



Guidelines for Social Audit of Samagra Shiksha



Department of School Education & Literacy
Ministry of Education
Government of India



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LIST OF ABBREVIATIONS

Abbreviation	Full Form
ATR	Action Taken Report
BEO	Block Education Officer
BRC	Block Resource Centre
BRC/BRP	Block Resource Centre/Block Resource Personnel
CAL	Computer Aided Learning
CPD	Continuous Professional Development
CRC	Cluster Resource Centre
CRC/CRP	Cluster Resource Centre/Cluster Resource Personnel
CSA	Cluster Social Auditor
CSO	Civil Society Organization
CwSN	Children with Special Needs
DEO	District Education Officer
DIET	District Institutes of Education and Training
DIKSHA	Digital Infrastructure for Knowledge Sharing
DoSE&L	Department of School Education & Literacy
DPO	District Project Office
DW	Drinking Water
ECCE	Early Childhood Care and Education
ECCE	Early childhood Education Care
EWS	Economically Weaker Section
FIR	First Information Report
GP	Gram Panchayat
HM	Head-Master
ICT	Information and Communication Technology
KGBV	Kasturba Gandhi Balika Vidyalaya
KPI	Key Performance Indicator
LA	Local Authority
MIS	Management Information System
MMMER	Media, Monitoring, Management, Evaluation and Research



सत्यमेव जयते

Abbreviation	Full Form
MoE	Ministry of Education
MoE	Ministry of Education
NCPCR	National Commission for Protection of Child Rights
NEP, 2020	National Education Policy, 2020
NGO	Non-Governmental Organization
NIRD	National Institute of Rural Development
NIRD&PR	National Institute of Rural Development & Panchayati Raj
NRLM	National Rural Livelihood Mission
OoSC	Out of School Children
PRABANDH	Project Appraisal, Budgeting, Achievements and Data Handling System
PRI	Panchayati Raj Institution
PTA	Parent Teacher Association
RMSA	Rashtriya Madhyamik Shiksha Abhiyan
RTE	Right to Education
SAFT	Social Audit Facilitation Team
SAFT	Social Audit Facilitation Team
SAU	Social Audit Unit
SC	Scheduled Caste
SC	Scheduled Tribe
SCERT	State Council of Educational Research & Training
SDG	Sustainable Development Goal
SDP	School Development Plan
SHG	Self Help Group
SIRD	State Institute of Rural Development
SIS	State Implementation Society
SMC/SMDC	School Management Committee/School Development Management Committee
SMDC	School Management and Development Committee
SPD	State Project Director
SSA	Sarva Shiksha Abhiyan
SSC	School Safety Committee



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Abbreviation	Full Form
SSP	School Safety Plan
SWAYAM	Study Webs of Active-Learning for Young Aspiring Minds
TE	Teacher Education
TEI	Teacher Education Institutions
TLM	Teaching Learning Material
UDISE+	Unified District Information System for Education Plus
UT	Union Territory
VOW	Village Organization of Women



Instructions:

1. These guidelines are to be followed at every level and the process for preparatory or pre-audit phase may be started as soon as the launch of the guidelines for Social Audit of Samagra Shiksha scheme.
2. The audit phase which requires visits to schools and interaction with students and community may be started once the schools are open.
3. The questionnaire/checklist and other entries may be done manually till the launch of a portal and/or mobile app for social audit.
4. The State/UT may translate these guidelines into its official/Local language.



Guidelines for Social Audit of Samagra Shiksha scheme

1. Background

1.1 Samagra Shiksha

The Department of School Education & Literacy launched an Integrated centrally sponsored scheme Scheme for School Education, Samagra Shiksha in 2018 by subsuming the erstwhile Centrally Sponsored Schemes of Sarva Shiksha Abhiyan (SSA), Rashtriya Madhyamik Shiksha Abhiyan (RMSA) and Teacher Education (TE). It is an overarching programme for the school education sector extending from pre-school to class XII and aims to ensure inclusive and equitable quality education at all levels of school education. The thrust of the Scheme is to support States and UTs to improve the quality of school education across all levels. The Scheme is in accordance with Sustainable Development Goal for Education (SDG-4) and has now been aligned with the National Education Policy (NEP) 2020 in order to ensure inclusive and equitable, quality and holistic school education.

The National Education Policy (NEP) 2020 is the third in the series of National Education Policies (1968, 1986, modified in 1992) in India and is the first education policy of 21st century. The NEP 2020 envisions a massive transformation in school education which stresses on the core values and principles that education must develop not only the cognitive skills but also social and emotional skills.

The revamped Samagra Shiksha scheme has been aligned with NEP 2020, which includes support to pre-school education and Teaching Learning Materials (TLMs) to all children, National Mission on Foundational Literacy and Numeracy, Holistic Progress Card, tracking of learning outcomes as well as transition of children, induction of qualified counselors at secondary and senior secondary level in a phased manner, language teachers, Capacity Building of Teachers (50 hours CPD), bag-less days and internships, support for Out of School Children in the age group of 16-19 years through open schooling, separate stipend for CwSN girl child, provision for identification of CwSN and resource centre at block level, expansion of schooling facilitates including residential hostels, KGBVs etc., provision for Hub and spoke model in vocational education, provision for smart classroom and support for DIKSHA, support for assessment cells in SCERT etc. Further, under the MMMER component of Samagra Shiksha, provision for support for Social Audit has been included for covering at-least 20% of schools per year so that all schools are covered at least once in a period of five years. In addition, major goals to be achieved for each intervention/component have been defined. Various key performance indicators relating to each interventions/component have been developed to monitor the progress from time to time.

The major objectives of the Scheme are:

- Support States and UTs in implementing the recommendations of the National Education Policy 2020 (NEP 2020);
- Support States in implementation of Right of Children to Free and Compulsory Education (RTE) Act, 2009;
- Focus on Early Childhood Care and Education (ECCE)



- Emphasis on Foundational Literacy and Numeracy
- Thrust on Holistic, Integrated, Inclusive and activity-based Curriculum and Pedagogy to impart 21st century skills among the students;
- Provision of quality education and enhancing learning outcomes of students;
- Bridging Social and Gender Gaps in school education;
- Ensuring equity and inclusion at all levels of school education;
- Strengthening and up-gradation of State Councils for Educational Research and Training (SCERTs)/State Institutes of Education and District Institutes for Education and Training (DIET) as a nodal agency for teacher training;
- Ensuring safe, secure and conducive learning environment and minimum standards in schooling provisions; and
- Promoting vocational education

The main outcomes of the Scheme are envisaged as Universal Access, Equity and Quality, promoting vocationalisation of Education and strengthening of Teacher Education Institutions (TEIs).

The fund sharing pattern for the scheme between Centre and States is in the ratio of 90:10 for the eight North-Eastern States viz. Arunachal Pradesh, Assam, Manipur, Meghalaya, Mizoram, Nagaland, Sikkim and Tripura and 2 Himalayan States viz. Himachal Pradesh and Uttarakhand and UT of Jammu & Kashmir. For all other States and Union Territories with Legislature, the ratio is 60:40. It is 100% for Union Territories without Legislature.

1.2 Major Components of the Scheme

The major interventions, across all levels of school education, under the scheme are:

- (i) Universal Access including Infrastructure Development and Retention;
- (ii) Foundational Literacy and Numeracy,
- (iii) Gender and Equity;
- (iv) Inclusive Education;
- (v) Quality and Innovation;
- (vi) Financial support for Teacher Salary;
- (vii) Digital initiatives;
- (viii) RTE Entitlements including uniforms, textbooks etc.;
- (ix) Support for ECCE;
- (x) Vocational Education;
- (xi) Sports and Physical Education;
- (xii) Strengthening of Teacher Education and Training;
- (xiii) Monitoring;
- (xiv) Programme Management; and
- (xv) National Component.

The scheme envisages providing an equitable and inclusive quality education which would be guided by the following principles:

- i) **Holistic (SAMAGRA) view of education**, with implications for a systemic revamp of the entire content and process of education with significant implications for curriculum, teacher education, educational planning and management.



- ii) **Equity**, to mean not only equal opportunity, but also creation of conditions in which the disadvantaged sections of the society - children of SC, ST, Muslim minority, landless agricultural workers and children with special needs, etc. - can avail of the opportunity.
- iii) **Access**, not to be confined to ensure that a school becomes accessible to all children within specified distance but implies an understanding of the educational needs and predicament of the traditionally excluded categories – the SC, ST and other sections of the most disadvantaged groups, the Muslim minority, girls in general, and children with special needs.
- iv) **Gender concerns**, implying not only an effort to enable girls to keep pace with boys but to use education as a decisive intervention to bring empowerment of women.
- v) **Centrality of teacher**, to motivate them to innovate and create a culture in the classroom and beyond the classroom that might produce an inclusive environment for children, especially for girls from oppressed and marginalised backgrounds.
- vi) **Moral compulsion** is imposed through the RTE Act on parents, teachers, educational administrators and other stakeholders, rather than shifting emphasis on punitive processes.
- vii) **Convergent and integrated system of educational management** is pre-requisite for implementation of the RTE Act. All States must move in that direction as speedily as feasible.

2. Social Audit of Samagra Shiksha

2.1 Definition of Social Audit

Social Audit means the process in which people collectively monitor and evaluate the planning and implementation of a program or scheme. Social audit is a democratic process that ensures public accountability of agencies through a systemic demand of information by the community in response to the programs that have already been implemented by the government or other agencies for a particular area/community. Social audit is not only an audit of expenditure or decisions but also covers the issue of equity and equality in program implementation. The people and the government jointly monitor the scheme in a social audit. It brings on board the perceptions and knowledge of the people, involves them in the task of verification and also brings about much greater awareness and acceptability of the government schemes.

2.2 Need and Mandate for social audit

Samagra Shiksha is a centrally sponsored flagship scheme of Government of India that provides support for quality education for all children from pre-primary to senior secondary level. In addition to tracking the progress of the scheme through a robust MIS e.g., PRABANDH portal for monitoring physical and financial progress, it is also important to monitor the implementation of the scheme in the field independently. This will bring to light field-level challenges which might not be visible otherwise and help in taking corrective measures. It is widely recognized that social audit is a powerful tool to ensure the participation of people in the monitoring of the scheme and this leads to improved implementation.



Social audit is also needed to ensure the overall safety¹ of students such as infrastructure safety, psycho-social safety, health & physical safety and cyber safety. It is important to make different stakeholders i.e., children, parents and community; aware about various aspects of safety and security viz. physical, socio-emotional, cognitive and specific to natural disasters as well. One of the key purposes of social audit exercise is to emphasize the 'Zero Tolerance Policy' against any negligence on the part of any individual or management when it comes to the safety and security of children in schools. Social audit will bring the following safety aspects into light to ensure the physical and psychological wellbeing of the students.

Infrastructure Safety: Infrastructure safety means availability and maintenance of essential physical resources, which is very crucial for making the physical environment of the school safe.

Psycho-social Safety: It is important to create a sense of safety in schools by all students and especially by the girl students. Psycho-social safety entails providing a stress-free environment for conducive teaching learning in the classrooms, which promotes positive student-teacher relationships, violence prevention in schools and ensures socio-emotional development in students.

The programmatic and financial norms of Samagra Shiksha scheme, states that, the monitoring of the scheme would start from the school level. Checking, monitoring and verification of the implementation of the interventions of the Samagra Shiksha scheme would be facilitated by Social Audit. Social Audit is carried out by the community and the entire Gram Sabha with the help of stakeholders like Local Authority (LA), SMC members, SHGs, youth clubs etc. The norms also emphasize on careful monitoring of the provisions of Gender and Social Inclusion in the scheme through Social Audit reports.

2.3 Objective of Social Audit

The basic objective of Social Audit is to enhance public accountability in Samagra Shiksha implementation. The process combines people's participation and monitoring with the requirements of the audit discipline. It is a fact-finding process, not a fault-finding process.

The objectives of Social Audit can be put down in the following manner:

- i. To ensure that the entitlements of a child as guaranteed under the RTE Act and funded through Samagra Shiksha are being provided in the school, in a timely and equitable manner.
- ii. To verify the timely issuance of authorization to spend to the School/SMC by appropriate Government under Single Nodal Account of Samagra Shiksha-SIS.

¹ For more details, please refer to the Guidelines for School Safety and Security (https://dse.education.gov.in/sites/default/files/2021-10/guidelines_sss.pdf)



- iii. To check the Status of infrastructure (Classroom, Furniture, Toilets, Drinking Water, and Electricity Facility etc.) in the school along with status of works initiated through the funds sanctioned.
- iv. To ensure a feeling of safety in schools for all students specially girls.
- v. To check the enrolment, retention and completion of schooling of students in the school.
- vi. To share and verify information placed under school report cards (generated under UDISE+).
- vii. To initiate and sustain an educational dialogue between all grass root level stakeholders viz. Teachers, HM, SMC, Students, LA/PRI's members and Education Officials etc. to improve the school development.
- viii. To develop a participatory approach towards school development through community support.
- ix. To protect rights of Children with Special Needs (CWSN), students from marginalized/vulnerable sections in school.
- x. Support the execution of the School Development Plan (SDP) along with the execution of School Safety Plan (SSP).

2.4 General Principles

The following General Principles should be followed in all aspects of the Social Audit and by all the agencies involved including the Social Audit Team.

Child Centered Approach:

Since these guidelines are meant for monitoring the implementation of the Samagra Shiksha Scheme, which is an overarching scheme for the school education sector, the direct stakeholders *i.e., children and parents* and their rights should be the focus of the Social Audit exercise at all points.

Transparency:

- The functioning of the Social Audit Team *should be transparent.*
- A clear and complete introduction of the Social Audit Facilitators must be provided *to the community.*
- *All findings of the audit* should be presented in their true form and with supporting evidence.
- All findings of the Social Audit process should be made available in the public domain.

Accountability:

- Accountability should be fixed within the Education Department against each provision of the scheme - who is responsible for its delivery and who is the supervisory officer responsible for ensuring that if an entitlement/activity is not delivered/completed, action is taken.
- Timelines should be fixed against each entitlement/activity and its violation must be redressed within that time frame by the relevant authorities.



- Overall responsibility for taking action and ensuring compliances on the Social Audit findings rests with the State/UT Education Department as it is the implementing agency for Samagra Shiksha.



Participation:

- The Social Audit should be based on community participation (children and parents) as they have a direct stake in the Samagra Shiksha Scheme.
- In particular, participation of persons from marginalized communities must be ensured.
- There should be no discrimination based on gender, religion, caste and occupation and participation should be encouraged from across all backgrounds.
- There should be equal opportunities for all stakeholders to make a representation to the Social Audit Facilitation Team (SAFT)².

Objectivity:

- The Social Auditors should maintain objectivity and neutrality throughout the audit process. No sides must be taken during the auditing process and nor should it be dictated by anyone's personal agenda or viewpoints.
- No special favor should be given or solicited from the teachers or any official or public representative who is related to the implementation of the Samagra Shiksha Scheme.
- No politicization of the monitoring process should be allowed.
- Decisions to resolve irregularities in implementation reflected during the auditing process should be taken only after both sides are given a fair chance to present their views/clarifications.

Dialogue:

- Solutions to the problems identified in the Social Audit should as far as possible be resolved through a process of dialogue between the community and the administration.
- Platforms for dialogue should be established at different levels, especially close to the people to facilitate their participation.
- Dialogue process should be recorded, and its proceedings should be formalized/institutionalized.
- Action should be initiated on the basis of the dialogue process

3. Roles and Responsibilities of various Functionaries associated with School Education department

I) Headmaster/Principal

General roles and responsibilities of a Headmaster/Principal are:

- a) The Headmaster or the Principal of the concerned school acts as the Chief Coordinator of the programme and ensures seamless coordination and effective implementation of different programmes.

² For details on SAFT and CSA, refer to the section 5.1, "The Preparatory or Pre-Audit Phase"



- b) S/he oversees the working of the faculty/resource persons/skill trainers.
- c) The Principal/Headmaster shall arrange for proper guidance and counseling of the students and sensitization of the parents.
- d) The main functions of the School Principal/Headmaster may be summed up as Personnel Management, Student Management, Finance Management, Administrative Management, and General Management etc.

The Headmaster/Principal will facilitate Social Audit team during the verification at the school level. S/he will provide all the information related to the school such as details of students, teachers, SMC representatives, attendance registers and accounts' statements of expenditure from School Grants, as also facilitate physical inspection of the school and interaction with students, parents and teachers.

II) School Management Committee (SMC)

Community participation in education sector has important role in delivering quality education. Community participation in educational management paves a path to stakeholders' participation in decision-making and management of schooling activities. It makes educational management much more democratic and contextual, besides tapping local knowledge and resources for good governance.

To enhance the participation of the community, the RTE Act, 2009 assigns immense importance to School Management Committees (SMCs) as a part of decentralized structure to ensure the effective and regular functioning of the schools and education centers, and one in which the parents will have a preponderance. Essential provisions regarding constitution and functions of SMCs have been given in Section 21 and 22 (attached at *Annexure-I*) of the Right of Children to Free and Compulsory Education Act, 2009.

It is obvious that majority of SMC members are the parents/guardians of those children who are studying in the school. Chairperson of the SMC shall also be a parent/guardian. The bank account of SMC is maintained by joint signature of chairperson and member Secretary (Headmaster). Representation of the socially backward parents and elected representatives of Gram Panchayat in SMC shall play an important role for effective development of a school.

The School Management Committee performs the following functions:

- a) Monitoring the working of the school.
- b) Preparing and recommending school development plan.
- c) Monitoring the utilization of the grants received from the appropriate Government or Local Authority (LA) or any other source.
- d) Performing such other functions as may be prescribed.

Further, SMC has many functions such as facilitation in enrolment, retention, completion of quality education for all children residing in the catchment area of a school. It is mandatory and important to make SMC members aware of the roles and functions through orientations/training programmes. The same is provided under Samagra Shiksha through the components of Training of SMC and Community Mobilization for all levels of schooling.



During Social Audit process in the schools, roles of SMCs will include:

- *To participate in Gram Sabha meetings and public hearing.*
- *SMC members should check whether the action has been taken on the findings during Social Audit, at the school level.*

III) Cluster Resource Centre (CRC)/ Block Resource Centre (BRC) Personnel

BRCs/CRCs have been conceptualised to function as academic resource centres under the scheme and are supported for various interventions for quality enhancement. The coordinators in BRCs and CRCs provide in-service training and on-site support to schools for improvement of school quality.

➤ The roles and responsibilities of **CRC personnel** are:

- a) Function as academic resource centers with adequate resource/reference materials for concerned teachers.
- b) Undertake regular school visits and provide on-site academic support to teachers.
- c) Organize monthly meetings to discuss academic issues and design strategies for better school performance.
- d) Visit and hold meetings with members of the SMCs and other local bodies for improvement in school, support SMC in preparing School Development Plan (SDP).
- e) Ensure that the special training programs are properly designed and implemented in the cluster for out of school children (OoSC) and securing their admission to age-appropriate classes.

➤ The roles and responsibilities of **BRC personnel** are:

- a) Function as a repository of academic resources including ICT, Science & Mathematics kits, teaching-learning resource materials in different curricular areas, including pre-school material and material for children with special needs.
- b) Maintain and constantly update database of education experts from nearby Teacher Education institutions, NGOs, Colleges/Universities who could participate in Resource Groups for different subject areas and themes.
- c) Ensure regular school visits and on-site academic support to address pedagogic issues and other issues related to school development.
- d) Organize in-service teacher training based on teacher needs as observed during school visits.
- e) Participate in monthly teacher meetings organized at the CRCs to discuss academic issues and to design strategies for better school performance.
- f) Consult with school management committee, community members and Local Authority (LA) for formulating school development plans.
- g) Design a comprehensive quality improvement plan for the block/cluster and implement it in a time bound manner.



During Social Audit of the Samagra Shiksha Scheme, the CRC/BRC Personnel shall facilitate orientation program for the Social Audit Facilitation Team (SAFT). The orientation program will be conducted by the Cluster Social Auditor (CSA)³ prior to visiting the school. CRCs will ensure their presence during all social audit public hearings at school level in their cluster. BRPs will be assigned clusters so that atleast one of them is present in each school level hearing.

IV) Block Education Officer (BEO)

General roles and responsibilities of Block Education Officer include:

- a) Facilitate the development of the SDP in coordination with block/cluster resource persons, SMC/SMDC, Headmasters, teachers etc, in schools under her/his jurisdiction.
- b) Coordinate and conduct workshops & training of subject teachers.
- c) Provide active coordination in teacher's re-deployment and infrastructure utilization.
- d) Monitor the work of staff engaged at BRC/CRC.
- e) Ensure regular update of UDISE + and carry out data analysis.
- f) Conduct review and performance meetings with BRCs, CRCs, SMC/SMDC and teachers regarding children academic performance and monitor children growth and specific training needs of the children.

During Social Audit of the Samagra Shiksha Scheme, the Block Education Officer (BEO):

- a) *Shall notify in writing the dates of the Social Audit to all the public representatives and concerned staff implementing the Samagra Shiksha Scheme in advance;*
- b) *The BEO shall ensure that they are kept informed about the entire process and shall ensure their presence during the Social Audit Public Hearings in respect of atleast one cluster in every quarter.*

V) District Institute of Education and Training (DIET)

The general role of DIET is as under:

- a) In conjunction with BRCs and CRCs, DIET acts as a nodal institution at the district level to transact pre-service and/or in-service training up to Senior Secondary level by organizing leadership development programs for Head-Masters, senior teachers and School Management Committees.
- b) Develop district academic plans, monitor the quality of schools & teaching, address district specific material development, design interventions for direct support to schools and work with special groups in the district.
- c) Carry out consolidation and analysis of information on status of schools and learning to provide feedback to BRCs and CRCs for school visits and institutional support.
- d) Create forums as key spaces for the strengthening of reflective practice throughout the education system.
 - o Support the organization of school quality review meetings

³ For details on SAFT and CSA, refer to the section 5.1, "The Preparatory or Pre-Audit Phase"



- o Subject forum meetings of teachers and/or teacher educators
- o Seminars for teacher educators with opportunities for presentation of internal work and invited speakers.
- e) Conduct specialized trainings such as leadership, evaluation & assessment, ICT, Inclusive Education, Gender Sensitization, etc.
- f) Facilitate in resourcing material for subject specific training at BRC/CRC level (using available resources from online platforms such as E-Pathshala and SWAYAM).
- g) Coordinate between BRCs/CRCs and NGOs in the district who are contributing to the area of teacher training.

During Social Audit of Samagra Shiksha scheme, DIET shall facilitate provision of the training to SAFT members in coordination with Social Audit Unit (SAU)⁴ Resource Person. The infrastructure of CRC/BRC may be utilized for this purpose in order to save time and resources.

VI) District Education Officer (DEO)/District Project Office (DPO) Personnel

The general roles and responsibilities of the District Education Officer may include:

- a) Prepare Annual Work Plan & Budget based on the block plans so as to make it more focused, relevant and need-based. Coordinate with State Executive Committee for approval of the District Plan and coordinate for fund releases as per sanctions.
- b) Work with DIETs in preparation of plans, monitoring of various activities and conduct of teacher training.
- c) Ensure regular training of the teachers/school heads, SMC/SMDC members, BRCs, CRCs and other stakeholders in the aspects specified by the Act and the scheme.
- d) Coordinate with District Level Committee constituted to oversee the Project Implementation.
- e) Monitor Progress and status of Project Implementation.
- f) Management of Learning Outcomes which would mean measuring Key Performance Indicators (KPIs) related to learning outcomes including those used in Achievement Surveys.
- g) Monitor the progress of the Educational Indicators against the planned targets in the Results Framework of the Scheme; and share the same with the key stakeholders.
- h) Design strategic interventions at the district, sub-district and institutional levels to address gaps in Learning Outcomes.

For the conduct of Social Audit of the Samagra Shiksha Scheme, the District Education Officer:

- a) *Shall ensure that administrative machinery cooperates in conduct of the social audit processes*

⁴ For details, refer to the section 4, Social Audit Unit (SAU)



- b) Shall organize the training of the Cluster Social Auditors (CSAs) at the district level. The training to CSAs will be imparted by the Master Trainers⁵
- c) Shall attend at least one Social Audit public hearing at the school level, cluster and block level in every quarter and all meetings at District level to discuss the findings and corrective actions
- d) Shall ensure that corrective action is taken on social audit reports
- e) Shall ensure that recoveries are facilitated in cases of misappropriation. Receipts shall be issued for the money returned
- f) Shall ensure that stringent action including the filing of FIR is initiated against any individual or group who diverts money and resources
- g) Shall ensure disciplinary action is initiated against those who undermine the rights and entitlements of the beneficiaries, does not follow safety and quality norms, deviated from the scheme and indulge in malpractices as per civil service rules.

VII) State Level: Nodal Officer for Social Audit of SS Scheme

- a) Shall provide the information related to the scheme within the stipulated period promptly to the SAU.
- b) To coordinate with the Social Audit Unit (SAU) engaged for Social Audit.
- c) To obtain list of district-wise Master Trainers and Cluster Social Auditors (CSAs) from Social Audit Unit.
- d) To help the SAU to prepare an annual calendar of activities for the conduct of Social Audit in the State.
- e) To arrange the training of Master Trainers from NIRD and SIRD/SAU.
- f) To facilitate Master Trainers to impart training of Cluster Social Auditors (CSAs) at district headquarters.
- g) Shall organize sensitization program/s for all implementing functionaries of the scheme and especially for the functionaries at school level such as teachers and headmasters about the objective, process and expected outcomes of social audit.
- h) Shall communicate in writing information regarding the Social Audit process and date of the Social Audit public hearings to the Samagra Shiksha functionaries and ensure smooth functioning of the entire process.
- i) Shall take immediate corrective action on the issues arising out of social audits and shall ensure that decisions taken during social audit public meeting translate into administrative action.
- j) Shall dispose-off any dispute or complaint recorded in the Social Audit report in a time bound manner.

VIII) Ministry Level / DoSE&L, MoE:

- a) A Social Audit cell shall be constituted in the Samagra Shiksha/Department of School Education & Literacy for monitoring and continuous improvement in implementation of the Social Audit process.
- b) Prepare the Social Audit module including training materials in coordination with NIRD and State Nodal Officers for conducting Social Audit of Samagra Shiksha.

⁵Please refer to Section 5.1, "The Preparatory or Pre-Audit Phase".

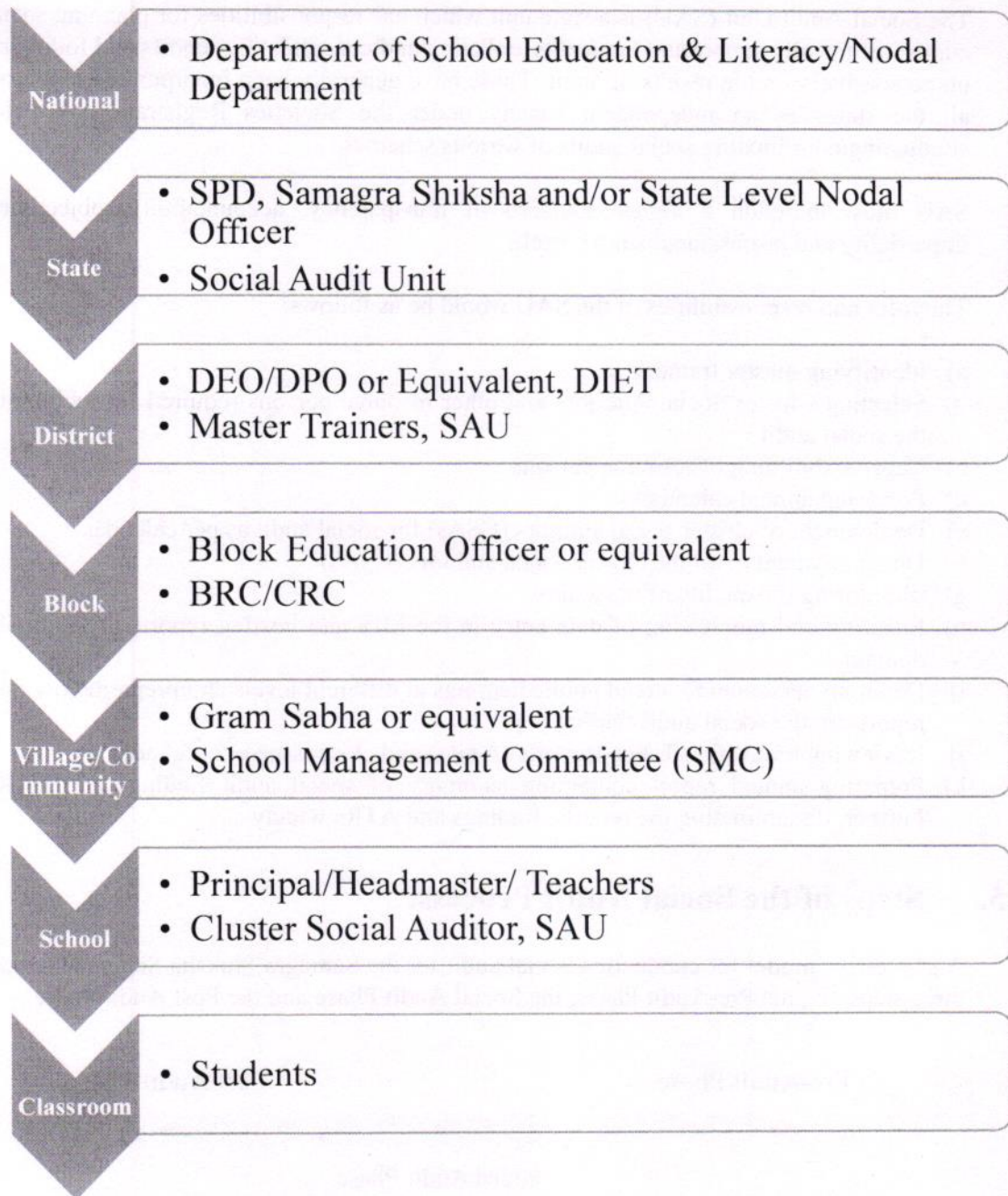


- c) Provide field verification formats for Resource Persons involved in Social Auditing.
- d) Provide MIS portal/dashboard to monitor Social Audit findings and action taken. It may also provide a mobile phone application for field level data collection from schools.
- e) Review the Social Audit findings and the action taken reports submitted by the States/UTs regularly.
- f) On the basis of the Social Audit Reports, Ministry will support the State Government officials implementing Samagra Shiksha to take necessary corrective measures.



The flow chart regarding the conduct of social audit should follow the path as shown below.

It is suggested to display the below flowchart at notice boards of schools.





4. Social Audit Unit (SAU)

The Social Audit Unit (SAU) is a state unit which has responsibilities for planning social audits, technically supporting the audits, collating and consolidating reports and following up persuasively on the results of audit. These have generally been incorporated in almost all the states as an independent society under the Societies Registration Act, for conducting/coordinating social audits of various schemes.

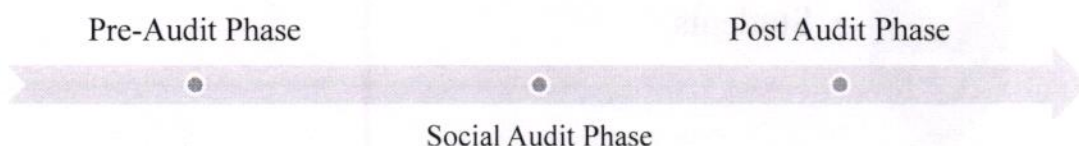
SAU must maintain a higher standard of transparency, accountability, objectivity, impartiality and professionalism for itself.

The roles and responsibilities of the SAU would be as follows:

- a) Identifying master trainers
- b) Selecting Cluster Social Auditors and other resource persons required for facilitating the social audit
- c) Capacity building of resource persons
- d) Preparing annual calendars
- e) Deployment of cluster social auditors (CSAs) for social audit as per calendar
- f) Direct payment to all the cluster social auditors (CSAs)
- g) Monitoring the quality of the audits
- h) Ensuring and monitoring of data entry in the MIS and hosting reports in the public domain
- i) Deputing personnel to attend public hearings at different levels and preparing periodic reports on the social audit findings
- j) Reviewing the Action Taken Reports (ATRs) and close issue or escalate it
- k) Preparing annual report containing summary of social audit findings and ATRs. Further, disseminating the reports, findings and ATRs widely.

5. Steps of the Social Audit Process:

A suggestive model for conducting social audit for the Samagra Shiksha Scheme includes three steps viz. the Pre-Audit Phase, the Social Audit Phase and the Post Audit Phase.



5.1 The Preparatory or Pre-Audit Phase:

This process includes the following steps:

- All the States/UTs will appoint a Nodal Officer for the Social Audit of Samagra Shiksha Scheme. The Nodal Officer will coordinate with the Ministry of Education, State Education Department, SIS and SAU to facilitate the Social Audit process.
- A one-day workshop/orientation programme on Social Audit will be held at National level with the Nodal Officers of States/UTs designated for social audit.



- The State/UT will sign a MoU/agreement with the SAU established in the State/UT. The Unit is incorporated as a society under the Societies Registration Act. The SAU of neighboring State may be selected, if the State/UT does not have a SAU.
- The State Government will organize a briefing meeting with the State Government officials including the designated nodal officer for Social Audit, officials from SAU etc. Representative/s from the Ministry of Education may also be invited to participate in the meeting.
- The SAU will share the district wise list of master trainers and cluster wise social auditors with the Nodal Officer. The district-wise master trainers will be mapped with the cluster/s of the respective districts.
- Training will be provided to Master Trainers at the State/UT level in coordination with NIRD/SIRD/SAU and School Education Department. The Master Trainers will then be deployed at the district level to provide training to the Cluster Social Auditors (CSAs) for Samagra Shiksha scheme. The Master Trainers will also provide training to SAFT members in conjunction with DIET.
- The CSA will share the list of documents as per *Annexure-II* to be kept ready by the schools for inspection by the SAFT during social audit phase.
- The Cluster Social Auditor (CSA) deployed by the SAU at each cluster will intimate Gram Panchayat about the schedule of conducting Social Audit in the schools under their jurisdiction. The BEO shall also notify the schedule to Gram Panchayat in writing and ensure that it is advertised publicly in order to maximise the community participation in public hearings at Village/Cluster and Block level i.e., at Gram Sabha and at Block Panchayat Samiti respectively.
- Block Panchayat will constitute a team for the facilitation of Social Audit process at Cluster level, comprising of people who are interested to be part of the Social Audit on volunteer basis. This team may be termed as **Social Audit Facilitation Team (SAFT)**. The team will visit the schools and facilitate the Social Audit for the scheme. The tenure of SAFT will be 3 years from its constitution.

The SAFT will consist of 6-8 persons and the composition of the team will be as follows:

- a) Cluster Social Auditor (CSA)
- b) Two parents (one parent belonging to the EWS or socially backward category/CwSN category).
- c) Two representatives from Village Organization of Women (VOW)/woman SHGs (under NRLM)

or

In case, VOW is not available in a particular village, two youths (preferably girls) from nearby college/s

- d) One representative of a Civil Society Group working on education
- e) One retired Govt. Official or Rt. Defence Personnel

The following persons should be excluded in constitution of SAFT:

- a) No person involved in running a private or NGO-run school should be included.
- b) No person who is a member of SMC.
- c) No government official currently associated with the education or related department.



5.2 The Social Audit Phase:

Social Audit Process at School/Community Level:

The Social Audit in the school will include the following:

- Understanding the role played by the different functionaries involved in the scheme.
- The school Social Audit should be conducted in a manner that does not disrupt the regular functioning of the school.
- The SAFT must make an effort to meet not just the teachers and the headmaster but also the SMC members.
- The Social Audit facilitators must also speak to a sample of children from each class using child-friendly methods to get information from them.
- A sample of parents, other than the SMC members should also be part of the SAFT's mandatory list of respondents.
- The SAFT's visit should be publicized widely to enable parents or other community members to give their inputs to the Team if they so desire.
- The SAFT should be accessible to seek inputs from all stakeholders during the Social Audit period.
- The views of the students & parents related to various aspects of the Samagra Shiksha scheme should also be sought and recorded.

The detailed checklist is attached at *Annexure-III*.

The major points which may be paid more attention during the actual verification/audit at the school level are attached to *Annexure-IV*.

5.2.1 Public Hearings

Support for Public Hearings

Public Hearings open to all will be organized at Panchayat, Block and district level as a culmination of the Social Audit process phase. The administration will widely publicize about the Public Hearings including its date and venue for participation of public to the hearings. Basic facilities including tent/shelter/awning, drinking water, microphones and video recording set up etc. will be arranged by the administration. The hearing must be attended by all elected representatives and functionaries at that level. The District Magistrate may attend or depute a senior official to attend the public hearings.

Village level Public Hearing: Within three days after the Social Audit in all identified schools in a particular GP during a quarter, a Panchayat level Public Hearing open to all shall be conducted at the *Gram Panchayat*. In the Public Hearing, the school-wise Social Audit findings will be read out.

Public Hearing at Block/District level: After completion of social audits at GPs in a block, a Block Panchayat/Mandal Panchayat/Panchayat Samiti level public hearing should be organized within 15 days. The Block level public hearing panel may include representatives of the Deputy Commissioner, SAU, District



Panchayat, SHG Federation, CSO and academic representative. The Block level public hearing shall:

- Review the findings of social audits of the schools in the block
- Hear appeals on decisions taken at the GP level and pass orders
- Pass orders on issues which were referred to it from the GP
- Review the issues on which no action has been taken
- Review issues on which appropriate action has not been taken
- Refer certain issues to the district level for deliberation and decision
- Give suggestions to improve the implementation.

Similarly, at district level, findings of audit will be presented before public and the authorities. The line Departments are required to attend the meeting/public hearing to address the issues pertaining to their department.

The following points should be paid attention while organizing the Social Audit public hearings for the Samagra Shiksha scheme:

- The local community shall be informed about the Public Hearing by the Department as well as the Social Audit Unit to ensure full participation
- The Samagra Shiksha scheme functionaries of various levels including officials/representatives from MoE, Government of India, may participate in the Social Audit public hearings
- All participants shall be encouraged to testify, and the concerned official/functionary will respond by giving a clarification or an explanation in public as to why a certain action was taken or not taken
- The functionary will specify the time period and mode of action to be taken by him/her to rectify gaps or lapses as identified during the audit process in the implementation of the scheme
- Senior officials shall fix responsibility on each of the findings of the social audit exercise in cases of gaps, lapses or deviations and take immediate corrective measures or disciplinary action as prescribed from time to time by the Department of School Education & Literacy/Nodal Department for Samagra Shiksha.

5.2.2 The periodicity of the School Social Audit:

- The schedule to conduct Social Audits will be decided in consultation with the *Department of School Education & Literacy/Nodal Department* implementing Samagra Shiksha scheme;
- At least 20% of the schools of each category will be covered under social audit every year such that Social Audit of all Government schools will be conducted in a span of five years. Also, the social audit of Kasturba Gandhi Balika Vidyalayas (KGBVs) and Netaji Subhas Chandra Bose residential schools/hostels shall be conducted each year for which a separate questionnaire format has been designed.
- The Social Audit Facilitation Team (SAFT) will conduct the social audit in 1-3 schools in every quarter in a cluster. For example, if there are 15 schools in a cluster, social audit of 1-3 will be done in every quarter, so as to complete the exercise in 5-15 quarters i.e., 15-45 months. The cycle will repeat thereafter after coverage of all schools.



5.3 The Follow-up or Post Audit Phase

Action on the social audit findings: This is a very important phase crucial for analyzing the feedback received and taking corrective action.

- a) Action on social audit findings shall be taken in a time-bound manner.
- b) It is mandatory for the representatives of the implementing agency of the State as well as District level to be present at the social audit public hearing and shall ensure that corrective action is taken on the findings and shall implement the decisions taken at the public hearing without fail;
- c) Wherever, in the course of a social audit, if evidence, through written and oral testimonies against those who have misappropriated money, uniforms or books and documentary evidence is established, an action shall be initiated, and recovery shall be made. The action for recovery shall be without prejudice and action to be taken against the person should be as per relevant laws/rules;
- d) The reporting formats to conduct the Social Audit must include all the information starting from the basics. The format should consist of the information received by CSA in pre-Audit Phase, verification reports and the reports of issues found during the Audit Phase. A separate format for ATR may be included in the reporting format. (See *Annexure-V*)

6. Training and Capacity Building of Social Audit Resource Persons

The training of various Resource Persons constitutes an important activity in implementing and institutionalizing social audit:

- a) National Institute of Rural Development and Panchayati Raj (NIRD&PR) along with State Institutes of Rural Development (SIRDs) shall be a training partner for capacity building and training of the Social Audit Resource Persons.
- b) Department of SE&L in collaboration with NIRD, will be preparing training materials on:
 - o Framework for implementation of Samagra Shiksha scheme including the availability of school infrastructure, RTE entitlements to the students, ICT initiatives and learning equipment etc.
 - o Social Audit process, ethical guidelines, mobilization, facilitation of Gram Sabha, public hearing, conduct of group discussion, interaction with beneficiaries
 - o Samagra Shiksha Social Audit guidelines.
 - o MIS Module for social audit including data entry on the portal.

6.1 Training of Master Trainers

The district wise Master Trainers identified and selected by the SAU will be trained at the State/UT level. The training will be imparted by the SIRD and the SAU, based on training modules prepared by NIRD&PR. Further, the training modules will be



modified according to the language and culture of States/UTs by the respective SIRDs.



6.2 Training of Cluster Social Auditors (CSAs)

The Cluster Social Auditor (CSA) identified by the SAU for conducting the Social Audit at the cluster level will be responsible for coordinating the Social Audit in the schools of that cluster. The Master Trainers (SAU Resource Person at district level) will train the CSAs (SAUs Resource Persons at Cluster Level) from a theoretical and practical point of view. The CSAs will be trained on the basic concepts of Social Audit, details of entitlements and interventions under Samagra Shiksha scheme, RTE Act, the roles and responsibilities, records & data collection, use of MIS, Methodology of conducting Social Audit, including filling up the various formats and report preparation on the findings during the Social Audit process.

6.3 Training of the SAFT

It must be ensured that the persons involved in conducting the Social Audit have a clear understanding of the Samagra Shiksha Scheme, Social Audit process and the RTE Act, 2009. For this, thorough training must be organized for the SAFTs at BRC/CRC level, jointly by DIET and Master Trainer immediately after the constitution of SAFT. The training of 4-5 SAFTs may be conducted together. The SAFT members will be trained on entitlements under Samagra Shiksha scheme, community involvement in Samagra Shiksha scheme, social accountability, social audit etc.

7. Submission of Reports

- a) The SAU should submit the report on the findings to the State Government.
- b) The Nodal Officer at State level shall take action/ensure appropriate action is taken by implementing officials at village/Block/District/State nodal department within 30 days of the block level public hearing.
- c) States/UTs shall forward the Action taken reports on the issues found in the Social Audit to SAU within 45 days of the Block level public hearing. The SAU shall review the ATR and recommend whether the issue can be closed. If no action is taken or ATR is not satisfactory, the issue will be rerouted to the State Education department for re-examination.
- d) Reports of Social Audit and action taken report thereon may be uploaded on MIS portal.
- e) MoE will review the progress of Social Audit on half yearly basis, in which representatives of states/UTs and SAU will participate. State/UT shall prepare a consolidated report on Social Audit progress highlighting the major issues found and Action Taken.



8. Budget for Conducting the Social Audit Process

For the conduct of Social Audit, funds will be required for various activities such as providing honorarium to resource persons & volunteers for facilitation of Social Audit, training of resource persons, organizing seminars/meetings/workshops, monitoring and evaluation of Social Audit process, preparation and submission of reports etc.

The expenditure on conducting Social Audit will be met from the Media, Monitoring, Management, Evaluation and Research (MMMER) funds of Samagra Shiksha Scheme, up to 0.5% of the State Annual Budget allocation. Through SIS, the States/UTs shall transfer the amount to respective SAUs post signing MoU between the two parties, in two installments based on the progress. A suggestive cost for conducting various activities in conducting the social audit of the scheme is indicated at **Annexure-VI**.



Annexure-I
(Page Number 7)

Excerpt from RTE Act, 2009

Section 21

1. A school, other than a school specified in sub-clause (iv) of clause (n) of section 2, shall constitute a School Management Committee consisting of the elected representatives of local authority, parents or guardians of children admitted in such school and teachers:

Provided that at least three-fourth of members of such committee shall be parents or guardians:

Provided further that proportionate representation shall be given to parents or guardians of children belonging to disadvantaged group and weaker section; Provided that fifty percent of members of such committee shall be women.

2. The School Management Committee shall perform the following functions, namely:
 - a) Monitoring the working of the school;
 - b) Prepare and recommend school development plan;
 - c) Monitor the utilization of the grants received from the appropriate Government or local authority or any source; and
 - d) Perform such other functions as may be prescribed.

Section 22

1. Every School Management Committee constituted under sub-section (1) of section 21 shall prepare a School Development Plan in such a manner as may be prescribed.
2. The School Development Plan so prepared under sub-section (1) shall be the basis for the plans and grants to be made by the appropriate Government or local authority as the case may be.



Annexure-II
(Page Number 14)

List of Documents and Data to be provided by the school to SAFT

- Detailed list of representatives in SMC (Copy to be provided)
- Minutes of SMC meetings (Copy to be provided)
- Details of books, uniforms and scholarships distributed to students (with dates of receiving/releasing)
- Details of complaints and ATR (Copy to be provided)
- School Grant Expenditure details (Copy to be provided)
- Account statements (Copy to be provided)
- Average attendance of Staff for last 3 months (Copy to be provided)
- Average attendance of class wise students for last 3 months (Copy to be provided)
- Best practices and major achievements of the school including EBSB/Fit India Movement/ Khelo India/ NTSE/NMMS (Copy to be provided)
- Any other relevant record, if any.



Annexure III
(Page Number 15)

Questionnaire for Social Audit
Section A (for all categories of schools)

This may be filled before visit in the school. At the time of visit, the details in Section A should be cross checked and the discrepancies (if any) must be recorded

S. No.	Particulars	To be filled prior to social audit in school	Pre-filled information to be checked and the discrepancies (if any) to be recorded
1	UDISE Code of the assigned school (11 digits)		
2	State		
3	District		
4	Block		
5	Village/Ward		
6	Name of the school		
7	Pin code		
8	Lowest class in the class		
9	Highest class		
10	Type of school a) Boys only b) Girls only c) Co-educational		
11	Management of school d) Department of Education e) Tribal Welfare Department f) Local Body g) Government Aided h) Social welfare department		
12	School location (Rural/Urban)		
13	Year of Establishment of School		
14	When does the academic session start (Month)		



Section B

S.N.	Category	Sub-category	Yes/No	Comments
For Elementary Schools only				
1	Students Related	Children have received textbooks		
2		Children have received workbooks		
3		Children have received uniform		
4		Children have received scholarships		
5		Transport facility is provided to eligible students as per norms <i>(@Rs. 6000/per child per annum up to Class VIII)</i>		
6	Teachers Related	Enough teachers in primary school <i>(at least 2 teachers upto 60 enrolment)</i>		
7		At least three teachers in upper primary school		
8		Part time instructor for art education has been appointed in upper primary school		
9		Part time instructor for health and physical education has been appointed in upper primary school		
10		Part time instructor for work education has been appointed in upper primary school		
11		A full-time head teacher has been appointed in upper primary school		
12	Admin & Finance Related	Atleast 200 working days in primary school		
13		Atleast 220 working days in upper primary		
For all Categories of Schools				
14	Students Related Issues	Average attendance of students is 80% or above in previous months of the year		
15		There is a safe access to the school		
16		The school is far for majority of the children and no transport support has been provided		
17		Children were admitted without screening test		
18		Children have been admitted to an age-appropriate class		
19		Children were provided special training for age-appropriate class		
20		Children joined the school late in the year and were provided special training/s		
21		Children have been denied admissions due to lack of documents		
22		Number of Children have dropped out of school		
23		Number of Children has been expelled		
24		Children belonging to weaker sections/ disadvantaged groups is discriminated against		



25		Children have been discriminated against		
26		Children have been subjected to corporal punishment		
27		Children have been subjected to mental harassment		
28		Children have been sexually harassed		
29		All desirous children have received transfer certificates		
30		Identification and assessment of child with special needs has been done		
31		Aids and appliances have been provided for children with special needs (CwSN)		
32		CwSN can attend school i.e., there are no barriers		
33		Monthly stipend is paid to girl CwSN		
34		Support for home based education of children with severe/multiple disability has been provided		
35		Escort/travel allowance is provided to CwSN		
36		Appointment of special educators at block/cluster/school as per need has been done		
37		CwSN are aware about the facilities/schemes/concessions provided by education board		
38		All weather building is available		
39		Enough classrooms are available <ul style="list-style-type: none"> • <u>Elementary</u>: At least one classroom for every teacher and an office-cum- store-cum-Head teacher's room • <u>Secondary</u>: 4 classrooms for 2 section school/2 classrooms for 1 section school • <u>Senior Secondary</u>: 4 classrooms for 2 section school/2 classrooms for 1 section school for each stream i.e., Science, Arts and Commerce. 		
40		Barrier free access is there		
41		Adequate number separate toilets for boys are there (1 unit for every 80 boys)		
42		Adequate number separate toilets for girls are there (1 unit for every 80 girls)		
43		Boy's toilets have regular water facility		
44		Girl's toilets have regular water facility		
45		Boy's toilets are usable		
46		Girl's toilets are usable		
47	School Related Issues	Accessible toilet facilities for CwSN are available		
48		All CwSN toilets are functional		
49		Adequate drinking water is available (Requirement: 1.5 lt./person/day)		



		<i>(DW points: 1 for every 50 pupils)</i>		
50		Quality of drinking water is good		
51		Electricity is available in the school		
52		Electricity is functional in the classrooms		
53		A playground is there in the school		
54		School building is secured by either a boundary wall or fencing wall		
55		School has library		
56		School library has newspapers		
57		School library has magazines		
58		School library has books on all subjects		
59		School library has story books		
60		The timetable consists of a library period		
61		Regular entries are made in the library book issuance register		
62		Play Material, Games and Sports equipment are available		
63		Play Material, Games and Sports equipment are provided to children		
64		Teaching Learning Equipment is available for each class		
65		Available Teaching Learning Equipment is used for each class		
66		Digital infrastructure facilities are available in the school		
67		Available Digital infrastructure facilities are functional		
68		Available Digital infrastructure facilities are accessible to children		
69		Available Digital infrastructure facilities are being used in Teaching Learning		
70		Ek Bharat Shreshta Bharat club has been constituted		
71		Innovative teaching methods/activities are being used		
72		The school is registered for Fit India school certification		
73		Bagless days have been introduced in the school		
74		Youth and Eco clubs are available in the school		
75		Labs are available with equipment and are being used		
76		Science and Maths kits are available		
77		Science and Maths kits are being used in classrooms		
78		Self-defence training is imparted to girl students (only for class VI-XII)		
79		School disposes its solid waste safely. <i>If yes, please specify the method</i>		



80		School disposes its liquid waste safely. <i>If yes, please specify the method</i>			
81	Teachers Related Issues	Teachers attend the school regularly			
82		Teacher(s) regularly come late to school			
83		Teacher(s) regularly leave early from school			
84		Teachers meet with parents/guardians to apprise them about attendance, ability to learn and progress made in learning			
85		Teacher(s) is engaged in private tuition			
86		Teacher(s) does classroom teaching			
87		Teacher(s) draws salary in this school, but does not work here			
88		Teacher(s) works in this school, but does not draw salary from this school			
89		Teachers are engaged in works other than teaching, disaster relief, election, or census work			
90		Enough teachers are available in the school			
91		Training has been provided to teachers recently			
92		Admin & Finance Related	Mapping and tracking of children have been done		
93			School is used for other purposes		
94			Application form fee has been collected		
95	Capitation fee has been collected				
96	Entrance fees has been collected				
97	Tuition fees has been collected				
98	Other fees/charges/expenses have been collected				
99	SMC has been constituted				
100	$\frac{3}{4}$ SMC members are from among parents of students studying in the school				
101	Half the SMC members are women				
102	Frequency of SMC meetings is not monthly				
103	SMC has prepared school development plan				
104	SMC monitors the school				
105	SMC members are not aware that they are members of SMC				
106	School has been visited by BRC coordinator/BEO during the previous 12 months. If yes, the number of visits?				
107	School has been visited by CRC coordinator during the previous 12 months. If yes, the number of visits?				
108	School has received composite school grant				
109	School has received funds for sports equipment				
110	School has received funds for library				
111	Allocation for CWSN has been received				
112	School has received Grant for self-defence training for girls (only for class VI-XII)				



113		Transport allowance has been received		
114		Transport allowance has been spent		
115		At least 10% of the Composite grant has been spent on Swachhta Action Plan (SAP)		
116		Funds for sports equipment have been spent		
117		Funds for library have been spent		
118		Funds for special education have been spent		
119		Composite grant expenditure is as per norms		
120		Sports equipment grant expenditure is as per norms		
121		Library grant expenditure is as per norms		
122	Safety & Security Related	School has constituted School Safety Committee (SSC)		
123		School has implemented the guidelines by National Disaster Management (NDMA) on School Safety and emergency preparedness.		
124		School has suggestion box/question box/grievance box or any other mechanism for students/parents to inform about any safety concerns		
125		'School Safety Pledge' is predominantly displayed in the school campus		
126		Electric cables & wires are insulated with proper earthing and beyond the reach of children		
127		School has a Medical/Sick Room with essential medicines and first aid equipment		
128		School has access to qualified Counsellor on call, as per requirement		
129		School strictly monitors and addresses the issues of bullying, harassment, and discrimination/prejudice against students on the basis religion, caste, gender. Language, physique, disability or any other factor		
130		School has a basic medicine box/first aid kit		
131		Emergency medical care numbers are displayed in the school		
132		School has sensitization programs for students & teachers to accommodate and harmonize with CwSN		
133		Atleast one teacher has undertaken any professional course on skills in guidance and counselling		



Questionnaire for KGBV

Part-A

1. UDISE Code (11 digits):
2. Name of the State/UT:
3. Name of the District:
4. Name of the Block:
5. Type of KGBV: *(Please tick in the table below)*

Type	Occupancy	School and/or Hostel	Please tick (✓)
Type I: For classes VI to VIII		School with hostel	
		Hostel only	
Type II: For classes VI to X		School with hostel	
		Hostel only	
Type III: For classes VI to XII		School with hostel	
		Hostel only	
Type IV: For classes IX to XII		School with hostel	
		Hostel only	

Part-B

S.N.	Category	Sub-category	Yes/No	Comments
1	Student Related Issues	Number of Girls dropped out in last one year		
2		Special training provided to out-of-school girls (drop out/never enrolled)		
3		Girls are engaged in scout & guides <i>(Mention numbers in the comments' column)</i>		
4		Girls are engaged in theatre and other music & dance forms <i>(Mention numbers in the comments' column)</i>		
5		Girls have participated in State/National competitions and activities in last year		
6		Girls have participated in various sports competitions (district level & above)		
7		Self-defence training has been given		
8		Girls achieved recognition in self-defence/martial arts/ taekwondo etc.		
9		Girls practice self-defence techniques regularly		



सत्यमेव जयते

10		Girls have received textbooks within 1 st week of new academic session		
11		Girls have received uniforms within 1 st month of new academic session		
12		Girls' feedback on quality and quantity of cooked food is positive		
13		Free sanitary napkins are provided to girls		
14	School Related Issues	Teaching Learning equipment are available for each class		
15		Teaching Learning equipment are used in each class		
16		Enough teachers are available (as per sanctioned teaching posts)		
17		Support staff are appointed (as sanctioned)		
18		Chowkidar/peon is appointed (as sanctioned)		
19		School has a boundary wall with gate		
20		There is a designated dining area		
21		Separate bedding allocated to each student		
22		Bedding is changed every 3 years		
23		Uninterrupted electricity supply		
24		School has library		
25		School library has newspapers		
26		School library has magazines		
27		School library has books on all subjects		
28		School library has story books		
29		Regular entries are made in the library book issuance register		
30		Clubs/houses are formed in the school		
31		Monthly calendar of activities is formed for clubs		
32		Sports period is specified in the timetable		
33		Availability of sports equipment & kit		
34		Sports equipment are used by the students		
35		Vocational courses are offered by the KGBV		
36		Offered vocational course/s is/are accredited by a body/institution		
37		Existing skill development courses address local demands		
38		Enough girls have registered in vocational skills development course/s		
39		CAL/ICT lab/Smart Classroom are available		
40		CAL/ICT lab/Smart Classroom are functional and in use		
41		Uninterrupted internet facility is available		
42		Digital contents are available and used by		



		the girls		
43		Guard room is available (entry from outside KGBV premises)		
44		Emergency lighting system is available		
45		Safety instructions for visitors are being followed		
46		The helpline numbers are written on the wall		
47		Functional fire extinguisher available		
		Complaint box in KGBV placed and is being used		
48		There is a provision of safe disposal of the used sanitary napkins		
49		First aid kit is available and accessible to girls		
50		KGBV premises, bathroom & toilets are clean		
51		Enough rooms/dormitories are available for girls		
52		Adequate arrangement of beds and beddings are available		
53		Adequate drinking water is available		
54		Sufficient water supply and washing stations are available		
55		Playground is available and maintained		
56		Plantation/kitchen garden is maintained		
57		Best practices are recorded in last 6 months		
58		Post of warden is filled		
59		Health cards of all students are maintained		
60		Warden stays in the hostel		
61		Only female staff can access to residential area of girls		
62		Exposure visits were organized in last 6 months		
63		Specific skill training is conducted		
64	Admin & Finance Related Issues	Career guidance program/s have been conducted in last year		
65		Provisions of grievance redressal mechanism for KGBV girls and other teaching and non-teaching staff		
66		Number of visits by CRC/BRC in last one year		
67		Actions were taken based on the previous findings in visits by CRC/BRC		
68		Various registers and records are maintained		
69		There is a mechanism in place for parent teacher interaction on girls' progress reports		



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70		Number of SMC meetings held last year		
71		Number of PTA meetings held last year		
72		Records of passed out girls is maintained		
73		Processes maintained in KGBVs for entries and purchases, status of cashbook and passbook		
74		Provision of cash with warden for emergency support		
75		Funds for school maintenance grant is provided		
76		Funds for sports grant is provided		
77		Funds for library grant is provided		
78		Coach is available		
79		Teachers were trained in the last year		
80	Food Related Issues	Food served is fresh and balanced		
81		Menu is displayed in the dining area		
82		Head cook is appointed		
83		Cooks are appointed (as sanctioned)		
84		Food is prepared and served with cleanliness		
85		Mechanism in place for advance ration for next 15 days		
86		Safety & Security Related Issues	School has constituted School Safety Committee (SSC)	
87	School has implemented the NCPCR guidelines for physical and infrastructural safety for residential schools			
88	School has access to qualified Counsellor on call, as per requirement			
89	School strictly monitors and addresses the issues of bullying, harassment, and discrimination/prejudice against students on the basis religion, caste, gender. Language, physique, disability or any other factor			
90	School has a basic medicine box/first aid kit			
91	Emergency medical care numbers are displayed in the school/hostel			
92	School has sensitization programs for students & teachers so as to accommodate and harmonize with CwSN			
93	Atleast one teacher has undertaken any professional course on skills in guidance and counselling			
94	Provision of functional sanitary napkin vending machines and incinerator in school/hostel			
95	Awareness programs have been conducted among adolescent girls in school/hostel			



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		about Menstrual Hygiene and safe disposal of Menstrual Waste		
96		Electric cables & wires are insulated with proper earthing and beyond the reach of children		



Questionnaire for Netaji Subhash Chandra Bose Avasiya Vidyalaya

Part A

1. UDISE Code (11 digits):
2. Name of the State/UT:
3. Name of the District:
4. Name of the Block:
5. Type: Elementary/Secondary
6. Occupancy:

Netaji Subhash Chandra Bose Avasiya Vidyalaya	Residential School	Capacity 50	
		Capacity 100	
		More than 100	
	Hostel	Capacity 50	
		Capacity 100	
		More than 100	

Part B

Please fill either of the questionnaires given below as per the requirement (Residential school/Hostel).

Questionnaire for Residential School				
S.N.	Category	Sub-category	Yes/No	Comments
1	Student Related Issues	Students dropped out in last one year		
2		Special training provided to out-of-school children (drop out/never enrolled)		
3		Students have participated in State/National competitions and activities in last year		
4		Students have participated in various sports competitions (district level & above)		
5		Specific skill training has been given to students		
6		Students have received textbooks within 1 st week of new academic session		
7		Students have received uniforms within 1 st month of new academic session		
8		Students' feedback on quality and quantity of cooked food is positive		



9	School Related Issues	Teaching Learning equipment are available for each class		
10		Teaching Learning equipment are used in each class		
11		Enough teachers are available (as per sanctioned teaching posts)		
12		Support staff are appointed (as sanctioned)		
13		Chowkidar/peon is appointed (as sanctioned)		
14		School/Hostel has a boundary wall with gate		
15		There is a designated dining area		
16		Separate bedding allocated to each student		
17		Bedding is changed every 3 years		
18		Uninterrupted electricity supply at night		
19		School has library		
20		School library has newspapers		
21		School library has magazines		
22		School library has books on all subjects		
23		School library has story books		
24		Regular entries are made in the library book issuance register		
25		Clubs/houses are formed in the school		
26		Monthly calendar of activities is formed for clubs		
27		Sports period is specified in the timetable		
28		Availability of sports equipment & kit		
29		Sports equipment are used by the students		
30		Vocational courses are offered by the school		
31		Offered vocational course/s is/are accredited by a body/institution		
32		Existing skill development courses address local demands		
33		Enough girls have registered in vocational skills development course/s		
34		CAL/ICT lab/Smart Classroom are available		
35		CAL/ICT lab/Smart Classroom are functional and in use		
36		Uninterrupted internet facility is available		
37		Digital contents are available and used by the students		
38		Guard room is available		
39		Emergency lighting system is available		
40		Safety instructions for visitors are being		



		followed		
41		The helpline numbers are written on the wall		
42		Functional fire extinguisher available		
		Complaint box in the school placed and is being used		
43		First aid kit is available and accessible to students		
44		School premises, bathroom & toilets are clean		
45		Enough rooms/dormitories are available for students		
46		Adequate arrangement of beds and beddings are available		
47		Adequate drinking water is available		
48		Sufficient water supply and washing stations are available		
49		Playground is available and maintained		
50		Plantation/kitchen garden is maintained		
51		Best practices are recorded in last 6 months		
52	Admin & Finance Related Issues	Post of warden is filled		
53		Health cards of students are maintained		
54		Warden stays in the hostel		
55		Exposure visits were organized in last 6 months		
56		Specific skill training is conducted		
57		Career guidance program/s have been conducted in last year		
58		Provision of grievance redressal mechanism for students and other teaching and non-teaching staff		
59		Number of visits by CRC/BRC in last one year		
60		Actions were taken based on the previous findings in visits by CRC/BRC		
61		Various registers and records are maintained		
62		There is a mechanism in place for parent teacher interaction on students' progress reports		
63		Number of SMC meetings held last year		
64		Number of PTA meetings held last year		
65		Record of passed out students is maintained		
66		Processes maintained for entries and purchases, status of cashbook and passbook		



67	-	Provision of cash with warden for emergency support		
68		Funds for school maintenance grant is provided		
69		Funds for sports grant is provided		
70		Funds for library grant is provided		
71		Enough teachers are available in the school (<i>as sanctioned</i>)		
72		Coach is available		
73		Teachers were trained in the last year		
74	Food Related Issues	Food served is fresh and balanced		
75		Menu is displayed in the dining area		
76		Head cook is appointed		
77		Cooks are appointed (as sanctioned)		
78		Food is prepared and served with cleanliness		
79		Mechanism in place for advance ration for next 15 days		
80	Safety & Security Related Issues	School has implemented the NCPDR guidelines for physical and infrastructural safety for residential schools		
81		School has access to qualified Counsellor on call, as per requirement		
82		School strictly monitors and addresses the issues of bullying, harassment, and discrimination/prejudice against students on the basis religion, caste, gender, Language, physique, disability or any other factor		
83		School has a basic medicine box/first aid kit		
84		Emergency medical care numbers are displayed in the school/hostel		
85		School has sensitization programs for students & teachers to accommodate and harmonize with CwSN		
86		Atleast one teacher has undertaken any professional course on skills in guidance and counselling		
87		'School Safety Pledge' is predominantly displayed in the school campus		
88		Electric cables & wires are insulated with proper earthing and beyond the reach of children		



Questionnaire for Hostel only

S.N.	Category	Sub-category	Yes/No	Comments
1	Student Related Issues	Students dropped out in last one year		
2		Special training provided to out-of-school children (drop out/never enrolled)		
3		Students have participated in State/National competitions and activities in last year		
4		Students have participated in various sports competitions (district level & above)		
5		Specific skill training has been given to students		
6		Students have received textbooks within 1 st week of new academic session		
7		Students have received uniforms within 1 st month of new academic session		
8		Students' feedback on quality and quantity of cooked food is positive		
9	School Related Issues	Support staff are appointed (as sanctioned)		
10		Chowkidar/peon is appointed (as sanctioned)		
11		School/Hostel has a boundary wall with gate		
12		There is a designated dining area		
13		Separate bedding allocated to each student		
14		Bedding is changed every 3 years		
15		Uninterrupted electricity supply at night		
16		Hostel has a library/Reading Room		
17		Hostel library has newspapers		
18		Hostel library has magazines		
19		Hostel library has books on all subjects		
20		Hostel library has story books		
21		Regular entries are made in the library book issuance register		
22		Availability of sports equipment & kit		
23		Sports equipment are used by the students		
24		Uninterrupted internet facility is available		
25		Digital contents are available and used by the students		
26		Guard room is available		
27		Emergency lighting system is available		
28		Safety instructions for visitors are being followed		
29		The helpline numbers are written on the		



		wall		
30		Functional fire extinguisher available		
		Complaint box in the school placed and is being used		
31		First aid kit is available and accessible to students		
32		School premises, bathroom & toilets are clean		
33		Enough rooms/dormitories are available for students		
34		Adequate arrangement of beds and beddings are available		
35		Adequate drinking water is available		
36		Sufficient water supply and washing stations are available		
37		Playground is available and maintained		
38		Plantation/kitchen garden is maintained		
39		Best practices are recorded in last 6 months		
40		Post of warden is filled		
41		Health cards of students are maintained		
42		Warden stays in the hostel		
43		Exposure visits were organized in last 6 months		
44		Specific skill training is conducted		
45		Career guidance program/s have been conducted in last year		
46	Admin & Finance Related Issues	Provision of grievance redressal mechanism for students and other teaching and non-teaching staff		
47		Actions were taken based on the previous findings in visits by CRC/BRC		
48		Various registers and records are maintained		
49		Record of passed out students is maintained		
50		Processes maintained for entries and purchases, status of cashbook and passbook		
51		Provision of cash with warden for emergency support		
52		Funds for hostel maintenance is provided		
53		Funds for sports grant is provided		
54		Funds for library/reading room grant is provided		
55		Enough staff is available in the school (<i>as sanctioned</i>)		
56			Food served is fresh and balanced	
57		Menu is displayed in the dining area		



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58	Food Related Issues	Head cook is appointed		
59		Assistant cooks are appointed (<i>as sanctioned</i>)		
60		Food is prepared and served with cleanliness		
61		Mechanism in place for advance ration for next 15 days		
62	Safety & Security Related Issues	Hostel has implemented the NCPCR guidelines for physical and infrastructural safety		
63		Hostel has access to qualified Counsellor on call, as per requirement		
64		Hostel strictly monitors and addresses the issues of bullying, harassment, and discrimination/prejudice against students on the basis religion, caste, gender. Language, physique, disability or any other factor		
65		Hostel has a basic medicine box/first aid kit		
66		Emergency medical care numbers are displayed in the hostel		
67		Hostel has sensitization programs for students & staff to accommodate and harmonize with CwSN		
68		Atleast one staff has undertaken any professional course on skills in guidance and counselling		
69		Electric cables & wires are insulated with proper earthing and beyond the reach of children		



Details of CSA (Please fill in capital letter)

- a) Name
- b) Mobile Number
- c) Email ID
- d) Date of the Visit
- e) Bank Name
- f) IFSC Code
- g) Account number

Details of the SAFT members (present during the visit)

S. N.	Name	Contact Number	Parent/VOW/SHG member/Other (Please specify)	Signature

Any comments which the SAFT would like to give (Maximum 100 words)

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Annexure –IV
(Page Number 15)

Potential Issues (Likely to be seen in the field)

1. Discrepancy in records

- a. A physical component shown as complete, but it is not functional (toilets, library etc.)
- b. GIS mapping is different from actual location of the school
- c. Discrepancy in the number of books/uniforms received and distributed
- d. Enrolment shown is more than the actual students enrolled

2. Beneficiary had to pay money

- a. To get books/uniforms
- b. To get approved scholarships
- c. To get admission in the school
- d. Other reasons

3. Quality issues

- a. Quality of uniforms provided to students is not upto the mark
- b. The infrastructure and its components (toilets, furniture, drinking water etc) are not conforming to the quality
- c. Books and uniforms supplied to the students are less than what has been claimed
- d. Others

4. Other irregularities

- a. Irregularity in training
- b. Irregularity in recurring items (toilet cleaner, soap, chalk, duster etc)
- c. Irregularity in expenditure of various grants
- d. Irregularity in presence of teachers
- e. Others



Reporting Formats

The reporting after each social audit consists of three sections (Basic Data, Verification Details, and Issues) as detailed below:

1. Basic Data

S. N.	Data	Remarks
1.	Social Audit Period	
2.	Public hearing dates	
3.	Number of people who attended public hearing	
4.	Observer name/s and designation/s	
5.	Photos/Videos (if possible) [#]	

Note: Minutes of the meeting should be attached.

[#] Photos/Videos may be uploaded on Google drive and the link may be shared.

2. Verification Details

- For each school that was visited, certain core information such as current school infrastructure, photo of the school, details of free books and uniforms distributed to the students.
- The response of each beneficiary (students and parents) who was interacted should be provided.
- It should be verified whether the beneficiary is aware of the benefits and entitlements provided.

3. Issues

- All issues, irregularities, grievances noticed during the audit should be noted down and the implementing agency should respond to each of these, in a time bound manner.



Annexure – V (A)

Issues & Decisions in Public Hearings at Village Level and Block Level

Category/ component	Sub- category/Su b- component	Issue Description	Response / Decision in Gram Sabha	Responsible Person for taking corrective measures (HM/ Teacher/ BEO/ DEO etc.)

Annexure – V (B)

Action Taken Report (ATR)

Issue	Action Taken	Verification by Resource Person	Issue status(closed/open) If open, why?

Annexure – V (C)

Annual Report (School/Cluster/Block or District/State)

S.N.	Issue Category/Sub- category	Brief description of the issue	Number of issues filed	Number of issues closed satisfactorily

Note:

- The annual report shall be prepared at different levels – school, cluster, district & State.
- The reports at shall be made public at corresponding level e.g., School shall display a copy of report on the notice board.
- The State and SAU shall upload various reports on their websites.
- State wise consolidated reports shall be uploaded on portals/websites of DoSE&L.



Annexure – VI
(Page Number 19)

Suggestive costs for various activities to conduct the social audit of the scheme are listed below:

Sl. No.	Activity	Unit cost in Rs.
1	Training to District Master Trainers (2 MT for each district)	3000/Master Trainer
2	Honorarium to CSAs (including public hearings)	2000/school audit
3	Honorarium to SAFT members (other than CSA)	500/member/school
4	Training to SAFT members	370/member
5	Stationary items to be used during the audit phase	200/school
6	Misc. cost (Conducting SA, Public Hearing arrangements etc.)	1000/school
