

# I. SOCIAL AUDIT

## 1. What is a social audit?

A social audit is a process by which the people, the final beneficiaries of any scheme, programme, policy or law, are empowered to audit such schemes, programmes, policies and laws. A social audit is an ongoing process by which the potential beneficiaries and other stakeholders of an activity or project are involved from the planning to the monitoring and evaluation of that activity or project. It thereby tries to ensure that the activity or project is designed and implemented in a manner that is most suited for the prevailing (local) conditions, appropriately reflects the priorities and preferences of those affected by it, and most effectively serves public interest.

To put it in a simpler way, social audit can be described as checking and verification of a programme/ scheme implementation and its results by the community with the active involvement of the primary stakeholders. Social audit covers the quantity and quality of works in relation to the expenses incurred/ disbursement made, number of works/ materials used and also selection of works and location of works. The aim is effective implementation and control of irregularities. Administrative machinery should extend full support in carrying out a social audit by the community.

### Box 1 : Implications of Social Audit

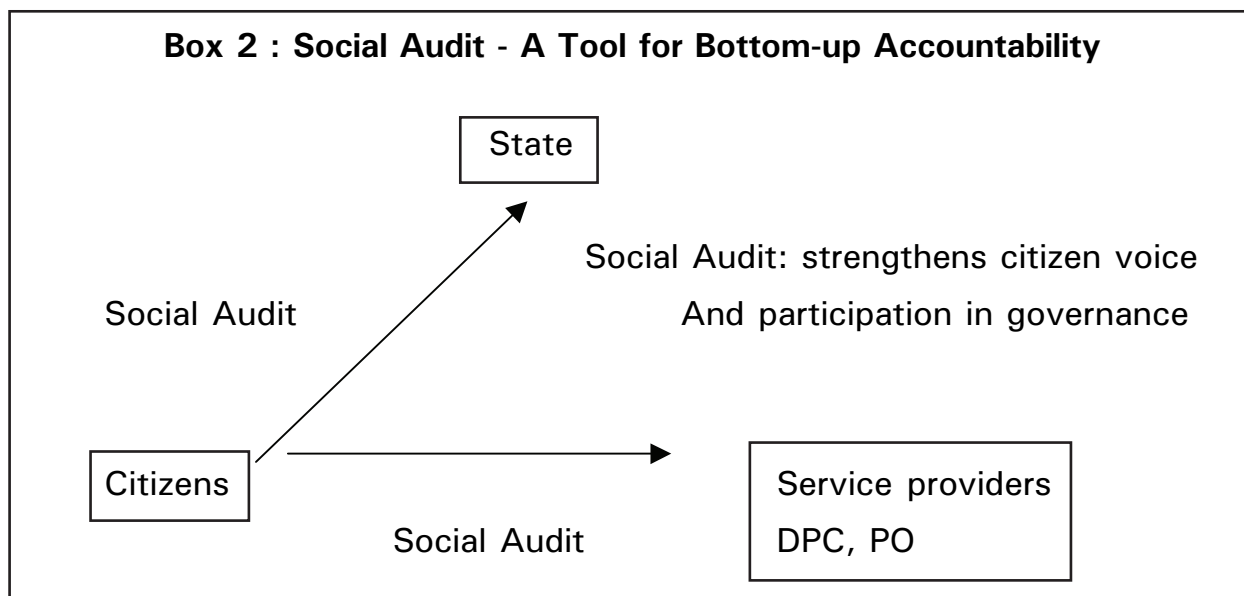
- Democracy implies participation
- A social audit is also contingent on participatory auditing
- Social audit complements financial audit
- Auditing quality, performance, and choices strengthen financial audit

## 2. What are the basic principles of a social audit?

The basic principles of social audit include:

- **Transparency** : Complete transparency in the process of administration and decision-making, with an obligation on the government to *suo moto* (voluntary disclosure of information) give the people full access to all relevant information.
- **Participation**: A right based entitlement for all the affected persons (and not just their representatives) to participate in the process of decision making and validation;

- **Representative participation** : In those rare cases where options are pre-determined out of necessity, the right of the affected persons to give informed consent, as a group or as individuals, as appropriate.
- **Accountability**: Immediate and public answerability of elected representatives and government functionaries, to all the concerned and affected people, on relevant actions or inactions.



### 3. How is it related to other types of audits?

Broadly speaking, there are at least three types of audits. These are :

- Government or institutional audits,
- Social audits, and
- People's audits.

Government or institutional audits are those that are conducted in-house or through external, professional, auditing institutions, and are ordinarily conducted without the significant involvement of the affected people and/or the intended beneficiaries.

Social audits are those that are conducted *jointly* by the government and the people, especially by those people who are affected by, or are the intended beneficiaries of, the activity being audited.

People's audits are those that are conducted by the people themselves, including those who are directly affected or are the intended beneficiaries, sometimes with the assistance of movements and NGOs, but invariably with the sincere effort to involve the concerned department or institution.

#### 4. How is a social audit different from other types of audits?

As government or institutional audits do not significantly involve the affected persons, or the intended beneficiaries; they end up at best assessing outputs rather than outcomes and are also not able to assess whether the decision-making processes had the inputs and support of all the critical stakeholders. Such systems are also very corruptible, as those involved in the audit do not have a real stake in the outcome of the process that they are auditing.

Public audits do not have these problems, because they are usually conducted by the affected persons and/or the intended beneficiaries. However, the findings of a public audit might not be easily acceptable to the government and other implementing institutions as they are not intrinsically involved in the process of audit and, despite best efforts, might not participate. Besides, without the participation of the implementing departments/institutions, their side of the story does not get told.

On the other hand, social audits do not have a uniform approach and methodology and many local factors affect their efficacy. To conduct social audits, a huge amount of public mobilisation is necessary and, in the absence of that, social audits might not be effective.

#### **Box 3 : Social (SA) and Financial Audit (FA)**

- FA = Was the money spent correctly?
- SA = Did the spending make a difference?
- Social Audit:
  - Assesses performance and unpacks decisions
  - Complements financial audit

SA + FA = True Picture

#### 5. What would be the ideal option?

Ideally, government or institutional audit would remain the basic auditing practice, but would become far more transparent and inclusive of affected persons and intended beneficiaries, incorporating and integrating some of the practices of social audits.

For a sample of activities, especially for those that involve distribution of disaggregated benefits at grassroots level or very large investments, (eg. NREGS, ICDS, PDS) social audits would be conducted *in addition* to government or institutional audits. The findings of such social audits would be publicly compared

to those of the government or institutional audits and correctives identified and incorporated in both. There would also be a public rendering of action taken.

Only where there was dissatisfaction among the public with one or both of these auditing processes would the public take the initiative of conducting a public audit. When this happens, the government or other implementing institutions would fully participate in the public audit, thereby making it comprehensive, and take on board the findings. The concerned institution would also come back to the public and report on the action taken on the findings.

#### **Box 4 : When Should Social Audit be Conducted?**

Social audit can be done at any point of time during the planning and implementation of a scheme/ programme. For instance, in the case of National Rural Employment Guarantee Scheme (NREGS), social audit can be taken up.

- **Planning stage:** to ensure that the Gram Panchayat Plan is need-based covering productive/ investments and drawn up in consultation with community serving the poor and the disadvantaged
- **Preparation stage:** to ensure that estimates are proper and are in tune with the approved quantum of work
- **Implementation stage:** to ensure that wages are paid rightly, properly and to right people
- **After the completion of work:** to ensure that quality of work is in tune with quantity and estimated cost.

#### **6. Who will carry out Social Audit?**

Social Audit, by definition, is carried out by the community of stakeholders. This will include beneficiaries / participants, implementing agency, Gram Panchayat representatives etc. The entire Gram Sabha is expected to participate in Social Audit. Since this may not be always possible, a group can be formed voluntarily (with encouragement by panchayats and officials) with representatives from beneficiaries, SHGs, village level organisations (VEC, FPC etc.) respected local/ community leaders, youth clubs, marginalised sections (SC/ST/Women) etc. This group along with Gram Panchayat representatives and officials can carry out social audit and present their findings in the Gram Sabha (see Box 5).

### **Box 5 : Some Models of Social Audit Arrangement**

#### **1. Village Social Auditors (VSA)**

In Andhra Pradesh, the Government has permitted appointment of two Village Social Auditors (VSA) for each Gram Panchayat under the NREGS. These are the educated unemployed youth from the village who are trained for this purpose and will act as facilitators of social audit in the village. The VSAs also help the Gram Sabha to form a social audit team comprising educated youth, para youth, members from community based organisations, representatives of the beneficiaries/ workers etc. The VSAs are different from the Rozgar Sevak (Village Employment Assistant). The social audit process in Andhra Pradesh covers many programmes like NREGS, Sarva Siksha Abhyan, ICDS, IAY etc. and the VSAs facilitate these social audits.

#### **2. Vigilance and Monitoring Committee (VMC) as Social Audit Team**

Programmes like SGRY and NREGS have stipulated formation of Vigilance and Monitoring Committees at village level. Infact, VMCs are stipulated for each work. These VMCs are constituted with the beneficiaries, social workers, retired civil/ defence/ private sector officials, other retired employees like teachers, representatives from SC/ST/Women. These VMCs with proper training and orientation can also be a Social Audit Team and their findings are placed and discussed in Gram Sabha. This model is being adopted in Rajasthan.

#### **7. What is the role of gram panchayat and gram sabha in social audit?**

Gram Panchayat (GP) is the lowest planning and administrative unit for development programmes and schemes. The scheme guidelines specify that GPs should organise social audit (eg: NREGS). Sometimes, questions are asked about the credibility and willingness of the GP, which is the implementing agency to organise social audit. The social audit need not always be a specially organised activity or event but an 'on-going process'. The procedures of planning and executing schemes/ works at GP levels prescribed in the various guidelines have inbuilt (though not spelt out specifically) processes for social audit. Some of them are:

- Wide publicity for schemes/ programmes among local community, placing the GP plans, list of beneficiaries, plan estimates, funds receipts and expenditure etc. in the gram sabha are part of the social audit process. Instead of making this as a routine stipulation adhering to mechanical exercise, encouraging the community members to discuss and seek

clarifications at the gram sabha itself can turn out to be a sort of social audit. Social animators and activists should facilitate this.

- Formation of Village level Monitoring Committees (VMC) with genuinely interested members than vested interests, allowing them to perform their assigned functions and requesting them to present their findings and observations in Gram Sabha is also a form of social audit.
- Keeping all relevant records, registers, documents etc. in proper and updated manner and making it available for anyone who wants to check and scrutinise is one of the functions of GP. This is all the more important and mandatory in the context of Right to Information Act and programmes like NREGS. Public display of planned works, estimates, fund flow, expenses, status of works etc. is also stipulated. Honestly adhering to these expected responsibilities will be facilitating social auditing process in the village.

*In Pakur district of Jharkhand, the GPs are maintaining a work-wise file under NREGS. This file contains, technical and administrative sanctions, copies of vouchers/ bills of every expenditure, copies of muster rolls, financial details (receipts, expenditure and wage payment) etc. When such a document is readily available for each work three-fourths of social audit process is completed.*

## **8. What is the scope of a Social Audit?**

Social audits are conducted not only on schemes and programmes but also on policies and laws and, indeed, on the functioning of a public agency. The task of auditing is relevant right from the stage when an issue or an approach is identified, through planning, implementation, monitoring and evaluation, and audits are done not just of the decisions taken or the actions done (or not done), but also of the processes followed (see Boxes 6 & 7).

### **Box 6 : Social Audit As a Monitoring Tool**

Monitoring is defined as the review, inspection, supervision, verification and control mechanism of the progress of project/ scheme implementation with a view to identifying shortfalls, deviations and problems and also the reasons. This will enable the project management team to take appropriate corrective action so as to ensure that the project implementation is proceeding according to Action Plan. When communities are associated with monitoring activity it becomes participatory monitoring.

Social Audit mandatorily involves both the community and administrative agency and performs all the functions listed above, Social Audit is a critical monitoring tool. Social Audit can be taken at any point of time during the implementation and also after the implementation to assess the end results.

**Box 7: Social Audit as Evaluation Tool**  
**(External Agents/ Agency for Social Audit)**

Social Audit is a new phenomenon gaining ground with the enactment of NREGA. Since the concepts, methods and operationalisation are not widely known; external facilitators have been involved in carrying out social audits. Such social audits are also used as 'hands-on' training for civil society members, trainers, government officials etc. As the facilitators are outsiders to the project area/ villages, the preparatory work takes longer time. In due courses, Social Audit should be internalised at the village level. Evaluation is defined as an assessment either after the completion of a scheme/ project or on an on-going/ continuing basis, of the processes and end results/ impact of a project/ scheme. Usually, evaluation is taken up by an external agency to ensure unbiased and objective assessment of processes and results. A social audit carried out with external facilitators along with local communities could be termed as participatory evaluation.

**9. What are the benefits of Social Audit?**

Social Audit helps in

- Awareness generation
- Monitoring the implementation
- Impact in processes
- Grievances Redressal & follow-up of corrective actions

This can be best illustrated by the following summary of experiences from the Social Audits of NREGS (Box 8).

**Box 8 : Benefits of Social Audit: The Case of NREGS  
(Experiences across the country)**

**1. Awareness Generation**

Awareness generation through the Social Audit:

- Information is shared about wage seekers, rights and entitlements under NREGA
- Muster rolls/ financial documents/ Measurement Records are read out
- Auditors question the implementing agency on different aspects of the works

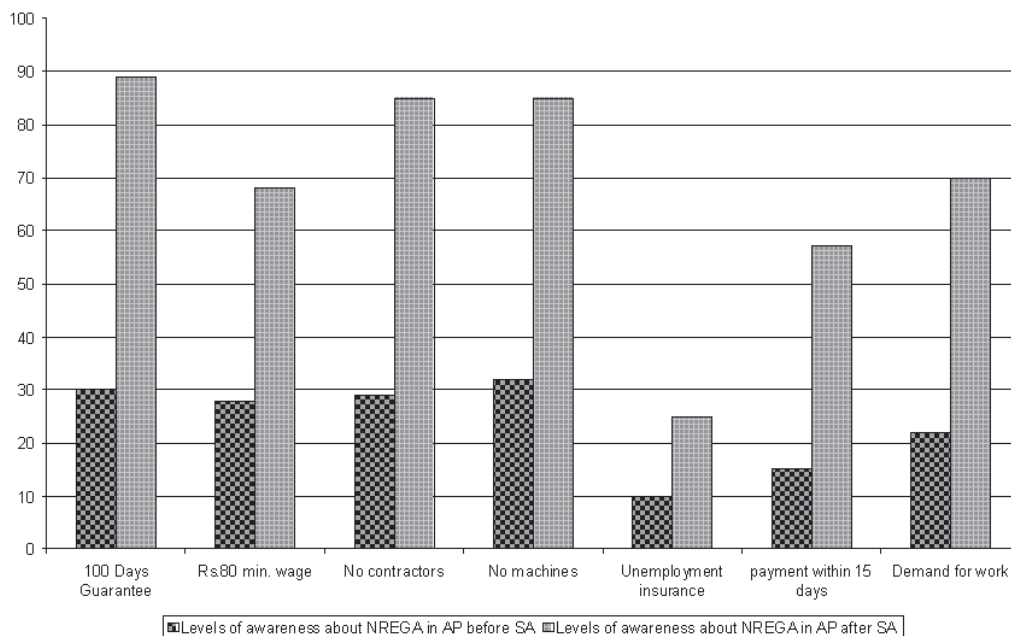
The Social Audit reveals

- High level of awareness of the scheme but not of the entitlements – concept of a demand driven scheme yet to take root:
- No awareness of the concept of 100 days entitlement or unemployment allowance and other aspects of NREGA
- No information wall/ transparency display board

**Awareness of NREGA increased by 62% post-Social Audit**

**(Based on a study in three NREGS Districts in AP)**

Levels of Awareness before and after SA



(contd.)



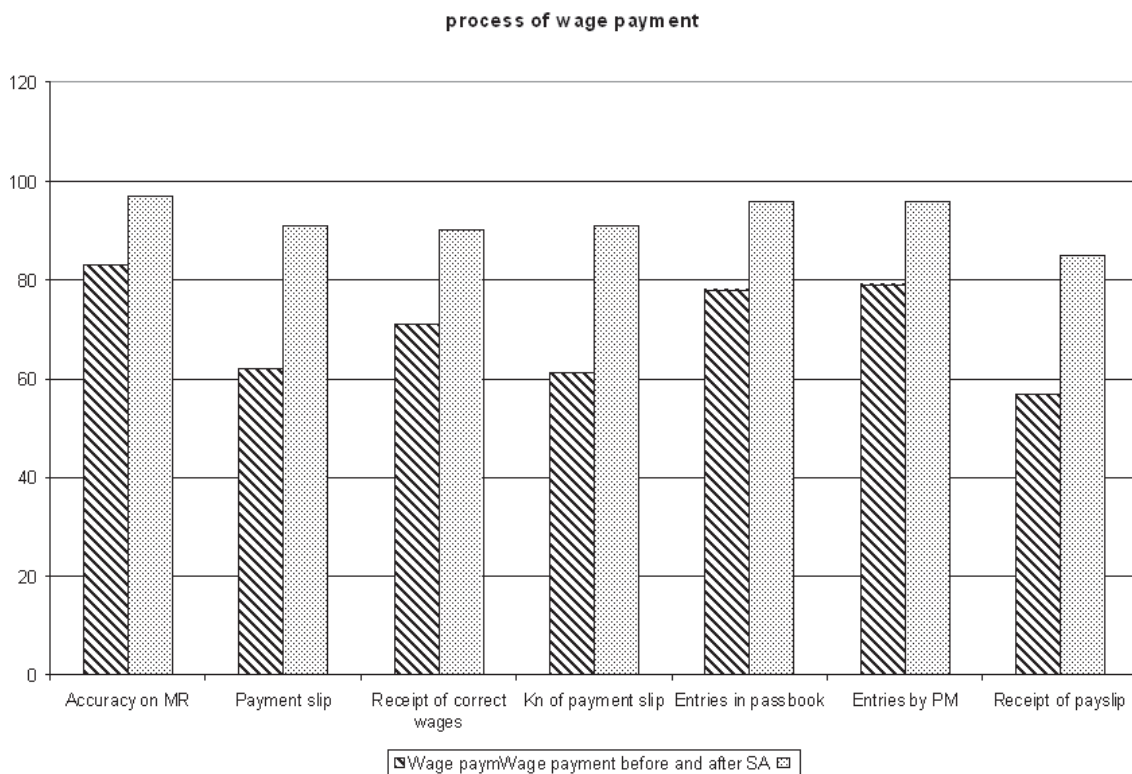
**Box 8 : (contd.)**

**Monitoring Implementation Processes**

**2. Monitoring NREGA through the Social Audit**

- All records (muster rolls, measurement books, financial records, passbooks) are cross verified with scheme participants
- Work-sites inspected
- Field assistant/ implementing agency reports

**Social Audit and Improvements in payment process**



Source: The NREGS study in three districts of AP

(contd.)

### **Box 8 : (contd.)**

#### **3. Impact of Social Audit**

- Useful tool to identify the gaps and leakages in scheme implementation which often get left out in the process monitoring and MIS systems
- Real time feedback mechanism – creates the space to address small issues that can potentially derail the process
- Identifies capacity gaps that can be strengthened through training
- Empowerment : Reading out muster rolls and opportunity for persons affected by corruption to testify in Gram Sabha

#### **4. Grievance Redressal**

Grievance Redressal through the Social Audit

- During the audit, Field Assistant and other officials are called to give explanations for discrepancies found
- Wage seekers that have suffered losses due to leakages testify
- Complaints are registered
- Job cards and passbooks are distributed on the spot
- Work applications are filed

#### **5. Corrective/ Follow-up Results**

- By February 2007, 50 field assistants and 6 computer assistants had been sacked, 3 MDOs had been suspended and 6 inquiries initiated (in Andhra Pradesh)
- Over Rs.5 lakh have been recovered from 12 Mandals in the last one year
- In May 2007, Sarpanches returned Rs.96,000 that had been collected through petty corruption
- The post-office officials returned the embezzled money (Pakul, Jharkhand)

### **10. How does one conduct a social audit of a policy/law?**

Whereas the process of conducting a social audit for policies and laws is not very different from that of conducting such an audit for specific schemes, as described a little later, obviously some of the questions asked and the issues discussed differ. Therefore, given below is a sample of generic questions that need to be raised, both about the process of formulation, and the outcome, of a policy or law.

## A Sample Set of Generic Questions Relating to the Social Audit of a Policy/ Law

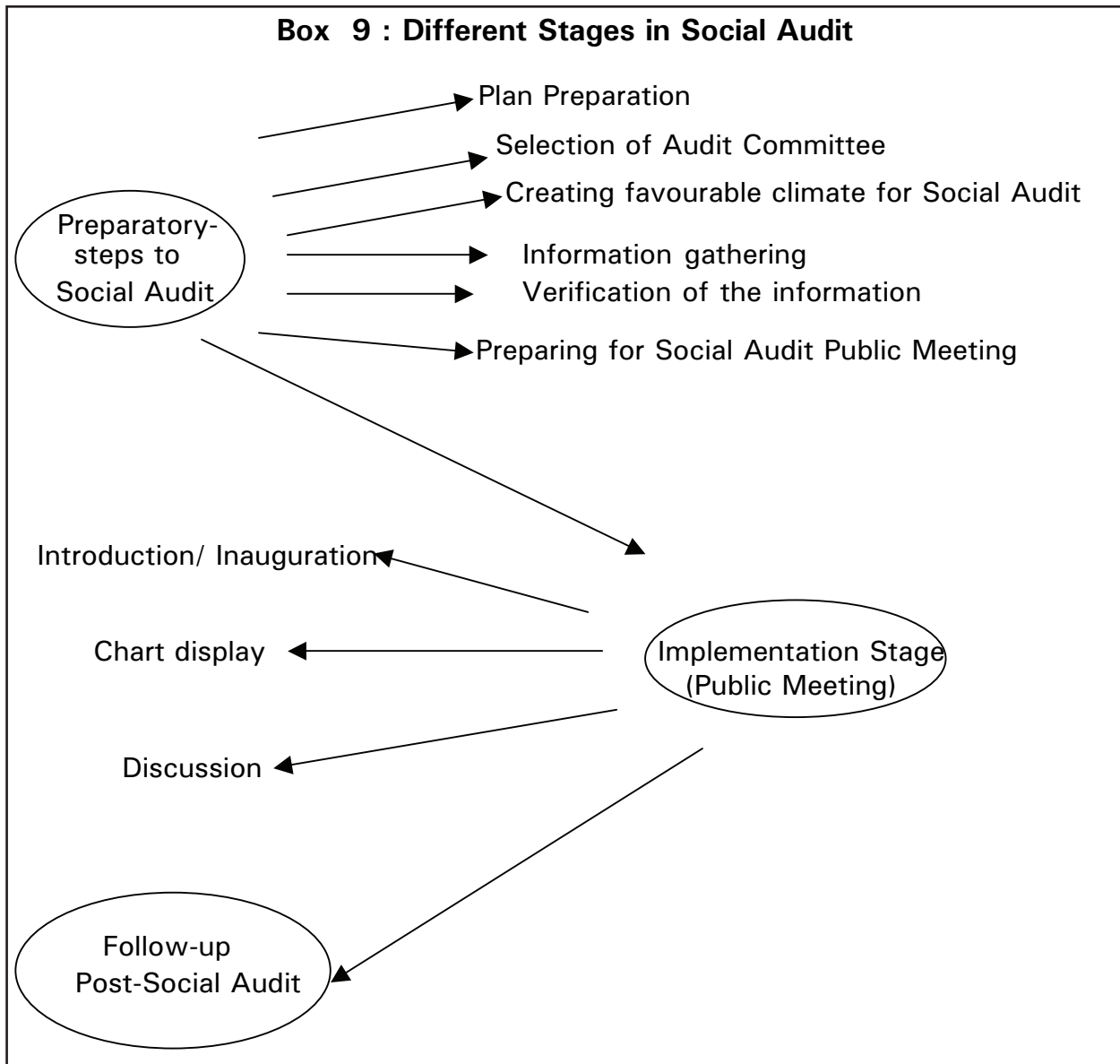
Stage	Process questions	Outcome questions
1. Identifying the issue	Who were all involved in identifying the issue? Were they appropriately representative?	Has the correct issue been identified? (eg. Providing assured employment to rural populations; facilitating people's access to information; providing a humane process and package for resettling people displaced by development activities).
	Were they adequately and appropriately informed? (eg. Given clear and understandable documentation in local languages, with enough time for assimilation?)	Has the issue been formulated appropriately? (eg. Is employment formulated as a right? Has the right to information been recognised as a fundamental right with minimum exclusions? Has displacement been seen as the last possible resort?)
	Were the views of all the stakeholders given due importance?  Was the process appropriately transparent?	Is it really the highest priority from among the various issues that could have been identified? (eg. NREGA, should the right to universal health or universal education be given a priority over this right?)
2. Formulating the policy/law	Who were all involved in formulating the policy/law? Were they appropriately representative?	Is the policy/law desirable? (eg. NREGA, would this divert too many financial resources from other, more important issues, or would it make people dependent on government schemes?)
	Were they adequately and appropriately informed?	Does the policy/law protect all relevant interests, especially those of the weakest/least articulate? Is it just? (eg Rehab. Policy, does the

		policy protect the interests of project proponents, especially, does it protect the interests of the landless, the widows, and the host communities?)
	Were the views of all the stakeholders given due importance?  Was the process appropriately transparent?	Is it implementable in part or whole? (eg. RTI Act, will it work if the information commissions are manned by bureaucrats? Eg. Rehab. Policy, would the rehab. policy work if there is no independent rehab. Commission?)
3. Implementing the policy/law	Who is implementing the policy/law? Are these individuals/institutions appropriate?	Is the policy/law having the intended impact? (eg. For RTI, is it leading to greater empowerment of the people and lessened corruption and mal-governance?)
	Is it being implemented in an appropriate manner?  Are all the resources required available and the individual and institutional capacities in position?	If not, why not?  Is it having any unintended and undesirable effects? (eg. For RTI, is it leading to paralysis in government functioning, or delays in decision-making?)
	Is the implementation appropriately transparent?	If so, why? How can this be prevented?

## 11. What is involved in conducting a social audit for a scheme/programme?

A social audit is conducted over the life span of a scheme or programme, and not just in one go or at one stage. The activities that constitute a social audit include (see also Box 6):

- a. Making people aware of their rights, entitlements and obligations under the scheme/programme.
- b. Specifically, making them aware of their right to participate in the ongoing process of social audit.
- c. Making sure that all the forms and documents are in simple, easily understandable language and structure and available in local languages.
- d. Also ensuring that all relevant information is publicly displayed on boards and through posters and is also read out at appropriate times for the convenience of the people, especially those who cannot read.
- e. Ensuring that the decision-making process, especially for those decisions that are critical and/or vulnerable to distortions, is transparent and open and carried out, as far as possible, in the presence of the affected persons.
- f. Making certain that all decisions, along with reasons, as appropriate, are also communicated as soon as they are made to the affected people, and in a manner that makes it easy for them to comprehend.
- g. Where there is a need for measuring, inspection or certification, ensuring that randomly selected individuals, from among the affected persons, are involved on a rotational basis.
- h. Also ensuring that members of the public and especially those directly affected, are facilitated to inspect and verify records, inspect works and generally monitor planning and implementation.
- i. Where required, to have a formal public hearing (*jan audit manch*) where pertinent information is put before the public and verified in consultation with the affected persons.
- j. Ensuring that the findings of the social audit process are acted upon as they become available and that apart from addressing the specific issues, systemic changes are also brought about.



Courtesy: Dept. of Rural Development, Govt. of A.P.

## 12. How does one conduct a social audit of a scheme/programme?

The process of conducting a social audit for specific schemes or programmes is described below, step by step, to help those from among the government and people's institutions who want to organise a social audit. The specific examples taken are from the NREGA. However, though the general structure will remain the same for all schemes and programmes, specific changes will need to be incorporated for each scheme in order to accommodate the unique characteristics of each scheme.

**Step 1:** Study the details of the scheme and familiarise oneself with all the provisions and requirements of the scheme and of the Right to Information Act.

**Step 2:** Identify the various stages of the scheme, especially those where decisions have to be made, beneficiaries identified, sites selected, strategies determined, details specified, etc. Given below is an example from the NREGA of identification of stages (see Box 10).

**Box 10 : Social Audit at Identification Stage in NREGS**

*For the NREGA, which provides employment as a right, the identification of stages can be best done in terms of the entitlements provided under the act. These are:*

- 1. The entitlement to register one's family.*
- 2. The entitlement to a job card.*
- 3. The entitlement to apply for work.*
- 4. The entitlement to participate in the process of preparation of shelf of projects/ selection of sites.*
- 5. The entitlement to participate in the development and approval of technical estimates/issuance of work order.*
- 6. The entitlement to get work allotted within fifteen days of applying for it.*
- 7. The entitlement to participate in the supervision of works.*
- 8. The entitlement to receive full wages for the work done, as per the prescribed rates.*
- 9. The entitlement to receive unemployment allowance, if work is not allotted in the stipulated fifteen days.*
- 10. The entitlement to be involved in the evaluation of the works undertaken under this act.*

**Step 3:** For each of these stages, identify the vulnerabilities, in terms of what can go wrong, what can be corrupted, what distortions can occur or what biases can creep in. Given below is an example of possible vulnerabilities from the NREGA. Detailed methodologies for conducting a social audit for activities under the NREGA are given in chapter 3.

<b>ENTITLEMENT</b>	<b>VULNERABILITIES</b>
The entitlement to register one's family as Potential Beneficiaries In The Rural Employment Guarantee Scheme	<ol style="list-style-type: none"> <li>1. Absence of the concerned functionary</li> <li>2. Denial of registration to persons applying for the scheme</li> <li>3. Incomplete list of adults in each household</li> <li>4. Registration of bogus families/individuals</li> <li>5. Rejection of "incomplete" registration forms.</li> <li>6. Asking for money for registering names/ families.</li> </ol>
The entitlement to a job card	<ol style="list-style-type: none"> <li>1. Delay in receiving job cards</li> <li>2. Issuance of false cards</li> <li>3. Issuance of cards to ineligible persons               <ol style="list-style-type: none"> <li>a. To non-residents</li> <li>b. To minors</li> <li>c. To those not members of the listed family</li> </ol> </li> <li>4. Non-issuance of a job card</li> <li>5. Asking for money for issuing job card.</li> </ol>
The entitlement to apply for work	<ol style="list-style-type: none"> <li>1. Non-acceptance of work application by the relevant functionary</li> <li>2. The wrong date or no date recorded on the work application.</li> <li>3. Rejection of "incomplete" forms.</li> </ol>
The entitlement to participate in the process of preparation of shelf of projects/ selection of sites to be taken up in a particular Ward Sabha and/or Gram Sabha	<ol style="list-style-type: none"> <li>1. Selection of a low priority or inappropriate work</li> <li>2. Selection of work that serves a vested interest</li> <li>3. Lack of public participation/ consultation for selecting work/sites.</li> </ol>
The entitlement to participate in the development and approval of technical estimates/issuance of work order	<ol style="list-style-type: none"> <li>1. Exaggerated/ inaccurate technical estimates</li> <li>2. Inclusion, in estimate, of unnecessary expenditure.</li> <li>3. Excessive rates and material</li> <li>4. Unclear work order that does not make the details of the work clear/leaves scope for mis-interpretation.</li> </ol>
The entitlement to get work allotted within fifteen days of applying for it	<ol style="list-style-type: none"> <li>1. Giving out-of-turn allotments</li> <li>2. Favouring or discriminating against people in allotting type/location of work</li> <li>3. Not respecting the gender quota</li> <li>4. Not informing the applicant and then showing him/her as absent</li> <li>5. Demanding money for allotting work.</li> </ol>



<p>The entitlement to participate in the supervision of works</p>	<ol style="list-style-type: none"> <li>1. Recording of non-existent (ghost) workers</li> <li>2. Recording of fictitious (ghost) works</li> <li>3. Work not conforming to work specifications/ prescribed standards</li> <li>4. Supply of less than sanctioned/poor quality materials and tools.</li> </ol>
<p>The entitlement to receive full wages for the work done, as per the prescribed rates</p>	<ol style="list-style-type: none"> <li>1. Non-payment of wages</li> <li>2. Late payment of wages</li> <li>3. Under-payment of wages</li> <li>4. Payment of wages to the wrong person</li> <li>5. Payment of wages in the name of non-existent (ghost) workers</li> <li>6. Payment of wages for non-existent projects.</li> </ol>
<p>The entitlement to receive unemployment allowance, if work is not allotted in the stipulated fifteen days</p>	<ol style="list-style-type: none"> <li>1. Denial of unemployment allowance by wrongly accusing a person for not reporting to work</li> <li>2. Late payment of unemployment allowance</li> <li>3. Payment of unemployment allowance to the wrong person</li> <li>4. Payment of unemployment allowance to non-existent (ghost) persons</li> <li>5. Demand of bribe for paying allowance.</li> </ol>
<p>The entitlement to be involved in the evaluation of the works undertaken under this act</p>	<ol style="list-style-type: none"> <li>1. Taking and/or recording of improper measurements</li> <li>2. Not consolidating the information regarding the works in one place</li> <li>3. Issuing of false completion certificates</li> <li>4. Works not conforming to specifications/ standards</li> <li>5. Data recorded in a confusing/ incomprehensible manner.</li> </ol>
<p>The entitlement to participate in a People's Audit Meeting (<i>Jan Audit March</i>), where all the projects and activities related to the NREGA are assessed and publicly verified</p>	<ol style="list-style-type: none"> <li>1. No public hearing actually takes place, but is shown on paper to have taken place</li> <li>2. The public hearing is manipulated so that only those interested in one point of view are allowed to attend</li> <li>3. People are prevented from fully participating or from speaking the truth</li> <li>4. The hearing is disrupted by rowdy elements.</li> </ol>

**Step 4:** Identify, for each stage, the appropriate measures to be taken to ensure that the identified vulnerabilities are addressed through the relevant social audit mechanisms. These could include one or more of the measures listed at point 6 above and essentially includes making all relevant information available publicly, ensuring that critical decisions are made jointly with the affected people and in their presence, and that the process of verification, measurement and certification is done with the involvement of the affected people.

**Step 5:** Identify the functionaries and institutions that would be responsible for ensuring that the social audit is conducted, and conducted properly (see chapter 4 for allocation of responsibility in the NREGA).

**Step 6:** Call a meeting of the village/community and discuss the principles and method of social auditing in detail with them.

**Step 7:** Ensure that the identified institution and functionary complies with all the requirements of a social audit.

**Step 8:** Every six months, prepare for a public hearing or a *Jan Audit Manch*. In this manch, the affected persons collectively review the process of social audit. Also reviewed is the progress of the scheme. The reports and data related to the scheme are publicly verified and people are given an opportunity to discuss their problems with the implementing institutions, and understand their problems. A step by step guide to how a *Jan Audit Manch* is to be carried out is given below in paras 14 & 15.

**Box 11 : Conducting Social Audit**  
**Experience in Pargi Mandal, Andhra Pradesh**

**1. Preparatory work**

- Formation of teams to visit GPs, orientation and training in Social Audit
- Teams are given a checklist of activities to examine:  
shelf of works, technical sanctions, administrative sanctions, muster rolls, measurement sheet, payment order and pay slips, financial report, utilisation certificate
- Questionnaire for household survey
- Financial reports, muster rolls, utilisation certificates and other documents procured from MDO and website are consolidated and given to teams

**Village visit : Information gathering and inspection**

- Financial information, muster rolls, U.C's inspected in the presence of field assistant, village secretary, panchayat members
- House visits to cross-check information detailed in muster rolls, examine job cards
- Work-site inspection
- Process takes up to one day
- **Village meeting (average attendance 50-100 persons) – This can be the Social Audit forum / gram sabha for the G.P**
- Information sharing on NREGA including rights of wage seekers
- Report on inspection by Social Audit team
- Report by Field Assistant

**2. Social Audit forum**

- Organised at the Mandal (can be a special Gram Sabha in a village)
- Attendance by varied stakeholders – DC, MPO, PD, postal service officials, Panchayat members, social audit teams, field assistants, beneficiaries, citizens
- Every team shares key findings with the forum. Labourers affected by corruption testify
- Key officials are asked to defend themselves – those who have been involved in petty corruption often admit to their indiscretions publicly
- Project Director of the district is called upon to take immediate action for petty grievances
- Good practice is recognised and acknowledged
- Information sharing (scheme provisions; legal entitlements)

### 13. The Non-Negotiable Principles of Social Audit

- The purity of a social audit process must be maintained under all circumstances. It should not be politicised
- The role and responsibilities of Government/ Administration and the social audit teams must be clearly delineated and each should respect the pace for each others
- No official or political pressure should be brought on to a social audit process
- Irrespective of which Institution or organisation the person conducting the social audit might belong to, he or she is just a social auditor during the process. He/she shall not bring his/her personal or organisation's agenda into the social audit process
- All records pertaining to the works that are to be audited must be available with the social audit team before the process begins
- A social auditor must be an impartial observer of facts. There is no space for personal opinions or likes and dislikes during the social audit process or at the time of writing the report. Only hard facts should be reported.
- The shortcomings in the implementation of the scheme at the village should be reported on an 'as is, where is basis', with proof. Social audit reports must necessarily contain proofs on issues being mentioned.
- All the aspects of the scheme must be closely examined during the social audit process
- One cannot jump to conclusions on the basis of talking to just a few persons. The issues must be discussed with all the wage seekers and the beneficiaries of the scheme before a decision is taken
- There can be no space for any discrimination in the social audit process based on race, caste, religion or profession

#### **Box 12 : Items to be Social Audited under NREGS**

Under the Employment Guarantee Act the following aspects should be audited:

- i) Applications for Job Cards:** The village social auditors must examine if all the wage seekers applied for job cards or not
- ii) Getting the Job Cards:** Whether all those who applied for job cards received them or not
- iii) Process Involved in the Identification of Works:** Whether the works were identified and approved through the Gram Sabha

(contd.)

## Box 12 : (contd.)

- iv) **Applying for Work:** Whether wage seekers had applied for work, whether receipts had been issued and whether all the applicants had obtained employment or not
  - v) **Work Commencement Order:** Whether the works executed were in the order of priority and had Administrative Sanction. Whether works had been executed after the issuing of the Work Commencement Order
  - vi) **Muster Roll:** Whether the names of the wage seekers have been entered in the muster rolls. Whether the names entered in the muster rolls were of the wage seekers who worked, as opposed to those who did not work. Whether the muster rolls were read out publicly twice everyday for attendance and the day of closure. Whether the signatures/ thumb impressions of the labourers were taken on the muster rolls
  - vii) **Mark up and Measurement of Works:** Whether the wage seekers were shown where they should work, how much work has to be done (individually or in a group) and informed about the other measurement related details
  - viii) **Measurement Books:** Whether the details regarding measurements have been entered in the measurement sheets or not. Whether the measurements have been recorded accurately or not. And whether or not the details mentioned in the measurement sheets are in accordance with the SSR. Also, whether the work done and the measurement at the site matches those entered in the measurement book
  - ix) **Work-Site Facilities:** Whether facilities such as shade, water, crèche and First Aid were made available for the wage seekers
  - x) **Wage Payments:** Whether the wage seekers received wages in accordance to the work done by them and the entry made in the muster rolls or not
  - xi) **Quality of Work:** Assessment of the quality of work and the materials
  - xii) **Examination of the Works:** Whether the identified work was completed
  - xiii) **Payments through Banks/ Post Office:** See whether wages were paid according to the work done and through the banks or post offices
- (Courtesy : Rural Development Department, Govt. of Adhra Pradesh)

### 14. What is a *Jan Audit Manch* (People' s Audit Manch)?

Apart from the ongoing process of social audit (described in para 12), there should be a mandatory periodic review of all aspects of social audit in ward sabhas (where they exist) and in the Gram Sabha meetings to be held at least once every six months for this purpose (to be called "*Jan Audit Manch*").

These will not only give people an opportunity to review compliance with the ongoing requirements of transparency and social audit for any scheme, programme or project, they will also serve as an institutional forum where people can conduct a detailed public audit of all the decisions that have been made and the work that has been carried out in their area in the preceding six months.

The importance of this platform is not only the independent value of publicly auditing a particular scheme or work, but also that it provides an opportunity to review the functioning of all the transparency provisions at various points in the implementation of the scheme or activity, with beneficiaries and all the stakeholders residing in the area. The social audit compliments the financial audit, and facilitates examination of various aspects of the scheme/project/activity by the people. This is beyond the scope of the financial audit. It provides an institutional platform for people to seek and obtain information, verify financial expenditure, examine the provision of services, assets or entitlements, the reflection of priorities through choices made, quality of work, and quality of services of the staff, etc. While the social audit must be seen as an ongoing process, the ward/gram sabha *Jan Audit manch* is a crucial platform for ensuring people's participation in all aspects of the audited entity. Because of the requirement to **read information out loud**, the *manch* facilitates the participation of people who do not have the literacy skills to understand documents. It is therefore, mandatory that such social audits be conducted on a bi-annual basis, and that the concerned officers be made responsible for ensuring they take place.

### **15. How to Conduct a *Jan Audit Manch*?**

The *Jan Audit Manch* has three phases: The preparatory phase, the organisational phase, and the implementation phase.

#### **A. The Preparatory Phase**

The success of a social audit is dependent on the open and fearless participation of all the people - particularly the potential beneficiaries of the programme. Effective public participation is dependent on adequate publicity about the meeting as well as informed public opinion, dependent on prior information provided to people in a demystified form.

#### *Publicity*

It must be ensured that sufficient publicity be given to the date, time, importance and sanctity of the social audit, so that maximum participation is ensured. This must be facilitated through at least the following measures:

- People should be aware of the months when the *Jan Audit Manch* is to be held so that it becomes a regular event that people are aware of. The governments should issue instructions about the time of year when it is convenient for people to attend such meetings.
- Announcement of the specific date, time and location of the *Jan Audit Manch* at least one month in advance.
- Use of traditional modes of publicity like informing people through beating of drums, and modern means like mike announcements.
- Notices on the notice board, in newspapers, and through pamphlets etc.
- Conducting these audits in a campaign mode so that the entire administration gears up to meet the institutional requirements of the *Manch*, and the campaign encourages people to attend.

### *Preparation of Documents*

The full and efficient participation of people in the social audit *Manch* is dependent on full information. This is not only facilitated through easy access to all documents and information while the scheme/activity/works are in progress, but preparing for the social audit by collating information and demystifying the information so that people can look at summaries of information before the social audit, and these summaries can be read out aloud during the *Jan Audit Manch*. In this connection it is essential that:

- All the relevant documents, including complete files of the works or copies of them be made available for inspection at the gram panchayat office at least fifteen days in advance of the *jan* audit. There should be free and easy access to all residents of the panchayat to these documents during this period, and no fees should be charged for inspection. During this period, if anyone wants copies of the documents, they should be provided at cost price as soon as possible, but no later than five days of the request being made.
- Summaries of muster rolls and of bills, where relevant, must be prepared (in a specially designed format) in advance for presentation in the *Jan* Audit. If possible, these summaries should be put onto charts for public display on the day of the *jan* audit, and to put up at the panchayat office during the fifteen day pre-audit phase.
- The original files should be available on the day of the *jan* audit, so that any information can be cross checked.
- The activities/works to be taken up for audit should be listed in advance, and the list should be put up on the notice boards, along with the other items on the agenda.

## B. The Organisational Phase

The *Jan Audit Manch* is a platform where the independence and facilitating nature of the institutional arrangements will contribute directly to its credibility. It is essential to ensure that proceedings are conducted in a transparent and non-partisan manner, where the poorest and most marginalised can participate and speak out in confidence and without fear. Care has to be taken that the *Manch* not be manipulated by vested interests. Towards this end:

- The time of year for the *Manch* meetings must be such that it is convenient for as many residents to attend - in particular, those who are directly involved with the entity being audited, and all marginalised communities.
- The timings must similarly be convenient so that women can also attend.
- The quorum of the *Manch* must be the same as for all gram sabhas, and the quorum must be maintained as per separate categories (in a specially designed format). Social audit objections must however be recorded at all times, and lack of a quorum should not be taken as a reason for not recording objections.
- The social audit *Manch* must be chaired by an individual independent of the implementing agencies in the panchayat. The ward panch/ panchayat president must not chair this meeting.
- The secretary of the *Manch* must also be an official from outside the panchayat.
- The person responsible for presenting the information should not be a person responsible for implementing the work. The vigilance committee, or a school teacher, for instance, could be considered for the purpose of reading aloud the information as per the required format.
- All officials responsible for implementation must be required to be present at the *Jan Audit Manch* and be required to answer queries from members of the gram sabha.
- Decisions and resolutions must be made by vote, but dissenting opinion must be recorded.
- Minutes must be recorded as per the format (in a specially designed format), by a person from outside the implementing agencies, and the minute register must be signed by people at the beginning and end of the meeting (after the minutes are written).
- The agenda (generic agenda given below) must be gone through including the transparency checklist, and all objections recorded as per format (in a specially designed format).



- The action taken report of the last social audit must be read out at the beginning of each *Jan Audit Manch*.
- In addition, every district should also have a team of technical people from outside the district (with the appropriate expertise, for example in engineering, accountancy, etc.) who will help in the preparation of information for dissemination, who will attend selected *Jan* audits, take detailed notes, and immediately after the *Jan* audit, visit all the sites and conduct detailed enquiries where people have testified that there is corruption.
- During the *jan* audits, right to information provisions and ward sabha social audit manuals, should be publicised so that this serves as an ongoing training for the public vigilance process.

### C. The Implementation Phase

The agenda for the social audit in the gram sabha must include a checklist to review whether norms, provisions, rules and guidelines are being followed. The questions and issues raised in the *Jan Audit Manch* would include:

- a) Whether the process of identifying beneficiaries (where relevant) was conducted in a transparent manner
  - Was a list prepared of all the possible beneficiaries?
  - Was the first identification/selection done in a special ward sabha/gram sabha conducted for the purpose?
  - Was the list of identified/selected persons read out for verification in the gram sabha?
  - Is the list of beneficiaries updated on an ongoing basis?
  - Is the updated list regularly put up on the Panchayat notice board?
  - Are there any eligible beneficiaries who have been left out of the list?
- b) Whether the applications for benefits/entitlements being dealt with appropriately?
  - Where potential beneficiaries have to apply for their benefits/entitlements, are their applications being received and acknowledged?
  - Are they getting their benefits appropriately and in time?
  - Is the distribution of benefits/entitlements being done in a transparent manner, with lists being put up on the panchayat notice board for public notice and display?
  - Are there any pending complaints about the receipt of applications, the allotment of benefits/entitlements, etc.?

c) Transparency in the sanction of work/project/activity

- Was the sanctioned work/ activity appropriate and optimal?
- Was the final identification done in a transparent manner with the involvement of local stakeholders?
- Was there involvement of the local stakeholders in the preparation of the technical estimate?
- A list of all the works/activities sanctioned in the six month period must be read out aloud, along with amount sanctioned, and amount spent on the works.
- Has the list of work/activities sanctioned been made public through notice boards etc., and kept updated?

d) Transparency in the implementation of work

- Was there a board on the work-site giving details of sanctioned amount, work dimensions, and other requisite details?
- Was an open transparency meeting held **before** commencement of the work to explain the work requirements to the workers, including the labour and material estimates as per the technical sanction?
- Were the muster rolls (where relevant) available for public scrutiny at all times at the work-site?
- Was there a work-site material register maintained, along with verification by at least five workers whenever material came to the site?
- Was a daily individual measurement of work conducted in a transparent manner where piece-rate norms were in force?
- Was the measurement of the work done by the junior engineer in the presence of a group of workers?
- Were any complaints made? Were they addressed within prescribed/ appropriate period by the grievance redressal authority?
- Was an open transparency meeting held **within seven days of the completion** of the work, where all those who worked on the site, and residents of the village where the work took place are invited to look at the entire records. Compliance of the requirement to hold this meeting must be made necessary before the completion certificate is issued

- e) Making of wage payments (where relevant)
- Were wages paid within prescribed/reasonable period?
  - Were wages paid at a designated public place at a designated time?
  - Were all payment details available for public scrutiny before the payments were made (for example, by putting up muster roll copies on notice boards etc)?
  - Were payment details read out loud in public while making payments”
  - Were payments made by an agency other than the one implementing the work
  - Was compensation given as per the provision of the payment of wages act for late payments?
  - Are there any wage payments which are still due?
- f) Post Facto auditing of the records and accounts of each work undertaken
- Does the file have all the documents required?
  - Were all the documents available for scrutiny at least 15 days before the *Jan Audit Manch*?
  - Were charts prepared of the summary sheets for public display and scrutiny before and during the social audit?
  - The muster roll summary (where relevant) must be read out loud to check for discrepancies.
  - The summary of the bills must be read aloud to check for discrepancies.
  - The measurement book summary (where relevant) must be read aloud
  - The photographs taken, before, during, and after the work must be available for public display and scrutiny during the *Jan Audit Manch*.

### **Box 13 : Threats to Social Audit**

Social audit is a community driven tool for transparency and accountability. It unearths corruptions, misappropriations and identifies the perpetrators of such deeds and exposes them and as well as makes them accountable in public forum. It is, therefore, natural that such vested interests will try to scuttle the social audit in all possible ways. Some such threats are (experience-based)briefly illustrated here.

- a) Government Sponsored Social Audit:** Some officials would initiate social audit with the help of external agency and also with high media glare. When such 'organised' social audits are planned, usually certain gram panchayats/ blocks alone will be identified. All required data, documents and registers would have been updated just for the social audit with a view to getting a clean chit. Such 'stage managed' social audits do not really serve the purpose. Nevertheless, the publicity to even such social audit may still generate awareness notwithstanding the fact that such social audits may turn out to be a routine ritual.
- b) Disruption:** This is a very common feature in social audits, particularly when such audits are done with external facilitators and social activists. The 'mates' under NREGS in many places are accomplices of Sarpanches/ Pradhans/ Presidents and officials for fudging records and other misdeeds in employment guarantee schemes. The workers and community members who participate in social audit help in exposing the wrong doings. In the Social Audit Forum Gram Sabha, the affected people would be encouraged to speak out and present their grievances. But the mates, supporters of the Sarpanch and other lumpen elements will try and disrupt the proceedings by their shouting or issuing threats. Under such circumstances, people may not speak out for fear of physical violence. There are also instances where officials and Pradhans/ Sarpanches do not present themselves in the social audit or in the Gram Sabha.
- c) Post - Social Audit Consequences :** Social audits have exposed corruptions and misappropriation everywhere. The culprits have been publicly questioned and this is taken as a humiliation. The follow-up action have led to suspension, criminal proceedings etc. The guilty and accused may threaten, physically harm and harass the whistle blowers and other community members. This is usually very common in social audits conducted with the help of outsiders.

## **II. SOCIAL AUDITS AND THE RIGHT TO INFORMATION ACT (RTI)**

### **A. USING THE RTI ACT FOR SOCIAL AUDITING**

One essential and critical requirement for conducting social audits is the availability of all relevant information and decision-making processes that are totally transparent. The beginnings of social auditing owe much to access to information, especially to bills, vouchers and muster rolls related to expenditure by Panchayats and other government institutions. Initially, this information had to be accessed despite stout resistance from the concerned officials, and without legal backing. Initial right to information acts, in some states, though relatively weak and ineffective, provided some legal basis for accessing these documents. Fortunately, a very powerful and comprehensive national act was passed in 2005. The Right to Information (RTI) Act 2005 significantly facilitates the process of conducting social audits. There are many provisions in the RTI Act that directly support public scrutiny of schemes and programmes.

Section 4 (1)(b) of the RTI Act lists the information that public authorities need to make public *suo moto*. This includes information relating to the norms set by it for the discharge of its functions (S. 4(1)(b)(iv)) ; the rules, regulations, instructions, manuals and records, held by it or under its control or used by its employees for discharging its functions (S. 4(1)(b)(v)); the particulars of any arrangement that exists for consultation with, or representation by, the members of the public in relation to the formulation of its policy or implementation thereof (S. 4(1)(b)(vii)); the budget allocated to each of its agency, indicating the particulars of all plans, proposed expenditures and reports on disbursements made (S. 4(1)(b)(xi)); the manner of execution of subsidy programmes, including the amounts allocated and the details of beneficiaries of such programmes (S. 4(1)(b)(xii)); particulars of recipients of concessions, permits or authorisations granted by it (S. 4(1)(b)(xiii));. Therefore, this information is required to be publicly available for all programmes and schemes, without being asked for.

In addition, section 4 (1)(c) of the RTI Act requires that each public authority “ publish all relevant facts while formulating important policies or announcing the decisions which affect public” (emphasis added). This ensures that the public has an opportunity of evaluating draft public policies while they are being developed. They also have the option to evaluate all decisions in terms of the facts on which it was based.

Similarly, section 4(1)(d) requires all public authorities to “provide reasons for its administrative or quasi-judicial decisions to affected persons”. Therefore, each public authority is already required, under the RTI Act to give reasons for all decisions made relating to the implementation of any scheme or project, to all the affected people. This makes the conduct of a social audit very much easier.

The RTI Act also allows any one to access information regarding the functioning of a scheme or project even after it is completed, by filing a specific request. Therefore, people incharge of implementing schemes and projects are conscious that their records can be publicly scrutinised at any time, even years after the event. This is a great deterrence to those who might be able to manipulate a clean official audit and think that once the formal audit is over they are safe from public scrutiny.

Perhaps the greatest advantage of the RTI Act is that it has made people aware that they have a right to access information, a right that is legally enforceable, and is not restricted to just a few bits of information but covers almost all the information that they might be interested in. The RTI Act not only assures them of this but also, given the penalties that are prescribed for illegitimate delay or refusal, ensures that they can exercise this right and actually get this information.

The RTI Act guarantees to the people that they can always, on their own, conduct a social audit of any scheme or programme that they think needs their scrutiny, even if the concerned public authority has not organised a social audit. They can independently access this information and ask explanations of the government. The fact that the RTI Act allows them to do this makes it futile for public authorities to avoid holding formal social audits or holding them only on paper.

A brief description of the RTI Act is given below.

## **B. THE RIGHT TO INFORMATION ACT 2005**

### Coverage

The RTI Act 2005 covers all Central, state and local government bodies and, in addition to the executive, it also applies to the judiciary and the legislature. It covers all bodies owned, controlled or substantially financed, either directly or indirectly by the government, and non-governmental organisations and other private bodies substantially funded, directly or indirectly, by the government. This would seem to include private schools, hospitals and other commercial institutions that have got subsidies in the form of land at concessional rates or tax concessions, among others.

Apart from these, the law, interestingly, also covers the private sector as it provides the citizen access to all information that the government can itself access through any other law currently in force.

### Definitions

The Act gives a detailed definition of the term ‘information’, and significantly includes “opinions and advices” as subject to disclosure. This clearly means that file notings are also to be disclosed, unless their content falls under one of the exemptions specified in section 8 of the Act. The definition of ‘information’ also includes the right to inspect work, documents and records held by the government, and allows for the extraction of certified samples for verification. Therefore, the Act moves beyond the realm of files and documents and enables the public to actually examine the field reality.

### Process of Access

The Act has set out a relatively simple process for accessing information. Each public authority must appoint a Public Information Officer (PIO), who accepts requisitions and provides information. The PIO must ordinarily respond to a requisition within 30 days, but extensions are allowed in some cases, for example when a third party is involved. Information relating to the life or liberty of a person must, nevertheless, be provided in 48 hours. (See also Box 11 & 12)

#### Box 14 : Public Information Officer for NREGS

Public Information Officers (PIOs) are specified by the State government. As per the Act, an illustrative provision at different levels is as below.

#### Illustration of PIOs for NREGS

Level	Public Authority	APIO	PIO	Appellate Authorities
Gram Panchayat	Gram Panchayat	—	Gram Sevak Secretary	BDO
Taluka/ Block Mandal	Programme Office	Gram Sevak Secretary	BDO	District Programme Coordinator
District	District Programme Coordinators Office	BDO	Secretary of District Panchayat	District Collector Secretary State NREGS Committees

**Box 15 : Specimen Application for Seeking Information Under  
the Right To Information Act, 2005**

To

The Public Information Officer

1. Name of the Applicant
2. Complete address
3. A. Particulars of the information,  
document, inspection, sample  
required  
B. Period to which the above pertains  
C. Other details (if any)

4. Details of Application Fee of  
Rs.10 (Rupees ten only) remitted

Indian Postal Order IDD/  
Banker's Cheque No. and  
date, cash receipt No. date  
(if remitted by cash)

Place:

Date:

Signature of the Applicant

**Exemptions**

The Act exempts certain categories of information from disclosure. Included are the obvious exemptions of information, the disclosure of which would prejudicially affect the sovereignty and integrity of India, the security, strategic, scientific or economic interests of the State, relation with foreign State or lead to incitement of an offence; or information which has been expressly forbidden to be published by any court of law or tribunal or the disclosure of which may constitute contempt of court. It also exempts information, the disclosure of which would cause a breach of privilege of Parliament or the State Legislature.

Information, including commercial confidences, trade secrets or intellectual property, the disclosure of which would harm the competitive position of a third party, or information available to a person in his fiduciary relationship, is also exempt. However, there is a public interest override that specifies that such information can be made public if the competent authority is satisfied that larger public interest warrants the disclosure of such information.

Also exempt is information received in confidence from foreign governments, or information, the disclosure of which would impede the process of investigation or apprehension or prosecution of offenders, or would endanger



the life or physical safety of any person or identity, the source of information or assistance given in confidence for law enforcement or security purposes.

Though cabinet papers, including records of deliberations of the Council of Ministers, Secretaries and other officers are exempt, the decisions of Council of Ministers, the reasons thereof, and the material on the basis of which the decisions were made becomes accessible after the decision has been taken, and the matter is complete, or over, unless they are exempt under any other section of this Act.

Also exempt is information that might violate copyright, except that of the state, or personal information the disclosure of which has no relationship to any public activity or interest, or which would cause unwarranted invasion of the privacy of the individual. However, here also it can be disclosed if larger public interests so warrants.

There are some general clauses qualifying the exemptions. These include a clause that specifies that any information that cannot be denied to the Parliament or a State Legislature cannot be denied to any person. Also, where a part of a document is exempt, the whole document cannot be withheld. Thus, the section that contains exempt information can be removed, and the remaining part disclosed.

In another clause, it is stated that notwithstanding the exemptions specified in the law or provisions of the Official Secrets Act, 1923, "a public authority may allow access to information, if public interests in disclosure outweighs the harm to the protected interests." In addition, most of the exempt information becomes accessible after twenty years.

### Complaints and Appeals

The Act envisages the setting up of independent Information Commissions, one at the Centre and one at each state, comprising one Chief Information Commissioner and up to ten Information Commissioners. Complaints against violations of provisions of this Act can be made to the Information Commission. The Act also provides for two levels of appeals against the PIO, the first to an officer senior to the PIO, and the second to the Central or state Information Commission, against delay in supplying, or refusal to supply, information by the PIO (Box 11). The section on appeals specifies that the onus of proof that the denial of a request was justified would be on the PIO. This necessitates the appellate authorities treating all information as "disclosable" unless proved otherwise. The Act also specifies that appeals should be disposed off within 30-45 days.

## Penalties

The Act stipulates penalties for PIOs found to be in violation of the Act. For unreasonable delay, the Information Commission can impose penalties at Rs. 250 per day, and also penalise for refusal to accept requests, for malafide destruction of information, knowingly giving false information etc., with an upper limit of Rs. 25,000. However, PIOs are given immunity for actions done in good faith.

## Universal Access

The Act also has provisions to ensure that all categories of people, especially the rural and urban poor, can access information. Towards this end, the Act specifies that fees would be reasonable, and must be waived for persons below the poverty line (see Box 13). There is no need to give reasons for requisitioning information, nor for providing information about yourself beyond your contact details. The government is also obliged to assist all requisitioners to formulate requests, especially in the case of sensorily challenged individuals.

### **Box 16 : What Does It Cost To Get The Information?**

It may vary according to the guidelines issued by State governments. The rates fixed by Central Government for obtaining information are given below:

<b>S. No.</b>	<b>Nature of the document</b>	<b>Rate fixed by the Central Government</b>
1.	A4 or A# size paper created or copied	Rs.2 for each page
2.	Larger size paper	Actual charge or cost price
3.	Samples or models	Actual cost price
4.	Inspection of records	
	a. First Hour	No fee
	b. For each fifteen minutes (or fraction thereof) thereafter	Rs.5
5.	Diskette floppy	Rs.50 per diskette or floppy

## *Suo Moto* Disclosures

Public authorities are obliged to publish a great deal of information *suo moto*, including relevant facts while formulating policies and making policy decisions. They are also bound to explain quasi-judicial decisions to affected

persons and to raise awareness and educate the public about the law. (see below for an example of *suo moto* disclosure under NREGS & also Box 14).

Information (*Suo Moto*) to be disclosed voluntarily (NREGS)

Under the scheme, following details should be put on notice board, website and through press release.

- List of persons Registered for Employment (monthly update)
- List of persons issued job card (monthly update)
- List of persons whose application for job card rejected (monthly update)
- List of persons applied for work (monthly update)
- List of locations, dates and names of persons allotted work (monthly update)
- List of works with clear details of location (Gram Panchayat, Block, District) and implementing agency
- List of persons whose names have been forwarded to Programme Officer for work
- List of implementing agencies and work allotted
- Dates and details of gram sabha
- Wage Rates/ Schedule of Rates
- List of workers not reported for work
- List of workers entitled for unemployment allowance
- List of workers paid unemployment allowance
- Social Audit Report
- Financial information: Budget received, spent, balances (date-wise/ annual)

These are only illustrative list. More and more information can be added to the list.

Information to be disclosed on demand

- Muster rolls
- Bills, receipts, vouchers of purchases
- Measurement book
- Copies of sanction orders
- Assets Registers

### **Box 17 : The Power of RTI : Experiences from the Field**

RTI is likened to second Independence by Shri Anna Hazare, the noted social worker. RTI is an important step to make Gandhiji's dream "The real Swaraj will come when an ordinary will be able to fight injustice", come true. By now, there are several hundred examples in the country where RTI has been used to set right the wrong in our public delivery system.

Shivaji Raut in Satara, Maharashtra, exposed corruption in the Employment Guarantee Scheme (EGS). He sought the details of EGS works taken up by the Forest Department in Bangarwadi, Arfale and Shirtav villages. When he went to the villages he found that these works were taken up only on paper - muster rolls had fake names and some signatures were in English. His enquiry led to unearthing of corruption at grassroot level. He also exposed fudged certificates to claim the benefits meant for freedom fighter.

Anup Choudhry of Sehore in Madhya Pradesh, a graduate but a milk vendor, has used RTI on several issues. The most recent one pertains to drinking water supply. Every year Sehore faces drinking water shortage in summer and drinking water is supplied through tankers. This was a source of corruption for corporators. For every tanker five people of the locality have to sign certifying the supply of water. Using RTI, Choudhry verified the receipts and found in his own ward, four tankers were receipted but actually two tankers water was supplied. The signatures were found forged, thus exposing massive fraud. Samarthan, a civil society organisation helps Choudhry to file RTI applications.

Bhaskar Prabhu, a Mumbai based businessman filed three different applications to know how the funds of the corporators, MLAs and MPs were being utilised. He found duplication of works by using these funds. He also exposed that the officials also do not follow guidelines in civil works. These are samples of thousands of successes of RTI.

### **III. INTEGRATING SOCIAL AUDITS INTO THE NATIONAL RURAL EMPLOYMENT GUARANTEE ACT**

#### **A. INTEGRATING SOCIAL AUDITING**

The NREGA provides to the people certain entitlements. These are:

1. The entitlement to register one's family.
2. The entitlement to a job card.
3. The entitlement to apply for work.
4. The entitlement to participate in the process of preparation of shelf of projects/ selection of sites.
5. The entitlement to participate in the development and approval of technical estimates/issuance of work order.
6. The entitlement to get work allotted within fifteen days of applying for it.
7. The entitlement to participate in the supervision of works.
8. The entitlement to receive full wages for the work done, as per the prescribed rates.
9. The entitlement to receive unemployment allowance, if work is not allotted in the stipulated fifteen days.
10. The entitlement to be involved in the evaluation of the works undertaken under this Act.

In order to ensure that each individual has the opportunity to get all that he/she is entitled to, the process of social audits has been integrated and institutionalised in the process of implementing this Act and certain measures have been provided for to ensure full transparency and participation of all stakeholders. These measures, as they correspond to each specific entitlement, are listed below. Also listed are the dangers that confront the potential beneficiary, as they try and get what they are entitled to. What each individual needs to do, in order to ensure that these measures are effective, has also been indicated.

S. No.	ENTITLEMENT	DANGERS	TRANSPARENCY AND SOCIAL AUDIT MEASURES AND HOW FACILITATORS CAN HELP
1.	<p>The entitlement to register one's family as Potential Beneficiaries In The Rural Employment Guarantee Scheme  <b>[Responsibility to register: Gram Sewak/ GP Secretary]</b></p>	<ol style="list-style-type: none"> <li>1. Absence of the concerned functionary</li> <li>2. Denial of registration to persons applying to the scheme</li> <li>3. Incomplete list of adults in each household</li> <li>4. Registration of bogus families/individuals</li> <li>5. Rejection of "incomplete" registration forms.</li> <li>6. Asking for money for registering names/ families.</li> </ol>	<ol style="list-style-type: none"> <li>1. The registration is required to be carried out publicly with facilities for people to verify their own details, or those of others. A special gram sabha is to be convened for the purpose.</li> <li>2. People must be encouraged to attend Bank Gram Sabha in large number to ensure that no outsiders or ineligible people are being registered and no eligible persons are denied registration.</li> <li>3. If the registration form is incomplete in any way, it would be the responsibility of the concerned functionary to have it completed there and then.</li> <li>4. The final list must be put up for public display at the Gram Panchayat office and updated every three months. The process of registration must remain perpetually open at the gram panchayat.</li> </ol>

<p><b>2. The entitlement to a job card [Responsibility for timely distribution: Gram Sewak/ GP Secretary]</b></p>	<ol style="list-style-type: none"> <li>1. Delay in receiving job cards</li> <li>2. Issuance of false cards</li> <li>3. Issuance of cards to ineligible persons</li> <li>4. Non-issuance of a job card</li> <li>5. Asking for money for issuing job card.</li> </ol>	<ol style="list-style-type: none"> <li>1. There is a one month time limit for the supply of job cards, from the date of registration. Job cards are issued free of cost.</li> <li>2. A file containing all registration forms and photocopies of all job cards issued must be open for inspection at the Gram Panchayat office. The concerned functionaries must be asked to explain the reasons for any delay in distributing job cards over and above the prescribed time limit. If necessary, the RTI Act can be used to get this information. Where the reasons for delay are not justifiable, or where there is a very long delay, the matter must be taken up with the higher authorities.</li> </ol>
<p><b>3. The entitlement to apply for work [Responsibility to receive and acknowledge applications: Sarpanch]</b></p>	<ol style="list-style-type: none"> <li>1. Non-acceptance of work application by the relevant functionary</li> <li>2. The wrong date or no date recorded on the work application.</li> <li>3. Rejection of "incomplete" forms</li> </ol>	<ol style="list-style-type: none"> <li>1. Individuals are entitled to send applications for work by post or to deliver by hand.</li> <li>2. They have a right to an immediate, written, signed and dated receipt.</li> <li>3. A date-wise list, that is updated weekly, must be displayed at the Gram Panchayat office,</li> </ol>

<p>detailing the applications received. <b><i>The people must regularly check this list and ensure that the information is correct.</i></b></p>		<p>along with a register</p> <p>4. If an application is incomplete in any way, it is the responsibility of the concerned functionary to have it completed. Applications cannot be rejected just because they are incomplete. <b><i>The people should insist on this.</i></b></p>
<p>4. The entitlement to participate in the process of preparation of shelf of projects/ selection of sites to be taken up in a particular Ward Sabha and/or Gram Sabha. <b>[Responsibility to facilitate this: Sarpanch]</b></p>	<ol style="list-style-type: none"> <li>1. Selection of a low priority or inappropriate work.</li> <li>2. Selection of work that serves a vested interest.</li> <li>3. Lack of public participation/consultation for selecting work/sites.</li> </ol>	<ol style="list-style-type: none"> <li>1. The shelf of projects/ works/sites to be taken up must be determined by the gram sabha.</li> <li>2. They must also be assessed for relevance and priority by the gram sabha</li> <li>3. A list of the finally selected projects, works, and sites, in their order of priority, must be publicly displayed at the Gram Panchayat office. <b><i>People must be encouraged to participate fully and actively in the process and ensure that the final list contains only</i></b></li> </ol>



		<i>those projects and sites, and in the order of priority, decided by them.</i>
<p>5. The entitlement to get work allotted within fifteen days of applying for it  <b>[Responsibility: Sarpanch]</b></p>	<ol style="list-style-type: none"> <li>1. Giving out-of-turn allotments.</li> <li>2. Favours or discriminating against people in allotting type/location of work.</li> <li>3. Not respecting the gender quota.</li> <li>4. Not informing the applicant and then showing him/her as absent.</li> <li>5. Demanding money for allotting work</li> </ol>	<ol style="list-style-type: none"> <li>1. All work allocation registers have to be maintained for public scrutiny at the gram panchayat office.</li> <li>2. It is the duty of the concerned functionaries to ensure that the public is informed through notice boards and through other measures ( like drum beating) every time a new batch of work is allotted. The date up to which work has been allocated must also be made public every time work is allocated.</li> <li>3. A specific day (typically Sunday – as it is a holiday) and a specific time and place (typically at the gram panchayat office) should be fixed to disburse information about the EGA.</li> <li>4. There will be individual measurements of each person’s work, unless group collectively decides to have joint measurements.</li> </ol>

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<p>7. The entitlement to participate in the supervision of works. <b>[Responsibility to facilitate: Panchayat Secretary/ Rozgar Sewak]</b></p>	<ol style="list-style-type: none"> <li>1. Recording of non-existent (ghost) workers.</li> <li>2. Recording of fictitious (ghost) works.</li> <li>3. Work not conforming to work specifications/ prescribed standards.</li> <li>4. Supply of less than sanctioned/poor quality materials and tools.</li> </ol>	<ol style="list-style-type: none"> <li>1. A board with details of work – estimates and running costs – material, labour and funds, will be put up at every site, and updated regularly. The format will be user-friendly.</li> <li>2. The muster rolls will be accessible upon demand.</li> <li>3. A Vigilance and Monitoring Committee (VMC) need to be formed for each work.</li> <li>4. Every week the VMC should verify and certify all of bills/ vouchers and the daily material supply register of their work-site, before they are passed.</li> <li>5. A copy of the sanction/ work order should also be available for public inspection orders at the work-site.</li> <li>6. The daily / individual measurement records for each work and worker must be available for public inspection.</li> </ol>
<p>8. The entitlement to receive full wages for the work done, as per the prescribed rates. <b>[Responsibility: An independent functionary ]</b></p>	<ol style="list-style-type: none"> <li>1. Non-payment of wages</li> <li>2. Late payment of wages</li> <li>3. Under-payment of wages</li> <li>4. Payment of wages to the wrong person.</li> </ol>	<ol style="list-style-type: none"> <li>1. Payments will be made in a public place on fixed days (like in the meetings) to ensure that there can be no ambiguity regarding payments.</li> <li>2. All recipients and</li> </ol>

	<ol style="list-style-type: none"> <li>5. Payment of wages in the name of non-existent (ghost) workers.</li> <li>6. Payment of wages for non-existent projects.</li> </ol>	<p>amounts of payment will be read aloud to ensure that the illiterate are not cheated, and also to check ghost (bogus workers) payments.</p> <ol style="list-style-type: none"> <li>3. Provisions will be made to facilitate payments through the post-office and other financial institutions.</li> <li>4. Disclosure of piece-rate measurement will be made individually, and not <i>en masse</i> so as to provide each worker with his/her due exactly. This would prevent division of the wage earned by ghost workers etc.</li> </ol>
<ol style="list-style-type: none"> <li>10. The entitlement to be involved in the evaluation of the works undertaken under this Act [<b>Responsibility: Gram Sewak/ VMC/ EG Officer</b>]</li> <li>11. The entitlement to participate in a People's Audit Meeting (<i>Jan Audit Manch</i>),</li> </ol>	<ol style="list-style-type: none"> <li>1. Taking and/or recording of improper measurements.</li> <li>2. Not consolidating the information regarding the works in one place.</li> <li>3. Issuing of false completion certificates.</li> <li>4. Works not conforming to specifications/ standards.</li> <li>5. Data recorded in a confusing/ incomprehensible manner.</li> <li>1. No public hearing actually takes place, but is shown on paper to have taken place.</li> </ol>	<ol style="list-style-type: none"> <li>1. Verification of works, for conformity with work order in terms of specifications and quality, will be carried out by a Ward/Gram Sabha.</li> <li>2. Completion data should be made public in a people-friendly format.</li> <li>1. Comprehensive public hearings should be held, relating to works and individual</li> </ol>

<p>where all the projects and activities related to the NREGA are assessed and publicly verified. <b>[Responsibility: Gram Sewak/ EG Officer]</b></p>	<ol style="list-style-type: none"> <li>2. The public hearing is manipulated so that only those interested in one point of view are allowed to attend.</li> <li>3. People are prevented from fully participating or from speaking the truth.</li> <li>4. The hearing is disrupted by rowdy elements.</li> </ol>	<p>entitlements, bi-annually at the Ward/ Gram Sabha level for all works completed in that period. The details of the requirements for this public hearing are given in the next section.</p> <ol style="list-style-type: none"> <li>2. On a random sampling basis, these hearings should be attended by state/Central observers and also by independent research groups.</li> <li>3. Wherever possible, audio-visual records of the public hearing will be maintained. <b><i>This people's audit meeting (Jan Audit Manch) is perhaps the most important element of the social audit and people must be encouraged/ motivated to participate fully in this and raise issues.</i></b></li> </ol>
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### Institutional Structures

Though the main responsibility of ensuring that all these measures are properly and faithfully implemented would be primarily of the panchayati raj institutions, with the gram sabha being involved in all decision makings and in planning, monitoring and evaluation, the people will have to ensure that the PRIs do what is necessary. The sarpanch, the gram sewak, and the gram panchayat secretary will be the critical functionaries. The junior engineer, the project officer and the EG officer (as and when he/she is appointed), would also share some of the responsibility.

### **State and Central Monitoring**

As per the obligations under the NREGA, the overall responsibility for monitoring the implementation of the NREGA rests with the Central and the state governments. In order to fulfil this obligation, the state and Central governments will designate a sufficient number of state and Central observers who would, on a random sampling basis, attend the bi-annual public hearings and determine the state of implementation. It would be important for the people to ensure that these observers are made aware of the true nature of things and that all problems and complaints are brought to their notice.

In addition, both the state and the Central governments will also sponsor independent surveys through reputed institutions that can, at a community and household level, collect information about the functioning of the REGS. A related exercise can also assess, in retrospect – say after two years, the durability, maintenance and public utility of the assets created. Again, the people must assist in the carrying out of these surveys and ensure that all critical facts are made available to the surveyors.

### **Capacity Development**

If the process of social audit has to be effectively used, the capacities of the people and people's organisations will be developed and they would be familiarised with the method and oriented towards the philosophy. For this, a network of institutions is being identified and a cadre of trainers are being trained.

### **Complaints and Grievance Redressal Mechanism**

If the social audit process is to be successful, there has to be an effective institutional mechanism that can deal with complaints and grievances, and functions transparently, while providing some protection to vulnerable individuals and families. The functioning of this mechanism would be within time-bound norms and it would be answerable to the affected people for its actions and inaction.

## **B. METHOD OF ORGANISING A PEOPLE'S AUDIT MEETING (*JAN* AUDIT *MANCH*)**

### **Mandatory Social Audits in the Gram Sabha**

Apart from the ongoing process of social audit enumerated above, there will be a mandatory periodic review of all aspects of social audit in ward sabhas (where they exist) and in the Gram Sabha meetings to be held at least once every six months for this purpose (To be called "*Jan Audit Manch*"). These will not only give people an opportunity to review compliance with the ongoing requirements of transparency and social audit, they will also serve as an institutional forum where people can conduct a detailed public audit of all NREGA work that has been carried out in their area in the preceding six months. The importance of this platform is not only the independent value of publicly auditing a particular work, but also that it provides an opportunity to review the functioning of all the transparency provisions at various points in the implementation of the Act with beneficiaries and all the stakeholders residing in the area. The social audit compliments the financial audit, and facilitates examination aspects of the programme by the people. This is beyond the scope of the financial audit. It provides an institutional platform for people to seek and obtain information, verify financial expenditure, examine the provision of entitlements, the reflection of priorities through choices made, quality of work, and quality of services of programme staff. While the social audit must be seen as an ongoing process, the ward/gram sabha *jan audit manch* is a crucial platform for ensuring people's participation in all aspects of the NREGA. Because of the requirement **to read out information loud**, the *manch* facilitates the participation of people who do not have the literacy skills to understand documents. It is, therefore, mandatory that such social audits be conducted on a bi-annual basis, and that programme officers be made responsible for ensuring they take place.

### **Box 18 : Social Audit – A Democratic Ideal**

- The social audit is dependent on people's participation
- Their participation is dependent on their seeing some tangible outcomes
- In fact what is at stake is democratic participation and the credibility of the institution of the Gram Sabha itself

Beyond the Panchayat

- Other departments
- Auditing performance/ quality of work
- Auditing quality of services
- Non-defined spaces
- Compliment participatory development planning

There are three essential aspects regarding the bi-annual *Jan Audit Manch*: the publicity and preparation before the social audit takes place; organisational and procedural aspects of the social audit; and the mandatory agenda for all aspects of an EGA social audit.

### **Box - 19 : The Social Audit Forum : Tasks**

- convening
- periodicity
- presiding
- quorum
- participation
- presenting information
- taking decisions
- recording
- follow-up and feedback

### **The Preparatory Phase**

The success of a social audit is dependent on the open and fearless participation of all the people - particularly the potential beneficiaries of the programme. Effective public participation is dependent on adequate publicity about the meeting as well as informed public opinion, dependent on prior information provided to people in a demystified form.

#### **Publicity**

It must be ensured that sufficient publicity be given to the date, time, importance and sanctity of the social audit, so that maximum participation is ensured. This must be facilitated through:

- People should be aware of the months when the *Jan Audit Manch* is to be held so that it becomes a regular event that people are aware of. The concerned authorities should, therefore, issue instructions about the time of year when it is convenient for people to attend such meetings.
- Announcement of the specific date, time and location of the *Jan Audit Manch* at least one month in advance.
- Use of traditional modes of publicity like informing people through beating of drums (*tom –tom*), and modern means like mike announcements.
- Notices on the notice board, in newspapers, and through pamphlets etc.
- Conducting these audits in a campaign mode so that the entire administration gears up to meet the institutional requirements of the *Manch*, and the campaign encourages people to attend.

### **Preparation of Documents**

The full and efficient participation of people in the social audit *Manch* is dependent on full information. This is not only facilitated through easy access to all documents and information while the works are in progress, but preparing for the social audit by collating information and demystifying the information so that people can look at summaries, of information before the social audit, and these summaries can be read aloud during the *Jan Audit Manch*. In this connection it is essential that:

- All the relevant documents, including complete files of the works or copies of them be made available for inspection at the gram panchayat office at least fifteen days in advance of the *jan* audit. There should be free and easy access to all residents of the panchayat to these documents during this period, and no fees should be charged for inspection. During this period, if anyone wants copies of the documents, they should be provided at cost price as soon as possible, but not later than five days of the request being made.
- Summaries of muster rolls and of bills must be prepared in advance for presentation in the *Jan Audit*. If possible, these summaries should be put onto charts for public display on the day of the *Jan* audit, and to put up at the panchayat office during the fifteen day pre-audit phase.
- The original files should be available on the day of the *Jan* audit, so that any information can be cross-checked.
- The works to be taken up for audit, should be listed in advance, and the list should be put up on the notice boards, along with the other items on the agenda.



### **Requirements for the *Jan Audit Manch***

The *Jan Audit Manch* is a platform where the independence and facilitating nature of the institutional arrangements will contribute directly to its credibility. It is essential to ensure that proceedings are conducted in a transparent and non-partisan manner, where the poorest and most marginalised can participate and speak out in confidence and without fear. Care has to be taken that the *Manch* is not manipulated by vested interests. Towards this end:

- The time of year for the *Manch* meetings must be such that it is convenient for as many residents to attend- in particular, those who are EGA workers, and all marginalized communities
- The timings must similarly be convenient so that women can also attend
- The quorum of the *Manch* must be the same as for all gram sabhas, and the quorum must be maintained as per separate categories. Social audit objections must however be recorded at all times, and lack of a quorum should not be taken as a reason for not recording objections
- The social audit *Manch* must be chaired by an individual independent of the implementing agencies in the panchayat. The ward panch/ panchayat president must not chair this meeting
- The secretary of the *Manch* must also be an official from outside the panchayat
- The person responsible for presenting the information should not be a person responsible for implementing the work. The vigilance committee, or a school teacher, for instance, could be considered for the purpose of reading aloud the information as per the required format
- All officials responsible for implementation must be required to be present at the *Jan audit Manch* and be required to answer queries from members of the gram sabha.
- Decisions and resolutions must be made by vote, but dissenting opinion must be recorded.
- Minutes must be recorded by a person from outside the implementing agencies, and the minute register must be signed by people at the beginning and end of the meeting (after the minutes are written)
- The agenda must be gone through including the transparency checklist, and all objections recorded as per format
- The action taken report of the last social audit must be read out at the beginning of each *Jan Audit Manch*.

- In addition, every district should also have a team of technical people from outside the district (engineers and accountants) who will help in the preparation of information for dissemination, who will attend selected *Jan* audits, take detailed notes, and immediately after the *Jan* audit, visit all the sites and conduct detailed enquiries where people have testified that there is corruption.
- The report of these sample *Jan* audits and the reports of the technical team should be submitted to the district employment guarantee council in a specified time - frame for necessary action.
- During the *Jan* audits, right to information provisions, ward sabha social audit manuals, should be publicised so that this serves as an ongoing training for the public vigilance process.

### **The Agenda for the Gram Sabha Social Audit**

The agenda for the social audit in the Gram Sabha must include the following:

A check-list must be prepared to review whether norms and provisions in the Act, rules and guidelines are being followed:

#### **a) Whether the process of registration was conducted in a transparent manner**

- Was a list prepared by the panchayat of all the possible households who might seek registration.
- Was the first registration done in a special ward sabha/gram sabha conducted for the purpose
- Was the list of registered persons read out for verification in the gram sabha
- Is registration open in the panchayat on an ongoing basis
- Is the registration list regularly updated and put up on the Panchayat notice board
- Is there anyone remaining who wants to register, but who has not yet been registered

#### **b) Whether job cards were prepared, issued, and updated in a transparent manner**

- Were job cards issued within one month of registration
- Is the list of job cards regularly updated, and put up on the panchayat notice board?
- Is a file containing photocopies of all job cards available for inspection in the panchayat office

- Was the job card issued free of cost, or was there a charge imposed for issuing the job card
- Is there anyone who has not received a job card, or is there any other pending complaint

**c) Whether the applications for work are being treated as per norms**

- Are workers receiving dated receipts for their application for work
- Are people being given work on time
- Is the allotment of work being done in a transparent manner, with lists of work allotments being put up on the Panchayat notice board for public notice and display
- Are those who have not been given work on time, received unemployment allowance? How many people have outstanding payments of unemployment allowance, and are they being compensated for late payments as per the guidelines?
- There must be a reading aloud of a list of workers who have received unemployment allowance (if any) in the last six months, along with the amounts disbursed, and the basis for calculation of the amounts
- Are there any pending complaints about the receipt of work applications, the allotment of work, and the payment of unemployment allowance
- Is the gender quota being satisfied in the allotment of work
- Is the roster based on date of application received being followed for the allocation of work
- Are those who are allocated work outside the five km radius being given extra payment equal to 10 per cent of the minimum wage

**d) Transparency in the sanction of work**

- Was the shelf of projects prepared in the gram sabha
- Was the technical estimate prepared by the junior engineer along with the residents of the village
- Were the works sanctioned from the shelf of projects as per norms?
- A list of all the EGA works sanctioned in the six month period must be read out loud, along with amount sanctioned, and amount spent on the works. This list must include works sanctioned from both the Panchayat/ and non-Panchayat list which were undertaken within the ward/ Gram Panchayat
- Has the Panchayat board been updated with the list of works painted on it

#### e) Transparency in the implementation of work

- Was there a board on the work-site giving details of sanctioned amount, work dimensions, and other requisite details
- Was an open transparency meeting held **before** commencement of the work to explain the work requirements to the workers, including the labour and material estimates as per the technical sanction (see simplified format)
- Were the muster rolls available for public scrutiny at all times at the work-site
- Was there a work-site material register maintained, along with verification by at least five workers whenever material came to the site
- Was a daily individual measurement of work conducted in a transparent manner where piece-rate norms were in force
- Was the measurement of the work done by the junior engineer in the presence of a group of workers
- Did members of the vigilance committee make regular visits to the work-site, and monitor the implementation of various aspects of the work
- Were any complaints made? Were they addressed within seven days by the grievance redressal authority as specified in the guidelines
- Was an open transparency meeting held **within seven days of the completion** of the work, where all those who worked on the site, and residents of the village where the work took place are invited to look at the entire records. Compliance of the requirement to hold this meeting must be made necessary before the completion certificate is issued

#### f) Making of wage payments

- Were wages paid within seven days
- Were wages paid at a designated public place at a designated time
- Were all payment details available for public scrutiny before the payments were made (through putting up muster roll copies on notice boards etc.)
- Were payment details read out in public while making payments
- Were payments made by an agency other than the one implementing the work
- Was a record maintained of payments made beyond the specified time limit

- Was compensation given as per the provision of the payment of wages act for late payments
- Are there any wage payments which are still due

**g) Post-facto auditing of the records and accounts of each work undertaken**

- Does the file have all the documents required
- Were all the documents available for scrutiny atleast 15 days before the social audit meeting
- Were charts prepared of the summary sheets for public display and scrutiny before and during the social audit
- The muster roll summary must be read out loud to check for discrepancies
- The summary of the bills must be read out loud to check for discrepancies
- The measurement book summary must be read out loud
- The photographs taken, before, during, and after the work must be available for public display and scrutiny during the social audit
- Was the vigilance committee formed as per norms
- Has the vigilance committee submitted its report
- The report of at least the following aspects of the vigilance committee and its findings should be read out and form the basis of discussion in the ward/gram sabha- a) quality of work b) work dimensions c) selection of location d) were minimum wages paid e) were wages paid on time f) have all bill payments been made g) were there any complaints made to them during the work h) what redressal took place for complaints or grievances. i) were the work-site facilities made available j) what are the maintenance requirements of the project

**h) Other general issues connected with EGA works**

- There must be an action taken report prepared by the programme office on the resolutions and findings of the last social audit read out loud at the beginning of each meeting
- Are there any general maintenance issues to be looked at related to development works in the panchayat
- Has the last financial audit report been submitted? It should be made available to the social audit *manch*, and audit objections if any should be read out loud

- Any UCs or CCs issued since the last social audit should be read out loud
- Are there any persons with outstanding wages or unemployment allowance to be paid? These should be listed and reported to the programme office for necessary action
- Are all the boards in the Panchayat updated as per requirements.
- The services of the EGA staff like the Panchayat Rozgar sewak, and the junior engineer, and any other staff, need to be audited for quality of service
- The timely flow of funds from the programme office to the gram panchayat needs to be monitored

**Box 20 : Social Audit in the Gram Sabha**

a) Strengthening Local Governance

- citizens' vigilance + governance
- transparency + accountability
- democratic practice + democratic institutions

b) The Imperatives of the Process

- Full access to all information prior to social audit, with enough time for assimilation and verification
- Obligation on officials to be present and answer queries
- The outcomes must have legally sanctioned implications
- Creating an enabling atmosphere

**i. Post-Social Audit Actions**

- The Gram Panchayat Secretary shall be responsible for preparing a Social Audit Report after each Social Audit Forum and submitting it to the Programme Officer within one week. This Report shall contain a record of minutes of the Forum, any resolutions passed by the Forum (Social Audit Resolutions), and any objections raised (Social Audit Objections).
- Any objection raised at the Social Audit Forum by an individual or a group of individuals relating to failure to meet the requirements of the NREGA shall be called a 'social audit objection'. All social audit objections shall be treated as a complaint under section 23 of the NREGA,

and sent to the programme officer for disposal within one week of receipt of the Social Audit Report.

- Any resolution passed by the Social Audit Forum shall be called a 'Social Audit Resolution.' The quorum of the forum must be complete in order for there to be legitimate Social Audit Resolution.
- All social audit resolutions related to corruption shall be treated as a preliminary enquiry, and the district programme coordinator shall be responsible for ensuring that a detailed enquiry is held, and that first information reports are filed where necessary.
- The Programme Officer shall be responsible for addressing all issues contained in the resolutions and for preparing an 'action taken report' within 30 days of receipt of the Social Audit Report. The 'action taken report' shall be read out at the beginning of each Social Audit Forum.
- In addition, the State Government could designate people with technical expertise (engineers and accountants) from outside the district as special observers to attend selected Social Audit Forums and send their observation reports to the Employment Guarantee Commissioner of the State, and the State Employment Guarantee Council. Immediately after attending such Forums, they could visit the work-sites and conduct enquiries in cases where people have raised social audit objections or testified that there is corruption.
- The reports of the Social Audit Forum, and the reports of the technical team, shall be submitted to the Programme Officer and the District Programme Coordinator within a week for necessary action.
- The gram panchayat secretary shall be responsible for submitting both the preceding six monthly reports of the social audit forum, the related action taken reports, as well as reports of the technical teams if any, to the auditor at the time of the annual audit of the gram panchayat. The auditor shall examine these reports and take the reports into consideration while conducting the annual audit.

Some of the instruments/ formats that would be useful in Social Audit can be seen in Proforma A, B, & C.

The sample social Audit Reports can be seen in Annexure 1 & 2 and the field verification report by Social Audit Teams can be seen in Annexure C.

## Proforma (A)

### Specimen Social Audit Report (Village Schedule)

Padyatra Group No.....

Date: .....

Village:.....Panchayat:.....Panchayat Samiti.....

1. Approximate number of people in the meeting :.....

#### Registration

2. Have people in this village registered under the NREGA..... Y/N

3. How many people have applied but not been registered .....

4. How many have complained about irregularities in the registration process.....

who are the people ( indicate names )

5. What action has been taken on each complaint.....

#### Job Card

6. Have job cards been issued in the village. .... Y/N

Which month were they issued.....

7. How many have registered, but have not received job cards.....

8. How many have filed complaints regarding job cards.....

.....

9. What action has been taken on these complaints.....

#### Application for work

10. How many people have applied but not got work yet.....

11. How many have applied for work and got receipts?.....

12. If people have not given written applications, and not received receipts, what are the reasons

a) Application forms not available

b) Cannot write

c) Panchayat did not accept the application

d) Panchayat did not give a receipt



13. How many people applied for work who
  - a) Got work in 15 days
  - b) Got work after 15 days
  - c) Have not yet got work
14. Has anyone applied for unemployment allowance.....name & details

**Payment**

15. In how many days was payment made.....
16. How many people got payment after 15 days..... how many people got payment after 30 days.....
17. Was some part of the wages paid as advance ..... Y/N  
If yes, at what rate.....
18. Was payment made at a public place ..... Y/N  
If not, then where was the payment made?.....
19. Was payment made in the day ..... Y/N
20. At the time of payment –
  - a) Was the payment made on the muster roll ?
  - b) Was the muster roll read out?
  - c) Was the Muster roll displayed at the time of payment?
  - d) Paid without the muster roll
21. How far is the work-site from the village.....
22. Was the work identified in the Gram Sabha ..... Y/N
23. Is there a monitoring committee set up for the works at the village level.....
24. Do people in the village think that the work is useful .....Y/N
25. Is there any complaint in respect of the NREGA -:

**Corruption**

**Irregularities**

other..... Give details

Name of person filling the schedule

Signature

## Proforma (B)

### Specimen Social Audit Report (Work-Site)

Padyatra Group No..... Date:.....

Name of work..... Panchayat.....

Panchayat Samiti.....

Agency executing the work .....

Sanctioned Amount.....

Muster roll numbers of the muster rolls at the work-site.....

1. No of workers on the work-site.....

2. Is there a board displaying the details of the work Y / N

If yes , which of the following is displayed

a) sanctioned amount

b) amount of the work/task assigned to each worker

c) number of workers on the M.R.

d) number of workers present

e) estimated worker days

f) materials needed

g) material received on the day, specify date

h) description of the sanctioned work and specifications

3. Do workers know of the sanctioned amount and the usefulness (?) of the work

4. Is the muster roll available at the work-site ?

5. Has the Monitoring Committee checked the muster roll.. Y / N

6. Has the Village Monitoring Committee evaluated the quality and usefulness of the work .....Y / N

If yes, describe the details

7. If it is a "pucca" work , is there a Material Register maintained on the work-site..... Y / N

8. Is attendance taken on the muster roll or in a note book/register ? specify

9. Is there an anganwadi or creche at the work-site ?

- 10. Is there provision for shade / water / medicines at the work-site ?
- 11. Are Job Cards of workers available at the work-site ?
- 12. Have details of work been entered in the Job Card ?
- 13. Who keeps the Job Cards ?

Questions that should be asked during discussions with workers on the work-site

- 14. Was the task measured and given before work started ..... Y / N
- 15. If there are groups of workers per task, what is the size of the group ?
- 16. Is task given on an individual or group basis ?
- 17. Is the task measured daily and the worker informed about the quantum of measurement ?
- 18. Does the junior engineer measure the work at the end of each work period (*Pakhwada*) in front of the workers ?
- 19. Is there a fixed time for workers to be present at the work-site ?
- 20. How many times is the attendance taken in a day ..... when is it taken?
- 21. Is the lift and lead taken into consideration at the time of fixing the task ?

Suggestions of activities for the Padyatra Group at the work-site

- 22. Check the muster roll, read out muster roll, how many workers are entered on the muster roll . How many workers are present at the work-site ?
- 23. Is the muster roll available for checking by all workers at the work-site ?
- 24. No.of women / men workers at the work-site  
men.....women .....
- 25. Are there any complaints of workers regarding conditions at the work - site ?
- 26. Is the work being done through a Contractor ?
- 27. Are machine/s being used at the work-site or have they been used ?  
If yes please describe for what purpose

Name of person filling the schedule

Signature

## Proforma (C)

### Specimen Social Audit Report ( Panchayat Office)

Padyatra Group No.....

Date:.....

**Panchayat**.....

**Panchayat Samiti**.....

Name of Sarpanch.....

Name of Panchayat Secretary.....

1. Does the Panchayat office have a board displaying the details of work under the NREGA ? .....

If yes, then is the following information entered

a) Name of the work b) Sanctioned amount – labour / materials

c) Expenditure –labour / materials d) State of work – completed / incomplete

2. Is there a shelf of projects for NREGA works prepared by the Gram Sabha, including a list of works in order of priority, available in the Panchayat office ?

a) Has this list of works been displayed ?

b) How many of the on-going works sanctioned have been taken from the shelf of projects approved by the Gram Sabha ?

c) In how many of these works have work orders been issued ?

d) Has the order of priorities in the shelf of projects been followed in the issuing of work orders ?

3. How many works have started and how many labour are working on each work-site ?

4. Are copies of muster rolls displayed at the Panchayat Bhavan for public scrutiny ? .....Y / N

5. Is there a Complaint Box or register available at the Panchayat Office ? .....Y / N .....If yes, then how many complaints have been received? What action has been taken on them ?

6. Is the list of Job Cards issued available for public scrutiny ?

Y / N .....

7. What is the method for receiving applications from workers ?

8. Is the Panchayat Secretary available at the Panchayat office time at a fixed time every day ? ..... Y / N
9. How many people are employed by the Panchayat office to look after the NREGA ?
10. Is the process of registration and issue of Job Cards open at all time ....? .....Y / N
11. Is the Perspective Plan or the sanctioned list of works approved by the Gram Sabha ,open for public scrutiny at the Gram Panchayat ?
12. What are the suggestions of the Sarpanch, Panchayat Secretary and the Ward Panchs regarding the NREGA ?

Name of person filling the schedule

Signature

Note : These formats were made for the mass social audit conducted in Dungarpur (Rajasthan) by the *Rozgaar Evam Suchana Adhikar Abhiyan* from 15 to 26 April 2006. They can be modified and used for a concurrent social audit- i.e. while works are going on. These are not appropriate 'post-facto' social audit formats, i.e. for works that have been completed, or for verification of muster rolls relating to earlier periods.

There are three kinds of proformas- one to be used in the village, one at the work-site, and one at the Gram Panchayat office.

The attempt is primarily to find out which if any of the essential requirements of the NREGA – in particular from the point of view of the worker's, entitlements is not being followed, so that immediate corrective action can take place.

Most of the provisions referred to in the proforma can be found in the NREGA guidelines, or in the Act. The guidelines can be accessed at the MORD website [www.nrega.nic.in](http://www.nrega.nic.in) . Many State Governments have also issued their own guidelines which should be looked at while preparing social audit proformas for use in each state. For instance, some states have much better use of IT provisions than others, but the efficacy of these provisions need to be checked at the field level.

## D. NREGA: A SUMMARY

*The National Rural Employment Guarantee Act 2005 is a law whereby any adult who is willing to do unskilled manual work at the minimum wage is entitled to being employed on public works within 15 days of applying. If work is not provided within 15 days, he/she is entitled to an unemployment allowance. The key features of the Act are spelt out below.*

### Salient Features of the National Rural Employment Guarantee Act

- 1. Eligibility:** Any person who is above the age of 18 and resides in rural areas is entitled to apply for work.
- 2. Entitlement:** Any applicant is entitled to work within 15 days, for as many days as he/she has applied, subject to a limit of 100 days per household per year in his normal area of residence.
- 3. Distance:** Work is to be provided within a radius of 5 kilometres of the applicant's residence if possible, and in any case within the block. If work is provided beyond 5 kilometres, 10 per cent extra wages have to be paid. (check the State Act for correct provision)
- 4. Wages:** Workers are entitled to the statutory minimum wage applicable to agricultural labourers in the state, unless and until the Central Government "notifies" a different wage rate. If the Central Government notifies, the wage rate is subject to a minimum of Rs 60/day.
- 5. Timely payment:** Workers are to be paid weekly, or in any case not later than a fortnight. Payment of wages is to be made directly to the person concerned in the presence of independent persons of the community on pre-announced dates.
- 6. Unemployment allowance:** If work is not provided within 15 days, applicants are entitled to an unemployment allowance: one-third of the wage rate for the first thirty days, and one half thereafter. (check the State Acts for the correct provision)
- 7. Work-site facilities:** Labourers are entitled to various facilities at the work-site such as clean drinking water, shade for periods of rest, emergency health care, and child-minding.

### Employment Guarantee Scheme

- 1. Employment Guarantee Scheme:** Each state government has to put in place an "Employment Guarantee Scheme" within six months of the Act coming into force.

2. **Permissible works:** A list of permissible works is given in Schedule I of the Act. These are concerned mainly with water conservation, minor irrigation, land development, rural roads, etc. However, the Schedule also allows “any other work which may be notified by the Central Government in consultation with the State Government”. All works under the programme will be notified as NREGS scheme.
3. **Programme Officer:** The Employment Guarantee Scheme is to be coordinated at the block level by a “Programme Officer”. However, the Act allows some of his/her responsibilities to be delegated to the Gram Panchayats.
4. **Implementing agencies:** EGS works are to be executed by “implementing agencies”. These include, first and foremost, the Gram Panchayats (they are supposed to implement half of the EGS works), but implementing agencies may also include other Panchayati Raj Institutions, line departments such as the Public Works Department or Forest Department, and NGOs.
5. **Contractors:** Private contractors are banned.
6. **Decentralised planning:** A shelf of projects is to be maintained by the Programme Officer, based on proposals from the implementing agencies. Each Gram Panchayat is also supposed to prepare a shelf of works based on the recommendations of the Gram Sabha.
7. **Transparency and accountability:** 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 EGS documents, regular maintenance of job cards, etc.

#### **Other Provisions**

1. **Participation of women:** Priority is to be given to women in the allocation of work, “in such a way that at least one-third of the beneficiaries shall be women”.
2. **Penalties:** The Act states that “whoever contravenes the provisions of this Act shall on conviction be liable to a fine which may extend to one thousand rupees”.
3. **State Council:** The implementation of the Act is to be monitored by a “State Employment Guarantee Council”.
4. **Cost sharing:** The Central Government has to pay for labour costs and 75 per cent of the material costs. State governments have to pay the unemployment allowance and 25 per cent of the material costs.
5. **Time-frame:** The Act has come into force initially in 200 districts, and is to be extended to the whole of rural India from 2008.

## **IV. SOCIAL AUDITING: A TRAINING MODULE**

### **Objective**

The objective of this training module is to equip government servants, representatives of people's movements and NGOs, and members of local communities to conduct social audits for a variety of programmes and schemes.

### **Methodology**

This is a "hands-on" training module where theoretical knowledge and simulation is supplemented by being involved in the actual process of social auditing. Consequently, only those who are both trainers and practitioners of social auditing can impart the training described in this module. The module complements the manual on social auditing that has been prepared by the Centre for Equity Studies and MKSS, with the support of the NIRD. This module is designed for a seven-day training programme.

Note: The details of the training module would have to be modified depending on the scheme being audited and the details of the area and community involved in the social audit.

### **Training Schedule**

#### **First day**

#### **Half day**

1. Introduction to the concept of a social audit.
2. Contrast it with other types of audits.
3. Discuss advantages and constraints of social audits.
4. Describe the history of social auditing.
5. Introduce case studies and show films.

#### **Half day**

6. Introduce the participants to the social audit manual.
7. Explain the steps of social auditing.
8. Describe, in detail, how each step is to be carried out.
9. Introduce the problems that can be faced in each step.
10. Do a mock social audit by dividing up the participants into groups.



## **Second day**

### **Half day**

11. Continue a mock social audit.

### **Half day**

12. Make preparations for participating in a social audit.
  - a. Get acquainted, in detail, with the scheme to be audited and with the Right to Information Act 2005.
  - b. Make sure that all the forms and documents are in simple, easily understandable language and structure and available in local languages.
  - c. Prepare/have prepared charts and boards with all the relevant information.

## **Third day**

### **First half**

13. Participate in a genuine social audit exercise – go out into the community and:
  - a. Make people aware of their rights, entitlements and obligations under the scheme/programme being audited.
  - b. Specifically, make them aware of their right to participate in the ongoing process of social audit.

## **Third and fourth days**

### **One and a half days**

14. Get involved in the conduct of a social audit (along with the PRI or the government department responsible), specifically:
  - a. Ensure that all relevant information is publicly displayed on boards and through posters and is also read out at appropriate times for the convenience of the people, especially those who cannot read.
  - b. Ensure that the decision-making process, especially for those decisions that are critical and/or vulnerable to distortions, is transparent and open and carried out, as far as possible, in the presence of the affected persons.
  - c. Make certain that all decisions, along with reasons, as appropriate, are also communicated as soon as they are made to the affected people, and in a manner that makes it easy for them to comprehend.

- d. Where there is a need for measuring, inspection or certification, ensure that randomly selected individuals, from among the affected persons, are involved on a rotational basis.
- e. Ensure that members of the public and especially those directly affected, are facilitated to inspect and verify records, inspect works and generally monitor planning and implementation.

#### **Fifth day**

- 15. Prepare for the conduct of a public hearing (a *jan audit manch*).
  - a. Compile all the relevant information and reduce it to easily understandable formats.
  - b. Inform all the community members about the time and location of the *jan audit manch*.
  - c. Prepare the posters and banners required for the *jan audit manch*.
  - d. Identify the key speakers and draw up a programme.
  - e. Allocate responsibilities.
  - f. Go over, in detail, the process and method of conducting a *jan audit manch*.

#### **Sixth day**

- 16. Participate in the conduct of the *jan audit manch*.

#### **Seventh day**

- 17. Debriefing session. Revisit the theory of social audits and have a detailed discussion to address the questions that the participants might have.
- 18. Valedictory and farewell.

## **V. RESOURCE INSTITUTIONS**

### **INDIVIDUALS/GROUPS ASSOCIATED WITH SOCIAL AUDITS**

#### **A. National Level**

1. National Campaign for People's Right to Information (NCPRI)  
14, Tower No. 2, Supreme Enclave, Mayur Vihar, Delhi- 110091  
Contact persons: Shekhar Singh; Suchi Pande  
9811333041; [ncpri.india@gmail.com](mailto:ncpri.india@gmail.com)  
040-24005469; [cmrd\\_info@nird.gov.in](mailto:cmrd_info@nird.gov.in)
2. Action Aid  
C-88, South Extension, Part-II, New Delhi-110049  
Contact person: Umi Daniel; 011-41640571 to 76
3. National Institute of Rural Development (NIRD)  
Centre for Planning, Monitoring & Evaluation/ Centre for Equity & Social  
Development  
Rajendranagar, Hyderabad-500030.  
Contact person: Prof. (Dr.) S. Rajakutty/ Dr R.R. Prasad  
[raja@nird.gov.in](mailto:raja@nird.gov.in)/ [rrp@nird.gov.in](mailto:rrp@nird.gov.in), Phone: 040-24008418/ 423
4. Bharat Gyan Vigyan Samiti (BGVS)  
Basement of Y.W.A. Hostel No. II, Avenue - 21,  
G-Block, Saket, New Delhi - 110 017  
Contact person: Asha Misra  
011- 2656 9943, 09826379553 -0755-5294378;  
[bgvs\\_delhi@yahoo.co.in](mailto:bgvs_delhi@yahoo.co.in), [bgvsdelhi@gmail.com](mailto:bgvsdelhi@gmail.com)
5. Mazdoor Kisan Shakti Sangathan (MKSS)  
MKSS, Village-Devdungri, Post-Barar - 313341,  
Rajsamand, Rajasthan.  
Contact persons: Shanker Singh, Aruna Roy, Nikhil Dey  
09414003247 -09929519361; [mkssrajasthan@gmail.com](mailto:mkssrajasthan@gmail.com)
6. YASHADA  
Raj Bhavan Complex, Baner Rd, Pune- 411 007, Maharashtra  
Contact person: Kiran Kulkarni  
98233-38293; [yashada@vsnl.com](mailto:yashada@vsnl.com)

7. Right to Food Campaign  
Q - 21-B, Top Floor, Jungpura Extn., New Delhi - 110014  
Contact persons: Kavita Srivastava- Gurminder Singh  
09351562965, 011 43501335;  
[kavisriv@gmail.com](mailto:kavisriv@gmail.com), [righttofood@gmail.com](mailto:righttofood@gmail.com)
8. National Federation of Indian Women (NFIW)  
309, V. P House, Rafi Marg, Delhi - 110 001  
Contact person: Annie Raja  
011-23317230, 23319541, 9811553633;  
[nfiwdelhi@yahoo.com](mailto:nfiwdelhi@yahoo.com)
9. All-India Democratic Women's Association (AIDWA)  
121, Vithal Bhai Patel House, Rafi Marg, New Delhi – 110 001  
Contact person: Sudha
10. Centre for Equity Studies  
R-38A South Extension Part II, New Delhi - 110 049  
Contact person: Harsh Mander  
9810523018; [harshmander@vsnl.net](mailto:harshmander@vsnl.net)
11. AILA  
U-90 Shakarpur, Delhi - 110 092  
Contact person: Sanjay Sharma  
011-22521067
12. People's Action for Employment Guarantee  
1002, 10th Floor, Ansal Bhavan, New Delhi - 110001  
Tel: 9810060481
13. New Trade Union Initiative (NTUI)  
B-137 Dayanand Colony, First Floor, Lajpatnagar Part IV,  
New Delhi - 110024  
Contact person: Gautam Modi  
011-26214538, 26486931; [ntui@vsnl.net](mailto:ntui@vsnl.net)
14. PRIA  
42, Tughlakabad Institutional Area  
New Delhi – 110 062  
Phone: 2995 0908, 2606 0931/2/3, Fax: 011- 29955183  
Email: [info@pria.org](mailto:info@pria.org).  
Website: [www.pria.org](http://www.pria.org)

15. The Executive Director  
PRADAN (NGO)  
3, Community Shopping Centre  
Niti Bagh, New Delhi - 110 049  
011- 23710476, 23319566;  
[info@aidwa.org](mailto:info@aidwa.org), [aidwa@ndb.vsnl.net.in](mailto:aidwa@ndb.vsnl.net.in), [aidwa@rediffmail.com](mailto:aidwa@rediffmail.com)

## B. State Level

- Andhra Pradesh                      MKSS/ SPIU, Andhra Pradesh  
Sowmya Kidambi  
9441012123, [sowmyakrishkidambi@gmail.com](mailto:sowmyakrishkidambi@gmail.com)  
  
SPIU, Andhra Pradesh  
Director, SPIU, L-Block, Floor - 8,  
Room No-808, Secretariat, Hyderabad  
Karuna Akela  
040-23454832, 9849900788  
[ap.socialaudit.cell@gmail.com](mailto:ap.socialaudit.cell@gmail.com)  
  
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Village and Post Akajan, via Silapathar,  
Dist. Dhemaji - 787059  
Ravindranath  
9435089275
- Assam                                      North East Network (NEN)  
J.N Borooah Lane, Jorpukhuri, Guwahati,  
Assam - 781001  
Monisha Behal  
0361- 2603833, 09435197151,09818637688  
[monishabehal@gmail.com](mailto:monishabehal@gmail.com)

Action North East Trust  
Ward No 10 BOC Gate ,Bongai Gaon N78  
Dr Sunil Kaul

Rural Volunteer Centre  
Akajan PO, Via-Silapathar Dhemaji Dist.787059  
Contact person: Ravindranath  
(O) 0-9435089275,  
e-mail: rucassam@gmail.com

Bihar

Right to Food and Work Campaign  
E-3, Vivekanand Park, Patliputra colony,  
Patna - 800013

Action Aid Patna  
A/3, Vivekanand Park, Lane A, Patliputra Colony,  
Patna-800 013

Byomkesh Lal  
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Vidyasagar Samajik Suraksha Seva Evam Shodh  
Sansthan  
A-22&31, R.D. Tower, New Punaichak,  
Patna-800023, Ph.0612-2281197/0-94  
Contact person: Pramod Kumar Singh

Chhattisgarh

Bharat Gyan Vigyan Samiti (BGVS)  
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Chhattisgarh- 492 013  
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Delhi

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[shimla@pria.org](mailto:shimla@pria.org)

Jharkhand

Right to Food Campaign, NREGA Watch 5-A ,  
Sandhya Tower, "GHARANA PALACE"  
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Karnataka

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Maharashtra Kashtakari Sanghatna, Malyan, Dananu Road,  
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National Campaign Committee for Rural Workers  
(NCCRW), Hind Khet Mazdoor Sabha (HMS)  
125, Samarth Nagar, Aurangabad - 431 001  
Subhash Lomte 9422202203

Meghalaya Meghalaya RTI campaign  
Crinoline Swimming Pool, Shillong - 793004  
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Manas  
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**Annexure – 1**  
**Social Audit Final Report**  
**Implementation of NREGA in Bhawanipatna Block of**  
**Kalahandi, Orissa, June 2006**

**Background**

The NREGA – 2005 is considered as one of the progressive and historic legislations in post-Independence India. It ensures every rural household right to work. Kalahandi is among the 19 districts in Orissa where the Act is being implemented since 2 February 2006. Considering Kalahandi's socio-economic condition this Act may bring sea change in the life of rural poor provided it is implemented in its letter and spirit.

**Objective**

- To spread awareness among rural poor on NREGA and involve communities in social audit
- To know about the status of implementation at the grassroots level and
- To support the implementing agencies by identifying gaps.

**Methodology**

Twenty-five volunteers received training on 3-4 of June on various aspects of NREGA. Volunteers from organisations like TRUTH, RUPAYAAN, DAPTA, PARIVARTAN, KSDA, RKMS, GYS, EMK, SANKALPA, ADHAR, STREE SAKTI, VISION and LASK participated in the two-days training programme.

After the training, the volunteers divided themselves into groups and fanned out to different Panchayats of Bhawanipatna block (*padyatra*). The week-long *Yatra* started from 5 June 2006 and the team covered all the 33 Gram Panchayats of Bhawanipatna block. During the *Yatra* the volunteer teams visited 70 villages and had conducted 82 public meetings. During this process the volunteers directly interacted with more than 3000 rural poor and conveyed them about their entitlements. The teams also visited 12 work-sites (details given below). The following are the findings based on the interaction with the people and visit to work-sites.

**FINDINGS**

**Some positive sign**

During the *Yatra* the team saw some positive side of the implementation of NREGA. In Deypore and Borbhata, the NREGA information was displayed at the Panchayat office. The people of Ajari village (Artal GP) acknowledged the effort of the Panchayat Secretary, who had earnestly tried at his level to

disseminate information regarding NREGA. In Suhagpur (Deypore GP) village people acknowledged that they have not only received minimum wage but also timely payment has been made. Workers of Dumria (Dumuria GP) have been provided with job cards free of cost on a priority basis. Barring these stray positive incidents, the finding reveals startling facts, which is not encouraging.

The finding throws light on various aspects of implementation of NREGA. Generally it was seen that VLWs went to villages and registered the names / families, but in the process many people still have to be registered their names; 80 per cent of the names registered are not yet provided with the job card. Most of the people do not know whether they will go to Panchayat office to ask for it or Panchayat will supply the job card. It was also heard that 95 per cent of the workers who have already received job card have illegally paid Rs. 20-40 towards photographs. The other aspects of NREGA Act were grossly violated. Examples to be mentioned are non-provision of facilities in the work-sites, absence of muster rolls, inadequate and late payment.

In the above context, a layman can comprehend and understand that the overall situation, which is prevailing in Bhawanipatna block in particular and in the district in general is frustrating and inhuman. If this trend is not arrested at once, the accentuated disappointment, discontent, agony and helplessness, which were visible in the faces of the rural mass, may lead to violence and other unwarranted things. Before it takes an ugly turn, is it not our responsibility as a co-citizen to see that everybody gets his due share in a dignified manner? Let us pledge to give respect to the dignity of human labour. The major findings during the visit are as follows;

### **Awareness Level**

During the rally the volunteers directly interacted with more than 3000 people (mostly poor workers) spread across 70 villages of Bhawanipatna block and found that the rural poor do not know much about and not familiar with the basic entitlements of NREGA. The concept of demand-driven employment, payment rates, minimum wage, work norms, work-site facilities, transparency and other provisions of the Act are yet to reach the countryside. Barring Panchayat Secretary of Artal Panchayat (Ajrei village) no officials have tried to make the people aware of the different provisions of the Act. The PRI members including the Sarpanches have not taken any concrete steps so far to make the people aware.

### **Panchayat Office**

During the week-long rally the volunteers visited all 33 Panchayats (Panchayat offices) of Bhawanipatna block and found that only 6 Panchayat offices were found open (Kutrukhamar, Borbhatta, Kalam, Thuapadar, Karlaguda

and Deypur). People informed that the Panchayat offices are remaining open two days a month in most of the Panchayats. Few Panchayat offices are remaining open one day a week to distribute essential items / pensions to poor.

### **Job Cards**

Most of the people interacted during the *Yatra* informed that they have not received any job card so far. People have the receipts but waiting for the card. Confusion prevails, both among the people and also among administrative staff over the distribution of job cards. Nobody knows where to go. So far, few job cards have reached the Panchayats and in many places it is still lying in the Panchayat offices.

There are 32816 rural households in Bhawanipatna block (as per 2001 census). From Government sources ([www.nrega.nic.in](http://www.nrega.nic.in)) it was revealed that 18526 families have registered their names for the job card but so far (7 June 2006) 17561 job cards have been issued. However, in reality only around 20 per cent of the rural households (said to be registered) have received the job cards. Importantly, whoever is fortunate enough to receive the job card does not know its utility.

### **Photograph scandal**

Barring few Panchayats like Dumria almost all rural poor have so far paid an amount ranging from Rs. 20 to Rs. 40 towards photographs. Either PRI members or some private photographers employed by the authority have collected this amount. This is so even when all the Panchayats have been provided with a digital camera in the area. Also it was revealed that money ranging from Re.1 to Rs.6 have been illegally collected from poor households towards photocopy charges and other expenses for issuing of job cards in the block.

### **Wage**

During the visit to villages and work-sites it was found that workers are getting well below the prescribed minimum wage. In some places women workers are getting as less as Rs.30 per day. Invariably throughout the block women workers are getting less than their male counterparts. Male members are getting wage ranging from Rs.40 to Rs.50 for a day of work when the minimum wage is Rs.55 in the state (from 20 April 2006).

### **Timely Payment:**

Under NREGS a pond (Jodabahali Bandh) is being excavated in Ghusrigudi village of Palsijharan Panchayat. Workers, mostly women from Ghusrigudi, Majhipada and Tetelchuan employed in this work have stopped work because they have not received their wage for the last three weeks. This is not a stand-alone case, there are ample cases found during the *Yatra* where workers are

not getting the wage in time-frame (weekly or at best within 15 days as per NREGA).

### **Piece-work – *Khunti* Rate**

A *Khunti* is 10 feet X 10 feet and 1 foot deep. In almost all the worksites workers informed that they are getting Rs.50 to Rs.55 for *Khunti* of work. The VLL, and PRI members and the contractors interacted during the *Yatra* also do not know the schedule of rates / for piece-work.

### **Myth / Rumours**

The following are some dangerous rumours floating around and myths prevailing in the area.

- People are not coming for work under NREGA
- People are lethargic and are not working for prescribed hours
- From June 15 the NREGA work will be stopped and commence after monsoon
- Use of machines in NREGA work
- Schedule of rates / for piece of work equals to minimum wage

Apart from this, the officials in charge of NREGA in the block and district have the mindset that the “this Act is born to fail”.

### **Discouraging Environment for Women Workers**

Women workers are given special importance in the Act. Invariably women are getting less than their male counterpart in the block. Also the payment is not made in time, they are also not sure whether they would get their due at all.

In Salebhata village around 20 women from Kukuti village were found preparing the cotton field @ Rs.40 a day (day consists of two sessions @ Rs.20 each). They informed that VLL and contractors are asking the women to come in mixed groups (along with male counterparts) to work on NREGA sites. As they could not always take a male member along to the place of work, also the wage they receive is almost same, they prefer to work with private landlords. They are abstaining from Government / NREGS works around the Panchayat, as the payment normally gets delayed even for months. Due to all these women prefer to work in private fields.

### **No demand for work**

No awareness about the work, therefore, poor demand. Also farming season has begun and it has hit the NREGS. District administration has been late by 2-3 months in initiating the processes which has hit the NREGS.



Therefore, poor demand of work has to be carefully interpreted. It was really strange to find how and why the works have started in many places. Importantly who is benefited due to these works need to be looked into.

### **Work-site facilities**

Work-site facilities as prescribed by the NREGA is completely missing in the work-sites visited by the volunteers. During the visit none of the team found any traces of provisions of water, shed, medicines and crèches in the work-site. It does not mean that there were no resting places or water in the work-sites; individual labourers solely arranged whatever was found. All the labourers were seen carrying their food, water and have found putting branches near their individual working places to protect them from soaring heat. So far as a minimum health care facility is concerned, there were no traces of that, even the village labour leader does not know about these provisions. It was found that lack of childcare facilities is also a dissuading factor for women to join the work at many places.

### **Muster Roll**

During the visit, only in Kutrukhamar Panchayat office the volunteers could see blank muster rolls (of course, that was quite old). Apart from this, muster roll is not visible anywhere during the *Yatra*, neither at the work-sites nor in Panchayat offices. Almost all the labourers interacted during the rally informed that they have never seen / signed in any muster roll whatsoever after their days of work. Further, it was informed that normally the contractors / Panchayat office and block office do the filling up of muster roll on their own. Without disclosing their names, many small contractors admitted that all the muster rolls are false and names are fictitious and signatures / LTI are forged and the amount that has been entered is inflated. If this is to be believed, all muster rolls in the district are fudged and false.

### **Use of Labour displacing machine**

***“Agyan lei gaonru rajasthan tractor nei gale amar unnati nai hue”*** sir, so long as the tractors from Rajasthan are not banned to operate in the area, our development is not possible. This is the opinion of a labourer in Seinpur. During our visit to 12 work-sites the volunteers found that in three places (Deypore Badbandh, Lohradabri Munda and Matia to Marlad road) only Rajasthan tractors were employed to dig pond and for construction of roads. In two places the volunteers found that they had employed mixer machines. Apart from this, Rajasthan tractors were seen all over the places and are massively displacing labour in the district.

There was a rumour that, only machine can speed up the work in the area. It was informed that from June 15 this year the labour-intensive earthworks would be stopped. At this backdrop there is an undue hurry in finishing up the works. Why? Nobody knows.

### **Contractor**

Barring few work-sites, most work-sites where road construction work is going on work is being contracted out to rank outsiders. In many cases these contractors employ tractors and other machines to generate output. It has been noted that at some places there is not a single labourer participating at the work-site.

### **Corruption / Percentage – “PC”**

While interviewing Sarpanch (Gunpur, Thuamul Rampur) it came to light that percentages/share of work sanctioned under NREGS has been fixed for all the officials falling in the decision-making hierarchy. Mr. Labanya, the VLL of Dumal village informed that he has already spent more than Rs.7000 for getting the work done. He has paid one thousand to make the work online (paid to JE), for preparing the estimate he has already paid Rs.2000, the local Patuari has taken one thousand and the list goes on. He does not know where from he would get back his money? Of course, from the labourers it seems...

### **On-line Business**

Almost all the village labour leaders (VLL) and contractors admitted that they are paying Rs.1000 to make the work online. The computer operator at block offices (off-camera) admitted that they are taking money from all contractors and VLL. They take the excuse that the workload is enormous and they are employing skilled hand for entering data and for that they are taking money!

### **Transparency at work-site**

No boards are on display (mandatory under NREGS guidelines). Wherever there is one, that is obsolete and incomplete. Information management systems (computer management) put in place in block headquarters are running but suffer from problems such as

- Old data
- Clerical mistakes in the records
- Software snags
- Insufficient staff

## Involvement of PRIs

Level of awareness is abysmally low among the PRI members. Interference from the block headquarters in the share of work to be initiated by the GP. For instance, BDO has feasible interfering capacity by directing JE without whose role (plan estimates and other technical approval) works cannot get initiated.

## Categories of work

Around 70 per cent of the work that are going on in the block are under rural connectivity – road construction, which directly supports and feeds contractor culture. In these works, tractor and labour displacing machines are employed in large scale. In an area like Kalahandi where there is a need for draught proofing and water conservation measures and community productive assets to arrest migration and marginalisation have taken a back seat.

## Work-site visited

S. No.	Name of the Work-site	Village	Panchayat
1	Maiangpadar to Titijhola road	Managpadar	Jugsaipatna
2	Khaliakata Munda renovation	Dumal	Kamthana
3	Jodabahali Bandh	Ghusrigudi	Palsijharan
4	Lohradabri Munda	Lohradabri	Matia
5	Deypore Badbandh	Deypore	Deypore
6	Fukjodi to Raniguda road	Fukjodi	
7	Salebhata to Kucharpadar road	Salebhata	Matia
8	Majhipada to Kukuti road	Seinpur	Seinpur
9	Cheliamal to Nuapada road repairing	Cheliamal	Cheliamal
10	Matia to road	Matia	Matia
11	Sagda to Olbehili road	Sagda	Sagda
12	Udepur to Dadpur (Tikrapada road)	Udepur	Udepur

## Annexure – 2

### NREGS Social Audit – Bharawan and Sandila Blocks of Hardoi District, UP 25 November – 2 December 2006

(1) Village Panchayat Narainpur, block Sandila. The job cards were distributed by the husband of the Pradhan yesterday. He said that he goes to attend the meetings at Block Office (in place of his wife) but nobody has so far informed him about the NREGA. He openly declared that he needed Rs.300 to get the bank account opened and another Rs.500 for getting anybody widow or old age pension benefits. A number of villagers testified to this. The Anganwadi worker never shows up. There is an application for leave ready to be shown to any officials on any day if there is an inspection.

Ashok Naththa of this Panchayat does not know whether there is a card in his name or not but work has been shown on muster roll against his name. He has not worked so far. On one muster roll there is thumb impression against his name and in another there is 'his' signature.

S.No.	Name of Villager	No.of actual work days	No.of days on MR	Comments
1	Pravesh Kumar S/o Sagar	6	8	Doesn't have a Job Card. Pravesh can sign but thumb impression shown on MR
2	Polaram S/o Sakke			Paid Rs.25 to get the JC made
3	Shatruhan S/o Kallu	7	15	
4	Phoolchand S/o Dayaram	3	11	Job Card found blank
5	Ram Vilas S/o Baldev	0	7	Worked on a different work
6	Dinesh S/o Tawan	2	7	Name on MR shown as Ramesh S/o Tawan
7	Yaqoob S/o Mahboob	8	14	JC with Gram Pradhan
8	Chotakke S/o Masahib	5	14	Doesn't have a JC
9	Lachchu S/o Bhudhar	15		Got only Rs.235 as wages
10	Daya Shankar S/o Pachcha	12	18	Got only Rs.150 as wages

(2) Village Panchayat Chhanoiya, Block Sandila. 301 job cards have been officially issued; Village Development Officer Harinam Singh has information about only 164 cards, whereas only 30 people in Loni Kheda (Majra of Chanoiya) have received their cards. In a drunken state, Harinam Singh threatened the villagers not to reveal the truth. Lady pradhan Kamla Devi's son Anil made derogatory comments about the ladies in the social audit team. Job cards are kept by the Pradhan. **About 5 S.C. families have left the village under pressure of the feudal element.**

(3) Village Panchayat Tiloiyakalan, Block Sandila. In Village Tiloiya Khurd of this Panchayat three works have been shown to be performed. First is approach road, second is tree plantation and third is laying of hume pipes. The quality of work is quite poor. The earth was brought by trolleys but that is not shown in official records. In the case of Arvind, a mason, he worked for 4 days as a labourer but on muster roll he has been paid for 21 days at the rate of Rs.125 per day. Two other masons are shown on muster roll but there was no work for mason on the work-site as it was kuchcha work.

S.No.	Name of Villager	No.of actual workdays	No.of days on MR	Comments
1	Ram Sahare S/O Lau	21	44	Thumb impression forged
2	Raj Kumar S/o Ram Ghulam	18	33	Can sign, but thumb impression shown on MR
3	Raees S/o Shubhraj	7	12	
4	Mahavir S/o Kheman	9	12	
5	Shivkumar S/o Bhalu	6	29	Thumb impression forged
6	Anil S/o Sriram	15	29	-do-
7	Ram Kisore S/o Bhalu	10	14	-do-
8	Chota S/o Prabhu	12	17	-do-
9	Ram Sewak S/o Mangu	1	5	-do-
10	Suresh S/o	15	25	
11	Arvind S/o Kalicharan	4	21	Shown payment @ Rs.125 per day for mason, whereas merely worked as labourer

12	Sant Ram S/o Chunni	13-14	25	Thumb impression forged
13	Suresh S/o Nanha	0	5	-do-
14	Heera Lal S/o hemraj	8	10	Can sign, but thumb impression shown on MR
15	Eshwar Din S/o Dillu	12	26	Thumb impression forged
16	Shriram S/o Lekhai	18	29	Can sign, but thumb impression shown on MR
17	Parsu Ram S/o Bhagwandeem	1'2	17	Thumb impression forged

Most job cards are jying with Village Pradhan. The labourers have only blank cards. Tree plantation work seems to be fake because the labourers shown on muster rolls testified that they have never worked on this type of work. The photographs on the job cards have been affixed by the labourers on their expenses which are against the provisions of the Act. Out of 116 labourers in this village only one woman has been given work. In a complaint related to the PDS, the BPL beneficiaries have been charged Rs.100-300 for getting their cards made.

(4) Village Panchayat Baghuwamau, Block Sandila. The job cards are mostly with the Pradhan.

Name of work: 1000m earth road from the house of Ratan to orchard of Puttu.

S.No.	Name of Villager	No.of actual work days	No.of days on MR	Comments
1	Prema S/o Lakshman	6	36	
2	Ghanshyam S/o Devi	4	21	
3	Dhaniram S/o Chedilal	9	26	
4	Shyamnath S/o Dhana	15	26	
5	Ram Prasad S/o Adiram	15	35	
6	Vishram S/o Mishrilal	12	19	

(5) Village Mahitha, Block Bharawan. Payment of Rs.58 per day has been shown but villagers have got only Rs.50. The Gram Pradhan of this village Panchayat is Shiv Naresh but the work of Pradhan is managed by another person Manmohan. In a case where a labourer performed 6-7 days of work, 14 days are shown on MR.

Name of work : Earth work from Mahitha to Mahsuwa

S.No.	Name of Villager	No.of actual work days	No.of days on MR	Comments
1	Brijpal S/o Bhikha	4	11	
2	Shohan Lal S/o Newal	7	12	
3	Jagannath S/o Cheda	7	11	
4	Bhabhuti S/o 7-8	12		
5	Ramgopal S/o Satnu	4	10	
6	Sri Prakash S/o Naukilal	5	12	
7	Jagannath S/o Shivram	4	10	

(6) Village Bamnaua Peng, block Bharawan. The entries on job cards have been made yesterday. The Gram Pradhan also distributed the cards which were with him so far. For 10 days work 18 days are shown on job cards.

Name of work : Approach road from Narain's house to the border of Suda

S.No.	Name of Villager	No.of actual work days	No.of days on MR	No.of days on JC	Comments
1	Prempal S/o Lalaram	4	7	18	JC with the Pradhan
2	Jawahar S/o Dwarika	8	8	18	No JC No.mentioned
3	Shivkumar S/o Santram	8	10		
4	Harishchandra S/o Gokaran	9	10		
5	Chandrika S/o Mede	12	10	18	
6	Munnilal S/o mede	9	10		JC with the Pradhan
7	Raju S/o	11	10	18	
8	Shravan S/o Sadhu	9	8	18	
9	Ramkumar S/o Sadhu	6	10		
10	Ramprakash S/o Bhagwandeem	6	7		Job Card with Gram Pradhan
11	Chotelal S/o Radhey	7	7	18	

12	Paridhan S/o Dwarika	3	8		
13	Moolchand S/o Narain	16	10	18	
14	Pahre S/oNarain	1	8	18	
15	Ramkishun S/o Umarai	8	20		
16	Matai S/o Keshav	0	10		
17	Ramjivan S/o Kamta	0	10	8	
18	Raju S/o Parwan	8	10	8	
19	Ramchandar S/o Shivram	8	10	18	
20	Srikrishna S/o Gajraj	7	10		
21	Pappu S/o Kallu	7	10		Hasn't received the wages yet
22	Guddu S/o Sukhlal	8	10		
23	Rajkumar S/o Gurudayal	2	10	10	
24	Mewalal S/o Mohan	8	10	18	
25	Moolchand S/o Sagar	8	10	18	
26	Sunil S/o Dulare	10	10	18	
27	Ashok S/O Babu	8	10		
28	Narain S/o Mede	7	10		
29	Guruprasad S/o Ram Bharose	5	8		
30	Sriram So Jagnu	5	7		
31	Jialal S/o Lasadeen	5	8	18	
32	Omprakash S/o Radhey	7	8		
33	Shankar S/o Bhagwandeem	7	10		
34	Guddu S/o Sukhulal	8	10		
35	Chandrika S/o Kesari	7	10		
36	Kishan S/o Sarju	5	10		
37	Lalji S/o Bharose	7	10		

(7) Village Purwaman, Block Sandila. Only Rs.50 per day has been paid as wage in this Panchayat. Rajaram has a job card and has also performed work but his name does not figure on the muster roll. The work of making approach road in this village has been done by a contractor, in violation of the NREGA. Two works shown in this Panchayat – 'Approach road from asphalt road in Barriya to asphalt road via Hannaiya', made at the cost of Rs.37,956 and 'Approach road from asphalt road in village Hannaiya to asphalt road via



Sunil's house', made at the cost of Rs.23,607, are actually same. It is estimated that there is a bungling of over Rs.45,000 in works under NREGS in this Panchayat.

The Pradhan of this village Madhurani was not much aware of the NREGA. Her husband Lallu runs the show in this Panchayat. Job cards of relatives and people close to Pradhan's family have been made first. Pradhan's husband clearly said that it was not possible for him to make job cards in women's names. Nobody had applied asking for work but still, date of application demanding work has been mentioned on job cards. An aged villager Badri Prasad complained that Pradhan's husband had employed him for private work and paid him at the rate of Rs.30 per day. The Pradhan's husband said publicly that it was not possible for him to pay Rs.58 per day. Badri was removed from work when he demanded his full wages and was even threatened by the Pradhan's husband.

Name of work : Approach road from asphalt road in village Hanniya to asphalt road via Sunil's house.

S.No.	Name of Villager	No.of actual work days	No.of days on MR	Comments
1	Pyare Lal S/o Sukhan	13	41	
2	Saniyar S/o jodhe	16	33	
3	Turjai S/o Natha	16	26	
4	Pintu S/o Bhagwandeem	19	40	
5	Shivcharan S/o Natha	7	14	Partial payment pending
6	Khub Lal S/o Moolchand	16	33	-do-
7	Guddu S/o Moolchand	14	40	-do-
8	Nand Kishore S/o Badri			Was paid Rs.30 per day by Pradhan. Upon complaining was expelled.

(8) Village Panchayat Gogadev, Block Sandila. The Gram Pradhan of this village is a person from dalit community, Rajpal, however the Panchayat is controlled by a powerful person - Sudhakar. People are afraid of speaking out against him. The block office record shows that 255 job cards have been issued in this Panchayat, however, in reality only about 70 job cards have been issued. Salaru Md. had given an application for job card 6 months back but he

still does not have a JC. Similarly, Chotakke, Kishori, Naresh, Kallu, Nanhakke, Ashok, Ram Asre, Surendra, Maqbool, Ayub, Munna and Pachchu have submitted their photographs for getting their job cards made but they have not received their JCs yet. An embezzlement of Rs.14,734 was discovered in the work done under NREGS in this Panchayat.

Name of work : 1100m Approach road from Gahira to Padri village

S.No.	Name of Villager	No.of actual work days	No.of days on MR	Comments
1	Radhey s/o Sumer	1	26	Received Rs.50
2	Suresh S/o Gajodhar	0	24	
3	Mulla S/o Moolchand	0	26	
4	Mukesh S/o Vikram	0	25	
5	Rajaram S/o Shankar	4-5	26	Received Rs.200
6	Bhenu S/o Mohan	3	27	Received rs.174
7	Guru Prasad S/o Nanha	10	27	Received Rs.270
8	Upendra S/o Vipattidas	0	26	
9	Kamlesh S/o budhai	5	27	Received Rs.290
10	Chota S/o Subhani	0	27	
11	Umesh S/o Mishri	17	27	Received Rs.986
12	Ramesewak S/o Veerpal	30		Received Rs.300
13	Ravindra S/o Prabhu	30		Received Rs.250

(9) Village Panchayat Atwa Danda, Block Sandila. The block office record shows that 222 job cards have been issued in this Panchayat. However, in reality only 91 job cards have been issued. It is mostly people who belong to the Pradhan's family or who voted for him during the last elections who have got their job cards made. People have been paid only Rs.50 per day as wages in the work done here under NREGS. Upon examination of muster roll it was found that Leela and Parsuram have worked for 18 and 10 days, respectively, but their number of workdays are being shown as 27 and 25, respectively, on the MR.

**Annexure – 3**  
**Social Audit: Work-site Verification Report : NREGS**

**Team No: 13**

**Panchayat: Tilma**

**Block: Khunti; District: Ranchi; State: Jharkhand**

<b>S. No.</b>	<b>Name of work</b>	<b>Village</b>	<b>Nature of Discrepancy</b>
1.	Talab Nirman on Ghirsa Swansi's land	Dagiyadag	<ul style="list-style-type: none"> <li>● Fake signatures. No work done but payment made.</li> <li>1. Jagni Devi (w/o Kedar Swansi, Job Card No. 7) in MR 85052</li> <li>2. Joto Swansi (S/o Mangra Swansi, Job Card No. 11) in MR 85052</li> <li>● Measurements not done in front of labourers.</li> <li>● Work halted since March, 2007 due to incomplete payments.</li> </ul>
2.	Talab Nirman on Munchi Munda's land	Puttidag	<ul style="list-style-type: none"> <li>● MR on site did not match with the MR provided by the District Administration.</li> <li>● All labourers on work-site had never seen a MR but their signatures and thumb impressions were present on the MRs.</li> </ul>
3.	Talab Nirman on Chamara Munda's land	Hakkaduba	<ul style="list-style-type: none"> <li>● Work on halt since March, 2007 due to incomplete payments.</li> <li>● Payment of wages for work done before work was halted not made till now.</li> <li>● Fake entry on MR 85105. MRs show that Budhan Munda worked for 12 days, but according to him he only worked for 6 days.</li> </ul>

4.	Sinchai Koop Nirman on Soma Munda's land	Hakkaduba	<ul style="list-style-type: none"> <li>● MR No. tampered with.</li> <li>● MR 85304 on work-site not matching with MR 85304 provided by District Administration as the MR on work-site does not have signatures and thumb impressions.</li> <li>● MR show payments made according to Rs. 76.68 but labourers say that payments made according to Rs. 73.</li> </ul>
5.	Sinchai Koop Nirman on Kinsuram's land	Karoda	<ul style="list-style-type: none"> <li>● Incomplete payment.</li> <li>● No visit by J.E. for measurement, even though the depth of the well is now 18 feet.</li> <li>● Confusion regarding payment for cutting of stone, according to the 'choka' system.</li> </ul>
6.	Talab Nirman on Birsa Munda's land	Tilma	<ul style="list-style-type: none"> <li>● Fake/double entry on MR 85233/85234 <ol style="list-style-type: none"> <li>1. Bargi Mahli (S/o Mangra Mahli, Job Card No. 63) has worked for 9 days in a week, which is impossible.</li> <li>2. Aetwari Devi (W/o Bargi Mahli, Job Card No. 63) has worked for 8 days in a week, which is impossible.</li> </ol> </li> <li>● Cheque of amount Rs. 23722 dated 30.03.07 reached on 17.05.07, just a day before our visit to the site.</li> </ul>
7.	Nahar Nirman on Surendra Lohra's land	Latarhatu	<ul style="list-style-type: none"> <li>● Double entry for 4 members of the same family (Birsingh Munda, s/o Gansa Munda, Job Card No. 2017) in MR 1204 and MR 1232, both for 8.03.06-31.03.06.</li> </ul>

			<ul style="list-style-type: none"> <li>● Old job cards given for renewal. Have not been received since last year.</li> <li>● This project was sanctioned on the name of Surendra Lohra, who is the former panchayat sewak, but is actually being constructed on Balku Munda's land.</li> </ul>
8.	Talab Nirman on Panda Munda's land	Sandasom	<ul style="list-style-type: none"> <li>● Fake entries. MRs 85084/86/90 show that Sargi Devi (Job Card No. 51) worked for 18 days; she says she never worked at this site.</li> <li>● MRs show that Jambi Devi (w/o Thakur Munda, Job Card No. 9) worked for 24 days, whereas she only worked for 12 days. Similarly, the MRs show that her husband Thakur Munda worked for 24 days when he actually did only 12 days of work. They both worked together for 24 days but the MRs show that each did 24 days (i.e. 48 days of work).</li> </ul>

### General comments

1. Workers unwilling to come for work due to delayed payment.
2. Lack of general awareness about the NREGA.
3. Measurement not taken on time.
4. Payment is not done according to measurement.

Team No. 15

Panchayat: Malti

Block: Mandar; District: Ranchi; State: Jharkhand

S. No.	Name of Work - OR (Person)	Village	Nature of Discrepancy	Comments	Reference No.
1.	Grade 1 <i>Morem</i> road <i>nirman</i> - From Aslam's house to Jamal's house	<i>Chatwal</i>	i. 31 workers were shown as working for 54 days. And 10 workers were shown as working for 30 days. However, most worker have given written testimonies and also spoken on the day of the <i>gram sabha</i> that they were employed for periods between 1 and a half to 10 days. Only a couple of workers testified that they worked for the full period and they were unable to recall how many days that was.	This <i>gram sabha</i> on the 20 May 2007 showed some of the challenges that exist in institustion-alising the social audit process. There was a complaint made against the social audit team saying that they had offered money to people to testify that they had worked for fewer days. There were repeated attempts to shout down the social audit team as well as those testifying.	15-A joint complaint fo 25 workers and written individual complaints of 7 workers.

			<ul style="list-style-type: none"> <li>ii. There was an attempt to suppress people and ensure they did not testify.</li> <li>iii. Workers complained that they were forced to sign on blank muster rolls.</li> <li>iv. Workers only received wages according to the number of days they actually worked.</li> </ul>	<p>Unfortunately people from the block office seemed to be openly supporting the beneficiary over leading the attempt to suppress the testimonies. The complaint made by the beneficiary was read out loud by a block official, and although there was no one willing to come out and testify in support of the complaint, seemed to indicate complicity of the block officials with some of the wrong doings. Unless space is provided for people to speak openly such processes of social audit will be undermined.</p>	
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2.	<b>Basanti Beck Reinforced Concrete Cement Well</b>	<i>Malti</i>	<ul style="list-style-type: none"> <li>i. When the social audit team arrived for inspection of work at the site, they were informed that the work was complete.</li> <li>ii. This work had not been decided by the <i>gram sabha</i> but was carried out under direction from the block office without prior consent of the <i>gram sabha</i>.</li> <li>iii. False entries in muster rolls and job cards.</li> <li>iv. Job cards were with the Secretary even after the work was completed.</li> <li>v. The Secretary decided which labourers were to be employed and for how many days.</li> </ul>	[Deciding a work without prior consent of the <i>gram sabha</i> is a grave violation of the act and warrants immediate action against the block officials. This is happening on a large scale but since this issue was discussed in <i>Malti</i> it is especially important that an inquiry must be initiated to find out the motives of the officials in charge for pushing this work.]	<b>15-B</b>
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	<b><i>Other issues</i></b>		<p>i. Fake job cards for Rs.50 were also sold by Amina Khatunii. Workers wanted work, but there were no applications for work available. This became clear when all the applications for work that the social audit team carried with them, got filled up by people on the day of the social audit, and there were no more forms available either with the panchayat secretary or the block officials.</p>	<p>It is clear that people are not familiar with the process of demanding work. As soon as they got an opportunity to demand work and fill forms they lined up in large numbers to do so. This is true of all the panchayats where the social audit teams went.</p>	<p><b>15- C</b>  <b>[Minutes of Gram Sabha]</b></p>
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