



**Department of Social Justice and Empowerment  
Ministry of Social Justice and Empowerment  
Government of India**

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**INFORMATION-MONITORING, EVALUATION & SOCIAL AUDIT  
(I-MESA)**

**A**

**Central Sector Scheme under  
Department of Social Justice and Empowerment**

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**Scheme Guidelines**

**(w.e.f. 4<sup>th</sup> October, 2023)**

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## **Information, Monitoring, Evaluation and Social Audit (I-MESA)**

The I-MESA is a Central Sector Scheme, formulated with the objectives of ensuring that the implementation of the scheme at the ground level shall be examined intensely. Apart from this, we need to disseminate information about the work being done by the Ministry. Scheme has following Components:

- (1) Information Dissemination
- (2) Project Monitoring Unit
- (3) Central Smart Surveillance Unit
- (4) Social Audit
- (5) Evaluation and Studies

## **1. Information Dissemination**

Information & Mass Education Cell is mandated to publicize the activities and programmes of the Department of Social Justice & Empowerment through following mediums:

- **Electronic Media**
- **Press**
- **Print Media**
- **Outdoor Media**
- **Exhibitions/Fair**
- **Traditional Media**

At present following activities are being undertaken by the information & mass education cell

### **(1.1). ELECTRONIC MEDIA**

1. Audio/Video programs are approved by the Dept. and produced by selected empanelled agencies of NFDC/CBC as per their rates.
2. Audio programs are broadcast as per the approved rates of the concerned radio channel
3. Telecast of the programs are also as per approved rates of the concerned channels.

### **(1.2). PRESS**

- i. Advertisement: Various display and classified advertisement are being released on the schemes & program and to commemorate various events and to celebrate International & National Days through CBC as per their rates and the Newspaper/Agencies selected by CBC.
- ii. Press Release: All the press release relating to the Dept. will be prepared by the concerned division and released by Information & Mass Education Cell through Press Information Bureau.

### **(1.3). PRINT MEDIA**

Booklets, leaflets, pamphlets, brochure and other publicity material printed as per requirement through quotation basis.

### **(1.4). OUTDOOR MEDIA**

Publicity of schemes and programs through various outdoor media selected by CBC/NFDC as per their approved rates.

### **(1.5). EXHIBITIONS/FAIR**

Various International/National exhibitions being organized through the Corporations of the Dept. to publicize the activities of the Dept. and to provide marketing platform to the beneficiaries of the concerned Corporations. Exhibitions/Events also organized as per the directions of the competent authority in various parts of the country. Participation in India International Trade Fair, Shilpotsav at Dilli Haat, Surajkund International Craft Mela are the regular activities of the Deptt. For participation in the exhibition/fair 67% amount of rental charges is borne by the Dept. and remaining 33% share is borne by the concerned Corporations of the Department equally.

### **(1.6). TRADITIONAL MEDIA**

Services of Song & Drama division and field publicity units of Ministry of Information & Broadcasting will be utilized as per the requirement

## **2. Project Monitoring Unit (PMU)**

### **(2.1). Objective:**

The Department of Social Justice and Empowerment, Ministry of Social Justice and Empowerment is engaged in implementing schemes and programmes for the welfare of the socially and economically disadvantaged sections. While many of the major programmes (e.g. scholarship schemes) are implemented through the State Governments, grant-in-aid programmes for de-addiction centers, senior citizen homes, residential schools and Garima Greh etc. are directly implemented by the Ministry. Monitoring of the schemes outputs and outcomes will be done by the Project Monitoring Unit to ensure the quality of services being provided under these schemes of the Ministry.

### **(2.2). Scope of Activities:**

Project Monitoring Unit is to physically inspect every scheme of Ministry such as GIA institutions, scholarship holders, schemes like free coaching, implementation of the projects under SCA to SCSP, hostel scheme of the Ministry and PMAGY. Inspections of the PMU shall be surprise inspections and the reports of the PMU should be uploaded on the IT portal of the Ministry and shall be followed up promptly.

#### **Scheme-wise number of field inspections to be done by PMU**

	2021-22	2022-23	2023-24	2024-25	2025-26	Total
<b>Scholarships</b>	2000	2100	2205	2315	2431	<b>11051</b>
<b>Free coaching</b>	40	42	44	46	49	<b>221</b>
<b>Top class</b>	50	53	55	58	61	<b>276.3</b>
<b>SCA to SCSP</b>	1000	1050	1103	1158	1216	<b>5526</b>
<b>PMAGY villages</b>	500	525	551	579	608	<b>2763</b>
<b>Skill programmes forSCs</b>	60	63	66	69	73	<b>332</b>
<b>Skill programmes forOBCs</b>	60	63	66	69	73	<b>332</b>
<b>Skill programmes for SKs</b>	40	42	44	46	49	<b>221</b>
<b>Hostels</b>	300	315	331	347	365	<b>1658</b>
<b>VO to SC: GIA INSTITUTIONSs</b>	100	105	110	116	122	<b>552.6</b>
<b>Sr C Hs : GIA INSTITUTIONSs</b>	500	525	551	579	608	<b>2763</b>
<b>IRCA/CPLI/ODIC: GIA INSTITUTIONSs</b>	500	525	551	579	608	<b>2763</b>
<b>Economic assistance SCs</b>	300	315	331	347	365	<b>1658</b>
<b>Economic assistanceOBCs</b>	300	315	331	347	365	<b>1658</b>
<b>Economic assistance SKs</b>	<b>50</b>	<b>53</b>	<b>55</b>	<b>58</b>	<b>61</b>	<b>276</b>

<b>Total field inspections</b>	<b>5800</b>	<b>6090</b>	<b>6395</b>	<b>6714</b>	<b>7050</b>	<b>32049</b>
<b>Per month</b>	483	508	533	560	587	
<b>Inspection days perMonth</b>	12	12	12	12	12	
<b>Number of PMU members needed</b>	<b>40</b>	<b>42</b>	<b>44</b>	<b>47</b>	<b>49</b>	

### **(2.3). Selection Procedure:**

For this purpose, the PMU would consist of fresh graduates selected from top Colleges/ Universities/ Research Institutes etc. as per NIRF ranking and as decided by the Ministry from time to time. The modalities for selection would be determined by the Ministry from time to time to ensure that the brightest and best students along with social consciousness only are able to get selected. The PMU will have initially (40) members who would be located in the States/Delhi, as per the functional requirements. The knowledge of IT skills would be an essential component for selection. Inspections of the PMU shall be surprise inspections and the report of the PMU should be uploaded on the IT portal of the Ministry and shall be followed up promptly. PMU would be set up/expanded and placed in NISD which is the implementing agency for PMU. The Director NISD would be overall in-charge of the PMU, its functioning and maintenance.

### **(2.4). Responsibilities:**

Each member of PMU would act as State Coordinator for one or more States as per the allocation to be made by the Ministry from time to time. The role and responsibility of the State Coordinators are:

- i. Coordinate with the State Government(s) concerned for developing State specific plans in all the programmes being implemented by the Department of Social Justice and Empowerment, Ministry of Social Justice and Empowerment.
- ii. Monitor implementation of the Plans/programmes and assess performance of the institutions being funded by the Ministry; and for this purpose, undertake field visits to States/districts for at least 15 days each month.
- iii. Prepare detailed field visit reports to be presented to the Ministry so as to reach every Monday; and present key findings to the Senior Officers of the Ministry once a fortnight. The State Coordinators shall be provided access to the e-Anudaan portal and any other portal developed for uploading their reports.
- iv. Ensure that the assigned activities are fully accomplished, meet expected technical and management quality standards, and are delivered on schedule.
- v. Ensure that the project is implemented in accordance with the partnership agreement and in line with the Standard Operating Protocol of the MoSJE, Govt of India and MoSJE scheme specific guidelines.
- vi. Foster and maintain effective and professional relationships with and between all project staff, partners and stakeholders both at the Centre and the States.
- vii. Organize and facilitate meetings between key stakeholders and regular coordination meetings in accordance with the governance structure of the project.

**(2.5). Fund Requirement:**

Total financial outlay for 5 years for this would be Rs. 52.5 Cr.

	<b>2021-22</b>	<b>2022-23</b>	<b>2023-24</b>	<b>2024-25</b>	<b>2025-26</b>	<b>Total</b>
<b>Remuneration</b>	600	630	660	705	735	<b>3330</b>
<b>Travel</b>	300	315	330	352.5	367.5	<b>1665</b>
<b>Others</b>	90	75	60.0	22.5	07.5	<b>255.0</b>
	<b>990</b>	<b>1020.0</b>	<b>1050.0</b>	<b>1080.0</b>	<b>1110.0</b>	<b>5250.0</b>

**(2.6). Flow of funds:**

Funds will be provided by the Ministry to NISD which will be the implementing agency for PMU for carrying out the above activities.

### **3. Central Smart Surveillance Unit (CSSU)**

#### **(3.1). Objective:**

A Central Smart Surveillance Unit (CSSU) will be set up for connecting the department with all the Grant-in-aid institutions, Training and Coaching centres which are being funded by the Central Government through a network of CCTVs/ other electronic devices. A central monitoring system will be set up in the Ministry or at any convenient place as decided by the Ministry for continuous supervision of all GIA institutions.

#### **(3.2). Scope of Activities:**

All divisions under the Ministry will be required to support installation of CCTV cameras/ electronic devices in GIA institutions receiving grant for their schemes. Work of integrating data from all such electronic monitoring devices, providing a complete solution for Central Monitoring System, developing a dashboard and maintenance will be outsourced to an external agency having sufficient experience in such field.

#### **(3.3). Responsibilities of GIA institutions:**

- i. GIA institutions will be required to install CCTV cameras/electronic devices for covering the services provided by them in the campus of institutions.
- ii. GIA institutions will share the login credentials of their CCTV cameras with their respective State Coordinators and same will be used by State Coordinators for monitoring.
- iii. After expiring of the warranty period, the organisation will get the AMC of the CCTV system/electronic devices, by their own resources.

#### **(3.4). Flow of Funds:**

Funds For installation of CCTV Cameras/ electronic devices in GIA institutions will be incurred under respective scheme. A contract will be signed with the external agency for setting up Central Monitoring System, developing a dashboard and for maintenance. External Agency will be selected through GeM through transparent mechanism.

**(3.5). Fund Requirement:**

Total financial outlay for 5 years for this would be Rs. 15 Crore.

<b>Year</b>	<b>Institutions</b>	<b>Cost (Rs lakh)</b>
2021-22	1000	<b>250.0</b>
2022-23	1100	<b>280.0</b>
2023-24	1200	<b>300.0</b>
2024-25	1300	<b>320.0</b>
2025-26	1400	<b>350.0</b>
Total	6000	1500.0

## **4. Social Audit**

### **4.1. Introduction**

Social Audit is a process of examination and assessment of a programme/scheme conducted with the active involvement of people and comparing official records with actual ground realities. The social audit team will pull out official documentation regarding scheme outputs over a period, both financial as well as physical and social aspects. These records are shared with stakeholders to be verified against their own experience. The issues identified are backed up with evidence and are consolidated into a social audit report which is then read out in a public forum where stakeholders and implementing agency officials are present so that necessary action to rectify the issues raised.

### **Social Audit of Schemes under Department of Social Justice and Empowerment**

Social audit Process has now been widely accepted as an effective tool for Social accountability and also as a process for accumulating and analyzing the beneficiary's feedback for improvement in the overall implementation of the scheme and policy level changes. This Process is now a legal provision in three legislations, part of Hon'ble Supreme court orders in two cases and also in various Scheme's implementation framework.

The department of Social justice and empowerment also has taken a decision to initiate the Social audit of its schemes for ensuring transparency and accountability in the implementation of these Programmes .The social audit will be conducted for the schemes under the Department of Social Justice & Empowerment as per the scheme titled 'Information, Monitoring, Evaluation and Social Audit' (I-MESA).

These social audits will be carried out by the Social Audit Units (SAUs) which have already been set up in every state under Mahatma Gandhi National Rural Employment Guarantee Act.

For every financial year schemes will be identified and annual targets shall be fixed for each state for conduct of Social audits. The approach for Social audits for each scheme will be drawn based on the nature of the scheme, type of beneficiaries and the institutional set up, but the common mandatory features as prescribed in Auditing standards recommended by Joint Task Force of MoRD & C&AG will be adhered to in words and spirit.

A National Resource cell for Social audits (NRCSA) has been established at National Institute of Social Defence, New Delhi to facilitate the process of Social audit.

## 4.2. Objectives of Social Audit:

The broad objectives of the social audit are as follows:

1. To bring to light the gaps and lapses in implementation of the programmes and in improving it.
2. To create awareness generation on the programmes being implemented.
3. To create space and a platform for mutual dialogue amongst various stakeholders for improving overall implementation of the scheme.
4. To provides platform to right holders for timely grievance redressal.
5. To ensures transparency and accountability in the implementation of scheme.
6. To seek response from primary stakeholders based on ground realities for course correction and impacting policy frameworks.
7. To promotes people's participation in all stages of implementation of programme.

## 4.3. Guiding Principles of Social Audit

The social audit process of schemes under DoSJE shall be in accordance with the spirit of Auditing Standards recommended by joint task force of Ministry of Rural Development, Government of India and Comptroller & Auditor General for facilitating social audits of MGNREGA.

*The **guiding principles** for social audit which are seen as tools for social accountability will be as follows:*

- **Access to information (Jaankari):** *There must be equal and open access of information to all citizens.*
- **Participation (Bhagidari):** *Involvement and participation of citizens in the process of decision making and arriving at justifiable outcome.*
- **Protection of citizens (Suraksha):** *It is important to have a secure forum for free and fair discussion for the Gram Sabha. This should be done through liaison with District Administration.*
- **Citizen's right to be heard (Sunwai):** *There should be mechanism to address the grievances of the citizen and to take suitable action. The follow up needs to be intimated to the citizens during next hearing.*
- **Collective platform (Janta ka Manch):** *Collective platform to strengthen and substantiate the citizens voice which will be safe and secure forum for free and fair discussion.*
- **Report dissemination (Prasar):** *The findings of Social Audit should be in access of public knowledge.*

#### **4.4. Broad Steps for Social Audit**

The following broad steps will be followed for social audit of schemes under DoSJE:

##### **Orientation and Sensitization**

*(The orientation meeting/ Entry point meeting with implementing agency at State/ District with all the targeted institutions/villages will be conducted to explain the objectives, process, coverage and their roles in the process of social audit ,15 days before commencement of social audit field level.)*



##### **Preparation**

*(Formation of social justice cell (Social audit team) by social audit unit and finalization of the target, calendar and budgets for the process. Availability of documents /information related to the scheme to Social audit teams by implementing agency 15 days before the start of verification process in the field.)*



##### **Verification**

*(The social audit team will conduct interview as well as focus group discussion with the beneficiaries, inmates, stakeholders, staffs of the institutions etc. The team will also conduct physical and document verification of sites and records.)*



##### **Validation**

*(Presentation of primary report at village /institution level in the presence of beneficiaries and stakeholders for validation of the report prepared by Social audit team and recommendations to be made for improvement in implementation)*



##### **Presentation/Hearing and Action**

*(Presentation of validated report at social justice assembly to be held at district level in the presence of all stakeholders for discussion and timely appropriate action before a panel constituted for this process.)*

## 4.5. Social Audit Process

- a. **Preparation of Calendar:** The Department of Social Justice & Empowerment will issue a letter to Social Audit Units with detail protocols of social audit, targets, processes and list of institutions/villages for scheme under DoSJE to be social audited in that Financial year. The Social Audit Units shall submit their calendar to NRCSA-DoSJE within 7 days based upon the target given to the State ensuring the timely completion of all activities as suggested in the letter.
- b. **Orientation/Entry Point Meeting:** This meeting shall be called at State/District level 15 days before the start of actual social audit process in the field. All the concerned department officials, institution heads and officials engaged in implementation of these schemes should be called to apprise them of the objective and process of social audit. The meeting shall be called by the social welfare department on request from social audit unit as per the calendar proposed. The Representatives of Social Audit Unit will orient the participants on the parameters of social audit, inform them about the target villages/institutions /cases to be audited, the documents needed for verification along with proposed calendar and District social justice assembly dates. The orientation on the roles and responsibilities of the various stakeholders in the process of social audit will also be done in this meeting.
- c. **Field Verification:** The social audit team will conduct three types of verification i.e.; 1. Verification of Records, 2. Verification of Worksites/Infrastructure and 3. Verification of Beneficiaries through personal interviews/interaction and focus group discussions on the dates as proposed in the calendar.

### i. Verification of Records:

The implementation agency shall provide all the relevant documents to the social audit team well in advance. The team will cross check all the records/documents with the ground reality and then come out with the report to be presented for validation in the Gram sabha /beneficiary Sabha and for discussion and suggestive action at District social justice assembly.

### ii. Verification of Worksites/ Infrastructure:

The social audit team will conduct 100% verification of works/assets/ infrastructure of the

institutions along with the villagers and primary beneficiaries of the schemes. The team will assess the quality and quantity of works/facilities/infrastructure facilities with reference to the records.

### **iii. Interaction with Beneficiaries:**

The team will meet the beneficiaries of the scheme being audited and interact with them to check the benefits or services provided to them. The team need to show empathy and sensitivity towards the right holders during the process of oral verification. The team shall not disclose the identity of the victim in serious cases of misconduct and abuse and immediately report it to concerned authorities at the District/State level. In such cases, the officials need to respond urgently and take immediate action in such cases.

### **iv) Focus Group discussion:**

The social audit team shall conduct focus group discussion with the community in which the beneficiaries and community at large will participate and shall verify the status of the implementation of schemes under D/oSJE and how it is benefitting to them. The team shall also create awareness amongst the beneficiaries about their rights and entitlements and shall also cross check about the benefits/services provided to them under the scheme.

**C. Preparation of draft report:** Based on findings/observations from the verification process, the social audit team shall prepare a draft report in a prescribed format. Such report should be specific, easy to understand, free from vagueness or ambiguity and must be in local language. The findings of the draft report should be backed by evidence from the field verification such as official documents, testimonies, photos, videos etc.

**D. Validation meeting/Beneficiary Sabha/Gram Sabha:** After the draft report preparation, the next step in social audit process is to conduct a meeting with primary beneficiaries at village level/institutional level. This meeting will be the platform for the beneficiaries to raise their voices on issues concerning them. The social audit team will read out the findings of verification in the meeting and put it forward for discussion and validation. It will also provide a platform for the beneficiaries to seek and obtain further information and responses from the concerned persons involved in implementation of the scheme. The proceeding of the meeting shall be written by the social audit team.

**i. Chairperson of Gram Sabha/Students Sabha/Beneficiary Sabha:**

- The social audit Gram Sabha will not be chaired by GP President/Pradhan/Sarpanch or any person engaged in implementation of the scheme. The chairperson for social audit Gram Sabha (regarding PMAJAY scheme) will be selected by the members in the Gram Sabha before commencement of the meeting.
- The chairperson for schemes such as construction of hostels under PMAJAY, YASASVI and residential schools under SHRESHTA can be one of the parents of the students or any respectable person who is not a part of the implementing agency.
- The chairperson of social audit beneficiary Sabha for Integrated Rehabilitation Centre for Addicts and Senior Citizen Homes could be one person amongst the beneficiaries, which will be decided by the majority.

#### **4.6. Social Justice Assembly at District Level**

The social justice assembly will be conducted at district level after completion of the social audit process for all schemes in the district. The validated social audit report will be presented in this forum. The representatives of the concerned department/institutions should be mandatorily present to respond to the social audit findings as well as queries raised by people. A panel should be constituted to examine the issue & evidence and take appropriate decisions and actions. The members of the panel could be: -

1. District Magistrate; Chairperson
2. District Social Welfare Officer
3. District Education Officer
4. Chairperson of standing committee on the theme of social welfare in district panchayat
5. Chairperson of Child Welfare Committee
6. Representative of Civil Society Organization working on these issues.
7. Other concerned officers related to the scheme can be involved.

The elected representatives can be invited to grace the occasion. The logistic arrangements to organize social justice assembly will be done by the nodal departments with the support of Social audit units.

The social audit unit shall upload the findings and decisions taken in District Social Justice assembly in the Social audit MIS designed for this purpose.

#### **4.7. Action Taken Report**

The social audit unit shall prepare the proceeding of decision taken during District social justice assembly and send to all the concerned Departments and Institutions within 7 days. The concerned departments/institutions will ensure the submission of action taken report to the social welfare department and social audit unit within 15 days. The “Action Taken Report” based on the decision of the panel is to be uploaded by the implementing department/institutions within 30 days of District social justice assembly.

#### **4.8. State Level Social Justice Assembly**

The state level social justice assembly will be organized at the state level after 30 days of completion of all social justice assemblies in targeted districts. The state level assembly will review the process, coverage, issues and action taken status on the findings of social audit.

The State level social justice assembly shall be chaired by the Secretary- Social Welfare Department. The other members in panel can be state level officials of the concerned departments along with representatives of CSO/academic institution identified by NRCSA-DoSJE based on their involvement and experience in social audit. The representatives of NRCSA- DoSJE will also be a part of this panel if available. The officials from the Department of Social Justice & Empowerment, New Delhi shall also be invited to attend the Assembly. The proceeding of this assembly will be prepared by social audit unit and will be sent to the state departments and Department of Social Justice & Empowerment, Government of India.

#### **4.9. National Annual Review Meet**

The national annual review meet will be organized at national level after completion of all state level social justice assemblies. The purpose of this meet will be to review the process, findings and status of action taken on findings of social audit. This event shall be organized by NRCSA in consultation with DoSJE, Government of India. The annual analytical report of Social audit of the targeted schemes will be presented by NRCSA- DoSJE for discussion and suggestions. The programme heads, officials from DoSJE, State Departments, NRCSA and representatives from social justice cell of all states will attend this meet to review and recommend the changes for improving the process.

#### **4.10. National Resource Cell for Social Audit-D/o SJE (NRCSA)**

The National Resource Cell for Social Audit-DoSJE established at National Institute of Social Defence, New Delhi will oversee the smooth roll out of the social audit programme as envisioned. The NRCSA- DoSJE will coordinate with the state SAUs to monitor the progress and quality of social audits. The cell will also provide technical support to SAUs for capacity building and carrying out the audits as per requirements. The NRCSA- DoSJE will act as a bridge between DoSJE and the State SAUs to ensure efficient conduct of social audits.

The NRCSA will also conduct the test audit of at least 2% of total social audits conducted by the SAUs to check the quality of the process and the reports. It shall also look into any nature of structural, procedural and other conflict of interest influencing the integrity and quality of the report.

#### **4.11. MIS for Social Audit**

A specific information related to institutions /village/beneficiary is required for social audit to verify it with the actual situation at the field level. This helps the teams to prepare themselves for verification and cross check all the relevant data with the ground level facts. A separate web portal/MIS will be made available to provide all required information to social audit resource persons of Social Audit Units, comprising of information related to:

- Social audit calendar which will be uploaded by the social audit units.
- Social audit formats with prefilled information and space for filling remarks after verification
- Option for entering social audit findings by SAUs.
- Option for entering action taken against social audit findings by implementing agencies.

This social audit MIS will display the social audit calendar for targeted schemes in particular State/Districts. The MIS will also help in the monitoring of ongoing process of social audit and to ensure that audits are happening as per the mandates and targets given by the Ministry.

The categorization of social audit issues/paras identified during social audit process for each institution/scheme is important for State Departments and DoSJE to understand the trends/gaps in the implementation of the schemes and also to resolve them in time bound manner for smooth functioning of the scheme. The SAUs shall upload the social audit findings in MIS and the implementing agency will upload the action taken report with evidence as per the decisions taken at social justice assembly. The department will also get an analytical report for desired implementation and policy level intervention.

An advisory for suggestive actions to be taken at various levels as per the social audit findings

will be made available by D/oSJE

#### **4.12. Roles and Responsibilities of Social Audit Unit**

The social audit of schemes under DoSJE shall be facilitated by the State Social Audit Units and are expected to carry out the following roles:

- Prepare social audit calendar as per targets provided by NRCSA- DoSJE and after approval from NRCSA-D/oSJE send this to nodal department along with the list of institutions /villages to be audited.
- Constitute social justice cell by identifying resource persons as per the guidelines.
- Translate verification and report formats in local language.
- Conduct entry point meeting with various stake holders.
- Deploy resource persons for field verification as per calendar.
- Ensure the conduct of validation meetings and social justice assemblies.
- Ensure submission of social audit reports to the concerned departments.
- Upload social audit reports on social audit MIS.
- Ensure regular monitoring and quality check of the ongoing social audits.
- Follow up on action taken report that needs to be submitted by the concerned department.
- Coordinate and synergize with CSOs and the concerned departments.
- Ensure periodic progress report to be submitted to the NRCSA-DoSJE.
- Prepare state annual analytical report.

#### **4.13. Composition and Role of Social Justice Cell (SJC)**

The social audit units to constitute the social justice cell to carry out the audit of schemes under DoSJE. Each SAU to form the Social Justice Cell consisting of social audit resource persons (depending on the population and size) as per the need and targets who will be dedicated to conduct social audit of DoSJE schemes following the instructions from NRCSA on this issue in each financial year.

The following criteria to be followed for selecting the resource person for social justice cell:

- Those having experience of working with SAU at least for 2-3 years.
- Having experience of facilitating social audits of other schemes apart from MGNREGA
- The team Coordinator leading the team preferably should have completed 30 days' certificate course on social accountability and social audit.
- Experience of working with elderly, children, victims of substance abuse and having

experience of working in rehabilitative institutions.

- Preferably 50% of team members should be women as well as the representation of SC and OBC community and the especially abled in the team to be ensured.
- Anganwadi workers/ASHA/CSO reps/para legal volunteer working in that area can be included in the team for the community support and mobilization, and can be paid as per the other members of the team.
- Students/Interns from academic institutions can be engaged as members of SJC and be paid as other members, after being trained.

In case the SAUs not responding to the request for facilitating social audits, NRCSA- DoSJE will constitute the SJC from its national resource pool/academic institutions/nearest SAUs and shall facilitate social audit directly as per approval.

Social justice cell to conduct the verification process in the institution/villages as per the calendar and also beneficiary/Gram Sabha to validate the draft social audit report prepared by them based on verification process. They will also present the validated report in District Social justice assembly along with evidences.

#### **4.14. Role of Social Welfare Departments/Nodal Departments**

The social welfare department shall be the nodal department for social audit of schemes under DoSJE and shall take full responsibility of owning and cooperating in this process. The main role of the nodal department would be to:

- Identify and nominate a state nodal officer for coordinating with SAU for the conduct of social audits.
- Conduct coordination meetings with heads of all concerned departments and Director-SAU for smooth conduct of Social Audit process.
- Communicate the social audit calendar to field functionaries and implementing institutions/agencies.
- Arrange to provide the relevant documents to social audit units pertaining to financial expenditure and related to beneficiaries as and when required.
- Ensure proactive disclosure of information related to the schemes.
- Ensure participation of their representatives in different process of social audit such as entry point meeting and social justice assembly.
- Ensure cooperation of institutional staff and administrative machinery during the social audit process.
- Review timely appropriate actions on social audit reports as per the advisory on action prepared by NRCSA-D/oSJE as per categorization and type of issues observed during social

audit process.

- Ensure uploading action taken reports on Management Information System of DoSJE.
- Review follow up action on action being taken.

It shall be ensured that implementing agency shall at no time interfere in the process of social audit. Their role is to cooperate and coordinate in providing documents, support in verification and other processes designed and be present to respond on

## 4.15. Role of Other Stakeholders

### 1. Academic Institutions with experience of social audits

The academic institutions having the experience of facilitating social audits can also play a role in promoting and institutionalizing the process of social audits through:

- Evaluation and impact studies
- Designing modules and providing trainings in collaboration with NRCSA.
- Designing a certificate course for social justice cells, activists, students on social audit of schemes of DoSJE
- Involving as a panel member in social justice assembly.
- To be part of National **Social Audit Advisory Board**. Who will be advising on the social audit design and approaches to further improve the process to make it more participative and effective

### 2. Civil Society Organizations

The Civil society organizations with their presence and expertise can play a significant role in the process of social audits through:

- Sharing of feedback and observations to the audit team.
- Contribution as a member of State Social Audit Advisory Board
- Providing Support in formulating guidelines, training curriculum and module in collaboration with NRCSA
- Providing assistance as a Resource Person and trainer in training of social justice cell.
- Support in monitoring social audits and conducting test audits.

#### **4.16. Fund Flow Mechanism**

The cost of conduct of social audits will be met from the respective scheme's administrative cost. The NRCSA-DoSJE will submit the scheme and state wise social audit plan to the Ministry along with budget estimates prepared in consultation with the SAUs before commencement of financial year for approval.

The funds for conducting social audits shall be given to SAUs through NISD, New Delhi based on the budget calculated and reviewed by NRCSA as per targets. The fund will be released as per provisions of GFR in two tranches through PFMS. The first tranche of 50% of total budget will be provided after submission of social audit calendar. The second tranche will be provided after completion of all audits, uploading of findings and preparation of annual analytical report.

The conditions of O.M. dated 09.03.2022 of Department of Expenditure, Government of India shall be applicable in the case of release of fund for Social Audit to Social Audit Units.

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Sample of Matrix for approach of social audits for schemes mentioned below

**Matrix for approach of Social audit as per Social accountability framework recommended by Joint task force of MoRD and C&AG**

Sr. No.	Name of the Scheme	Access to Information (Jankari)	Participation (Bhagidari)	Collective Platform (Janta ka Manch)	Hearing & Action (Sunwai & Karwai)	Prasar
		<p>1.Widespread understanding of entitlement.</p> <p>2.There must be equal and open access of information to all citizens.</p> <p>3.All relevant information regarding programme and public institution must be proactively displayed and made accessible through different modes and medium</p>	<p>Involvement and participation of citizens in the process of decision making and arriving at justifiable output.</p>	<p>Collective platform to strengthen and substantiate the citizens voice which will be safe and secure forum for free and fair discussion</p>	<p>There should be mechanism to address the grievances of the citizen and to take suitable action. The follow up needs to be intimated to the citizens during next hearing.</p>	<p>The findings of Social Audit should be in access of public knowledge</p>
1	Villages under PMAJAY	<ul style="list-style-type: none"> <li>• Entry point meeting with Stakeholder and PRI members, Officials of convergence department</li> <li>• Focus Group Discussion with SC community.</li> </ul>	<ul style="list-style-type: none"> <li>• Stakeholders (Community, PRI members) at Entry point meeting.</li> <li>• Beneficiaries during focus group discussion.</li> <li>• Community (including SC) at Gram Sabha</li> </ul>	<ul style="list-style-type: none"> <li>• Gram Sabha</li> <li>• Social Justice Assembly at District Level</li> </ul>	<ul style="list-style-type: none"> <li>• Social Justice Assembly with panel for recommending actions on findings</li> </ul>	<ul style="list-style-type: none"> <li>• Social Audit Report and Action Taken Report will be shared in gram sabha.</li> <li>• Copy shared with the department officials and Action</li> </ul>

		<ul style="list-style-type: none"> <li>Gram Sabha with community in large including SC community.</li> <li>Social Justice Assembly with primary stakeholders and officials.</li> </ul>	<ul style="list-style-type: none"> <li>Officials/Officials /PRIs/Beneficiaries/CSO Representatives at Social Justice Assembly.</li> </ul>			<p>taken report.</p> <ul style="list-style-type: none"> <li>Report will be available on portal.</li> </ul>
<b>Sr. No.</b>	<b>Scheme</b>	<b>Access to Information (Jankari)</b>	<b>Participation (Bhagidari)</b>	<b>Collective Platform (Janta ka Manch)</b>	<b>Hearing &amp; Action (Sunwai &amp; Karwai)</b>	<b>Prasar</b>
2	Construction of Hostel under PMAJAY and YASASVI scheme.	<ul style="list-style-type: none"> <li>Entry point meeting with stakeholders , warden, staff, PWD department and social welfare officials.</li> <li>Focus Group Discussion with residential students and staff.</li> <li>Interaction with parents and ex. students (meeting, online)</li> </ul>	<ul style="list-style-type: none"> <li>Residential Students/ Wardens/officials/staffs at entry point meeting</li> <li>Residential students, hostel staffs, officials, ex. students and parents during interaction</li> <li>CSOs Reps</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiary sabha with residential students</li> </ul>	<ul style="list-style-type: none"> <li>Social justice assembly and panel for recommending action</li> </ul>	<ul style="list-style-type: none"> <li>Social audit report shared in beneficiary sabha and assembly.</li> <li>Report will be available on portal.</li> </ul>

## 5. Evaluation and Studies

### Background

Evaluation processes are a necessary step towards establishing institutionalized mechanisms for achieving transparency and accountability, generating lessons learnt for real-time improvement of the programmes being implemented, and for ensuring effective dissemination of knowledge amongst the participating stakeholders and targeted beneficiaries. The adoption of robust and mature M&E processes would improve the performance of the schemes in effect, and allow for better design and implementation of future programmes through continuous monitoring of programmes and credible evaluation based on ground level feedback and evidence conducted by independent organizations to provide institutional solutions.

Findings and Recommendations made by the Third Party through evaluation report shall be shared with the concerned Programme Division for consideration and necessary action for continuation of Scheme, revision of scheme or formulating of a new Scheme/ Programmes.

**Evaluation of the Schemes/Programmes of the Department of Social Justice and Empowerment may be undertaken on regular intervals i.e. after every two years as far as possible, through reputed Agencies/ organizations or through any other Institutes as decided with the approval of the Competent Authority i.e. Secretary (SJE), in accordance with the instructions issued by the Government of India from time to time.**

### 5.1. SCOPE

The evaluation studies sponsored by the Department of Social Justice & Empowerment will pertain to schemes relating to Scheduled Castes, Other Backward Classes, De-notified Tribes, Nomadic and Semi- nomadic Tribes, senior citizens, victims of drug abuse and Beggary or any other target group.

The scheme details are as follows: -

### 5.2. ELIGIBILITY

**E-Bids/Bids or willingness would be invited from the Agencies/Organizations/ Institutes etc having requisite qualifications to undertake evaluation studies of programmes and schemes of the Department of Social Justice & Empowerment. However, Blacklisted Organizations shall not eligible to apply.**

### 5.3. PROCEDURE

(i) D/o Social Justice & Empowerment may from time to time invite bids from qualified Organizations for conducting evaluation studies of its schemes and programmes. The bidders will have to accept all the terms and conditions of Notice Inviting Tender (NIT) including commercial and general terms and conditions, if any, through an undertaking in support of the authenticity of the declarations regarding facts, figures, information and documents furnished by the bidder.

(ii) A Committee would be constituted to evaluate and finalize the proposals received in response to the Tender Notice, which will shortlist the qualified bidders. The parameters for qualifying the technical criterion would be indicated in the Tender document.

(iii) Depending on need, limited tendering or selection on nomination basis may also be considered by the Department.

#### 5.4. SUBMISSION OF PROPOSAL

(i)The proposal for evaluation study should be submitted by the Project Director/ In-charge of the Project. Project Director/In-charge of the Project should have the necessary experience in use of statistical tools and experience in the social sector with at least 5 years' experience of evaluation of studies on social sector (copies of certificates and proofs of earlier engagement may be enclosed). The Project Director should submit the proposal through the head of the Organization where he is working. In case of a University, the project should be submitted by the Registrar of the University. The head of Organization/Registrar of the University shall inform the particulars of the person whose name has been given as Project Director of the proposed study and whether he/she is currently engaged or is likely to be engaged in the near future.

(ii)Documents to be submitted with the bid are as follows:

- a. Scanned copy of Earnest Money Deposit (EMD).
- b. Scanned copies of Registration Certificate / Memorandum & Articles of Association and any other documents to certify the nature of existence of the Organization
- c. Scanned copies of Audited Annual Accounts along with Audit Report of last three financial years
- d. Annual Report Account of last three years
- e. Scanned copy of valid PAN of the Organization/Tax Account Number (TAN) and Service tax number (STN)/GST Number
- f. Executive summary of 3 study reports completed during last 5 years and documents of acceptance of the Reports by sponsoring authority.
- g. An authorization letter from the firm certifying that the person who signed the bid is an authorized person to sign on behalf of the firm
- h. A declaration that the organization has not been blacklisted from the Authorized Signatory of the Organization
- i. Copies of certificates and proofs of previous engagements of the Project Director
- j. Copies of certificates/ proofs of previous engagements of at least two post graduate professionals involved in the Project
- k. Technical Bid
- l. Financial Bid
- m. Technical Evaluation Format
- n. Tender Acceptance Letter

#### 5.5. EARNEST MONEY DEPOSIT

(i)The intending bidders should pay along with bids an Earnest Money Deposit as specified in the Tender document. The EMD shall be paid by Demand Draft / Bank Guarantee from any of the scheduled Banks in favor of **DDO, Department of Social Justice & Empowerment, Shastri Bhavan, New Delhi-110001** and is required to be deposited (in original) addressed to Deputy Secretary (Plan/Evaluation), D/o Social Justice & Empowerment, B-2, Pandit Deendayal Antyodaya Bhavan, CGO Complex, New Delhi. The EMD will not carry any interest. **Organization exempted from payment of EMD should upload the Proof of exemption.** The EMD submitted by the bidder will be forfeited if:

- If successful bidder fails to accept the Letter of Invitation (LOI).
- If bidder fails to furnish the required performance security within the specified period.
- The bidder withdraws bid after processing but before acceptance of award of contract issued by the Department.
- The bidder violates any of the provisions of the terms and conditions of the tender specifications.
- If bidder canvasses in any way for the bid
- If bidder withholds information or submits false information

(ii) The EMD will be refunded to:

- The successful bidder, subject to submission of Performance Security.
- The unsuccessful bidders, within 30 days of acceptance of award of contract by the selected bidder or in case of cancellation of Tender.

(iii). The Earnest Money Deposit will be refunded without any interest under all conditions. Offers received without EMD will be summarily rejected (*other than those exempted*). The EMD will remain valid for a period of forty-five days beyond the final bid validity period. EMD of the unsuccessful bidders will be returned to them latest on or before the 30<sup>th</sup> day after the award of the contract.

## **5.6. PERFORMANCE SECURITY**

The successful bidder will be required to submit a Performance Bank Guarantee issued by any scheduled commercial bank for 8% of the contract value. Performance Security may be furnished in the form of an Account Payee Demand Draft or Bank Guarantee from a Commercial bank. Performance Security would remain valid for a period of sixty days beyond the date of completion of the contract. The Bank Guarantee may be invoked by the Department in case of failure of bidder to adhere to the terms & conditions of the contract. In case of delays in execution of project, the Department may seek extension of the Performance Security which will require to be acceded to by the evaluating organization.

## **5.7. PENALTY FOR DELAYED SUBMISSION OF REPORT**

In case of any delay in submission of report by due date, a penalty @ 0.5% of the cost of study per week will be levied.

## **5.8. LIMITS TO THE NUMBER OF EVALUATION STUDIES TO BE SANCTIONED**

The decision as to the number of evaluation studies that could be awarded to any organization simultaneously before completion of the previously awarded study/studies will depend upon the strength and quality of staff, facilities available, past performance and the status of projects already in hand with the Organization. The discretion in this regard will remain totally with the D/o Social Justice & Empowerment.

## **5.9. LETTER OF AWARD AND CONTRACT AGREEMENT**

The Department will issue a Letter of Award (LoA) to the successful bidder in duplicate mentioning in brief rates, terms & conditions. The acceptance and return of one copy of the LoA duly signed as token of acceptance will be construed as entry into the contract by both parties. The duly signed LoA along with a contract bond and Performance security would need to be submitted to the Department within the stipulated time indicated in the LoA, as failing which the Department reserves the right to take appropriate decision.

## **5.10. SANCTION**

- i. The Ministry will issue a sanction letter in respect of every approved project. The letter will be accompanied by a copy of the project as approved by the Ministry.
- ii. The funds of the Ministry will be given for projects covering a specified period. In exceptional cases the period may be extended, subject to justification and with the approval of Competent Authority.

## 5.11. AGREEMENT

(i)The Organization will confirm in writing that the conditions contained in the tender document are acceptable to it. The selected bidder will also execute a bond in favour of the President of India to the effect that it will abide by the terms and conditions attached to the funds and that in case it fails to abide by the same, it will refund to the Government the total funds sanctioned to it for the purpose with penal interest @15% per annum thereon.

(ii)The Organization will maintain separate accounts in respect of this fund. The accounts will remain open to inspection to the representatives of the Government of India, including the Comptroller and Auditor General of India. At the end of the period, the Organization will have the accounts of this fund audited by a Government Auditor or a Chartered Accountant, and supply a copy of the audited accounts, together with a utilization certificate as prescribed in GFR 2017, to this Ministry within six months after completion of the project. If regular process of audit takes more time, the accounts may be got audited by a Chartered Accountant and the audit fee may be charged under sub-head "Contingency" of the project. Any unspent balance out of this fund will be refunded by the Organization within 30 days from the date of completion of the Project failing which such unspent balance will attract penal interest of 15% per annum for the period from date of completion of the project to the date of refund of unspent balance.

(iii)The Ministry will accept no responsibility for any financial expenditure or liability arising out of the project except what has been specifically approved by it and conveyed to the selected bidder through the sanction letter.

(iv)The Ministry will sanction finances for each sub-head and the Ministry's Sanction order will clearly satisfy the sanctioned amount for each sub-head for the total financial assistance given for evaluation study. The evaluation Organization without the prior written approval of the Ministry will have no right of re-appropriation of amount from one sub-head to another.

(v)The evaluation Organization shall not incur any excess expenditure on the study, under any circumstances, over and above the sanctioned amount, without prior written approval of the Ministry. Ordinarily such request will not be entertained by the Ministry.

(vi)The Project Director will submit to the Ministry progress reports of the project along with certified statement of the expenditure actually incurred and estimate of expenditure for the remaining period of the study. ***A monthly review of the progress of the study would be undertaken by the Ministry. The organization would also make a presentation before the Ministry at draft report stage on its preliminary findings.***

(vii)The Project Director will report to the Ministry the changes he makes in the design of the study, and no major change will be made therein unless the prior approval of the Ministry has been obtained. On a request from the Evaluating Organization, the Ministry may in exceptional cases, permit the appointment of another Project Director. When the Director of a project takes up an appointment at another Organization before the project is completed the Ministry may permit, with the consent of both the Organizations concerned to transfer of the project to the other Organization.

(viii)If the Ministry is not satisfied with the progress of the project, or if it finds that these rules are being seriously violated, it reserves the right to terminate agreement & initiate necessary action as per terms & conditions of the tender document and extant rule of Government of India.

## 5.12. INSTALLMENTS

(i) The installments will be released as under: -

1st installment : 20% (after receipt of Performance Security)

2nd installment : 50% (on submission and presentation of draft report)

3<sup>rd</sup> instalment : 30% (After acceptance of Report by the Department with submission of 8copies of the final report and 20 copies of summary Report alongwith its soft version and audited Statement of Accounts and Utilization Certificate)

(ii) A presentation of the draft report would require to be made before the Ministry.

(iii)The Organization will not be eligible for any payment in excess of the sanctioned amount, unless a specific prior approval of the Ministry to that effect has been applied for and obtained. Full justification has to be provided in such a case.

(iv)The Ministry will accept no responsibility for any financial expenditure or liability arising out of the project except what has been specifically approved by it and conveyed to the Organization or university through the sanction letter.

(v)The Ministry will sanction the funds for each sub-head and the Ministry's Sanction order will clearly satisfy the sanctioned amount for each sub-head as given for evaluation study. The organization without the prior written approval of the Ministry will have no right of re-appropriation of amount from one sub-head to another.

## 5.13. ITEMS COVERED

The following items are covered under the payment:

- i. Salaries and allowances of the project staff of the study and honorarium for the Project Director. (N.B.: The salary of peons will not be sanctioned as a part of expenditure on the study. Any expenditure on this account may, however, be met out of the overhead charges mentioned under item (vii) below).
- ii. Travel undertaken in relation to the project.
- iii. Consultancy charges.
- iv. Printing.
- v. Equipment and books.
- vi. Computer and tabulation costs.
- vii. Contingency and Overhead charges.

## 5.14. OWNERSHIP OF DATA

The Organization receiving funds for a project shall make suitable arrangements for the preservation of data collected during the study, such as filled in schedules, tabulation or working sheets, reports, photographs etc, relating to the Project, in electronic form and this shall be shared with the Ministry at the time of submission of Final Report. The ownership of all such data shall remain with the D/o Social Justice & Empowerment. All raw data compiled during the study shall be transferred to the Ministry. No data collected in context of the study may be destroyed or otherwise disposed off or given to any other organization/individual, unless so approved by the Ministry.

## **5.15. SUBCONTRACTING**

The bidder shall not subcontract or permit anyone other than its personnel to perform any of the work, service or other performance required of the bidder under the contract without the prior written consent of the Department.

## **5.16. DEFAULT**

1.The selected bidder shall execute a bond in favour of the President of India to the effect that it would abide by the terms and conditions attached to the study and that in case it fails to abide by the same, it will refund to the Government the total funds sanctioned to it for the purpose with 15% penal interest thereon.

2.In case, the selected bidder is found in-breach of any condition of tender/bid evaluation the EMD/Performance Security shall be forfeited / invoked.

3. Default would entail blacklisting of the Organization by the Department for at least 3 years.

4.If the Ministry is not satisfied with the progress of the project, or if it finds that these rules are being seriously violated, it reserves the right to terminate its contract.

## **5.17. ARBITRATION**

1.The Department and selected Bidder will make every effort to resolve amicably, by direct negotiation, any disagreement or dispute arising between them under or in connection with the work order. If any dispute will arise between parties on aspects not covered by this agreement, or the construction or operation thereof, or the rights, duties or liabilities under these except as to any matters the decision of which is specially provided for by the special conditions, such dispute will be referred to arbitrator, to be appointed by the competent authority appointed by this Ministry and will be final and binding on both the parties. Such arbitration will be governed in all respect by the provision of the Arbitration and Conciliation Act, 1996 or later and the rules thereunder and any statutory modification or re-enactment, thereof. The arbitration proceedings will be held in New Delhi only, wherein appropriate Appellate Authority shall also be the Hon'ble High Court of Delhi at New Delhi

2.The contract with the selected bidder shall be governed in accordance with the Laws of India and will be subject to the exclusive jurisdiction of Courts at Delhi.

## **5.18. DRAFT/FINAL REPORT:**

Draft report of the project will be submitted by the Project Director to the Ministry immediately on the completion of the project and the same will be examined by the department. In case of any discrepancy, the project director will be asked to revise the report. After the acceptance of the report, he will submit eight copies of the final report along with 20 copies of summary report alongwith a soft copy of the report to the Ministry along with all raw data collected for the project. This final report, which will be comprehensive enough to serve as a definite record, is expected to cover the following points:

- I. The methodology and procedure followed includes the following points:
  - a. The design of evaluation study;
  - b. The selection of the universe and the units for study: considerations that governed the selection of the universe, size of the sample and the procedure for sample draw.
  - c. Tools used: detailed account of the exercise of tool construction, special contribution made by the project in devising new tools or sharpening existing ones;

- d. Field work: The manner in which field work was conducted including division of labour among the project staff, problems encountered;
  - e. Photographs of field surveys may be included.
  - f. The schedule of inquiry to conduct field survey is to be enclosed with the report (It should be got approved by the Ministry before the start of study).
- II. The report should be presented in various chapters wherein each objective of the study should be treated as title of the chapter.
- III. Presentation of data in tabular form with due analysis and appropriate write up.
- IV. Findings and conclusion;
- a. Summary of findings;
  - b. Outcomes of the scheme
  - c. Conclusions;
  - d. Recommendations for further improvement in the scheme under study.

The Ministry may, after scrutiny of the final report, request the Project Director to revise it. If so requested, it will be the responsibility of the Project Director to revise the report on the broad lines indicated and to resubmit it. No further fund will, however, be given for this purpose over and above the sanctioned funds.

## 5.19. CONDITIONS

- i. When the project is completed the Organization will submit an audited statement of accounts **as per GFR-2017** for all expenditure incurred, audited by a Government Auditor or a Chartered Accountant within six months of the date of acceptance/clearance of the project report or termination of the project.
- ii. The Organization will also submit to the Ministry a statement showing the equipment purchased out of the funds, with its price, along with the audited statement of accounts.
- iii. For the purpose of this rule, equipment will mean articles costing **Rs.500/-** or more.
- iv. Equipment purchased out of the funds will be the property of the Ministry, which will decide about its disposal on the completion of the project. The Organization may submit a proposal in this regard before the completion of the project. The Ministry may agree to its transfer and permit the Organization to utilize the equipment, provided the equipment is used for teaching and the Organization gives an undertaking for its proper care and maintenance.
- v. All books and periodicals etc. purchased out of the Ministry's fund shall after written approval from the Ministry be transferred to the library of the research Organization on completion of project unless the Ministry decides to call for any / all books / periodicals for its own use and record, at any point of time. The organization once being permitted by the Ministry to retain these documents in its own library, shall furnish a certificate to the Ministry that these documents have been transferred to the library of the research Organization and would be used by research staff of the research Organization.
- vi. The Ministry may, at any time, depute any of its officers to inspect the accounts and other papers relevant to the funds and working of the project and direct him / her to submit report to the Ministry on such points as may be specified.
- vii. The financial accounts of the study being financed by the Ministry, shall also remain open for periodical inspection by the officers in the office of the Accountant General, Central Revenue, and or Directorate of Audit of Central Revenue.
- viii. The organization which is recipient of funds from the Ministry for the evaluation study, will be individually responsible for preserving the data, working sheets, tabulation sheets, manuscripts, report etc. relating to the study. Any documents/ information in any form related to the project cannot be

divulged to any other person/Organization without the written approval of the Ministry. Any document concerning the project cannot be destroyed without prior written approval of the Ministry.

- ix. The organization being financed by the Ministry for a study will not publish the report in any form or pass it on any of its part or any information in any form concerning the study, to any individual, Organization, press department, university etc. without the prior written approval of Ministry. The organization will submit the report to the Ministry only and it shall be the property of the Ministry. If the Ministry do not consider worthwhile to publish such report, it shall not be published.
- x. The Ministry reserves all rights to direct the organization obtaining funds for a study to produce any documents, books / periodicals etc. which in the opinion of the Ministry are necessary to examine and decide proper utilization of the funds sanctioned by the Ministry.
- xi. The head of the organization while furnishing the proposal to the Ministry, will invariably furnish in duplicate, an undertaking that the organization will abide by all the contents contained in the scheme' and also any other conditions decided by the Ministry from time to time and will execute a bond on the stamp paper to this effect.
- xii. The organization will be fully responsible for adhering to these conditions.
- xiii. The Ministry in case of knowledge of any violation of the contents contained in the scheme reserves all rights to call for full facts from the organization and/or direct appointment of an Enquiry Committee consisting of official members to be decided by the Ministry alone: to look into the whole matter, and the remedial measures, to the Government of India within one month from the date of appointment of such an enquiry committee.
- xiv. In case of any legal proceeding arising out of the matters relating to the project financed to the organization the Delhi Courts only, shall have the legal jurisdiction to entertain any suit/proceeding.
- xv. Depending upon merits of the case, the Ministry alone shall have the authority to delete or modify any of the conditions laid down in this scheme or impose such additional conditions as it may deem them expedient.
- xvi. Organizations will be required to ensure the security and confidentiality of all statistical records in their possession during the execution and after the cessation of the project. They may be required not to disclose or use any information or record that has been in their knowledge in the performance of the project.
- xvii. Organization will require not to undertake any non-statistical activities like data base marketing involving data about individuals which could be used for direct marketing and promotional activities.
- xviii. Organization shall ensure that statistical personnel engaged in data collection be made aware of their obligations not to access, use, disclose or retain personal information except in performing their duties of employment and are informed that failure to comply would render themselves liable to legal (civil and criminal) consequences.
- xix. Informants' identities must not without their written consent be revealed to anyone not directly involved in the project or used for any non-statistical purpose.
- xx. Persons engaged for data collection shall avoid interviewing informants at inappropriate or inconvenient times. They should also avoid the use of unnecessarily long interviews.
- xxi. It is advisable to avoid data collection in places where persons other than the informant or his family members have free access and where an informant could reasonably expect to be observed and/or overheard by other people present. In case of collecting sensitive information and any other information which an informant could reasonably feel inconvenience to furnish even in the presence of his family members, the data shall not be collected in a manner that the informant could not be observed/or overheard by the family members.
- xxii. The arrangement of audit of the accounts of the project shall be the same as officially applicable in the Organization and/or audit shall be done by an approved Chartered Accountant. The amount of audit fee paid if any will be charged from overhead – 'Charges' subhead only. Pending submission of audited statement of accounts, a statement of accounts and utilization certificate duly certified by the Finance Officer of the Organization should immediately be furnished to the Ministry.

## 5. 20. MISCELLANEOUS

Funds under the scheme may also be utilized with the approval of competent authority for:

- i. Functions/workshops/seminars etc. organized by the Department
- ii. Monitoring/Inspection related activity
- iii. Hiring of consultants
- iv. Administrative expenditure in scheme related activity
- v. Any miscellaneous expenditure in related areas

D/o Social Justice & Empowerment reserves the right to cancel its Notice Inviting Tender (NIT) or modify the requirement without assigning any reasons. The Department has the right to cancel the NIT and not to proceed for the sponsoring evaluation study at any stage without assigning any reason whatsoever.

## GUIDELINES FOR THE FORMULATION OF TECHNICAL & FINANCIAL BIDS

### A. TECHNICAL BIDS

Project Directors are requested to furnish a detailed proposal covering the proposed design of the study including the universe of study, sampling frame, and sampling procedure, tools to be used in data collection, time schedule and staffing pattern.

To facilitate the task of the Project Director, in formulating the proposal, a few guiding principles are given below:

#### **I. The title of the Project (in capital letters)**

#### **II. Objectives of the study as understood by the bidder**

#### **III. Methodology**

The following points should be given:

1. Universe of study
2. Sampling frame
3. Sampling procedure
4. Units of observation and sample-size.

An explanation of the determination of size and type of sample will also be necessary.

The different types of data that are proposed to be gathered should be specifically mentioned.

The sources for each type of data and the tools and techniques that will be used for collecting different types of data should be specified.

For questionnaire or schedule to be used, the following should be indicated:

1. Distribution of the questionnaire or schedule in different sections, e.g., identification particular, socio-economic data, questions on various sub-themes, etc.
2. Approximate number of questions to be asked from each respondent
3. Any scaling techniques proposed to be included in the instrument.
4. Approximate time needed for interview.
5. Coding plan

For the interviews, the following details should be given:

1. How are they to be conducted?
2. Particular characteristics that interviews must have:

For the use of observation techniques, describe:

1. The type of observation; participant, quasi-participant, non-participant.
2. Units of observation;
3. Whether this will be the only technique or other techniques will also be employed.

#### **IV. Data processing**

The manner in which the different types of data will be processed, the tabulation plan, and the type of data that will be processed through the computer, should be explained in details.

## V. Time budgeting

The project should be broken up in suitable stages and the time required for completion of each stage of work should be specified, for instance, such stages may cover:

1. Preparatory work, including selection and appointment of staff and their training.
2. Drawing of sample.
3. Tool construction (including their pre-testing and printing)
4. Data collection
5. Data processing (which should include coding, editing, punching, verification, sorting, computer analysis)
6. Data analysis.
7. Report writing.

## VI. Organizational Framework

An organizational chart indicating the positions tasks and number of persons required to fill the different positions should be given.

*The following issues need to be borne in mind:*

The approach and methodology to be adopted by the organization for proposed study is appropriate.

- The Project team has necessary skills in statistical tools of analysis and sampling methodologies.
- Details of statistical tools and applications to be used are indicated in the proposal
- The primary data to be collected on the objectively verifiable indicators and factual information
- Organization will use experts /manpower in all regional language /local language as and when required.
- Organization has demonstrated capacity to carry out structured evaluations
- Organization has capacity to collect and analyze data from variety of sources at disaggregated level.
- Organization has capacity to prepare a feasible and comprehensive study design for evaluation, with data collection tools and analytical framework.
- Organization has capacity to structure data, create electronic databases, and develop output results in appropriate formats.
- Organization has willingness to undertake the assignment in the given timeframe.
- Organization has sufficient infrastructure facilities including office and modern office equipment.
- Organization has ability to develop and prepare all the data collection instruments including questionnaires, checklist for stakeholders, structured Focus Group Discussion format, tabulation plans etc.
- Organization has ability to undertake survey work in all sample districts.
- Organization has ability to cross/back check of primary data.
- Data collection is application based and not manual
- Enumerators are appropriately trained
- **Adequate photographs may be taken during the Interaction/Interview/ Survey/primary data collection process**

## **FINANCIAL BID**

The following items are covered under the funds:

- i. Salaries and allowances of the project staff of the study and honorarium for the Project Director. (N.B.: The salary of peons will not be sanctioned as a part of expenditure on the study. Any expenditure on this account may, however, be met out of the overhead charges mentioned under item (vii) below).
- ii. Travel undertaken in relation to the project.
- iii. Consultancy charges.
- iv. Printing.
- v. Equipment and books.
- vi. Computer and tabulation costs.
- vii. Contingency and Overhead charges.

The Ministry will accept no responsibility for any financial expenditure or liability arising out of the project except what has been specifically approved by it and conveyed to the Organization or university through the sanction letter.

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GOVERNMENT OF INDIA  
MINISTRY OF SOCIAL JUSTICE AND EMPOWERMENT  
(PLAN DIVISION)

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TECHNICAL BID

## I. Organizational Particulars

1. Name of the bidder (in Block letters) \_\_\_\_\_
2. Address \_\_\_\_\_
3. EMD (DD No., Date & Name of Bank) \_\_\_\_\_
4. Name of the representative of bidder \_\_\_\_\_
5. Telephone No. / Mobile No. \_\_\_\_\_
6. PAN of Organization \_\_\_\_\_
7. TAN/STN/GST Number/Title of the project \_\_\_\_\_
8.
  - a. In case the organization is established under the Act of Parliament / State Legislature, the name of the Statute, No. of Act and Year
  - b. In case the organization is established under the societies Registration Act, the Place, registration number and Date of registration.
9. If Semi- Government Organization, the name of the Government Department to which it is attached (with complete address).
10.
  - a. Whether organization has a source of income
  - b. If yes then how much per annum and from which source -give details
  - c. Whether it runs on no-profit no-loss basis
11. Brief history of the organization, its objectives and activities.
12. Whether Organization has five years of experience in the field of research / survey / evaluation in the area of social sector, if so, details thereof

## II. PROJECT Outline

1. Objectives
2. Justification for taking up the study.
3. Approach and Methodology

The approach and methodology to be adopted by the organization/Organization for proposed study should be appropriate. The following should be borne in mind

- The Project team has necessary skills in statistical tools of analysis and sampling methodologies.
  - Details of statistical tools and applications to be used are indicated in the proposal
  - The primary data to be collected on the objectively verifiable indicators and factual information
  - Organization will use experts /manpower in all regional language /local language as and when required.
  - Organization has demonstrated capacity to carry out structured evaluations
  - Organization has capacity to collect and analyze data from variety of sources at disaggregated level.
  - Organization has capacity to prepare a feasible and comprehensive study design for evaluation, with data collection tools and analytical framework.
  - Organization has capacity to structure data, create electronic databases, and develop output results in appropriate formats.
  - Organization has willingness to undertake the assignment in the given timeframe.
  - Organization has sufficient infrastructure facilities including office and modern office equipment.
  - Organization has ability to develop and prepare all the data collection instruments including questionnaires, checklist for stakeholders, structured Focus Group Discussion format, tabulation plans etc.
  - Organization has ability to undertake survey work in all sample districts.
  - Organization has ability to cross/back check of primary data.
  - Data collection is application based and not manual
  - Enumerators are appropriately trained
4. **Time schedule:** Estimated time in which project will be completed (total project duration along with phase-wise details)

### III. Staffing Pattern

1. Name of the Project Director along with his/ her bio-data

### IV. List of documents (copies) to be uploaded with application form

1. Scanned copy of Earnest Money Deposit (EMD).
2. Scanned copies of Registration Certificate / Memorandum & Articles of Association and any other documents to certify the nature of existence of the Organisation
3. Scanned copies of Audited Annual Accounts along with Audit Report of last three financial years
4. Annual Report of last three years
5. Scanned copy of valid PAN of the Organisation / Tax Account Number (TAN) and Service Tax Number (STN) / GST Number

6. Executive summary of 3 study reports completed during last 5 years and documents of acceptance of the Reports by sponsoring authority.
7. An authorization letter from the firm certifying that the person who signed the bid is an authorized person to sign on behalf of the firm
8. A declaration that the organization has not been blacklisted from the Authorized Signatory of the Organisation
9. Copies of certificates and proofs of previous engagements of the Project Director
10. Copies of certificates/ proofs of previous engagements of at least two post graduate professionals involved in the Project
11. Technical Bid
12. Financial Bid
13. Technical Evaluation Format
14. Tender Acceptance Letter

I hereby declare and affirm that I have read and understood the terms and conditions of the contract as stipulated in the tender document.

To be signed by  
Project Director of the evaluation study  
Head of the Organization /authorized signatory

(Signature)

Place:

Date:

## **FINANCIAL BID**

### **Budget Estimate**

The cost of the project estimated in terms of total man-months and the facilities needed are calculated as under:

1. Personnel

Position/Designation	No. of persons	Salary (fixed consolidated)	Duration	Amount required
1	2	3	4	5
Total				

2. Travel
3. Printing
4. Equipment and books
5. Computer and machine tabulation costs
6. Contingency
7. Overhead charges (upto 5 % of items 1 to 6)

**Grand total (excluding taxes)**

To be signed by the  
Project Director of the evaluation study/  
Head of the Organization /authorized signatory

(Signature)

Place:

Date: