



Social Audit  
under Housing  
for All  
By2022.

# Introduction :

- Social Audit provides beneficiaries and stake holders an opportunity to scrutinize the benefits and of the Mission .
- If effects better implementation , ensures Accountability, Transparency and Participation of benefiting community in all Missions .
- PMAY(U) systematically monitored by MoHUA through online MIS and TPQMA.
- However, to track the Social Impact of the Mission especially Relevance, from the point of view of the benefiting community and stakes ,MoHUA envisaging Social Audit
- To be carried by states and cities by engaging credible/ technical institutions (IITs, NITs etc) .
- MoHUA will provide 100% financial Assistance for Social Audit with the approval of CSMC .

# What is Social Audit and its Scope under PMAY

## **What is Social Audit:**

- Social Audit is a participatory monitoring exercise used to systematically assess the progress of the PMAY Mission.
- It is also a tool for social mobilization and sensitisation of the Mission objectives to a wide range of stakeholders.
- It helps to identify deficiencies in programme and provides opportunities for timely corrections.

## **Scope of Social Audit:**

Social Audit under PMAY primarily covers :

- Selection of beneficiaries;
- Quality of the construction of houses;
- Effectiveness of pro-poor basic services provided;
- Inclusiveness: of SC/ST, Minorities, women-Widows, Dif. Abled etc.
- Satisfaction of beneficiaries
- Experience of dealing with officials

## **Key objectives of Social Audit of PMAY Mission:**

- Increase efficacy of the Mission performance by understanding issues and gaps if any, as perceived by the project stakeholders and take timely remedial action
- Contribute to facilitating participation of the beneficiaries and other stakeholders at every stage of project implementation
- Improve social performance of the HFA Mission by making it inclusive, participatory, and transparent and give voice to the vulnerable people, including women, SC&ST
- Assessment of impact of beneficiary sensitisation on project about the benefits and enhance the visibility of the project among the general public
- Broaden the understanding of the social impact of HFA Mission, particularly its reach and relevance on the beneficiaries



# Process of Social Audit :

1. SLNA prepare and submit the Social Audit plan as per Annexure-2 of **Guideline such:** *Total No. of Projects sanctioned, No. of Projects selected for SA, name and address of FA shortlisted, tentative schedule of city wise Audit meetings, Budget requirement as per Annexure Table-3 .*
2. And SLNA, in turn hire a 'credible' institution as an Independent Facilitating Agency (IFA) through transparent competitive bidding by floating EoI.
3. SLNA form Social Audit Facilitating Team, consisting of a designated expert from IFA and Social Development Specialist (or any other appropriate specialist) based in SLTC
4. Social Audit Facilitating Team will finalize list of projects and dwelling units to be audited
5. IFA designs tools for Social Audit and brief the same to ULB officials and CLTCs
6. IFA will form a Social Audit Committee by including people of integrity, reputation & involvement and Task based sub committees also at ULB levels which carry out Social Audit.

## Important Indicators Issues to be taken for Social Audit :

Parameter	Indicators/Issues
Awareness	Awareness of beneficiaries about their entitlements from the HFA Mission
Inclusion	Proportion of marginalized communities: SC / ST / OBC / minorities / differently abled person / transgender manual scavengers / women (with overriding preference to widows) etc. among beneficiaries
Participation	Involvement of beneficiaries, CBOs / CSOs / co-implementing agencies (e.g. banks/builders) in project related consultations and nature and frequency of consultations with these groups
Effectiveness and Efficiency	<p>Identification of right beneficiaries.</p> <p>Whether the construction activities are being completed as per the planned duration, specifications and standards.</p> <p>Satisfaction about Project related services in meeting beneficiary's requirements</p>
Transparency	Proactive disclosures of project details including financial details by ULBs in the public domain
Quality Monitoring	<p>Existence of any Technical Group/Committee with members different from those involved in project implementation.</p> <p>Periodic reviews of project activities and actions taken on gaps found.</p> <p>Frequency of visits by ULB/CLTC staff to project sites</p>
Accountability	<p>Measures taken to avoid malpractices and corruption;</p> <p>Mechanisms on grievance redressal and awareness of mechanisms for grievance redressal;</p> <p>Instances of grievances/complaints escalated to ULB authorities and duration of resolving those grievances/complaints</p>

## **Preparation for Social Audit:**

**1. ULB wise capacity building workshops** for stakeholders to ensure their participation in social audit process and Create enabling environment for social audit

**2. Systematic selection of vertical wise projects** and proportionate dwelling units with all-inclusiveness through purposive random sampling: SC/ST, minority, Transgender, Dis abled and **women.**

**3. 5-10 % of approved projects comprising not less than 100 DUs may be taken up.**

**4. City /ULB wise stakeholder mapping :** coverage of representation of direct beneficiaries from all verticals, MLAs/MPs/other Local Self Government,ULB/CLTC staff, NGOs/CBOs/SHGs/RWAs, technical/ social science research institutions

**5. Formation of Social Audit Committees** and Task based Sub Committees(SACs)/Documentation Auditors:

IFA and CLTC will form the SACs, may with 20-30 members comprising of Direct beneficiaries ,women ,SC/ST, minority representations ,CBOs to train and coordinate to conduct social audit in the identified cities

**6. Develop city wise plans and calendar for Social Audit** in consultation with Urban Local Bodies (ULB) and SLNA



## Role of Independent Facility Agency (IFA)

- Provide dedicated Social Audit expert/s to conduct Social Audit
- Complete Desk Research/Documents Audit using all relevant HFA Project related reports
- Select projects and dwelling units for Social Audit, as per the process outlined in the Guidelines
- Develop city wise plans and calendar for Social Audit, in consultation with Urban Local Bodies (ULB)
- Design tools for Social audit, form and train Social Audit Committee members, facilitate all social audit related meetings, and ensure systematic data collection during the field work
- Complete Social Audit process by being sensitive to local socio-cultural context and by ensuring the democratic spirit
- Prepare Social Audit report and share it with the ULB, SLNA, and to any other stakeholders, as advised by SLNA.

## **Responsibility of Social Audit Committee in Conducting S. Audit:**

- Create awareness among stakeholders to encourage their participation
- Record the information collected through consultations and meetings
- Examine and verify the relevant information collected in the implementation of HFA projects and Dwelling Units
- Support IFA to prepare reports based on the information gathered incorporating issues, facts, complaints that come up during social audit process
- Support ULBs to follow up the audit report
- And sensitize a wide range of stake holders on Mission Objectives

## **Task based Sub Committees and Documents Auditor :**

- SAC further divided as sub Groups to undertake tasks such Collection of information through interviews, conducting Group discussions and Jan Sunwais (Public meetings)and compilation of reports.
- One expert member of SAC may be engaged as **Documents Auditor** will review the physical and financial progress report of HFA mission with ULB and related documents such bank pass books etc and report to SAC

## **Social Audit Implementation tools under HFA**

### **1.Review of Documents :**

- The HFAPoAs, Road Maps,AIPs, DPRs, Progress report/ MIS, TPQMA reports & other media reports may be reviewed by the Committee through the check list prepared by IFA& approved by SAC

### **2.Public meeting /Jan Sunwai:**

- Should be organised in every city by inviting all vertical wise direct beneficiaries and all relevant stakeholders
- Prior to Jan sunwai all stakes to be suitably informed through leaf lets/ News paper adds/TV channels .
- The public place chosen for hearing may have good accessible for all
- And scheduled to be on week ends or Sundays to facilitate the participation of All
- The parameters /Issues of hearing such: Awareness, inclusion, participation, efficiency, effectiveness, transparency , quality and accountability may be taken for hearing.

### **3.Key interviews with stakes such ULB officials**

- To collect the relevant information on projects/ DUs sanctioned, progress, issues etc.

### **4. Group Discussions:**

- With Direct benefitting community to under stand their perception & gaps in implementation.

**5.Indepth Interviews:** Randomly with beneficiaries to get information about project , challenges and issues faced at a personal level.

After the above 5 preparatory works the IFA invite SAC to conduct 2 days audit:

**Day1:**

- Participants oriented on the project, its objectives, sensitive aspects of the audit process ,to handle issues with care and the tools to be used.
- The Documents Reviewer will also make a very brief presentation on his findings.
- second half of first day will be used for explaining the process of social audit and the methods to be used for the field work.
- End of the first day, participants will be grouped into 'task based subcommittees' - ideally into five sub committees (one each for using each of the five tools listed above)
- IFA ensure sub-committees will have experienced experts who will ensure systematic information gathering, during the audit process.

## Day-2:

- Sub-committees will go directly to their assigned Project related sites and collect the required information, using the checklists/guides
- All information gathering exercises including Public Meeting should be concluded before lunch
- The first half of the afternoon should be used for compilation and presentation of reports by the subcommittees
- A consolidated brief report will be presented in a plenary and should get the approval of SAC members as well as of the ULB representative present at the Meeting
- *The senior representative of the ULB present in the plenary has the right to embargo/withheld the brief consolidated Audit report from public dissemination*
- All such reports should be sent to MoHUPA by SLNA for immediate review and follow up
- At the plenary, brief consolidated report with key findings, be ready for public dissemination.
- Public meeting / press release may be organized at the end of the second day to let everyone know the preliminary findings of the social audit.
- Social Audit reports should be further disseminated to stakeholders for feedback.
- Based on the issues raised in the SA- Report, the ULB shall frame its future course of action. and ULBs are responsible for the follow up of various actions to be taken.

# Submission of Social Audit Report :

- Detailed city level report comprise 10 indicators such: Awareness, inclusion, participation, effectiveness & efficiency , transparency , quality Monitoring, Accountability , issues & complaints and recommendations also.
- A consolidated state level report from SLNA to be submitted to MoHUA
- District Level Committees may be formed under HFA mission may also has the right to review the SARs.