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**Minutes of the 6th Meeting of Steering Committee
Social Audit Unit, Government of Jharkhand, October 12, 2018**

The meeting was held at FFP, Building, Dhurwa, Ranchi, under the Chairpersonship of the Principle Secretary, Rural Development Department, Government of Jharkhand. The following Committee member were present in the meeting

1. Mr. AvinashKumar, Principal Secretary, Rural Development Dept
2. Mr. ParitoshUpadhyay, Special Secretary cum CEO JSLPS
3. Mr. SidharthTripathy, Commissioner MGNREGA
4. Dr. Ramesh Sharan, Vice-Chancellor, VinobaBhave University, Hazaribagh
5. Mr. Faizan Ahmad, D AG,
6. Mr. Kamlesh Kumar Srivastava, Audit Officer
7. Mr. Ranjan Kumar Verma, Assistant Audit Officer
8. Mr. James Herenj, Convener MGNREGA Watch
9. Mr. Gurjeet Singh, State Co-ordinator, Social Audit Unit

The following participants from the Social Audit Unit team were also present:

1. Mr. Robert Antony, Social Audit Specialist- Capacity Building
 2. Mr. Shiv Kumar Singh, Social Audit Specialist- MIS
 3. Mr. UjjwalPahurkar, Social Development Specialist (SAU)
 4. Ms. Nabanita Das Mishra, Social Audit Specialist- IIR & Administration
 5. Ms. BabitaSinha, Social Audit Specialist- Evaluation & Documentation
 6. Mr. Jay Kumar Verma, Social Audit Specialist- Process
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The State Coordinator- Social Audit Unit (SAU), welcomed the members of the Steering Committee with the permission of the Chair. Further, he shared the following agenda of the meeting:

1. Compliance of 5th Steering Committee Meeting
 2. Updates - Social Audit Unit's initiatives
 3. Sharing of Draft of By-Laws for SAU registration
 4. Approval for drafting for HR policy, Procurement Policy, Financial Policy vis-à-vis committee for drafting policies
 5. Approval for budget revision and heads as per the need and current expenditure status and increase in salary as per fitment ,experience and increase in salary based on DA revision of FTEs of SAU.
 6. Any Agenda with the permission of the Chair.
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Agenda- 1: Compliance on Action Point from 5th steering committee meeting

S.No	Agenda (5 th Steering Meeting)	Decisions in 5 th Steering Committee	Response to the Decisions
1	Agenda 1: Key decisions taken on compliance of 4 th Steering Committee Meeting	A) 1% Welfare fund out of total budget of SAU approved for meeting expenses on medical emergencies, accidents and deaths of empanelled resource persons looking at their nature of work. and it was decided to inform MoRD in writing about the need of such funds.	A letter for information has been sent to MoRD GOI
1.1		B) Reimbursement of approx. Rs.	The said amount has been

		25000 for VRPMs Rajani Singh who was admitted in TMH in critical condition due to accident while on social audit rounds	reimbursed
1.2		C) Directives to be given Block and District Administration to maintain separate account for recovery amount on penalties during the social audit process as per guidelines of Audit Schemes of Rules, 2011.	A letter regarding the same has been sent to the Additional MGNREGA Commissioner giving reference to the section of Audit Schemes of Rules, 2011 to issue directives to District and Block Administration MNREGA Cell has sent a reminder to all districts regarding this subject
1.3		D) Engaging trained SHG members in social audit process.	Total 786 trained SHGs members have been engaged till now. Rest to be engaged in MDM social audits.
1.4		E) Related to payment social audit of FFC: It was decided to request Panchayat Raj department to issue letter to districts for ensuring depositing of the approved amount before start of social audit of FFC funds in next financial year.	Letter has been issued from Panchayat Raj Department to District Administration to instruct panchayat for the payment to SAU for facilitating social audit of FFC of the FY 2016-2017 Out of 1499 GPs audited, only 350 GPs have paid the cost for Social audit. For the next financial year letter has been sent to Panchayat Raj Department for future social audit
1.5		Recruitment of DRPs and State level positions	As per approval 2 DRPs one from SC and another from ST has been recruited. Meanwhile, one DRP from SC has left SAU, therefore, one candidate in waiting list in SC category has been recruited for the vacant position. Further, State level positions (SRPs) as per MoRD guidelines Social Development Specialist, Social Audit Specialist- HR & Administration, Social Audit Specialist - Evaluation and Documentation, Office Assistant, Account - cum-Office Assistant have been recruited
1.6		Empanelment of District Monitors for Social Audit	Applications have been received and comparative statement has been prepared. Written Exam and further process is being planned as per the availability of selection committee panel members.
2	Agenda 2: Updates of Social Audit:	Test audit of 5% panchayats of total panchayats social audited in one financial year.	For the Test Audit total 150 panchayats have been selected based on approved criteria of the approved protocol, Till date test audit of 58 panchayats have been

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			undertaken .
3	Agenda 3: Approval of annual budget	The annual budget of Rs. 9,76,91,215 was approved	Out of total budget 50% of amount Rs. 4.21 Crore has been transferred to SAU account as first tranche as per MoRD sanctions.
4	Agenda 4: Sharing and Approval of future strategies and calendar	Total 2136 panchayats will be covered in 7 phases	Total 1228 Panchayats have already been covered in 4 phases as per notified calendar.
5	Agenda 5: Othor Issues to discuss	HR- Related issues: The following decisions are taken:	
5.1		<u>Salary Revision/Increment:</u> The performance appraisal of all FTE personnel completing one year will be done as per designed process of SAU, and accordingly salary will be increased for FTE those who have completed one year of service under SAU. As per the decision of JSLPS executive committee for the same.	Appraisal process has been done for District Resource Persons. Protocols for State level team appraisal is being prepared
5.2		Salary hike for peon from existing Rs. 8000 to Rs.10000 as per rate quoted by the agency is approved.	Process completed
5.3		Related to payment of incentives to limited support staff due to increasing number of schemes: The Principal Secretary RD cum Chairman Steering committee suggested to work out a frame work for the payment of this incentive based on the workload and available funds. CEO JSLPS was delegated to approve this framework.	Framework was developed and a committee was constituted to prepare the format. The committee comprising of SPM (HR) .FM (SRC) and SC(SAU) could need reach to a consensus as it was aasumed that it could affect existing staff of JSLPS where the number is huge .So it was suggested that SAU to take decisions regarding it only after it is registered as an independent unit.
5.4		<u>Administrative Cost provision in other schemes:</u> Approval of 2-10% of administrative cost of total budget of will be charged from other department other than MGNREGA for bearing administrative cost and for welfare fund for BRP and VRP along incentives to support staff on the basis of workload and performance	Administrative Cost is being added in budget line item for meeting the necessary expenditure while preparing the budget for other scheme audits.
5.5		<u>Hiring Young Professional:</u> To hire two young professionals	As per the suggestion from SPM HR to hire Programme Executive

		with soft skill to support in other schemes for timely reporting, they will be hired through a process approved by HR JSLPS for the period one year, and their contract can be extended as and when required on the basis of availability of funds from different departments They will be hired @30,000 per month basis. The members of Steering Committee suggested that budgetary provisions for young professionals to be made while proposing the budget for social audits.	instead of Young Professionals since the term of colleges have already been over ,32 applications have been received, 10 are shortlisted in which 5 are from UR and 5 from ST category. Written exam and interview to follow.
5.6		<u>Insurance BRPs and VRPs:</u> The decision was taken that BRPs and VRPs will not be covered under insurance from SAU. They will be covered under welfare fund under SAU for different types of causalities/health issues as defined under HR policy of SAU.	Budgetary provision up to 1% is marked as welfare fund out of total budget of SAU.
5.7		<u>Performance Appraisal and Re-Empanelment of Block Resource Persons (BRPs) and Village Resource Persons (VRPs):</u> Based on their performance appraisal on knowledge, skill and attitude who has completed one year Further, decisions was taken that who do not score atleast 50%, would be re-trained and assigned task as per their caliber.	Performance appraisal has been completed and during the process total 203 BRPs and 754 VRPs attended who has completed at least one year of social audit. Mark-sheet has been prepared and has been approved for re-empanelment for one year
5.8		<u>Travel claim rules for DRPs/BRPs/VRPs:</u> In the line of approved interim HR policy travel claim rules for DRPs/BRPs/VRPs was shared with the Steering Committee members and it has been approved.	Policy has been adopted as per the policy
5.8		<u>Payment Schedule framework:</u> State Coordinator, SAU, shared payment framework of honorarium/vendor/TA/DA etc. with timeline with defined role of SAU personnel for timely payment. The Steering Committee suggested that first of all this need to be tried for one month to check its feasibility before final approval.	Still on experimental basis and efforts to meet the deadlines is on.
5.10		<u>Regulation of 50 BRPs as fixed term employee:</u> It was decided to look into the provisions made by	Process to be initiated now since process of promotion of VRPs to BRPs was undertaken

		other states in this record and the guidelines from MoRD and then move it in file for approval with rationale.	
5.11		<u>Grievance Redressal and disciplinary Action Procedure:</u> The protocol for grievance redressal and disciplinary action has been shared and approved.	Policy has been adopted and 23 persons have been dropped/removed through this process for misconduct and collusion.
5.12		Registration for independent social audit unit State Coordinator informed that the approval of setting up of SAU within JSLPS was provided for two years and also shared that since the cabinet has also decided to set up a social audit Directorate which shall be responsible for social audit of all schemes, therefore, process for independent Social Audit Unit, can be initiated and further lead to State Social Audit legislature. Which is also in line with recommendations of C&AG task force notified as audit standards by MoRD GOI. The proposal was approved by the Steering Committee.	Draft By-Laws has been developed and has been put up in file to CEO-JSLPS and further forwarded to SPM/HR- JSLPS for comments.
5.13		Protocol for special audit and state level hearing It was shared in the meeting that there are various request from different sections of the committee/elected representatives regarding special social audit, therefore, it is necessary to maintain its sanctity and seriousness of the process. The protocols as in annexure- 4, was shared in the meeting, which was approved.	Protocol has been adopted
5.14		A. CSO meeting for review of social audit process and launching of SAU website In the meeting it was proposed to review the social audit process, as it is an essential for course corrections, by inviting CSO in workshop mode. It was proposed that two days workshop with selected CFT partners, NREGA Sayahya Kendra and leading NGOs in the next financial 2018-2019 for discussion of process	The meeting was held and suggestions related to revision of social audit format and guidelines and uploading report on website, policy related issues and ATR has been communicated to MNREGA cell. (Annex-1)

		and protocols. Guests can be invited on the final day.	
5.15		A. National Workshop A national workshop was proposed in the meeting for cross learning, sharing of experiences and motivating SAU Jharkhand team by inviting participants from other state's Social Audit Unit along with involvement of MoRD and NIRD in FY-2018-2019 (in the month of September-October, 2018).	Workshop can be organized in consultation with MoRD,GOI for cross learning as per the convenient date in collaboration with MoRD ,Govt of India and NIRD
5.16		A. Office Space for staff and storage It was shared that SAU requires office space for storage of documents and for sitting of staff for smooth functioning of Social Audit Unit The Principal Secretary cum Chairperson of the Steering Committee promised to look into this matter personally	Letter has been sent to the department and file is in process.
5.17		Hiring of agency for 14th Finance Commission (FFC) social audit for data entry Since there is no MIS available for entry of social audit findings for FFC social audits, therefore, data screen for online entry can be developed and for this IT company with experience can be hired for entry of social audit findings. This proposal was approved.	Panchayat Raj Department GOI has initiated to develop MIS for FFC and they provided training to SAU team member, but the trainees felt that MIS is not updated for proper uploading of facts and figures.
5.18		The Steering Committee also took decision that all the amendments in protocol that will be done to improve the quality of social audits from time-to-time will be acceptable.	Process are being followed.

The following decisions were also taken on compliance from 5th Steering Committee:

- A letter to be issued by MGNREGA Commissioner, to the District Officials for opening of the separate bank account for depositing amount that are being recovered in Penalties.
- SAU to send the letter through 'The Secretary, Panchayati Raj, GoJ for releasing of funds to SAU ,for social audits already conducted for FFC funds
- While organizing national workshop in coordination and consultation with MoRD, there is need to keep in view election dates as well

Agenda 2: Updates - Social Audit Unit's initiatives (Annexure- 2)

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The State Coordinator- SAU, presented the updates of SAU between April-September, 2018, and stated that SAU has facilitated social audit of MGNREGA (1155 GPs), PradhanMantryAwasYojana (PMAY) – Rural (10 GPs), Mid-Day Meal- Pilot (10 GPs), 100% Literacy (119 GPs), Swaksha Bharat Mission-ODF (200 GPs), Public Distribution System/DBT (1 Block), Test Audit- MGNREGA (58 GPs).

He also shared that other than these schemes of other departments, the discussions are also on with Jharkhand Education Council, and Department of Education, Labour Department, The Directorate of Municipal Administration Nagar VikasGoJ and Food Security Commission, Jharkhand for facilitating social audit of PMAY – Urban (1500 HH), Mid- Day Meal (9000 schools), SamagraShikshaAbhiyan(9000 schools), National –Social Assistance Programme and Building and Other Construction Workers (8 districts)

The Chairperson enquired about the previous decision of Steering Committee regarding nominating panchayats by MP/MLA/ZilaParishad Chairperson for special audit. The State Coordinator informed that two panchayats have been recommended so far. It was suggested that there is need to send reminder to all of them regarding special audit.

Agenda- 3 Sharing of Draft of By-Laws for SAU registration vis-à-vis decision on inclusion of new member in Governing Body (Annexure- 3)

The State Coordinator presented the draft By Laws and stated that SAU have proposed, the *Chief Secretary/Development Commissioner, GoJ, as the Chairperson of the Governing Body (GB) and the Principal Secretary, RDD, GoJ, the Vice- Chairperson. Further, other member of the GB proposed as Principal Accountant General (Ex-Officio); the Commissioner MGNREGA, GoJ; the Secretary, Panchayat Raj, GoJ; the Secretary, Finance,GoJ; the Special Secretary-Cum-CEO (JSLPS), GoJ and the State Coordinator/the Director- SAU as member Secretary. He also proposed three members representing the Civil Society Organizations and these may be possibly representatives from renowned University, the Civil Society Organization working on MGNREGA and member of the State Employment Guarantee Council. The current members in steering committee to be continued*

The Chairperson and other members of the Steering Committee enquired about the basis of deciding the formation and proposal of the Chairperson and members of the Governing Body.

The State Coordinator SAU informed the member of Steering Committee that the proposed formation of the Governing Body and its members are on the basis of the Master Circular 2016-2017 released by MoRD. He also cited the example of different States like Chhatisgarh, Andhra Pradesh, Telangana, Madhya Pradesh (Annex 3)

The Commissioner, MGNREGA shared the details of composition of the Governing Body as per Master Circular issued by MoRD.GOI, He stated that the chairperson of the Governing Body can not be from the department which is being audited to maintain its independent structure as per master circular of MORD and as per Auditing Standards. The GB of SAU should also have the *Principal Accountant General, C&AG, the Principal Secretary, Department of Rural Development/Panchayati Raj, State Coordinator/Director, Social Audit Unit, 3 representatives from Civil Society Organization, Academic and Training Institutions working in the State or outside, having long standing experience in working with issues related to transparency and public accountability and other special invitee from Department that are undertaking social audit in their programmes as members. Further, he informed that the Principal Secretary RDD, GoJ has been proposed as the Chairperson of the Executive Committee to maintain the functional and operational continuity.*

The State Coordinator- SAU, proposed that other members of the Executive Committee as the *Commissioner MGNREGA, RDD, GoJ, the Special Secretary-cum-CEO (JSLPS), RDD, GoJ, the State Coordinator/Director- SAU as Member Secretary, the Social Development Specialist- SAU, representatives from the Office of the Principal Accountant General, social audit specialist-2 by virtue of their pos (In rotation) one representative from the Civil Society Organization working on*

MGNREGA who is member of the Governing Body, the Account Officer/Finance Manager- SAU, C&AG and all Social Audit Specialists will be permanent invitee of the Executive Committee.

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The member of the Steering Committee approved The proposal regarding composition of Governing body with Development Commissioner as Chairperson and Executive body as proposed was approved for registration of the SAU, Jharkhand as independent society under Societies Registration act 1860, it was also proposed to have one representative of PAG also in executive committee.

The Chairperson suggested that the draft of the By-Laws for registration of SAU, to be shared with the member of the Steering Committee for their comments and suggestion before finalization and sending it for the registration.

Agenda-4 Approval for drafting for HR policy, Procurement Policy, Financial Policy vis-à-vis committee for drafting policies (Annexure A)

Since SAU is now being registered as an independent unit there is a need to prepare separate HR, Procurement and Financial Policy as per the nature, need and experience of social audit. A draft concept note for the same was presented before the member of Steering Committee by SAS (HR). The decision was taken to share it with the member of Steering Committee for their comments and suggestions.

Further, it was proposed that there is need of HRMS as SAU is dealing approximately with 40 state and district FTE and 4000 empanelled human resources. This will enhance the efficiency of HR function by maintaining records, timely payment and communication of information, facilitate entitlements and promote accountability in the functioning of SAU. It was also informed to the member of Steering Committee that at present JSLPS is practicing this system. (Annexure 5)

The decision was taken to go for open bid for finalization of hiring the service providers of this HRMS system for FTE as per the need and requirements. The empanelled resource persons data based will be designed in the existing Web site.

Agenda- 5: Approval for budget revision and heads as per the need and current expenditure status and increase in salary as per fitment, experience and increase in salary based on DA revision of FTE.

State Coordinator presented the current expenditure fact sheet and informed that there are budgetary heads where large amount will remain unutilized and in some, more budget will be required. It was suggested that normally the adjustment of 10-20% in the total budgetary heads is expected based on needs. There is need to justify and rationalize while rearrangement of budgetary heads. SAU need to present the reasons of variance while presenting the changes of budgetary heads and amount on file for approval within available and approved budget.

Principal Secretary cautioned that the budgets should be spent on necessities and not for luxuries. It was decided that SAU FTEs will also be eligible for increase in salary as per revision of DA as per decision of EC, JSLPS and they be paid as per their fitment based on experience as per JSLPS norms.

Other Agenda and Discussion Points:

6. Regarding Separate independent Committee for ATR review: It was proposed that to introduce the higher level of transparency in review of ATR presented by District, there is need for separate independent committee for the same. It was approved that at the State level, a separate committee will be formed with Members from CSO, Academics, PAG and Media representative. State Coordinator to propose names for approval.

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7. Record Maintenance and report Writing: It was suggested that SAU should also maintain the best record keeping system. Also with the support of C&AG, capacity-building initiatives should also be taken to build the capacity of the SAU in writing report and its presentation.

8 TAB based initiatives: It was also proposed to undertake tab based paper less social audit as Andhra Pradesh has initiated. The Steering Committee suggested the followings:

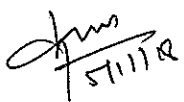
- The flavour of People centric, mass based social audit approach should not be compromised while going for TAB based audits.
- The initiatives undertaken by Andhra Pradesh in this regard should be reviewed in the context of Jharkhand and for the same two person from the SAU should visit, one person should be from State level expert and another will be field person who facilitate the social audit at ground level.
- Agency to be empanelled through open tender.
- There is need to understand the specialty of the agency while asking for Request for Proposal (RFP)

9 Regarding suggestion to Strengthen State level hearing: It was suggested that a mail should be sent to all member of Steering Committee and get feedback and suggestion on the same.

Steering Committee suggested the following points:

- Organized a workshop with member of Steering Committee to share the current practices and process of social audit at present and seek suggestion further on the same.
- There is need to assess risk factor during the social audit process
- There should be State level manual and guidelines for facilitating social audit that will capture the highlight of previous social audit experiences, working note and check lists.
- State Hearing should have wide publicity and press briefing on latter phase
- Quality of social audit process and record maintaining should always focus otherwise unit may face stiff challenges in future during audit of Social Audit Unit.
- State level hearing should be time bound. Time slots for each district should be fixed.

The Meeting ended with a vote of thanks by State Coordinator SAU.


(Avinash Kumar)
Principal Secretary, RD
Govt. of Jharkhand