



**Government of India**  
**Ministry of Housing & Urban Poverty Alleviation**



# **Pradhan Mantri Awas Yojana (Urban)** **– Housing for All**

**CAPACITY BUILDING ACTIVITIES**  
**(Norms, Fund Disbursal Processes and Plan Templates)**



# **Pradhan Mantri Awas Yojana (Urban) – Housing for All**

## **CAPACITY BUILDING ACTIVITIES (Norms, Fund Disbursal Processes and Plan Templates)**

2017



Ministry of Housing & Urban Poverty Alleviation  
Government of India



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## ACRONYMS

<b>A&amp;OE:</b> Administrative and Other Expenses
<b>CB:</b> Capacity Building
<b>CLTC:</b> City Level Technical Cell
<b>CSMC:</b> Central Sanctioning and Monitoring Committee
<b>GoI:</b> Government of India
<b>HFA:</b> Housing for All
<b>HFAPoA:</b> Housing for All Plan of Action
<b>IEC:</b> Information Education & Communication
<b>MIS:</b> Management Information System
<b>MoHUPA:</b> Ministry of Housing and Urban Poverty Alleviation
<b>PMAY:</b> Pradhan Mantri Awas Yojana
<b>SFCPoA:</b> Slum Free City Plan of Action
<b>SLAC:</b> State Level Appraisal Committee
<b>SLNA:</b> State Level Nodal Agency
<b>SLSMC:</b> State Level Sanctioning and Monitoring Committee
<b>SLTC:</b> State Level Technical Cell
<b>TPQM:</b> Third Party Quality Monitoring
<b>UC:</b> Utilisation Certificate
<b>ULB:</b> Urban Local Body
<b>UT:</b> Union Territory





## PREFACE

The first CSMC meeting (held on 17.09.2015) has approved norms for Central assistance to States for many of the PMAY implementation activities. These activities include Establishment of SLTC/CLTC, Preparation of HFAPoA, and Trainings/Workshops/Study/Exposure Visits. However, there were some more activities such as Third Party Quality Monitoring, Social Audit, Geo-tagging, and IEC which needed clearer norms for financial assistance. States were also looking for more details of fund disbursement processes of activities such as A&OE, and Research/Documentation. Subsequently, the 20<sup>th</sup> CSMC meeting (held on 21-3-2017) deliberated on the financial norms and fund disbursement processes of all the activities and approved financial norms and fund disbursement process of all key PMAY activities for which States would seek financial assistance from the Central government. This document lists the approved cost, sharing pattern and fund disbursement process of all PMAY activities for which Central assistance is provided.

States and UTs may kindly note the following overarching norms applicable to all PMAY mission activities:

1. The processes and costs listed in this document are indicative. While we encourage innovation in implementation processes, costs of various activities are reimbursed against actual expenses within the prescribed ceilings.
2. All the rates mentioned in this document serve as a ceiling for limits of central assistance. Service Tax and other applicable taxes will be extra - chargeable on actual basis and shall be paid on applicable sharing pattern.
3. States/ UTs/ ULBs should adopt an open and transparent bidding procedure for procurement of services. The agencies appointed (if any) for conducting/supporting PMAY mission activities should have prior experience in performing these activities.

States and UTs are required to submit their Annual Capacity Building Plan, Annual IEC Plan, Annual Quality Monitoring Plan and Annual Social Audit Plan, duly approved by the SLSMC, to the Ministry. States should also submit 'undertakings' given in this booklet (as well as in the Ministry website) along with the Form of UC (Form GFR 19 – A) available in the PMAY scheme guidelines.

We hope this publication will meet the longstanding demand from the States for better understanding of the norms and processes of Central assistance for PMAY implementation activities to States.





## PREPARATION OF HOUSING FOR ALL PLAN OF ACTION

<b>Key Activities</b>	Listing of slums and other urban poor, Demand assessment, Validation of beneficiaries, Categorization of intended beneficiaries amongst available options, Analysis of Slum Data to list Tenable and Untenable Slums etc.
<b>Key Processes</b>	<ul style="list-style-type: none"> <li>• Door-to-door slum/non-slum survey including printing of forms, canvassing etc.</li> <li>• Data entry of slum and non-slum survey, data verification, cleaning and scrutinisation, compilation and collation</li> <li>• Assessment of urban poor status in slum and non-slums</li> <li>• Devising development options for beneficiaries for verticals, Implementation methodology, Formulation of financial plans</li> <li>• Engagement of consultation with community for survey and preparation of HFAPoA</li> <li>• Discussion with local representative including MLAs and MPs to factor in their views in the HFA PoA.</li> </ul>
<b>Financial Norms</b>	<ul style="list-style-type: none"> <li>• Rs. 35 Lakhs for cities with population more than 15 Lakh</li> <li>• Rs. 28 Lakhs for cities with population between 10-15 Lakhs</li> <li>• Rs. 21 Lakhs for cities with population between 5-10 Lakhs</li> <li>• Rs. 14 Lakhs for cities with population between 1-5 Lakhs</li> <li>• Rs. 7 Lakhs for cities with population less than 1 Lakh</li> </ul>
<b>Cost Sharing</b>	The cost of preparation of HFAPoA will be shared between the Central Government and the concerned state/UT in the ratio 75:25 and in case of North Eastern and special category states in the ratio of 90:10
<b>Fund Disbursal Process</b>	75% of the central share as advance on approval of cities, remaining 25% of central share on receipt of UC of 70% utilization of funds received under HFAPoA (and UC of fund received for preparation of SFCPoA, if any)



## ESTABLISHMENT OF SLTC

<b>Key Activities</b>	Planning, Engineering, Social Mobilization, Housing Finance, MIS, GIS
<b>Key Processes</b>	Selection of specialists through open transparent process and their deployment exclusively for PMAY (U) Mission activities.
<b>Financial Norms</b>	<p>An SLTC with 5-10 professionals will be supported by Central Government with the approval of CSMC.</p> <p>CSMC can increase the size of such cell on the requirement of State/UT.</p> <p>The contract issued to the experts of the SLTC may be initially for 2 years and extension will be subject to continuation of the project and performance of the professionals/experts; and as per decision that may be taken by the State Government/UT</p> <p>The salary for experts/professionals in SLTC will be as follows.</p> <ul style="list-style-type: none"><li>• Rs. 85,000 per expert per month for post graduate degree holders</li><li>• Rs. 70,000 per experts per month for Bachelor degree holders</li><li>• Rs. 50,000 for diploma holders</li></ul>
<b>Cost Sharing</b>	To be shared between Central Government and concerned States/UTs in the ratio of 75:25 and in case of North Eastern and special category States in the ratio of 90:10.
<b>Fund Disbursal Process</b>	50% of the central share as advance on approval of CB plan and remaining 50% of the central share on submission of UC of 70% of the funds received.



## ESTABLISHMENT OF CLTC

<b>Key Activities</b>	Planning, Engineering, Social Mobilization, Housing Finance Planning, MIS, GIS
<b>Key Processes</b>	Selection of specialists through open transparent process and their deployment exclusively for PMAY (U) Mission activities.
<b>Financial Norms</b>	<p>A CLTC with 2-4 professionals depending on the size of the city and quantum of work will be supported by Central Government with the approval of CSMC.</p> <p>CSMC can increase the size of such cell on the requirement of State/UT.</p> <p>The contract issued to the experts of the CLTC may be initially for 2 years and extension will be subject to continuation of the project and performance of the professionals/experts; and as per decision that may be taken by the State Government/UT.</p> <p>The salary for experts/professionals in CLTC will be as follows:</p> <p><b>For Cities with more than 10 lakhs population:</b></p> <ul style="list-style-type: none"> <li>• Rs. 70,000/- per expert per month for post graduate degree holders</li> <li>• Rs. 50,000/- per expert per month for Bachelor degree holders</li> <li>• Rs. 40,000/- per expert per month for diploma holders</li> </ul> <p><b>For Medium Cities with 5- 10 lakhs population:</b></p> <ul style="list-style-type: none"> <li>• Rs. 60,000/- per expert per month for post graduate degree holders</li> <li>• Rs. 40,000/- per expert per month for Bachelor degree holders</li> <li>• Rs. 30,000/- per expert per month for diploma holders</li> </ul> <p><b>For Small Cities with less than 5 lakhs population:</b></p> <ul style="list-style-type: none"> <li>• Rs. 45,000/- per expert per month for post graduate degree holders</li> <li>• Rs. 35,000/- per expert per month for Bachelor degree holders</li> <li>• Rs. 25,000/- per expert per month for diploma holders</li> </ul>
<b>Cost Sharing</b>	To be shared between Central Government and concerned States/UTs in the ratio of 75:25 and in case of North Eastern and special category States in the ratio of 90:10.
<b>Fund Disbursal Process</b>	50% of the central share as advance on approval of CB plan and remaining 50% of the central share on submission of UC of 70% of the funds received.



## TRAININGS AND WORKSHOPS

<b>Key Activities</b>	Trainings, Workshops (National/Regional/State/City level), Thematic Workshops, and Training of Trainers
<b>Key Processes</b>	Needs assessment, Module development, Resource materials, Facilitation, Travel, Accommodation, Logistics, Documentation
<b>Financial Norms</b>	<p>Admissible upper ceiling of expenses for various trainings and workshops will be as follows:</p> <ul style="list-style-type: none"><li>• Rs. 1 lakh, for City level workshop</li><li>• Rs. 2 lakhs for State level workshop</li><li>• Rs. 3 lakhs for Regional workshop</li><li>• Rs. 5 lakhs for National workshop</li></ul> <p>Central Assistance for <b>thematic workshops and Training of Trainers programme</b> will be Rs. 3 Lakhs per workshop. This rate will also be applicable for the regional workshop as it would include participants from more than one state/UT.</p> <p><b>Translation of training modules:</b> Prior approval of CSMC/ministry may be sought with the certificate of acceptability of the rates signed by the competent authority in the state (State government officials)</p>
<b>Cost Sharing</b>	Fully Funded by Central Government
<b>Fund Disbursal Process</b>	Reimbursement against consolidated statement of expenditures and list of participants, duly signed by competent authority.



## EXPOSURE AND HANDHOLDING VISITS

<b>Key Activities</b>	Class room learning, Field visits
<b>Key Processes</b>	Identification of best practices/learning opportunities, Selection of visit team based on criteria, define learning objectives and outcomes, follow up of visits.
<b>Financial Norms</b>	<p><b>Exposure visit (in-country):</b> Rs. 3 lakhs per visit having 15 to 20 participants for 4 days towards cost of organizing exposure visits done through a judicious mix of class room learning and field visits.</p> <p>Exposure visit (in-country) beyond the number of days and number of participants mentioned above will be decided on a 'case to case' basis by the ministry keeping the above rate as benchmark.</p> <p><b>Handholding Visit:</b> For providing support to states/UTs and cities in implementation and review of progress of HFA, the visit of officials from the Ministry may be planned.</p> <p>Official members will be entitled for TA/DA as per respective service rules applicable in their case and will be borne by the concerned department/organization to which they belong.</p> <p>Non-officials will be entitled for travel/boarding/lodging as per the agreed terms of contract.</p>
<b>Cost Sharing</b>	Fully Funded by Central Government
<b>Fund Disbursal Process</b>	Reimbursement against consolidated statement of expenditures and list of participants, duly signed by the competent authority.



## RESEARCH AND DOCUMENTATION

<b>Key Activities</b>	Conducting applied/programmatic/operations research and documentation which could be used in the programme implementation, training or in IEC.
<b>Key Processes</b>	States/UTs to empanel agencies for documentation and research studies through a transparent process.
<b>Financial Norms</b>	<p>Up to Rs. 5 Lakh for documentation of Case Studies/Best practices and for Research Studies.</p> <p>Rate mentioned above serve as limits of central assistance and States should claim actual expenses only.</p> <p>Prior approval of CSMC/Ministry may be sought along with SLSMC approval for initiating such studies.</p> <p>Pure academic researches which would not help the programme implementation will not be supported.</p>
<b>Cost Sharing</b>	Fully funded by Central Government.
<b>Fund Disbursal Process</b>	<p>1<sup>st</sup> instalment of 50% as advance payment after approval of research in the CB plan</p> <p>Final instalment on receipt of 70% utilisation of the 1<sup>st</sup> instalment received and copy of research report/documentation along with plan/report of research utilization</p>





### THIRD PARTY QUALITY MONITORING

<b>Key Activities</b>	<p>TPQM experts/agencies will undertake field visits for ascertaining quality of construction at various stages of construction as per PMAY TPQM Reference Guide.</p> <p>'Visits' include examining/reviewing project documents, implementation and conducting any required tests/assessments and report writing.</p>
<b>Key Processes</b>	<p>Each State/UT will report the progress of TPQM on a quarterly basis. Central assistance for this purpose will be limited to 3 'visits' to each project.</p> <p>The State/UTs/ULBs are free to include more field visits by TPQMA, as necessary.</p> <p>For central assistance, the States/UTs should adopt an open and transparent procedure for procurement of these services</p>
<b>Financial Norms</b>	<p>Rs. 40,000 per Visit.</p> <p>Up to 3 visits and payment up to Rs. 1,20,000 per project will be considered for Ministry funding during a project implementation life cycle.</p> <p>Rates mentioned above serve as limits of Central assistance and States should claim actual expenses only.</p>
<b>Cost Sharing</b>	<p>Tendered rates approved by States/UTs will be admissible for funding by sharing between Centre and State/UT in the ratio 75:5 and for North Eastern and special category States in the ratio of 90:10</p>
<b>Fund Disbursal Process</b>	<p>Annual Quality Monitoring Plans approved by SLSMC should be submitted to Ministry for the approval of CSMC.</p> <p>1st instalment of 50% as advance payment after approval of CSMC.</p> <p>Final instalment on receipt of the undertaking in the prescribed format as per proposed PMAY TPQMA Reference Guide along with the Utilization Certificate (UC) and report on action taken based on TPQM report by the State duly signed.</p>

**SOCIAL AUDIT**

<b>Key Activities</b>	Creating Enabling Environment, Selection of Projects and Dwelling Units, Stakeholder Mapping, Formation of Social Audit Committee, Formation of ‘Task Based’ Sub-committees, Assigning a Documents Auditor, Identification of Issues for Social Audit, Developing tools for Social Audit, Social Audit Meeting, Report writing
<b>Key Processes</b>	<p>State Level Nodal Agency hires an Independent Facilitating Agency. The Independent Facilitating Agency designs tools for Social Audit, forms and train a Social Audit Committee and conducts social audit.</p> <p>States should submit their social audit plans with proposed budget in the format given in the Social Audit Guidelines.</p>
<b>Financial Norms</b>	<p>Social Audit should be conducted as described in the Ministry Guidelines.</p> <p>5-10% of the approved projects to be selected for social audit with minimum size of at least 100 Dwelling Units (DU) grounded with beneficiaries identified.</p> <p>Cost for social audit involving up to 5 cities, as per approved Social Audit Plan = actual expenses up to Rs. 3.5 Lakh for audits which involve minimum of 3 cities</p> <p>Cost for social audit involving 6 or more cities, as per the approved Annual Social Audit Plan = actual expenses up to Rs. 3.5 Lakh (for 5 cities) plus Rs. 50,000 per additional city and up to Rs. 5.5 Lakh for audits which involve up to 9 or more cities</p>
<b>Cost Sharing</b>	Fully funded by Central Government.
<b>Fund Disbursal Process</b>	<p>50% release subject to submission of Social Audit Plan with SLSMC approved budget, Copy of EoI notification used for Selection of IFA and City wise list of Projects along with number of dwelling units selected.</p> <p>Final 50% release subject to City wise list of Social Audit Committee members, copy of sample tools used for social audit &amp; State level social audit report, duly signed by the State Mission Director/ competent authority.</p>



## GEO-TAGGING

<b>Key Activities</b>	<p>Geo-tagging tracks progress of construction of individual houses through geo-tagged photographs.</p> <p>‘Surveyors’ collect data with Bhuvan-PMAY mobile app.</p> <p>‘Supervisors’ based in the cities/States moderate the collected data at Bhuvan-PMAY geo-platform.</p>
<b>Key Process</b>	Geo-tagging to be ensured for construction of individual houses under Beneficiary Led Component (BLC) for tracking of progress through geo-tagged photographs for 5 stages of construction.
<b>Financial Norms</b>	<p>Rs. 200 per Dwelling Unit</p> <p>(Rs. 40 per stage for 5 stages including Nonstarter, Foundation level, Lintel/Plinth Level, Roof level, Completion level)</p>
<b>Cost Sharing</b>	<p>Lump-sum payment for up to 200 per dwelling units @ Rs. 40/stage.</p> <p>Any additional cost to be borne by the State.</p>
<b>Fund Disbursal Process</b>	<p>Advance payment of 50% of central share to be released to the State as per actual houses uploaded on MIS on project basis. Remaining 50% of central share to be released after completion of Houses and verification of geo tagged photographs from Bhuvan server along with submission of UC of first instalment.</p> <p>Funds will be electronically transferred to surveyors/ supervisors by ULBs. If ULBs themselves do the survey, funds will be transferred to the ULB account.</p>



## ADMINISTRATIVE & OTHER EXPENSES

<b>Key Activities</b>	Administrative and other expenses include Travel expenses, System Support, Overheads, and Miscellaneous.
<b>Key Processes</b>	Travel, Communications, photocopying etc.
<b>Financial Norms</b>	<p>SLTC/CLTC Travel expenses will be reimbursed as per actuals and entitlement norms applicable to Group B officers of GoI (equivalent to level 8 of the current pay matrix).</p> <p>Besides this, Air travel to other States, with prior approval of competent authority will also be reimbursed.</p> <p><b>Central assistance sanctioned under this head should not be used either to buy any fixed assets or to add value to any existing fixed asset, for any purpose.</b></p> <p>Total Expenditure for A&amp;OE and geo-tagging in a financial year should not exceed above 1% of the ACA (Additional Central Assistance) released to that State in the corresponding year.</p>
<b>Cost Sharing</b>	To be shared between central Government and concerned States/UTs in the ratio of 75:25 and in case of North Eastern and special category States in the ratio of 90:10.
<b>Fund Disbursal Process</b>	<p>The bills and Vouchers regarding the expenditure incurred under this head are to be examined and approved at the SLNA level by the competent authority as per State rule/as the case may apply (the bills/vouchers to be counter signed by the finance department) and an Undertaking and Claim of Reimbursement to be submitted to the Ministry.</p> <p>All bills/voucher etc. should be safely kept at SLNA level for future audit and other references. All expenditure under this head is to be reimbursed as per applicable sharing pattern.</p>



## INFORMATION EDUCATION AND COMMUNICATION

<b>Key Activities</b>	Examples of IEC activities permitted include display of hoardings, standees, banners, posters, leaflets, stone plates outside beneficiary houses, making photographs/audio-visuals of success stories, performance by artists, and any other innovative IEC activities approved by the SLSMC																
<b>Key Processes</b>	Developing creative brief, engaging consultants/agencies, production of audio/visual/print materials, display and dissemination of IEC materials through appropriate channels etc.																
<b>Financial Norms</b>	<p>All IEC activities are allowed except T.V. advertisements and News Paper advertisements. IEC activities to be carried out in States based on pre-approved Government /DAVP rates. The agencies selected to perform the IEC activities should be empanelled with Government or should have sufficient prior experience of working with government. All expenditures will be reimbursed as per actuals and based on cost norms against urban population in the State (as shown in the table below)</p> <table style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="text-align: center;"><i>State/UTs Urban Population in Lakhs</i></th> <th style="text-align: center;"><i>Maximum Cost in Lakhs (RS.)</i></th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">0-25</td> <td style="text-align: center;">18</td> </tr> <tr> <td style="text-align: center;">25-50</td> <td style="text-align: center;">35</td> </tr> <tr> <td style="text-align: center;">50-75</td> <td style="text-align: center;">55</td> </tr> <tr> <td style="text-align: center;">75-100</td> <td style="text-align: center;">60</td> </tr> <tr> <td style="text-align: center;">100-200</td> <td style="text-align: center;">70</td> </tr> <tr> <td style="text-align: center;">200-300</td> <td style="text-align: center;">80</td> </tr> <tr> <td style="text-align: center;">Above 300</td> <td style="text-align: center;">90</td> </tr> </tbody> </table> <p>PMAY promotion activities should have prominent display of PMAY logo and name. Prominence of PMAY in IEC materials should reflect in content, size, and in all other possible ways.</p>	<i>State/UTs Urban Population in Lakhs</i>	<i>Maximum Cost in Lakhs (RS.)</i>	0-25	18	25-50	35	50-75	55	75-100	60	100-200	70	200-300	80	Above 300	90
<i>State/UTs Urban Population in Lakhs</i>	<i>Maximum Cost in Lakhs (RS.)</i>																
0-25	18																
25-50	35																
50-75	55																
75-100	60																
100-200	70																
200-300	80																
Above 300	90																
<b>Cost Sharing</b>	Fully funded by Central Government.																
<b>Fund Disbursal Process</b>	IEC expenditures will be reimbursed as per actuals. The bills and Vouchers regarding the expenditure incurred under IEC are to be examined and approved at the SLNA level by the competent authority as per State rule/ as the case may apply (the bills/vouchers to be counter signed by the finance department) and an undertaking and claim of reimbursement to be submitted to the Ministry. A brief report highlighting assessment of impact by IEC activities is also required for re-imburement. All bills/ voucher etc. should be safely kept at SLNA level for future audit and other references. All expenditure under this head is to be reimbursed.																



**Undertaking/Certificate on establishment of SLTC/CLTC  
to be submitted along with the Utilisation Certificate**

It is hereby certified that the following parameters have been followed in respect of the reimbursement of establishment of SLTC/CLTC expenses:

1. Grants-in-aid sanctioned and mentioned in the accompanying UC has been utilised for establishment of SLTC/CLTC
2. All the specialists in CLTCs and SLTCs are recruited through an open and transparent process and employed as per the approved Capacity Building plan of the state
3. All the specialists have been paid remuneration as per the approved plan **or** \_\_\_\_ (write number) specialists have been paid a different rate from the approved rate (but less than the approved rate) and the state has claimed the actual remuneration paid based on applicable sharing pattern only.
4. The State has contributed \_\_\_\_% of the amount against the central share of \_\_\_\_% while paying their remuneration.
5. Details of salaries paid to the SLTC/CLTC specialists against approved designations and qualifications are enclosed as per the attached format.

Signature (State Level Nodal Officer)	Signature (Secretary/Principal Secretary, Concerned Department)
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## Details of Expenditure Incurred for Establishment of SLTC/CLTC

### Details of Remuneration Paid to SLTC

No	Designation	Educational Qualifications	Date of Joining	Salary per month	Central Share	State share	Total Expenditure for the period (_____)

(add additional rows as per requirement)

### Details of Remuneration Paid to CLTC

No	Designation	Educational Qualifications	Date of Joining	Salary per month	Central Share	State share	Total Expenditure for the period (_____)

(add additional rows as per requirement)

Name, Address and telephone number of State Nodal Agency:

Signature.....

Designation.....

Date.....



## Annexure 2

### **Pradhan Mantri Awas Yojana (PMAY) Undertaking/Certificate on Research Expenses to be submitted along with Utilization Certificate**

It is hereby certified that the following parameters have been followed in respect of the reimbursement of Research/Documentation expenses:

1. The services of the research agency/consultant have been procured through transparent competitive bidding processes, as per procurement norms of the state. The research work was advertised through EoI publication/Advertisement on \_\_\_\_ (date).
2. The work has completed/going on by the appointed research agency/consultant to the satisfaction of the ULB / Implementing agency as per the approved plan and no revision has been / is being proposed.
3. The research has been/will be used in the programme implementation, training or in IEC related to PMAY in the following manner: ....
4. Please see enclosed details of Expenditure Incurred for Conducting Research

Signature (State Level Nodal Officer)	Signature (Secretary/Principal Secretary, Concerned Department)
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### Details of Expenditure Incurred for Conducting Research

Name, address and telephone number of the research agency/consultant	
Title and objective of the research	Title:
	Objective:
Duration of the research	Start Date:
	End Date:
Details of Dissemination planned/ conducted	Publication:
	Meeting/Workshops/any other:
<b>Expenditures:</b>	
Research agency/consultant	
Administrative/logistics	
Travel and accommodation	
Documentation/report preparation	
Dissemination	
Total	

**Name, Address and telephone number of State Nodal Agency:**

**Signature.....**

**Designation.....**



### Annexure 3

#### **Undertaking/Certificate on TPQM Expenses to be submitted along with Utilisation Certificate**

It is hereby certified that the following parameters have been followed in respect of the reimbursement of TPQM charges:

1. The services of the agency have been procured through transparent competitive bidding processes, as per procurement norms of the state.
2. The works have been awarded after the launch of PMAY i.e. 25<sup>th</sup> June, 2015.
3. The work was advertised through EoI publication/Tender Advertisement on \_\_\_\_ (date).
4. The bids received through transparent competitive bidding process were evaluated and work was awarded to M/s \_\_\_\_\_, which was the lowest bidder. Details of bid evaluation / comparative statement are available with the ULB / Implementing agency.
5. The work has completed by the appointed agency to the satisfaction of the ULB / Implementing agency.
6. Out of the total requested reimbursement amount towards TPQM charges, Rs. \_\_\_\_ lakhs have been paid to the agency and the balance Rs. \_\_\_\_ lakhs will be paid by the ULB / implementing agency on receipt of payment from the Ministry. Copy of payment invoice, proof of payment made to the agency and copy of cash vouchers are available with the ULB / Implementing agency.
7. The quality monitoring of the project(s) is going on as per the sanctioned plan and no revision has been / is being proposed.
8. ULBs have considered and complied with all recommendations of the TPQM agency.

Signature (State Level Nodal Officer)	Signature (Secretary/Principal Secretary, Concerned Department)
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## Annexure 4

### Undertaking/Certificate on Social Audit Expenses to be submitted along with Utilisation Certificate

It is hereby certified that the following parameters have been followed in respect of the reimbursement of social audit expenses:

1. Social Audit has been conducted as per the steps and processes given in the Social Audit Guidelines of the Ministry of Housing and Urban Poverty Alleviation
2. The services of the Independent Social Audit Agency have been procured through transparent competitive bidding processes, as per procurement norms of the state. The work was advertised through EoI Advertisement in (name of the publication/website) on \_\_\_\_ (date).
3. Social Audit has been conducted in --- (number) cities in ---- (number) projects which has ----- (number) dwelling units, selected through systematic random sampling process as explained in the Social Audit

Please see enclosed:

- a) City wise list of Social Audit Committee members
- b) Copy of sample tools used for social audit
- c) State level social audit report, as per prescribed format and duly signed by the state Mission Director/ competent authority.

Signature (State Level Nodal Officer)	Signature (Secretary/Principal Secretary, Concerned Department)
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**Annexure 5**

**Pradhan Mantri Awas Yojana (PMAY)  
Undertaking/Certificate on Geo-tagging Expenses  
to be submitted along with Utilisation Certificate**

It is hereby certified that the following parameters have been followed in respect of the reimbursement of Geo-tagging expenses:

1. Grants-in-aid sanctioned and mentioned in the attached UC has been utilised for tracking the progress of construction of individual houses through geo-tagged photographs
2. All tracked houses have been completed and the geo-tagged photographs of completed houses have been uploaded in the *Bhuvan server* in all required 5 stages - including *Nonstarter, Foundation level, Lintel/Plinth Level, Roof level, and Completion level*.
3. Funds have been released to the beneficiaries in proportionate instalments based on the progress of construction of houses, through Direct Benefit Transfer (DBT).

Signature (State Level Nodal Officer)	Signature (Secretary/Principal Secretary, Concerned Department)
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## Annexure 6

### Pradhan Mantri Awas Yojana (PMAY) Undertaking and Claim of Reimbursement for Administrative & Other Expenses

It is hereby certified that a sum of Rs. \_\_\_\_\_ has been utilized for PMAY related Administrative & Other Expenses of which reimbursement is claimed for Rs. \_\_\_\_\_ only, and \_\_\_\_\_% of the total expenses has been spent through the State share, as per details below.

S No.	Particulars	State Share	Central Share
	Travel		
	System Support		
	Overheads		
	Miscellaneous		
	Amount claimed		

1. All bills/voucher etc. have been scrutinized, verified and safely kept with us for future audit and other references.
2. No expenditure made above has been spent on any fixed assets or add value to any existing fixed asset.
3. All travel expenditures claimed above have been done for undertaking PMAY Mission activities and are as per norms applicable to Group B officers of Government of India (equivalent to level 8 of the current pay matrix)
4. Total Expenditure for A&OE and geo-tagging claimed has not exceeded 1% of the Additional Central Assistance (ACA) released to the state in the corresponding financial year.

Signature (State Level Nodal Officer)	Signature (Secretary/Principal Secretary, Concerned Department)
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## Annexure 7

### **Pradhan Mantri Awas Yojana (PMAY) Undertaking and Claim of Reimbursement for IEC Expenses**

It is hereby certified that a sum of Rs. \_\_\_\_\_ has been utilized for PMAY related IEC activities of which reimbursement is claimed for Rs. \_\_\_\_\_ only. A consolidated statement of actual expenditures has been attached. All bills/voucher etc. have been scrutinized, verified, and safely kept with us for future audit and other references. Along with this Certificate, I have also attached a brief report highlighting impact by IEC activities conducted in the state. The following parameters have been followed in respect of the IEC expenditures:

1. The services of the IEC consultant/agency have been procured as per transparent, competitive bidding processes, approved DIPR/DAVP rates, and procurement norms of the state.
2. The work was advertised through EoI \_\_\_\_\_ (publication/Tender Advertisement) on \_\_\_\_ (date).
3. The bids received through transparent competitive bidding process were evaluated and work was awarded to M/s \_\_\_\_\_, which was the lowest bidder. Details of bid evaluation / comparative statement are available with the ULB / Implementing agency.
4. The IEC work has completed/ is ongoing by the appointed consultant/agency to the satisfaction of the ULB / Implementing agency.
5. The IEC work has completed/is going on as per the sanctioned IEC plan and no revision has been / is being proposed.

Signature (State Level Nodal Officer)	Signature (Secretary/Principal Secretary, Concerned Department)
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## Templates for Annual Plans

(Amend or add rows as required. Refer Terms of Reference for State Level Technical Cell/City Level Technical Cell for indicative list of specialists.)

### I. Establishment of SLTC

S. No.	Designation of specialist to be recruited	Qualification (Post Graduate, Degree, Diploma)	Unit rate / specialist as per qualification (INR in lakh)	Annual Budget	
				State share	Central Share
1					
2					
3					
4					
5					
6					
7					
8					
9					
Total					
Total Annual Budget =					

### II. Establishment of CLTC (cluster/single)

City/ Cluster No.	Number of cities included in CLTC	Name of the cities (amend rows as required)	Population	No. of specialists to be recruited (amend rows as required)	Qualifications Post Graduate/ Degree/ Diploma	Annual Budget	
						State share	Central Share
1							
2							
3							
Total number of CLTCs =	Total number of cities =		Total number of Specialists =		Total	Total Annual Budget =	

**III. Trainings and Workshops**

S No.	No of workshops		Details of participants		Duration	Training theme	Training Institution to be selected	Budget
	City level	State Level	Expected No	Broad Category				
1								
2								
3								
4								
5								
6								
7								

**IV. Exposure Visits**

1	No. of Visits proposed	
2	State/District to be visited	
3	Objective/purpose of the visit(s)	
4	Justification for visit (How the proposed visit will help PMAY implementation in the State)	
5	Number of participants in each visit along with their category/designations	
6	Proposed areas/places to be visited	
7	Expected outcomes	
8	Budget proposed	

**V. Documentation/Research**

1	Objective/purpose and methodology proposed for Case studies/ documentation of best practices/ Research Studies	
2	Expected outcomes of the Case studies/ documentation of best practices/ Research Studies	
3	No. of documentation/researches proposed	
4	Justification for undertaking case studies/research studies (How the proposed documentation/ research will help PMAY implementation in the State)	
5	Name and details of the institution to be engaged for the purpose	
6	<b>Budget proposed</b>	





## VI. IEC Plan

S. No.	Activity	Objective	Target Audience	Expected outcome of the activity	Justification of the activity (How do you think the activity will lead to the expected outcome)	Budget	Confirm whether the budget is within the approved DIPR/ DAVP rates.
Total Budget:							

## VII. Third Party Quality Monitoring

<b>A. Particulars:</b>						
Name of State/UT						
No. of projects proposed under PMAY* (* As per HFAPoA/AIP)		ISSR	AHP	BLC(N)	BLC(E)	Total
No. of projects approved under PMAY						
<b>B. Desk review/ Field visits proposed</b>						
Category of project		No. of visits for each project				
"In situ" Slum Redevelopment (ISSR)						
Affordable Housing in Partnership (AHP)						
Beneficiary Led Construction (BLC) (New)						
Beneficiary Led Construction (BLC) (Enhancement)						
<b>C. Others</b>						
Fees proposed/ approved for each visit of TPQMA under each category of projects (Rs. Lakhs)						
Whether same or different agencies have been proposed/ selected for TPQM						
Whether transparent competitive bidding process has been adopted/ envisaged for the selection of TPQM Agency						

**VIII. Social Audit**

<b>1</b>	Name of State/UT		
<b>2</b>	Total number of projects approved under HFA Mission in the state		
<b>3</b>	Total number of projects selected for Social Audit		
<b>4</b>	Number of dwelling units covered in the social audit		
<b>6</b>	Name and address of the Independent Facilitating Agency shortlisted		
<b>7</b>	Tentative schedule of audit meetings		City
			<b>1.</b>
			<b>2.</b>
			<b>3.</b>
			<b>4.</b>
			<b>5.</b>
<b>8</b>	Budget requirement	<b>Item</b>	<b>Amount</b>
		Independent Facilitating Agency (Expert, Project Execution)	
		Travel and Accommodation (including Travel for workshop)	
		Workshop cost (venue, refreshments, logistics)	
		Documentation and IEC	
		<b>Total</b>	
<b>Signature of the competent authority with date</b>			

**Consolidated Budget**

<b>S. No.</b>	<b>Activity</b>	<b>Budget</b>
1	Establishment of SLTC	
2	Establishment of CLTC	
3	Trainings and Workshops	
4	Exposure Visits	
5	Documentation/Research	
6	IEC	
7	TPQM	
8	Social Audit	
	<b>Total</b>	





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Ministry of Housing and  
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