



SOCIAL AUDIT IN RAY

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MODULE-6

Context



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- Social audit has become one of the most popular social accountability tools.
- Social Audit is a participatory assessment of the programme or a scheme.
- It is founded on the principles of ‘Participation’ in which people affected directly by the project or a scheme are engaged.
- Social Audit helps to rectify the deficiencies in a programme and helps in redesigning the objectives, focus and mode of implementation.

Objectives

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- Ensuring equity, transparency and accountability in implementing the scheme;
- Giving voice to the people most affected by the scheme;
- Timely identifying and resolving issues related to implementation of the scheme

Need and Relevance

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- Community Voice and Consensual Decision-making is one of the key elements of MoHUPA strategy.
- The focus of RAY is on community participation and developing inclusive cities, it is important to initiate a formal process and mechanism to review/evaluate the benefits of the scheme and its relevance from the point of view of the community.

Funding Mechanisms

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- Central support for undertaking social audits during implementation of Projects under RAY will be limited to 0.5% of the central share for the States/UTs.
- States/UTs will identify agencies for undertaking Social Audits and will prepare annual action plan for the identified projects.
- It is recommended to undertake Social Audits for 5-10% of the sanctioned/approved projects in each State/UT.
- Funds will be released in two instalments to the States for this purpose. First, on receipt of the annual action plan and the final instalment will be released on receipt of final report and 70% utilisation of earlier Central release.

Stakeholders involved in the Social Audit



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- Community or Project 'Beneficiaries' (slum dwellers)
- Elected Representatives
- Officials of the Urban Local Bodies dealing with RAY and Staff of Technical Cells of RAY.
- Civil Society Organizations(CSOs)
- Media
- State Government officials dealing with RAY, SLNA and g RAY Technical Cells
- MoHUPA (RAY Mission Directorate) dealing with RAY

Institutional Mechanism Proposed



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**MOHUPA (RAY Mission
Directorate)**

- Review progress of social audits
- Make recommendations for strengthening outcomes of programme implementation including necessary revisions and issuing guidelines.

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State Level Nodal Agency

- Appointment of an Independent Facilitating Agency (IFA)
- Drawing up an annual action plan and necessary financial arrangements for the social audit and sending the annual plan to MoHUPA
- Regular interface with ULBs on the social audit.
- Supporting ULBs in taking actions on the issues raised through the process of social audit.
- Sending Social Audit Reports to the MoHUPA.

Facilitating Agencies (CSOs)

- Conducting social audit in the identified sites.
- Interactions and Meetings with ULBs and drawing out a calendar of activities
- Build a Platform consisting of other CSO
- Build capacities of SAC to conduct the SA
- Prepare Resource Materials and Formats
- Create awareness amongst the community
- Facilitate the process of data collection and verification.
- Support SAC in organising Public Meeting
- Prepare the report of social audit and share the same with SAC, ULB, City Level Committee, SLNA

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City Level Committee

Local Partnerships with city-based NGO and CBO at the city/town level, with other departments of social work and/or urban planning/architecture

Social Audit Committee

Community members of those locations and sites where the social audit will take place.

- Advise on the project and sites selected for social audit.
- Participate in discussion and sharing when the findings are presented
- Lead the process of social audit in the community.
- Involve other community members in the process
- Collect information and verifying the same
- Analyse information
- Organise Public Meeting with Facilitating agency
- Submit issues raised out of the social audit to ULBs
- Undertake Follow up

Key Activities in Social Audit



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PHASE I : PREPARATION FOR SOCIAL AUDIT

Identifying Facilitating Agency

A facilitating agency having expertise on conducting social audit to be identified through an open and transparent process at the state level.

Relationship Building

Identified agency builds relationship with ULBs and other stakeholders involved in the process of social audit. This step should yield to establishing the scope of the social audit and defining roles for each of the stakeholders involved including people from technical cells.

Defining the boundaries of Social Audit

Identification of works to be audited is the first step in a social audit.

Forming the Social Audit Committee (SAC)

Facilitating agency should form a social audit committee in the community in consultation with the community in the slums/locations where the works have been or are being taken up.

Key Activities in Social Audit



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Preparing a Time schedule for the audit

Social audit involves a variety of activities. All the activities in a social audit can take around three months to complete. This includes time for planning and implementation.

Building a conducive Environment

Information dissemination to all stakeholders and community is very important.

Capacity Building and Information Collection

SACs and Facilitating agencies should strengthen their capacities in order to undertake social audit. Collecting information for audit with the participation of other stakeholders. A no. of records need to be gathered and beneficiary satisfaction needs to be gathered. By the SAC. Both, Secondary and Primary data collection methods would be required.

Consolidation and Compilation of Information

SA team should tabulate information and prepare display charts for presentation in the Public Meeting

Key Activities in Social Audit



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PHASE II : PUBLIC MEETING

Preparation for public meeting

Motivating and encouraging SAC to take lead in organizing public hearing in the slums so that the community can participate in public meeting. Prior information helps in mobilising people.

Introduction & Initiation

The objectives, need, and principles of social audit should be explained to the gathering. This activity is highly important as it tries to generate interest and acceptability on social audit and enables its internalization. Facilitators must take up charge to explain the relevance and utility of social audit during this activity.

Display of Information

Charts containing details of the findings from the social audit activity must be displayed for the benefit of the people assembled for the public meeting

Key Activities in Social Audit



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Facilitating Discussions

Beneficiaries respond by questioning the information and lead the way to debate and discussion on specific issues. The facilitator should ensure that the concerned ULB officials and elected representatives respond to queries raised by the beneficiaries and other stakeholders without feeling threatened.

PHASE III : Follow up

Follow up Activity

This activity primarily involves embarking upon follow-up action based on the decisions recorded at the public meeting.

Activities and Tentative Time Line Per Social Audit



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ACTIVITIES	ESTIMATED TIME
Identification and selection of works where social audit is to be undertaken	First month
Building rapport with community and the beneficiaries and environment building	First month
Gathering relevant information from the concerned offices (ULBs/SLNA)	Second Month
Consolidation of information collected	Second Month
On-site verification, consultations and discussions with the beneficiaries	Third Month
Organizing the public meeting	Third Month

Roles and Responsibilities of Stakeholders



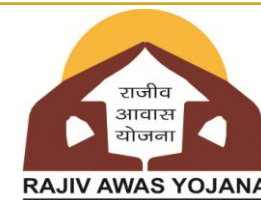
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Stakeholders	Roles and Responsibilities
Community or Project ‘Beneficiaries’	<ul style="list-style-type: none">• Participate in social audit• Create a Social Audit Committee (SAC). If Slum dwellers association exists, then those should be used.• Create awareness on social audit amongst the community and help selecting and training new social audit team members at the slum level• Extending necessary support, seeking information from ULBs and contractors on the implementation of various works, and also the entitlements promised under the RAY• Providing inputs to ULBs and CSOs in modifying and designing the programme for better outreach

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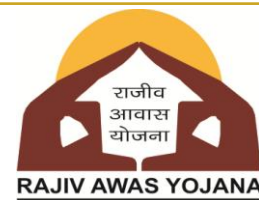
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Stakeholders	Roles and Responsibilities
Elected Representatives	<ul style="list-style-type: none">• Encouraging and mobilising the beneficiaries and the community to be a part of the programme• Participating in the audit process and extend support to the social audit teams• Participating actively and attend public meetings and cooperate in all aspects
Urban Local Bodies	<ul style="list-style-type: none">• Disclosing details and information pertaining to all the works under RAY• Clarifying queries pertaining to the works undertaken• Supporting the process of social audit in the city/slums through the Technical cells.• Complying to decisions and resolutions finalized in social audits• Redressing grievances if any

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Stakeholders	Roles and Responsibilities
State Government/SLNA	<ul style="list-style-type: none">• Identifying Facilitating agencies to conduct social audit through an open and transparent process• Facilitating interface meetings of identified facilitating agencies with the ULBs• Providing administrative and budgetary support to the Facilitating Agencies.• Social Development Experts in the State Level Technical Cells to provide technical support and supervision to the social audit process.• Providing suggestions and feedback on the report of the social audit conducted• Reporting the same to the MoHUPA

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Stakeholders	Roles and Responsibilities
Facilitating Agencies/CSOs	<ul style="list-style-type: none">• Act as facilitators to conduct social audit• Develop a calendar of activities with the support of ULB and the technical cells to carry out the social audit in slums in a city.• Formation of SAC at the neighbourhood level• Providing support to the community social auditors• Creating awareness & Sensitizing the community• Conducting Training for SAC members• Monitoring the progress of social audit• Ensuring participation of all the stakeholders during social audits• Facilitating the organization of public hearing• Submitting the deliverables (including final report) to ULB and SLNA

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Stakeholders	Roles and Responsibilities
Media	<ul style="list-style-type: none">Publicizing the programme and publish required information for wide scale replication of the social audit exercise.
MoHUPA (RAY Mission Directorate)	<ul style="list-style-type: none">Ensuring that the funds released for the project are optimally utilized.Monitoring the progress of social audit

Reporting Social Audit



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- Report of Social audit should be submitted to ULB by the facilitating agencies within seven days of the conduct of public meeting . The report must contain :
 - Discussions of public hearing
 - Findings on all the parameters applicable for the particular stage of project implementation.
 - A full list of the affected families, along with their house numbers should be annexed with the report.
- However, conclusions of Social Audit may be finalized after verification of the all the facts with various stakeholders involved.
- Report from ULB should be sent to SLNA and from SLNA to MoHUPA.

Summary/Conclusion



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- Community participation is an important component of RAY and is encouraged during implementation stage through Social Audit.
- CBOs formed and nurtured under survey and micro planning stages would be further strengthened and utilised to conduct social audits.
- Social Audit would lead to :
 - a. Timely corrective measures
 - b. Increased sustainability of project outcomes
 - c. Accountability and Transparency

- The Guidelines on Social Audit is available on MoHUPA website at www.mohupa.gov.in
- Discussion forum on RAY Vaarta, available at www.mhupa-ray.gov.in can be used for queries related to Social Audit

Thank You