

F. No.-J11017/6/2016-MGNREGA-VII (Part)
Govt. of India
Ministry of Rural Development
Department of Rural Development
(MGNREGA Division)

Krishi Bhavan, New Delhi
Date: 19th July, 2017

To

The Additional Chief Secretary/ Principal Secretary/ Secretary
Department of Rural Development
(In-Charge of MGNREGA)
All States/UTs.

**Subject: Issuance of Indicative Framework for Case Record/Work File
under MGNREGA-Reg.**

Sir/Madam,

I am directed to forward herewith a copy of the Indicative Framework for Case Record/Work File to be maintained for each work under MGNREGA. It is, therefore, request to take necessary action and ensure the maintenance of Case Record/Work File for each work under MGNREGA based on the Framework.

This issue with the approval of Secretary, Department of Rural Development, Ministry of Rural Development, Govt. of India.

Yours faithfully,

Encl.: As above



(Gaya Prasad)

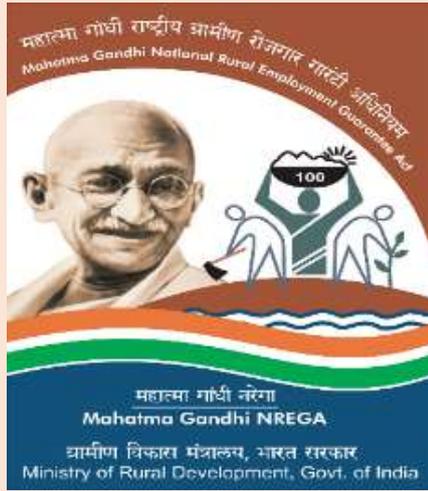
Director, MGNREGA

Phone: 011-23388431

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Copy to:

1. Commissioner, MGNREGA of all the States/UTs.
2. Director (RPS)/Director (SS)/DS (AKS)
3. PPS to Secretary (RD)/PPS to AS (RD)/PS to JS (RE)



Indicative Framework
for
Case Record/ Work File
under
MGNREGS

MGNREGA Division
Ministry of Rural Development
Government of India

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1. INTRODUCTION

Case Record/ Work File is a physical file maintained for each project/ work under MGNREGA. The relevant documents and records are filed into the Case Record/ Work File in a sequential manner. This enables to review, monitor and audit the implementation of the project/ work during implementation stage and also after its completion.

Currently, the States are using different methods of preparing and maintaining the Case Record/ Work File for works under MGNREGA and to bring some uniformity across the country, this indicative framework has been designed and can be adopted with customisation, if needed.

2. STANDARD CONTENTS OF A CASE RECORD/ WORK FILE

2.1. STANDARD LIST OF DOCUMENTS OF CASE RECORD/ WORK FILE

Sl. No.	List of Documents
1.	Checklist of Documents
2.	Copy of the Annual Action Plan/ Shelf of Projects
3.	Copy of Technical Estimate and Design
4.	Technical Sanction
5.	Administrative/ Financial Sanction
6.	Convergence Funds/Inputs, if any
7.	Demand Application Form
8.	Work Allocation Form
9.	Copy of filled e-Muster Rolls
10.	Copy of Measurement Book
11.	Material Procurement Document and Usage
12.	Copy of Wage List
13.	Copies of Wage and Material Payment FTOs
14.	Material Voucher and Bills
15.	Copies of Receipts of Royalty Paid
16.	Photograph of the Project/ Work at three stages-before, during and after
17.	Work Completion Certificate
18.	Muster Roll Movement Slip
19.	Geo-tagged photograph of the Asset (at least one stage)
20.	Copy of Social Audit Report of the work
21.	Other State Specific Documents

The above list is indicative and not exhaustive. States/ UTs can add more documents to Case Record/ Work File based on their State specific practices. Since, the records will be maintained at Gram Panchayat Level, the State/UTs may maintain in its preferred language.

2.2. COVER PAGE

The Case Record/ Work File is to be bound in a hard paper cover to organise the relevant documents related to the project/ work. The cover of the Case Record/ Work File should be used to keep summary information about the project/ work. A suggestive format for cover page of the Case Record/ Work File is attached as Annexure I.

2.3. CHECKLIST OF DOCUMENTS

The first page in the Case Record/ Work File is the page of contents, which includes the checklist of documents to be kept inside the Case Record/ Work File. All the documents are to be properly sorted with reference to the relevant page numbers. This will be the reference point for all documents in the Case Record/ Work File. This would also help in adhering to the processes to be followed under MGNREGA for the implementation and documentation of various elements of the work. A suggestive sample checklist is given in Annexure II.

2.4. COPY OF THE ANNUAL ACTION PLAN/ SHELF OF PROJECTS

As per the provisions under MGNREGA, 2005, each GP prepares Annual Action Plan which includes the list of the works to be taken up in a financial year. The Gram Sabha approves the list of works and submits to the Block/ District for approval. The copy of the approved list highlighting the work (for which the Case Record/ Work File is being opened) along with a copy of the Gram Sabha resolution should be kept in the Case Record/ Work File for reference.

2.5. COPY OF TECHNICAL ESTIMATE AND DESIGN

For each project/ work, preparation of the technical estimate is mandatory. Based on the Technical Estimate of the Work, Technical and Administrative Sanction will be obtained from the competent authority and each Case Record/ Work File shall include the technical cost estimate of the project/ work. A model technical estimate will include the following:

- a. **Cover Page of the estimate:** This will be the abstract of the cost estimate indicating the total estimate, labour estimate, material estimate and expected days for completion of the work.
- b. **Project report:** The project report is a feasibility report of the project/ work. This provides physical, economic, social and environmental feasibility of the work. It includes the process of work implementation and expected benefits to community/ individual beneficiary.
- c. **Detailed estimate:** This will include the detailed description and calculation of the quantity of work in terms of dimension and cost of each item of work based on analysis of rate.
- d. **Analysis of rate:** The Analysis of Rate is calculation of cost of each item of a project/ work, about the prevailing Schedule of Rates (SoRs) of the State. It should also include the amount of royalty to be paid.

- e. **Lead and Lift Statement:** The lead statement reflects the unit cost of each material showing the lead, source of procurement, basic cost, carriage cost and royalty cost. Beyond an acceptable lead/ lift distance/ height, the lead and lift statement also shows the additional labour required for transporting materials/ earth excavation.
- f. **Material statement:** The material statement includes the quantity and types of materials required for construction of the project/ work based on the approved rate under the SoRs.
- g. **Labour abstract:** The labour abstract is the projection of labour requirement for implementation of the project/ work. It provides the number and categories of labour required for the project/ work, such as skilled, semi-skilled and unskilled labour. This should be in an optimum combination of all types of labour to avoid over or under employment of the labour.
- h. **Drawings and Design:** Prior to the preparation of technical estimate, a design of the project/ work should be done to calculate dimensions of each item of work. The dimensions of each item of work are transformed into engineering drawing, which is a graphical language that communicates the ideas and information from the designer to implementer. This will ensure the structural stability of the asset.
- i. **Survey data:** This is the primary and secondary data collected for the preparation of the technical estimate, based on which the design and drawing of the project/ work will be prepared. This should be annexed to the technical estimate to validate the calculations made for the preparation of the technical estimate. Besides, the location of the asset should also be indicated in a map with adjoining/nearby structures.

The technical estimate should also include the cost of standardized Citizen Information Board.

2.6. TECHNICAL SANCTION

The Technical Sanction is an appraisal and approval of the estimated cost of the project/ work. This includes estimated cost of both labour and material component of the project/ work. The technical approval is accorded by the Technical Staff such as Junior Engineer, Assistant Engineer, Executive Engineer, Superintendent Engineer, etc. The technical sanction should also include the total estimated volume of work, labour and material component in reference to the Schedule of Rate (SoR).

2.7. ADMINISTRATIVE/ FINANCIAL SANCTION

The administrative sanction is the approval of work by the competent authority, adhering to the prevailing financial rules of the State. For administrative sanction following documents are prerequisite and should be kept in the Case Record/ Work File.

- a. Copy of the Resolution of Gram Sabha, where the project has been sanctioned.
- b. Copy of approved shelf of projects by the delegated authority.
- c. Copy of approved technical estimate of the work.

2.8. CONVERGENCE DETAILS, IF ANY

Convergence from other schemes or departments includes assistance as part of work execution to enhance durability or post completion for livelihood support, as the case may be. In respect of the project/work, in which funds are dovetailed from other schemes to meet the cost of an identifiable part of the project, a complete project proposal including all project activities and budget will be a part of Case Record/Work File.

2.9. DEMAND APPLICATION FORM

In adherence to the provisions under the Act, two application forms are prepared to be used by the MGNREGA wage seekers to apply for employment under MGNREGA. These application forms are different for the individual households and group of workers applying together. The application form for individual households is at Annexure III (A) and for group of workers is at Annexure III (B). The copies of the application form received from the households will be maintained in the Case Record/ Work File.

2.10. ALLOCATION OF WORK

On receipt of application for employment from the MGNREGA workers, the PO will allocate work to these workers within 15 days from the date of receipt of the application. The work allocation notice includes the details of the project such as its location, name of the work, number of days of employment to be provided etc. A sample format for the work allocation letter to the workers is at Annexure IV.

2.11. COPY OF E-MUSTER ROLL

The e-MR with proper serial number are to be maintained at the worksite for recording of attendance of the workers. No kachha MR (a document which is not authorized or issued by the PO) can be used at the worksite for recording attendance. The copies of the filled in e-Muster Rolls for each muster period of the work, duly verified and certified by the competent authority should be placed within the Case Record/ Work File. In case of any State maintaining paper Muster Roll, the copies of these Muster Rolls should be kept within the Case Record/ Work File.

The recording of attendance of the semi-skilled and skilled workers are done in a paper muster roll. The payment to the semi-skilled and skilled workers are to be made based on the measurement of the outturn of work, as per SoRs and to be billed separately for payment under material component.

2.12. COPY OF MEASUREMENT BOOK

Each work is measured by an authorized technical person to calculate the volume of work done. Based on the volume of work done, the expenditure towards labour and material are calculated. The measurement should be done for each muster period within a project/ work. All measurement of work done should be recorded in measurement book (MB) by the technical person, duly authorised and issued by competent authority. The measurement should be taken within 3 days from the closure of the MR. Appropriate check measurement norms should be adopted by States to ensure that the output and quality of works are done as per the technical and financial estimate. In case of execution of works by the line departments, the official from

the line department who has accorded technical sanction should conduct check measurement after the work is completed.

The photocopies of the filled in pages of the Measurement Book/ print copy of the e-MB (from MIS) pertaining to a particular muster period should be kept inside the Case Record/ Work File.

2.13. MATERIAL PROCUREMENT DOCUMENTS AND USAGE

The quantity of materials required for a project/ work should be part of the technical estimate of the work. The procurement of materials is to be made by authorised person, adhering to the prevailing procurement/ financial guidelines of the State. The procurement processes at each stage of procurement should be documented and kept in the Case Record/ Work File. These documents are quotation call notice, copy of quotation received, comparative statement, approval of rate, purchase order etc. The payment to the contractors/ suppliers of the material should be made against a valid tax bill and quantity of work calculated in the Measurement Book.

2.14. WAGE LIST

The Wage List is generated after the measurement of work for a particular muster period for payment of wages. The copy of the wage list should be kept in the Case Record/ Work File.

2.15. COPIES OF WAGE AND MATERIAL PAYMENT FTOS

The copies of FTOs generated for wage and material payment for each muster period of the work needs to be kept in the Case Record/ Work File. This would enable the implementing officials to know the issues pertaining to the wage and material payments made under the work.

2.16. MATERIAL VOUCHER AND BILLS

For payment to the suppliers/ contractors, who have supplied required materials for the work, bills have to be prepared, indicating the quantity of materials used, per unit price and total amount payable. For the preparation of the bill, material supply vouchers are to be submitted by the suppliers/ contractors. The copies of these vouchers and bills should be kept within the Case Record/ Work File.

2.17. COPIES OF RECEIPTS OF ROYALTY PAID

Copies of receipts of the royalties paid to Government (for example tax paid to the local revenue authority for collection of sand, stone etc.) should be kept inside the Case Record/ Work File. These costs are to be included in the technical estimate of the project/ work.

2.19 PHOTOGRAPHS OF PROJECT/ WORK

For proper verification and validation of the project/ work implemented, photograph of the project/ work should be taken in three stages. First photograph should be taken before initiation of work, second should be taken during the implementation and the final photograph should be taken after the completion of the work. Each photograph should be taken from the same angle and land mark with the date printed over it. While taking the photograph it should also be ensured that the Citizen Information Board for the project/ work is also included in the photograph.

2.20 WORK COMPLETION CERTIFICATE

After the completion of the project/ work the GRS/ Mate/ any other official should submit a work completion certificate to the Programme Officer duly certified by the Technical Personnel. The sample format of the work completion certificate is at Annexure V. The work completion certificate includes the basic information about the work, its code, actual work start and end date, actual expenditure on wage and material components, date of social audit when the asset was audited.

2.18. MUSTER ROLL MOVEMENT SLIP

Timely payment of Wages within 15 days of closure of Muster Roll is an entitlement of MGNREGA workers. Muster Roll Movement Slip will track the process from generation of muster roll to the final payment with the specific dates and the Official/Officer responsible. This will enable to track and highlight the process which delays the wage payments. A format of Muster Roll Movement Slip is at Annexure-VI

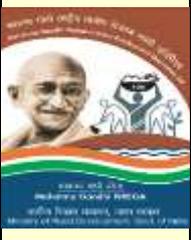
2.21 GEO-TAGGED PHOTOGRAPHS

Ministry has mandated geo tagging of all MGNREGA assets at three stages. Beginning of the work, mid-way and on work completion. At least one Geo-tagged photograph of the MGNREGA asset has to be attached in Case Record/Work File.

2.22 COPY OF SOCIAL AUDIT REPORT (IF CONDUCTED)

Social Audit of works undertaken under MGNREGA are mandatory. Currently Social Audits are conducted at the Gram Panchayat for all the works implemented under MGNREGA for a particular period. The report of Social Audit, if conducted needs to be placed in the Case Record/ Work File pertaining to the work for which the Case Record/ Work File is prepared.

ANNEXURE I: COVER PAGE FORMAT OF CASE RECORD/ WORK FILE

	<h2>Mahatma Gandhi National Employment Guarantee Scheme</h2> <p>State: District:</p>	<p>State Govt. Logo</p>																				
<ol style="list-style-type: none"> 1. Name of the Work: 2. Year of Sanction: 3. Sr. No. of the work in approved Shelf of Work: 4. Location of the work: <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">a. Village:</td> <td style="width: 50%;">b. Gram Panchayat:</td> </tr> <tr> <td>c. Block:</td> <td>d. District:</td> </tr> <tr> <td>d. LA Constituency:</td> <td>e. LS Constituency:</td> </tr> <tr> <td>f. State:</td> <td></td> </tr> </table> 5. Project Implementing Agency: 6. Work Category: 7. Work Start Date: 8. Work End Date: 9. Estimated Cost (in Rs.): <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">a. From MGNREGA Funds:</td> <td style="width: 50%;"></td> </tr> <tr> <td>b. From Convergence, if any (Specify Scheme Name):</td> <td></td> </tr> </table> 10. Expenditure (in Rs.): <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">a. From MGNREGA Funds:</td> <td style="width: 50%;"></td> </tr> <tr> <td>b. From Convergence, if any (Specify Scheme Name):</td> <td></td> </tr> </table> 11. Geotagging of Assets: <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">a. Asset Id:</td> <td style="width: 50%;"></td> </tr> <tr> <td>b. GPS Location:</td> <td></td> </tr> </table> 12. Name of the GRS: 13. Name of the TA/ JE/ BFT: 14. Social Audit Conducted: YES/ NO 			a. Village:	b. Gram Panchayat:	c. Block:	d. District:	d. LA Constituency:	e. LS Constituency:	f. State:		a. From MGNREGA Funds:		b. From Convergence, if any (Specify Scheme Name):		a. From MGNREGA Funds:		b. From Convergence, if any (Specify Scheme Name):		a. Asset Id:		b. GPS Location:	
a. Village:	b. Gram Panchayat:																					
c. Block:	d. District:																					
d. LA Constituency:	e. LS Constituency:																					
f. State:																						
a. From MGNREGA Funds:																						
b. From Convergence, if any (Specify Scheme Name):																						
a. From MGNREGA Funds:																						
b. From Convergence, if any (Specify Scheme Name):																						
a. Asset Id:																						
b. GPS Location:																						

ANNEXURE II: CHECKLIST OF CASE RECORD/ WORK FILE DOCUMENTS

Sl. No.	Check List	Maintained (Yes/ No)	If Yes, Page No. in the Case Record/ Work File
1.	Copy of Approved Action Plan/ Shelf of Work (Mentioning Sl. No. of the project)		
2.	Copy of Technical Sanction including the technical estimate and design		
3.	Copy of Administrative/ Financial Sanction		
4.	Convergence Details, if applicable		
5.	Demand Application by workers		
6.	Copy of Work Allocation Notice		
7.	Copy of filled in Muster Rolls		
8.	Copy of Measurement Books (copy of e-MB if maintained by the State)		
9.	Copy of quotations invited for procurement of materials, comparative statement and material supply order.		
10.	Wage List		
11.	Copy of wage and material payment FTOs		
12.	Material Voucher and Bills		
13.	Copies of the receipts of royalty paid		
14.	Photograph of work at three stages (Pre, during and post)		
15.	Copy of Completion Certificate		
16.	Muster Roll Movement Slip		
17.	Geo-tagged photograph of the asset		
18.	Copy of Social Audit Report, if already conducted		

ANNEXURE III (A): APPLICATION FORM FOR WORK (INDIVIDUAL HOUSEHOLDS)

APPLICATION FORM FOR WORK

(As per Section 3(1) and Paragraph 9 of Schedule II of MGNREG Act, 2006)

To
Sarpanch
Gram Panchayat: _____
Block: _____
District: _____
Date: _____

To
The Programme Officer
Block: _____
District: _____
Application Code: _____
(To be filled by Office)

Subject: Application for Work

Sir/ Madam,

I hereby submit my application for work under Section 3(1) and Paragraph 9 of Schedule II of Mahatma Gandhi National Employment Guarantee Act. The details of my request and the period for which work is required are:

Sl. No.	Name of the Applicant	Address	Job Card Number	Period(s) from which employment is needed		Requirement of Crèche (Yes/ No)
				From	To	

I am willing to work for at least _____ continuous days in the work allotted to me.

Signature/ LTI of the Applicant

Note:

1. Application for work to be submitted to Gram Panchayat/ Programme Officer.
2. A worker having Job Card may apply for work on work-site.

ANNEXURE III (B): APPLICATION FORM FOR WORK (GROUP OF HOUSEHOLDS APPLYING TOGETHER)

APPLICATION FORM FOR WORK

(As per Section 3(1) and Paragraph 9 of Schedule II of MGNREG Act, 2006)

To
The Sarpanch
Gram Panchayat: _____
Block: _____
District: _____
Date: _____

To
The Programme Officer
Block: _____
District: _____
Application Code: _____
(To be filled by Office)

Subject: Joint Application for Work

Sir/ Madam,

We the following applicants submit our joint application for work under Section 3(1) and Paragraph 9 of Schedule II of Mahatma Gandhi National Employment Guarantee Act. The details of our request and the period for which work is required are:

Sl. No.	Name of the Applicant	Address	Job Card Number	Period(s) from which employment is needed		Requirement of Crèche (Yes/ No)	Signature/ LTI of Applicant
				From	To		

We are willing to work for at least _____ continuous days in the work allotted to us.

Signature/ LTI of the Applicant

Note:

1. Application for work to be submitted to Gram Panchayat/ Programme Officer.
2. A worker having Job Card may apply for work on work-site.

ANNEXURE IV: WORK ALLOCATION FORM

WORK ALLOTMENT FORM

(As per Paragraph 11 of Schedule II of MGNREG Act, 2006)

Letter No: _____ Date: _____

To

Sri/ Smt: _____ Gram Panchayat: _____ Job Card No. _____

Village: _____ Block: _____ District: _____

Subject: Information regarding the allotment of work

Sir/ Madam,

With reference to your work application of _____ (DD/MM/YYYY) bearing application code no _____ you are hereby notified under Paragraph 11 of Schedule II of Mahatma Gandhi NREG Act, 2005 to report for work _____ (project/ work name).

- a. On _____ (date of seeking work, in case of advance application), or
- b. Within 15 days of the date of application

(Strike out a or b whichever is not applicable)

_____ (location name) at _____ Village, _____ Gram Panchayat, _____ Block, _____ District.

The Implementing Agency of the project/ work is _____.

You are also informed that in case you fail to report to work within 15 days of the receipt of this letter, you shall not be eligible to claim the unemployment allowance for a period of three months as per Section 9 of the Mahatma Gandhi NREG Act. However, you shall be eligible to seek employment at any time.

Signature of the Authorised Person*

Name: _____

Designation: _____

Number: _____

Date: _____

Copy to Authorised Person at the Gram Panchayat/ Programme Officer, _____ Block, for information and necessary action.

* Authorised person may be either the Sarpanch or Programme Officer or any other person duly authorized on their behalf.

ANNEXURE V: FORMAT OF WORK COMPLETION CERTIFICATE

WORK COMPLETION CERTIFICATE

To

The Sarpanch/ BDO

Block/ GP: _____

District: _____

Sub: Work Completion Certificate of _____ work under the financial year _____.

Sir/ Madam,

I hereby submit the work completion certificate of the work cited above with the following details.

Work ID:

Name of the Work:

Village:

Gram Panchayat:

Location of Work (Plot No. etc.):

Implementing Agency:

Work Order No. and Date:

Work Start Date:

Work Completion Date:

IDs of MRs used:

Expenditure:

Wages:

Material:

Total:

Date of Social Audit:

Signature of the Authorised Person

(Signature)

Certified by: _____

ANNEXURE VI: FORMAT FOR MUSTER ROLL MOVEMENT SLIP

Work ID:

Name of the Work:

Village:

Gram Panchayat:

Sr. No	E-Muster No	DATE OF						
		Issuance of eMR	Muster Roll Closure	MIS entry of attendance	Work Measurement	MIS Entry of measurement	FTO 1 st Signatory	FTO 2 nd Signatory
Signature of the Official/Officer								
Name of Official/Officer								