

# **PMAY(U)- HFA**

## **Need for Social Audit**

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# PMAY(U): Social Audit

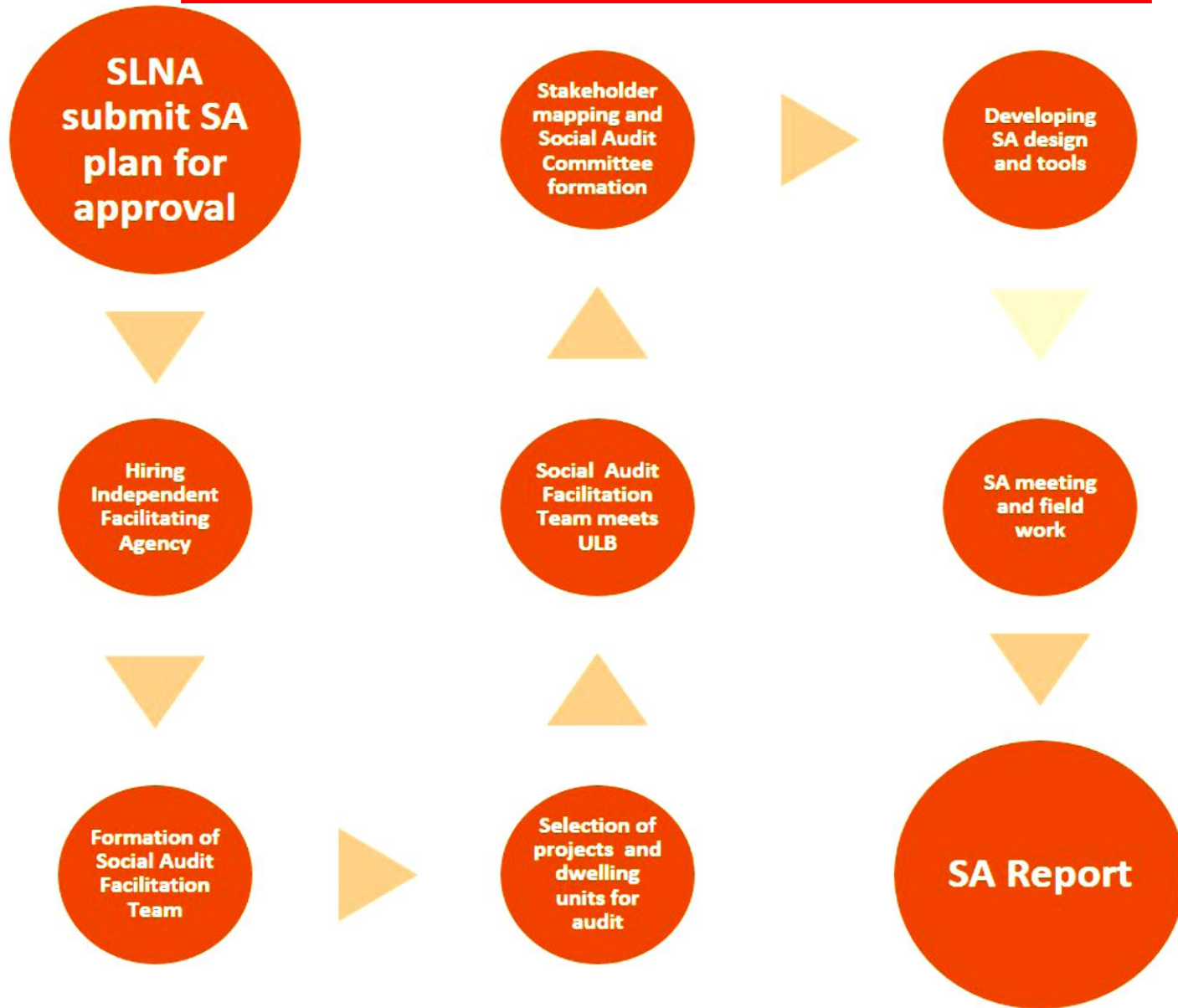
- **Social Audit** is a participatory monitoring exercise used to systematically assess the progress of the PMAY mission.
- **Social Audit** is not just an information gathering exercise, but a tool for social mobilization and sensitization of the Mission objectives to a wide range of stakeholders.



# Objectives

- Increase efficacy of the Mission by understanding any issues and gaps, 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 the project implementation.
- Improve the social performance of the HFA mission by making it inclusive, participatory, and transparent and give voice to the vulnerable people, including women.
- Assessment of impact of beneficiary sensitization on project about the benefits and enhance the visibility of the project among the general public.
- Broaden the understanding of the social impact of the HFA Mission, particularly its reach and relevance to the beneficiaries by supplementing information received from other monitoring and evaluation mechanisms.

# Process involved in Social Audit



*Mission will provide 100% financial assistance for social audit with the approval of CSMC.*

# Institutional Mechanism for Social Audit

State Level Nodal Agency (SLNA) engage Independent Facilitating Agency (IFA) to conduct social audit through:

- Expression of Interest (EoI) and**
- Subsequent signing of MoA between SLNA and hired institution.**

## Roles & Responsibilities:

- i. State Level Nodal Agency (SLNA)**
- ii. Independent Facilitating Agency (IFA)**
- iii. Urban Local Bodies**
- iv. Role of SLTCs and CLTCs**

in identification of projects/Dwelling Units for audit, liaison with the ULBs, organizing public meetings, etc.



# Preparation for Social Audit

## Sequences of activities for preparation of Social Audit:

1. Creating an enabling environment for Social Audit.
2. Systematic selection of projects and dwelling units.
3. Stakeholder Mapping .
4. Formation of Social Audit Committee .
5. Formation of ‘task based’ sub-committees, and assigning a Document Auditor.
6. Identification of issues for audit.
7. Development of Social Audit tools

## Parameters and indicators to be used for Social Audit

Parameter	Indicators
<b>Awareness</b>	Awareness of beneficiaries about their entitlements from the HFA Mission
<b>Inclusion</b>	Proportion of marginalized communities: SC/ST/OBC/minorities/ differently abled person/transgender manual scavengers/women (with overriding preference to widows) etc. among beneficiaries
<b>Participation</b>	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

<p><b>Effectiveness and Efficiency</b></p>	<p>Identification of right beneficiaries.  Whether the construction activities are being completed as per the planned duration, specifications and standards.  Satisfaction about Project related services in meeting beneficiary's requirements</p>
<p><b>Transparency</b></p>	<p>Proactive disclosures of project details including financial details by ULBs in the public domain</p>
<p><b>Quality Monitoring</b></p>	<p>Existence of any technical group/committee with members different from those involved in project implementation.  Periodic reviews of project activities and actions taken on gaps found.  Visits by ULB/CLTC staff to project sites.</p>
<p><b>Accountability</b></p>	<p>Measures taken to avoid malpractices and corruption  Mechanisms on grievance redressal and awareness of mechanisms for grievance redressal.  Instances of grievances/complaints escalated to ULB authorities and duration of resolving those grievances/complaints</p>
<p><b>Issues/ complaints</b></p>	<p>Any unresolved issues and complaints</p>

# Social Audit Report Format

<i>Name of the State:</i>	<i>Name of the City/Cities selected:</i>	<i>Name of the State Level Nodal Agency:</i>	<i>Name of Urban Local Bodies involved:</i>
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*Names of verticals included:*

<b>1</b>	<b>Awareness</b>  Awareness of beneficiaries about their entitlements from the Mission:
<b>2</b>	<b>Inclusion</b>  Proportion of marginalized communities [SC/ST/OBC/minorities/differently abled person / transgender/manual Scavengers/women (with overriding preference to widows) etc.] among beneficiaries:
<b>3</b>	<b>Participation</b>  a) Involvement of beneficiaries, CBOs/CSOs/ co-implementing agencies (e.g. banks/builders) in project related consultations:  b) Nature and Frequency of consultations with these groups:
<b>4</b>	<b>Effectiveness and Efficiency</b>  a) Identification of right kind of beneficiaries:  b) Whether the construction activities are being completed as per the planned duration, specifications and standards:  c) Satisfaction about Project related services in meeting beneficiary requirements:

<b>5</b>	<b>Transparency</b>  Proactive disclosures of project details including financial details by ULBs in the public domain:
<b>6</b>	<b>Quality Monitoring</b>  a) Existence of any technical group/committee with members different from those involved in project implementation:  b) Review of project activities and actions taken on gaps found:  c) Visits by ULB/CLTC staff to project sites:
<b>7</b>	<b>Accountability</b>  a) Measures taken to avoid malpractices and corruption:  b) Mechanisms on grievance redressal and awareness of mechanisms present for grievance redressal:  c) Instances of grievances/complaints escalated to ULB authorities and duration of resolving those grievances/complaints:
<b>8</b>	<b>Issues/complaints</b>  Any unresolved issues and complaints:
<b>9</b>	<b>Recommendations:</b>
<b>10</b>	<b>Name and Contact Details of the Independent Facilitating Agency:</b>

# Indicative Cost of Social Audit (INR)

Expenditure	Cost for social audit involving <b>up to 5 cities</b> , as per approved Annual Social Audit Plan	Cost for social audit involving <b>6 or more cities</b> , as per the approved Annual Social Audit Plan =
Independent Facilitating Agency (Expert/s+ Project Execution)	2,60,000	Actual expenses up to Rs. 3,50,000 (for 5 cities) plus Rs. 50,000 per additional city and up to Rs. 5,50,000 for audits which involve up to 9 or more cities
Travel and Accommodation (including Travel for workshop)	40,000	
Workshop logistics	30,000	
Documentation	20,000	
<b>Total</b>	<b>3,50,000</b>	

# Schedule of Fund Release and Requirements

Installment	Requirement for fund release
First (50%)	<ol style="list-style-type: none"><li data-bbox="450 449 1335 521">1. Social Audit Plan with SLSMC approved budget</li><li data-bbox="450 544 1360 615">2. Copy of EoI notification used for Selection of IFA</li><li data-bbox="450 638 1740 709">3. City wise list of Projects along with number of dwelling units selected</li></ol>
Final (50%)	<ol style="list-style-type: none"><li data-bbox="450 788 1379 859">1. City wise list of Social Audit Committee members</li><li data-bbox="450 882 1244 953">2. Copy of sample tools used for social audit</li><li data-bbox="450 976 1881 1139">3. State level social audit report, duly signed by the state Mission Director/ competent authority</li></ol>

# Points for Discussion

- Importance of Social Audit :

Social Audit is an independent evaluation of the performance of an organization/projects as it relates to attainment of its social goals. It is an instrument of social accountability .

(Background: On March 19, 2018, the Hon'ble Supreme Court emphasized the importance of social audits in improving government practices. In its final judgment on the National Campaign Committee for Central Legislation on Construction Labour (NCC-CL) petition on the implementation of the Building and Other Constructions Workers (Regulation of Employment and Conditions of Service) Act, the Court directed the Ministry of Labour and Employment, State Govt. / UTs to “conduct a social audit on the implementation of the BOCW Act so that in future there is better and more effective and meaningful implementation of the Act”. Source: The Hindu, May 09, 2018. )

- Enhance reputation and trust in Public agencies.
- Understanding of Stakeholder trends by Policy Makers.
- Increase accountability

- Stakeholder Values versus Societal Values

- stakeholder values are specific to those who are getting benefits from program and
- societal values as collective aspirations of the community/society.

- Govt. Audit Vs People Audit Vs Social Audit

**Govt. Audit :** Auditors do the audit without significant involvement of affected people.....

**Public Audit :** done by people with help of NGOs but generally highlights priorities and outcomes but the same needs verification.....

**Social Audit:** done jointly by the Govt. and beneficiaries /affected people.....

# Integrated Methodology

- **Inclusive** : do not leave out any stakeholder who is affected or is impacted.
- **Representative**: different segments in the society; both male and female, sub segments of beneficiary, geographically representative.
- **Relevant** : includes only relevant stakeholders; those who have important stakes in the process.
- **Balanced** : comprehensive assessment at all levels of implementation.

**Thanking You  
for  
kind attention**