
| SO | | 5103 | 1 | | 1440 | | 3 | | 4320 | | 6698 | | 2378 | | 2 | |
| US | | 5103 | 1 | | 1440 | | 3.00 | | 4320.00 | | 5267.00 | | 947 | | 1 | |
| DS | | 5103 | 0.5 | | 1440 | | 2.00 | | 2880.00 | | 2633.50 | | -247 | | 0 | |
|  | | **Note : - In certain cases or urgent matters take more than a day or week to process file at all levels** | | | | | | | | | | |  | |  | |

From the above calculation it is illustrated that two Section Officers and one Under Secretary is required in Border Management Division to manage routine workload.

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Table 29**: **Work Load Calculation of Police Division- II (2016-17)** | | | | | | | | | | |
| Levels | Numbers of Files  (contempt cases, RTI , parliament questions, public grievances, no. of files) | Average Total Time taken per file (Hour) | Expected Time available on the job (annually) - in hrs ( 240 days \*6 hrs) | Current Strength | Total hrs with current strength at one level | Time Required for processing of Files (in hrs ) | | Additional Hrs Required to Process all files | Additional Staff Required to process all files |
| ASO | 15871 | 2 | 1440 | 4 | 5760 | 31742 | 25982 | | 18 |
| SO | 15871 | 2 | 1440 | 4 | 5760 | 31742 | 25982 | | 18 |
| US | 15871 | 1 | 1440 | 5 | 7200 | 15871.0 | 8671 | | 6 |
| DS | 15871 | 1 | 1440 | 3 | 4320 | 15871 | 11551 | | 8 |
|  | **Note : - In certain cases or urgent matter takes more than a day or week to process file at all levels** | | | | | |  | |  |

From the above calculation it is illustrated that Police Division –II needs more number of staff at all levels because of routine work load.

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | | **Table 30: Work Load Calculation of LWE Division 2016-17** | | | | | | | | | | Levels | Numbers of Files  (contempt cases, RTI , parliament questions, public grievances, no. of files) | Average Total Time taken per file (Hour) | Expected Time available on the job (annually) in hrs ( 240 days \*6 hrs) | Current Strength | Total hrs with current strength at one level | Time Required for processing of Files (in hrs ) | Additional Hrs Required to Process all files | Additional Staff Required to process all files | | ASO | 1165 | 2 | 1440 | 4 | 5760 | 2330 | -3430 | -2 | | SO | 1165 | 2 | 1440 | 4 | 5760 | 2330 | -3430 | -2 | | US | 1165 | 1 | 1440 | 5 | 7200 | 1165 | -6035 | -4 | | DS | 1165 | 0.5 | 1440 | 3 | 2160 | 1165 | -995 | -1 | |  | **Note : - In certain cases or urgent matter takes more than a day or week to process file at all levels** | | | | | |  |  |   From the above calculation it is illustrated that LWE Division is adequately staffed.  **Table 31:** **Work Load Calculation of Police Modernization Division 2016-17** | | | | | | | | |
| Levels | Numbers of Files  (contempt cases, RTI , parliament questions, public grievances, no. of files) | Average Total Time taken per file (Hour) | Expected Time available on the job (annually) - in hrs ( 240 days \*6 hrs) | Current Strength | Total hrs with current strength at one level | Time Required for processing of Files (in hrs ) | Additional Hrs Required to Process all files | Additional Staff Required to process all files |
| ASO | 3862 | 2 | 1440 | 8 | 11520 | 7724 | -3796 | -3 |
| SO | 3862 | 2 | 1440 | 3 | 4320 | 7724 | 3404 | 2 |
| US | 3862 | 1 | 1440 | 5 | 7200 | 3862 | -3338 | -2 |
| DS | 3862 | 1 | 1440 | 3 | 4320 | 3862 | -458 | 0 |
|  | **Note : - In certain cases or urgent matter takes more than a day or week to process file at all levels**  From the above calculation, it is illustrated that two Section Officers are required in Police Modernisation Division to manage routine workload | | | | | |  |  |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Table 32:** **Work Load Calculation of CS Division 2016-17** | | | | | | | | |
| Levels | Numbers of files  (contempt cases, RTI , parliament questions, public grievances, no. of files) | Average Total Time taken per file (Hour) | Expected Time available on the job (annually) in hrs ( 240 days \*6 hrs) | Current Strength | Total hrs with current strength at one level | Time Required for processing of Files (in hrs ) | Additional Hrs Required to Process all files | Additional Staff Required to process all files |
| ASO | 46381 | 1.5 | 1440 | 16 | 23040 | 69571.5 | 46531.5 | 32 |
| SO | 46381 | 0.75 | 1440 | 10 | 14400 | 34860.5 | 20460.5 | 14 |
| US | 46381 | 0.50 | 1440 | 0 | 0 | 23191 | 23190.5 | 16 |
| DS | 46381 | 0.33 | 1440 | 1 | 1440 | 23191 | 21750.5 | 15 |
|  | **Note : - In certain cases or urgent matter takes more than a day or week to process file at all levels** | | | | | |  |  |

From the above calculation it is illustrated CS Division needs more number of staff at all levels because of routine work load.

**2.Work Process Study**

**2.1 Backdrop**

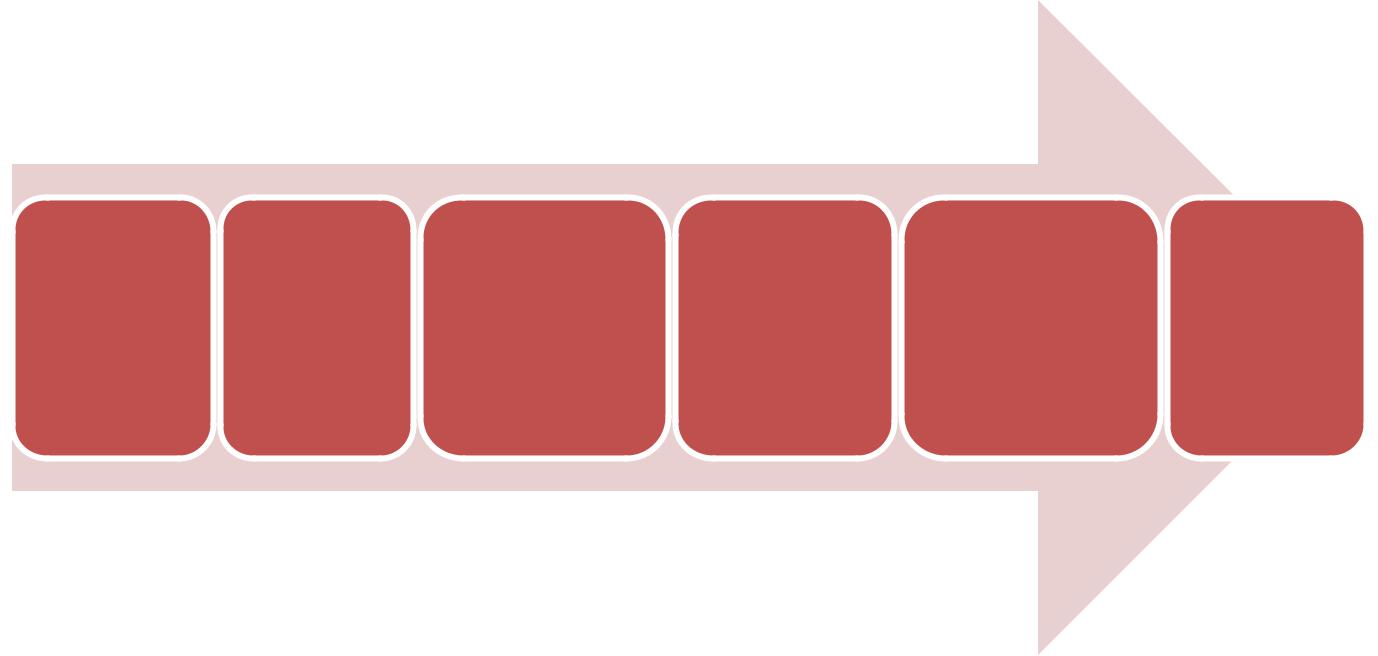
Processes and not functions drive an organization. Processes are the key to satisfying customers and stakeholders. Accordingly it should be the endeavour of the Government to improve its internal and citizen service delivery processes. Processes take one or more inputs and create output that is of value to all stakeholders. Today many of the work processes are inefficient and obsolete. Most of the processes were defined long back (in many cases, in pre-independence era) with the scenario at that time as the backdrop. The constraints which were present at that time, are no longer present or can be overcome through the use of IT. In many cases, processes were defined with compliance in mind, rather than enhanced citizen service.

It is in this context that the study of work processes of Ministry of Home Affairs becomes significant. Thus, redesign and re-engineering of processes would allow leveraging the full potential of officers which would eventually yield significant returns.

In order to study the work processes, files at different levels were studied. After the study of files, key issues involved were clearly delineated and grasped. Study of files provided insights regarding measures for optimization of the work processes. This enhanced understanding would help improving government functioning through minimized process complexity, cost and service delivery time. Automation of existing processes through the use of IT (Processes remain the same but, it will be carried out electronically). I.T can be applied to processes to make them simple, moral, accountable, responsive and transparent. Following could be the direct / indirect benefits of implementing suggested measures for optimization of work processes:

* Improved performance
* Better results for stakeholders
* Increased user value and satisfaction
* Reduced administrative burden
* Increased visibility of efforts and benefits
* Increased transparency levels
* Improved citizen focus and experience
* Identification of services which are crucial to the stakeholders and which requires immediate IT enablement

**Flow of Process of Improvement**



Process Define Process study Process Process New IT

Identification vision of and Analysis Re-engineering enabled   
   
 the Division Documentation Define ‘to be process   
 processes'

**2.2 Method of work process study in the identified divisions**

The following number of files were studied from different divisions:

* + Foreigners Division – 81 files
  + Police division-II – 46 files
  + Police Modernisation Division – 46 files
  + LWE Division – 73 files
  + Border Management Division – 57 files
  + Centre-State Division – 59 files

**Draft Template for study of work processes at various levels**

The following template was used in studying the file movement in various divisions of MHA:

**Name of Division:**

**Period of Study: (June – July 2017)**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S.**  **No** | **File No.** | **File Type** | **Priority Assigned to file** | **Date of Origin of file** | **Date of Disposal of file** | **Disposal Time from one level to another** | | | | | | | | | | | | | | | | | | | | | | **Remarks/ comments** |
|  |  |  |  |  |  | **L1** | | | **L2** | | | **L3** | | | **L4** | | | | **L5** | | | | | **L6** | | | |  |
| **A** | **D** | **S** | **A** | **D** | **S** | **A** | **D** | **S** | | **A** | **D** | **S** | | **A** | **D** | **S** | **A** | | **D** | **S** |  | |

L – Different levels of administrative hierarchy

A- Date of Arrival of file at a given level

D- Date of movement of file to next level

Time Taken by a file at one level = D - A

S- Status

**2.3 Prioritization of Tasks**

Based on the study it was found that it is possible to prioritize the tasks into different categories based on time needed to handle them and their importance. There could be tasks which require immediate attention while some tasks may not be that urgent to be handled immediately.

To determine the order of dealing with different nature of files – ABC technique may be used to prioritize the files in MHA. **ABC analysis** (Activity based costing or **Selective Inventory Control**) is an inventory categorization technique. ABC analysis divides nature of task into three categories based on the time taken and those that demand immediate attention.

* "A items" are those with very tight control and requires more attention ,
* "B items" are those with less tightly controlled and require moderate attention,
* "C items" are those with the simple control possible and low attention.

|  |  |  |  |
| --- | --- | --- | --- |
| **TIME**  **TAKEN** | **IMPORTANCE** | | |
| **High (A)** | **Moderate (B)** | **Low (C)** |
| 1-6 days | PMO References, VIP/MPs references, Cabinet notes, Parliament questions, Prior Permission cases, Matters of IB, Incidence of Violence related to LWE areas, Budget matters, Law & orders matters etc |  |  |
| 7-15 days |  | RTI, Public Grievances, Citizenship, Visa application, OCI Application, deployment of forces, review meetings of schemes, promotions/DPC files, monthly Governors Report etc |  |
| 16-30 days |  |  | Court cases & contempt cases, MHA Coordination Division related matters, acquisition of land related matters, deputation files, review of expenditure, deployment of CAPFs, request meeting of Dispute Resolution Committee, hiring of helicopter for CRPF in Jammu and Kashmir, delegation of financial powers to DG NSG, cutting edge technologies in LWE etc . |

**2.4 Decision Support System (Business Intelligence tools) to facilitate work processes**

DSS converts raw data into actionable information by making use of business intelligence tools. Business intelligence helps in decision making due to the multiple powerful elements it entails. These include interactivity through dashboard, data visualization, database connection, mobile business intelligence, predictive analytics and application integration. These features of DSS would help the senior officials in quick decision making. Therefore, quick decisions would result in fast disposal of files at every level in all the divisions across MHA.

* **Use of DSS**

DSS can be used in the following manner:

* Indexing and sorting of files of similar nature is done in electronic standard format which makes data retrieval easy thereby resulting in faster disposal of files
* Intelligence system can help in categorization of grievances
* Audio and chatter Bots (Build operate transfer system) can provide standard responses for grievances thereby resulting in effective grievance handling mechanism.
* With the aid of historical data and high-end algorithms, certain predictions can be made in dealing with court cases, public grievances and policy matters.
* With a proper BI system in place, all stakeholders will get access to the right information at the right time and in the right format.
* With rich data resources, Business Intelligence can facilitate and assist senior officials to achieve targets at different levels and help in taking timely strategic decisions.

Figure 29: BI system support at all levels of MHA

* **Illustration 1**

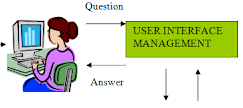
**BI based Process flow for granting citizenship**

Every year approximate 800- 900 applications are processed by Foreigners Division, MHA. These applications are processed from dealing hand to higher competent authority and every file is rotated atleast 4 times and forwarded to IB or States for security clearance.

Business intelligence based system will integrate all processes and ensure stakeholder involvement through single interface. An interactive board will help in fast decision making at every level and thereby, resulting in improvement in overall work process of granting citizenship.

**Illustration 2**

BI based Decision support system for dealing with policy matters, court cases, public grievances and liaisoning with other departments etc.



Data Warehouse Central repository

(Meta data )

Files of Court Cases

Policy Making Matters

Categorized grievance matters

BI system helps in fast retrieval of desired data as the same is identified and extracted from many different sources, including database systems/applications. Its availability in predictive analytical format helps in decision making.

**Few Best BI tools:**

* IBM Cognos Analytics
* Microsoft Power BI
* Tableau
* SAP Crystal Reports
* Looker

1. **Information and Communication Technology (ICT) Analysis**

Information and Communication Technology (ICT) tools are used to reduce workload and improve overall efficiency of an organization. e-Office is one such ICT tool available to organizations. e-Officeis a workflow based system that includes the features of existing manual handling of files with addition of more efficient electronic system. This system involves all stages, including the diarisation of receipts, creation of files, movement of receipts and files and finally, the archival of records. With this system, the movement of receipts and files becomes seamless and there is more transparency in the system since each and every action taken on a file is recorded electronically. This simplifies decision making, as all the required information is available at a single point. It envisions a paperless office, with increased transparency, efficiency and accountability of the organization. e-Office can provide easier status updates anytime / anywhere , real time Management Information Systems (MIS), Providing e-forms for submission of applications and File Management System etc. Proper implementation of e-Office results in the following benefits:

* Enhances transparency
* Increases accountability
* Assures data security and data integrity
* Transforms the government work culture and ethics
* Promotes innovation by releasing staff energy and time from unproductive procedures

**3.1 Study of extent of use of ICT Applications in divisions: A comparative account of select divisions**

Questionnaire A was administered (refer Annexure II) to some of the officials only (since it elicits factual information only) in the six identified divisions so as to assess the extent of ICT applications used in a given division.

This section highlights the extent of ICT application, obstacles faced in its adoption and the ICT related problems faced across the six identified divisions.

Figure 30: Extent of use of ICT application in work processes

Figure 30 represents that there is up to 80% ICT penetration in P-II Division, up to   
 20% in case of CS Division and PM Division, 41-60% in BM Division while 61-80%   
 in both Foreigners and LWE Division.

Figure 31: Obstacles faced in the adoption of ICT Applications

Figure 31 represents that majority of the respondents are of the opinion that   
technical issues, lack of required skills and lack of infrastructure are some of the   
major obstacles faced across the divisions in the adoption of ICT applications

**Figure 32: ICT related security problems faced by divisions**

Figure 32 shows that loss of data, malware attack and other issues contribute to ICT   
 related security problems faced across the divisions.

**3.2Data Analysis (Questionnaire B)**

**Objective of Data Analysis**

Main objective of administering questionnaire B to the officials was to learn about their opinion regarding extent of benefits accruing from ICT implementation and to provide insight into obstacles in terms of KSA (Knowledge, skill and attitude or mindset ) of people in full implementation of e-Office. Statistical Tool SPSS 20 version was used to analyse the collected responses of ICT questionnaire received from all the six selected divisions of MHA**.** The main aim of using this tool was to suggest important factors to be taken care of before implementing e-Office in order to improve the work process efficiency and reduce the workload.

**i) Reliability Analysis: Cronbach Alpha Test**

Cronbach’s alpha is a measure of internal consistency, that is, how closely related a set of items are as a group. It is also considered to be a measure of scale reliability. Cronbach's alpha provides an overall reliability coefficient for a set of variables. In this questionnaire B, 20 variables / items / questions have been taken into consideration. Questions were asked on a 5-point Likert scale from "strongly disagree" to "strongly agree". Result summary is given below:

|  |  |  |
| --- | --- | --- |
| **Table 33: Reliability Statistics Data** | | |
| Cronbach's Alpha | Cronbach's Alpha Based on Standardized Items | N of Items |
| .874 | .878 | 20 |

Result depicts that Cronbach's alpha is **0.874** (value more than .7 is considered good) which indicates a high level of internal consistency for all 20 items.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Table 34: Item Descriptive Statistics** | | | | | | | |
|  | Mean | | Std. Deviation | | | N | |
| VAR00001 | 4.0734 | | .90989 | | | 109 | |
| VAR00002 | 3.0092 | | 1.16663 | | | 109 | |
| VAR00003 | 3.3578 | | .94793 | | | 109 | |
| VAR00004 | 3.0459 | | 1.18153 | | | 109 | |
| VAR00005 | 4.1193 | | .88949 | | | 109 | |
| VAR00006 | 4.0917 | | .78812 | | | 109 | |
| VAR00007 | 4.0642 | | .87427 | | | 109 | |
| VAR00008 | 3.7523 | | .90427 | | | 109 | |
| VAR00009 | 3.6789 | | .96110 | | | 109 | |
| VAR00010 | 3.0734 | | .93992 | | | 109 | |
| VAR00011 | 3.8899 | | .71154 | | | 109 | |
| VAR00012 | 3.5138 | | 1.00568 | | | 109 | |
| VAR00013 | 3.7431 | | .97566 | | | 109 | |
| VAR00014 | 3.7523 | | .92452 | | | 109 | |
| VAR00015 | 3.7339 | | .92938 | | | 109 | |
| VAR00016 | 3.8349 | | .86617 | | | 109 | |
| VAR00017 | 3.8991 | | 1.10508 | | | 109 | |
| VAR00018 | 4.0092 | | .84432 | | | 109 | |
| VAR00019 | 3.3486 | | .99421 | | | 109 | |
| VAR00020 | 3.2569 | | 1.16590 | | | 109 | |
| **Table 35: Variables with Mean values** | | | | | | | | | | | |
|  | | **Mean** | | **Minimum** | **Maximum** | | **Range** | | **Maximum / Minimum** | **Variance** | **N of Items** |
| Item Means | | 3.662 | | 3.009 | 4.119 | | 1.110 | | 1.369 | .134 | 20 |

**Summary Item Statistics**

In above summary the higher the mean value more favorable/ significant is the variable. Hence, var1, var5, var6, var7 and var17 are the most significant out of 20 variables taken into consideration and which needs to be taken care of before implementing e-Office. Brief description of variables is given below:

Var1- Implementation of Information Technology will definitely improve day to day functioning and processes at all levels of administrative hierarchy.

Var5 - Proper implementation of ICT will facilitate fast processing of files and their management.

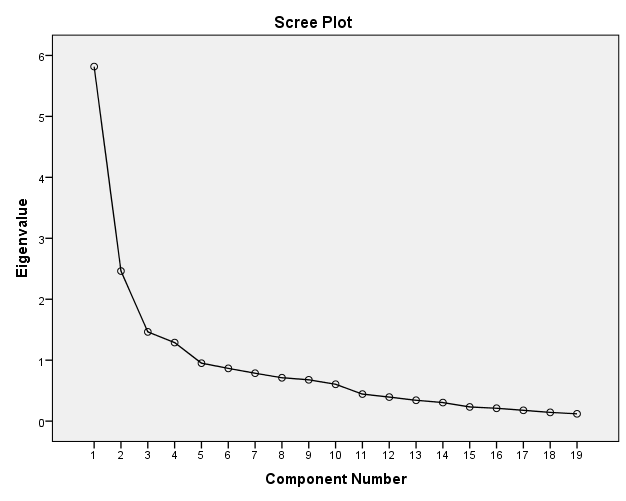
Var6 - ICT is a solution to speed up management and disposal of files.

Var7 - Proper implementation of ICT will improve process efficiencies, reduce error and avoid unnecessary process delays.

Var18 - ICT implementation will establish better coordination between different divisions of MHA.

**ii) Factor Analysis**

Factor analysis involves grouping similar variables into components or dimensions.  This process is used to identify latent variables or constructs.  The purpose of factor analysis is to reduce many individual items into a fewer number of dimensions.  Factor analysis is used to simplify data. For this study Principal Component Analysis was performed to extract important factors.



Factor 5

Factor 2

Factor 3

Factor 4

Factor1

Figure 33: Scree Plot representing Eigen value

Eigen values can be used to decide how many factors to retain. According to the Kaiser criterion (Kaiser, 1960), factors with an eigen value greater than 1 are retained. In above Plot there are five factors whose value is more than 1 and hence, are significant factors.

**iii) KMO and Bartlett’s Test**

KMO and Bartlett's test have been used for the Sampling Adequacy.  Kaiser-Meyer-Olkin Measure of Sampling Adequacy values - 0.90 is considered as marvelous, 0.80 is considered as meritorious, 0.70 is considered as middling, 0.60 is considered as mediocre, 0.50 considered as miserable, and below 0.50 is considered as unacceptable. High values (close to 1.0) generally indicate that a factor analysis may be useful with the given data. If the value is less than 0.50, the results of the factor analysis probably would not be very useful. The value of the KMO Measure of Sampling Adequacy for this set of variables is 0.798 which shows the adequate level of adequacy, hence there is no problem to examine the variables used in the study.

|  |  |  |
| --- | --- | --- |
| **Table 36:** **KMO and Bartlett's Test** | | |
| Kaiser-Meyer-Olkin Measure of Sampling Adequacy. | | .790 |
| Bartlett's Test of Sphericity | Approx. Chi-Square | 1017.436 |
| Df | 190 |
| Sig. | .000 |

In above summaryKMO value is .790, which indicates the sampling is adequate and significance level is .000 which indicates factor analysis is preferred.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Table 37: Factor Analysis Component** **Matrix** | | | | | |
|  | Component | | | | |
| 1 | 2 | 3 | 4 | 5 |
| VAR00001 | .435 | -.274 | .210 | -.225 | .441 |
| VAR00002 | .485 | .695 | -.003 | -.204 | .015 |
| VAR00003 | .427 | .544 | -.208 | -.183 | .338 |
| VAR00004 | .504 | .555 | .248 | -.195 | -.035 |
| VAR00005 | .760 | -.164 | -.132 | -.252 | -.036 |
| VAR00006 | .624 | -.290 | .129 | -.364 | -.187 |
| VAR00007 | .684 | -.087 | -.191 | -.335 | -.142 |
| VAR00008 | .205 | .184 | .527 | -.078 | -.194 |
| VAR00009 | .457 | -.130 | .524 | -.096 | .197 |
| VAR00010 | .219 | .129 | .758 | .156 | -.233 |
| VAR00011 | .443 | -.301 | .238 | .168 | .197 |
| VAR00012 | .497 | -.164 | .111 | .566 | -.181 |
| VAR00013 | .584 | .210 | -.155 | .361 | -.095 |
| VAR00014 | .762 | -.276 | -.166 | -.003 | .062 |
| VAR00015 | .740 | -.218 | -.103 | .049 | .137 |
| VAR00016 | .786 | -.269 | -.057 | .133 | .043 |
| VAR00017 | .643 | .020 | -.265 | .266 | -.396 |
| VAR00018 | .849 | -.033 | -.146 | -.105 | -.162 |
| VAR00019 | .413 | .213 | .018 | .539 | .476 |
| VAR00020 | .324 | .712 | -.080 | .117 | -.035 |

5 components extracted by using Principal component analysis. It shows loading of 20 varibales on 5 extracted factors.

**iv) Factor Analysis: Rotated Component Matrix**

Factors are rotated for better interpretation since un rotated factors are ambiguous. The goal of rotation is to attain an optimal structure which attempts to have each variable load on as few factors as possible but maximize the number of high loading on each variable. These factors can be used as variable for factor analysis.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Table 38: Rotated Method ( Principal Component Analysis)** | | | | | |
|  | Component | | | | |
| 1 | 2 | 3 | 4 | 5 |
| VAR00001 | .331 | .018 | -.076 | .659 | .058 |
| VAR00002 | .215 | .825 | .018 | -.034 | .180 |
| VAR00003 | .166 | .761 | .003 | .188 | -.162 |
| VAR00004 | .226 | .666 | .016 | .058 | .407 |
| VAR00005 | .775 | .173 | .117 | .208 | .014 |
| VAR00006 | .744 | -.035 | -.051 | .171 | .268 |
| VAR00007 | .773 | .210 | .025 | .055 | .004 |
| VAR00008 | .056 | .144 | -.016 | .037 | .610 |
| VAR00009 | .243 | .043 | .042 | .529 | .454 |
| VAR00010 | -.057 | .029 | .181 | .100 | .819 |
| VAR00011 | .247 | -.120 | .300 | .466 | .165 |
| VAR00012 | .218 | -.106 | .726 | .075 | .218 |
| VAR00013 | .283 | .337 | .595 | -.023 | .021 |
| VAR00014 | .688 | .061 | .335 | .305 | -.076 |
| VAR00015 | .593 | .105 | .359 | .365 | -.047 |
| VAR00016 | .626 | .037 | .458 | .330 | .030 |
| VAR00017 | .547 | .152 | .576 | -.240 | .029 |
| VAR00018 | .777 | .272 | .298 | .084 | .082 |
| VAR00019 | -.133 | .356 | .609 | .458 | -.085 |
| VAR00020 | -.014 | .732 | .249 | -.164 | .096 |
| Extraction Method: Principal Component Analysis.  Rotation Method: Varimax with Kaiser Normalization. | | | | | |
| a. Rotation converged in 9 iterations. | | | | | |

Looking at the rotated factor matrix, the first rotated factor is highly correlated with the following variables (values above 0 .5) With the factor analysis five factors have been identified which are important to be taken care of before implementing ICT in order to improve the process efficiency and reduce the workload. Following five factors have been extracted based on above rotated component matrix table:

.

**Component 1**

**Factor 1: ICT will enhance process efficiency; reduce error and interoperability with the support of intelligent tools** **to achieve set goals.**

|  |  |
| --- | --- |
| Proper Implementation of ICT will facilitate fast processing of files  VAR00005 | .775 |
| ICT will speed up management and disposal of files.  VAR00006 | .744 |
| Proper implementation of ICT will improve process efficiencies, reduce errors & avoid delays  VAR00007 | .773 |
| ICT will be able to address many times procedural delays pertaining to workload and work processes.  VAR00014 | .688 |
| ICT will enable interoperability between different work processes.  VAR00015 | .593 |
| Adopting more ICT tools will facilitate in achieving set goals in a stipulated time .  VAR00016 | .626 |
| Internal search engine for MHA will help all the divisions to seek any information. VAR00017 | .547 |
| ICT implementation will establish better coordination between different divisions of  MHA.VAR000018 | .777 |

**Component 2**

|  |  |  |
| --- | --- | --- |
| All the users are skilled to use ICT application in their routine procedural work.  VAR00002 |  | ..825 |
| Requirement of competent people at all levels.  VAR00020 |  | .732 |
| Readiness of employees to accept new ICT application..VAR00003 |  | .761 |
| Availability of technical support to use ICT in work processes.  VAR00004 |  | .666 |

**Factor 2: Enough competent people required along with people readiness and technical support**

**Component 3**

|  |  |
| --- | --- |
| Resistance for doing away with physical files will mainly come from the senior level in the hierarchy.  VAR00012 | .726 |
| ICT will increase 50 % of current efficiency and effectiveness of the division.  VAR00013 | .595 |
| Internal search engine for MHA will help all the divisions to seek any information about and from other divisions.  VAR00017 | .576 |
| Need to change the legal acts pertaining to the division in order to make the systems and processes more efficient. VAR00019 | .609 |

**Factor 3: To improve efficiency at all levels, internal search engine required with right procedural /legal acts.**

**Component 4**

|  |  |
| --- | --- |
| Implementing ICT will be helpful in automating day-to-day functions and processes at all level of administrative hierarchy.  VAR00001 | .659  **Factor 4: ICT implementation will automate routine work and replace physical files.** |
| Possiblity of doing away with 80% of physical files by proper use of ICT.  VAR00009 | .529 |

**Component 5**

|  |  |
| --- | --- |
| Extent of use of emails for official communication  VAR0008 | .610  **Factor 5: If resistance is overcome, ICT will enhance coordination between divisions** |
| Some people may resist doing away with physical files because of some vested interests.  VAR00010 | .819 |

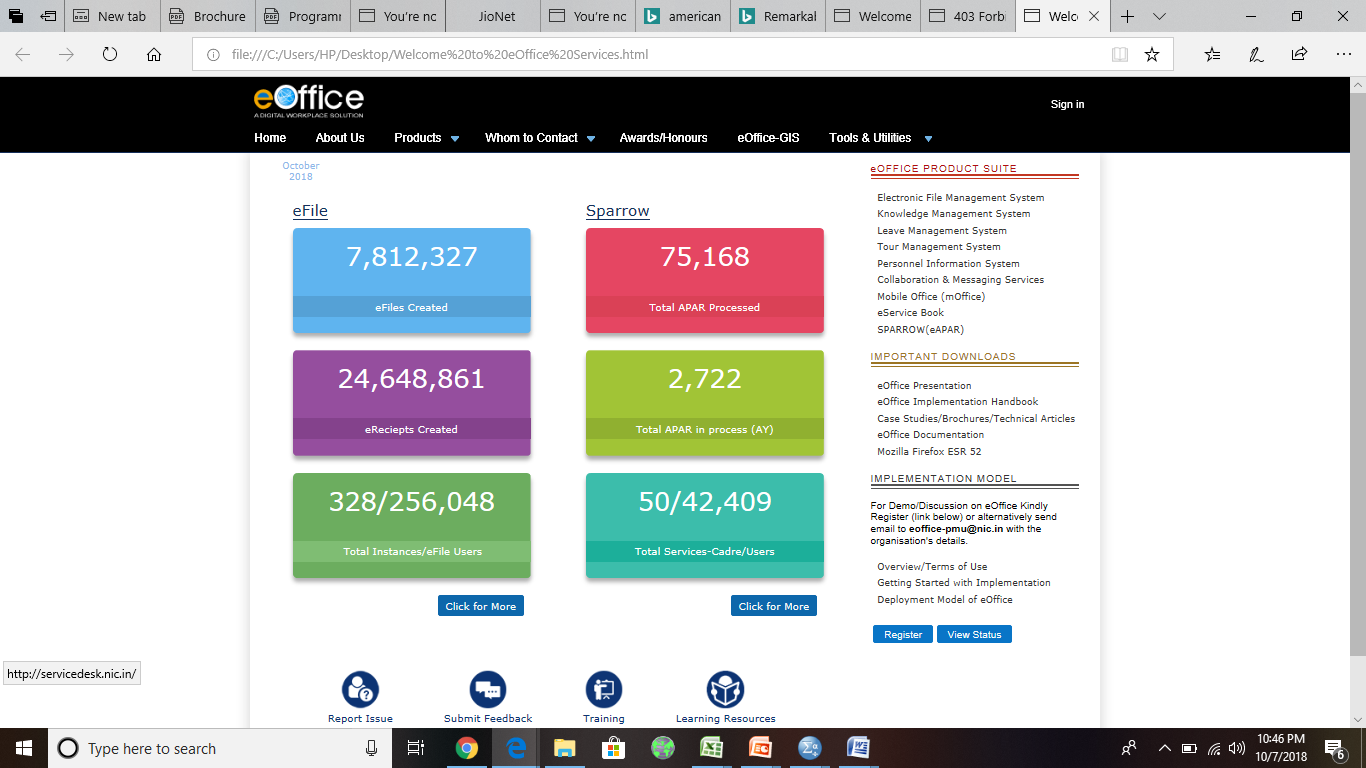
**ICT Implementation Structural Model to Improve functioning of MHA**

Figure 34: ICT Model

**3.3 e-Office acceptability across all divisions of MHA**

e-Office developed by NIC is used by the divisions of MHA but there are hurdles in acceptability of e-Office in all divisions of MHA.

**Snapshot of e-Office developed by NIC**



**Features of e-Office**

Following features are offered in e- Office:

* Electronic File Management System
* Knowledge Management System
* Leave Management System
* Tour Management System
* Personnel Information System
* Collaboration & Messaging Services
* Mobile Office (m-Office)
* eService Book
* SPARROW(eAPAR) Smart Performance Appraisal Report Recording Online Window (SPARROW)

Although e-Office has lots of functionality, it is observed that it is partially functional in few divisions of MHA with limited functionality. If e-Office is fully exploited and used for routine office work it will enhance work efficiency and bring transparency. Therefore, it is important to reinforce e-Office usage in all divisions.

* **Bottlenecks in the implementation and acceptability of ICT tools in MHA**

Following are some of the challenges in the implementation and acceptability of ICT applications in MHA:

* Well defined monitoring and governance structure is not in place to ensure ICT usage in all divisions of MHA.
* Support from higher-ups in terms of encouragement and reinforcement of use of ICT tools in day to day routine work is not available.
* There is fear of unknown and uncertainty among officials regarding usage of ICT applications.
* Lack of required skill set among officials such as basic knowledge of computer: MS Office, e-Office, external browsing etc.
* Lack of pre-requisite infrastructure support like requisite hardware and network bandwidth for smooth functioning of ICT tools in all divisions.
* Technical staff like data entry operators who are required to assist senior officials in routine ICT enabled tasks are not avaialble.
* Prompt support from NIC technical staff and training unit is not available round the clock resulting in demotivation of staff to use ICT in their routine work.
* There is no provision to address malware attacks and data loss.
* Regular review and assessment on ICT usage in all divisions of MHA is not carried out.
* There is no separate capacity building unit regarding ICT in all divisions of MHA.
* Integration of e-Office with other Business Intelligence Support System, knowledge management system and collaboration tools is missing.
* **Roadmap or Strategies for successful implementation of e-Office in MHA**

Major hurdles in the successful implementation and usage of e-Office is mindset of officials and its overall acceptability by them. A roadmap or strategy (five important pillars) is proposed for e-Office acceptability and usage across all divisions of MHA. These strategies would help minimizing resistance to change at individual, group and organizational levels.

**Communication**

* Adequate communication is needed to reduce uncertainty and fear of unknown.
* Encourage and communicate benefits of e-Office to officials at all levels.
* Regress communication and reinforcement on e-Office usage in routine work at all levels

**Capability Building**

* All e-Office users need to have basic knowledge of computer and internet browsing skill sets.
* A central call centre should be set up for getting technical clarifications pertaining to product usage.
* Capacity building unit can be set up in all divisions of MHA for smooth training and also facilitate in day to day routine work of e-Office.

**Rewards**

* Special rewards to employees using e-Office in routine.

**Support**

* Requisite infrastructure and network bandwidth should be made available in all divisions for smooth functioning of e-Office.
* For initial hiccups few data entry people may be hired on contract basis for support.
* Senior officers may be provided with technical staff that can assist in e-Office usage.
* More and more technical assistants may be hired and associated with divisions for smooth transition of physical files to digital records.

**Monitoring**

* To ensure an effective implementation of e-Office, it must be driven and monitored by a well-defined governance structure.
* Review of e-Office functionality as per current requirements and expectations.
* Regular review and analysis of usage of e-Office application.
* Integration of e-Office needed with knowledge management system (KMS), artificial intelligence based BOT systems, smart collaboration tools like talk me meeting tool and with other business intelligence support system for better decision making capability across MHA.

# CHAPTER IX

# Conclusion and Recommendations

Based on the discussions with Joint Secretaries and other officials in Foreigners Division, Police Modernisation Division, LWE Division, Border Management-I Division, Centre State Division and Police-II Division and observations of the study team, following are the brief recommendations in four priority areas. The recommendations would infuse better synergy, optimize the span of control and consequently reduce delays in decision making.

**1.Recommendations related to** **Work Processes**

* Decentralization and Delegation by redefining file movement levels
* Measures for Faster Decision-Making
* Training of Officers to ensure availability of quality manpower

**Figure 35: Work processes related recommendations**

1. **Recommendations related to Workload**

* Enhance Manpower Strength
* Workload and Manpower Assessment
* Clear Demarcation of Roles and Responsibilities between MHA Divisions and States

**Figure 36: Workload related recommendations**

1. **Recommendations related to** **ICT**

* Pro-active ICT application and usage
* Use of Decision Support System
* Create Knowledge Management System to maintain Institutional Memory
* Creation of Search Engine of MHA
* Knowledge Sharing Sessions between the Existing and Incumbent Officers
* Regular updating of website of MHA
* Use of e- File Management System for retrieval of data and files
* Use of Social Media for Perception Management

Figure 37: ICT related recommendations

1. **General Recommendations**

* Locate the entire MHA (all Divisions) in one building with proper work space
* Use of Key Performance Indicators
* Shift focus of MHA Divisions from Routine functions to Value Addition or Policy Making
* Stability of Tenure
* Establishing MHA’s own Training Institute
* Introduction of new systems and policies
* Handling of inter-division matters by a Joint Consultative Committee
* Strengthen IFD

Figure 38: General Recommendations

**5.Detailed Recommendations**

The detailed description of conclusion and recommendations is given below:

* **Recommendations related to Work Processes**

During the study of files, it was found that the number of levels through which files pass are too many, which lead to delay in decision-making. As is evident from channel of submission, vertical structure allows examination of issues at many levels but makes work processes inefficient eventually resulting in unnecessary delays. Therefore, recommendations to make work processes more efficient are given below:

* **Decentralisation and Delegation of tasks by redefining file movement levels**

In order to rationalize the lengthy channels of submission and final level of disposal of files across various divisions, it is critical to define the level of initiation, and the final level of disposal of files. It has been found that initiation of some issues such as policy matters etc at some levels is irrelevant as these levels do not contribute to decision-making process. There is a need to eliminate irrelevant levels which don’t add value to decision-making therefore these levels must be done away with. In this case, decentralization and delegation of work can really help senior officials in managing things better even with shorter channel of submission. Decentralisation and delegation of work should take place in accordance with nature and confidentiality of files and references. An assessment can be undertaken to review the importance of different types of files to see as to what kind of routine matters can be delegated from Joint Secretary to Director level. It is important to see at which level the channel of submission can be shortened and file can be disposed of without being moved further below.

In view of the above, it is suggested that a **model** **timeline for disposal of file at each level should be framed** (for Joint Secretary, Deputy Secretary, Under Secretary and Section Officer) essentially keeping the nature of file in mind. Referring to the channel of submission, different timelines could be worked out for matters of varying degree of importance. Longer though reasonable timelines could be put in place for matters of critical nature, policy issues and those that require coordination with external agencies whereas shorter and stricter timelines could be fixed for matters of routine / administrative nature.

In order to enhance the efficiency and optimize the process of file movement, it is important to keep the channel of submission shorter and limited to three levels in cases pertaining to routine matters which do not involve policy formulation or matters of critical nature.

It was brought to the attention of the Study team that over the years, the contribution at the level of Assistant Section Officer / Section Officer has not been very satisfactory and has been less than required. Their role has largely become limited to organizing data and gathering information. Hence, matters pertaining to decision-making, policy formulation and other critical matters should be initiated at the Under Secretary level and not below that. Moreover, such files cannot be effectively dealt with at the level of Assistant Section Officer / Section Officer. Hence, they should not move below a certain level (e.g. Under Secretary Level) and similarly these types of files can be disposed of at a higher level in the hierarchy. Matters that can be disposed of at Under Secretary / Deputy Secretary level need not move any further up the hierarchy and similarly important matters need not go below a certain level (say Under Secretary or Director Level). This will save time and make file processing more efficient.

In essence, number of levels should be reduced from four to three (based on nature of file and type of decision). It should also be made sure that for any decision the number of levels for file movement should not exceed five. The number of levels should be tailor made to match the requirements of that particular division. The level of initiation of files such as VIP references may be raised from ASO to a higher level since these files are usually disposed of at MoS / HM/ other higher levels.

**Models to shorten the channel of submission**

In view of the recommendations made under this head, the Study team proposes that the following models can be adopted in the divisions, by reducing the number of levels currently prevalent with regard to work flow with an objective to cut delays and to ensure speedier disposal of matters, depending upon the nature and importance of files and references:

1. **ASO US DS / DIR JS HS**
2. **SO US DS JS HS**
3. **ASO US DS JS AS HS**
4. **SO US DS JS SS HS**

The aforesaid models are proposed on the following premise:

1. If a division has both Assistant Section Officer and Section Officer, the files and references need not go through both the desks.
2. If the Ministry has officers of both Additional Secretary and Special Secretary level, some of the files and matters may go through the Additional Secretary to Home Secretary, without routing to the Special Secretary; whereas some other matters and files can be submitted by Joint Secretary of the division directly to the Special Secretary without routing through Additional Secretary.

* **Measures for Faster Decision-Making**

In cases where urgent decisions have to be taken on important matters, **internal discussions** could be held among the Joint Secretary, F&A and Director/Deputy-Secretary to expedite the matter. Secretary could also intervene and **hold** **weekly meetings** if required with AS/ FA / Joint Secretary. Thus, disposal of files can be expedited through **robust intra-division interactions** and coordination.

It was also observed that considerable time of officers at DS/ Director and US level is spent on files where senior officers direct these officials to discuss the matter. Hence, it is recommended that **a particular time slot can be identified every day by JS wherein he can call DS/Director, US, SO simultaneously** (rather than calling each officer separately and frequently) in order to clarify the matter. DS/ Director and US can then throw more light on the issue by adding their insights or perspectives whereas ASO/ SO can clarify the issue verbally in case of any confusion since they have all the collected information. This would help in fast disposal of files.

From the data gathered on the amount of time spent in attending meetings, telephone calls and commuting from one division to another, it was found that a Director spends approximately 15 hours in attending meetings in a month. On the other hand, an ASO spends 24 hours. As far as the number of telephone calls received are concerned, on an average at every level, around 25-30 calls are attended to each day. Steps can be taken to minimize the total time spent on attending many meetings in different divisions that may cut into the daily working hours and may contribute in increasing the workload, thereby exceeding the actual time spent on the job than the total expected time. To handle the given issue, **interactive technologies such as video conferencing, teleconferencing, FaceTime or Skype could be used** as these do not require physical human interaction and thus help saving the time consumed in commuting. Steps could also be taken for **rationalization of meetings such as setting a time limit, making meetings as brief as possible as well as defining the agenda clearly.**

During discussions, Section Officers expressed the need to have laptops to ensure smooth and timely disposal of work.

* **Training of Officers to ensure availability of Quality Manpower**

The staff has to be efficient and of high quality in work related to examination, record keeping, case processing for policy decisions as they are responsible for feeding the right and processed information to the higher ups which is needed for effective decision making. Requisite measures need to be taken to enhance the efficiency of the manpower available in the divisions given that the additional time spent on the job at various levels ranges from 8-24 hours weekly. In this regard, **training of the staff at periodic intervals becomes critical**.

It has been observed that at times the newly posted staff takes weeks and sometimes months to understand the functioning of the division which has a direct bearing on the overall productivity of the division. Different officials at different levels have mentioned the dire need to undergo induction training. A brief training of two to three weeks should be imparted to all the officials and staff before being posted to MHA in order to sensitize them to the nature of work undertaken by the concerned Division/Ministry. This will help in improving the efficiency and effectiveness of the personnel. Training should be imparted in leading national institutions. Keeping in view huge spectrum of work handled by MHA, it is necessary that new and relevant areas for training should also be identified.

* **Recommendations related to workload**

The Study team has found that in every division there are certain heavy workload segments which may cause delays in disposal of matters because of mismatch with the manpower strength available for their handling. The Foreigners Division generally deals with more than fifty thousand files; Police-II Division deals with more than six thousand court cases; Centre State Division deals with more than thirty eight thousand public grievance matters, around nine hundred parliament questions and more than three thousand RTI applications; Border Management Division gets around ten thousand references and Police Modernisation Division deals with almost nine thousand references. In order to address the workload issues of divisions, following measures are suggested:

* **Enhance Manpower Strength**

Some of the divisions studied are understaffed. During the discussions the officials stated that the workload and working hours in the divisions of Ministry of Home Affairs are comparatively much higher than other ministries owing to the sensitive and significant work concerning the national security. Officers may hesitate in joining MHA if other options are available. Keeping in view the heavy workload and extra hours put in by the officials on the job, it can be stated that there is shortage of manpower in majority of the studied divisions of the Ministry of Home Affairs (MHA). There is a shortage of manpower at the levels of Assistants, Section Officers and Under Secretaries creating difficulties in handling the volumes of work. Therefore, the need of the hour is to increase intake of more people for smooth functioning of the divisions. The vacant posts should be filled up urgently for strengthening manpower support in the divisions and for their effective functioning.

There are divisions such as foreigners division where citizen interface is very high. Being a citizen centric division the number of services provided to the customers are also manifold. Therefore, in order to be responsive to the customers it is crucial to have more manpower who can handle and examine issues involving many facets from multiple perspectives. The staff strength to deal with such heavy workload segments should be commensurate with the quantum of workload. Manpower allocation to the divisions should be on the basis of nature, type and significance of work. Selection of staff should be strictly based on merit rather than availability. Moreover, well trained and qualified staff should be posted in such heavy workload segments.

* **Workload and Manpower Assessment**

There is a need for rationalization of allocation of work in the studied divisions, based on actual workload and functional requirements. The quantum of workload for the same nature of work and matter varies substantially in different divisions. Therefore, the assessment of the workload should be done keeping in mind the number of files dealt by the division as also the references, parliament questions, court cases, contempt cases, RTI matters and public grievances received in the division. In order to ensure optimal performance at every level, it is essential to gauge the amount of work being handled at each level and assess whether it is in consonance with the sanctioned strength or if there is any requirement for additional staff. Therefore, a periodic workload and manpower audit or manpower strength assessment is recommended. Such periodic assessment need to take place quarterly which would help in rationalization of sanctioned and current strength of staff.

MHA needs to evaluate its requirement at various levels through scientific work study and get officers of Central Secretariat Service (CSS) or any other Service rather than having personnel from Central Armed Police Forces.

* **Clear demarcation of Roles and Responsibilities between MHA Divisions and States**

The allocation of work among different divisions and States needs to be revisited. A more integrated approach focusing on better inter-divisional and Division-State coordination is required. It has been observed that different divisions work in silos which inhibits the divisions to look at an issue from broad perspective. Issues of prime importance should be dealt in an integrated and holistic manner. It has also been observed that the divisions are dealing with large volumes of routine work which may pertain to States as well, due to which senior officials are unable to focus on policy matters. There should be clear allocation and demarcation of roles and responsibilities among MHA, State and Local Government. The activities which can be carried out at field level within the jurisdiction can be given to State or Local Government. State capacity building is important and it is very much required that States take lead for handling issues related to security and development. There is a need to empower the capacity of State Governments which will yield effective results.

* **Recommendations related to ICT**
* **Pro-active ICT application and usage**

Maximum use of technology can improve the work processes and ease the work load. Computerization / automation of existing processes through IT in addition to full implementation of e-Office is highly recommended. Full implementation of e-Office and computerization would to ease the official functioning and ensure easy access to any past information. RTIs and receipts etc which are of similar nature can be standardised. A specific system can be developed where work is of routine nature/repetitive type. Over a period of time use of technology will become cost effective as well.

Ministry of Home Affairs may set timelines for implementation of e-Office in all divisions and in the Ministry as a whole. In order to ensure expeditious implementation of e-Office, it is also suggested that while NIC may install and maintain the e-Office system where confidentiality and secrecy is involved, however in other non-confidential and routine matter, services of leading private sector players can be engaged by following prescribed procedure. MHA should also explore the possibility of engaging IT and digital technology experts to remain updated with the latest technology.

It is also recommended that MHA being a large Ministry should have an IT centre of its own with state-of-the-art infrastructure, latest technology and well-trained and competent IT manpower. The proposed centre should be headed by an officer of the level of Joint Secretary.

Divisions need to carry out work of coordination as well wherein reports are needed to be compiled. However, coordination can be better managed if processes are automated. In this regard, **customized application of Information Technology** can help in automating the processes. Use of technology will greatly reduce the increasing burden of creation of additional manpower for security functions and would allow the Government to utilize the existing manpower in a more effective and efficient manner. It would also greatly enhance the operational efficiency of the personnel, reduce unnecessary fatigue at every level, reduce unnecessary expenditure on travel and significantly improve the speed of work/ operation/ administration. The Study team recommends **“lateral entry” of experts** related to IT and digital technology to ensure successful IT penetration in the day to day work of the divisions and the Ministry.

* **Use of Decision Support System (DSS)**

Decision Support System (DSS) which makes use of Business Intelligence tools can help senior officials in overcoming all the bottlenecks pertaining to inefficient work processes and excess workload. DSS converts raw data into actionable intelligence. It allowsinteractivity through dashboard, data visualization, database connection, mobile business intelligence, predictive analytics and application integration thereby, helping officials in taking intelligent decisions on a real time basis. The high-end algorithms and historical data can assist in making predictions about certain issues pertaining to court cases, public grievances and policy matters.

* **Create Knowledge Management System to maintain Institutional Memory**

Keeping in view the frequent postings and transfer of manpower in and out of the Ministry, it is recommended to have a system of institutional memory in place. The lack of institutional memory has impacted the efficiency of the divisions over the years. It has also resulted in the lack of domain knowledge among the staff. In order to overcome the challenge of institutional memory, a **knowledge repository** needs to be put in place. If possible, there must be continuity in workforce, and **frequent transfers should be avoided** in order to make better use of tacit knowledge of existing officers. In this regard, an **electronic database could be created** having a collection of facts, concepts, experiences, knowledge and past decisions taken. These could then be used as precedents for any future actions involving decision-making of a similar nature. These stored digitised decisions can be used as precedents for further decisions, if required.

* **Knowledge Sharing Sessions (KSS) between the Existing and Incumbent Officers**

Knowledge management in Central Government offices is not adequate. After receiving transfer orders, officers leave their place of posting without any experience and knowledge sharing. All the tacit knowledge goes with the officer leaving the desk as no record of his experience or knowledge is available. Moreover, institutional memory which is in the form of files also suffers a blow due to ignorance of officers about divisional issues at section level, as each officer has to struggle to learn the new work of that particular division in his new posting. As a result of it, organisation suffers heavily on account of lack of catching up of intangible knowledge/experience sharing. Therefore, at each level there should be institutionalised system **of knowledge & experience sharing at the time of handing over and taking over of charge** by the existing and incumbent officer respectively. KSS should be made a regular feature (quarterly )in the division which would also help instilling a learning culture in the divisions.

* **Use of e- File Management System for retrieval of data and files**

It is seen that retrieval of files is an issue faced across most divisions. To ensure proper maintenance of records that can be easily retrieved at a later date or whenever required, there is a need for a proper “e-File Management System”. This will eliminate dependency on physical files/documents that are susceptible to get misplaced and frequently move from one desk to another consuming a lot of time if required to be brought back when needed in future.

There are many cases which are going on for years together. On account of time gap, the important files get destroyed / weeded out. There is no staff to search the old files either. Hence, one has to depend on whatever facts are available. If all the documents are converted into soft form by introducing **e-file management system**, the documents and files will become trackable and the system will become more efficient. All the documentation in the soft copy can be done at back end by way of scanning the documents. Scanners can have such software which can read and catch phrases. For this purpose big servers are needed. The work of data feeding can be outsourced instead of engaging Under Secretary for this routine work.

* **Creation of Search Engine of MHA**

The Study team recommends the creation of one search engine for all the divisions of MHA. This will help accessing all the past data of different divisions by using certain key words. All important decisions can be uploaded in an application. Therefore, information can be easily retrieved and requisite details can be culled out from search engine at the click of a mouse. Study of files in divisions indicated that for many RTI related queries, files are transferred/ sent to other divisions, if the officials feel that the concerned matter is not in their jurisdiction or the division lacks the requisite information to answer the query. In such cases, search engine will help in multiple ways as the concerned division can extract the desired information from the search engine and can send the reply to RTI query. This will help in reducing the unnecessary time spent by the officials in movement of RTI related files.

* **General Recommendations**
* **Shift focus of MHA Divisions from Routine Operational Functions to Strategic Policy Making**

Divisions should focus more on policy making functions rather than handling day to day operational work related to **legal and financial services can be outsourced to agencies** empanelled by the Government of India in that particular area. It was observed that many a times legal and finance related operational tasks consume lot of time on account of lack of competent people to handle specific technical issues. Therefore, this work can be outsourced to government agencies / private sector which in turn would result in better public services through improved operational efficiency.

* **Stability of Tenure**

Steps should be taken to maintain stability in the tenure of workforce and frequent transfers need to be avoided. Transfer shall only take place after an official has spent 4-5 years on a desk. Exceptions could be made on health grounds and in case of matters involving disciplinary actions. This will ensure continuity and better grasp of work at each level. DoPT works on policy of rotational transfers. At the level of dealing hand frequent transfers are understandable but beyond that level it should be avoided as it may hamper the functioning and efficiency of the Division and the Ministry. This also creates issue related to lack of institutional memory to support the newcomer in his / her work.

* **Use of Key Performance Indicators**

It is proposed to use Key Performance Indicators (KPIs) to evaluate and rate the performance of the work force. A system of assessing and rating the performance of officials based on parameter of timely disposal and pendency of matters could also be put in place. In order to assess the status of pendency of files at every level, a **pendency chart** can be made and submitted to the Joint Secretary every Monday. Subsequently, a **Review and Co-ordination meeting** could be held every Tuesday to review the reasons for pendency and for ensuring that timelines are adhered to as well as for discussing key issues.

* **Regular updating of website of MHA**

Considering that a website acts as an interface between public and the government, it is crucial to regularly update the website of MHA by a team. **A dedicated and trained team** must deal with the website of MHA. This team should not only have people with technical expertise but also have people with needed knowledge of MHA. This problem was shared by some officials with the Study team that despite informing the team who is responsible for handling MHA website about the latest changes in the division, these do not get updated on account of lack of requisite domain skill of the said team about MHA.

* **Introduction of new system and policies for manpower**

Human resource is the most valuable asset of any organisation. They are considered as creative capital or intellectual capital responsible for the success of the organization. It is the human resource which exploits other resources in the organisation to achieve organisational objectives. The aim of the Human Resource Management is to get the best out of ‘P element’ i.e. people of the organisation. There are some loopholes in some of its sub-systems. Most important subsystem which can be improved upon is reward and punishment system. What distinguishes one organisation from the other is the level of motivation of its employees. Right incentive system has the power to motivate the employees. Therefore, MHA should introduce / offer some reasonable incentives for the officials as it is a key Ministry. The incentives could be:

1. Some percentage (10 to 30 %) of special pay for outstanding performance
2. Priority in housing for ensuring 24X7 availability
3. Transport facility for long and irregular working hours
4. Free Wi-Fi for workplace and residences
5. Laptops to every staff member at the level of SO and above.

Periodic surveys should be conducted to assess ‘Employee Engagement’ of the officers and staff members. Some work-life balance measures should also be introduced. These could be:

1. Conducting wellness and meditation camps
2. Counseling or mentoring of the employees
3. Gym facilities within the office

The aforementioned measures would not only increase the productivity of the people but also help attracting the competent people. Thus, the inducted talent would be able to handle the workload and ensuing challenges in an effective manner.

During the discussions it was found that there is **lack of a stringent system which can deter the non–performers**. This results in lackadaisical attitude amongst a section of non-performing and inefficient staff. Therefore, some effective measures need to be devised to handle such non- performers.

* **Establishing MHA’s own Training Institute**

In order to groom and prepare people for handling the emerging challenges, it is imperative to impart training to them. For this purpose a separate institute for the Ministry needs to be created. It would draw the best experts in diverse areas which are of paramount national importance such as internal security, law and order, terrorism, insurgency, naxalism, internal and cross border crimes, conflict management, policing, human trafficking, security related technologies, cyber crimes, cyber forensics, social media and media management etc**. International experts** from academia, police, defense and administrative services **can also be called for sharing their best practices** which can then be emulated by all. Experienced faculty can also throw light on several international dimensions of the said issues along with international best practices being followed by other countries.

* **Use of Social Media for Perception Management**

Social media has emerged as a powerful medium to communicate expectations of the government to the public and back. It may thereby, help in better governance. MHA and some of its divisions (especially those which are dealing with issues related to law & order, insurgency and terrorism) should also make use of social media to deal with law and order and internal security challenges in a more effective manner. The use of social media would help MHA to deal with such situations in a proactive manner rather than responding to them reactively. Following sites such as Twitter, Facebook, Google+, Tumblr, Youtube, Quora and Change can help government to assess and tap the sentiments / opinions/ feelings/ grievances / petitions of public at large. Appropriate steps can then be taken to resolve and respond proactively to any unrest or any untoward situation. A separate **Social Media Cell** can be created for perception management of MHA or Government or s**ervices of National Intelligence Grid (NATGRID) can also be used for the same, if feasible**. The said cell or NATGRID can regularly conduct sentiment and trend analysis on social media sites and provide significant inputs to MHA.

* **Handling of Inter-Division matters by a Joint Consultative Committee**

There are some critical policy matters involving inter-division consultation where immediate decisions need to be taken. Such type of cases could be taken up through specific joint consultative committee having JS & DS / Director level officials from concerned divisions. This committee can take decisions in one or two meetings as per predetermined timeline. This would cut short the back and forth movement of files from one division to another and would exponentially save time by minimising the queries and counter queries.

* **Strengthen IFD**

There are many cases or issues where financial approval or concurrence is needed from IFD. Officials mentioned that back and forth movement of files to IFD leads to delay in those cases on account of queries raised by IFD. On discussion with IFD, it was discovered that highest level of officer in IFD is Director who is working beyond a specified time by putting extra hours on a daily basis to sort out the cases. A need was felt to have a JS level officer to head the division which would help in getting a different perspective of the situation and cross checking of issues. Officials from IA&AS should be posted in this division since they are competent in handling finance related cases on account of their strong domain knowledge.

* **Locate the entire MHA (all divisions) in one building with proper work space**

Work environment impacts mood, drive and performance. As a result, a conducive work environment is extremely necessary to ensure utmost productivity. Ample work space, well lit room, proper air conditioning, comfortable desks equipped with desktop/laptop with freedom to customize their area are some of the pre-requisites for a well-functioning work environment.

Currently, the work space is crowded and there is no proper seating arrangement for some of the officials. Space is less as compared to volume of records handled by MHA. It was also found that at every level, on an average 25-30 minutes are spent in commuting from one division to another. Hence, officers/staff waste considerable time due to frequent commuting from one division to another for various meetings and coordination related issues. The reason being MHA does not have one building housing all the divisions together. In the Management and Public Administration there is huge volume of literature on why one location of any organisation is important. Therefore, MHA needs to have a single premise and building in which not only all its divisions but also its all attached offices located in Delhi / NCR should be accommodated.

This campus should have a proper state of the art office equipped with all the latest and modern amenities with all its divisions in one place/campus. A “**National Control Room**” should also be located in the premise to monitor and control all the activities related to internal security of the country. **Inputs and help from ISRO can also be sought for establishing a satellite room in this office** which would help all the divisions in getting any information about any part of the country on a real time basis. This will help different divisions / departments in MHA in communicating, connecting and coordinating better with each other.

The aforementioned conclusions and recommendations can be depicted in the following diagram:

Figure 39: Overall Recommendations