# CHAPTER II

# PERFORMANCE AUDITS

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This chapter contains findings of Performance Audits on (i) Implementation of Rashtriya Madhyamik Shiksha Abhiyan, (ii) Working of Observation Homes, Children Homes and Special Homes in Tamil Nadu and (iii) Information Systems Audit on Computerisation of District Employment Offices.

## SCHOOL EDUCATION DEPARTMENT

### 2.1     Implementation of Rashtriya Madhyamik Shiksha Abhiyan

*Executive Summary*

*Government of India (GoI) in order to make good quality secondary education available, accessible and affordable to all young persons in the age group of 14-18 years launched Rashtriya Madhyamik Shiksha Abhiyan (RMSA) in March 2009 as a Centrally Sponsored Scheme (CSS). Under the scheme, the GoI share is 75 per cent and the GoTN share is 25 per cent of the cost of all components. A Performance Audit of Implementation of RMSA revealed certain significant audit findings:*

*In all the test-checked 190 Government schools of the eight sample districts, no perspective plan or annual plan was prepared at school level. Instead, the Annual Work Plans were prepared by the District Programme Co-ordinators based on the data available in School Education Management Information System (SEMIS), Unified District Information System for School Education (UDISE) and Census data.*

*Ineligible middle schools, not fulfilling the norms of RMSA, on access to habitations and number of students in feeder schools were upgraded in the test-checked districts. Further, 158 out of 710 schools approved for upgradation by GoI in 2011-12 were subsequently cancelled due to non-adherence of RMSA norms.*

*Short/delayed release of scheme funds by GoTN was noticed.*

*Though 1,944 schools were required to be upgraded in the State as per the mapping exercise, only 1,096 schools were upgraded during 2009-12, out of which new buildings were constructed for 136 schools sanctioned during 2009-10. Construction was under progress in 62 schools and in the remaining 898 schools, construction was not taken up as of August 2015.*

*Under the Strengthening of schools component, out of 2,549 Additional classrooms (ACR) and Science Laboratories sanctioned during 2010-11, 1,413 ACR and Science Laboratories were completed as of August 2015. All the strengthening works sanctioned during 2011-12 were not taken up as of May 2015.*

*The training given to teachers was inadequate. There was adverse student-classroom ratio as compared to norms.*

*In 119 test-checked Government schools, there were no Science laboratories and in 149 schools, there were no libraries. In 94 schools, there were no playgrounds.*

*Audit noticed that the overall impact of the deficiencies also resulted in declining enrolment in IX Standard in Government schools, reduction in transition rates to high schools, lack of reduction of dropouts and poor results in examinations.*

### 2.1.1 Introduction

Government of India (GoI) in order to make good quality secondary education available, accessible and affordable to all young persons in the age group of 14-18 years launched Rashtriya Madhyamik Shiksha Abhiyan (RMSA) in March 2009. The main objectives of RMSA are to ensure that all secondary schools have physical facilities, staff members and supplies at least according to the prescribed standards through financial support in case of Government/ Local Body and Government aided schools. RMSA aims to improve access to secondary schooling to all young persons according to norms - through proximate location (*viz*., Secondary Schools within five kms, and Higher Secondary Schools within 7-10 kms)/efficient and safe transport arrangements/residential facilities, to ensure that all students receive secondary education of good quality resulting in enhanced intellectual, social and cultural learning. Under this scheme, the GoI share is 75 *per cent* and the Government of Tamil Nadu (GoTN) share is 25 *per cent* of the cost of all components. The RMSA has been implemented in Government and local body schools in the State.

Another Scheme of GoI for construction and running of Girls Hostel (Girls Hostel Scheme) for students of Secondary and Higher Secondary Schools envisaged setting up of hostels with lodging and boarding facilities in the Educationally Backward Blocks (EBBs) so that the girl students are not denied the opportunity to continue their study due to societal factors. The scheme was integrated with RMSA with effect from 1 April 2013. A comment on delay in construction of girls' hostels was made in Paragraph 2.2.7.5 of the Report of the Comptroller and Auditor General of India for the year ended 31 March 2014 – General and Social Sector - Tamil Nadu, under the Performance Audit of "Schemes for welfare and protection of girl child".

### 2.1.2 Organisational set-up

The RMSA and Girls Hostel scheme are being implemented by the State Implementation Society *viz*. Tamil Nadu State Mission of Rashtriya Madhyamik Shiksha Abhiyan registered (September 2009) under the Societies Registration Act 1975.

RMSA has a State Project Director (SPD) as Nodal Officer at State Level, who reports to the Principal Secretary, School Education Department. The SPD is supported by a Technical Support Group (TSG) established with the appointment of consultants. The State has designated District Programme Co-ordinator (DPC) as the Nodal Officer at the district level. The DPC is responsible for all activities relating to planning, management and implementation of RMSA. There is a School Management and Development Committee (SMDC) in each school for implementation of the scheme at school level.

### 2.1.3 Audit objectives

The Performance Audit aimed to assess whether:

➢ planning was based on gap assessment between existing resources and requirements for scheme implementation;

➢ funds were provided as per the approved plan and utilised economically and efficiently and

➢ the scheme was efficiently implemented to achieve stated outputs.

### 2.1.4 Audit criteria

The Performance Audit was bench marked against the criteria derived from the following documents:

➢ Perspective Plan and Annual Work Plans & Budget (AWP&B).

➢ Framework/Guidelines of the schemes *viz*., RMSA and Girls Hostel scheme.

➢ Manual on financial management and procurement for RMSA.

➢ Manual/Policies/Rules and regulations of the GoTN.

➢ Orders, Circulars and Instructions issued by Ministry of Human Resource Development (MHRD), GoI and GoTN from time to time.

➢ Unified District Information System for School Education (UDISE) data and School Education Management Information System (SEMIS) data.

### 2.1.5 Scope and Methodology of Audit

The Performance Audit on implementation of RMSA was conducted between March and August 2015 covering the period from 2009-10 to 2014-15. The records at the offices of the Principal Secretary, School Education Department, and SPD of RMSA in the State were examined. Besides, eight[1] out of the total 32 districts were selected for test check, based on stratified random sampling

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[1]   Dindigul, Erode, Salem, Thanjavur, Theni, Tiruppur, Tiruvannamalai and Villupuram

method (stratification done on the basis of number of schools in each district). Further, 190 out of the total 1,754 Government schools in these eight districts, selected on random sampling method were also test checked.

An entry conference was held in March 2015 with Principal Secretary to Government, Department of School Education wherein objectives, scope and audit criteria were discussed. The audit findings were discussed in an Exit Conference conducted with the Principal Secretary, School Education Department in December 2015 and the replies and responses of the Department were taken into account, while finalising the Report. The audit findings are given in the succeeding paragraphs.

## Audit findings

### 2.1.6 Planning

#### *2.1.6.1 Habitation without access to secondary school*

As per the framework for implementation of RMSA issued by the MHRD, GoI, the vision for secondary education is to make good quality education available, accessible and affordable to all young persons in the age group of 14-18 years. It *inter alia* provides for secondary school within a reasonable distance of any habitation, which should be five kms for secondary schools and 7 to 10 kms for higher secondary schools and to ensure universal access of secondary education by 2017.

As per the Perspective Plan of GoTN for the period 2009-17 for expanding secondary education in the State, provision of secondary school within five kms to all habitations was to be achieved in 2011-12.

As of March 2015, as against 93,855 habitations in the State, 69,223 habitations (73.75 *per cent*) had access to secondary schools within five kms. Thus, 24,632 habitations (26.25 *per cent*) did not have access to secondary schools within five kms, indicating that the objective of providing secondary school to all habitations by 2011-12 could not be achieved fully.

It was observed that only 1,096 schools were upgraded during 2009-12, as against 1,944 schools identified for upgradation, and due to delay/non-commencement of construction of new buildings in upgraded schools, GoI had not approved any new project since 2012-13.

During the Exit Conference (December 2015), the Principal Secretary stated that the coverage of habitations would be substantially increased, on completion of upgradation of the balance proposed schools.

#### *2.1.6.2 Non-conduct of survey by Core Group and non-preparation of Perspective Plan at school level*

➢ As per RMSA framework, the starting point for planning activities has to be the setting up of a Core Group of governmental and non-governmental persons at the District level, which would undertake an extensive visit of the district, by interacting with each household to

ascertain the educational status and the educational need. However, in all the eight test-checked districts, though core groups were formed, they did not conduct any household survey. Therefore, Audit could not ascertain whether educational needs of each household were taken into account prior to implementation of RMSA.

➢ As per RMSA framework, the School has to play a critical role in the planning process. The School Management Committee of every identified secondary or upper primary school has to prepare a school level Perspective Plan and Annual Plan. However, it was seen in all the test-checked Government schools of sample districts that no such Perspective Plan or Annual Plan was prepared at School level.

Thus, the planning process was not conducted as envisaged in the framework and instead, Annual Work Plans were prepared by the DPC based on the data available in SEMIS, UDISE and Census data and not on the basis of actual household and school surveys for identification of un-served areas.

The Government, in reply, stated (December 2015) that School Improvement Plans (SIP), which reflect the ground reality, were prepared by SMDC, based on which district level plans were prepared by the District Technical Support Groups. Those district level plans were consolidated at the State level by the State Technical Support Group as Annual Plan. However, Audit carried out a re-verification of the availability of such plans in five schools in two districts *viz*., Dindigul and Theni and found that the SIPs did not contain details of periodical achievement tests, classroom observation schedule and household surveys, as envisaged.

### *2.1.6.3    Non-adherence of RMSA norms resulting in selection of ineligible middle schools for upgradation into high schools*

The norms for approving new secondary schools under RMSA are:

➢ non-availability of high school facility within a distance of five kms from habitations;

➢ at least 70 children should have been enrolled in VIII standard of feeder upper primary schools within the catchment area.

During 2009-12, in Tamil Nadu, 1,096 schools were upgraded to High Schools under RMSA, out of which, 336 schools were upgraded in the eight sample districts. In the selected districts, 107 schools were test checked and the cases where these norms were not followed are discussed in the subsequent paragraphs.

**Non-adherence to the distance norm of five kms**

It was seen in the test-checked districts that, 66[2], out of the 107 upgraded schools that were test checked, were upgraded during 2009-12, despite already

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[2]    Dindigul (6), Erode (8), Salem (12), Thanjavur (5), Theni (6), Tiruppur (6), Tiruvannamalai (10) and Villupuram (13)

having High/Higher secondary school within the radius of five kms, contrary to the provisions of RMSA.

Further, it was also noticed that due to non-conducting of mapping exercise each year after upgradation, certain schools were incorrectly upgraded under RMSA without taking into account existence of another school which was recently upgraded under the same scheme (RMSA) within five kms radius as illustrated below.

In Salem District, Government High School (GHS), Veeranam was upgraded in 2009-10. However, another school, GHS Vaikkalpattarai, located within the radius of five kms was also upgraded in 2011-12. Similarly, in Villupuram District, GHS Asoor (Vikravandi) was upgraded in 2010-11, but GHS Melakondai located within radius of five kms was also upgraded in the very next year itself, i.e., 2011-12, in disregard to RMSA norms.

### Non-adherence of feeder school norm on enrolment

It was observed in the test-checked districts that 83[3] out of the 107 schools were upgraded during 2009-12 without having feeder strength of minimum of 70 children, contrary to provisions of RMSA.

After upgradation of these schools, only 11 schools had enrolment of more than 70 students in IX standard. In the remaining 72 schools, the same ranged between 9 and 69.

### Cancellation of upgradation of 158 schools by Project Approval Board

Further, GoTN had identified 1,944 middle schools to be upgraded in Tamil Nadu, out of which 1,254 schools (200 + 344 + 710) were upgraded during the years 2009-12, leaving out 690 schools. The Project Approval Board (PAB) in its Meeting held to consider the AWP&B of the State for 2013-14 (July 2013) cancelled the sanction allotted to 158 out of the 710 schools, approved during 2011-12, on the grounds that either these schools did not meet the criteria of being beyond a radius of five kms from the nearest High School or that the enrolment of students in the feeder middle schools was insufficient. Accordingly, the PAB instructed that the sanction of teacher posts, construction works and non-recurring grants be amended in respect of these 158 schools. These schools were functioning as High schools though they were not eligible to function as High schools as per RMSA norms and, consequently, the total salary component is being borne by the State. Thus, inclusion of ineligible schools for upgradation under RMSA and failure to propose the eligible schools not only resulted in recurring expenditure (Salary Component) to the State amounting to ₹ 72.67 crore for 742 teacher posts during 2012-15, but also deprived the eligible schools from upgradation.

During the Exit Conference (December 2015), the Principal Secretary stated that factors such as natural barriers, difficulties in reaching existing schools were taken into account for upgradation of schools.

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[3]    Dindigul (9), Erode (4), Salem (12), Thanjavur (10), Theni (6), Tiruppur (8), Tiruvannamalai (15) and Villupuram (19)

Even taking the reply into consideration that upgradation was justified on account of latent demand based on other factors, though not adhering to RMSA norms, Audit found that the enrolment in such schools, even after upgradation did not go up substantially to justify such upgradation.

### *2.1.6.4 Non-posting of teaching and non-teaching staff as against approved strength*

The PAB, while approving the upgradation of new schools and strengthening of existing schools, also approved new teaching and non-teaching posts to these schools from 2009-10 onwards. The details of teaching and non-teaching staff approved, and actually in position in these schools under the Scheme are detailed in **Table 2.1**.

**Table 2.1: Details of staff approved and in position**

| Year | As per PAB Approval | | | Actually in position | | |
|---|---|---|---|---|---|---|
| | Teachers | Junior Assistant | Laboratory Assistant | Teachers | Junior Assistant | Laboratory Assistant |
| 2009-10 | 1,400 | Nil | 200 | Nil | Nil | Nil |
| 2010-11 | 3,808 | 344 | 544 | Nil | Nil | Nil |
| 2011-12 | 14,110 | 2,818 | 5,647 | 2,431 | 7 | 308 |
| 2012-13 | 14,110 | 2,818 | 5,647 | 7,893 | 532 | |
| 2013-14 | 13,320 | 2,660 | 5,489 | 9,915 | 661 | 686 |
| 2014-15 | 13,320 | 2,660 | 5,489 | 11,839 | 2,116 | 593 |

Source: Figures furnished by State Project Directorate

As against 1,400 and 3,808 teachers approved by PAB during 2009-10 and 2010-11 respectively, no teachers were appointed. As against 14,110 teachers approved during 2011-12 and 2012-13, only 2,431 and 7,893 teachers were appointed to the schools respectively. Similarly, the posts of non-teaching staff (Junior Assistants and Laboratory Assistants) approved during 2009-10 to 2012-13 were also not filled completely. Though GoTN initiated steps to appoint teachers during 2011-15, it could fill up only 17 *per cent* (2011-12) to 89 *per cent* (2014-15) of approved posts. The non-filling up of vacancies of teachers could be a reason for decline in enrolment, transition rate and increase in dropout rate as discussed in Paragraph 2.1.10.

The Government attributed (December 2015) the delay in posting teachers to low pass percentage in the Teachers Eligibility Test (TET) conducted by the Teachers Recruitment Board (TRB) twice in 2012. Hence all the 13,320 posts were filled only in 2013. It was further stated that the existing vacancies were due to transfers effected in May 2015. In respect of non-teaching posts, it was stated that the recruitment process for filling up the remaining posts was yet to be completed, due to pending court cases in this regard. However, a perusal of the PAB minutes for sanction of funds for 2013-14 and 2014-15 showed that recurring grant sanction was accorded for teachers in position to an extent of 8,804 and 10,077 respectively.

During the Exit Conference (December 2015), the Principal Secretary attributed the delay in filling up of the posts of teachers to delay in conducting TET by TRB, owing to Court cases.

### 2.1.7 Financial Management

#### *2.1.7.1 Utilisation of funds*

To achieve the intended objectives of the programme, the GoI and GoTN released their share of funds to SPD for further release to the DPCs for implementation of the programme.

It was noticed that during 2009-15, GoI released ₹ 1,254.19 crore and GoTN released ₹ 507.31 crore (including additional funds sanctioned amounting to ₹ 89.20 crore) to SPD under the scheme. Out of total available funds of ₹ 1,862.40 crore (including interest and miscellaneous receipt: ₹ 100.90 crore), ₹ 1,499.06 crore was utilised/released to districts and balance fund of ₹ 363.34 crore, remained unutilised. The percentage of shortfall in utilisation of funds in the State during 2009-15 ranged from 6.03 to 74.27. The non-utilisation of funds was due to non-taking up of infrastructure works in respect of 344 schools upgraded during 2010-11 and taking up of lesser number of works in respect of strengthening of schools approved by PAB for 2010-11, as discussed in Paragraphs 2.1.8.1 (ii) and 2.1.8.2.

In the eight test-checked districts, the year-wise details of funds released by the SPD and the expenditure incurred thereagainst during 2009-15 are given in **Table 2.2.**

**Table 2.2: Details of funds received and expenditure incurred thereagainst during 2009-15**

(₹ in crore)

| Year | Opening Balance | Funds Received | | Total Availability of funds | Expenditure incurred | Balance Available |
|------|------|------|------|------|------|------|
| | | From SPD | Miscellaneous receipt including interest | | | |
| 2009-10 | 0.00 | 24.17 | 0.00 | 24.17 | 24.11 | 0.06 (0.25) |
| 2010-11 | 0.06 | 20.51 | 0.02 | 20.59 | 18.06 | 2.53 (12.29) |
| 2011-12 | 2.53 | 35.20 | 0.23 | 37.96 | 29.46 | 8.50 (22.39) |
| 2012-13 | 8.50 | 71.07 | 0.26 | 79.83 | 21.39 | 58.44 (73.21) |
| 2013-14 | 58.44 | 94.01 | 2.23 | 154.68 | 137.14 | 17.54 (11.34) |
| 2014-15 | 17.54 | 28.21 | 0.75 | 46.50 | 34.81 | 11.69 (25.14) |
| **Total** | | **273.17** | **3.49** | | **264.97** | |

Figures in brackets indicate percentage of the total availability of funds

Source: Figures furnished by the District Project Offices

As against the total available funds of ₹ 276.66 crore (₹ 273.17 crore + ₹ 3.49 crore) during 2009-15, ₹ 264.97 crore was utilised and the balance amount of ₹ 11.69 crore (including interest) remained unutilised.

The unspent amount of ₹ 11.69 crore included ₹ 4.69 crore received by the districts towards strengthening component for 2010-11, which could not be spent due to inability expressed by the implementing agency to carry out works at the unit cost fixed by GoI and ₹ 1.83 crore towards Upgradation of schools for 2009-10, due to slow progress of the works.

In the test-checked districts, the unspent amount at the end of 2014-15 ranged between 10.94 *per cent* (Theni District) and 53.53 *per cent* (Erode District).

The Government attributed (December 2015) non-utilisation of funds to the variation in the rates of sanction for civil works by the RMSA and rates adopted by the PWD. It was further stated that this was addressed by GoTN by sanction of additional funds.

### 2.1.7.2 *Short release /delay in release of funds by GoTN*

As per RMSA framework, the sharing arrangement between the GoI and the State Government was in the ratio of 75:25 and the GoI was to release funds to the SPD in April and September every year and State Government was to release its share to SPD within 30 days of the receipt of GoI contribution. The details of funds released by the GoI and GoTN during 2009-15 (scheme years) are given in **Table 2.3.**

**Table 2.3: Details of funds released (scheme year) at state level**

(₹ in crore)

| Year | Approved Outlay | Funds to be released by | | Funds actually released | | Amount of short release | | Percentage of short release | |
|---|---|---|---|---|---|---|---|---|---|
| | | GoI | GoTN | GoI | GoTN | GoI | GoTN | GoI | GoTN |
| 2009-10 | 151.44 | 113.58 | 37.86 | 95.77 | 34.79 | 17.81 | 3.07 | 15.68 | 8.11 |
| 2010-11 | 624.65 | 468.49 | 156.16 | 343.98 | 111.97 | 124.51 | 44.19 | 26.58 | 28.30 |
| 2011-12 | 1,447.36 | 1,085.52 | 361.84 | 173.76 | 57.63 | 911.76 | 304.21 | 83.99 | 84.07 |
| 2012-13 | 461.75 | 346.31 | 115.44 | 181.14 | 60.38 | 165.17 | 55.06 | 47.69 | 47.70 |
| 2013-14 | 510.90 | 383.17 | 127.73 | 167.76 | 55.92 | 215.41 | 71.81 | 56.22 | 56.22 |
| 2014-15 | 403.96 | 302.97 | 100.99 | 292.26 | 97.42 | 10.71 | 3.57 | 3.54 | 3.54 |
| **Total** | **3,600.06** | **2,700.04** | **900.02** | **1,254.67** | **418.11** | **1,445.37** | **481.91** | | |

Source: Figures furnished by State Project Directorate

As seen from **Table 2.3,**

➢ there was shortfall ranging between ₹ 10.71 crore and ₹ 911.76 crore in releases by the GoI against the Approved outlay during 2009-15, which was mainly due to non-completion and non-commencement of construction works sanctioned during 2009-10 and 2010-11 as discussed in succeeding paragraphs.

➢ the State had short released the matching share ranging between ₹ 3.57 crore and ₹ 304.21 crore during the period.

Scrutiny of the Government Orders relating to the release of funds by GoI and GoTN showed that there were delays ranging from 20 to 205 days in release of funds by GoTN, against the RMSA norms.

The Government, in reply, stated (December 2015) that GoI grant was released upto 2013-14 directly to the SPD, which had to send a proposal to GoTN for release of its share, which was a time consuming process. With effect from 2014-15, GoI was releasing its funds through GoTN, which released the total grant including its share to SPD without delay.

### 2.1.8 Programme implementation

RMSA has a provision for infrastructure support to enhance access and to provide enabling conditions for quality education. Infrastructure support has been classified into:

➢ Opening of new secondary schools or upgradation of upper primary schools to the secondary stage. This included classrooms with furniture, library, Integrated Laboratory, Computer room, Headmaster room, Art and Craft room, Toilet Blocks, Drinking water etc.

➢ Strengthening of existing secondary schools through construction of additional classrooms (ACR), Laboratories, Library, computer room, separate toilets for girls and boys etc.

➢ Girls hostel for EBBs

➢ Vocational Education related workshops

➢ Major repair for school building

➢ Teachers' Quarters

As per the school mapping exercise conducted (2005-06) in collaboration with Bharathidasan University, Tiruchirappalli the State would require 1,944 additional secondary schools. Based on the proposals made by the State, PAB had approved 1,254 new schools to GoTN during 2009-10 to 2011-12. However, 158 of these schools were cancelled by GoI, due to non-fulfilment of RMSA norms.

The details of infrastructure sanctioned during the above period are given in **Table 2.4.**

**Table 2.4: Details of infrastructure sanctioned**

| Name of the Construction Work | 2009-10 | | 2010-11 | | 2011-12 | |
|---|---|---|---|---|---|---|
| | Physical Unit sanctioned | Amount sanctioned (₹ in lakh) | Physical Unit sanctioned | Amount sanctioned (₹ in lakh) | Physical Unit sanctioned | Amount sanctioned (₹ in lakh) |
| **(A) New Schools** | | | | | | |
| Construction of New Schools | 200 | 11,624.00 | 344 | 19,554.14 | 710 | 41,253.94 |
| **(B) Strengthening of Existing Schools** | | | | | | |
| Additional Classroom @ ₹ 5.63 lakh | Nil | Nil | 1,851 | 10,421.10 | 1,795 | 10,105.85 |
| Science Laboratory @ ₹ 6.10 lakh | Nil | Nil | 698 | 4,257.80 | 919 | 5,605.90 |
| Computer Room @ ₹ 5.00 lakh | Nil | Nil | 735 | 3,675.00 | 768 | 3,840.00 |
| Library Room @ ₹ 7.00 lakh | Nil | Nil | 837 | 5,859.00 | 1,036 | 7,252.00 |
| Art/Craft Room @ ₹ 5.00 lakh | Nil | Nil | 860 | 4,300.00 | 1,130 | 5,650.00 |
| Toilet @ ₹ 1.00 lakh | Nil | Nil | 474 | 474.00 | 495 | 495.00 |
| **(C) Teachers Quarters** | | | | | | |
| Teachers Quarters @ ₹ 6.00 lakh | Nil | Nil | 94 | 564.00 | 91 | 546.00 |
| **Total** | **200** | **11,624.00** | **5,893** | **49,105.04** | **6,944** | **74,748.69** |

Source: Minutes of Project Approval Board Meetings

Though GoI had sanctioned funds for creation of various infrastructure under RMSA during 2009-10 to 2011-12, no funds were allotted during 2012-15, due to delay/non-implementation of the Scheme as discussed in succeeding paragraphs.

### *2.1.8.1 Poor implementation of school upgradation scheme*

### (i) Upgradation sanctioned in 2009-10

The PAB, in its first meeting (November 2009), for 2009-10 accorded sanction of 200 new school buildings in the state, at a unit cost of ₹ 58.12 lakh[4] with the total outlay of ₹ 11,624 lakh. GoI released a sum of ₹ 87.18 crore and GoTN released a sum of ₹ 29.06 crore to the SPD. Apart from this, an additional amount of ₹ 18.02 crore was released (July 2013 and August 2014) by GoTN to the SPD for completing the construction of 180 schools, which could not be completed within the approved amount due to escalation in cost of construction material and labour. The SPD had released the amounts to the DPCs.

The construction of new buildings was entrusted (March 2010) to School Management and Development Committee (SMDC) of the respective schools. Out of the 200 schools, 136 schools were constructed and construction was in progress in 62 schools. Work in the remaining two schools had not commenced due to non-availability of land (August 2015).

In the eight test-checked districts, out of the 56 new school building works taken up for which ₹ 36.24 crore was released, 30 works were completed incurring expenditure of ₹ 34.47 crore. The remaining 25 works were under progress and one work was yet to be taken up, due to non-availability of land.

The following were observed in this regard:

➢ Since the unit cost (₹ 58.12 lakh) for new school building approved by the PAB did not match the State Schedule of Rates, the SMDCs were unable to complete the construction works and hence the DPCs requested for additional funds from SPD. Though GoTN requested (April 2013) GoI for release of additional funds, the same was not accepted. Hence, GoTN accorded sanction (July 2013 and August 2014) of additional funds amounting to ₹ 18.02 crore from State Funds for completion of these works.

➢ It was noticed in the test-checked districts that all High schools had VI to X standards and the upper primary schools had I to VIII standards. On upgradation, the upper primary schools were bifurcated into two schools, *viz.* Primary school having I to V standards and High Schools having VI to X standards. The existing building was then occupied by the primary school and the High school was located in the new building. Due to low enrolment of students in IX and X standards, only one classroom was utilised for each standard and the remaining

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[4] This included construction cost of ₹ 49.67 lakh, Furniture cost of ₹ 7.45 lakh and Science laboratory equipment for ₹ 1.00 lakh

rooms were utilised for VI to VIII standards. Similarly rooms constructed for specific purposes like Computer rooms, Arts and Crafts room were being used as classrooms for the VI to VIII standards, which was not in accordance with the framework. Non-provision of computers and arts and crafts material to the schools were cited as reason for non-utilisation of these rooms for intended purpose, by the DPCs.

The Government, in reply, stated (December 2015) that out of the 200 schools sanctioned during 2009-10, all works except two civil works, were now completed through sanction of additional funds by GoTN and put in use for the students. A test check again conducted in eight schools in two districts *viz.* Dindigul and Theni, after the conduct of the Exit Conference, revealed that the civil works were still in progress in seven schools, which shows that the data furnished by the districts to the Government was not correct. The practice of attaching the upper primary sections of the middle schools with the high school and allowing students of upper primary sections to sit in the rooms available at the new building was accepted by the Department.

### (ii) Upgradation sanctioned in 2010-12

In respect of 2010-11 and 2011-12, PAB had approved (December 2010 and July 2011) 344 and 710[5] new schools for upgradation in the State at a unit cost of ₹ 58.12 lakh with the total outlay of ₹ 195.54 crore and ₹ 412.54 crore respectively. The following were observed in this regard:

➢ An amount of ₹ 414.03 crore was received by the SPD (from GoI/GoTN) towards non-recurring grant for the 344 new schools and strengthening works sanctioned during 2010-11. The construction of 344 schools which were upgraded during 2010-11 had not commenced till October 2015, since the unit cost approved by GoI did not match with the State Schedule of Rates and additional funds sought by SPD were not released by GoTN. Due to delay in completion of construction works and non-commencement of school buildings for the schools upgraded during 2009-10 and 2010-11, grants towards construction of school building for schools upgraded during 2011-12 could not be released (₹ 412.54 crore) by GoI. The works had not commenced even after three to four years from the date of approval by PAB (August 2015). It was noticed during joint inspection that all these schools were functioning in elementary school campuses without their own school buildings.

➢ It was seen in the test-checked districts that 58[6] out of the 83 upgraded schools test checked were upgraded during 2010-12, even though they

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[5] Of these 158 schools were cancelled by PAB, as discussed in Paragraph 2.1.6.3
[6] Dindigul (2), Erode (7), Salem (12), Thanjavur (6), Theni (1), Tiruppur (5), Tiruvannamalai (10) and Villupuram (15)

did not own land for construction of building. The construction work in these schools was not started till October 2015.

➢ It was also noticed that there was a lack of sufficient classrooms in 56 schools, due to non-construction of new high school buildings. Classes were being conducted in open spaces (verandahs, under trees, cycle sheds, etc.) and by partitioning classrooms, as detailed in **Table 2.5** and depicted in **Pictures 2.1, 2.2** and **2.3.**

**Table 2.5: Conduct of classes in places other than classrooms in Upgraded schools**

| Name of the test-checked districts | No. of upgraded schools, during 2010-12, test checked | No. of schools where sufficient classrooms were not available | No. of schools where classes are conducted by/in | | |
|---|---|---|---|---|---|
| | | | Partition | Under trees/ verandahs/ cycle stand etc. | Other premises |
| Salem | 13 | 7 | 2 | 4 | 1 |
| Villupuram | 18 | 11 | 5 | 8 | 2 |
| Tiruvannamalai | 16 | 13 | 3 | 8 | 4 |
| Thanjavur | 10 | 7 | 4 | 4 | 0 |
| Theni | 3 | 3 | 1 | 2 | 1 |
| Erode | 8 | 3 | 1 | 2 | 0 |
| Dindigul | 8 | 7 | 4 | 2 | 2 |
| Tiruppur | 7 | 5 | 4 | 3 | 2 |
| **Total** | **83** | **56** | **24** | **33** | **12** |

Source: Information obtained from test-checked schools

**Conduct of classes outside classrooms in test-checked schools**



| **Picture 2.1: GHS, Gandhi Nagar, Theni** | **Picture 2.2: GHS, Vaikkalpattarai, Salem** | **Picture 2.3: GHS, Pillayar Natham, Dindigul** |

During the Exit Conference (December 2015), the Principal Secretary stated that funds have been sanctioned by GoTN during September and December 2015 in respect of all incomplete construction works and new works have been entrusted with Public Works Department for early completion.

**(iii)    Non-maintenance of records in respect of construction of new schools**

Guidelines with regard to construction of new school buildings issued (October 2010) by the SPD to the SMDCs state the details of records to be maintained.

During the field visit in test-checked districts, it was noticed that the following prescribed records were not maintained with regard to the construction of new schools sanctioned during 2009-10.

➢ The detailed estimate for the work was not available in the schools.

➢ There was no work order issued to the executing agency stipulating value of work, target date etc.

➢ The quantum of steel, cement, sand and gravel required for the construction was not available. Quotations for purchase of these items were not called for. These items were procured and supplied as and when required by the executing agency.

➢ The details of labour cost involved were also not available in the schools.

➢ Measurement Book for recording the works was not maintained for the construction.

In the absence of prescribed records, audit could not verify the correctness of quantum of the materials utilised and the quality of work done and derive assurance of the expenditure under the scheme.

The Government, in reply, stated (December 2015) that subsequent to issue of Financial Management Code Book for implementation of RMSA by GoI in January 2012, strict instructions had been given to the Project Engineers appointed by the SPD, who were maintaining the records. It was further stated that the civil works under RMSA were carried out by PWD from 2012-13, which had an inbuilt system of maintaining records pointed out by Audit.

**(iv)    Lapses noticed in test-checked districts**

Some of the lapses in construction of school buildings upgraded during 2009-10 by SMDC, noticed by Audit during joint inspection with the officials of the Department and school Headmasters in the test-checked districts are given in **Table 2.6**.

**Table 2.6: Deficiencies noticed in test-checked schools**

| Name of the District and school | Deficiencies noticed | |
|---|---|---|
| Government High School, Kazhikulam, Tiruvannamalai District | The new school building constructed and functioning from 2013-14 is in damaged condition. There was seepage from the ceiling in the entire building and walls were wet. The toilet wall in the Headmaster room was totally cracked from the main wall. It was also reported (August 2015) by the Headmaster to the Educational District Co-ordinator/RMSA that electric shock was felt in the walls in the class rooms due to soaking of water in the wall. The school does not have a compound wall. | <br>**Picture 2.4: GHS Kazhikulam** |

| Name of the District and school | Deficiencies noticed | |
|---|---|---|
| Municipal High School, Chinnamanur, Theni District | The construction work entrusted to SMDC was not completed (August 2015). The last payment for works was made during November 2013 and further work was not taken up (November 2015). |  **Picture 2.5: MHS, Chinnamanur** |
| Government High School, Edayankattuvalasu, Erode District | Due to non-availability of land / space for the new school building, the construction of the building had not commenced. An amount of ₹ 30 lakh released (March 2010) to SMDC for the construction has been kept idle in the school savings bank account for the past four years. | |
| Government High School, Sakkiliankodai, Dindigul District | The work commenced during 2011 was abandoned by the contractor due to cost escalation and the work has not progressed for the last four years. Expenditure incurred for construction till date was ₹ 20.75 lakh. The balance amount of ₹ 30.75 lakh along with interest accrued was lying idle in the school savings bank account. |  **Picture 2.6: GHS, Sakkiliankodai** |

Source: Information obtained from test-checked schools

Besides the above, other deficiencies noticed during the field visit under Upgradation of Schools component are detailed in **Appendix 2.1.**

### *2.1.8.2    Strengthening of existing High / Higher secondary schools*

One of the important interventions under RMSA is strengthening of existing secondary schools through construction of ACR, Laboratories, Library, Computer room, separate toilets for girls and boys, etc.

PAB approved (January 2011) construction of 1,851 ACR and 698 Science Laboratories at a cost of ₹ 146.79 crore for 2010-11 under the scheme. GoI released (March and July 2012) ₹ 118.91 crore to SPD. GoTN released (October 2012) ₹ 39.63 crore to SPD. GoI was requested (April 2013) for release of additional funds since the unit cost for strengthening work approved by the PAB did not match the State Schedule of Rates, which was not agreed to by GoI.

Subsequently, GoTN sanctioned ₹ 134.44 crore for the strengthening works, by restricting construction to 1,250 ACR and 502 Science Laboratories in 609 schools and the works were entrusted to PWD in January 2014. Funds were released (February 2014 and April 2014) by SPD to the DPCs for transfer to PWD. As of May 2015, construction of 1,193 ACR and Science Laboratories were completed of which 738 were handed over to the respective schools. In the remaining 559 works, 535 ACR and Science Laboratories works were in progress and 24 works were not commenced till October 2015.

The Government, in reply, stated (December 2015) that out of the 1,851 ACR and 698 Science Laboratories sanctioned for 2010-11, 1,250 ACR and 502 Science Laboratories were completed leaving 601 ACR and 196 Science Laboratories under progress which would be started at the earliest. However a perusal of the Progress Report of SPD for September 2015 showed that 1,413 ACR and Science Laboratories were completed; 309 works were in various stages and 30 works were yet to be commenced, as of August 2015.

In test-checked districts, though PAB had approved 763 ACR and 261 Science Laboratories in 330 schools during 2010-11, the GoTN had taken up construction of 518 ACR and 189 Science Laboratories in 235 schools. As of May 2015, the construction of 262 ACR and 126 Science Laboratories was completed and handed over to the respective schools. Out of the remaining, works were in progress in 242 ACR and 58 Science Laboratories and for 14 ACRs and five Science Laboratories construction works were not commenced till October 2015.

The following were noticed from records:

➢ The construction works of Computer Rooms, Libraries, Arts & Crafts Rooms and Residential Quarters, which were approved by PAB in 2010-11 and all the strengthening works sanctioned during 2011-12, were not taken up till date.

➢ As against 969 toilets sanctioned during 2010-11 (474 schools) and 2011-12 (495 schools) at the state level, construction work was completed in 560 schools. In the remaining 409 schools, the works were in progress. In test-checked districts, 204 toilets allotted in 2010-11 were constructed. However, of the 183 toilets allotted in 2011-12, 128 were constructed**.**

➢ Further, in the test-checked schools, Audit noticed during field visit of schools that due to non-commencement of works sanctioned during 2010-12 and non proposal of ACR, in all these schools, classes were being conducted in open spaces (verandahs, under trees, cycle sheds, etc.,) and by partitioning classrooms which are detailed in **Table 2.7.**

**Table 2.7: Conduct of classes in places other than classrooms in schools covered under strengthening component**

| Name of the test-checked district | No. of test-checked schools covered under strengthening component during 2010-12 | No. of schools where sufficient classrooms were not available | No. of schools where classes were conducted | | |
|---|---|---|---|---|---|
| | | | **Partition** | **Under trees/ verandahs/ cycle stand etc.,** | **In other premises** |
| Salem | 9 | 2 | 2 | 0 | 1 |
| Villupuram | 12 | 9 | 5 | 6 | 2 |
| Tiruvannamalai | 11 | 3 | 1 | 3 | 0 |
| Thanjavur | 8 | 5 | 2 | 3 | 0 |
| Theni | 5 | 2 | 1 | 1 | 1 |
| Erode | 6 | 2 | 1 | 0 | 0 |
| Dindigul | 7 | 2 | 0 | 2 | 0 |
| Tiruppur | 4 | 0 | 0 | 0 | 0 |
| **Total** | **62** | **25** | **12** | **15** | **4** |

Source: Information obtained from test-checked schools

> Audit also observed during test check of schools that in four[7] schools, out of 110 classrooms constructed under other schemes[8], though 30 classrooms were lying unutililsed, 16 classrooms were constructed under RMSA at a cost of ₹ 120.48 lakh, which were not warranted.

**Construction of ACR in schools not approved by PAB**

In Tiruppur District, in two schools, *viz*., GHS, Kannakampalayam (five classrooms) and GHS, K. Chettipalayam (three classrooms) which were not in PAB approved list, construction of ACRs were taken up from RMSA fund at a cost of ₹ 60.24 lakh.

## 2.1.9 Quality aspects

### 2.1.9.1 Inadequate training to teachers

RMSA framework envisages that the teacher is the most important component in school education. It is necessary to continuously upgrade the quality of teachers through in-service education programmes and a variety of other measures, apart from pre-service qualifying programme of teacher training *viz*., B.Ed. In-service training should be provided to all teachers and heads of schools for five days every year.

The Perspective Plan, for extending secondary education 2009-17 of the GoTN, stresses the point that teacher competency and efficiency through focused training is keenly planned so that observable improvements in student effectiveness and education efficiency in terms of examination results is achieved. The details of in-service training given to teachers in secondary schools in the test-checked districts during 2009-15 are indicated in the **Table 2.8.**

**Table 2.8: Details of teacher training imparted**

| Year | Total No. of Secondary /Higher Secondary teachers in the Districts | No. of teachers given in-service training | No. of teachers not given in-service training | Percentage of teachers not given in-service training |
|---|---|---|---|---|
| 2009-10 | 12,586 | 3,056 | 9,530 | 75.72 |
| 2010-11 | 15,930 | 1,709 | 14,221 | 89.27 |
| 2011-12 | 18,998 | 10,879 | 8,119 | 42.74 |
| 2012-13 | 17,653 | 7,263 | 10,390 | 58.86 |
| 2013-14 | 19,695 | 10,539 | 9,156 | 46.49 |
| 2014-15 | 23,351 | 14,634 | 8,717 | 37.33 |
| **Total** | **1,08,213** | **48,080** | **60,133** | **55.57** |

Source: Information obtained from District Project Coordinators

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[7]  GHSS, Omalur, Salem, PTKM GHSS, Madhanayakanpatti, Salem, GHS, Randam, Tiruvannamalai and GHSS Mambattu, Tiruvannamalai

[8]  National Bank for Agriculture and Rural Development (NABARD), Member of Parliament Local Area Development Scheme (MPLAD) / Member of Legislative Assembly Constituency Development Scheme (MLACD) Fund, Sarva Shiksha Abhiyan (SSA) and Namakku Naame Thittam

As per guidelines, in-service training is to be given to all the teachers and heads of schools for five days every year. However, as observed from **Table 2.8**, the same was not adhered in all the years in all the test-checked districts. The secondary school teachers who were not trained during 2009-15 ranged between 37.33 and 89.27 *per cent* of the total number of teachers in the districts.

The Government, in reply, stated (December 2015) that five days teacher training was given upto 2014-15 and during 2015-16, training was given for 10 days to the teachers, as per PAB approval. It was further stated that except during 2011-12, when there was a shortfall of 31 *per cent* in training the teachers, as against PAB approved norm, cent *per cent* achievement was made in respect of 2012-15. However, as seen from **Table 2.8**, shortfalls in imparting of training to teachers was noticed in test-checked districts.

### 2.1.9.2 *Inadequate provision of classrooms leading to adverse Student Classroom Ratio*

The student classroom ratio as envisaged in the framework should be a minimum of 25:1 and not to exceed 40:1. During the visit of test-checked schools, it was seen that the Student classroom ratio in 73 of these schools was in excess of 40:1 in 2014-15. Students per classroom in these schools ranged between 41 and 104. Further, out of these 73 schools, in 28 schools the classrooms were overcrowded with a student strength ranging from 50 to 104. Thus, non-provision of adequate number of classrooms in these schools had resulted in overcrowding in classrooms causing hardships to the students, besides conducting classes by making partitions, in verandahs or under trees.

The Government, in reply, stated (December 2015) that the SPD was not in a position to take up the civil works as planned, due to belated receipt of funds from GoI and also inadequate funding, as the unit cost fixed by GoI was very low compared to the Schedule of Rate of the State.

### 2.1.9.3 *Non provision of Basic amenities as per norms in the schools*

The illustrative list of components under physical infrastructure (non-recurring) under RMSA includes provision of Science Laboratory, Library, toilets and drinking water facilities and compound wall. However, the following deficiencies were noticed in this regard in the 190 Government schools test checked.

➢ In 119 schools, there were no Science Laboratories and the laboratory articles procured were stacked in almirahs/cupboards in the Headmaster room /Classrooms.

➢ In 149 schools, there were no libraries available and all the library books/magazines/journals procured were stacked in cupboards/ almirahs of the Headmaster room/Classrooms.

➢ In 83 test-checked schools upgraded during 2010-12, as new buildings with toilets were not constructed, toilets in existing elementary schools were used additionally by 6,513 students in IX and X standards, as of 2014-15.

> In 94 schools, there were no playgrounds and in 102 schools, there were no boundary walls for the school/ground.

The Government, in reply, stated (December 2015) that all the basic amenities would be provided shortly, as construction of Science Laboratories, computer rooms were being taken up now. It was further stated that all the material and books procured for Laboratories and Libraries were kept in classrooms available in the schools and they would be moved to the new building after construction.

## 2.1.10 Impact of scheme implementation

The Perspective Plan of GoTN provided for complete education of all children by the year 2017, bringing transition rate between Middle to Secondary level to 99 *per cent* by 2012 and bringing retention at Secondary level to 97 *per cent* in 2012. The performance of the State, on these counts, is discussed in the succeeding paragraphs.

### 2.1.10.1    *Declining trend in enrolment of students in IX Standard in Government schools*

It was observed that the number of Government schools (High/ Higher secondary schools) in the State had increased from 4,276 to 5,878 (37.46 *per cent*) during the period from 2008-09 to 2014-15. However, the enrolment of students in Secondary class (IX Standard) had decreased from 6,33,161 to 5,12,693 (19.03 *per cent*) during 2008-09 to 2014-15. Whereas, in the case of 'schools other than Government' (Aided, Private etc.,), number of High/Higher Secondary schools in the State had increased from 5,443 to 6,419 (17.93 *per cent*) and the enrolment also increased from 5,27,097 to 6,10,114 (15.75 *per cent*) during the above period. The decrease in enrolment, despite increase in the number of schools indicated that though the thrust had been given to opening of new schools, there had been no concrete efforts to ensure enrolment/retention of students in Government schools. Further, fall in enrolment could also be attributed to non-filling up of vacancies of teachers in Government schools as pointed out in Paragraph 2.1.6.4,  non-creation of infrastructure in 896 newly upgraded schools in 2010-12 as pointed out in Paragraph 2.1.8.1 (ii) and lack of basic amenities as pointed out in Paragraph 2.1.9.3.

The Principal Secretary, School Education Department, in reply, stated (December 2015) that the overall State enrolment in the secondary classes (IX and X standards) had increased from 21,84,077 in 2009-10 to 22,28,431 in 2014-15. It was further stated that Government aided schools should also be taken into account, in addition to Government schools and in the case of other management schools, the other Board schools such as CBSE should also be included. During the Exit Conference (December 2015), the Principal Secretary stated that the overall enrolment at the secondary level in the State as a whole had increased.

The number of Government High/Higher secondary schools and 'High/Higher secondary schools other than Government' in the test-checked districts and their enrolment details are given in **Table 2.9.**

**Table 2.9: Trend in Enrolment in test-checked districts**

| Year | High/Higher Secondary Schools | | IX Standard enrolment in Government Schools | | | IX Standard enrolment in other than Government Schools | | |
|---|---|---|---|---|---|---|---|---|
| | Government schools | Schools other than Government | Boys | Girls | Total | Boys | Girls | Total |
| 2008-09 | 1,269 | 1,163 | 97,526 | 95,125 | 1,92,651 | 64,095 | 52,272 | 1,16,367 |
| 2009-10 | 1,299 | 1,194 | 97,763 | 93,740 | 1,91,503 | 67,084 | 54,400 | 1,21,484 |
| 2010-11 | 1,367 | 1,224 | 97,860 | 94,243 | 1,92,103 | 71,704 | 58,004 | 1,29,708 |
| 2011-12 | 1,483 | 1,267 | 92,205 | 89,073 | 1,81,278 | 75,389 | 58,780 | 1,34,169 |
| 2012-13 | 1,711 | 1,303 | 82,185 | 81,617 | 1,63,802 | 72,127 | 58,893 | 1,31,020 |
| 2013-14 | 1,742 | 1,384 | 83,813 | 84,380 | 1,68,193 | 78,334 | 63,838 | 1,42,172 |
| 2014-15 | 1,766 | 1,434 | 80,350 | 82,379 | 1,62,729 | 75,074 | 61,481 | 1,36,555 |

Source: Information furnished by State Project Directorate

As seen from the **Table 2.9**, the number of Government schools (High/ Higher secondary schools) in the selected eight districts had increased from 1,269 to 1,766 (39.16 *per cent*) during the period from 2008-09 to 2014-15. However, the enrolment of students in Government High/Higher Secondary schools had decreased from 1,92,651 in 2008-09 to 1,62,729 in 2014-15. Whereas, in the case of 'schools other than Government', Schools in these districts had increased from 1,163 to 1,434 (23.30 *per cent*) and the enrolment also increased from 1,16,367 to 1,36,555 (17.35 *per cent*) during the above period. This showed that the efforts of the State Government to attain universalisation of secondary education through its schools in the State had yet to produce the desired results as envisaged in the RMSA guidelines.

Further, the following are observed in this regard:

➤ Out of 42 Government Higher Secondary Schools in the test-checked eight districts, in 27 schools, it was noticed that enrolment decreased in 2014-15, as compared to 2009-10, the decrease ranged from 9.51 to 53.19 *per cent*. Out of these schools, 17 schools attributed decrease in enrolment to upgradation of nearby schools.

➤ RMSA framework stipulates that the Pupil Teacher ratio in IX and X standards should be 30:1. During August 2011, MHRD informed all SPDs of RMSA that a minimum of five subject teachers will have to be provided even if the enrolment is less than 160. Any shortfall in such schools over sanctioned posts will be provided under RMSA. During the test check of 190 Government Schools in the selected eight districts, it was noticed that only 52 schools had student strength of 160 or above in secondary classes (IX and X standards) during the period 2009-15.

➤ Out of the test-checked 190 schools, the actual pupil teacher ratio was less than 30:1 in 135 schools, which indicated posting of more number of teachers without requisite number of students during the years 2009-15.

### *2.1.10.2  Reduction in Transition Rate, i.e. children moving up from middle school to high schools*

It was observed that the transition rate from VIII to IX standard in the State had come down from 96.87 *per cent* in 2009-10 to 90.27 *per cent* in 2014-15. The State transition percentage from X to XI standard increased from 75.74 in 2009-10 to 80.17 in 2014-15, indicating positive achievement. It was also observed that the transition rate of girls (ranged between 80.76 and 88.85 *per cent* during 2009-15) was much higher than the transition rate of boys (ranged between 70.77 and 76.65 *per cent* during 2009-15) from high to higher secondary levels indicating that more girl children were continuing studies as compared to the boys in the State.

The transition rate of students from VIII to IX standard, IX to X standard and X to XI standard as derived from the data furnished by SPD for the years 2008-09 to 2014-15 in respect of the eight test-checked districts is furnished in **Table 2.10.**

**Table 2.10:  Details of transition rate in test-checked districts**

| Transition year | VIII to IX standard | | | IX to X standard | | | X to XI standard | | |
|---|---|---|---|---|---|---|---|---|---|
| | Boys | Girls | Total | Boys | Girls | Total | Boys | Girls | Total |
| 2009-10 | 97.60 | 95.72 | 96.70 | 83.75 | 88.55 | 86.04 | 73.38 | 80.55 | 76.91 |
| 2010-11 | 96.71 | 94.62 | 95.71 | 83.06 | 88.65 | 85.70 | 73.39 | 81.24 | 77.24 |
| 2011-12 | 97.86 | 94.92 | 96.46 | 86.12 | 91.72 | 88.77 | 76.47 | 86.93 | 81.59 |
| 2012-13 | 89.30 | 88.84 | 89.08 | 89.84 | 94.62 | 92.08 | 70.76 | 83.22 | 76.85 |
| 2013-14 | 94.31 | 91.48 | 92.94 | 97.70 | 99.78 | 98.69 | 72.54 | 87.05 | 79.53 |
| 2014-15 | 89.22 | 88.23 | 88.74 | 93.49 | 96.96 | 95.15 | 71.41 | 83.80 | 77.38 |

Source: Information furnished by State Project Directorate

From the **Table 2.10** it is observed that in the test-checked districts, the transition rate from VIII to IX standard has come down from 96.70 in 2009-10 to 88.74 in 2014-15, contrary to the targets envisaged in the Scheme. However, the transition rate from X to XI standard marginally increased from 76.91 in 2009-10 to 77.38 in 2014-15. Further, it was observed that the transition rate of girls (ranged between 80.55 and 87.05 *per cent* during 2009-15) was much higher than the transition rate of boys (ranged between 70.76 and 76.47 *per cent* during 2009-15) from high to higher secondary levels, as in the case of the State.

The Government, on updating the particulars, replied (December 2015) that the transition rate from X to XI standard in the State had been increasing over a period of four years, and the increase was 3.10 in the case of boys and 5.70 for girls. In respect of transition from VIII to IX standard, the increase was six *per cent* from 2012-13 to 2014-15.

### *2.1.10.3  Reduction of Dropouts*

The Perspective Plan of the State envisages the dropout rate should be limited to three *per cent* during 2011-12 and the State should achieve 'Nil' drop outs by

2017. However, it was observed that, the dropout[9] rate (X standard) at secondary level in the State had increased from 1.89 *per cent* in 2009-10 to 3.23 *per cent* in 2014-15. The dropout rates (X standard) for the test-checked districts are given in **Table 2.11.**

**Table 2.11: Details of Dropout of students in test-checked districts (X standard)**

| Year | Enrolled | | | Appeared for exams | | | Dropouts | | | Dropout percentage | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Boys | Girls | Total | Boys | Girls | Total | Boys | Girls | Total | Boys | Girls | Total |
| 2010-11 | 1,36,720 | 1,31,233 | 2,67,953 | 1,30,582 | 1,28,698 | 2,59,280 | 6,138 | 2,535 | 8,673 | 4.49 | 1.93 | 3.24 |
| 2011-12 | 1,45,443 | 1,39,254 | 2,84,697 | 1,40,944 | 1,36,646 | 2,77,590 | 4,499 | 2,608 | 7,107 | 3.09 | 1.87 | 2.50 |
| 2012-13 | 1,49,907 | 1,39,457 | 2,89,364 | 1,44,034 | 1,36,385 | 2,80,419 | 5,873 | 3,072 | 8,945 | 3.92 | 2.20 | 3.09 |
| 2013-14 | 1,49,373 | 1,39,316 | 2,88,689 | 1,36,212 | 1,29,985 | 2,66,197 | 13,161 | 9,331 | 22,492 | 8.81 | 6.70 | 7.79 |
| 2014-15 | 1,49,757 | 1,42,512 | 2,92,269 | 1,42,365 | 1,38,369 | 2,80,734 | 7,392 | 4,143 | 11,535 | 4.94 | 2.91 | 3.95 |

Source: Information furnished by State Project Directorate

It is seen from **Table 2.11** that the same trend of dropout rate was noticed in test-checked districts also which increased from 3.24 *per cent* in 2010-11 to 3.95 *per cent* in 2014-15. In 2013-14, there was a drastic increase in dropout rate both at State level (6.20 *per cent*) and in test-checked districts (7.79 *per cent*). Further, the dropout rate in respect of girls increased from 1.93 *per cent* in 2010-11 to 2.91 *per cent* in 2014-15.

Thus, the objective of the RMSA to reduce dropout rate at Secondary level to three *per cent* in 2012 could not be achieved.

During the Exit Conference (December 2015), the Principal Secretary stated that efforts were being taken to reduce the dropout rates.

### *2.1.10.4    Examination results in Government schools vis-a-vis schools other than Government*

RMSA is committed to universalise quality education at Secondary and Higher Secondary Stage. The focus in quality interventions would have quality infrastructure, curriculum development, competency, subject specific deployment in schools, in-service training of teachers and heads of the school, academic support at all levels, classroom based support and supervision issues etc. It was also stated that the Mission would encourage States to focus on total development of children, encouragement in sports, cultural activities, etc.

The performance of the students (both boys and girls) of both Government and other schools in common X standard Board examination, which is a major indicator of quality education, was analysed to review whether RMSA's another objective of providing quality education was met.

The analysis showed that in state level, pass percentage of students in Government school was 85.92 in 2014 and 89.29 in 2015, whereas in schools other than Government schools, pass percentage was 95.05 in 2014 and 96.12 in 2015.

In the test-checked districts, the performance of students in class X examinations in 2014 and 2015 is furnished in **Table 2.12.**

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9    Arrived as the difference between the number of students enrolled during the year and number of students appearing for examinations

<div align="center">**Table 2.12: Pass percentage in test-checked Districts – Government and other schools (X standard)**</div>

| Year | Gender | Government Schools | | | | Schools other than Government | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | No. of students | | | Pass percentage | No. of students | | | Pass percentage |
| | | Appeared | Absent | Passed | | Appeared | Absent | Passed | |
| 2014 | Boys | 70,672 | 2,544 | 56,829 | 80.41 | 65,540 | 736 | 60,537 | 92.37 |
| | Girls | 74,729 | 1,470 | 65,969 | 88.28 | 55,256 | 278 | 53,471 | 96.77 |
| | **Total** | **1,45,401** | **4,014** | **1,22,798** | **84.45** | **120,796** | **1,014** | **1,14,008** | **94.38** |
| 2015 | Boys | 73,344 | 1,563 | 62,438 | 85.13 | 69,021 | 556 | 64,904 | 94.04 |
| | Girls | 79,804 | 1,033 | 73,259 | 91.80 | 58,565 | 246 | 57,333 | 97.90 |
| | **Total** | **1,53,148** | **2,596** | **1,35,697** | **88.61** | **1,27,586** | **802** | **1,22,237** | **95.81** |

<div align="center">Source: Information furnished by State Project Directorate</div>

The pass percentage in Government schools was 84.45 in 2014 and 88.61 in 2015, whereas in schools other than Government schools, pass percentage was 94.38 in 2014 and 95.81 in 2015.

The Government, in reply, stated (December 2015) that the Government and the Directorate are extensively analysing the Board examination results and quality training material were prepared and supplied to slow learning students. It was further stated that as a result of these, the pass percentage of students had increased from 85.30 *per cent* (Class X) and 85.90 *per cent* (Class XII) in 2011 to 92.90 *per cent* (Class X) and 90.60 *per cent* (Class XII) in 2015 respectively. It was further stated that a comparison of the Government schools with private schools might not be correct, as the Government schools cater largely to children in rural and semi-urban areas.

## 2.1.11 Monitoring

RMSA framework envisages that the DPC and District Panchayat will monitor all aspects of implementation including flow of funds, implementation of all components of the scheme at school level and district level, progress and quality of works, timely and correct payments etc., and that the field visits must be undertaken on a regular basis to ensure comprehensive and continuous assessment of the scheme. However, it was noticed that 28 schools[10] in five test-checked districts were not inspected by State/district level officials during 2011-15. The 28 schools included 18 schools upgraded during 2010-12, one upgraded during 2009-10 and three schools in which strengthening works were taken up under RMSA. Thus, implementation of RMSA in these schools was not monitored by the officials.

Further, it was noticed that the schools inspected by officials *viz.*, Joint Director of SPD, DPC, Assistant DPC during 2009-15 were only in the range of 41 to 61 *per cent* and hence all the construction works, quality of education, enrolment and utilisation of equipment, maintenance of records, etc., under the Scheme could not be monitored as envisaged.

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[10] Salem (two schools), Villupuram (six schools), Tiruvannamalai (17 schools), Thanjavur (one school) and Erode (two schools)

### 2.1.12 Conclusion

In all the test-checked 190 Government schools of the eight sample districts, no perspective plan or annual plan was prepared at school level. Instead, the Annual Work Plans were prepared by the District Programme Co-ordinators based on the data available in School Education Management Information System (SEMIS), Unified District Information System for School Education (UDISE) and Census data. Ineligible middle schools, not fulfilling the norms of RMSA, on access to habitations and number of students in feeder schools were upgraded in the test-checked districts. Further, 158 out of 710 schools approved for upgradation by GoI in 2011-12 were subsequently cancelled due to non-adherence of RMSA norms. Short/delayed release of scheme funds by GoTN was noticed. Though 1,944 schools were required to be upgraded in the State as per the mapping exercise, only 1,096 schools were upgraded during 2009-12, out of which new buildings were constructed for 136 schools sanctioned during 2009-10. Construction was under progress in 62 schools and in the remaining 898 schools, construction was not taken up as of August 2015. Under the Strengthening of schools component, out of 2,549 Additional classrooms (ACR) and Science Laboratories sanctioned during 2010-11, 1,413 ACR and Science Laboratories were completed as of August 2015. All the strengthening works sanctioned during 2011-12 were not taken up as of May 2015. The training given to teachers was inadequate. There was adverse student-classroom ratio as compared to norms. In 119 test-checked Government schools, there were no Science Laboratories and in 149 schools, there were no libraries. In 94 schools, there were no playgrounds. Audit noticed that the overall impact of the deficiencies also resulted in declining enrolment in IX Standard in Government schools, reduction in transition rates to high schools, lack of reduction of drop outs and poor results in examinations.

### 2.1.13 Recommendations

The School Education Department may

➢ instruct Core groups in the districts to perform the functions contemplated in the RMSA framework like conducting household survey to help prepare realistic plan;

➢ select middle schools for upgradation based on the norms of RMSA on access to habitations and number of students in the feeder schools;

➢ release State share in time for effective implementation of the scheme;

➢ improve the status of infrastructure in the existing schools through timely completion of works and periodical monitoring and inspection and

➢ take effective measures to increase enrolment, transition rate and reduce drop out in secondary classes through appointment of teachers, provision of basic amenities like toilets to the students.

# SOCIAL WELFARE AND NUTRITIOUS MEAL PROGRAMME DEPARTMENT

## 2.2 Working of Observation Homes, Children Homes and Special Homes in Tamil Nadu

*Executive Summary*

*Social Welfare and Nutritious Meal Programme Department implements a number of schemes for protection, welfare and development of children in need of care and protection through Commissionerate of Social Welfare. Directorate of Social Defence, which is responsible for implementing the Juvenile Justice (Care and Protection of Children) Act, 2000 and the Amendment Act, 2006, takes care of juveniles in conflict with law and also children in need of care and protection. The Tamil Nadu Juvenile Justice (Care and Protection of children) Rules, 2001, framed under the Act was amended in March 2012 in conformity with the provisions of the Act as amended in 2006. In the State, child care institutions are run by Government as well as Non-Governmental Organisations (NGOs). A Performance Audit on Working of Observation Homes, Children Homes and Special Homes was conducted during March - July 2015 and important audit findings noticed during audit are as under:*

*There were delays in finalisation of cases by Juvenile Justice Boards and Child Welfare Committees in the sampled districts.*

*GoI funds released for Institutional Care component of Integrated Child Protection Scheme (ICPS) were not utilised by the Commissionerate of Social Welfare (CSW). ICPS funds were not released to the State Child Protection Society and the funds were managed by the Department.*

*Three hundred and seventy five homes under the control of Directorate of Social Defence (DSD) and CSW were not registered under the Juvenile Justice Act as of August 2015.*

*Basic infrastructure, amenities and provision of minimum standards of services were lacking in test-checked homes run by Government and NGOs.*

*Out of 433 children who escaped/ran away from homes operated by Government and NGOs during 2010-15, 202 children (47 per cent) were not traced indicating lack of adequate surveillance and security arrangements in homes.*

*Shortage in staff required for management of Government homes was noticed. Vacancies in key posts of homes were more than 50 per cent of the sanctioned strength in each category.*

### 2.2.1 Introduction

Social Welfare and Nutritious Meal Programme Department (Department) implements a number of schemes for protection, welfare and development of children in need of care and protection. Directorate of Social Defence under the Department which is responsible for implementing the Juvenile Justice (Care and Protection of Children) Act, 2000 (Act) and Amendment Act, 2006, takes care of juveniles in conflict with law[11] and also children in need of care and protection. GoI enacted the Act for provision of care, protection, training and rehabilitation of both the categories of children. The Act was amended by GoI in August 2006. GoI repealed (October 2007) the Juvenile Justice (Care and Protection of Children) Rules, 2001 and notified afresh the Juvenile Justice (Care and Protection of Children) Rules, 2007. The GoTN amended (March 2012) the Tamil Nadu Juvenile Justice (Care and Protection of children) Rules, 2001 in conformity with the provisions of the Act as amended in 2006. In Tamil Nadu, child care institutions are run by Government as well as Non-Governmental Organisations (NGOs).

Functioning of juvenile homes and other child care institutions (CCIs) was reviewed earlier and audit findings were included in the Report of the Comptroller and Auditor General of India (Civil), GoTN for the year ended 31 March 2008. The audit findings were on unclaimed GoI grants, inadequate statutory support structures and delay in finalisation of cases, unregistered homes and non-integration of all child care institutions under the Juvenile Justice (Care and Protection of Children) Act, 2000 (Act), housing of children in need of care and protection with juveniles in conflict with law, non-availability of adequate manpower and recreation facilities in homes, deficiencies in homes, escape of children/runaway children, absence of rehabilitation measures, disparities in provision of various facilities to children, etc. The audit findings were yet to be discussed by the Committee on Public Accounts (PAC) as of August 2015.

### 2.2.2 Organisational setup

At Government level, Principal Secretary to GoTN, Social Welfare and Nutritious Meal Programme (SW&NMP) Department is responsible for monitoring the activities and functions of Directorate of Social Defence and Commissionerate of Social Welfare. Director of Social Defence (DSD) is responsible for monitoring of institutions/homes[12] for children in conflict with law and also certain institutions/homes[13] for children in need of care and protection under his control. DSD is assisted by a Joint Director and two

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[11]     Juvenile who is alleged to have committed an offence
[12]     Observation Homes (Government: six and NGO: two), Juvenile Justice Boards (32), Special Homes (two) and After Care Organisations (three)
[13]     Reception Units (Government: nine and NGO:14), Child Welfare Committees (32), Children Homes (Government:10 and NGO: 20)

Deputy Directors (DDs) at the State level. Commissioner of Social Welfare (CSW) is responsible for monitoring of homes[14] for children in need of care and protection under his control. At district level, DSD is assisted by District Child Protection Officers (DCPOs) and CSW is assisted by District Social Welfare Officers (DSWOs). Homes are managed by Superintendents. The list of institutions/homes functioning in the State along with their objectives is given in **Appendix 2.2.**

### 2.2.3 Audit Objectives

Audit aimed to ascertain whether:

➢ there were effective statutory support and service delivery mechanisms for enforcing provisions of the Act and the Rules framed thereunder;

➢ funds provided by GoI and GoTN for management of homes including homes run by NGOs were utilised economically, efficiently and effectively;

➢ homes were maintained efficiently and adequate infrastructure with basic amenities, nutritious food, education, vocational training, healthcare facilities to children and manpower for managing the homes were provided; and

➢ adequate monitoring system was in place and effective.

### 2.2.4 Audit Criteria

The audit criteria adopted were:

➢ The Juvenile Justice (Care and Protection of Children) Act, 2000 and the Amendment Act, 2006.

➢ The Juvenile Justice (Care and Protection of Children) Rules, 2007 of GoI.

➢ The Tamil Nadu Juvenile Justice (Care and Protection of Children) Rules, 2001 as amended in 2012.

➢ Guidelines issued by GoI for implementation of Integrated Child Protection Scheme (ICPS).

➢ Orders, instructions and circulars on the subject issued from time to time by GoI, GoTN, DSD and CSW.

### 2.2.5 Audit Scope and Methodology

The present Performance Audit (PA) was conducted between March and July 2015 to review the working of Observation Homes, Children Homes and Special Homes under the control of both DSD and CSW during the period

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[14] Children Homes (Government: 27 and NGO: 171)

2010-15. Audit objectives and criteria were discussed with the Principal Secretary, SW&NMP Department in an Entry Conference held in April 2015. Records of the Department in the State Secretariat, DSD, CSW, DSWOs, District Child Protection Units (DCPUs), Juvenile Justice Boards (JJBs), Child Welfare Committees (CWCs), homes run by Government and NGOs in eight[15] out of 32 districts selected through random sampling method were test-checked in audit. List of offices and institutions test-checked in Audit is given in **Appendix 2.3.** Audit methodology included examination of records, documenting and analysing evidence collected from the offices and homes covered in audit, raising audit enquires and interaction with management of homes. An Exit Conference with the Principal Secretary, SW&NMP Department was held in November 2015, wherein the audit findings were discussed. The Principal Secretary's views on audit findings and formal reply, wherever received, have been taken into consideration while finalising the audit findings. The audit findings are discussed below:

## Audit Findings

### 2.2.6 Statutory Support Services and Service Delivery Structures

*Statutory Support Services*

#### Child care services provided under Juvenile Justice Act

There are two categories of children as per the Act *viz.* children in need of care and protection and children in conflict with law. Children in need of care and protection are produced before Child Welfare Committee by any Police Officer or any public servant, Childline organisation, social worker, public spirited citizen and by the children on their own and are kept in the Reception Unit pending inquiry by CWC. After inquiry, a child is either reintegrated with the family or is sent to a Children Home for rehabilitation. Children in conflict with law are produced before JJB by Police and are kept in Observation Homes or released on bail pending inquiry. After inquiry, the child is either acquitted or kept in a Special Home for rehabilitation. Children discharged from Children Homes/Special Homes are, if required, sent to After Care Organisations for facilitating their restoration in the society including employment generation and vocational training thereby enabling transition from an institution based life to the mainstream society.

### *2.2.6.1    Juvenile Justice Boards*

Section 4 of the Principal Act, (2000), as amended in August 2006, requires that one or more JJBs be formed in each district within a period of one year from the date of commencement of the Amended Act, by notification in the official gazette, in order to exercise powers to adjudicate and dispose of cases of juveniles in conflict with law. JJB consists of a Metropolitan Magistrate or a Judicial Magistrate of the first class, as the case may be, designated as Principal

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[15]    Chennai, Coimbatore, Dindigul, Kancheepuram, Madurai, Theni, Tiruchirappalli and Tiruvallur

Magistrate and two social workers (members), of whom at least one should be a woman, forming a Bench.  The members are selected by a Selection Committee consisting of the Principal District and Sessions Judge as Chairperson and District Collector and District Superintendent of Police/Commissioner of Police as members and the selection is approved by GoTN.

Scrutiny of records revealed the following:

➤ GoTN ordered (March 2010) formation of JJBs in 24 out of 32 districts after a delay of two and half years. It took two more years for the Department to get the members of JJBs selected by selection committees and to issue Government orders for constitution of Boards (May 2012) in the districts.

➤ In two (Madurai and Theni) out of eight JJBs in the sampled districts, only one social worker member was available and  JJB, Madurai had no woman member since the resignation of the member from October 2014.

➤ Even though the new JJBs were formed in May/June 2012, 358 pending cases of four JJBs in the sampled districts, hitherto dealt with by the existing two JJBs[16], were transferred to the new JJBs belatedly in 2013 and 2014. Government stated (November 2015) that delay in transfer of cases was due to delay in receipt of orders from Honourable High Court of Madras.

➤ As per Rule 10 of the Tamil Nadu Juvenile Justice (Care and Protection of Children) Rules, 2001 (JJ Rules) as amended in 2012, JJB shall complete every inquiry within four months and on recording a finding about juvenile's involvement in the alleged offence, pass orders on one of the seven[17] dispositional options enumerated in section 15 of the Act.  As of March 2015, in the sampled districts, 2,624 cases (51 *per cent*) out of 5,190 cases received before JJBs were pending finalisation.   Further, delay was also noticed in finalisation of cases.   The details of cases received, finalised during the period 2010-15 and pending finalisation as on 31 March 2015 are given in **Table 2.13**.

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[16]     Chennai (157 cases) and Madurai (201 cases)

[17]     (i)  Allowing the juvenile to go home after advice or admonition; (ii) directing the juvenile to participate in group counselling and similar activities; (iii) ordering the juvenile to perform community service; (iv) ordering the parent of the juvenile or the juvenile himself to pay a fine, if he/she is over fourteen years of age and earns money; (v) directing the juvenile to be released on probation of good conduct and placed under the care of any parent, guardian or other fit person, after executing a bond; (vi) directing the juvenile to be released on probation of good conduct and placed under the care of any fit institution for the good behaviour and well-being of the juvenile for any period not exceeding three years and (vii) directing the juvenile to be sent to a special home

Table 2.13: Details of cases received, finalised and pending finalisation

| Name of District | Number of cases received by the JJB including old cases | Number of cases finalised | Number of cases finalised within the prescribed time limit of four months | Cases finalised after four months but within one year | Cases finalised after one year | Cases pending finalisation | Percentage of cases finalised with delay (5)+ (6)/ (3) x 100 |
|---|---|---|---|---|---|---|---|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) |
| Chennai | 1,245 | 953 | 305 | 540 | 108 | 292 | 68 |
| Coimbatore | 777 | 455 | 57 | 81 | 317 | 322 | 87 |
| Dindigul | 59 | 7 | 1 | 6 | - | 52 | 86 |
| Kancheepuram | 304 | 152 | 67 | 38 | 47 | 152 | 56 |
| Madurai | 1,520 | 372 | 123 | 115 | 134 | 1,148 | 67 |
| Theni | 261 | 99 | 37 | 38 | 24 | 162 | 63 |
| Tiruchirappalli | 490 | 355 | 65 | 147 | 143 | 135 | 82 |
| Tiruvallur | 534 | 173 | 117 | 7 | 49 | 361 | 32 |
| **Total** | **5,190** | **2,566** | **772** | **972** | **822** | **2,624** | **70** |

Source: Information furnished by JJBs in the sampled districts

Principal Magistrates of JJBs attributed (May-July 2015) the pendency and delay in finalisation of cases to holding additional charge of the post of Magistrate, non-production of juveniles, witnesses and sureties, non-availability of Assistant Public Prosecutors (APPs), APPs holding additional charges, non-attendance by Police officers and non-availability of staff. Such delays resulted in retention of children, who were not granted bail, in observation homes for the period of delay and they could not be transferred to special homes for getting proper rehabilitation.

### *2.2.6.2*      *Child Welfare Committees*

CWC consists of a Chairperson and four members, of which, at least one person should be a woman and should possess special knowledge in child psychology and child welfare.

➢ Section 29 of the Act, as amended in 2006, prescribes that the State may, within a period of one year from the date of commencement of the amended Act, by notification in the Official Gazette, for every district, constitute one or more CWCs in matters relating to child in need of care and protection. GoTN, however, ordered (March 2010) formation of CWCs in 14 out of 32 districts after a delay of two and half years. It took more than two years for the department to get the members of CWCs selected by selection committees and to issue Government orders for the constitution (June 2012) of CWCs.

➢ As per Section 33 of the Act (2000), CWC should complete every inquiry within four months and pass orders. Details of cases finalised by CWCs in the sampled districts during 2010-15 are given in **Table 2.14**.

**Table 2.14: Details of cases finalised within the stipulated period or later**

| District | Number of cases finalised | Number of cases finalised within four months | Number of cases finalised after four months but before one year | Number of cases finalised after one year |
|---|---|---|---|---|
| Chennai | 5,518 | 5,194 | 322 | 2 |
| Coimbatore | 2,091 | 1,860 | 183 | 48 |
| Dindigul | 206 | 204 | - | 2 |
| Kancheepuram | 1,600 | 1,599 | - | 1 |
| Madurai | 876 | 444 | 432 | - |
| Theni | 202 | 64 | 138 | - |
| Tiruchirappalli | 855 | 855 | - | - |
| Tiruvallur | 2,873 | 2,873 | - | - |
| **Total** | **14,221** | **13,093** | **1,075** | **53** |

Source: Information furnished by CWCs in the sampled districts

➢ No case was pending finalisation in the test-checked districts as of August 2015.

➢ CWCs in Dindigul, Kancheepuram, Tiruchirappalli and Tiruvallur districts finalised almost all the cases within four months.

➢ In the remaining four sampled districts, out of 8,687 cases finalised by CWCs, 1,075 cases (12 *per cent*) were finalised after the four months period but within one year.

➢ In Chennai and Coimbatore districts, out of 7,609 cases finalised, 50 cases were finalised after one year.

Chairpersons of CWCs stated (April-July 2015) that delayed receipt of Probation Officer's reports, lack of escorts, misbehaviour of children as reasons for delay in finalisation of cases. The delays led to children being kept in Reception Units for longer periods, thus denying them formal education/ vocational training available in children homes during the period of delay.

### 2.2.6.3 *Provision of waiting room in buildings occupied by JJBs/CWCs*

As per ICPS guidelines for setting up of JJB/CWC, two rooms each measuring 300 sq. ft. were to be provided to enable the JJB/CWC to hold its sittings in one room and the other room to be used as a waiting room for children and families. However, as per information furnished by Principal Magistrates of JJBs in four[18] out of eight sampled districts and Chairpersons of CWCs in three[19] out of eight sampled districts, no waiting room was provided for children and families and the available open space was used for the purpose. Government stated (November 2015) that ICPS provided ₹ 7,500 per month towards rent for
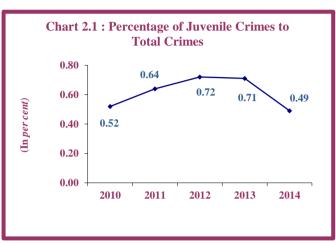
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[18]     Coimbatore, Kancheepuram, Madurai and Tiruvallur
[19]     Chennai, Coimbatore and Dindigul.

building occupied by JJBs/CWCs and that it was difficult to hire a spacious building with facilities for waiting room especially in cities. However, it was stated that steps would be taken to shift the JJBs/CWCs to buildings having sufficient space for waiting rooms.

**Juvenile delinquency**

Data of National Crime Records Bureau revealed that share of crimes committed by juveniles in the State during the period 2010-14 (calendar years) as a percentage of total crimes in the State was 0.52, 0.64, 0.72, 0.71 and 0.49 respectively as shown in **Chart 2.1**, details of which are given in **Appendix 2.4.**



Chart 2.1 : Percentage of Juvenile Crimes to Total Crimes

These percentages were less than the national level data (between 1.0 and 1.2 *per cent*) for the period.

The largest number of juveniles indulged in theft (19 *per cent*), followed by burglary (seven *per cent*), hurt (six *per cent*), murder (two *per cent*) and riots (two *per cent*) (**Appendix 2.5**). The number of juvenile crimes in the State, which increased from 962 in 2010 to 1,443 in 2012, started declining from 2013 onwards and stood at 945 in 2014. The number of juveniles apprehended belonging to the age group of 16-18 years increased steeply from 908 in 2010 to 2,289 in 2012 and then decreased to 1,873 in 2013 (**Appendix 2.4**). The higher incidence of crime in the age group of 16-18 years indicates that juveniles in this age group are most susceptible to committing crimes and they need specific rehabilitation.

### *2.2.6.4        Service Delivery Structures*

According to Section 62A of the Amendment Act, the State Government was to constitute a Child Protection Unit for the State and for every district, to take up matters relating to children in need of care and protection and juveniles in conflict with law to ensure implementation of the Act, including establishment and maintenance of homes, notification of competent authorities in relation to these children and their rehabilitation. Rule 96 of the Juvenile Justice (Care and Protection of Children) Rules, 2007 specified that until the new rules conforming to the GoI Rules are framed by a State under section 68 of the Act, these rules shall *mutatis mutandis* apply in that State.

Even though the Amended Act 2006 and the JJ Rules, 2007 provided for establishment of State and District Child Protection units, GoTN ordered (December 2011 and January 2012) establishment of State Child Protection Society (SCPS) and DCPUs after a delay of more than four years. During the period of delay, specific functions assigned to the units such as effective implementation of the provisions of the Act, co-ordination with other agencies,

departments and civil society organisations, training and capacity building of personnel, establishing minimum standards of care in homes, reviewing the functioning of CWCs, etc., could not be done.

Government stated (November 2015) that after signing of MoU (January 2010) with GoI for implementation of ICPS in the State, action was taken to form the SCPS and that after completion of framing of Rules, steps were taken to form DCPUs. The reply confirmed that no initiatives were taken to establish the units based on the provisions in the amended Act and Rules.

### 2.2.7 Financial Management

GoTN and GoI provided funds (under non-Plan, Plan and Centrally Sponsored Scheme heads) for recurring and non-recurring expenditure for maintenance of homes. GoI provides financial assistance to the State on sharing basis at fixed percentages under ICPS, a Centrally Sponsored Scheme, to meet the expenditure on construction/upgradation of homes, purchase of equipment, salary, contingency, maintenance and bedding grant for inmates. The funding pattern for the Institutional Care component of ICPS was 75:25 (GoI and GoTN) for Government run homes and 75:15:10 (GoI, GoTN and NGO respectively) for NGO run homes.

#### *2.2.7.1 Budget and expenditure*

Details of budget allotment and expenditure on maintenance of Government homes and grants-in-aid to homes run by NGOs under DSD and CSW for the period 2010-15 are given in **Table 2.15.**

**Table 2.15: Details of allotment and expenditure**

(₹ in crore)

| Year | Directorate of Social Defence | | | Commissionerate of Social Welfare | | |
|------|-----------|-------------|------------------|-----------|-------------|------------------|
| | Allotment | Expenditure | Savings(-)/ Excess(+) | Allotment | Expenditure | Savings(-)/ Excess(+) |
| 2010-11 | 15.31 | 16.72 | 1.41 | 12.76 | 15.02 | 2.26 |
| 2011-12 | 18.60 | 17.81 | (-)0.79 | 16.56 | 15.97 | (-)0.59 |
| 2012-13 | 18.93 | 25.34 | 6.41 | 17.13 | 17.43 | 0.30 |
| 2013-14 | 24.93 | 21.75 | (-)3.18 | 17.70 | 11.66 | (-)6.04 |
| 2014-15 | 32.54 | 27.48 | (-)5.06 | 24.45 | 24.64 | 0.19 |

Source: Detailed Appropriation Accounts for the years concerned

There were savings of ₹ 3.18 crore and ₹ 5.06 crore during 2013-14 and 2014-15 under the Directorate of Social Defence mainly due to non-filling of vacant posts in homes and decrease in number of eligible children in homes for releasing maintenance grants. Savings of ₹ 6.04 crore during 2013-14 in respect of Commissionerate of Social Welfare was mainly due to release of maintenance grants to NGO homes as per actual requirements.

### 2.2.7.2        GoI assistance under ICPS

In order to meet special needs of children in conflict with law as well as children in need of care and protection and to build a protective environment for all vulnerable children, GoI launched ICPS by merging the existing child welfare schemes with improved norms, expanded mandate and enhanced outlay.  Under Institutional Care component of the scheme, non-recurring and recurring grants were released by GoI. Details of grants approved and released by GoI under ICPS for Government-run and NGO-run homes under the control of DSD and CSW and utilisation thereof during 2010-15 are given in **Tables 2.16 A** and **2.16 B.**

**Table 2.16 A: Details of grants approved and released by GoI and utilised by State (Directorate of Social Defence)**

(₹ in crore)

| Year | Released by GOI | Utilised by State | Unspent |
|---|---|---|---|
| 2010-11 | 0.60 | 0.60 | - |
| 2011-12 | 7.91 | 3.38 | 4.53 |
| 2012-13 | 15.13 | 15.13 | - |
| 2013-14 | 6.92@ | 6.92 | - |
| 2014-15 | 23.25 | 20.76 | 2.49 |
| **Total** | **53.81** | **46.79** | **7.02** |

@        GoI released the first instalment (50 *per cent*) only on ad-hoc basis
Source: Details furnished by DSD

➢    Out of ₹ 7.91 crore released by GoI during 2011-12, ₹ 4.53 crore remained unspent at the end of the year due to delay in sanction (sanctioned in April 2012) for release of maintenance grant by GoTN to homes run by NGOs.

➢    Reasons for non-utilisation of ₹ 2.49 crore during 2014-15 were not furnished to Audit by DSD.

**Table 2.16 B:        Details of grants approved and released by GoI and utilised by State (Commissionerate of Social Welfare)**

(₹ in crore)

| Year | Released by GOI | Utilised by State | Unspent |
|---|---|---|---|
| 2010-11 | - | - | - |
| 2011-12 | - | - | - |
| 2012-13 | 23.55 | Nil | 23.55 |
| 2013-14 | 9.87 | Nil | 9.87* |
| 2014-15 | - | - | - |
| **Total** | **33.42** | **Nil** | **33.42** |

*        Unspent grant was deducted by GoI from grants under ICPS for the State due for 2014-15

Source: Details furnished by CSW

Audit noticed that GoI did not sanction grants for the year 2010-11 under ICPS as the institutions under the control of CSW were not registered under the Act. CSW started registering institutions under his control only from 2010-11

onwards. For the year 2011-12, GoI did not release any grant as a review proposed by GoI for ascertaining the quality of care provided in the homes under the control of CSW was not conducted.

GoI released ICPS funds of ₹ 23.55 crore (₹ 4.10 crore for 27 Government homes and ₹ 19.45 crore for 171 NGO homes) for 2012-13 and ₹ 9.87 crore (₹ 1.63 crore for Government homes and ₹ 8.24 crore for NGO homes) for 2013-14 to GoTN. The GoTN did not accord administrative sanctions for release of grants to NGO homes during the years due to discrepancies and incorrect reporting of number of eligible children for receiving maintenance grants by CSW/DSWOs/NGOs.

As the CSW did not submit the budget requirement for 2014-15 and Statement of Expenditure for the years 2012-13 and 2013-14, no grants were released by GoI for the year 2014-15.

### 2.2.7.3 *Release of funds deviating ICPS Guidelines*

As per ICPS Guidelines, GoTN was to release the Central share along with State share to SCPS within 15 days so as to enable SCPS to release the funds, in turn, to DCPUs and NGOs within 15 days.

It was, however, noticed that GoI and GoTN share of ICPS funds were not released to SCPS. GoTN issued separate sanctions for the components of the scheme and provided funds to the drawing and disbursing officers of the department through budget, deviating from the scheme guidelines. The incorrect procedure was followed from the year of introduction of the scheme (2010-11).

Government, without furnishing reasons for the deviation from the guidelines, stated (November 2015) that for the year 2015-16 it released (September 2015) scheme funds of ₹ 15.61 crore to SCPS which, in turn, distributed the funds to DCPUs, JJBs, CWCs, Open Shelters and NGO homes.

### 2.2.7.4 *Payment of feeding grant to ineligible children homes run by NGOs*

As per ICPS norms and instructions of GoTN, before releasing maintenance grants to NGO run homes, CSW was to release the grants based on reports of DSWOs in the districts regarding number of children admitted in the homes, compliance with the provisions of the Act and Rules by the homes, etc. DSWOs were to re-verify the eligibility conditions before handing over the demand drafts received from CSW and payable to the NGOs.

Out of State funds, Government sanctioned (July 2012) feeding grant of ₹ 6.04 crore to CSW payable to NGO run homes for the year 2012-13. Based on certificates of DSWOs, CSW released (March 2013) ₹ 3.12 crore to DSWOs for 169 homes towards feeding grant for 11,672 children for six months (October 2012 to March 2013) through demand drafts (DDs) drawn in favour of homes with instructions to verify the registration status and availability of adequate infrastructure before handing over the DDs. On

re-verification of homes by DSWOs, 32 homes were found ineligible for receiving the grants. While DSWO, Kancheepuram returned to CSW the DDs for an amount of ₹ 5.51 lakh drawn in favour of four homes, DSWOs of seven districts handed over the DDs for a total amount of ₹ 62.50 lakh to 28 ineligible homes. Though CSW directed (May 2014) DSWOs to recover the amounts from the ineligible homes, recoveries were not made from them till August 2015.

Government stated (November 2015) that the homes were found ineligible to receive grants for the year as they did not comply with the ICPS norms and that representations were received from the NGOs requesting not to recover the amounts as these funds were spent for maintenance of children during the year 2012-13. It was further stated that action was being taken to recover the amounts from the grants-in-aid to be released for the year 2015-16.

### 2.2.7.5 *Variation in quantum of feeding grants to children*

Both GoI and GoTN provided maintenance grant to meet expenses on food, clothing, medicine, soap, oil, etc., to the homes run by NGOs for children in conflict with law and children in need of care and protection.

GoI, during the 28th Project Approval Board meeting (October 2011) for finalisation of financial proposals for the year 2011-12 under ICPS, insisted on the need to bring all homes for children in the State under one Directorate for ease in planning and co-ordination. GoTN informed (September 2012) GoI that the homes under the control of CSW were in the process of transfer to the DSD and that they would be monitored by DCPOs at district level. However, the children homes under the control of CSW were not transferred (August 2015) to DSD. As all the homes in the state were not brought under the control of one Directorate, DSD and CSW adopted different rates for payment of maintenance grant (feeding grant) to homes run by NGOs as given in **Table 2.17**.

**Table 2.17: Details of feeding grants provided by DSD and CSW to NGO homes**

(In ₹)

| Year | Amount released per child per month by DSD | Amount released per child per month by CSW |
|---|---|---|
| 2010-11 | 450 | 450 |
| 2011-12 | 750 | 450 |
| 2012-13 | 750 | 450 |
| 2013-14 | 750 | 450 |
| 2014-15 | 1,400 | 750 |

Source: Details furnished by DSD and CSW

After the introduction of ICPS (2010-11), GoI released feeding grants at the rates fixed by them from the year 2011-12 in respect of homes under the control of DSD, the nodal officer for ICPS. However, GoTN sanctioned the grants to the homes under the control of CSW at lesser rates out of its own funds. Thus, the children accommodated in homes under the control of CSW were denied maintenance grants at the rates enhanced from time to time by

GoI under ICPS due to non-transfer of homes under the control of CSW to DSD.

Government stated (November 2015) that for the year 2015-16, proposals have been sent to GoI in which maintenance grant at ₹ 2,000 per child per month as per ICPS norms has been included for homes under the control of CSW also on par with the children in homes under the control of DSD. During Exit Conference, Principal Secretary stated (November 2015) that action has been taken to bring all children homes under one Directorate and it was under active consideration of GoTN.

### 2.2.8 Management of homes

#### 2.2.8.1 Registration of Homes

As per Section 34 (3) of Amendment Act 2006, all institutions, whether Government run or those run by NGOs for children in need of care and protection shall, within a period of six months from the date of commencement of the Amendment Act, be registered under the Act. Registration shall be given initially for a period of one year and if the services are found satisfactory, it may be extended for five years.

The Department issued (July 2013 to August 2014) instructions to the District Officials to inspect and recommend eligible Child Care Institutions run by NGOs for registering them under the Act and to close down the institutions with inadequate infrastructure by transferring the children to other suitable institutions. DSD directed (July 2013, December 2013 and January 2014) all DCPOs/Probation Officers to obtain necessary proposals from NGOs, who had not registered by the time and also from institutions whose validity had expired and to inspect them by adhering to the procedure prescribed.

From information furnished by DSD and CSW, Audit noticed that out of 1,511 homes identified in the State, 558 homes were registered, 375 homes were unregistered, applications for registration were in process for 561 homes and in respect of remaining 17 homes, details were not available. In the sampled districts, there were 193 unregistered homes. Though CSW instructed (February 2013) DSWOs to see that no children home should be left unregistered and that steps be taken to close the institutions which failed to register themselves, no action was taken against the institutions which failed to register under the Act and the unregistered homes continued to function in the State (August 2015). During Exit Conference, Joint Director of Social Defence stated (November 2015) that the list of unregistered homes included homes due for renewal also and assured that the latest position in this regard would be furnished to Audit.

#### 2.2.8.2 Special Homes

There are two special homes (one for boys at Chengalpattu and another for girls at Chennai) in the State. The objectives of the Special Home are to receive a juvenile in conflict with law who has been ordered to undergo institutional training during the period of inquiry and process by JJB and to facilitate the

child to receive proper health care, education, vocational training, behaviour modification programmes, etc. Special Home should have facilities for non-formal and formal education from I to X standard and facilities for sports and other extra-curricular activities.

It was noticed in Audit that in the Special Home, Chengalpattu, children were first admitted in learning method of 'Activity Based Learning' and thereafter admitted in VIII standard and X standard directly instead of providing formal education. Teachers were not available for handling English, Science and Mathematics subjects which were managed by the available teachers of other subjects. As against the sanctioned posts of 13 Secondary Grade Teachers, only two posts were filled up leaving 11 posts vacant, of which, nine were vacant for more than seven years. Tailoring Instructor Grade I and Weaving Instructor Grade I posts were also vacant for more than four years.

DSD stated (September 2015) that GoTN permitted (July 2015) appointment of teachers for the vacant posts through the Teachers Recruitment Board (TRB) and that TRB has been addressed (August 2015) in this regard. Regarding the vacancies in the posts of Instructors, DSD stated that action would be taken to fill up the vacant posts of instructors through TRB.

### *2.2.8.3 Observation Homes*

The Act empowers State to establish and maintain either by itself or with the support of voluntary organisations, Observation Home in every district or group of districts for the temporary reception of children in conflict with law during the period of inquiry. Further, as per ICPS guidelines there should be separate observation homes for girls and boys and classification and segregation of children should be done according to their age with due consideration given to physical and mental status of the children and degree of offence committed.

There are eight Observation Homes (six Government homes and two NGO run homes) in the State. Audit observations in respect of two (Coimbatore and Tiruchirappalli) out of four test-checked Observation Homes are as follows:

**Observation Home at Tiruchirappalli**

➢ Sanctioned strength of the Observation Home at Tiruchirappalli is 40 children including girls. Children in conflict with law recommended by JJBs of seven districts were admitted in the home and during the trial period, the children admitted in the home had to be transported to JJBs of seven districts (10 districts[20] since February 2015) for attending inquiries. Further, due to execution of maintenance and repair works at Observation Home run by an NGO at Madurai and non-availability of any building on hiring basis in Madurai District, children in conflict with law relating to Dindigul, Madurai and Theni Districts were also transferred (February 2015) to Observation Home, Tiruchirappalli.

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[20] Ariyalur, Karur, Nagapattinam, Perambalur, Thanjavur, Tiruchirappalli and Tiruvarur and additionally three districts *viz*. Dindigul, Madurai and Theni since February 2015

After the transfer, 42 male children were accommodated in the home which had a dormitory facility only for 25 boys.

➢ Rules 22 and 25 of JJ Rules, 2001 specify that homes should establish and maintain exclusive living premises for housing children of different age groups for juveniles and no children other than a child in conflict with law shall be kept in observation homes. However, it was observed that a reception unit with children in need of care and protection has been functioning in the same building of the Observation Home from 2006. During the period 2010-15, out of 563 children (including nine children already at the unit) received in the Reception Unit and retained in the Observation Home for short durations, 38 children were sent to children homes and 516 children were handed over to parents and the remaining nine cases were pending finalisation by CWC. The children in need of care and protection admitted in Reception unit were, thus, housed with the children in conflict with law in the Observation Home in violation of the Act.

Government stated (November 2015) that as soon as an NGO is identified for running a Reception Unit in the district, the children of the Reception Unit would be shifted from the Observation Home.

➢ No separate staff were sanctioned for the Reception Unit, even though one post each of Superintendent, Probation Officer, Assistant/Junior Assistant, Record Clerk, Cook and Sanitary Worker and four posts of Watchman are required for running a Reception Unit. In the absence of separate staff for the Unit, the existing staff of Observation Home had to take care of the children in Reception Unit also.

### NGO run Observation Home at Coimbatore

➢ As per the funding pattern of ICPS, NGOs running homes have to provide 10 *per cent* of the sanctioned recurring and non-recurring grants as their contribution. However, an Observation Home run by NGO at Coimbatore did not contribute its share as the Society[21] was not collecting any donation from the public and had no other source of income to meet the 10 *per cent* NGO contribution. Hence it requested (August 2013) GoTN to bear 100 *per cent* of the expenditure to run the Observation Home. Further, the Society also expressed (October 2013 to March 2015) its inability to run the home and requested GoTN to take over the control of Observation Home and pay rent for the building. However, no decision was taken by the GoTN for taking over of the Observation Home till June 2015.

Government stated (November 2015) that the proposal regarding takeover of the institution was under its consideration.

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[21] The Discharged Prisoners' Aid Society

### *2.2.8.4* *Government Children Home at Madurai*

In paragraph 3.2.13.5 of Report of the Comptroller and Auditor General of India for the year ended 31 March 2008 – Civil – Tamil Nadu**,** it was pointed out that due to non-release of adequate funds for construction of building for the Government Orphanage at Madurai, the building could not be completed and that the orphanage continued to function in a hired building without adequate facilities.

Further scrutiny of records revealed that the balance work in the building could not be completed (August 2015) due to lack of co-ordination between PWD and the Department and the home has been functioning in the same hired building with a sanctioned strength of 250 girl children in the age group of 6-18 years.

Government stated (November 2015) that the new building could not be occupied as it was incomplete without basic amenities and constructed in the outskirts of the city. It was further stated that considering safety of girls of the home, they were continued to be accommodated in the hired building.  The reply confirms that adequate feasibility study was not conducted before selection of site for the home.

### *2.2.8.5* *Reception Unit*

Rule 42 of JJ Rules, 2001 prescribes that there should be a Reception Unit in every Children Home which should take care of children by providing shelter, food and education during the period of inquiry by CWC. The Reception Unit should be kept in charge of a Child Welfare Officer and the children should be restored to the care of parents or relatives as per the orders of the CWC or shifted to Children Home for further care and protection.

Scrutiny of records in the sampled districts revealed the following:

➢ In Theni District, no reception Unit was available and children were admitted directly into Children Homes. During Exit Conference, Joint Director of Social Defence stated (November 2015) that a proposal was received from an NGO for running the Reception Unit in Theni and the same was under the process of finalisation.

➢ Test check of records of DCPO, Tiruchirappalli revealed that an NGO which was running a Reception Unit at Tiruchirappalli, expressed (October 2012) its inability to run the Unit citing non-availability of required infrastructure, staff, running of both Children Home and Reception Unit in the same building, escape of children from the Unit etc.**,** and requested GoTN to relieve them from running the Unit. Based on orders of DSD, DCPO, Tiruchirappalli shifted the children of the Reception Unit to a registered Open Shelter[22], run by another NGO[23], whose request (August 2013) for Government funding for

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[22]  Safe place of shelter for children in need of care and protection, particularly beggars, street children,  rag pickers, small vendors and other vulnerable group of children

[23]  Tiruchirappalli Multi-purpose Social Service Society

provision of infrastructure and staff was not decided as of August 2015.

➢ Though DSD instructed (November 2014) the DCPO to identify another NGO for running the Reception Unit in the district, no NGO was identified by DCPO as of July 2015. As a result, the children of the Reception Unit continued to stay in the open shelter which lacked basic infrastructure.

Government stated (November 2015) that identification of an NGO for running the unit was in progress and that the children accommodated in the Open Shelter as a temporary measure would be shifted, as soon as a suitable NGO is identified.

### 2.2.8.6 *After Care services*

**After Care Organisation**

Section 44 of the Act prescribes establishment of After Care Organisation (ACO) by States to provide care and protection to children discharged from Special Home or Children Home to receive shelter facilities for a period not exceeding three years. There are three ACOs in the State. Scrutiny of records of ACO at Athur revealed the following**:**

➢ Though the sanctioned strength of the ACO is 100 and adequate facilities are available at the ACO, number of children admitted during the period from 2010-11 to 2014-15 ranged between 24 and 35. The Superintendent attributed (March 2015) low occupancy to allocation of limited seats to the ACO for admission to courses in Industrial Training Institutes (ITI) and children not showing interest in joining the available vocational rehabilitation courses.

➢ Out of 149 children admitted to the ACO during 2010-15 to get training on income generating trades like vocational and ITI training, only 46 children completed the course, 51 children who went on leave did not return, 17 children escaped or ran away from ACO, training for 24 children were under progress and the remaining 11 children were transferred to other ACO. The Superintendent of the ACO stated that parents of the runaway children were not willing to send their children back to ACO, despite efforts made by the staff.

### 2.2.8.7 *Escape of children*

As per Rule 70 of the JJ Rules 2001, in the event of escape of children from home, the Officer-in-charge of Observation Home/Special Home shall adopt the following procedure:

The staff of the institution can make a search of the child at places like Railway Stations, Bus stands, other places**,** etc., without waiting for formal orders/instructions from superior officers. The available immediate superior officer shall direct such action in the absence of the Officer-in-charge of the institutions. Search parties should report the fact immediately on return from

search operations. The Officer–in-charge of the institution shall hold an enquiry on the incident and a report shall be sent to the DSD and other controlling authorities within 24 hours of the incidence.

Further, GoI instructed (August 2014) States to monitor security of children in Child Care Institutions and minimise cases of abuse and exploitation of children and suggested that at least one closed circuit television (CCTV) camera be installed at the entrance of each institution.

Scrutiny of records revealed that out of 204 children (125 from Government homes and 79 from NGO run homes) escaped from homes during the period 2010-15, only 127 children were traced and brought back to homes leaving the remaining 77 children untraced (July 2015). The security arrangements such as posting of adequate security staff (guard, gateman and watchman) and installation of CCTV cameras etc., in the homes were inadequate.

DSD stated (September 2015) that all cases of escape were informed to Police, searches were made in all places for tracing them and the escaped children who were subsequently traced were brought to homes. However, one-third of the children escaped still remained untraced. During Exit Conference, Principal Secretary stated (November 2015) that surveillance and security arrangements would be strengthened to prevent escape of children from homes.

### 2.2.8.8 *Runaway children*

As per Rule 71 of the JJ Rules 2001, in case of children running away from Children Home, search of the child shall be done and a report shall also be sent to parents/guardian. In case of a child who runs away from the institution on more than two occasions, such child shall be reproduced before the Child Welfare Committee for review and alternate means of rehabilitation. In case of frequent running away of children from an institution, the Monitoring Committee shall study the factors causing such incidence and shall recommend appropriate remedial measures.

Scrutiny of records revealed that out of 229 children who ran away from children homes/reception units (Government homes and NGO run homes) during 2010-15, only 104 children were traced and brought back to homes leaving the remaining 125 children untraced.

DSD stated (September 2015) that the cases of children who ran away from homes were informed to the nearest Police Stations for tracing them. However, the percentage of runaway children remained untraced was more than 50 *per cent* which indicated that the efforts taken to trace the runaway children were inadequate. During Exit Conference, Principal Secretary stated (November 2015) that surveillance and security arrangements would be strengthened to avoid such occurrences.

### 2.2.8.9 *Inadequate manpower in Government institutions*

As per details of sanctioned strength and men-in-position in the test-checked homes furnished by Superintendents of homes under the control of DSD and CSW, as against 459 posts of different categories of staff, men-in-position as of

April/May 2015 were 223 (49 *per cent*) (**Appendix 2.6**). Vacancies were more than 50 *per cent* of the sanctioned strength in the categories of Superintendent of Home, Assistant/Accountant, Secondary Grade Teacher, Tailoring Instructor, House Master, Senior Matron, Cook, Sanitary Worker and Watchman.

Government stated (November 2015) that the vacant posts in the homes would be filled up soon and as a temporary measure, Ex-servicemen were employed on contract basis as watch and ward staff in homes.

### *2.2.8.10 Infrastructure*

➤ As per JJ Rules, the Superintendent of an institution shall provide sufficient and safe accommodation for classroom, workshop, kitchen/grain room, store room, play room and medical room, playground and dormitory having sufficient cross ventilation and sunlight; provided that in case of a dormitory, the minimum standard accommodation per juvenile/child shall be as far as practicable 40 sq. ft. Rule prescribes the norms for building/accommodation for an institution with 50 juveniles or children.

➤ However, inadequate infrastructure facilities such as dormitory, classroom and workshop were noticed in Audit. In five Government Children Homes and three NGO run homes, as against the norm of 40 sq.ft. per child, shortfall in provision of dormitories ranging from 60 to 86 *per cent* and 8 to 38 *per cent* respectively were noticed even for the actual strength (maximum strength during 2010-15). Workshops were not provided in five out of nine Government homes and in eight out of 21 NGO homes test checked (**Appendix 2.7**).

Audit noticed that an NGO run Observation Home at Coimbatore did not provide the basic minimum standards of infrastructure which were required as per ICPS guidelines for running and maintaining the home. Building structural stability certificate from PWD, sanitation certificate from local body and No Objection Certificate from Fire and Rescue Services Department were not obtained.

➤ Based on proposals of DSD/CSW, Government sanctioned (May 2008 and June 2012) ₹ 92.96 lakh for provision of modernised kitchen equipment in 20 children homes/observation homes (DSD (14); CSW (6)) in order to provide hot and fresh food to the children, cook the food quickly and also save time and fuel (gas). Even though no requirement of the equipment, or proposals were submitted by the homes, the proposal for sanction was submitted to GoTN by CSW under Part II Scheme for the year 2012-13 and funds were also provided.

In test check, Audit noticed that modernised kitchen equipment supplied to Observation Homes at Chennai and Tiruchirappalli, Special Home at Chengalpattu (Kancheepuram District) and Government Orphanage at Tiruchirappalli were either partially utilised or not utilised at all as the same

could be utilised only when the strength of the children in the homes were 100 and more. The homes to which equipment were supplied were having children ranging from 25 to 84. Thus, without assessing requirement and feasibility of utilising modernised kitchen equipment in the homes, an expenditure of ₹ 18.05 lakh was incurred on the purchase of kitchen equipment which was avoidable.

Government stated (November 2015) that at the time of procurement, the minimum capacity equipment meant for hostel purposes available in the market were purchased and supplied to all homes and that the underutilised units would be shifted to other needy institutions and put into optimum utilisation.

➢ Based on a proposal (December 2009) of CSW, GoTN sanctioned (June 2010) ₹ 50 lakh for procurement of 1,000 steel cots (two tier) for five children homes (200 cots each). As the sanctioned capacity of each home is 250 children only, 200 two tier cots for each home were not required. CSW instructed (October 2010) the Superintendents of the homes concerned to procure the cots and redistribute 400 cots out of 1,000 cots to five other homes which needed them. The cots were procured and redistributed to the homes by the Superintendents.

During joint inspections (April and May 2015) by Audit with the Superintendents of Government Children Home, Kosapet, Chennai and Children Home at Dindigul, it was noticed that 100 cots (50 cots each) valued at ₹ 5 lakh were kept unutilised from the date of purchase. The Superintendents attributed non-utilisation of cots to inadequate space in the homes and children's reluctance to sleep in two tier cots. Thus, procurement of cots in excess of requirement and without ascertaining the need of the children resulted in unwarranted redistribution to other homes and non-utilisation of cots.

### 2.2.8.11 *Surveillance and Security arrangements*

Government sanctioned (October 2011) ₹ 17.59 lakh for provision of surveillance and security equipment to Government Special Home for Boys at Chengalpattu to ensure a close watch on the juveniles in the institution and also to curtail stray cases of abuse of younger children by older juveniles. Surveillance cameras and CCTV were procured (March 2013 and August 2013) and installed (September 2013) in the home.

However, it was noticed in audit that the equipment were not functioning since September 2014 and no annual maintenance contract was entered into with the supplier. The Superintendent of the home stated (April 2015) that the supplier has been addressed (September 2014) in this regard. However, the equipment were not made functional (August 2015). Further, instead of installing CCTV in a room where 24 hours security staff are available to monitor movement of children, it was installed inside the Superintendent's room which was kept closed after office hours. Thus, 24 hours surveillance and security was not ensured even during the period when the equipment was working.

Further, four posts of Guard were vacant since 2009 (one) and 2010 (three) as against sanctioned five posts. The Superintendent stated (April 2015) that

watchman and sanitary workers were also handling the juveniles in the home. During the period 2010-15, out of 43 children escaped from the Special Home**,** 40 were traced and brought back and the remaining three children were not traceable. The Superintendent stated (March 2015) that police authorities have been addressed to recapture them and hand over to the home.  The escape of children indicated lack of adequate surveillance and security arrangements in the home.

It was also noticed that surveillance equipment required for 24 hours surveillance and security was not provided in Government Observation Home at Tiruchirappalli and NGO run Observation Home at Coimbatore.

Government stated (November 2015) that under Part II scheme for the year 2015-16, an announcement was made in the Assembly for provision of CCTV cameras in all homes at a cost of ₹ 32 lakh.

### 2.2.8.12    *Minimum standards of services*

Every Child Care Institution should adhere to the standards of care for juveniles/children laid down by the Act, 2000 and the Amendment Act, 2006 and the Rules framed thereunder.  As per Rules 23, 33, 38 and 42 of JJ Rules, 2001, counselling, formal education, healthcare, vocational education, sports and extra-curricular activities and basic amenities are to be provided to the children in homes.

### Sanitation and hygiene

ICPS guidelines prescribe the minimum standards of care for juveniles/children lodged in institutions established under the Act to be followed.  As against 143 bathrooms and 200 latrines required as per the norms, there were only 50 bathrooms and 92 latrines in five[24] sample Government run homes and three[25] NGO run homes as indicated in **Appendix 2.8.**

Government stated (November 2015) that instructions have been given to DSWOs to submit plans and estimates for additional bathrooms and toilets in Government homes and that NGOs have been instructed to upgrade the infrastructure as per ICPS norms for minimum standards.

### Nutrition

As per Rule 39 of JJ Rules, 2001, children are to be provided with nutritional diet as recommended by nutritional experts/dieticians/doctors to ensure balanced diet and variety in taste.  Children are not to be given a routine pattern of diet and the menu should be changed or altered taking into account the views and expectations of children within the prescribed per capita limit/scale of diet.

For the homes under the control of DSD, the scale of diet was prescribed whereas no scale was prescribed for children homes under CSW. Audit noticed

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[24]    Government Orphanages at Coimbatore, Dindigul, Kancheepuram, Madurai and Tiruchirappalli

[25]    Bala Bhavan Boys Home, Chennai, Chennapuri Annadhana Samajam, Chennai and Tamil Nadu Students Home, Tiruchirappalli

that the quantity of rice/wheat/ragi, dhal/channa and milk per child per day, eggs per week as prescribed by DSD was less than that prescribed by GoI in the JJ Rules, 2007. Moreover, GoI released feeding grants to States under ICPS to the extent of 75 *per cent* of the rate per child fixed by it. In the absence of scale of diet, it could not be ascertained whether the required calorific value was maintained in the diet provided by Government homes and NGO run homes. Government stated (November 2015) that food was served based on weekly menu chart. However, reasons for not fixing the scale of diet mentioning item-wise quantity and calorific value were not stated by Government.

### Clothing and bedding

As per the scale laid down by the GoTN based on the climate requirements, each child/juvenile should be provided with four sets of clothing (at one point of time, the child should have a minimum of three sets of clothing) among other things like soap, tooth paste and brush, etc. However, it was noticed that in one Government run home at Madurai and three[26] NGO run homes, only two/three sets of clothing were provided to children as against four sets.

### Healthcare

Though first aid kits with stock of emergency medicines and consumables were available, there were no trained staff in four[27] Government run homes. It was also noticed that Doctor (part time) and paramedical staff were not available in these homes leaving the children to depend on nearby hospitals/primary health centres or private doctors who provide medical care voluntarily for treatment.

### Vocational training

In order to prepare children/juveniles for economic independence when they are discharged from the institutions as young adults, it is the responsibility of every institution to provide employable vocational training to juveniles/children when they complete their schooling or drop out of school. It was noticed that in five[28] Government Orphanages and six[29] NGO run homes, no vocational training was given to the children. It was also noticed that in Government Orphanage, Tiruchirappalli even though sewing machines were available to teach tailoring, no instructor was posted to teach/train them in tailoring and the sewing machines available in the homes were kept idle.

Government stated (November 2015) that action was being taken to fill up the post of tailoring teachers in Government homes and that NGO homes were instructed to follow ICPS norms.

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[26]   St. Louis Home for Children, Kancheepuram, Nehru Destitute Children's Home, Theni and Gandhi Seva Sangam, Dindigul

[27]   Government Orphanage, Coimbatore, Dindigul, Madurai and Tiruchirappalli

[28]   Government Orphanage, Coimbatore, Dindigul, Kancheepuram, Madurai and Tiruchirappalli

[29]   Children Home under Sevasamajam Children's Home, Chennai, Children's Homes for Boys and Girls under IRCDS, Tiruvallur, Little Flower Home for Children, Tiruvallur, St. Mary's Home for Children, Coimbatore, Nehru Destitute Children's Home, Theni and Tamil Nadu Students Home, Tiruchirappalli

**Recreation facilities**

As per ICPS revised guidelines on minimum standards of care for children in CCIs, adequate importance is to be given to sports, leisure, creativity, playing facilities to children and ensuring a secured environment in homes where the children were lodged.

Audit scrutiny revealed that in eight Government run homes[30] and 14 NGO run homes[31] visited by audit, Physical Education Teacher (PET) was not posted even though infrastructural facilities were available. Government stated (November 2015) that action was being taken to fill up the posts of PET in Government run homes and that NGO run homes were instructed to follow ICPS norms.

### 2.2.9 Monitoring

#### 2.2.9.1 Non-constitution of Home Management Committee

As per Rule 37 of the JJ Rules, as amended in 2012, all institutions for juveniles in conflict with law and for children in need of care and protection should have Management Committees for the management of the Institution and monitoring the progress of every juvenile or child. The Committee shall consist of DCPO who will function as Chairperson and the Officer-in-charge of the institution will function as Member Secretary along with Probation Officer, Child Welfare Officer, etc., as members including a children representative. The Committee should meet every month in the institution to consider and review important matters *viz.* (i) classification of children care in the institution, (ii) medical facilities and treatment, (iii) food, water, sanitation and hygiene conditions, (iv) mental health interventions for the juveniles or children, (v) vocational training and opportunities for employment and (vi) education.

Scrutiny of records revealed that the Committee was not constituted in 174 out of 584 homes run by NGOs in the sampled districts and registered under the Act. Moreover, in homes where Committees were in place, meetings were held once in three months as against every month.

Government stated (November 2015) that DCPOs visited CCIs often, monitored their functioning and sorted out issues, if any, and that there was no need to conduct meetings every month. It was further stated that certain other professionals like Doctor, Psychologist who were in the Committee were not in

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[30]  Government Children Home, Chennai, Government Orphanage, Chennai I and Chennai II, Coimbatore, Dindigul, Kancheepuram, Madurai and Tiruchirappalli

[31]  Children Home under Sevasamajam Children's Home, Chennai, Bala Bhavan Boys Home, Chennai, Sree Seva Mandir, Chennai, Young Women's Christian Association, Chennai, St. Mary's Home for Children, Coimbatore, Gandhi Seva Sangam, Dindigul, St. Phelomena Home for Children, Dindigul, St. Louis Home for Children, Kancheepuram, Balar Illam, Madurai, Nehru Destitute Children's Home, Theni, Tamil Nadu Students Home, Tiruchirappalli, St. James Home for Children, Tiruchirappalli, Destitute Home run by Sarojini Varadappan Girls Higher Secondary School, Tiruvallur and St. Anne's home for Children, Tiruvallur

a position to attend the meeting every month. However, the reply is not supported by documentary evidence. Further, the contention of Government was not correct as it contradicted Rule 37 which insists on monthly meeting of the Committee for effective management of homes. During Exit Conference, Joint Director of Social Defence assured (November 2015) that instructions would be issued to the homes to constitute the Committees wherever required.

### 2.2.9.2        *Social Audit*

Section 36 of the Act  stipulates that Central or State Government should monitor and evaluate the functioning of the institutions annually with the help of leading voluntary organisations working with the children, besides autonomous bodies like National Institute of Public Co-operation and Child Development, Indian Council for Child Welfare, Indian Social Institute, Childline India Foundation, National Institute of Social Defence, Social Welfare Boards, recognised schools of social work and the reports are to be made open for public scrutiny. However, no such mechanism for monitoring and evaluation was set up in the State by the GoTN. Government stated (November 2015) that orders were issued (August 2015) for constitution of Social Audit Committee.

## 2.2.10 Conclusion

There were delays in finalisation of cases by JJBs and CWCs in the sampled districts. GoI funds released for Institutional Care component of Integrated Child Protection Scheme (ICPS) were not utilised by the Commissionerate of Social Welfare. ICPS funds were not released to the State Child Protection Society (SCPS) and funds were managed by the Department.  Inadequate infrastructure and non-provision of minimum standard of services deprived the children of their basic needs and proper rehabilitation. Of the children who escaped/ran away from homes during 2010-15, 47 *per cent* remained untraced indicating lack of adequate surveillance and security arrangements in homes. Vacancies in key posts sanctioned for management of homes in the sample homes run by Government were more than 50 *per cent* of the sanctioned strength in each category.

## 2.2.11 Recommendations

Government/Directorates may ensure

➢ Finalisation of cases by JJBs and CWCs within the prescribed four months;

➢ Provision of adequate infrastructure and the minimum standards of care for children in homes;

➢ Posting of adequate security staff and strengthening of surveillance and security arrangements by installing CCTV cameras in homes to prevent escape of children from homes and

➢ Filling of vacancies in all key posts in homes.

## LABOUR AND EMPLOYMENT DEPARTMENT

### 2.3 Information Systems Audit on Computerisation of District Employment Offices

*Executive Summary*

*The primary function of District Employment Offices (DEOs) is to register job seekers, renew their registration periodically and update their qualification as and when requested. DEOs also select candidates based on their seniority and qualification and furnish lists of eligible candidates to employers. Information Systems Audit on Computerisation of District Employment Offices revealed the following significant audit findings:*

*Out of the nine modules, only two modules (Registration Module and Vacancy Module) have gone live even six years after the entrustment of the work to the developer.*

*Large-scale manual interventions were made in the selection process due to inadequacies in the Vacancy Module.*

*There were errors in selection lists generated by the Vacancy Module due to errors in input/process/data migration.*

*National Code of Occupation (NCO) and seniority date in respect of 1.47 lakh candidates registered during 2011-14 were not available in the relevant table. There were discrepancies in seniority date between candidate NCO table and Selection Detail table. Discrepancies were noticed in input of fields due to absence of validation controls. Multiple registrations of candidates were noticed.*

*Therefore, Audit could not derive assurance that the candidates were recommended for jobs, in accordance with the rules and regulation in force, through the system.*

### 2.3.1 Introduction

The primary function of District Employment Offices (DEOs) is to register job seekers, renew their registration periodically and update their qualification as and when intimated. DEOs also select candidates based on their seniority and qualification and furnish lists of eligible candidates to employers. Apart from this, DEOs collect data and compile Employment Market Information (EMI).

### 2.3.2 Organisational set up

Each of the 32 districts in the State has one District Employment Office. A Special Employment Office for registering differently abled candidates and two District Employment Offices, one for technically qualified candidates and another for unskilled candidates, are functioning at Chennai. Besides, two

Professional and Executive Employment Offices (PEEOs) are functioning at Chennai and Madurai. The organisational hierarchy is depicted in **Chart 2.2**.
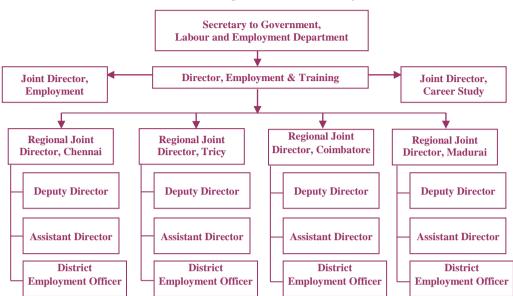
**Chart 2.2: Organisational hierarchy**

```
                    ┌────────────────────────────┐
                    │   Secretary to Government,  │
                    │ Labour and Employment Dept. │
                    └────────────────────────────┘
                                  │
┌──────────────┐    ┌────────────────────────────┐    ┌──────────────┐
│ Joint Director│◄──│ Director, Employment & Training│──►│ Joint Director│
│  Employment   │    └────────────────────────────┘    │ Career Study │
└──────────────┘                  │                     └──────────────┘
```

| Regional Joint Director, Chennai | Regional Joint Director, Tricy | Regional Joint Director, Coimbatore | Regional Joint Director, Madurai |
|---|---|---|---|
| Deputy Director | Deputy Director | Deputy Director | Deputy Director |
| Assistant Director | Assistant Director | Assistant Director | Assistant Director |
| District Employment Officer | District Employment Officer | District Employment Officer | District Employment Officer |

The Director of Employment and Training is the Head of the Department, who is assisted by two Joint Directors in charge of Employment and Career Study respectively. There are four Regional Joint Directors situated at Chennai, Tiruchirappalli, Coimbatore and Madurai. At the District level, District Employment Offices are controlled either by a Deputy/Assistant Director or a District Employment Officer.

### 2.3.3  Computerisation

The Labour and Employment Department (LED), which maintained their system in FoxBASE till 2009, decided to move to a web-centric platform so as to link all DEOs in the State. Electronics Corporation of Tamil Nadu (ELCOT) was appointed the nodal agency for the project titled "Project Empower". Between 2008-09 and 2014-15, the GoTN sanctioned ₹ 7.98 crore for the project towards purchase of hardware, development of software, Tamil Nadu State Wide Area Network (TNSWAN) connectivity, manpower requirement, procurement of additional servers, security auditing, recurring cost for Annual Maintenance Contract (AMC) and supply of consumables etc. Out of ₹ 7.98 crore, ₹ 7.01 crore was released to ELCOT to implement the project (cent *per cent* advance payment) during the period 2008-15. ELCOT spent ₹ 5.03 crore on the project and a sum of ₹ 1.98 crore remained unutilised with them (March 2015). The 'Project Empower' System has been developed with Java J2EE as front-end and PostgreSQL as back-end database. As of March 2015, ₹ 0.58 crore was spent for development of application software.

Registration for employment, renewal of registration (once in three years), addition of qualification etc., can be done by the candidate by visiting DEOs or

through on-line mode and the captured data gets stored in the servers placed at National Informatics Centre, Chennai.

### 2.3.4 Objectives of Computerisation and Networking

"Project Empower" consisting of nine modules detailed in **Appendix 2.9,** was to be completed within two years from the date of signing of the agreement (May 2009) i.e. May 2011.

The objectives of computerisation and networking were to:

➢ allow online registration with DEOs, online updation, online renewal of employment registration for job seekers;

➢ develop data bank of highly qualified candidates from the live register of DEOs;

➢ allow private sector employers easy access to the database to fill vacancies arising in their establishments;

➢ provide online information on application deadlines, hot track and future trend of employment;

➢ facilitate manpower planning and analysis through effective implementation of Employment Market Information; and

➢ promote employability of students and job seekers through vocational guidance.

### 2.3.5 Scope of audit and methodology

The Information Systems (IS) audit covered only two modules *viz.* Registration and Vacancy Modules, out of the nine modules, since only these modules were completed by the developer so far (March 2015). The IS audit covered the period from 1 January 2011 to 4 December 2014. Apart from scrutiny of records/ files maintained at the Directorate of Employment and Training (DET), examination of data pertaining to the entire State was carried out through Structured Query Language queries and Computer Aided Audit Techniques (CAATs). The working of the two modules was assessed in eight DEOs[32] selected through random sampling. The audit objectives were discussed with the Secretary to Government, Labour and Employment Department in an Entry Conference held on 3 February 2015 and the findings of audit were discussed with the Secretary in the Exit Conference held on 1 September 2015. Replies wherever received have been taken into consideration while finalising the audit findings.

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[32] Chennai, Coimbatore, Dindigul, Pudukottai, Salem, Thiruvarur, Tiruchirappalli and Villupuram

## 2.3.6 Audit Objectives

Audit objectives were to assess whether:

➢ the application software was functioning effectively towards achieving the intended objectives;

➢ the business rules were properly mapped in the application software; and

➢ Information Technology systems were effectively monitored by the top management

## 2.3.7 Audit Criteria

The IS audit was benchmarked against criteria derived from the following sources:

➢ Instructions issued by GoTN in the form of Government Orders/Circulars.

➢ Instructions issued by the Directorate of Employment and Training in the form of Proceedings.

➢ Best IT Practices followed.

## Audit Findings

The audit findings are grouped under General Controls, Application Controls and Monitoring and brought out in the succeeding paragraphs.

## 2.3.8 General Controls

### 2.3.8.1 *Delay in completion of modules*

The development of the application software consisting of seven separate modules[33] was entrusted (May 2009) to M/s. Emergys Software Private Limited at a cost of ₹ 11.97 lakh. Subsequently, two more modules[34] were also entrusted to the firm at a cost of ₹ 6.24 lakh (September 2009). The Candidate Profile module was put up for User Acceptance Test (UAT) (May 2010) and it was launched and dedicated to public in September 2010. Due to sudden hike in load and software issues, the application could not be accessed by public and departmental users. The developer could neither address the application and database issues nor come up with a solution to arrest the frequent disruption of the website. But the firm attributed (February 2011) inadequate testing of the data migration process, enormous pressure placed on the implementation team to complete the task within a short span and insufficient testing of application

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[33] Candidate profile module (Registration module), Employment Exchange module (Vacancy module), Employment Market Information module, Administration module, Unemployment allowance module, Human Resource module, Budget and Accounting module.

[34] Vocational guidance module, Grievance Redressal module

codes for production level performance to the poor performance of the application software.

ELCOT terminated (February 2011) the contract with the developer and awarded the task of development of all the modules afresh to M/s. Onward e-Service Limited, Chennai, the L2 firm. An agreement was signed (March 2011) by ELCOT with the firm for development of all modules at an all-inclusive cost of ₹ 13.87 lakh, to be completed within two years from the date of signing of agreement. Though the firm was required to complete all modules before March 2013, the firm had so far (March 2015) completed the "Registration module[35]" and "Vacancy Module[36]" only (gone live). The other seven modules were still in the initial stages/development/testing stages even after two years (March 2015) beyond the prescribed deadline (March 2013). Of these, one of the modules *viz.,* Employment Market Information Module, development of which was commenced in October 2012, is still in roll out stage due to non-freezing of the requirements by the department.

Due to non-implementation of another module *viz.,* Unemployment Allowance (UA) module, the entire process had to be carried out manually. The manual process is initiated by maintaining a separate dossier for each candidate which contains the candidate's application, a copy of employment registration card, copies of educational qualification certificates and a copy of income certificate issued by the Tahsildar on the annual income of the family. Name of the candidate, Registration Number, date of application, next renewal date, date of attainment of maximum age limit, etc., were written in the front sheet of around 3,000 dossiers in each DEO. All the dossiers were manually checked (during each quarter) for eligibility and on obtaining the approval of the DEOs the details of the eligible candidates were sent to the Treasury for payment of UA to the eligible candidates.

Scrutiny of records revealed that payment of UA to ineligible persons amounting to ₹ 12.99 lakh was made in five test-checked DEOs as detailed in **Appendix 2.10**.

Audit observed from the records produced that no effective steps were initiated by the department to ensure completion of development of the rest of the modules. Though the agreement with the developer provided for recovery of liquidated damages up to two *per cent* on the contract value, no penalty had been imposed against the firm so far.

### 2.3.8.2 *Non-establishment of Disaster Recovery site*

GoTN approved (December 2013) a revised comprehensive proposal for ₹ 4.90 crore for purchase of additional servers, hardware, AMC (for fourth and

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[35] Registration module had been developed to register all the fresh candidates either through online mode or in the DEO's office

[36] Vacancy module had been developed which is used for generating vacancy list for employers and also for sending the short listed candidates selected through system on the basis of inputs received from the Employer.

fifth years), Disaster Recovery (DR) setup, data migration, application software, on-site support, contingency and consultant charges etc., and sanctioned a one-time capital expenditure of ₹ 1.99 crore and recurring expenditure of ₹ 0.97 crore for the financial year 2013-14. The sanctioned amounts were released (February 2014) to ELCOT to meet the expenditure for 2013-14. The capital expenditure of ₹ 1.99 crore included ₹ 50 lakh proposed for establishment of a disaster recovery site. It was mentioned in the proposal that the DR setup was proposed to be installed at the DET in order to maintain a backup of the employment database in case of any data loss due to unforeseen contingencies or natural calamities. The technical infrastructure like minimum servers with UPS and bundled bandwidth of 8 mbps of TNSWAN were included under the component. It was also indicated that the DR site (servers) could also be used as a staging server for testing and training purposes. The very purpose of establishing a DR site is that in the case of any eventuality in the original site, the DR site should take up the entire functions of the original site without any loss of time. However, the proposed DR site is yet to be established (March 2015), though funds were released to ELCOT in February 2014 itself.

The Department replied (April 2015) that steps were being taken to deploy the newly procured servers and that study for DR setup was going on.

### 2.3.8.3    *Excess release of ₹ 59 lakh to ELCOT for application software*

GoTN sanctioned and released ₹ 5.02 crore (₹ 2.90 crore in January 2008 and ₹ 2.12 crore in August 2010) which included ₹ 58.83 lakh towards development of application software. The funds were released to ELCOT being the nodal agency. After incurring an expenditure of ₹ 21.35 lakh on development of software, ELCOT had an unspent balance of ₹ 37.48 lakh. In addition, based on DET's revised proposal (April 2013), GoTN approved (December 2013) ₹ 4.90 crore for additional servers, hardware, DR setup, data migration, application software, etc., including ₹ 59 lakh for development of application software.

Thus, the Department without taking into cognizance the unspent amount of ₹ 37.48 lakh, also released ₹ 59 lakh to ELCOT in February 2014, which is unwarranted. The break-up details of expenditure relating to application software were not furnished to audit.

In reply, the Department (March 2015) has merely drawn reference to year-wise release and expenditure details of the project without furnishing the break-up details.

## 2.3.9  Application control

The department migrated to a web-centric platform with PostgreSQL as the back-end database in September 2010. The legacy data which was maintained in FoxBASE system was also migrated to the new system. Since the primary functions of the department include registration of job seekers, their renewal and nomination of eligible candidates to the employers (based on the request

received), the data is critical. Any error in the data will have a direct bearing on the selection process of the candidates.

The database, as on 4 December 2014, was provided to audit for examination purposes. Examination by audit disclosed that the application software lacked vital validation (input/process) controls leading to many types of errors in the database which resulted in incorrect selection of candidates through Vacancy Module.

### *2.3.9.1 Selection of candidates through Vacancy Module*

The Vacancy Module was introduced and rolled out in February 2012 with a view to select the eligible candidates through the computer system. This module (integrated with candidate profile module) reflects the basic functionality of the department. The module was introduced mainly to improve efficiency, transparency, eliminate manual intervention and to reduce the time taken to select the eligible candidates based on their seniority for the requisite qualifications from the database. Requests were received periodically through correspondence by DEOs/PEEOs from employers for selection of eligible candidates from the database of the department. Such employers also communicate to the DEO/PEEO the nature of post, age criteria, qualifications, crucial date for reckoning the age limit, whether priority or non-priority candidates, caste details etc. These inputs were fed by the DEOs/PEEOs concerned in the computer system and the selection process was run so as to generate the list of eligible candidates from it. The DEOs were ultimately responsible for the selection of candidates made through the computer system. The lists of selected candidates were communicated by the DEO concerned to the employer for further action at his end. The employer has to communicate the results of the interview to the concerned DEO in order to enable him to move "Placed" flag in the database for candidates who were appointed so that such candidates do not figure in the subsequent selection process run through the system.

During field visit to eight DEOs, audit conducted a system study of the selection process and also examined 17 cases (selected through random sampling method in the test-checked DEOs) to ensure whether the outputs generated from the system were correct. The following observations are made:

### (a) Large-scale manual interventions in selection process

In all the eight DEOs visited by audit, it was noticed that the list of candidates generated from the vacancy module was exported to MS-Excel for manual tagging of the ineligible candidates. The final list was arrived at based on the ratio adopted for each post and the list was communicated to the employer. A list of six cases of selections made, wherein large-scale manual intervention was made is given in **Appendix 2.11**.

The reason for large-scale manual intervention was inability of the application software to handle the following business rules/situations:

(i) Age relaxation to below Secondary School Leaving Certificate (SSLC) candidates: Candidates with qualification below SSLC are given age relaxation

of one year on regular renewal up to a maximum of five years provided such candidates acquire no additional qualification. The application software does not handle the above situation due to which candidates with less than SSLC qualification but with additional qualifications were also included in the "Selection List".

(ii)     Inability to handle order of Priority: The selection of candidates is based on two important criteria *viz.*, "Priority Selection" or "Non-Priority Selection". Under Priority Selection of candidates, the candidates are to be selected according to the order of priority[37]. Audit found that the system could not handle the situation and the selection list generated from the system is not on "Order of Priority" of the candidates but based on the "Seniority"[38] of the priority candidates. Further, the system could not handle the order of priority applicable to Central Government/State Government/Quasi Governments also.

(iii)     Inability to handle apprenticeship certificate holders: The National Code for Occupation (NCO) 87310 and 87311 represent "Sheet Metal worker" and "Sheet Metal Worker - NAC[39]" respectively. It was observed that if a selection process is run in the computer system, where the requirement is only "sheet metal worker" (NCO – 87310), the computer system selects the candidates with NCO 87311 also. In the Selection Module Screen, the user can opt for NCsO with "Consider all the Selected NCO" or "Consider Any one in Selected NCO" only. Due to this, the list generated would have candidates with either of the NCsO opted / candidates with all the NCsO opted respectively. The user does not have option to filter any NCO *viz.* 'Not including' option. Due to the above issue, the system does not filter the candidates who have undergone apprenticeship training and therefore, DEOs were forced to tag the candidates with 87311 NCO manually.

(iv)     Other issues:

➢     The system does not assign the relevant upper age limit for priority candidates like destitute widow (35 years), (Ex-servicemen – OC (48)/ Others (53)). Similarly, the system could not assign the appropriate age relaxation applicable to reserved candidates i.e. SC (Arunthathiyar)/ ST/SC (35 years) and MBC/BC/BC (Muslim) (32 years) when they were considered under "General Turn/Non Priority" category in State Government Departments. To overcome these issues, the input for the age limit was given as 57 years in 9,212 cases out of 35,030 vacancy IDs during the selection process.

➢     For selection of candidates based on educational as well as technical qualifications such as computer course etc., the system could not list out candidates with both the qualifications since the user can opt either

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[37]     Sequence in which type of priority to be considered for selection: (a) Destitute widow (b) Inter-caste marriage (c) Ex-servicemen, differently abled, etc., besides community based reservation i.e. SC (Arunthathiyar) /ST/SC/MBC/BC/General qualification, seniority, etc.

[38]     Seniority is date of registration of particular qualification of a candidate

[39]     National Apprenticeship Certificate

for "Consider all the Selected NCO" or "Consider Any one in Selected NCO" only.

➢ There was no provision in the selection module to filter "Second language" or "Percentage of Marks" of candidates though provision has been given to capture these data. This led to inability of the system to handle the specific requests from employers.

➢ An examination was conducted in audit to see the extent of the number of candidates generated from the computer system against the "input ratio" adopted and given as input before running the selection process. Examination revealed that out of 35,030 employer requests received and processed through the system, the system had generated an elongated list in 4,762 requests, in excess of the ratio given as input. Generation of excess list in the eight test-checked districts is given in **Table 2.18**.

**Table 2.18 : Generation of excess list**

| Range of elongated list (In percentage) | No. of requests |
|---|---|
| 0-50 | 2,230 |
| 51-100 | 862 |
| 101-200 | 697 |
| 201-300 | 289 |
| 301-500 | 254 |
| More than 500 | 430 |
| **Total cases** | **4,762** |

To cite an example, for vacancy ID 'ARD2014SG00000077' against the five posts requested by the employer with vacancy ratio of 1:20, the system has generated a list of 180 candidates instead of 100 candidates.

Audit observed that the software was not tested fully before roll out of the application software, to ensure that it handles all the above business rules/situations as contemplated through various Government Orders for selection of candidates. Due to the above failure, the DEOs were forced to generate excess list from the module and manually tag from the list such of those candidates who were not eligible for selection based on the requirements and eligibility criteria received from the employer.

The Department replied (March 2015) that earnest efforts have been made to resolve all the objectives in a single cycle; however, testing the software under all combinations and inputs and preconditions (initial stage) is not feasible, even with a simple product. The Department further stated that only after number of trials and error corrections, the software would be refined and that there was dearth of experienced staff for the same. The Department assured that the observations of audit were being taken into consideration and necessary action would be taken to rectify the defects.

The reply is not acceptable since the defect exists even three years after the roll out in 2012.

**(b)      Errors in selection of candidates**

Every employer communicates his requirement for selection of eligible candidates to the respective DEO along with the eligibility criteria to be adopted for selection of candidates.  The input parameters pertaining to the candidates such as qualifications which are identified by NCsO, community, age, whether Priority or Non-Priority candidate, crucial date for reckoning the age and profile status etc., are vital for generating the list.  Therefore, it is the responsibility of the DEO concerned to ensure that all the required parameters, as sought for by the employer, were correctly entered in the computer system so that no eligible candidate would be left out due to omission of entering any vital information.

Audit examined 17 selection cases in the test-checked districts and found that the selection list generated by the system was incorrect due to errors in input/process such as order of priority not handled by system, no provision for selection by excluding NCO (Apprenticeship training), incorrect assignment of 'dead' profile status and absence of provision for selection based on percentage of marks and incomplete migration of legacy data.  Out of the 17 cases, in eight cases the DEOs concerned accepted the observations of audit and in eight cases, the reply furnished by the DEOs was not acceptable for the reasons mentioned therein (**Appendix 2.12**).  In one case, the reply is awaited from the department.

From the above, it is evident that the application software is yet to achieve its envisaged functionality due to (a) inability of the software to handle some important business rules leading to large-scale manual intervention in the selection process and (b) input process errors coupled with data migration issues in test-checked cases.

### *2.3.9.2      Errors in the data impacting the selection process of eligible candidates*

The selection of candidates is done in the software through Vacancy Module.  This Vacancy Module has been integrated with Registration Module in the system and both are inter-linked.  Any error/omission/mismatch etc., present in the Registration database would have a direct impact on the selection process of the eligible candidates.  In other words, the eligible candidates may be left out from the selection process or ineligible candidates would be selected due to absence of process control/referential integrity[40] in the system.

**(a)      Absence of NCO/Seniority date for 1.47 lakh registrations**

In the database, the profile of the candidate such as registration number, name of candidate, date of birth, date of registration, sex, caste, community, family card number, profile status etc., are stored in Candidate Profile table.  In Candidate NCO table, the registration number of the candidate, NCO and Seniority date is available.  Both these two tables are inter-linked and every registration number

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40      Referential integrity is a relational database concept in which multiple tables share a relationship based on the data stored in the tables, and that relationship must remain consistent.

available in the Candidate Profile table should have at least one NCO in Candidate NCO table.

Out of the 1,80,25,500 registrations in the Candidate Profile table, 2,81,653 registration numbers did not figure in Candidate NCO table, of which 1,46,397 registrations were made during 2011-14. Due to non-availability of NCO/Seniority date, these registrations were not considered in any of the selection processes as seen from selection details table.

The Department replied (March 2015) that a candidate while registering his/her highest qualification at the time of initial registration entering more than one qualification, only NCO for the highest qualification will be allotted. Eg. SSLC and HSC qualification, NCO is available only for HSC (X0115).

The reply of the department is not pertinent since the contention of audit is that without any information on qualification and date of seniority, the candidate cannot be considered in any of the selection process carried out by the DEO. Therefore, existence of these 1,46,397 registrations in the computer system without the vital information due to incomplete registrations/ incomplete data migration only proves that the application software lacks referential integrity, resulting in no scope for selection for these registrants in future as well.

**(b)     Incorrect profile status of candidates**

In the Candidate Profile table, the column "profile status" indicates whether a candidate is 'live'/'dead'/'placed'/'active'/'re-registered' in the database. Every candidate should renew his registration once in three years from the date of his/her registration to remain 'live' in the database for possible selection for employment. In the database, a candidate is considered as live, if his/her profile status is 'A' or 'L' or 'R'[41]. If the candidate fails to renew the registration within the grace period[42], he/she is moved to 'Dead' status from 'Live' and assigned with 'D' flag in the database.

Examination of the data relating to Registrations done upto 4 December 2014 disclosed the following -

➢     In 2,777 records with live profile status, though the expiry dates of these registrations were before 1 October 2014, the system failed to assign "Dead" status.

➢     17,341 records were assigned 'Dead' Status, though the difference between the expiry date and date of registration was less than 1,096 days (three years) during the registration period from 2011 to 2014.

➢     491 records have 'Dead' profile status though their expiry dates are later than 28 February 2015. These candidates should be "live" in the database.

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41      A-Active ; L –Live; R-Re-registered

42      Grace period of two months

Due to process error in the system, the system failed to assign the correct profile status in the above cases. In all these cases, ineligible candidates may be selected or eligible candidates may be left out during selection process of candidates. Reply of the Department is awaited (June 2015).

**(c)      Differently abled candidates with profile status "dead"**

Government, while implementing the integrated computerised system decided (September 2010) that all the differently abled (DA) candidates were exempted from renewing their registration. In the computer system, the details about all the "Priority"[43] candidates, including DA candidates were stored in the 'Priority_Details' data table.

Examination of "Priority_Details" table and "Candidate_Profile" table disclosed that out of 1,41,405 DA candidates, 20,199 candidates were assigned 'Dead' profile status by the system in Candidate_Profile table due to non-adoption of the above decision in the application software. Hence, these 20,199 candidates would not have been considered during selection process of DA candidates based on employers' request.

The Department replied (March 2015) that blind and deaf candidates were exempted from renewal as per Government Order (September 2010) and 'Ortho' candidates were exempted only from 2010. Hence, the ortho candidates who got registered before 2010 were with 'D' status in the data.

The reply of the Department is in contravention of the instructions of the Government contained in the Order mentioned above. Further, re- analysis in this regard revealed that in 176 cases, differently abled candidates were assigned 'Dead' status even after September 2010.

**(d)      Incorrect registration of candidates with professional qualifications in DEOs instead of in Professional Employment Exchange Offices**

The candidates possessing professional qualifications need to register the same at Chennai PEEO or Madurai PEEO only. Hence all the DEOs in the State were mapped with Chennai PEEO (CHP) or Madurai PEEO (MDP) for registration of professionally qualified candidates through online mode or through DEOs. The online system should not permit registration of professional qualification in exchanges other than CHP/MDP. In other words, each candidate with professional qualification should have registration numbers with exchange prefix "CHP/MDP".

A check of Candidate_Profile table, Candidate_NCO table and NCO_reference table[44] in conjunction with each other disclosed that there were 41,894 registrations of candidates with 'Professional qualifications' which were made with exchange code prefix other than CHP/MDP incorrectly due to process

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[43]      Inter-caste marriage; Ex-serviceman; Destitute widows; Land acquisition case; Differently abled, etc.

**44**      Contains the description of each NCO with Exchange type i.e. PEEO or General

failure in the system. All these registrations had taken place after 01-01-2011 i.e. after the introduction of new on-line system. It was also verified that these 41,894 registered candidates with professional qualifications were not considered in any selection process run by Chennai or Madurai PEEOs as observed from Selection Details table. Reply of the Department is awaited (June 2015).

**(e)     Discrepancy in "Seniority date" of NCO**

The NCO with Seniority date of a candidate is captured in Candidate NCO table and there may be multiple NCsO for a candidate depending upon his/her qualifications. Any updations or corrections to "Seniority date" are stored in NCO_Candidate_History table, wherein the old seniority date and new seniority date is available.

The Selection details table contains the selection details of candidates identified by a unique number (Vacancy ID) with other fields such as Candidate Id, NCO, Seniority, Qualification, Selection Status, Remarks, etc. The table also contains the NCO and seniority date of each selected candidate. On no account, the seniority date of a NCO existing in Selection details table should differ from that in Candidate_NCO table. In Vacancy details table, the inputs received from each employer for selection and the date of notification of the employer request for selection process are captured.

Audit examination of data disclosed that in the eight test-checked districts, there was discrepancy in "Seniority date" between "Candidate_NCO table" and "Selection details table" and no audit trail for these records is available in NCO_Candidate_history table. The details regarding number of instances where such discrepancy existed are given in **Table 2.19**.

**Table 2.19 : Discrepancy in seniority date**

| Sl.No | District | No. of cases with different seniority date between Candidate_NCO table and Selection details table | Seniority Date greater in Candidate_NCO table | Seniority Date lesser in Candidate_NCO table |
|-------|----------|----------|----------|----------|
| 1 | Coimbatore | 356 | 200 | 156 |
| 2 | PEEO, Chennai | 40 | 21 | 19 |
| 3 | Dindigul | 718 | 421 | 297 |
| 4 | Pudukottai | 181 | 119 | 62 |
| 5 | Salem | 594 | 275 | 319 |
| 6 | Trichy | 346 | 214 | 132 |
| 7 | Tiruvarur | 391 | 305 | 86 |
| 8 | Villupuram | 806 | 422 | 384 |
|   | **Total** | **3,432** | **1,977** | **1,455** |

➢     It is seen from **Table 2.19** that 1,977 candidates whose seniority dates are lesser in the selection details table stand to gain in getting employment, while the other 1,455 candidates stand to lose, as the selection of candidates is done based on the details available in the Candidate_NCO table.

➢ In the Candidate_NCO table, a candidate should not have any duplicate registration number/NCO/Seniority date. It has been observed that 1,17,021 instances have same Registration Number and NCO with number of records ranging from two to five. Out of this, 4,289 instances have same Registration Number, NCO and Seniority date with records ranging from two to four.

➢ It was noticed that 1,12,632 instances have same Registration Number and NCO but different Seniority date with number of records ranging from two to five.

➢ A candidate can be selected any number of times till his placement, based on his age, profile status, qualifications and employers' requests. On scrutiny of Selection_details table, it has been observed that 968 instances (1,939 records) have same Candidate Id, same NCO but with different seniority dates during selection for different Vacancy_Id.

The system has been designed to pick the NCO/Seniority date available in the Candidate_NCO table during selection process. Existence of more than one "Seniority date" for an NCO for a candidate in the database only proves that the integrity of the database is questionable, since every selection process run through the system is based on "Seniority of the Candidate" with reference to that NCO. However, the department replied (March 2015) that regarding duplication of records, the software developer has requested to furnish the duplicated records and it had been forwarded to field offices for data purification which would be set right in due course.

### 2.3.9.3 *Errors noticed in the profile of candidates*

Input controls and validation checks ensure the data entered is complete, accurate and reliable. Ineffectiveness of these critical control checks resulted in the following inaccuracies in the database.

In the database, the profile of the candidates such as registration number (16 digit number), name of candidate, date of birth, date of registration, father's name, gender, caste, community, family card number, profile status, etc., were stored in Candidate Profile table. Examination of the above table disclosed the following types of errors due to lack of input control in the system which are explained as below.

### (a) Deficiencies in Registration number

The "Registration Number" allotted to candidates after registration process in the software is system-generated and of fixed length with 16[45] characters which is generated DEO-wise annually from January to December and gender-wise. In the 'Candidate Profile' table there are two separate mandatory columns *viz.*

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[45] Three characters – Exchange Code of registration, four characters - Year of registration, one character – Gender of the candidate and eight characters is the sequential number

'DEO Code' and 'District' to identify the registration. The discrepancies noticed are given in **Table 2.20**.

**Table 2.20 : Details of types and number of discrepancies**

| Sl.No. | Type of discrepancy | No. of cases |
|--------|---------------------|--------------|
| 1 | Registration Number less than fixed length of 16 characters | 7,117 |
| 2 | Out of the above 7,117, without data in Exchange Code column | 7,095 |
| 3 | Out of the above 7,095, 'Live' registrations | 1,230 |
| 4 | Out of above 7,095, without data in Exchange Code and District columns | 722 |
| 5 | Out of the above 722, 'Live' registrations | 708 |
| 6 | Out of 7,095 – Registration Number in the format of "Gender + Year of Registration + 8 digits" | 5,999 |
| 7 | Out of 7,095 – Registration Number in the format of "Year of Registration + Gender+ 8 digits" | 1,096 |

It has been provided in the User Manual that the system validates whether the mandatory fields were entered. If any of the mandatory fields were left blank, the system returns an alert message to enter the details in the mandatory field before saving the registration process. It was also observed that the columns 'Exchange code' and 'District' are mandatory fields. However, due to absence of input control in the system, the system allows to save the registration process, even without entering the mandatory fields.

**(b)    Input entries**

The Community ID, caste and the Community Certificate Number columns, gender, family card number and date of birth are 'mandatory' fields in the software and these are vital information required for selection process of candidates based on community reservation in employers' requests. Date of Registration is a system generated date shown in database. Audit noticed discrepancies in input of these fields during 2011-14 as given in **Table 2.21**.

**Table 2.21 : Discrepancies in input of fields**

| | Name of the field details | No of records with deficiency | Records with live status |
|--|---------------------------|-------------------------------|--------------------------|
| **Community Certificate** | | | |
| 1 | Without Community Details | 13,561 | 1,830 |
| 2 | No Community and Caste details | 13,472 | 1,755 |
| 3 | Without Community Certificate Number | 36,41,572 | 25,09,000 |
| 4 | Incorrect Community Certificate Number (i.e 3 or less number of characters) | 7,24,916 | 6,22,009 |
| **Gender** | | | |
| 1 | 'Gender' left blank | 288 | 125 |
| 2 | 'Gender' in Registration number differs from 'Gender' column (due to non-reflection of change made in the 'Gender' column in the Registration number) | 680 | 314 |

| | Name of the field details | No of records with deficiency | Records with live status |
|---|---|---|---|
| **Family card number** | | | |
| 1 | No data in the 'family card number' field | 4,05,383 | 43,871 |
| **Date of Registration** | | | |
| 1 | No data in 'date of registration' but, date of expiry of registration available | 8,104 | 1,774 |
| 2 | 'Date of registration' earlier to 'date of birth' | 8,420 | - |
| 3 | 'Date of registration' earlier than1.1.1963 (or) later than 4.12.2014 | 4,789 | - |
| **Date of Birth** | | | |
| 1 | Blank entry in 'date of birth' field | 418 | 241 |
| 2 | Invalid entries (year before 1901) | - | 446 |
| 3 | Registration of candidates aged 5 to 10 (born between 2004 and 2010) | 1,819 | 206 |
| 4 | 'Date of birth' and Date of Registration are same | 2,531 | 228 |
| 5 | Age less than 14 years but completed SSLC | 3,090 | - |
| 6 | Age less than 16 years but completed HSC | 4,505 | - |
| 7 | Age less than 19 years but completed degree | 1,256 | - |

Considering the fact that information in these columns were stated to be mandatory fields in the user manual, due to lack of input control these vital fields could be left blank, thus rendering the data unreliable. The Department replied (March 2015) that the defects noticed and identified by the audit team due to lack of input control in the system would be taken care of in consultation with the software developer in order to avoid such lapses in future.

**(c)     Multiple Registrations**

The software should not allow a candidate to do multiple registrations within a district or register his candidature in more than one district as per the policy of the Department. Hence, no duplicate registration of candidate should exist in the Candidate Profile table.  However, a candidate could have two registration numbers if he is in possession of "General" as well as "Professional" qualifications, since "General" qualifications were registered in the concerned DEOs while "Professional" qualifications were registered either in Chennai or Madurai Professional Employment Exchange Office. Existence of multiple registration numbers within one district or in more than one district for a candidate would lead to incorrect selection of candidates during "Selection Process" apart from denial of opportunity to other eligible candidates.

Though the Vendor, M/s Onward e-Services had proposed the usage of de-duplication tool, it had not been implemented as approval had not been given by the user department.

Further analysis revealed that there were 78,528 duplicate/multiple registrations ranging from 2 to 102 and in one instance with 2,850 duplications in the table, after excluding all the registration numbers relating to PEEOs in Chennai and Madurai. Following discrepancies are noticed by audit.

➢ Multiple Registration of a candidate in different DEOs ranging from two to six districts involving 13,825 Registrations was noticed. Due to lack of validation control in the system, the system allows these multiple registrations. These multiple registrations entail undue advantage to these 13,825 Registrations since these candidates enjoy the possibility of getting selected in multiple selections carried out by different District Employment Offices.

➢ There were 64,741 records of multiple registrations within a district.

The application software should have been designed in such a way by adopting a combination of name of the candidate, date of birth, father's name and family card number as key field to arrest the capture/registration of multiple registration by a candidate. However, such critical input control is not available in the software. Even the Family Card Number (a unique identification number), though a mandatory field as per the User Manual, could be skipped without entering the data.

It was noticed during the test-check of DEOs that the system was unable to modify the category of a 'general' candidate wrongly registered as 'DA' instead of 'general', necessitating fresh registration. Similarly, there was no provision for recovery of password of candidates registered online, necessitating fresh registration. These were causes for multiple registrations.

The Department replied (March 2015) that the records identified by audit as duplicate/multiple registrations have been examined and necessary action will be taken to sort out the issues by adding de-duplication tool in future.

**(d)      User identity not captured – absence of audit trail**

Every single addition, deletion or modification to an existing data carried out in any table should be captured in the respective table in the form of audit trail. To ensure integrity of the data, the details about the user who carried out the changes, updation date with time should be stored in the relevant table. This provision helps in tracking the changes made in the database. The developer had stated in the User Manual of "Registration module" that audit trail had been enabled. However, examination of the following important tables disclosed that there is no audit trail in the system in the number of records indicated against each table as given in **Table 2.22**.

**Table 2.22 : Absence of audit trail**

| Sl.No. | Name of the Table | No. of records with 'Updated by' information left blank |
|--------|-------------------|-------------------------------------------------|
| 1 | Candidate_Profile | 4,23,296 |
| 2 | Candidate_Address_History | 15 |
| 3 | Candidate_Caste_History | 2 |
| 4 | CandidateProfileStatusHistory | 23,70,219 |
| 5 | NCO_Candidate_History | 328 |
| 6 | Priority_Details | 1,93,492 |
| 7 | Qualifications | 1,49,65,263 |
| 8 | Qualifications_Change_History | 1,01,714 |
| 9 | RenewalStatus | 1,784 |
| 10 | Vacancyid_Process_History | 125 |

The above status only proves that the integrity of the data is not ensured. The department replied (March 2015) that during data migration this has been omitted. When it is found necessary, input entries fed by the user have been taken care of and logs thereon have been fed into the system. The Internet Protocol address, user details and time has also been captured in the database now.

The reply of the Department is not acceptable because an audit trail is system generated and stored in the relevant tables automatically whenever there is any addition, modification, deletion to any record made by a user, provided such provision to capture the audit trail has been written in the coding itself. Further, all the above cases were found only after 2011. Hence, the reply of the Department that this has been omitted during data migration is not correct.

**(e)      Inaccuracies in Qualifications table**

The qualifications table have fields such as Qualification code, Qualification, Board, Year of Passing, Total Marks, Percentage, Certificate Number, Major subject and Ancillary subject. The field Qualification Code contain values like Below SSLC, SSLC, HSC, Degree and 'TECH' and the field 'Qualification' specifies the courses for various qualifications *viz.* 'GA'-Graduate Arts for Degree. Examination of the table disclosed that due to lack of input control in the system and also deficiency in the software, different types of errors were found in audit as detailed in **Appendix 2.13.**

The Department replied (March 2015) that the defects noticed and identified by audit with respect to input control in the system would be taken care of in consultation with the software developer so as to avoid such lapses in future.

**(f)      Information on placement**

On receipt of employers' requests, the selection process of eligible candidates is run in the software based on the requirements and rules prescribed. The list of selected candidates is sent to employer, who on completion of interview sends a list of placed candidates, rejected candidates and absentees. Based on the list, the user updates the candidate's profile status as "P" with additional information in Placed remarks column (details of placement - Vacancy_Id, date).

The above procedure involves manual intervention for updating the profile status of the candidate on his placement. In a computerised environment, the integrity of the database could be ensured by the following procedure. When candidates are shortlisted based on employers' requests in Selection Details table, profile status should be updated to 'P' in Candidate_Profile table on receipt of the placement information received from the employer, by linking the Vacancy ID from selection details table.

In the absence of the above procedure, examination of Candidate Profile table disclosed that

➢ Out of 88,622 records with profile status "P", only 49,685 records have information about the placement in the field 'Placed Remarks'. The remaining 38,937 records have no such information.

➢ Out of the 88,622 records, 62,166 records have no corresponding entries in 'Selection Details' table though they have been placed.

➢ These 88,622 records have no corresponding entries in 'Candidate Vacancy Final' Table also.

The above discrepancies only prove that the database lacks referential integrity. 'P' flag should be moved to the Candidate profile table, only after ascertaining existence of the candidates in the 'selection detail' and 'candidate vacancy final' data tables.

The Department replied (March 2015) that the placement details effected in the computer system is restricted to regular placement only. It was also stated that placement details of part time, daily wages, consolidated vacancies were not captured in the system. Moreover, for want of result of selection, some details had not been updated. Instructions had been given to capture the profile status ("Placed") along with relevant details, on receipt of selection result from the employers. Further, the software developer had also been asked to clarify the table details, which would be submitted in due course.

The Department's reply is not acceptable since placement details without 'vacancy id' information and date of placement, the authenticity of 'Placed' profile status moved by the DEOs cannot be ensured. No explanation is furnished by the Department with regard to contention of audit that these candidates had no corresponding records in Selection Details table or Candidate Vacancy Final Table.

## 2.3.10 Migration of Legacy data

### 2.3.10.1     *Fresh registration / 'Seniority From' correction*

The process of data migration from legacy system to new system is very critical. It was the responsibility of the developer to whom the task of 'data migration' was entrusted to ensure that each and every record existing in the legacy system got migrated to the new system without any change in the number of records or data stored in them. Audit during field visit to test-checked districts observed that after going online in September 2010, many candidates faced two types of

issues *viz.* non-availability of their registration at all in the new system and incorrect seniority date in their registrations.

Hence, the candidates visit their respective DEOs to rectify the above issues. For this purpose, a Register ('Not Found'/'Seniority From' correction Register) is maintained in all DEOs. The details regarding number of candidates to whom either fresh registrations were made by giving old seniority for their NCO due to non-availability of registration numbers in the new system or the seniority date for NCOs which were found to be incorrect were rectified during the period from 2012 to 2014, are given in **Table 2.23**.

**Table 2.23 : 'Not Found' and 'Seniority From' cases**

| District | No. of Candidates |
|---|---|
| Dindigul | 8,389 |
| Tiruvarur | 36,076 |
| Pudukottai | 6,828 |
| Tiruchirappalli | 20,865 |
| Salem | 19,151 |
| Villupuram | 19,324 |
| Coimbatore | 16,058 |
| Chennai | 13,161 |
| **Total** | **1,39,852** |

The above situation only proves that the procedure adopted for data migration by the developer was not fool-proof, despite allocation of considerable funds and manpower. Even after six years from the initial start of the project in 2009, there were discrepancies in legacy data which are yet to be resolved by the developer. The Department also failed to monitor the situation till date.

DEO, Chennai in reply (March 2015), accepted the audit observations and stated that such cases were being rectified as and when the candidates approach the DEOs office.

## 2.3.11 Deficiencies in the application software

### 2.3.11.1 *Updation of Priority details table*

A candidate can register online or through Employment Exchanges and also update his personal details, educational qualifications and skill details in the same way. Candidates are classified as "Priority" and "Non-Priority" candidates. Priority candidates are given preference in the selection process by the computer system as per the rules in force and employers' requests.

However, for registering as priority candidate, the candidate's priority details need to be verified at the Employment Exchanges (medical certificates, marriage certificates, discharge certificates, etc.,) and updated by the designated staff working in the DEO, who have been given system access privileges to do so. Various details like priority type, type of disability, percentage of disability, date of discharge, date of registration of priority, updated by and updated date are captured at the time of registering a priority candidate. Since priority is a vital parameter during selection process of candidates based on employers' request, it is done only by the staff of employment exchange to prevent misuse and manipulation of data.

Examination of the Priority details table disclosed that the "user id" of many candidates were stored in the field "Updated by" apart from the user id of DEO staff. The reason being that whenever an updation of priority details of a candidate is carried out by the DEO staff concerned by using their user id, the user-id get stored in the field "Updated by" column. Subsequently, if the candidate views their updated profile through online mode, their user id get stored in the Priority details table in the field "Updated by" incorrectly. Deficiency in the design of the software and ineffective audit trail in the system leads to misconception that the updations were carried out by the candidates affecting the integrity of data.

### 2.3.12 Conclusion

Out of the nine modules, only two modules (Registration Module and Vacancy Module) have gone live, six years after the entrustment of the work to the developer. Large-scale manual interventions were made in the selection process due to inadequacies in the Vacancy Module. There were errors in selection lists generated by the Vacancy Module due to errors in input/process/data migration. National Code of Occupation and seniority date in respect of 1.47 lakh candidates registered during 2011-14 were not furnished in the relevant table hampering their selection against vacancies. There were discrepancies in seniority date between two of the tables, hampering the selection process. Discrepancies were noticed in input of fields due to absence of validation controls. Multiple registrations of candidates were noticed. Under these circumstances, Audit could not derive assurance that the candidates were recommended for jobs, in accordance with the rules and regulations in force, through the system.

### 2.3.13 Recommendations

The Department, in coordination with ELCOT, may initiate the following actions to make the project fully functional.

➢ Cleanse the data and ensure its integrity and validate it with an audit trail. Till such time data integrity is ensured, compensatory controls which would ensure that the job lists are in compliance with the rules, are to be put in place.

➢ Coordinate with the developer for completion of Unemployment Allowance and EMI module and ensure its early rollout along with the other pending modules.

➢ Address the lacunae in the Vacancy Module to avoid any manual intervention in selection process.

➢ Address the deficiencies in the Registration Module to avoid multiple registrations

The above points were referred to Government in August 2015; reply has not been received (December 2015).