

# “Social Audit- The Second Pillar of RTI”

Dr.Kota Tirupataiah, IFS

Additional DG

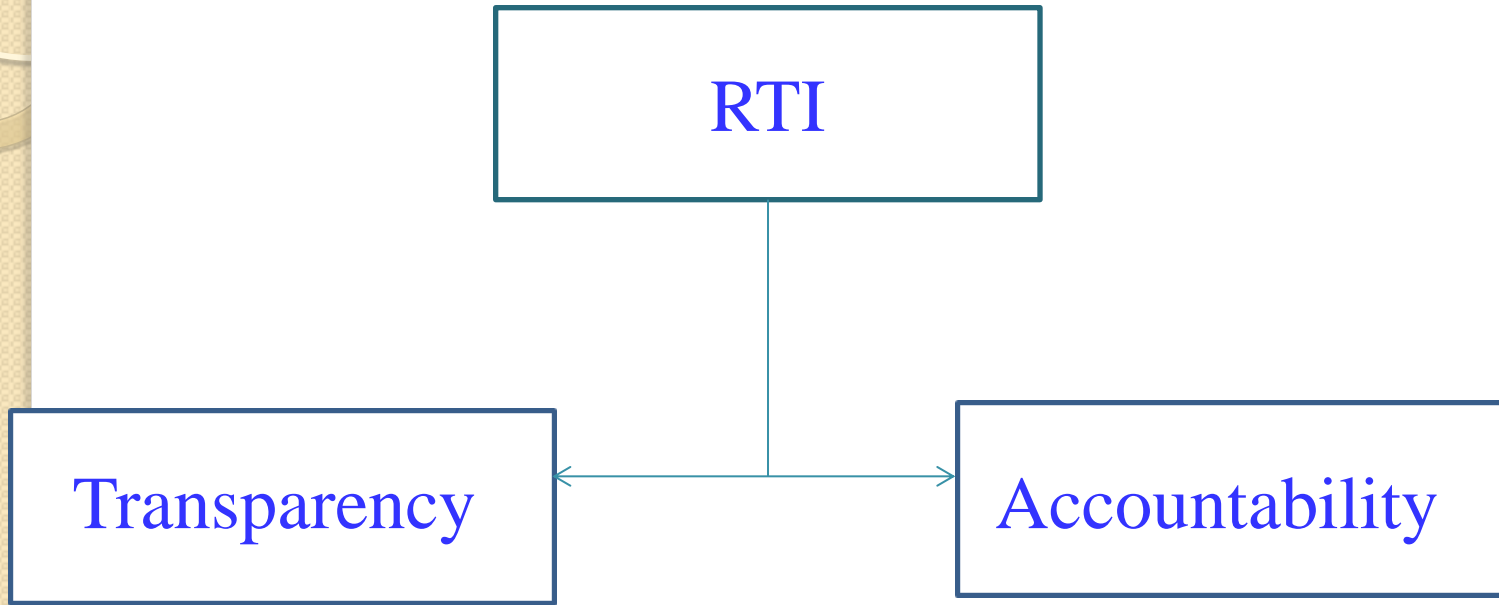
Dr.MCRHRDIAP

[adg@hrdiap.gov.in](mailto:adg@hrdiap.gov.in)

P:040-2354 3596, M:8885532021



# The Two Pillars of RTI



# Accountability

- In ethics and governance, **accountability** is **answerability**,
- In **leadership roles**, accountability is the acknowledgment and assumption of **responsibility** for actions
- **Accountability** cannot exist without **proper accounting practices**; in other words,
- **an absence of accounting** means an **absence of accountability**.



# Accountability

- Bruce Stone, O.P. Dwivedi, and Joseph G. Jabbara list 8 types of accountability, namely:
  - moral,
  - administrative,
  - political,
  - managerial,
  - market,
  - legal/judicial,
  - constituency relation,
  - and professional.
  - Leadership accountability cross cuts many of these distinctions.



# Accountability

- Political accountability is the accountability of the government, civil servants and politicians to the public and to legislative bodies such as a congress or a parliament.



# Accountability

- Frankl stated: "Freedom, however, is not the last word. **Freedom** is only part of the story and half of the truth. Freedom is but the negative aspect of the whole phenomenon whose positive aspect is **responsibleness**."
- In fact, freedom is in danger of degenerating into mere **arbitrariness** unless it is lived in terms of **responsibleness**."



# Accountability

- Viktor Frankl, neurologist, psychiatrist, author, and founder of logotherapy and one of the key figures in existential therapy, in his book *Man's Search for Meaning* recommended
- "the Statue of Liberty on the East Coast (that has become a symbol of Liberty and Freedom) should be supplemented by a Statue of Responsibility on the West Coast."



# Accountability

- INGO Accountability Charter, signed by a large number of NGOs to "demonstrate their commitment to accountability and transparency"
- AccountAbility's AA1000 series. principles-based standards to help organisations become more accountable, responsible and sustainable.
- Humanitarian Accountability Partnership (HAP) 2010 standards. A standard for humanitarian organizations to help them "design, implement, assess, improve and recognise accountable programmes"
- Accountability, Learning and Planning System (ALPS) by ActionAid,






# Social Audit- Accountability Process

- Obtain information under RTI
- Verify information on the field/stakeholders
- Conduct Public Hearing- all facts put out
- Record complaints- from stakeholders
- Investigate/record statements- evidence
- Ombudsman for disposal-





**Transparency and  
Accountability Initiatives  
-The NREGS Social Audit  
experience in AP**

**Society for Social Audit, Accountability  
and Transparency (SSAAT)  
Government of Andhra Pradesh**

# Social Audit-Introduction

- Social audit is a **tool for empowerment** of the stakeholders, not a fault-finding mission
- Ensures **true Democracy** by direct participation
- Social audit is done by **Gram Sabha**, facilitated by trained youth
- **Comprehensive** verification of records and the field

# Social and Financial Audit

- 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

# Social Audit in the Gram Panchayat

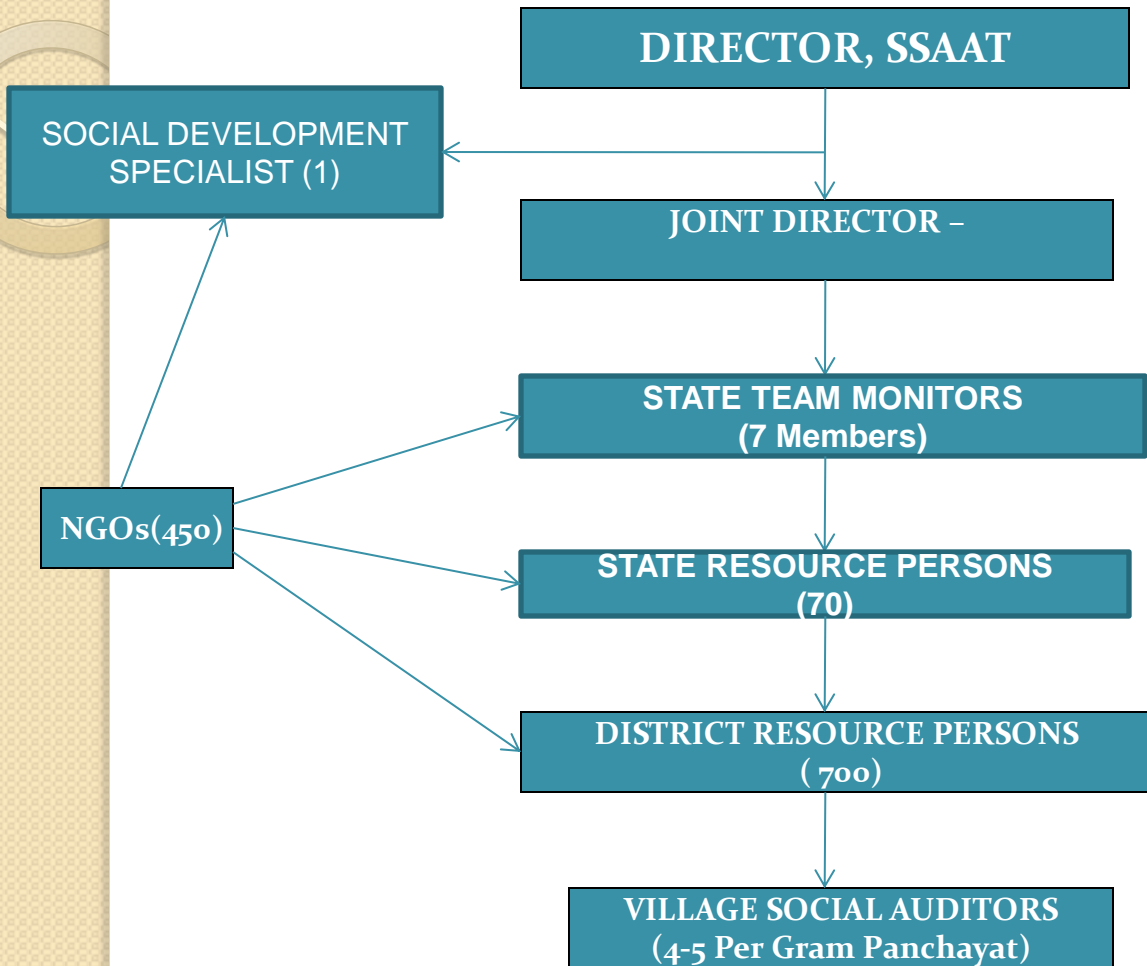
## The Imperatives of the Process

- 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

# The Beginning of Social Audits in AP

- Began as a project of the Strategies Performance Innovations Unit (Rural Development), under Administrative Reforms package
- SPIU-RD wound up in 2009 - SSAAT established
- AP had no previous Social Audit experience
- In Feb, 2006 - around the time that NREGS-AP was being formulated - a pilot social audit conducted on the NFFW in 3 villages with help of MKSS under reform action plan
- Pilot social audits demonstrated the effectiveness of social audit process.

# SSAAT STRUCTURE



- Registered as a Society under the Societies Act
- All operational staff drawn from the social activists
- Support staff from Government

# Selection of Resource Persons

- Resource Persons were initially drawn from civil society organizations and unions
- All of them had a minimum of 5 - 10 years of grassroots experience working on rights based issues
- Presently, Trained VSA's are being inducted as DRP's and moving into the rung of the SRP's
- No recommendations from any quarter entertained
- One month probation- participate in three Social Audits without being paid



# Role of the resource persons

- Coordinate and facilitate the social audit process in the allotted district
- Identification and training of Village Social Auditors
- Providing support to the VSA's during the Social Audit process
- Ensure that the Social Audit is done in a transparent and accountable manner
- State Resource Persons => 70
- District Resource Persons => 700
- Village Social Auditors => 80,000

# Remuneration to Resource Persons

- VSA- Rs.100/day and DA of Rs.150 (Total- 250/day) with a maximum of Rs.1000/GP for 10 days
- DRPs- Rs.10,000/pm
- SRP-Rs.15,500/pm

# Pre-Social Audit Processes

- Quarterly Schedule is drawn up
- About 3-4 Mandals at a time in a district
- Intimation letters are sent to the Project Director, DWMA & MPDO regarding dates of the SA
- Mandal is the administrative unit (Average 21 Gram Panchayats) in which SA is done
- SA is done in all the Gram Panchayats over a 10 day period
- A spear head team goes to the mandal a week earlier to ensure the records are ready

# Pre - Social Audit process

- SRPs & DRPS go into the villages and identify literate Wage seekers or youth (@2-4 per habitation ) from labourer's families
- They work as volunteers and are trained as VSAs
- 40 to 70 people (approximately) are formed into 9-10 teams
- They work along with the stakeholders

# Social audit process

- Teams always move with the stakeholders
- Verification of figures on records with facts on ground
- Musters, Consolidated Musters, Payments
- Works: Measurements, quantity, quality (call in for QC support where required)
- Awareness building on rights and entitlements of the wage seekers
- Recording of evidence - statements, videos and photos in case of deviations

# Social audit Gram Sabha

- Gram Sabha held at the end of the Social Audit verification
- Gram Sabha convened by Sarpanch
- Social audit findings are read out.
- Evidence recorded by an independent Observer (MRO/EORD/ etc)
- Opportunity given for guilty to pay back in open
- Imparting of awareness to the public.

# Mandal Public hearing

- Public Hearing at the Mandal (Block) level after all GSs completed
- Presided over by the Project Director, DWMA or Addl PD
- All issues are heard and action recommended on the guilty
- Ombudsmen invariably present to take note of the deviations for further action

# Post social audit

- Social audit report computerised using laptops and hosted on public domain
- Report sent to the District Collector for action within 7 days
  - Disciplinary action on all deviant staff
  - Recovery using the RR Act for amounts misappropriated
  - Criminal cases in extreme cases
- District Vigilance Officers to follow up on the action
- CVO to monitor the DVOs' action in monthly meetings



# Social audit punishment of corrupt practices Ordinance 2011

- Ordinance (under issue) for taking action on the people found guilty
- Special mobile criminal courts of 1<sup>st</sup> class judicial magistrates (13 sanctioned one working in Medak & Karimnagar)
- Court hearing in the village
- Summons trial for quick justice
- Jail sentence of up to 2 years for
  - fraudulent records
  - Misappropriation
  - Non disbursal of payments
  - Abetment of the above

# Purity of Social Audit

- Independent and autonomous society (SSAAT)
- Separation from Implementation Machinery
- Free of Supervisory and Vigilance Roles
- Follow up Action also separated - CVO
- Objective process: evidence based
- Strict Code of Conduct for SA

# Non Negotiable of SA Process

- Strict Code of Conduct for the Social Auditors
- Non-acceptance of Hospitality from EGS staff or local politicians
- No room for Political bias or intervention
- Stay in the localities of the poor
- Accept only Vegetarian food and pay for it
- No drinking alcohol or vices during audit
- Absolute good conduct towards women, colleagues and villagers
- No press meets or press releases by social auditors

# Number of Social Audits conducted

- No. of Mandals where 1 round of SA has been conducted : **1097**
- No. of Mandals where 2<sup>nd</sup> Round SA has been conducted : **1081**
- (Prog has been dropped in some mandals)
- No. of Mandals where 3<sup>rd</sup> Round SA has been conducted : **912**
- No. of Mandals where 4th Round SA has been conducted : **299**

# Action Initiated

- Misappropriation identified : **Rs. 99.87Cr**
- Total Amount Recovered : **Rs. 21.76Cr**
- Staff committed irregularity: **16,688**
- Staff dismissed based on the SA findings  
: **3,111**
- Staff suspended : **561**
- FIR's filed : **229**
- Departmental Enquiries ordered: **1557**

# IT in Social Audit

- Exclusive web site for SA - [www.socialaudit.ap.gov.in](http://www.socialaudit.ap.gov.in)
- Link provided in NREGS website. All SA reports are now available in the public domain
- SA reports in Telugu are sent by post to GramIT Rural BPO for data entry -
- Moving towards entering data at the field level

# Social Audit- Spread

S.N	Scheme	Department	Remarks
0			
1	NREGA	Rural Development	Mandated
2	Social Security Pensions	DO	DO
3	Integrated Watershed Development Programme	DO	DO
4	Mid-Day Meals	School Education	Department /Pilot
5	Indira Aawas Yojana	Housing	Pilot
6	Backward Regions Grant Fund	PR	Pilot
7	Srinidhi	SERP/RD	Pilot



# Social Audit- AG Audit

- Principal AG AP very supportive of the Social Audit
- Auditors of AG office trained on Social Audit
- Auditors of AG office attend the Social Audit process
- Social Audit teams invited during AG office audit
- Social Audit document is considered as the preliminary document for audit by AG office audit





**Go For It!**  
**THANKS FOR YOUR  
ATTENTION**

