

Performance Audit on Implementation of Passport Seva Project



Report of the
Comptroller and Auditor General of India
Union Government (Civil)
Report No. 7 of 2016
(Performance Audit)

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on
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Preface

The issue of passports to citizens is the sovereign function of the Ministry of External Affairs (Ministry). Passport Seva Project (PSP) is a Mission Mode Project undertaken on Public Private Partnership as part of the National e-Governance Plan. The PSP was aimed to deliver all passport related services to the citizens in a timely, transparent, accessible, reliable manner and in a comfortable environment.

This all India performance audit assesses the level of services provided at the national level specifically related to the citizen-centric services rendered by the Ministry. Despite many quantitative and qualitative improvements in the delivery of passport services, there were shortfalls which needed to be addressed by the Ministry. There were considerable delays in getting appointments at Passport Seva Kendras (PSKs), delay in police verification process and pendency at the postal and printing stages. The Report also brings out inconsistencies in clauses of Master Service Agreement, weak project governance structure, deviations in SLA metrics with unjustified changes and overall weak monitoring, due to which normal and tatkaal passports could not be issued within the targeted time-frame.

This Report is prepared for submission to the President under Article 151 of the Constitution of India.

The audit has been conducted in conformity with the auditing standards issued by the Comptroller and Auditor General of India.

Executive Summary

Why did we select this subject for Audit?

The Consular, Passport and Visa Division of the Ministry provide the passport services through Central Passport Organization (CPO) covering a network of 37 Regional Passport Offices (RPOs). The Ministry reformed the passport issuance system by introducing a Mission Mode Project i.e., Passport Seva Project (PSP) under the National e-Governance Plan. The benefits to the citizens were defined service levels, closer and larger number of access points for services, availability of a portfolio of on-line services with real-time status tracking and enquiry including payment of fee online, an effective system of grievance redressal and a strict adherence to the 'First in – First Out' principle in rendering services. The new PSP involved outsourcing of front-end activities to a Service Provider (SP) and back-end activities like verification of documents and granting of passports by the Ministry. For implementing the project, a Master Service Agreement (MSA) was signed with the Service Provider in July 2008. After doing pilot launch in Bengaluru and Chandigarh, the Project was declared Go-live in June 2012. The CPO management was also expected to exercise effective control on all parts and activities of the organisation through a comprehensive Management Information System.

In view of reforms in the issue of passports by introducing the new PSP, we decided to conduct this audit. The focus of this audit is on the areas affecting citizen services in the issue of passports and the service levels fulfilled by the SP.

The period of coverage of this performance audit was from the inception of the project in June 2012 to August 2015.

What were our audit objectives?

The objectives of the performance audit were to verify whether:

- (i) passport related services were delivered to the citizens within the prescribed time;
- (ii) comfortable and transparent environment for passport related services was available to the citizens;

- (iii) implementation of the master services agreement and related governance structure was efficient and effective.

What did our performance audit reveal?

Chapter-I provides information on PSP and our audit approach and methodology. Chapter-II provides audit findings with respect to time taken for issue of passports. Chapter-III provides audit findings with respect to citizen services. Chapter-IV deals with audit findings on the issues of implementation of the master service agreement and Governance Structure. The important findings of the performance audit are given below:

Time for Passport Issuance

There are various steps involved in the process of obtaining Passport such as getting online appointment, visiting a Passport Seva Kendra (PSK), police verification, printing and dispatch. We observed delays at all stages of the process which are enumerated below:

- The appointment given to persons seeking issue of passport ranged from 1 to 68 days. The waiting period for giving an appointment ranged from 0-3 days in 38 PSKs, 3-10 days in 12 PSKs, 11-30 days in 17 PSKs and more than 30 days in 12 PSKs. The average time taken for police verification process was 42 days at national level in 2014 against the prescribed ceiling of 21 days. Age-wise analysis of pending Police Verification Reports (PVRs) showed that as on 31 August 2015, out of total pending PVRs, 48 *per cent* were pending for more than the prescribed limit of 21 days. In seven States/UTs pendency of more than 100 days were noticed in clearance of police verification reports. The printing of passports contributed to further delays. In few Regional Passport Offices (RPOs) pendency in printing ranged from three to eight days.
- The final step in the passport application process is the delivery of passport to the applicant by the postal department. The Ministry did not have status of delivery for 27.38 lakh dispatched passports.
- Further, the analysis of data provided by Tata Consultancy Services (TCS) revealed that average time taken in 2014 to obtain passport in India was 16 days as compared to 9 days in 2013 and only 21 *per cent* of passports

under normal category were issued within the prescribed period of three working days. In respect of RPO Delhi, the average time taken in obtaining passport was 52 days (including waiting period of getting appointment and police verification time). This was far in excess of the prescribed time limit of 24 days.

Citizen Services

We noted that waiting time of applicant in the PSK seeking issue of passport was more than one hour while average time taken by the citizen in the PSK was 78 minutes against the prescribed time limit of 25 minutes (from token issue time to exit time) in four PSKs under RPO Delhi leading to overcrowding inside the PSKs.

As per data provided by the Ministry, 25 *per cent* of total grievances received remained unattended till the end of the year. The age wise analysis of pending grievances revealed that 41 *per cent* of grievances were more than 60 days old which showed slow pace of redressal of grievances.

No refund option is provided to the applicants in PSP which resulted in collection of ₹ 78.46 crore from 5,42,168 applicants during October 2013 to December 2014, who finally did not turn up for appointments.

Implementation of Master Service Agreement and Governance Structure

A Master Service Agreement (MSA) was signed between Ministry and service provider for running PSP. MSA prescribed governance structure (Empowered committee, Program Management Committee) for monitoring of PSP. We observed number of issues relating to implementation of MSA and weak governance structure which are enumerated below:

- Certain clauses relating to terms of payment schedule of MSA were inconsistent and required modification.
- An amount of ₹ 61.49 lakh was paid to service provider based on achievement of Service Level Agreement 1 (SLA) as per old norms of MSA, which was not justified in view of change of system (from walk in to walk in with ARN) by the Ministry, after signing of MSA. Similarly, the

methodology of calculation of average time spent by citizen in PSK was changed in favour of service provider in respect of SLA 1 to 4 without proper justification.

- We noted weak governance as the Empowered Committee and Programme Management Committee were either not functioning or not involved in the function for which they were constituted. As a result, important changes/deviations from the service level agreement were made without adequate justification and approvals.

What do we recommend?

The details of recommendations are in the relevant chapters of this Report. Following are some important recommendations:

- *The Ministry may analyse the reasons for interstate variations in delay in Police Verification Report (PVR) and put in place a system for monitoring along with Ministry of Home Affairs to ensure that PVR is done within 21 days as envisaged in the scheme. The Ministry may analyse the reasons for pendency at other stages of passport service process and take necessary steps to mitigate the same.*
- *The Ministry may examine the reasons for long waiting time at Passport Seva Kendras (PSKs) in Delhi and take effective measures to reduce it. It may also depict correct waiting time by including the waiting time between appointment time and token issue time while calculating the total time spent by citizen in PSK. The Ministry may also strengthen the mechanism of grievance redressal in a time bound manner.*
- *The Ministry may streamline the procedure related to refunds and publicise the same to all applicants.*
- *The Ministry may examine clauses of Master Service Agreement and take appropriate action to remove inconsistencies.*
- *The Ministry may review the mechanism of payment of reward to the SP in line with the change in the passport application system and ensure that revision in the performance parameters under Service Level Agreement should be with due justification.*

- ***Governance structures at the Ministry level may be strengthened by ensuring regular meetings of Empowered Committee and Project Management Committee. It should also be ensured that important decisions are taken at appropriate levels only.***

CHAPTER -I

Introduction

1.1 GENERAL INFORMATION ABOUT THE AUDITEE

Passport is the proof of citizenship which a sovereign country issues to its subjects. Under the Passport Act- 1967, any citizen of India travelling abroad should be in possession of a passport or travel document issued by the Government of India. The Consular, Passport and Visa (CPV) Division of the MEA through the Central Passport Organisation (CPO) and the CPV wings of the Indian Missions abroad provide passport related services. CPO is the nodal unit for delivering Passport-related services in India and the Joint Secretary (CPV) heads CPO in the role of Chief Passport Officer.

There are 37 Regional Passport Offices (RPOs) under the CPO in India as on 2014-15. Each RPO is headed by a Passport Officer. Table below indicate significant increase in the number of passports issued over the last few years:

Table 1.1: Passports issued by MEA

	2010	2011	2012	2013	2014
No. of passports issued (in lakhs)	52.51	58.69	59.40	68.05	81.29
Percentage increase over the previous period	4.43 ¹	11.76	1.20	14.56	19.45

Source: Annual Reports of MEA and Published Annual Data of PSP

1.2 Passport Seva Project

Due to the rapid growth in the number of passport seekers, a need was felt (2005-06) in MEA for improving the existing system of issuance of passports. To address this need, a Mission Mode Project (MMP) was identified (August 2007) under the National e-Governance Plan. The MMP on Passports named “Passport Seva Project” (PSP) aimed “To deliver all Passport-related services to the citizens in a timely, transparent, more accessible, reliable manner & in a comfortable

¹ 50.28 lakh passports issued in 2009.

environment through streamlined processes and committed, trained & motivated workforce”.

As a first step towards implementation of the project, MEA conducted a study through the National Institute for Smart Government (NISG). On receipt of a detailed report from NISG, the MEA obtained approval of the Union Cabinet (6th September 2007), *inter alia* to:

- Outsource the delivery of front –end passport services,
- Establish passport seva kendras (PSKs) across the country,
- Create a centralised IT system linking all PSKs, RPO/Pos, police and postal department and,
- Permit the private partner to levy a service charge for each service.

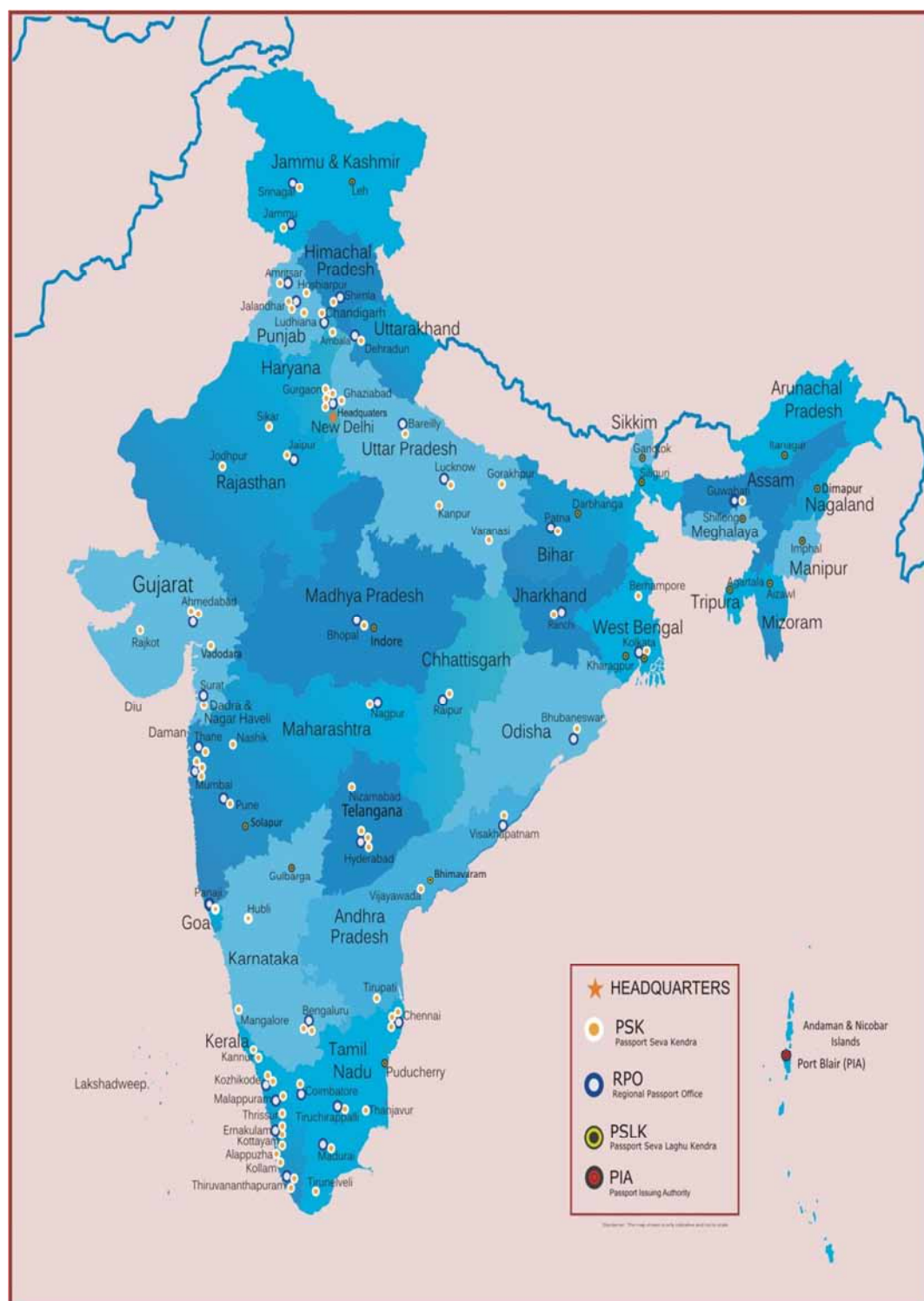
The proposed system was envisaged to be a citizen centric, fast and convenient mode of issue of passport in a streamlined manner with three distinct phases – the application, visit to the PSK and the backend processing before issue of the passport as represented in the diagram on the next page:

Figure 1.1



For implementing the project, a project management unit (PMU) was created under the Additional Secretary (CPV and Admn.). The MEA invited bids for selection of a Service Provider (October 2007). M/s. Tata Consultancy Services Ltd. (M/s. TCS) was selected as the Service Provider in July 2008. A Master Service Agreement (MSA) was signed between MEA and M/s. TCS in October 2008. The pilot project was launched in Bengaluru and Chandigarh in March 2010 and August 2010 respectively. After necessary standardisation and testing, the Project commenced for a period of six years i.e. from 12 June 2012 (the date of Go-Live) to 11 June 2018 as per terms of the MSA. At present, 77 PSKs are operational as given in the figure on the next page.

Figure 1.2: Location of Regional Passport Offices and Passport Seva Kendras



Source: MEA website

1.3 Progress under the Project

The project was running in Public Private Partnership (PPP) mode with M/s. TCS, the Service Provider through 77 Passport Seva Kendras (PSKs) under the 37 RPOs situated across India. A National Call Centre had been set up to provide real-time status and up-to-date information in 17 languages using a toll free number. The passport portal <http://www.passportindia.gov.in> was set up to provide upto date real-time information. Apart from these, an SMS alert facility was also provided to the citizens under PSP to enable citizens to receive alerts and updates regarding progress of their passport applications and pending actions. Since 2014, 135 Passport Seva Camps had been organised by the Ministry with an aim of reaching out to people located far away from PSKs. 718 Passport Melas had been organised from January 2013 to August 2015 to meet the increased demand for passport services.

1.4 Audit Objectives

The objectives of the performance audit were to verify whether:

- (i) passport related services were delivered to the citizens within the prescribed time;
- (ii) comfortable and transparent environment for passport related services was available to the citizens;
- (iii) implementation of the master services agreement and related governance structure was efficient and effective.

1.5 Scope and methodology

The performance audit of the Passport Seva Project of the Ministry was conducted for a period from June 2012 to August 2015 wherein only published reports, fortnightly data trends and internal communications was made available to audit for the period from June 2012 to August 2015. Further, dashboard² data relating to 37 RPOs/77 PSKs was also made available to audit in June-August 2015. Facts related to prior period have also been mentioned in the report wherever felt necessary. Information through an audit questionnaire was also

² Dashboard data- Dashboard data of PSP shows the current position of that date depicting passport data of the previous days evening closing for the whole country. It is dynamic and keeps on changing every day. The reports coming in the dashboard has been designed for monitoring of the project by the Ministry.

collected from 15 PSKs under six RPOs (New Delhi, Chennai, Patna, Surat, Cochin and Bhubaneswar) selected on a random sampling without replacement basis.

The performance audit commenced with the entry conference on 9 March 2015 with Joint Secretary (CPO & PSP) wherein audit methodology, scope, objectives and criteria were discussed. Exit conference was held on 28 October 2015 with Joint Secretary (CPO & PSP) wherein important audit findings along-with recommendations were discussed. Response to the draft report as received on 17 November 2015 and 17 February 2016 were suitably considered and incorporated in the report.

1.6 Scope limitations

The following information/records were not provided to audit :-

- (i) Time taken across the RPOs for printing and dispatch of the passports, including an age-wise analysis for the year 2014. (*Para 2.3*)
- (ii) Time taken for delivery of the passports by the postal department for the year 2014 across the RPOs. (*Para 2.4*)
- (iii) Data related to application processing for the year 2014 to assess the performance of the PSKs against the laid down standards. (*Para 3.3*)
- (iv) The actual time taken in redressal of grievances during 2014. (*Para 3.5*)
- (v) Records on legacy data migration including physical files of approval on migrated/digitized data. (*Para 4.4*)

In order to evaluate the time taken in 2014 across the RPOs for printing and dispatch of the passports and to conduct an age-wise analysis, we requested for data relating to printing and dispatch of passports for the year 2014. But due to non-production of data for 2014, the audit points relating to printing and dispatch of passports were prepared by analysing data of current date using the dashboard facility. Similarly due to non-availability of age wise pendency of grievances for the year 2014, the audit para relating to grievances was prepared by analysing data of current date by using the dashboard facility. We also requested for soft data of PSP for any one quarter in order to evaluate SLA parameters. Due to non-provision of data by the Ministry, data on SLA metrics could not be verified to assess the performance of the PSKs against the laid down standards. Hence paras have been prepared based on data provided by M/s TCS Ltd and conclusion have been drawn on that basis.

1.7 Sources of Audit Criteria

The performance of the Passport Seva Project/Passport Seva Kendras was evaluated against the Audit Criteria from the following sources:

- Request for Proposals;
- Master Service Agreement;
- Service Level Agreement;
- Passport Act;
- Passport Manual;
- Rules prescribed by the Government;
- Instructions/guidelines issued by Government from time to time;
- Policy of the MEA;
- IT Act 2000 (as amended till date) etc.

1.8 Acknowledgement

Audit wishes to acknowledge the cooperation extended by Ministry of External Affairs during the audit process.

CHAPTER-II

Time for Passport Issuance

The Ministry initiated a comprehensive reform of the Passport Issuance System with a view to curtail the time taken for issuance of passports significantly and equip the CPO to deal with the rapid growth in demand for passports in the coming years.

Under Section 5(2) of the passport act, 1967, the Passport authority may make such inquiry, as deemed necessary, prior to the issue of passport. Hence issuance of passport is broadly classified under three categories of police verifications viz., no police verification, post police verification and pre-police verification cases. Cabinet approved the following timelines in rendering passport issuance services to citizens:

- Issuance of new passport not requiring police verification- all services in three working days
- Issuance of new passports requiring post police verification –all services in three working days
- In cases requiring pre-police verification, services in three working days plus time taken for police verification
- In case of Tatkaal or emergency passport service to be rendered on the day of application itself.

The objectives of PSP (clause 3.2 of RFP vol.-I) and the desired service levels (clause 6.2 of RFP vol.-I and clause 2.1 (b) of MSA) reflected the approval of Cabinet in respect of the timelines in rendering passport issuance services to citizens.

Specific audit findings related to time taken for the above services are discussed in the succeeding paragraphs:

2.1 Delay in giving appointment at the PSKs

As a first step in passport application, citizen fills-in his/her details in the website, <http://www.passportindia.gov.in> and chooses the preferred city and PSK location irrespective of his current/permanent address. Currently, while booking the appointment online, the next available date of appointment gets automatically

displayed in the portal and the applicant selects that date to visit the PSK along with the Application Reference Number (ARN) print generated online.

On scrutiny of published annual data of PSP ending for the year ended December 2014, it was observed that the appointment availability to visit a PSK as on 31 December 2014 varied from one day to 68 days. In 12 cases citizens had to wait for more than a month to visit a PSK as mentioned in the table below.

Table 2.1**Time taken for getting Appointment in PSKs**

Appointment Time	No. of PSKs
less than 3 days	38
3-10 days	12
11-30 days	17
31-60 days	09
more than 60 days	03

The Ministry in its reply (November 2015) stated that the appointment availability as on 31 August 2015 was varying between 1 to 45 days. It further stated the current position i.e., as on 31 October 2015 is that out of 77 PSKs, the appointment availability at 73 PSKs is between 1-7 days, at 3 PSKs it was between 8-15 days and at 1 PSK it was 19 days.

Progress reported by the Ministry indicated that position had improved over a period of time, but it is yet to meet the standards set by the Ministry, i.e., complete the process of issue of passport in three working days' time. Moreover at certain places like Imphal (30 days), Gangtok (24 days) and Varanasi (24 days), the waiting period for giving appointment was still very high.

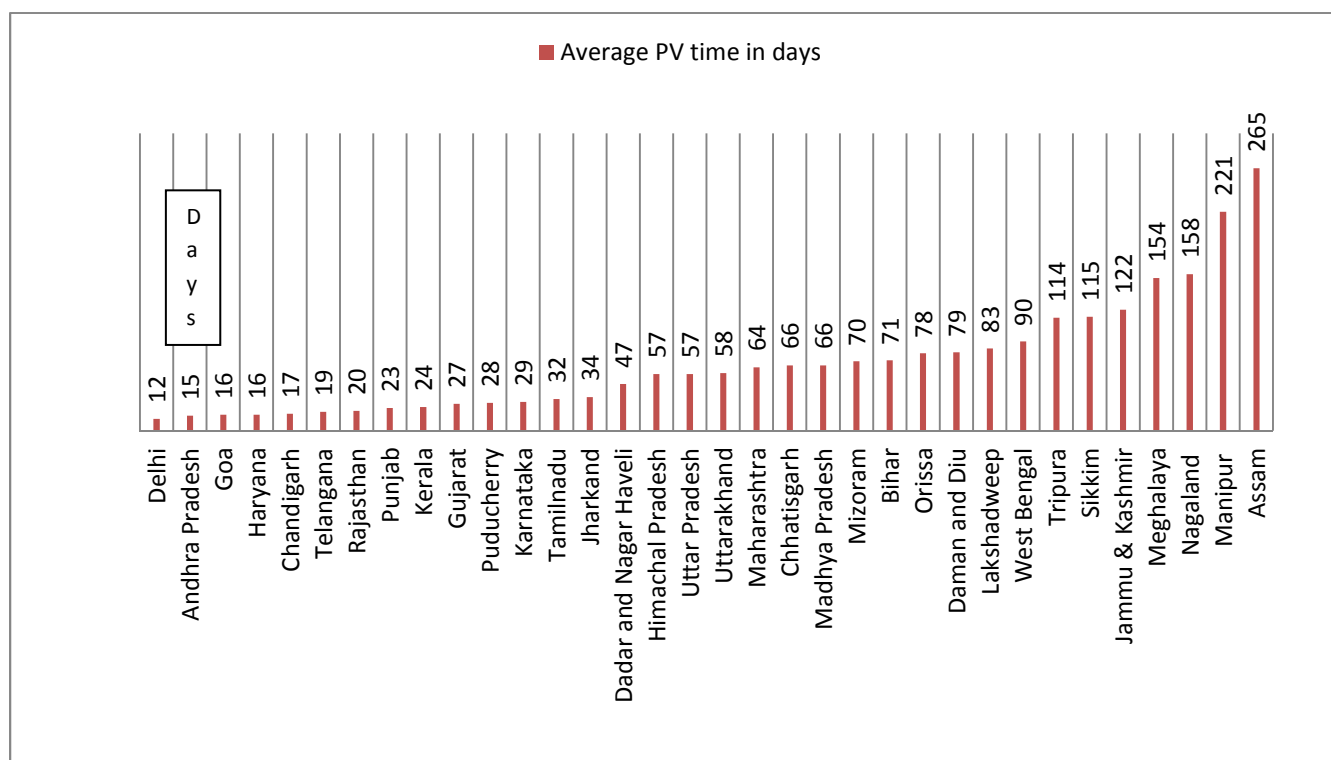
2.2 Police Verification Process

Under Section 5(2) of the passport act, 1967, the Passport authority may make such inquiry, as deemed necessary, prior to the issue of passport as discussed above. As per Request for Proposal (RFP) and Ministry of Home Affairs (MHA) instructions, Police verification report was required to be received within 21 days from the date of receipt of request for police verification.

2.2.1 Average Police Verification time

The chart given below depicts the state/UT wise average time taken for police verification, based on the published annual data of PSP for the year 2014.

Chart 2.1 : Average time for Police Verification



Source: Annual Data 2014

Out of total 35 states/UT, in only seven states*/UT, recorded average police verification time was less than prescribed 21 days and in 28 states/UTs this time was more than 21 days. Out of 28 states/UTs mentioned above, in seven states (Tripura, Sikkim, Jammu & Kashmir, Meghalaya, Nagaland, Manipur and Assam) average police verification time was more than 100 days. Further, 100 *per cent* police verifications were not carried out in any State/UT within 21 days. The national average police verification time in 2014 was 42 days. The police verification time has shown a decrease of seven days over the national average of 2013.

The Ministry stated that in states/UTs/districts where the electronic connectivity with the PSP existed, the delay in police verification report was less and in those states/UTs/districts where there was no electronic connectivity with the PSP, the delay in police verification report was more. It further stated (July 2015) that as per January to June 2015 data, the all India average for the number of days taken to complete police verification is 36 days as compared to 42 days in 2014 and

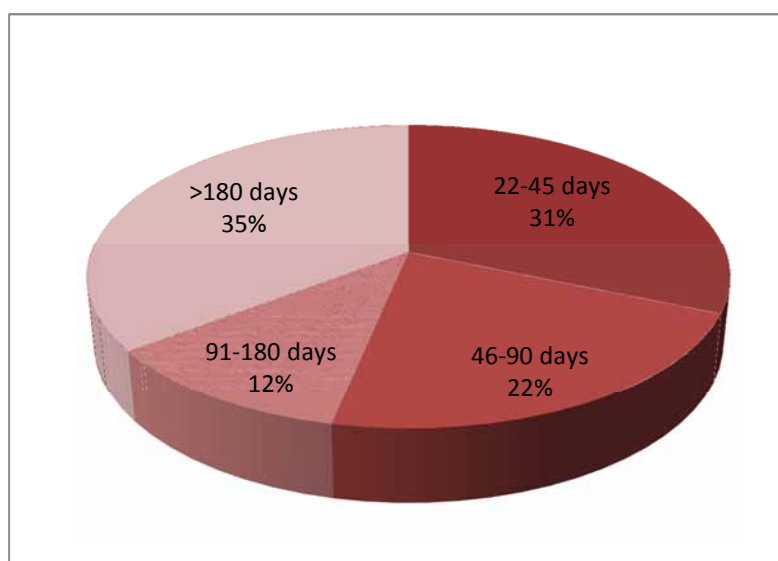
* Andhra Pradesh, Chandigarh, Delhi, Goa, Haryana, Rajasthan and Telangana (less than 21 days)

49 days in 2013. The Ministry also informed that that online integration with police authorities have already been done up to district level/than a level. Out of 730 police district, 673 districts have already been integrated online with PSP thus 98.05 *per cent* of police verification are now being submitted using online model of police verification. However, it did not reply to the specific points raised in para above regarding PVR pendency of more than 21 days and more than 180 days in different states. Further, the pace of improvement of police verification time from 49 to 42 and from 42 to 36 days was still behind the prescribed level of 21 days.

2.2.2 Age-wise analysis of pending PVRs

Audit also scrutinised the dashboard¹ data of PSP as on 31 August 2015 to assess current position of pending PVRs. Out of total 7,73,254 PVRs pending, 3,74,398 PVRs (48 *per cent*) were shown as pending for clearance for more than the prescribed limit of 21 days. The age-wise analysis of pending PVRs of more than 21 days (3,74,398) is shown in the chart below.

Chart 2.2: Age-wise analysis of pending PVRs



¹ Dashboard data of PSP shows the current position of that date depicting passport data of the previous days evening closing for the whole country. It is dynamic and keeps on changing every day. The reports coming in the dashboard has been designed for monitoring of the project by the Ministry.

The chart 2.2 depicted that out of 3,74,398 pending PVRs (pending for more than 21 days), 1,32,320 PVRs (35 per cent) were pending for more than 6 months.

It is thus apparent that delay in police verification of the applicants was one of the key hurdles in realisation of the basic objective of the PSP to deliver passports to the citizens in time.

The Ministry (November 2015) did not give any specific comment to the audit observation.

Recommendation: The Ministry may analyse the reasons for interstate variations in delay and put in place a system for monitoring along with Ministry of Home Affairs to ensure that PVR is done within 21 days as envisaged in the scheme.

2.3 Pendency in printing of passports at the passport offices

As per norms, the service time taken by the MEA for processing a normal passport application was three working days (excluding Police verification time) under the Passport Seva Project, which included processing of application, printing and lamination of passport and its dispatch.

The printing, lamination and dispatch of the passports were done in RPOs with which the PSK was attached. Further, as per clause 6.3.1 (point 13 of Process “B”- back-end processing) of RFP Volume-I, Pendency at Passport offices were to be tracked and all the applications that were not processed within the defined service levels were to be automatically sent to central back office i.e. Central Passport Printing Facility (CPPF) situated in Delhi for printing, lamination and dispatch.

We, however, noted that as per the practice adopted by the Ministry, on the basis of status of printing pendency at each passport office, printing slots were opened from time to time for printing of pending passports at CPPF as conveyed to the concerned passport offices. The Ministry advised the passport offices to forward pending passports to CPPF for printing as per available slots with them which meant that the printing of pending passports was undertaken in CPPF only when forwarded by the RPO.

The Ministry was requested (March 2015) to provide data regarding time taken across the RPOs for printing and dispatch of the passports, including an age-wise

analysis for the year 2014. However, this information was not provided by the Ministry. In its absence, printing pendency data obtained from centralised data for all the PSKs for the period 1 July 2015 to 9 July 2015 was culled from the MIS.

A test check of the pending records for a period of seven working days (01.07.2015 to 09.07.2015) indicated pendency for printing of passports in the RPOs Kolkata (eight days² load) Lucknow (four days), Cochin (six days), Ahmedabad (four days) and Delhi (three days) based on their installed capacity of printers.

Without providing reasons and details of pendency pointed out in Audit, the Ministry stated (November 2015) that the current pendency position (31 October 2015) was 58,800 in all RPOs, which was reckoned to be just 1.5 days' load. The reply of the Ministry is not convincing because in some RPOs, pendency was higher than the 1.5 days' load as mentioned above.

Recommendation: The Ministry may analyse the reasons for pendency in certain RPOs and take necessary steps to mitigate them.

2.4 Pendency in delivery of Passports by India Post department

The final step in the passport application process was the delivery of passport to the applicant by the Postal Department. Information was called for from MEA (August 2015) regarding the time taken for delivery of the passports by the postal department for the year 2014 across the RPOs. However, this was not provided by the Ministry.

In the absence of this information, data extracted from the MIS maintained under the PSP dashboard was test checked. As per the data available in the MIS as on 13 August 2015, a total 62,26,516 passports were shown as dispatched for the year 2015 under Passport SLA Parameter module while only 34,48,793 passports were shown as delivered to the concerned applicants. Out of 27,77,723 undelivered passports, the status of only 39,337 passports were shown in the dashboard of the Ministry. No information was available in respect of 27,38,386 passports which were dispatched but were neither shown as delivered nor shown as not delivered. In absence of completed details, proper conclusion could not be drawn in Audit.

² Working days load- means the printers capacity installed in the RPOs running at their maximum capacity in a day.

The Ministry stated (November 2015) that after printing of passports, there were two more steps i.e. quality check and actual dispatch. As on 31 August 2015, the overall number of passports to be dispatched was 89,360, which is the culmination of 2.5 days of pendency at quality check and dispatch. It further stated that steps were being taken to update the pendency status in the system so that correct figures were reflected in the reports and continuous efforts were being made to improve it.

The Ministry did not inform the present status of pendency in delivery of passports by the India Post Department, obtained from data of MIS and specific action initiated for cutting down on postal delays. Moreover, the fact remains that the Ministry did not have status of delivery for 27.38 lakh dispatched passports which is significant and is a matter of concern.

2.5 Overall Delay in issue of Passports

Passports are issued in two categories i.e., Normal and Tatkaal. Though the objective of PSP was to issue passport under the specified timelines, analysis revealed that the same was not achieved till now. Audit analysis of the published annual data of PSP for 2014 for normal and Tatkaal passport is given in the following paragraphs.

2.5.1 Normal Passports

Normal passports are issued under three categories, as shown below:

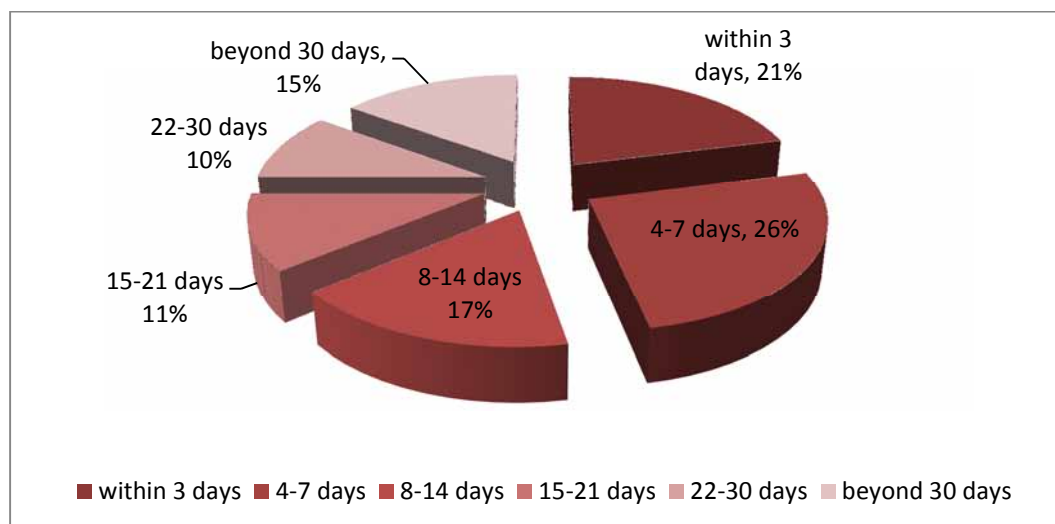
Table 2.2 Categories in issue of Normal passports

S. No.	Issue of fresh Passports	Examples	Prescribed time
1.	No police verification	Government servants if they produce identify certificates	3 working days
2.	Post Police Verification	Re-issue of passports in which personal particulars are same	3 working days
3.	Pre-Police Verification	Other than the above	3 working days' time + time taken for police verification (21 days)

Source: Request For Proposal (RFP)

Scrutiny of published annual data 2014 of PSP relating to the categories 'No' and 'Post' Police verification revealed the time taken for the issue of normal Passports as shown in the chart:

Chart 2.3: Time for issuance of Normal Passports

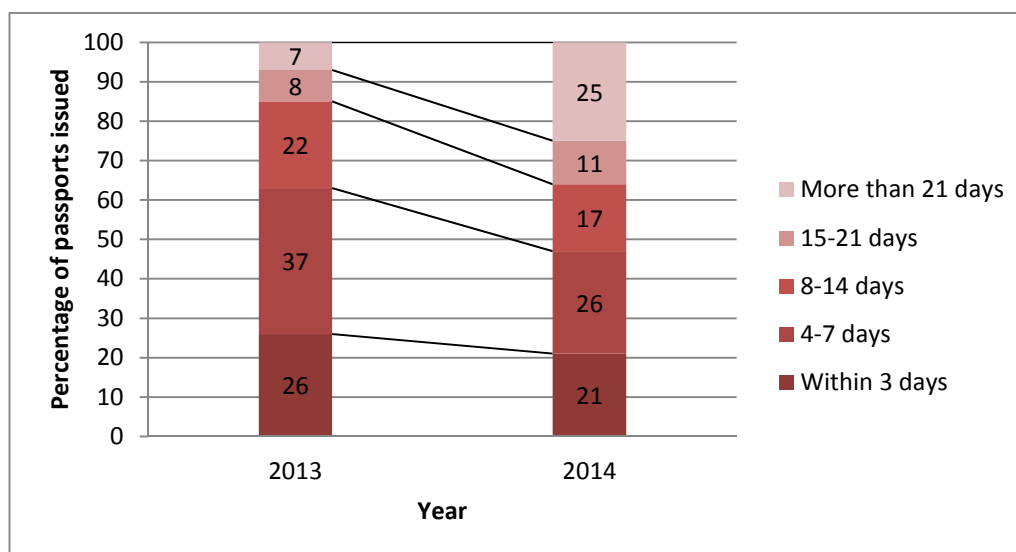


Source: Annual Data 2014 provided by MEA

The above chart depicted that only 21 *per cent* of passports were issued within the prescribed timeline of three working days while, 15 *per cent of* passports were issued beyond 30 days. Test check of the data also revealed that PSK at Kolkata took average passport issuance time of 28 days.

Further, published annual data 2014 of PSP revealed the comparison in the issue of normal passports for the year 2013 and 2014 as shown in the chart below:

Chart 2.4: Comparison of issue of normal passports



The above chart depicted that in 2014, only 21 *per cent* of passport were issued within 3 days as compared to 26 *per cent* issued in 2013. Similarly in 2014, 25 *per cent* of passports were issued after 21 days as compared to seven *per cent* issued in 2013. Further scrutiny of published annual data (2014) revealed that the overall average time for issuance of passports had increased from nine days in 2013 to 16 days in 2014.

The Ministry in its reply (November 2015) stated that the average passport issuance time was 16 days in 2014, which improved to 13 days till 31 October 2015. The fact remained that against the benchmark of three days Ministry was still taking 13 days.

2.5.2 Analysis of Issuance time of Normal Passports in Delhi

In order to find out the time taken by applicants to get a passport in Delhi, records of RPO Delhi were analysed. The appointment availability as of 31 March 2015 of PSK Herald House was 24 days, PSK Gurgaon was 24 days, PSK Shalimar Place was 31 days. Thus, an applicant had to wait nearly a month for getting an appointment at PSK.

Test check of the archived database of RPO Delhi (PSKs-Herald House, Shalimar place and Gurgaon) for the period October 2014 to June 2015 revealed that the average time for issue of passports in Delhi was 52 days from the date of booking of appointment to the date of dispatch of passport. But, as per the Ministry's published annual data for 2014 in respect of PSKs of Delhi, average passport

issuance time for normal passports was 21 days and average time for police verification was 15 days. Thus, total time taken in order to get passport in respect of Delhi was 36 days (21+15) in 2014 which was reduced to 27 days (13+14) during January to June 2015. Audit further noticed that the difference in data was due to the fact that while working out the time taken, Ministry had excluded the time taken for getting an appointment in PSK. Exclusion of this period was not justified as ultimately time taken for getting appointment also delays the overall process of obtaining passport.

The Ministry in its reply (November 2015) stated that the inclusion of appointment wait time into the average passport issuance time was practically not feasible. The appointment was scheduled by the applicants based on their readiness such as documentation, convenience and travel urgency.

The reply of the Ministry is not acceptable because when the availability of appointment to PSK was only between 24-31 days, even if citizens were ready there was a compulsory waiting. Since the system allotted the next available appointment date automatically, there was no alternative/option for the applicant to choose a particular date and time based on his convenience.

2.5.3 Tatkaal Passports

As per the RFP, Tatkaal passports had to be issued on the same day (only if the PSK was situated in a city which also has a RPO and the application is granted by one P.M. on that day).

As per the published annual data of PSP, it was noticed that in case of passports issued under the Tatkaal category, the average issuance time in 2014 was 4 days. The total number of tatkaal passports issued in 2014 were 5,68,871. The details of time taken in issue of Tatkaal passports during 2014 are given in the table below:

Table 2.3: Time taken for issuance of Tatkaal Passports

Time taken for issue of passport	Percentage of passports issued
Day of submission of application	28 per cent
Within 1 day	60 per cent
Within 3 days	99 per cent
Within 30 days	100 per cent

Source: Annual Data 2014 provided by MEA

The table 2.3 depicts that 28 *per cent* of the tatkaal passports were issued on the day of submission of application and 60 (28+32) *per cent* passports were issued within a day. Thus, the objective of quick service and delivery of passports within one day was not fulfilled in 40 *per cent* cases. Further, scrutiny of published data of PSP showed that the average time taken in this category in 2014 increased in 8 (Ranchi, Chandigarh, Visakhapatnam, Jaipur, Kolkata, Jammu, Ghaziabad and Guwahati) out of 37 RPOs as compared to 2013. The highest average passport issuance time of 36 days in this category was recorded by RPO; Ranchi followed by Chandigarh where the average time was 23 days.

The Ministry stated (November 2015) that the period of next day in Tatkaal passports is only the Key Performance Indicator (KPI) set by the Ministry in RFP. The reply of the Ministry is not acceptable as it was the laid down objective of PSP in the issuance of passports and included in the decision of the Cabinet.

Conclusion

Delivery of passport services to citizens in a time bound manner within the prescribed framework was one of the objectives of the passport issuance process. We observed that Ministry could not achieve the prescribed service standards for any of the stages of passport services i.e. from application of passport to delivery of passport. There were considerable delays in getting appointments at Passport Seva Kendras (PSKs), delay in police verification process and pendency at the postal and printing stages, which resulted in delay in issue of normal and Tatkaal passports. As a result, against the objective of issuing passport in 24 days (3+21), the national average for issue of normal passport was 71 days in 2014.

CHAPTER-III

Citizen Services

The vision of the Passport Seva Project was to deliver passport services to Indian Citizens in a timely, convenient and transparent manner. As already explained in Chapter II, the time taken by an ordinary citizen to get a passport was inordinately long. In this chapter, Audit has examined whether the passport related services were being delivered in an accessible and comfortable environment to the citizen. Audit noticed that during visit to PSKs, a citizen has to deal with long waiting time, non-availability of family counters and absence of separate enquiry counters as discussed in the following paragraphs:

3.1 Non-formulation of Citizens Charter

A Citizen's Charter is the expression of an understanding between citizens and the provider of a public service with respect to the quantity and quality of services the former receive in exchange for their taxes. It is essentially about the rights of the public and the obligations of the public servants.

Clause 8.4 of RFP vol.-I stipulated preparation of Citizen Charter for informing all citizen-centric requirements relating to passport services to the citizens of India. Besides this, the Department of Administrative Reforms & Public Grievances, Ministry of Personnel, Public Grievances & Pensions had also circulated Model Guidelines and General Structure Guidelines to all Ministries/Departments of Government of India to enable them to bring out focused and effective charters.

We noted that the citizen charter was not prepared in respect of PSP. As a consequence citizens were not aware of the service levels including the prescribed time frame for issue of passports.

The Ministry in its reply (June 2015) to audit observation confirmed that citizen charter had not yet been finalized. It further replied (February 2016) that Citizen Charter has now been approved.

3.2 Delay in getting appointment

A citizen during the online submission of application in the passport portal gets the next date of availability automatically displayed in the portal and applicant

selects that date to visit the PSK along with the Application Reference Number printed generated online.

As per the Ministry's published annual data 2014 of PSP, the appointment availability to visit a PSK as on 31 December 2014 varied from one day to 68 days (average 13 days). The objective of timely service and delivery of passport was not fulfilled, if a citizen had to wait for more than a month to get appointment to visit any PSK (as detailed in Para 2.1 of Chapter II of this Report).

3.3 Long waiting time at the PSKs in Delhi

As per Service Level Agreement (SLA) entered with the service provider, average time spent by a citizen, who had applied online, at the PSK during peak hours (10.00 am to 12.00 pm) should be less than 25 minutes (wait time + service time) and during non-peak hours (all other hours) it should be less than 18 minutes. A citizen has to visit three counters i.e. Counter A (manned by TCS staff), Counter B (Govt. staff for verification of documents) and Counter C (Govt. Staff for grant of passport) in the PSK. In order to calculate 25 minutes and 18 minutes, wait time and service time of all the counters were added.

In order to assess the performance of the PSKs against the laid down standards, data related to application processing for the year 2014 was called for from MEA, which was not provided to audit.

A test check of the fortnightly data trends of PSP prepared by the Service Provider for the period January 2015 to April 2015 in respect of four¹ PSKs under RPO Delhi was carried out. We observed that the average time taken by the citizens in the PSKs was on an average 78 minutes (Counter A-6.62 minutes waiting time, Counter B-36.71 minutes waiting time, Counter C-20.80 minutes waiting time + Service time-13.87 minutes) which was higher than the prescribed time of 25 minutes during peak hours. The detailed data is in **Annexe - I**. Analysis for the delay beyond the given standards of service is outlined below:

- In respect of Bhikaji Cama Place, Gurgaon and Shalimar Place PSKs, there was shortage of staff (as shown in **Annexe - I**) at all the counters. The shortage was more pronounced in case of Counter B and C, both manned by Government officials. It was clear from the **Annex -I** that the applicants had to wait for a long period at B & C counters.

¹ Bhikaji Cama Place, Gurgaon, Herald-House ITO and Shalimar Place.

- As per RFP, in a single day, more than 300 applications were to be processed in a large PSK. As per **Annexe-I**, in respect of PSK Herald House, 1000-1500 applications were being processed every day and as a result wait time in PSK, Herald House ranged from 1-2 hours. Since higher waiting time was due to receipt of large number of applications as compared to capacity, the Ministry was required to consider opening another PSK.
- Further, the average waiting time between the appointment time and the token issued time was about 1 hour 18 minutes in respect of PSKs under RPO Delhi. Thus, waiting time of more than one hour before entering into PSK was considerable which resulted in overcrowding outside the PSK causing inconvenience to public.

The Ministry accepted (November 2015) the shortage of staff and stated that shortage of staff was short term and likely to be resolved as Ministry has indented for recruitment of LDCs and Assistants. It further stated that the calculation of total time spent by citizen in PSK was not feasible as it was reckoned as per RFP. But, the fact remained that there was considerable wait time inside and outside the PSKs as the desired service level was not achieved. Further, in PSK Herald House there was no shortage of staff in the counters B and C as per RFP, still waiting time inside the PSK was very high.

Recommendation: The Ministry may examine the reasons for long waiting time in Delhi and take effective measures to reduce it. It may also depict correct waiting time by including the waiting time between appointment time and token issue time while calculating the total time spent by citizen in PSK.

3.4 Inconvenience to the Citizens in Passport Seva Kendras

The audit team visited PSKs located in Delhi & Gurgaon and following was observed:

(i) As per clause 7.2 (d) of RFP, vol.-I, Reception counters were to be set up at each PSK to provide general enquiry and application form distribution service. However, it was noticed that no separate counter for enquiry existed in the PSK. The reception staff, who generated file themselves, was the person who attended to the task of enquiry too. Hence a citizen had to stand in a long queue to collect/make even a small piece of information/enquiry.



Picture-1 : Rush at enquiry counters in Herald House PSK

The Ministry replied that all counters in the Pre Verification area were single window counters for optimum utilization of citizen's time. However, according to RFP, enquiry counters were to be setup at the PSKs. Deviation from RFP resulted in inconvenience to the citizens, as the time taken in enquiry would be much shorter.

(ii) As per clause 7.3.2 of RFP, vol-I, "To serve those applicants who do not apply online, the application forms together with information booklet (in three languages i.e. English, Hindi and one local language) will be distributed through PSK's reception/ enquiry counter." The SP was required to print an adequate no. of application forms & information booklets (minimum 500 on any given day) for sale to public at a fee of ₹ 10 only. However, it was observed that manual applications with information booklets in physical form were not available with the counters.

The Ministry replied (May 2015) that manual application with information booklets in physical form were available at the PSK and provided to citizens on demand. However, citizens file their applications online, generate the ARNs and visit the PSK for processing. The reply is not acceptable as there were no instructions displayed in four PSKs of Delhi about availability of information booklet on demand.

(iii) There was a kiosk facility in PSKs in Delhi but no indication of purpose or method of using it was found written anywhere.



Picture-2 : Kiosk facility in Herald House PSK

The Ministry replied (May 2015) that signage “Information Kiosk” had been affixed near the facility provided in PSK. Kiosks were being used by citizens. A citizen could access the Passport Seva portal from the kiosk for various purposes i.e. enquiry regarding documents required – fees payable, appointment availability, and also to fill the application, pay the fees, check the status etc.

The reply is not convincing as there were no instructions displayed in PSKs at Delhi about their usage.

(iv) In two PSKs (Herald house and Gurgaon), the waiting area before the ‘C’ counter was insufficient and most of the citizens had to stand in a cramped space.

The Ministry replied (May 2015) that the capacity in the waiting area had been planned based on process flow and volumes. However, if at any point of time it got overcrowded for some reasons, citizens were advised to wait in the ‘A’ waiting lounge.

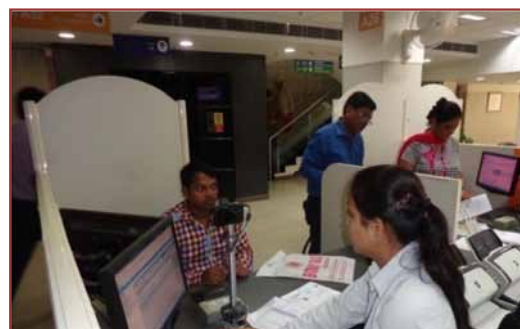
The reply of the Ministry is not convincing as in Herald House, the waiting area for the Government counters ‘B’ and ‘C’ is at the first floor and that of the ‘A’ counter is at the ground floor. The possibility of citizen to wait in ‘A’ lounge is not feasible as there is a considerable distance between the waiting area of ‘A’ counter and that of waiting area of ‘B’ and ‘C’ counters.

(v) If a whole family had to apply for a passport, there was no facility available in the appointment system of PSP to avail same appointment slot for all members of the family so as to pass through the formalities at one go together.

The Ministry replied (May 2015) that in such cases, members of the family were allowed to get their applications processed together irrespective of the appointment time.

However, system (passport portal) had not provided any facility to avail same appointment slot for all members of the family. In the absence of any laid down or displayed guidelines, it totally depended upon the officers of respective PSK whether to entertain such requests.

(vi) At counter 'A', the applicant signed the application after viewing and verifying entries on screen. As a copy of the signed application form was not provided to the applicant, in case of a dispute, it could not be verified whether the data was changed.



Picture-3 : Counter-A staff in Herald House PSK

The Ministry clarified that applicant signed copy is kept in the system as part of digital file of the applicant, which can be produced in case post-facto dispute. Hence providing an additional copy to the applicant would not add any value.

However, since one of the main objectives of PSP was to deliver passports to citizens in a transparent atmosphere, a copy of the verified information had to be provided to the applicant for future reference. The Ministry may rectify the procedure by providing signed copy of the document to the applicant.

(vii) In terms of Ministry's letter dated 11 June 2013, SP was required to display that Value Added Service (SMS facility)² charges were purely optional and not a part of passport fee. However, it was noticed that in PSKs situated in Delhi no such display was shown by the SP inside the PSK. Therefore, publicity in this regard was required to be made by the Service Provider.

The Ministry stated (November 2015) that optional SMS service had been displayed at the passport seva portal but now the Service Provider had been instructed to put requisite information on display in PSK also.

Recommendation: The Ministry may ensure that minimum facilities as envisaged in RFP are available at all PSKs.

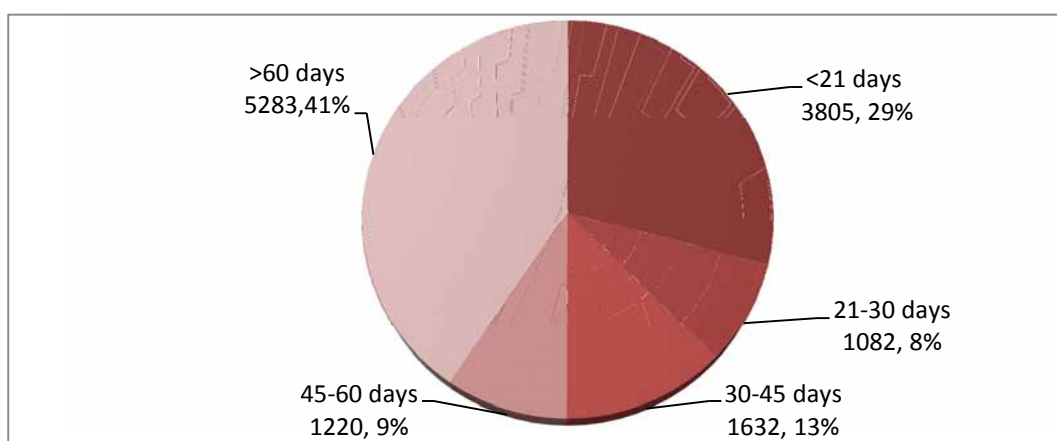
² The optional Value Added Service (VAS) of SMS facility was an additional facility charged by the Service Provider and the applicant had to pay the charge for the VAS at the PSK. This additional charge paid to the Service Provider by the citizen was apart from the passport fee and goes into the Service Provider's account.

3.5 Pendency in Grievance Redressal System

As per clause 7.3.3 (d) of RFP (vol.-I), any citizen who was either unsatisfied with the passport related services or was facing issues after submission of passport application could raise a grievance against individual RPO/PSK and/or the CPV division of the MEA. As per data provided by the Ministry, total 8348212 applications were received in 37 RPOs during the calendar year 2014, out of which 84647 grievances (1.03 *per cent* of total application) were received. 63831 grievances were addressed by the concerned RPOs, and balance, 20816 grievances (25 *per cent* of total grievances) remained unattended till the end of the year. Audit further, noticed that in six RPOs, the pendency of grievances was very high as compared to total number of grievances received in the RPOs like RPO Jaipur (48 *per cent*), RPO Pune (44 *per cent*), RPO Thane (42 *per cent*), RPO Ahmedabad (41 *per cent*), RPO Jalandhar (40 *per cent*) and RPO Lucknow (39 *per cent*) during the year 2014.

The actual time taken in redressal of grievances was not provided to audit. Therefore, analysis of pendency was carried out by taking the pendency status of grievances as on 24 June 2015 from the dashboard of the Ministry. The pendency status of grievances upto 24 June 2015 showed that out of total 35,311 grievances received during the period, 13,022 grievances were to be resolved by the passport authorities. The pendency is depicted below:

Chart 3.1: Pendency Status of Grievances



The Ministry stated (November 2015) that public grievances logged in passport seva portal before December 2013 had been reviewed and only 530 grievances relating to different RPOs were pending for closure as on 31 October 2015. Similarly, out of 84,647 grievances logged in calendar year 2014, the numbers of

grievances pending were 7,132 as on 31 October 2015. Further, out of 62,678 grievances logged in calendar year 2015, the numbers of grievances pending were 13,061 as on 31 October 2015. This shows that on being pointed out by Audit, the Ministry had taken remedial measures to reduce the number of grievances.

Recommendation: The Ministry may strengthen the mechanism of grievance redressal in a time bound manner.

3.6 Absence of refund mechanism in PSP

As per clause 10.10 of RFP Vol-I, refunds wherever applicable should be provided for. The refund process shall take into account constraint imposed by commercial practices such as card and fund transfer through bank account. However, it was noticed that if any applicant wants to withdraw his/her passport application after payment of passport fee due to shortage of any document or any other reason, there was no refund option provided to the applicants in the PSP.

Test check of data pertaining to period from 1 October 2013 to 31 December 2014 revealed that during this period 5,42,168³ applicants had applied online for passport related services and had made online payment for those services. However, these applicants did not turn up at PSK after taking appointment for availing services. Since no refund mechanism is provided in the PSP for refund of online payments, the application money paid by these online applicants remained with the Government. We observed that during this period, ₹ 78.46 crore were retained by Government due to absence of refund mechanism in PSP. The applicants could not apply for the refund of fees paid as this mechanism was neither in built in the PSP nor any information related to refund procedure was provided to the online applicants.

The Ministry stated (November 2015) that statutory provisions with regard to refund of fee paid by the applicant were provided under Rule 10 of the Passport Rules 1980. Reply of the Ministry is not acceptable as under the present system though the passport fees is paid online and passport related services are provided at PSKs, the refund procedure is still manual and is processed at RPOs only which makes it difficult for the online applicant to obtain refund. Moreover, the present procedure of refund is not publicised by the Ministry on the website for information of applicants.

³ Data provided by the National Operations Centre from the database of PSP

Recommendation: The Ministry may streamline the procedure related to refunds and publicise the same to all applicants.

Conclusion

Analysis of published data of PSP revealed that waiting time for applicants seeking issue of passport was more than one hour as against the prescribed time limit of 25 minutes (From token issue time to Exit time) in four PSKs under RPO Delhi leading to overcrowding inside the PSKs. Enquiry counters were not setup at the PSKs in accordance with RFP conditions, which resulted in inconvenience to the citizens. There were no instructions about availability of information booklet on demand and usage of kiosk facilities. Provisions for refund were also not incorporated in the web-based portal in contravention of RFP.

CHAPTER-IV

Implementation of Master Service Agreement and Governance Structure

Successful implementation of a government project on a PPP or outsourced basis required formulation of adequate service delivery standards and effective monitoring of the implementation of the project as per the standards laid down through an appropriate mechanism.

4.1 Project Implementation Terms

The Ministry invited bids for selection of a Service Provider (October 2007). Eight bids were received in the Ministry. A Tender Committee was constituted with the approval of External Affairs Minister for evaluation of bids. The Committee after evaluation of technical and financial bids selected the bid of L1 (July 2008), i.e., M/s Tata Consultancy Services Ltd. (M/s. TCS). A Master Service Agreement (MSA) was signed between MEA and M/s. TCS Ltd. (October 2008).

As per clause 2.2 of RFP vol.-II, the project was planned to be implemented following the pilot approach where the PSK services would be first started at two pilot locations – Bangalore (3 PSK's) and Chandigarh (2 PSK's) and then after a test run of three months which had to be culminated on a positive certification by a third Party designated by MEA, the implementation had to be taken up at remaining locations. Further, the central facilities like Passport portal, Data Centre, Data Recovery Centre, Central Passport Printing Facility, Call Centre (for Citizen) and Helpdesk were to be established and certified by a third Party before the pilot test run could be started. According to this clause, the SP was responsible for the implementation of all the waves scheduled in the project implementation plan, on a turnkey basis, within the timelines as indicated in Section 3.2 of Volume II of the RFP, i.e., Schedule – IX of MSA.

As per clause 10.4 of RFP vol.-I, Project Director had to undertake an exercise of Testing, Acceptance and Certification of Passport system through a third party, as soon as the SP declares the system to be ready for this purpose, before go-live. "Go-Live" date of the project had been defined in RFP as the date on which

- (i) the Passport system was completely operational as per the requirements in the RFP

- (ii) All the acceptance tests were successfully concluded as per the satisfaction of CPV/MEA.
- (iii) The system was certified by third Party in accordance with the requirements of the RFP and
- (iv) The SLA compliance had reached a level of 80% at the least.

Standardisation, Testing, & Quality Certification (STQC) which is an attached office of the Department of Electronics and Information Technology (DeitY), Government of India is the third Party Audit Agency for PSP. After certification of the project by STQC (Phase-II) in January 2011, the PSP was cleared for launch across the country. As per Schedule-IX of MSA, the scheduled date of Go-Live of PSP was 23rd August 2011. As per clause 3.2 of Annexure – VI of RFP, vol.-II, MEA, shall undertake comprehensive application audits at regular intervals through a third party to ensure application functionality and integrity. STQC issued the Final Verification Report (Phase III) on 12 June 2012 and awarded the requisite Go-Live certification. Thereafter, the operation & maintenance Phase of the Project commenced for a period of six years i.e. from 12 June 2012 to 11 June 2018 as per terms of the MSA.

4.2 MSA and Service Level Agreement terms

The MSA meant the Agreement together with all the Schedules and the contents and specifications of all the volumes of the RFP. Schedule-VI of the MSA stipulated the terms of payment schedule. While Schedule-VIII was the Service Level Agreement (SLA) entered between MEA and the Service Provider (SP). The SP was expected to comply with a set of 27 parameters given in Service Level Metrics (**Annexe-II**) under the SLA. The SLA specified the expected levels of service to be provided by the SP to the various stakeholders of the Project. This expected level was called the baseline service level (baseline metrics). Payment of the Quarterly Transaction Charges (QTC) to the SP was linked to the compliance with the SLA metrics. As per clause 4.2(d) of RFP, the SP was to get 100 *per cent* of QTC if the baseline performance metrics are complied. The SP will get lesser payment in case of a lower performance as per the score specified in SLA.

Specific audit findings related to MSA and SLAs are discussed in the succeeding paragraphs:

4.2.1 Inconsistency in clauses of MSA

Clause 2(c) of Schedule VI of MSA stipulated that “The entire remaining cost for implementing, operating and maintaining the Passport Seva system would be borne by the SP and recovered through the two types of Service Charges quoted by him in the commercial proposal and accepted by MEA, in respect of the following two categories of Services.

- i. Passport services which required printing of a new passport booklet and
- ii. All miscellaneous services; that did not require the printing of a new passport booklet.

Clause 2(k) of Schedule VI of MSA stipulated that “The service provider shall be paid by MEA at the end of each quarter depending upon the number of transactions logged in that quarter for each of the categories of service and subject to SLA terms specified in the agreement between SP and MEA”. This clause shows that the service charges quoted by SP would be paid by the MEA.

However, clause 2(e) of the agreement stipulated that “The service charges for the applicants, who apply online, for both the above categories of service, would be 75 *per cent* of the basic service charges quoted above. This was to be done to encourage citizens to do transactions online.” Clause 2(j) of Schedule VI stipulated that citizens would be suitably notified about the schedule of service charges and Service Provider would provide appropriate publicity to this. These two clauses of MSA suggests that the service charges for implementing, operating and maintaining the Passport Seva system are to be paid by the applicants to the SP and the online applicants will get a discount of 25 *per cent*. However, as per the system adopted by the Ministry, the applicants pay Passport Fee to the government which is fixed (no discount available to online applicants) and it is the Ministry who pays service charges to the SP and Ministry gets discount of 25 *per cent* in service charges for the online applicants.

Thus, clause 2(e) and 2(j) are not consistent with clause 2(k). It was not clear whether the government had any intention to provide discount to the online applicants. This inconsistency among clauses of MSA needs to be removed.

The Ministry stated (November 2015) that if two or more clauses in any agreement are ambiguous or contrary to each other then interpretation of clauses should be in accordance with principle of harmonious interpretation. The reply of the Ministry is not convincing as the terms of the agreement indicated

that the applicants, who apply online, would get a discount of 25 *per cent* which was not envisaged in the scheme adopted by the Ministry. Also, there was no relevance for clause 2(j) to provide publicity to the service charges as the applicants were not required to pay these charges to the SP.

Recommendation: The Ministry may examine clauses of MSA and take appropriate action to remove inconsistencies.

4.2.2 Change in definition of Walk-in Applicant

The MSA recognised two categories of applicants – Walk-in and On-line. The following rates (**Table : 4.1**) were applicable for providing Passport Services which require printing of a new passport booklet:

Table : 4.1

Walk-in and Online rates

(i) Walk-in applicants	₹ 199 (if quarterly volume is less than 15 lakh)
(ii) On-line applicants	₹ 149.25 (if quarterly volume is less than 15 lakh)

Walk-in applicants were those, who manually filled the application form in the PSK and counter operator assisted them in filling the application form and capturing the details in the system from the physical application form. After completing the data entry and after confirmation from the applicant, counter operator had to submit the application into the system for obtaining appointment to visit desired PSK. As compared to this, on-line applicants were those who had already completed all those activities them self, before visiting the PSK on the appointment date and time. As in case of walk-in-applicants in comparison with online applicants, more services were to be provided by the service provider, the service charge rates for the walk-in-applicants were higher than that of the online applicants.

Audit scrutiny revealed that the system of 100 *per cent* online appointment was made applicable from 26 July 2012 due to change in definition of walk-in. Scrutiny of bills of Service Provider revealed that payment of walk-in applications @ ₹ 199 per application were still in existence till May 2015. The Ministry had paid ₹ 81.30 lakh (**Annexe-III**) from inception of the project to May 2015 for walk-in applicants to M/S TCS.

The Ministry clarified (November 2015) that the citizens who were seeking official/diplomatic passports visited PSKs without ARN¹ and the entire data was keyed in from physical application forms and were undertaken by Service Provider in 'A' zone of PSK and therefore payment of ₹ 199 per application for walk-in application was correct and not erroneous.

This reply was not acceptable as audit noted from the annual data published for the year 2013 and 2014, that only 4086 applications for seeking official and diplomatic passport were undertaken by the service provider, whereas, the payment for 27198 applications amounting to ₹ 54.12 lakh was made on account of walk-in-application. Thus, the Ministry made an overpayment of ₹ 11.50 lakh² to the Service Provider, which needs to be recovered.

4.2.3 Reward to service provider on peak hour terminology

During the RFP stage, it was assumed that 80 *per cent* applicants would apply manually (walk-in) and 20 *per cent* would apply online. A concept of peak hour and non-peak hour was envisaged to handle the rush and volume and reward the SP to meet the target. However, as per Change Control Note (CCN) 0147 (July 2012), the definition of walk-in was changed to walk-in with ARN which needed online filling of form before the visit to PSK. Thus, the reward related to the peak hour performance was required to be modified accordingly.

Audit observed that for walk-in applicants, the baseline time for service rendering was less than 45 minutes, with penalty for more than or equal to 45 minutes and reward for less than 30 minutes. In case of on-line applicants the respective performance parameters were 25 minutes and 18 minutes respectively. Since all the applications are online now, the clause related to walk-in applicants is no longer relevant and the performance indicators of online applicants should have been applied to the applicants with ARN. Audit noted that an amount of ₹ 61.49 lakh had been made to the service provider during September 2012 to May 2015 on the basis of performance indicator related to walk-in applicants which was not justified.

¹ ARN is Application Reference Number. It is a print-out of acknowledgement receipt after the citizen had filled-in online application.

² (Number of walk-in applications for which payment was made is 27198 @ ₹ 199 less number of applications actually for which services relating to official/diplomatic passports were rendered 4086) x ₹ 49.75

The Ministry stated (November 2015) that as per NISG recommendation entire day of PSK operation was to be treated as a peak hour day which would have costed Ministry additional payment of bonus/reward amounting to ₹ 2.00 crore per quarter. It further stated that now it had decided to regulate flow of citizens for passport related services through online appointments.

The reply is not convincing as after the change in the system, there was no concept of walk-in applicants where the PSK would require to do data entry of the application also. Hence, keeping the baseline time for service delivery in case of Walk-in applicants as 45 minutes and for payment of reward as less than 30 minutes was not justifiable.

Recommendations: Ministry may review the mechanism of payment of reward to the SP in line with the change in the system.

4.2.4 Change in calculation of average time spent by citizens in PSK

Payment was released to the service provider quarterly on the basis of quarterly data furnished by the SP. Payment of the quarterly transaction charges payable to SP was linked to the compliance with the SLA metrics laid down in the table provided in Appendix A to Schedule VIII of the MSA (**Annexe-II**). The table also specified the limits and metrics for lower/higher performance and breach levels. The SP would get 100 *per cent* of quarterly transaction charges, if the baseline performance metrics were complied. The SP would get lesser payment in case of a lower performance/breach level and higher payment in case of a higher performance. The methodology for calculation of average time spent by the citizen in PSK given in SLA of MSA was revised as per the **table 4.2**:

Table 4.2
Audit findings on deviations in SLAs

Sl. No.	SLA as per MSA	Revised methodology in SLAs	Audit Findings
1.	According to SLA 1, 45 minutes (baseline metrics) were meant for walk-in citizen and according to SLA 2, 25 minutes (baseline metrics) were meant	The system has become 100 <i>per cent</i> online w.e.f. July 2012 (CCN 0147) wherein walk-in category has been changed	In case of a walk-in citizen, personal particulars in the manual application had to be filled-in by the SP, but now since the system had become 100 <i>per cent</i> online, there is no

Sl. No.	SLA as per MSA	Revised methodology in SLAs	Audit Findings
	for online citizen. SLA 1(Walk-in) - Average must be achieved with the time spent by 99 <i>per cent</i> or more of the citizens in PSK being within 45 minutes for the baseline metric score.	to walk-in with ARN. SLA1 (Walk-in with ARN) – Average service time of 90 <i>per cent</i> citizens/tokens must be within 45 minutes for the baseline metric score	requirement of manual feeding of personal particulars by the SP in the category of walk-in with ARN. Hence payment to service provider on the basis of 45 minutes in case of walk-in with ARN was incorrect. Since quarterly payments to the service provider were based on this measurement, by reducing number of citizens from 99 <i>per cent</i> to 90 <i>per cent</i> (SLA No. 1 and 2) and from 95 <i>per cent</i> to 90 <i>per cent</i> (SLA No. 3 and 4) for calculating average time spent by the citizens in PSKs, the service provider is unduly benefitted by getting more baseline metric scores. As change in the methodology of calculation had direct impact on the payments being made to SP, change in favour of SP without justification was incorrect.
2.	SLA2 (Online) - Average must be achieved with the time spent by 99 <i>per cent</i> or more of the citizens in PSK being within 25 minutes for the baseline metric score.	SLA2 (Online with appointment) - Average service time of 90 <i>per cent</i> citizens/tokens must be within 25 minutes for the baseline metric score.	
3.	SLA3 (Walk-in) - Average must be achieved with the time spent by 95 <i>per cent</i> or more of the citizens in PSK being within 30 minutes and the time Spent by 4 <i>per cent</i> or less of the citizens being within 45 minutes for the baseline metric score.	SLA3 (Walk-in with ARN) - Average service time of 90 <i>per cent</i> citizens/tokens must be within 45 minutes for the baseline metric score.	

Sl. No.	SLA as per MSA	Revised methodology in SLAs	Audit Findings
4.	SLA4 (Online)- Average must be achieved with the Time Spent by 95 <i>per cent</i> or more of the citizens in PSK being within 18 minutes and the time Spent by 4 <i>per cent</i> or less of the citizens being within 25 minutes for the baseline metric score.	SLA4 (Online with appointment) - Average service time of 90 <i>per cent</i> citizens/tokens must be within 25 minutes for the baseline metric score.	
5.	In case of SLA 3, average time spent by citizen walk-in during non-peak hours was as under; Baseline Metric - < 30 minutes Lower performance - >= 30 minutes Breach - > 45 minutes	Average time spent by citizen (walk-in with ARN) at PSK during Non-Peak Hours Baseline Metric - < 45 minutes Lower performance - >= 45 minutes Breach - > 60 minutes	According to present system, walk-in with ARN applicant had to take online appointment by himself; therefore online time as given below should have been applicable to walk-in applicant. Baseline Metric - < 18 minutes Lower performance - >= 18 minutes Breach - > 25 minutes

The Ministry stated (November 2015) that SLA 1 to 4 as contained in RFP were recommended by National Institute of Smart Government and as per RFP, review of SLAs were required to be conducted at specific time interval. Therefore, SLA 1 to 4 has been revised and NISG in its report also recommended that entire day of PSK operation might be treated as a peak hour day. The Ministry further stated (November 2015) that because of the social behaviour factors, 10 *per cent* citizens were not turning up at the counters after issue of tokens which was beyond the control of the Service Provider, therefore, care had been taken not to penalise the Service Provider.

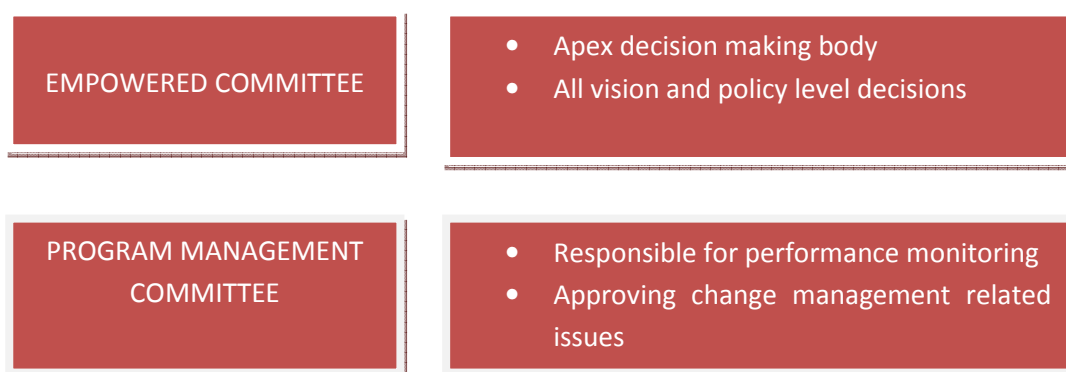
Reply of the Ministry is not acceptable as in case of SLA 1, the system of applying for passport related services was changed by the Ministry after entering into MSA. The change in the system led to considerable reduction in the time taken by the SP to process the applications as all the applications are now online applications. In respect of change in methodology due to social behaviour factors

based on the report of NISG, it may be noted that the CCNs to make above changes were made in July 2012 which did not include any justification for the changes whereas the study report of NISG was given to the Ministry in November 2012. Moreover, NISG, in its report had not given any quantitative analysis of social behaviour. No quantitative analysis supporting the argument that 10 per cent of citizens were not turning up at the counter after issue of tokens was made available to audit.

Recommendation: The performance parameters for SLA 1 need revision in line with change in the system. Also, changes in methodology of calculation of SLAs should be based on adequate justification.

4.3 Governance structure-deficiencies

Clause 4.1 of Schedule-IV of the Master Service Agreement (MSA) of the Passport Seva Project prescribed the program governance structure to monitor the implementation of the project and provided guidance as required. The MSA envisaged a governance and implementation structure as given below:



The governance structure was to establish and maintain the processes for:

- managing the relationship between the Ministry and the service provider;
- defining the principles to be followed to ensure the delivery of the services, ensure the continued alignment of the interests of the parties;
- ensure the relationship maintained at the correct level within each party;
- create the flexibility to revise and maintain the relationship.

As noted above, the MSA (RFP vol.-III) prescribed a governance structure with well-defined and clearly segregated roles for each level. However, it was seen that in actual implementation top level governance and monitoring was largely absent as detailed below:

4.3.1 Empowered Committee

The Empowered Committee, constituted by MEA was responsible for taking all decisions related to overall vision and policy matters. MEA constituted Empowered Committee consisting of Foreign Secretary as chairman and AS (CPV), AS (FA), JS (PSP & CPO), JS (eG & IT), Secretary (DeitY)³ as members of the Committee. Director (PSP & Project Director) was assigned as convener of the Empowered Committee. The Empowered Committee was required to meet at least once in six months.

Audit scrutiny of records showed that the Empowered Committee met only three times i.e. on 11 January 2007, 16 February 2007 and 09 July 2007, till August 2015. Audit further noticed that policy decisions like compulsory online registration and definition of walk-in applicant were taken without the approval of the Empowered Committee (Para 4.2).

The Ministry stated (November 2015) that meeting of the Empowered Committee was essential before finalisation of the RFP/MSA, signing of the contract with the successful bidder and it had played crucial role during finalisation of Detailed Project Report and Request for Proposal. Thereafter, the Programme Management Committee headed by AS (CPV) took the lead role in implementation of the Project.

The Ministry's reply is not acceptable, as proposal for compulsory online registration was also discussed in the Empowered Committee on PSP held on 09 July 2007, and it was decided that system should provide both for walk-in applicants as well as for online registration. Later on, compulsory online registration was made without the concurrence of Empowered Committee. The fact remained that Empowered Committee had not met as prescribed and important policy matters were not approved by the Empowered Committee.

Recommendation: Empowered Committee should meet once in six months and overall vision and policy matters should be routed through it as prescribed.

4.3.2 Program Management Committee (PMC)

MEA constituted PMC consisting of AS (CPV) as chairman and JS (PSP & CPO), Project Director, Director (Fin) as member. Representatives of SP and NISG, STQC, NIC, ISP Nashik and India Post could be called in the Committee meetings on need basis. Principal Consultant (Tech) was assigned as convener of the committee.

³DeitY - Department of electronics and technology

The PMC was required to meet at least on monthly basis and cover the following items:

- (i) consideration of monthly Performance Reports;
- (ii) consideration of matters arising out of the Change Control Schedule;
- (iii) matters to be brought before the PMC in accordance with the MSA and the Schedules;
- (iv) any matter brought before the PMC by the Service Provider under this Article;
- (v) any other issue which either Party wishes to add to the agenda.

Scrutiny of records revealed that no meetings were conducted by the PMC. As a consequence of a non-working PMC, the following were noticed:

- All Change Control Notes (CCNs) and changes in SLA were made without approval of the PMC. A total of 41 CCNs were carried out for which a payment of ₹ 11.59 crore (**Annexe-IV**) was made to TCS. In the absence of a working PMC, technical review of the CCNs were not made and the Ministry could not verify the need of the CCNs or their costing.
- It was noticed that SLAs related to performance requirements by the vendor and breach metrics were revised. These changes always entailed a relaxation of the parameters in favour of the Service Provider.

The basic purpose of formation of PMC i.e. consideration of monthly performance reports, consideration of matter arising out of the Change Control Schedule, etc., stood defeated.

The Ministry stated (November 2015) that AS (CPV), met frequently during the entire execution period and roll-out/post roll-out period and similarly JS (PSP & CPO) reviewed the progress of the project execution on a weekly basis and also met RPO's on regional basis to sort out issues faced by them.

The Ministry did not reply why PMC had not met as prescribed and why important CCNs due to which payment of ₹ 11.59 crore had been paid to Service Provider and relaxation in SLA requirement had not been routed through the PMC.

Recommendation: PMC should meet once in a month as prescribed and all-important CCNs and relaxation in SLA requirements should be routed through it.

4.4 Non-submission of information to audit on legacy Data Migration

As per Clause 12 of RFP vol.-I, the Service Provider was to perform the data digitization & migration from manual and/or the previous systems to the Database of new Passport system. The data digitization and migration had to be preceded by a data migration methodology, prepared by SP and approved by CPV/MEA. Following requirements were to be fulfilled at the time of data migration:-

- (a) Provide checklist from the migrated data to Project Director for verification, including number of records, validations, highlight errors, abnormalities and deviations.
- (b) A final approval of Project Director for migrated/digitized data.

Audit requisitioned the data regarding migration methodology prepared by service provider and approved by the Ministry and approval of the Project Director for migrated/digitized data, which was not provided to audit.

The Ministry stated (November 2015) that a document on data migration methodology (Data Migration Rules Specification version 1.5) was prepared by the Service Provider and approved by the MEA and more than 70 million records were migrated as part of the base data migration process. However, this document was not shared with Audit.

In the absence of production of any record relating to data migration despite several requests during audit and in the absence of production of any evidence with the reply (final approval of Project Director for migrated/digitized data), audit was not able to ascertain whether legacy data as maintained in PISON (previous system) was actually transferred to PRIDE (new system) or not.

4.5 Internal controls related to reconciliation of receipts

We examined the internal controls related to reconciliation of receipts (online as well as at PSKs) from passport services. We observed following:

- Normal passport fee was collected online at the time of applying for passport. However Tatkaal fees and penalties were collected from the

applicants in cash at PSKs and RPO. Scrutiny of records revealed that a bipartite agreement had been signed only between TCS and SBI with respect to banking arrangements on Passport Seva Project, whereas the Ministry which was responsible for transfer of its receipts to CFI was not even a party in the agreement.

- Application fees received online is directly deposited in the SBI account. No periodic reconciliation of these receipts with online applications was done by the Ministry.

The Ministry replied (February 2016) that tripartite agreement among accredited bank, service provider and Ministry was being finalised. It further stated that in respect of online receipt, test check was conducted on 6 January 2016 and reconciliation was being carried out between SBI and TCS. The reply of the Ministry is not acceptable as no such reconciliation was done during the period covered under review. Moreover, reconciliation of online receipts needs to be done by the Ministry also.

Conclusion

The terms of MSA were not drafted by the Ministry carefully. Ministry also made payment of incentives as per the old system which was not justifiable. Further, deviation in the methodology of calculation i.e., by reducing number of citizens from 99 *per cent* to 90 *per cent* and from 95 *per cent* to 90 *per cent* had direct impact on the payments being made to SP. PSP prescribed programme governance structure (Empowered Committee, Programme Management Committee) to monitor the implementation of the Project and provide guidance. The prescribed meetings of Empowered Committee were not held and a number of policy decisions were carried out without its approval. As the Programme Management Committee was not met, all Change Control Notes relaxing SLA parameters were carried out without the approval of the PMC. In the absence of requisite meetings of governance level committees, programme governance was

weak. Internal controls related to reconciliation of online receipts were weak as no periodic reconciliation of these receipts with online applications was done by the Ministry.

New Delhi
Dated: 7 March 2016



(MUKESH PRASAD SINGH)
Director General of Audit
Central Expenditure

Countersigned

New Delhi
Dated: 11 March 2016



(SHASHI KANT SHARMA)
Comptroller and Auditor General of India

Annex

Annex – I
(Refer to Para No. 3.3)
Waiting time at PSKs of Delhi

Fortnight	Name of PSK	Category of PSK	Average no. of Applications processed per day	Counters A (RFP)	Operational Counters (A)	Shortage (-)/ Excess (+)	Wait time A (in minutes)	Counter B (RFP)	Operational Counters (B)	Shortage (-)/ Excess (+)	Wait time B (in minutes)	Counter C (RFP)	Operational Counters (C)	Shortage (-)/ Excess (+)	Wait time C (in minutes)	Total wait time A+B+C (in minutes)
Jan 1 to Jan 15	Bhikaji Cama Place	Medium	250	20	7	-13	0.92	5	3	-2	20.54	3	2	-1	15.83	37.29
	Gurgaon	Large	598	30	10	-20	7.09	8	3	-5	54.62	4	3	-1	13.28	74.99
	Herald House-ITO	Large	1046	30	25	-5	7.96	8	10	2	54.57	4	7	3	14.79	77.32
	Shalimar Place	Large	525	30	12	-18	4.57	8	4	-4	10.98	4	4	0	30.98	46.53
Jan 16 to Jan 31	Bhikaji Cama Place	Medium	248	20	8	-12	0.73	5	3	-2	15.3	3	2	-1	17.07	33.1
	Gurgaon	Large	539	30	12	-18	6.51	8	4	-4	54.91	4	3	-1	11.01	72.43
	Herald House-ITO	Large	947	30	28	-2	8.46	8	11	3	44.33	4	7	3	16.09	68.88
	Shalimar Place	Large	509	30	14	-16	5.29	8	4	-4	10.2	4	4	0	34.73	50.22
Feb 1 to Feb 15	Bhikaji Cama Place	Medium	326	20	9	-11	4.23	5	3	-2	13.76	3	2	-1	17.65	35.64
	Gurgaon	Large	594	30	12	-18	6.65	8	4	-4	46.1	4	4	0	7.84	60.59
	Herald House-ITO	Large	1104	30	28	-2	8.48+	8	12	4	40.84	4	7	3	14.35	63.67
	Shalimar Place	Large	540	30	14	-16	6.51	8	4	-4	13.64	4	4	0	26.57	46.72
Feb 16 to Feb 28	Bhikaji Cama Place	Medium	394	20	9	-11	7.37	5	3	-2	23.64	3	2	-1	17.79	48.8

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March 1 to March 15	Gurgaon	Large	655	30	12	-18	7.72	8	4	-4	52.56	4	4	0	8.53	68.81
	Herald House-ITO	Large	1273	30	28	-2	9.16	8	12	4	69.23	4	6	2	29.32	107.71
	Shalimar Place	Large	661	30	14	-16	7.87	8	4	-4	13.7	4	4	0	31.32	52.89
	Bhikaji Cama Place	Medium	323	20	9	-11	7.44	5	3	-2	18.5	3	2	-1	16.76	42.7
	Gurgaon	Large	518	30	12	-18	9.2	8	4	-4	43.78	4	4	0	9.58	62.56
	Herald House-ITO	Large	1114	30	28	-2	7.42	8	12	4	59.53	4	6	2	24.58	91.53
	Shalimar Place	Large	570	30	14	-16	5.23	8	4	-4	12.35	4	4	0	24.29	41.87
March 15 to March 30	Bhikaji Cama Place	Medium	296	20	8	-12	7.19	5	3	-2	20.12	3	2	-1	33.04	60.35
	Gurgaon	Large	543	30	11	-19	7.7	8	4	-4	60.94	4	3	-1	12.04	80.68
	Herald House-ITO	Large	1495	30	25	-5	8.76	8	10	2	61.1	4	6	2	33.73	103.59
	Shalimar Place	Large	577	30	13	-17	5.46	8	4	-4	13.4	4	3	-1	26.15	45.01
April 1 to April 15	Bhikaji Cama Place	Medium	282	20	8	-12	7.06	5	3	-2	20.41	3	3	0	26.3	53.77
	Gurgaon	Large	554	30	12	-18	7.27	8	4	-4	60.16	4	4	0	15.29	82.72
	Herald House-ITO	Large	1344	30	28	-2	6.68	8	12	4	66.24	4	8	4	27.39	100.31
	Shalimar Place	Large	595	30	14	-16	4.49	8	4	-4	18.85	4	3	-1	26.73	50.07
April 16 to April 30	BhikajiCama Place	Medium	326	20	8	-12	8.92	5	3	-2	24.58	3	3	0	21.48	54.98
	Gurgaon	Large	668	30	12	-18	7.03	8	5	-3	60.72	4	3	-1	13.37	81.12
	Herald House-ITO	Large	1436	30	27	-3	7.86	8	12	4	80.65	4	7	3	26.45	114.96
	Shalimar Place	Large	641	30	14	-16	4.73	8	4	-4	14.7	4	3	-1	21.53	40.96
TOTAL			21491	880	485	-395	151.07	232	179	-53	1174.95	120	129	9	665.86	2052.77

Annex-II
(Refer to Para No. 4.2, 4.2.4)
Service Level Metrics

SLA No.	SLA Parameter	Baseline Metrics		Lower Performance		Higher Performance		Breach	Method of Measurement
		Metric	Score	Metric	Score	Metric	Score	Metric	
I. Efficiency Parameters									
IA. External Efficiency (Baseline Score = 30)									
1.	Average Time Spent by citizen (walk-in) at PFC during Peak Hours (Wait time + Service Time) [Average must be achieved with the Time Spent by 99% or more of the citizens being within 45 minutes]	<45 minutes	8	>=45 minutes	4	<30 minutes	12	>60 minutes	1. Average for a quarter for each PFC 2. Measured from the time a token is issued to the time full set of services are completed 3. PH for this metric will be a span of 2 hours to be identified by SP in consultation with MEA at the beginning of every year
2.	Average Time Spent by citizen (online) at PFC during Peak Hours (Wait time + Service Time) [Average must be achieved with the Time Spent by 99% or more of the citizens being within 25 minutes]	<25 minutes	4	>=25 minutes	2	<18 minutes	6	>35 minutes	1. Average for a quarter for each PFC. 2. Measured from the time a token is issued to the time full set of services are completed 3. PH for this metric will be a span of 2 hours to be identified by SP in consultation with MEA at the beginning of every year
3.	Average Time spent by citizen (walk-in) at PFC during Non-Peak Hours (Wait time + Service Time) [Average must be achieved with the Time Spent by 95% or more of the citizens being within 30 minutes and the Time Spent by 4% or less of the citizens being within 45 minutes]	<30 minutes	7	>=30 minutes	3			>45 minutes	1. Average for a quarter for each PFC. 2. Measured from the time a token is issued to the time full set of services are completed 3. NPH for this metric will be all those hours not identified as PH

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SLA No.	SLA Parameter	Baseline Metrics		Lower Performance		Higher Performance		Breach	Method of Measurement
4.	Average Time spent by citizen (online) at PFC during Non-Peak Hours (Wait time + Service Time) [Average must be achieved with the Time Spent by 95% or more of the citizens being within 18 minutes and the Time Spent by 4% or less of the citizens being within 25 minutes]	<18 minutes	3	>=18 minutes	2			>25 minutes	1. Average for a quarter for each PFC. 2. Measured from the time a token is issued to the time full set of services are completed 3. NPH for this metric will be all those hours not identified as PH
5.	Average Turnaround time of passport application related requests-response cycle (except transactions involving document upload) including initial page loading during application process on Portal [Average must be achieved with maximum turnaround time for 90% or more of the sample cases being within 5 seconds, and maximum turnaround time for 9% or less of the sample cases being within 8 seconds]	<5 seconds	4	>=5 seconds	2	<2 seconds	5	>8 seconds	1. End-user measurement system (automated measurement as part of SLA tool) will be adopted and frequency of measurement shall be 4 test transactions per hour during 6 AM to 11PM and 1 transaction per hour during 11 PM to 6 AM. 2. Measured as the elapsed time between the action link/button being clicked and its response appearing on portal. 3. Measured over a leased circuit or equivalent of 64kb/s. 4. Test data to be identified distinctly and path taken by test data to be similar to real transaction. 5. Cache to be cleared before measuring 6. DNS servers should simulate access by end user and not answered locally
6.	Average Turnaround time for transactions involving document	<45 seconds	4	>=45 seconds	2	<30 seconds	5	>60 seconds	1. End-user measurement system (automated

SLA No.	SLA Parameter	Baseline Metrics		Lower Performance		Higher Performance		Breach	Method of Measurement
	upload on Portal [Average must be achieved with maximum turnaround time for 90% or more of the sample cases being within 45 seconds, and maximum turnaround time for 9% or less of the sample cases being within 60 seconds]								measurement as part of SLA tool) will be adopted and frequency of measurement shall be 1 test transaction per hour during 6 AM to 11 PM. 2. Measured as the elapsed time between the action link/button being clicked and its response appearing on portal. 3. Measured over a leased circuit or equivalent of 64kb/s with attachments of 300 Kb for each test case. 4. Test data to be identified distinctly and path taken by test data to be similar to real transaction. 5. DNS servers should simulate access by end user and not answered locally
IB. Internal Efficiency (Baseline Score = 15)									
7.	Average request - response cycle time at PFC/PBO for workflow interaction	<3 seconds	7	>=3 seconds	3			>6 seconds	1. Average of all cycles invoked for passport application in a quarter will be computed for measuring compliance. 2. Measured as the elapsed time between the time an action link/button is clicked and the time its response appears. 3. SLA measuring tool will capture the time taken data for all the clients across all the transactions for measuring this metric.

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SLA No.	SLA Parameter	Baseline Metrics		Lower Performance		Higher Performance		Breach	Method of Measurement
8.	Average response time at PFC/PBO for interaction involving document download from Central Server	<4 seconds	8	>=4 seconds	4			>6 seconds	1. Average of all cycles invoked for downloading an application and its attachments in a quarter will be computed for measuring compliance. 2. Measured as the elapsed time between the time a request is submitted and the time the documents appear. 3. SLA measuring tool will capture the time taken data for all the clients across all the transactions for measuring this metric.
II. Effectiveness Parameters (Baseline Score = 35)									
IIA. External Effectiveness (Baseline Score = 14)									
9.	Availability of ALL Services over Internet	>99.9%	5	<=99.9%	2			<99%	1. The statistics from EMS, analysis of event log shall be used to determine availability of online services over the Internet (For this purpose the number of connection failures for the sessions initiated by the internal users shall also be considered). 2. SP shall ensure that all such errors are logged and such logs should be accessible for Review/report through EMS. 3. End-to-end loop back mechanism must be established for checking the availability of services. 4. Even one service being not available will mean no service being available.

SLA No.	SLA Parameter	Baseline Metrics		Lower Performance		Higher Performance		Breach	Method of Measurement
10.	Answering of call within 3 rings by the Call Centre	>99.9% of all the calls	2	<=99.9%	1			<95%	Statistics from call logging and tracing system to be set up by SP
11.	Resolution/closure of a service call by the Call Centre	<2 minutes	2	>=2 minutes	1			>5 minutes	1. Records and logs maintained by SP 2. PMU to check the above records every quarter 3. PMU to conduct random surveys of citizen each quarter
12.	Quality (error-free) Passport services, to the extent of SP's responsibility	100%	5	<100%	0			<99.999%	Citizen Feedback Survey by 3rd Party
II B Internal Effectiveness (Baseline Score = 9)									
13.	Availability of ALL Services at ALL PFCs/ PBOs	>99.9%	5	<=99.9%	2			<99%	1. The statistics from EMS, analysis of event log shall be used to determine availability of online services over the Internet (For this purpose the number of connection failures for the sessions initiated by the internal users shall also be considered). 2. SP shall ensure that all such errors are logged and such logs should be accessible for Review/report through EMS. 3. End-to-end loop back mechanism must be established for checking the availability of services. 4. Even one service being not available will mean no service being available.

Performance Audit of Implementation of Passport Seva Project

SLA No.	SLA Parameter	Baseline Metrics		Lower Performance		Higher Performance		Breach	Method of Measurement
14.	Submission of CCN to PMU/MEA, from the time of request for enhancement/change	<15 days	1	>=15 days	0			>21 days	Records maintained by MEA/CPV/PMU
15.	Timeliness of implementation of Change from the date of approval of CCN/non - CCN, within the agreed time	100%	1	<100%	0			<95%	Records maintained by MEA/CPV/PMU
16.	Employee satisfaction with SP's services (PFC & PBO)	>80%	2	<=80%	1				Employee Survey by PMU
II C Technical Effectiveness (Baseline Score = 12)									
17.	Availability of Passport System at each location (PFC & PBO)	>99.9%	5	<=99.9%	2			<99%	Measured from the logs generated by EMS Server.
18.	Availability of ALL systems at DC & DRC	>99.9%	5	<=99.9%	-3			<99%	Measured from the logs generated by EMS Server.
19.	Availability of Security Solution at DC and DRC	100%	2	<100%	-2			<99.999%	Measured using EMS. (24x7x365 days).
III. Customer-friendliness Parameters (Baseline Score = 20)									
IIIA Environmental Parameters (Baseline Score = 10)									
20.	Cleanliness Index (rating) of PFCs	100%	3	<100%	2			<90%	Inspections by PMU
21.	Operating the Air conditioners during business hours	>99%	2	<=99%	1			<80%	1. Log of Power consumption 2. Except for power outage hours
22.	Wearing of Uniform by the SP personnel at PFCs	100%	1	<100%	0				Inspections by PMU
23.	Comfort, convenience and overall experience (including Ambience and Amenities) at PFC	90%	4	<=90%	2				Citizen Feedback Survey by 3rd Party

SLA No.	SLA Parameter	Baseline Metrics		Lower Performance		Higher Performance		Breach	Method of Measurement	
IIIB Customer Relations (Baseline Score = 10)										
24.	Courtesy to citizens	90%	3	<=90%	1				Citizen Feedback Survey by 3rd Party	
25.	Guidance & help to citizens	90%	3	<=90%	1				Citizen Feedback Survey by 3rd Party	
26.	Professionalism/ Relevant Knowledge/ Communication Skills of agents at PFC	100%	2	<100%	1			<90%	Inspection by PMU	
27.	Exception-handling capability	100%	2	<100%	1			<90%	Inspection by PMU	

- Note: 1. If the measurement tool and/or data equivalent to more than 5% of sample size is missing or unavailable for a particular SLA metric or if the tool is found to be unreliable then the quarterly credit for that metric would be counted as Zero. Further, if such lapses occur in any of the consecutive quarters then this would be treated as breach.
2. The SLA measurement tool designed & developed by SP shall be tested and certified for its accuracy, reliability and completeness by a 3rd Party before it is deployed.
3. With respect to SLA metrics 1 to 4 in the above table; the amounts payable to the SP towards service charges shall be computed PFC-wise basing on the performance of each PFC against SLA.

Annex-III
(Refer to Para No. 4.2.2)

Total Payment made towards Walk-in category

Quarter	Period	Total Transactional Revenue SLA performance	No. of service application walk-in mode	Walk-in PCC	Amount drawn	
					Walk-in amount @ Rs. 199	PCC amount @Rs. 108.23
1 st quarter	12.6.2012 to 31.8.2012	230420601	5121	105	1019079	11364
2 nd quarter	1.9.2012 to 30.11.2012	261231265	1045	2	207955	216
3 rd quarter	1.12.2012 to 28.2.2013	293694260	1987	6	395413	649
4 th quarter	1.3.2013 to 31.5.2013	313960959	5958	3	1185642	325
5 th quarter	1.6.2013 to 31.8.2013	276130176	5739	86	1142061	9308
6 th quarter	1.9.2013 to 30.11.2013	273500000	5461	460	1086739	49785.80
7 th quarter	1.12.2013 to 28.2.2014	329039582	4198	458	835402	49569.34
8 th quarter	1.3.2014 to 31.5.2014	337451962	2064	1205	410736	130417.15
9 th quarter	1.6.2014 to 31.8.2014	352290203	2409	1268	479391	137235.64
10 th quarter	1.9.2014 to 31.11.2014	371556368	1369	1003	272431	108554.69
11 th quarter	1.12.2014 to 28.2.2015	431134019	978	1142	194622	123598.66
12 th quarter	1.3.2015 to 31.5.2015	456315292	709	1286	141091	139183.78
Total					7370562	760207.06
Total Payment made towards Walk-in category					7370562+760207.06 = 8130769.06	

Quarter	Period	No. of service application walk-in mode	Amount drawn
4 th quarter	1.3.2013 to 31.5.2013	5958	1185642
5 th quarter	1.6.2013 to 31.8.2013	5739	1142061
6 th quarter	1.9.2013 to 30.11.2013	5461	1086739
7 th quarter	1.12.2013 to 28.2.2014	4198	835402
8 th quarter	1.3.2014 to 31.5.2014	2064	410736
9 th quarter	1.6.2014 to 31.8.2014	2409	479391
10 th quarter	1.9.2014 to 31.11.2014	1369	272431
Total		27198	5412402

As per published annual data of 2013 and 2014, official and diplomatic services rendered = 4086

Annex-IV
(Refer to Para No. 4.3.2)
Details of CCNs billed and paid to M/s Tata Consultancy Services Ltd

Sl. No.	CCN No	Particulars	Bill Amount	S.Tax	Total Amount (including S.tax) in Rs.	Amount Paid (including S.tax) in Rs.
1.	CCN 0048	Touch Screen Monitor	364960	251994	2290781	2290781
2.	CCN 0139	Manual application submission at RPO in exceptional situation	1005952			
3.	CCN 0142	Additional functionality for PSK VO to send application directly to PBO,GO	517875			
4.	CCN 0148	Bangalore Police Thana users training	150000			
5.	CCN 0156	Manpower Charges	20428571	2524971	22953542	22953542
6.	CCN 0135	Separation of PSK & PBO for Co-located sites" of Dehradun, Shimla and Raipur.	12344484	1180883	13525367	13525367
7.	CCN 0154	Design install and Display Public notice in 77 PSK	1155000	142758	1297758	1297758
8.	CCN 157	Infrastructure Cost- PSP Mobile Application	24563	3036	27599	27599
9.	CCN 0156-II	Manpower Charges	5523810.00	682743	6206553	6206553
10.	CCN 0135-II	AMC for Hardware & software for co-located PSK	2492055	289145	2781200	2781200
11.	CCN 0149	PSP Thana Integration	4113125	508382	4621507	7494713
12.	CCN 0169	Shifting WAN link in Surat RPO	100000	12360	112360	
13.	CCN 0158	Supply of hardware and software for LSI on Passport booklet	2457143	303703	2760846	
14.	CCN 0156-III	Manpower Charges	3,16,66,667	3914000	35580667	35580667
15.	CCN 0181	Camp	1380199	170593	1550790	1550790
16.	CCN 0181-II	Camp during Apr'14-Jul'14	277711	34325	312036	312036
17.	CCN 0158-II	AMC for LSI hardware & software	375315	46389	421704	421704
18.	CCN-156	Manpower Charges	1071429	132429	1203858	
19.	CCN-156-II	Manpower Charges	2809523	347257	3156780	
20.	CCN 0135-II	RE Qtr-1 year 2	540000	66744	606744	606744
21.	CCN 216	Grant Passport with validity in months and to till a specific date	1172619	144936	1317555	4741859
22.	CCN 222	Changes in cancelled/rescheduled appointment opening.	35714	4414	40128	

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Sl. No.	CCN No	Particulars	Bill Amount	S.Tax	Total Amount (including S.tax) in Rs.	Amount Paid (including S.tax) in Rs.
23.	CCN 227	Functionality to download lost/revoked passport data from PSP system for CBI INTERPOL's users.	827381	102264	929645	
24.	CCN 228	Changes in PSP system for new state 'Telangana'	333333	41200	374533	
25.	CCN 229	Changes in Back office functionalities.	1851191	228807	2079998	
26.	CCN 0135-III	RE Qtr-2 year 2	540000	66744	606744	606744
27.	CCN-244	Facility for registering and tracking of the Consular Services	2601190	321507	2922697	2922697
28.	CCN-220	Change in Formats related to LoC Permit Application	386905	47821	434726	9242948
29.	CCN-236	Misc-Enhancement in PSP Back Office	1369048	169214	1538262	
30.	CCN-238	Introduction of Transgender & Orissa will be renamed to Odissa	2005952	247936	2253888	
31.	CCN-239	Misc chages in Dash Board and MIS report	607143	75043	682186	
32.	CCN-247	Display PPT details to Immigration users	535714	66214	601928	
33.	CCN-248	Integration of devices	1482143	183193	1665336	
34.	CCN-249	Misc chages in Diplomatic and Official PPT application	1029762	127279	1157041	
35.	CCN-250	Misc enhancement in PSP online System	809524	100057	909581	
36.	CCN-245	Misc-Enhancement in PSP Back Office	886905	109621	996526	2253889
37.	CCN-253	Special category of appointment in PSK & Camps	1029762	127279	1157041	
38.	CCN-258	Changes in Police Module	89286	11036	100322	
39.	CCN-272	Software Setup & Support Service at Gulbarga PSLK	117772	21329	139101	139101
40.	CCN-135	Resident Engineers Charges 3rd Quarter of Year 2	540000	66744	606744	606744
41.	CCN-158	2 nd Year AMC for LSI	375315	46389	421704	421704
		TOTAL			120345779	115985140

Glossary

Sl.No.	Abbreviation	Full Form
A		
1.	ARN	Application Reference Number
C		
2.	CCNs	Change Control Notes
3.	CDAC	Centre for Development of Advanced Computing
4.	CPO	Central Passport Organisation
5.	CPPF	Central Passport Printing Facility
6.	CPV	Consular Passport Visa
7.	CFI	Consolidated Fund of India
D		
8.	DIT	Department of Information & Technology
9.	DC	Data Centre
10.	DEITY	Department of Electronics & Information Technology
11.	DRC	Disaster Recovery Centre
E		
12.	ECR	Emigration Check Required
F		
13.	FRRO	Foreigners Regional Registration Office
G		
14.	Gol	Government of India
I		
15.	ISP	India Security Press
16.	IT	Information Technology
M		
17.	MIS	Management Information System
18.	MSA	Master Service Agreement
19.	MMP	Mission Mode Project
20.	MEA	Ministry of External Affairs
21.	MRPs	Machine Readable Printers
22.	MTNL	Mahanagar Telephone Nigam Limited
23.	MHA	Ministry of Home Affairs
N		
24.	NISG	National Institute for Smart Government
25.	NIC	National Information Centre
P		
26.	PACCs	Passport Application Collection Centres
27.	PCC	Police Clearance Certificate
28.	PSC	Parliamentary Standing Committee
29.	PP	Personal Particulars
30.	PPP	Public Private Partnership
31.	PIA	Passport Issuing Authority
32.	PVR	Police Verification Report
33.	PMU	Project Management Unit
34.	PSLK	Passport Seva Lagu Kendra

35.	PMC	Program Management Committee
36.	PSP	Passport Seva Project
37.	PSK	Passport Seva Kendra
R		
38.	RPO	Regional Passport Office
39.	RFP	Request for Proposal
S		
40.	SBI	State Bank of India
41.	SLA	Service Level Agreement
42.	SPV	Special Purpose Vehicle
43.	SP	Service Provider
44.	STQC	Standardisation, Testing, & Quality Certification
45.	SMS	Short Messaging Services
T		
46.	TCS	Tata Consultancy Services Ltd.
U		
47.	UT	Union Territory
V		
48.	VC	Verification Certificate
49.	VO-GO	Verification Officer-Granting Officer
50.	VAS	Value Added Service

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