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National Workshop
on
Social Accountability Mechanisms
6th May, 2011

Proceedings and Recommendations

Organised by

Department of Administrative Reforms & Public Grievances
Government of India

In collaboration with
National Institute of Rural Development (NIRD)
HYDERABAD - 500030

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Inaugural session

The consultative Workshop of 'Social Accountability Mechanisms' was organized by Department of Administrative Reforms and Pubic Grievances (DAR & PG), Government of India in collaboration with National Institute of Rural Development (NIRD), Hyderabad on 6th May, 2011 in the NIRD premises at Rajendranagar, Hyderabad.

2.   The Workshop was attended by Senior Officials from Central Ministries/ Departments (23) and from 28 States/UTs who are implementing the social sector programmes besides resource persons and faculty members of NIRD and SIRDs. The list of 77 participants is appended.

3.   The studies on social accountability have been providing greater insights and also offering opportunities for exploring ways and means of enhancing the capabilities of citizens/community to engage with public servants and elected representatives in a more uniformed, direct and constructive manner. This helps in effective delivery of the schemes initiated under the poverty reduction programmes and other social sector programmes. The main aim of the workshop on 'Social Accountability Mechanisms' was to arrive at concrete measures which would facilitate the policy makers and programme executives to identify relevant social accountability tools and integrate the same in social sector schemes both at the policy, design and implementation levels.

4.   **Dr M.V.Rao, Deputy Director General, NIRD** welcomed Secretary, DAR & PG, DG, NIRD, DG, NIAR, other delegates from the States and Centre and representatives of various organizations working in this field. He outlined the contemporary importance of the theme of workshop in a democratic set up like India. The need to ensure transparency in functioning of public institutions and systems had been rightly emphasized by Dr Rao and he observed that we are moving in that direction slowly but steadily.

5.   The workshop was presided over by Shri Mathew C Kunnumkal, Director General, National Institute of Rural Development. In his presidential remarks, Shri Mathew pointed out that the purport of introducing social accountability is to address the governance deficit and also to improve the quality of service delivery. He stressed that corruption is a direct offshoot of lack of accountability and discourse. Shri Mathew opined that a number of measures have to be initiated for enhancing social accountability. Referring to the research studies in psychology, he drew the attention of the august gathering that anonymity, invisibility and morality are central to the effectiveness of Social Accountability

mechanisms. He underscored the need for full and proactive disclosure under Right to Information Act (RTI) by the line departments and also regular interactions between stakeholders and delivery system. He was critical about present state of accountability in the government and attributed this largely to the attitude of average public servant. He argued for elimination or reduction of discretionary powers enjoyed by political executives and bureaucrats at various levels. He felt that total and faster devolution of powers would also dilute the resistance to part with power by officials. He laid stress on mandatory fulfillment of services mentioned in citizen charters. He noted with satisfaction progress made in Social Audits under MGNREGS. However, he felt that efforts are needed to make it really effective by imparting skills and knowledge to social auditors. In this context, he argued for state protection to facilitators.

5.1 DG, NIRD felt that all social sector schemes need to be made citizen centric. Shri Mathew felt that awareness is critical for introduction of social accountability and rightly observed that success depends upon two aspects viz., what information is required and how to use information by stake holders to meet their needs. In this regard, he argued that the media can play a very positive and constructive role in information dissemination for improved social accountability. He suggested that premier training institutes like NIRD, SIRDs and reputed NGOs engaged in capacity development should be associated with this herculean task.

6. In his inaugural address, **Shri Ramesh Chandra Misra, Secretary**, Department of Administrative Reforms & Public Grievances, explained the efforts that are being made by the Department of Administrative Reforms and Public Grievances in supporting the improvements in programme implementation and public service delivery affecting a large population of the country. He mentioned that the social accountability initiatives have been derived from the core goals of poverty reduction and effective sustainable development. Social Accountability Mechanisms refer to a broad range of actions that citizens, communities and civil society organizations can use to hold government officials accountable. These include citizen participation in public policy making, participatory budgeting, public expenditure tracking, citizen monitoring of public service delivery, advocacy campaigns etc.

6.1 Shri Misra referred to the study on Social Accountability Mechanisms sponsored by DAR & PG and conducted by National Institute of Administrative Research (NIAR), a unit of Lal Bhadur Shastri National Academy of Administration (LBSNAA), Mussoorie. The study has dealt with several issues related to social accountability and suggested how social accountability mechanisms could be mainstreamed into design and implementation of National and State specific social sector Programmes. He further stated that the workshop would provide an opportunity to discuss various initiatives in the field of social accountability and adopt / adapt the same (as mandatory parameters) as an integral part of the project formulation so that the same may be applied to all social sector projects of the Central Government as well as States.

7.   **Shri Kush Varma, Director General, NIAR** elaborated the approach followed by NIAR in developing the generic framework for social accountability. He narrated how the project team had examined the concepts, constituents and policy framework for social accountability with special reference to mainstreaming the social accountability tools. He mentioned that social accountability mechanisms suggested in the report have kept a broader governance framework. He was wondering whether the business approach to social accountability would make the process citizen focused. He referred to a World Bank study in sub-saharan Africa which concluded that leakages in public programmes are mainly due to lack of citizen contact. He felt that the effective functioning of external and internal accountability mechanisms would strengthen the social accountability processes in the public service delivery.

8.   **Ms. Yamini Aiyar, Director Accountability Initiative of Centre for Policy Research** elaborately narrated the process adopted in the collaborative project of NIAR and Centre for Policy Research (CPR) for development of a generic framework for adoption of social accountability mechanisms in social sector programmes. Issues like what is social accountability, mechanisms relevant to social accountability, social accountability structure, the strengths and weaknesses of social accountability tools etc., were dealt with in her presentation. The role of agencies like Controller and Auditor General (CAG), Central Vigilance Commission (CVC), Judiciary etc., according to Aiyar, would provide the needed institutional support to the citizens for exercising the powers bestowed.

8.1   Elaborating social accountability concept, she mentioned that it deals with a set of checks and balances to make the delivery system responsive and also to create institutional structure at grassroots level for strengthening citizen participation. She opined that wider debates are essential to promote the social accountability and also endorsement by the functionaries. She stressed that synergy of institutions is essential to make the spaces more effective (voice capture) and strengthen the role of state in design of programmes to meet the specific needs of the community. She elaborated the basic principles that need to be kept in view in the institutional design. These include clear assignment of responsibilities, functional autonomy to grassroots level functionaries, incentives to perform and emphasis on outcomes rather than expenditure. She underscored that relevant, regular and reliable (3Rs) information is the building block of social accountability efforts. She argued that process of assessing information should be simple and for effective community mobilization, the mapping of social accountability tools and stages of service delivery need to be explicitly stated.

9.   **Dr. R.R. Prasad, Prof. & Head (CESD), NIRD** highlighted some of the crucial dimensions in social accountability. He pointed out that in a democratic society, the citizens have the right to demand accountability from the officials and the elected representatives while the latter are obliged to be accountable. He emphasized the role of media and the civil society organisations in promoting enabling environment. He underscored the importance of both traditional and modern forms of media in awareness building and to create platforms for public debate. He was of the opinion that an incentive

structure and also punishments would provide the needed stimulus for the delivery agents to be responsive and responsible. In a performance based accountability, he argued that some of the best strategies with focus on citizen participation would be effective with the support of well defined rules of governance. Pleading for institutionalisation of the processes, Dr. Prasad suggested that the social accountability initiatives should be embedded in the structure of the state. He also raised a number of issues and questions which need to be addressed while institutionalising the social accountability mechanisms.

10.   Dr. K. Hanumantha Rao, Prof. & Head (CWEPA), NIRD, made an attempt to develop a road map for effective social accountability. Since decentralization, participation and effectiveness of social accountability mechanisms are positively associated, he argued for decentralizing the plan process to provide more spaces and voices for the poor. Citing the Kerala's successful experiment with decentralization, he pointed out that an enabling environment with proper devolution of powers, use of RTI Act, effective grievance redressal system, creation and effective functioning of organisations of the poor, incentive-disincentive systems for functionaries would create the needed environment for the citizen to demand and obtain services from the state, and in the process make the entire development endogenous. He was of the view that the rights based perspective along with responsible citizenry would strengthen the overall social accountability process and result in optimal utilization of resources. He strongly argued that the existing institutions (PRIs, Gram Sabha, standing Committees, CBOs,…) should be strengthened instead of creating new structures.

10.1   Dr. Rao argued that *District Poverty Alleviation and Social Development Fund* should be created and based on certain criteria of backwardness, allocation of funds should be made for each district. In the process, the centrally sponsored schemes could be dovetailed with the district plan priorities and thereby dispense with irrelevant schemes for the districts. Since there is an acute shortage of skilled manpower to administer social accountability tools and techniques, massive capacity development efforts have to be initiated in a *mission mode* with the help of a network of training institutions for both community representatives and delivery agents. Given the sheer size of numbers, he pointed out that the innovative training strategies have to be evolved to impart knowledge and skills on social accountability tools and methods. Since awareness is critical for adoption and scaling of social accountability mechanisms, he was of the opinion that common interest groups (CIGs) and their federations would offer needed platforms for articulating the demands of the poor and also facilitate collective action. Since society is inequitous and stratified on various lines, he mentioned that regular interface sessions of officials and elected representatives with CIGs would resolve the conflicting issues and expedite the social accountability process. To strengthen the process, Dr. Rao felt that the IT can play a major role in helping the delivery system as well as the community at all stages of project planning, execution, monitoring and evaluation. He concluded his presentation by mentioning that to deepen the democratic governance system as well as achieving effective social accountability, the instruments like, Management Information System (MIS) should be people centric.

11. **Ms. Vandana Jena, Senior Advisor, Planning Commission** in her presentation dealt with a range of subjects which include participatory District Planning, Gender sub-plans, social audit of centrally sponsored schemes, public expenditure tracking system, grievance redressal system and consultative mechanism for preparation of approach paper to 12th Five Year Plan. She elaborated the efforts of the Planning Commission to strengthen stakeholders' participation in envisioning exercises and planning process, ensuring transparency in decision making through public debates, introducing monitoring and social audit mechanisms in its various programmes. The learnings from these interventions were shared by Ms. Jena and these include strengthening of programme design and institutional arrangements, capacity development for informed participation and improved service delivery, greater devolution, professionalism in programme management and earmarking of funds for social mobilisation.

12. In his concluding observations, the Secretary DAR & PG informed that main purport of the workshop is to get acquainted with the developments and to work out action points for improving the social accountability in the social sector programmes of the states and centre. He admitted that there is moral crisis in today's society largely on account of degeneracy in values and ethics. These have led to formalization of social accountability mechanisms and he opined that a network of people's organisation, CSOs, PRIs, Officials, NGOs with passion for social accountability could achieve the goal.

13. **Shri P.K. Jha, Joint Secretary,** Department of Administrative Reforms and Public Grievances proposed vote of thanks to the chair, resource persons and all the distinguished participants.

Session-I

14. The session was chaired by Shri Ramesh C Misra and presentations were made by MoRD, SSAAT, MoHRD and Pratham. A film on 'A Process Document on APARD's Lab to Land (KEYCAP) Initiative' developed by AMR-APARD, Hyderabad was screened.

15. The faculty members of The **Andhra Pradesh Academy of Rural Development** (APARD) had shown a film on its 'Lab to Land initiatives' of APARD. The film focused on the tools employed for awareness generation and community participation as well as capacity building of Bharat Nirman volunteers and also highlighted the outcomes of the initiative. Dr. Suryanaryana Reddy of APARD referred to the structural dissonance and unevenness among PRI structures. He argued that a single line of command is necessary for social accountability and more focus should be on quality of the social accountability process.

16.   Shri Niten Chandra, Joint Secretary, Ministry of Rural Development: He said the Ministry of Rural Development wants to strengthen the Social Accountability Mechanism.   He quoted the example of some initiatives undertaken by Ministry of Rural Development. He informed that they have a plan to scale this by building additional capacities within SIRDs, as it is a programme which is now going on in all the SIRDs, in each State. Ministry would also approach Planning Commission for assistance. He also informed that Special Community knowledge Assistance Group in SIRDs and Community Knowledge Manager in each Block would soon be created. A rough estimate of around Rs. 41 crore is involved as recurring investment every year. Efforts would be made to included it in 12th plan.   He also opined that there is a great deal of inertia within the system, within the bureaucracy, the PRI as well as in the community. So, the leadership development within bureaucracy and within PRIs and then in the community plays an extremely important role. This is one of the key learnings which has come out from this. Therefore, it would be propagated through workshops, communication with key stakeholders and leadership building.

17.   Ms. Sowmya Kidambi, Director, SSAAT, Andhra Pradesh, made a presentation on Social Audits under MGNREGA with focus on AP's initiative. She mentioned that there are multiple mechanisms of social accountability and each mechanism has its own space and methodology. She stressed that for any social accountability mechanism, certain steps and methodologies should be followed. She also said that certain social barriers like caste and class come in the way of social audit. It should be done by an independent agency and not through implementing agencies or a GP. Trained people should be conducting social audit. Mechanisms for people to speak freely should be built in social audit.

17.1   She further stated that if we want the people to participate, we have to ensure that we instill in them the faith that when they speak, it would be listened to. What AP has done and proven is that if the state stands by the people, if the state provides a platform to the people to speak, wonders can be achieved. What is the social audit process that we actually do in AP today that everyone else is saying "aap kaise kar sakte ho, ham nahi kar paa rahe hai?". It is a question of scalability that has been asked to us also. How did you start? How have you today managed to do three rounds of social audit, across 1085 Mandals i.e., almost 20000 gram panchayats visited thrice over. If social audits are done, it has to be done in a manner that it does not impinge upon the lives of the people whom we want to come out and speak.   An enabling atmosphere for social accountability to function should be prevailing. The civil society, political structure and bureaucratic structure should enable social accountability.

18.   Shri Anurag Yadav, Additional Commissioner, Rural Development, Govt. of UP, commented that accountability is always being insisted from village functionaries and PRIs (more so GP). He desired that there should be (community) check on the functionaries at higher levels for their actions.

19.   **Mrs. Anita Kaul, Additional Secretary, Ministry of Human Resource Development, GoI** said that delivery system should pay attention to access, equity and quality otherwise adoption of social accountability mechanisms would not serve any purpose. She also drew attention to the fact that without quality, the marginalized sections of the society would be pushed out. Laying down the responsibilities of service providers (teachers in the context of education), setting bench marks (quality standards) and continuous upgradation of capabilities of service providers, community participation through the CBOs (SMCs in the case of elementary education), according to her, are critical for the social accountability. She also commented that the rights based approaches and flexibility in programme design (sensitivity to gender needs,…) third party monitoring and assessment of outcomes are pre-requisites and need to be made integral part of the social accountability processes.

20.   **Shri R. Bhattacharya, Director, Pratham** in his presentation highlighted the findings of Annual Status of Education Report India (ASER) (Rural) 2010; a survey facilitated by Pratham. The participation of local colleges, NGOs, women groups and SHGs in the survey besides giving space for these local institutions in assessing the quality of education services also empowered them with right, regular and relevant information which is a pre-condition for operationalising social accountability mechanisms. Shri Bhattacharya informed that these surveys have made a positive impact on the quality of education imparted to the rural children. He suggested that community should be well informed about learning goals for assessing quality of service delivery and focus of social accountability should be more on outcomes rather than inputs and expenditure.

21.   **Dr. Amarjeet Singh,** Joint Secretary, MoHRD spoke about the Mid Day Meals programme which is being implemented by State Monitoring Committees (SMCs), SHGs and GPs. He also said that for monitoring accountability, information should be displayed under Right to Information Act. The district and state level committees should monitor the programme. He said that Mid Day Meals have ensured the decrease (school) in dropout rate and increase of retention rate of children besides providing livelihood opportunities for SHGs.

Discussions:

22.   **Ms. Aditi S Ray, Economic Advisor, Ministry of Urban Development**, suggested that synergies in programme convergence should receive special attention and also argued that stakeholders' involvement, concurrent monitoring and evaluation and third party evaluation should be made mandatory in all schemes. Further she pointed out that all the outlived schemes should be scrapped and officials should be encouraged to move across government and non-governmental organisations to upgrade the skills and also to get familiarised with new work cultures.

23. **Shri Bhanu Pratap Sharma, Joint Secretary, Minority Affairs** mentioned that internalization of public information by community is essential. For effective social accountability he observed that the key issue is, 'who is responsible for what?' This information should be made explicit to all stakeholders.

24. **Shri P. Krishnaiah, Chief Executive, National Fisheries Development Board,** suggested that good practices under social accountability should be compiled and widely disseminated for scaling up.

Session-II

25. **The session was chaired by Shri Ramesh C Misra, Secretary, Dept. of AR & PG.** Presentations were made by senior officials from Ministry of Urban Development, Ministry of Housing and Urban Poverty Alleviation, National Rural Health Mission, Department of Panchayat Raj, Govt. of AP and ICDS, Ministry of Women and Child Development.

26. **Shri N. Venugopalan, Director, Ministry of Urban Development**, referred to the provisions made for citizen's participation and social accountability under JNNURM in his presentation. The measures introduced for creating an enabling environment were flagged by him which include citizen centric and pro-poor reforms, service level bench marking and institutionalisation of citizen's participation in local governance. He suggested that extensive consultations with all stakeholders at planning stage after building community assets is a better way of engaging the community in development process. He also mentioned about the proposed plans for strengthening social accountability such as MPs/MLAs Review Committee and conduct of social audit for all projects.

27. **Dr. Sajjan Yadav, Director, National Rural Health Mission (NRHM)** made an extensive presentation of the social accountability mechanisms under NRHM and explained in detail about three pronged accountability framework encompassing community engagement, external surveys, concurrent monitoring and evaluation. To build and strengthen community engagement, he mentioned that participatory (Bottom-up) planning, building community ownership and community based monitoring (CBM) have been followed which have yielded good results. The impact of community based monitoring on provision of health services and utilization of services in the nine states was also shared with the delegates. Dr. Yadav felt that social accountability should be brought to the core of the programme implementation. For this, he suggested massive capacity building efforts to demand and facilitate accountability besides scaling up CBM. He also underscored the need for bringing changes in perceptions, attitudes and work culture along with frequent dialogue among stakeholders.

28. **Shri Vivek Nangia, Director, Mo HUPA**, underscored the need for a long term perspective and also on concurrent monitoring and evaluation in the light of experiences gained from implementation of

basic services to the urban poor and integrated housing and slum development. He warned that if proper methodologies are not followed and participatory culture is absent then the social accountability tools would be ineffective. Adoption of social accountability mechanisms, according to him, should precede creation of conducive environment, identification of key stakeholders and adequate budget. He strongly felt that the main pillars of social accountability include access to information, advocacy, institutionalization, responsive government and organized and capable citizen group.

29. **Shri Rajiv Sharma, Principal Secretary, Panchayati Raj, Govt. of AP** in his presentation covered wide gamut of issues relating to social accountability. He also highlighted the major problems of social auditing such as departure from norms, wide spread corruption, inefficiency, lack of focus etc. Shri Sharma suggested a few measures to overcome these problems which include information dissemination, participatory structures, partnerships with civil society, grievance redressal, devolution of powers and adoption of a framework for addressing policy and legal issues. Shri Sharma mentioned that civic engagements can be built through the administration of social accountability tools.

30. **Ms. Rupa Dutta, Director (ICDS), MoWCD** made a detailed presentation on the efforts made by Ministry of women and child development for improving delivery of services under ICDS. She referred to various factors responsible for inefficiencies in delivery of quality services and ineffectiveness of social accountability mechanisms. She underscored the need for convergence to ensure participation and sustainability of the programme. She was critical that there was little space in design for performance and argued that focus should be laid on cross sectoral, horizontal and vertical integration. While referring to management issues, she opined that decentralized planning and management would promote participation and enable supportive community actions.

Discussions:

31. Vigorous discussions took place on the issues raised by the chief guest, Secretary, DAR& PG and Resource Persons. There was a general consensus among participants on the need to mainstream Social Accountability framework and tools in the various social sector schemes and programmes, however, they also articulated their key concerns regarding the difficulties faced in this respect based on their experiences. They also threw up some concrete suggestions which are summarized below.

32. It was felt by the delegates, that by correcting the governance deficit and improving the quality of service delivery, the poor can have better access to services and other entitlements without resorting to any unethical practices. In fact, it was unanimously opined that the degeneracy in the value system and lack of ethics are the root causes of absence of social accountability and rampant corruption is an offshoot of these factors.

33. The members suggested that several steps need to be taken to institutionalize accountability in social welfare programmes. These include: increased and continuous interface between the citizen and the delivery system, institutional reforms, enforcement of full (right ,reliable and regular) information disclosure, wider consultations with the stakeholders, concurrent monitoring and third party evaluation, greater devolution of powers and resources, functional autonomy at field level, pro-active media, advocacy campaigns, community mobilization, capacity building of all stakeholders. It was also argued that successful implementation of social accountability mechanisms would lead to improved governance, increased development effectiveness and empowerment of the people.

34. The main issues deliberated upon were: how social accountability mechanisms could be mainstreamed into the design and implementation of the social service Programmes? What should be the appropriate framework and choice of social accountability tools for different schemes / contexts? Whether the accountability can be obtained within the existing administrative structure? If not, what should be the institutional structures, systems, mechanisms, tools, through which social accountability could be obtained? The members opined that experiences with National Rural Health Mission, Sarva Shiksha Abhiyaan, Mahatma Gandhi National Rural Employment Scheme, etc., and also some of the innovative experiments at grassroots level would help in developing mechanisms to address voice failure and compact failure. The deliberations also echoed a view that these can be adequately addressed if there is political will and commitment of bureaucracy to be accountable to all the outcomes of the development actions and making social accountability an integral part of the programme design. Independent of legislative measures for seeking accountability, the delegates felt that if every functionary feels that She/he is accountable to the community for all her / his actions, the social accountability would be in place.

35. As part of the discussions, an issue was raised that if businesses could be client focused, why governments could not be citizen focused! In this context, it was also admitted by the delegates that the mindset and attitude of government servants and thereby the work culture act as major stumbling block in institutionalizing social accountability.

36. While endorsing the need for greater citizens' participation, the delegates pondered over the different ways in which citizens can be engaged with the government, in order to be able to place demands of accountability and to obtain the same as well. The members viewed that the formation of democratically functioning local committees of key stakeholders (school management committees, health committees, etc.,) would be one of the most effective means for achieving and sustaining people's participation.

37. It was also suggested by the participants that external accountability mechanisms should be supplemented by internal accountability mechanisms to have greater objectivity and transparency.

38.   A view that was widely shared by the group was that one of the necessary conditions to obtain social accountability was to have a performance based rewards system in which performance norms should reflect the benchmarks on which service delivery should be measured. However, it was also apprehended that introduction of penalties or disincentives for poor performance might even lead to inaction.

39.   Another salient point that had been debated was, "How do we use the spaces that we are creating through organisations like Gram Sabhas and community based organizations (CBOs) to ensure that these are effective spaces for social accountability which can build confidence among citizenry?". The members argued that follow up actions / effective grievance redressal (as in social audit of AP) would build the confidence in the system.

40.   In his concluding remarks, Shri Misra mentioned that the workshop has benefitted the participants in terms of more awareness about what is happening around us and more knowledge about the social accountability tools. He also informed that the recommendation of this workshop would also be placed before the Committee of Secretaries (CoS) in the Government of India, chaired by the Cabinet Secretary for achieving desired results.

41.   Mr P.K. Jha, Joint Secretary, Deptt. Of AR&PG briefly summed up the main outcomes of the deliberations.

41.1   Social Accountability is not really built in and is at present weak in the schemes. Even in Social audit in NREGA there is an uneven pace across region. There is a strong need for stakeholders groups like School management committee, Village Health Committee, etc. to be constituted and made functional democratically. Mere nominations do not make it effective. The leadership position in such groups need to be elected by stakeholders.   Also these Committees need to be integrated with local PRI.

41.2   Another important outcome is that government has to step forward to create necessary environment for empowerment of people. Concrete administrative will is a decisive factor which is borne out of experiences shared today.

41.3   Another important lesson that has come out is the alignment of government bodies with dedicated CBOs/CSOs. It would allow a critical and open approach to develop.

42.   Dr M. V. Rao, DDG, NIRD, proposed vote of thanks to the chair and to the distinguished participants.

Key issues and Action Points

43. **The following issues were identified as critical in the main streaming of social accountability in social sector and poverty alleviation programmes**

    1.   **Creation of Enabling Environment**

    2.   **Social Mobilisation and Participation**

    3.   **Civic Engagement**

    4.   **Social Accountability Tools and Methodologies**

    5.   **Capacity Development**

    6.   **Collective Ownership and Accountability**

    7.   **Monitoring and Evaluation**

    8.   **IT applications**

44.   **Creation of Enabling Environment**

Creation of enabling environment for participation of all stakeholders with delivery system in a more informed and constructive manner is a pre-requisite for institutionalizing social accountability, given the work culture and attitudes of officials and elected representatives and also institutional inadequacies for facilitating community participation.

Creation of stakeholders / user groups should be based on election among them and such processes would also strengthen grassroots democracy. These elected groups should be given a substantial say in planning, finance and implementation of social sector programmes. Place development information (relevant and reliable) at regular intervals in public domain and equip these groups to seek information(using RTI Act) and to use such information effectively. These groups should also be integrated with PRIs to create greater synergy.

44.1   **Action points:**

    i.   *Mere awareness does not help the (poor) community. It may not be able to articulate their needs and expectation as well as demand services from the delivery system. Organisations of the poor need to be created / strengthened so that they could exercise the rights and be enabled to participate in planning, management and evaluation.*

    ii.   *It is necessary for the successful outcomes that the Government should stand in full support of pro-social Accountability measures at every step. It should provide needed protection and support for people and facilitators to express their views, comments, deficiencies in service delivery.*

iii.   *While Gram Sabha has legitimacy, given the inequitous socio-economic structure and the spatial spread of Gram Panchayat, we need multiple platforms for people to participate. The village organisations / CBOs / local committees should provide the needed spaces for the poor to be in mainstream of development. At present, in many programmes broad based participation of members of local bodies (Gram Panchayat, Municipality,..) is weak. Since members of these bodies represent interests of various communities, the roles and responsibilities of these members in social accountability processes need to be articulated.*

iv.   *The existing institutional structure should be used to a large extent instead of creating new structures. Since PRIs and urban local bodies are expected to plan and execute development functions, there is need to strengthen the local bodies through greater devolution and allocation of untied funds for local level (participatory) planning as part of governance reforms. District planning committees have provided the needed framework for bottom up planning and ensure coordination among the development agencies horizontally and vertically.*

v.   *Incorporating SA mechanisms and insisting on transparency and accountability in all social sector programmes should be made mandatory.*

vi.   *To build confidence among citizens, the grievance redressal should be quick and effective. The follow up actions and outcomes should be kept in public domain for wider publicity and promote community participation. The institutions such as Ombudsman can play an effective role in grievance redressal.*

vii.   *Create a cadre of para professionals from among the poor to provide continuous guidance and also counseling so that community can be comfortable in engaging with the government and elected representatives in more meaningful way.*

45.   Social Mobilisation and Participation

Mobilizing citizen action for accountability is crucial because simply creating spaces without the requisite support that is required for people to be able to use these spaces effectively does not ensure effective participation of the poor. So, different sections of the society need to be mobilized seeking their involvement in putting social accountability mechanisms in place. Such mobilization facilitates in capturing the voices of the people and also in providing feedback on the quality of services even while demanding accountability from the state apparatus.

As the primary stakeholders are mostly illiterate and marginalized groups, reaching out to these sections is a challenging task. Equally important is dissemination of information relating to social sector programmes and also on social accountability mechanisms. In the absence of a strategy for awareness

building and social mobilization, the participation (in numbers and quality) of community won't be forth coming and effective.

All the stakeholders of social sector programmes should have clear understanding of the objectives of the programme, provisions and facilities, procedures to be followed by them in the planning, execution (including monitoring) and evaluation of the programme. Since social accountability has to be integral part of the programme design and all the stakeholders should be well informed about SA mechanisms at each stage of the programme.

45.1   Action points:

i.   *Besides the capacity development initiatives, innovative IEC strategies for different categories of (primary and secondary) stakeholders are necessary. At present in many social sector programmes, IEC efforts could reach out to the educated among these stakeholders. The traditional and modern media for awareness generation have to be made use of (e.g. folk songs, street plays, awareness exhibitions at Haats and Melas,…). Specific fund allocation should be made in all social sector programmes towards social mobilization activity.*

ii.   *The community based organisations should be used to build awareness among the members since these are informal institutions of people with common interest. Mobilization of community through the CBOs would be cost effective strategy. The institution of Gram Sabha is an ideal platform for bringing the community together with other stakeholders. These interface meetings / dialogue would pave way for collaborative actions as well as capturing the voices of the citizens. The choice of right entry point intervention would be a part of this strategy for social mobilization. The civil society which is known for its capabilities in community mobilization and awareness building should be given a prominent role in this sphere.*

iii.   *Appropriate models of community engagement may be used for proactive / interactive participation so that communities can influence priorities, resource allocation and service provision, setting standards of service delivery as partners. Such participation may facilitate the people to take measures on their own for bringing changes in the systems including owning the programme as well as acquiring control over resource use.*

46.   Civic Engagement

Over the years, the Indian society has been moving in the direction of Transparency and Accountability and it is perceived that such approach would help achieve the avowed goal of democratic governance. The various measures like the Right to information, Citizens Charters, Performance

Budgeting and Social Audit have been introduced in select schemes with the involvement of various stakeholders These mechanisms have to go a long way to improve the service delivery in terms of access, quality (standards) and equity. Despite such efforts, though sporadic, the people's confidence in the systems of governance is yet to be restored fully.

The discussions in the workshop centered around on the types of institutional structures, systems that are available and can be created at the grassroots for mobilization of citizens to be able to effectively participate, interact, engage and demand accountability from the government. And also the changes needed in respect of delivery system that is responsive to these demands. It is contended that an informed and mobilised citizenry can draw upon platforms for engagement for focused outcomes.

A few participants were of the view that an institutional arrangements for a two-way engagement between community and delivery agents within a 'rights based' framework might result in a better delivery of basic services at the grassroots level. Effective civic engagement demands community mobilization and capacity building. Capacity building is not only a key element but also a very difficult issue. It requires years of engaging, interacting, providing support and to ensure that people actually are mobilized and use these spaces. we need to have an effective grievance redressal structure to build confidence of the community in the system. Strong grievance redressal is also critically linked to effective mobilsation.

46.1 Action points:

i. *Involve independent and reputed NGOs and CSOs on a large scale in SA to make civic engagement more vibrant and to obtain the desired outcomes.*

ii. *Media both traditional and modern can play a crucial role in creating a conducive environment for civic engagement and to capture voices and making compact stronger. And the media should be sensitized and made a catalyst in this process.*

47. Social Accountability Tools and Methodologies

It is well established that all the available social accountability tools cannot be used in all social sector programmes as the focus, objectives, structure, expected outcomes, context, clientele etc., vary considerably. Further, a uniform methodology for administering the various social accountability tools is not appropriate and meaningful. The choices have to be made judiciously keeping the capabilities of the delivery system in administering the tools and also the community's comfort with the tools. There is need to promote research in this area to widen the tool kit.

There is also a view expressed in the workshop that the agency implementing the programme should not be involved in administering the SA tools or oversee the SA process.

The organizations including the community organizations should have the knowledge and skills to administer the SA tools and interpret the outcomes.

47.1 <u>Action points</u>:

i. *Research on the development of SA tools and methodologies should be promoted. The DAR & PG, the Planning Commission, the Nodal Ministries implementing social sector programmes, etc., should provide fund support to the reputed CSOs and Research Institutes to take up work in this area.*

ii. *As a part of the capacity building activity, all the development functionaries should have a (compulsorily) module on SA tools and methodologies.*

48. Capacity Development

All the delegates emphasised capacity development of all stakeholders and more so primary stakeholders (beneficiaries / community) and implementing agencies to administer social accountability tools and methods. To strengthen the demand side of social accountability, millions of primary stakeholders have to be sensitized, educated and organized to exercise their rights and also make the delivery system responsive to their needs. Given the varied social and economic background of the beneficiary community, reaching such vast numbers is a gigantic task and innovative ways of capacity development are to be explored. Further, investment in human resources of the community is equally important in order to ensure availability of regular guidance and counseling services.

The capacity building of the institutions which will be literally enabling this kind of social accountability, whether it is the PRI or Civil Society Organizations is necessary. We have a presumption that all the NGOs have the capacity of enabling a social accountability mechanism. So, care should be taken in the selection of organizations for this purpose.

The network of training institutions (NIRD, SIRDs, ETCs, NIAR,…) involved for capacity building of development functionaries of rural and urban areas should be entrusted with capacity development with reference to social accountability.

The delivery system, on its own, should be well equipped on the concepts, issues and operational procedures for institutionalising social accountability. The knowledge and skills in respect of the

various social accountability tools and techniques have to be acquired. This is a pre-requisite for incorporating the relevant ones in the programme design.

48.1   Action points:

i.   *The illiterate and marginalized sections can not engage themselves with elite class (officials and elected representatives) without an organizational support. Since the rural communities are stratified on lines of caste, political affiliations, and class, bringing them together for collective action is difficult. Mobilizing and organizing them on common interests would be easier (e.g. small farmers, landless labour, casual labour,…). In a democratic society, federation of such common interest groups (CIGs) at Gram Panchayat, Intermediate Panchayat and District Panchayats and also in urban areas would be rewarding in negotiating with delivery systems at various levels. The capacity building of representatives of these federations is one of the cost effective means of awareness generation in the community. Regular and successful interactions of CIGs and their federations with delivery systems would strengthen the social accountability process and make development process endogenous.*

ii.   *Given the socio-economic profiles of the beneficiary groups, the state should invest in human resource development of the community. The educated among the target groups or unemployed youth should be trained on all the social sector schemes and also on social accountability procedures and tools. These para professionals can provide regular guidance to the community, oversee the functioning of programmes and administer the SA tools. The gram Sabha should identify these persons drawn from different disadvantaged groups and from females as well. Such arrangements would reduce the dependency of the community on external agents in the medium-run.*

iii.   *Apart from imparting knowledge and skills on social accountability tools, focus should be more on "attitude and behavioural changes" as well as conflict management. The former facilitates shift from hierarchical to participatory work culture while the latter enables the stakeholders in resolving conflicts amicably which are likely to occur in the development process of inequitous society.*

iv.   *What should be the appropriate mix of training interventions, so that we can reach both the delivery agents as well as the community in a short period? Who would coordinate the various types of institutions for capacity building and obtain feedback on the quality of training imparted and their effectiveness in the field?*

v.   *Best practices under social accountability need to be documented and disseminated (e.g. communitisation model of Nagaland) to bring in the reforms in governance. It has given effective powers to the village institutions to ensure the involvement of the community. Such successful cases should form part of training curriculum and exposure visits to such sites would motivate the functionaries to adopt / adapt these models.*

49.   Collective Ownership and Accountability

The evaluation of the development programmes also reveal that programmes are rarely owned by the officials and elected representatives (at the grassroots level) as well as by the community which is a pre-requisite for improved programme performance. In the social sector programmes like Sarva Shiksha Abhiyan (SSA) and MGNREGS, the accountability is inversely related to the level/hierarchy of functionaries. It mainly rests with the field functionaries and Gram Panchayat functionaries, while functionaries at higher level are less affected by the failures of the service delivery (traced/ established through SA mechanisms).

49.1   Action Points:

i.   *To ensure ownership of the programme, the participation of all the stakeholders in the programme design and identification of SA tools in various stages (Planning, implementation, monitoring and evaluation) is necessary. Such flexibility in the design, keeping the strength of local institutions in view would help in greater interactions and constructive dialogue. In the case of convergence of programmes, all the concerned agencies should take part in the entire programme design and also selection of SA tools. Such arrangements would facilitate convergence of bottoms-up people's planning with top-down technical know-how. Gram / Ward Sabha would provide the requisite platform while due publicity to such interactions which would mobilize the stakeholders to participate.*

ii.   *To make the delivery system more responsive, the entire delivery system up to block / district level should be made accountable for lapses and leakages. They should be accountable to all the irregularities observed through official monitoring system and also the grievances recording system. This will improve the quality of implementation and oversight by the district machinery. The officials involved in designing the programmes and drafting the guidelines should also be made accountable by insisting on public debates and wider consultations with all the stakeholders.*

iii.   *Examine the feasibility of evolving an umbrella kind of legislation to see that all the public servants at any level, who are implementing the social sector schemes, are made accountable to the outcomes.*

50.   Monitoring and Evaluation

Community monitoring process provides regular feedback and systematic information collection about the needs of the community. It also provides feedback on how much has been the performance of a particular institution, It should not be a one-time process. It has to be on a continuous, recurring and regular basis and due importance be given to, monitoring and evaluation.

Third party evaluation of social sector programmes has been found to be very effective in bringing changes in programme design etc.

50.1   <u>Action points:</u>

i.   *All social sector programmes should have concurrent monitoring to initiate action for correcting the deficiencies, irregularities, deviations etc. The reputed institutions (third party) should be engaged for evaluation of the processes adopted and outcomes.*

51.   IT Applications in Social Accountability Mechanisms

In some of the social sector programmes, IT enabled MIS have been developed to bring more transparency and accountability. These systems have been facilitating monitoring / tracking of expenditure, provision of services by officials at higher levels. Due to illiteracy and lack of access to IT products, most of the primary stakeholders are not able to take advantage of such information sharing arrangements. Thus, there is a need for (re)designing monitoring systems with the help of recent advances in IT sector (e.g. Janata Monitoring System reported by the Working group on NREGA).

Another innovative experiment is open data initiative, which insists that all data created by all public departments is being put in a public domain in a standard format for wider use and to build value added services. Such initiatives will provide opportunities to all stakeholders to assess the performance and question the claims of the delivery system. Such informed public debates would bring in qualitative changes in governance.

51.1   <u>Action Points:</u>

i.   *Establishment of computers at gram Panchayat and village / ward level is necessary for the community to access the programme specific information and also to place community based monitoring reports for wider sharing. The needed back up facilities (hard ware and soft ware) have to be taken care of while creating such facility for empowering community with information.*

ii.   *The competent IT firms' services should be used to develop customized software to meet the specific information needs through figures, facts, pictures, charts, films etc., so that MIS would be stakeholders' friendly. The costs of IT use should result in improved efficiency and effectiveness of social sector programmes and be construed as investment in building capacity of institutions.*

Part- 2

Inaugural Address of Shri Mathew C Kunnumkal, DG, NIRD

Let me at the outset extend a very very hearty welcome to Shri R. C. Misra, my esteemed friend and batch mate and Secretary, Department of Administrative Reforms and Public Grievances and also Shri P. K. Jha and other officials from the department and senior officials from the various other Central Ministries, Planning Commission, State governments, the NIRD Centres and other invitees to this one day consultative workshop. I hope that we will have a very pleasant stay here and this today's consultation will definitely help us to move much forward in shaping and coming out with new social accountability mechanisms. I congratulate once again the department for having taken this initiative, particularly Mr. Misra who had been writing to me for quite some time.

2.   The need for greater (social) accountability is increasingly felt today particularly when citizens' confidence in the systems of governance is fast eroding and when there is almost a virtual revolt by the common man against establishment. The rampant corruption about which we read in the newspapers everyday and see in the media is definitely an offshoot of the lack of social accountability. It has been reported the other day only that rural households in the income category of Rs. 5000/- per month had to pay Rs 470 crores bribe for services such as ration cards, connections, hospital services etc. This shows the gravity of the situation. There are no two opinions about the need for increasing social accountability for adjusting the governance deficit and improving the delivery systems so that the common citizen gets its due entitlement without recourse to any unethical and immoral practices.

3.   I would like to highlight certain issues which have direct bearing on the social accountability. What are the measures required to improve the Social Accountability? Psychological research has proven again and again that anonymity, invisibility and unaccountability encourage unethical behavior. Long long ago, the Greek Philosopher Plato referred to the subject of anonymity and morality. It is a parable about the ring of vegges. The bell of the ring acquires invisibility and his actions cannot be seen by any body. It was then found that a habitually just man became a thief when he knew that he would never get caught. Plato therefore argues that without accountability for our actions, we would all behave unjustly. Morality and Accountability therefore come from full disclosure. But our governance systems have been greatly and generally influenced by the Official Secrets Act which binds government servants not to disclose any matter. And of course, we have inherited this from the British legacy.

4.   The RTI Act has to some extent brought a change and Section 4(2) of the Act provides for suo motu disclosure within 120 days of the enactment. But still Civil Society Organizations complain that there are a large number of government departments and organizations which have not complied with the important provisions of the Act. Section 4(2) of the Act says that it shall be a constant endeavour of

every public authority to take steps in accordance with the requirements of Clause D of Sub-Section 1 to provide as much information *suo motu* to the public at regular intervals through various means of communications including internet so that public have minimum resort to the use of this Act to obtain information. We all know how much information is *suo motu* furnished by the departments. But our thinking even today is to resist disclosure and find some reasons or excuses for either rejecting the application for information or to give as less information as possible.

5.   I would like to share with you a case which would reveal how officials tried to prevent disclosure of information. There was an RTI application asking the Public Information Officer or the Department to disclose the Government Order, under which the land was allotted for a particular project.The terms and conditions of the MOU, the financial support extended by the Government and the time frame for completion of the project. So, when the file was put up, the Secretary of the Department took a stand that information need not be provided since the applicant had not given the reason for seeking the Information. I am talking about a Live Case. I don't want to disclose. He sent the file to the Law Department suggesting that the application could be rejected as the applicant has not cited the reasons for seeking that particular information. The Law Department opined that the Act does not state anywhere that reason for seeking information need to be given. Then the Secretary sent the file to the Personnel and Administration Reforms Department saying that this application has been engineered by one of the persons who did not succeed in getting the projects and that the matter is in the court and that the government has a three hundred crore stake in this project. And therefore this Information need not be disclosed. This is the typical attitude of an average public servant even after six years of the enactment of the RTI.

6.   Therefore, the first and fundamental requirement for improving Social Accountability is enforcement of full disclosure. The second point I would like to put forth in the context of Social Accountability is increasing citizen centric focus. One step that has been taken in this direction is the introduction of Citizens Charter in many government departments and organizations. But these Citizens Charters have to go a long way in improving the quality of service delivery and in ensuring that the Citizens get their entitlements. One measure that could be thought of is to formulate a Citizens Charter in consultation with the stakeholders, give wide publicity and enforce the Charter including legal provision i.e. penal provision. There should be periodical revisions and third party evaluation.

7.   My third point is regarding the discretionary powers exercised by political executives and also bureaucrats. Reduction or ideally total removal of discretionary powers is very much required for improving Social Accountability. In spite of the licensing system having been abolished, the political executives and bureaucrats continue to exercise and enjoy considerable amount of discretionary powers. Building permissions, exemptions, connections, allotment of houses, quarters etc., are some of the examples. Invoking the inherent powers of government to relax and exempt leads to lack of accountability in our action. Therefore, reduction or total removal of discretionary powers is desirable.

If Social Accountability has to become more meaningful, there has to be much faster devolution of powers to the appropriate levels as envisaged in the Constitution.

8. We all know that we have introduced as Third tier, Panchayat Raj System in our country way back in 1993. But even after so many years, barring a few states, there has been a general reluctance on the part of the State government and the bureaucracy to part with power, to delegate power. If administration is taken to the people, there will be much more accountability. This means greater participation of people. And when it comes to participatory development, we know where we stand. And may be, today JS(Rural Development) will be making a presentation where I think the results of or the type of participation which we have been able to manage will be visibly coming out from the data which will be presenting before you. Although, social audit provision is there in most government programmes, particularly the most lauded programmes like the MG NREGA and other programmes, we know, the social audit, the way it is conducted is not very effective and is not taken up on a massive scale. Therefore, social audit mechanisms are to be strengthened. And unfortunately, the problem is that people who have to audit are not properly equipped fully to do a proper audit. And of late, it is also very sad that we hear about stories of social activists who facilitate social audit getting harassed or even killed. So, these are issues which have to be kept in view when we consider issues of social accountability. It is also very important that there is a closer interface between the citizen and the delivery agents / implementators and others to bridge the gap that exists, to bridge the confusion.

9. In seeking Information, the major problem we find that the people who are to seek information do not know what kind of information is to be sought and even when they get information, they don't know how to use information. Therefore, capacity building of these people, the stakeholders becomes a very major factor in our march towards better social accountability. In this context, institutions like the National Institute of Rural Development and various state institutes and other organisaitons can play a very effective role and it is a very very enormous task and I am sure enough attention will be given to this issue of capacity building.

10. Today all of us know that media is playing a very important role in presenting things and reaching Information to the people quickly. In a number of cases it has done good job except in certain occasions when things are distorted. But effectively used media can also play a major positive role in building up and improving social accountability.

Speech of Chairperson Shri Ramesh C Misra

Secretary, AR&PG

Shri C.K Mathew, Director General of National Institute of Rural Development, Shri Kush Varma, Director General of National Institute of Administrative Research, Mrs Vandana Jena, Additional Secretary in the Planning Commission, Shri P.K Jha, Joint Secretary in my department, senior officers from Ministries and Departments of Govt of India, senior officers from the State Govts., distinguished guests, ladies and gentlemen. First, I would like to say that Hon. Minister MOS(PP) Shri. Narayansamy was to come today and inaugurate this workshop. However due to urgent responsibilities at Itanagar, he could not make it. He has conveyed through me his best wishes for successful workshop. He has provided us the initial inspiration for organising this workshop.

2.   I would only give you a bit of background of why we have organized this workshop today. The Department of Administrative Reforms and Public Grievances, in its efforts to support improvements in programme implementation and public service delivery affecting the poor had launched the Capacity Building for Poverty Reduction Programme (CBPR) with the assistance from DFID. Social accountability initiatives are derived from the core goals of poverty reduction and effective and sustainable development.

3.   The three main arguments underlying the importance of social accountability are improved governance, increased development effectiveness and empowerment of the people. Social accountability mechanisms refer to a broad range of actions that citizens, communities and civil society organizations can use to hold govt. officers accountable. These include citizen participation in public policy making, participatory budgeting, public expenditure tracking, citizen monitoring of public service delivery and advocacy campaigns. We have taken up a study in the Department of Administrative reforms on social accountability mechanisms. We should explore ways and means of enhancing the ability of citizens, especially the poor and the marginalized to engage with public servants and politicians in a more informed, direct and constructive manner so that the services under the social sector programmes are effectively delivered. The National Institute of Administrative Research which is a unit of Lal Bahadur Shastri National Academy of Administration was entrusted with this assignment for developing the necessary generic tools and framework relating to social accountability which could be adopted in various social sector schemes and programmes of the government of India as well as the State Governments. One of the key deliverables of the study was how social accountability mechanisms could be mainstreamed into the design and implementation of the national programmes. The tool and framework developed were used to assess field realities of the two ongoing programmes. One was National Rural Health Mission (NRHM) and the second one was Sarva Shiksha Abhiyaan (SSA), in three states of Kerala, Uttarakhand and Bihar to serve as an input in developing a generic social accountability framework with potential for application across various national and state programmes in the future.

4. These states were first, last and medium performing states under these schemes. In each state under the study, 3 districts, 9 blocks and 27 villages were selected. And some of the conclusions briefly are the awareness of programmes in Sarva Shiksha Abhiyaan ranged between 73 per cent to 94 per cent while in the National Rural Health Mission it ranged between 23 per cent and 30 per cent. The states of Uttarakhand and Kerala has greater awareness levels compared to the state of Bihar. The social audit mechanism was weak in both the programmes. The satisfaction levels of people ranged between 5 per cent and 40 per cent. A great majority of population was only partially satisfied or even dissatisfied in both the schemes. There was a lack of effective training for the implementing officials and there was a disconnect between the needs and allocations. The National Institute of Administrative Research have developed certain tools after making this study and basically these are Citizen Report Card as a social audit tool, participatory performance monitoring tool, public expenditure and input tracking format and assessment of infrastructural development. The report has ascribed the social accountability failures to mainly two paradigms, one is the voice failure corresponding to a lack of awareness of the beneficiary population and the other is a compact failure, corresponding to the weakness of the institutional design of the programme that has failed to create optimal delegation and incentive structure in which accountability would be possible.

4.1 A series of meetings and workshops were also organized and were attended by stakeholders, social workers, NGOs and some representatives of the Ministries and Departments for deciding the methodology and finalizing this report. The report presented by the NIAR on social accountability mechanism takes into account the failures in the prevailing system relating to the NRHM and SSA. It has also suggested the mechanism for institutionalizing social accountability. Briefly, the recommendations for the policy design are first is, decentralization, which means activity mapping. For each scheme, a detailed activity mapping exercise should be carried out following the principle of subsidiarity, which means whatever can be done at the local level must be done only at the local level and not at a higher level of decision making. Then information and awareness, enforcing pro-active disclosure of information, compliance with Section IV of the RTI Act must be strictly enforced and detailed guidelines should be developed with regard to specific kind of information which has to be disclosed pro-actively. The third one is capacity building and mobilization, which includes training and community mobilization.

5. Then comes grievance redressal; a clear redressal procedure. Every scheme must have a clear procedure for grievance redressal. The website for the scheme must include an online portal for grievance redressal which includes all the details. The social accountability tools can be made as mandatory in the programme guidelines. Every scheme must be required to include social accountability tools in its implementation and needs to be specified as mandatory in the guidelines. The choice of this tool depends on the context, the state of service delivery etc. For instance, in schemes that have a large public impact, social audits could be made mandatory. We have shared this report with the Planning Commission, the Ministry of Finance and other Ministries and Departments which are concerned with the social sector projects with the request that the tools which have been suggested in the report may be incorporated in the programme design so that the delivery of services to the intended

beneficiaries is optimal. However, there is a need to further spell out the tools in terms of specific operational parameters and this national workshop provides a great opportunity to learn from the experiences of the participants who have gathered here from all corners of the country. This will enable us to finalise the social accountability tools for the year's social sector schemes. I would also take this opportunity to draw attention to the issue of mindset and attitude of government servants and reiterate an often repeated saying that reform begins at home. It is we, who should transform ourselves through introspection and learning from people.

5.1   Harivansh Rai Bachchan once wrote a memorable line, "Hai andheri raat par diya jalana kab mana hai". The night is dark but who has prevented you from lighting a lamp. We can reposition ourselves as true Karmayogis and soldiers of service to the humanity. The present workshop is therefore an opportunity to discuss various initiatives in the field of social accountability and adhere to the same as mandatory parameters as part of the policy for project formulation so that we may have a uniform system of application of social accountability in the social sector projects of the Centre as well as of the State Governments. We propose to place the recommendation of this workshop before the Committee of Secretaries (CoS) in the Government of India which is chaired by the Cabinet Secretary for mainstreaming the same in social sector schemes by suitable guidelines to be issued by the Planning Commission and the Ministry of Finance.

6.   I must mention how overwhelmed I am about the response that we have received for this workshop. Senior officers of the Central Governament, Ministries and Departments and State Governments, in charge of Rural Development, health, sanitation, urban development, education, minority affairs, have all attended in large numbers. We also have Additional Secretary of the Planning Commission, We also have Director General of National Institute for Administrative Research and that shows how deep an interest people are taking in this subject and how much responsive they are about developing social accountability tools in their programmes. We are also grateful to NIRD, and especially to the Director General Shri Mathew who is a great friend of mine for having made this workshop possible.

7.   Friends, social accountability is not merely about frameworks and methods. It is more substantially about public servants having social awareness and true love for the people and be with them in their hours of joy and sorrow. Whether we are in the field or in the Secretariat, we need to imbibe and maintain a true spirit of service to the people.

PROGRAMME SCHEDULE

Time	Particulars
9.00-9.30	Registration
9.30-11.05	Inaugural session
9.30-9.35	Welcome & Introduction to workshop – Dr. M.V. Rao, Deputy Director General, NIRD
9.35-9.50	Presidential Remarks – Shri Mathew C Kunnumkal, Director General, NIRD
9.50-10.05	Inaugural Address – Shri Ramesh C Misra, Secretary, Deptt. of AR&PG

10.05-10.30	Presentation on Framework for Social Accountability & issues for discussions
	– Shri Kush Verma, DG, NIAR
	        Ms. Yamini Aiyar, Director, Accountability Initiative, CPR
	        Dr. B.S. Bisht, Project Coordinator, NIAR

10.30-10.45	Perspective of Planning Commission on Social Accountability – Ms. Vandana Jena, Sr. Advisor, Planning Commission
10.45-11.00	Perspective of NIRD on Social Accountability – Dr. R.R. Prasad, Prof. & Head (CESD) – Dr. K. Hanumantha Rao, Prof. & Head (CWEPA)
11.00 to 11.05	Vote of Thanks Shri P. K Jha, Joint Secretary, Deptt. of Admn. Reforms & PG
11.05-11.30	Group photo & High Tea
11.30 -13.30	Presentation of papers on MNREGA, NRLM, SSA & MDM with perspective on Social Accountability Chairman: Shri Ramesh C. Misra, Secretary, Deptt. of AR&PG
11.30-12.00	MNREGA / NRLM – Shri Niten Chandra, JS, Ministry of Rural Development and his team – Screening of Film
12.00-12.20	Social Audits under MNREGA – Ms. Soumya Kidambi, Director, SSAAT
12.20-12.40	– SSA Ms. Anita Kaul, AS, M/o HRD
12.40-13.00	– ASER Shri R. Bhattacharya, Director, ASER, PRATHAM
13.00-13.15	– MDM Dr. Amarjeet Singh, JS, M/o HRD

13.15 – 14.15	LUNCH
14.15-15.30	Presentations of papers on NRHM, Panchayat, JNNURM, ICDS Chairman: Shri Ramesh C Misra, Secretary, Deptt. of AR&PG
14.15-14.25	JNNURM (Infrastructure) –Shri N. Venugopalan, Director, MOUD
14.25-14.40	Urban Basic Services (JNNURM) – Shri Vivek Nangia, Director, M/O HUPA
14.40-15.00	– NRHM Shri S.S. Yadav, Director, M/O Health
15.00-15.15	– Panchayat Shri Rajiv Sharma Pr. Secretary, Panchayat, Andhra Pradesh,
15.15-15.30	ICDS –Ms. Rupa Dutta, Director, M/o WCD
15 .30-15.45	TEA
15.45-16.45	Discussion on presentations and sharing of views by delegates Chairman: Secretary, DAR&PG
16.45 – 16.55	Summing up – Shri P. K Jha, Joint Secretary, Dept. of Admn. Reforms & PG
16.55-17.00	Vote of thanks – Dr. M.V.Rao, Deputy Director General, NIRD

Workshop Coordinators - Dr. K. Hanumantha Rao of NIRD and

Shri S.A.Rahim, Deputy Secretary, Deptt. of AR&PG

Abbreviations

NIAR : National Institute of Administrative Research, Mussorie; **CPR:** Centre for Policy Research, New Delhi: **MoRD:** Ministry of Rural Development, New Delhi; **CESD:** Centre for Equity and Social Development; **CWEPA:** Centre for Wage Employment and Poverty Alleviation; **SSAAT:** Society for Social Audit, Accountability & Transparency; **HRD:** Ministry of Human Resource Development; **HUPA:** Ministry of Housing & Urban Poverty Alleviation; **MoUD:** Ministry of Urban Development; **ASER**: Annual Survey of Education Report; **WCD:** Ministry of Women & Child Development.

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Part-3

LIST OF PRESENTATION

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Building a Framework for Social Accountability

Yamini Aiyar
The Accountability Initiative

Outline of the Presentation

- Definitions
- Framework for Social Accountability 1:
  Getting the Institutional Design Right
- Framework for Social Accountability 2:
  Strengthening Citizen Voice
- Implementing Social Accountability
- *Experiences from the ground*
- Vulnerabilities and Challenges
- Institutionalization: Some Policy Considerations

Social Accountability: Some Definitions

- *Accountability*: The obligation of those in power to take responsibility for their actions

- *Social Accountability* : **An approach towards ensuring accountability that emphasizes civic engagement**, i.e., in which ordinary citizens and citizen groups participate directly or indirectly in exacting accountability.

- *2 crucial elements*: State as a 'willing accomplice' gets its internal house in order + adopts mechanisms for external accountability

Ensuring Social Accountability: The Long Route
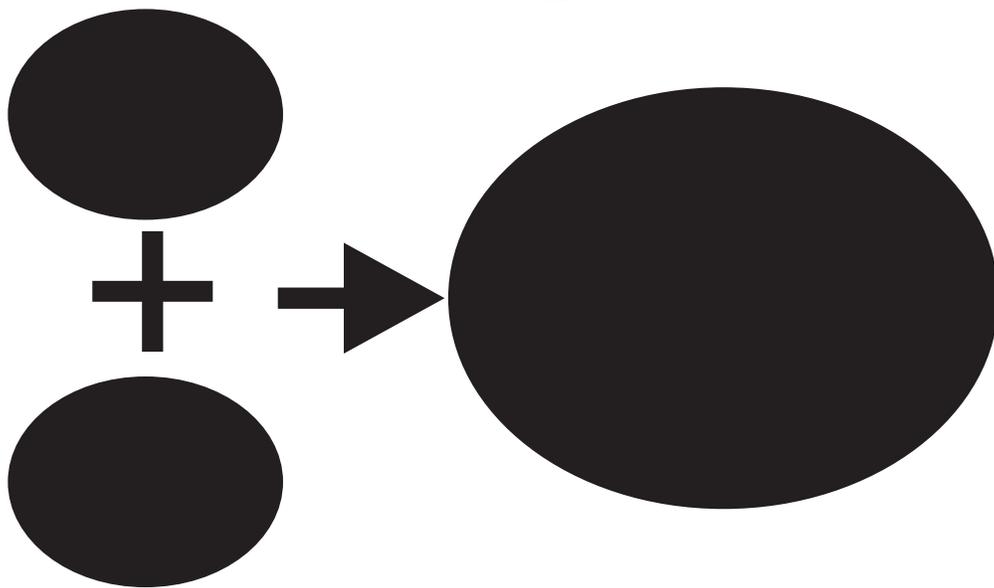
Ensuring Social Accountability:
The Long Route

Voice: The ability of citizens to articulate their needs to policy makers (citizen engagement with the state)

Compact: The ability of policy makers to transmit this voice onto service provision, and create incentives within the system for service delivery to reflect citizen voice (institutional design)

Ensuring Social Accountability:
The Long Route

Social Accountability :

A system of institutions designed in a manner that makes accountability structurally possible, *and an informed and mobilized citizenry that can draw upon platforms for engagement to make accountability demands on the system.*

**Ensuring Social Accountability:
The Long Route**

Social Accountability :

*A system of institutions designed in a manner that makes accountability structurally possible, and **an informed and mobilized citizenry that can draw upon platforms for engagement to make accountability demands on the system.***

Developing a Social Accountability Framework

Social Accountability Framework 1: Getting the Institutional Design Right

---

Getting the Institutional Design right: Revisiting First principles

1. ***Clear articulation of goals that focus on improved outcomes*** – Shift in focus from Inputs to Outcomes

1. ***Clear lines of accountability and rational delegation of roles:*** No overlapping roles and responsibilities, distinction between entity that sets goals and monitors, and entity that implements programs

2. ***Autonomy of the service provider:*** To take decisions on the ground that reflect local needs

3. ***Generation of better quality information and performance benchmarking:*** To monitor performance and plan efficiently

4. ***Aligning incentives with performance:*** To ensure outcomes

Social Accountability Framework 2: Strengthening Citizen Voice

Strengthening citizen voice

1. What can the state do to facilitate strengthening of citizen voice more *generally?*

2. Adopting social accountability tools: Lessons from experience

Common building blocks of SAc efforts
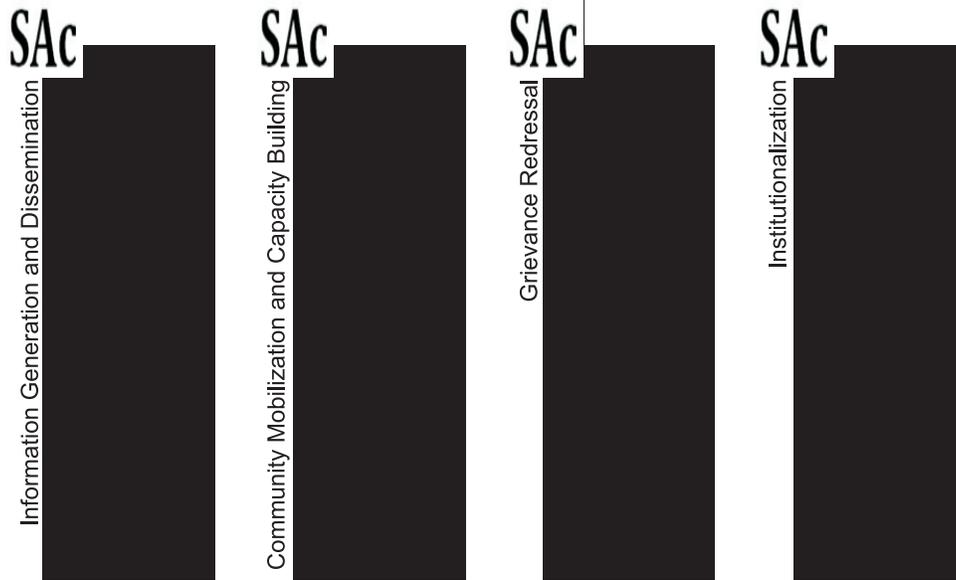
SAc — Information Generation and Dissemination

SAc — Community Mobilization and Capacity Building

SAc — Grievance Redressal

SAc — Institutionalization

Common building blocks of SAc efforts - 1

SAc — Information Generation and Dissemination

Common building blocks of SAc efforts - 2

SAc

Community Mobilization
and Capacity Building

Common building blocks of SAc efforts - 3

SAc

Grievance Redressal
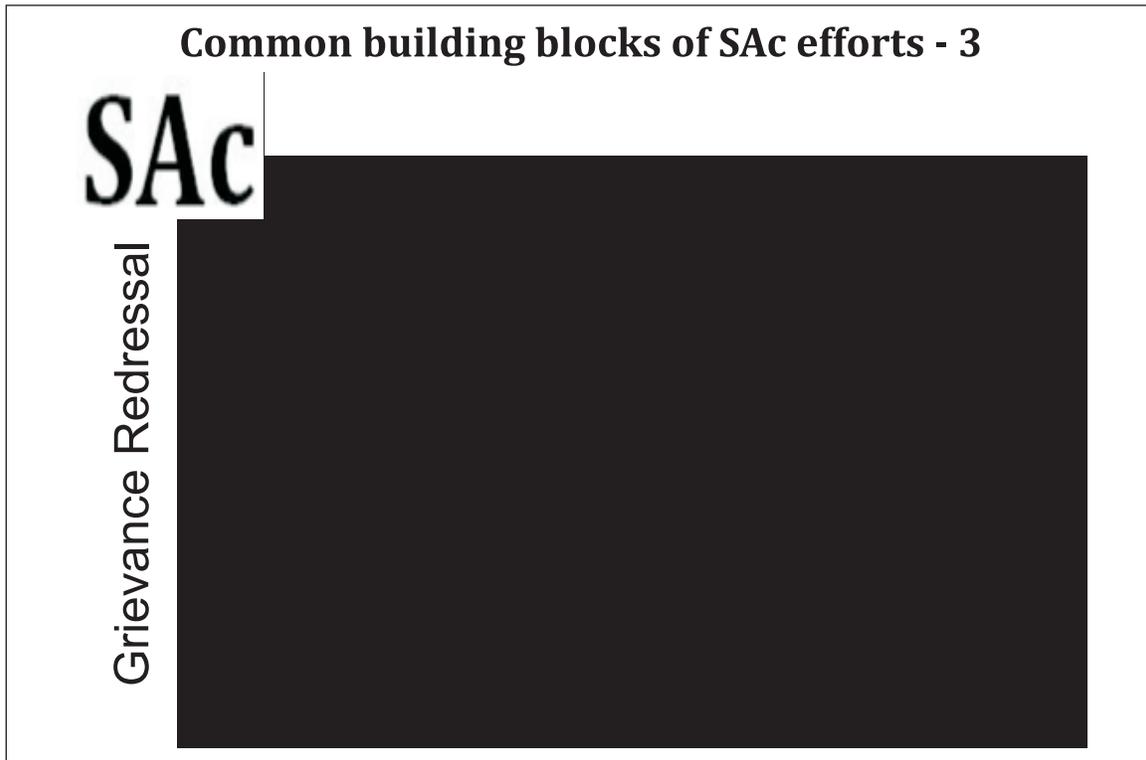
Common building blocks of SAc efforts - 4

SAc

Institutionalization

Social Accountability Tools

Multitude of Social Accountability tools

-Participatory Budgeting
-Social Audits
-Participatory Planning
-Public Expenditure Tracking Surveys (PETS)
-Citizen Report Cards (CRCs)
-Citizen Score Cards
-Budget Analysis
-Citizen-based Vigilance Committees
-Participatory Research for Evaluating Outcomes

Mapping Social Accountability tools: Stages of service delivery

Stage of Service Delivery	Examples of SAc tools used
Planning and Design	-Participatory Planning -Participatory Budgeting
Outcome Evaluation	-Participatory Research for Tracking Outcomes -Citizen Report Cards (CRC)

Implementing SAc: Some Examples

- Participatory Budgeting: Involving citizens in determining resource allocation (Porto Alegre, Brazil)

- Tracking Expenditures: Involving citizens in monitoring fund flows (PAISA in India)

- Citizen Report Cards: Tracking citizen satisfaction levels, (CRC in India)

Which tool to apply where?
Social Accountability Tools and Context Specificity

•Identify the nature of the
accountability problem

•Assess the level of community
mobilization

•Assess the extent of civil society
presence

•Assess the skills required and skills
available for the implementation of a
specific tool

Social Accountability Initiatives: Challenges and Vulnerabilities

• Resistance to reform, risk of collusion and co-option

• Disruption by powerful vested interests

• Lack of support from government agencies, and lack of effective grievance redressal

Some policy considerations to overcome the challenges and vulnerabilities

- Making Social Accountability mandatory in policy design

- Developing and monitoring norms and guidelines on what constitutes a Social Accountability initiative

- Strengthening Section 4 of the RTI

- Capacity Building

Thank You!

Presentation 1-b

What is PAISA

> And effort to promote transparency and accountability in public expenditure management for service delivery by:

> > Developing tools to track fund flows and implementation processes

> > Disseminate tools and data on fund flows and implementation processes to strengthen planning process

> > Build capacity to track processes: 'fiscal detectives'

Key Products

PAISA Survey: Tracks funds at the school level

- **National School Level**
    - ❏ Covers over 13000 government schools in India
    - ❏ Tracks school level SSA grants
    - ❏ Survey done by citizen volunteers over a 3 month period
    - ❏ In collaboration with ASER survey
- **In-depth tracking surveys (10 districts– District Report Cards)**
    - ❏ Tracking fund flows from district to schools
    - ❏ School analysis includes state schemes.
    - ❏ Average sample size -140 schools per district
    - ❏ AWP analysis: Annual analysis of SSA AWP

Our Basic Questions

- Does money reach schools?
- If so, when does the money reach?
- Do they get their entire entitlement?
- Who has information about funds?
- When schools receive money do they spend it?
- If so, what is the outcome?

THE PAISA NATIONAL REPORT 2010

What we track?

- School grants
  - ☐ School Development Grant (SDG)
  - ☐ School Maintenance Grant (SMG)
  - ☐ Teaching Learning Material Grant (TLM)

- SDG, SMG and TLM are given to all government schools in India as per Sarva Shiksha Abhiyan (SSA) norms

- Enables us to compare fund flow, utilization and outcomes across states

National Picture

India snapshot

Table 1: SSA Allocation and Expenditure				
	2008-09		2009-10	
	Allocation	Expenditure	Allocation	Expenditure
SSA (In Crore)	24,592.84	19,322.48	27,876.29	20,658.15
School Grants We Track (In Crore)	1,586.23	1,486.56	1,635.32	1,555.75
Per District Allocation (In Crore)	39.29	xxxxx	44.53	xxxxx
Per Child Expenditure (Rs)	xxxxx	1,450.55	xxxxx	1,550.81

Money arrives

About 84% Schools report receiving grants in 2009 -10

Schools Reporting Receipt of Grants (Full FY)

Bar chart showing:
- Maintainence Grant: 2008-09 = 77, 2009-10 = 85
- School Grant: 2008-09 = 71, 2009-10 = 81
- Teacher Grant: 2008-09 = 83, 2009-10 = 87

Legend: ■ 2008-09 □ 2009-10
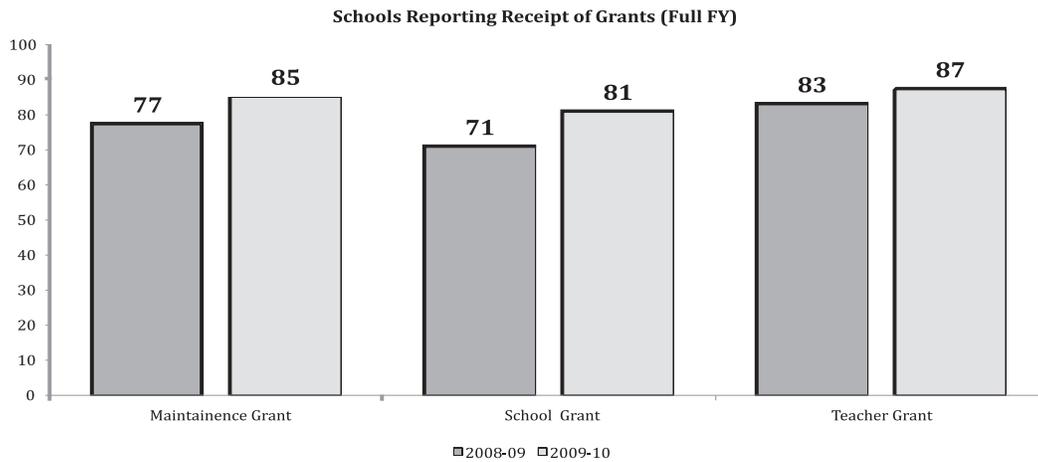
But rarely on time

About 60% schools reported receiving grants at the time of the survey in 2010

Schools Reporting Receipt of Grants (Half FY)

Bar chart showing:
- Maintenance Grant: 2009-10 = 53, 2010-11 = 60
- School Grant: 2009-10 = 49, 2010-11 = 59
- Teacher Grant: 2009-10 = 59, 2010-11 = 61

Legend: ■ 2009-10 □ 2010-11
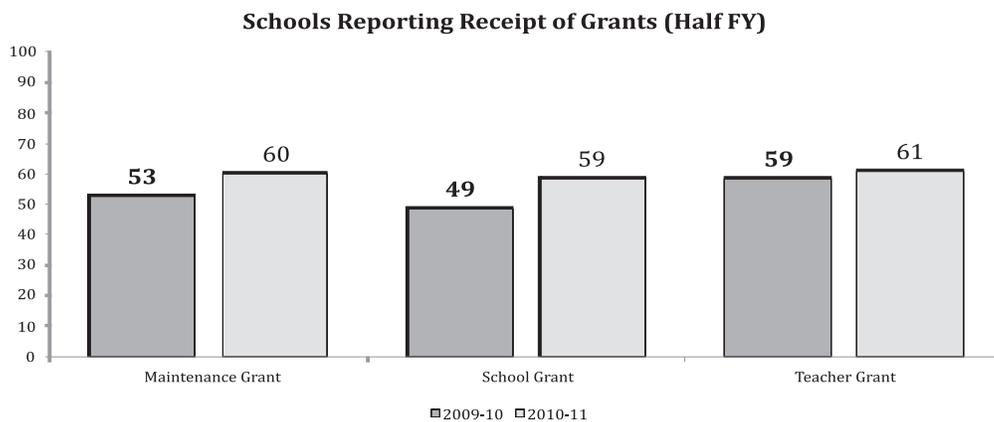
Schools don't always get their complete share...

68% Primary and 70% Upper primary schools report receiving all 3 grants

Primary Schools

4
9
19
68

■ All 3 Grants   ■ 2 Grants
■ 1 Grant   ■ No Grant

Upper Primary Schools

2
10
17
70

■ All 3 Grants ■ 2 Grants ■ 1 Grant ■ No Grant
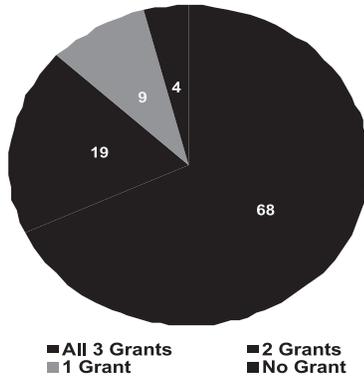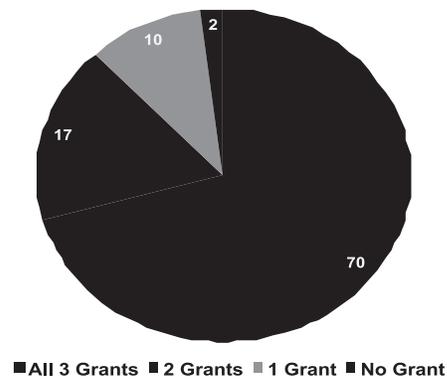
And most grants come in last six months...

■ 44 percent of primary and 56 percent of upper primary schools said they did not receive any of the three SSA grants half way through the financial year

Primary Schools : Half Year

29
44
12
15

■ All 3 Grants   ■ 2 Grants   ■ 1 Grant   ■ No Grant

Upper Primary Schools :Half Year

20
10
56
14

■ All 3 Grants ■ 2 Grants ■ 1 Grant ■ No Grant
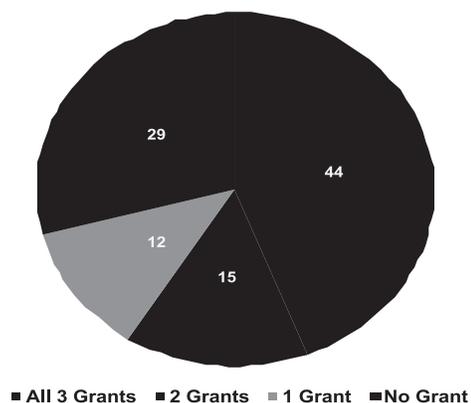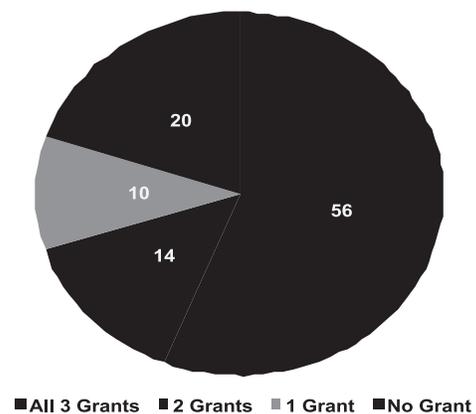
Some States do Better than Others

Top 5 States			
2008-09 (Full FY)		2009-10 (Full FY)	
State	% Receiving All 3 Grants	State	% Receiving All 3 Grants
Nagaland	85	Nagaland	88
Karnataka	76	Karnataka	87
Himachal Pradesh	70	Andhra Pradesh	85
Andhra Pradesh	69	Maharashtra	85
Maharashtra	67	Himachal Pradesh	83

Some States do Better than Others

Bottom 5 States			
2008-09 (Full FY)		2009-10 (Full FY)	
State	% Receiving All 3 Grants	State	% Receiving All 3 Grants
Rajasthan	37	Arunachal Pradesh	60
Mizoram	36	Sikkim	57
Tripura	34	Rajasthan	55
Manipur	27	Tripura	47
Meghalaya	23	Meghalaya	23

When the schools do get their money...

- Over 90 percent of schools spend it
- Most of the expenditure is on essential supplies and whitewashing

But....

- Spending SDG/SMG does not mean there are usable facilities
  - □ Barely have of India's elementary schools don't have usable toilets (either locked or unusable)
  - □ 74% have drinking water facilities

What we have learnt...

- **Institutional constraints:** Tied funds, unpredictable fund flows, limited funds

- **Capacity Constraints:** low absorptive capacity to spend money, weak planning capacity

- **Information Constraints:** Lack of information on resource flows, roles and responsibilities, need for more capacity building training

What we have learnt...

- Fund tracking at scale is possible and CAN be done by ordinary citizens

- But it requires persistent engagement with government to understand processes and resource flow structures

- To effect local accountability, it must be made accessible to users of services

Social Accountability Mechanism

Planning Commission

Ms Vandana Jena, Sr. Adviser

Social Accountability

- Social Accountability implies the engagement of civic organizations to express demands for public service and exact accountability from local service providers to improve service quality.
- It is being increasingly recognized by state and non state institutions as a means of enhancing democratic governance and improving service delivery.
- It refers to a broad range of actions and mechanisms that citizens, communities, independent media, and civil society organizations use to hold public officials and public servants responsible.

Planning Commission and Social Accounting Mechanism

- The presentation will focus on Planning Commission and:
- Participatory district planning.
- Gender sub plans.
- Social Audit.
- Public Expenditure Tracking System
- New consultative approach to the 12[th]Five Year Plan
- Setting up a Grievance Redressal Mechanism for handloom weavers.

Participatory District Planning

- Planning Commission issued guidelines for preparation of District Plans on 25th August 2006.
- Subsequently a Task Force was set up for the preparation of a Manual for Integrated District Planning, which was released by the Prime Minister in January 2009.

- The Manual gives the processes for preparing a participative district plan.
- The district planning approach involves people at the grassroots level and hence reflects not only local needs but makes for local supervision and transparency.

- It is based on a stocktaking exercise which helps identify lead sectors as well as sectors which need special attention.

- Would ensure synergy and convergence between funds available from Central, State as well as other sources.

..

□ In most districts, Panchayati Raj Institutions are not involved in district planning.

□ Scheme specific 'District Plans' are being prepared, eg. BRGF district plan, Health district plan,

□ The resources which are likely to be available to the district are not communicated to the district level and below-hence most plans end up as wish lists.

□ The planning process is largely vertical and department-driven.

Main Steps in Preparing the Perspective Plan for the District

□ Stock - taking
□ Vision Building based on Stock -taking, National goals, and SWOT analysis
□ Communication of the district vision to each planning unit
□ Communication of the Government fund envelope
□ Setting priorities Planning Unit -wise
□ Bringing together the plans of smaller units
□ Integration into the district plan by the DPC
□ Establishment of monitoring systems and social audit mechanism

Envisioning Process

◻ Based on Stock-taking Report

◻ Identify lead sectors

◻ Develop a vision for:

- Basic rights and services

- Economic and social development

• Share the vision by putting it in the public domain and encourage debate

• Encourage all levels -Blocks, Municipalities, Gram Sabhas to develop their own image nested as far as possible in the district vision

Envisioning-Stakeholders

◻ Elected representatives

◻ District Administration and line departments

◻ Financial institutions

◻ Experts in economic and social development

◻ Large industries and undertakings private and public

◻ Railway/airport/highway authorities where relevant

◻ NGOs

◻ Special Interest Groups

Capacity Building for the Planning Process

◻ Orientation workshops for elected representatives and officials

◻ Strengthening of SIRDs/ATIs in terms of curriculum and staff training

◻ Identification of technical support institutions including local colleges so that they can provide support for gram panchayat and intermediate level planning

Monitoring Implementation

◻ Proactive disclosure of information-The projects being implemented and funded in a Village/block/district to be advertised on a board outside the relevant office and on the website.

◻ Access to all stakeholders.

◻ Regular review by DPC.

◻ Social Audit.

Gender Sub Plans

- Committee of Secretaries in its meeting on 1.7.2008 set up Sectoral Task Forces for development of Plans for Convergence and Coordination of Government Programmes/Schemes for gender equality and fighting social evils.

- As per the Meeting of the COS held on 5.6.2009 Planning Commission was to have separate gender sub plans prepared within the district plans of about 20 districts fixing certain milestones to be achieved within a fixed time frame to reflect gender convergence and impact of women empowerment initiatives at the field level.

- These Sub Plans covered the states of MP, Chattisgarh, Rajasthan, Orissa, Bihar, WB, Karnataka, Maharashtra, Gujarat and Nagaland.
- Planning Commission issued guidelines which provide a framework for preparing gender sub plans within the ambit of district plans.

Steps for preparation of Gender SubPlan

- Gender orientation and sensitization of government and non-government stakeholders.
- An analysis of the situation of women and men and girls and boys in each sector.
- Spatial Planning.
- Assessment of the extent to which the sector policy addresses the gender issues and gaps described in the first step.
- Envisioning and participation of stakeholders.

- Gender appraisal for all new programmes and schemes
- Preparation of Gender sub plan.
- Monitoring whether money was spent as planned, what was delivered and to whom
- Assessment of the impact of the policy/programme/scheme and the extent to which the situation as assessed in the stock taking exercise has been changed in the direction of greater gender equality.

Steps to ensure participation of women in envisioning and planning

- Following steps were suggested to ensure participation of women in envisioning and planning:
- Seek women's views in surveys, including through focus group discussions.
- Identify women community leadership and include in all committees formed under various sectors,
- Encourage elected women member networks to exert pressure and throw up leadership for plans with women's views embedded in them.
- Organize capacity building programmes on women's empowerment as a cross cutting theme so that development priorities identified by women are respected.
- Organize special capacity building for women belonging to traditionally muted and excluded groups.
- Organize separate meetings for women to identify issues that they might find uncomfortable to raise before a predominantly male audience.

Social Audit

◻ Planning Commission issued a letter to all the Central Ministries/Departments on 14th December 2009 reiterating the recommendation of the Standing Committee of Finance of Parliament for the Ministry of Planning in the Third Report to undertake Social Audit for all Centrally Sponsored Schemes.

◻ Planning Commission released funds to 4 states Nagaland, Punjab, UT of Dadra and Nagar Haveli and Sikkim in order to undertake social audit. The Social Audit was carried out for schemes like NREGA.

Norms for conducting Social Audit

◻ According to the Manual on District Planning; certain minimum norms should be evolved for the conduct of a social audit to ensure its credibility.

◻ Mandatory presence of all those who matter and also an unrestricted access to all those interested in joining;

◻ Clear objectives of the audit;

◻ Clear procedures, process and steps for conducting the audit, which are made known to all in advance;

- Unrestricted availability of all records/documents/specimens to be reviewed;
- Unrestricted right of questioning/commenting to all those present on the scene;
- Right to summon certain individuals/parties for the recordings their views/statements;
- Structured participatory exercises of valuation of works/services such as community score cards/ranking;

- Wherever possible, presence of trained observers not concerned or involved with the matters being audited;
- Careful documentation including notes, photographs, audio-video recordings, compilation of records/samples, etc., carried out by more than one person representing different parties in the audit process;
- Reconciliation and reconfirmation of minutes/decisionsthrough their open reading and discussion;
- Signatures/thumb impression of all concerned on minutes/decisionsof the audit.

Central Plan Scheme Monitoring System (CPSMS)

- Almost Rs.300,000 Crore is devolved to States annually through Centrally Sponsored Schemes (CSS), Central Sector Schemes (CS), Additional Central Assistance (ACA) & support to State Plan.
- CPSMS was introduced as a Plan Scheme of Planning Commission and was announced in FM's Budget speech of 2008-09.
  - To capture fund releases under all 1000 odd Plan Schemes of GOI and to track ultimate utilization at the ground level.

Central Plan Scheme Monitoring System (CPSMS)

- CPSMS tracks funds routed through treasury and SPV routes.
- All the Central Govt. Releases under Plan Schemes are routed through the portal.
- Information hitherto not available at all is now available at the click of a mouse at GOI level and soon will be placed in the public domain.

Achievements so far

- More than 1 Lakh Sanctions issued through the system involving Rs.5,63,000 Crores.
- More than 6 Lakh hits on the portal
- More than 55,000 Agencies registered on the system
- CPSMS-CBS Interface functional with first batch of 10 Banks
- Implementation started in Madhya Pradesh & Punjab under NRHM, in Bihar & Madhya Pradesh under NREGA & in Punjab under SSA.

Central Level

- Online real time information on expenditure and releases of all schemes of GOI.
- The system tracks each plan sanction from sanction generation to bill payment.
- Various user specific reports have been generated including
  - Releases to NER region
  - Scheme wise Bank balances
  - Sector wise expenditure (Statement 13)
  - Transfer to states and Union Territories (Statement 16)
  - Expenditure/releases in Flagship Schemes

The 12ᵗʰ Five Year Plan Challenges

◻ Planning Commission has adopted a new consultative approach while drawing up the twelfth Plan. Through a consultative process it has drawn up 12 Strategic Challenges viz.
◻ Enhancing the Capacity for Growth
◻ Enhancing Skills and Faster Generation of Employment
◻ Managing the Environment
◻ Markets for Efficiency and Inclusion

◻ Decentralization, Empowerment and Information
◻ Technology and Innovation.
◻ Securing the Energy Future of India
◻ Accelerated Development of Transport Infrastructure.
◻ Rural Transformation and Sustained Growth of Agriculture.
◻ Managing Urbanization.
◻ Improved Access to Quality Education.
◻ Better Preventive and Curative health Care.

Decentralization Empowerment and Information.

☐ The challenge on Decentralization, Empowerment and Information, listed below, dwells on the need for social accountability :

☐ Greater and more informed participation of all citizens in decision making, enforcing accountability, exercising their rights and entitlements, and determining the course of their life is central to faster growth, inclusion and sustainability. How can we best promote the capabilities of all Indians, especially the most disadvantaged to meet this end?

Consultative Approach.

☐ Over 900 CSOs across the country have participated in consultation during the preparation of the Approach paper.

☐ Consultations were held with various stakeholders including women, children, street children, urban poor, adolescent, disabled, tribals, dalits, religious minorities, transgender etc. Also industry associations and think tanks.

- Internet is being used for the first time to reach the broader community including several hundred sectoral experts. Planning Commission has launched a dedicated website http://12thplan.gov.in
- This site is also linked to Facebook. 32,000 netizens have visited the two sites and left many insightful comments.

- Regional Consultations have been planned in May 2011 in Delhi, Bangalore, Patna, Mumbai. The two day consultations will include
- Meetings with the State Chief Ministers and other officials.
- Meeting with PRI Representatives.
- Meetings with CSOs.
- Meetings with Academics, Trade Unions, Industry Representatives etc.

Key Message of the Consultations

- Key message of the Consultations include: Strong demand from all sectors of society to improve Implementation, Accountability and Service Delivery.

- Citizens Groups broadly support the stated objectives of existing government programmes. However, the design and institutional arrangements are weak. Greater devolution and empowerment needed.

- Government programmes need a new architecture: greater localisation, break-down of silos, feedback from citizens, and mechanisms for learning and sharing of best practices.

-

Governance and Empowerment

- Citizen feedback reveals general dissatisfaction with state of public service delivery. Total Quality Management needs to be introduced at all levels. Delivery and policy functions need to be separated in Government Ministries.
- Social Mobilisation: People should be active agents of change. Flagship programmes need to provide human and financial resources for social mobilisation, capacity building and information sharing.
- Professionally managed delivery organisations are needed with clear mandates and accountability. We need much better mechanisms for convergence of government departments on systemic issues.

- Devolution can be effective only if the autonomy of PRIs/ULBs is increased and their human resource capabilities improved.
- Mechanisms need to be created at all levels to understand the needs of vulnerable sections of the society and inform policy-makers
- Diagnostics of Failure and Mainstreaming of Success: horizontal linkages need to be created for exchange of information and best practices
- Institutional mechanisms for conflict resolution, particularly for land and water

Grievance Redressal mechanisms for Handloom Weavers

- Health insurance scheme is a component of the "Handloom Weavers Comprehensive Welfare Scheme" which provides health care facilities for the handloom weaver, his/her spouse and two children. The coverage is upto 15000/ with substantial provision for OPD and covers pre-existing diseases. The Scheme is implemented through ICICI Lombard.

- The Planning Commission advised the Ministry of Textiles to associate civil societies with the monitoring of the scheme to ensure that beneficiaries are not harassed in getting their benefits. Although the scheme has cashless provisions weavers may obtain health care benefits other than hospitals also and claim reimbursement.

- Ministry of Textiles has in 2010-2011 formed Grievance Redressal Committees for 20 states associating a representative from the Civil Society or an eminent person from the Area /State as Chairperson in order to ensure a fair deal to the weavers. The Grievance Redressal Committee consists of 3 persons- one representative from ICICI Lombard, one from the Ministry of Textiles and one from the Civil Society. Decision of the Grievance Redressal Committee willl be binding on ICICI Lombard.

THANK YOU

Presentation 3

THE NOTION OF 'RIGHTS HOLDERS' & 'DUTY BEARERS'

• A fundamental principle of democracy is that citizens have the *right to demand accountability and public actors have an obligation* to account.
• Those calling for an account are asserting rights of superior authority over those who are accountable".

Social accountability is closely related to rights-based approaches to development.

The role of the media
• The media plays a critical role in promoting social accountability.
• All successful social accountability initiatives is the strategic use of both traditional and modern forms of media to raise awareness around public issues, disseminate findings and create a platform for public debate.

Mobilizing around an entry point
The first step of almost any social accountability initiative is the identification of an entry point and the development of a strategy whereby a priority problem can be addressed.

Efforts to promote an enabling environment for civil society and to build the capacity (both organizational and technical) of CSOs are required.

Civil society demands for state accountability matter most when they empower the state's own checks and balances

The legal institutionalization of participatory mechanisms from the level of individual programs and agencies through to the overall system level should be considered as a means to enhance long -term effectiveness and sustainability.

Incentive Structure: Punishments or Rewards?
To what extent is the accountability mechanism oriented towards rewards or sanctions? Mechanisms relying too heavily on sanctions may threaten officials and cause paralysis. Rewards may not correct the behavior of bad apples. Some of the strongest accountability mechanisms rely on a balance of punishments and rewards.

Accountability: Rule following or Performance -based?
Some of the best pro -accountability strategies focus citizen participation both on enforcing rules *and* on improving performance.

Institutionalization: Low or High?
Many accountability mechanisms are ad hoc initiatives without being permanently embedded in the structure of the state. To what extent are participatory accountability mechanisms inscribed into law, requiring individual agencies or government as a whole to involve societal actors at specific moments in the public policy process?

Inclusiveness: Elitist or Inclusive?
There is a tendency of accountability mechanisms to only involve a small group of "well behaved" NGOs, middle class professionals, and centrist politicians. To what extent does the mechanism actually promote participation of groups with less voice or groups with alternative interests and ideological perspectives?

Social Accountability Mechanisms: Some questions to ask

• What is the mechanism and how does it work?
• Who or what interests initiated and supported it?
• Whose voice was articulated and by whom?
• What sector or service is addressed and at what level of government?
• What factors promote success or limit impact?
•To what extent does the mechanism build citizen voice and create strengthened connections between citizens and the state?
• What are the prospects for institutionalizing the mechanism?

Crucial Dimensions

1. Which ground rules of engagement are conducive to capacity development and are possible at a given point in time?
2. Which measures can increase transparency and access to information?
3. How can one establish facts and broaden evidence as an impartial basis for collective action?
4. Should regular monitoring and accountability mechanisms be institutionalised?
5. How can formal and informal access to recourse and arbitration be improved?
6. Which accountability loops could be moved closer to local people?
7. What communication/participation channels could be opened?
8. How can one support the capacity of people and community -based organisations to articulate their needs and claim their rights?

Some Diagnostic Questions

1.	To what extent are punitive or reward based incentives emphasized for public officials?
2.	To what extent are rule-following or performance based criteria the norm for the evaluation of public officials?
3.	What is the nature of the relationship between civil society and the state?
4.	To what extent are societal actors normally allowed to engage with the state? Is government generally open or very closed?
5.	What is the nature of societal participation? Is it broad-based or limited to a few elite groups or organizations?
6.	How do the executive, legislative and judicial branches compare in terms of accountability and openness?
7.	What are the preexisting demands and practices that support SA?
8.	Which groups and coalitions can be mobilized to support SA?
9.	What are some strategic entry points?

Presentation 4

Towards Effective Social Accountability - A Perspective

Prof.K.Hanumantha Rao

ROAD MAP

- SAc should be seen in 'Right' perspective- hold governments accountable even while expanding people's responsibility
- Strengthening of existing institutions(PRIs-3Fs,Gram sabha, CBOs)
- Integrating SA mechanisms into the functioning of institutions and programme design
- Enabling environment- RTI Act, Decentralisation and Devolution, Right based approaches, Grievance redressal system, incentive-disincentive system (performance linked);

- Integration of Special programmes with development plans-District Poverty Alleviation and Social Development Fund
- Capacity Development- Network of Training Institutions; ABC module and skill to conduct SAc tools and techniques; innovative training strategies
- Adoption of new work culture
- Focus on Awareness generation and Community Mobilisation for SAc

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- CIGs and Federations-Multiple fora for articulating demands and collective actions
- Cadre of Para professionals-guidance and counseling; administering SAc tools
- Facilitating role of NGOs and CSOs
- Regular interface sessions- officials and ERs with CIGs

- IT applications for PIME
- MIS- People centric

Deepening the democratic governance system and effective SAc

Thank You

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

Ms. Sowmya Kidambi, Director

SOCIETY FOR SOCIAL AUDIT, ACCOUNTABILITY AND
TRANSPARENCY (SSAAT)
GOVERNMENT OF ANDHRA PRADESH

SOCIAL AUDIT-INTRODUCTION

➢ Democracy implies participation

➢ A social audit is also contingent on participatory auditing.

➢ Social audit complements financial audit.

➢ Auditing quality, performance, and choices strengthens financial audit.

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

SOCIAL AUDIT
THE PROCESS & FORUM

> Convening

> periodicity

> Presiding

> quorum

> Participation

> presenting information

> taking decisions

> recording

> follow up and feedback

THE BEGINNING OF SOCIAL AUDITS IN AP – SPIU – RD

> 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

DIRECTOR, SSAAT

SOCIAL DEVELOPMENT SPECIALIST (1)

JOINT DIRECTOR –

STATE TEAM MONITORS (7 Members)

NGOs(450)

STATE RESOURCE PERSONS (70)

DISTRICT RESOURCE PERSONS (700)

VILLAGE SOCIAL AUDITORS (4-5 Per Gram Panchayat)
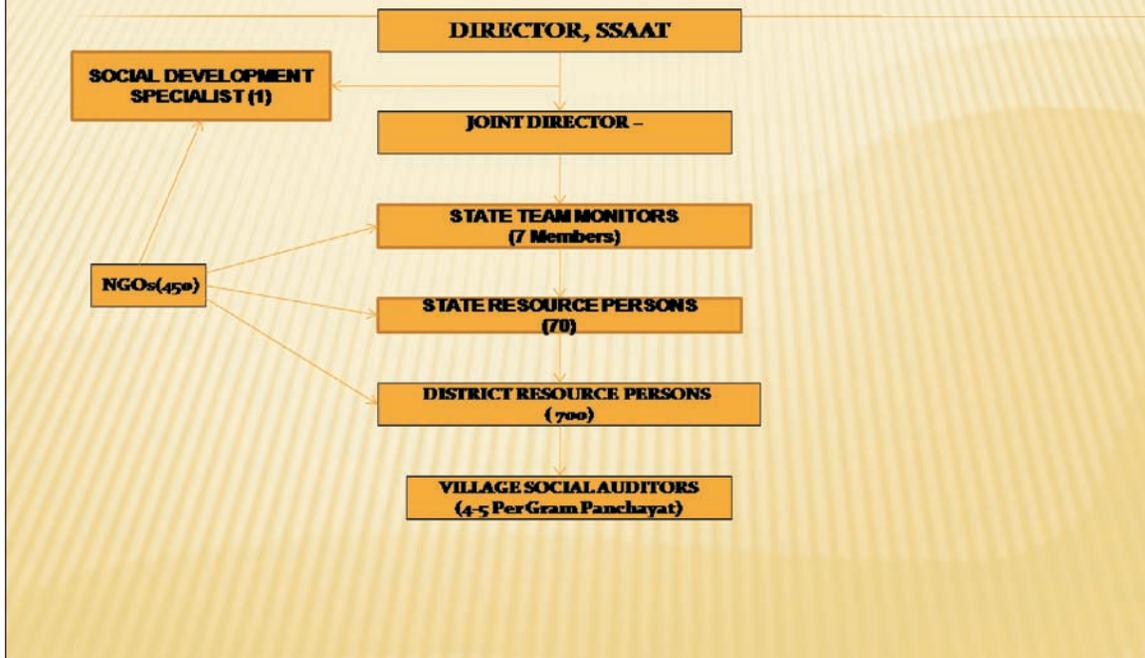
SELECTION OF RESOURCE PERSONS

➢ 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

SOCIAL AUDIT PROCESS

- Quarterly Schedule is drawn up

- 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

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

ADDITIONAL PROCESSES

➤ Each team does Social Audit in 2-3 gram panchayats

➤ 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

➤ Corrective measures are taken immediately by re-distributing Job Cards / Passbooks, facilitating applications for work etc.

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 NEGOTIABLES 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
- 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 :   1085

➢ No. of Mandals where 2nd Round SA has been conducted :   1085

➢ No. of Mandals where 3rd Round SA has been conducted   :   700

➢ No. of Mandals where 4th Round SA has been conducted   :   96

ACTION INITIATED

➢ Misappropriation identified : **Rs. 97,90,30,918**

➢ Total Amount Recovered : **Rs. 21,76,04,688/-**

➢ Total # of Staff committed irregularity: **35,715**

➢ Total # of Staff dismissed based on the SA findings   **: 9909**

➢ Total # of staff suspended   **: 815**

➢ Total # of FIR's filed   **: 616**

➢ Departmental Enquiries ordered: **2844**

IT IN SOCIAL AUDIT

- Exclusive web site for SA – 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

Presentation 6

शिक्षा का अधिकार

सर्व शिक्षा अभियान
सब पढ़ें सब बढ़ें

Where are we today in EE?

- We have nearly 20 crore children (18.7) in the 6-14 age group in the country

- Through DPEP, followed by SSA, a great many have been enrolled in schools

- But, drop out rate before the completion of 8 years of compulsory schooling is about 43%

- Non-enrolled and drop outs together constitute approximately half the total number of children in the 6-14 age group

Access, Equity, Quality

- The three constitute the elusive triangle of universal education

- Huge progress in providing physical access; access map

- Some innovations for quality- largely in the form of add-on material; not systemic reform

- Consistently high drop out rates suggest that access without quality 'pushes' children out of schools

- The first to get 'pushed out' are children from the deprived sections— poor, dalit, adivasi, and girls; so equity and inclusiveness suffer

Primary:
98% habitations
served within 1 km

Upper primary:
92% habitations
served within 3 kms

A
C
C
E
S
S

M
A
P

> 95
85 to 95
< 85

> 90
80 - 90
< 80

Concerns:
- Urban areas— paucity of land
- Sparsely populated, remote areas
- Areas of civil strife
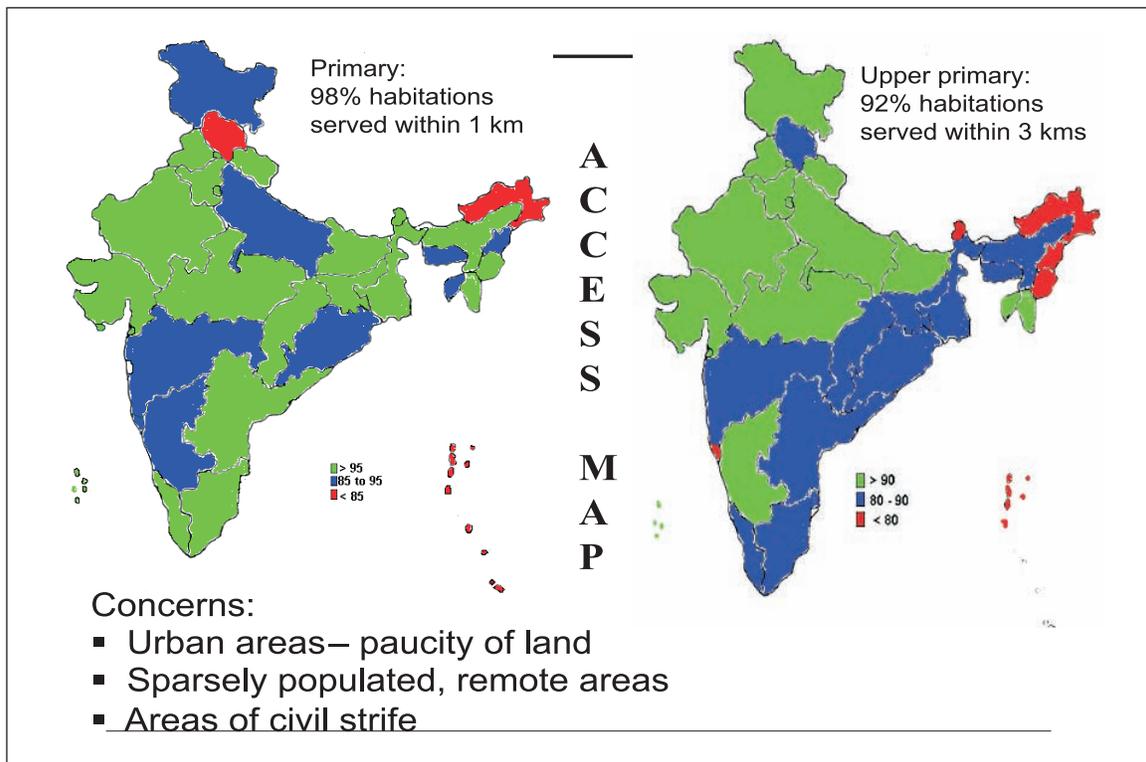
Out of School Children

- 3.2 crore Out of School Children as per Census 2001
- IMRB Sample Survey 2005 – 1.34 crore
- IMRB Sample Survey 2009 - 81 lakh
- Decline: from 28.5% (2001) to 4.2% (2009)

Positive trends in reduction

	Total	Girls	SC	ST	Muslim
2005	6.9 %	7.9%	8.1%	9.5%	10%
2009	4.2 %	4.6%	5.9%	5.2%	7.7%

Pie chart labels:
- UP 34%
- Bihar 17%
- Raj 12%
- WB 9%
- Orissa 5%
- MP 4%
- Assam 3%
- Others 16%
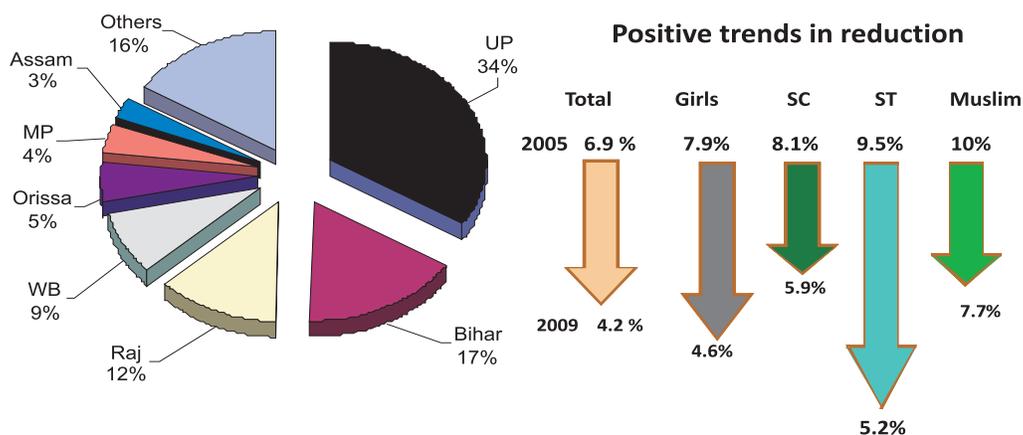
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Access, Equity, Quality

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Roll call

Universal Attendance

Primary

75%

75-80 %

80-90%

>90%

Bihar (42%)
U P (57%)

Map not to Scale

- Only 68% children attend school regularly

- SC, ST, Muslim children and girls at disadvantage

- Key Reasons
  - Migrate with parents
  - Ill health, discrimination, social distance
  - Dysfunctional schools; irrelevant teaching learning

Drop Out

Drop out
National Avg. 55

2002-03

Drop out
National Avg. 43

2007-08

< 46

46 - 56

> 56

< 46

46 - 56

> 56
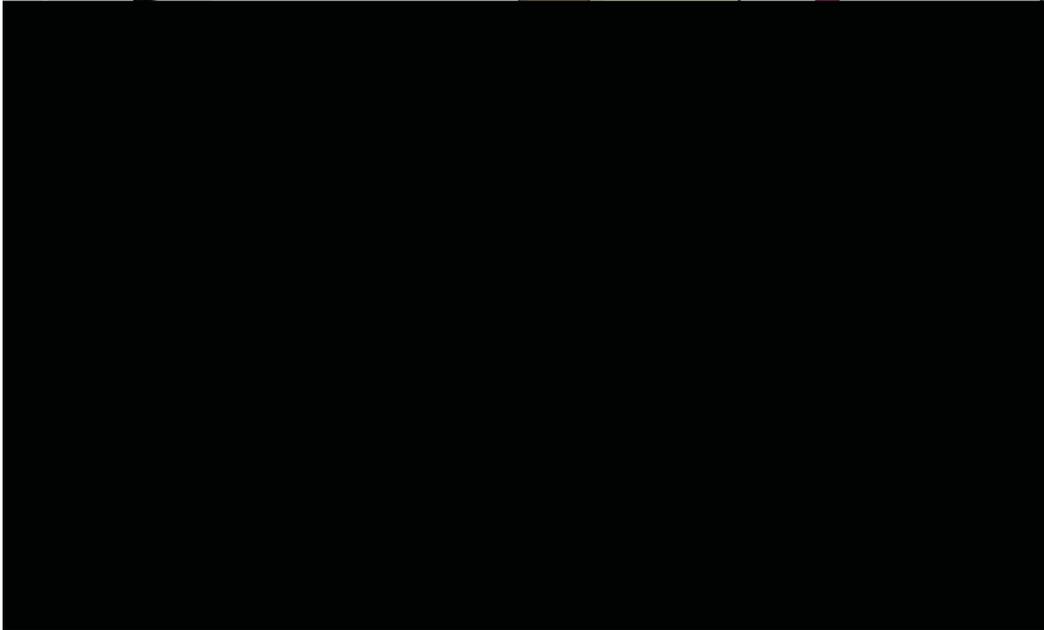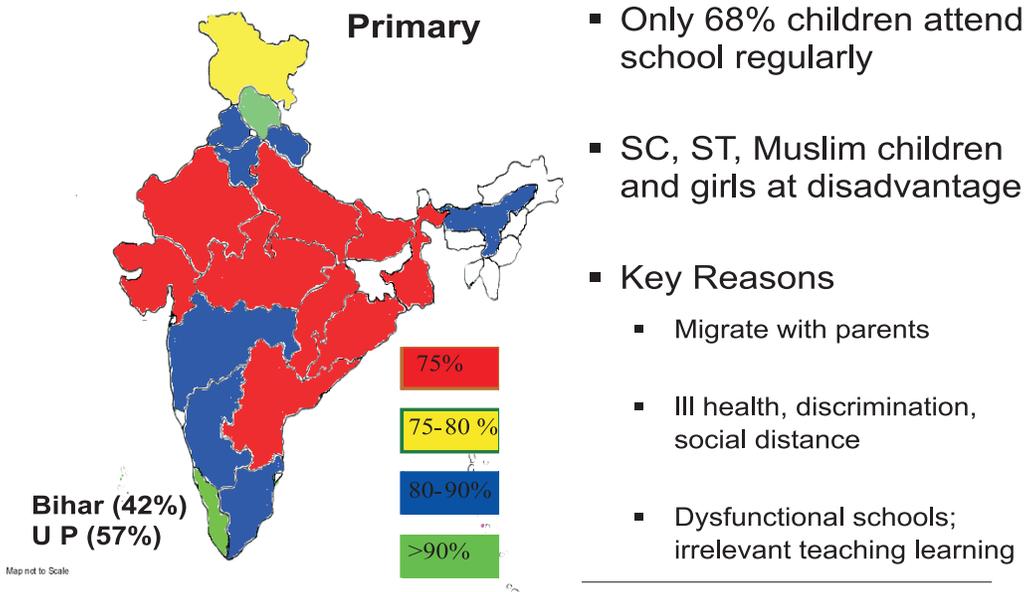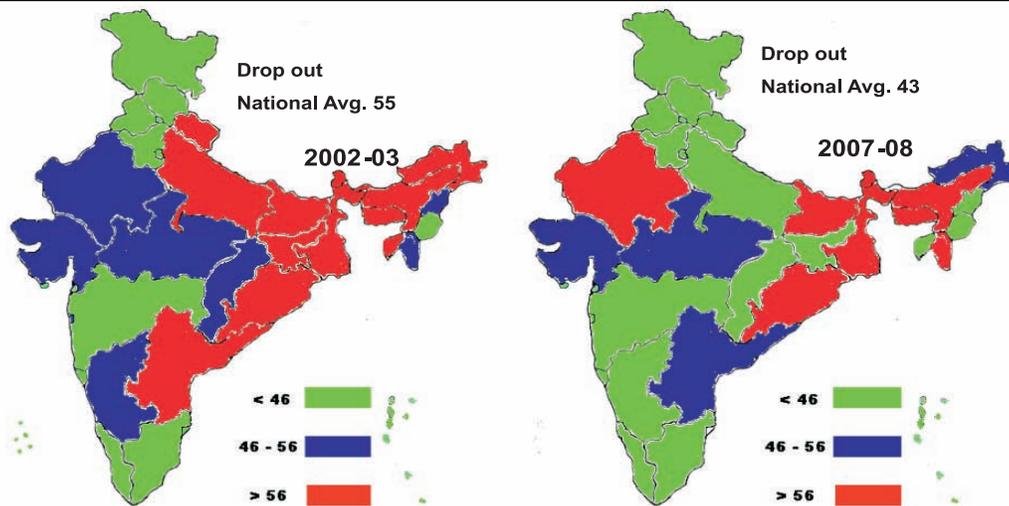
Concerns: Inequality in the classroom, discrimination, poor teaching learning transaction

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Only the State can provide UEE

- 20 crore children can not be provided education of 'equitable quality' by private agencies or NGOs

  - Only the State has the capacity to do so

  - NGO/private agencies can provide good exemplars/ prototypes

- The state has tried to do so for over 60 years since independence through policies and schemes

  - NPE, 1968 and 1986/92
  - Operation Blackboard, DPEP, SSA

Quality

- "Our Constitution fathers did not intend that we just set up hovels, put students there, give untrained teachers, give them bad textbooks, no playgrounds and say, we have complied with Article 45 and primary education is expanding …They meant that **real** education should be given to our children between the ages of 6 and 14".

MC Chagla
Education Minister, 1964

Improving quality: Class V

Maths	
1st Round	46.51
2nd Round	48.46

Code	Percentage
■	0 –50%
■	50 – 60%
■	60 – 70%
■	70 – 80%

Language	
1st Round	58.57
2nd Round	60.31

Round 1

Round 2

Round 1

Round 2
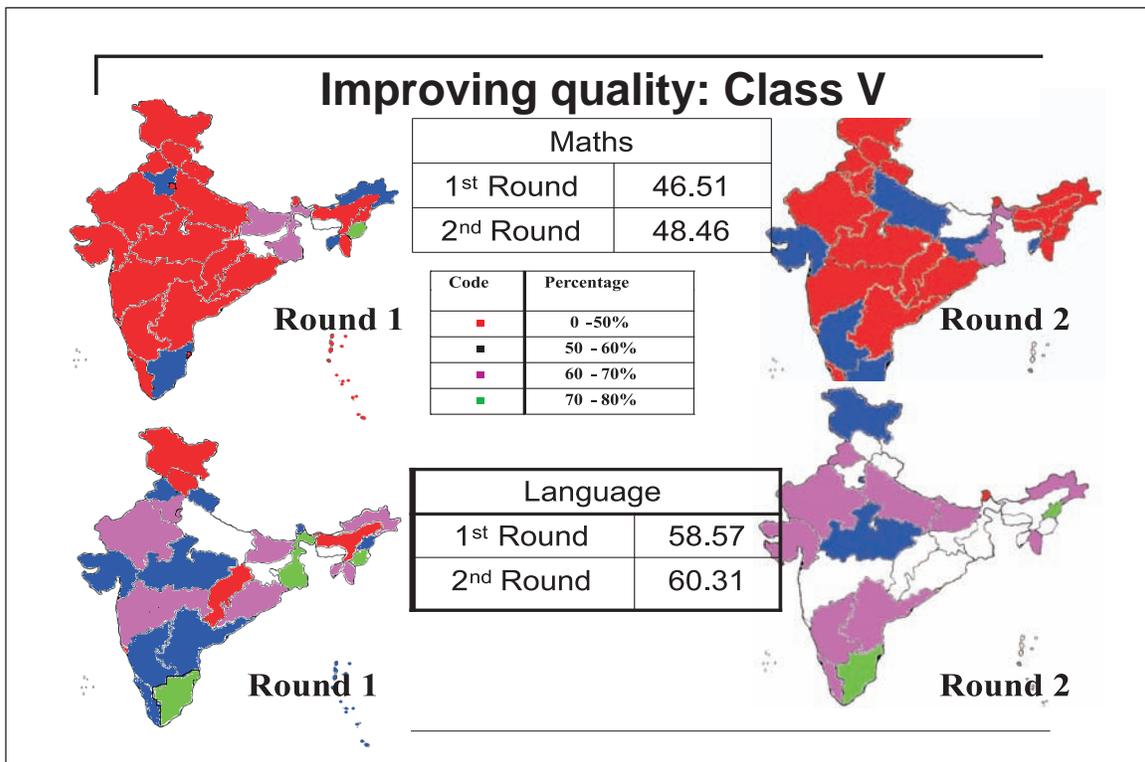
Improving quality: Class VII/VIII

Maths		
Round	VII	VIII
1st Round	30.50	39.17
2nd Round	40.38	42.57

Round 1

Round 2

Code	Percentage
■	0 – 50%
■	50 – 60%
■	60 – 70%
■	70 – 80%

Language		
Round	VII	VIII
1st Round	54.24	53.86
2nd Round	57.35	56.49

Round 1

Round 2
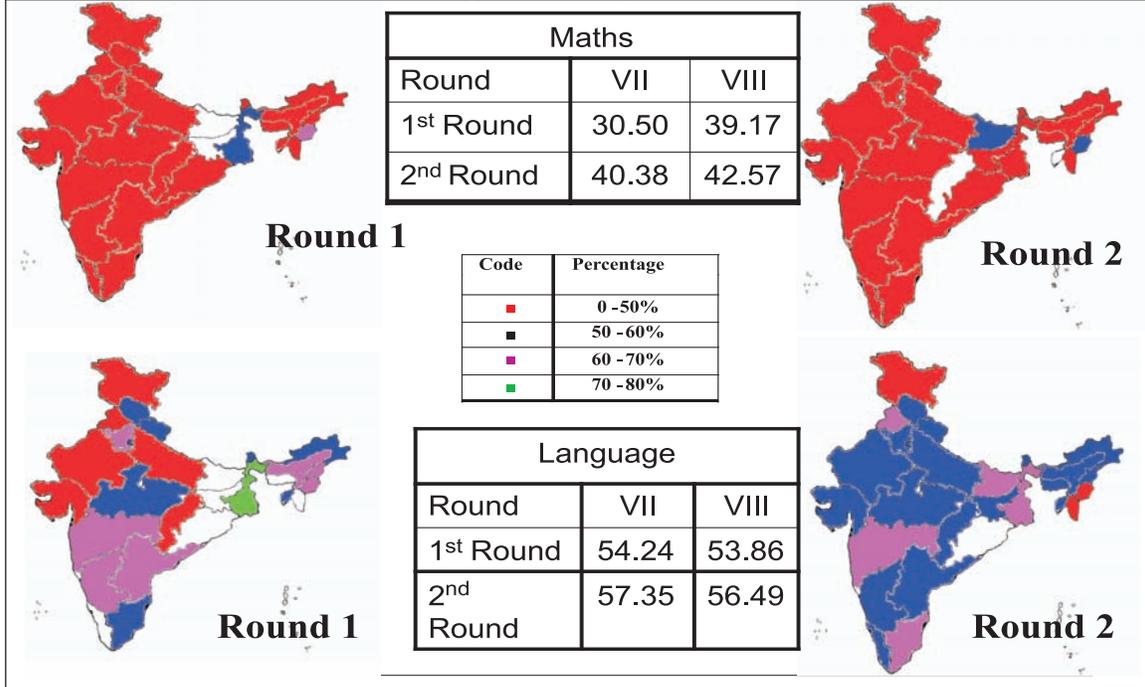
EE: Fundamental Right

- Supreme Court judgement, 1994, in the Unnikrishnan case

  "Does not the passage of 44 years convert the obligation created by Article 45 of the Constitution into an enforceable right… at least now the State should honour the command of Article 45. It must be made a reality - at least now… Be that as it may, we hold that a child has a fundamental right to free education up to age 14 years."

- Nine years later, 86th Constitutional Amendment passed to make education a fundamental right; inserted new Art 21-A

- Another seven years later RTE Act, 2009 passed

- Art 21-A and RTE Act enforced from 1.4.2010

RTE

Salient Features

Child rights

- **Ensures the Right of Children**

  - To free and compulsory admission, attendance and completion of EE

  - Not enrolled/dropout children to be admitted to age appropriate class

    - Special training to enable such children to be at par with others

    - Child so admitted entitled to completion of EE even after age 14

  - Reduces procedural barriers: age certificate, transfer certificate

Child rights

- *Free*: removal of any financial barrier by the state that prevents a child from completing eight years of schooling

- *Compulsory:* compulsion on State, rather than targeting parents.

- No child shall be psychologically abused by calling him/her 'failed' in any class upto class 8, or expelling him / her from school

- Bars corporal punishment, mental harassment

Teachers

- Qualification for appointment of teachers to be laid down by academic authority: NCTE authorised

  - Need to address the problem of untrained teachers

- Lays down academic responsibilities of teachers

- Prohibits private tuition by teachers

- Prohibits deployment of teachers for non-education purpose, except decennial census, disaster relief and elections

Schools

- Norms and standards specified
  - Infrastructure, facilities
  - PTR
  - School days
  - Working days for teachers

- Community participation through SMCs comprising elected reps, teachers and parents
  - ¾ members from among parents of children in the school
  - Proportionate representation to weaker and deprived sections
  - SMC to plan, manage and monitor – in collaboration with the local authority

Schools

- No capitation fees
  - Penalty: fine upto 10 times the capitation

- No screening for admission
  - Penalty: fine of Rs 25,000 for 1st contravention and Rs 50000 for each subsequent contravention

- No school without recognition
  - Penalty: Rs one lakh; in case of continuing contravention, penalty of Rs 10,000 for day

- All unaided schools to provide free education to at least 25% children from the neighbourhood
  - Costs to be reimbursed - @ per child expenditure incurred by the State or actual fee charged, whichever is less

State Government / Local Authority

- Ensure free and compulsory education

- Provide schools within neighbourhood within 3 years

- Children belonging to weaker sections and disadvantaged groups not to be discriminated against

- Infrastructure, school building, teaching staff, learning equipment

- Special training for previously not enrolled or drop out children to enable them to be en par with others

- Monitoring of admission, attendance, completion of EE

- Good quality EE conforming to specified norms and standards

Curriculum

- Curriculum should:

  - Conform to constitutional values

  - Make child free from fear, trauma and anxiety

  - Be child centred, child friendly; provide for learning through activities

  - Medium of instruction – child mother tongue to the extent possible

  - Provide for comprehensive and continuous evaluation

- No Board examinations till completion of EE

Protection of Right

- RTE assigns NCPCR/SCPCR additional functions:

    - Examine and review safeguards for rights under this Act, recommend measures for effective implementation

    - Inquire into complaints relating to child's right to free and compulsory education

- NCPCR/SCPCR have powers assigned under Section 14 and 24 of the Commissions for Protection of Child Rights Act

- Where SCPCR not constituted, appropriate Government may constitute an Authority

RTE Road Map

Derived from time frames mandated by RTE Act

Establishment of neighbourhood schools	3 years
Provision of school infrastructure ❑ All weather school buildings ❑ One-classroom-one-teacher ❑ Head Teacher cum Office room, library ❑ Toilets, drinking water, kitchen sheds ❑ Barrier free access ❑ Playground, fencing, boundary walls	3 years
Provision of teachers as per prescribed PTR	3 years
Training of untrained teachers	5 years
Quality interventions and other provisions	With immediate effect

Recent Developments

- Bordia Committee Report on Implementation of RTE Act and Resultant Revamp of SSA accepted; circulated to States

- SSA norms revised; SSA fund sharing pattern revised

- Rs 2.31 lakh crore committed for implementation of RTE-SSA over five year period from 2010-11 to 2014-15

- 13th FC award for Rs 24,068 crore for five year period

- Central outlay of Rs 15,000 crore for 2010–11 enhanced to Rs 19,000 crore;

- Supplementary Plan for Rs 8563 crore for 2010-11 approved; Total approved outlay for 2010-11 – Rs 45,747 crore

- NCPCR Proposal for monitoring child rights under RTE Act approved

- Draft SSA Framework of Implementation– derived from Bordia Committee Report on SSA website

UEE as a fundamental right

What do we plan for?

- **Access**
  - Physical distance
  - Social distance

- **Physical infrastructure**
  - Buildings, classrooms, furniture: conceiving all school spaces as teaching learning resource
  - Maintenance
  - Toilets, drinking water

- **Hidden Costs**
  - Uniforms, textbooks, stationary, transport

- **Teachers**
  - Provisioning for each school

- **Teacher support systems**
  - Enhancing teacher self esteem
  - Training untrained teachers; ensuring relevant ongoing training for teacher development
  - Cadre Management: transparent transfer and redeployment systems

What do we plan for?

- **Curriculum & Pedagogy**
  - Constitutional values in the organization of subjects
  - Sensitivity to gender, caste and community, peace, health and needs of children with disabilities
  - Linkage between school knowledge in different subjects and children's everyday experiences .
  - Appropriateness of topics and themes for relevant stages of children's development ;
- **Classroom management**
  - Based on inclusive organisation of children's groups.
  - Each child learns at her own pace

- **Examination reform**
  - Change present pattern of exams that focuses on rote learning.

Planning for Access

WEST BENGAL

PS:UPS Ratio
- <2
- 2-3
- 3-4
- >4
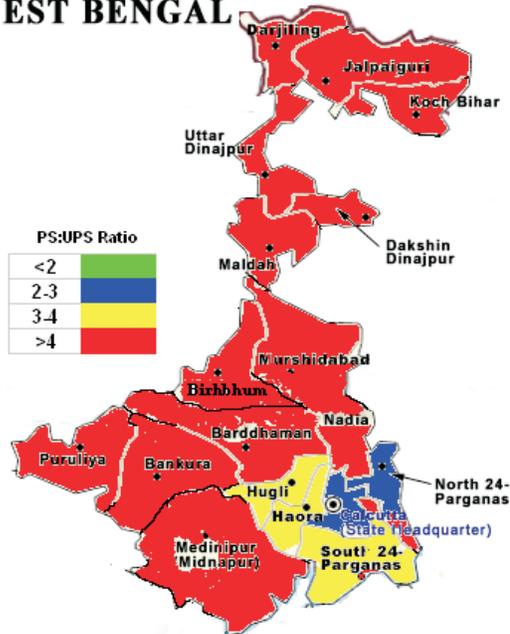
- Locational mapping for neighbourhood schools, esp. upper primary
- Focus on children in :
  - sparsely populated areas
  - difficult terrain
  - areas of civil strife
  - urban slums
- Social access : break gender and social barriers
- Upgrade EGS to formal schools

Bihar

@	Gender gap
#	SC
+	ST
X	Minority

Number of Out of Schools Children
- <5000
- 5000-20000
- >20000
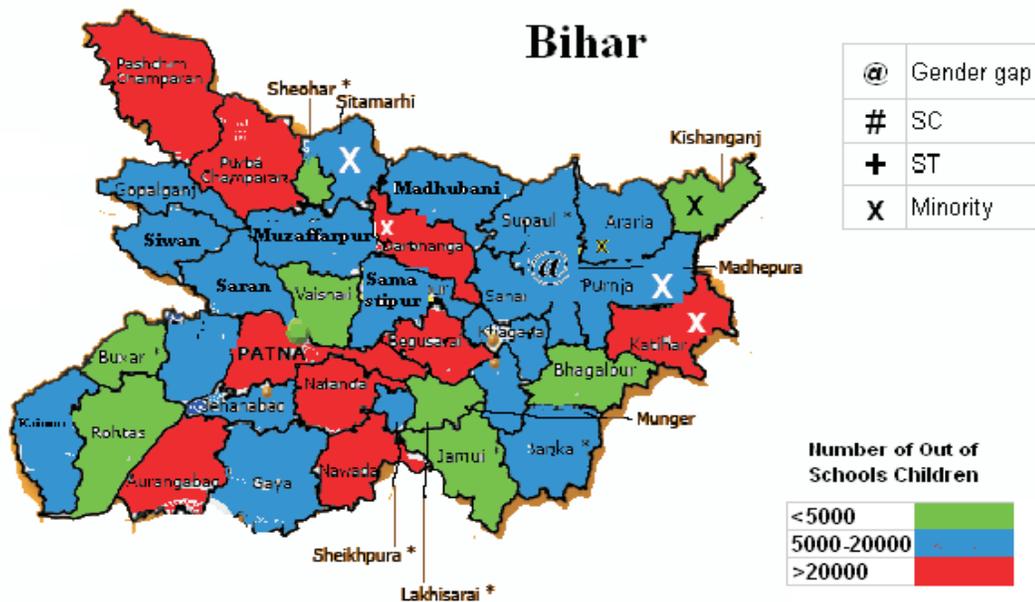
Planning for Out of School Children

■ Identification through social mapping

■ Admit in age appropriate classes

■ Provide special training for accelerated learning to integrate in class

■ AIE Centres as facilities for special training

■ Continued focus for academic and emotional integration

Planning for School Infrastructure

■ Map schools : Combining GIS & DISE
■ Whole School Planning
■ Conceiving school spaces as teaching learning resource

JHARKHAND

Requirement of ACR as per RTE

<1500	
1500-2500	
2500-3500	
>3500	
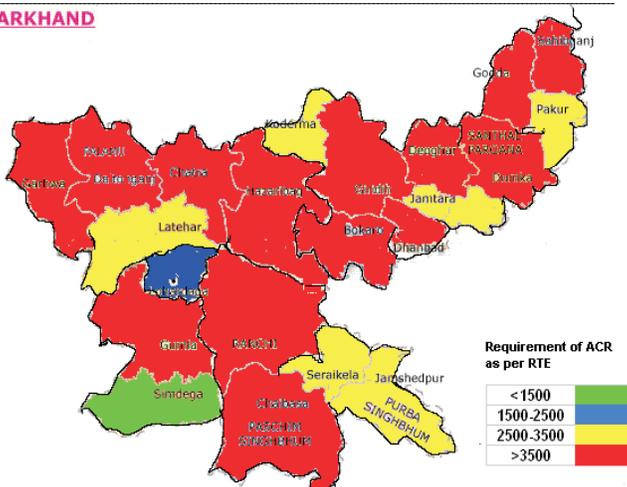
Converge with:

TSC – toilets

DWM – drinking water

MDM – kitchen sheds

MGNREGA-playground

RGVY – electrification

NRES – electricity

JNURNM– urban areas

NBT/CBT - Libraries

Rationalising Teacher Deployment

- **Objectivity and Transparency**
  - Rational and transparent system of redeployment and transfers (AP)

  - Special circumstances of women teachers be kept in mind

- **Teacher Training**

  - Train untrained teachers within 5 years

  - Periodic Training with focus on child-centred approach

Trained teachers # TE Capacity

Low % untrained teachers; adequate TE capacity **(A)**		High % untrained teachers; modest TE capacity **(B)**		High % untrained teachers; inadequate TE capacity **(C)**	
Andhra	(9.5%)	Arunachal	(75.5%)	Assam	(61.3%)
Delhi	(1.0%)	Manipur	(50.6%)	Bihar	(50.9%)
Gujarat	(0.5%)	Meghalaya	(69.7%)	Chhattisgarh	(31.4%)
Haryana	(2.7%)	Mizoram	(30.0%)	J&K	(45.5%)
Himachal	(5.2%)	Nagaland	(72.3%)	Jharkhand	(36.1%)
Karnataka	(2.0%)	Sikkim	(53.9%)	Orissa	(17.8%)
Kerala	(1.2%)	Tripura	(57.0%)	Uttar Pradesh	(27.6%)
MP	(13.9%)	Teacher requirement		West Bengal	(34.2%)
Maharashtra	(0.7%)	■ Category A: 1.73 lakh new + 1.12 lakh untrained			
Punjab	(3.2%)	■ Category B: 0 new + 0.75 lakh untrained			
Rajasthan	(6.5%)	■ Category C: 3.55 lakh new + 6.77 lakh untrained			
Tamil Nadu	(0.7%)	Large intra-state, rural-urban variations			
Uttarakhand	(8.2%)				

Uneven deployment of teachers

Andhra Pradesh

Number of surplus teachers (as per RTE)

<1750	(green)
1750-2500	(blue)
>2500	(red)
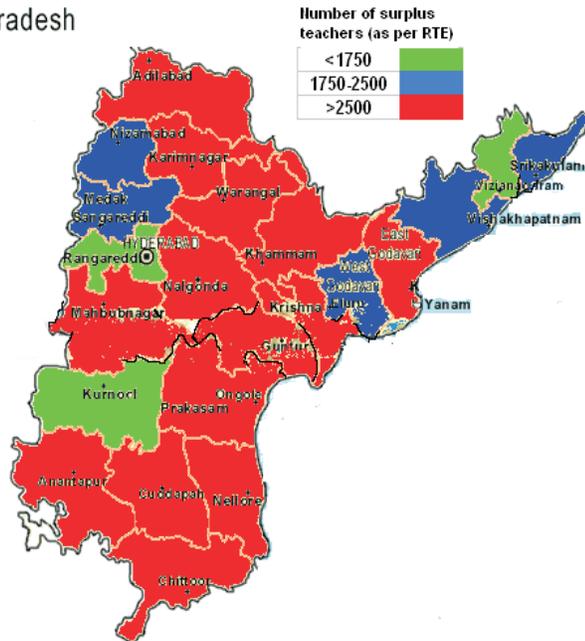
< 25 %- underserved schools
Anantpur, Cuddapa, Guntur, Karimnagar, Krishna, Nalgonda, Nizamabad, Prakasam, Warangal
25-30% - underserved schools
Adilabad, Chittoor, Khammam, Medak, Nellore,, Vizianagram, West Godavari
> 30 %- underserved schools
East Godavari, Kurnool, Hyderabad, Mahbubnagar Rangareddy, Srikakulum, Vishakhapatnam

Rationalising Teacher Deployment

- **Objectivity and Transparency**
  - Rational and transparent system of redeployment and transfers
  - Special circumstances of women teachers be kept in mind
- **Teacher Training**
  - Train untrained teachers within 5 years
  - Periodic Training with focus on child-centred approach

Teacher Motivation and Conduct

- Teachers have welcomed many RTE provisions
- RTE: high expectations from teachers
  - Full involvement with SMC regarding children's rights
  - No corporal punishment, harassment, detention, expulsion, tuitions
  - Observe school instructional hours/days & weekly teacher working hours

Teacher attendance at Upper Primary: 80.8 %

Map not to Scale

- < 75%
- 75 – 80%
- 80 – 90%
- > 90%
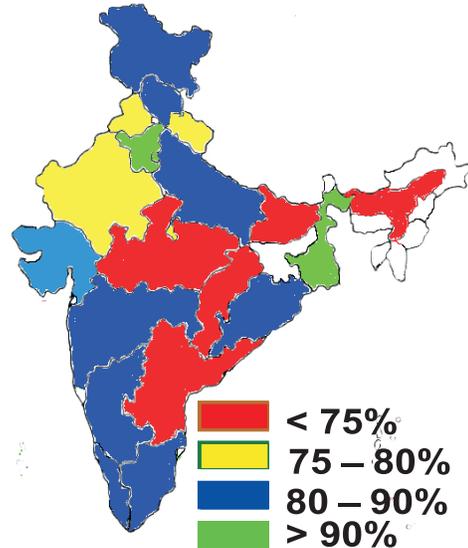
Equity and Quality Dimensions

- **Curriculum and classroom practices**
  - Address issue of 'hidden curriculum' in schools
  - Reflect sensitivity to gender, caste and needs of CWSN
  - Classroom based on more inclusive organisation
- **Training and academic support**
  - For gender sensitive, non -discriminatory classroom
  - Free of corporal punishment and mental harassment
  - Gender and equity integral to all training
- **Comprehensive and Continuous Evaluation**
  - Evaluation becomes an integral part of learning
  - Each child learns at her own pace.
  - Strengthen linkage between school knowledge in different subjects and children's everyday experiences.

Monitoring and Supervision

Monitoring and Supervision

- DISE – Computerized EMIS
  - National trends available for all the 35 States/UTs for 2009-10.
  - Focus on sharing of DISE data with public at school level.
  - School report cards for 1.3 million schools available.
  - DISE in public domain including availability of raw data.
  - 5% independent check emphasized.
  - In-house solution exchange with 900 MIS coordinators at district block level.
- SSA web portal – online district based quarterly progress.
  - 402 districts have submitted reported for the 2nd quarter of 2010-11; 133 reports in progress.
  - Process of software consolidation continuing.

Independent Monitoring

- Field monitoring by Independent Monitoring Institutes
  - 114 Reports for 395 districts for the year 2008 -10.
  - ToR has been revised to make monitoring more process oriented
  - Reports available on website.

- National Level Third Party Evaluation of Civil Works.
  - 11 States completed, draft received for other 12 states.

- Financial Monitoring by IPAI

- Independent Research & Studies
  - 25 studies and evaluations completed since 2004, of which 5 were completed in 2009 -10
  - 4 studies are in progress and 5 studies are in pipe line.

- Six monthly Joint Review Mission

Monitoring child rights

- ❑ List and publicise child entitlements

- ❑ Designate officers responsible for providing each entitlement

- ❑ Designate officers to hear grievances

- ❑ Specify time schedule for disposing off grievances
  - ■ Process of investigation to allow for hearing both parties; as openly as possible

  - ■ Convey result of investigation in writing: ensure that redressal for providing entitlement is made within specified time frame

Monitoring child rights

■ **For Out-of-School Children**
  ❑ Never enrolled

  ❑ Drop out

  ❑ Absentee

  ❑ Migrant

  ❑ Working children

  ❑ Children without adult protection

Monitoring child rights

■ For in-school children

  ❑ Provision of neighbourhood school
    ■ Requisite number of classrooms, other facilities
    ■ Appropriate PTR
    ■ School hours/ teachers hours

  ❑ Access to school: physical and social

  ❑ Admission process
    ■ No denial of admission
    ■ No capitation fee
    ■ No application fee
    ■ No screening procedure
    ■ No demand for affidavits

Monitoring child rights

- Entitlements
  - Textbooks
  - Uniforms
  - Library with books, newspapers, magazines
  - Sports Equipment
  - Play material
  - Mid Day Meal
  - Special Training for age-appropriate admission
  - Transfer Certificates
  - Completion Certificates

Monitoring child rights

- Classroom transaction
  - No discrimination
  - No corporal punishment
  - Appropriate teaching methods

- Continuous and Comprehensive Evaluation
  - As part of learning system
  - No failure; no detention

- School Management Committee
  - Appointments as per Act/Rules
  - Regular Meetings
  - Preparation of School Development Plan

School chalein hum video

Thank You

Presentation 7

Annual Status of Education Report INDIA (Rural) 2010

Shri R. Bhattacharya, Director Pratham

INTRODUCTION TO ASER

WHY ASER ?

AS CITIZENS OF INDIA, WE NEED TO UNDERSTAND:

- ARE OUR CHILDREN GOING TO SCHOOL?
- ARE OUR CHILDREN LEARNING ?

TO ACHIEVE UNIVERSAL ELEMENTARY EDUCATION WE WANT OUR CHILDREN TO GO TO SCHOOL REGULARLY, STAY IN SCHOOL AND LEARN WELL.

WHEN & WHERE IS ASER DONE?

EVERY YEAR SINCE 2005
ALL RURAL DISTRICTS

30 villages in a district are randomly selected

All children age 3-16 in 20 randomly selected households in each village

COVERAGE… INDIA (rural)

Districts - India: 522 out of 583

Villages - India : 14,830

Children – India : 609,659

WHO DOES ASER ?

Common sampling and tools

Implementation by local group in each district.

These groups include universities, colleges, NGOs, women groups, university, self -help groups

School enrollment figures are impressive

- ASER 2010 indicates that 96.5% of children in the age group 6-14 are enrolled in school in rural India. This is the highest number ever.

- ASER shows that since 2006, % of children enrolled in private school has increased from 18.7% to 24.3%.

- More and more 5 year olds are enrolling in school. This figure has increased from 46.6% in 2006 to 62.7% in 2010.

Substantial drop in % girls out of school

% Girls 11-14 out of school. Selected states. 2006-2010						% pt change: 2006 to 2010
State	2006	2007	2008	2009	2010	
RJ	19.6	14.4	14.8	12.2	12.5	7.2
UP	11.1	8.4	10.2	9.5	9.7	1.4
BH	17.6	9.7	8.8	6.0	4.6	13.1
WB	12.1	8.3	7.7	7.5	5.5	6.6
JH	13.0	8.0	9.4	8.5	4.9	8.1
OR	13.7	12.4	12.0	9.9	7.2	6.5
CHH	13.6	8.5	4.8	4.9	3.2	10.4
GJ	11.7	7.6	10.9	10.2	8.0	3.7

Bihar shows the steepest decline in % children out of school

% Children: Out of school Age 11-14. Boys & Girls All India & Bihar

- ◆ Boys: 11-14 Bihar
- ▬ Girls: 11-14 Bihar
- ▲ Boys: 11-14 India
- ✕ Girls: 11-14 India

In 2010 , Bihar figures below India average

Chart axis values: 0, 5, 10, 15, 20

Years: 2006 2007 2008 2009 2010
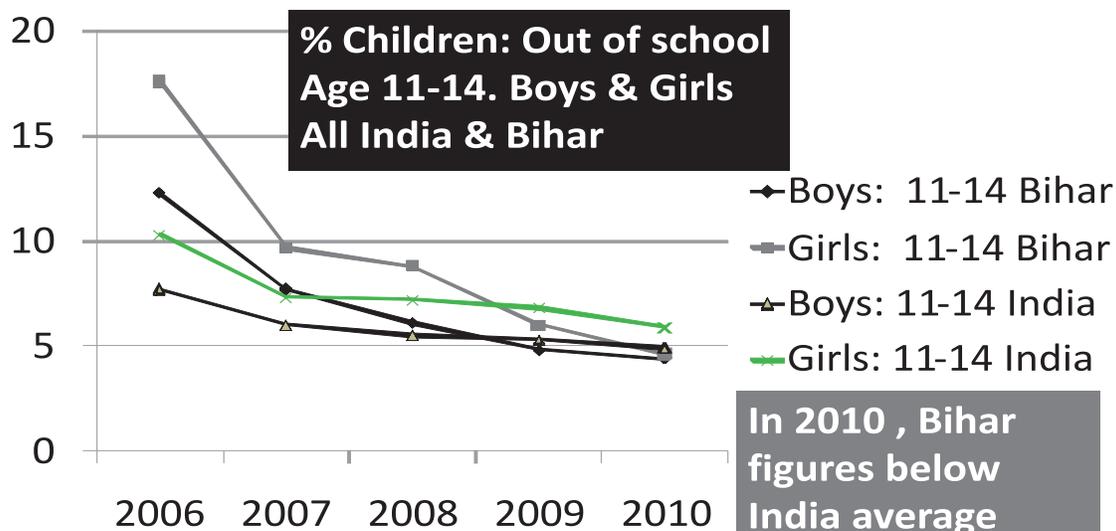
Are children attending school?

Percentage of children (age 6-14) enrolled in school in all states is well above 95%

ATTENDANCE in a government primary school in the sampled village on a random day in Oct-Nov
90% + : Ker, MH, TN
80% to 89% : PN, HR, GJ, UTK, HP

70% to 79% : Kar, OR, AP, RJ, CHH

60% to 69% : JH, WB, AS
Below 60% : UP, BH

"Reading is basic to democracy", but…

Std 2 level text कहानी

मैं और मेरी बहन छत पर खेल रहे थे । अचानक आसमान में बादल गरजने लगे, बिजली कड़कने लगी । बड़ी–बड़ी बूँदें पड़ने लगीं । हम जल्दी से भागकर नीचे आ गए । तभी भैया गरम–गरम समोसे और पकौड़े ले आया । हमने खिड़की के पास बैठकर समोसे–पकौड़े खाये और बारिश का मज़ा लिया ।

ASER 2010 : Percentage of children in different classes who CAN read this text :
- Std 3: 19.5%
- Std 4: 37.9%
- Std 5: 53.7%

46% of children will complete primary school without learning to read fluently.

The "Big Stuck": All India basic reading levels are not improving over time

As a country where do we want to be in 2012, 2015 ??
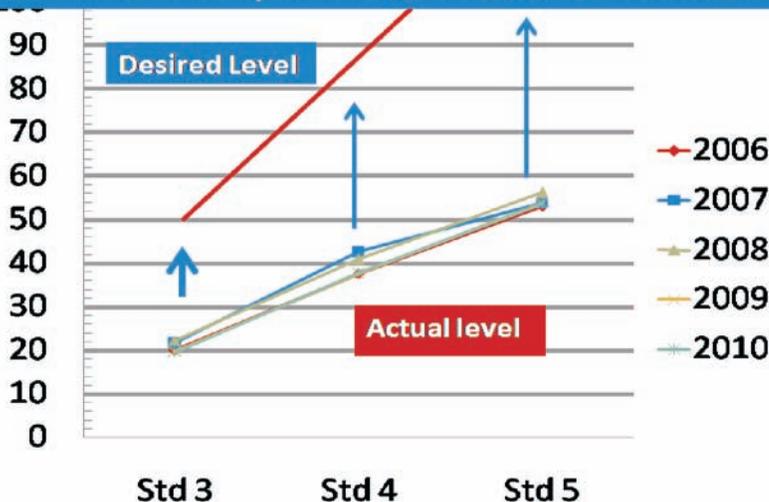
Trends over time: 2006 - 2010

% Children in different classes who can read a Std 2 level text.

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Have there been significant improvements in reading in any state since 2006? ... YES
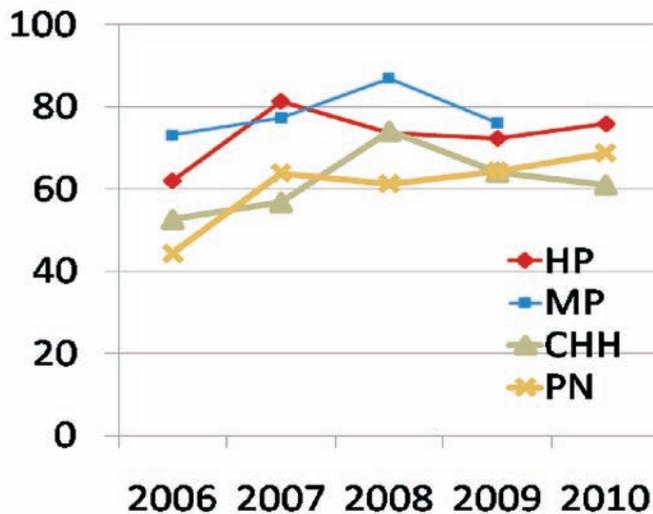
% Children in Std 5 in govt schools who can read Std 2 level text

Improving the reading ability of successive cohorts seems hard to do .

Nationally, basic arithmetic level is a big cause for concern as well ...

Std 2 level
52
- 24

Std 4 level
6) 919 (

ASER 2010 :
% Children who CAN do this kind of subtraction
- Std 3: 36.5 %
- Std 4: 57.4%

ASER 2010 :
% Children who CAN do this kind of division
- Std 4: 21.8%
- Std 5: 35.9%

The ability of children to do basic arithmetic is declining.

For example: % of Std 5 children doing division :

45.3% in 2006
35.9% in 2010

Steady maths improvement in Punjab government schools in last 3 years

% Std 5 children able to do division

% Children in govt schools

Std 5	2008	2009	2010
Punjab	39.7	48.6	70.8
All India	34.4	36.1	33.5
Kerala	38.3	36.4	43.1

% Std 3 children able to do subtraction and more

% Children in govt schools

Std 3	2008	2009	2010
Punjab	34.8	46	62
All India	35.4	36.5	33
Kerala	56.1	57.4	57.5

Punjab shows steady increase in year on year. Each subsequent cohort is doing better.

Can children do everyday maths?

Some examples

मूल्य सूची
1. चाय   - 3.रु.
2. पानी की बोतल - 10.रु.
3. दूध मीठा   - 5.रु.
4. बिस्कुट   - 15. रु.
5. दाल पकौड़ा   - 4.रु.

कैलेण्डर

जुलाई   २०१०

रवि	1	8	15	22	29
सोम	2	9	16	23	30
मंगल	3	10	17	24	31
बुध	4	11	18	25	
गुरु	5	12	19	26	
शुक्र	6				
शनि	7				

Std 3-4 level

Another example: Calculating area

36 मीटर

10 मीटर

राजू का बग़ीचा

10 मीटर

36 मीटर

Std 4 level

36 वर्ग मीटर
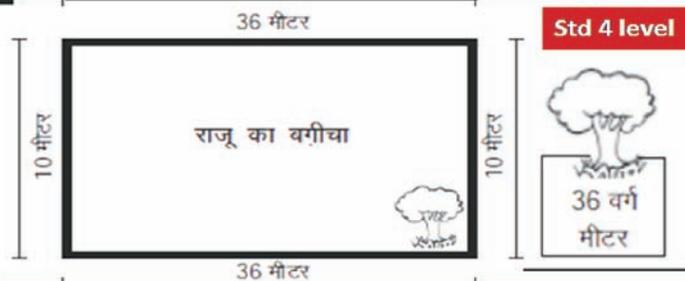
These tasks are common everyday calculations. They are in line with the NCF framework : applying knowledge & skills and connecting children with the world around them.

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Problem solving and every day maths

All India: % Children who can do every day math calculations

Std	Menu	Calendar	Area	Estimation
Std 5	52.8	38.6	27.0	35.9
Std 8	74.5	63.3	50.7	57.8

State wise variations:

Example: % Children in Std 8 doing area problems correctly :

Kerala : 79%
Bihar : 69 %
Punjab : 54 %
Maharashtra: 53%

Urgent and immediate tasks .....

■ Learning goals need to be clearly articulated for each year and widely known by parents and teachers.

■ Measurement, tracking and review of learning outcomes is a must. We cannot afford to have children finishing primary school not knowing how to read, comprehend, do basic arithmetic or solve problems. **"What gets measured gets done"**. In addition, external evaluation of learning outcomes is essential for accountability at all levels.

■ **Without satisfactory learning achievement guaranteed for all, right to education will have no real meaning.**

Presentation 8

Mid Day Meal Scheme

Dr. Amarjeet Singh, Joint Secretary

Government of India
Ministry of Human Resource Development
Department of School Education & Literacy

Goal

To provide mid day meal to each and every child in eligible schools for Universalization of Elementary Education in the Country

Ministry of HRD, Govt. of India

2

Objectives of MDM Scheme

❑ To address two of the most pressing problems of hunger and education by :

❖ Improving nutritional status of children.

❖ Encouraging poor children, belonging to disadvantaged sections, to attend school more regularly and help them concentrate on classroom activities.

❖ Providing nutritional support to children in drought-affected areas during summer vacation.

Coverage

All children of primary and upper primary classes attending Govt., Govt. aided , local body and NCLP schools and Education Guarantee Scheme (EGS) / Alternative and Innovative Education (AIE) centers including madarasas / maqtabs supported under the Sarva Shiksha Abhiyan.

Achievements

❑ Achievement during 2009-10 :

10.76 crore children served MDM per school day.
- 7.68 crore children at primary stage.
- 3.68 crore children at upper primary stage.

❑ Coverage for 2010-11:
11.36 crore children.
- 7.97 crore children at primary stage.
- 3.39 crore children at upper primary stage

NCLP schools

Ministry of HRD, Govt. of India

5

Nutrition and Food Norms (Per Child)

Items	Primary	Upper Primary
Energy	450 Cal	700 Cal
Protein	12gm	20gm
Rice/Wheat	100 Grams	150 Grams
Dal	20 Grams	30 Grams
Vegetables	50 Grams	75 Grams
Oil & fats	5 Grams	7.5 Grams
School health programme	In convergence with School Health Programme of NRHM of M/o H&FW	

Ministry of HRD, Govt. of India

6

Funding

1. Borne entirely by Central Government:

a. Recurring cost:

- Cost of food grains (30.22 lakh MTs)

- Transportation cost @ Rs. 750 per MT for non NER States and PDS Rate for 11 Special Category States including NER States.

- MME at 2% of cost of food grains, cooking cost transportation cost and Honorarium to cook-cum-helper

- Cost of kitchen devices @ Rs. 5,000 per school

Ministry of HRD, Govt. of India

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Contd....

2. Shared between Centre and States:

a. Recurring cost:

- Cooking Cost
- Honorarium to Cook cum Helper

b. Non-recurring cost:

- Cost of kitchen-cum-store @ State Schedule of Rates and plinth area norm.

c. The sharing ratio between Centre and State is 75:25 for non-NER States and 90:10 for NER States.

Ministry of HRD, Govt. of India

8

Responsibility of Implementation

❏ Gram / Urban Panchayat or equivalent committee

❏ School Management Committee (SMC) constituted under RTE. 75% membership of the SMC is from guardians of the schools.

❏ Self-help group preferred agency for cooking

❏ Centralized kitchen in urban areas.

Ministry of HRD, Govt. of India

9

Transparency under Mid Day Meal Scheme

❏ Display of Information under Right to Information Act:

- Quantity of food grains received/utilised,
- Other ingredients purchased, utilized
- Number of children given mid day meal.
- Daily Menu
- Roster of Community Members involved
- Display of MDM logo.
- Evaluation reports

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Role of Community

Involvement of SMC / PRI / VEC / PTA / MTA / SHG / Mahila Samakhya in:

- Procurement of good quality foodgrains and other ingredients and its proper storage.

- Drawing wholesome nutritious and varied menu.

- Cleanliness in cooking and serving of the mid day meal.

- Observance of hygienic practices by cooks as well as children.

- Foster social and gender equity.

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Role of Teachers

- Ensuring regularity and wholesomeness of the meal
- Promoting social and gender equity
- Cleanliness in cooking, serving and consumption

**Teachers not responsible for cooking or serving.
Mid day meal not to adversely affect
teaching-learning in any manner.**

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Monitoring and Evaluation

1. Local level by Community.

2. Periodic returns : QPRs / MPR, Food grains Lifting confirmation returns

3. Mandatory Inspections of 25% schools every quarter by supervisory officials.

4. SMC at Block / District / State / National level.

5. District Level Committees comprising public representatives e.g. MPs / MLAs etc. to monitor the implementation of MDM Scheme.

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Contd....../-

6. National / Regional Review Meetings/ PAB meetings.

7. Review Missions

8. Field Visits by National team

9. Regular real time monitoring through web enabled MIS with integration of Interactive Voice Response System (IVRS).

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Independent Monitoring

❑ 37 Monitoring Institutions (MIs) cover:
- Quality and regularity of meal being served
- Hygiene, cleanliness issues
- Issues relating to fostering social equality
- Involvement of local community

❑ MIs include IIT Madras, Vishwa Bharati University, ISEC (B'Lore), SPIESR (A'bad), JMI (Delhi), MS Univ (Baroda), GB Pant (Allahabad), NEHU (Shillong), NIAR, Mussoorie, Pondicherry University, RIE Mysore

❑ Six-monthly monitoring reports (covering 25% of districts)

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Highlights of MI findings

❑ Hot cooked meal is being served almost regularly in all schools except with very minor disruptions

❑ Enrollment and attendance increased especially of girls.

❑ Promoted social and gender equity among children

❑ Most of the cooks engaged are from SC/STs, Women and other under-privileged sections.

❑ Developed good habits like washing hands, sense of hygiene and cleanliness.

❑ Community mobilization is visible.

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Independent Studies

"Cooked Mid Day Meal Programme in West Bengal - A study in Birbhum district": 2005; by Prof. Amartya Sen's Pratichi Trust.

- Mid Day Meal has made positive intervention in universalisation of Primary Education by increasing enrolment, attendance of the children. The increase has been more marked with respect to girls and SC & ST students.
- It is a positive intervention in eliminating classroom hunger.
- Cooked Mid Day has averted severe under-nourishment among many children, particularly those who are socially and economically backward.
- It has narrowed social distances.
- It has curbed teacher absenteeism.

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Contd....

☐ Public Report on Basic Education (PROBE) Report – 2009

i. 84% of households reported that the children get cooked mid day meal.

ii. Majority of schools reported that children consume meal at school.

iii. Children are enjoying a varied menu.

iv. Good practices like washing hands before eating, space was cleaned before & after eating are imparted in the schools

v. 48% of the teachers revealed MDM disrupts teaching activities.

vi. Quality of food was serious concern and menu is not followed in most of the schools.

vii. Incentives(MDM and text books) are reaching rural children and have contributed to improving enrolment rates.

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Contd....

□ Annual Status of Education Report (ASER)

  ▪ In about 92% of schools visited on a random day in October / November, 2007 Mid Day Meal was seen being prepared or served.

  ▪ This figure is much higher than the comparable figure in 2005, which stood at 71.1%.

  ▪ A vastly improved availability of mid day meals had contributed to the increase in enrollment.

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Contd....

□ Social audit on Mid Day Meal Scheme in Andhra Pradesh; EPW

  ▪ Positive effects of the scheme are increasing enrolment, averting class room   hunger and reducing the social discrimination

  ▪ Regularity in serving of the cooked mid day meal in the schools.

  ▪ MDM had generated livelihood opportunities for poor women in rural areas

  ▪ The study also brings out the problems like corruption, misuse of power and mismanagement of the funds

  ▪ The serious concerns related to quality and quantity of the meal in almost all   the schools with a lot of scope for improvement.

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Supreme Court Commissioners

- Widely acknowledged to be one of the most successful Schemes of GOI.
- Areas of concern:

  - Many of the utensils for cooking are brought from the cook's home. (Madhya Pradesh).
  - Attempts should be made for better infrastructure and the improvement of facilities.
  - Wood is used a fuel for preparing the meal.
  - Low quality food in 8 (20%) schools.

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Contd..../-
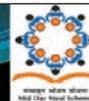
- No sign of varied menu in visited schools of M.P.
- Cook-cum-helpers should be paid monthly on regular basis in Orissa.
- The assistance towards cooking cost based on inflation Indexed allocation.
- Mobilization of kitchen garden in school premises should be encouraged.
- Poor publicity of scheme in Jharkhand.
- Delay in release of fund to school / implementing agency and action must be taken against the responsible personnel for delay in disbursement of funds.

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- Grievance redressal mechanism must be within easily reachable distance of complainant and should therefore be decentralized to Panchayat level. It could also consist of mobile camps that reach out to each village.

- The cook-cum-helper of the school needs to be well trained.

- Community participation in monitoring of mid day meal should be strengthened particularly to prevent corruption and ensure quality.

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Planning Commission

❑ Successful in addressing classroom hunger.

❑ Created a platform for children of all social and economic backgrounds to take meals together, thereby facilitating achieving the objective of social equity.

❑ Contributed to an increase in attendance in schools

❑ Diverted the attention of teacher resulting in loss of teaching time.

❑ Shortage of basic infrastructure and manpower

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Challenges

- Delay in release of funds to implementing agencies.

- Rationalization of cooking cost and its linking to scientifically designed MDM Price Index.

- Encourage transfer of 'Education' as a function to PRI.

- Increased community participation for effective implementation of the Scheme.

- Grievance redressal mechanism needs to be decentralized to the Panchayat level for prompt and effective disposal of complaints.

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Contd..

- Ensuring School Health Programme in convergence with National Rural Health Mission (NRHM)

- There is a need to publicize Scheme and entitlement at the local level.

- Provision for kitchen-cum-stores in all schools.

- Promoting use of Gas based cooking of MDM.

- Provision for adequate drinking water and toilet facilities through convergence.

- Adequate utilization of MME funds.

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Issues

- Awareness of programme components
- Role of parent teacher association
- Role of teachers
- Corruption and leakages
- Monitoring failures
- Lack of convergence with NRHM
- Disconnect needs and allocations
- Quality/satisfaction
- Social accountability

Creating an enabling environment for strengthening citizen voice

- Information Generation, Access and Dissemination
- Community mobilization and capacity building
- Grievance redressal and feed back and
- Institutionalization

Getting the compact right

- Greater awareness about rights of the beneficiaries

- Clear articulation of goals that focus on improved outcomes

- Generation of better quality information and performance benchmarking

- Strengthening the role of community based organizations to improve accountability

- Aligning incentives with performance

- Capacity Building and autonomy of the service provider

- Effective grievance redressal mechanisms

Social Accountability tools :

- Participatory Planning and Budgeting

- Participatory implementation

- Public Expenditure Tracking Surveys

- Social audits

- Citizen Report Cards

- Participatory research for tracking outcomes

Thank You

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Presentation 9

Ministry of Urban Development

Social Accountability in Jawaharlal Nehru National Urban Renewal Mission

Shri N. Venugopalan, Director

6, May 2011

Contents

About JnNURM:
1) Details of Submission I & II
2) Objectives
3) Corpus
4) Eligible sectors
5) Overall process

Provisions for citizen's participation & social accountability under JnNURM:
1) Reforms - governance, citizen centric and pro poor
2) CDP/DPR preparation, CPF, NTAG/CTAG
3) Service level benchmarking
4) CSMC, Parliamentary Standing Committee, IRMA

Proposed plans for social accountability:
1) Review by MP/MLA's
2) Conduct social audit for all projects under JnNURM

About JnNURM

JnNURM includes 4 schemes for the urban sector

| Sub Mission for Urban Infrastructure and Governance	Urban Infra. Dev. Scheme for Small & Medium Towns
Sub Mission for Basic Services for the Urban Poor	Integrated Housing & Slum Dev. Programme
Coverage- 65 cities*	Coverage- all other towns

Cities/UAs with 4 million + population 07
Cities with 1 million + population   28
State Capitals and other Cities   30

- 7 years time frame, starting from 2005-06 and up to 2011-12
- Overall allocation (original) – Rs. 50,000 Crore
  - Increase in allocation in Feb '09 – UIG: Rs. 6,000 Cr, UIDSSMT: Rs. 5,000 Cr

* - 2 cities (Tirupati & Porbandar) recently added

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Sub Mission for Urban Infrastructure and Governance

MoUD is responsible for 2 schemes: Sub Mission for Urban Infrastructure and Governance, Urban Infrastructure Development Scheme for Small and Medium Towns

(Admissible Components)

- Urban Renewal
- Water Supply (including Desalination)
- Sewerage & Sanitation
- Solid Waste Management
- Storm Water Drains

- Urban Transport
- Parking spaces (through PPP)
- Development of heritage areas
- Preservation of water bodies
- Prevention & rehabilitation of soil erosion (selective application)

(Non-Admissible components)

- Land (except special category states)
- Wage component
- Power, Telecom, Health, Education

Under UIG
- Total Allocation - Rs. 31,500 cr.
- ACA Committed – Rs. 27,960 cr.
- Total Sanctioned Projects – 532
- Total Approved Cost – Rs. 60,529 cr.

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Objectives of JnNURM

- **Planned development**

- **Integrated development of infrastructure**

- **Linkages between asset creation & asset management**

- **Ensuring adequate investment of funds**

- **Scaling up delivery of services and emphasis on universal access**

- **Renewal of inner city areas**

6

Provisions for citizen's participation & Social Accountability under JnNURM

7

Provisions under JnNURM for social accountability

Building an enabling environment for social accountability through

- Governance, citizen centric and pro- poor reforms
  - •74th CAA ,Transfer of 12 Sch. functions
  - •Constitution of DPC
  - •Community Participation Law
  - •Public Disclosure Law
  - •E- Governance set-up
  - •Double entry accounting
  - •Earmarking Funds for Services to poor
  - •Earmarking 25% developed land in all housing

- Institutionalization of citizen's participation in local governance
  - • CDP/DPR preparation, CPF, NTAG /CTAG

- Service level benchmarking
  - •Water supply and sanitation sector
  - •NMMP for E governance
  - •Urban Transport
  - •Adoption of SLB for projects under JnNURM

- Social accountability in the Monitoring and evaluation process at various levels
  - •Central govt . Level: CSMC, Parliamentary Standing Committee, IRMA
  - •State level: SLSC, PMU
  - •ULB level: PIU

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Governance, citizen centric and pro- poor reforms

Enhance capacities of municipalities to become transparent, accountable and efficient in basic service delivery		
Reform	**Objective**	**Outcome**
74th CAA - Transfer of 12 Sch. Functions to ULBs	Mandatory for every State Government to transfer of funds, functions and functionaries to the ULBs	Enhance meaningful association and engagement of Urban Local Bodies in the service delivery functions-11 states have implemented
74th CAA - Constitution of DPC	Formation of DPCs	Promoting people's participation in local planning – 21 states have implemented
Community Participation Law	To establish Area Sabhas at the polling station level and Ward Committees	Integrate involvement of citizens in municipal functions for setting priorities and stakeholders' consultations for budgeting provisions-14 states have implemented
Public Disclosure Law	Disclosure by ULB on a periodic basis information on various services being provided by them	Enhance participative democracy and provide better quality of service to the public- 19 states have implemented

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Governance, citizen centric and pro- poor reforms - contd…

Enhance capacities of municipalities to become transparent, accountable and efficient in basic service delivery		
Reform	**Objective**	**Outcome**
E- Governance set-up	Improve governance system in the ULBs through the use of eight IT modules	Transparent & accountable local services and governance to citizens– 25 states have implemented
Double entry accounting	Development of Accounting Manual, adopt NMAM, training of personnel, migrating to double entry system and institutionalise internal audit	Ensure transparency and financial health in the ULBs – 42 ULBs have implemented

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Governance, citizen centric and pro- poor reforms - contd...

Enhance capacities of municipalities to become transparent, accountable and efficient in basic service delivery		
Reform	**Objective**	**Outcome**
Revision of Building Bye laws - streamlining the Approval Process - 32 States	simplify the approval process of sanction of building plans to make it simple, transparent, and citizen friendly.	enhance compliance to the building bye laws and the Development Planning Control Rules -32 ULBs have implemented
Revision of Building Bye laws - Mandatory Rainwater Harvesting in all buildings -	Incorporation of requirement of RWH structure as mandatory for grant of building permission under the municipal bye-laws	to cope up with the problem of depleting ground water levels in the country and to promote conservation of water -37 ULBs have implemented

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Governance, citizen centric and pro- poor reforms - contd...

Enhance capacities of municipalities to become transparent, accountable and efficient in basic service delivery		
Reform	**Objective**	**Outcome**
Earmarking of Funds for Services to Urban Poor	Allocation of a separate budget for services to poor and the budget utilisation	Allocation of a separate budget for services to poor will improve transparency and accountability in ULB -28 ULBs have implemented
Earmarking 25% developed land in all housing projects for EWS/LIG	earmarking of 20-25% of developed land in all housing projects - both public and private sectors- for the EWS and LIG	provide shelter to all citizens and making our cities slum free -55 ULBs have implemented

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Institutionalization of citizen's participation in Local Governance

CDP/DPR preparation-Promoting Participatory Urban Planning

- Extensive consultations, at all stages of CDP/DPR preparation,
- Primary Stakeholders include civil society organisations, NGOs/CBOs, RWs, senior citizens, local residents etc.,
- Dissemination of information through media

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Institutionalization of citizen's participation in Local Governance – Contd...

Community Participation Fund(CPF)-Engaging community in city development process

- Catalyse community participation by supporting the building of community assets,

- Citizens at large (both poor and non-poor) and Community Based Organisations (RWAs, Neighbourhood Groups, Youth Clubs, Shopkeepers Associations) / Area Sabhas are eligible for accessing the services,
- Total allocation for CPF : Rs.100 crores
- Maximum ceiling for single project : Rs.10 lakhs (GoI contribution – 90% to 95% and remaining 10% to 5% is community contribution)

- 45 projects worth Rs.4 crores have been implemented as on April 2011 in 8 Mission cities (Mysore, Kolkata, Guwahati, Bangalore, Bhopal, Kanpur, Madurai and Faridabad)

- Sample projects are of the following kinds
    Multi-Purpose Citizen Centre, Solid Waste Management, Renovation of the local Vegetable Market, Community Water Centre, Renovation & Resuscitation of the local lake, Municipal Service Centre, Rainwater Harvesting, Bio-Methanation

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Institutionalization of citizen's participation in Local Governance – Contd...

National Technical Advisory Group(NTAG)

Objective : To bringing in greater citizen involvement into JNNURM, establishing volunteer technical corps in participating cities, and generally ensuring greater stakeholder engagement in the JNNURM process at various levels

Role: Advise the National Steering Group, Mission Directorate and Central Sanctioning and Monitoring Committee, State Level Steering Committees and Urban Local Bodies on enlisting community participation, securing transparency and accountability, ways and means of involving citizens in service delivery and governance; help create voluntary technical corps in each Mission city; mobilize support of civil society and elected representatives for reforms in urban governance; and help enlist involvement of citizens at grass root level through Ward Committees, Area Sabhas and Voluntary Technical Corps as well as monitoring of JNNURM reform conditions, especially those related to transparency and participation.

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Institutionalization of citizen's participation in Local Governance – Contd...

City Volunteer Technical Corps (CVTC) & Coordinating Group of CVTCs (CGC) under NTAG

CVTC and CGC have been envisaged as an integral part of progamme implementation at the city level

Role: Advise to city governance and management team on enlisting Community participation in service delivery.
• To help mobilize the Community Participation fund projects relating to their specific thematic areas.
• Ensuring transparency and accountability to citizens in programme implementation of JNNURM.

Established CTAG in Madurai, Coimbatore, Patna, Surat, Rajkot, Varanasi, Ranchi, Raipur, Puducherry, Jaipur and Pimpri Chinchwad. and are actively functioning in 12 cities

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Service Level Benchmarking(SLB)

SLB seeks to :

(i)   Identify a minimum set of standard performance parameters for the services that are used by all stakeholders across the country;

(ii) Define a common minimum framework for monitoring and reporting on these indicators, and

(iii) Set out guidelines on how to operationalize this framework in a phased manner.

Through SLB, the ULBs can improve service delivery mechanism, achieve better information management and transparency and ensure citizen's involvement in participative governance.

GoI (MoUD) developed service level benchmarks in the following areas:

- Water supply and sanitation programme of MoUD
- E governance under NMMP
- Urban transport
- All projects under JnNURM

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Social accountability in the Monitoring and evaluation process at various levels

At the Central Government level

A. Review Parliamentary Standing Committee /Consultation Committee of parliament

B. Oversee implementation of the Mission by Central Sanctioning and Monitoring Committee (CSMC):

C. Independent Review and Monitoring Agencies (IRMA): Review and monitoring process in the 63 Mission cities will keep track of the physical and financial progress of projects throughout the project development life-cycle

D. Reform appraisal agencies: Monitor the progress of implementation of reforms and quarterly submission of reports

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Social accountability in the Monitoring and evaluation process at various levels – Contd...

At the State level

- **State Level Steering Committee** : To decide and prioritizing the projects under the Mission
- **Establishment of Program Management Units at State level**
- **Technical support through** toolkits and handholding support to States and ULBs

At the ULB level

- **Establishment of Program Implementation Units at ULB level**
- **Technical support through** toolkits and handholding support to States and ULBs
- **Rapid Training Program (RTP)** for Elected Representatives and Technical Staff to improve the implementation and Monitoring & evaluation process
- **Decentralised capacity building programme** through Regional Hubs

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Proposed plans for Social accountability

- **MP/MLA's review Committee: Proposed to have review of JnNURM progress by MP/MLAs**

- **Conduct social audit for all projects under JnNURM**
  - MoUD propose to conduct social audit for JnNURM projects implemented by ULBs
  - A pilot study will be conduct in three states and based on the experience the scope of social audit will be further enhanced
  - The toolkit for social audit is being prepared

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JNNURM : Overall Process
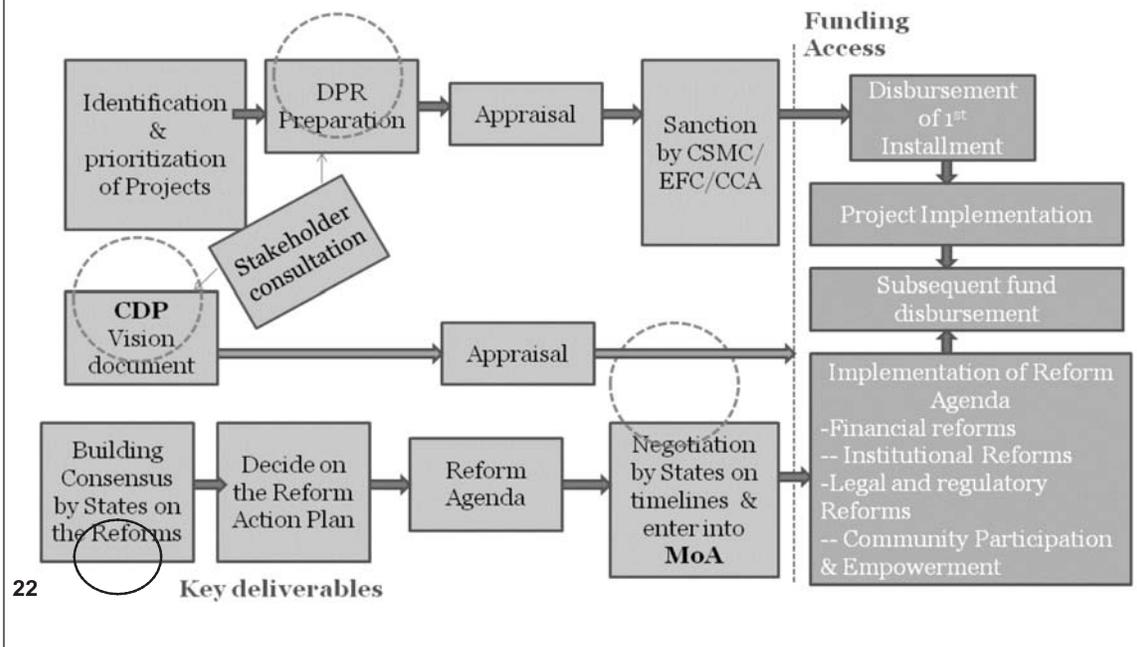
JNNURM Implementation Structure
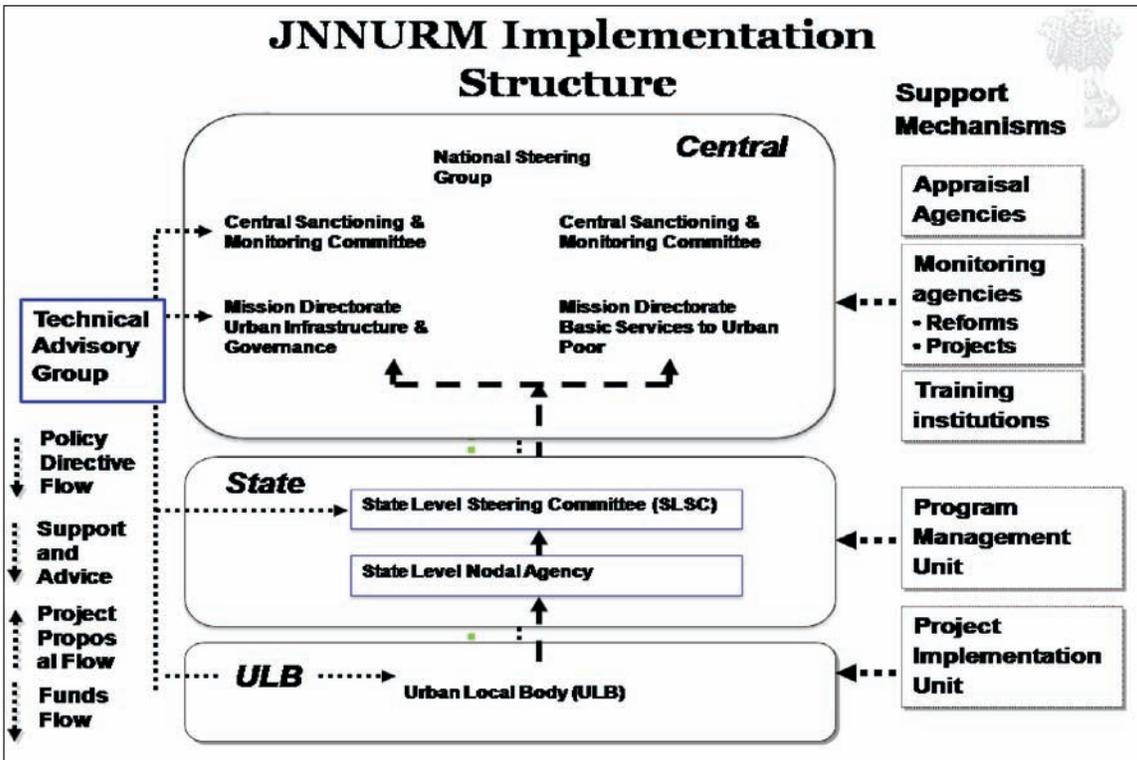
Thank You

Presentation 10

SOCIAL ACCOUNTABILITY UNDER JNNURM, SJSRY & RAY

Director (JNNURM)
Ministry of Housing & Urban Poverty Alleviation
Government of India

Shri Vivek Nangia, Director

JNNURM

1


Social Accountability

- Democracy's fundamental principle:

- *citizen's have the "right" to demand accountability; public officials have the "obligation" to be accountable*

- Civic engagement in exacting accountability

  - *Direct channel: citizen feedback to service providers*
  - *Indirect channel: citizen feedback to governments*
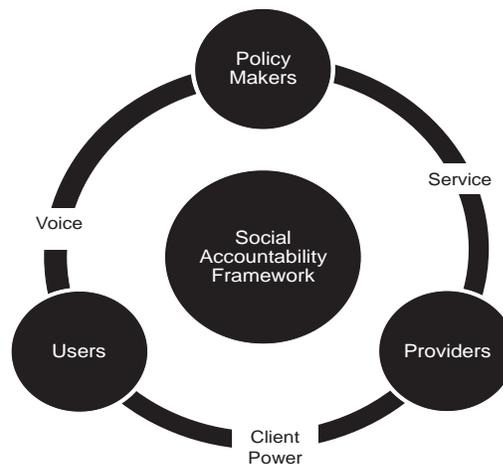
2

Pillars of Social Accountability

- Organised and capable citizen groups
- Responsive Government
- Contextual & Cultural appropriateness
- Access to information

Crucial Elements

- *Social accountability is more than just the tools*
- *Stakeholders are the key*
- *Complimentary use of both the carrot and the stick*
- *Information and the media*
- *Long term perspective*
- *Putting the weakest first*
- *Due importance to M&E*
- *Managing Expectations*

3

ABOUT JNNURM

Sub-Mission II: Basic Services for the Urban Poor (BSUP) and Integrated Housing and Slum Development (IHSDP)

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OTHER SCHEMES OF THE MINISTRY

➢Swarna Jayanti Shahari Rozgar Yojana (SJSRY)

➢Interest Subsidy Scheme for Housing the Urban Poor (ISSHUP)

➢Integrated Low Cost Sanitation (ILCS)

➢Affordable Housing in Partnership (AHP)

➢Rajiv Awas Yojana (RAY)-

In pursuance of the address of the President of India, to both Houses of Parliament in June 2009 and the Prime Minister on Independence Day, in which the government's vision of "Slum-free India" was announced, this Ministry has formulated the new Scheme – Rajiv Awas Yojana (RAY). RAY aims to provide support for shelter and basic civic and social services for slum redevelopment and creation of affordable housing stock to States that are willing to assign property rights to slum dwellers

5

JNNURM (BSUP & IHSDP)

Sub-mission for Basic Services for the Urban Poor (BSUP)

Integrated Housing & Slum Development Programme (IHSDP)

Covering 65 mission cities (originally 63, with Tirupati and Porbandar being the most recent additions)

Covering all other cities/towns

- Mission period from 2005-2012: 7 years co-terminus with the end of the 11th Five Year Plan
- Overall allocation of Rs. 66,000 crores (BSUP & IHSDP – more than 23000 crores)

6

BSUP: Mission Objectives

- Focused attention to integrated development of basic services to the urban poor in cities covered under the mission

- Provision of Basic Services to Urban Poor including security of tenure at affordable prices, improved housing, water supply, sanitation and ensuring delivery through convergence of other already existing universal services of the Government for education, health and social security

- Secure effective linkages between asset creation and asset management so that the Basic Services to the Urban Poor created in the cities are not only maintained efficiently but also become self-sustaining over time.

- Ensure adequate investment of funds to fulfill deficiencies in the Basic Services to the Urban Poor.

- Scale up delivery of civic amenities and provision of utilities with emphasis on universal access to urban poor.

7

BSUP: Components

Major Admissible Components	Inadmissible Components
• Integrated development of slums	Land cost except for the acquisition of private land for schemes/projects in the North Eastern and hilly states
• Projects involving the development /improvement / maintenance of BSUP	
• Slum improvement & rehabilitation projects	Projects pertaining to
	• Power
• Affordable housing for urban poor	• Telecom
	• Wage employment & staff component
• Convergence of health, education and social security schemes for the urban poor	• Creation of fresh employment opportunities

8

IHSDP

Basic Objective: Strive for holistic slum development with a healthy & enabling urban environment by providing adequate shelter and basic infrastructure facilities to slum dwellers in urban areas

Admissible Components:

- Provision of shelter including upgradation & construction of new houses.

- Provision of physical amenities like water supply, storm water drains, community bath, widening and paving of existing lanes, sewers, community latrines, street lights, etc.

- Social Amenities like pre-school education, non-formal education, adult education, maternity, child health and primary health care including immunization, etc.

- Slum improvement and rehabilitation projects.

9

Progress under BSUP & IHSDP

	BSUP	IHSDP	Total
Revised Allocation	16356.35	6828.31	23184.66
ACA Commitment	14706.07	7063.92	21769.99
% ACA committed Vs. Allocation	89.91%	103.45%	93.90%
ACA Released	7013.63	4241.74	11255.37
% ACA Released Vs. Committed	47.69%	60.05%	51.70%
No of projects approved	499	1018	1517
Total project cost approved	29719.67	10581.19	40300.86
No of DUs approved	1066161	540756	1606917
No. of Dwelling Units completed	296081	121421	417502
No. of Dwelling Units under Progress	307985	135580	443565
No. of Dwelling Units occupied	145592	75219	220811

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- **Pro-poor reforms:**
  - *Internal earmarking within local body budgets for basic services to the urban poor-* 55 cities have undertaken implementation of this reform
  - *Provision of basic services to the urban poor including security of tenure at affordable prices, improved housing, water supply, sanitation, health, education and social security; (7 point charter)-* to be implemented in a staggered manner
  - *Earmarking at least 20-25% of developed land in all housing projects(both Public and Private Agencies) for EWS/LIG category with a system of cross subsidization;-* 21 States (50 cities) have issued policy directions in this regard

- **3-tier Monitoring & Evaluation:**
  - **Central government – Central TPIMA, CSC & CSMC, Parliamentary Standing Committee, NTAG,**
  - **State level: State TPIMAs, SLSC, PMU**
  - **ULB Level: PIU**
- **Community involvement:**
  - **City Volunteer Technical Corps (CVTC)**
  - **Urban Community Development Network**
  - **Social Audit**

Framework for social accountability built into JNNURM

Objective: Developing a citizen-centric pro-poor urban renewal

JNNURM

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SOCIAL AUDIT

JNNURM

Conducting Social Audit for BSUP & IHSDP under JNNURM

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Social Audit in India

- Mechanism to demand accountability from public servants through civil society organizations

- Government schemes for which social audit is being conducted:
  - G/o Andhra Pradesh – social audit for NREGS, 2005
  - Mid-day Meal Scheme (MMS)
  - Scholarship schemes for the backward classes

13

Social Audit

➢ An independent and participatory evaluation of the performance of a public agency or a programme or scheme.

➢ Social Audit enables the civil society to assess whether an agency lives up to the shared values and objectives it is committed to.

➢ Social Audit also helps to rectify the deficiencies in a programme to redesign the objectives, focus and mode of implementation.

➢ Social audit has become one of the most popular social accountability tools used across the country.

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Social Audit for BSUP & IHSDP under JNNURM

<u>Objectives</u>

- To assess the physical and financial gaps between the needs and resources;
- To create awareness among beneficiaries and providers
- To increase efficacy and effectiveness and ensure transparency
- To scrutinize various policy decisions
- To popularize good governance
- To impart responsibilities in cities to build accountability

<u>Major Steps</u>

- Define the boundaries
- Stakeholder identification & consultation
- Verification and report preparation
- Public meetings
- Advocacy & institutionalization of social audit

15

Status of Social Audit under JNNURM

➢Manual & toolkits issued

➢2 Pilot studies undertaken in 2 cities namely Vijayawada and IHSDP Housing in Bedan Khari – Ganj Basoda Municipal Council (M.P.).

➢**Findings/Learning lessons:**

- Social Audit helped improve confidence levels among the beneficiaries.
- Social Audit allowed the beneficiaries to interact with a variety of people like ULB officials, social audit team from CGG, contractor etc.

(Contd…)

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Findings/Learning lessons

➢Community has been exposed to the detailed process and actors in the BSUP & IHSDP Schemes. Earlier the beneficiaties were not informed but now they better informed and know a lot more about their entitlements under these schemes.

➢Social audit also provided a platform for the concerned officials from the ULB to understand the needs of the beneficiaries. Beneficiaries on the other hand have benefitted as they were able to flag their concerns to the officials.

➢Social Audit is serving as a tool for bringing in accountability and transparency in public schemes.

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Social Audit under JNNURM

➢Pilots to be undertaken in two phases.
   ❖Phase-I will include limited 6 cities with progressing projects.
   ❖Phase-II will be carried out by following the procedure of calling for an open tender based on the experience and lessons learned from Phase I pilot study.

National Resource Centre	City	NGO Partner
EDI, Ahmedabad	Rajkot	Vikas Centre
CGG, Hyderabad	Tirupati	Dhan Foundation
SPA, Delhi	Chandigarh	PRIA
CEPT, Ahmedabad	Bhopal	Unnati
NIUA, New Delhi	Agra and Ambala	CURE

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CONCURRENT EVALUATION

Conducting concurrent evaluation of SJSRY

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Concurrent Evaluation

- Effectiveness, shortcomings and drawbacks
- Mid-course corrections
- Evaluation of ongoing process under scheme components
- Qualitative assessment at different stages
- Independent evaluation by community structures
- Tools:
  - Interviews
  - Group discussions
  - Observation
  - Case studies
  - Participatory learning action

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Status of Concurrent Evaluation under SJSRY

States where agencies are being considered for the award of contract for concurrent evaluation	States where re-bidding has been proposed
Rajasthan	Maharashtra
Uttar Pradesh	Bihar
Punjab	Mizoram
Karnataka	West Bengal
	Assam
	Tamil Nadu

- A draft note on Concurrent Evaluation under RAY has been prepared for the planning phase under the SFCP for consideration by M/o HUPA.
- The note proposes that agencies are involved in concurrent evaluation as well as building the capacities of the ULBs to undertake the process on a regular and sustained manner.

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COMMUNITY PARTICIPATION & MOBILIZATION

- Urban Community Development Network (UCDN) under JNNURM

- City Volunteer Technical Corps (CVTC)

- Community participation in the conduct of socio-economic surveys under the Slum-free City Planning (SFCP) Scheme of RAY

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Community Participation

Community Mobilization

- Involvement of people of a community in projects
- Activities:
  - Needs assessment
  - Planning
  - Training
  - Implementation
  - Monitoring & Evaluation

- Ways in which people can be encouraged and motivated to participate in programme activities
- Key elements
  - Motivation
  - Facilitation
  - Capacity Building

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Community Participation for conducting socio-economic surveys under the SFCP Scheme of RAY (Advisory Note issued in December 2010)

Key Recommendations:

- City-level [lead] NGOs to be engaged
- ULBs may choose to facilitate community engagement through **any one** of the following ways:
  - OPTION 1: ULBs have a strong Urban Poverty Alleviation (UPA) Cell and a well organized community mobilization and development structure with dedicated officers and community mobilizers at the field level;
  - OPTION 2: ULBs lack a strong UPA cell and dedicated community structure at the field level and choose to get the survey conducted through a professional agency supported by the Lead NGO
  - OPTION 3: ULBs lack a strong UPA cell and dedicated community structure at the field level and choose to get the survey conducted through the Lead NGO

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Key recommendations (contd.)

- The CBOs will play a key role in involving the community in each of the following steps in the mapping and survey operations:
  - Environment building before undertaking slum mapping and slum survey;

  - Identification, demarcation of slum areas, vacant lands & its ownership on the geo-referenced City Base Map;

  - Delineation of slum areas and mapping of slum infrastructure by total station survey;

  - Data base creation at household level on poverty and livelihood parameters.

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Urban Community Development Network (UCDN) under JNNURM

Mission: *Strenghten the non-profit community development organizations working for or empowering the urban poor and provide them a collective voice in their effort to overcome poverty*

Objectives:

- To ensure community 'ownership' of JnNURM and other poverty alleviation initiatives like SJSRY, thereby enhance the project sustainability;

- To develop innovative individual projects, with the objective of addressing service gaps or capacity constraints within and between local communities and in civil society organisations and resource institutions working for the urban poor;

- To involve the local and wider community in community relations and project implementation works which contribute to breaking down barriers and contribute to inclusive and sustainable development based on spirit of the 7-Point Charter;

- To encourage and enable community groups to participate in JnNURM project activities at various stages, including planning, implementation, monitoring, evaluation and social audit; and

- To enhance opportunities for effective community participation and execution of participatory community development projects in local areas, contributing to the attainment of the City Vision – paradigm of 'think globally and act locally'.

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Structure of UCDN

- Rooted at the ULB/city level

- Non-profit organisation registered under the Societies Registration Act

- Members from CDS, informal sector associations, resident welfare associations, groups of street children, destitute, etc., and resource organizations

```
                    MoHUPA
                       |
         Policy Cell/Project Management
                     Unit
                       |
         National Network of Resource
                   Centres
                       |
             State Resource Centre/
   Urban Poverty Alleviation & Livelihoods Cell
                       |
   State Network of Resource Centres/Research &
               Training Institutions
                       |
              ULB Resource Centre/
   Urban Poverty Alleviation & Livelihoods
                     Cell
                       |
         Community Development Network
                    (CDN)
                       |
```

| Community Development Societies (CDS) | Residents' Welfare Associations/ Other Citizens' Organisations | Associations of Informal Sector Groups |

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City Volunteer Technical Corps (CVTC)

- CVTC has been envisaged as an integral part of programme implementation at the city level
- Role:
  - Advise the city govt. and management team on the enlistment of community participation in service delivery
  - Mobilize projects under the community participation fund relating to their specific thematic areas
  - Ensuring transparency and accountability to citizens in programme implementation of JNNURM
- Established in Madurai, Coimbatore, Patna, Surat, Rajkot, Varanasi, Ranchi, Raipur, Puducherry, Jaipur and Pimpri-Chinchwad.
- GoI supporting financing @ Rs. 10 lakh per Mission City.

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THANK YOU

JNNURM

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Presentation 11

SOCIAL ACCOUNTABILITY MECHANISMS IN NRHM

| May 6th 2011 | Dr. Sajjan Yadav, Director, NRHM |

National Rural Health Mission

□ National Rural Health Mission seeks to provide effective health care to the rural population, especially the disadvantaged groups including women and children through:

- ◘ Improving access to health services

- ◘ Enabling community ownership and demand for services

- ◘ Strengthening public health systems

- ◘ Enhancing equity and accountability

- ◘ Promoting decentralization

□ In NRHM we follow "Rights Based Approach"

Accountability Framework of NRHM

Three pronged approach for ensuring Accountability

| Community Engagement | External Surveys (SRS, DLHS, Facility Surveys) | Concurrent Monitoring & Evaluation |
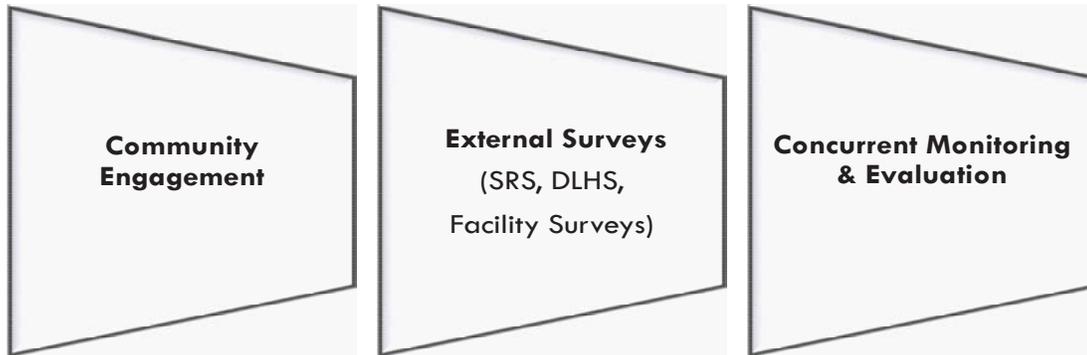
Social Accountability in NRHM

❑ In NRHM we strive to actively involve people in the public health system not only as consumers but also as key stakeholders involved in planning, decision making, and monitoring to ensure community ownership and social accountability.

❑ Means of public engagement with the health system include:

  ❑ Participatory Planning

  ❑ Building community ownership

  ❑ Community Based Monitoring

Planning With Community

- □ Bottoms Up Planning is at the heart of NRHM implementation Framework

- □ Planning begins at village level. Village Health and Sanitation Committee (VHSC) plays a key role. ASHA and ANMs assist the VHSC in preparing Village Health Action Plan.

- □ Village Health Action Plans form basis for preparation of Block Plans. This is done by the Block Planning and Monitoring Committee

- □ The Block Plans form the basis for preparation of annual District Health Action Plan (DHAP). District Planning and Monitoring Committee is entrusted with the task of preparing the DHAP and monitor its implementation.

The Planning Process

State Planning & Appraisal Committee

District Health Monitoring and Planning Committees

Block Health Monitoring and Planning Committees

Village Health Committees

STATE

Integrate

DIST   DIST

Integrate

BLOCK   BLOCK   BLOCK

Integrate

GP   GP   GP   GP

Integrate

V V V V V V V V V V V
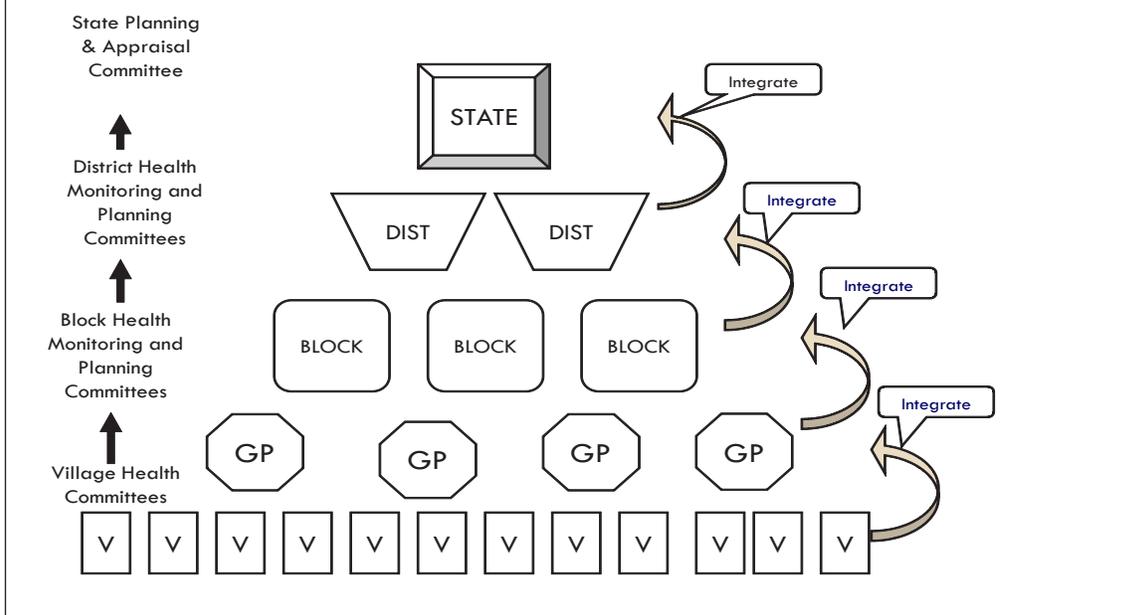
Community Ownership

□ Community ownership ensures better accountability of the service providers at institutional level

□ The Mission facilitates building community ownership through institutions like Village Health & Sanitation Committees, Rogi Kalyan Samitis/Hospital Management Society and organizing monthly Village Health and Nutrition Days.

□ Elected representatives actively involved :

◘ VHSC – Pradhan and GP Members

◘ RKS: PRI members

◘ District Health Mission – Chairman ZP

◘ District Vigilance and Monitoring Committee - MP

Village Health and Sanitation Committee

□ Important tool of community empowerment at the grassroot level. Reflects aspirations of the local community

□ Chaired by Gram Pradhan. Broad based. Includes ASHA, AWW, ANM and PRI representatives, SHG leader, village representatives of any CBO, and user group representatives.

□ Over 4.73 lakh VHSCs have been set up.

□ Capacity building, training and awareness of VHSC members and PRI representatives to make VHSC effective tool of planning and community accountability.

□ Untied grants of Rs. 10,000 annually to each VHSC

□ ASHAs given incentives for house hold surveys to help VHSC in planning and monitor progress.

Roles of VHSC

- Create public awareness about the essentials of health programmes and entitlements to enable people's involvement in monitoring.

- Discuss and develop a Village Health Plan based on assessment of the village situation and priorities identified by the village community.

- Analyse key issues and problems related to village level health and nutrition activities, present an annual village health report in the Gram Sabha.

- Participatory rapid assessment and mapping to ascertain the health related issues in the village.

- Oversee the work of village health and nutrition functionaries like ANM, MPW, and AWW to ensure service delivery.

Rogi Kalyan Samiti

- Registered society

- Oversees management of public health facilities.

- Members include representatives of PRI, NGOs, community members and health professionals.

- Set up in over 31.000 public health institutions (>80%)

- Given annual untied grants (Rs 5 laks to each DH and Rs 1 Lakh to others)

- Decides utilization of Facility Untied Funds

- Contract of employees signed with RKS

Broad Objectives of RKS

□ Facilitates community ownership,

□ Improves accountability.

□ Grievance Redressal Mechanism

□ Ensure compliance to minimal standard for facility and hospital care.

□ Undertake and supervise improvement and maintenance of physical infrastructure and service delivery

□ Supervise the implementation of National Health Programmes.

Village Health and Nutrition Day:

□ Organized once every month at the Anganwadi Centre (AWC) in the village.

□ PRI representatives, community members, ASHAs are actively involved

□ Platform to further integrate community and the health system.

□ Education, awareness generation and behavioral change

□ Hub for reproductive and child health services

□ Promotes intersectoral convergence.

□ Till date, more than 2.48 Crore VHNDs have been held

Community Monitoring

□ Comprehensive framework for Community based monitoring and planning at various levels of Public Health Systems

□ Places people at the centre of the process of regularly assessing whether the health needs and rights of the community are being fulfilled.

□ Monitoring and Planning Committees at Primary Health Centre (PHC), Block, District and State levels.

□ Community members involved in collecting information about local health services, preparing and displaying 'report cards' on health services, dialoguing with health service providers and officials, organizing public hearing on health services and raising issues.

Objectives of Community Monitoring

□ Provide regular and systematic information about community needs.

□ Provide feedback on performance on selected indicators and locally developed yardsticks.

□ Obtain feedback on Functioning of various levels of public health system and service providers and fulfillment of entitlements.

□ Identify gaps and deficiencies in services and level of community satisfaction.

□ Enable the community and CBOs to become equal partners in planning process.

□ Increase community involvement and participation to improve functioning of public health system.

□ Ensure services reach those for whom they are meant, especially the poor, women and children.

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Advisory Group on Community Action

- □ Advisory Group on Community Action (AGCA) is mandated to spearhead the community related initiatives.

- □ Comprises of eminent public health professionals associated with major NGOs and meets regularly to handhold activities relating to community action.

- □ Based on the AGCA recommendations, community monitoring under NRHM was implemented in nine states (Assam, Jharkhand, Chhattisgarh, Madhya Pradesh, Rajasthan, Maharashtra, Tamil Nadu, Karnataka and Orissa)

- □ The monitoring process involved capacity building of planning and monitoring committees at different levels to conduct enquiry into the functioning of different components of NRHM and uptake of key services.

Community Monitoring Coverage

State	Nodal NGO
Assam	Voluntary Health Association of Assam
Jharkhand	CINI
Rajasthan	PRAYAS
Tamil Nadu	Tamil Nadu Science Forum
Chhattisgarh	SANDHAN Sansthan, Chattisgarh Voluntary Health Association and PFI-RRC)
Karnataka	Karuna Trust
Madhya Pradesh	Madhya Pradesh Vigyan Sabha
Maharashtra	SAATHI-CEHAT
Orissa	KCSD- KIIT

CBM- Key Processes

- □ Filling village level health report cards
  - – building people's capacity to publicly rate health services
- □ Jan Sunwais
  - - collectively raising voices for change
- □ Networking of civil society organizations at multiple levels
  - - linking up diverse civil sciety actors towards a common goal
- □ Periodic state level dialogues
  - -enabling dialogue between civil sciety ad state health department
- □ Media involvement and coverage
  - - increasing public awareness and amplifying demands for accountability

Report Cards

Key Issues:
- ❑ Maternal Health
- ❑ Child Health
- ❑ Disease Surveillance
- ❑ Curative Care
- ❑ Untied Funds Utilisation
- ❑ Quality of Care
- ❑ Community Participation
- ❑ ASHA functioning
- ❑ ANM/MPW visits

green
- • Good 75 – 100%

yellow
- • Partly Satisfactory 50-74%

red
- • Bad 1- 49%

CBM Progress in States

<u>Maharashtra</u>

- CBM Implemented in 5 districts- Amravati Nandurbar, Osmanabad, Pune and Thane.
- 23 blocks and 500 villages covered
- 8 more districts to start in current year
- Coordinated by State NGO – SATHI
- District and block nodal NGHs

CBM Progress in States

<u>Orissa:</u>

- Community Monitoring called *Gaon Swasthya Samikshya* initially piloted in 4 districts, Scaled up to 16 districts
- Allocated Rs 109.10 lakhs in 2011-12.

<u>West Bengal:</u>

- Started "The Community Health Care Management Initiative (CHCMI)" to strengthen public health programmes through effective involvement of Panchayati Raj Institutions (PRIs), empowering and capacity building of the Gram Unnayan Samiti (GUS) and active involvement Self Help Groups (SHGs) to expand community outreach.
- Currently, around 10,000 SHGs are performing the monitoring activities across the State.

CBM Progress in States

Bihar:

□ Piloted in 2010-11 in three districts Bhagalpur, Darbhanga and Nawada. Two blocks taken in each district

□ Outlay of Rs 129 lakh.

Rajasthan:

□ Started in 180 villages, scaled up in 405 villages, 45 PHCs and 15 blocks of five districts.

Tamil Nadu:

□ CBM through Community Action For Health (CAH) project started in 446 Panchayats of six districts

Karnataka:

□ The initial pilot phase of Community Monitoring is being expanded to cover the whole state in 2011-12.

Impact of Community Monitoring

□ The report on the first phase of community monitoring under NRHM states that, "the most significant gain is the active engagement between the community and the health department. It enables the community to be a significant stakeholder in the management of public health system."

□ Under the guidance and facilitation of NGOs, Village Health and Sanitation Committees are actively involved in the community monitoring process especially in the sharing of the village report cards. Village report cards are shared via the *Jan Savad/Jan Sunvai* and these have led to changes like the visits of front line workers becoming regular, JSY money being paid to beneficiaries etc.

Impact of Community Monitoring

☐ Improvements in village level health services:

Graph 1– Good Ratings of 5 districts in Maharashtra over 3 Phases

Impact of Community Monitoring

☐ Improvements in village level health services:

Graph 2– Partly Satisfactory (yellow) and Bad (red) ratings over 3 Phases among 5 districts in Maharashtra
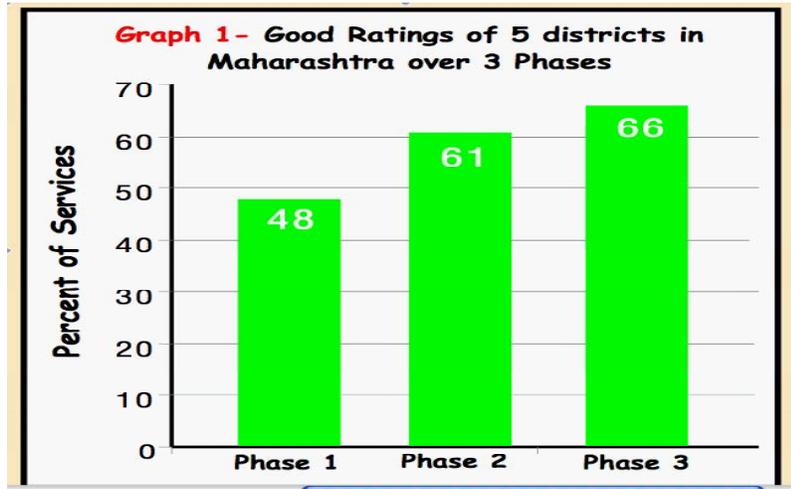
Impact of Community Monitoring

☐ Increased Utilization of Services:

Impact of Community Monitoring
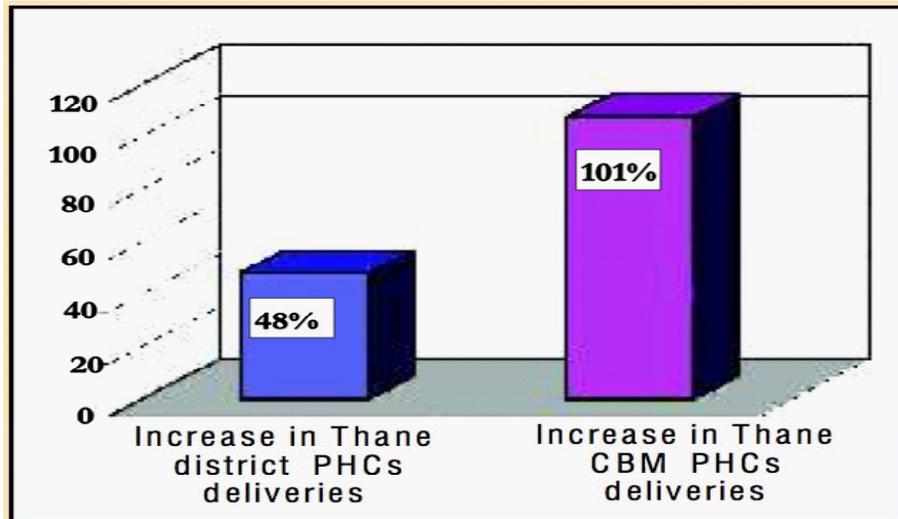
☐ Increased Utilization of Services:
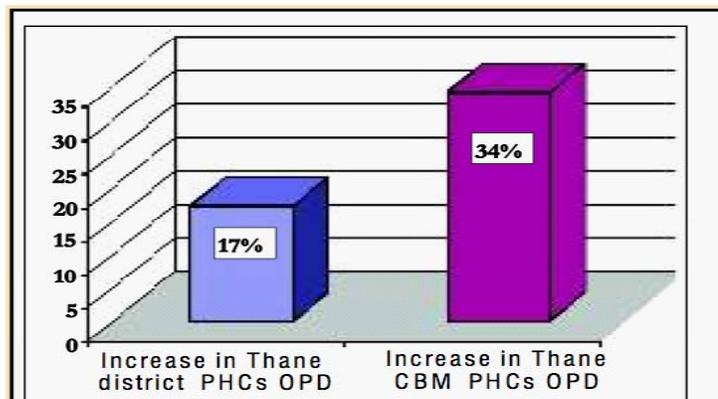
Percentage increase in monthly OPD attendance between 2007-08 and 2009-10, for PHCs in entire Thane district, and in six PHCs covered by CBM

Impact of Community Monitoring

☐ Qualitative Improvement in Services:
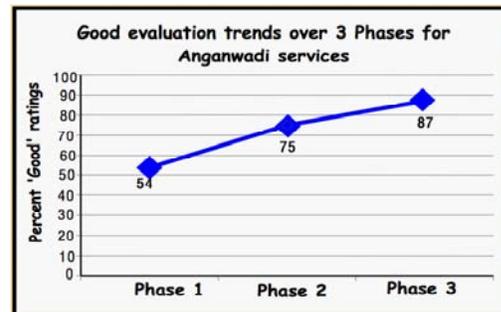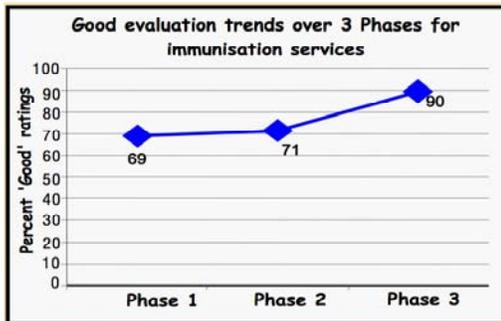
Way Forward

☐ Further strengthening the social accountablity framework

☐ Accelerating the momentum to push social accountability from periphery to the core

☐ Scaling up CBM to cover all states/UTs

☐ Capacity building to demand and facilitate accountability

☐ Change in perception, attitude and work culture

☐ Frequent and fruitful dialogue with district and state officials

Community Involvement: Belewadi (Masa Sub-Centre) in Kolhapur District of Maharashtra- Members from the local committees get together for improvement of the sub-centre in the village

Thanks

Presentation 12

Improving Delivery under Integrated Child Development Services (ICDS) Scheme

6th May, 2011

Ministry of Women and Child Development Government of India

Ms. Rupa Dutta, Director (ICDS)

1
1

I. **Structure of the Presentation**
    Universalisation & Improving Service delivery   Slides 3-12
    - Coverage
    - SNP
    - Management Issues: Financial, Manpower and infrastructure
    - Inter Sectoral Convergence, Growth Monitoring & PSE
    - Training, MIS and Monitoring

II.   **New initiatives   Slides 13-16**
III. **Strengthening & Restructuring of ICDS : ICDS in a Mission mode 17-20**
IV. **NCAER Study and WBNP   21-23**

2

Phase I: Universalization of ICDS Strengthening & Improving Service Delivery

3

Phase - I

ICDS: Universalization , Strengthening & Improving Service Delivery

➢ Universalisation of ICDS programme
- Started in 2005-06
- Two phases of expansion (2006-07 and 2008-09)
- Full nationwide coverage of SC/ST and Minority was the objective

➢ Physical coverage
- Average increase in coverage since 2002 – 42%
- Coverage during 2007-11 – 80%
- Increase in number of overall (SNP + PSE) beneficiaries after 31.03. 2002 till 31.12.2010 – 135%

4

Roadblocks

➢ Budget restriction (No additional funding)

➢ Equivalent expectations without any change in the programme pattern

➢ No similar support (in terms of implementation and funding) provided to ICDS like that in SSA & NRHM

Programmatic Challenges

• **Delay in Operationalization**

➢ Projects   : 6700 / 7015 (7076)
➢ AWCs/ mini-AWCs : 12.60/ 13.67 (14) lakh

Universal Coverage
➢ Need for Adherence to revised population norms
➢ Mapping (GIS) and Ground verification to ensure saturation of coverage
➢ Upload a list of AWC locations on web sites of States/ UTs in prescribed format
➢ Full coverage of urban slums/ urban areas with required local innovation
➢ Address social inclusion effectively

Supplementary Nutrition Programme (SNP)
[Administrative Challenges]

• Adoption of norms :

[THR : 6 month to 3 yrs & P&LM; MS & HCM : Children (3-6 yrs)]

- Adherence to revised nutritional and cost norms
- Optimization of coverage

• Improve quality of delivery
  - Ensure uninterrupted delivery
  - Adhere to calorific and nutritional norm
  - Remove discrepancies in reporting

• Improve Management
  - Supply chain
    - commodity management
    - uninterrupted distribution at AWC
  - Regularity and timeliness of distribution
 - Adopt optimal approach and reduce wastage

7

Financial Management : Fund flow & SOEs

- Timely submission of component-wise expenditure in SOE along with Utilization Certificate (UC)

- Optimum fund utilization (as per norms) under SNP and ICDS(G) including expenditure on components like PSE, Medical kits, POL, utilization of flexi funds etc

- APIP to capture indicators for financial monitoring

SNP - Release Vs. Expenditure (Trend)

Rs in Crore

	2010-11	2009-10	2008-09	2007-08
Release	4968.71	3730.14	2281.31	2062.31
Expenditure	6641.23	8242.95	4928.35	4433.84

■ Release   ■ Expenditure

ICDS(G) - Release Vs. Expenditure (Trend)

Rs in Crore

	2010-11	2009-10	2008-09	2007-08
Release	4693.79	4299.90	4006.49	3108.03
Expenditure	3352.41	4735.67	3886.39	2570.48
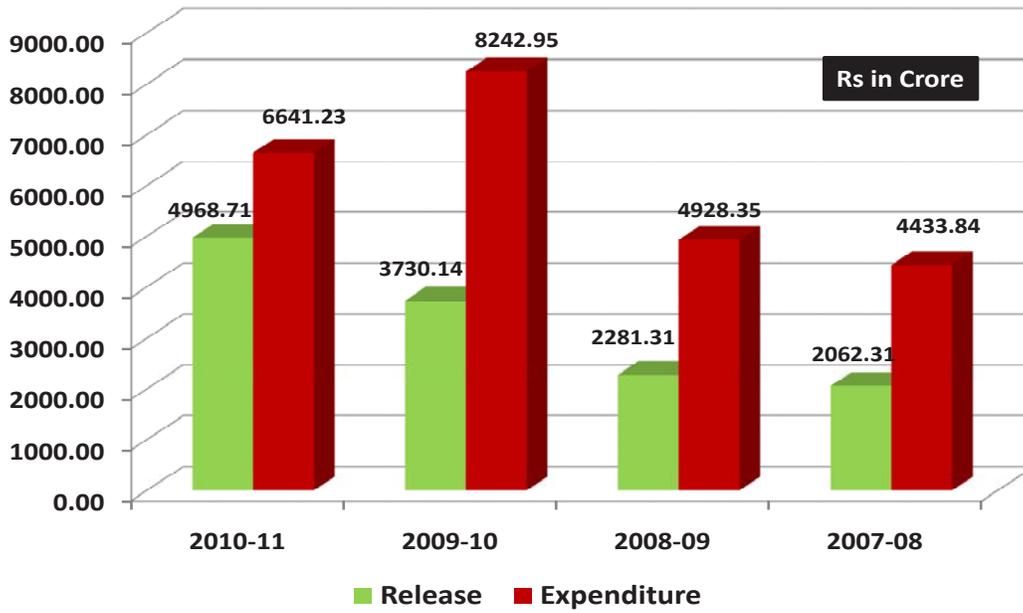
■ Release   ■ Expenditure
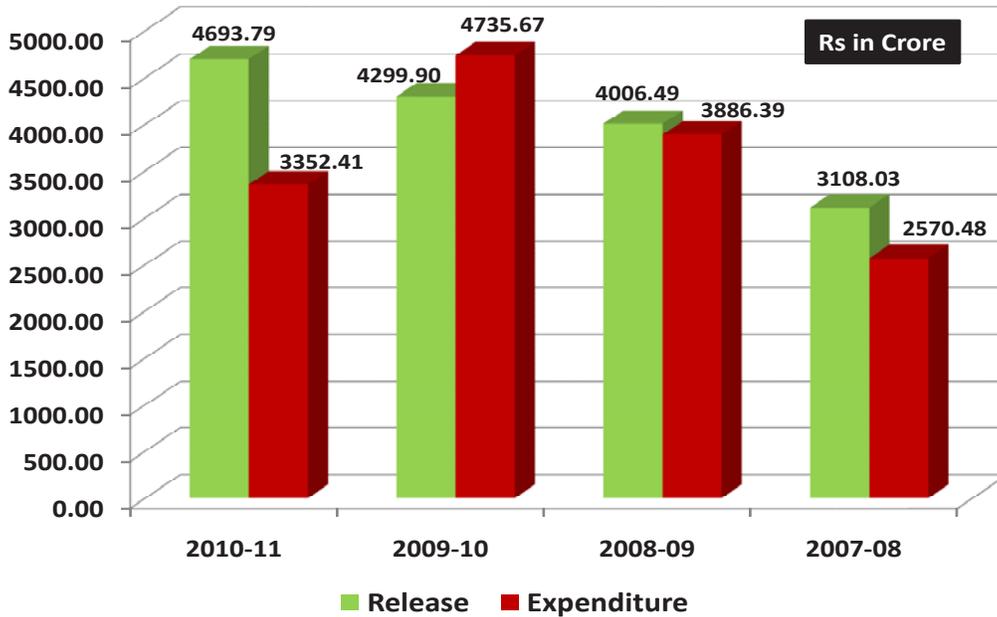
Infrastructure – AWC Buildings

Construction of AWCs Buildings

  ➤ Consolidate Anganwadi Centre as the first village/habitation post for health, nutrition and early learning

  ➤ Tap funds from MPLADS, MLALADS, BRGF, RIDF, PRI, State Plan including ACA, MSDP, BADP, etc to construct good model AWCs buildings with all amenities

  ➤ Provide adequate space, water supply and sanitation

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Manpower Management

- Vacancies:
    ➤ Large vacancies : CDPO/ ACDPO (30%), Supervisors (25%), AWW (6%)/ AWH (13%)/
    ➤ Disengagement of ICDS functionaries from non- ICDS related activities

- Need for Dedicated cadre & Team for ICDS functionaries & tenure stability

12

Inter Sectoral Convergence with Other Deptts.

➢ Health : Joint arrangement of 3 services: Immunization, Health Check-up and Referral

  ➢ Supply of IFA tablets and Vitamin "A"
  ➢ Management of severally undernourished
    • Reflect in ICDS related services separately and NRHM PIPs at all levels
    • Holding of VHND
    • Institutional arrangements for effective engagement of health sector

    •Joint Home Visits, IPC
    •Training
  ➢ IEC and Campaign
  ➢ DDWS:
    • Provision of safe drinking water
    • Provision of child friendly toilet
    • Awareness on sanitation and safe drinking water

13

Growth monitoring, ECCD & PSE

➢ Roll out new WHO Growth Standards and Joint MACP card by March 2011.

➢ Pre-School Non-formal Education:

  - Ensure availability of PSE kits

  - Usage of Local materials & effective communication

  - Joyful learning with regularity and improved Quality

  - Constant evaluation with methodology

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ICDS: Training, MIS, Monitoring and ICT

- Focus on cross sectoral, horizontal and vertical integration, in content and participation of training component

- Timely transfer of funds to AWTCs & MLTCs

- Revised MIS to be rolled out during 2011-12
- Web based MIS being developed by NIC
- Guidelines for setting up Monitoring and Supervision Committees issued to the States/UTs.
- Setting up National Level Monitors (NLMs) (retired civil servants and defense personnel)

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Training, MIS, Monitoring and ICT

- Set up Nutrition Resource Platform (NRP), using Mobile Phones to generate connectivity with the AWCs

- Sensitize about WCD Schemes

- States/ UTs to utilize Information & Public Relations Departments and mobile vans/ fixed loudspeakers

- Pilots as part of IEC campaign for dissemination of information

- Proposal to involve National Level Monitors (NLMs)

New Initiatives

➢ Doubling of honoraria for AWWs/AWHs

➢ EFC Note circulated for ICDS System Strengthening and Nutrition Improvement Programme (ISSNIP), IDA World Bank Assisted Programme incorporating Softer components of ICDS and testing of pilots in 162 districts of the country.

➢ EFC Note under formulation for cost indexation of SNP, additional nutrition counselor in 200 districts, earmarking token funds for construction of AWCs and enhancement of the rent component

➢ Focused Early Child Care and learning Environment :ECE Policy , curriculum and activity

➢ ECD (ICD) beyond AWCs in private/organizations

APIP(Annual Programme Implementation Plan): Precursor to Mission Mode

➢ Roll out of state PIPs for ICDS from 2011-12

➢ Strengthen planning, programme management, implementation and monitoring

➢ Acknowledge and capture the diversity across the 35 states/UTs in respect of health, nutritional needs of women and children

➢ Facilitate States to develop specific strategies/ interventions

➢ Proposals received from Seven States and discussions have been initiated.

PROGRAMME

- Human Resource
- Procurement of Material & Equipments
- Delivery of Services at AWCs
  - Supplementary Nutrition
  - Pre-School Education
  - Nutrition & Health Education
  - Immunization
  - Health Check ups
  - Referral Services
- Observance of Nutrition & Health Day
- IEC
- M&E
- Training & Capacity Building
- Convergence with Line Departments
- Community Participation & Involvement of PRIs
- Financial Management & Fund Flow Mechanism

Prime Ministers, National Council Meeting on India's Nutrition challenges on 24.11.2010

Major Decisions:

➤ Strengthen and restructure the ICDS scheme

➤ Introduction of a multi-sectoral programme to address maternal and child malnutrition in selected 200 high burden districts

➤ Introducing a nation wide information, education and communication campaign against malnutrition

➤ Making nutrition a focus in the programmes in schemes of line Ministries

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Phase II: Restructuring of ICDS in a Flexible and Mission Mode

21

Quality Enhancement

➢ Child friendly AWCs infrastructure and facilities

➢ Decentralized planning and management

➢ Supportive community actions & participation of women

➢ Adequate skilled human resource

Quality Enhancement

APIP linked to
- Component
- Performance
- Financial allocation
- Leading to National PIP

Institutionalization
- Improved Norms and quality standards
- Grading and assessment
- Child Development Resource centers (National / State/ dist
- Technical support
- Voluntary Action Group
- Parent /Community meetings
- Scale up of learning in phase I , pilots and best practices & innovations

Evolved and Transformed ICDS

- Rights Based Management Approach

- Food, Child and Maternity benefits as justifiable entitlement

Result Based Management Approach

➢ Focus on Right to Food

➢ Focus on Right to Education

➢ Focus on Entitlement and Corruption issues

  - Transparent rule of recruitment

  - SNP centralization or decentralization: A Dilemma

  - Formulation of Protocols for systematizing operations

➢ Focus on community participation (augmented social accountability and sense of belongingness)

ICDS : NCAER Draft Evaluation Report

Sample size: 19,500 households, 3,000 community leaders and 1500 AWCs from 300 projects

➢ 64% coverage of children recorded in delivery register
➢ on an average, SNP is provided for 16 days in a month

| State with more than 70% of those recorded in the delivery register received benefits	**12 States** [A.P., Asm, Chat., Guj, H.P., J&K, Jhar, Kar, Ker, TN, Utt, & WB]
	Bih (53%), Har(52%), Raj(56%), UP (41%)
States are required to provide SN for 300 days in a year	**States providing SN for more than 80%** Har, Kar, Ker, Maha, Ori, TN & WB **States providing SN for 64-80%** A.P., Chat, Guj, H.P. & Pb **States providing SN for less than 64%** Asm, Bih, M.P., Raj, UP & Utt

ICDS : WBNP

➢ Presently Availing: 25 States/ UTs

➢ Scarce Resource: Core Group set up States/ UTs to give basis

and details of requirements of food grains for 2011-12

➢ Rationale for not availing food grains

➢ Regular lifting position to be provided

➢ For future allocation: Previous quarter lifting at least 70%

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Thank You

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