MANUAL FOR SOCIAL AUDIT

Facilitating Accountability in Social Sector Programmes

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FOREWORD

Over the years the process of social audit has yielded excellent results in terms of establishing accountability and strengthening people's participation and ownership in development programmes. There is a need to prepare trained social auditors on a large scale to meet the requirement in different government programmes. This manual on social audit is intended to be used as a resource in such capacity development initiatives. The manual defines the concept of social audit and details the process of conducting such audits. It also details how participatory methodology can be used in such trainings.

It is a product of an initiative to develop capacities of State level master facilitators on social audit in the States of Chhattisgarh, Madhya Pradesh and Odisha. It was taken up under the Government of India-UNDP 'Strengthening Capacities for Decentralised Planning (SCDP)' project. It was primarily used in preparing master facilitators at the State level. The master facilitators have also used its content for training of local resource persons at district, block and Panchayat levels and brought home very useful information and feedback.

Thus, the manual has been enriched with learning and experiences from various levels. It has imbibed inputs from several rounds of discussions with social audit experts, trainers and senior government officials. The fact that this has been put together and sharpened through a series of capacity building programmes at State, district and sub-district levels adds to its experiential strength. The manual has an expanded compass to include major development schemes implemented in the country (i.e. going beyond the Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS).

This manual can be freely adapted to different programme contexts and requirements. It is presented to the Central Ministries, State governments and the development sector at large to stimulate the capacity development initiatives on social audit and improve service delivery in social sector schemes and programmes.

(Alok Kumar)

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MESSAGE

Successful implementation of government programmes in sectors such as health, education and employment contributes a lot to people's wellbeing. Ensuring accountability in the implementation process has emerged as one of the fundamental factors for success of these programmes. Therefore, social audit processes have been embedded in several of them. More prolific recourse to social audit in course of programme management promises to bring enormous benefits to people.

The need for extensive practice of social audit becomes more pressing with the vastly increased financial devolution to village Panchayats under the award of the Fourteenth Finance Commission. It gives a historic boost to local governance, which can be truly meaningful with proper use of those resources. Planned and organised conduct of social audit can ensure proper utilisation of resources and fulfil unmet needs of people.

The 'Manual on Social Audit' puts forth in simple terms how social audit can be conducted and how people can be trained to facilitate social audit of different schemes and programmes. Derived from the experiences of a range of trainers, it can cater to the learning needs of an array of users.

NITI Aayog hopes that the manual will be widely used by government departments and agencies as well as professionals working with government. We also hope that it will lead to widespread practice of social audit by demystifying its steps and processes, and dissolving apprehensions and attitudinal barriers.

Arvind Panagariya

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Message

India is seeking to address poverty reduction and human development goals by means of many large development schemes. For instance, the Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS) is among the best job guarantee schemes in the world today reaching out to more than 50 million households across the country. Similarly, the mid-day meal (MDM) programme is improving nutritional status of school-age children nationwide. The success of these schemes is critical to the progress of our country on key development indicators.

In course of the last decade and more, it has become clear that social audit processes can significantly strengthen transparency and accountability in these programmes and add to their efficiency and effectiveness. Government of India has already included it in the ambit of many programmes. However, lack of availability of trained social audit facilitators on a large scale is a key constraint, which needs to be removed through systematic capacity development measures.

The resource manual prepared on social audit under the GoI-UNDP 'Strengthening Capacities for Decentralised Planning (SCDP)' project is an important contribution in that direction. The uniqueness of the manual stems from the fact that it is based on experiences of government officials and resource persons in the context of a number of schemes like, PDS, MDM, ICDS, MGNREGS, etc. and that it is verified through actually socially auditing these schemes.

It is expected that this manual will encourage initiation of more training and capacity building programmes by State governments and more avid practice of social audit in course of implementation of different schemes and programmes. It is also expected to spread better awareness about the objectives and steps of social audit and aid in the right application of this powerful tool in the development process in the country.

(Amitabh Kant)

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Message

Social audits are increasingly seen as a powerful tool to strengthen public accountability and efficiency of governance. Importantly, they are often empowering, allowing the poorest and most marginalized of people and communities to be heard.

Social audits are successful when all stakeholders, particularly rural poor and women, are involved and have adequate information on programmes and schemes that impact their lives; when local governance institutions have the commitment to follow-up; and when key facilitators are involved in the process. Developing the capacity of stakeholders and facilitators in social audit is key to its success.

We commend the efforts of NITI Aayog, Government of India, which has been at the forefront of efforts to support capacity development on social audit across Indian states. This initiative has led to emergence of facilitators at the state and sub-state levels.

This manual on social audit is an excellent resource for facilitators to continue capacity development and conduct social audits. The whole effort promotes regular social audits and improved service delivery in several flagship schemes. We reaffirm our commitment to supporting capacity development for social audits.

Jaco Cilliers
Country Director
United Nations Development Programme

ACKNOWLEDGEMENTS

The Samarthan team led by Dr. Yogesh Kumar and Ms. Shrdha Kumar made the whole thing possible by drafting the manual and conducting the training programmes in the three States.

Last, but not the least, one of the most important roles was played by the trainee master facilitators. They unstintingly shared their ideas, perceptions and experiences, which constitute the core of the manual.

Dr. Indu Patnaik
Adviser, States Coordination
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CONTENTS

Abbreviations

ALMSC	Anganwadi Level Monitoring and Support Committee
ANM	Auxiliary Nursing Midwifery
BNV	Bharat Nirman Volunteers
CBOS	Community Based Organisations
CGSAU	Chhattisgarh Social Audit Unit
CVO	Chief Vigilance Officer
DPMU	District Planning and Monitoring Units
DPSO	District Planning and Statistical Officers
GOI	Government of India
GP	Gram Panchayat
IAY	Indira Awaas Yojana
ICDS	Integrated Child Development Scheme
MORD	Ministry of Rural Development
MDM	Mid-Day Meal Scheme
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act
NFSA	National Food Security Act
MGNREGS	Mahatma Gandhi National Rural Employment Guarantee Scheme
NRDWP	National Rural Drinking Water Programme
NSAP	National Social Assistance Programme
NRLM	National Rural Livelihood Mission
OSSAAT	Odisha Society for Social Audit, Accountability and Transparency
PESA	Panchayats Extension to Scheduled Areas
PDS	Public Distribution System
SAC	Social Audit Committees
SAU	Social Audit Units
SBM	Swachh Bharat Mission
SGD	Small Group Discussion
SHG	Self Help Group
SMC	School Management Committee
SRP	State Resource Person
SC/ST	Schedule Caste/Schedule Tribe
TPDS	Targeted Public Distribution System
VSAC	Village Social Audit Committee

1. Purpose

Social audits have gained recognition in critical development programmes in recent times. The evolving belief in government departments is that such audits improve effectiveness and efficiency in programme delivery by empowering the community and facilitating its ownership of development programmes. Following the enactment of the Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA), several states established autonomous social audit societies. These initiatives provided a fillip for conducting social audits of current development programmes.

One noticeable outcome of this process is that service delivery institutions are now becoming more transparent and accountable in implementing these programmes. However, there is a serious challenge in establishing social audits as accepted practice and there is the dearth of skilled master trainer/master facilitators to actualize social audit processes at the ground level.

A master trainer/master facilitator must have a comprehensive understanding of the development programme, a strong belief in accountability, the skill to facilitate complex social processes, and an understanding of training methodologies. Creating such a cadre of trained professionals who can, in turn, train field level workers who can conduct social audits at the ground level is a big challenge for state governments. Niti Aayog and the State Planning Commissions have taken the initiative to build this cadre at the state level with the support of the UNDP.

This manual is designed to assist this process of building a cadre of master trainers/master facilitators at the state level. Its objective is to help them develop an understanding of the concept of social audit, the legal provisions related to it, the steps in a social audit process, and the facilitation skills and methodologies of participatory trainings. It is targeted at mid-level departmental functionaries and development professionals who have a basic understanding of development programmes and some exposure to conducting trainings/workshops etc.

2. Organisation of the Manual

The manual clearly deals with two distinct subject matters. The first deals with content/knowledge of social audit and the second deals with the training and facilitation, the understanding and skills needed for these processes.. The sections are intertwined. The content needs to be transferred to the participants during

the training and audit process, using appropriate training methodology and facilitation skills. A model training design is annexed but this design is solely for reference and should be suitably adapted to the need and focus of the training and the expectations of the participants in each specific situation. How to make a suitable design for the training is handled separately in the manual.

In a participatory training methodology, it is important to first discuss the expectations of trainees before starting the training. The training design can then be suitably adjusted to meet these expectations. This manual is a reference material for the training of master trainers and facilitators picked out from among middle level officials in various government departments, and deals with the following:

- Concept of social audit
- Provisions in different programmes for accountability and transparency in general and for social audit.
- Overview of the steps in a social audit process
- Understanding the verification process in a social audit, including physical, financial and oral verification
- Verification process in a social audit
- Adult learning methodologies and key principles in facilitating a social process
- Difference between conventional and participatory training methods
- Different methods of participatory training
- Training design
- Management of training

The manual is structured into modules that deal with specific aspects of the training. The topics listed above, which essentially constitute these sessions, are dealt with across the modules. Users of this manual are encouraged to use the content in the given sequence and any other way suitable to the objectives of their programmes.

Modules have exercises at the end that would help participants assess their understanding of the concepts and issues covered. Hopefully, the manual will enable master trainers/facilitators to formulate and conduct their own training programmes at different levels.

INTRODUCTION

Training for social audits is a complex process. Participants for the training (Master trainers/master facilitators in this case) should be carefully selected and given adequate exposure to the training process and methodologies. They should also gain an in-depth understanding of the development programmes that are to be Social-audited.

The first step, therefore, is to introduce them to the objectives of the training so that they have a clearer idea of what is expected of them after the training. If the training is for field level workers who will organize and help conduct the social audit, the focus of the expectation will be the skills they require for the purpose and the scope of the social audit and the issues it should cover in the concerned programme. Therefore the expectations from the training programme define the expectation of the participant. Not only this, it also defines as to who will be invited for the training. It is good to communicate the objectives of the training in the invitation communication, so that participants can identify their learning needs beforehand. The objective of the training and learning needs of the participant finally define the content and design of the training.

For this particular training of Social audit master trainer and master facilitators (MT), the objectives of the training would include the following:

- To develop a collective understanding of the concept of social audit.
- To develop in-depth knowledge of the stages, process and rules for conducting a social audit.
- Capacity building for master trainers/master facilitators or field-level workers.
- To accelerate the pace of the social audit process.

The introduction should serve as an icebreaker to make the participants comfortable. The participants can share their experiences and personal

details in pairs where they get about 10 minutes each to know about the other. Each one shares the details of the other person in front of all participants. There are many methods to make introduction participatory and interesting so that the participants open up for sharing.

The trainer should try to gather participants' expectations from the training. The objective setting and design of the training sessions should reflect incorporation of expectations. It is important to inform the participants about the expectations that may not be met during the training due to paucity of time or their limited relevance to the core of the training design.

The participants should also be assigned responsibilities for the administrative arrangements viz. time keeping, preparing report of the day, collecting feedback on different sessions etc. to build up their engagement in the training process.

Module 1

Social Audit and Its Importance

SOCIAL AUDIT AND ITS IMPORTANCE

SOCIAL AUDIT AND ITS IMPORTANCE

AUDIT is a word associated with the notion of accountability. The government spends huge sums of money and considerable resources on public welfare through various centrally and state sponsored programmes and schemes. Every public institution is accountable for the money and resources utilised to achieve the intended objectives. Audits examine this accountability.

However, audits in common parlance usually refer to – and are restricted to – the inspection of the finances of the institution by an authorised body or department. These financial audits differ from social audits.

Social audits examine the social accountability of public institutions from the perspective of the user community. This simply means the Social Audit examines whether the programmes implemented by the institution are effective, useful and relevant to its mandated target groups.

Social accountability depends crucially on whether the two sides – the user community and the governing or implementing agency – are prepared to engage with each other in undertaking a social audit. For this, the community should be prepared to ask questions about the implementation of the programme and possess the will and ability to do so. On their part, the officials of the institution concerned should be prepared to respond to the demands and queries of the user community. Usually, the regular audit is a top down process where larger focus is on adherence to set procedures, rules and appropriateness of expenditure. On the contrary, social audit is a process to understand the efficiency of services from perspective of the users. Therefore, it is bottom up process.

Social audits examine social accountability in government programmes. They are ways to understand, measure, and consequently, improve an institution's social and ethical performance. They help foster a culture where processes are transparent, ethical and accountable, with inputs (financial, material, etc.), outcomes (physical, developmental, etc.) and procedures verified in public.

The phrase, *'Hamara Paisa, Hamara Hisaab',* aptly captures the spirit of a social audit. Simply stated, it means the community has the right to know whether the

money collected in taxes has been used for its mandated objective. That makes a social audit a community-centric process where the community verifies the expenditure and output of a programme on the basis of feedback collected from the beneficiary groups.

The mandated objectives of the programme may be provision of physical infrastructure (such as a school building or road) or services (such as vaccination or distribution of mid-day meals). Social audit examines the social accountability of the programme. It helps foster a culture where processes are transparent, ethical and accountable, with inputs (financial, material, etc.), outcomes (physical, developmental, etc.) and procedures verified in public. It leads to higher efficiency and effectiveness. It is also an empowering process that engages the community in implementing programmes, thereby strengthening its ownership of the programmes.

SOCIAL AUDIT	
What is it?	It is a process to establish accountability. It empowers the community to ask questions and demand answers from the implementing agency.
Who will do it?	It is done by the community/*Gram Sabha*/beneficiary group.
Who is audited?	It is an audit of the implementing agency.
What is its scope?	It examines physical, financial and process-related issues. Both quantitative and qualitative inputs are publicly verified.
What use can it be put to?	It can suggest directions for developing further strategies, leading to improved implementation of the programme, more transparency, community participation, and greater trust between the community and government.

TABLE 1 : SOCIAL AUDIT - A READY RECKONER

OBJECTIVES OF SOCIAL AUDIT

1. To promote transparency and accountability in programme implementation.

2. To inform, educate, engage and empower people about their rights.

3. To provide a platform for people to express their grievances and needs.

4. To promote people's participation at all stages of programme implementation.

5. To strengthen grassroots democracy and grassroots institutions.

6. To build up the capacity of people participating in the social audit.

7. To strengthen programmes by improving planning based on feedback from social audits.

A social audit is an empowering process where the user community validates the usefulness and quality of the programme by engaging in the monitoring process. It goes beyond a financial audit, which checks bills, vouchers and books of accounts.

A social audit captures the 'need for expenditure', 'verification of expenditure', 'usefulness of expenditure', 'quality of work' and most importantly, 'justice for marginalised sections of people'. As a result of social audit, the community develops trust in government programmes and a sense of ownership in their implementation.

■ DIFFERENCE BETWEEN FINANCIAL AUDIT AND SOCIAL AUDIT

A financial audit of a government department is undertaken by an authorised auditor during the financial year. It is done by a domain expert who validates bills, vouchers and other secondary data in the confines of a room. It differs significantly from a social audit, which is undertaken by the community and is based on fact-finding and feedback from the beneficiaries. But, both social audits and financial audits are complementary tools that play a crucial role in establishing accountability.

Sr. No.	FINANCIAL AUDIT	SOCIAL AUDIT
1.	Done by domain experts or authorised government agencies.	Done by the community.
2.	Based exclusively on financial statements.	Along with financial statements, based on justification of the expenditure, quality of work and perception of the community about the work done.
3.	Verification is limited to entries in the books of accounts, bills and vouchers.	Physical and oral verification are integral to social audits.
4.	Information is made available to a limited group of people.	Any one from the user community can participate in a social audit and ask questions.
5.	Limited to the proceedings and rules governing the audit process.	Along with the rules, the priority, usefulness and justification of the work done are also considered.
6.	Based solely on documents.	The community analyses the information in documents and studies the ground reality of the work.
7.	Controlled and managed by experts.	Controlled and managed by the community through the *Gram Sabha*/ user groups.
8.	Being a closed-door process, it has less transparency and accountability.	As the process is participatory and takes place in the open, it has high transparency and accountability.

TABLE 2 : SOCIAL VIS-À-VIS FINANCIAL AUDIT

PRINCIPLES OF SOCIAL AUDIT

Audits Help to Realise Rights

Social audits promote active citizenship and help those who are most vulnerable to exercise their rights. Social audits allow communities to claim their constitutional right to participate in governance and improve government accountability and performance.

Social Audit is fact finding based on evidences and documents

Social audits require access to official government documents. This may include bills and vouchers of reported expenditure, invoices and receipts, as well as supporting laws, and norms and standards. By gathering evidence and forming an understanding of what to expect from government, communities can verify official obligations and commitments against their own experiences of a particulars service. Verification of official records includes interviews with community members about their experiences of a particular service and direct observations of infrastructure and service delivery. This process can require a significant investment of time and resources.

Social Audits are led by the Community

Social audits are conducted by *Gram Sabha*/residents/beneficiaries living in a community and are concerned with issues. They are conducted in the language of community and is an inclusive processes in which everybody, especially women and marginalised can participate.

Social Audit promotes accountability and transparency through the action of *Gram Sabha* and suitable follow-ups

Gram Sabha takes decisions on the issues that required action and rectification. Many issues are resolved by the *Gram Sabha* itself. However, certain issues that are either debatable or beyond the jurisdiction of the *Gram Sabha* are taken up at a higher level. This may be taken up in a public hearing or grievance redressal at district or state level. This process can promote government accountability and bring about justice for people whose rights have been violated. Ideally it should be a space for community and government stakeholders to engage constructively about issues and come up with solutions.

Social Audits may be political but are explicitly not based on party politics. Being nonpartisan is crucial if the social audits and public hearings are to be open spaces that are free of coercion. Being open and clear about this will also help to counter claims by political leaders that the social audit process is a witch-hunt or driven by organisations with political party affiliations or agendas.

■ IMPACT OF SOCIAL AUDIT

The primary objective of a social audit is to ensure greater transparency and accountability in the delivery of development programmes. It also enhances community participation and ownership of the programmes. Its impacts are several:

- The implementing agency becomes more accountable and the community becomes more responsible for achieving the developmental goals.

- The vulnerable groups in the community get a chance to express their concerns and give their perspective on programme implementation.

- New strategies are visualised to speed up programme implementation to achieve the desired goals.

- The community acquires the right to control their resources.

- Democratic and constitutional principles are promoted

■ CHALLENGES

Just as there are positive impacts, a social audit also faces several challenges:

- It is a time-consuming process because it requires community participation and intensive mobilisation to identify social audit committee members and leaders.

- It cannot bear fruit without building a suitable environment at the community level.

- There are risks of vested interest groups trying to stall the social audit process.

- Its utility largely rests on collecting information and departmental data. Its objectives will remain unfulfilled in the absence of objectively verifiable data.

- It needs capacity building of a cadre of community workers who can facilitate community processes. Identifying suitable persons for the purpose is highly challenging.

EXERCISE

Based on the understanding gained, please individually answer the following questions and discuss in the group.

What do you understand by social audit?

What are the short-comings of a financial audit that can be addressed by a social audit?

Module 2

Social Audit in
Various Schemes

SOCIAL AUDIT IN VARIOUS SCHEMES

ACCOUNTABILITY and transparency play a vital role in strengthening democracy. They make planning and implementation of development programmes more responsive to people's perceptions and requirements. Social audit is proven to be an effective instrument for bringing about transparency and accountability. By opening the implementation process to thorough public scrutiny, it promotes active engagement of all stakeholders and effective utilisation of government funds.

The Government of India has, therefore, introduced the provision of social audit in many of its critical flagship programmes. While the Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA) and the National Food Security Act (NFSA) have provisions for conducting social audits, guidelines have been issued for undertaking social audits/community monitoring under other schemes like IAY, ICDS, SBM etc.

■ LEGAL AND SCHEMATIC PROVISIONS

1. PANCHAYATI RAJ ACTS OF DIFFERENT STATES

The Panchayati Raj Act of states like Madhya Pradesh and Chhattisgarh empower the *Gram Sabha* to conduct social audits. For example, Section 6 of the Madhya Pradesh Panchayati Raj Act 1993, which details the formation of the *Gram Sabha* and its responsibilities, states that it is empowered to monitor the work undertaken by the *Gram Panchayat* and analyse the income and expenditure for this work. Many other State acts also have similar provisions where *Gram Sabha* is empowered to seek responses on income and expenditure from implementing agencies.

2. MAHATMA GANDHI NATIONAL RURAL EMPLOYMENT GUARANTEE SCHEME (MGNREGS)

Chapter 4 Section 17 of the NREGA Act 2005 states the following:

- 17 (1) The *Gram Sabha* shall monitor the execution of work within the *Gram Panchayat*.
- 17 (2) The *Gram Sabha* shall conduct regular social audits of all the projects under the schemes taken up within the *Gram Panchayat*.
- 17 (3) The *Gram Panchayat* shall make available all relevant documents including the muster rolls, bills, vouchers, measurement books, copies of sanction orders and other connected books of account and papers to the *Gram Sabha* for the purpose of conducting the social audit.

3. INDIRA AWAAS YOJANA (IAY)

Section 8.3.3 of the revised guidelines issued by the Government of India in July 2013 states that Social Audit Units (SAU) set up by the state government under the MGNREGA can identify community resource persons at different levels to facilitate a social audit of all components of the IAY, including selection of beneficiaries. These resource persons and quality monitors can be drawn from primary stakeholders, civil society organisations, SHGs under NRLM, Bharat Nirman Volunteers (BNV) and other organisations. These individuals should have knowledge and experience of working for the 'rights' of the people. They will assist the *Gram Sabha* in conducting the social audit.

The guidelines state that the social audit process can be scheduled over the year and conducted in a staggered manner across the state. The process to select the beneficiaries of different components of IAY for the following year and the social audit of implementing the IAY in the previous year can be taken up in the same *Gram Sabha* meeting.

4. PUBLIC DISTRIBUTION SYSTEM (PDS)

The following sections of the Food Security Act list the provisions for social audits:

- Section 27 states that all Targeted Public Distribution System (TPDS) records shall be placed in the public domain and kept open for inspection by the public.

- Section 28 (1) states that every local authority or any authority or body may be authorised by the state government to conduct periodic social audits of the functioning of fair price shops, TPDS, and other welfare schemes, publicise the findings and take necessary action.

- Section 28 (2) states that the Central government can conduct social audits through independent agencies that have experience in conducting such audits.

- Section 29 reinforces the provision of setting up vigilance committees under the PDS (Control) Order 2001 to supervise the implementation of the scheme and report any violations of the provisions of the Act or malpractices such as misappropriation of funds to the District Grievance Redressal Officer. Due representation in these committees will be given to local authorities, Scheduled Castes, Scheduled Tribes, women, and destitute persons or persons with disabilities.

Most states have complied with guidelines issued by the central government and directed their concerned departments to institutionalise a mechanism for community-based monitoring and social audits of critical development programmes. For example, the Chhattisgarh government has stipulated that all PDS records should be publicly displayed. It has authorised local bodies/authorized bodies to conduct social audits of the PDS/fair price shops. *Nigrani Samitis* are to be constituted at the district/block and PDS shop level to monitor the delivery of the system.

5. Integrated Child Development Services (ICDS)

The universalisation of the ICDS focuses on restructuring and strengthening the scheme and improving the delivery of services. A 5-tier monitoring and review mechanism is also being put in place at the central level and down to the *Anganwadi* centre (AWC) level.

The first tier of the monitoring mechanism will be the *Anganwadi* Level Monitoring & Support Committee (ALMSC), which is constituted of members of the *Gram Panchayat*, *Mahila Mandal*, ASHA, and representatives from the community, CBOs, etc., with the *Anganwadi* worker as the convener.

6. Mid-Day Meal Scheme (MDM)

The Ministry of Human Resource Development issued guidelines for conducting social audits of the MDM scheme on July 3, 2014. The guidelines contain a provision to form a Social Audit Coordination & Facilitation Unit (SACFU). Created from a locally available institution, it will provide support to the School Management Committee (SMC) as well as parents of students who benefit from the MDM scheme.

The SACFU will train social audit facilitators, parents, SMC members and selected social audit activists. It will also orient personnel from the Department of School Education/nodal departments of the MDM scheme and from the districts.

The social audit facilitators will:

- Conduct focused group discussions with parents and children from the community that attend the school being audited during their door-to-door visits.

- Conduct school-level meetings with parents and the implementing agency (PDS agent, supplier of food grains, PHC, ANM, doctors etc.). They will also

seek and record the views of students and parents on various aspects of the MDM scheme.

- Conduct school-level meetings /Sabha's to read out and publicise the social audit findings.

The guidelines also refer to 'concurrent social audit', an on-going monitoring process, to ensure that the MDM scheme is operative. The attempt is to have at least one parent/village resident (preferably a woman) present in the school when the mid-day meal is being served. The social audit exercise can initiate this voluntary support on a rotation basis. Similarly, it can also consider creating

citizens' support groups to monitor the scheme and initiating competition with rewards for the best MDM School in every block, the evaluation for which can be done by an independent committee.

Every school must also prominently display the following information in a wall chart: grain stock, source of grocery, name of cook, name of person in charge of stores and source of food grains (depot).

7. National Social Assistance Programme (NSAP)

The NSAP has introduced annual verification and social audit, with all states to complete the annual verification by 30th June and the social audit by 30th September every year. The National Level Monitors (NLMs) are provided a checklist of NSAP schemes and advised to meet government functionaries, public representatives and the beneficiaries at the district, block and village-level offices to get feedback on the implementation of the schemes.

8. National Rural Drinking Water Programme (NRDWP)

The mission provides for community and community-based organisations to monitor the demand and quality of the drinking water supply. These organisations are expected to conduct a social audit every six months to ensure that work undertaken by the Public Health Engineering Department (PHED)/related departments/*panchayats* is carried out as per the stipulated specifications.

9. Swachh Bharat Mission (SBM)

Every *Gram Panchayat* can have a support organisation to facilitate the implementation of the sanitation programme. Community-based organisations, self-help groups and civil society organisations can monitor the programme and conduct evaluation surveys specifically to determine key behaviour and perception changes regarding sanitation, hygiene practices, operation and maintenance. These support organisations can also conduct social audits.

10. Social Audit Facilitation

Under sub-section 1 of Section 24 of the Mahatma Gandhi National Rural Employment Guarantee Act 2005, the MGNREG Audit of Schemes Rules 2011 lays down the process for facilitation of social audit in the States. The Rule 4 empowers state governments to establish an independent organisation, referred to as the Social Audit Unit (SAU), to enable *Gram Sabha*s to conduct social audits. The SAUs are responsible to:

विकास खण्ड स्तरीय जनसुनवाई का आयोजन कल

नैनपुर(एक्सप्रेस)

प्रदेश समाजिक संपरीक्षा समिति भोपाल के द्वारा बिगत दिनों जनपद पंचायत नैनपुर की समस्त 74 ग्राम पंचायतों में मनरेगा के अंर्तगत 2012 से 2014 तक के कार्यों के अभिलेखों को जनता के सामने रखकर उनकी जाँच पड़ताल के बाद सामाजिक अंकेक्षण किया गया कि वास्तव में किस पंचायत में किस कार्य को कितने स्तर पर किया गया कहाँ भृष्टाचार का जिन्न दिखा और कहाँ राशि का आंगहरण कर सरपंच एवं सचिव खपा गए। वैसे उक्त सामाजिक अंकेक्षण के दौरान जनपद पंचायत नैनपुर की कई पंचायतों में ऐसे मामले आएं जिन्हें आपके द्वारा अखबारों में पढ़ा गया होगा। इन सभी प्रकरणों में जनपद स्तरीय जनसुनवाई कल बुधवार को नैनपुर कृषि उपज मंडी में रखखी गई है दिनांक 9.7.2015 को आप समस्त ग्राम पंचायत वासी मंडी में उक्त जनसुनवाई में उपस्थित हो सकते हैं जहाँ तत्काल निराकरण होगा जिसमें स्वयं जिला कलेक्टर मंडला उपस्थित रहकर अपने सामने जनसुनवाई करेगें।

- Build the capacity of the *Gram Sabha* to undertake social audits. The society will identify volunteers from among village, block, district, state and NGO-sector stakeholders who have experience in working for 'community's rights' and train them to conduct social audits.

- Develop the required infrastructure, guidelines, instructions and report pro-forma for implementing the social audit process.

- Increase the awareness of the beneficiaries regarding their rights and entitlements under the Act.

- Support the Village Audit Committee (VAC) in verifying documents maintained by the implementing agency and in conducting physical verification at the work site.

- Facilitate that the social audit monitors and *Gram Sabha* discusses developmental issues, takes decisions on them etc.

- Publish the social audit proceedings and report in the public domain.

- Ensure the implementing agency does not interfere in the social audit process.

- Ensure that the implementing agency provides all the required documents and data to the social audit committee.

Though, social audit has its roots in the MGNREGA, the Central Government ministries have recognised its importance and have extended its scope to other programmes such as the MDM, SBM, and ICDS etc. Departments in many states have made room for social audits in their programmes.

STATE SOCIAL AUDIT SOCIETIES

There are several examples of State Governments setting up State social audit societies. The State governments have designed the structure of the society, schemes covered as well as process of social audit as per their requirements and local experiences. So the State social audit societies vary not only in nomenclature but also in terms of their operational modalities. Some examples are given below:

Sr. No.	State	Current systems, differences and progress
1.	Madhya Pradesh	- Madhya Pradesh Panchayati Raj and Gram Swaraj Act, 2000 provides for complete disclosure of information before the *Gram Sabha*, which gives a strong basis for social audit. - Madhya Pradesh Social Audit Rule 2013 - MGNREGS - Madhya Pradesh State Social Audit Society -an independent and autonomous society for social audit - has been established. - Several large schemes such as the MDM, IAY and ICDS draw mandates for social audits from the central guidelines, such as the MDM guidelines. The Social Audit Society has initiated social audit processes in these programmes/ schemes. - The State Social Audit society conducts social audits in many blocks/ districts in campaign mode.
2.	Odisha	- Odisha Society for Social Audit, Accountability and Transparency (OSSAAT) – has been registered and formed. - There are district coordinators at the district-level. - There is provision for social audit and public hearing at the *Gram Panchayat* and Block level. - Provision for *Gram Panchayat* level Social Audit Committee: The committee will have five members with a mandate for two women and one representative from the SC/ST community. - A citizens' jury comprising the presidents of the Village Social Audit Committees will conduct the social audit at the *Gram Panchayat* level. The committee will be called the *Gram Panchayat* Social Audit forum.
3.	Chhattisgarh	- The Chhattisgarh Social Audit Unit (CGSAU) has been established as an independent and autonomous body under Order No F3-75/22/-1/2013. - The CGSAU will have 18 members (minimum), of whom six are nominated, including the chief secretary of the State government, assistant chief secretary of the Panchayat and Rural Development Department, commissioner of agricultural products, director of the state social audit unit, joint secretary of the Ministry of Rural Development (Government of India), and auditor general (financial audit). - The Chief Secretary is the SGSAU president. - The CGSAU is responsible for conducting social audits of the MGNREGS, IAY and other development schemes. - The CGSAU is an institution created under the Panchayat and Rural Development Department. Its services can be extended to other departments to conduct social audits of their departmental schemes.
4.	Andhra Pradesh	- The Society for Social Audit, Accountability and Transparency (SSAAT) has been established under the Department of Rural Development. - The society prepares a quarterly district-wise schedule for conducting social audits. - The SSAAT selects the social audit teams in a randomised manner. Each team is headed by a state resource person (SRP), with 10 district resource persons (DRP) to facilitate the process. - The SRP and DRPs select 3-4 literate youth from beneficiary's families in each village of the block as Village Social Auditors (VSA). - The social audit process culminates in a public hearing. - The social audit decision taken report is the official government report, which the SSAAT hands over to the Chief Vigilance Officer (CVO) for further action.

Table 3 : Mechanisms in place for social audits in some states

EXERCISE 2

Discuss the following questions, answer in small groups and share in plenary for wider discussion:

Have you come across or initiated any monitoring mechanism in your specific programme? If yes, kindly write the details below:

Identify three critical areas in your programme that should be included in a social audit process.

List the facilitative provisions in your programme that may support a social audit process in your programme.

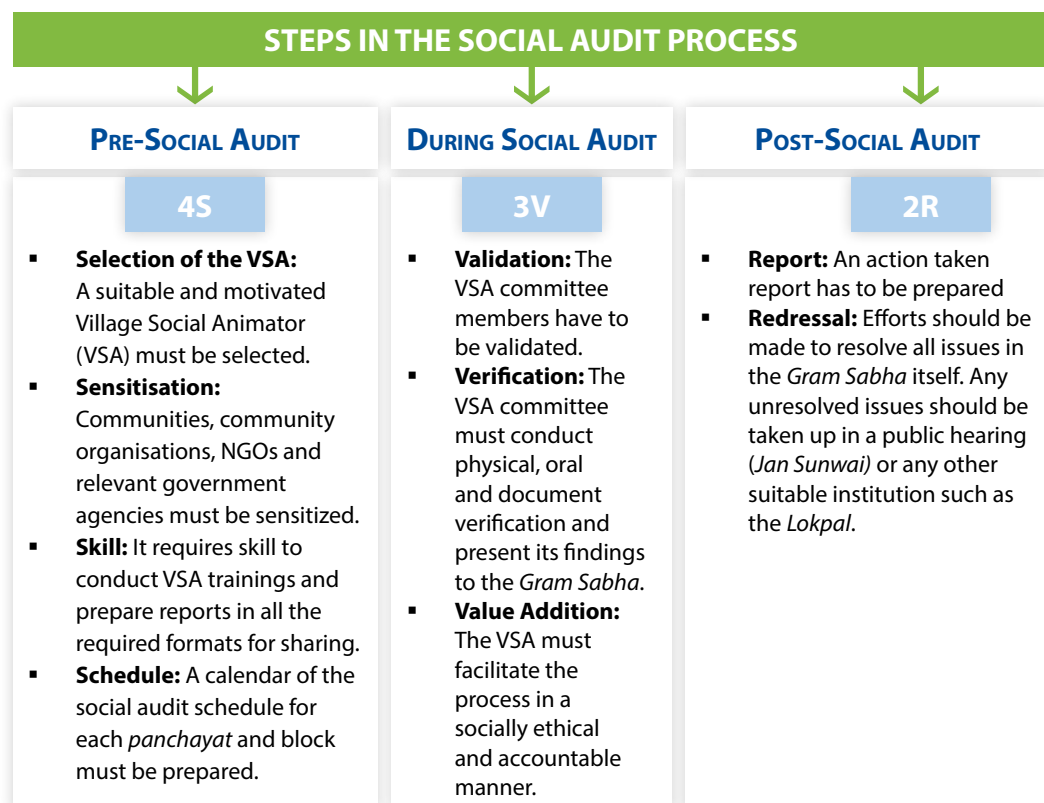
Module 3

Processes and Steps
of Social Audit

PROCESSES AND STEPS OF SOCIAL AUDIT

SOCIAL AUDIT is a community-driven process that is facilitated by community participation. The process should be undertaken in a systematic manner to achieve its objectives. It can be broken down into a series of steps, each of which is important. Hence, sufficient time should be given to complete each step.

Broadly, the process of social audits can be understood in three phases, starting from the preparatory and going up to public hearing, grievance redressal, and other actions on emerging issues. These phases can be seen as follows:

BEFORE SOCIAL AUDIT	This phase includes all the preparatory activities that need to be undertaken before conducting the social audit.
DURING SOCIAL AUDIT	The actual social audit activities are conducted in this phase
AFTER SOCIAL AUDIT	The findings of the social audit are consolidated for sharing in this phase.

A social audit master facilitator has to undertake certain basic critical activities in each of these phases. These activities are presented in the following diagram for easy reference.

STEPS IN THE SOCIAL AUDIT PROCESS

PRE-SOCIAL AUDIT	DURING SOCIAL AUDIT	POST-SOCIAL AUDIT
4S	**3V**	**2R**
▪ **Selection of the VSA:** A suitable and motivated Village Social Animator (VSA) must be selected. ▪ **Sensitisation:** Communities, community organisations, NGOs and relevant government agencies must be sensitized. ▪ **Skill:** It requires skill to conduct VSA trainings and prepare reports in all the required formats for sharing. ▪ **Schedule:** A calendar of the social audit schedule for each *panchayat* and block must be prepared.	▪ **Validation:** The VSA committee members have to be validated. ▪ **Verification:** The VSA committee must conduct physical, oral and document verification and present its findings to the *Gram Sabha*. ▪ **Value Addition:** The VSA must facilitate the process in a socially ethical and accountable manner.	▪ **Report:** An action taken report has to be prepared ▪ **Redressal:** Efforts should be made to resolve all issues in the *Gram Sabha* itself. Any unresolved issues should be taken up in a public hearing (*Jan Sunwai*) or any other suitable institution such as the *Lokpal*.

The above diagram only highlights the steps. The following paragraphs explain the social audit process in detail.

ENABLING CONDITIONS AND FACTORS FOR SOCIAL AUDIT

- Social Audit must have the mandate to be an objective and independent process undertaken by the members of the *Gram Sabha*.
- No agency, institution or individual shall interfere with the conduct of Social Audit in any way or prejudice it in any manner.
- All implementing agencies/organisations (*Gram Panchayats,* government departments or other institutions) shall provide all records and information to the Social Audit Committee at least fifteen days before the commencement date of Social Audit.
- All officials (responsible for implementation of the works/programmes) or their representatives shall participate in the Social Audit *Gram Sabha* to answer queries from its members.
- The *Gram Panchayat* executive shall be responsible for ensuring that the relevant officials are informed at least seven days before the date of the meeting.
- Grama Sabha shall be convened with adequate publicity to all stakeholders in advance to facilitate participation of the communities, especially women and the disadvantaged sections of people.
- All official documents on project expenditures shall be made openly accessible to members of public as a matter of their right. As mentioned above, the implementing or other agencies as the case may be shall ensure the availability of these documents.

PROCESSES FOR UNDERTAKING A SOCIAL AUDIT

STEP 1: IDENTIFYING SPECIFIC PROGRAMMES/SCHEMES AND THE DELIVERABLES TO BE COVERED IN A SOCIAL AUDIT

The programmes/schemes to be included in a social audit should be identified before starting the process. All pertinent information about the programme should be collected to ensure that the audit is meaningful.

Programmes have many important activities but they have limited critical mandates. For instance, a critical mandate for the ICDS is improving the nutritional status of children. Similarly, MGNREGS guarantees employment and mandates creation of rural infrastructure. The critical mandates of the programme should be identified so that relevant records and data can be collected for analysing programme performance by the community. It is also crucial to determine which

key aspects of the programme need to be analysed. In addition, since women and other marginalized communities are more vulnerable, it is good to identify the dimensions of the programme that can influence them specifically. Such issues should be given special attention, within the framework of a particular programme.

A checklist of the issues and key aspects of various schemes that need to be considered for conducting a social audit is given below:

MGNREGS

- Finding out whether all those that worked in MGNREGS received payments.
- Finding out whether payment of wages is timely and full.
- Identification of the beneficiaries for individual asset creation.
- Actual measurement and physical details of the work.
- Expenditure incurred along with bills and vouchers.
- Verifying attendance registers for actual presence of workers.

Indira Awas Yojna (IAY)

- Finding out if the selection of beneficiaries has been with consensus and there is order of priority in allocation of allotment of the houses.
- Checking transparency in distributing payment installments to the beneficiaries, and verifying if the beneficiary used the fund for the mandated purpose.
- Convergence of IAY with other housing schemes for selection of beneficiaries
- Convergence of IAY with other government schemes on toilet construction, smokeless chullah etc.
- Release of instalments to the beneficiaries by the banks.

ICDS

- Timing of opening and closing of the *Anganwadi* centres.
- Enrolment of beneficiaries (including pregnant women and children from the SC and ST community) in the *Anganwadi*.
- Distribution of supplementary nutrition as per the prescribed menu.
- Identification of severely malnourished children and follow-up measures.
- Availability of proper infrastructure at *Anganwadi*.

TRAINING FOR THE VERIFICATION PROCESS

- Provide formats for physical, financial and oral verification to the facilitators.
- Train them in data collection.
- Verify the data collected by them.
- Discuss the data, the need for neutrality and objectivity etc. in an open forum.

PDS

- Enrolment of all eligible households/beneficiaries.
- Identifying duplicate and fake households in the beneficiaries list.
- Timing of PDS fair price shops and accessibility.
- Availability of functional weight and measure instruments.
- Availability and maintenance of stock and issue registers.
- Distribution of ration by the PDS shops as per norms and on time.
- PDS shops distribute 'ration' as per the needs of the community.

STEP2: INFORMING THE DISTRICT, BLOCK AND OTHER OFFICIALS

The implementing agency should feel a sense of ownership in the social audit process, since they have to take corrective action. Therefore, building this sense of

ownership and seeking their support is crucial in social audits. Their cooperation is necessary for accessing all the required records and data for the verification process. If possible, departmental officials at the state level should also be kept in the loop.

STEP3: ORGANISING RECORDS AND DATA

> **ISSUES OF WOMEN AND MARGINALISED COMMUNITIES**
>
> The social audit process should focus on specific issues that concern women and marginalised communities. For instance, are women getting the same wages as men in MGNREGS? Similarly, the girl child is another focal point because girls are more malnourished than boys in rural areas.

A social audit is a fact-finding process based on careful verification of records. For instance, the actual number of students taking the mid-day meal in a school should match the number mentioned in the attendance register. Or the actual number of completed toilets in a *panchayat* should match the MIS records available at the block. Meaningful fact-finding cannot be done in the absence of records. Records of schemes such as MGNREGS can be downloaded from relevant websites.

STEP 4: FORMATION/IDENTIFICATION OF SOCIAL AUDIT COMMITTEE

The *Gram Sabha* is seen as the ground-level institution to conduct social audits. For instance, the SBM guidelines mandate the *Gram Sabha* to conduct social audits every six months, with the Village Health and Sanitation Committee, and others facilitating the process. The ICDS mandates community monitoring by the *Matra Sahyogini Samiti* or mothers' committee. The MGNREGS mandates the VSAC to carry out social audits every six months.

If such committees are in place on site where the social audit is taking place, they should be identified and oriented. However, if such committees do not exist or exist only on paper, they need to be created and oriented on social audit. The *Gram Sabha* should ensure that the committee is representative, and that due procedure is followed in selecting its members.

STEP 5: CAPACITY BUILDING OF SOCIAL AUDIT COMMITTEES (SAC) AND ANIMATORS

The SAC should be trained in collecting field data and verifying this data. It must interact with the beneficiaries and visit the work sites/centres (school, *Anganwadi*, IAY house, SBM toilet site, etc) to assess the performance of various schemes at the ground level. Further, the SAC members should learn the methods for collating and analysing information contained in the records and verifying this data physically, orally as well as from documents.

The committee members must also be sensitized on gender issues such as unequal wages for male and female workers, girls being served less in mid-day meal than boys, and so on. They should further be sensitized on the issues of marginalized communities.

Most importantly, SAC members should develop and practise the skills facilitators require for conducting a social audit, such as communication, mobilisation, facilitation and conflict management.

Social audit committees should be formed transparently, in accordance with the mandatory procedures, and with the consensus of the community. In actual practice, committee members unilaterally selected by the *Gram Panchayats* are often partisan and biased. They do not do justice to the social audit process.

The Social Audit Committee (SAC)

Social audit committee is pivotal to the social audit process. Hence, right selection of its members is very important. The members shall not be members of any other committee of GP. They shall not be close relatives (blood relations or relatives by marriage) of the members of the GP or other Committees. There shall be a

Who should be a member of the SAC?

- Women need desirably constitute, at least, one-third of the membership;
- Scheduled Castes, Scheduled Tribes and other vulnerable social groups should also be proportionally represented.
- Persons whose conduct and track record are above board and who are trusted, respected and accepted by majority of households;
- Persons having experience in village development activities;
- Persons well known for social commitment, unbiased action and behaviour and ability to put the community before individual interests;
- At least one of the members of the Committee should ideally have basic understanding of accounting;
- Persons who are willing and have time to participate in meetings, auditing and allied activities.

Chairperson and Secretary for the Committee and selection of the chairperson and secretary shall be done in the first meeting of the Committee. In any situation, the members are to be approved by a resolution of the Grama Sabha.

Do's and Don'ts for SAC Members

Do's	Don'ts
Always have a positive attitude.	Never allow negative approaches or emotions space in the social audit process
Use polite language all along and make clear statements of facts and opinion	Avoid all kinds of arrogance.
Clearly analyse the social utility and impact of development activities	Do not pick up any biases or leaning towards any interest groups.
A Social Auditor has to be neutral, without any personal agenda / inclination	No concealment of fact is allowed.
Provide information to Public on development activities	Do not misrepresent facts.
Make only objective analysis	Do not get emotionally attached with matters. Do not negatively influence the public and induce our own opinion.

Step 6: Verification Processes

Debriefing on Critical Issues

At the end of each day, you should set time aside for the team leaders to facilitate a debriefing session with their group. There are no hard and fast rules for doing this. But ideally you should consider the following:

Give individual participants an opportunity to talk about their experience of gathering evidence.

- Find patterns or common threads of evidence
- Agree on the key findings for the day
- Identify any unusual, marginal, or unique issues
- Decide if any issues need further investigation or documenting the next day and who will do that.

The verification process should be carried out systematically. The data collected from the MIS records should be verified against facts from the field and validated to iron out any misinformation. The process of verification must rise above mere perceptions and base on hard facts. Therefore, the SAC training should include field-level training and hands-on practice of the verification process. The documents under various schemes that could provide necessary data are listed below.

MGNREGS

As per the Audit of Scheme Rules 2011, the following records, along with photocopies, should be made available to the SAU at least 15 days before the *Gram Sabha* social audit meeting. In many states MGNREGS data is available online.

These online MIS data should also be used for the purpose of verification. Some records that are maintained at worksites /Panchayat level may also be consulted for accessing data. Following is a list of such records/registers:

- Approved MGNREGS plan of the *Panchayat*

- Job card register.

- Work register.

- *Gram Sabha* resolution book.

- All administrative, technical and financial sanctions.

- Muster rolls.

- Wage payment order.

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DOCUMENTING THE PROCEEDINGS AND DECISIONS

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All the points discussed should be documented in the register maintained by the *Gram Sabha*. The documentation should be authentic, should faithfully reflect the discussions without leaving out details, and should not be manipulated later.

- Materials – bills and vouchers (for each work).

- Measurement book (for each work).

- Asset register

- Other available records may be checked for relevance and used.

The SAC can access additional information contained in wage lists, fund transfer orders, previous social audit reports etc.

IAY

Minutes of the *Gram Sabha* meetings pertaining to the selection of beneficiaries and preparing priority list of beneficiaries.

- Records of release of payments/instalments to beneficiaries

- Reports/records of monitoring visits made at different levels.

- Reports/records of inspections carried out

Based on the above list and a review of other documents, the SAC can verify whether the list was consensually generated in the *Gram Sabha*, the selection of benefited people was as per the list and justified in terms of the norms and objectives of the

programme. The social audit committee can also verify if there has been a beneficiary that received similar benefit from two different schemes. Progress on house construction, quality of houses constructed, timeliness of payments, readiness of the banks to provide loans if required by the scheme etc. can also be verified through testimonies and physical verification.

MDM

- Minutes/proceedings of meetings for selecting self-help groups for preparing mid-day meals.

- Stock register of food-grains
- MDM attendance register
- MDM passbook
- Passbook of cook-cum-helper (CCH) for honorarium payments
- School attendance register
- Bills/vouchers pertaining to the supply/transportation of food-grains and other food items
- Details of MME budget sanctioned and utilised for the schools

Based on the collected documents, the SAC can assess whether the required procedure was followed and the mandated benefits were provided. It can also verify if there is any discrepancy between the numbers of students mentioned the mid-day meal register and those actually attending school and taking mid-day meals.

STEP 7: PREPARING A VERIFICATION REPORT

The most important task of the SAC is to prepare a document based on the observations and analysis of its verification (from documents, physical measurements, and oral testimonies) process. It would cover all important aspects of programme delivery, including the perception of the community regarding the quality, quantity, usefulness and of the structures created/ services provided.

> The findings of the verification process should be shared with the affected people so that they can take their case up in the special Social Audit *Gram Sabha*. The *Gram Sabha* should also display these findings at public places so that the community can access them and come prepared to discuss the issues in the *Gram Sabha*.

STEP 8: MOBILISING THE *GRAM SABHA*

Mobilising the *Gram Sabha* involves effective communication with the community. Mass media and interpersonal communication tools should be used for the purpose. People must be made aware on the scope of social audits and how critical it is for them to participate in it effectively. Apart from being a monitoring tool, social audit is an empowering and educational process. Hence, the facilitators should also educate the community on the guidelines, rules, and provisions of various schemes.

Facilitators should visit the wards and hamlets to encourage participation of the community in social audit and disseminate relevant information on schemes. *Nukkad Nataks* (street plays), video films, songs in regional languages and other popular folk mediums can be used to generate awareness in the community.

स्टार समाचार

सोशल ऑडिट से उजागर हुआ मनरेगा का भ्रष्टाचार

» आय-व्यय के फर्जीवाड़े पर ग्रामीणों ने दर्ज कराई आपत्ति

» ग्रामसभा में पहली बार हुये सवाल-जबाव

Social Audit *Gram Sabha* is an essential part of the social audit process. Therefore, the community should be informed about:

- The date and time of the *Gram Sabha*.

- The venue of the *Gram Sabha*.

- The specific agenda of the *Gram Sabha*.

The mandatory requirements for holding a *Gram Sabha* meeting are as follows:

- It must meet its prescribed quorum.

- It must be presided over by the designated authority (*sarpanch* or a nominated person in PESA areas).

- The proceedings must be recorded. (Normally, the *Gram Sabha* proceedings are recorded by the president. However, a Social Audit *Gram Sabha* can nominate a suitable person for the purpose. Since, the Panchayat Secretary is also party to the implementation process and can potentially manipulate the records, he should not be given this responsibility).

The desirable conditions for a *Gram Sabha* meeting to be participatory and engaging are:

- The *Gram Sabha* should be scheduled at a time that suits the majority of the community.

- The venue should be in a suitable place where people from all castes and classes can easily convene and participate.

- Women/marginalized must be specifically invited to the *Gram Sabha* and be given a suitable place to sit.

- Adequate prior notice of the *Gram Sabha* should be given and the agenda should be communicated in advance.

- All the issues on the agenda should be discussed and the required documents and records should be presented before the *Gram Sabha* by the concerned functionaries.

- The proceedings and decisions should be systematically recorded so that follow-up actions can be taken.

- A nodal officer should be present as a representative of the collector to ensure law and order, and vouch for the discussions and decisions of the *Gram Sabha*.

- The documented proceedings of the *Gram Sabha* should be reviewed and shared so that all the members are aware of the decisions.

SOME EXAMPLES

FORGED COMPLETION CERTIFICATE

When a social audit was held on 2nd June 2015 in Patha *Gram Panchayat* of Nayanganj Block of Mandla district in Madhya Pradesh, a case of an incomplete drain was found. The drain had already been declared complete and the completion certificate had been issued. The *Gram Sabha* during the social audit asked the *Gram Panchayat* to complete that drain without any delay and decided to promptly take necessary legal action in case of noncompliance of the *Gram Panchayat*.

WRONG SOCIAL SECURITY BENEFICIARIES

Social audits (conducted during 5-13th June 2015) in several *Panchayats* in Bajna block of Ratlam district, Madhya Pradesh revealed that the beneficiaries for social security pensions were not selected according to guidelines. Many beneficiaries, who actually received the benefits, did not qualify for the pensions. On the other hand, several deserving destitute individuals were left out. After the social audits, the list of beneficiaries was revised by the *Gram Sabha* and sent to the department concerned for necessary action.

Source: Samarthan

DELAY IN PAYMENT

Social audits conducted in Dantewada district in Chhattisgarh in July 2013 found that there had been delay in wage payments. It was revealed that the delay in wage payment occurred on account of the inefficiency of the post offices and that there was no lapse on the part of the *Gram Panchayat*. The *Gram Sabha* decided to shift the accounts from the Post Offices in question to nearby banks.

MISSING WORKER! MISSING ROLLER!

During the social audit conducted on 3rd June 2015 in Bilkisganj Panchayat of Sehore district in Madhya Pradesh, the facilitators found that *Anganwadi* centre in one of the

villages of the *Gram Panchayat* opens very late, as the *Anganwadi* worker comes from a distant village. The facilitators requested the *Gram Sabha* to consider proposed names of suitable residents of the same village for replacing the present *Anganwadi* worker. It was mentioned in the meeting of the *Gram Sabha* that this *Anganwadi* worker was selected when she used to live in the village. However, since she shifted to another village after marriage, this problem has cropped up. The *Gram Sabha* decided to freshly nominate someone suitable from the village for the position.

Another social audit finding presented in the same *Gram Sabha* related to construction of a village road. While no road-roller was used in constructing the road under the MGNREGS, payment for that purpose was included in the expenditure. Multiple oral testimonies were once again collected to verify the use of road roller, if any. Finally, it emerged that no road-roller was indeed used in the work. The *Gram Sabha* concluded that the bill was put forth fraudulently and instructed the *Gram Panchayat* to make the required use of the road-roller to improve the quality of the road in question without any further payment.

SOME EXAMPLES

Source: Samarthan

SOME EXAMPLES

BUILDING HOUSES

A social audit conducted on 3rd June 2015 in Ghotkeda *Panchayat* in Narayanganj block of Mandla district in Madhya Pradesh showed that a beneficiary of the Indira Awas Yojna (IAY) did not construct the house with funds received under the scheme. The *Gram Sabha* asked the beneficiary concerned to return the money and selected another genuine beneficiary to be granted the assistance to construct his house.

In another *Gram Panchayat* (i.e. Manegaon) in the same block, a social audit held on 1st June 2015 pointed out that a beneficiary received only Rs. 45, 000.00 instead of Rs. 50, 000 as due for constructing a house under a similar scheme of Madhya Pradesh Government, namely, Mukhyamantri Awas Yojana. The discrepancy was sorted out.

Source: Samarthan

'NO' TO BRIBE

Social audits have frequently uncovered bribes being demanded by some people in the executive machinery for granting a benefit such as sanctioning infrastructure under the MGNREGS or awarding a house under IAY. Consequently, the officials concerned have always been overwhelmed by the public pressure exerted through the social audit to return the bribe money.

STEP 9 : SHARING OF VERIFICATION REPORT AND DECISIONS BY *GRAM SABHA*

The *Gram Sabha*, after setting the ground rule and verifying the required quorum, will ask the social audit committee to present the verification report. The chairperson will facilitate discussions in such a manner that issues are heard, everyone gets an opportunity to share their views on each issue taken up for social audit. *Gram Sabha* will arrive at consensus and take decisions. Some of the decisions may take longer to resolve differences of opinion, points of views and interests. Ideally, consensus is the best way of decision making. Certain issues may demand deeper investigation and data gathering. *Gram Sabha* may appoint a small sub-committee to look into those issues and report in the next meeting.

MASS COMMUNICATION FOR *GRAM SABHA* MOBILISATION	LOCAL PANCHAYAT LEVEL COMMUNICATION	INTERPERSONAL COMMUNICATION
Newspapers, local media, local radio channels, running scroll on television through local network provider.	Posters, pamphlets, wall writings, nukkad nataks, bhajan mandalis, prabhat pheris, video films.	Discussions in hamlets, engaging with the beneficiary groups, engaging with active community members and leaders.

TABLE 4 : MULTI-LEVEL COMMUNICATION FOR SOCIAL AUDITS

STEP 10 : DOCUMENTING THE *GRAM SABHA* DECISIONS AND WRITING SOCIAL AUDIT REPORT

The village social animator should also prepare the social audit report as per the requirement of the programme. The final discussion of the *Gram Sabha* should be recorded by any person designated by *Gram Sabha*. The minutes/decisions/ proceedings should be read aloud in *Gram Sabha* and members present should sign. It becomes a legal document for necessary actions.

The format for writing the social audit report should include and address the following:

- What are the issues to be audited?
- What is the information required?
- What are the sources of information?
- How has the information been verified?
- What are the legal implications?
- What good practices are being followed?
- What are the findings of the social audit?

- Who are the guilty?
- What are the issues for further investigation?
- What are the major decisions?

STEP 11: FOLLOW UP ON THE DECISIONS OF THE *GRAM SABHA*

The decisions taken by the *Gram Sabha* during the social audit must lead to concrete corrective actions. It is good if *Gram Sabha* takes most of the decisions by itself, as such decisions are quickly and easily implemented. Issues not resolved at this level must be taken up with the departments concerned and action should be initiated. This will establish the trust of the community in social audits and the *Gram Sabha*s.

If possible, a *Jan Sunwai* should be organized at the block level to discuss the *Gram Sabha* resolutions and to seek corrective actions from the administration/ departments. To give an example, in one of the *Jan Sunwai* organised in block Kurrai of Distrct Seoni, Madhya Pradesh, after the social audits conducted in each of the panchayats of the block, following actions emerged.

SN	ISSUE	NO. OF CASES	ACTION TAKEN IN JAN SUNWAI
1.	Delayed payments due to embezzlement of wages	33	Recovery of wages, and FIR against some of the corrupt officials
2.	Less payments	3	Punishments to sub-engineers
3.	Fake payments	20	Recovery and FIR on the concerned officials
4.	Incomplete work shown as complete	17	Orders for completing the work
5.	Fake bills & misuse	27	Orders for corrective actions
6.	Work in other areas than proposed	1	Corrective action to be taken by concerned officials
7.	Procedural lapse	34	Corrective actions

TABLE 5 : ACTIONS PROPOSED IN JAN SUNWAI ON ISSUES RAISED DURING SOCIAL AUDIT IN KURRAI

The *Gram Panchayats*/district administration/ departments should take follow-up action on the social audit findings and send an action taken report to the State Social Audit Unit. The sarpanch, secretary, other functionaries concerned as well as the right-holders should participate in the Jan Sunwai, with all the records that may be required to sort out the issues.

नई दुनिया | जबलपुर, शनिवार 11 जुलाई 2015

लापरवाही मिलने पर एजेंसी पर होगी एफआईआर

कृषि उपज मंडी निवारी में अंकेक्षण शिविर

नैनपुर। जनसुनवाई में उपस्थित अधिकारी।

नैनपुर। विकासखण्ड नैनपुर की 74 ग्राम पंचायतों में से 33 ग्राम पंचायत में निर्माण कार्यों में भारी अनियमितताओं व कार्य के पूर्व ही राशि आहरित करने के आरोप के चलते दो विकसीय सामाजिक अंकेक्षण शिविर, का आयोजन कृषि उपज मंडी निवारी में आयोजित किया गया। जिन पंचायतों में कार्यों को लेकर लापरवाही बरती गई। वहां टीम गठित कर दोबारा से जांच की जाएगी। अनियमितता पाने पर एजेंसी पर एफआईआर दर्ज कराई जाएगी।

शौचालय अधूरे, कागज में पूरे

नैनपुर विकासखण्ड की 33 ग्राम पंचायत जिनके ऑडिट के बाद जानकारी सामने आई कि सरपंच सचिव व उपयंत्री की मिली भगत से मनरेगा के कार्यों में भारी लापरवाही बरती गई एवं कार्य के पूर्ण होने के पहले ही राशि फर्जी बाउचर के माध्यम से निकाल ली गई। वहीं हितग्राही अभी भी अपूर्ण कार्य को करवाने दफ्तरों के चक्कर लगा रहा है। पंचायतों में शौचालय अधूरे है परन्तु कागजी कार्रवाई में पूर्ण कर दिए गए।

सरपंच, सचिव व उपयंत्री से वसूली

एसडीएम संजीव जैन ने बताया कि जिन ग्राम पंचायतों में कार्यों को लेकर व कार्य के पूर्व राशि का आहरण कर लिया गया है। उन ग्राम पंचायतों के लिए एक टीम गठित की जा रही है जो ग्राम पंचायत में जाकर कार्यों का अवलोकन करेगी। अनियमितता पाए जाने पर सरपंच, सचिव व उपयंत्री पर धारा 92 के तहत वसूली की कार्रवाई की जाएगी व फिर थाने में एफआईआर दर्ज की जाएगी।

फर्जी बिल लगाकर निकाली राशि

शुक्रवार को सामाजिक अंकेक्षण शिविर में ग्रामीणों के द्वारा सामने रखे गए। जहां समतलीकरण में ठेला के नाम व पानी के नाम पर फर्जी बिल लगा भुगतान कर दिया गया। सड़क बनी ही नहीं पर कामों में सड़क दुर्दशा कर राशि आहरण कर ली गई। कपिल धारा कूप में स्लॉटिंग के फर्जी बिल लगा मनमानी राशि निकाल ली गई जिसके चलते कूप अभी भी अपूर्ण हैं और हितग्राही को उसका लाभ नहीं मिल पा रहा।

ये रहे उपस्थित

जनसुनवाई में जनपद उपाध्यक्ष संतोष तिवारी, जिला पंचायत सदस्य भगवती श्रीधर, जनपद सदस्य रणजीत डोंके, बलकिशन खंडेलवाल, मनोज राय, शरद श्रीधर, सतेंद्र तिवारी, जनपद सीईओ अजीत मिश्रा, विभूति दत्त झा प्रतिनिधि सिविल सोसायटी संस्था, आरती भट्ट लेखा अधिकारी जिला पंचायत मंडला, आरपी दुर्वे कार्यपालन यंत्री रोगायो सेवा मंडला, प्रदीप अग्निें आईएस एसडीओ के अलावा सभी ग्राम पंचायत के सरपंच सचिव रोजगार सहायक के अलावा उपयंत्री मौजूद रहे।

The Jan Sunwai and after

- Prepare a case presentation of the issues brought forth by social audit in the *Gram Sabha* to place before the Jan Sunwai jury.
- The presentation should give all details related to these issues and include a systematic recording of facts and data.
- The community as well as the aggrieved parties should also be well prepared to present their cases along with the relevant details.
- Ensure that all the concerned officials capable of taking decisions are present at the Jan Sunvai.
- After the Jan Sunwai, prepare the minutes listing the issues raised by the *Gram Sabha*, its suggested course of action, and the decisions taken by the jury on each issue.
- The minutes are helpful in follow-up and in assessing the action taken subsequently. They should be clear and unambiguous so that the necessary action can be initiated.
- The attempt should then be to resolve the issues in the *Gram Sabha* itself. However, if they cannot be resolved they should be taken up with senior officials of the district programme implementation unit.
- If the issues still remain unresolved at the district unit level, they should be taken up with the district CEO/SDM.
- If necessary, the issues can be taken to even higher authorities such as the heads of the concerned state departments, Lokpal or any other appellate authority.
- If the action taken by the department is unsatisfactory, an FIR can be registered with the police, a complaint can be registered on the Chief Minister's helpline, or the issue can be publicised in the media.

EXERCISE 3

Answer the following questions on the basis of your previous experience of working in a development programme. Discuss your answer and the issues with the other participants. Please specify the programme you are responding to.

List the records that should be made available to the community to facilitate the social audit of your programme:

Case study

The *Gram Panchayat* of X village in Y district spent Rs. 35 lakhs on MGNREGS in 2013. It constructed a pond, drinking water well and three cement-concrete roads under the community work category. It also undertook work targeting individual beneficiaries. It constructed two wells in the farms of two big farmers, did mud-bunding in their field and constructed poultry sheds for some families. A few toilets were also constructed under the scheme.

In April 2014, a group of women complained to the block office that they had not received their wages for the last nine months and most of the infrastructure created during the year was in bad shape because the material used was of very poor quality.

The block CEO decided to conduct a social audit of all the work done by *Gram Panchayat* in 2012, 2013 and 2014.

List the steps required to be taken to prepare for the social audit:

Module 4

Verification of Data

VERIFICATION OF DATA

Verification is an unbiased, non-partisan and ethically responsible process of authenticating facts that is done physically, orally (through testimonies) and by checking financial records. Verifying data and information is important in a social audit process.

PHYSICAL VERIFICATION
(ON-SITE VERIFICATION BY OBSERVING/MEASURING ETC.)

This is done at the work site. For example, the actual attendance at an *Anganwadi* center, or the actual length of the road constructed under the MGNREGS is measured, or the actual number of toilets constructed under the sanitation scheme or houses constructed under the Indira Awaas Yojana is counted. This verification at the work site is called physical verification.

Members of the Social Audit Committee and the beneficiaries should visit the site and review the realities during a social audit verification process. They should examine all the required documents to check the recorded data with the facts on

the ground to assess the actual reality. Verification process should check whether the work done/service provided conforms to what is stated in the records as well what is laid down in the scheme guidelines/procedure. Sometimes, it is difficult to follow the procedure laid down in practice. It is best, then, to discuss the issue with the community to get their feedback on it.

A few examples on scope of physical verification in some of the selected scheme are provided in the annexure.

ORAL VERIFICATION
## (TESTIMONIES FROM THE USER GROUPS AND COMMUNITY)

Focused group discussions are to be conducted with beneficiaries to elicitdata for verification purpose. The testimonies of the families/beneficiaries concerned must cover aspects such as the quality and quantity of the work done/materials used and the wages paid etc.

In case, there is confusion in the testimonies, with some beneficiaries contradicting others, then a more in-depth verification is required. In some cases, the issues may have to be resolved in the *Gram Sabha*.

Oral verification examines whether procedural norms have been followed. Answers to questions like the following are sought: did the ANM actually make a visit as recorded in the register at the sub-health center? Did the teacher come to the school in time? Does the MGNREGS wage list reflect the names of those who

HOW TO COLLECT TESTIMONY?

- Greet respectfully.
- Introduce yourself and explain where you come from, even if you live in the community.
- Ask permission to conduct the interview and collect testimony from the person.
- Explain why you are taking the testimony, and what it will be used for.
- Ensure you record their name, location, and contact details accurately, it's important to ask people whether they would be happy for their names to be used in the report and public hearing or not. It better if they could give their names because it makes the testimony stronger.
- Sometimes, it is polite to have a general conversation first before moving to your specific request. This helps to make people feel comfortable and will help you to get to know the resident better.
- It is best if participants who are local residents conduct the interviews with other residents. Their questions may be more appropriate because they will know the context and will make people feel more comfortable because they will know the social relations of the community.
- Think about age and gender. For instance, will an elderly woman easily open up to a younger man about a service that is personally affecting her dignity? Is it appropriate for group of men to interview a young woman?
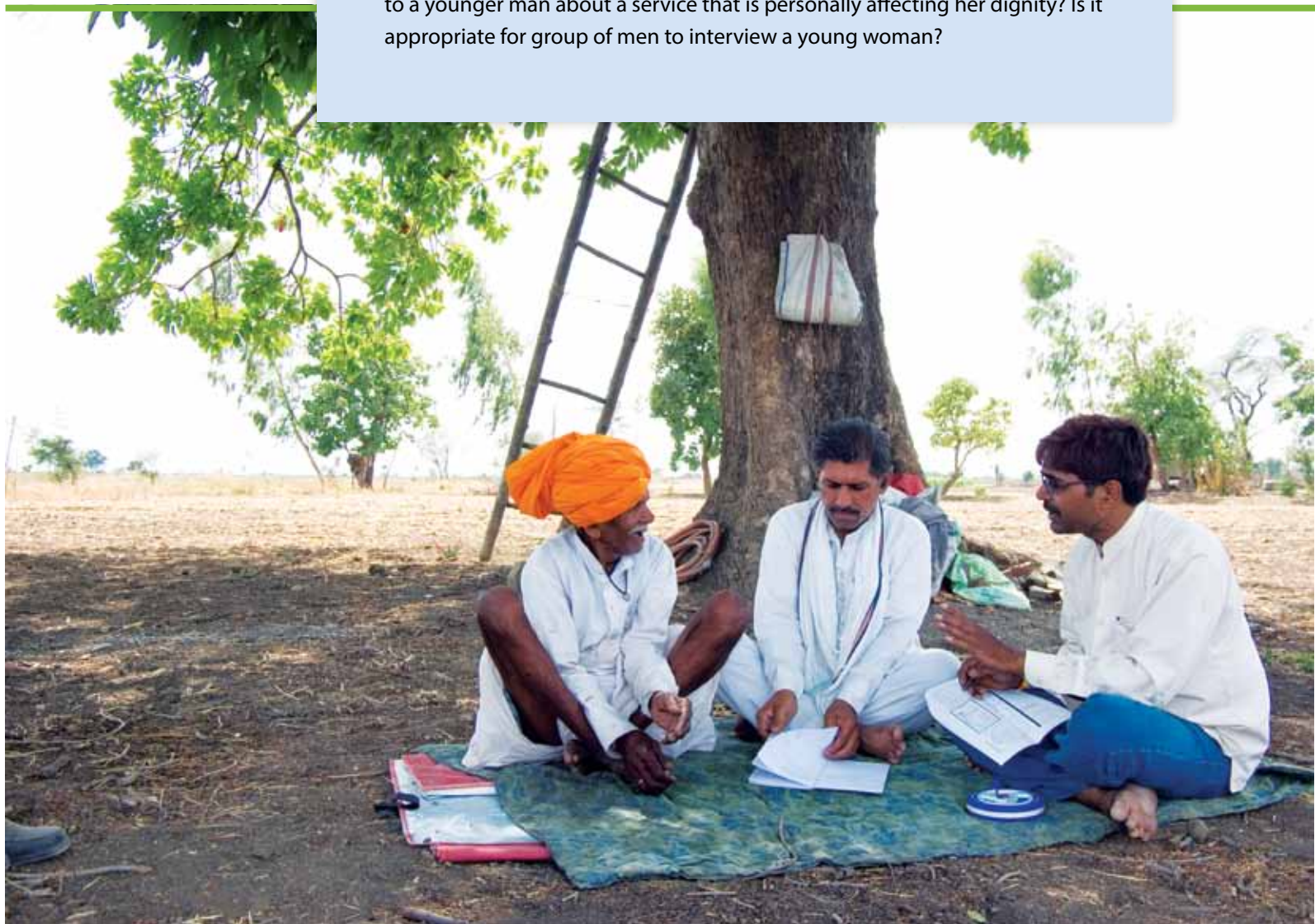
actually worked under the scheme? The community should also verify if the norms for selection of beneficiaries and the follow-up procedure given in schemes such as the IAY and Social Security Pension are adhered to.

FINANCIAL VERIFICATION

This pertains to verifying financial data from the records such as the actual status of purchases from bills and vouchers; for example, purchase of grains for mid-day meals from bills, payment for materials in MGNREGS from the purchase register, etc.

Some of the documents containing data and details relevant for financial verification are annexed in the tables given at the end of the manual.

EXERCISE 4

Download documents/records from the online portals of the department and identify issues that can be physically, orally and financially verified.

Choose a scheme of your choice/your department (to be done in the evening in groups).

Based on your experience of working with the village community, design a set of five questions that you will ask the community to verify the following aspects:

- How regular and how accessible supplementary nutrition and take-home rations are.
- The amount and quality of material used for creating infrastructure in the MGNREGS.

Supplementary nutrition	Mgnregs

Module 5

Social Audit
Facilitation Process

SOCIAL AUDIT FACILITATION PROCESS

SOCIAL AUDIT FACILITATION PROCESS

Social audit is a collective process where diverse social and interest groups work together towards a common goal of establishing transparency and accountability of the development planning and implementation process. The outcomes are expected to affect different social groups differently. Therefore, impartial conduct of the process ensuring full understanding of the norms and fairness of the procedure is extremely critical. Hence, there are a few process areas which the facilitator needs to attend to carefully.

■ PARTICIPATION

A process is participatory when all the stakeholders get involved and take an active interest in it. They don't need to raise issues or be present all the time, but their active engagement and sharing of responsibilities symbolises and constitute participation. In a social audit process, participation ensures space for sharing and learning by all. Stakeholders are encouraged to participate if a conducive environment for social audit is created. A dialogue with the community, implementing agency, beneficiaries, intermediary authorities and other critical players enables participation and engagement of these stakeholders in social audits.

Explaining the purpose of the social audit and demonstrating it as an unbiased process based on facts and evidence, where the community, particularly women and the marginalised, feel secure and where the responses of the implementing agency is listened carefully, strengthens participation in social audit process.

#### SOME NECESSARY 'DO'S' TO ENSURE PARTICIPATION ARE GIVEN BELOW:

- Choose a suitable time and month of the year to facilitate the social audit process.
- Communicate effectively with all critical stakeholders about the purpose of the social audit and its credibility.
- Promote an environment of trust and cooperation to the extent possible, particularly with beneficiary groups and the field functionaries.
- Collect and share necessary facts with the community to stimulate their interest in the process.

- Communicate in a friendly and non-intimidating manner in the local language.

- Listen, record and respect the opinions of all stakeholders, particularly women and marginalised sections.

- Give the implementing agency enough time to respond to the issues raised by the community.

- Choose the venue of the Social Audit *Gram Sabha* carefully to ensure that all community members can participate effectively.

- Keep in mind local customs and the cultural milieu while making seating arrangements for the Social Audit *Gram Sabha*. But, respect all castes equally and ensure that women and the marginalized are heard in the meeting.

■ COMMUNICATION

Sharing information, observations, suggestions, emotions etc. is what constitutes communication. It can be verbal or non-verbal. It can be from the leader/ implementing agency/ community, from one individual to a group, among individuals or across groups. Appearance, body language and expressions contribute as much to communication as words.

Non-verbal and verbal communications are equally important in a social context. Because, many a time, non-verbal communication can be contrary to what is said in words. Facial expressions, eye movements etc. can alter the verbal message and twist the impact on communication. Similarly, a high or low pitched voice, which can strongly express emotions like anger, laughter, sorrow etc. will impact the process of communication. Silence is also a powerful way of communication to express anger, disagreement or fear of speaking. Silence can also mean active support and agreement, as well as active listening. This is a necessary skill that social audit facilitators / trainers need to develop.
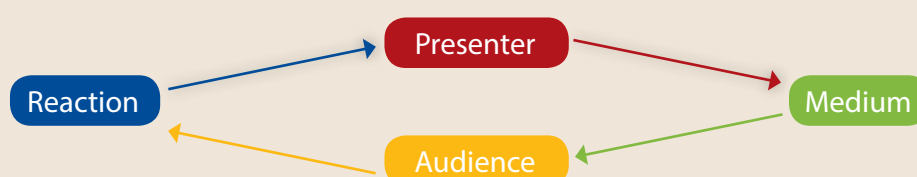
Communication plays an important role in social audits, which is a fast paced, complex and controversial process. A social audit facilitator needs to be an effective and skillful communicator in order to minimise conflict, maximise participation and achieve desired outcomes.

The table below presents the communication agenda and popular mediums used in a social audit process:

AGENDA FOR COMMUNICATION	MEDIUM
▪ Mobilising the community for a social audit process.	Mass communication, including wall writing, posters, radio jingles, TV scrolls etc.
▪ Mobilising response during the verification process.	Interpersonal communication focusing on transfer of information and facts, sharing of data/records, and facilitating responses to the official MIS.
▪ Mobilising the community for the special Social Audit *Gram Sabha*.	Mass communication using innovative and interesting mediums and sabhas (prabhat pheris, folk art forms, bhajan mandalis, magic shows etc), to communicate the date, time and venue of the Social Audit *Gram Sabha*.
▪ Communicating with the implementing agency, district and programme administration, and other decision-making authorities on the process and results of the social audit.	Formal written and oral communication stating the facts and exact nature of expected support.

TABLE 5 : SPECIFIC COMMUNICATION AGENDA AND POPULAR MEDIUMS OF COMMUNICATION

■ DECISION MAKING AND CONFLICT RESOLUTION

Conflicts in social audit process are common because of differing perspectives, the divergent demands of each stakeholder group and the agenda of vested interests. The participating community comprises people of different backgrounds, experiences and values. Hence, conflicts in discussions and decision-making are commonplace. However conflicts are not necessarily harmful. Many conflicts are resolved on their own while others are precursors to improved functioning in future. Some conflicts need mediation but can be settled in the *Gram Sabha* itself. However, some conflicts are grave and serious, hampering the normal functioning of the group and becoming obstacles in achieving the objectives.

The social audit process essentially involves decision making and conflict resolution. The conflict may be among members of the same community, or between members of different caste or class groups, or between the community and the implementing agency. The purpose of a social audit is to improve service delivery

by enhancing accountability and transparency. This can be achieved by amicable conflict resolution and effective decision making. So, social audit facilitators must be adept at conflict resolution and facilitating decisions.

Conflicts should be immediately resolved. Unresolved conflicts lead to demotivation and discourage group participation. Hence, conflict and its resolution should be seen as a necessary process. Conflict resolution must be attempted between parties to the conflict instead of discussing with another 'not affected party'.

■ CONFLICT RESOLUTION MATRIX

		PEOPLE	
		REAL	**UNREAL**
ISSUES	**REAL**	Possible to resolve with discussions	Get real people to resolve issues
	UNREAL	Shooting in the dark- Try to get real issues out from people	Impossible- Do not waste energy to resolve conflict

Similarly, a real conflict issue may differ from an apparently manifested issue. For instance, the issue may be personal but the manifestation may distort the process.

Or the conflict may occur for reasons not related to the issue that's pertinent to the social audit process, for example, social security pensions when the social audit is being carried out for the ICDS scheme. Or a struggle for leadership may also sometimes manifest in an apparent conflict. Hence, it is important to identify the relevant issues and the aggrieved parties.

A facilitator must have patience, skill, an understanding of the issues involved and their context to resolve conflicts. Social audits make the effective resolution of conflicts an enriching and empowering experience.

Making appropriate decisions is central to effective conflict resolution, particularly in the context of social audits. Decisions can be of many types:

1	Autocratic decision	A strong and domineering person takes a decision for the entire community. Implementation becomes a problem in such a situation.
2	Two individuals or groups pair up to take a mutually convenient decision for the community, primarily to protect their own interests.	The *Gram Panchayat* announces a decision and the *Anganwadi* supervisor/*Anganwadi* worker seconds it to protect the interests of each other rather than the community. Such decisions are usually not accepted and challenged at the time of implementation.
3	Decision taken after building a consensus.	This is a participatory decision. It is agreeable to all parties and implemented with relative ease.

TABLE 6 : TYPES OF DECISIONS
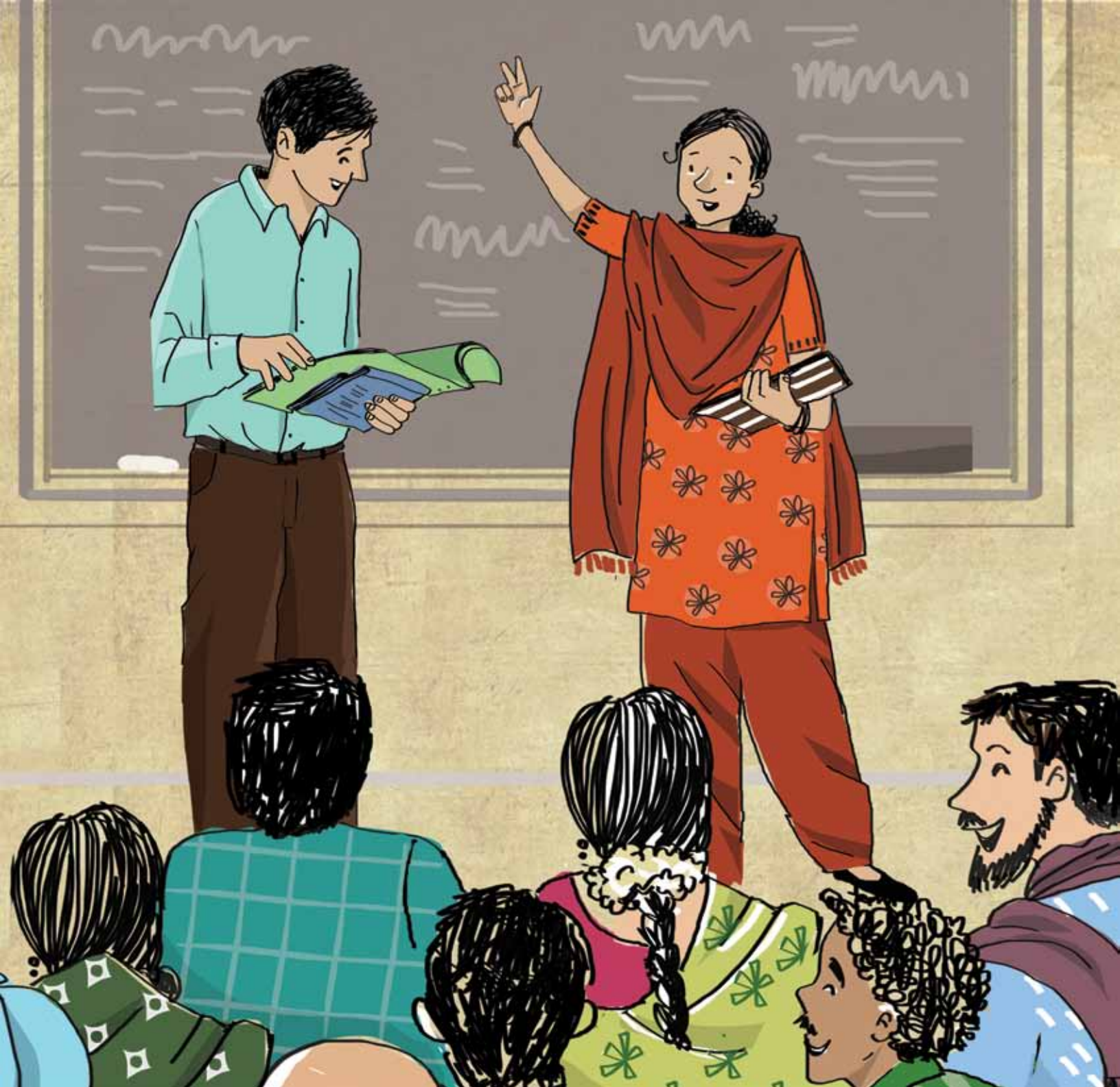
Module 6

Skills for Master Facilitators /Trainers

SKILLS FOR MASTER FACILITATORS /TRAINERS

Facilitation of training is an art. Trainers develop the required skills after a good deal of understanding and practice of the principles of adult learning, participatory methodologies and use of different methodologies in the training process.

ADULT LEARNING

Adults learn and change themselves. But teaching-learning with adults is more difficult and different from teaching-learning with children. Adults tend to analyse the content of the training against their own previous experience, knowledge and wisdom. So, it is important to respect their experience to facilitate new learning. New knowledge and wisdom come when they analyse and compare their old and new experiences with a fresh perspective.

PRINCIPLES OF ADULT LEARNING
▪ It is important to create a healthy, non-intimidating and challenging atmosphere for adults to learn.
▪ They enter a learning process only when they are encouraged to learn and use their learning to address their problems. They mostly learn to deal with an actual and immediate concern unlike children that learn things solely for future application.
▪ Adults have experiences. It is important to consider and respect these experiences to get them involved in learning. By encouraging them to analyse their experiences, the facilitator catalyses new ways of thinking.
▪ It is important to take and give feedback in the learning process to facilitate an exploration of new aspects.
▪ Once adults are made aware of their new learning, they are excited and eager to learn more.
▪ There are various methods by which adults learn. Different methods should be tried for different people because one method does not fit all.
▪ Deep emotions are generated during a learning process. It is necessary to understand and handle these emotions to prevent them from hampering the learning process.

CONVENTIONAL TRAINING

In conventional teaching and learning, an expert imparts knowledge to a 'recipient' who is less knowledgeable. In such a process, the teacher is regarded as the source of knowledge and information, but not much credence is given to the experience,

knowledge and wisdom of the learner. The sole objective of such a training methodology is the enhancement of the knowledge of the learner. These conventional methods of teaching face a serious constraint if the objectives are extended to changing attitudes, behaviour and the skill levels of the learners.

■ PARTICIPATORY TRAINING

The objectives of training in a development programme almost always go beyond merely imparting knowledge, and usually extend to targeting changes in behaviour, attitude and skills of the participants. For instance, a training to improve the agricultural practices of farmers is not only about giving them knowledge of such practices but also sharing the problems they face with traditional agriculture and the challenges they have to overcome in adopting modern agricultural practices. Their previous experiences influence their adaptation to the new methods. Behavioural change comes when they begin to analyse their earlier understanding of agricultural practices and the data it that trainer will generates with a fresh perspective.

All adult learners bring their wisdom and experience to a learning situation, irrespective of their knowledge and literacy levels. Therefore, in participatory training methodology, it is important to share and deal with a learner's past experience to facilitate the building of new knowledge and behavior change for doing things differently.

Participatory training can be essentially seen as:

- A process based on experience sharing, building new experiences and consequently generating new learnings.

- A two-way process where the facilitator and participants learn from each other's experience.

- A process that aims to change the attitudes, behavior, practices and skills of participants, in addition to building their knowledge base.

CONVENTIONAL METHOD	PARTICIPATORY METHOD
▪ Trainer centered.	▪ Participant centered.
▪ Trainer controls the process.	▪ Participants control the process.
▪ Trainer imparts knowledge.	▪ Trainer facilitates learning.
▪ Based on a pre-decided curriculum.	▪ Based on experience-sharing methods.
	▪ Aims to generate awareness and change attitudes/ behaviour.

TABLE 7 : DIFFERENCES BETWEEN CONVENTIONAL AND PARTICIPATORY TRAINING METHODOLOGY

The objectives of training in a development programme almost always go beyond merely imparting knowledge, and usually extend to targeting changes in behavior, attitude and skills of the participants. For instance, a training to improve the agricultural practices of farmers is not only about giving them knowledge of improved practices but also sharing their previous experiences with traditional practices and their concerns on the use of modern practices. Their adaptation to the new methods will be influenced by their perception of new methods and their experience with old methods, therefore, participatory training will deal with all these dimensions rather than only giving knowledge on new methods of agriculture. Behavioral change comes when they begin to analyse their earlier understanding of agricultural practices and the data that the trainer generates with a fresh perspective.

PARTICIPATORY TRAINING METHODOLOGY

A participatory training will have three basic components:

- Basic content or core issue/subject of the training;

- Training design (i.e. subjects/issues are broken down into several topics and dealt sequentially); and

- Methods/techniques of transferring/ facilitating a particular content.

Unlike conventional training that relies chiefly on lectures/presentation for transferring information/knowledge, participatory training uses several methods specifically designed to facilitate learning among adult participants. The methods are based

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                        ┌──────────────────────┐
                        │  FOCUS OF LEARNING   │
                        └──────────┬───────────┘
          ┌────────────────────────┼────────────────────────┐
    ┌────────────┐          ┌────────────┐          ┌──────────────────────┐
    │ KNOWLEDGE  │          │   SKILLS   │          │ CHANGE IN BEHAVIOUR, │
    │            │          │            │          │ ATTITUDES, PRACTICES │
    └─────┬──────┘          └─────┬──────┘          └──────────┬───────────┘
   ┌────────────┐          ┌────────────┐          ┌──────────────────────┐
   │  METHODS   │          │  METHODS   │          │       METHODS        │
   │  LECTURE   │          │  PRACTICE  │          │ ROLE PLAY, SIMULATION,│
   │            │          │            │          │ GAMES, SMALL GROUP   │
   │            │          │            │          │     DISCUSSION       │
   └────────────┘          └────────────┘          └──────────────────────┘
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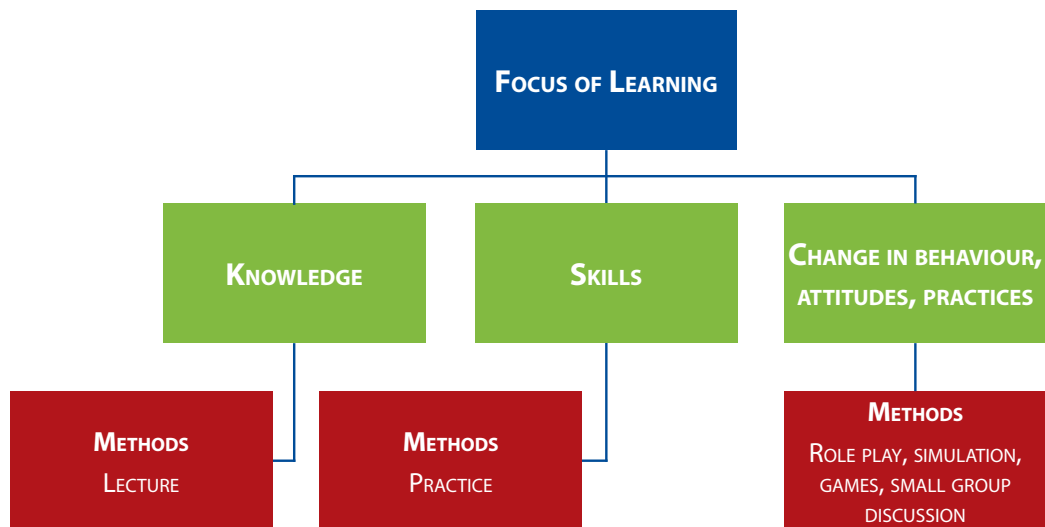
on the principles of andragogy and use diverse techniques to promote learning. The choice of method depends on the focus of learning, 'knowledge, attitude change or acquiring of skills'.

FOCUS OF LEARNING can be classified in three ways:

- Imparting knowledge and passing on information. This is cognitive learning, which includes mental, abstract and intellectual effort.

- Changing behaviour, attitudes and practices. It includes motivation, commitment, values, emotions (matters of heart) etc.

- Building skills in specific areas. For example, skills in social audits, documentation etc.

One of the various method, or a mix of methods is used in participatory trainings. Lecture, role play, small group discussion, case studies and simulation are the commonly used training methods.

1. LECTURE

The lecture method is the most effective way of introducing new information or concepts to a group of learners. It is primarily used to build upon the existing knowledge base of the learners.

Advantages:

- Can present concepts and information in an orderly and systematic manner in a limited timeframe.

- A large number of participants can attend.

- Information and concepts can be presented to learners who are not familiar with printed materials (illiterates).

- Diverse, supportive materials like charts, audio-visual aids, posters etc. can be used to supplement, highlight and elaborate key concepts and content areas.

Limitations:

- The trainers' points of view and thinking get prime attention.

- Lectures are largely one-way communication.

- Participants may get influenced by the personality of the speaker.

- Difficult to monitor the speaker and indicate whether s/he is making sense and reaching out to the learners.

- Often difficult for the speaker to gauge the learners' comprehension.

- Time control during lectures remains in the hands of the trainer/speaker.

- The speaker's own views influence the content of the lecture.

2. SMALL GROUP DISCUSSIONS

Small group discussions (SGD) provide an opportunity to all participants to share their experiences and thoughts, ask questions, and critique issues. They encourage participation and facilitate collective reflection on issues. Mutual discussion helps to clarify issues and promotes an understanding of different points of view. The method is used when the group has diverse experiences about the concerned issue and there is need to encourage sharing in the group.

Steps to follow:

- Divide a big group into smaller groups.

- Allot a task/ subject/issue to each group for discussion.

- Define the time and space for the group discussion.

- Brief the groups on the method of presentation.

- Regularly facilitate the groups to maintain focus.

- Conduct a debriefing of the presentations.

Advantages:

- Helps members to understand and learn from the experiences of other members of the group.

- Helps build group cohesiveness and enhances involvement in the tasks and processes of the group.

- Provides opportunities for silent, shy and restrained members to open up.

Limitations:

- Requires active facilitation.

- It can be a time consuming method.

- The content and flow of discussions may get influenced by active/dominant members and inhibit the involvement of others.

- More physical space is needed to accommodate different small groups.

Tips for facilitators:

- Each member/group should be clear about the task. Participants should be briefed about their membership, where the groups are to be seated, how much time is being allotted, the reporting format etc.

- Stationary supplied must be handed over to each group to prepare the report.

- Facilitators must be attentive.

- Groups should present their analysis and reports.

- The group reports should be consolidated and summarised.

3. ROLE PLAY

Role-play is a structured experience in which learners use their experience to enact a situation specified by the trainer/facilitator. Learners must have experiences on the issue if they are to participate. It gives them the opportunity to develop sensitivity towards others points of view, feelings and experiences.

Steps in role play:

- Select a suitable role play experience depending on the purpose of learning.

- Identify enactors/performers for each role from among the participants and facilitator.

- Use local resources for setting the stage.

- Explain the role to the learners.

- Explain the points to be observed by the learners.

- Set the stage and start the role play session.

- Consolidate and debrief the learners.

- Short break after the role play.

Advantages:

- It is a simple and low-cost method.

- It does not require much material or advance preparation.

- It focuses on the problem and helps learners deal with it.

- It provides low-risk opportunities to individuals to experiment with new behaviour patterns.

- It exposes an individual to various points of view as well as diverse reactions to a particular situation, which may not be possible in a discussion.

- It throws considerable light on crucial issues within a short period of time.

Limitations:

- It is possible that the role play gets reduced to entertainment.

- Participants can get emotionally involved in their roles and lose objectivity during analysis.

- Participants can overact and distort their roles.

- If the focus of learning and discussion is not clear, it does not add any value to the training.

4. Case study

In the case study method, experiences (self or others) are provided to the group in the form of a case. These experiences are reflected upon and analysed by the learners to derive new principles. Case studies may be presented in written or verbal forms or even through the medium of films or songs, depending upon the background and levels of learners.

A case study can be used to convey complex theoretical concepts in a simple way. It allows the group to reflect on the problem from a third person's perspective. It helps to sharpen the learners' analytical and diagnostic skills. It exposes them to situations they might not ordinarily experience in their own lives. It helps in creating new knowledge through collective reflection, analysis and synthesis.

Steps to follow:

- Read/hear the case presentation along with audio-visual aids (if available).

- Invite individual reflections on key issues highlighted in the brief.

- Initiate small group discussions (to explore the issue further).

- Extract insights.

- Do a collective analysis and synthesis.

- Summarise the discussion.

- Examine feedback on various possibilities that exist for action.

Advantages:

- It creates options and approaches that can be used for a particular problem.

- It draws strength from the experiences of others and the sharing of similar experiences.

Limitations:

- It is time consuming.

- If facilitation is poor, the process may lead to unexpected ends.

- There is a possibility that dominant or aggressive members may take over the process.

- Members may not be serious.

- It requires more space to accommodate different groups.

- Women may be ignored in mixed-gender groups.

- The trainer needs special skills to facilitate, debrief and summarize the discussions.

Tips for facilitators:

- The case study method requires a high degree of involvement and participation on the part of both the learners and the trainers. The facilitator is responsible for encouraging participants to ask questions, probe further, clarify and seek clarifications. S/he should invite interpretations and draw parallels between the existing reality and what is happening in the group.

- The facilitator should keep in mind the level of the learners, the objectives to be achieved and the pace of analysing the case study. What may work with one group of learners may be totally redundant for another group.

- In the absence of a readily available case study, the facilitator could prepare a case study. But, preparing and using case studies requires considerable skill and experience.

PREPARING THE TRAINING DESIGN

The training design lays the foundation for the training and supports a structured flow of the sessions. The two important components of the training design are the content of the sessions and the sequencing of sessions. Also, the time schedule should be fixed and the methodology for each session proposed.

The focus of learning, content, subjects and the background of the participants are important considerations in preparing the training design. It helps to use

different methodologies in participatory training, choosing the method to break the monotony and maintain the interest of the participants.

While, sequencing the sessions, a logical flow should be maintained, moving from micro to macro or macro to micro contexts. Sometimes, the swing could be from macro to micro and back to macro within the same session. Like, for instance, moving from society to the individual and then back to society. A training design is annexed at the end for your reference.

MANAGING THE TRAINING

PARTICIPATORY TRAINING is a complex and structured process that is directed and facilitated by the trainer. S/he is responsible for creating a suitable environment where participants can explore their past experiences and learn. S/he assesses the focus of learning, which essentially means the change in the level of knowledge, or change in behaviour/attitude or building of skills. The trainer designs the sessions and uses the appropriate training methodology to transfer the content of the training. So the trainer's role begins even before the training starts and extends beyond the closure of the training.

BEFORE THE TRAINING COMMENCES
Designs, directs and manages the training.
Assesses the expectations of participants and designs the training accordingly.
Selects suitable resource persons and fixes the venue, date and time of the training.
Prepares resource materials for the training.
Manages the finances of the training.

DURING THE TRAINING
Controls and directs the learning process.
Creates a facilitating environment.
Motivates and challenges the participants.
Understands the perspectives and viewpoints of others.
Facilitates acquisition of knowledge and change in attitudes and skills.
Facilitates learning using the principles of adult learning.

AFTER THE TRAINING
Maintains a relationship with the participants.
Evaluates the training on the basis of feedback from the participants.
Shares the report and follow-up of the training agenda.

TABLE 8 : ROLE OF THE TRAINER IN MANAGING THE TRAINING

Participatory trainings are learner-centred; therefore, the trainers evolve new methods and methodologies to fulfill learning objectives. Similarly, the social

audit is a people centered accountability process, therefore, the facilitator should design processes and define steps as per the need of the village/ *Gram Sabha* or programme requirements. The manual provides suggestive and guiding inputs. Facilitators and trainers are encouraged to enrich the process by adaptations and innovations.

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Annexures

Annexure 1: MGNREGS

The following are the key functions of the VSAC during a social audit:

For facilitating conduct of social audit by *Gram Sabha*, the VSAC, along with primary stakeholders shall verify - registration of families for job cards, distribution of job cards, yearly plan, shelf of projects, contribution of community in preparing the Labour Budget, Quality assessment of the work done, demand for work, status of work supply, proceeding of the *Gram Sabha*, unemployment wage, procurement of goods and its optimal use etc. should be verified. For assistance, few important aspects and the information to be verified within are given below:

Table 1: Aspects & issues to be verified		
Sr. No.	**Area/Aspect**	**Issues to be verified**
1.	Job card registration	Whether all target right holders been registered?
		Whether there are families who have applied for Job cards but have not received them yet?
		Whether families/individuals have their job cards with them or kept/stored these with someone else?
		Whether the work done & wage is being written in the job cards?
2.	Labour budget, Yearly plan, Shelf of projects	Whether Labour budget is being prepared and whether 60:40 ratio being maintained?
		Whether according to the Labour budget yearly plan, 70% of the work is allocated in the individual plan while 30% in the community plan?
		Whether the activities mentioned in the yearly plan according to the priority of the villagers?
		Whether the scheme is being implemented according to the yearly plan?
3.	Quality of work	How is the quality of the work done? Were all the resources optimally used for completing the work?
		Whether the work done is beneficial to the community? What is the satisfaction level of the community with the work undertaken?
		Was Monitoring & Vigilance committee formed during the work done? Did the members of the committee justify their role?
4.	Demand for work	Do target families get the opportunity to demand for work and do they get 100 days work?
		Do people have to give application for work and do they receive receipt for the same?

TABLE 1: ASPECTS & ISSUES TO BE VERIFIED		
5.	Labour and unemployment allowance	Do labourers get complete wages for the work they do?
		Is the amount estimated for a particular work more than what is being distributed?
		Are labourers paid less despite estimated amount is more?
		Was community provided work within 15 days of demand?
		Are those who didn't get work receiving the unemployment allowance?
		Are labour charges paid within 15 days of work?
		Whether wages are distributed in the name of those who are fake or even dead?
6.	Beneficiary selection	Whether right holders are selected based on the eligibility criteria or there are people in the community who were more eligible for a particular work than the one selected?
7.	Procurement of resources	Whether the established system of 'quotations' followed during procuring resource material?
		Whether stock register of the resource material purchased being maintained?
8.	Facilities at the work place	Was notice board put up at the work site during the work undertaken?
		Was shed, drinking water, first aid made available at the work place during the work undertaken? Was muster-roll filled on a daily basis?
9.	Plan & work undertaken	Were vulnerable groups of the community involved in the planning process along with *Gram Sabha* members and women?
		Was work prioritised according to the community's needs?
		Was work done according to the plan and priorities?
10.	Monitoring	Was Monitoring & Vigilance Committee formed during the *Gram Sabha*?
		Did this committee justify their role in maintaining the quality of work?

Sr. No.	Name of document	Information to be Verified	To be verified with
TABLE 2: List of documents and the information to be collated in the documents:			
1.	Family enrolment register/ Applications for registration	▪ Whether applications accepted for registration. Who were all those who applied? ▪ Whether timely registration was done for those who had applied? ▪ Whether details like name of HoH, elderly members of the family, names of the members, age, sex etc. mentioned during the registration	Applications for registration, Job card distribution register, Total number of Job card holders
2.	Job card register & Job card	▪ Whether the Job card has details like registration number, Name of elderly member, photographs, Account number etc.? Whether it has signature of the registered labour and *Sarpanch*/Secretary? ▪ Details of the labour payment mentioned in the Job card?	Applications for Job card
3.	Yearly plan, Shelf of project & labour budget	▪ Whether yearly plan & shelf of project prepared according to the Labour Budget? ▪ Whether *Gram Sabha* was involved in preparing the yearly plan? ▪ Whether projects are implemented according to the yearly plan? ▪ Whether Labour budget is being prepared and whether 60:40 ratio being maintained? ▪ Whether according to the Labour budget yearly plan, 70% of the work is allocated in the individual plan while 30% in the community plan?	Details of work done, status of work & through proceedings of *Gram Sabha*
4.	Application for demand of work	▪ Whether applications are accepted for demand of work? ▪ Whether such applications have details of family, date of application, required number of work days etc.?	Employment register, Muster-roll
5.	Muster-roll	▪ Whether the current muster roll number registered in the Muster-roll register? ▪ Whether those registered in the muster-roll had demanded for work? When was the demand and when was work provided? ▪ Whether the Technical sanction amount, date of sanction mentioned? ▪ Whether Muster-roll receiving date is mentioned or not? ▪ Whether details like name, designation and date on which muster-roll was accepted mentioned? ▪ How much less are the labourers paid of the Minimum wages? How much is the amount deducted? ▪ Whether labourers are paid less according to the measurement of work?	Muster-roll register, Applications for demand of work, Through TS/AS, MB and current employment rate of Rs.157/- per day

TABLE 2: LIST OF DOCUMENTS AND THE INFORMATION TO BE COLLATED IN THE DOCUMENTS:			
6.	Employment register	▪ Whether those registered in the muster-roll had demanded for work? ▪ When was the demand and when was work provided?	Registration for application for demand of work and Muster-roll
7.	Asset register	▪ Whether the completed work is mentioned in the asset register?	Work completion certificate
8.	Complaint register	▪ Whether complaints are registered in the Complaints register? ▪ Details of complaints – name of Complainant, topic, action taken etc.	Whether complaints are registered in the Complaints register?
9.	Monitoring register	▪ Whether the monitoring tips/suggestions registered in the register?	Monitoring date & name of Monitoring Officer registered in MB
10.	Cash book/ Lager	▪ Whether details of income of the panchayat maintained on a daily basis? ▪ Whether work wise lager is being prepared?	Expenditure bills, vouchers, master and bank pass book
11.	Cheque issuance register	▪ Whether records are maintained for each cheque that is issued? ▪ Whether details of cheque like name of M/s, cheque number, date mentioned or not?	Cash book, Bank pass book
12.	Stock register	Whether all required material is registered?	Bills for materials procured
13.	Migration register	Is migration register being updated?	
14.	TS/SS/ Work notice	Whether details of work done or undertaken like TS/SS/ Work notice maintained?	List of work done
15.	Unemployment allowance register	Whether those who had applied for work and did not receive the work have applied for Unemployment allowance?	Application for demand of work, Employment register & muster

Annexure 2: Indira Awaas Yojana (IAY)

Discuss on issues mentioned below with rights-holders and local community in various Mohallas of villages.

	TABLE 3: VERIFICATION AND ANALYSIS OF WORKPLACE ON SCHEME IMPLEMENTATION		
SR. NO.	**POINTS FOR DISCUSSION AND ANALYSIS**	**WITH WHOM**	**RESULT/CONCLUSION FROM DISCUSSION**
1.	Does Gram Sabha play a role in beneficiary selection?	Local community	
2.	Is beneficiary selection done according to criteria?	Local community	
3.	Were there more deserving beneficiaries, who were ignored	Local community	
4.	If yes, why did the more deserving not get selected?	Local community	
5.	Were the installments released in time without any undue pressure?	Beneficiary	
6.	Current status of House (Complete/incomplete)	Beneficiary	
7.	Verify the current status of the house and give your comment on quality of construction and status.	Social Auditor	
8.	What kind of challenges have been faced while getting the benefit of the scheme?	Beneficiary	

Annexure 3: Swachh Bharat Abhiyan (SBM)

	TABLE 4 : Aspects to be verified		
Sr. No.	**Discussion with Community / points for analysis**	**Discuss with whom**	**Discussion/ Result/ Conclusion of analysis**
1.	Does Gram Sabha play a role in beneficiary selection?	Local community	
2.	Do right beneficiaries get selected?	Local community	
3.	Is beneficiary selection done according to criteria?	Local community	
4.	Were there more deserving beneficiaries, who were ignored	Local community	
5.	If yes, why did the more deserving not get selected?	Local community	
6.	Current status of toilet construction (complete/ incomplete)	Beneficiary	
7.	How is the quality of toilets?, what are the problems/defects, if any?	Beneficiary/ Observations by the Social Auditors	
8.	What kinds of difficulties have been faced during toilet construction?	Beneficiary	
9.	How is the utility of the toilet the, family is using?	local community/ Observations by the Social Auditors	

ANNEXURE 4: SOCIAL SECURITY SCHEME

Sr. No.	Verification/ Points for discussion	Discussion with whom	Discussion/ result /conclusion of verification
1.	Was selection done in the gram Sabha	Local community	
2.	Is the selection, as per the prescribed norms?	Local community	
3.	Is the pension being received as per the norms?	Beneficiaries	
4.	What difficulties were faced in receiving the pension?	Beneficiaries	
5.	Were there other deserving individuals left out?	Beneficiaries	

Table header: TABLE: 5 ASPECTS TO BE VERIFIED

Annexure 5: Integrated Child Development Scheme (ICDS)

Sr. No.	Scheme zone	Points for verification/ Discussion	With whom	Result/conclusion after discussion
		Table: 6 Verification of utility and quality of Anganwadi centres		
1.	Operation	Is there sufficient room in the *Aganwadi* Centre?	Children/ Guardian and community	
2.		Have the worker and helper been appointed?	Children/ Guardian and community	
3.		If all children do not come to the centre regularly what are the reasons?	Children/ Guardian and community	
4.	Quality	Does centre have sufficient education material?	Children/ Guardian and community	
5.		Are children given good quality food in the centre?	Children/ Guardian and community	
6.		Does the centre fully support for immunization and testing of children and pregnant ladies?	Children/ Guardian and community	
7.	Quality	Does the centre have good quality weighing machine? Are growth chart of all children prepared and maintained regularly	Discussion with children/ Guardian and verification of documents	
8.	Social justice	Is there any discrimination against girls or children from marginalized communities?	Scheduled Caste/Tribe community / Guardian	
9.		If children from the marginalized community do not come to centre, what are the reasons?	Scheduled Caste/Tribe community / Guardian	

ANNEXURE 6: EDUCATION

Discuss with children, guardians and local communities about the education in local schools. Enter results and conclusions after the discussions.

TABLE 7: QUALITY OF SCHOOL EDUCATION				
SR. NO.	ZONE RELATED TO SCHOOL ADMINISTRATION	OPERATION/DISCUSSION RELATED ISSUES	TO WHOM	RESULT/ CONCLUSION
1.	School operation	Does school building have sufficient rooms?	Children and guardians	
2.		Are the registered children coming to school regularly?	Local community	
3.		Does the school have sufficient number of teachers?	Children and guardians	
4.	Quality of services	Does the school have sufficient teaching-learning materials?	Children	
5.		What is the quality of learning and level of performance in the school?	Children and guardians	
6.		What is the Quality of mid- day meal provided to children?	Children	
7.		Does the school have a usable toilet?	Children	
8.		Is there a Drinking water facility?	Children	
9.	Social justice	Is there any kind of discrimination against girls or children from marginalized communities during admission, education and , mid- day meal distribution?	Local community/ Scheduled Caste/Tribe community	

Annexure 7: Pro forma for presenting the report of the Gram Sabha

Report presented by the Resource person of *Gram Sabha* under the Mahatma Gandhi National Rural Employment Guarantee Act

- Name of *Gram Panchayat*:
- Date of *Gram Sabha*:
- Venue of *Gram Sabha*:
- President of the *Gram Sabha*/Father/Name of Husband:
- Name of Nodal Officer appointed for *Gram Sabha*/Designation/Department:

1. Financial summary of the Gram Panchayat

	Details of the total expenditure by Gram Panchayat during the Financial year						
Sr. No.	**Total expenditure incurred during the period under audit**						
	Unskilled labour	**Semi-skilled labour**	**Skilled labour**	**Material**	**Miscellaneous**	**Administrative**	**Total**
1	2	3	4	5	6	7	8
1							
2							
3							
4							
5							
6							
7							
8							
9							
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21							
22							
23							

2. Work wise expenditure of the *Gram Panchayat* till 31/03/2013 (Based on the documents)

Sr. No.	Name of project	Date of initiation of project	TS no./ Date	AS Date	Sanctioned amount	Amount monitored	Total expenditure during project	Physical verification (Complete/ Incomplete/ In progress)	Total Man days	How many labourers got work	Status of wage payment (Complete/ Delayed)

3. (a) If wage payment is delayed, specify the reasons for delay –

   (b) Were there any problems during wage payment distribution? If yes, how was it resolved?

4. Physical verification of work

Sr. No.	Name of project	Date of monitoring by Resource person/SA Committee	Was board displayed at the work site	Status of work during physical verification (Complete/ Incomplete/ In Progress)	Perception about community regarding quality of work (Satisfactory/ Needs improvement/ Poor quality)	Work done measured as was documented (Yes/No)	If no, details of difference	Remark

5. If the work is under progress, verification will be done from the monitoring stage. If the work is complete, provide details whether Work Completion Certificate has been issued or not.

6. Documents used during Social Audit			
Sr. No.	**Name of document**	**Sr. No.**	**Name of document**
1		2	
3		4	
5		6	

7. Questions raised by members of the *Gram Sabha* and their justification			
Sr. No.	**Name of project**	**Brief description of the objections/ limitations**	**Who resolved the objections?**

8. Important decisions by the *Gram Sabha* –

9. If work is related to benefitted people, whether Certificate of Satisfaction obtained from the beneficiary

<div align="center">**OR**</div>

Are benefitted people satisfied with the work? If yes, how many of the total has responded positively?

10. Did the Social Audit Committee pay door-to-door visits to verify the labourers and muster-roll? If yes, specify the number –

11. Was Exit Protocol undertaken for the work done? YES / NO

12. Has the work done registered in the Asset register and Revenue register? YES / NO

Details of members of the *Gram Sabha*		
Sr. No.	**Full name**	**Sign**
1		
2		
3		
4		
5		

Signatures & Seals

President	Nodal Officer	Rozgar Sahayak	Secretary	Sarpanch
Gram Sabha	*Gram Sabha*	*Gram Sabha*	*Gram Sabha*	*Gram Sabha*

Annexure 8: Pro forma to be used for submitting Case for Jan Sunwai

CASE PERFORMA FOR JanSunwai	
1. Name of Village	2. Name of *Gram Panchayat*
3. Name of Block	4. Name of District
5. Details of Labourer/ Beneficiary/ Complainant	6. Details against whom the complaint is lodged
Name: Father/Husbands name: Scheme specific identification number - ▪ Job card number (in case of MGNREGA): ▪ BPL card number (in case of IAY): ▪ Registration number of implementing agency / CCH (in case of MDM): ▪ *Anganwadi* number (in case of ICDS): Address:	Name: Father/Husbands name: Designation: Address:
Details of main complaint:	
Expected decision/result/action:	
Details of the Case:	
List of Witnesses – Give details of the Witnesses and attach 1. 2. 3. 4.	

The resource persons deployed for Social Audit in a *panchayat* must not be the residents of the same *Panchayat*

▪ The District Programme Coordinator (DPC), in case of failure of wage payment, will within one month, process the wage payment along with the interest and will also penalise the person responsible for the delay in wage payment.

▪ DPC will ensure that *Jan Sunwai* and corrective actions are taken based on the Social Audit report.

▪ DPC will also ensure that appropriate actions on all the aspects finalized during *Gram Sabha* are undertaken within 30 days.

▪ The Social Audit will be presided by a senior member of the *Gram Sabha* who will neither be a member of *Panchayat* nor of any implementing agency.

- Social Audit Report and the proceedings underneath will be published on a public place.

- Video recording of the *Gram Sabha* undertaken for Social Audit will be done.

- Village Audit Committee will be formed for Social Audit. Members of this committee will be formed by the *Gram Sabha* members.

- Every six months a special *Gram Sabha* will be organised for undertaking Social Audit which will be termed as Social Audit *Gram Sabha*.

- Village Social Audit Facilitators will be formed who will facilitate the Social Audit *Gram Sabha* and with the help of Village audit Committee will present the conclusions of the *Gram Sabha* Social Audit. These facilitators will be from the same community.

Annexure 9: Design for training of Social Audit Master Facilitators/Trainers

Day-1					
Approximate Time	**Description**	**Purpose**	**Method**	**Material required**	**Expected required time**
09:30 AM 10:00 AM	Registration			Attendance Sheet	30 Min
10:00 AM 10:30 AM	Introduction	Icebreaker	Game	Card Sheet & Marker	30 Min.
10:30 AM 11:00AM	Setting Rules and knowing expectations of participants	▪ About the Programme ▪ Expectations ▪ Logistics ▪ Setting the rules for training hall	Lecture and open discussion	Card Sheet, Marker & Sketch pen	30 Min.
11:00 AM 11:15 AM	Tea Break				
11:00 AM 12:00 AM	What is social audit and its need?	▪ Defining Social Audit ▪ Importance of Social Audit ▪ Objectives of social Audit	Lecture and open discussion	Marker & Flip Chart	60 Min.
12:00 PM – 01 PM	Types of Audit	▪ Financial audit v/s Social Audit ▪ Benefits of Social Audit ▪ Outcomes of Social Audit	Lecture and Group Work	Marker, Flip Chart and Paper tape	60 Min.
01:00 PM 02:00 PM	Lunch				60 Min.
02:00 PM 03:00 PM	Opportunities for conducting social audit in Government Schemes	▪ Legal provisions in support of Social Audit ▪ System for conducting social audit in State ▪ Mandatory pre requisites for social Audit	Lecture and consultation	Marker	60 Min.

DAY-1					
03:30 PM	Tea				30 Min.
3:30 PM 5:00 PM	Process of conducting social audit	▪ Steps of social audit ▪ Desired conditions for social audits ▪ Inputs on Do's and Don'ts for social audit facilitator	Lecture and Open Discussion	Marker & Flip Chart or LCD presentation	90 Min
05:00 PM 5:30 PM	Follow up of *Gram Sabha* Decisions	▪ Different ways of follow up ▪ Jan Sunwai	Small Group Discussion	Chart and Sketch Pen	30 Min.
DAY-2					
09:30 AM 10:00Am	Recap of Day one	▪ Individual Sharing of learning's			30 Min.
10:00AM 11:00 AM	Use of verification as a tool in Social Audit	▪ What is Verification ▪ Discussion on verification as a tool ▪ Types of Verification used in Social Audit Process	Practice exercises using actual data and data analysis exercises		60 Min.
11:00 AM 01:30 PM	Process of Oral & Financial verification	▪ Explaining the formats used for verification of different schemes verification	Lecture, Small Group Discussion and Presentation	Formats of oral and Financial verification, Reference Material for verification, Marker, Flip Chart	150 Min.
01:30 PM 02:30 PM	Lunch				60 Min.
02:30 PM 03:30 PM	Practice of conducting verifications	▪ Case Study ▪ Oral verification ▪ Financial Verification through provided documents	Small Group Exercise	Case study, Formats of oral verification, Copy of financial Documents	60 Min.

DAY-2					
03:30 PM **04:00 PM**	Tea Break				30 Min.
04:00 PM **05:30 PM**	Preparation for field visit	▪ Division of teams in groups ▪ Assigning the tasks ▪ Assigning material, roles and responsibilities	Practice based day, focusing actual verification in the field for at least 3 flagship programmes	Data and MIS records for verification, formats for entering verified data, inch-tape or other necessary things	30 Min.
DAY-3					
09:00 AM	Departure for Field Visit	▪ Conducting verification in different schemes for social audit		Vehicle for field visit, Different formats for verification	
1:00 PM 2:00 PM	Lunch Break				60 Min.
2:00 PM	Collecting facts	▪ Analyse the collected facts			
4:00 PM	Return from field				
5:00 PM	Developing report of field work	▪ Based on the observation and verification document develop a report to present in the *Gram Sabha*		Drawing Sheet and Marker	
DAY-4					
9:30 AM **11:00 AM**	Debriefing of Social Audit field experience	▪ Group Presentation ▪ Discussion over observations of Team ▪ Input to Improve the process by facilitator and team members	Presentation and Feedback		90 Min.
11:00 AM **11:30 AM**	Tea Break				30 Min.

11:30 AM 2.00 PM	Organising *Gram Sabha* in social audits	▪ Presentation of verification findings in *Gram Sabha*	Role play/ simulation and feedback based sessions	Paper chart, markers etc.	60 Min.
2.00 PM 3.00PM	Lunch				60 Min.
3.00 -4.00	Important aspects of facilitating Social Audit	▪ Conflict Resolution ▪ Decision making Process	Lecture and Open discussion		60 Min
4.00-4.15	Tea break				30 Min.
4.00 to 5.00	Important Skills to Facilitate training and Social Audit process as Facilitator	▪ Principles of adult learning ▪ Participatory training Vs. Conventional training ▪ Conditions of Adult learning	Lecture and open discussion	Paper chart, markers etc.	60 Min.
Day-5					
09:30 AM 10:00 AM	Recap of Day 4	▪ Individual Sharing			30 Min.
10:00 AM 11:30 AM	Methods of Participatory Learning	▪ Focus of learning ▪ Advantage and limitations of learning methods (Lecture, Small Group Discussion,	Lecture	PPT/Paper chart, markers etc.	90 Min.
11:30 AM 12:00 PM	Tea				30 Min.
12:00 PM 1:30 PM	Methods of Participatory Learning	▪ Overview of Role play and Case Study Methods	Lecture	PPT,Paper chart, markers etc.	90 Min.
01:30 PM 2:30 PM	Lunch				60 Min.
02:30 PM 03:30 PM	Developing Action Plan for TOT at field level	▪ Small group discussion	Small group exercise	Planning format	60 Min.
03:30 PM 04:00 PM	Tea				30 Min.
04:00 PM 05 :00 PM	Closure of TOT	▪ Training Evaluation ▪ Certificate Distribution ▪ Closure	Closing	Evaluation sheet, Certificate	60 Min.