

NOTIFICATION

No:CEO/SWA/EODB/59/2022/2

Dated Guwahati, the 16<sup>th</sup> July, 2022

**Standard Operating Procedure for Query and Grievance Handling for Investors' Facilitation/ Investment Promotion**

The mechanism for handling and management of queries, feedback and grievances from investors wherein systematic recording and ticketing shall be done.

1. **Assignment of Relationship Managers:** All investors who have filled up investment intent form or have received a UBIN through Assam EoDB Portal shall be assigned a relationship manager. The process for assignment shall be as follows:
  - 1.1. **Intent Based assignment:**Assigned by the Single Window Agency through an online process from a list of Relationship Managers updated from time to time for those who have expressed investment intent through email/online intent submission etc. The Name of the existing entity or proposed entity or its PAN card may be used as an identifier for assignment of Relationship Managers.
  - 1.2. **Auto-assignment:** In case relationship managers are not assigned based on submission of intent, then they would be auto-assigned from the list of Relationship Managers updated from time to time at the time of UBIN generation which occurs on submission of the Common Application Form. Assignment by the system will be done based on the number of allocations to each notified relationship manager.
  - 1.3. **Termination of Assignment:**Assignment of Relation ship managers will discontinue after 360 working days of assignment unless there is an active grievance or query or service application in progress.
  - 1.4. **District Relationship Managers:** Whenever an investor visits a district for recce or other purposes for investment the relationship manager can assign the District Relationship Managers from the particular district temporarily till the completion of the visit. District Relationship Managers will also be relationship managers for local investors from the District. All the other rules of assignment and termination shall also be applicable for District Relationship Managers
  - 1.5. **Re-assignment of Relationship Manager-** In case a relationship manager is not assigned to an investor or in case the same was terminated after 360 working days of assignment, a relationship manager may be reassigned automatically on application of a new license/permit/approval or on adding a new unit to CAF or on lodging a new query or grievance. The relationship manager may be also be manually assigned through the portal on request by an investor for any upcoming issues.
2. **Grievance Handling in Single Window Portal**
  - 2.1. Any user with a Grievance shall register the grievance by going to the 'Lodge Grievance' section of EoDB Portal (<https://eodbmis.assam.gov.in/feedbackSystem/public/grievance>)
  - 2.2. The grievance module has two options –
    - 2.2.1. For Registered Users – This option to be selected by aggrieved party with Unique Business Identification Number ie. Users who are registered
    - 2.2.2. For Unregistered users– This option to be selected by aggrieved party with nowith Unique Business Identification Number ie. Users who are not registered or does not have the Unique Business Identification Number
  - 2.3. The following details have to be entered:
    - 2.3.1. Organisation Name
    - 2.3.2. Applicant Name
    - 2.3.3. Mobile Number
    - 2.3.4. E-Mail
    - 2.3.5. District
    - 2.3.6. PAN Card (entity/Self)
    - 2.3.7. Select type of Grievance Category from the following options:
      - Delay in Approvals
      - Payment Related
      - Service Application Related
      - Appeal against previous grievance
      - Others
    - 2.3.8. Optionally Select Department and Service Name
    - 2.3.9. Describe Grievance
    - 2.3.10. Upload relevant attachment(s)
  - 2.4. After entering the Grievance, a ticket ID shall be generated
  - 2.5. Grievance applicant can track status of their grievance through the Track Grievance tab of Single Window Portal ([https://eodbmis.assam.gov.in/feedbackSystem/public/track\\_grievance](https://eodbmis.assam.gov.in/feedbackSystem/public/track_grievance))

- (3)
- 2.6. Automated SMS and Email shall be sent to the applicant when the Grievance is lodged and disposed.
  - 2.7. A feedback form shall pop-up after Department's respond to the grievance, to seek grievance applicant's level of satisfaction
  - 2.8. In case of 'Appeal against previous grievance' the aggrieved party will need to additionally enter ticket ID of previous grievance in addition to the other information.

### 3. Internal Procedure for Assignment of Grievances

- 3.1. All Payment related grievances shall be forwarded to the software agency or system integrator maintaining the Assam Single Window Portal. The agency shall in either respond to the grievance in appropriate manner or forward the grievance to the relevant authority in case it is found that the grievance does not pertain to the software agencies domain within 2 days. The relationship manager shall be also be notified of the various phases of the grievance resolution.
- 3.2. In case of the other types of grievance, if the aggrieved party has mentioned the department name or the specific service about the concerned grievance, then the grievance will be assigned to the concerned nodal officer of the department or any other officer assigned for grievance resolution by the department either of who may be the Department Grievance Officer. In case the department grievance officer upon assessment of the grievance finds the grievance to be not relevant to their Department than he would forward it to the relevant authority. If the nodal officer is not sure of the relevant authority, he may consult with the single window agency and forward the grievance to the relevant authority for resolution. The responsible authority will be the final authority to whom the grievance is assigned for end-to-end resolution
- 3.3. The Department Grievance Officer shall resolve or respond to the Grievance through online mode to the EoDB nodal officer of the Line Department. Any queries shall also be made by him.
- 3.4. In case of 'Appeal against previous grievance' the relevant authority will be re-assigned and an officer senior to the previous grievance officer will be assigned as the new Grievance Officer for the particular grievance.

### 4. Resolution and Closure of Grievance

Upon resolution of a grievance or appropriate addressing of the same the Grievance Officer of the Department shall submit the final response. The final response will be updated in the system of the Relationship Manager who shall be able to process 'Closure' of the grievance. Upon closure of the grievance the same shall be notified to the aggrieved Party

### 5. Handling of Investor Queries

There are two ways to register queries in with Single Window Agency

- Queries through Helpline No.
- Queries through Single Window Portal

#### 5.1. Queries through Single Window Portal

5.1.1. Any query applicant shall register his/her query through EoDB Portal.

#### 5.2. The Query module has two options –

- 5.2.1. For Registered Users – This option to be selected by aggrieved party with Unique Business Identification Number ie. Users who are registered
- 5.2.2. For Unregistered users– This option to be selected by aggrieved party with no with Unique Business Identification Number ie. Users who are not registered or does not have the Unique Business Identification Number

#### 5.3. The following details have to be entered:

- 5.3.1. Organisation Name
- 5.3.2. Applicant Name
- 5.3.3. Mobile Number
- 5.3.4. E-Mail
- 5.3.5. District
- 5.3.6. PAN Card (entity/Self)

#### 5.3.7. Select type of Grievance Category from the following options:

- About Assam EoDB Portal & its technology (queries about features, how to use portal, registration etc)
- Policy & Incentives (queries about policies & incentives)
- Fees and Payment related (queries about how to pay online and other payment related queries)
- UBIN & Common Application Form (Queries about Common Application Form and UBIN)
- Department Specific (Queries specific to a department)
- Others (Queries other than specified above)

5.3.8. Optionally Select Department and Service Name. In department specific queries Department selection to be mandatory

5.3.9. Describe Query

5.3.10. Upload relevant attachment(s)

5.4. After entering the Query, a ticket ID shall be generated

5.5. Query applicant can track status of their queries through the Track Queries tab of Single Window Portal

5.6. Automated SMS and Email shall be sent to the applicant when the Query is lodged and disposed.

- 5.8. Queries through Investor/EoDB user Helpline
- 5.8.1. Any query applicant shall register his/her query through EoDB Helpline No.
  - 5.8.2. Call attendant shall obtain the query and get it registered in the Portal.
  - 5.8.3. The same process of query handling through shall be followed

**6. Internal Procedure for Assignment of Queries**

- 6.1. All Fees and Payment related queries shall be forwarded to the software agency or system integrator maintaining the Assam Single Window Portal. The agency shall in either respond to the Query in appropriate manner or forward the Query to the relevant authority in case it is found that the Query does not pertain to the software agencies domain within 2 days. The relationship manager shall be also be notified of the various phases of the Query resolution.
- 6.2. In case of queries 'About Assam EoDB Portal & its technology' or 'Policy & Incentives' or 'UBIN & Common Application Form' the query will be forwarded automatically to Single Window Agency for resolution
- 6.3. In case of 'Department Specific' queries, then the Query will be assigned to the concerned nodal officer of the department or any other officer assigned for query resolution by the department either of who may be the Department Query Resolution Officer. In case the department grievance officer upon assessment of the Query finds the query to be not relevant to their Department than he would forward it to the relevant authority. If the nodal officer is not sure of the relevant authority, he may consult with the single window agency and forward the Query to the relevant authority for resolution. The responsible authority will be the final authority to whom the Query is assigned for end-to-end resolution
- 6.4. In case of the 'other' queries, if the aggrieved party has mentioned the department name or the specific service about the concerned grievance, then the Query will be assigned to the concerned nodal officer of the department or any other officer assigned for query resolution by the department either of who may be the Department Query Resolution Officer. In case the department grievance officer upon assessment of the Query finds the query to be not relevant to their Department than he would forward it to the relevant authority. If the nodal officer is not sure of the relevant authority, he may consult with the single window agency and forward the Query to the relevant authority for resolution. The responsible authority will be the final authority to whom the Query is assigned for end-to-end resolution
- 6.5. The Department Query Resolution Officer shall resolve or respond to the Query through online mode to the EoDB nodal officer of the Line Department. Any questions or further information from the user shall also be sought by him.
- 6.6. All Queries through the 'Helpline' will be either resolved by the Single Window Agency or a formal query will be asked to be raised through the portal

**7. Resolution and Closure of Queries**

Upon resolution of Queries or appropriate addressing of the same the Query Resolution Officer of the Department shall submit the final response. The final response will be updated in the system of the Relationship Manager who shall be able to process 'Closure' of the Query. Upon closure of the Query the same shall be notified to the party which raised the query

**8. Other mechanisms for Service delivery including Query and Grievance resolution**

- 8.1. All the progression made in the Grievance or Queries shall be updated on a real-time basis and would be available for monitoring by Department and Single Window Agency through online system
- 8.2. Common Escalation matrix for service delivery of all online services shall be used for Grievances and Queries from investors as below:
  - 8.2.1. Escalation System for EoDB Notifications (Pending) for all online services including Grievances and queries

Trigger	Appropriate Authority	Nodal officer of Dept	Escalation Level 1 - Senior	CEO SWA
On Application Day	New Application submitted			
48 hrs to Timeline	Reminder for Processing Application	Reminder for Processing Application	Reminder for Processing Application	
Timeline Day (Morning)	Reminder for last day for Processing Application	Reminder for last day for Processing Application	Reminder for last day for Processing Application	
Timeline	Breach	Breach	Breach	Breach

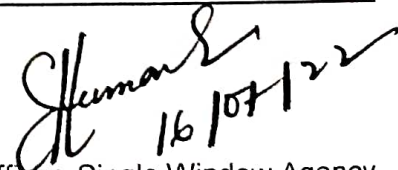
<b>Breach (Next Day Morning)</b>	Notification	Notification	Notification	Notification
<b>48 Hrs Breach/1 Month/100 days Breach</b>	Breach Notification with Breach time	Breach Notification with Breach time	Breach Notification with Breach time	Breach Notification with Breach time

8.2.2. Escalation System for EoDB Notifications (Query Sent to User) for all online services including Grievances and queries

Trigger	User	Appropriate Authority	Nodal officer of Dept
Query Issues	Notification		
48 hrs	Notification		
15 Days	Notification		
29 Days	Notification		
30 Day	Last Day for Resolving Query		
31 <sup>st</sup> Day	Query not Responded. Application Rejected. Kindly Re Apply		
Query Responded Notification (On Time of Response Submission, 1 Day, 3 Day)		Query Response by User Notification (On Time of Response Submission, 1 Day, 3 Day)	Query Response by User Notification (3 Day)

8.2.3. Escalation System for EoDB Notifications (Service Delivered)

Trigger	User	Appropriate Authority	Nodal officer of Dept
Application Approved	Notification		
Application Rejected because inadequacy of submission	Notification		

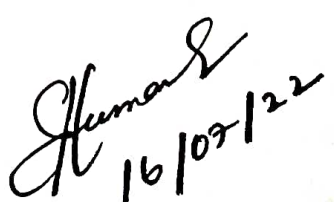
  
16/07/22  
Chief Executive Officer, Single Window Agency  
Udyog Bhawan, Bamunimaidam, Guwahati -21

Dated Guwahati, the 16<sup>th</sup> July, 2022

Memo No:CEO/SWA/EODB/59/2019/

Copy to:

1. Senior Most Secretaries of all Departments, Government of Assam.
2. Nodal Officers of all Departments, Government of Assam.
3. State Information Officer, NIC, Assam.

  
16/07/22  
Chief Executive Officer, Single Window Agency  
Udyog Bhawan, Bamunimaidam, Guwahati -21