

Excise Complaint Management System

Functional Requirements 1.6

Document version history:

Version	Description	Date
1.0	1. Business requirements for Complaint Management System (CMS) arrived.	18th Feb' 2019
1.1	1. Name changed as Excise Complaint Management (ECMS)' 2. Sections 'Objective' & 'High level business flow of CMS added. 3. Detailed requirements are noted. 4. "Complaint Registration Form for 'Agent'" added. 5. New fields added to Officer's Form	19th Feb' 2019
1.2	1. Telugu label names added to "Public Control Form". 2. 'Complaint Id' syntax added. 3. District codes table added.	20th Feb' 2019
1.3	1. Enquiry Officer functionality added 2. Name change: 'Officer's Form' to 'DC Form' 3. Under DC Login 3.1.Major functionality change in complaint life cycle 3.2.Fields and values modified 4. District codes, #11,12,13 modified	22nd Feb' 2019
1.4	1. Requirement for graphs added	22nd Feb' 2019
1.5	1. Control Room Form/ Complaint Type - Added "Excise Personnel" 2. Enquiry Officer's Form/ Crime Detection - changed to "Crime Detection Status" 3. Enquiry Officer's Form / Complaint Type - Field is made editable to Enquiry Officer 4. Enquiry Officer's Form / Assigned to Enquiry Officer - Changes to ATR Preliminary 5. Enquiry Officer's Form / ATR Preliminary - Changes to fields and values. 6. Enquiry Officer's Form / ATR - Changes made to field type 7. Enquiry Officer's Form / Illicit Liquor - 8. New 'Status' value "ATR Preliminary Submitted" added in Control Room Form, DC From & Enquiry Officer's Form 9. Dashboard - Requirements added	25th Feb' 2019

Version	Description	Date
1.6	<ol style="list-style-type: none">1. 'Status' value "In Progress" is changed to "Assigned" across the business flow.2. 'Status' value "Assigned" is changed to "Assigned to Enquiry Officer" in DC form.3. Control Room Form/ Assigned To values updated4. DC Form / Status values updated5. Enquiry Officer Form - changes made at S#16,17,18,206. Additions in Reports & Graphs7. Colour coding added8. Information on "District Control Room" visibility added	26th Feb' 2019

Objective

Excise Complaint Management System or shortly ECMS has been envisaged as part of accomplishing good governance with respect to the activities associated with Prohibition & Excise Department, Andhra Pradesh.

A robust system is contemplated where the general public could, not only lodge their relevant complaints associated with the department but also to enable the department to be more accountable, responsive and citizen friendly.

High Level Business Flow of ECMS

1. Citizen lodges a complaint through one of the following channels:
 - 1.1. Web
 - 1.2.Mobile app
 - 1.3.Toll free phone
 - 1.4.Email
 - 1.5.Post / In writing
2. All the complaints that are received through various channels are managed by the control room.
3. The control room agent on receiving the complaints, assigns to appropriate officers for necessary action and compliance report.
4. The assigned officers, investigate and submit Action Taken Reports to the control room.
5. The control room agent, after receiving the ATRs/compliance reports, informs the complainant about the resolved issue and collects the feedback from the citizen.

Detailed requirements

1. Web/ Mobile app User:
 - (a)Provided with a CMS link on public domain which opens a page where basic information of the complainant along with the complaint details are furnished.
 - (b)After filling the Public Complaints form, the user clicks on the SUBMIT button.
 - (c)A popup window to be displayed with the following message to the complainant:
"Your complaint is lodged successfully with Complaint Id: xxx-xxxxxx"
 - (d)The complaint registration form on web contains the following fields:

Public Complaint Form /			
S#	Field Name	Field Type	Description
	Personal Details /		
1	Name / పేరు	Alpha	Complainant gives his name. Force field to UPPER CASE.

Public Complaint Form /			
S#	Field Name	Field Type	Description
2	Phone / ఫోన్ #	Numeric	Complainant mentions his phone number. Keep a check to enter valid phone number only.
3	Aadhaar / ఆధార్ #	Numeric	Optional field. Keep a check to enter valid number only.
	Complaint details / ఫిర్యాదు వివరములు		
4	District / జిల్లా	Dropdown list	A drop down list with all the district names of AP.
5	Mandal / మండలం	Dropdown list	A drop down list with all the mandal names contained on respective DISTRICTs of AP.
6	Village / గ్రామం	Dropdown list	A drop down list with all the Village names contained on respective MANDALs of AP.
7	Complaint details / ఫిర్యాదు వివరములు	Text box	Complainant shall be able to describe the issue. Limit Size to 1000 Char
8	Attachment / అనుబంధ వివరములు	Browse	Shall be able to browse upload photo / PDF. Limit max size to 2 MB

2. Toll free number / Post / Email & Other Users:

- In case of complaints received from all other channels, the control room agent collects the information either over the phone or from the written document and fills the basic information form along with the complaint.
- The control room agent logs the CMS application and clicks on the "Register Complaint" button.
- A new window is displayed to record complaint details with same fields as mentioned above in "Public Complaint Form" with an additional field "Complaint Source".
- On submission of data, an alpha-numeric "Complaint Id" is autogenerated. It may be shared on the given mobile number to the complainant for future reference.
- The complaint registration form under control room agent login contain the following fields:

Complaint Registration Form for ‘Agent’			
S#	Field Name	Field Type	Description
1	Name	Alpha	Complainant gives his name. Force field to UPPER CASE.
2	Phone #	Numeric	Complainant mentions his phone number. Keep a check to enter valid phone number only.
3	Aadhaar#	Numeric	Optional field. Keep a check to enter valid number only.
4	District	Dropdown list	A drop down list with all the district names of AP.
5	Mandal	Dropdown list	A drop down list with all the mandal names contained on respective DISTRICTs of AP.
6	Village	Dropdown list	A drop down list with all the Village names contained on respective MANDALs of AP.
7	Complaint details	Text box	Complainant shall be able to describe the issue. Limit Size to 1000 Char
8	Attachment	Browse	Shall be able to browse upload photo / PDF. Limit max size to 2 MB
9	Complaint Source	Dropdown list	Dropdown with the following values: <ul style="list-style-type: none">• Phone• In-writing• Email• SMS• Press/e-Media• EC

3. Control Room Agent:
- (a) Agent Login to CMS application with given credentials
 - (b) All the complaints arrived from various sources by default set "Status" to "New".
 - (c) If a complaint is left unattended for more than 60 minutes, the complaint "Status" is auto-changed to "Pending" and an email/SMS alert is escalated to AS(Enforcement).
 - (d) Further if the record/complaint is unattended for 2 hours, an alert is sent to DOE and it is flagged RED.

- (e) The Control Room Agent verifies the content of the complaint and sets "Complaint Type" appropriately.
- (f) The complaint is then "Assigned To" an appropriate officer for necessary action.
- (g) On submission of the data, the "Status" is set to "Assigned" and the record moves to respective Officer's login.
- (h) If a complaints information is found absurd or with missing data or inappropriate content or with any irrelevant information, then such complaints are marked "Invalid" by changing the "Status" value.
- (i) After the enquiry is conducted by the respective officer, the record is sent back with information like ATR, ATR attachments etc with "Status" set to "Enquiry Completed".
- (j) After verifying it, if necessary, the same record may be assigned again to the officer to review and get back. In such case, "Status" is set to "Review", "Assigned To" the officer and submitted.
- (k) The reassigned complaint "Status" is set to "Assigned" under the officer login.
- (l) All enquiry completed complaints that arrive to the control room agent are communicated to the respective complainants and collects the feedback.
- (m) The "Status" is set to "Closed" marking the end of its life cycle, after the feedback is collected.
- (n) "Complaint Source = EC", complaint is marked for HIGH PRIORITY with a flag to the record.
 - i. "Status=New" for more than 15 min, an email/SMS alert shall be sent to AS(Enforcement)
 - ii. "Status=New" for more than 30 min, an email/SMS alert shall be sent to DOE and flagged RED.
- (o) The Control Room agent sees the following fields:

Control Room Form			
S#	Field Name	Field Type	Description
1	Complaint Id	Alpha-Numeric	NON-EDITABLE Auto generated alpha-numeric value where first three letters shall be the respective district code. (Codes would be given by department)

Control Room Form			
S#	Field Name	Field Type	Description
2	Complaint Source	Readonly text field	Readonly field. Value picked from either Public Complaint Form or from Control Room Agent Form. For complaints arrived from Public Complaint Form the default value shall be “Online”
3	Complainant Name	Alpha	NON-EDITABLE and is as picked from the “Public Complaint form”
4	District	Alpha	NON-EDITABLE and is as picked from the “Public Complaint form”
5	Mandal	Alpha	NON-EDITABLE and is as picked from the “Public Complaint form”
6	Village	Alpha	NON-EDITABLE and is as picked from the “Public Complaint form”
7	Complaint details	Alpha	NON-EDITABLE and is as picked from the “Public Complaint form”
8	Attachments		NON-EDITABLE and is as picked from the “Public Complaint form” Provision to download the attachment.

Control Room Form			
S#	Field Name	Field Type	Description
9	Status	Dropdown list	<p>Dropdown list with the following values:</p> <ul style="list-style-type: none">• New• Unattended• Assigned• ATR Preliminary Submitted• Enquiry Completed• Invalid• Closed• Review <p>(a) The status of the complaints shall be NEW by default.</p> <p>(b) Change Status = "Unattended" - if the complaint pasts 60 min without any action taken by the control room agent from the time of its creation.</p> <p>(c) Change Status = "Assigned" - when the Control Room agent assigns the complaint/ record to an officer.</p> <p>(d) Status = Enquiry Completed - when ATR is received from field.</p> <p>(e) Status = Review - Enable user to reassign the record to officer.</p>
10	Reason	Dropdown list	<p>This field shall be visible and made MANDATORY when status is changed to "Invalid".</p> <p>Dropdown values:</p> <ul style="list-style-type: none">• Not Pertaining to department• Not Verifiable• Not Legible• Others

Control Room Form			
S#	Field Name	Field Type	Description
11	Complaint Type	Dropdown list	Dropdown list with following value: <ul style="list-style-type: none">ID LiquorUnauthorised IMLToddy AdulterationA4 Shop Violation2B ViolationDefence LiquorNDPLSpurious LiquorRS/ENADSGanjaExcise PersonnelOthers
12	A4 Shop Violation	Dropdown list	This field shall be visible only when "Complaint Type = A4 Shop Violation" Dropdown values as follows: <ul style="list-style-type: none">MRPTimingsLoose saleUnauthorised StorageOthers (A4)
13	2B Vioaltion	Dropdown list	This field shall be visible only when "Complaint Type = 2B Violation" Dropdown values as follows: <ul style="list-style-type: none">TimingParcel SaleUnauthorised StorageOthers (2B)

Control Room Form			
S#	Field Name	Field Type	Description
14	Assigned To	Dropdown list	Dropdown list with following DCs for 13 districts and 5 STF teams: <ol style="list-style-type: none"> DC_SKL DC_VZM DC_VSP DC_EG DC_WG DC_KRS DC_GNT DC_PRK DC_NLR DC_CTR DC_KDP DC_ATP DC_KNL STF1 STF2 STF3 STF4 STF5
15	Time Stamp	Time stamp	NON-EDITABLE and it shows the complaint created date and time.
16	ATR	Text box	NON-EDITABLE to Control room user.
17	ATR Upload		NON-EDITABLE to Control room user.
18	Feedback	Text box	Control room agent collects satisfaction feedback from the complainant after informing about the ATR respectively. Limit size to 1000 char

Escalation alerts:

- When “Status” is changed to “Pending” an email alert shall be sent to AS(ENF).
- When “Status” is “Pending” for more that 2 hours, an email alert shall be sent to DOE.

4. DC Form:

(a)The Control Room agent after assigning the complaints to the DC, those officers see their assigned complaints under respective logins.

- (b) DC may assign to a subordinate officer like SHO to investigate and submit necessary report.
- (c) In such case, the complaint "Status" value is set to "Assigned to Enquiry Officer" and the "Assigned To Enquiry Officer" field is set with appropriate officer UID.
- (d) If "Status" is "New (C)" for more than 15 minutes, an SMS/email alert is sent to DC/ASE.
- (e) The received report from enquiry officer maybe approved and "Status" is changed to "Enquiry Completed" and then submitted to Control Room.
- (f) Such records as in # (e) above, shall become READONLY at all levels.
- (g) If the DC sets the 'Status' value to "Review", the DC shall be able to reassign the complaint to any enquiry officer of choice.
- (h) If "Assigned to Enquiry Officer" is set to "Self",
 - i. Then the Enquiry Officer's Form shall be available to DC.
 - ii. All functionality including escalation management applies to DC Form.
- (i) Following fields are visible to an officer under ones login:

DC Form			
S#	Filed Name	Field Type	Description
1	Complaint Id	Numeric	NON-EDITABLE Auto generated numeric value
2	Complaint details	Alpha	NON-EDITABLE and is as picked from the "Public Complaint form"
3	Complaint Type	Readonly field	The field value is picked from Control Room Form.
4	Attachments		NON-EDITABLE and is as picked from the "Public Complaint form" Provision to download the attachment.
5	Mandal	Alpha	NON-EDITABLE and is as picked from the "Public Complaint form"
6	Village	Alpha	NON-EDITABLE and is as picked from the "Public Complaint form"
7	Received Time Stamp	Time Stamp	Assigned Time Stamp of the record.

DC Form			
S#	Filed Name	Field Type	Description
8	Status	Dropdown list	Dropdown list with following values: <ul style="list-style-type: none">New (C)Assigned To Enquiry OfficerATR Preliminary SubmittedReviewEnquiry Completed
9	Assigned to Enquiry Officer	Dropdown list	<p>This field is editable only when Status = “Assigned”.</p> <p>Dropdown list with following values:</p> <ul style="list-style-type: none">SHOESTFENFBMPPCPSelf <p>NOTE: When the field value is “Self” the “Enquiry Officer's Form” shall be available to DC to complete investigation and submit to control room. And the value in the “Inspecting Officer” shall be automatically updated to the respective user/DC name.</p>
10	ATR Preliminary	Popup window	As is submitted by the enquiry officer.
11	Crime Detection	Dropdown list	As is submitted by the enquiry officer.
12	ATR	Text box	As is submitted by the enquiry officer.
13	ATR Attachments	Browse	As is submitted by the enquiry officer.

DC Form			
S#	Filed Name	Field Type	Description
14	Cases booked	Numeric	As is submitted by the enquiry officer.
15	Persons arrested	Numeric	As is submitted by the enquiry officer.
16	Seizure Type	Dropdown list	As is submitted by the enquiry officer.
17	Number of vehicles seized	Numeric	As is submitted by the enquiry officer.
18	Property Type	Dropdown list	As is submitted by the enquiry officer.
19	Quantity seized (Litres)	Numeric with 2 decimal points	As is submitted by the enquiry officer.
20	Illicit Liquor	Dropdown list	As is submitted by the enquiry officer.
21	U/S	Alpha-Numeric	As is submitted by the enquiry officer.
22	Final Remaks	Text box	Before sending back to control room, the DC shall be able to give his remarks on the report submitted by the enquiry officer.

5. Enquiry Officer’s Form

- (a) The DCs after forwarding the complaints to the respective SHOs, those SHOs see their assigned complaints under respective logins.
- (b) The SHO would submit his preliminary report within 2 hours of the complaint received through “ATR Preliminary” option available in the SHO Form.
- (c) If “ATR Preliminary” is not SUBMITTED within 2 hours from the “Received Time Stamp”, an email alert shall be sent to ‘SHO/DC/ASE’.
- (d) After completing the investigation, final report with necessary information like ATR, ATR Attachments, Cases booked etc are updated in SHO Form.
- (e) “Status” is changed to “ATR Submitted” and submitted back to the DC.
- (f) When “Status” is “Assigned” for more than 48 hours calculated from the “Received Time Stamp”, an email alert shall be sent to the SHO/DC/DOE marking such record with RED flag.
- (g) “Complaint Source = EC”
 - (a) If Status” is “Assigned” for more than 24 hours calculated from the “Received Time Stamp”, an email alert shall be sent to the SHO/DC/DOE marking such record with RED flag.

- (h) When 'Status' is set to "Enquiry Completed",
- (i) Following fields are visible to SHO under ones login:

Enquiry Officer's Form			
S#	Filed Name	Field Type	Description
1	Complaint Id	Numeric	NON-EDITABLE Auto generated numeric value
2	Complaint details	Alpha	NON-EDITABLE and is as picked from the "Public Complaint form"
3	Complaint Type	Dropdown list	The field value is picked from Control Room Form. If the enquiry officer would like to correct it, can make necessary changes.
4	Attachments		NON-EDITABLE and is as picked from the "Public Complaint form" Provision to download the attachment.
5	Mandal	Alpha	NON-EDITABLE and is as picked from the "Public Complaint form"
6	Village	Alpha	NON-EDITABLE and is as picked from the "Public Complaint form"
7	Received Time Stamp	Time Stamp	Assigned Time Stamp of the record.
8	Status	Dropdown list	Dropdown list with following values: <ul style="list-style-type: none">AssignedATR Preliminary SubmittedATR Submitted

Enquiry Officer's Form

S#	Filed Name	Field Type	Description
10	ATR Preliminary	Popup window	<p>Following fields shall be visible in the window:</p> <ul style="list-style-type: none">(a) Inspection Date(b) Inspecting Officer(c) Crime Detection Status(d) Crime Location(e) Cr. #(f) Cases booked(g) U/S(h) Persons Arrested#(i) Contraband Seized(j) Contraband Value (INR)(k) Remarks <p>The above fields #d to #j are mandatory only when "Crime Detection Status" is "Detected".</p> <p>After submitting the ATR Preliminary report, the 'Status' shall be changed to "ATR Preliminary Submitted".</p>
11	Crime Detection Status	Dropdown list	<p>This field is displayed in the 'ATR Preliminary' popup window mentioned above at #10</p> <p>Following are the dropdown values:</p> <ul style="list-style-type: none">DetectedNot Detected
12	ATR	Text box	<p>Make it mandatory only when "Crime Detection Status" is "Detected".</p> <p>Limit Size to 1000 Char</p>
13	ATR Attachments	Browse	<p>User shall be able to browse and upload multiple documents of any format.</p> <p>Limit Size of each document to 2 MB</p>

Enquiry Officer's Form			
S#	Filed Name	Field Type	Description
14	Cases booked	Numeric	Value to be entered by the user.
15	Persons arrested	Numeric	Value to be entered by the user.
16	Seizure Type	Dropdown list	Dropdown list with following values: <ul style="list-style-type: none"> Vehicles Contraband Others
17	Number of vehicles seized	Numeric	Shall be visible to the user only when "Seizure Type = Vehicles"
18	Contraband Type	Dropdown list	This field shall be visible only when "Seizure Type = Contraband" Dropdown with the following values: <ul style="list-style-type: none"> Illicit Liquor Beer Jaggery Ganja
19	Quantity seized (Litres)	Numeric with 2 decimal points	
20	Illicit Liquor	Dropdown list	Field is visible only when 'Contraband Type' is "Illicit Liquor" Following are its values: <ul style="list-style-type: none"> Adulterated Toddy NDPL Duty Paid Liquor (IML) Spurious Liquor RS/ENA ID Liquor Wash Others (IL)
21	U/S	Alpha-Numeric	Force to UPPER CASE

Dashboard

Following particulars of the complaints shall be visible to the officer in one's dashboard:

S#	Parameter	FOR THE DAY	UPTO THE DAY
1	No. of Complaints Received		
2	No. Of Complaints Resolved		
3	No. Of Complaints to be attended		
4	No. Of Cases Booked		
5	No. Of Persons Arrested		
6	Volume of illicit liquor seized (Litres)		
7	Value of Liquor Seized (INR)		
8	No. Of Vehicles Seized		
9	Value of Vehicles Seized (INR)		

Syntax of “Complaint Id”

- “Complaint Id” is an alpha numeric string with 13 characters length.
 - Format: **<District Code with 3 letters><Current date in DDMMYY format><4 digit sequence number>**
 - For example, 'Complaint Id' for a complaint received on 18th Feb 2019 from Srikakulam district : **“SKL1802190001”**
 - Every complaint shall be unique and last four digits in the complaint id are incremented for every new complaint in a given day for a given district.
- District codes are as follows:

S#	District	Code
1	Srikakulam	SKL
2	Vizianagaram	VZM
3	Visakhapatnam	VSP
4	East Godavari	EGD
5	West Godavari	WGD
6	Krishna	KRS
7	Guntur	GNT
8	Prakasham	PRK
9	Nellore	NLR
10	Chitturu	CTR

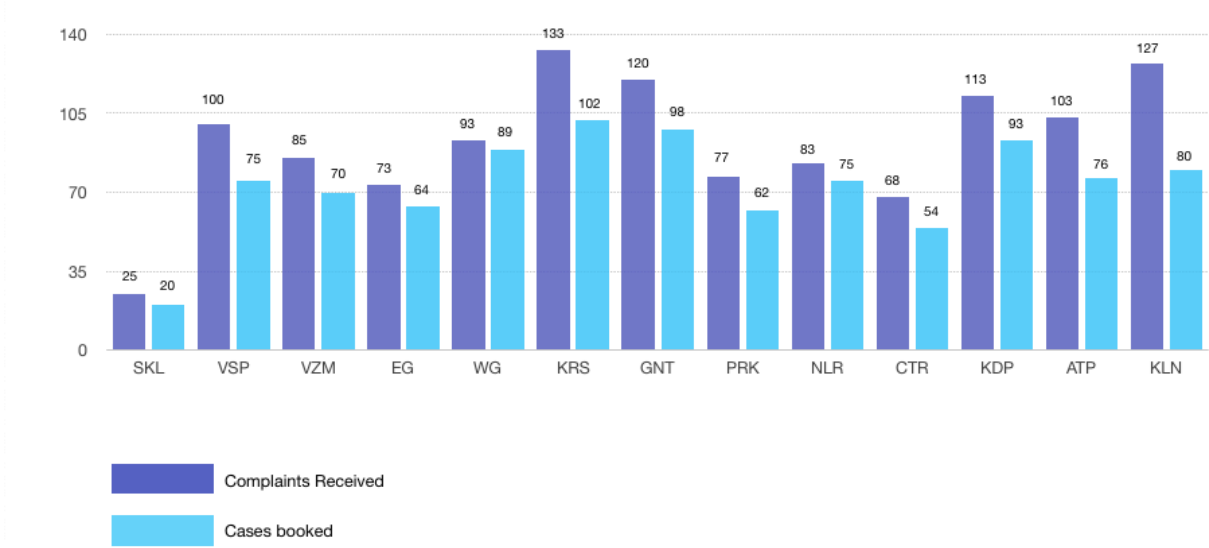
S#	District	Code
11	Cuddapah	KDP
12	Anantapur	ATP
13	Kurnool	KNL

Reports

- 1. Number of cases booked in a given period and / or for a given case type.
- 2. Total persons arrested in a given period and / or for a given case type.
- 3. Contraband seized in a given period and / or for a given case type.
- 4. List of all complaints with RED flag.
- 5. List of complaints for different "Status" values.
- 6. District Specific reports for all the mentioned from #1 to #5 above.
- 7. Daily consolidated report as SMS to CPE & DOE
- 8. "Seizure Type" - requires a dropdown to select the type and generate report.
- 9. All the reports shall be able to generate either district wise or at state level. A dropdown with - All and other 13 district names.

Graphs:

- 1. The following is a sample comparative bar graph with "Districts" on the X-axis and whereas "Complaints Received" and Cases booked" on Y-axis.



- 2. Graph 2
 - 1. Number of complaints received
 - 2. Number of complaints Redressed
 - 3. Number of complaints pending
 - 1. Within 48 hours
 - 2. Beyond 48 hours

- 3. Graph 3

- 1. Number of complaints received
 - 2. Number of complaints Redressed
 - 1. Case Detected
 - 2. Case Not Detected
 - 3. Number of complaints pending
4. Auto generated comparative bar charts similar to as shown above drawn against following parameters 'for the day' and 'upto the day' with "Districts" on X-axis:
- Complaint Source
 - Complaint types
 - Number of cases booked
 - Number of persons arrested
 - Seizure Type

Colour Coding:

S#	Particulars	Colour
1	New Complaint	
2	Unattended Complaint	
3	Assigned	
4	ATR Preliminary Submitted	
5	Enquiry Completed	
6	Invalid	
7	Closed	
8	Review	

District Control Rooms:

- The District Control Room shall perform all the activities similar to the State Control Room except variation in the visibility.
- Shall be able to view only those complaints received at their end.
- Shall be able to assign a complaint only to the respective DC. (No STFs and DCs of other districts)
- Reports similar to State Control Room but concerned to their jurisdiction only.
- No graphs required.