Social Audit

A Manual for Trainers

National Institute of Rural Development and Panchayati Raj
Ministry of Rural Development
Government of India
Hyderabad

Ministry of Rural Development
(MGNREGA Division)
Government of India
New Delhi

Tata Institute of Social Sciences
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SOCIAL AUDIT:
A MANUAL FOR TRAINERS

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August, 2016

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FOREWORD

Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA) is a flagship rights-based programme of the Ministry of Rural Development, Government of India to provide manual work for all wage seekers. 100 days of work is the entitlement for each eligible person to be enabled in the Gram Panchayat. The programme also creates durable assets for sustainable development of the area through the works taken up. Proper implementation of the programme requires the participation of the people of the panchayat and dedicated follow up and monitoring by various functionaries of the programme.

Considering the widespread nature of the scheme and being the rights-based programme, it is essential to make the implementation transparent and accountable. Social Audit, evolved over the years, has given fillip to ensure that the implementation is according to the prescribed norms and make the implementing functionaries accountable. Considering the massive nature of the activity, there is a necessity to create trained manpower for undertaking the social audit at panchayat level. As the system gets streamlined, it is also expected to bring all the programmes of rural development under Social Audit for which trained manpower is a necessity. To create the required trained manpower, a one month Certificate Programme is proposed to be launched for which a training manual has been developed by the collaborative effort of the Ministry of Rural Development, National Institute of Rural Development and Panchayati Raj and Tata Institute of Social Sciences. The training manual will enable the conduct of one month Certificate Programme on Social Audit for all the resource persons across the country with high quality standards.

The content of the Manual drives the MGNREGA functionaries on ways and means to ensure appropriate participation of targeted communities so as to strengthen the transparency and accountability issues while implementing the programme. This endeavour leads to effective participation of wage seekers, rural communities to properly identify works to be taken up, ensuring total transparency on decisions taken and accountability of functionaries as well as wage seekers. This endeavour will certainly lead to effective implementation of various initiatives under the Mahatma Gandhi NREGA and thus ensuring to achieve stated objectives and in turn, strengthen the rural physical and social infrastructure.

I congratulate the efforts made in by the academicians and officers involved in bringing out the Manual.
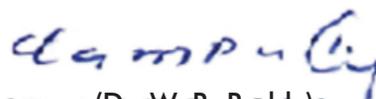
(Dr. W. R. Reddy)
Director General
National Institute of Rural Development and Panchayati Raj
August, 2016

PREFACE

Rights-based public works programmes like MGNREGA play a significant role in poverty eradication and ensuring inclusive development. Importance of MGNREGA is highlighted in poor monsoon and agricultural drought years. As one of the largest social protection programmes in the world the MGNREGS has great potential to stem rural distress and lend a supportive hand to the more disadvantaged people in the rural society. The programme has been known to work best in areas with higher levels of community involvement and where effective accountability mechanisms are in place. To support the work done by central and State governments' rural administration, trained and committed personnel at the district and village level is the need of the hour. This is essential to ensure that legislation and rules guiding the ethics of social accountability in public programmes are realised in practice and scarce public resources reach people in need.

District and village resource persons associated with the State Social Audit Units have a valuable role to play in educating community members about the vision and scope of social audits. These individuals are expected to be technically proficient in carrying out social audits of public programmes and also have ability to gather credible evidence and write coherent and factual social audit reports. Working closely with job card holding families and the Gram Sabha, they are expected to connect government's rural administrative innovations with community needs and priorities. Effective training should encapsulate the ethical humanist vision of the Constitution of India that frames social accountability principles, and also teach instrumental skills to conduct good social audits.

The Social Audit Manual for Trainers has been developed by the Tata Institute of Social Sciences in close collaboration with central and State government officials and experts from community based organisations. This is a comprehensive training guide for district and block resource persons associated with State social audit units and aims to make government social programmes more accountable and effective. I am certain that the trainer manual and toolkit will be useful in the building of a cadre of committed grassroots personnel for smooth implementation of the MGNREGA and other social programmes.

The Tata Institute of Social Sciences places on record the commitment of the Ministry of Rural Development, and the National Institute of Rural Development and Panchayati Raj, to strengthen the accountability framework of the Mahatma Gandhi National Rural Employment Guarantee Act. This social audit manual can become a starting point towards developing accountability mechanisms to improve the functioning of other social protection programmes of the government.

S.Parasuraman
Director
Tata Institute of Social Sciences
August, 2016

ACKNOWLEDGMENTS

Finally, we wish to acknowledge the momentous work that has been accomplished by the government and civil society organisations in the area of MGNREGA and Social Audit. This manual draws extensively from this body of experience and reports. We are acknowledging some key reports here:

- MGNREGA Operational Guidelines-2013, MoRD

- MGNREGA 2005, Roles and Responsibilities of Key Functionaries, MoRD & NIRD

- Manual on Social Accountability: Concepts & Tools- 2012, Centre for Budget and Governance Accountability

- Social Audit Manual-2015, Centre for Wage Employment and Poverty Alleviation, National Institute of Rural Development and Panchayati Raj and MoRD

- Employment Guarantee Act Primer-2014, Right To Food Campaign, Secretariat, Delhi

- Documents from Government of India website including MGNREGA, Right to Information and Comptroller and Auditor General (CAG) of India website and others.

LIST OF ACRONYMS

ACA	Additional Central Assistance
APO	Additional Programme Officer
ATR	Action Taken Report
BDO	Block Development Officer
BPL	Below Poverty Line
BSAC	Block Social Audit Committee
BRP	Block Resource Person
CAG	Comptroller and Auditor General (of India)
CEC	Chief Election Commissioner (of India)
CEE	Centre for Environment Education
CFT	Cluster Facilitation Team
CIC	Chief Information Commission
CS	Chief Secretary
CSO	Civil Society Organisation
CSS	Centrally Sponsored Scheme
CRC	Citizen Report Card
DDP	Desert Development Programme
DDO	District Development Officer
DPAP	Drought Prone Area Programme
DPC	District Programme Coordinator
DPO	District Programme Officer
DRDA	District Rural Development Agency
DRP	District Resource Person
DSAC	District Social Audit Committee
EGS	Employment Guarantee Scheme
FRA	Forest Rights Act
FWP	Food for Work Programme
GPO	Gram Panchayat Office
GoI	Government of India
GP	Gram Panchayat
GRS	Gram Rojgar Sewak

IAY	Indira Awas Yojana
ICA	Institute of Cultural Affairs
ICDS	Integrated Child Development Services
IRDP	Integrated Rural Development Programme
JC	Job Card
JRY	Jawahar Rozgar Yojana
JSSK	Janani Shishu Suraksha Karyakram
JSY	Janani Suraksha Yojana
LARR	Land Acquisition and Rehabilitation & Resettlement Act
LCC	Land Capability Classification
LCC	Lead Course Coordinator
MDMS	Mid Day Meal Scheme
MFAL	Marginal Farmers and Agricultural Labourers Development Agency
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act
MGNREGS	Mahatma Gandhi National Rural Employment Guarantee Scheme
MIS	Management Information System
MoRD	Ministry of Rural Development
MKSS	Mazdoor Kisan Shakti Sangathan
NFSA	National Food Security Act
NFWP	National Food for Work Programme
NMR	Nominal Muster Roll
NREP	National Rural Employment Programme
NRLM	National Rural Livelihood Mission
NRHM	National Rural Health Mission
NT-DNT	Nomadic Tribe and Denotified Tribe
OBC	Other Backward Classes
PDS	Public Distribution System
PHC	Primary Health Centre
PMJDY	Pradhan Mantri Jan-Dhan Yojana
PMGSY	Pradhan Mantri Gram Sadak Yojana
PO	Post Office
PO	Programme Officer
PRA	Participatory Rural Appraisal
PRI	Panchayati Raj Institution

PSDA	Public Service Delivery Act
PWP	Public Works Programme
RD	Rural Development
RLEGP	Rural Landless Employment Guarantee Programme
RTI	Right to Information
RTE	Right to Education
RTW	Right to Work
SA	Social Audit
SAU	Social Audit Unit
SC	Scheduled Caste
SDM	Sub-divisional Magistrate
SECC	Socio-Economic Caste Census
SEGC	State Employment Guarantee Council
SFDA	Small Farmers Development Agency
SGRY	Sampoorna Grameen Rozgaar Yojana
SHG	Self Help Group
SIRD	State Institute of Rural Development
SIA	Social Impact Assessment
SRP	State Resource Person
SSA	Sarva Siksha Abhiyan
ST	Scheduled Tribe
TDAP	Tribal Development Agency Programme
TISS	Tata Institute of Social Sciences
VSAF	Village Social Audit Facilitator

CONTENTS

Har ek haath ko kaam do, kaam ka poora daam do. People participation in Gram Sabha, Rajasthan, 2013. Photo Credit: Digvijay

INTRODUCTION

This manual for trainers is part of the Certificate Course on Social Accountability and Social Audit for District Resource Persons/Block Resource Persons for conduct of social audit in States across India. The curriculum for the course has been developed by the Tata Institute of Social Sciences, Mumbai for functionaries identified by the Ministry of Rural Development (MoRD), Government of India, who are mandated to conduct social audit of the Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS) in the States where they are located and attached to Social Audit Unit that has been set up by the MoRD. The manual comprises the day-to-day session guideline for a trainer/ facilitator to conduct the entire 30-day programme, and for resource persons conducting specific sessions. It is based on the Certificate Course curriculum that has been approved by the Academic Council of the Tata Institute of Social Sciences.

Each day of the course has approximately six hours of classroom interaction. As with adult learners, it is expected that the participants of this certificate course will engage in group discussions and assignments outside of the classroom, so that they can build upon their own and others' experience. Each day has a broad theme and comprises two or more sessions that focus on specific topics. During the 30 days, the course takes them out of the classroom and into the field for visits and a practicum and then back again to review their experiences. The manual outlines and details each session to be conducted over the 30 days. It is for use by the State level coordinators and resource persons conducting specific sessions and finally for all those engaged in training for building capacities of field practitioners for credible social audit. Most importantly, the attempt has been to simplify and de-mystify concepts and processes around social accountability and social audit whose meaning may have become very broad because of differences in interpretations over time and contexts.

The certificate course, to be conducted at State Institutes of Rural Development (SIRDs) in India, is to be led by a team of coordinators who will be selected based on certain criteria. They are the Lead Course Coordinator, a senior practitioner in the State, a representative of the Social Audit Unit (SAU) of the State, and a representative of the SIRD of the State. They would go through a training programme to prepare them as trainers, and introduce them to this manual.

The content of the manual draws heavily on the documents and literature available to us at this point of time, when social audit has been conducted for various welfare schemes in States across the country, and there are certain States that have established procedures for methodical and credible social audit. From manuals in local languages that social auditors can use, to scripts of role plays and skits, songs, films, and guidelines, there is a considerable body of work and documentation on social audit in India. It forms the base for this manual, and a toolkit of literature and other resources that we think can be of use for the trainers. The toolkit substantiates points that may be mentioned in the sessions discussed in the manual. It can enable the trainer to prepare for a broader understanding of the topic so that they are able to respond to comments made by participants and clarify doubts that may come up during the session. The manual and toolkit therefore need to be used together.

It is expected that the sequence and content of this manual be adhered to by trainers across States that are part of the certificate course, so that there is standardisation of the content and inputs that participants receive to the extent possible. The fact that the trainers/facilitators would be persons with field experience and subject expertise means that they would use the manual to guide the session, while bringing their own insights into the session. This would enrich the delivery of the content.

For each day, the course coordinator who anchors the course introduces the plan for the day, and then each session. The resource person who comes in to take a particular session would find in the manual, an introduction to the session, its objectives, and the pedagogy. Group exercises and discussions are detailed with points for discussion being provided. While the last segment of each day lists Material Required it would be useful for the course coordinator to look at it the day before so that arrangements can be made in advance.

Objectives of the Manual

- To build a perspective that gives primacy to inclusiveness and social justice in development
- To build knowledge and information base about social audit experiences, models and methodologies
- To enhance skills of conducting credible social audits with community participation

Suggestions for Lead Course Coordinators (LCC)

Lead Course Coordinators will be working closely with SIRD and SAU coordinators in implementing the training programme. They are advised to meet on a regular basis to ensure that sessions are organised and conducted as detailed in the manual.

- Provide clear overview of the 30-Day training programme
- Ensure that all participants get a copy of the toolkit
- Get participants interested in sessions and hold their attention
- Identify and work with trainer-resource persons for specific sessions
- Introduce trainer-resource persons if they are conducting specific sessions
- Facilitate discussion and other interaction between trainer-resource persons and the class
- Ensure that lecture, discussion and assessment sessions are completed within given time
- Participate in classroom discussions to make sessions interactive
- Encourage participants to speak about their learning, experiences and doubts
- Listen when participants speak and ask questions; try to answer most questions
- While asking questions, give time for participants to answer.
- While dividing participants into small groups, ensure diverse composition.
- Ensure that adequate classroom space and equipment are available for classroom exercises
- Prepare in advance for field visits
- Facilitate fieldwork by supporting participants and assisting when needed
- Manage conflicts through transparent communication
- Use training material creatively by adding appropriate case studies and examples
- Improvise content based on participants' knowledge and experience
- Conduct the assessments as detailed in the framework attached
- Ensure that the course evaluation form is filled
- Follow the session guidelines detailed in the manual.

CODE OF CONDUCT

This 30-day programme would provide participants an opportunity to interact closely with colleagues in the classroom situation as well as in the field. During visits to the field, course participants are expected to work in groups and have discussions with officials and MGNREGA workers in a range of community situations. These spaces of interaction are more public in nature where the conduct of the participants would be noticed by others. To build a constructive learning environment, certain guidelines should be followed by all.

• Each institute where the programme is being offered would have certain rules for participants, who are short-term residents. These would need to be followed

• It is expected that all participants present themselves and communicate in a manner that conveys self discipline. Punctuality in attending classroom sessions and field meetings communicates respect for colleagues and a sense of value for time

• As is the case with such programmes, participants will be from diverse backgrounds. Accepting differences and working together is necessary in order to facilitate learning, within and outside the classroom

• Classrooms reflect our larger social context, and can be sites where certain dynamics play out. Sensitivity towards gender, caste and ethnicity and issues should be built into the tone of the discussions and in all interactions

• Social audit may generate situations of conflict within the community. Trainers and participants must be able to work within these constraints and attain the goals of the programme

• Honesty and transparency must be reflected in one's conduct through the programme

Guidelines: Field Visits

The pedagogy of this certificate course is based on two premises: one that in a course intended for field practitioners, it is necessary to draw on field and classroom linkages wherever possible so that learners are able to build on what they already know and link new inputs to the field; and two, that group learning and interaction, if facilitated, can strengthen learners' understanding of an issue. Hence this course moves to and from the classroom to the field through field visits, and the social audit practicum.

In this section, we detail both of these components of the course.

Field visits

There are three field visits during the 30-day training of DRPs. The field visits are theme based and aim to strengthen the classroom learning and provide exposure to the participants to specific aspects of the curriculum. Field visits are opportunities for them to observe and experience the application/operation of concepts, programmes, and nature of governance as discussed in the classroom sessions. They could contribute to strengthening skills and knowledge base of the DRPs as ethical social auditors in the field.

The themes of the three field visits are:

• Public institution visit on Day 5: Principles of social accountability

- MGNREGA works on Day 10: Understanding the technical nature of MGNREGA work
- Worksite, Gram Panchayat Office and Block Development Office on Day 11: Understanding the operational framework of MGNREGA.

Objectives of the field visits are for the participants to:

- Observe and experience firsthand, the running of worksites and public institutions
- Interact with government officials and beneficiaries to increase their understanding of MGNREGA
- Be able to connect the learning through each visit to the process of credible social audit
- To reflect on oneself as a practitioner.

Organising the field visits

The Lead Course Coordinator is to organise and coordinate the field visits along with the SIRD and SAU representatives who are in charge of the programme. The following points may be considered when planning each visit:

- Identification of the site/institution/ officials to be met needs to be done carefully to ensure that the learning of the participants is facilitated
- Proper permission (verbal and written) needs to be taken from officials concerned to bring the group for the visit
- Officials need to be briefed about the programme and the purpose of the visit
- The date and time for the visit need to be fixed according to the convenience of the officials and the schedule of the programme
- Try to have clarity on who would be present from the institution/office for the interaction with the course participants
- Details such as the profile of participants, number, availability of space in the office or at the site/institution for a group of this size to visit/stand around/sit, need to be ensured
- Punctuality in reaching for the visit/meeting needs to be ensured
- Transport, tea/lunch and such details need to be planned in advance to facilitate the smooth conduct of the visit
- The batch may be divided into smaller teams, each visiting a different location/site, but with the same focus. Each team would need to have a coordinator for the visit, who would be briefed to keep in touch with the Lead Course Coordinator.

Instructions to DRPs for field visits

In preparation for the field visit, apart from discussing with the participants, the objectives of the visit, forming smaller teams and informing them about the locations, mode of travel etc., the Course Coordinator needs to discuss with them certain norms for their conduct during the visit. These are better discussed, with the rationale for each being highlighted by participants themselves, rather than read out as rules. They are listed below. In addition, each batch may add a few of their own depending on the specifics of the situation in their State.

- During the field visit, some time will be allotted to meet and interact with officials at the visit site. Queries and doubts should be raised during that allotted time only

- Please carry a notebook to write your observations/doubts during the visit
- The purpose of the visit is to observe and learn and not scrutinise and give feedback on the functioning of the visit site or government office
- It is crucial to be respectful and not disturb the ongoing work at the visit site
- Taking pictures and videos during the field visit is not permitted
- One should interact with the beneficiaries present at the visit site in an informal and non-threatening way, and not give any promises or hopes with regard to their concerns
- If you face any difficulty, please inform and speak to the team coordinator
- The time allotted for lunch and tea breaks should be followed
- At the end of each visit, there is a de-briefing session to summarise the key learning of the day and discuss points. All participants need to be present for this.

Training of District Resource Persons: Training Schedule

Time	Session
Day 1	**Rural Development**
10.30 a.m.	Introduction to the Course
11.30 a.m.	Break
11.45 a.m.	Key Development Issues in the Village
1.00 p.m.	Lunch
2.00 p.m.	Constitutional Framework: India
4.00 p.m.	Baseline Monitoring Survey
5.00 p.m.	Close of Day
Day 2	**Poverty and Rural Development Programmes**
9.30 a.m.	Poverty, Inequality, Vulnerability - Multi-dimensional Poverty
11.30 a.m.	Break
11.45 a.m.	History of Rural Development
1.00 p.m.	Lunch
2.00 p.m.	Rural Administrative Structure Mapping
3.00 p.m.	Break
3.10 p.m.	Rural Development Programmes
6.00 p.m.	Close of Day
Day 3	**Rights-based Framework**
9.30 a.m.	Rights-based Programme – Introductory Case Study
11.30 a.m.	Break
11.45 a.m.	Public Works Programme – 5 year Plans, JRY, EGS
1.00 p.m.	Lunch
2.00 p.m.	Right to Work Campaign – Perspective
4.00 p.m.	Break
4.15 p.m.	Social Rights-based Legislations (NFSA, FRA, LARR, RTI)
5.30 p.m.	Close of Day
Day 4	**Social Accountability**
9.30 a.m.	Principles of Social Accountability
1.00 p.m.	Lunch
2.00 p.m.	Right to Information
4.00 p.m.	Break
4.15 p.m.	Public Service Delivery Act
5.30 p.m.	Close of Day
Day 5	**Field Visit**
8:30 a.m.	Field Visit – Social Accountability

(Contd...)

7.30 p.m.	Close of Day
Day 6	**Tools of Social Accountability**
9.30 a.m.	Tools of Social Accountability
10.30 a.m.	Public Hearing (Jan Sunwai)
1.30 p.m.	Lunch
2.30 p.m.	Concurrent Social Audit
3.30 p.m.	Break
3.45 p.m.	The Office of Comptroller and Auditor General of India (CAG)
5.45 p.m.	Close of Day
Day 7	**Assessment**
2.30 p.m.	Assessment 1
4.30p.m.	Close of Day
Day 8	**MGNREGA**
9.30 a.m.	MGNREGA and Entitlements
1.00 p.m.	Lunch
2.00 p.m.	MGNREGA Work Flow and Key Documents
5.15 p.m.	Close of Day
Day 9	**Technical Orientation to MGNREGA Works**
9.30 a.m.	Technical Orientation of Permissible Work in MGNREGA
1.00 p.m.	Lunch
2.00 p.m.	Technical Orientation of Permissible Work in MGNREGA
5.30 p.m.	Close of Day
Day 10	**Field Visit**
8.30 a.m.	Field Visit- MGNREGA Works
7.30 p.m.	Close of Day
Day 11	**Field Visit**
8.30 a.m.	Field Visit- Worksite, Gram Panchayat Office and Block Development Office
7.30 p.m.	Close of Day
Day 12	**MGNREGA MIS**
9.30 a.m.	Management Information System of MGNREGA
1.00 p.m.	Lunch
2.00 p.m.	Grievance Redressal Mechanism
5.30 p.m.	Close of Day
Day 13	**Social Audit**
9.30 a.m.	Introductory Steps to Social Audit
1.00 p.m.	Lunch

(Contd...)

2.00 p.m.	Social Audit MIS; Collation of Documents for Social Audit
5.30 p.m.	Close of day
Day 14	**Verification and Evidence Building**
9.30 a.m.	Verification of Entitlements
1.30 p.m.	Lunch
2.30 p.m.	Evidence Building
4.30 p.m.	Close of day
Day 15	**Technical Verification of Work**
9.30 a.m.	Technical Verification of Work
1.00 p.m.	Lunch
2.00 p.m.	Technical Verification of Work
5.30 p.m.	Close of Day
Day 16	**Social Audit Report Writing**
9.30 a.m.	Writing Social Audit Reports: Orientation
1.00 p.m.	Lunch
2.00 p.m.	Community Mobilisation
5.15 p.m.	Close of Day
Day 17	**Gram Sabha, Panchayati Raj and Public Hearing**
9.30 a.m.	Gram Sabha, Panchayati Raj and Public Hearing
1.00 p.m.	Lunch
2.00 p.m.	Gram Sabha, Panchayati Raj and Public Hearing
5.00 p.m.	Close of Day
Day 18	**Dissemination of Information**
9.30 a.m.	Assessment 2
10.30 a.m.	Dissemination of information
11.30 a.m.	Break
11.45 a.m.	Social Audit Report – Validation and Follow up
1.00 p.m.	Lunch
2.00 p.m.	Audit of Scheme Rules
3.00 p.m.	Social Audit Field Work Preparation
6.00 p.m.	Close of Day
Days 19-25	**Social Audit Practicum**
Day 26	**De-briefing**
10.00 a.m.	De-Briefing - Social Audit Learning and Challenges
1.00 p.m.	Lunch
2.00 p.m.	Report Writing and Preparation of Group Presentation
6.00 p.m.	Close of Day

(Contd...)

Day 27	Fieldwork (Practicum) Seminar
9.30 a.m.	Group Presentations
1.30 p.m.	Lunch
2.30 p.m.	Group Presentations
5.30 p.m.	Close of Day
Day 28	State Social Audit Unit-Orientation and Training Skills
10.00 a.m.	State Social Audit Units – Orientation
12.00 noon	Lunch
1.30 p.m.	Training and Facilitation Skills
5.30 p.m.	Close of Day
Day 29	Preparation for VRP Training-Conclusion of the Course
9.30 a.m.	Assessment of Learning Needs of VRPs
11.30 a.m.	Break
11.45 a.m.	Workshop on Developing the Curriculum for VRPs
1.30 p.m.	Lunch
2.30 p.m.	Workshop on Developing the Curriculum for VRPs
4.45 p.m.	Break
5.00 p.m.	Review and Recapitulation of the 30-day Training
6.00 p.m.	End Line Survey
7.00 p.m.	Close of Day
Day 30	Valedictory
9.30 a.m.	Cultural Programme and Certification
1.00 p.m.	Lunch

Tool Kit Index

Theme (Day)	Presentation	Handout/Reading	Documentary/Video
Rural Development **(Day 1)**		Key Development Issues in Rural Area Rural Development	Samvidhaan (Episodes 1-10)
	Constitutional Framework: India	Indian Constitution Preamble to the Constitution of India Fundamental Rights Directive Principles of State Policy	
Poverty and Rural Development Programmes **(Day 2)**		Multi-dimensional poverty role play script	
	History of Rural Development	History of Rural Development- Presentation of Mr. Vijayanand	
	Rural Administrative Structure Mapping	Administrative Structure of Government of India Administrative Structure of Three Tier System Administrative Structure of DRDA	
	Rural Development Programmes	Rural Development Scheme Public Distribution Scheme (PDS) Deen Dayal Antyoday Yojana- NRLM Integrated Child Development Scheme (ICDS) Mid-Day-Meal (MDM) National Social Assistant Programme (NSAP) Pradhan Mantri Gram Sadak Yojna (PMGSY)	

Theme (Day)	Presentation	Handout/Reading	Documentary/ Video
Rights-based Framework **(Day 3)**	Rights-based Programme	Badhigam Case Study (Part 2) Badhigam Case Study (Part 2) Junior Engineer's MB (Badhigam) Badhigam Case Study Case Studies Fake muster roll in Boudh (supplement) Refer Day 8.1 Handout Mahatma Gandhi National Rural Employment Guarantee Act, 2005	
	Public Works Programmes	Jawhar Rojgar Yojna (JRY) Employment Guarantee Scheme (EGS)	
	Right to Work Campaign	Right to Work Campaign	Right to Work Campaign Jaanane Ka Haq
	Social Rights-based Legislations	Summary of Five-Year Plans in India Summary of Right to Information Act, 2005 Summary of the National Food Security Act (NFSA), 2013 Forest Rights Act, 2006 Refer Day 8.1 Handout. Mahatma Gandhi National Rural Employment Guarantee Act, 2005	

Theme (Day)	Presentation	Handout/Reading	Documentary/Video
Social Accountability **(Day 4)**	Principles of Social Accountability	Principles of Social Accountability Auditing Standard	
	Right to Information	RTI Sample Format RTI Act, 2005 RTI FAQs RTI Application format Kinds of RTI to file in Specific Cases First Appeal Format Second Appeal format RTI Primer History of Rural Development- Presentation of Mr. Vijayanand	Power to People RTI Act Hindi Our Democracy, Our Right to Information Film on Right to Information Success Stories
	Public Service Delivery Act (PSDA)	State-Services-Penalty Public Service Delivery Act	
Tools of Social Accountability **(Day 6)**	Tools of Social Accountability	Transparency in MGNREGA Social Accountability Tools	
	Public Hearing	Concept of Public Hearing Use Social Audit Public Hearing Public Hearing MKSS Note Videos for reference	Accounts and Accountability The Right to Know, the Right to Live
	The Office of Comptroller and Auditor General of India (CAG)	FAQs on CAG	

Theme (Day)	Presentation	Handout/Reading	Documentary/Video
MGNREGS **(Day 8)**	MGNREGS and Entitlements	FAQs on MGNREGA MGNREGA Handbook (BFT Module) Brief Handout on MGNREGA MGNREGA Handout Hindi- From BFT Module Pictorial Illustration of Entitlements Mahatma Gandhi National Rural Employment Guarantee Act, 2005 Entitlements in MGNREGA Introduction of Permissible Works	Film on MGNREGA MGNREGA in Tamil Nadu MGNREGA in Telangana
	MGNREGS- Work Flow & Key Documents	NREGA Pictorial Handbook Key documents MGNREGS Roles and Responsibilities of Key Functionaries in MGNREGA Parcha and Naaras NREGA: Work Flow Work Flow: DPC Work Flow: Programme Officer Work Flow: Gram Panchayat Primer, June 2015 (covers) (Hindi) Primer, June 2015 (specific pages) (Hindi)	Success story of Raj Krishna Jana (MGNREGS - West Bengal) Success story of Ram Kanya (MGNREGS Mate - Rajasthan) Success story of Sanjit Deb Burman (MGNREGS- Tripura)

Theme (Day)	Presentation	Handout/Reading	Documentary/Video
	Technical Orientation of Permissible Works in MGNREGS	Technical Manual List of Updated Permissible Works	
Technical Orientation to MGNREGS works **(Day 9)**	Management Information System of MGNREGS	MIS Handout MIS Manual Using the MIS for Social Audits	
MGNREGS-MIS **(Day 12)**	Grievance Redressal Mechanism	Grievance Redressal Grievance Redressal Mechanism under MGNREGA	
	Introductory Steps to Social Audit	Concept of Social Audit List of Documents Records required for Social Audit Social Audit MIS Format MGNREGA Survey Manual, 2008 Sample Workers' Questionnaire, filled (Hindi), 2008 Worker Questionnaire, 2008 Bank Payment Questionnaire, 2008 Women Worker Questionnaire, 2007 Economic Evaluation of NREGA Wells, 2012 One Hundred Tips for Effective Social Audit, 2009 Social Audit Flow Chart Social Audit Handbook –	Few Steps More

Theme (Day)	Presentation	Handout/Reading	Documentary/ Video
		Sikkim Social Audit - A People's Manual, 2007 Manual on Social Accountability/ Concepts & Tools- CBGA	
Social Audit **(Day 13)**	Social Audit MIS and Collation of Documents for Social Audit	Presentation Handout Social Audit MIS Format FORMAT 2B : Works Expenditure (wages and material) FORMAT 2A : Works Executed (General) FORMAT 3 : Payment to Workers FORMAT 4 : Entitlements to SC/ST Households	Social Audit
Verification and Evidence Building **(Day 14)**	Verification of Entitlements	Presentation Handout MR Verification Guidelines, simplified (Hindi), 2007 Verification Guidelines, 3rd Edition, 2009 MR Consolidation and Verification Sheets, 2006 Consolidation and Verification sheets (Hindi), 2006 Summary Format of MR Verification, 2008 Muster Roll Verification (Alternative Format), 2014 Electronic Job Card Verification Format, 2010	Verification

Theme (Day)	Presentation	Handout/Reading	Documentary/ Video
	Evidence Building	Presentation Handout	
Technical Verification of Work **(Day 15)**	Technical Verification of Work	Presentation Handout Verifying Material Component, Banskhedi, 2009 NREGA Field Manual, 2010 How to Teach NREGA Field Manual (abridged for translation), 2010	
Social Audit Report Writing **(Day 16)**	Writing Social Audit Reports: Orientation	Handout- Case Study for framing auditing paragraph Handout- Model Report Handout- Model Report 2 Handout- Templates Case Study , Araria (Bihar), 2008 Araria Saurgaun Report, 2010 Report writing Bishunbandh (Jharkhand), 2014 Rozgar Ki Jung (Hindi), 2008 Evaluation of NREGA Wells in Jharkhand, 2012 SA GP Ambhagova Report SA Ori 3. GP Ekma report SA Ori 4. GP Gambhariguda	

(Contd...)

Theme (Day)	Presentation	Handout/Reading	Documentary/ Video
Gram Sabha, Panchayati Raj and Public Hearing **(Day 17)**	Gram Sabha, Panchayati Raj, Public Hearing	Check List for organising Gram Sabha Standards Concept of Gram Sabha/ legal Provision Dos and Don'ts for Gram Sabha	Gram Sabha: Government of India
Dissemination of Information **(Day 18)**	Dissemination of Information	Presentation Handout Dissemination of Information	Gram Sabha: Government of India
	Social Audit Report – Validation and Follow up	Model Report Gram Sabha Report Formats Final Dos and Don'ts for Gram Sabha Vigilance Cell for Follow-up 70 Tips to Conduct an Effective Social Audit	
	Audit of Scheme Rules	Audit of Scheme Rules, 2011	
	Field Work Preparation	Field Checklist Dos and Don'ts on field	
State Social Audit Units: Orientation and Training & Facilitation Skills **(Day 28)**	Training & Facilitation Skills	Training Skills	

Gram Sabha, Rajasthan, 2013. Photo Credit : Digvijay

DAY 1: RURAL DEVELOPMENT

Session	Topic	Hours
1	Introduction to the Course	2
2	Key Development Issues in the Village	1
3	Constitutional Framework: India	2
4	Baseline Monitoring Survey	1

Day 1/Session 1: Introduction to the Course (2 Hours)

Dear participants, a warm welcome to the certificate course on social accountability and social audit! We will first learn about the course and then we will spend some time telling the group about who we are, what we do and why we are sitting in a classroom here today.

What do we mean by the 2 key terms? Social Audit and Social Accountability. You may already know these terms and use them regularly in your work.

What is accountability. Very simply, it means being responsible for one's actions and able to give reasons for that action. Social Accountability is a special type of responsibility. It is about a relationship of accountability between the citizens and the government. It includes a number of actions apart from voting that citizens can use to hold the State responsible for the delivery of social programmes. Can any one of you give us a few examples of social programmes?

Social audit is about ways of measuring and reporting to improve an organisation's social and ethical performance. By doing these measurements and reports, we can fulfill an organisation's responsibility towards society based on some ethical standards. Can someone tell us what are the ethical standards on which our social programmes are based?

How does social audit benefit citizens, society and the government? If done well, it can tell us about the physical and financial gap between what we need for local development and what resources are available to meet these needs. Social audits increase the effectiveness of development programmes. They also help us to match big policy ideas with needs, priorities and rights of the rural poor. A bigger goal of social audit is to bring about local democracy, participation and giving voice to disadvantaged people. To achieve all of this, it is important to increase local capacity to do social audits.

Through the next thirty days this course will help you become trained social audit experts at the district and block level. You will be responsible for further training hundreds of village level people in becoming experts in doing social audit.

Session 1: Objectives

- To introduce the course and objectives
- To get to know the participants
- To discuss assessment plan
- To set ground rules for classroom

- To discuss ethical conduct in the field.

Design of the Session

Session 1 begins with an introductory and interactive talk by the trainer. This will be followed by an introduction of participants through an ice-breaking game/exercise. The trainer will introduce the 30-day certificate course. The trainer will then explain class participation ground rules, assessment plan and expected ethical conduct during fieldwork. The session ends with the distribution of tool kit and brief remark about D1 S2 (Day1 Session2): Key Development Issues in the Village.

Instructions to the Trainer

- Introduce yourself clearly so that participants are comfortable
- Ask them about their interests, hobbies and how they got attracted towards this work
- Speak in simple language about the course, its purpose, objectives and ground rules
- Emphasise the importance of the topic
- Discuss briefly the need for code of conduct.

Guide to Ice-breaking Exercise

- Make sure that all the participants are sitting in pairs
- Ask each to interact with the paired member
- Give them 5 minutes to come up with information about each other (such as name, place, education, work experience, family members, interest/hobbies)
- At the end of 5 minutes ask each participant to speak about his/her partner trainee.

Expected Outcomes

- The exercise should help participants to know each other
- It would reveal interests and specific skills
- It would help bonding among participants.

Materials Required

- Black/white boards with markers and chalk
- Trainee toolkit/handouts for distribution.

Day 1/Session 2: Key Development Issues/Challenges in the Village (1 Hour)

Dear participants, welcome to second session of day 1. In this session we are going to discuss key development issues in rural areas.

We begin today with the term 'development'. Development is about improving the lives that people lead. It is about giving people freedom and opportunities to lead the lives that they value. Dimensions of human development include long and healthy life, knowledge and good standard of living. Development also means making the right conditions so that people can attain long and fulfilled lives. Being well-fed, having a secure shelter, being healthy, having work which gives a decent income, having education, ability to vote and participate fully in community life, is what development means (you could add to this list).

With these ideas in mind, can we now think about some development issues and challenges in the rural context, say, in a village. Based on this meaning of development, how would most rural people in this village fare. Are all rural households flourishing. Do we find many households and persons lacking in food security, shelter, health, decent work, income, education and voice in political process. Who are these persons or households. Do all households suffer development deficit equally or do most belong to particular social groups – say SC, ST, Minorities or Women. What is the role of government in fulfilling these needs that rural people have. Should people be able to call these development needs – their rights. (Discussion with the Group)

An issue close to the discussion about development is poverty. Traditional understanding of poverty is about not having basic needs required by people for leading their lives. Absolute poverty means severe deprivation of basic human needs including food, shelter, education, information and health; relative poverty refers to lack of development, vulnerability, exclusion and inequalities. Measurement of poverty involves two sets of what questions: first, the indicators of poverty and second, the standard (often called the poverty line) against which indicators are assessed. Some examples of indicators are: income, consumption and expenditure. Poverty is measured at the household or individual level. The point of measuring poverty is to assign roles, responsibilities and accountabilities for allocating resources and creating solutions to eliminate or reduce poverty.

The government is implementing several social programmes for creating the conditions for human development and eliminating poverty in rural areas. These range from livelihood generation-NRLM; employment in public works- MGNREGA; shelter-IAY; old age and widows pension-NSAP;food security-PDS, ICDS, MDM; education- SSA and RTE;health-NRHM;maternity benefit- JSY, JSSK;and financial access-PMJDY. Are all these projects working well in rural areas? What in your view are the challenges in making sure that benefits from these projects reach people who need them. What recourse is available to people in case they are excluded. How can people gain more voice in the process of implementing these projects.

Good quality social audit processes are essential first, to make sure that public money is rightfully utilised for meeting urgent development goals and second, to make sure that people are well- informed and able to participate fully in the process of development.

Session 2: Objectives

• To introduce concepts of development, poverty and rural development

- To encourage trainee participation in talking about rural development issues
- To discuss the difficulties faced by the people in getting development programme benefits
- To discuss how socio-political dynamics impede development programmes
- To discuss the roles that people can play in making development programmes effective.

Design of the Session

Session two will begin with a brief introduction by the trainer on development, poverty and rural development programmes. The trainer has to make the session interactive and link the discussion with the issue of social accountability and social audit. The trainer will ask questions based on pointers given above, facilitate discussion among the participants and summarise the key points emerging from the discussion.

Instructions to the Trainer

- Use clear, simple language to introduce the concepts
- Discuss social programmes in brief and give space for trainees to speak
- Draw out the issue of socio-political dynamics in rural areas.

Suggested Lead Questions

- Girl children in your village are refusing to go to school
- In a drought-affected village small farmers have lost all their crops
- People living in a remote hamlet always miss gram sabha meetings
- An elderly person is left alone in the village after the family has migrated for wage work
- A household spends all its income on buying rice, though they have a ration card
- How can a DRP/BRP help to solve the above problems?

Expected Outcomes

- Participants learn about concepts and connect these to rural experience
- Participants learn about social programmes and problems in implementation
- Participants understand how they can contribute to rural development.

Materials Required

- Black/white boards with markers and chalk
- Chart paper and marker.

Day 1/Session 3: Constitutional Framework – Right to Life (2 Hours)

Welcome to Session 3. In this session we are going to discuss how the Constitution of India guarantees the Right to Life. Let us see if we can connect this vision with session 2 on development, which if you recall, means 'improvement of human life'.

The Indian Constitution is a document that sets out the laws and rules that guide the State on how to govern. It also defines the rights and duties of citizens. Most importantly, the Constitution charts a path for social and economic transformation. The Constituent Assembly came into being in November, 1946; its members were elected by the Provincial Assembly by indirect election. The Assembly appointed various committees to deal with different aspects of the Constitution. Dr. B. R. Ambedkar was elected chairman of the drafting committee, which drafted the Constitution. After several debates and discussions the Constitution was adopted on 26th November 1949 and enacted on 26th January 1950.

The Constitution is a body of fundamental principles or established precedents according to which a State or other organisation is acknowledged to be governed. The function of any State is based on the laws and rules that come from the Constitution. India being the world's largest democracy has a very detailed written constitution that guides the State to govern. India chose a sovereign democratic republic form of government through its Constitution.

The Preamble of the Constitution has been considered an important document; it summarises the Constitution. It says, "We, the people of India, having solemnly resolved to constitute India into a Sovereign, Socialist, Secular, Democratic Republic and to secure to all its citizens: Justice, social, economic and political; Liberty of thought, expression, belief, faith and worship; Equality of status and of opportunity; and to promote among them all Fraternity assuring the dignity of the individual and the unity of the nation…"

The features of the Indian Constitution to be noted are: 1) It is a written constitution 2) Supremacy of the Constitution 3) Rigid Constitution 4) Division of powers between the centre and States 5) Independent judiciary 6) Bi-cameral legislatures and 7) Dual government polity. To achieve the ideal of a republic and democratic nation, the Constitution has important provisions such as Fundamental Rights, Directive Principles of State Policy, Fundamental Duties and a governance structure with a Legislature, Executive, and Judiciary.

Fundamental Rights are provided in Part III of the Constitution. These are the right to life, the right to equality, the right to free speech and expression, the right to freedom of movement, and the right to freedom of religion. Social, economic and cultural rights, such as the right to education, the right to livelihood, the right to health and housing are located in Part IV of the Constitution which contains the Directive Principles of State Policy. Provisions in Part IV are also called development rights.

Article 21 of the Indian Constitution guarantees protection of life and personal liberty. Right to life is the essential and fundamental basis for development defined as human flourishing. The right to life and liberty goes beyond mere biological survival to all direct and indirect restrictions that deprive citizens from leading their lives in valued ways. It includes right to live with dignity, with basic minimum necessities of life such as nutrition, clothing, shelter, facilities for reading, writing, expressing oneself and ability to interact with other citizens, just and humane conditions of work, environmental protection and freedom from exploitation. Deprivation of right to life and personal liberty in any form negates the constitutionally guaranteed fundamental right.

MGNREGA and other social programmes that you will learn about during this training are aimed at expanding and fulfilling the promise of this fundamental right in our Constitution under Article 21, interpreted through the Directive Principles of State Policy. Through these programmes the government

ensures that the shortfalls in livelihoods, nutrition, education and health faced by citizens are compensated. The aim is also to ensure that people from socially disadvantaged sections do not experience exploitation such as exclusion, discrimination or exploitative working conditions such as labour bondage. Being derived from broad interpretation of fundamental rights, social programmes create obligation on part of the government and confer rights on the citizens to demand adequate access to such provisions. Social audits by ensuring proper implementation of social programmes and better utilisation of scarce public resources can help in the realisation of citizens' fundamental rights.

The purpose of this session is to provide you an overview of the Indian Constitution. As a social auditor you should know the basis of governance, legal provisions and level at which you can work for people's rights.

Session 3: Objectives

- Introduce the Constitution of India and the Preamble to the Constitution
- Discuss the Fundamental Rights and Directive Principles
- Discuss Article 21, the Right to Life
- Link the responsibility of the State for welfare with Article 21.

Design of the Session

Session three will begin with a brief introduction by the trainer on the Constitution of India and its framework. The trainer has to have the discussion on the Constitution with a focus on Article 21, connecting this with social programmes and legislations like MGNREGA. After the introduction, the trainer will show the short film titled 'Samvidhan', (episodes 1, 3 and10). At the end of the film the trainer will summarise key points and facilitate a discussion among the participants. In the second hour, the trainer will distribute copies of the Preamble of the Indian Constitution amongst the participants. The trainees will be asked to read it in groups. The session ends with a presentation by the trainer on the Constitution, key Articles and links to Right to Development.

Instructions to the Trainer

- Use clear and simple language to introduce the Constitution
- Facilitate the discussion after the film
- Help the participants to read the Preamble and clarify their doubts
- Help participants to draw linkages with Constitutional rights and development.

Expected Outcomes

- Participants will know about fundamental rights and directive principles
- They will be familiar with the Indian Constitution
- Participants will understand welfare function of the State and its responsibility to protect citizens
- Participants will recognise/reaffirm the role of the citizens in ensuring accountability
- Participants would be able to grasp the role of social audit with protection of fundamental rights.

Materials Required

- Copies of Preamble in Hindi/English
- Pocket Constitution
- Episodes of the film: 'Samvidhaan'.

Day 1/Session 4: Baseline Monitoring Survey (1 Hour)

A baseline assessment will be undertaken on day 1 of the training programme. The trainees (district and block resource persons) will be provided with the assessment format by the lead course coordinators (LCC). The formats must be completed by the trainees and handed back to the LCC. The trainees are not allowed to use any aids such as reading material, cell phones or consult each other while completing the survey. LCC must ensure that all questions have been attempted and that there are no blank forms.

The objective of the baseline survey is to assess the initial level of knowledge of the participants of the training programme. At the end of the training modules, an end-line survey using the same format will be conducted to assess the improvement in knowledge base of participants after completing the programme.

The completed baseline and end-line forms must reach the team located at the Tata Institute of Social Sciences (TISS). The forms will be checked, collated and the data will be analysed at TISS. Indicators used for measuring the change in levels of understanding on subjects deemed important for conducting effective social audits are as follows:

- The Constitution of India
- Rural Development and Poverty
- Social Audit Principles
- MGNREGA and Public Works Programme: Law and Rules
- Gender Sensitivity
- Community Organising Skills.

DAY 2: POVERTY AND RURAL DEVELOPMENT PROGRAMMES

Session	Topic	Hours
1	Poverty, Inequality, Vulnerability - Multi-dimensional Poverty	2
2	History of Rural Development	1
3	Rural Administrative Structure Mapping	1
4	Rural Development Programmes	3

Day 2/Session 1: Poverty, Inequality, Vulnerability and Multi-Dimensional Poverty (2 Hours)

Welcome to the first session of the second day. We will learn briefly about the Multiple Dimensions of Poverty. We will also discuss why this subject is important to our work as social auditors.

Poverty, as discussed earlier, is not just about how much people earn or what they spend or whether they have enough food to eat. Poverty can result from multiple disadvantages/problems that persons or households face. It is important to capture the many faces or multiple dimensions of poverty. For example: The 7 Criteria of Deprivation used in the SECC census 2011 identified as poor those households that: live in homes with only 1 room and no solid walls and roofs, those with no adult members in the 15-59 years category, with no adult male members, with differently-abled members or no able-bodied members, SC or ST households, those with no literate member above 25 years, landless with main source of income from manual wage labour.

Why count the poor? Monitoring poverty accurately is considered necessary for creating an adequate anti-poverty strategy. Poverty lines are usually based on the amount of money needed for a minimally adequate diet. The national poverty line in our country for rural areas is ₹ 816 per capita per month; for urban areas it is ₹1000 per capita per month. Twenty three per cent of India's population lives below the poverty line, and 75 per cent of this number live in rural areas. Clearly, poverty is widespread in villages.

Why are some people poor? Structural factors - economic system-may prevent poor people from getting better-paid jobs. Poor quality of education provided in areas where the poor live, may reduce their education and hence their ability to find higher incomes. With respect to political systems the poor may suffer from lack of participation and decision-making powers due to various forms of discrimination.

Often the reason why people are forced to live in poverty is to do with the low incomes they earn, the lack of resources they command or when they do not have access to important entitlements due to multiple disadvantages that they face. Lack of resources or entitlements is derived from the economic and social positions that people occupy. It also results from unequal distribution of resources within and between societies. Social and economic inequalities can make some people very poor and unable to escape poverty. It may prevent them from participating in political processes and social

institutions. Some households and people lack the capacity to cope with or resist or recover from shocks and crises, for example sudden illnesses, accidents, weddings or deaths, natural disasters like droughts. This is called vulnerability.

Government social programmes and public services have a protective function as they help to reduce vulnerability, inequalities and other factors that create multi-dimensional poverty. The role of social auditors is really important in poverty prevention because they can ensure that vulnerable people are not excluded from programmes and services provided by government. It is also their duty to ensure that the poorest people and households participate in and therefore gain better access to social programmes.

Session 1: Objectives

- To introduce the concept of poverty, including definitions, causes and measurement
- To present the issues of poverty, inequality and vulnerability through role-play/skit
- To discuss causes of poverty using caste and gender perspectives
- To discuss the role played by social programmes in reducing inequality and vulnerability.

Design of the Session

Session one begins with a brief introduction to the topic. The trainer introduces the participants to the objectives and relevance of performing the role-play. The participants prepare and perform the role-play in small groups. At the end of the play, the trainer facilitates discussion among the participants.

Instructions to the Trainer

- Divide the participants into groups of 6-7 members. Give them 15 minutes to prepare a role-play that demonstrates a particular dimension of poverty. The performance should be of 7-10 minutes duration
- Following all performances, the discussion is held
- Encourage participants to talk about and analyse everyday poverty that they observe
- Discuss how factors such as caste and gender increase poverty for some groups
- Discuss how social structure in rural areas creates inequality for some groups and people
- Ensure all trainees are able to speak and participate equally

Suggested Lead Questions

- Tell us what you saw in the play?
- Are you familiar with such situations?
- Can you tell us what is poverty?
- Is poverty normal or is it a social problem? Why do you think so?
- In rural areas that you know, are some people poorer than others? Why?
- What can be done to deal with poverty?
- What have you learnt from this play?

Expected Outcomes

- Participants will be able to connect personal experiences with poverty concepts
- Participants will understand links between poverty, inequality and vulnerability
- Participants will be able to analyse how social factors such as caste create poverty
- They will develop empathy for marginalised sections of the rural society

Materials Required

- Role-play script
- Basic poverty statistics
- Board and marker.

Day 2/Session 2: History of Rural Development (1 Hour)

We now begin the second session of day 2. We will learn briefly about the history of rural development in India. In previous sessions we have discussed development, constitutional provisions/right to life and poverty. To address some of these development challenges, the government has over the years introduced many social programmes for rural development.

There are 6,40,867 villages in India according to the 2011 census. Rural areas are defined in the 2011 census as 'all those areas that are not listed as urban'. 68.84 percent of India's population, i.e. 83,30,87,662 people live in rural areas. You may have heard about the urban-rural development gap. For example, only 68 per cent people in rural areas are literate as against 85 per cent in urban areas. Traditionally, agriculture and other natural resource based livelihoods were the main occupations for rural people. Many today are increasingly employed in rural non-farm sectors. At present, 85 per cent of all cultivated holdings are very small (less than 2 hectares in area). Recent GoI statistics show that there are 90.2 million agricultural households and 144 million agricultural workers in India. Most village societies are hierarchically organised along caste groups. People from certain caste groups command larger shares of resources such as agricultural land and play a highly influential role in village society, politics and economy. The term 'rural poor' usually refers to small farmers, tenants and landless people.

Rural development programmes were initiated to improve the living conditions of rural people after agricultural growth strategies of the early decades failed to 'trickle-down' to the rural poor. The aim of development programmes was to ensure that the rural poor obtained basic minimum development needs and protection from poverty, reducing the urban-rural development gap and inequalities within the rural society. Several development programmes that targeted rural poverty include: Food for Work Programme (FWP), Drought Prone Area Programme (DPAP), Desert Development Programme (DDP), Tribal Development Agency Programme (TDAP), Small Farmers' Development Agency (SFDA), Marginal Farmers and Agricultural Labourers'Development Agency (MFAL), Rural Landless Employment Guarantee Programme (RLEGP) and Integrated Rural Development Programme (IRDP). Programmes like the IRDP (1978) aimed to supplement household incomes through creating self-employment and transfer of productive assets to the rural poor households.

In this session we will discuss some aspects of the mentioned programmes to understand the history of rural development in India. It is important to learn about past rural development to be able to understand how and what worked, what initiatives failed, what can be improved and how we can create better social programmes to deal with the twenty first century challenges of development in rural areas.

Rural Development Programmes under Five Year Plans	Year Introduced
Community Development Programme	1952
National Extension Service	1953
Khadi and Village Industries Programme	1957
Village Housing Scheme	1957
Multi-purpose Tribal Development Blocks Programme	1959
Intensive Agricultural District Programme	1960
Applied Nutrition Programme	1962
Rural Industries Project	1962
Intensive Agricultural Areas Programme	1964
High Yielding Variety Programme	1966
Farmers' Training and Education Programme	1966
Well Construction Programme	1966
Rural Works Programme	1967
Tribal Development Block	1968
Rural Manpower Programme	1969

Based on Hundekar, S.G, (1995), "Management of Rural Sector", pp. 189-190

Session 2: Objectives

- To introduce the concept of Rural Development with basic data about rural areas
- To provide information about early rural development and anti-poverty initiatives
- To discuss the shortcomings and learning from these programmes.

Design of the Session

Session two begins with a brief introduction on the topic of rural development by the trainer through a presentation. The trainer will speak about history of rural development, important lessons and problems. The presentation will be followed by an interactive question-answer session with the participants.

Instructions to the Trainer

- Use simple language to lay out a time line of rural development in India
- Encourage participants to talk about RD programmes they are familiar with
- Discuss learning and shortcomings
- Link discussion with previous sessions.

Expected Outcomes

- Participants will become aware of past rural development programmes

- They will gain the capacity to analyse why rural development policies result in certain outcomes.

Materials Required

- Whiteboard and marker
- Projector and laptop.

Day 2 /Session 3: Rural Administrative Structure/Mapping (1 Hour)

In the third session of the day, we shall learn about the administrative structure responsible for the implementation of rural development programmes. We have learnt from our session on the constitutional framework, that governance in India is based on judicial, executive and legislative structures. Rural development policies and programmes too are implemented through these three structures.

The Ministry of Rural Development implements RD programmes through the State implementing agencies. At the State level implementation is monitored by the Secretary/Commissioner dealing with the programme. Execution takes place at the District/Village level through DRDAs, Panchayati Raj Institutions (PRIs) and other implementing agencies, who monitor the execution of the programmes at the grass root level.

Centrally Sponsored Schemes (CSSs) and Additional Central Assistance (ACA) have traditionally followed vertical implementation structure. Efforts are being made to devolve responsibilities to the States and rural local bodies. Through the Constitutional (73rd) Amendment Act, 1992, constitutional status has been provided to the Panchayati Raj Institutions. An important role for the implementation of rural development programmes is assigned to the PRIs. The amendment also stipulated the transfer of 29 items to local bodies, setting up State election and finance commissions to conduct elections, and reservation of seats for women and SCs and STs in all three tiers and Gram Sabhas with people's participation.

Government systems are also in place to ensure accountability of implementing agencies towards their roles and responsibilities. Important agencies include the Judiciary and office of the Comptroller and Auditor General (CAG). The most recent addition towards increasing accountability has been the setting up of the State Social Audit units. Understanding the rural administrative system is important for social auditors, as they need to have knowledge about the flow of funds and decisions with respect to all social programmes.

Session 3: Objectives

- To introduce administrative structure of the Government of India for rural development
- To discuss the three-tier Panchayati Raj Institutions and their functions
- To discuss the role of RD agencies such as the DRDA.

Design of the Session

Session two begins with a brief introduction to rural development administrative systems by the trainer through a presentation. The trainer will speak about the three-tier PRIs and discuss their roles, functions and powers in the context of RD programmes. The presentation will be followed by an interactive question-answer session with the participants.

Instructions to the Trainer

- Use simple language and a flow chart to explain the administrative structure
- Use examples to explain how funds flow and decision systems work
- Ask participants to visualise the role of social auditors in the RD administration.

Expected Outcomes

- Participants learn about functions of the rural administration
- Participants learn about administrative structures at village, district and State levels
- They are able to locate their own position and responsibilities within this structure
- They will become aware about grassroots democracy.

Materials Required

- Rural Administrative Structure chart
- Whiteboard and markers.

Day 2/Session 4: Rural Development Programmes (3 Hours)

In session 4, we are going to discuss in some detail select rural development programmes, currently implemented by the government. We will discuss the broader goals of these programmes and also how much of the stated objectives have been achieved. Also part of the discussion will be an analysis of why some programmes are successful while others have failed to deliver.

The rural development programmes that will be discussed in this session include affordable housing, social welfare pensions, livelihood generation under NRLM, rural roads (PMGSY), food security and nutrition programmes such as ICDS, MDM and PDS. Provisions under each of these programmes aim to deliver some measure of social security to the rural poor. As discussed in the earlier sessions, these programmes aim to create the conditions necessary to achieve development, and address multi-dimensional poverty in keeping with constitutional guarantee of Article 21, the right to life.

Among the problems that have affected rural development programmes have been exclusion errors as eligible households have not been identified accurately, leakages and corruption with benefits not reaching the eligible households, delayed or lost payments, poor quality materials, inappropriate schemes, elite capture as dominant groups take the benefits and so on. In this session we shall try to understand how the process of social audit can create local accountability and help to address some of these common failings of social programmes.

Session 4: Objectives

- To introduce rural development programmes that provide social security to the poor
- To discuss key objectives and features of the programmes
- To analyse failures and achievements of these programmes
- To discuss how social auditors can increase the effectiveness of these programmes.

Design of the Session

Session two begins with a lecture about selected rural development programmes through a presentation. The presentation will be followed by a group exercise. Participants will be divided into groups and each group will be given a write-up of one social programme to read and analyse. After 20 minutes of small group discussions facilitated by the trainer, participants will be asked to make presentations based on the analysis of given topics. The trainer will summarise the session at the end of the discussion.

Instructions to the Trainer

- The trainer should facilitate equal participation of all members during the group exercise
- Composition of groups should be such that there is balance of interest and expertise across groups.

Activity Guide

- Divide participants into 8 groups
- Provide each group with a write-up about a social programme
- Ask the group to read together and prepare a presentation

- Ask the groups to include insights from their own experiences of RD programmes

- Groups should identify challenges and failings in programme implementation.

Expected Outcomes

- Participants learn about select RD programmes in some detail

- They will learn to identify causes for success and failure of programmes

- Participants will be able to understand the role of social audit in better programme implementation.

Materials Required

- Central government communication material on programmes

- Chart, sketch pen

- Whiteboard and markers.

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DAY 3: RIGHTS BASED FRAMEWORK

Session	Topic	Hours
1	Rights-based Approach	2
2	Public Works Programmes – 5 Year Plans, JRY, EGS	1
3	Right to Work Campaign – Perspective	2
4	Social Rights-based Legislations (NFSA, FARR, RTI)	1

DAY 3/Session 1: Rights-based Approach (2 Hours)

Welcome to the first session of day three. The thrust of the sessions today is on rights-based approach to social programmes. In the previous sessions you have learnt about concepts such as development and poverty. Development today is increasingly framed in the language of human rights. Traditionally, development was focused on social welfare and on economic growth; human rights involve establishing a universally accepted legal regime that conceptualises rights in terms of 'duty bearers' and 'rights holders'.

States or governments are seen to have broader social and economic responsibilities towards their citizens. The idea of Welfare Rights is based on the premise that poverty and social deprivation are human rights issues. Rights approach contributes to the development agenda in a number of ways. It adds legal tools and institutions such as the judiciary, and processes such as litigation as means to secure development, shifts emphasis towards the excluded and stresses the importance of voice, information, and integration of civil and political rights into development processes.

Thus a rights based approach contributes to the empowerment of citizens to demand the delivery of the rights and services that they are entitled to. It simultaneously develops the capacity of States to fulfill the obligations to protect, respect and promote the rights of their citizens. Ultimately, it strengthens participatory grassroots processes to empower vulnerable groups. Rights-based approaches draw from many sources: national constitutional framework, international human rights, UN conventions and grassroots struggles of people seeking greater participation in decisions that affect their lives. Incorporation of human rights in development policies and practice increases the accountability of such processes.

In India several important rights-based social legislations have emerged in recent times. These include Right to Information Act, 2005, Mahatma Gandhi National Rural Employment Guarantee Act, 2005, Right to Education-2009, the National Food Security Act, 2013, and the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006. We shall discuss some of these in session 4, later in Day 3. Civil society movements and grassroots social action have contributed greatly to the changing of the conception of development or welfare as benefits received by passive beneficiaries, to rights that citizens are entitled to and which they seek through their active engagement.

Session 1: Objectives

- To discuss the rights-based approach to development
- To discuss the role of grassroots based social movements in rights-based approaches
- To introduce rights-based social programmes in the context of India.

Design of the Session

Session one begins with a brief introduction on the topic of rights-based approach to social programmes. Following the introduction, the trainer will divide the participants into small groups and provide them with case studies. Groups will discuss the case given to them and identify the social rights and policies that have been referred to in it. At the end of the session each group will make a presentation based on the case study and group exercise.

Instruction to Trainers

- Introduce the concept of rights-based social programmes
- Divide participants into groups
- Provide each group with a case study of one right-based programme
- Allow them 10 minutes to read it in group
- Ask them to present findings from the case
- Discuss the points emerging from presentation
- Enable participants to draw links between rights-based programmes in the case study with their understanding of constitutional rights.

Expected Outcomes

- Gain basic understanding of rights-based programme
- Learn to participate in group discussion and analyse a case
- Learn to make presentations
- Be able to link rights-based programme with constitutional framework.

Materials Required

- Case studies of rights-based programmes
- Board and marker
- Chart papers and sketch pens.

Day 3/Session 2: Public Works Programmes (1 Hour)

In session 2, we shall discuss key aspects of public works programmes (PWP) implemented by the Indian government. The objective is to understand the history of government programmes to address rural poverty that came before the MGNREGS. In this session we shall discuss public works programmes through examples such as Maharashtra's Employment Guarantee Scheme (EGS), National Rural Employment Programme (NREP), Rural Landless Employment Guarantee Programme (RLEGP) and the Jawahar Rozgar Yojana (JRY). It is important to learn about these programmes in order to understand how public works programmes are designed to be both welfare and empowerment strategies.

Public Works or Rural Works are special programmes created by the government to provide subsistence support through short-term work to people in rural areas in times of seasonal food scarcity, crop failure, natural disasters or chronic poverty. The objective of public works programmes is also to create productive community assets, rural infrastructure and regenerate local natural resources to make rural livelihoods viable. Such programmes are self-selective as only people who are in distress choose to do manual work for wages or kind. When supported by law, these programmes become rights-based such that government is bound to start work projects on demand by people who are in distress. Thus public works programmes can grow beyond providing work and building assets into a tool for community mobilisation around basic rights and entitlements.

Public or Rural Works programmes have been part of the government's anti-poverty strategies. An early example of this is the Government's Food for Work Programme (1977-78). The FWP aimed to create rural employment and durable assets (such as irrigation tanks, panchayat and school buildings, roads and drainage) during the lean agricultural period. Workers were paid in food grains drawn from buffer stocks.The programme helped to stabilise wages and check rise in prices of food grains in drought years. Introduced in 1983, under the 6th plan, the objective of the Rural Landless Employment Guarantee Programme (RLEGP), a centrally sponsored scheme, was to provide work for landless households in rural areas. It aimed to provide work to one member of rural landless households for 100 days in a year and also to create durable assets. Funds for works/projects were demarcated for specific activities such as social forestry, works that would benefit SC/ST and housing under Indira Awas Yojana. National Rural Employment Programme (NREP) was a centrally sponsored scheme aimed at providing wage employment in the lean agricultural months to asset-less rural poor – marginal farmers, landless and below poverty line households. As part of its NREP contribution the central government provided food grains from the buffer stock as wages in the employment programme. States were encouraged to procure locally produced grains in order to protect local farmers and keep stable food supplies in the region. Contractors were to be eliminated from rural works and a larger role was given to the PRIs to implement the programme. Works to be given priority under NREP included social forestry, soil and water conservation, irrigation, flood protection, construction and improvement of village tanks and ponds, school and dispensary buildings, and works to improve hygiene and sanitation.

In 1989, RLEGP and NREP were merged to form the Jawahar Rozgar Yojana (JRY). Its objective was to provide gainful employment for unemployed and underemployed rural persons and sustainable livelihoods through creating rural assets and infrastructure. The centre and States shared the cost of the programme in 80:20 ratio and village panchayats were made responsible for the implementation of the programme. Under JRY, priority was to be given to Below Poverty Line (BPL), SC and ST and freed bonded labour households and 30 per cent of work was to be reserved for women.

Among the series of public works programmes implemented by the government through the anti-poverty decades, Maharashtra's Employment Guarantee Scheme (EGS) stands out for firm roots in the rights-based framework. EGS came into existence in 1972-73 during severe drought years to address rural unemployment. It was unique because under its provisions, the rural poor could obtain unskilled manual work on demand. The EGS aimed to provide employment and create community assets in rural areas. The Maharashtra Employment Guarantee Act passed in 1977, made the relief-oriented social programme into a rights-based one. The EGS enshrined the right to work and anticipated the Mahatma Gandhi National Rural Employment Guarantee Scheme and Act.

Session 2: Objectives

- To provide understanding about the concept of public works programmes
- To discuss the goals and objectives of public works programmes and draw out the linkages with rural poverty, unemployment and right to work
- To discuss key public work programmes initiated by the government in the past, compare the similarities and differences with rights-based approaches.

Design of the Session

Session two begins with a brief introduction to public works programmes by the trainer. The trainer will explain the goals and objectives of public works programmes with examples and draw linkages with rural poverty and social rights. The session will consist of a presentation followed by a question-answer based discussion.

Instructions to the Trainer

- Ensure participation from all trainees
- Enable participants to connect their own experiences of public works with concepts being taught
- Draw linkage with earlier sessions on constitutional framework, poverty and development.

Expected Outcomes

- Participants will understand the nature and goals of public works programmes
- Participants will learn about the history of public works programmes
- They will be able to connect PWP with rights, poverty and development.

Materials Required

- Whiteboard and marker
- Synopsis of key PWPs: FWP, RLEGP, NREP, JRY, and EGS.

Day 3/Session 3 - Right to Work Campaign (2 Hours)

In session 3, our topic of discussion will be civil society campaigns and people's movements around the Right to Work. A deep understanding of poverty and development, a constitutional framework that guarantees a range of citizen rights, a variety of social programmes such as the PWPs – realising the goals from all these initiatives require active engagement by local communities and civil society. The Right to Work Campaign was instrumental in translating the promise of livelihood security into real entitlements and rights for people.

Early campaigns for transparency and accountability drew attention to the non-payment and delays in payment in wages in the context of PWPs, poor quality of material used and inflated/false bills provided by suppliers leading to widespread siphoning of public resources. Access to correct documents was considered to be essential such that rural poor workers were able to scrutinise the bills for materials purchased, check the muster rolls and employment registers and compare this data with the work actually done and wages received by them. The process of jan sunwai (public hearing) was initiated to discuss the details of official records in village meetings in which besides local villagers, government officials and political party members were invited to attend. The goal was to create active grassroots democracy and promote informed participation by the poorer sections of the rural community.

Important outcomes of the sustained campaign by people's organisations across the country were the two important mid-twenty first century social legislations, the Mahatma Gandhi National Rural Employment Guarantee Act and the Right to Information Act. The most important lesson from the campaign was that social audit as a tool, when used by the rural poor themselves, makes them better informed and this in turn promotes grassroots democracy. Well-informed rural poor can demand their rights thereby increasing the effectiveness of government programmes, checking corruption and making local administrative functioning transparent and accountable to citizens.

Session 3: Objectives

• To learn about the Right to Work campaign - history and strategies

• To understand the role of civil society and State in promoting grassroots democracy

• To understand the linkages between grassroots democracy and social accountability.

Design of the Session

Session three begins with a brief introduction to the Right to Work campaign – from its early days to present processes. After introducing the topic, the Right to Work campaign documentary will be played. Viewing this will be followed by a discussion facilitated by the trainer based on the questions listed below.

Instructions to the Trainer

• Ensure participation of all members

• Begin the discussion by asking simple questions

• Encourage participants to describe their views about the film

• Ask them to identify key issues related to topics of earlier sessions from the film.

Points for Discussion

- Describe what you saw in the film
- Are you aware of other rights-based movements or campaigns
- About what were the people in the film protesting?
- Are campaigns like this needed for ensuring people's rights? Why?
- Have you participated in similar social movements?
- In what way would this lesson help you to be an effective social auditor?

Expected Outcomes

- Participants understand the need for public engagement to obtain rights and entitlements
- Learn about the pivotal role of RTW Campaign in establishing social audit processes and mechanisms in government programmes
- Learn how inspired leadership and sustained activism is necessary for ensuring social accountability and undertaking social audit process.

Materials Required

- Right to work campaign slogans and songs booklet
- Whiteboard and markers.

Day 3/Session 4: Social Rights-based Legislations (1 Hour)

The topic of discussion in session 4 is recent Social Rights-based Legislations in India. In the previous session we learnt how active engagement by grassroots social movements were necessary for attaining the goals of social programmes and constitutional guarantees. In this session we shall learn about three important social legislations: the National Food Security Act, 2013 (NFSA), The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 (FRA) and The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 (LARR 2013). Two other important social legislations, the MGNREGA, 2005 and the Right to Information Act, 2005 will be discussed in detail in the coming sessions.

The FRA was created in January 2008. It seeks to remedy the historical injustices inflicted on tribal and forest dwelling communities. Historically tribal lands and resources were diverted to development, industrial and conservation projects. Forest based traditional livelihood activities were deemed illegal in the past causing hardship and harassment of tribal people by forest officials. Among the important provisions in FRA, is the right to hold and live in the forestl and under individual or community occupation for habitation or livelihood by ST and OTFD; right to access, own and collect and dispose of minor forest produce even in protected forest areas within or outside village boundaries. FRA strengthens the role of PRIs by empowering Gram Sabhas to initiate processes to determine the nature and extent of rights over community forest resources.

The LARR, 2013 specifies that the land acquired by the government for purposes of industrialisation, essential infrastructural facilities or urbanisation,must take place in consultation with local self-government, i.e Gram Sabhas. It also states that just compensation should be paid to affected families and elaborates a detailed process to ensure this. An important provision in the act is the requirement of prior consent from 70-80 per cent of the affected families in order for the development project to proceed. A detailed Social Impact Assessment (SIA) process is an important requirement stated in the Act. The need for the SIA is to ensure that all affected persons are identified and compensated for their loss. Safeguards are in place to protect against delayed payment of compensation.

Can you see how the provisions of LARR and FRA, are meant to protect the livelihoods and resource rights of the poorest sections of the society?

Most famine victims in the modern era were landless wage labourers. During periods of unemployment, wage labourers would starve unless provided with social security to supplement market mechanisms. The NFSA, 2013 seeks to provide nutritional security by ensuring access to adequate quantity of quality food at affordable prices to below poverty line families. The Act entitles 1/3rd of India's population to 5 kg of rice, wheat or coarse grains per person per month at the subsidised price of ₹1-3 per kg. The law creates legal entitlement to subsidised food grains for the poorest section of the population. Right to Food is closely connected to the Right to Life enshrined in the Indian Constitution.

All rights-based social legislations aim to empower citizens, enhance true democracy and create government responsibility for protecting rights and providing social security. Broader goals are to end discrimination and uphold social justice.

Session 4: Objectives

- Provide participants an overview of important social legislations of the Indian government

- Enable them to understand the connections between social legislation, social rights and democracy
- Help them learn about accountability mechanisms provided in the legislations.

Design of the Session

Session four begins with a brief introduction on rights-based social legislations and their historical background. After introducing the topic, specific provisions of the law will be discussed through presentation. The lecture will be followed by a discussion facilitated by the trainer based on the questions listed below.

Instructions to the Trainer

- Ask participants whether they were familiar with NFSA, FRA and LARR
- Allow participants to speak about the experiences with the implementation of any provisions in the above laws
- Discuss the key provisions of the laws
- Discuss the transparency mechanism in the law.

Expected Outcomes

- Participant will learn about key rights-based social legislations
- They would be better able to connect classroom lessons with experience in the field
- They would learn how laws enable better protection of social rights
- Learning about how social legislation can aid better implementation would be enhanced.

Materials Required

- Primers in Hindi/English on selected social legislations
- Chart, sketch pen
- Whiteboard and markers.

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Hamara Paisa-Hamara Hisab. Women demanding their rights at Gram Sabha, Belgaum, Karnataka, 2016. Picture Credit : Ujjwal Pahurkar

DAY 4: SOCIAL ACCOUNTABILITY

Session	Topic	Hours
1	Principles of Social Accountability	3 hours
2	Right to Information	2 hours
3	Public Service Delivery Act	1 hour

Day 4/Session 1: Principles of Social Accountability (3 Hours)

Social accountability is an obligation and responsibility on the part of the government to be answerable to the citizens for its actions. Social accountability ensures the fulfillment of democratic and human rights principles. Accountability of government officials is a cornerstone and a must for ensuring good governance. It is essential to understand the concept of social accountability and its principles to improve the efficiency of social programmes of Government of India including Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS), Indira Awas Yojana (IAY), National Rural Livelihood Mission (NRLM) and others.

There are different methods and tools of social accountability. The key components of social accountability practice include collection, analysis and dissemination of information, mobilisation of public support, advocacy and negotiation for change. Social accountability mechanisms become extremely effective when institutionalised and linked to various structures of governance and institutions involved in service delivery.

In India, decades of work by grassroots movements and civil society organisations has led to recognition of social accountability measures like social audit, public hearings, citizen charter, citizen report card and the RTI Act. All the measures are marked by participation of civil society and public, where they have raised demands and asked for accountability from different rungs of government machinery.

The Government of India commitment to accountability is visible in the set of framed rules and regulations called "Audit of Scheme Rules 2011" under the sub-section (1) of section 24, of the MGNREGA, 2005. This section guides the process through which social audits need to be undertaken in the context of MGNREGS, one of the largest public works programmes in the world.

*How to ensure transparency and accountability from the government?

1. The government programmes and all public works can be successfully monitored by individuals or collectively, when the public has an understanding and awareness about the following components of the programmes.

- Understanding of the entitlements
- Prescribed time frames
- Who is responsible for what
- Prescribed standards and rates
- Decision-making processes
- Possibility for appeal

- Complaint or grievance redressal
- Reasonably expected outputs and outcomes.

2. Transparency and accountability must be framed in a manner in which they are governed by universal and inclusive processes.

3. There must be equal and open access of information to all citizens and should preclude any attempt that may restrict/exclude a citizen from using information, or having to prove their locus standi.

4. There may be a need to specially empower and facilitate certain marginalised groups (SCs, STs, NT-DNTs, OBCs, women, disabled and others) to access information.

5. All relevant information regarding programmes and public institutions must be proactively displayed (mandatory) and made accessible through different modes and medium, ensuring local language compatibility and keeping in mind the needs of the semi-literate, the illiterate and the disabled.

6. Information must be authenticated, updated with reasonable periodicity, and put across in a manner and format that is easy to understand. Towards that end, special proformas and formats need to be developed.

7. Relevant information must be appropriately displayed at village, sub-State, State and national levels.

8. All decision-making should be done in public in the full view of all interested stake-holders. This is the best way of ensuring that decisions are not only fair but also appear to be fair.

9. Recognising that despite best efforts, both the modes of providing information and of getting feedback can be corrupted or blocked, multiple modes and routes must be used in order to make it progressively difficult to inhibit the free flow of information to and from the people.

*(Source: Presentation by Nikhil Dey on Social Accountability - CAG)

In this session, we will learn about the principles of social accountability. We will also do a group exercises to understand how the principles work in practice. Applying social accountability principles will produce outcomes to strengthen local democracy.

The main principles of social accountability are discussed below:

1. *Jankari* - **Access to information -** All relevant information regarding social programmes and public institutions must be proactively displayed. It is mandatory to display such information. The information must also be accessible to all. The relevant information must be displayed at the appropriate level –village, sub-State, State and nation.

2. *Bhagidari* - **Involvement and participation of citizens in the process of decision-making and arriving at a justifiable outcome -** As far as possible, all decision-making should be done in public in full view of all interested stakeholders. This is the best way of ensuring that decisions are fair. Committed efforts need to be made to include certain marginalised groups in accessing, availing of and learning about social welfare programmes.

3. *Karyawahi* - **Time bound action-** The institution responsible for the inaction/lapses needs to take timely action after hearing from the public to rectify mistakes and make amends.

4. *Suraksha* - **Protection of Citizens -** It is important to have a secure place for free and fair discussion during the Gram Sabha. Obtaining a secure place should be done through liaising with District Administration/Police.

5. *Sunwai -* **Citizen's right to be heard -** There should be a mechanism to address the grievances or difficulties faced by the citizens and to take suitable action. Citizens need to be well-informed about the follow-up process.

6. *Janta Ka Manch -* **Collective Platform -** Presence of collective platform will provide a safe and secure forum for free and fair discussion. It is important that the citizens come together to check corruption and ensure delivery of services and schemes. In order to bring everyone together on a collective platform, it is required that every member of the village is aware about the programme and the meeting with government officials. For this, wall paintings and posters could be used to display information.

7. *Prasar -***Report Dissemination -** The findings of Social Audit should be accessible to the citizens. The report of Social Audit needs to be distributed after conducting the audit.

As we discuss the principles of social accountability, many steps in social audits will also become clear.

Session 1: Objectives

- Understand the principles of social accountability
- Learn about the function of each principle
- Understand the relevance of each principle to the process of social audit.

Design of the Session

The session will begin with a presentation on the principles of social accountability. Discussion about each principle will be followed by a group exercise. The exercise would end with a presentation by each group and feedback on it. Participants' doubts would be discussed and clarified at the end of the session.

Instructions to the Trainer

- Use the presentation to discuss each principle and follow it up with the activity
- Conduct the group exercise
- Summarise the key learning of the session
- Guidelines for each principle and to carry out the exercise is provided below.

Group Exercise

There are four public institutions- Primary Health Centre (PHC), Block Development Office (block office), School, Public Distribution Shop (PDS) for the exercise. The exercise will help the participants to work together in identifying what each principle means and how it emerges in a public institution.

Guidelines for the Exercise

- The presentation slide will guide the exercise. First each principle will be explained and followed up by the exercise. We will be discussing the 6 relevant principles to these public institution (except principle- Prasar)
- Also provide the auditing standard handout and ask them to go through the same

- Divide the participants into 4 groups for the exercise (except for the first part of the exercise). Directions for each part is given below:

- Give one of the institutions - PHC, Block Development Office (Block Office), School, Public Distribution Shop (PDS) to each group

- Give a table template with the following format to each group.

Principle	PHC/Block Office/School/PDS shop
Jankaari	
Sunwai	
Bhagidari	
Janta Ka Manch	
Karyawahi	
Suraksha	

- Ask each group to discuss among themselves and make entries on the right hand side of the table. The entry has to be related to the information of each principle in the given public institutions

- If required, give the groups leading inputs.Each principle is discussed below

- Ask the groups to make a brief presentation of the entries made in the table

- Encourage participants by highlighting the relevance of the information presented by them

- Towards the end, emphasise the relevance of each principle.

Jankari

- Show and explain the participants the slide on Jankari

- Ask them- why is it important to have information and what is meant by information?

- Give leading questions, if they are not responding

a) Why do you want to know your exam results?

b) Why do you want to know the outcome of your blood test?

c) If you work, you want to know how much you have earned for the day.

d) If you have failed in a subject, you want to see whether the total and marking has been done properly.

- Give the full group 4 institutions- PHC/Block Office/PDS Shop/School to work on this section of the exercise

- Give them a handout with the following table

Principle	PHC	Block Office	School	PDS Shop
Jankari	- How many beds are there? - What is the stock of medicine? - How many days in a week does the doctor/nurse come? - What is the rate list of medicines? - What time does the PHC open? - Are there specialist doctors available for women and children?	- Office timings of Block Office - What are the services that the Block office provides? - What is the procedure by which I can ask for the services? - Whom should I contact in the Block office for specific services? - When will my complaint be redressed? - How often is the Block Office supposed to visit my village?	- Whether sufficient teachers are appointed - Whether teachers are present - Whether mid-day meal was served - What is the budget of the school - Whether adequate facilites like toilets, clean drinking water, textbooks etc are there	- Timings of opening of FPS? - How do I know when the shop is going to open? - What is the price I need to pay for purchasing grain/kerosene? - What is my entitlement? - What is the list of ration card holders?

- Help the participants to identify what is 'relevant information' for all the four institutions
- Encourage them to state other relevant information for each institution (other than that provided in the table)
- The other information could be added in the table provided to them (handout). Please ask them to fill the column on the right hand side of Jankari

Principle	PHC/Block Office/School/PDS shop
Jankaari	
Sunwai	
Bhagidari	
Janta Ka Manch	
Karyawahi	
Suraksha	

- Emphasise the distinction between general information and relevant information.

Sunwai

- Show and explain the participants the slide on Sunwai
- Explain the principle with the help of the following leading questions

a) If the train timetable said the train will come at 8pm, and it has not, then who do you complain to?

b) If the ration shop was supposed to open at 9am, and did not open, who do you go to?

c) If you don't get your salary on time, who do you go to?

- Divide class into four separate groups
- Give one institution to each group – PHC/School/PDS/BDO Office
- Give them the following handout of the table

Principle	PHC/Block Office/School/PDS shop
Jankaari	
Sunwai	
Bhagidari	
Janta Ka Manch	
Karyawahi	
Suraksha	

- Ask each group to work out what Sunwai means in the context of the institution allocated to them. Please ask them to fill the column on the right hand side of Sunwai
- Give them 5-10 minutes for discussion on issues/questions related to Sunwai for their allocated institution
- Ask each group to present briefly what they have noted down
- State the auditing standard and emphasise the processes identified for Sunwai in existing institutions and what it ideally should be.

Karyawahi

- Show and explain the participants the slide on Karyawahi
- Explain the principle with the help of the following leading questions

a) What should happen after you are heard?

b) In how much time should your complaint be redressed?

c) How should you be treated when you raise a complaint?

d) When is a Karyawahi fair?

e) How do you know that action has been taken?

- Ask each group to work out what Karyawahi means as well as the possibilities of Karyawahi (which may not exist currently) in the context of the allotted institution and add it to the table

Principle	PHC/Block Office/School/PDS shop
Jankaari	
Sunwai	
Bhagidari	
Janta Ka Manch	
Karyawahi	
Suraksha	

- Give them 5-10 minutes for discussion on issues/questions related to Karyawahi for their allocated institution.
- Ask each group to present briefly what they have noted down
- Emphasise what accountability means- time bound action on part of those who hold decision making power.

Bhagidari

- Show and explain the participants the slide on Bhagidari
- Explain the principle with the help of the following leading questions
- a) Why do you attend a Gram Sabha?
- b) Why do you vote?
- c) Why are there school management committees?
- d) Where do SHG group members decide in a collective?
- Ask each group to work out what Bhagidari means as well as the possibilities of Bhagidari (which may not exist currently) in the context of the allotted institution and add it to the table

Principle	PHC/Block Office/School/PDS shop
Jankaari	
Sunwai	
Bhagidari	
Janta Ka Manch	
Karyawahi	
Suraksha	

- Give them 5-10 minutes for discussion on issues/questions related to Bhagidari for their allocated institution.
- Ask each group to present briefly what they have noted down.
- Emphasise that the better the participation, the more accountable the action from the administration.

Janta ka Manch

- Show and explain the participants the slide on Janta ka Manch
- Explain the principle with the help of the following leading questions

a) What are examples of Janta ka Manch- Gram Sabha, SHG Federation meeting, General Body meetings?

b) What is the difference between engaging with government one- on- one versus as a group?

- Ask each group to work out what Janta ka Manch means in that institution as well as the possibilities of Janta ka Manch (which may not exist currently) in the context of the institution allocated to them and add it to the table

Principle	PHC/Block Office/School/PDS shop
Jankaari	
Sunwai	
Bhagidari	
Janta Ka Manch	
Karyawahi	
Suraksha	

- Give them 5-10 minutes for discussion on issues/questions
- Ask each group to present briefly what they have noted down
- Emphasise the importance and relevance of Janta Ka Manch -ensuring collective action for better functioning of public institutions.

Suraksha

- Show and explain the participants the slide on Suraksha
- Explain the principle with the help of the following leading questions

a) If I am not protected/allowed to speak then none of the above discussed principles will work

b) If the citizens are not protected if they ask questions, how will institutions improve?

- Ask each group to work out what Suraksha means in that institution as well as the possibilities of Suraksha (which may not exist currently) in the context of the institution allocated to them and add it to the table.

Principle	PHC/Block Office/School/PDS shop
Jankaari	
Sunwai	
Bhagidari	
Janta Ka Manch	
Karyawahi	
Suraksha	

- Give them 5-10 minutes for discussion on issues/questions
- Ask each group to present briefly what they have noted down
- Emphasise the importance of Suraksha in ensuring entitlements.

Points for Discussion

a)   Which of the discussed principle is already present in your work place?

b)   Which of the discussed principle is absent in your work place?

c)   How will the application of these principles aid your work?

Expected Outcome of Exercise

By the end of the session, the participants will be able to apply the learning/knowledge of each principle to their work. Example- The trainer could ask the participants to give an example of how the skill/knowledge/attitude learnt in the session will aid their work. Before asking for an example, the trainer could also provide one example of the same.

Materials Required

- Photocopies of table template and auditing standard
- Pens
- Laptop/connection for power point presentation
- Black/white boards with markers and chalk.

Day 4/Session 2: Right to Information (2 Hours)

Lack of accountability, transparency, accessibility, complicated paper work and delays have affected social welfare schemes and denied rights to the poor. Right to Information is extremely important as it gives opportunity to the citizens to raise questions, examine, audit, review and assess government activities and decisions. It improves public administration and upholds the Constitution of India.

The RTI campaign spearheaded by a grassroots organisation in Rajasthan in 1990s established the need for a comprehensive legislation enabling citizens to access government documents. The Right to Information Bill, 2005 was passed by the Lok Sabha on May 11, 2005 and by the Rajya Sabha on May 12, 2005 and received the assent of the President of India on June 15, 2005 and came to force on October 12, 2005. The Act lays down the legal process by which

a) citizens can access information held by public authorities

b) it is an obligation of the authorities to furnish the requested information and

c) a grievance redressal mechanism is provided for those who have been denied the information without reasonable cause.

RTI Act, 2005 empowers the citizens to ask questions to the Government of India to promote transparency and accountability in the functioning of public administration, check corruption and build an effective welfare system. The Act provides access to public to that information which is under the control of the public authorities. It promotes transparency and accountability in the working of every public authority.

Under MGNREGA, requests for copies of documents submitted under MGNREGA need to be complied with within three days. No information shall be withheld by invoking Clause 8 of the RTI Act. All MGNREGA-related information needs to be in the public domain. A list of such key documents(number of days of work provided and payments made to every Job Card holder in a year, list of works sanctioned, expenditure on labour and material component, quantity of various material items and rates at which these were procured) should be prepared by the State Employment Guarantee Council, and updated from time to time.

We will begin today's session by watching a film titled 'Power to People'.

The film, 'Power to People' shows how corruption exists in the functioning of government bodies, how government officials refuse to share information and the struggle of the grassroots movement to realise provisions of the RTI Act, 2005. Through the process of public hearings (jan sunwai) workers and activists publicly scrutinised official records and highlighted the malfunctioning and ineffectiveness in the implementation of social programmes.

The second film is an animation feature that shows the major provisions of the RTI Act, 2005. The setting is of a village where an elderly woman is not receiving her pension. By learning about the RTI Act and the process of filing an application, she finally receives her pension. The film once again summarises the main provisions of the RTI Act.

Session 2: Objectives

- To understand the history and birth of RTI movement in India
- To understand the provisions of RTI Act 2005
- To learn how to file an RTI application.

Design of the Session

The session begins with the screening of a documentary on Right to Information. After the screening and discussion, there is a presentation and discussion on various provisions of RTI Act 2005, along with five handouts. This will be followed by a group exercise on filing in RTI application. Once the exercise and discussion is over, participants watch another short animation film focusing on the major provisions of the RTI Act, 2005. The session ends with a discussion and clarifying of doubts of the participants.

Instructions to the Trainer

- Begin the session with screening of the film
- Activity 1: Film Screening
- Show the film – 'Power to People' to the participants
- At the end of the film briefly summarise the main points as given below.

Points for Discussion

a) What was the major learning from the film?

b) What were the strategies used to check corrupt practices?

c) How does access to information for the people improve functioning of the government?

- Show and discuss the presentation. Handouts will also be used as part of the session
- Explain the terms - Information, Right to information, Public Authority, Public Information Officer, Process of filing RTI, provisions for exemption from disclosure of information and appeals
- Distribute Handout 1 to the participants and tell them this is how a model RTI looks.

Group Exercise - Filing RTI Application

- Teach the participants the process of filling RTI application
- Clarify the doubts of the participants
- Begin the group exercise
- Conduct a discussion at the end of the exercise.

Guidelines for Exercise

- Divide the participants into 4 groups
- Discuss that the exercise focuses on learning how to ask the right questions for an RTI application
- The issues to be provided for each group are as follows -
- ★ **Group 1:** Write a RTI application to know the status of an application for grievance redress that you had filed
- ★ **Group 2:** Write an RTI application to know when a particular public work can be inspected
- ★ **Group 3:** Write an RTI application to know the details of spending of MPLAD (Member of Parliament Local Area Development) fund

★ **Group 4:** Write an RTI application to learn about the status of road improvement

★ Ask the group to focus on questions that are relevant to their query and write those

★ Give lead questions, if any group is finding it difficult to write questions.

Sample questions relevant for a RTI application on getting government documents

- Please provide a copy of the progress report and action taken report of my application

- Please provide a copy of the file noting on my application

- Please provide reasons for the delay in processing my application

- Please provide a copy of the relevant order which defines the stipulated time frame within which the _____ (passport, ration card, driving license, income certificate) is supposed to be made

- Please provide the name, designation and contact details of the official responsible for processing my application within the stipulated time-frame

- What action will be taken against the official concerned for not processing my application within the stipulated time frame?

- Please provide the name, designation and contact details of the official to whom I can file a complaint regarding the delay in processing my application.

- Ask one member from each group to read out the questions that the group has come up with

- Discuss the questions and help them to refine the questions. For example, help them understand whether the information they have asked for would be available with the Public Information Officer or not

- Give feedback on the precision and clarity of the requested information (questions written)

- If required, take one theme and discuss the questions relevant to it

- Encourage the participants and remind them to follow the format given in the handout

- Distribute handout 2 after the RTI application filling exercise is completed. The handout illustrates different kinds of RTI to be filed for specific cases

- Explain the process of law and filing appeal from the presentation. Distribute handout 3 and 4 showing examples of appeal.

Screening of Animation Film

- Show the film –Right to Information Act (short film) to the participants

- At the end of the film briefly summarise the main points as given below.

Points for Discussion

- How does the elderly woman manage to get her pension?

- How can an illiterate person file an RTI application?

- How do you think RTI can help in your work?

- Distribute handout 5- RTI Primer which has the main provisions of the RTI Act.

Expected Outcome of Exercise

- At the end of the exercise the participants will be able to file an RTI application and appreciate the relevance of RTI Act as a social accountability tool.

Materials Required

- Projector for a movie

- Movie screen

- Printed copies of handouts

- Laptop/connection for presentation

- Black/white boards with markers and chalk.

Day 4/ Session 3: Public Service Delivery Act (1 Hour)

The Public Service Delivery Law guarantees time-bound delivery of various public services to citizens. It provides a mechanism for punishing the public servant if they are not providing the service within a specific time frame.

On failure of the officer concerned to provide the service, the citizen (applicant) can approach the First Appellate Authority. The First Appellate Authority, after a hearing, can accept or reject the appeal by a written order stating the reasons, and informing the applicant about the same. It can order the public servant to provide the service to the applicant. The citizen can file another appeal to the Second Appellate Authority (if the first application is rejected). This Act is a tool to ensure that the government department is held accountable for its actions and faces a penalty on failing to provide services to the citizens.

In this session, we will learn about the Public Service Delivery Act.

Session 3: Objective

- To understand the provisions of the Public Service Delivery Act.

Design of the Session

The session begins with a presentation on Public Service Delivery Law and its provisions, and ends with discussion and clarification of doubts.

Instructions to the Trainer

- Refer to the presentation and briefly explain the provisions and procedure (how it works) of the Public Service Delivery Act

- Explain which department and services are covered, time period, process of appeal and penalty

- Distribute the handout

- Inform the participants about the table in the handout that gives the details on the number of services offered under relevant departments and penalties under the PDSA Act in 13 states of India.

Points for Discussion

a) What are the services covered under the Public Service Delivery Act in your State?

b) What is the process for getting your grievance addressed under the Public Service Guarantee Act?

Expected Outcome

By the end of the session, the participants will be able to apply the learning/knowledge of Public Service Delivery Act to their work. For example, they will know which department and services come under the Public Service Delivery Act and how much penalty government officials need to pay for failure to provide specific services in their respective states.

Materials Required

- Laptop/connection for power point presentation
- Black/white boards with markers and chalk
- Printed copies of hand-out.

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DAY 5: FIELD VISIT-SOCIAL ACCOUNTABILITY

Session	Topic	Hours
1	Field Visit-Social Accountability	Full Day

Field visits help us to see and experience first-hand what we learn and discuss in classrooms. The application/operation of concepts, programmes and nature of governance can be better understood through field visits. Today we have an opportunity to get a first-hand experience of observing and learning about the principle of social accountability in public institutions. It is the first field visit in our 30-day training schedule and hence we will pay more attention to the instructions for self-conduct in field visit. We will discuss the same in a while.

Let us quickly revise the principles of social accountability from Day 4 – Jankari, Bhagidari, Karyawahi, Suraksha, Sunwai, Janta ka Manch and Prasar.

For this exercise you will be divided into four groups and will visit one public institution each such as Primary Health Centre, Public Distribution Shop, Block Office and School. In each of these institutions, you will try to observe and understand how the principles of social accountability apply. Remember the group activity we did yesterday, where we discussed the presence and manifestation of the principles of social accountability in these very public institutions. By the end of the field visit, we will have first-hand experience on which principles are present and missing, and the extent of this, in the public institution each group visits. We will also discuss what is required to make each public institution work on the principles of social accountability.

We will conclude day 5 of the training by returning to the classroom and discussing our observations and reflections from the field visit.

Session: Objective

- To experience the applicability of principles of social accountability in public institutions.

Design of the Session

Day 5 of the training will begin with instructions for the field visit. The participants will be divided into four groups with each being allotted one public institution. Each group will visit the allotted public institution and observe and interact with the government officials there and if possible with the beneficiaries. Each group needs to record their observations, clarify doubts, and ask questions during the time allotted for interaction with the government employees. The training session will end with all participants returning to the classroom and discussing their reflections on the visit. The facilitator would discuss their doubts and provide clarifications in this session at the end of the day.

Instructions to the Lead Course Coordinator

- Give field visit instructions to the participants
- Divide the participants into 4 groups for the exercise (into the same group as during the Session 1 yesterday- Principles of Social Accountability)
- Allot each group one public institution (Primary Health Centre, Public Distribution Shop, Block Office and School)

- Take examples from yesterday's session 1 and remind them about a specific principle they had discussed.

Example 1: Remind them about the Jankari principle
Do the school premises have displayed information about the number of students enrolled, number of boys and girls, number of teachers, percentage of students from poor communities, mid-day meal information, scholarships for Muslim, SC/ST & OBC students and others? Ask: Where do they think you can find such information in the school? Is the displayed information up-to date? Remind them about the principle of information.
Example 2: Remind them about the Sunwai principle
Ask: If the quality of the grain/food items provided at a PDS shop were inferior, where would you go to complain? Is there a designated officer for addressing grievances?
Example 3: Remind them about Karyawahi principle
Ask: If there are not adequate number of toilets in the school, after the complaint has been made, what actions have the school authorities taken?
Example 4: Remind them about Bhagidari principle
Ask: Are the community members visiting their block office and interacting with BDO? Are community members engaged in making village development plan?
Example 5: Remind them about Suraksha principle
Ask: Is there a safe environment to register complaints about non-functioning of the PHC/PDS shop? Whether the complainant receives threats or in danger of his life after registering the complaint?
Example 6: Remind them of the principle Janta ka Manch
Ask: If the grains/food items do not reach the PDS shop or the quality is inferior, what would help- if the individual goes alone or all the aggrieved community members go and address this?

- Ask them to observe carefully, interact with the government employees and beneficiaries
- In the allotted time, ask questions and clarify doubts in each of the public institutions
- Ask them to make note of their observations.

Classroom discussion: After the field visit and on returning to the classroom, encourage them to share their observations and ask questions

- Each group could briefly discuss among themselves and then share their reflections, questions and observations.

• Give adequate response and feedback to the sharing by each group.

Points for Discussion

a) Which principles were present or absent in each of the public institutions?

b) Give an example of a successful operationalisation/application of any of the principles in the public institution. For example: Updated public display of information (timings, display of boards about different ward and specialty unit in a PHC and others. Application of the principle of Jankaari)

c) Give an example of a principle that is absent in the public institution. For example, there is no designated person to address peoples' grievances, or absence of information on what is the process for filing a complaint. (Non-application of the principle of Sunwai)

d) What are the steps that need to be taken to ensure the operationalisation/application of the principles in the public institutions? (Emphasis on problem-solving)

• Summarise the learning from the field visit.

Field visit instructions for the participants (Lead Course Coordinator will tell the participants)

a) During the field visit, sometime will be allotted to meet and interact with the officials of the public institution. The queries and doubts need to be raised during that allotted time only

b) The purpose of the visit is to observe and learn and not to scrutinise and give feedback on the functioning of the public institution

c) It is crucial to be respectful and not disturb the working of the offices

d) You are not allowed to take pictures and videos during the field visit

e) Interact with the beneficiaries present in the offices in an informal and non-threatening way

f) Please do not give any promises or hopes with regards to completion of their work

g) If you face any difficulty, please inform and speak to the team coordinator.

Expected Outcome of the Field Visit

By the end of the field visit, the participants will have first-hand experience of studying which principles are present and missing in the public institutions. They would have insights/suggestions on how the principles of social accountability could be applied to improve the functioning of public institutions.

Materials Required

• Note-pad

• Pens

• Water bottle

• Black/white boards with markers and chalk

• Selection of GP, Block, School, PHC for the exercise

DAY 6: SOCIAL AUDIT

Session	Topic	Hours
1	Tools of Social Accountability	1 hour
2	Public Hearing (Jan Sunwai)	3 hours
3	Concurrent Social Audit	1 hour
4	The Office of the Comptroller and Auditor General of India (CAG)	1 hour

Day 6/Session 1: Tools of Social Accountability (1 Hour)

The training programme schedule shows that you have had a detailed session on principles of social accountability, followed by a field visit to various public institutions. Also in other sessions you have discussed accountability legislations such as RTI and Public Service Delivery Act. Today we will briefly discuss a few other tools of accountability including Citizens' Charter, Citizens' Report Card and Participatory Budgeting.

Citizens' Charter: The Citizens' Charter is a document which systematically provides information to citizens on the standard of services, quality, grievance redressal mechanism, accessibility and non-discrimination and other aspects. It aims to improve the quality of services by publishing standards, which users can expect for each service they receive from the government. It is a tool for ensuring the delivery of services to citizens with specified standards, quality and time frame.

A Citizens' Charter would mostly have the following information for the citizens:

- Service entitlements they have as users of a public service
- Standards they can expect for a service (time frame and quality)
- Remedies available for non-adherence to standards
- Procedures, costs and charges of a service

Under MGNREGA, the Citizens' Charter shall cover all aspects of the duties of Panchayats and officials under the Act. It should describe the specific steps involved in implementing the provisions of the Act, and lay down the minimum service levels mandated by these provisions on the Panchayats and the officers concerned.

Citizens' Report Card (CRC): CRC is a simple but powerful tool where citizens collectively write a detailed report reviewing and giving feedback in terms of scores on the quality of services provided by the government. Through giving scores they appreciate or demand for improving the quality of services. It is a detailed feedback given by the citizens to the departments/agencies providing services to them.

CRC covers the following themes in the delivery of public services:
- Access to services
- Quality and reliability of services

- Problems encountered by users of services and responsiveness of service providers in addressing these problems
- Transparency in service provisions like disclosure of service quality standards and norms
- Costs incurred in using a service including hidden costs such as bribes.

Participatory Budgeting: It is a democratic process where the public actively engages with government machinery and decides on how to spend a part of the public budget. Broadly defined it is a mechanism or process through which citizens participate directly in different phases of the budget formulation, decision-making, and monitoring of budget execution.

Session 1: Objective

- For participants to understand three accountability tools - Citizens' Charter, Citizens' Report Card and Participatory Budgeting.

Design of the Session

The session will begin with a presentation on the three accountability tools viz. Citizens' Charter, Citizens' Report Card and Participatory Budgeting. This will be followed by discussion on each of the tools. Doubts will be clarified at the end of the session.

Instructions to the Trainer

- Refer to the presentation
- Explain each tool.

Points for Discussion

- Ask them which of the above tools is most relevant to their work
- Ask them if they know of any of these tools being practiced in their respective States
- Share examples where one of these tools is practiced in India. Two are given below:

Pune's Experience with Participatory Budgeting

Participatory budgeting was initiated in Pune in the year 2006 under the leadership of Dr. Nitin Kareer, the then Commissioner of Pune Municipal Corporation. Dr. Nitin Kareer along with Janwani and Centre for Environment Education (CEE) created a basic procedure to carry out the process of Participatory Budgeting in Pune. In slums of Pune, the first trial of participatory budgeting was undertaken and a report of the same was submitted to the Pune Municipal Corporation. Although the report was rejected, it led to a movement and wave in favour of participatory budgeting. In 2007, the State government formalised participatory budgeting and accepted it.

Currently under participatory budgeting in Pune, each Prabhag (comprising two electoral wards) is allocated a budget of 50 lacs with the maximum limit of a single project not exceeding ₹5 lacs. Each prabhag can implement any number of projects but the total amount cannot exceed ₹50 lacs and cost of each project cannot exceed ₹5 lacs. A total of ₹38 crores were allocated for 76 prabhags towards participatory budgeting.

Citizens' Report Cards, the Bangalore Experience

(Source: Manual on Social Accountability: Concepts & Tools- 2012, Centre for Budget and Governance Accountability)

The report card on public services was conceptualised by Public Affairs Centre (PAC) in the light of poor public service delivery by government agencies in Bangalore. The civic group had no control over the service delivery of the institutions and decided that the best way to initiate a debate on the issue was to ask users/beneficiaries for feedback on their experiences with the services. PAC started the exercise by asking beneficiaries to rate public service institutions that they were in direct contact with. Respondents were asked questions regarding various aspects of a particular service (like behaviour of staff, quality of service), and to grade these. The outcome was aggregated data, a product of collective assessment of various public services in the city, and this was shared with the heads of agencies surveyed. The findings were also extensively publicised in the media.

The survey led to better public service delivery due to the public pressure mounted on various agencies and the people of the city realised the importance of their feedback in improving social service delivery.

- Ask the participants to give an example of how the learning from the session will aid their work.

Expected Outcome

By the end of the session, the participants will have more detailed understanding of social accountability and will know about various other tools of social accountability. They might also see which of these tools is most applicable to their work setting.

Materials Required

- Laptop/connection for power point presentation
- Black/white boards with markers and chalk.

Day 6/Session 2: Public Hearing – Jan Sunwai (3 hours)

In this session, we will look at the history of public hearings, its impact, and how more than two decades of people's movements have sustained the momentum for ensuring transparency and accountability in government policies and programmes.

Public hearing refers to any forum in which members of the public are invited to express their views about specific issues, programmes or policies affecting their lives. In India, environmental clearance of large development project requires that public hearing or consultations be held during the impact assessment stage. The objective of public hearings is to obtain people's testimonies about development problems or issues and to use these to counter or improve official positions or action about specific social problems or programmes. Public hearings are also used to raise citizens' concerns about possible risks from government policy or action.

Jan Sunwai (public hearing) has been institutionalised by the activism of grassroots organisations in India. In this context, public hearings can be viewed as a forum where accounts of public expenditures on development works in a village are accessed, collated, and distributed among villagers. On the day of the public hearing, a group of citizens is invited to chair the hearing. The media, government officials, local elected representatives, and all residents of the area are invited to attend the hearing. A formal discussion is held on each of the projects and development expenditures involving the village beneficiaries and the officials. A Jan Sunwai can prove to be extremely successful in allowing villagers to articulate their problems, with the support of evidence. It builds confidence among the beneficiaries and is a platform for the government bodies to take corrective measures and build faith of the public in local governance.

It will help appreciate the relevance of public hearings by understanding the context of its genesis and its effectiveness in the State of Rajasthan. A grassroots organisation spearheaded the Right to Information movement in Rajasthan and later in the rest of the country. This organisation worked extensively on using the Right to Information as a tool to draw attention to the underpayment of daily wage earners and farmers on government projects. They highlighted the malfunctioning and corrupt practices in government expenditure. Initially they lobbied with government to obtain information such as muster rolls (employment and payment records) and bills and vouchers relating to purchase and transportation of materials. This information was then cross-checked using Jan Sunwai against actual testimonies of workers. The public hearings were very successful in drawing attention to corruption and exposing leakages in the system. They were particularly significant because of their use of hard documentary evidence to support the claims of villagers.

Session 2: Objectives

- To understand the history of public audit in India
- To understand the role of Jan Sunwai in public audit.

Design of the Session

The session begins with a presentation on public hearing. The emphasis of the session is on understanding the history and relevance of civil society organisations undertaking public hearings. The presentation will end with a discussion and clarifications on various aspects of public hearing. Two films will be screened after the presentation and each will be followed by a discussion on the theme. In the end, the trainer will answer questions and provide clarifications to the participants.

Instructions to the Trainer

- Discuss the presentation on public hearing.

Activity 1: Show the first film: 'The Right to Know, the Right to Live'

Film Summary: It is a documentary on the right-to-information campaign in India and the experiences and struggles of the grassroots organisation working in Rajasthan in ensuring social justice and bringing accountability in government programmes. The documentary shows how public hearing in Rajasthan generated evidence of corrupt practices in public works, and how through Jan Sunwais, the corrupt practices were highlighted with the department concerned being held accountable for their actions.

Discuss the key features of the documentary:-

- What made Jan Sunwais work and forced the government to rectify their mistakes?
- What do we learn about collective efforts and mobilisation of people?
- Ask the participants about their main learning from the documentary.

Activity 2: Show the second film: 'Accounts and Accountability'

Film Summary: The film documents the power of ordinary people to affect revolutionary change. It shows how a group of villagers in Rajasthan led by an activist, use the Right to Information Act as a powerful weapon to root out corruption.

Discuss the key features of the film and:-

- How will RTI aid their work?
- Their key learnings from the documentary.

Points for discussion

- Revise with them the journey of the people's movement building momentum, and the passing of RTI Act
- Highlight the role that the government department plays during and after the Jan Sunwai
- Ask them one learning from the session that they could apply to their work
- Ask them which film they liked and the reason for their answer.

Expected Outcome

Participants will understand the role of public and civil society in holding the government accountable for its action and also understand how (through Jan Sunwai, Public Audit) they would do so.

Materials Required

- Projector for a movie
- Movie screen
- Laptop/connection for power point presentation
- Black/white boards with markers and chalk.

Day 6/Session 3: Concurrent Social Audit (1 Hour)

The trainer for this session will be a representative from MoRD.

Concurrent Social Audit refers to social audits that are conducted on a frequent and sometimes daily basis as a social programme is being implemented. The results are later collated to obtain an understanding about the nature and outcome of the programme implementation. The objective of concurrent audit is to ensure continuous monitoring of a programme, encourage vigilance by members of the public, and initiate immediate action by the government in case of malpractices.

The Operational Guidelines of MGNREGA state that the Vigilance Monitoring Committee should act as a forum for concurrent social audit and

- Concurrent Social Audit shall be done for all works every month
- PO is to make available free of cost: details of work done, expenditure made during past one month to Bharat Nirman Volunteers, Village Social Auditors, SHGs, Youth Organisations etc. for verification and reporting of deviations.

In Andhra Pradesh, the model of concurrent social audit was tested for the first time. The State government encouraged the SIRD to train the Village Resource Persons (VRPs) in undertaking weekly and monthly social audits. The focus was to take periodic and timely stock of various public works and schemes rather than undertaking one social audit towards the end of the programme or work. It would help to bring about corrective measures while the programme is still in operation. Concurrent Social Audit is still in its nascent stages of development and has not been so far operationalised or developed enough to have a model of reference for understanding it.

Session 3: Objective

- To understand the concept of concurrent social audit.

Design of the Session

The session begins with a presentation on Concurrent Social Audit, followed by discussion and clarification of doubts.

Materials Required

- Laptop/connection for power point presentation
- Black/white boards with markers and chalk.

Day 6/ Session 4: The Office of the Comptroller and Auditor General of India (C&AG) (1 hour)

A representative from the Office of the Comptroller and Auditor General (CAG) will be taking this session.

In India, the Comptroller and Auditor General (CAG) audits the government's financial performance. Every year, the CAG submits a detailed report relating to central government's accounts, spending of public money and the performance of public sector undertakings to the President of India.This report is then presented to Parliament, where it is discussed. This ensures that the government is held responsible and is taken to task for any lapses or corrupt practices.

Similarly for the States, the CAG submits a report on the accounts, spending decisions and performance of public sector units to the respective Governors. This is then tabled in the respective legislatures for debate.The reports of the CAG contain objections and remarks over errors committed by government authorities while spending money during a given financial year. Non-spending, under-spending, overspending and wasteful spending of allocated funds are pointed out in clear terms in the report. Thus the CAG undertakes the important responsibility of investigating whether the central and State governments have followed the norms of public spending or not.

(More on this in terms of CAG's operational procedure and CAG's structure will be discussed in the presentation.)

Session 4: Objective

- To understand the mandate, function and types of audit undertaken by the CAG
- To understand the space for social audit in the work of the CAG.

Design of the Session

The session begins with a presentation on the mandate, function and organisational structure of CAG. The presentation then highlights different types of audits. It is followed by a discussion.

Materials Required

- Laptop/connection for presentation
- Black/white boards with markers and chalk.

DAY 7: ASSESSMENT 1

Session	Topic	Hours
1	Assessment 1	Full Day

A film-based test will be conducted on day 7 of the Training Programme. Total marks allocated to the test will be 20. Participants will watch the film on the first half of the day. After lunch they would have to write a test based on the film. (For details see Course Assessment Section of the Manual, p.244)

Outline

The film would enable participants to identify and reflect aspects of rural development, and scope for connecting with principles of social accountability. When watching the film, the participants would be told to note significant aspects. The written test in the afternoon will comprise 4 questions, each carrying 5 marks.

Criteria for Grading

- Completeness of the answer
- Clarity of explanation
- Demonstration of application of concepts to the context and issues in the film.

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MGNREGA worksite Jhoota, Block – Rajpur, District – Pali, Rajasthan, 2013. Photo Credit : Digvijay

DAY 8: MGNREGA

Session	Topic	Hours
1	MGNREGA, MGNREGS and Entitlements	3 hours
2	MGNREGS - Work Flow, Key Documents	3 hours

Day 8/Session 1: MGNREGA and Entitlements (3 Hours)

The Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA) was enacted in 2005 to reinforce the State's commitment towards livelihood security in rural areas. It aims to do so by providing at least 100 days of guaranteed wage employment in a financial year to every household whose adult members volunteer to do unskilled manual work. The suggested work under the Act focuses on building rural assets and also addressing situations such as drought, deforestation and soil erosion in the rural areas.

Unlike the earlier wage employment programmes that were allocation-based, MGNREGA is demand-driven and the resource transfer from the centre to the States is based on the demand for employment in each State. This provides an additional incentive for the States to leverage the Act to meet the employment needs of the poor.

In 2006 the MGNREGS was launched in 200 select districts and was extended to 130 additional districts during 2007-08. From 2008, all rural areas in the country were covered under the Act.

MGNREGA is a powerful instrument for ensuring inclusive growth in rural India through its impact on social protection, livelihood security and democratic empowerment.

The specific goals are to:

- Protect the most vulnerable people living in rural India by guaranteeing wage employment opportunities
- Enhance livelihood security of the rural poor through generation of wage employment opportunities in works leading to creation of durable assets
- Rejuvenate the natural resource base of rural areas
- Create a productive asset base
- Stimulate the local economy for providing wage employment
- Empower the socially disadvantaged, especially, women, Scheduled Castes (SCs) and Schedules Tribes (STs), through the processes of a rights-based legislation
- Strengthen decentralised, participatory planning through convergence of various anti-poverty and livelihoods initiatives
- Deepen democracy at the grassroots by strengthening PRIs.

Key features and process for getting employment under the programme

- Adult members of a rural household, willing to do unskilled manual work need to apply for registration in writing or orally to the local Gram Panchayat

- The Gram Panchayat after due verification will issue a Job Card to the applicant

- The Job Card shall bear the photograph of all adult members of the household willing to work under NREGA. The Job card is free of cost. It should be issued within 15 days of application

- The Job Card holder may submit a written application for employment to the Gram Panchayat, stating the time and duration for which work is sought. The minimum period of employment should be 14 days

- The Gram Panchayat has to issue a dated receipt of the written application for employment, against which it has to guarantee providing employment to the applicant within the next 15 days

- Wages are to be paid according to minimum wages as prescribed under the Minimum Wages Act ,1948 for agricultural labourers in the State, unless the Centre notifies a wage rate which will not be less than ₹60 per day

- Disbursement of wages has to be done on weekly basis and not beyond a fortnight

- PRIs have a principal role in planning and implementation

- Employment has to be given within 15 days of application for work. If it is not given, a daily unemployment allowance has to be paid to the applicant, as per the Act. The liability of payment of unemployment allowance lies with the State government

- Work should ordinarily be provided within a 5 km radius of the village. In case work is provided beyond 5 km, extra wages of 10 per cent are payable to meet additional transportation and living expenses

- At least one-third of the beneficiaries have to be women who have registered and requested for work under the scheme.The work site facilities should have facilities including cre`che, drinking water, shade, medical kit and others.

Main Entitlements under MGNREGA

- Right to get a job card
- Right to demand and receive work within 15 days
- Right to unemployment allowance
- Right to prepare shelf of project
- Right to obtain work within a radius of 5 km
- Right to work site facilities
- Right to notified wage rates and right to receive wage within 15 days
- Right to compensation for delay in payment of wages
- Right to time bound redress of grievances
- Right to conduct concurrent social audit and social audit

Division of sharing of expenditure for MGNREGA between States and Central Government

The central government incurs the following costs:

- Entire cost of wages of unskilled manual workers
- 75 per cent of the cost of material

- Up to 6 per cent of expenditure as administrative expenses.

The State government incurs the following costs:

- 25 per cent of the cost of material
- Employment over 100 days
- Wages above Notified Wage rate
- Unemployment Allowance
- Expenses of State Employment Guarantee Council (SEGC)
- Penalty on delayed payment.

Different categories of work under MGNREGA (Taken from MGNREGA Operational Guidelines-2013)

Permissible Works: Paragraph 4(1) of Schedule I provide provision for the following works:

I. Category A: Public Works Relating to Natural Resources Management

(i) Water conservation and water harvesting structures to augment and improve groundwater like underground dykes, earthen dams, stop dams, check dams with special focus on recharging groundwater including drinking water sources

(ii) Watershed management works such as contour trenches, terracing, contour bunds, boulder checks, gabion structures and spring shed development resulting in a comprehensive treatment of a watershed

(iii) Micro and minor irrigation works and creation, renovation and maintenance of irrigation canals and drains

(iv) Renovation of traditional water bodies including desilting of irrigation tanks and other water bodies

(v) Afforestation, tree plantation and horticulture in common and forest lands, road margins, canal bunds, tank foreshores and coastal belts duly providing right to usufruct to the households covered in Paragraph 5 of Schedule I; and

(vi) Land development works in common land.

II. Category B: Individual Assets for Vulnerable Sections (Only for Households in Paragraph 5 of Schedule I)

(i) Improving productivity of lands of households specified in Paragraph5 through land development and by providing suitable infrastructure for irrigation including dug wells, farm ponds and other water harvesting structures

(ii) Improving livelihoods through horticulture, sericulture, plantation, and farm forestry

(iii) Development of fallow or wastelands of households defined in Paragraph 5 to bring it under cultivation

(iv) Unskilled wage component in construction of houses sanctioned under Indira Awaas Yojana or such other State or Central Government Schemes

(v) Creating infrastructure for promotion of livestock such as, poultry shelter, goat shelter, piggery shelter, cattle shelter and fodder troughs for cattle; and

(vi) Creating infrastructure for promotion of fisheries such as fish drying yards, storage facilities, and promotion of fisheries in seasonal water bodies on public land.

III. Category C: Common Infrastructure for NRLM Compliant Self-Help Groups

(i) Works for promoting agricultural productivity by creating durable infrastructure required for bio-fertilisers and post-harvest facilities including pucca storage facilities for agricultural produce; and

(ii) Common worksheds for livelihood activities of self-help groups.

IV. Category D: Rural Infrastructure

(i) Rural sanitation related works such as individual household latrines, school toilet units, Anganwadi toilets either independently or in convergence with schemes of other Government Departments to achieve 'open defecation free' status, and solid and liquid waste management as per prescribed norms

(ii) Providing all-weather rural road connectivity to unconnected villages and to connect identified rural production centres to the existing pucca road network; and construction of pucca internal roads or streets including side drains and culverts within a village

(iii) Construction of play fields

(iv) Works for improving disaster preparedness or restoration of roads or restoration of other essential public infrastructure including flood control and protection works, providing drainage in water-logged areas, deepening and repairing of flood channels, chaur renovation, construction of storm water drains for coastal protection

(v) Construction of buildings for Gram Panchayats, federations of women's self-help groups, cyclone shelters, Anganwadi centres, village haats and crematoria at the village or block level

(vi) Construction of Food Grain Storage Structures for implementing the provisions of the National Food Security Act 2013 (20 of 2013)

(vii) Production of building material required for construction works under the Act

(viii) Maintenance of rural public assets created under the Act; and

(ix) Any other work which may be notified by the Central Government in consultation with the State Government in this regard.

Structure of MGNREGA

The Ministry of Rural Development is the nodal Ministry for the implementation of MGREGA. It is responsible for ensuring timely and adequate resource support to the States and to the Central Council. It has to undertake regular review, monitoring and evaluation of processes and outcomes. It is responsible for maintaining and operating the MIS to capture and track data on critical aspects of implementation, and assessing the utilisation of resources through a set of performance indicators.It is to support innovations that help in improving processes towards the achievement of the objectives of the Act.

A Central Employment Guarantee Council (or the 'Central Council') has been set up under the chairmanship of the Minister of Rural Development. The Central Council is responsible for advising the Central Government on MGNREG Arelated matters, and for monitoring and evaluating the implementation of the Act. It prepares Annual Reports on the implementation of MGNREGA for submission to Parliament.

The Panchayats at district, intermediate and village levels are the principal authorities for planning and implementation of the Schemes made under this Act. Key stakeholders include wage seekers, Gram Sabha, PRIs especially the Gram Panchayats, Programme Officer at the block level, District Programme Coordinator, State Governments and MoRD.

The basic unit of implementation is the Block. In each Block, a 'Programme Officer' will be in charge. The Programme Officer is supposed to be an officer of rank no less than the Block Development Officer (BDO), paid by the Central Government, and with the implementation of NREGS as his or her sole responsibility. The Programme Officer is accountable to the 'Intermediate Panchayat' as well as to the District Coordinator.

The Gram Panchayat has the key role in the implementation of MGNREGA. Some key responsibilities include:

a) Receiving applications for registration

b) Verifying registration applications

c) Registering households

d) Issuing Job Cards (JCs)

e) Receiving applications for work

f) Issuing dated receipts for applications for work

g) Allotting work within fifteen days of submitting the application or from the date when work is sought in the case of an advance application, irrespective of the implementing agency

h) Conducting periodical surveys to assess demand for and quantum of work

i) Identification and planning of works, developing shelf of projects, ratification and prioritisation of projects as decided by the Gram Sabha

j) Executing works that meet the required technical standards and measurements

k) Maintaining records as specified

l) Maintaining accounts and providing utilisation certificates in formats prescribed by Central/ State Government

m) Preparing annual report containing the facts and figures and achievements

n) Awareness generation and social mobilisation

o) Convening the Gram Sabha for planning and social audit

p) Making 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 GS for the purpose of conducting the social audit

q) Monitoring implementation at the village level

r) Pro-actively disclosing:details of works, both completed and on-going (including wages paid and material component) at worksites and names of persons (with JC numbers) who have worked,

days worked and wages paid to them, quantity and price of materials purchased for each project along with name of agency which supplied the material, at GP offices and other prominent public places

s) Organising Rozgar Diwas at least once a month

t) Supporting the formation of Labour Groups

u) Sending monthly report on complaints received and disposed, to the Programme Officer.

There is a lot more to MGNREGA than what we have discussed so far. Some other features of MGNREGA including the Management Information System (MIS), transparency and accountability measures, the key functionaries and technical aspects of the MGNREGA will be discussed in subsequent sessions. The Act includes various provisions for transparency and accountability, such as regular social audits by the Gram Sabhas, mandatory disclosure of muster rolls, public accessibility of all documents, regular maintenance of job cards and others. This will also be discussed on subsequent days.

Session 1: Objectives

• To understand the Act and ten entitlements under MGNREGA

• To understand the functions and operational structure of MGNREGA.

Design of the Session

The session starts with the presentation that is followed by a discussion. The participants will be shown an animation film on MGNREGA that will help them to revise the basic components of the law. The session will end with a discussion.

Instructions to the Trainer

• Start with the presentation on MGNREGA entitlements and operational structure

• Answer queries of the participants

• Show the animation film on MGNREGA

Film Summary: The short two and a half minute animation movie provides an overview of entitlements under MGNREGA. The parrot and a male protagonist explain very simply, the rights of the unskilled workers and key features of MGNREGA

• Initiate a discussion on the film. The following could be discussed:

a. What is the person saying about job card?

b. What is the person talking about visiting the bank and post office by himself?

c. What is the importance of the parrot saying that unskilled labour will get work within 5 km of your village?

d. Who could be the "bicholiyas" mentioned?

• Ask the participants to go through the handout on various documents that could be found at Gram Panchayat office, with the worker and in the work file. These key documents will be discussed at length in the next session. Do try to briefly explain these to the participants

• Ask the participants to go through the handout on slogans (naaras). This will give them the essence of the entitlements and accountability under MGNREGA

- To supplement the participants' understanding on MGNREGA, there are various handouts including FAQs and Primer on MGNREGA, Barefoot Technical Handbook, and pictorial representation of entitlements and rights under MGNREGA. Most of these handouts are in Hindi and English. Please briefly explain each handout to the participants so that they can read them later.

Points for Discussion

a) What makes MGNREGA a very important employment guarantee programme?

b) What are the obstacles in your village for availing employment under MGNREGA?

c) What are the workers' entitlements under MGNREGA?

d) Could one of you summarise the topics we have discussed under MGNREGA today?

e) What kinds of work are being undertaken in your villages under MGNREGA? Do they come under the permissible works category?

Expected Outcome

By the end of the session the participants will have a deeper understanding of the entitlements and framework of MGNREGA.

Materials Required

- Laptop/connection for power point presentation
- Black/white boards with markers and chalk
- Projector for a movie
- Movie Screen.

Day 8/Session 2: MGNREGA- Work Flow and Key Documents (3 hours)

In the earlier session we have discussed some key features of MGNREGA. We will devote three hours again to understand the remaining features of the programme and the Act. We will look at the work flow under MGNREGA, roles and responsibilities of officials, and will closely examine all the work related documents and get familiar with these.

Roles and responsibilities of the officials (Refer to handout for details)

At the **Gram Panchayat level,** the two key officials are the **Mate and the Gram Rojgar Sewak (GRS).**

a)   The major responsibilities of the **Mate** are as follows:

- Supervises worksites

- Updates entries in the job cards

- Maintains measurement book at worksite

- Distributes pay slips to workers along with GRS

- Maintains measurement book at worksite

- Takes daily attendance on muster-rolls at the worksite and submits filled muster rolls to GRS.

b)   The major responsibilities of the **Gram Rojgar Sewak (GRS)** are as follows:

- Oversees the process of registration

- Distributes job card

- Provides the receipt against job application

- Maintains all MGNREGS related registers at GP level

- Facilitates the Gram Sabha meeting for planning of MGNREGA works

- Facilitates the Social Audit meeting.

At the block level, the key officials are the **Technical Assistant and Programme Officer.**

c)   The major responsibilities of the **Technical Assistant** are as follows:

- Identifies works as per GP resolution

- Builds technical capacities of Mate and GRS

- Validates the measurements taken by Mate.

d)   The major responsibilities of the **Programme Officer** are as follows:

- Assists Panchayat in decentralised planning

- Oversees implementation and monitoring of MGNREGA

- Maintains proper accounts of the resources received, released and utilised.

e)   The major responsibilities of the **District Programme Officer (DPC)** are as follows:

- Accords timely sanction of shelf of project

- Ensures that wage seekers are provided works as per Act

- Conducts periodic supervision of works.

There are other officials at the village, block and district level and the handout on the Institutional Structure gives a detailed enumeration of their roles and responsibilities. Some of these include the National Management Team, State Employment Guarantee Mission and Management Team, District Level Technical Committee, Additional Programme Coordinator, Computer Operators and others.

Work Flow of MGNREGA
(Source: MGNREGA website)
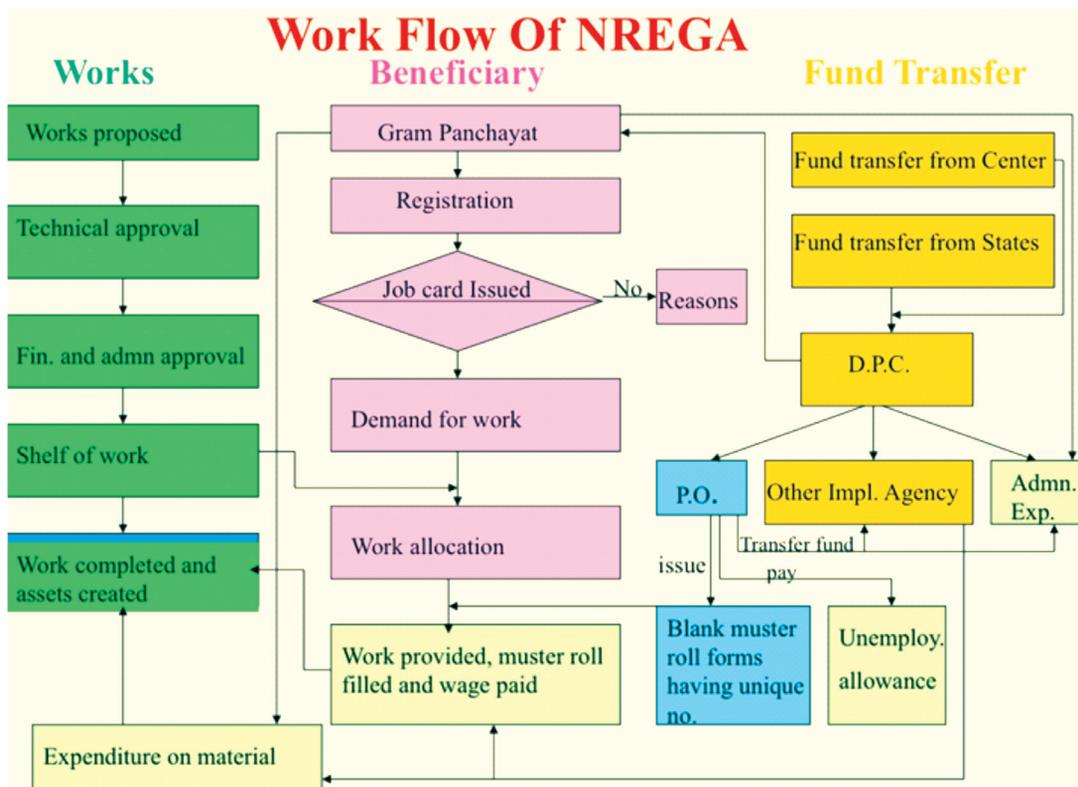
Workflow: Gram Panchayat

Work Flow at Gram panchayat
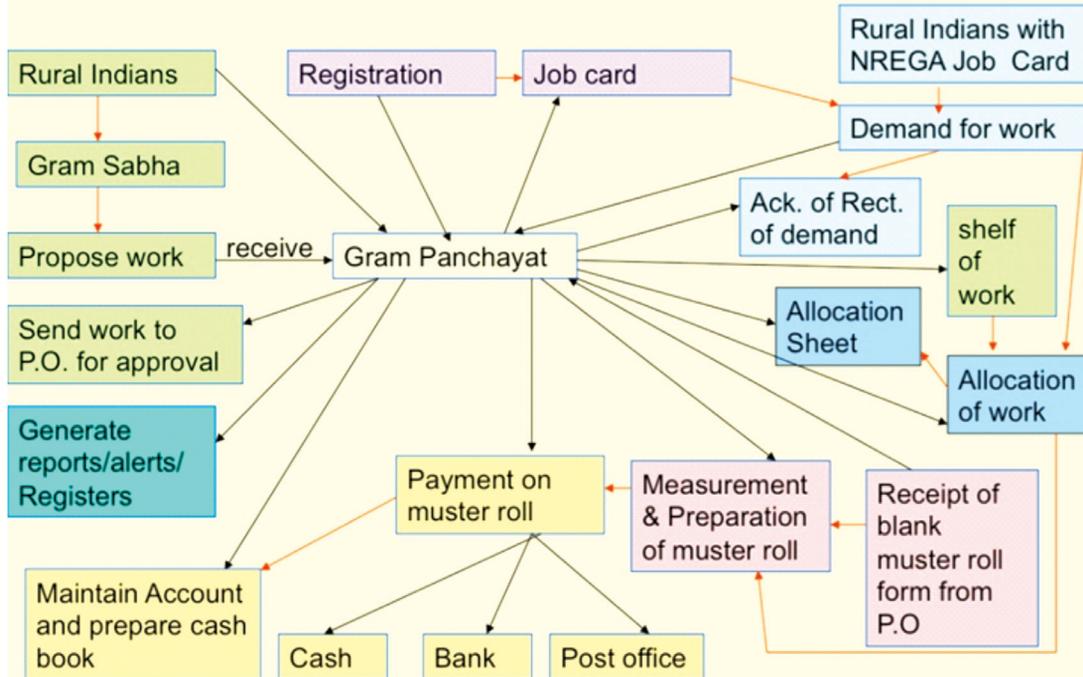
Workflow: Programme Officer

Work Flow at Programme officer
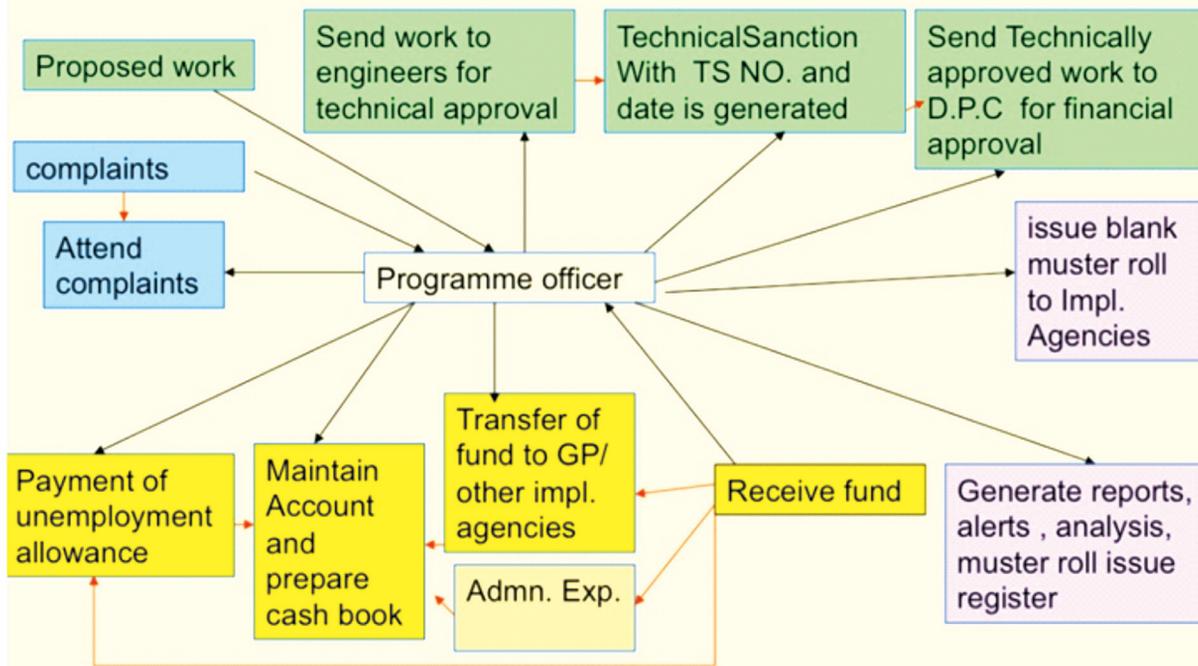
Work Flow at D.P.C. Level
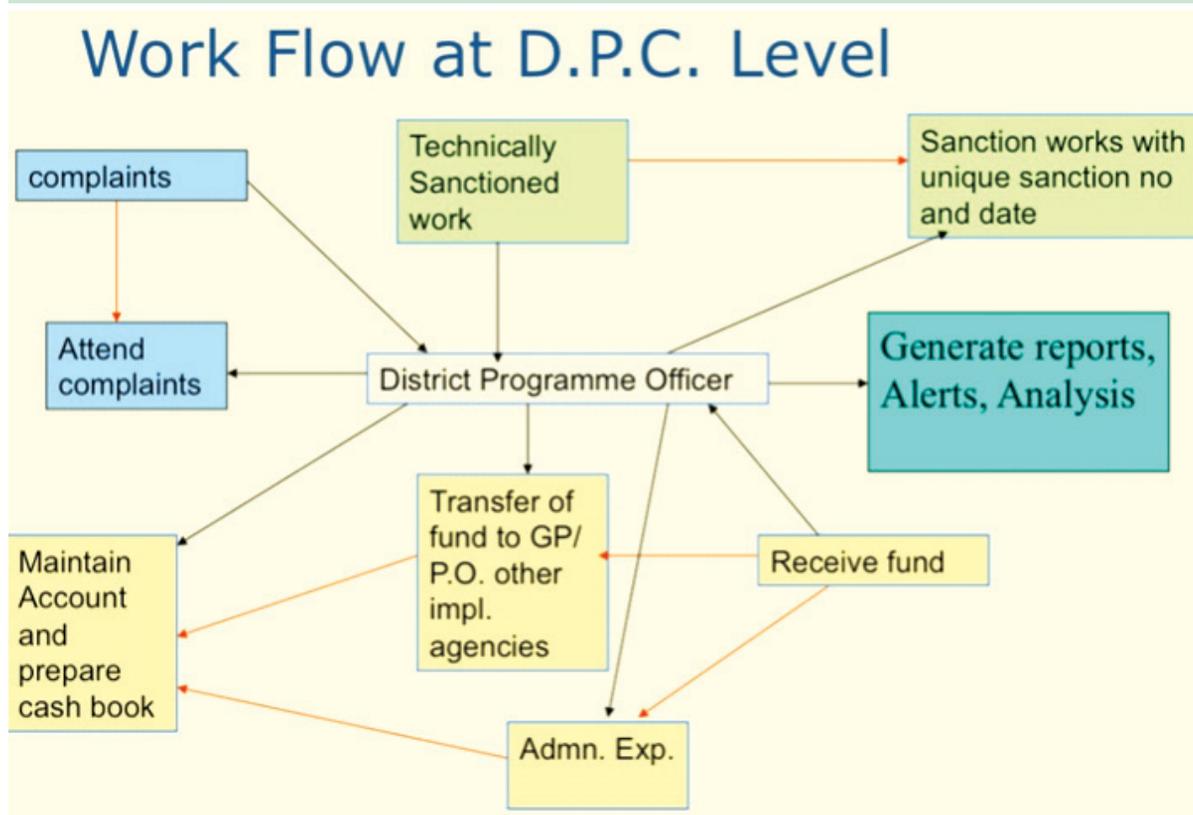
Key documents in MGNREGA (Refer to the handout): Most of the States have these documents; in some States they may vary.

a) Workers' documents

- **Job Card:** The Gram Panchayat issues job card to any household demanding it. The job card is used to make entries of each and every time a job cardholder works in a MGNREGA worksite. The wages paid to the job cardholders for their work are entered along with number of days worked

- **Bank Pass Book:** Each job cardholder must have a bank account passbook.

b) Work-file documents

- **Gram Sabha Proposal for Proposed Work:** The gram sabha register is the mandatory register maintained to document the proceedings of the gram sabha. This register will include name of works approved by the gram sabha

- **Shelf of Works:** Prioritised and Approved (administrative and technical) list of MGNREGA works that are to be taken up by the gram panchayat

- **Work Estimate and Technical Sanction:** Each sanctioned work in the Panchayat must have a work estimate. This document gives an approximate of Material and Labour component that will be used in the work

- **Administrative and Financial Sanction:** Every work should receive administrative sanction from the DPC or concerned competent authority before it is started

- **Drawings, Maps and Site Map Location:** Each work must have a drawing of the asset and the patwari naksha/location map of the work
- **Nominal Muster Rolls (NMRs)/E-Muster Rolls:** The muster roll contains the name of the work and the period of the work. It has other details including the bank/PO account number, name of the bank/PO, name of the worker's village and individual's signature
- **Material Bills/Voucher:** These include bills of purchasing any kind of material used for works undertaken in that specific work
- **Photographs:** To be taken before, during, and after the work, and are to be attached in the work-file
- **Measurement Book:** At the end of every work week, the technical assistant should measure the work done and record it in the M-Book. The M-Book is the document where all the measurements and the amount of material used are filled every week
- **Stock Register:** This register has entries of all the stock that has been purchased by the Gram Panchayat in relation to MGNREGA works
- **Completion Certificate:** Certification of completion of work is given by the engineer.

c) Documents that are maintained by the GP Office:

- **Job Card Application Register:** It contains the name of the applicant, date of receipt of application and the details of job cards issued
- **Job Card Receipt Register:** It contains details about Job Cards received from the Block Office
- **Job Card Issue Register:** It contains details about all Job Cards issued by the Block to GPs
- **Employment Register:** It contains information on details of application for work, allotment of work, performance of work and the wages or unemployment allowance paid to the worker
- **Works Register:** It contains details of each work such as serial number, name and address of PIA, date on which work was started, its cost, location, completion date, expenditure incurred, date on which completion certificate was issued
- **Assets Register:** It contains details of the asset, its cost, location, current status, benefitsderivable and the details of works of MGNREGA in the GP
- **Complaint Register:** It contains the date of receipt of the complaint, the details of the complainant, the action taken on the complaint, response of complainant on Action Taken Report (ATR), and the date of final disposal
- **Material Procurement Register**: Information on details of material procured
- **Cash Book and Ledger:** All payments and receipts
- **Stock Register:** It contains details of all the receipts and issues of the stock items under MGNREGA
- **Monthly Allotment and Utilisation Certificate Watch Register:** It contains date-wise information on allotment, expenditure, balance available with the implementing agency and the details regarding submission and pendency of Utilisation Certificate.

Session 2: Objectives

- To understand the workflow in MGNREGA (starting from demand of a job card, till payment of wages and payment of compensation)
- To understand the roles and functions of the concerned officials

- To understand the documents required for social audit of MGNREGA.

Design of the Session

The session begins with a presentation on the roles and responsibilities of officials in MGNREGA. This is followed by a detailed discussion on workflow in MGNREGA (starting from demand of a job card, till payment of wages and payment of compensation). The latter part of the presentation is about the documents needed for undertaking social audits. This is followed by a group activity and a debriefing of the same. The session ends with a discussion.

Instructions to the Trainer

- Start with the presentation on the Institutional Structure and Roles and Responsibilities of the Officials
- Develop the session building on participants' prior knowledge of MGNREGA
- Explain the workflow under MGNREGA
- Explain the key documents needed for social auditing of MGNREGA. Distribute the handout with the picture and brief description of key documents
- Ask participants to spend some time in going through the handout of key documents in the class
- Group activity to practically learn the themes so far discussed in the class.

Activity 1

a) Divide the participants into three groups: unskilled labour, auditors, and MGNREGA village and block level officers

b) Distribute samples (handout) of the key documents discussed above to the participants

c) Tell each group to take only those documents that are needed for their assigned role. For example, an unskilled labourer will take the sample job card

d) Each group needs to discuss among themselves the relevance of each sample document they have picked up

e) Ask them to make a presentation on the document each group selected and how important it is in the implementation of MGNREGA

f) Spend more time in the presentation on the auditor group and go through each document that is needed in the work-file. (A list of documents needed in the work-file is mentioned above)

g) Give feedback on the presentation made

h) Ask them to create a work-file from the handouts that have been given to them

i) Go around the class and examine the content of the work-file of each group and give them feedback.

Points for Discussion

- Ask which documents were they familiar with before this session and which new document they have learnt about today
- What are the steps in getting the unemployment allowance?

- Which documents must be available at the Gram Panchayat?

- What is the relevance of maintaining up-to-date documents in MGNREGA? How does it ensure accountability?

- Ask if the roles of each government official are clear. Encourage them to go through the handouts on the same and ask questions in case they have any doubts.

Expected Outcome

By the end of the session, the participants will clearly understand the roles and responsibilities of officials at the village, block and district level. They will have a comprehensive list of key documents with them and will understand which documents are needed at various stages of implementing the MGNREGA. More importantly they will have will have learnt which documents go into the work-file.

Materials Required

- Printed copies of handouts (all original MGNREGA documents from a GP will be required)

- Laptop/connection for power point presentation

- Black/white boards with markers and chalk.

DAY 9: TECHNICAL ORIENTATION OF PERMISSIBLE WORKS IN MGNREGA

Session	Topic	Hours
1	Technical Orientation of Permissible Works in MGNREGA	Full Day

Trainer (Engineer): Yesterday in the first session, you have discussed the MGNREGA and permissible works under the Act. Today we will discuss some of the permissible work in depth. We will learn about the permissible work (what kind of work is to be carried out according to the MGNREGA) and basic technical inputs required in selection of work site, surveying, designing, planning, layout, execution, and maintenance of works. It is important to understand the technical nature of work to improve the quality and durability of the assets being created under MGNREGA.

Let us first look at types of permissible work. Paragraph 4 (1) of Schedule – I, MGNREGA, defines the following as permissible work:

I. Category A: Public works relating to natural resources management

i) Water conservation and water harvesting structures to augment and improve groundwater like underground dykes, earthen dams, stop dams, check dams with special focus on recharging ground water including drinking water sources

ii) Watershed management works such as contour trenches, terracing, contour bunds, boulder checks, gabion structures and spring shed development resulting in a comprehensive treatment of a watershed

iii) Micro and minor irrigation works and creation, renovation and maintenance of irrigation canals and drains

iv) Renovation of traditional water bodies including desilting of irrigation tanks and other water bodies

v) Afforestation, tree plantation and horticulture in common and forest lands, road margins, canal bunds, tank foreshores and coastal belts duly providing right to usufruct to the households covered

vi) Land development works in common land.

II. Category B: Community assets or individual assets for vulnerable sections (only for households in paragraph 5 of the Act)

i) Improving productivity of lands of households specified in Paragraph 5 through land development and by providing suitable infrastructure for irrigation including dug wells, farm ponds and other water harvesting structures

ii) Improving livelihoods through horticulture, sericulture, plantation, and farm forestry

iii) Development of fallow or wastelands of households defined in Paragraph 5 to bring it under cultivation

iv) Unskilled wage component in construction of houses sanctioned under Indira Awas Yojana or such other State or Central Government Schemes

v) Creating infrastructure for promotion of livestock such as poultry shelter, goat shelter, piggery shelter, cattle shelter and fodder troughs for cattle

vi) Creating infrastructure for promotion of fisheries such as fish drying yards, storage facilities, and promotion of fisheries in seasonal water bodies on public land.

III. Category C: Common infrastructure including for NRLM compliant self-help groups

i) Works for promoting agricultural productivity by creating durable infrastructure required for bio-fertilizers and post-harvest facilities including storage facilities for agricultural produce

ii) Common work-sheds for livelihood activities of self-help groups.

IV. Category D: Rural infrastructure

i) Rural sanitation related works, such as individual household latrines, school toilet units, anganwadi toilets, either independently or in convergence with schemes of other government departments to achieve 'open defecation free' status, and solid and liquid waste management as per prescribed norms

ii) Providing all-weather rural road connectivity to unconnected villages and to connect identified rural production centers to the existing pucca road network; and construction of pucca internal roads or streets including side drains and culverts within a village

iii) Construction of play fields

iv) Works for improving disaster preparedness or restoration of roads or restoration of other essential public infrastructure including flood control and protection works, providing drainage in water logged areas, deepening and repairing of flood channels, chaur renovation, construction of storm water drains for coastal protection

v) Construction of buildings for Gram Panchayats, federation of women's self-help groups, cyclone shelters, anganwadi centres, village haats and crematoria at the village or block level

vi) Construction of food grain storage structures for implementing the provisions of the National Food Security Act, 2013.

vii) Production of building material required for construction works under the Act as part of the estimate of such construction works

viii) Maintenance of rural public assets created under the Act.

It is essential to note that the sub paragraph (1) of paragraph 4 of Schedule 1 of the Act lays down that"the District Programme Coordinator shall ensure that at least 60 per cent of the works to be taken up in a district in terms of cost shall be for creation of productive asset directly linked to agriculture and allied activities through development of land, water and trees".

The management of the MGNREGA works needs to be carried out in a timely manner to ensure optimum use of resources in the village as well as for creating productive and durable assets. To achieve it, the following parameters are to be kept in mind and steps/activities are to be carried out in selecting work, feasible site, survey, planning, designing, layout, execution, monitoring and follow up:

a) **Economical:** Select the site where the construction cost per cubic meter of water storage is minimal

b) **Durable:** The assets will be durable(usable and productive) till its estimated life or more, only when the work site is properly selected, required survey, design and planning has been carried out, proper layout has been given and all required norms have been followed in execution of work

c) **Productivity/Outcome:** While selecting a work and the site, the outcome/ utility of the work have to be spelled out and quantified. For example, if a Water Harvesting Structure (WHS) is proposed to be constructed, how many open/ bore wells will be benefited, or how much area will come under irrigation etc. Whether it will lead to expansion of crop area and change in cropping pattern which may fetch more income, should also be spelt out while selecting a work site.

The 'expected outcomes' and 'actual outcomes' are quantifiable and measurable:

1. **Asset on individual field:** the outcome shall be defined in terms of the physical outcome/ benefit and expected additional income to the household after execution of the work.For example, if a proposal is to do contour bunding on a beneficiary field, then how much soil erosion will be checked, rain water will be conserved, increase in productivity, and expected additional income to the household will result from execution of the work.

2. **Community asset:** In case of a work creating or upgrading a community asset, the outcome shall be defined in terms of

• Number of households it would benefit and

• Net additional income to the community that is expected from execution of that work.

For example, if a pond is being constructed then the outcome could be measured in terms of:

• Number of households that would benefit for bathing/ washing/ drinking water for cattle, or fisheries

• Number of wells that will be recharged/ area that will come under irrigation and

• Net additional income to the community that is expected from constructing the pond.

Works creating individual assets shall be prioritised on land or homestead owned by households belonging to the:

a) Scheduled Castes

b) Scheduled Tribes

c) Nomadic Tribes

d) De-notified Tribes

e) Other families below the poverty line

f) Women-headed households

g) Physically handicapped headed households

h) Beneficiaries of land reforms

i) Beneficiaries under the Indira Awaas Yojana

j) Beneficiaries under the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 (2 of 2007), and

k) After exhausting the eligible beneficiaries under the above categories, on lands of the small or marginal farmers as defined in the Agriculture Debt Waiver and Debt Relief Scheme, 2008 subject to the condition that such households shall have a job card with at least one member willing to work on the project undertaken on their land or homestead.

Example of permissible work: Watershed development for rain-fed areas under MGNREGA

Please note that most of the works permitted under MGNREGA are such that the rain-fed area can be developed to bring the area under production and increase the productivity through watershed management works. All works in the rain-fed area should be planned with a watershed approach and carried out starting from ridge to valley. Go through the handout on watershed development and look at all the pictures.

Watershed management works can be taken up only after a comprehensive plan for the entire watershed in the GP is developed. They would address all issues of soil erosion, rainwater retention and afforestation.Stand-alone works in the above category without a comprehensive watershed plan shall not be permitted. In order to treat the entire watershed, the entire land shall be treated, without limiting to the lands of small/marginal farmers. The plan shall be prepared in accordance with the concepts of ridge–to-valley treatment, and after proper verification of land utilisation and capabilities through a participatory approach. It is recommended to use the satellite imagery for this planning work.

I.   **Watershed planning and budgeting:** Watershed development plan should be prepared with active participation of villagers through IPPE (Intensive Participatory Planning Exercise), so that their problems and priorities are addressed while addressing the issues of natural resources.

Look at the Handout on the amount of water to be harvested. It will give you the dimensions and mathematical formulas needed to calculate the surface water yield of the watershed. Let us take an example and calculate the same here on the whiteboard.

II.   **Components for watershed planning**

a) **Basic resource survey:** base line/bench mark surveys like climate, type of soils and its fertility status, rainfall pattern and runoff volume, present land use and problems, vegetation coverage and its quality. This will not only help us in planning but also in measuring the outcome of the programme

b) **Size and selection of watershed:** watershed boundaries are already defined naturally, but to make it a workable size around 500-1000 hectare area is preferred. One may refer to the watershed atlas available with States

c) **Land capability classification:** land capability classification (LCC) for management of land based ecological factors such as soil texture, soil depth, slope, water availability, erosion etc., are required for watershed development planning

d) **Community organisation and people's institutions:** active participation of people is very crucial for planning and implementation of a watershed development programme so that it becomes community driven and community managed/owned. Government, NGO and other stakeholders' roles are just to facilitate the process and to provide socio-technical and financial resources and support. The community will increase its awareness of the concept of a watershed.

It would prepare its own watershed management plan through village level meetings, where representatives from SHGs, landless, ST and SC households, small and marginalised farmers participate

e) **Convergence approach:** watershed development programme aims at holistic development of the area encompassing different types of activities. This requires convergence of resources and support from different departments to meet financial, technical and other requirements

f) **Preparation of Micro Level Plan (MLP):** a micro level plan is prepared through the village-wise social map, and resource map. Present land use and problem maps are prepared through PRA exercises; and different possible options/ solutions are discussed and finalised through village meetings. Through these processes, a treatment plan is prepared for fallow/ non-arable and arable lands including drainage lines and infrastructural development. Emphasis should be given to rainwater harvesting and massive plantation on community land, along roads, as well as private lands.

For constructing different types of structures under Watershed Development, please refer to the Technical Manual for details. It provides detailed instructions on building diversion drains, contour trenching, bunding etc.

Refer to the Technical Manual for Command Area Development, afforestation and tree plantation; it provides details on construction, design, measurement, worksite, and management.

Session 2: Objective

• To understand the technical aspect of undertaking permissible work under MGNREGA.

Design of the Session

The session begins with the presentation on the different types of permissible work in MGNREGA. The technical aspect of the permissible work is explained by taking various examples including watershed development for rain fed areas, command area related work, and roadside tree plantation. The handouts explain most parts of the presentation through diagrammatic and visual representation of various stages right from site selection to completion of the work. The focus of the session remains on the technical nature of the work (site selection, measurement, layout, design, survey, monitoring of activities/work). The trainer emphasises the critical role played by people's participation, micro planning, and monitoring undertaken by the community members. The session ends with a discussion and summary of the key learning of the day.

Instructions to the Trainer

• Start with the presentation

• Explain the permissible work under the MGNREGA

• Explain the selection criteria for undertaking any kind of work

• If possible, build/develop the session on their prior knowledge and experience of different kinds of work being carried out in their respective villages

• Give an example of permissible work: watershed development for rain-fed areas under MGNREGA

• Give another example of plantation of trees along roadsides

• Answer any queries or clarifications

• Summarise the session.

Points for Discussion

- Which households have the priority for asset construction?
- What are the selection criteria for undertaking any kind of work?
- What are the different types of works being undertaken in your respective village?
- What are key learning highlights for you in today's session?

Materials Required

- Laptop/connection for power point presentation
- Black/white boards with markers and chalk.

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DAY 10: TECHNICAL FIELD VISIT-MGNREGA WORKS

Session	Topic	Hours
1	Technical Field Visit-MGNREGA Works	Full Day

Facilitator (Engineer): Yesterday we looked at the technical aspect of undertaking permissible work under MGNREGA. Today as a follow up to that we will be spending a day in the field understanding the work execution process for creating assets under MGNREGA including selection of work site, designing, planning, layout, execution, measurement and maintenance of works. We will follow the Technical Manual as a reference for today's field visit.

Session: Objective

- To understand the work execution process through field visit (by looking at documents/records required for physical verification, following procedures for taking measurement, examining work sites, and discussion with concerned officials)

Instructions to the Lead Course Coordinator

- Refer to Field Visit Guidelines.

Expected Outcome of the Field Visit

- The participants will learn how to undertake physical verification of various works under MGNREGA

Materials Required

The Lead Course Coordinator will inform the participants a day before what all is needed for the field visit.

DAY 11 : FIELD VISIT – WORKSITE, GP OFFICE AND BLOCK DEVELOPMENT OFFICE

Session	Topic	Hours
1	Field Visit - Worksite, Gram Panchayat Office and Block Development Office	Full Day

Yesterday's field visit was aimed at understanding the technical nature of work under the MGNREGA. Today's field visit aims at understanding the operational framework of MGNREGA that we learnt on day 8 of the training programme which was the first day of MGNREGA module. The significance of the MGNREGA lies in the fact that it creates a right-based framework for wage employment programmes and makes the government legally accountable for providing employment to those who ask for it. If the government fails to employ willing workers, then it is mandatory to pay them unemployment allowance. Also there are entitlements guaranteed to the workers under the MGNREGA to the workers. This field visit is an opportunity to see if the entitlements are reaching the workers and MGNREGA is being implemented.

Let us quickly revise the key entitlements under MGNREGA:

- Right to get a job card
- Right to demand and receive work within 15 days
- Right to unemployment allowance
- Right to prepare shelf of project
- Right to obtain a work within a radius of 5 km
- Right to work site facilities
- Right to notified wage rates and right to receive wage within 15 days
- Right to compensation for delay in payment of wages
- Right to time bound redressal of grievances
- Right to conduct concurrent social audit and social audit.

The visit to the worksite will give us a clear picture of the realisation of these entitlements by interacting with the workers. To get a broader picture of who ensures that the workers get their rights as mandated by the MGNREGA, we will also be visiting the Gram Panchayat Office (GPO) and Block Development Office (BDO). The officials at the worksite, GPO and BDO are crucial in implementation of the MGNREGA and in enabling us to understand this. Also these three settings (worksite, GPO and BDO) will have some important documents and registers. The review of these key documents can throw light on the effectiveness of the MGNREGA in the field, the quality of the assets constructed and how efficiently the grievance redressal mechanism works. The visit will give a firsthand view of the ground realities.

Gram Panchayat Office: Please note the Gram Panchayat implements the majority of the MGNREGA works. Some of the major works undertaken by them include:

1. Registering households
2. Issuing Job Cards

3. Receiving work applications

4. Issuing dated receipts

5. Allocating employment within15 days of application

6. Planning of works

7. Execution of works

8. Maintaining records

9. Convening the Gram Sabha for social audit

10. Monitoring the implementation of NREGA in the Gram Panchayat.

So visiting the Gram Panchayat Office, will give us an opportunity to see the documentation and execution of most of these works. Discussion with the Gram Rozgar Sahayak and Panchayat Secretary will help in understanding the implementation of MGNREGA.

Worksite: this is an important setting where the execution of various permissible works can be seen. Importantly we will get a firsthand experience of seeing the realisation of entitlements of workers guaranteed under MGNREGA. We will be interacting with the Mate and the workers at the site.

Block/Taluka/Mandal Office: The Programme Officer (PO) handles most of the important tasks at the Block level. We will also be interacting with the MIS expert and Technical Assistant at the Block office. The major tasks at the Block Office include:

1. Consolidating of all project proposals received from GPs into the Block Plan and submitting it to the District Panchayat for scrutiny and consolidation

2. Matching employment opportunities arising from works within the Block Plan with the demand for work at each GP in the Block

3. Ensuring baseline surveys to assess work demand

4. Monitoring and supervising implementation of works taken up by GPs and other implementing agencies within the Block

5. Maintaining proper accounts of the resources received, released, and utilised

6. Redressing grievances within the Block

7. Ensuring conduct of social audits and following up on required actions.

We have already discussed the field visit code of conduct during the first field visit on day 5 of the training programme. Please note that we will discuss and meet the officials and the beneficiaries. There will be time allotted to interact and clarify your doubts at the three settings. Importantly after visiting these three settings, we will have a de-briefing session to summarise the key learning and address any queries and doubts. Please follow the instructions of your team leader at all times.

Session: Objective

•   To experience the operationalisation of MGNREGA at worksite, Gram Panchayat Office and Block Development Office.

Design of the Session

Day 11 of the training will begin with instructions for the field visit. The participants will first visit a worksite followed by visit to GPO and Block Office. At each visit site, there will be time allotted for

discussion with the officials and beneficiaries, when participants could clarify their doubts. At the end of the day, there will be a de-briefing session to summarise the key learning and clarify doubts. The facilitator will take this session.

Instructions to the Lead Course Coordinator

Setting 1: Worksite

a) Begin the visit with meeting the Mate and getting an overview of the worksite and types of documents available at the worksite.

b) Informally speak to the workers to understand whether the entitlements guaranteed under the Act are reaching them. (Wage earned each day, number of days of employment they get in a year, how often is the wage given, what documents do the workers have and others.)

c) Observe the working conditions at the worksite (availability of drinking water, crèche, first aid and others).

Points for Discussion

- Are the workers getting their entitlements under MGNREGA?
- Does the site have the respective muster-rolls?
- What are the responsibilities of Mate?
- Have the workers participated in any social audit so far?

Setting 2: GPO

a) The participants will begin the visit with a meeting with the Gram Rozgar Sahayak and Panchayat Secretary. The officials will give an orientation about the working of the GPO

b) Let participants browse through the documents and registers at the office.

Points for Discussion

- How is the work assigned to the workers who have applied?
- What is the nature of RTI applications received and how have the officers responded to them?
- Discuss about the documents and registers (workfiles, grievance register and others). Who maintains them? How often are they updated?
- Which documents from the GPO are useful in social audit?

Setting 3: Block Office

a) The participants will begin the visit with a meeting with the PO, MIS Operator and Technical Assistant. The officials will give an orientation about the working of the Block office

b) Let participants browse through the documents and registers at the office.

Points for Discussion

- What is the grievance redressal mechanism at the Block level?
- How many cases of complaints been addressed so far? What was the nature of the complaints?

- What follow-up action has been taken up after conducting the social audit?

- Where are the social audit reports kept? Examine them. How often have social audits been held? What has been the follow-up on them?

- What role does the Block office play in coordinating work between the Gram Panchayat Office and the District Panchayat Office?

De-briefing Session

- What is the key learning of today's field visit?

- What are the roles of officials at worksites, GPO and Block Office?

- What transparency and accountability measures are available at each setting?

- How do each of the settings facilitate social auditing of MGNREGA?

Field visit instructions for the participants (Lead Course Coordinator will tell the participants)

- During the field visit, some time will be allotted to meet and interact with the officials and the workers. Queries and doubts need to be raised during that allotted time only

- The purpose of the visit is to observe and learn and not scrutinise and give feedback on the functioning of the worksite, GPO and Block Office

- It is crucial to be respectful and not disturb the working at these visit sites

- Taking pictures and videos during the field visit is not permitted

- If you face any difficulty, please inform and speak to the team coordinator.

Expected outcome of the Field Visit

By the end of the field visit, the participants will have had a view of operationalising of MGNREGA at worksite, GPO and Block Office.

Materials Required

- Note-pad
- Pens
- Water bottle
- Black/white boards with markers and chalk
- Selecting a GP, Block office for the exercise.

DAY 12 : MANAGEMENT INFORMATION SYSTEM & GRIEVANCE REDRESSAL MECHANISM

Session	Topic	Hours
1	Management Information System of MGNREGA	3 hours
2	Grievance Redressal Mechanism	3 hours

Day 12/Session 1: MGNREGA - MIS (3 Hours)

The Management Information System (MIS) on the NREGA website aims to provide transparent information and data on MGNREGA. This data is available in the public domain and can be equally accessed by all. It is mandatory to make available all the data on MGNREGA on the website. The data in the public domain includes: job cards, muster rolls, employment demanded and allocated, number of days worked, shelf of works, funds available, funds spent and funds released to various implementing agencies, social audit findings,registering grievances an alerts for corrective action.

The Management Information System (MIS) aims to

- Bring transparency to the whole system
- Provide single window interface for all the stakeholders of NREGA
- Track transfer of funds to various implementing agency(sanction order, financial releases)
- Prepare inventory of works/assets created under NREGA for future planning
- Register grievances of workers
- Give details of works and workers.

The MIS helps all the key stakeholders (Citizens, Workers, Gram Panchayats, Block Panchayats, Zilla Panchayats, Programme officers, District Programme Co-ordinators, Implementing agencies other then PRIs, State RD Departments, Ministry of Rural Development, Government of India, Bank & Post Offices, Social Audit Agencies, Engineers) in ensuring the effective implementation of MGNREGA.

Core Modules of the MIS Software

- **Worker Management Module** of the software captures registration, demand for work, work allocation and attendance recording in muster rolls. The software also has the provision to enable payment of wages through bank/post office as it captures the bank/post office account number, bank/post office branches and names of all the person who have demanded work.

- **Works Management Module** captures detailed information about the various works proposed or undertaken under the scheme at various levels. It facilitates online approval of projects and keeps track of time taken for approval of project. Each project is provided a unique ID and status of work is maintained in the system.

- **Fund Management Module** captures the funds transferred from MoRD/States to Districts and then to Programme officers/Panchayats and expenditure incurred by various implementing agencies on labour, material and contingency.

- **eFMS Module** provides a platform for making e-payments to workers, staff and vendors (wages, material and administrative expenses) using the payment network of financial Institution (e.g.

NEFT/ RTGS/ ECS/ Sanchay Post), thus addressing the issue of delay in payments to a larger extent and making the MIS real time transaction based.

- **Labour Budget Module** contains all required information for preparation of Labour Budget. It allows planning and preparing the labour budget for each Gram Panchayat. The module is so designed that it enables each GP to upload its labour budget which gets consolidated at every level from Block upto the State Level

- **Social Audit Module** allows the Gram Panchayat to plan for the social audit and prepare social audit calendar. It has features to upload issues/grievances that rose during the social audit as well as the minutes of meetings. Observations of the documents verified during the social audit are also captured through this module.

- **Cost Estimation Module** makes detailed estimates of the works proposed or taken up under MGNREGA e.g. construction of tank, well, sluice gate, earthen road, cement concrete road etc.

- **Grievance Redressal System** allows a worker/citizen to lodge complaint and trace the subsequent response.

- **Staffing Position Module** captures name and contact details of all the officials, planning and implementing agencies from Gram Panchayat to Ministry of Rural Development involved in MGNREGA.

- **Knowledge Network/Solution Exchange** provides a common platform to all stakeholders to exchange their views, pose queries to other stakeholder/experts and get responses, exhibit their best practices.

Key information and reports that could be generated through the MIS includes:

a. **Job card**

- Job card
- Category, gender wise household registered under MGNREGA
- Total no. of Aadhaar Nos. entered in MGNREGA data base
- BPL families registered, applicants with A/C No., photos uploaded
- Category, BPL Family, RSBY, Small Marginal Farmer Status

b. **Muster Rolls and Wage list**

- Muster Rolls issued versus Muster Rolls filled
- E-Muster Roll and Wage-list Report

c. **Work**

- Works under different category/status
- Work Status
- Work Execution Level Analysis
- Spill Over Works
- No of works Under Convergence

d. **Expenditure**

- Expenditure of Gram Panchayats
- Administrative Expenditure of Gram Panchayats
- Average Wages Paid (in a Range)

- Average wage paid pattern during the year
- Labour, Material Ratio Analysis
- Administrative Expenditure Report
- Expenditure on works
- Vendor-wise Expenditure Report
- Material-wise Expenditure Report
- Anticipated Expenditure/Expenditure in Pipeline of Current Year
- Liabilities of Previous Year
- Wage paid not as per average wage per day calculated through measurement
- Amount not as per rate per quantity for material purchased

The handout gives details and visual representation on how to extract and submit information using the MIS.

Session 1: Objective

- To learn how to access the MGNREGA MIS
- To extract and submit relevant information from the MIS.

Design of the Session

The session begins with a power point presentation on the MGNREGA MIS. The participants are distributed handouts to help them understand the presentation better. The presentation is followed up by a group exercise on extracting relevant information from the NREGA website. The session ends with discussion and clarifications on the MIS.

Instructions to the Trainer

- Start with the presentation and ask them to read the handouts on the same subject
- Explain the various features and location of relevant information on the website
- Step-wise show them how to extract/submit information
- Explain each slide and ask them to refer to the handouts.

1. How to File a Complaint Using the MIS?

- Follow the handout and locate the section on the website where a complaint can be filed. Press Enter
- Enter Job Card/Aadhar number
- Use the submit button
- Select the type of complaint
- Select person from Job card
- 9 types of complaint categories are there. Chose the one relevant to the complaint.
- Submit the complaint. A message stating the first set of actions will appear on the screen. For example: Complaint no X and forwarded to Programme Officer at the Block.
- How to register a demand?

There are two types of demand- Individual demand through worker module and group demand via registered civil society organisation. Let us look at the first type: Individual demand through worker module

- Locate the Worker Module on the MGNREGA website
- Enter Job Card/Aadhar number and submit it
- Select: Demand for Work
- Select: Person on Job card
- Select Date: from which worker wants work
- Select: Number of days of work demanded
- Option to Print Receipt
- Print Receipt
- Verify Demand is Registered.

Let us look at the second type: Group demand via registered Civil Society Organisation

- Register Demand as a CSO
- Select: CSO/CFT
- Select: Registration of Demand
- For example- Select: Rajasthan
- Enter Username & Password
- Step 1: Registration of Group Lead
- Search Job Card Number for Leader
- Select Group Leader
- Mate ID is generated.

Step 2: Formation of Group

- Select Group ID
- Select Village & workers
- Form Group
- Register Group Demand
- Select Group
- Enter date of application, demand & number of days
- UID Exemption + Proceed
- Print Receipt
- Check Demand is Registered

Activity: Practical Session on Using MIS

a) Take the participants to the computer room.

b) Divide the participants into groups based on the number of computers.

c) Let them use the website to develop some familiarity with it, before starting the activity.

d) Guide them on accessing worker, citizen, social audit and complaint registry section of the MIS and others.

e) Begin the activity. Please note demonstration (by the trainer) and learning by doing (participants) is the best way to make the most of the practical exercise.

f) Tell the participants that the aim of the activity is to extract information from the website.

g) Each group will extract information from the MGNREGA MIS

h) Give each group the name of a Gram Panchayat and its respective Block and District.

i) Ask them to open the website: nrega.nic.in

j) Each group needs to extract the following report from the MGNREGA MIS:

   1. Material Procured Report of two years

   2. Work Expenditure Report of two years

   3. Consolidated report of payment to workers of two years

k) The participants be given time to explore the webpage with details of the Gram Panchayat.They need at the information available on the web page such as caste-wise registration in the Gram Panchayat, households that have exhausted 100 days of employment and others.

l) Supervise and see the progress and obstacles faced by the participants.

m) Answer queries of the participants.

n) Summarise the exercise and give feedback.

Points for Discussion

• What is the information/data the participants could use from the MIS that is most relevant to their work?

• What are the problems they are facing while accessing/submitting information through the MIS?

Expected Outcome

The participants gain familiarity with using the MIS system for extracting and submitting needed information.

Materials Required

• Laptop/connection for power point presentation

• Black/White boards with markers and chalk

• Print-out copies of handouts.

Day 12 / Session 2: Grievance Redressal Mechanism (3 Hours)

Under MGNREGA, various tools exist to ensure accountability and transparency during implementation. These provisions include regular social audits by the Gram Sabha, mandatory disclosure of muster rolls, public accessibility of all documents, regular updating of job cards, etc. We will look at the grievance redressal mechanism in the MGNREGA in this session.

Section 19 of MGNREGA states that "The State government shall, by rules, determine appropriate grievance redressal mechanisms at the block level and the district level for dealing with any complaint by any person in respect of implementation of the Scheme and lay down the procedure for disposal of such complaints." Multiple modes to be included for registering the complainants like written complaints and through telephone help lines etc. All such complaints must be duly acknowledged with a dated receipt. Complaint boxes at the offices of the Programme Officers and District Programme Coordinators must be installed to facilitate submission of complaints. The complaint boxes shall be opened on a fixed date every week and record the list of all complaints received. As specified in section 23(6) the Programme Officer shall dispose of all such complaints within a period of seven days including the redressal of the grievance and the delivery of the entitlement. A fine needs to be paid if the complaint is not addressed in 7 days. The complaint can go from Gram Panchayat to the block level if the complaint is not addressed within 7 days. Subsequently to the district level, if it is not addressed within 15 days. As a final measure, the complainant can file a complaint to Ombudsman. The State government appoints the Ombudsman and a district can have a maximum of two Ombudsman.

Complaints shall be entered in the complaint register and disposed within the statutory time limit. The complainants must also be informed of the action taken in writing through registered post with acknowledgement card. A system of appeal must be considered. State-wide publicity must be made for grievance redressal at all levels. Monthly Reports on complaints received and disposed must be sent from Gram Panchayat to Programme Officer to District Programme Coordinator to State to Government of India. This should be placed on the website.

The Ombudsman is the highest authority to register any complaint. On receipt of complaint, Ombudsman will issue notice to concerned MGNREGA official for appearance and making submissions. Where facts are admitted, case will be disposed by passing appropriate direction and if not admitted, Ombudsman will pass an award. The 'award' passed shall contain components like details of the parties of the case, brief facts of the case, issues for consideration, findings against issues along with reasons etc and Ombudsman then disposes the case in accordance with law.

Also Ombudsman will be responsible to make all MGNREGA related documents public and ensure that they are easily accessible. Ombudsman will send monthly and annual report and list of awards passed to Chief Secretary (CS) and Secretary in charge of MGNREGA. In the reports, Ombudsman will highlight action to be taken against erring MGNREGA functionaries.

Session 2: Objective

• To understand the grievance redressal mechanism in the MGNEGA.

Design of the Session

The session begins with a power point presentation on the grievance redressal mechanism. The responsibilities of the concerned officials for registering and addressing complaints at village, block and district level will be discussed. The session will end with a discussion and clarification of doubts.

Instructions to the Trainer

- Start with the presentation
- Explain the process of registering complaint
- Explain the role of concerned officials at village, block and district level
- Revise the process of registering complaint using the MIS.

Points for Discussion

- Who are the officials at the block level responsible for registering a complaint?
- Who is the highest authority for registering a complaint?
- What are the obstacles faced in registering a complaint?
- Which will be the key documents that aid the process of registering a complain?

Expected Outcome

By the end of the session, the participants will have an understanding about the process of registering a complaint both in person and through the MIS.

Materials Required

- Laptop/connection for power point presentation
- Black/White boards with markers and chalk
- Printed copies of handouts.

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Jan Sunwai at Tinik-Chisupani Gram Panchayat, South Sikkim, Picture taken from blog article: Sikkim: implementing and social-auditing the NREGS, http://thesleevesrolledupyearsd.blogspot.in/2002/06/ sikkim-implementing-and-social-auditing.html

DAY 13 : SOCIAL AUDIT THEORY

Session	Topic	Hours
1	Introductory Steps to Social Audit	2
2	Social Audit MIS and Collation of Documents for Social Audit	5

Day 13/Session 1: Introductory Steps to Social Audit (2 Hours)

(Some parts of this session are taken from the Operation Guidelines 2013, MGNREGA, Ministry of Rural Development, Government of India)

Welcome to the first session of day-13. In the earlier session we learnt about the concepts of accountability, transparency and the methods and tools that can help us to realise the goal of accountability. In this class we shall discuss the key steps in conducting Social Audit.

The basic objective of social audit is to ensure public accountability in the implementation of projects, laws and policies. MGNREGA has institutionalised 'Social Audit' as means of continuous public vigilance (MGNREGA Act, Section 17). Social Audit has the following dimensions:

- Continuous and ongoing process, involving public vigilance and verification of quantity and quality of works at different stages of implementation

- To be conducted in every Gram Panchayat (GP) at least once in six months, involving a mandatory review of all aspects.

- Social Audit is an effective means for ensuring transparency, participation, consultation and accountability under MGNREGA. The process of Social Audit combines people's participation and monitoring with the requirements of the audit discipline. Since the agency implementing the scheme cannot itself audit it, therefore, it is necessary to promote people's participation in the audit along with support provided by an independent social audit organisation that facilitates the process. The Social Audit process is a fact-finding process. The work of the auditor is only to 'investigate' by cross-verifying facts and details in the records from the labourers and cross-verifying works at site. The "Auditors" must not view themselves as "Prosecutors".

Process of Social Audit Involves Several Universal Steps

- To identify and understand the present state of the selected social programmes (MGNREGS)

- To compare what is found with given norms in the operational guidelines

- Verification of the findings by local community through public hearing

- Verification of the findings by independent experts

- Preparation of social audit report based on the findings

- Mandatory validation of social audit report in Gram Sabha

- Public hearings at various level to take punitive,corrective,disciplinary steps after the hearing

- Action taken report on public hearing decisions

- Public display of ATRs in MIS,GP office.

Non-Negotiable Aspects of Social Audit (According to MGNREGA)

- Audit to be independent of any process undertaken by the implementing agency of the scheme

- Implementing agency will not interfere with the SA process

- Implementing agency will provide the required information to the PO

- PO provides required information to the social audit teams at least 15 days prior to commencement of SA

- Resource persons deployed for facilitating social audit in a GP should not be residents of the GP.

Session 1: Objectives

- To introduce the background and concept of social audit

- To develop understanding about the process of extracting information from NREGA MIS from the website nrega.nic.in for conducting social audits

- To introduce formats used for conducting social audits.

Design of the Session

- Lecture (Presentation), short film on social audit steps

- The session will include, going through each screen shot of the website and screenshots of the formats to be filled.

- Each column of the formats will be explained to the trainees.

Session one begins with a brief introduction on topic and brief background. Trainer will also explain the rationale and need of this topic for this training. This lecture will be divided in to three parts: brief introduction, power point presentation and screening of documentary on social audit process followed by discussion.

Instructions to the Trainer

- Show the presentation on steps of social audit

- Use the MGNREGA MIS screenshot and show the participants

- Show the demo of using MGNREGA MIS for social audit

- Play the small documentary: **Film 1**- A Few Steps More. SSAAT-Hyderabad

- If time permits, show them the other two documentaries

Film 2

Social Audit in MGNREGA Andhra Pradesh, India: Anurag Singh and Raabiya Jayaram 2009

Film 3

Social Audit- Nehru Yuva Kendra Sangathan

- Conduct discussion on the documentary – on social audit steps

- Conclude the session with clarifying doubts of the participants.

Expected Outcomes

- Participants will get familiar with the concept of social audit

- They will also understand the MGNREGA MIS and social audit documents accessibility.

Materials Required

- Social Audit steps note

- Projector, Laptop and documentary in soft copy

- Board and marker

- Chart papers and sketch pens.

Day 13/Session 2 - Social Audit MIS and Supporting Documents (5 hours)

This session is about the Social Audit MIS and collection of documents for evidence building during the process of conducting social audit. We will further discuss the need of MIS and types of documents, e.g. muster-rolls, technical sanctions, administrative sanction, maps, photographs, measurement books, pay order, FTOs etc.

Management Information System (MIS) provides information related to MGNREGS; it gets organised and generated on this portal. MGNREGA has a very detailed MIS system that brings data on a single platform and helps us to access it easily. For conducting social audit, we need to have consolidated data on one platform. The MIS is useful for this. The information for social audit would be taken from the MGNREGA MIS, the process of getting the data will be discussed in detail in this session.

Social auditors should know the details of how the MIS has been developed and ways of using it. Along with MIS data, social auditors would also require other supportive documents without which the audit cannot be completed.

Session 2: Objectives

- To develop understanding about types of documents, data and its use in social audit

- To learn about the Management Information System (MIS) of MGNREGA and Social Audit

- To develop understanding about different formats and its use in the field

- To learn how to extract information from NREGA MIS from the website nrega.nic.in for conducting social audits

- To understand the formats used for conducting social audits. These formats will be the official information that must be used for verification of documents and door-to-door verification.

Design of the Session

Trainer will give brief information about the concept of MIS, its need and use in the social audit. S/he will explain the MGNREGA MIS and how we generate information required for conducting a social audit from MGNREGA MIS. The trainer will discuss about social audit MIS formats and information. There will be a group activity where participants will be divided in to 8 groups and each group will be given 2 works details with documents. Each team will have to make a set of complete documents required for the social audit. Session will end with a discussion on their observations/findings from document verification.

Instructions to the Trainer

- The first part of the session will focus on how to extract information from NREGA MIS from the website nrega.nic.in for conducting social audits. They will have computers with them for this session. Also give them handouts of 1 GP in Social Audit Formats

- Tell them MIS for social audits will be used for extracting information for conducting social audits. The NREGA website will be used to extract this information

- The information available on the website is the information that is filled out by NREGA officials at the block level. This submission of information is for mainly monitoring and disclosure of information purpose mandated by NREGA

- Tell them to download the information please follow the presentation with screenshots. The downloaded information will be in 4 formats (1, 2A, 2B, 3 and 4)

- On top of each format, there is an entry that tells us the name of the State, district, block and the Gram Panchayat. It also tells us about the time period of information being used for the social audit

- Start the session going through the screenshots on presentation to understand the flow of website

- The session will include going through each screenshot of the website and screenshots of the formats to be filled. Each column of the formats will be explained to the participants. The formats are given below

Format 1- This format helps in knowing the number of villages in the selected GP. It will also give information on how many people have been registered under MGNREGA in the whole GP. There are two entries "Households" and "Persons" (Households - How many households have been registered, Persons – how many persons in total have been registered). The composition of the population of GP in SC/ST and Male/Female	
Column 1	Serial Number
Column 2	Name of the villages in the chosen Gram Panchayat
Column 3	Number of households registered under MGNREGA
Column 4	Number of total persons registered in the village
Column 5	Number of Scheduled Caste households registered in the village
Column 6	Number of Scheduled Caste persons registered in the village
Column 7	Number of Schedule Tribe households registered under MGNREGA
Column 8	Number of Schedule Tribe persons registered in the village
Column 9	This includes number of persons not included in the previous two columns
Column 10	This includes number of persons not included in column 7 and 8
Column 11	This states the number of males registered with MGNREGA in the village
Column 12	This states the number of females registered with MGNREGA in the village
Job cards registered	
Column 1	Serial number
Column 2	Name of the villages in the chosen Gram Panchayat
Column 3	Number of households with job cards registered in MGNREGA
Column 4	Number of total persons registered with job cards in the village
Column 5	Number of Scheduled Caste households registered with jobcards in the village
Column 6	Number of Scheduled Caste persons registered with jobcards in the village
Column 7	Number of Schedule Tribe households registered with jobcards in the village

Column 8	Number of Scheduled Tribe persons registered with jobcards in the village
Column 9	This includes number of persons not included in the previous two columns
Column 10	This includes number of persons not included in column 7 and 8
Column 11	This states the number of males registered with jobcards of MGNREGA
Column 12	This states the number of females registered with jobcards of MGNREGA

Format 2A	
Column 2	Name of the work with work ID given to differentiate between various works
Column 3	Work category is the work done with which Line Department
Column 4	Work start date is the date when the work commences
Column 5	Last work date is the last date of the last muster-roll
Column 6	Status reflects whether the work is approved/ongoing/completed
Column 7,8,9,10	Total sanctioned amount by the government for that particular work divided in amount sanctioned for unskilled wages, skilled wages, material and the total amount
Column 11,12, 13,14	Total Expenditure on particular works in unskilled wages, skilled wages, material and the total amount spent on the work
Column 15,16, 17,18	These columns denote expenditure on unskilled wages, skilled wages, material and the total amount spent during the specific period for which the social audit is conducted
Next Format is part of Format 2A. It includes work names and questions for verification	
Column 1	Serial number
Column 2	Name of the works and their work IDs
Column 3	This question means whether the respective work has been approved by the Gram Sabha. This can be verified by looking into the Gram Sabha register if there is mention and consent for the work
Column 4	This question refers to Administrative sanction required for works approved under MGNREGA. This sanction is approval of a particular work from the administration. The Administrative sanction will be found in the workfile. If not found write no
Column 5	This question refers to Technical sanction required for works approved under MGNREGA. The Technical sanction is the approval of engineering section. This sanction will be found in the workfile. If not found write no
Column 6	Each workfile must have pictures of the work executed in pre, during and post. If not found write no
Column 7	To answer this column, the social audit team must visit the worksite to verify location of the work executed. The location of the work should match the location in the Technical and Administrative sanction
Column 8	The work has to be in accordance with the technical estimate, this can be verified by measuring the works (taught in the technical manual section)

Column 9	To verify this question the team would have to visit the individual beneficiary and enquire if they worked on their individual sanctioned work. Further by looking at the muster-rolls of that particular work, laborers from the muster-rolls should be enquired if the individual beneficiary worked on his/her individual work sanctioned
Column 10	This can be verified by visiting the worksite to check for a worksite board
Column 11	This can be verified by asking the laborers from the muster-rolls of the work and people living around the worksite
Column 12	This can be verified by asking the laborers from the muster-rolls of the work and people living around the worksite
Column 13	Verification for this is done by visiting the site to see if the work is completed and also checking for a Completion Certificate in the work file
Column 14	Verification for this is done by visiting the site
Column 15	This can be answered by asking the people living around the worksite and villagers of the village
Column 16	This can be answered by visiting the worksite and checking for Utilisation Certificate in the workfile
Column 17	This can be verified by checking the Measurement Book and looking at the values filled in it. Also by visiting the worksite and measuring the work as suggested in the technical manual
Column 18	Also by visiting the worksite and measuring the work as suggested in the technical manual
Column 19	Remarks about any of the columns can be mentioned here but they should be as annexures/attachments to this report

Format 2B – Works Expenditure. (This format is mainly to verify the documents and workfiles of each work in the GP. It gives us information on how much money was spent on each of the components of Unskilled Wages, Skilled Wages and Material for each of the works done. The format is divided into three sections – unskilled wages, skilled wages and material expenses)	
Unskilled wages (verification of Muster-rolls present at the Gram Panchayat with this information)	
Column 1	Name of the work with its work code
Column 2	Serial number
Column 3	Number of the muster roll which was used in doing that particular work
Column 4	Start date and end date of the muster-roll
Column 5	Date of payment made for the respective muster-roll
Column 6	Number of person days generated on the specific muster-roll
Column 7	The amount paid as unskilled wages to the people whose name is on the Muster-roll
Column 8	This column has to be filled by verifying the work's name on the respective muster-roll number given in Column 3

Column 9	This column has to be filled by calculating the number of people and days marked present in muster-roll. This includes checking the number of "p" (present) marked on the muster-roll and ensure no 'Absent' marked entries have been calculated as attendance
Column 10	This column is filled by adding the amount paid to each laborer on the muster-roll
Column 11	This column is used for mentioning any irregularity or incorrect information found in verification. Each person mentioned in muster-roll should have signed against their name. This column can also be used for stating any irregularity found on the muster-roll where there are no signatures of the names mentioned in the muster-rolls or even same writing style signatures. Any other information about the muster-roll verification can be added as attachment to this format
Skilled wages:	
Column 1	Name of the work with its work code
Column 2	Serial number
Column 3	Number of the muster roll which was used in doing that particular work
Column 4	Start date and end date of the muster-roll
Column 5	Date of payment made for the respective muster-roll
Column 6	Number of person days generated on the specific muster-roll
Column 7	The amount paid as skilled wages to the people whose name is on the muster-roll
Column 8	This column has to be filled by verifying the work's name on the respective muster-roll number given in Column 3
Column 9	This column has to be filled by calculating the number of people and days marked present in muster-roll. This includes checking the number of "p" (present) marked on the muster-roll and ensure no 'Absent' marked entries have been calculated as attendance
Column 10	This column is filled by adding the amount paid to each laborer on the muster-roll
Column 11	This column is used for mentioning any irregularity or incorrect information found in verification. Each person mentioned in muster-roll should have signed against their name. This column can also be used for stating any irregularity found on the muster-roll where there are no signatures of the names mentioned in the muster-rolls or even same writing style signatures. Any other information about the muster-roll verification can be added as attachment to this format
Material Expenses	
Column 1	Name of the work with its work code
Column 2	Serial number
Column 3	This is the vendor's name/name of the enterprise that has sold the material for NREGA work
Column 4	This is the bill number of the bill from sale of material

Column 5	This is the date of the bill when material was purchased
Column 6	This is the name of the material such as bricks, cement, iron, transportation etc
Column 7	This column gives the per unit price of the material purchased
Column 8	This is the quantity of material purchased.
Column 9	This is the total amount for purchasing that specific material
Column 10	The team should verify here that is the vendor name on the bill correct
Column 11	The team should verify here that the bill date matches the date mentioned on the physical bill
Column 12	The team should verify that does the price and quantity matches the same on physical bill
Column 13	The team should mention here clearly of any irregularity seen on the bills of material purchased. The evidence can be state in a separate attachment with this format

Format 3	
Column 1	Serial number
Column 2	Name of the work with its work code
Column 4	This gives the unique number of the muster-roll on which the job card holder worked
Column 5 and 6	These are the dates to denote the time period for which the worker worked
Column 7	This gives information about the number of days the job cardholder got work in each work
Column 8	This is the amount of wages paid to the job card holder for working in each work's muster-roll
Column 9	This column has to be filled only after door-to-door verification, by meeting the job cardholders. The verification process will be explained in another module
Column 10	This column is to verify if the job card holder was paid the mentioned wages in column 8. If not, the amount should be written and written in remarks column. This has to be filled only after door-to-door verification. This can be checked by requesting job-card holders to check their bank passbooks. This can also be verified by looking at their job card entries
Column 11	Any irregularity or mismatch found should be stated here or attached as attachments

Format 4 - Entitlements to SC/ST Household (this format deals with mainly the work demand for stakeholders in Schedule 2 of MGNREGA	
Column 1	Serial number
Column 2	Job card number
Column 3	Name of head of household in jobcard
Column 4	Number of days of work provided in the year to a jobcard holder
Column 5	Number of days the jobcard holder demanded work but not given
Column 6	This denotes the number of individual works sanctioned for a particular jobcard holder
Column 7	This has to be filled as per door-to-door verification. The jobcard holder must be asked if they would require work in the coming year. Their work-demand must be mentioned here
Column 8	This must be as per the jobcard holder's preference to work in a particular month
Column 9	This is the specific period when the family would require work, the minimum application of work must have more than 14 days of work demand.
Column 10	Upon verification if there are any jobcard holders that require an individual MGNREGA work to be done, their demand for individual work must be mentioned here.

- The second part of the session will have the following group exercise

Group Exercise: Collation of Documents in a Workfile

- Through this exercise the participants will learn about documents that make a workfile and what each document means

- Distribute the workfiles handout of eight works form of Gram Panchayat

- Divide the participants into 4 groups

- Shuffle the documents from eight workfiles of the panchayat (Only these documents should be shuffled - muster-rolls, technical sanctions, administrative sanction, maps, photographs, measurement books, pay order and FTOs)

- Tell that each group's task is to gather the documents of each work and create its workfiles from the shuffled stack of documents

- Tell them that each workfile must have the following documents (The list of documents from technical session which gives details of documents that are supposed to be in the workfile)

- After the groups have collated the files, the groups should check each other's files to check if the workfiles are complete

- Format 2A second section some of the questions can be answered

- Answer queries and give feedback.

DAY 14 : SOCIAL AUDIT-CLASSROOM

Session	Topic	Hours
1	Verification of Entitlements	4
2	Evidence Building	2

Day 14/Session 1: Verification of Entitlements (4 Hours)

Yesterday we discussed the steps of social audit, social audit MIS and formats to collect the data in the field. In this session we are going to discuss, how as social auditors we can conduct field verification and build evidence.

Verification is a process of establishing the truth, accuracy or validity of something. With reference to social audit, verification of particular schemes is conducted through door-to-door and work site visits. Reliability of social audit depends on a proper verification process carried out by social audit team. The pre-condition of verification is that no complaint or findings should be part of the report unless verified through following three processes. The final verification takes place during the Gram Sabha / public hearing when the social auditor reads the report in public and confirms the evidence.

In the field social auditors undertake - a) Oral Verification from Worker, GRS, PRI, Community through door-to-door visits and group discussion, b) Physical Verification of worksite and Wall Writing and c) Document verification of records and registers in GP, scheme file and with wage seekers. The 4 MIS formats given during the previous day will need to be filled up in the process of verification. This will be the outcome of the verification process.

Session 1: Objectives

- To train participant to do document verification in the field
- To develop understanding of background and need of proper verification in Social Audit.

Design of the Session

Session one begins with a brief introduction to the concept of verification and its importance in the social audit process. The participants will be divided in groups and give themes to discuss how they can verify documents and works in the social audit process. After discussion they will make a presentation. Each group will be given 15 minutes to present their points. The trainer will summarise the session using key points emerging from both activities.

Instructions to the Trainer

Activity 1 Guide

- Divide the trainees into five groups
- Give each of them the following themes for discussion-
  a) Registration and job card
  b) Work selection, work demand, work site facilities
  c) Wage payment

    d)   Transparency and accountability norms

    e)   Grievance redressals and Injury/death compensation

Give each of the groups 30 minutes to discuss and come up with findings that should be presented in the following format on a chart paper.

Issues /complains	Process of verification	Persons/documents to be verified

- Give 15 minutes to each group to present their findings

- Ensure that a group leader is selected to facilitate discussion

- Only one person should take notes.

- Facilitate the group by giving hints if they face any difficulty.

Theme: Registration and Job Card

Issues /complains	Process of verification	Persons/documents to be verified
1. Job card not issued on time	Oral verification Document verification	Complainant Application form, receipt, registration register,job card issue register
2. Money asked for Job card		

Now let each group to present it in the bigger group in chart paper and ask other participants to add their points and ask questions

Activity 2 Guide

This activity is to further clear doubts about the social audit steps since all participants have not been involved in the discussion on all themes. It also helps to reinforce knowledge about the documents that are available in GPs and field.

Instruction to the Trainer

1) Put up five blank charts on five corners of the classroom with five themes written as heading.

For Example:

1	Registration/job card

Now in four Corners -

1. Verification Method
   - Oral verification
   - Physical verification
   - Document verification

2. G P Records
   - Registration register
   - Job card register
   - Work demand register
   - Work register
   - Asset register
   - Complain register
   - Gram Sabha register
   - Shelf of works
   - Material procurement register
   - Cash book

3. Field Document
   - Job card
   - Bank pass book
   - Wage slip
   - Job card application receipt
   - Work demand application receipt
   - Complain receipt

4. Scheme File Records
   - Administrative sanction
   - Technical sanction
   - Work order
   - Muster roll
   - Measurement book
   - Bills and Vouchers
   - VMC report
   - Prepare five slips each of all the subjects in each corner and same groups are assigned the task of picking up relevant slips needed for verifying issues connected with the theme and sticking it on the themes
   - Ensure that the themes are interchanged amongst groups like the group which had discussed the theme of registration and job card should be allotted transparency and accountability

- Give 10 minutes to each group and let them know if they have put up anything which is not needed in the verification

- Now the trainer needs to go to each corner and read out the slips and ask the trainees whether what they had put up was necessary for social audit. (Example: If registration and job card group places a muster roll slip in the chart it will be incorrect)

End the session with announcement of prize for the winning team and distribute the handouts

Expected Outcomes

- Participants will learn about the verification process

- They will get familiar with 5 key points that need to be verified in the field

- The will get familiar with key terms and their importance in verification

- They will get experience of working in a team thorough group activity

- Through the group activity they will get familiarised with evidence building.

Day 14/Session 2: Evidence Building (2 Hours)

This session is about building evidence for conducting an effective social audit process. Evidence provided by social auditors is produced in front of the Gram Sabha, used in public hearing and the court of law. Based on this evidence, action may be taken against parties responsible for malpractices in social programmes. Hence building credible evidence is critical to successful social audits. This session will help the trainees to understand the role of evidence in social audit process, how evidence is collected, prepared and used in social audits.

Social audit findings, conclusions and recommendations must be based on evidence. Thus it is crucial that the evidence collection is carefully executed. The evidence should be competent, relevant and sufficient as they support the auditor's judgment and conclusions.

Competence of Evidence

Evidence is competent (valid and reliable) if it actually represents what it aims to represent. Reliability of evidence can be judged on the basis of following:

- Corroboration of evidence is a powerful technique for increasing reliability. This means that the social auditor must look for different types of evidence from different sources. For instance, results of examination of works executed under MGNREGS on the basis of records provided by GP can be corroborated using beneficiary survey/interviews or results of physical verification.

- Reliability of information generated by those who are audited (say the Gram Panchayat) will be a function of its internal control systems. For this purpose, previous reports (social audit reports, and audit reports of primary and secondary auditor) may be used.

- Original documents are more reliable than photocopies. For example, while doing physical verification and interaction with beneficiary, original documents (physical verification note signed by both auditor and auditee and questionnaire filled on the basis of interaction with beneficiaries and signed by both beneficiary and auditor) are more reliable.

Relevance of Evidence

Relevance requires that the evidence bear a clear and logical relationship to the audit objectives and to the criteria. For instance, if the purpose of evidence is to support a condition such as All applicants have got work within 15 days from the date of application or not, then job card, applicant receipt, muster roll, starting date of work will provide more relevant evidence.

Sufficiency of Evidence

The auditor should obtain sufficient and appropriate audit evidence to be able to draw reasonable conclusions. Sufficiency is a measure of the quantity of audit evidence. Appropriateness is a measure of quality of audit evidence, its relevance to particular criteria, and its reliability. Evidence is sufficient when there is enough relevant and reliable evidence to persuade a reasonable person that the audit findings and conclusions are warranted and supported.

Evidence can be categorised as to its type - physical, oral, documentary, or analytical.

Physical Evidence

Observing people and events or examining works are ways to obtain physical evidence. The evidence can take the form of photographs, charts, maps, graphs or other pictorial representations. When the observation of a physical condition is critical to achieve the audit objectives, it should be corroborated. While conducting physical verification of works executed under MGNREGS physical evidences can be used to corroborate audit findings by using photograph, video etc.

Oral Evidence

Oral evidence takes the form of statements that are usually made in response to inquiries or interviews. These statements, made by beneficiaries of the works, can provide important leads not always obtainable through other forms of audit work. Corroboration of oral evidence is needed if it is to be used as evidence rather than mere background information. While conducting social audit oral evidence (gathered by interviews and questionnaire) may support other findings such as impact of scheme and status of job entitlement. In assessing the reliability and relevance of oral evidence, the auditor needs to assess the credibility of the interviewee; that is, the position, knowledge and expertise of the person being interviewed.

Documentary Evidence

Documentary evidence in physical or electronic form (all reports and statement entered in MIS on scheme website) is the most common form of audit evidence. External documentary evidence may include letters or memoranda, suppliers' invoices, contracts, external and internal audits and other reports, and third-party confirmations. Internal documentary evidence originates within the audited entity. It includes items such as accounts of scheme, cash book, MR register, employment register, asset register, sanction, vouchers, and measurement books, copies of outgoing correspondence, job descriptions, plans, budgets and internal reports. The reliability and relevance of documentary evidence needs to be assessed in relation to the objectives of the audit.

Analytical Evidence

Analytical evidence stems from analysis and verification of data. The analysis can involve computations, analysis of ratios, trends, and patterns in data obtained from the auditee or other relevant sources. Comparisons can also be drawn with prescribed standards. Analysis is usually numerical, and considers, for example, ratios of output to resources, or the proportion of the budget that is spent. It can also be non-numerical in nature; for example, observing a consistent trend in the nature of complaints made about an auditee.

Session 2: Objectives

- To understand the concept of evidences and its use in any investigation process
- To learn about the relevance and importance of evidence in the social audit process
- To introduce different types of evidences and methods of evidence collection.

Design of the Session

Session two begins with a brief introduction on types of evidence and methods of collecting reliable evidence. Trainer will explain the role of different types of evidence in social audit process and discuss the strategies to collect the same.

Instructions to the Trainer

- Provide detailed information about the evidence-building
- Ensure that participants understand all concepts clearly
- Demonstrate good evidence collected during social audit process.

Expected Outcome

- The participants will learn about various types of evidences and learn to build evidence for conducting an effective social audit process.

Materials Required

- Presentation, game used for verification exercise – chart paper and pens
- Whiteboard and marker.

DAY 15 : TECHNICAL VERIFICATION OF WORKS

Session	Topic	Hours
1	Technical Verification of Works	7

Day 15/Session 1: Technical Verification of Works (7 Hours)

In this session we shall discuss technical verification of works. As part of verification and evidence collection social auditors have to undertake physical verification of worksite. Based on the quantum of work completed the payment gets released for unskilled as well skilled work. To avoid injustice towards wage seekers work completed need to be measured accurately.

Technical verification is a part of physical verification where the social auditor visits worksite measures it and verifies its reliability. Technical verification involves measurement of length, width, height and depth of physical work. In cases of discrepancy between work done by wage workers and payments made, social auditors have to cross verify and compare differences in actual implementation and expended money in documents. In technical verification process comparisons are drawn between field data and documented output or expenditures.

Session 1: Objectives

- To understand technical verification and its relevance for social audit
- To learn to measure physical work and understand its importance in evidence building
- To learn to read measurement book of government and how to cross verify through practical measurements.

Instruction to the Trainer

- Build skills to write a technical report to be included in social audit report based on the physical verification.

Design of the Session

Session one begins with a brief introduction on topic and brief background. Trainer will also explain the rationale and need of this topic for this training. Then, s/he will conduct group activity to develop the skills to write the reports. Trainer will conclude the session with key points about social audit report writing.

Expected Outcomes

- Participants will be aware about the terms those get used in the technical verification
- Participants will learn the technical measurement/verification
- They will learn calculations in measurements process
- They will differentiate the quality and quantity through technical measurement
- Participants will learn about preparing the technical report for Gram Sabha and Public Hearing.

Materials Required

- Technical manual
- Sample MB
- Demo work details of one file
- Board and marker
- Chart paper and sketch pen.

DAY 16 : REPORT WRITING & COMMUNITY MOBILISATION

Session	Topic	Hours
1	Writing Social Audit Reports	3
2	Community Mobilisation	3

Day 16/Session 1: Writing Social Audit Reports (3 hours)

Since the last three days we have been discussing the steps in social audit, social audit MIS, importance of verification, evidence building and technical verification. These processes are considered important in the actual conduct of social audit. After social audit in the field, writing a report to present in the Gram Sabha and public hearing is very important. The report, written by social auditors, is based on the field visit, verification, and evidence collected. It has specific objectives and needs to follow certain formats. In this session we will discuss the process of report writing and types of reports.

Through the social audit process, different types of reporting styles are used: i) summary report ii) process/running report iii) narrative report iv) special reports v) monthly report vi) quarterly report vii) annual report and viii) research report. In writing a report, we note down the event and its details in a systematic way to achieve some objectives. In other words, a report has a purpose and an audience for which it is intended. It starts with an introduction, goes on to the main substance, and then ends with a summary/conclusion/findings. A social audit report includes research, process and summary. These components can be clarified:

Research: in doing the social audit, we seek to understand the field situation better. Hence there is an element of research in it. In order to gain a clear picture of the situation, we use primary and secondary data. Primary data is gathered through direct interactions with persons through individual and group interviews and discussions. Secondary data is that which exists in various documents; we draw upon it because it is useful in strengthening our understanding of the situation. Primary and secondary data together build the broader and specific view of the situation.

Process:This refers to a sequence of activities that make an event or situation. This means that we break up the event into various steps and study what happened at each step of the way. This helps to understand the event in detail, and to point out gaps and strengths in the functioning. A good report would highlight what happened at each step, why it happened that way, who did what, and what are the positive or negative aspects in it. This would be written keeping in mind the outline of the event and what it was expected to achieve.

Summary: a report must summarise what it is trying to say. These could be key findings and conclusions. For instance, it would need to summarise the issues and misappropriations found through the primary data.

A good report i) has clarity in the argument ii) is to the point/specific iii) is systematic and structured iv) gives necessary information in detail v) is written in easy language that can be read and understood by common people vi) addresses the audience/readers etc.

The social audit report is the basis for establishing that people have received their entitlements and

taking action on any irregularities found in the implementation of the Act. It therefore needs to be clear, correct with facts, and credible.

In this session, we will learn how to write a good social audit report with all evidences and details. We will do this by reviewing and discussing some sample reports from social audits. You will also have the opportunity to attempt to practice what you have learnt.

Session 1: Objectives

- To build understanding of report writing and its importance in official processes
- To develop the report writing skills of participants.

Design of the Session

The session begins with a brief introduction on the topic and its importance for this training. The facilitator needs to make sure that the participants have clarity about general reports and social audit report. S/he can make a presentation to clarify the concept. To develop skills to write a social report, the trainer will conduct a group activity where s/he will give a case along with a template for report writing. Participants will be asked to write the report with the help of this template. At the end of this exercise, s/he will make sure that everyone is clear about report writing.

Instructions to the Trainer

- Show the presentation on report writing
- Explain the types of report and difference between general and social audit report
- Highlight the importance of reports in the social audit process
- Show participants the sample reports from other social audits. Refer to all the accompanying handouts for this session
- Ask them to read it, so that the discussion can be built on the understanding they gain from the samples.

Activity Guide

- Divide the participants into groups
- Give them details of a case from the field
- Give them a template to fill in the information from case
- Instruct them that important information from case needs to be put into the template
- Provide the following template, which is available in the tool kit.

Templates for Social Audit Report
Categories of Issues

A. Registration of Job Card

Findings

1. Mr. Guruprasadson of Prasad Chaudhary, resident of **Kurai** village had applied in writing for a job card to the Gram Rojgar Sevak dated **14th April,2016**. But job card is still not provided to him.

2. Mr/Ms…………………………………….father/husband name………………….resident of ………………………….had applied orally/ in writing for a job card to the ………………………. on dated…………… amount of ₹. ……………was demanded by the …………………………………….for issuing of a job card.

B. Updating of Job Card

Findings

1. During the conduct of social audit process, it was found that job card of Mr. Dilip Jathore, Job **Card No 0112345678910** was not updated.

2. During the conduct of social audit, it was found that job cards of Mr………………………….J/cNo……………………….Mr………………………….J/c No……………………….were not with them. The job cards were with………………………….

Attached the list of persons:

3. During the conduct of social audit process, it was found that family photo is not available on the job cards of Mr/Ms………………………………………….J/c No…………………………..

C. Registration of Demand

Findings

1. Mr/Ms…………………………….son/wife/husband/daughterof …………………………………….. resident of …………………………………….Gram Panchayat, demanded for a work for…………………days from………………..to…………. But work is not provided to him/her/them since………………days. Hence, unemployment allowance of ₹………………….needs to be given.

2. Mr/Ms…………………………….son/wife/husband/daughter of …………………………………. resident of …………………………………….Gram Panchayat, demanded for a work for…………………days, but …………………..demanding money for providing the work.

D. Works Related

Findings

1. During the conduct of social audit, it is found that Work Name:……………………Work Code…................. is executed during ………..in …………………..Gram Panchayat. Total expenditure for the work is ₹……………But work is not found in the field.

E. Payment Related

Findings

1. Delayed Payment

Work Name…………………….. Work ID No……………………. is executed in Gram Panchayat from ………(Date) to………………(Date). Mr./Ms. ………………………… Job card no. has worked on this worksite from………………(date) to ………….. for total…………….(Number of Days). But he has not received his wages ` …………………… from last……………….. days. He/she should get his/her wages with delay compensation.

2. Less Payment

Work Name…………………….. Work Id No……………………. is executed in Gram Panchayat from ………(Date) to………………(Date). Mr./Ms. ………………………… Job card no. has worked on this worksite from………………(date) to ………….. for total…………….(Number of Days). But he/she has received only ₹…………….against his/her total wages of Rs………………….

3. Excess Payment

Mr./Ms……………………………….. Job Card No……………………….. has worked on work name…………..work ID no…………… from ………………to ……………………for total …………days for the wages of ₹………………………… But he/she has received ₹……………wages extra for the work.

F. Worksite Facilities

Wage seekers are entitled for worksite facilities such as drinking water, first aid box, Creche. But it has found that the worksite facilities ………(write the name)………………………were not provided to the worker during execution of work name………..work ID no. ……………………..

G. Worksite Board

To maintain transparency under MGNREGA, putting a worksite board on worksite is a mandatory. But it has been found that the worksite board was not available on worksite name………………work ID number…………………………………

H. Measurement Related

Work name……………………… work ID number …………………………has been executed in Gram Panchayat from……………………to………………… The total quantity as per measurement book for this work is ………Cubic Metre. But during the physical verification of worksite, it has been found that there a difference of total…………………Cubic Metre quantity.

1. Tell the participants to peer review it and give feedback on:
   a) Specificity
   b) Verification details
   c) Clarity in findings
   d) Basic primary details of GPs
   e) Day, date, and signatures

2. End the session with a caution that these documents have to be sent to C&AG and will be part of the state reports to be presented before State assembly, so the authenticity, integrity, and purity of the report needs to be maintained.

Ask the participants to go through sample handout of social audit report to get a better understanding of social audit report

Social Audit Sample Report (Another sample is provided in Hindi as a handout)

Test Audit Report, Uttar Pradesh. This report is prepared by a Consultant, MoRD

I. Introduction to GP

Raipur Panchayat, Ranipur block, Distt:Mau

Village: Maharwapur, Palia, Mussehpur, Raipur

Job card issued: 2444, Members:2968

Total works done: 19, Completed:15, Ongoing:4

Total Expenses: Labor: ₹ 7,84,788; Material: ₹ 7,48,788; Total: ₹ 15,33,571

II. Process Followed

8 VRPs identified from amongst existing panel, four from the same block and four from adjoining block. Four Job card holders 4 SC and 2 women.

Trained for two days on existing formats, 400 (300 families who worked as per muster roll in that financial year and 100 others who had a job card or wanted to have a job card, verified and all 17 works verified before Gram Sabha and Scheduled caste families visited separately.

Gram Sabha conducted in the presence of DDO, BDO, APO, PS,GRS and 400 villagers, compiled muster rolls and work details pasted on wall.

Stalls for job card application, work demand and application for individual works for SC received during Gram Sabha.

III. Main Findings

S.No	Irregularity in implementation of MGNREGA identified in the Test Audit	Whether covered in the SAU Audit Report (Yes/No/ Partially- do elaborate)
Registration and job card related	No entries in job card as seen in five job cards mentioned in- annex 1 46 Job cards not with workers kept by Pradhan - -annex 2 14 families of other Panchayats issued job cards in this panchayat- annex 3 6 workers from SC families need job cards to work in MNREGA works but not provided- annex 4	No
Work selection and Demand	Work selection and prioritisation not done in Gram Sabha,Gram Sabha register could not be made available. Priorities not followed as per annual action plan, work 1 to 3 not taken in the year 2013 -14- annex 5 Individual beneficiaries 8 out of 10 from SC families Labor-material ratio is not maintained, it is 52:48 Work demand mechanism is missing,Work demand and allotment register not available ,7 workers complained of not getting work- annex 6 when needed, 22 workers in -annex 2 also complained about this	No
Work, quality and utility	Land levelling work 1 to 10 in annex 7 has been completed and all beneficiaries seemed satisfied.Though the traces of work could be located, the estimates seemed to be inflated	

Scheme Details

Name of work	Measurement Deviation	Worksite board	Utility
10 Land levelling schemes	Inflated estimates	Not found	Useful to avoid water logging
All weather road from Khichdu Yadav to Baliram	None	Not found	Useful to walk during rains and harvesting seasons
Brick soaling from CC Road to Devmuni house	Hume pipe worth ₹ 5031/ not found	Not found but expenditure ₹ 3500 booked	Useful
All- weather earthen road from Risai yadav to Bhusi Pasi	Measurement showed but expenses not seen in MB	Not Found	Useful
All- weather earthen road From Paras Tewari house to Nala	Hume pipe worth ₹11,889 not found at work site ₹ 559/extra expenses shown Page 14 The administrative sanction of 0nly ₹ 75,000/taken, later technical estimate increased to ₹1,00,005/ without any approval	Not found but expenditure ₹ 3500 booked	Useful
Earthen work From Ramjanam Singh pokhari to Kailash Yadav	Duplication of work.This work was done during last Pradhan's tenure and only some part done this year ₹85,851/ expenditure not justified	Not Found	Useful
Soak pit Total 29 (15 and 14)	No cover in 15 soak pits Depth less than 8 to 12 inches in all soak pits	Only one board provision in estimate that too not found	20 soak pits not in use
Pakka nail karya From Anusuchit jati basti to Narhu Ram	Only half drain is covered,the cover specification of 2 and half inches by 2 and half inches reduced to two by two inchesWork worth approx.. ₹50,000/not done	Not found ₹3500/ booked	Work incomplete shown complete

Brick soaling from Palia	Fake work this work has been done by last	Fake work	Complete work shown
Pitch road to Naala	Pradhan Ramdaras RamFake muster roll and MB prepared Amount of ₹1,33,252/ shown as expenditure has not been done Photography found in only three schemes. provision of ₹300/ and 600/ made in estimates total amount of ₹10,000/ shown as false expenses in the name of photograph	Material supply from fake agencies not physically present Ankit Traders is an agency registered under name of Pradhan's family members	

Wage Payment	46 Fake names in muster roll ₹ 2,13,558/payment shown in their name- Annex 8	No
	Less amount paid to four workers1200/paid cash against actual payment of ₹17,750/-Annex 9	
	Job cards used for fake entry as rent of 8 workers ,cash paid to them for using their job cards -annex 10	
	Five dead workers name in muster roll,Gram sabha confirmed that three have died before the work period 2013-14 amount worth ₹ 5112/shown as payment to them	
Work site facilities	No provision of mate and worksite facilities found in estimates and was not provided	No
Transparency accountability grievance redressals	Complain register not found.Complains are registered at block during Tahsil Diwas, Rozgar diwas not organised. Panchayat office non existent, only asset and registration register found not updated in personal possession of PS	No

IV. Comments on the Quality of Social Audit Conducted by the UP SAU Team in the Same GP

The calendar sent by SAU was followed and a trained team was assigned the task. The team did not receive any documents till one day before the audit.The Gram Sabha was disturbed by miscreants and BSAC complained and cancelled the audit process. He gave a written application to BDO about that, The BDO also gave a written notice to PS and GRS to hand over the documents but that did not happen and so on ground no audit actually was conducted

The BSAC then sent the filled up format depicting no findings to DSAC and that was entered in the MIS. BSAC even recommended for payment of the team where nothing had happened as he described earlier.

The team looked oriented and trained but seemed helpless. Coordination amongst DSAC and BSAC was poor.The complaint against BSAC for compromising with Pradhan to give wrong reports was common.

The pressure on BSAC and DSAC for sending favourable results by district and block officials was quite visible as they are the one who recommend for their payment which remains pending for a long time.

V. Suggestions for Improving Social Audits in Future

- The training days needs to be increased in future for VRPs focussing more on verification methods,orientations of all stakeholders at district and block level before audit also seems essential.The exit conference needs to be organised after each round at block and district level
- The tenure of VRPs should be 3 years based on their performance
- The DSAC and BSAC need not to be posted in a district and block on a permanent basis but they should move with the team as required on rotational basis
- The payment of all SAU personnel including VRPs needs to be done through SAU
- The availability of documents to the team is to be made mandatory 15 days ago
- The presence of IMPLEMENTING AGENCY functionaries to be made mandatory in Gram Sabha
- VRPs to be engaged in a way to provide atleast 150 days' work in a year and their honorarium to be increased with TA and DA
- VRPs also need to be effectively used for awareness and mobilisation of workers when not engaged in social audit
- Gram Sabhas to be publicised in newspapers and observers' presence to be mandatory
- Contingency amount for office expenses to be made available at district and block level
- The data entry to be ensured at district level within 7 days and payment to VRPs to be ensured within 7 days
- 100 per cent muster roll and asset verification needs to be done and so no. of days and no. of persons needs to be fixed based on number of schemes and no of workers that worked during that period.

Expected Outcomes

- Participants will have learnt about the concept of reports and their importance
- They will have had an opportunity to see the sample social audit report and would be aware of what it is like
- They would be able to differentiate between an ordinary report and a social audit report
- They would be able to write a social audit report using the template
- They would know how to present the report.

Materials Required

- Case study of issues identified
- Model Social Audit Report
- Social Audit Report template
- Board and marker
- Chart papers and sketch pens.

Day 16/Session 2: Community Mobilisation (3 Hours)

In the previous sessions we have discussed the steps in social audit, social audit MIS, importance of verification, evidence building, technical verification and report writing. These processes are important in the actual conduct of social audit. Community mobilisation for the Gram Sabha/Public Hearing (Jansuvai) is integral part of the social audit process; it brings to the fore the final result of the social audit's findings.

In this session we are going to discuss aspects of community mobilisation, with a focus on   strategies and the process of mobilisation.

Let us begin with what community mobilisation means. Community and mobilisation are two different concepts. Community is a group of people living in the same place and/ or having a particular characteristic in common. Not all communities are based on a common place – of residence or work. Communities with common interests for instance, could be scattered across regions but connected through the internet. Communities can be based on the caste, religion, language, territory, common culture, principles, norms and practices, or common concerns. However, while the idea of community implies something that is common, as practitioners we need to grasp the complexities of community and understand the differences between people who may appear to belong to one community. This will enable us to engage more effectively with community.

In our focus on social audit, we focus on the community of unskilled labour or community that receives entitlements in poverty alleviation programmes of the government, and those specifically living in rural areas. So we work with communities that have common needs and concerns and live in a particular area.

Mobilisation is an act of marshalling and organising and making ready for use or action; mobilisation is the process of convincing, and gathering people around a particular issue or sets of issues. Once people are mobilised, they can be organised for further action. Through the social audit process, social auditors mobilise people when they discuss their issues with them and inform them about entitlements and the social audit process. These people can then be organised towards participating in the Gram Sabha.

In rural India, mobilising the marginalised communities is a challenge due to the caste -based hierarchical society,economic/class based domination of particular sections of people from the village to other levels, and the ways in which power is exercised by these sections to further their own interests. It has been found through research and field practice that village resources, political and economic power is concentrated in dominant castes. The most vulnerable groups in the village are those who come from lower castes and classes who find it difficult to shake off the social, economic, cultural and political domination that they have been under for many years. Those who have seen or experienced this in their own lives would understand how complex the situation is and that one incident or event where the marginalised ask questions and challenge a situation is only a beginning, but a significant one.

There are many ways in which we can understand how power is exercised by the dominant groups, why they do not want to give up what they have had for many years and why the marginalised sections seem to accept the situation. However, for the present, we focus on understanding the ways in which dominant groups prevent marginalised sections from accessing programmes and entitlements. Because of this, large sections of the population continue to be socially excluded. One example of such exclusion is the general Gram Sabhas; in most Gram Sabhas, Dalit and Adivasi groups do not

get space to represent their issues due to political domination. The real challenge before social auditors is to mobilise these communities who have historically been prevented from accessing their human rights. Since the programmes and policies are focused on them, it is our responsibility to strengthen this platform and build confidence in them to stand up and speak about their issues. Social Audit is not just a fault-finding tool, it is a tool for empowerment with the social auditor playing a vital role in building confidence amongst the vulnerable groups. Hence we need to understand the socio-political dynamics of the village when we mobilise the community.

Social auditors can use various strategies to mobilise communities such as informing people about Gram Sabha during door- to- door verification village rally and one night before the Gram Sabha - songs, skit performances, use of local media and musical instruments.

Session 2: Objectives

- To develop understanding about community dynamics and community mobilisation
- To build understanding about the role of caste, class and political domination in pushing the poor into vulnerable conditions
- To develop skills to deal with socio-political dynamics for community mobilisation
- To develop sensitivity towards conditions of socially backward communities and commitment to pay special attention to their empowerment
- To build a pro-marginalised perspective for community mobilisation in the social audit process.

Design of the Session

Session two begins with a brief introduction on the topic and its importance. The facilitator would make sure that participants have clarity about the concept of community, community mobilisation, and socio-economic and political dynamics. The trainer would discuss methods and strategies to mobilise communities, and facilitate the poverty and resource mapping game with participants. In conclusion, s/he will summarise the importance of community mobilisation, positive discrimination in community mobilisation, priority to certain communities and their needs.

Instructions to the Trainer

- Help the participants understand the socio-political dynamics of village by building on their understanding and experiences
- Draw out examples from their daily life about how domination takes place in the village context
- Ask them to share their observations and experiences about the Gram Sabha in their village, whether lower caste people get equal opportunities to participate in the same, and so on
- Try to get them to participate in the discussion so that the key points that you want to make emerge through the interaction
- Facilitate their understanding through the Poverty and Resource game.

Activity Guide (Poverty and Resource Game)

- Get 5 strikers (that are used for carom games) with sizes big to small
- Get 100 small marbles
- Put those marbles in small circle

- Select 5 volunteers randomly to hit the strikers

- Each of the five volunteers will respectively throw strikers from 5 feet, 7 feet, 9 feet, 11 feet, and 13 feet away from main circle

- Ask other participants to observe the game carefully and note down their observations

- The volunteer with the big striker is to hit the circle of marbles from 5 feet distance; they can take away whatever marbles they are able to get out from the circle

- Next the second volunteer is to hit the circle of marbles but from a distance of 7 feet from the circle. Similarly, the third volunteer is to hit it from 9 feet and the fourth one from 11 feet distance.

- Lastly, the last volunteer with the smallest striker can hit the circle from a distance of 13 feet. If there are any marbles remaining, then they can hit and take away whatever they can get out from the circle.

- After the game,the details are discussed

- First ask the volunteers how they feel about the opportunity given to them with different sizes of strikers and distances

- Next ask the other participants to share their observations

- Explain to them how resources have been distributed in the hands of various sections of population; those who have most of the resources get more opportunities while those who do not have resources, do not get opportunities

- Relate the meaning of the game with caste, power and class in the village context

- Bring the discussion to the role of social auditors; discuss their role in helping the most marginalised person, in mobilising them and making them stand up for their rights

- Summarise the discussion by asking participants what they have learnt from this game.

Expected Outcomes

- Participants would strengthen their understanding about village dynamics

- They will build sensitivity to work for the poor

- They will gain nuanced understanding of the village caste, class and political power structure

- They will develop skills to deal with such political dynamics

- Participants will be aware about the importance of and strategies for community mobilisation.

Materials Required

- Poverty and Resources game script
- Marbles
- Strikers
- Coloured chalk
- Board and marker
- Chart papers and sketch pens.

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DAY 17 : GRAM SABHA, PANCHAYATI RAJ & PUBLIC HEARING

Session	Topic	Hours
1	Gram Sabha, Panchayati Raj and Public Hearing	6

Day 17/Session 1: Gram Sabha, Panchayati Raj and Public Hearing (6 Hours)

In the previous sessions we have discussed the steps in social audit, social audit MIS, importance of verification, evidence building, technical verification, report writing and community mobilisation. To understand the theory of social audit and the process of conducting it we have had in-depth discussions in previous classes. Today we are going to discuss one of the key components of the social audit process, which is as important as it is challenging - the Gram Sabha, Panchayati Raj Institutions (PRIs) and public hearing and its relation with social audit.

In the earlier session on the Constitutional framework, we learnt about the Gram Sabha and PRIs. Through the 73rd amendment of the Indian Constitution, Panchayati Raj Institutions have become an important part of rural development. PRIs with the three-tier system implement rural development policy. In the PRI system the Gram Sabha has a very important space. Article 243A of the Constitution defines the Gram Sabha and says that a Gram Sabha may exercise such powers and perform such functions at the village level as the legislature of a State may, by law, provide. The PR system has created space for the empowerment of the backward castes and communities through providing reservation of seats for them in the three tiers.

The Gram Sabha is organised differently for the social audit process. According to the MGNREGA Audit of Scheme Rules, 2011,in the Gram Sabha for social audit preference is given to the wage seekers and not to any people's representatives. According to section 17 of MGNREGA the social audit concludes with the reading of the report in the Gram Sabha. In some States they have introduced public hearing at cluster/mandal/block levels. Research shows that that public hearing at the block level is more beneficial to wage seekers than at the Gram Sabha. The public hearing is where people and social auditors present the facts and issues with implementation of the programme in front of government officials and peoples representatives at the block level. Most of the times due to political domination wage seekers are not able to stand up for their rights but in the public hearing with support of higher government officials they are able to represent their issues. Hence public hearing is considered an important step in social audit.

The major role of the Gram Sabha in social audit is summarised briefly below:

- Discuss the findings of the social audit verification in the SA Gram Sabha
- Review compliance on transparency and accountability, fulfillment of rights and entitlements and proper utilisation of funds
- All elected members of Panchayat, implementation staff, NGO staff, SHG members, disbursing agencies to be present in the Gram Sabha
- Gram Sabha will be a platform "to all villagers" to seek and obtain information and responses

- Gram Sabha will be a platform to any person who wants to present any relevant information

- DPC or an official of an appropriate level as nominated by the DPC has to attend the Gram Sabha

- Gram Sabha begins with reading out of the action taken report relating to the previous social audit

- Gram Sabha to be conducted in a neutral public space, not in the village of the panchayat - head

- The Gram Sabha chaired by elderly villager who is not part of Panchayat/ any implementing agency

- All decisions and resolutions in the Gram Sabha shall be put to vote

- During the Gram Sabha all issues must be recorded in writing and evidence should be gathered for all issues raised

- The entire proceeding of the Social Audit Gram Sabha shall be video recorded and uploaded on website without editing. The video recording will also be stored in the custody of District Programme Coordinator.

In this session we are going to discuss in detail the concept of Gram Sabha, the difference between general Gram Sabha and social audit Gram Sabha, the PRI system and public hearing.

Session 1: Objectives

- To develop understanding of the concept of Gram Sabha, the difference between general and social audit Gram Sabha

- To build understanding about the need for Gram Sabha in the social audit process

- To build understanding of the concept and process of public hearing and role of social auditors

- To understand the concept of public audit, social audit and democratic accountability through Gram Sabha and public hearing

- To understand the challenges of organising and facilitating a social audit Gram Sabha

Design of the Session

This will be a full day session. The Trainer will begin by providing a brief background and introduction to the topic. The trainer will facilitate the discussion with leading questions given in instructions.

Instructions to the Trainer

- Make the presentations given in the kit

- Ensure that the participants are clear about the general Gram Sabha and social audit Gram Sabha

- Avoid a one- way interaction and give opportunities to participants to ask their doubts and to contribute to the discussion

- Link the theoretical part of the inputs with the session on the constitutional framework held on Day 2.

Activity 1 Guide: Mock Gram Sabha- Role Play

- Ask for 5 volunteers from among the participants for the role of observers

- Make sure that observers also have understanding of caste, gender and class

- Ask them to step out of the training hall

- From the group in the hall, ask for one volunteer and assign them the role of Sarpanch, another to play the role of Village secretary, and some to be Gram Panchayat members

- Divide the other participants into groups to play various caste and class groups of the village, with a few to play upper caste and politically dominant group roles; some participants are to play the role of MGNREGA wage seekers belonging to Dalit and Tribal communities

- Give the instruction to all participants to organise a Gram Sabha; the seating arrangement is to be as is usual in the village Gram Sabha; the agenda of the Gram Sabha is to be MGNREGA work, construction of roads in village and drinking water issues; participants should enact exactly what happens in their village Gram Sabha; the Sarpanch is to be the president of Gram Sabha

- Go out from the training hall and meet the observers; ask them to go into the hall and observe the ongoing process of Gram Sabha and note down all their observations

- Call the observers into the training hall

- Start the Gram Sabha, and give 30 minutes for the role play

- At the end, ask observers to present their observations, based on which you need to facilitate a discussion highlighting the following points: organising Gram Sabha is a challenging task; how fights take place, domination happens, how some people do not get the opportunity to participate in the process etc.

- Ask participants about the role of social auditors in such situation; make sure they understand the role of social auditors in the Gram Sabha and how they should facilitate the process to get the participation of marginalised people

- Summarise the discussion.

Expected Outcomes

- About gram sabha: participants will get clarity about the concept of Gram Sabha and its legal provisions, they will understand the difference between general Gram Sabha and social audit Gram Sabha, and the process of conducting Gram Sabha; they will be aware about the complications and challenges to organise the Gram Sabha, and they will be prepared to take on the challenges in organising Gram Sabha in social audit; They will also link the concept of transparency and accountability with Gram Sabha

- They will understand the concept of public hearing and its importance; they will be aware about the concept of the public audit and need of people's participation for sustainable development

- They will have understanding of the role of Gram Sabha and public hearing to empower the vulnerable groups of society and gain in sensitivity towards them

- They will understand the process of providing public platform to all concerned to discuss about the social audit report that has been validated by Gram Sabhas and initiate various types of action based on the nature of findings by an appropriate authority

1. It can be organised at Panchayat/cluster of panchayats/block level where wage seekers with issues can attend along with a government authority of the rank of SDM who is authorised to also initiate punitive/disciplinary action in the cases of embezzlement, corruption and misappropriation along with corrective and suggestive actions

2. It is conducted as court proceedings and DRP/BRP/VRP need to present their case with evidences and testimonies to establish the correctness of the report to get decisions in favour of wage seekers and community at large as advocates.

Activity 2 Guide: Film Screening (Araria Public Hearing)

- Screen the documentary available in the training kit
- Ask participants to observe and note the process shown in the documentary
- Ask participants to volunteer to summarise the film.

Points for Discussion

Ask participants:

- To link their observations from Gram Sabha to public hearing
- Their observations such as how they presented the public hearing
- What precautions social auditors need to take
- What preparation the social audit team does for conducting the social audit
- Participation of women

Expected Outcomes

- Participants will get opportunity to see the process of social audit Gram Sabha and public hearing
- They will learn about the nature of issues that come up and how they should be presented in the Gram Sabha/public hearing
- They will get an opportunity to see how political dynamics work in open forums such as Gram Sabha and public hearing
- They will prepare to play the role of social auditors keeping these lessons in mind.

Materials Required

- Projector, laptop and documentary in soft copy
- Board and marker
- Chart papers and sketch pens.

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DAY 18 : SOCIAL AUDIT REPORT VALIDATION, SUBMISSION AND AUDIT RULES

Session	Topic	Hours
1	Quiz	1
2	Dissemination of Information –Process, Steps, How and Where	1
3	Social Audit Report – Validation in the Gram Sabha and Finalisation; Submission to Different Authorities and Follow-up – Steps and Process	1
4	Audit of Scheme Rules	1
5	Social Audit Field Work Preparation	3

Day 18/Session 1: Quiz (1 Hour)

Session 1 on day 18 is an assessment session in which the learning from previous sessions will be tested through a quiz on topics covered from days 8-17. Lead course coordinators will distribute the quiz format to all the participants. Time to complete the test and other rules as specified in the form will be communicated. At the completion of the quiz, participants will hand over the test papers to the course coordinator, who will count, compile and put them in sealed envelopes for correction.

Session 1: Objective

• To revise the content and learning of the past ten days.

Design of the Session

Session one begins with a brief introduction about the quiz. The trainer will explain the nature of questions, and how and who can answer.

Expected Outcomes

• Participants will revisit the learning
• They will clear their doubts before going for fieldwork
• The trainer will get an idea about the participants' understanding of topics
• The trainer will evaluate the participants.

Materials Required

• Quiz format and answer sheets
• Board and marker.

Day 18/Session 2: Dissemination of Information – Process and Steps (1 Hour)

The goal of social audit is to bring transparency and accountability in the system. The dissemination of information related to the scheme is one of the important parts of social audit. The information related to the scheme must be made available for public in different ways such as through wall painting, keeping documents in Gram Panchayat for everyone to see, reading the findings in the Gram Sabha, practicing janta information system etc. Social auditors as such need not themselves undertake all tasks related to dissemination of information but ensure that it takes place.

In this class we shall learn about dissemination of information. We have discussed the right to work, right to information campaign, and rights based legislations, and the struggle for right to information. The right to information campaign led to very interesting experiences with government officials not being ready to give the information. The Official Secrets Act was often forwarded as reason for not disclosing information and maintaining secrecy of official documents. The provision for transparency and accountability in the MGNREGA and Right to Information Act made it compulsory for all government departments to disseminate important information. At the village level, it is the Village Information Officer's responsibility to disseminate the information related to all schemes, but for a number of reasons this is rarely done. In this class we shall focus on wall painting and other ways of disseminating information.

Session 2: Objectives

- To develop understanding of ways to build transparency and accountability in the system through dissemination of information
- To introduce the importance and methods of information dissemination in the village
- To make participants aware that they need to train villagers to access the information on village walls
- To build skills to promote transparency and accountability.

Design of the Session

Session two begins with a brief introduction on the topic by the trainer. The trainer will speak about the concept of dissemination of information and methods. S/he will explain how we can maintain transparency through such practices. The trainer mentions that this session will have a presentation on wall paintings, and some group work followed by discussion.

Instructions to the Trainer

- Start session with asking them about the types of information that participants feel should be disclosed from the point of view of workers
- Ask them the challenges in disclosing and using information in the village context
- Make the presentation on wall painting explaining the entire process from acquiring the relevant information from the website, to painting it onto walls and discussions around it.

Activity Guide: Group Work

- Show samples of records that have been painted onto walls and lead a discussion on the appropriateness of the location of the wall painting and the usefulness of the content

- Impress upon the trainees their role in using wall painting as the first step to building workers' confidence to speak freely at the Gram Sabha, as a step towards empowering them

- Ask them how they can help the workers to access information.

Expected Outcomes

- Participants will get to know about methods for bringing about transparency such as wall paintings and other ways of information dissemination

- They would prepare themselves to explore the 'transparency wall' as an information dissemination option in their own village as well as in the field where they undertake social audit

- They will gain awareness about the importance of transparency through such innovative methods

- They will develop their skills and perspective to promote transparency and accountability in the system to empower the wage seekers.

Materials Required

- Sample photos of wall painting
- Presentation.

Day 18/Session 3: Social Audit Report- Validation in the Gram Sabha, Final Submission to Various Authorities and Follow-up (1 Hour)

In session 3, day 18 we shall learn how to undertake validation of the social audit report and the process of its final submission to the authorities for follow-up. As discussed yesterday, social auditors write reports and present them in the Gram Sabha. Gram Sabha is the public forum where the cross verification of the information that has been gathered takes place and the reports get validated. The issues/problems that the social auditor finds through the data are verified in public at the Gram Sabha. It is the social auditor's responsibility to verify the information in order to avoid any unfair consequences for people concerned.

In cases where the person(s) responsible in the local implementing agency at the Gram Sabha level, accept/s the mistake and is/are ready to face the consequences, the social auditor needs to drop the related paragraph from the public hearing report before submission for public hearing at the block level. Once an issue gets resolved in public it may be dropped. The issue needs to come in Public Hearing in writing with remarks from Gram Sabha. In some cases the wage seekers may have misunderstand a point and the person in the implementation agency may be wrongly held responsible for it. In such cases if other wage seekers present think that the complainant has misunderstood a point, the issue may get dropped. Also whatever issues have been raised by the wage seekers need to be read in public and after informal approval of the Gram Sabha that data or information gathered is considered valid. The reason behind cross verification is for the social auditors to be able to follow-up till the level of the court. Without strong evidence issues may not be considered valid. Thus, it is the social auditor's responsibility to collect proper evidence, write quality report supported by evidence and read it out in the Gram Sabha. The social audit report should be written in the standard format so that it is easy for it to be read out in the Gram Sabha, and to be followed up.

The social audit report must be submitted to the Block Resource Person, who must submit the report to the District Resource Person. The DRP submits the report to the DPC and the social audit unit. After the Gram Sabha, social auditors send the report to the higher authority to take action on findings from the social audit report.

In the public hearing, each Panchayat and other implementing agency need to present whether they accept what the Gram Sabha has recommended and has any action been initiated by them on the issues raised. The findings can be challenged by GP authorities or implementing agency. The person chairing the Gram Sabha has to take a decision based on the evidence provided along with the respective Gram Sabha report.

Some States do not carry out public hearings and send the report for necessary action to block and district programme coordinator. In this case DPC or BPO again go for departmental enquiries to cross check which is time-taking. The responsibility of social auditors does not end with sending the report; they need to follow-up on the action taken by the vigilance wing.

Session 3: Objectives

• To develop participants' understanding about report formats and social audit report writing process

- To build ability to write a good report with proper evidence
- To develop awareness about validation of report, submission to higher authority and follow-up process.

Design of the Session

Session three begins with a brief introduction to the topic by the trainer: the trainer will give information about the concept of report validation in the Gram Sabha, its final submission to various authorities and follow-up. S/he will explain the role of social auditors in developing an authentic report and presenting in the Gram Sabha. The session will have a presentation, group activity and discussion to understand the concept.

Instructions to the Trainer

- Make the presentation about the expected quality of the report based on evidence
- Present the standardized content of a model report
- Make sure that the participants gain understanding about the seriousness of a social audit report, its presentation in the Gram Sabha, and who it has to be submitted to
- Explain the follow-up process clearly.

Group Activity 1 Guide

- Divide the group into two teams
- One group can be assigned the role of VSAs and the other, the DPC
- Give them copies of previously submitted social audit reports, and ask them to check if they meet the requirements and to identify gaps, if any
- The VSA group is asked to present the findings in as clear and concise manner as possible and the DPC group is to examine it from the point of view of actionable points
- Next, the format of the social audit report to be submitted may be shared with all the trainees
- Each section and column should be examined and discussed by participants in detail
- More time may be spent if necessary, so that all doubts are cleared
- Ensure that participants understand their role in these steps of social audit.

Group Activity 2 Guide

- Print out a set of formats (as taken from the MIS) from the Gram Panchayat selected for field work
- Ask each trainee to study the formats
- Ask them to fill out the portions of the covering sheet of the Social Audit Report as derived from the formats
- If they face difficulties during this practice session, guide them to solve the same.

Expected Outcomes

- Participants will learn about the process of validation of the reports
- They will gain awareness ofdifferences between social auditors and implementation agency staff over issues presented
- They will learn about the social audit report format
- They will become aware about necessity of sending the report to higher authorities and follow-up.

Materials Required

- Activity guide and presentations
- Print outs of the MIS of field work GP
- Social audit report formats.

Day 18/Session 4: Audit of Scheme Rules (1 Hour)

In this session we shall learn about the legal guidelines for social audit – specifically the MGNREGA Audit of Scheme Rules, 2011. As we have discussed with regard to rights based legislations, social audit for MGNREGA has been made compulsory. Before going on to discuss the social audit rules let us talk about what rules mean. Any Act passed in Parliament provides a larger framework of legal provisions that are considered compulsory. To implement these legal provisions an operational guideline and framework is needed; these are the rules for particular Acts.

In 2006, the MGNREGA rules were framed, but less attention was paid to the social audit provision mentioned in section 17 (1) (2) and (3) of the Act. Till 2011, social audit was carried out with limited guidelines with freedom given to States to implement social audit as per the provisions. The complicated and challenging part in social audit was that it should be done in the Gram Sabha. The Gram Sabha forum has critics who pointed out that due to socio-political dynamics at the village level the poor unskilled labourers do not get much space to participate. In the absence of conscious efforts to address this concern, it was found that social audit was taking place on paper and not in the field.

In 2010-2011 policy researchers and civil society organisations brought this field reality to the government's notice. After long discussions and debates by the policy advisory team, bureaucrats and researchers, the Government of India passed the MGNREGA Audit of Scheme Rules, 2011. Through this the Government of India thus came up with universal compulsory guidelines to implement social audit in each State.

For the first time in rural development history, through the MGNREGA, social audit has legal support for its conduct in the village. As social auditors you need to know about the legal provisions and support to conduct social audit.

Session 4: Objectives

- To provide the background of legal provisions for social audit and the rule-making process
- To clarify the difference between the Act and Rules with the example of MGNREGA and Social Audit Rules, 2011
- To familiarise participants with Audit of Scheme Rules, 2011 as the larger and basic framework for social audit.

Design of the Session

Session four begins with a brief introduction to the topic by the trainer. The trainer will give in brief, information about differences between an Act and Scheme Rules. Further s/he will discuss the MGNREGA and Audit of Scheme Rules, 2011. Then s/he will explain the session plan: it will have a presentation, group activity and discussion, to enable them to understand the Audit of Scheme Rules, 2011.

Instructions to the Trainers

- Provide the copy of Audit of Scheme Rules, 2011 to each participant

- Give 5-10 minutes to participants to read the same
- Explain and discuss each line and paragraph
- Provide the background wherever needed e.g. special Gram Sabha in social audit, its need, process and importance
- Ask them if they have any doubts or questions
- Make sure everyone has read the guidelines and understood everything.

Expected Outcomes

- Participants would be aware about the difference between the Act and Rules
- Participants would learn about the Audit of Scheme Rules and their importance and role in social audit.

Materials Required

- Copies of MGNREGA Audit Scheme Rules, 2011.

Day 18/Session 5: Social Audit Field Work Preparation (3 Hours)

Day 18 session 5 will be spent in preparation for social audit fieldwork. The social audit practicum component will of one-week duration. You are expected to apply the classroom learning from previous session to conduct social audit of ongoing MGNREGS work at selected Gram Panchayats.

Session 5: Objectives

- To make sure that all the participations are aware about the focus of field work
- To inform the participant about the logistical arrangements for fieldwork
- To prepare them for fieldwork

Design of the Session

Session five begins with a brief introduction by the trainer. The trainer will give the information about the nature of preparation for the fieldwork. They will discuss each point in detail with the participants. The dos and don'ts, preparations, action plans, as well as roles and responsibilities of each individual in the field will be discussed.

Instructions for the Lead Course Coordinator

- Have prior meeting of the master trainers to discuss and plan fieldwork details
- With the support of the course coordinators and SIRD select the Gram Panchayats where the scheme is being implemented and participants can do the fieldwork for 7 days
- Discuss all arrangements related to the field in the class room
- Make sure the course coordinator, and others who are going to be in the field to support the participants, are present for this session so that participants are familiar with them
- Ensure that the required documents in the field have been collected from the offices concerned
- With the support of the course coordinator, divide the participants into four groups
- Make sure the required money for the field visit is with course coordinator
- Ensure that SIRD and the course coordinator have made necessary arrangements
- Prepare a checklist of everything needed for use each day by the course coordinator and team leader in the field is ready.

Logistics

- Make sure the course coordinator has made the logistical arrangements in the field
- Introduce the field coordinator for each group and convey the information to participants
- Give responsibilities to the participants to take care of finance, food, logistics, documents etc. It will be those members' responsibility to arrange and manage these aspects and to be in touch with the course coordinator
- The volunteer handling finances should collect the money for field expenses from the course coordinator
- Give them the information about their travel plan from training centre to the Gram Panchayat
- Explain how they will be dropped and picked up by the course coordinator
- The participants must know where they are going to stay in the village and what will be their daily activity from morning to evening

- About food, explain where they will have the food e.g. SHG women's homes, wage seekers' homes, anganwadi karyakarta's home, hotel. (They should not have food at the houses of those associated with political parties or active in village politics such as Sarpanch, GP members, gram Rozgar Sahayak, Panchayat Secretary etc)
- The fixed stipend/DA has been decided by the office, so convey the information to participants that they have to eat food within the available amount
- Collect the contact details of key members in the group. Make sure they have one team leader or coordinator who can be in touch with the course coordinator
- Explain to whom, how and in which situation they should call the course coordinator.

Documents

- Teams have to carry the kit of documents. Tell the participants about the seriousness of documents and their importance. Tell them, it will be their responsibility to carry the documents/kit and use it carefully in the field
- They should not lose any documents
- In the field, participants have to maintain daily dairy which they will submit to the course coordinator at the end of their field work period
- They should collect proper evidence in the field
- The original field work report with evidences should be brought back to the training centre
- Participants must also bring back the minutes of the Gram Sabha along with the village signatures.

Process

- Explain the plan of action in the field. It is provided in the kit
- Explain when they have to do the door- to- door verification and worksite verification. Suggest that preferably they should do door- to- door verification in the mornings and evenings and worksite visit around noon and after lunch
- You can quickly revise with them the details of the social audit process, document verification, evidence collection, report writing, Gram Sabha etc
- Instruct and discuss with them how they should conduct the Gram Sabha, and that they should be professional and not casual while conducting Gram Sabha
- They should handle carefully any critical situation that may arise in the Gram Sabha
- Their communication in the Gram Sabha should be polite and not offensive to anyone.

Ethics

- Explain the ethical concerns to the participants. They should understand that they are not to make any false promises to anyone
- They are there to learn from the field work process
- Make sure that the participants have understood their role in the field
- They should treat all their fellow members equally
- Tell the participants that it is their responsibility to write the truth in the report
- They should be respectful to the women members

- They should treat wage seekers and other stakeholders in the field with equal respect
- Tell the participants that their behavior should make wage seekers comfortable to share their issues
- Participants should be not biased towards anybody in the field on the basis of gender, caste or religion; they should do the social audit without biases
- They should take a stand for truth, and against injustice with the wage seekers
- They should be punctual in the field
- For more details see ethical code in the manual introduction.

Crisis/Emergency Situations

- In case of any emergency, the team leader along with other team members are to take the advice of the course coordinator and act according to their suggestion
- In any critical situation, participants concerned must act with patience and not panic. They need to speak with the course coordinator
- If participants find that they are faced with some problem in the Gram Sabha, they must talk to the course coordinator and get the support required such as police protection
- Tell the participants not to take critical decisions on their own
- Tell them not to argue in the Gram Sabha with any individual; they are to just present the facts. If the wage seekers are not standing up to speak about their complaint such issues are to be dropped
- Carry the first aid kit to avoid any health issue. In critical situations related to group members' health, the group coordinator has to talk to the course coordinator and take further action
- Tell participants that if they feel any threat to their life or physical attack, they should be alert and keep informing/updating the course coordinator
- The team leader with his/her communication skill can try to resolve minor issues in the field
- Tell the participants that when they are in the field they are not individuals; they are a team and they should be together in any critical situation; they must support each other.

Expected Outcomes

- Participants would be clear about the framework and guidelines for fieldwork
- They would have the necessary information, documents, and instructions, and be prepared
- Members would be organised into teams and prepare to work with these fellow members for 7 days
- Communication between the course coordinator and team members will be established so that they can be in touch on an everyday basis.

Materials Required

- Expenditure details of four GPs along with supportive documents
- Field checklist
- Contact details of each group member
- Field persons who would be supporting the fieldwork for each team, to be present for the session.

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Social Audit Gram Sabha, Belgaum, Karnataka, 2016. Photo Credit: Ujjwal Pahurkar

DAYS 19-25 : SOCIAL AUDIT PRACTICUM

Social audit is linked to realisation of fundamental rights such as the right to access to information and the right to public participation. Social audit is an ongoing process through which beneficiaries, elected representatives and the general public are involved at every stage of the implementation of MGNREGA: planning, implementation, monitoring and evaluation. Social audit is done by comparing official records with actual ground realities with the participation of the community in the verification exercise and reading out the findings of the verification exercise aloud in a public platform.

Social audit is conducted by the Gram Sabha of the panchayat. The resource persons identified by the State Social Audit Unit at the State, District, and Block and Village level facilitate the social audit. The resource persons collate records, verify the records with the people, record their grievances, visit worksites, organise information in an easily understandable manner and present a report based on their work to the Gram Sabha. The Gram Sabha deliberates on the findings and the implementing agencies have to respond to the report presented. Social audit is a joint exercise between the government and civil society; it is incomplete unless there is time bound follow-up and feedback on the grievances identified in the process of social audit.

Major Objectives of Social Audit

- Promotes transparency and accountability in the implementation of MGNREGA
- Informs and educates people about their rights
- Provides a platform for people to express their needs and grievances
- Promotes people's participation in all stages of the implementation
- Strengthens participation in the Gram Sabha, makes it an inclusive and participatory institution and a platform for positive collective action
- Improves the capacity of people who participate in the social audit
- Strengthens the scheme by deterring corruption and improving implementation.

Minimum Principles of Social Audit

- Village Social Audit Facilitators (VSAFs) need to have access to the complete information prior to social audit. They need to have enough time to assimilate and verify the information provided to them by the administration
- A social audit Gram Sabha should mandatorily have officials present to answer queries raised
- Outcomes of a social audit must have legal sanction. States should enact rules for this
- Social audits must be conducted once in every 6 months
- Social audit Gram Sabha must be presided over by an authority other than from the implementing agency. Therefore, the Sarpanch cannot preside over the social audit Gram Sabha
- The quorum of a Gram Sabha as defined in the State Panchayati Raj Act will apply to the social audit Gram Sabha too

- The social audit public forum and the social audit public hearing should be open for all members of the public to participate. This includes people from the press, Civil Society Organisations, elected representatives, SHG members, Bharat Nirman Volunteers amongst others

- The VSAFs should present all recorded information to the Gram Sabha orally

- Social Audits must include the exercise of taking decisions on each deviation presented, which is recorded in the social audit public forum resolution

- A social audit is incomplete unless there is time- bound follow-up and feedback on the grievances identified in the process

- A social audit is a joint exercise between government and civil society. It is the responsibility of the Gram Sabha to conduct a social audit with the help of the social audit facilitators. But acting on the grievances identified during a social audit within a fixed time period is the responsibility of the State government

- Civil society organisations should be an important part of the social audit. They should participate in the social audit Gram Sabha and social audit public hearings. Support should be taken from CSOs of the area to conduct trainings and hold workshops to review the progress being made on social audits. CSOs must also be actively involved in creating awareness on the importance of participating in social audits within the community.

MoRD and C&AG have jointly notified rules, which shall define the conduct of social audits across the country. These are known as the Mahatma Gandhi National Rural Employment Guarantee Audit of Scheme Rules, 2011.

It is important to understand the operational structure of the MGNREGA and the key responsibilities of crucial officials to undertake social audit.

Division of Roles and Responsibilities in MGNREGA

Gram Sabha

- Promotes a participatory planning approach to find out people's needs and works that can be taken up

- Approves a prioritised list of projects to be taken up under MGNREGS

- Approves individual beneficiaries

- Conducts social audits on implementation of the scheme.

Gram Panchayat

- Prepares a development plan and maintains the shelf of works to be taken up under MGNREGS

- Registers those who are willing to work under MGNREGS and issue job cards to them

- Receives applications for work and issues a dated receipt to the applicant

- Allocates work to those who demand it and asks them to report for work

- Displays a list of persons who are being provided with work on its notice board
- Implements works that have been sanctioned by the Programme Officer
- Makes all relevant documents available to the Gram Sabha for the purpose of social audits
- Keeps a copy of MRs available for public scrutiny at the GP Office
- Monitors the implementation of the Scheme at the village level.

Gram Rozgar Sewak

- Maintains all MGNREGS documents at the Gram Panchayat level, and ensures that these documents are available conveniently for public scrutiny
- Ensures that the norms of transparency and "pro-active disclosure" are observed in the Gram Panchayat
- Oversees the process of registration, distribution of job cards, provision of dated receipts against job applications
- Ensures the smooth and timely flow of information within the Gram Panchayat, as well as between the Gram Panchayat and the Programme Officer
- Oversees job applications, allocation of work, payment of wages, payment of unemployment allowance and other activities held on the weekly "employment guarantee day" at the Gram Panchayat level, and being personally present on that day
- Ensures that the requisite Gram Sabha meetings and social audits are held.

Mate

- Forms groups, marking out the task required to earn the minimum wage (as per the Schedule of Rates)
- Maintains muster rolls at the worksite (including recording the names of workers on the first day of work and marking attendance every day)
- Ensures the authenticity of data in the muster rolls, and the quality of work execution
- Ensures that each group on a daily or weekly basis does the task
- Ensures provision of worksite facilities- provision of shelter, designating labourers for provision of childcare facilities and water, medicine kit
- General worksite supervision.

Programme Officer at Block Level

- Ensures that every applicant is provided unskilled manual work in accordance with the provisions of the scheme within 15 days
- Prepares a plan for the block by consolidating the project proposals prepared by the GP and other implementing agencies
- Matches the demand for employment with the employment opportunities available at the block
- Receives applications for work and issues a dated receipt to the applicant
- Notifies applicants to report for work

- Ensures fair and prompt payment of wages to labourers

- Sanctions and disburses unemployment allowance

- Monitors projects taken up by GP and other implementing agencies within the block

- Ensures that regular social audits of all works are carried out in the Gram Sabha

- Deals promptly within 7 days with any complaint that may arise in connection with the implementation of the scheme

- Prepares an annual report on the implementation of MGNREGA in the block.

District Programme Coordinator

- Information dissemination

- Training

- Consolidating block plans into a district plan

- Ensuring that administrative and technical approvals to the shelf of projects has been accorded on time

- Release and utilisation of funds

- Ensuring hundred percent monitoring of works and Muster Roll Verifications.

District Resource Persons

- Resource persons identified and positioned by the State Social Audit Unit.

Village Social Audit Facilitators

- Facilitators identified by the Social Audit Unit to handhold and support the Gram Sabha in conducting social audits.

Key Documents for Social Audit

As per the Audit of Scheme Rules, 2011 the following records along with their photocopies need to be provided by the PO to the Social Audit Unit at least 15 days before the social audit Gram Sabha:

1. Job card register
2. Employment register
3. Work register
4. Gram Sabha resolution
5. All administrative, technical and financial sanctions
6. Work estimates
7. Work commencement order
8. Muster roll issue and receipt register
9. Muster rolls
10. Wage payment acquittance & order
11. Materials – bills and vouchers (for each work)

12. Measurement book (for each work)

13. Asset register

14. Stock register

15. Action taken report on previous social audits

16. Complaint register

17. Any other document required by the Social Audit Unit.

As per the MGNREGA Operational Guidelines, 2013 any request for copies of MGNREGA related documents has to be provided within 3 days and no information is to be withheld by invoking Clause 8 of the RTI Act dealing with exemptions.

Social Audit Public Hearing

The social audit public hearing should be a forum that is open to the participation of all elected representatives, media, representatives of CSOs, all interested people specially members of marginalised communities including SCs, STs, OBCs, NT-DNTs, Muslims, women and others, implementation officials from Line Departments, Block, GP and District and NREGA workers. Nobody should be stopped from attending or participating in a social audit public hearing. The District Programme Coordinator shall be responsible for nominating a senior officer not less than the rank of Tehsildar for presiding over the public hearing. The Social audit public hearing should have a panel to respond to the social audit findings and can include representatives of the implementation authority, CSO, media, etc. A copy of the report of the social audit public hearing should be maintained in the GP and Block Office and should be available for all people free of cost within 24 hours of the social audit public hearing having taken place.

Steps for Social Audit

Step 1: Context Setting- Meet the government officials including PRIs functionaries, ward members; division of participants into teams for conducting social audit in 4 Gram Sabhas.

Step 2: Collection of records required for social audit (door-to-door visit, discussion with the government functionaries and beneficiaries, review of the documents).

Step 3: Filling information gaps, verification, and dissemination

• Filling the information gaps through MIS data

• Verification of collected data

• Visit to worksite

• FGDs and discussions with the beneficiaries

• Creating awareness about MGNREGA and social audit (through discussions, songs, street plays, puppet show, pamphlet distribution, awareness rally with school children, use of slogans etc.).

Step 4: Consolidation of records required for social audit.

Step 5: Ensuring a high government official participation in Gram Sabha as well as support and participation from the beneficiaries.

Step 6: Preparing the Social Audit Report.

Step 7: Social Audit Gram Sabha (Presenting the social audit report, sharing of evidence and testimonies, and submission of the report).

Step 8: Follow-up of the social audit Gram Sabha.

The SIRD will nominate a Field Coordinator who will facilitate and guide the whole process of social audit by the participants (social audit team).

Session: Objectives

- To practice the technical and other inputs learnt so far (Day 1-18)
- To work along with all the stakeholders of social audit (importantly community and government officials)
- To carry out social audit and learn to deal with challenges in the field
- To learn to undertake the entire exercise in a team.

Instructions to the Participants

- Follow the guidelines for code of conduct and field visit guidelines

Social Audit Practicum Guidelines

The social audit practicum is the fieldwork period for the participants from Day 19-25 of the course. It is meant to help the DRPs practice their skills as social auditors. During these 7 days, the participants will undertake all tasks necessary to initiate and successfully conduct a social audit. They will learn to collate records, verify the records with the beneficiaries, record their grievances, visit worksites, organise information in an easily understandable manner and prepare a report based on their work to be disseminated at the Gram Sabha. They will present the report during the Gram Sabha and ensure that the officials concerned take the required responsive measures. Importantly the participants will get a first hand experience to work with the government officials and beneficiaries and promote peoples' participation at all the stages of social audit. The earlier 18 days of training builds the knowledge, attitude and skill base for this 7 day social audit practicum.

Objectives of the Social Audit Practicum

1. To strengthen participants' understanding of the background and concept of social audit
2. To help them learn how to obtain information from the NREGA MIS, and the RTI for conducting social audits, understand the formats, the document audit, types of documents, data and their use in social audit
3. To develop understanding about relevance, importance, and methods of building evidences in social audit
4. To develop their skill to measure technical works
5. To build skills to write social audit reports, and the technical report
6. To build their ability to mobilise communities and community segments for effective social audit.

Organising the Social Audit Practicum

The Lead Course Coordinator is to organise and coordinate the social audit practicum along with the SIRD and SAU representatives who are in charge of the programme. The following points may be considered when planning the practicum:

- Try and work out the broad details of the practicum before the course begins. This will allow you as the coordination team, time to finalise details once the participants arrive and the course starts

- By day 6 or 7 the LCC would have interacted sufficiently with the participants to be able to form them into smaller groups for the practicum in the field. Make the groups, though they need not be announced early. Inform the participants about the groups a couple of days before the practicum. They should be ready to work with any group that they are situated in. The LCC may consider the following criteria when forming the groups: mix of more experienced social auditors and those with less experience; gender balance (there must be at least 2 women in the group); avoid placing a woman alone in a group; this will depend on the number of male and female participants in the batch); mix of participants across ages; mix of participants in terms of fluency in the language of communication, and in writing reports etc.

- Identifying the Gram Panchayats where the teams will be sent is a crucial step in the planning. Some criteria that could be considered here are: GPs that are not too far away from the SIRD (they could be in different blocks), so that communication for the coordination team is not difficult; GPs where MGNREGA works have been carried out and social audit can be feasible; where specific villages can host a group of 6-7 participants; GPs and villages where officials as well as people's representatives can be informed about the practicum and would lend reasonable support to the activity

- Participants would be placed in groups, ensuring that they do not go to their own village/block or ones that they are familiar with

- Ensure that the participants are clearly briefed about the purpose of the practicum, the nature of their assignment during the days they are in the field, expected code of conduct

- Each team must have a leader who will coordinate on their behalf. This person needs to be a responsible and mature individual who can also address dynamics within the team

- All the members of the coordination team at the SIRD would need to take up the responsibility of coordination and supervision of the practicum. They can do so by spending a few days with each team and moving across each of the GPs where the teams are placed for the practicum period.

Instructions to the DRPs for Social Audit Practicum

In preparation for the practicum, the following instructions need to be given to the participants:

1. Please carry the following items for the practicum
   - Format MIS/Social audit
   - Pen
   - Recorder
   - Camera

- Bag
- Clothes & essentials (7 days)
- Measuring Tape
- Scale
- White paper
- Torch
- First Aid Kit
- Mosquito Coil
- Bed Sheet
- Technical Manual
- Trainee Handbook
- Trainee Journal
- Identity card

2. Please note on reaching the village, the social audit team (DRPs) meet with PRI representatives, ward members, technical functionaries and other officials at the block and village level and obtain the necessary permission to carry out social audit

3. Here the DRPs will get

- Permission from authorities concerned
- Maps of the hamlets
- Documents/records
- List of important numbers (technical functionaries, Sarpanch, LCC, SIRD, BDO Office, Collector's Office etc.)

4. The participants will be divided into 4 teams for conducting social audit in 4 Gram Sabhas. Each team will further be subdivided into smaller groups for the various days to share different tasks and responsibilities for undertaking social audit

5. A Field Coordinator appointed by the SIRD will guide the whole process of conducting social audit

6. The process of social audit is spelt out in detail in the training manual. Please refer to the same (collection of records; verification and consolidation of data; preparation of the social audit report; social audit Gram Sabha; follow-up)

7. There will be de-briefing of the practicum on days 26 and 27 of the course. It will be an opportunity to reflect on the social audit experiences and work on the identified knowledge and skill gap for doing social audit. The facilitator will also give feedback on self-conduct, execution of the social audit and social audit report written by the DRPs

8. The social audit practicum performance and report prepared by each participant is a graded component of the course.

1. **Initial Meeting and Planning:** The Social Audit Team meets with PRI representatives, ward members, technical functionaries and other officials at the block and village level. The necessary permissions will be given. The chairperson to preside over the social audit Gram Sabha will be appointed and the date for the conducting the social audit gram sabha will be decided. The participants will be divided into 4 teams for conducting social audit in 4 Gram Panchayats. Each

team will further be subdivided into smaller groups for the various days to share different tasks and responsibilities for undertaking social audit.

A Field Coordinator appointed by the SIRD will guide the whole process of conducting social audit. An engineer will also be appointed to assist the team in undertaking social audits. SIRD will provide all the necessary technical assistance and material support. The social audit teams will also meet the Gram Panchayat members and have a discussion clearly stating the purpose of their visit and eliciting support for the same. Also the team will get route charts of the village hamlet and will set a date to collect the workfile, MIS data and other required data from the Gram Panchayats.

2. **Collection of Records:** The types of records collected will depend on the schemes that will be audited. The focus of the social audit practicum will be on undertaking audit of different works and implementation of MGNREGA in various hamlets. The following documents need to be collected for carrying out the social audit. The team will also have printouts of social audit formats of the concerned GP from the MIS.

Name of Record	Contents	Level at Which Record is Maintained
Job Card	Days worked and wages earned by the individual MGNREGA worker	MGNREGA Worker
Nominal Muster Rolls (NMRs) / E Muster Rolls	Work name, administrative sanction number, muster roll number, period of work, worker job card number, worker attendance, signature of workers and sanctioned amount	Project Implementing Agency (PIA) and Programme Office, Block
Muster Roll Receipt Register	This register will contain details of muster rolls received from the Block office	GP
Muster Roll Receipt Register for other Implementing Authorities	This register provides date-wise information on receipt of muster roll and the works for which it is issued for all non-GP PIAs	At the GP Level
Muster Roll Issue Register	Details about total muster rolls issued by the Block to different PIAs & GPs	Programme Office, Block
Job Card Application Register	This register will contain the name of the applicant, date of receipt of application and the details of job cards issued	GP and PO
Job Card Receipt Register	Will contain details about job cards received from the block office	GP
Job Card Issue Register	Details about total job cards issued by the block to GPs	Programme Office, Block

Employment Register	This register will contain information on details of application for work, allotment of work, performance of work and the wages or unemployment allowance paid to the worker.	Panchayat Secretary, GP and PO, Block
Gram Sabha Meeting Minutes Register	Prioritised list of works approved by the Gram Sabha	GP
Shelf of Works	Prioritised & approved list of works that are to be taken up	GP
Works Register	This register contains details of each work such as serial number, name and address of PIA, date on which work was started, its cost, location, completion date, expenditure incurred, date on which completion certificate was issued.	Panchayat Secretary, GP and PO, Block
Assets Register	This Register contains details of the asset, its cost, location, current status, benefits derivable and the details of works	Panchayat Secretary, GP and PO, Block
Complaint Register	This register contains the date of receipt of the complaint, the details of the complainant, the action taken on the complaint, response of complainant on Action Taken Report (ATR), and the date of final disposal.	Panchayat Secretary, GP; Programme Office, Block; DPC, District
Tender/Contract Register	This register will contain information on details of tender advertised by Gram Panchayat/block/district	Panchayat Secretary, GP; Programme Office, Block; DPC, District
Material Procurement Register	Information on details of material procured	Panchayat Secretary, GP; Programme Office, Block; DPC, District
Voucher Folder	This folder contains details of all vouchers kept in a serial number. These have to be linked up to the corresponding entries in the cash book	Panchayat Secretary, GP; Programme Office, Block; DPC, District
Cash Book and Ledger	All payments and receipts	Panchayat Secretary, GP; Programme Office, Block DPC, District

Stock Register	This register contains details of all the receipts and issues of the stock items under MGNREGA	Panchayat Secretary, GP Programme Office, Block; DPC, District
Bank Reconciliation Statement Folder	This folder contains bank reconciliation statements to reconcile the differences between the balances as per the bank column of the cash book and withdrawals / receipts made from the dedicated MGNREGA bank account	DPC
Monthly Allotment and Utilisation Certificate Watch Register	This Register contains date-wise information on allotment, expenditure, balance available with the implementing agency and the details regarding submission and pendency of utilisation certificate	Programme Office, Block
Administrative Sanction	Every work should receive administrative sanction from the DPC before starting	PIA & Programme Office, Block
Work Estimate, Technical Sanction	Every work should have a work estimate & technical sanction	PIA & Programme Office, Block
Gram Sabha Resolution	Only works that are approved and prioritised by the Gram Sabha should be started	Panchayat Secretary, GP Programme Office, Block
Work Commencement Order	Programme Officer should issue this at the start of a new work	PIA
Measurement Book	At the end of every work week, the technical assistant should measure the work done and record it in the M Book	Programme Office, Block
Wage List	List of people who worked in a particular week along with wages earned	PIA & Programme Office, Block
Work Completion Certificate	Document that certifies that the work is closed	PO

3. Verification and Consolidation of Data: Besides the above documents, information needs to be collected from the beneficiaries through door- to- door visits and interaction with people in small meetings. The social audit team will visit the workers individually, visit all worksites and works undertaken under MGNREGA and verify all records and expenditure incurred by the GP during the audit period. The social audit team must hold focus group discussions with wage seekers, PRI representatives, marginalised communities including SCs, STs, OBCs, NT-DNTs, Muslims, women, people with disability and others in neutral public spaces.

During the visit and interaction with the beneficiaries, the social audit team will also be recording the grievances (through video recording, written documents) and collecting evidence. The MIS data will be an important reference point to verify the data collected from the beneficiaries and visit to work sites.

The crucial element in the social audit process is to mobilise community and ensure their participation in the social audit. To achieve the same, the teams will spread awareness about the upcoming social audit Gram Sabha and MGNREGA. The teams will share the scope and purpose of undertaking the social audit and encourage participation. The awareness about MGNREGA and social audit could be created through different media. These various awareness mediums will reiterate the importance of public participation in effective implementation of the MGNREGA and holding the government responsible for its action.

Before the social audit starts, social audit team must organise an orientation programme/ interaction session with the Sarpanch and other elected representatives to explain the objectives and benefits of a social audit.

1. **Preparation of the Social Audit Report:** A day prior to social audit Gram Sabha, the team will prepare the social audit report according to the provided format.

2. **Social Audit Gram Sabha:** The social audit Gram Sabha will be conducted with following steps

- Introduction by the team lead on the theme, duration and coverage of the social audit

- Introduction of chairperson and the panel

- Reading out list of persons in attendance to be put in the minutes

- Reading out of expenditure incurred in conducting the social audit in the Gram Panchayat

- Gram Sabha comments on the quality of the social audit conducted and whether there are any complaints on the conduct of the social audit team

- Reading out the expenditure incurred in MGNREGA works in the GP. Each work name, material purchased for it, number of people that worked on it has to be announced

- Presentation of Social Audit Report of each Gram Panchayat. A copy of the social audit report should be given to presiding officer who can note down the decision on each issue

- On every finding that is read out in the social audit Gram Sabha by the team, the evidence of the job card holder along with the version of events of those blamed with indulging in irregularities, shall be recorded in the social audit report

- The social audit report, which includes the findings of the social audit along with the response recorded by the presiding officer, should be read out at the end of the Gram Sabha

- Comments by nominee, panel, officials, chairperson on issues and discussions to be held in loud and clear environment compulsorily over the microphone

- The social audit teams should facilitate workers to submit their grievances and demand in writing to the GRS who will be present at the Gram Sabha and make sure they get dated receipts for the same

- Vote of thanks.

3. **Follow-up:** Social audit does not end with the Gram Sabha. That is only half the process. A social audit is not complete unless there is time bound follow-up action on the grievances that are

identified during a social audit. Time bound follow-up is the responsibility of the State governments towards all the people who have participated in the social audit in the State. A copy of the report of the social audit Gram Sabha should be maintained in the GP office and should be available for all people free of cost within 24 hours of the social audit Gram Sabha having taken place.

4. **De-briefing of the Social Audit Practical:** Days 26 and 27 (de-briefing session) give the participants an opportunity to reflect on their experiences and work on the identified knowledge and skill gap for doing social audit. They will also get feedback from the facilitator on their self-conduct, execution of the social audit and social audit report.

Expected Outcome

By the end of 7 days' social audit practicum, the participants will have undertaken all tasks to initiate and successfully conduct a credible social audit. They would have learnt to collate records, verify the records with the people, record their grievances, visit worksites, organise information in an easily understandable manner and prepare a report based on their work to the Gram Sabha. They would have presented the report during the Gram Sabha and ensured the required responsive measures are taken by the concerned officials. Importantly the participants would have had a firsthand experience to work with government officials and beneficiaries and promote peoples' participation at all the stages of social audit.

Materials Required

- Permission from concerned authorities
- Maps of the hamlets
- Documents/Records
- Format MIS/Social audit
- Pen
- Recorder
- Camera
- Bag
- Clothes & essentials (7 days)
- Measuring tape
- Scale
- White paper
- Torch
- First Aid kit

Women Participating in Gram Sabha at Bijoliya, District - Bhilwara, Rajasthan, 2014.
Photo Credit: Digvijay

DAY 26 : DE-BRIEFING

Session	Topic	Hours
1	De-Briefing	3

Day 26/Session 1: De-Briefing (3 Hours)

Good morning and welcome back from fieldwork. As per the plan, discussed before you went for fieldwork, you would have done the door- to-door verification, work site verification, collected the evidences, mobilised people, conducted the Gram Sabha, presented findings in Gram Sabha and submitted the report to higher authority, and brought the copy with you. I hope you remember all these tasks and you have undertaken them all.

You must have had several interesting experiences and observations in the field that you want to share with other colleagues. In this session we are going to share our experiences from field. This would also be done keeping in mind the guidelines for conduct of credible social audit that you have learnt in earlier sessions. The question is whether the MGNREGA policy discussed in the classroom is getting implemented in accordance to its design. If not, what are the issues and problems that you came across? These are the lines along which we will discuss our field practicum experience.

Session 1: Objectives

- To draw out the field experiences of participants and discuss with fellow participants
- To understand the field issues from each other's experiences
- To understand the work of participants in the field, issues they faced, how they dealt with them, and to note the growth in their understanding and behaviour through the practicum.

Design of the Session

Session one begins with a song (cultural activity), after which the trainer proceeds with the session. It will be a discussion on the experiences of participants from the field. The trainer will use the points given for the discussion and facilitate the same. At the end s/he will summarise the points that have emerged in the discussion.

Instructions to the Trainer

- Ensure that the participants sit together and not according to their groups

- Start the session with a cultural activity such as a song, a moral story etc.

- The discussion should be informal; make it more open and try to encourage participants to share observations and insights from the field

- Make sure that the points being shared by the participants get recorded (note them down on chart paper, board or video record)

Leading Questions

- How do you feel after attending 18 days of classes and 7 days of field work?
- What difference did you find between the classroom training and the field?
- What tasks did you undertake in the village?
- How was your experience of door- to- door verification and work site verification?
- What were the major issues you found during field work?
- What were the difficulties you faced in field work?
- What kind of support did you get from the wage seekers?
- What is the socio-political dynamic in the village?
- How does social and political domination work in the village? What is its impact on the poor?
- What was your experience related to Gram Sabha?
- What difficulties did you face to mobilise wage seekers for the Gram Sabha?
- What were the difficulties you faced to conduct the Gram Sabha?
- How did you resolve those difficulties/issues?
- What are your key learnings from the process of verification and evidence building?
- What are the key learnings from conducting Gram Sabha?
- According to you what aspects should be considered as important during field visit and Gram Sabha?

Expected Outcomes

- Participants will get the opportunity to share their experiences, and achievements with peers
- Participants will discuss the complications and issues they faced in the field which will help others to gain understanding and ideas for their work
- Facilitators will get an idea of the depth of work by the participants and what further inputs and clarifications are needed
- List of points from the discussion will help in curriculum strengthening for future batches.

Materials Required

- Board and marker
- Chart paper.

Instructions for Presentation

The facilitator will give brief instructions about the following day's presentations. Each group will have to make a presentation about their fieldwork. Each group should cover the following points in their presentation:

- Number of job cards of the village
- Category-wise job cards of SC, ST, OBC, and others.

- Works details of the village in brief
- Beneficiary details category-wise (SC, ST, OBC & Others)
- Door-to-door verification and field verification process
- Findings in brief
- Photos, videos and other documents.

The second half of the day will be allotted to participants for report writing.

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DAY 27 : PRESENTATIONS BY TRAINEES

Session	Topic	Hours
1	Presentation of Social Audit Field Work Reports	Full day

Day 27-Session1: Presentation of Social Audit Field Work Reports by the Trainees (Full Day)

The participants will utilise Day 27 for making presentations of the social audit field work reports. All trainees will be provided equal duration of time to make their presentation. Each presentation will be followed by a brief discussion facilitated by the lead course coordinator. Important points, common questions will be noted for clarification by the lead course coordinator at the end of the session. Efforts will be made throughout the session, to encourage participants to connect their experiences with theories, principles and components of legal framework taught in the classroom.

Social audit report write-up and presentation is a graded activity. It is the responsibility of the lead course coordinator to ensure the seriousness of the participants and also to enable them to prepare adequate quality presentation and reports. The participants should improve their reports by incorporating comments received during discussions following the presentations.

Material Required

- LCD Projector and Laptop
- Prepared Presentations based on SA reports
- Classrooms.

DAY 28 : STATE SOCIAL AUDIT UNITS - ORIENTATION AND TRAINING SKILLS

Session	Topic	Hours
1	State Social Audit Units – Orientation	2
2	Training & Facilitation Skills	4

Day 28/Session 1: State Social Audit Units – Orientation (2 Hours)

The Director of the State Social Audit Unit (SAU) will provide orientation about the functioning of the SAU. It will be a lecture given through a presentation.

Rule 4 of Audit of Schemes Rules, 2011 stipulates that all State Governments shall identify or establish an independent organisation, "Social Audit Unit" (SAU) to facilitate conduct of the Social Audit of MGNREGS works. This Social Audit Unit may be either a Society or a Directorate, independent of the implementing departments/agencies. The Director/chief executive officer of the society/directorate shall be a person who has worked in the social sector for the rights of the people for at least 15 years. The work may also be outsourced to an outside agency preferably an NGO that is not involved in the planning and implementation of the Scheme but possesses adequate experience of having worked in rights and entitlement based programmes.

It is the responsibility of the SAU to identify appropriate number of State Resource Persons (SRP), District Resource Persons (DRP), Block Resource Persons (BRP) and Village Resource Persons (VRP), to facilitate the Gram Sabha in conducting social audit.

The content in the Training Manual for this session has been taken from MGNREGA Operational Guidelines, 2013 and MGNREGA website.

Roles and Responsibilities of SAU

- Build capacities of Gram Sabhas for conducting social audit
- Identifies, trains and deploys resource persons at the village, block, district and State level, "drawing from primary stakeholders and CSOs"
- Prepares formats, material, guidelines and manuals
- Creates awareness amongst workers
- Facilitates verification of records "with primary stakeholders and worksites"
- Facilitates smooth conduct of "social audit Gram Sabhas"
- Hosts SA reports and ATRs
- SAU shall have quality monitors to facilitate evaluation of asset quality during the social audit
- Provisions for regular inspection and supervision of works by quality control teams to ensure proper quality of work as well as to ensure that the total wages paid for the completion of the work is as per the quality and quantity work done.

Role of Resource Persons Deployed by SAU

- Resource Persons "along with primary stakeholders" need to verify muster rolls, entries and payments along with wage seekers listed on muster rolls, work sites, cash book, bank statements, invoices, bills, vouchers, other related records used for procurement, any payment made

- The Social Audit teams shall conduct door-to-door visits to meet beneficiaries of the MGNREGS under Audit and share relevant information with them. These teams shall also visit project sites and physically verify whether completed projects match information contained in the records of implementing agencies

- Inform labourers and community about the SA Gram Sabha

- Verify whether wall paintings showing details of money paid to all JC holders have been done and whether the details contained in them are a true reflection of the records on the MIS/what they are in possession of.

Key Features of State Social Audit Unit

- The Social Audit Unit shall be responsible for building capacities of Gram Sabha for conducting social audit by identifying, training and deploying suitable resource persons at village, block, district and State level drawing from primary stakeholders and other civil society organisations having knowledge and experience of working for the rights of the people. The Social Audit Unit will create awareness amongst the labourers about their rights and entitlements under the Act, and facilitate verification of records with primary stakeholders and work sites.

- Trained resource persons should be identified to facilitate the process of Social Audit. These trained resource persons in turn train the village community in carrying out the verification process. The resource persons can be drawn from primary stakeholders, civil society organisations, Bharat Nirman Volunteers (BNV), who have knowledge and experience of working for the rights of the people

- Bharat Nirman Volunteers who are literate youths selected from villages and look after a cluster of habitations in ensuring the entitlements, could be used as village resource persons in conducting social audit

- The trained resource persons deployed for facilitating social audit in a Panchayat shall not be residents of the same Panchayats.

- The Social Audit Unit shall be responsible to prepare social audit reporting formats, resource material, guidelines and manuals for the social audit process

- The social audit teams shall conduct door-to-door visits to meet beneficiaries of the MGNREGS under audit and share relevant information with them. These teams shall also visit project sites and physically verify whether completed projects match information contained in the records of implementing agencies

- The Social Audit Unit shall be responsible to host the social audit reports including action taken reports in the public domain.

- The Social Audit Unit shall facilitate smooth conduct of social audit by Gram Sabhas for reading out and finalising decisions after due discussions

- The implementing agency shall at no time interfere with the conduct of social audit

- The implementing agency of the scheme shall provide requisite information to the Programme Officer for making it available to Social Audit Unit at least fifteen days prior to the date of commencement of the social audit.

Day 28/Session 2: Training & Facilitation Skills (4 hours)

The focus of this session is on how to train the Village Resource Persons (VRP). The VRPs are the key for an effective social audit as they are the ones conducting the social audit in the field. This session is activity/exercise focused. We will be doing two activities to understand and experience the skills required for training the VRPs. It is very important to work on self at first, before training others. In this session you will learn how to be an effective trainer. It is day 28 of the training and you have by now met many trainers and experienced different pedagogies. You must have had an opportunity to reflect upon yourself as a trainer in the preceding days. This session is focused on building your training skills.

The session has 2 activities focused on building training skills and is followed by theoretical inputs on skills required to be an effective trainer.

Session 2: Objectives

• To learn facilitation and training skills

• To reflect and experience what would it take to be an effective trainer.

Design of the Session

The four-hour session is divided into Activity 1 (1:30 hours), Activity 2 (1 hour) and Theoretical Inputs (1:30 hours).

The session starts with 2 activities and is followed by a lecture on theoretical inputs on training and facilitation skills.

Activity 1: Building Discussion Method Skills

In any meeting or discussion, facilitation is very important. This means that the discussion needs to be conducted in such a way that certain aspects of effective communication are kept in mind. As earlier, when interacting with adults the facilitator needs to keep in mind the fact that they have experiences and views of the world, and therefore they are not minds into which new ideas and information can be brought in as simple inputs. Training sessions with adults need to allow for them to share their experiences. This makes learning dynamic and positive and the training environment more equal rather than hierarchical and top-down.

We have all been part of meetings and discussions where we wondered what the point of it was, where confusion of ideas prevailed, and the facilitator was not able to achieve what they could have. So we know that there are several things that can go wrong with a discussion.

In this session we will introduce to you one of the methods through which you can facilitate a discussion effectively. Whether or not you use it in the same way in the future, this exercise will enable you to make note of critical components of facilitation of any discussion. This is the Discussion Method. It was developed by the Institute of Cultural Affairs (ICA) in Canada and has been used extensively in various workshops.

What is a Discussion Method?

This is a **four-step** method of facilitation. It can be demonstrated with a group watching a film, or reading a small article/note. This is followed by a discussion, which is led by a facilitator through

simple to more complex questions about the film/note/article. So the facilitator needs to frame 1-3 questions that focus on 4 steps. These steps are based on various faculties that we all use:

Objective: the discussion begins with establishing facts: what did you see/ hear?

Reflective: participants are asked to speak about how they felt about what they saw/heard. This takes the discussion to the next level.

Interpretive: the participants are asked questions about why something happened? What can be possible explanations for it? What does this mean? What does this tell us about…and so on.

Decisional: here the participants are asked what they take away from the film/note/article. For instance, they can be asked to speak about any two ideas they will take forward.

This is the four-step method through which the trainer can take this session. It must be mentioned that the sequence of the four steps is important: begin with facts, then go on to emotions, then interpretation, and then decisions; the facilitator is to ensure that participants say all they want to in response to questions asked at each stage and do not jump to other stages. The detailed note about this method is provided in the toolkit.

This process introduces participants to the discussion method experientially so that the method can be used as a skill and not just for knowing about it.

Objectives

- To learn about the process of the discussion method
- To develop the skill to use the Discussion Method.

Activity Guide

1. Give brief introduction to Discussion Method of Observation > Reflection > Interpretation > Decision (ORID). Write this down on chart paper for everyone to see

2. Show the film. (Any powerful video related to their field upon which ORID process can be used)

3. Get participants into groups of 4 and let them discuss through each of the four stages. As facilitator, manage the structure and ensure groups shift from one stage to another. 4-5 minutes for each stage

4. Ask each group to present for 2 minutes each summary of their discussion

5. Next draw attention to the process of the Discussion Method. How effective was it? How will it aid training VRPs?

Expected Outcomes

- The participants will learn about the Discussion Method experientially
- They understand that facilitation of discussions needs to be methodical.

Materials Required

- Projector for film screening.

Activity 2: Back-2-Back Drawing

Objectives

This is a communication activity aimed to help participants:

- To speak with clarity
- To listen with intent to understand
- To effectively use questioning skills
- To learn to move from 1-way communication to 2-way communication.

Activity Guide

- Divide the participants into 2 groups (Group A and Group B). One member from A and one member from B make a pair
- Each pair sits back-to-back
- Give one person in each pair a paper and pencil. Drawing person(Group B)
- Give the other person in each pair the template of a shape. Direction Giver (Group A)
- The individual with the template has to get his/her partner to draw an exact duplicate of the shape on her sheet, using only verbal directions
- The first time through the exercise the "drawing person" (B) is not allowed to speak to the "direction giver" (A)
- Change B group people to pair with different participants from group A
- The second time, the drawing person (B people) can ask any question they like to participants from group A
- After they are done, the partners compare the provided shape with what was drawn.

De-briefing of the Session

- What was it like to give directions?
- What was it like to draw? How do you listen in daily life
- What was it like not being allowed to ask questions?
- How was it different when the person drawing could ask questions, from when one could not?
- Why are the pictures different, when everyone heard the same message?
- Do you think people communicate differently?
- How does 1- way communication differ from 2- way communication?
- How well do you use 2 -way communication in day- to- day interactions?
- What will you do differently in your communication from now?

Expected Outcome

The participants will learn the significance of two way communication and this will build their capacities as trainers.

Materials Required

- Clipboards
- Blank Paper
- Pencils
- Drawing Templates - Paper with one shape each.

The trainer needs to speak about and discuss the following principles as the session is summarised:

Principles of Adult Learning

- Adults learn best in a safe, friendly, supportive and challenging environment
- Adults learn throughout their lifetime and respond to external and internal pressures
- The past experiences of the adults need to be taken into account and valued during the training process
- The self-perception of the adult influences the learning process. Their self-perception are formed by their past experiences, how they have interpreted those and valued them
- Adults learn what is relevant and of immediate use to them.

Principles of Participatory Training

- The training is learner centric and focused on the needs of the learner
- Experiential learning is key to participatory training
- The focus of the learning environment is to enable participants to freely express themselves
- The training increases awareness and knowledge and builds skills, making learning relevant and complete
- The learner takes responsibility of learning.

Skills List for Trainers

(The following skill set is taken from UNODC's Training of Trainers Module- Participatory Training Methodology in Drug Abuse and HIV/AIDS Prevention)

Social Skills

- Greeting skills
- Listening skills
- Conversational skills
- Skills for making and maintaining relationships.

Skills for Working in Groups

- Presentation skills
- Group discussion
- Focus group discussion
- Feedback skills.

Personal Skills

- Problem solving
- Self-disciplining skills
- Assertiveness
- Negotiation skills.

A good trainer will therefore:

- Understand the need of the person and/or the group

- Identify the target audience's learning needs and learning styles

- Deliver and assess the training

- Measure/Indicate the learning outcomes of the training

- Have deep respect for the process of participatory democracy (social audit)

- Have a good understanding about the concept of adult learning

- Be supportive/relevant/participative/allow for self-directed learning

- Include/involve/engage all participants in their learning journey in terms of gaps in knowledge, skills and attitude

- Use local dialect/language for conducting the training

- Ensure retention and recall - Summarise important points at the beginning and end of a session. Review important ideas/breakthroughs with the participants

- Importantly a good trainer will have empathy, honesty, patience, ability to listen-motivate-encourage, be democratic and have respect for experience.

DAY 29 : PREPARATION FOR VRP TRAINING

Session	Topic	Hours
1	Assessment of Learning Needs of VRPs	2
2	Workshop on Developing the Curriculum for the VRPs	4
3	Review and Recapitulation of the 30 Day Training	1
4	End Line Survey (Monitoring)	1

Day 29/Session 1: Assessment of Nearning Needs of VRPs (2 hours)

One of the key objectives of this certificate course is that the DRPs transfer some of the learning to the VRPs. This course is therefore also Training of Trainers. You are aware that it is one thing to learn something for oneself, but another thing to teach what you have learnt to someone else. However, it is important that knowledge is shared, and passed on to more people. For working towards credible social audit, it is necessary that team members at all levels – State, district, block and village, are able to conduct social audit methodically within the framework of the Audit of Scheme Rules, 2011.

One of the fundamental points to keep in mind when planning any training programme is that different sets of learners may have different learning needs, and therefore may need to be taught in ways that acknowledge their situation and abilities. In the sessions today we plan to take you through a process of thinking about the profile of VRPs and social audit in your State, to designing draft content for the training that you will impart to VRPs in your block/district. It is suggested that this training be planned for a 3-day period, to begin with.

Session 1: Objectives

- To prepare the participants to take on training of the VRPs
- To enable them to translate some of their own learning in this course into planning training for the VRPs
- To arrive at a draft curriculum for VRP training, with essential content clearly spelt out.

Design of the Session

The day starts with the first group exercise where participants assess the learning needs of the VRPs. This session is for two hours. After the sharing and discussion of this group work, the second session focuses on preparation of a 3-day training curriculum for the VRPs.

Activity Guide: Assessment of Learning Needs of VRPs

The participants are divided into 5-6 groups (each group to have not more than 5 participants). Each group is given a list of questions that they need to discuss and answer. These are:

1. What is the role of the VRP in the social audit process?
2. What is the social, economic and educational profile of the VRPs?
3. What do we see as strengths of the VRPs?
4. What are likely to be limitations of the VRPs?
5. For their role in the social audit process, what do they need to know?

6. What are the skills they need?

7. What exactly are the tasks that they carry out?

8. What would be critical knowledge, information and skills that they need?

9. What is the best form (work sheets, toolkit etc.) in which we can provide them the inputs?

10. What methods of teaching/training will be most effective with the VRPs?

11. Where can the training be held?

12. What do we need to do to prepare ourselves to organise and conduct the training?

13. What are the likely challenges we will face in organising and conducting the training? How can we deal with them?

The groups are given about 50 minutes to an hour to discuss these questions. After they re-assemble, they share the answers. The trainer can take the discussion question-by-question. This part of the sharing session will be of an hour's duration. The participants' would then have an idea of the principles based on which they will design the draft curriculum for the VRPs in the next session.

Expected Outcomes

•   Participants build understanding of basic training skills

•   Development of a draft curriculum for VRPs.

Materials Required

•   Notebook and pen.

Day 29/Session 2: Workshop on Developing the Curriculum for the VRPs (4 Hours)

Session 2: Objective

• To develop the training curriculum for the VRPs.

Design of the Session

Based on the sessions so far, the participants will now work in groups to design a draft curriculum for the VRPs.

Activity Guide

The participants would be divided into small groups of 4-5 members and work out a draft with the following framework:

1. Essential content
2. Relevant pedagogy for the content
3. Day-wise outline for the 3- day training (objectives, session content)
4. Plan for material to be provided to VRPs- existing/to be prepared (work sheets, toolkit etc.)
5. Possible challenges for DRPs as trainers.

These will then be shared and discussed by the trainer. The session may conclude with finalisation of a draft that participants agree upon with the assistance of the trainer.

Expected Outcome

• The training curriculum for VRPs will be developed.

Day 29/ Session 3: Review and Recapitulation of the 30 Day Training (1 Hour)

The facilitator will close the 30-day training programme. Encourage the participants to work as ethical social auditors.

The following questions could be asked:

• Which has been some of the most impact full session?

• Any specific pedagogy that you found effective?

• Share some of the key learnings and memorable moments for you?

• How can some session be improved and strengthened?

• What is your biggest take away from the 30-day training programme?

Day 29 / Session 4: End Line Monitoring Survey

An end line assessment will be undertaken on day 29 of the training programme. The trainees district and block resource persons-will be provided with the assessment format by the lead course coordinators (LCC). The formats must be completed by the trainees and handed back to the LCC. The trainees are not allowed to use any aids such as reading material, cell phones or consult each other while completing the survey. LCC must ensure that all questions have been attempted and that there are no blank forms.

The objective of the end-line survey is to assess the improvement in knowledge base of participants after completing the programme.

The completed end-line forms must reach the team located at the Tata Institute of Social Sciences (TISS). The forms will be checked, collated and the data will be analysed at TISS. Indicators used for measuring the change in levels of understanding on subjects deemed important for conducting effective social audits are as follows -

- The Constitution of India
- Rural Development and Poverty
- Social Audit Principles
- MGNREGA and Public Works Programme Law and Rules
- Gender Sensitivity
- Community Organising Skills.

Social Audit Gram Sabha, Sihora District, Madhya Pradesh, 2013-14. Photo Credit : Social Audit Unit, Madhya Pradesh

DAY30: CULTURAL PROGRAMME AND CERTIFICATE DISTRIBUTION

Session	Topic	Hours
1	Cultural Programme and Certification	3

The 30-Day training session will close with a cultural programme. Participants helped by coordinators will organise the events and eminent people will be invited to discuss the programme with them. The contribution of the trainers and trainees will be acknowledged. The programme will close with the distribution of certificates on Social Audit to successful participants.

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Assessment and Evaluation Methods & Forms

Baseline Assessment Format
Course Evaluation Plan
Details of Course Assessments
Course Feedback

Baseline Assessment Format

Date and Time
Group Being Assessed
State
Location/SIRD Address
Name of the Lead Course Coordinator
Name of the DRP/BRP
Signed by Lead Course Coordinator
Total Points 50
Points Obtained by Candidates (to be filled later)

Instructions

One Form will be distributed to each candidate

Lead Course Coordinators will explain the format in 5 minutes

All candidates will be given 20 minutes to complete the format

Candidates must use ballpoint pens to write their answers

Candidates must not take the help of mobile phones/training material/other aids

Completed forms should be returned to Lead Course Coordinators

Lead Course coordinators must count and compile the forms in sealed envelopes

Sealed envelopes must be sent to TISS.

Read the given questions carefully and write your response in the last column. There are 50 questions in all. The first response has been filled.

SN	Question The Constitution of India guarantees all citizens the Right to Life	A True	B False	C Don't know	Answer A
1	Rural Development means	Improvement of lives of rural people	Increasing wealth in rural areas	Increasing the coverage of satellite television in rural areas	
2	Main challenge in rural development is	Poverty	Inequality	No Roads	
3	People are poor when they do not have	Income, Shelter, Food	Income, Education	Health, Education, Food, Income	
4	Poverty is caused by	Lack of Livelihood	Lack of Children	Lack of Industries	
5	The RLEGP was a	Food Distribution Programme	Public Works Programme	Building Shelter Programme	
6	The main objective of NREP was to	Generate work for rural unemployed	Build community assets	Both A and B	
7	Protection of Life and personal Liberty (The Right to Life) is associated with the following article in the Indian Constitution	Fundamental Right, Chapter III Article 51	Fundamental Right, Chapter III Article 13	Fundamental Right, Chapter III Article 21	
8	The panchayati raj institution at the district level is called	Gram Panchayat	Nagar Panchayat	Zilla Panchayat	
9	The law/s that promoted rural self-government	The Constitution (Twenty-Third) Amendment Act	The Constitution (Seventy Fourth) Amendment Act	The Constitution (Seventy Third) Amendment Act	
10	Below Poverty Line (BPL) People in Rural Areas is a person who lives on a daily income of less than-	₹50	₹32	₹20	
11	Name the law enacted to promote transparency and accountability in the work of public authorities	Freedom of Information Act, 2002	Official Secrets Act, 1923	Right to Information Act, 2005	

12	In democracies important instrument for making governments accountable is	Litigation	Corruption	Elections	
13	The main accountability ensuring institution in India is the	CAG (Comptroller and Auditor General)	CIC(Chief Information Commission)	CEC (Chief Election Commissioner of India)	
14	The Public Works Programme in India that was supported by Law	Karnataka Employment Guarantee Scheme	Maharashtra Employment Guarantee Scheme	West Bengal Employment Guarantee Scheme	
15	The National Law that guaranteed 100 days of employment on demand	Mahatma Gandhi National Rural Employment Guarantee Act	Mahatma Gandhi National Rural Employment Guarantee Scheme	Pradhan Mantri Gram Sadak Yojana	
16	Principal stakeholder of the MGNREGA	Wage Seeker	Gram Panchayat	Block programme Officer	
17	Within how many days of demand should job applicants obtain work under MGNREGA	1 Week	20 days	15 days	
18	Disbursement of wages for work done under MGNREGA must take place	7-15 days	15-20 days	20-30 days	
19	In cases where employment is not provided within 15 days of submitting application for work the wage seeker should get	Higher Wages	Unemployment Allowance	Nothing	
20	The government institution with the authority to recommend works to be taken up under MGNREGA	Zilla Parishad	Block Development Office	Gram Sabha	
21	The institution responsible for issuing job cards to wage seekers is the	Gram Sabha	Gram Panchayat	Programme Officer	
22	Disclosure of information about MGNREGA must be displayed in the following locations	Worksite, Panchayat Office and other Public places	Panchayat Office	Block office	

23	Displayed information at public places must include	Names of persons who have worked with job card numbers, days worked, wages paid, Quantity and Price of materials, Name of Supplier	Names of persons who have worked with job card numbers, days worked, wages paid	Names of persons who have worked with job card numbers and Cost of Works	
24	Responsibility for receiving complaints under MGNREGA and redressing grievance at the block level	Programme Officer	Sarpanch	Labour Contractor	
25	Responsibility for ensuring that all wage seekers obtain work under MGNREGA entitlements lies with	District Programme Officer (DPO)	District Programme Coordinator (DPC)	Social Audit Unit (SAU)	
26	For at least 50 per cent of the value of works, project implementation Agency under MGNREGA needs to be	District Rural Development authority	Gram Panchayat	Taluk Panchayat	
27	Body to be set up by all State governments to aid in the implementation of works under section 12 of MGNREGA	Social Audit Unit	State Employment Guarantee Council	District Implementation Agency	
28	Some government department with whom convergence with MGNREGA agreement has been signed	Ministry of Agriculture, Ministry of Drinking Water and Sanitation, Ministry of Environment and Forest	Ministry of Tribal Affairs, Ministry of Public Health	Both A and B	
29	The key document that legally empowers registered households to apply for work under MGNREGA	The Muster Roll	Gram Sabha Resolution	The Job Card	
30	Wage seekers applying for work to Gram Panchayat or block office through job card must obtain	A dated and signed receipt	Verbal Assurance	Notification after 1 week	
31	The cost of making a job card – including photograph to be borne by	Wage Seeking Applicant	Administration	Shared by A and B	

32	Details of all issued job cards will be made publicly available through	Gram Sabha announcement	MIS programme NREGAsoft	Wall painting	
33	Women are given priority in MGNREGA work by	Half the beneficiaries are women	One-third of the beneficiaries are women who have registered for work	Ensuring that all adult women register for work	
34	The personnel at the Gram Panchayat level responsible for the implementation of works under MGNREGA	Gram Rozgar Sahayak Mate-Worksite Supervisor	Gram Rozgar Sahayak	Panchayat Secretary	
35	Technical assistants supporting GP personnel in identifying and measuring works are to be located at	Village Level	Panchayat Level	Cluster of Gram Panchayat or Block Level	
36	The provision under which social audit of MGNREGS works must be undertaken is	Mahatma Gandhi National Rural Employment Guarantee Audit of Scheme Rules, 2011	Right to Information Act, 2005	MGNREGA Operational Guidelines, 2013	
37	Latest revision by MoRD on MGNREGA wage rate for unskilled work was effected in	2013	2011	2016	
38	How many additional days of employment was provided in Drought-Affected districts in 2016-17, under MGNREGA	30	50	75	
39	To facilitate social audit of MGNREGS by Gram Sabha the following independent organisation has been established at the state level	State Employment Guarantee Council	Social Audit Unit	Cluster Facilitation Team	
40	Under recent ruling how many social audits must be conducted in a GP annually	Once in 6 months	Once in 12 months	Every three months	
41	Upon entering a village community for the first time you must ensure that you speak to	Only the Sarpanch	Whoever wants to speak to you	A mixed group with fair representation of all social groups in the community	

42	During village meetings you must ensure that you listen to	Most dominant participants	Participants who are keeping quiet	Ask everyone to keep quiet and speak yourself	
43	During community meetings if discussions is stopping and people seem to have nothing to say, you are expected to,	Conclude that no more information is available and leave	Guide the discussion to issues concerned	Express anger and leave the gathering	
44	If people in the community are giving different types of information that do not match, you would	Stay neutral and try to obtain a balanced picture	Take only the views of important men, such as panchayat members	Take only the views of those who understand the technical details of work site	
45	If someone from the community offers you special favours for writing a good audit report, you would	Refuse politely and continue your work	Accept the offer	Refuse and discuss the issue publicly in the Gram Sabha	
46	In order for community members to share information relevant to social audit, you may	Offer payment or other favours to some	Build good relationship with key people in the community	Organise Gram Sabha with adequate representation from all groups and have a transparent discussion with all	
47	If during a community meeting participants disclose information about activities that maybe deemed illegal under national laws, you are expected to	Decide the extent of harm that may course to community and take appropriate action	Consider it irrelevant and continue your work	Inform concerned officials at once without consulting the community members	
48	During your fieldwork if you come across practices or incidents harmful to women, you would	Continue your work without getting bothered	Raise your voice and discuss it with community members	Speak privately to village leaders about this and leave the rest to them	
49	During village meetings if some people cause disruption and disturbance, you would	Ignore them and continue your work	Start a fight with them	Ask some community members to engage with them and take them elsewhere	
50	For collecting in-depth information for evidence building during social audit, you may have to	Visit the village several times	Collect all your information from panchayat and block office	Call some people to the block office and ask them a few questions	

Course Evaluation Plan

This is a course where the participants' performance will be assessed. The requirement for certification by TISS and the nature of the course over a 30-day period mandates the assessment.

There are three points in the certificate course where assessments take place. The outline is as given in this table:

S.No.	Day of assessment	Key topics to be covered in the test/assignment	Assessment method	Marks
1	**Day 7**: 2.30 – 4.30 pm	Rural Development; Poverty and Rural Development Programmes; Rights-based Framework; Social Accountability – principles and tools; RTI	Answering questions based on watching a film(Individual level assessment)	20
2	**Day 18**: 9.30 – 10.30 am	MGNREGA – entitlements, work flow, documents, permissible works, MIS, grievance redressal.Social Audit- steps, MIS, verification and evidence building, technical verification of work	Test based on reading that is given to participants on day 15 (short answers – individual level assessment)	30
3	**Day 27**: 9.30 am – 5.30 pm	Social Audit (Practicum) Presentation and Report	Group Presentations based on practicum; Written Report Submission(Group level assessment)	50

Instructions

The assessments are to be conducted by the Lead Course Coordinator (LCC)

The kit for the test (film/ reading material) and question paper would be provided to LCC at the start of the programme

DETAILS OF COURSE ASSESSMENTS

1.   FILM BASED TEST: DAY 7 (20 MARKS)

Time

Morning: Participants watch the film

2.30 – 4.30 pm: Written test (individual) based on the film

Outline

The film would enable participants to identify and reflect aspects of rural development, and scope for connecting with principles of social accountability. When watching the film, the participants would be told to note significant aspects.

The written test in the afternoon will comprise 4 questions, each carrying 5 marks.

Criteria for grading

a. Completeness of the answer

b. Clarity of explanation

c. Demonstration of application of concepts to the context and issues in the film.

READING BASED TEST: DAY 18 (30 MARKS)

Time

9.30- 10.30 am: Written test (individual) based on the reading

Outline

The reading is provided to the participants in the toolkit. On Day 15, they are asked to start reading it in preparation for the test.

This test will comprise 15 questions that require short answers of 4-5 lines. Each question will carry 2 marks.

Criteria for grading

a. Correctness of the answer

SOCIAL AUDIT (PRACTICUM) REPORT: DAY 27 (50 MARKS)

Time

9.30 am – 5.30 pm

Outline

Based on the Day 18 discussion and guidelines for writing the social audit report, on Day 26, the participants would work on preparing a presentation of the social audit conducted by their respective groups. They would also write out a report of the complete social audit process, outcome, and experience of their group. They would be assessed as a group for the presentation and written report.

Criteria for grading the presentation and written report (50 marks)

a. Demonstration of the depth of engagement of the group members in various steps of social audit

b. Methodical conduct of each step of social audit

c. Clarity in presentation and written report

d. Extent of reflection about the experience

e. Demonstration of understanding of credible social audit.

FINAL RESULT/MARKS

For each participant, the total of the three assessments will be their final marks. Marks could be interpreted as follows:

Below 40: Needs to repeat the course

41- 50: Needs improvement

51-60: Average

61- 70: Good

71 and above: Very good.

All grading has to be completed by Day 28, so that certificate distribution can be held on schedule. The Lead Course Coordinator may consult the SIRD and SAU representatives in finalisation of marks. In case of any doubts, clarifications may be sought from the TISS team.

CERTIFICATION

The certificate would be awarded to those who obtain a minimum of 41 per cent.

Course Feedback

Location of programme (State and city):

Month/year:

State in which you are working:

Years in social audit work:

Lead Course Coordinators should hand over a copy of this form to participants on Day 29 of the programme. Participants must complete the form in 15 minutes and hand it over to the LCC, who then sends them to TISS in a sealed envelope.

Instructions:

• The purpose of this form is to obtain feedback from you so that teaching-learning of this course is strengthened

• Circle the appropriate answer.

(Score: 1–Poor, 2–Average, 3–Good, 4–Excellent)

| S.No.	Question	Poor	Average	Good	Excellent
1.	Usefulness of the course in teaching you how to conduct social audit	1	2	3	4
2.	Extent to which you learnt about MGNREGA	1	2	3	4
3.	Usefulness of the course in teaching you the importance of social accountability and social audit	1	2	3	4
4.	Extent to which you learnt how to work with the community for social audit	1	2	3	4
5.	Teaching methods used throughout the course	1	2	3	4
6.	Ability of the trainers to communicate and conduct sessions effectively	1	2	3	4
7.	Usefulness of topics covered	1	2	3	4
8.	Extent to which you were able to utilise your past work experience and skills	1	2	3	4
9.	How involved were you through the course?	1	2	3	4
10.	Effectiveness of the assessments (tests, presentations) in testing your learning.	1	2	3	4
11.	How well were the Course Coordinators able to coordinate the course?	1	2	3	4
12.	How effective were the Course Coordinators in communicating with participants?	1	2	3	4

SOCIAL AUDIT

A MANUAL FOR TRAINERS

National Institute of Rural Development and Panchayati Raj,
Ministry of Rural Development, Government of India
Hyderabad

Ministry of Rural Development
(MGNREGA Division)
Government of India
New Delhi

Tata Institute of Social Sciences
Mumbai

2016