

Key Challenges & Process Gaps

Sr. No.	Process Step	Process Description	Remarks/Challenges
1	<ul style="list-style-type: none"> ▶ Apply for License ▶ Annexe supporting documents ▶ Fee deposit 	<ul style="list-style-type: none"> ○ Furnishing information of the applicant ○ To support the information included in the application ○ Fee deposit through treasury challan 	<ul style="list-style-type: none"> ○ Point of application submission is not well-defined ○ Large number of documents/ certificates from several government offices required to complete one application ○ Some redundant supporting documents/certificates included in list of prescribed supporting documents ○ Some particulars included in application may not be relevant or verifiable. ○ Difficult to verify certificates in hardcopy submission ○ Difficult to verify/validate& reconcile each treasury challan ○ No earnest money & security deposit is collected ○ Required Police verification report is issued by police station having limited jurisdiction.
2	<ul style="list-style-type: none"> ▶ Assigning inspecting officer 	<ul style="list-style-type: none"> ○ inspecting officer assigned to inspect the application & visit the proposed site 	<ul style="list-style-type: none"> ○ Inspecting officer is the IoE of the circle under which the premises for licenses is proposed.
3	<ul style="list-style-type: none"> ▶ Application verification & site Inspection 	<ul style="list-style-type: none"> ○ Report of application verification & site inspection by Verifying officer from DoE 	<ul style="list-style-type: none"> ○ Direction to perform a site inspection is only passed on by signing authority ○ Assigning inspecting officer is at the discretion of the collector/ SoE ○ Difficult to conduct background check of applicant or past history of applicant within excise department, since all records are maintained manually ○ Difficult to verify supporting documents issued by other departments ○ Difficult to verify treasury challan ○ Assessment during site visits is prone to inconsistency and subjectivity ○ Verification generally limited to site visit and original documents check, in case the supporting documents include a photo copy only.
4	<ul style="list-style-type: none"> ▶ Endorsement by Collector 	<ul style="list-style-type: none"> ○ Collector's endorsement required for further processing 	<ul style="list-style-type: none"> ○ Collector's endorsement on the application is discretionary
5	<ul style="list-style-type: none"> ▶ Forwarding application for sanction 	<ul style="list-style-type: none"> ○ Sending the application to the sanctioning authority for sanction 	<ul style="list-style-type: none"> ○ After verification, all applications are forwarded to sanctioning authority irrespective of the nature of findings
6	<ul style="list-style-type: none"> ▶ Sanction on request 	<ul style="list-style-type: none"> ○ Sanction decision is taken by sanctioning authority 	<ul style="list-style-type: none"> ○ Sanctioning authority's decision is discretionary ○ Sanctioning authority only passes on the decision to signing authority
7	<ul style="list-style-type: none"> ▶ Issuing license 	<ul style="list-style-type: none"> ○ Signing authority issues the license 	<ul style="list-style-type: none"> ○ Signing authority issue the license on sanction from sanctioning authority ○ The license register is updated manually and kept in the signing authority's office ○ Difficulty in tracking licensees, duplicate licenses, maintenance licensee history, linking with other activities of the licensee ○ No mechanism to update the applicant until the decision on license request for license found other than responding to status query from the applicant.