



**Standard Operating Procedure (SoP)  
on**

**PMAY(U) Awards  
2019**



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**Pradhan Mantra Awas Yojana (Urban)**  
Ministry of Housing & Urban Affairs  
Government of India

## **The Award**

The Ministry of Housing and Urban Affairs, Government of India has instituted '**PMAY(U) awards for Implementation and Innovation**' in order to recognize the outstanding performance by States/UTs, Urban Local Bodies and Beneficiaries under PMAY(U) Mission since inception. The awards have broadly been classified into three levels:

- I. PMAY(U) Awards – for States/ UTs, Municipal Corporations & Municipalities
- II. CLSS Awards – for Primary Lending Institutes (PLIs)
- III. Beneficiary Awards

## **Purpose of Award**

PMAY(U) targets the construction of about one crore housing units by 2022, out of which about **68.5 Lakh houses** have been sanctioned by MoHUA as on 1<sup>st</sup> January 2019. About **36 Lakh houses** have already been grounded and **13 Lakh** are completed so far. Keeping in view the fact that there is diversity in approach towards planning, implementation and outcomes of the projects under PMAY(U) amongst various States/UTs, it is pertinent to identify and award the "Achievers" and encourage others to compete and attain the goal of 'Housing for All' in a sustained manner. The overarching purpose of the PMAY(U) award may be outlined as:

- 1) Recognize the achievements in the PMAY(U) Mission so far.
- 2) Disseminate knowledge on effective methods of design and implementation of PMAY(U) Mission.
- 3) Encourage innovations in successful implementation of the projects.
- 4) Promote and exchange successful experiences in solving problems, mitigating risks, resolving issues and planning for success of the Mission.

## **Eligibility for the PMAY(U) awards**

All States/UTs, Municipal Corporations & Municipalities are eligible for consideration of the Award. The State Level Nodal Officer/ Mission Director of PMAY(U) shall be the focal person for awards in the respective State/UT. Since Municipal Corporations are eligible to apply directly, the concerned Municipal Commissioner will be the focal person. The Municipalities (Municipal Council, Nagar Panchayat) are eligible to apply through their respective State Governments where the State/UT shall be nominating three best performing ULBs based on criteria described in this document.

The details pertaining to the 3 level of awards is described below:

## **I. PMAY(U) Awards for States/ UTs, Municipal Corporations & Municipalities**

### **1. Grouping of States:**

The States shall be divided into two groups for the purpose of PMAY(U) awards:

- **Group I:** 18 States
- **Group II:** 8 NER States, Himachal Pradesh, J&K, Uttarakhand

### **2. Category and number of Awards:**

A total of 5 category of awards has been constituted. The number of awards in each category are given below:

Sl. No.	Award	Group I Awards	Group II Awards	Total Awards
1	Best Performing State	3	1	4
2	Best Performing Municipal Corporation	3	1	4
3	Best Performing Municipalities (Municipal Council, Nagar Panchayat)	5	3	8
4	Special Awards for Best Practices/Innovation			9
5	Best House Construction (for 3 Beneficiaries from each of 35 States/UTs)			105

*Given the small share of UTs in national urban housing demand, the best performing UTs will be awarded under 'Special Category Awards'.*

### **3. Parameters of Evaluation:**

The Award are proposed on 4 broad parameters with corresponding weightage:

<b>Parameter A</b>	Implementation of PMAY(U)	50%
<b>Parameter B</b>	Institutional Architecture of the Scheme	15%
<b>Parameter C</b>	Incremental Monthly Progress	20%
<b>Parameter D</b>	Outreach & Transparency	15%

The States/UTs and Municipal Corporations as well as Municipalities will be awarded on the overall composite score of all four categories.

#### 4. Evaluation Methodology:

The 4 broad parameters will have corresponding sub-indicators. The evaluation will be on the basis of the weightage/ score against each sub-indicator is described in the table below:

S. No.	Parameters	Weightage / Score
<b>A</b>	<b>Implementation of PMAY (U)</b>	
I	DUs approved against total demand	10
II	DUs grounded against total approved	15
III	DUs Completed against approved	15
IV	DUs occupied against completed	5
V	UC submitted against total release	5
	<i>Sub-Total</i>	<b>50</b>
<b>B</b>	<b>Institutional Architecture of Scheme</b>	
I	Beneficiary attachment against total approved DUs	3
II	DBT transfer against Central share released	3
III	Projects/ Houses geo-tagged against approval	3
IV	Submission of HFAPoAs/AIPs against approved cities	3
V	Placement of SLTC/CLTC against approval	3
	<i>Sub Total</i>	<b>15</b>
<b>C</b>	<b>Incremental Monthly Progress</b>	
I	DUs approved against total demand	5
II	DUs grounded against total approved	5
III	DUs Completed against approved	5
IV	Beneficiary attachment against total approved DUs	2
V	Projects/ Houses geo-tagged against approval	3
	<i>Sub Total</i>	<b>20</b>
<b>D</b>	<b>Outreach &amp; Transparency</b>	
I	Best IEC campaigns conducted by States/UTs	5
II	Social Audit, TPQMA	2
III	Web portal on PMAY – Content, Design & Photos	2
IV	Grievances redressal mechanism	2
V	PMAY Logo on the houses	4
	<i>Sub Total</i>	<b>15</b>
<b>Total Score</b>		<b>100</b>

For the purpose of evaluation, the urban housing demand which is communicated by the State/UTs to the Ministry through their Road map /CSMC/ Review meetings shall be frozen as on **31<sup>st</sup> December 2018**.

The approvals shall also be frozen as on **31<sup>st</sup> December 2018** for evaluation, except for A-I and C-I (*DUs approved against total demand*) where the States would gain score for their cumulative approvals till May 2019.

## Scoring Criteria

- For the sub-indicators present in the evaluation methodology, the scoring will be based on combination of indexing and percentage of progress against each component. Indexing will be applied in order to factor-in the size of State and the quantum of work involved under PMAY(U) thereby. The weightage of Indexing and Progress percentage will be 50-50%.
- For evaluation based on ‘Parameters A to C’, the progress from inception of the scheme, i.e. from 25<sup>th</sup> June 2015 to 31<sup>st</sup> May 2019 will be considered. For evaluation based on ‘Parameter D’, progress since 1<sup>st</sup> Jan 2019 to 31<sup>st</sup> May 2019 will be considered.
- For the purpose of scoring, the progress as indicated in the online MPR submitted by the State/UT will be considered. The details of scoring criteria against each parameter are given below:

### A. Implementation:

Since the larger goal of the mission is to provide houses to the eligible beneficiaries, the highest weightage has been given to parameter on ‘Implementation’ which shall carry a total of 50 marks. The sub-indicators I to IV are self-explanatory while in indicator ‘V’ (*% of UC submitted against total release*), the UC submission will be evaluated against total fund released till **31<sup>st</sup> March 2018**. For the purpose of scoring, different slabs for each sub-indicator have been formulated as given below:

<b>A. Implementation</b>					
<b>I</b>	<b>% of DUs approved against total demand</b>				<b>10</b>
Range	Below 25	26-50	51-75	Above 75	
Marks	0	2	5	10	
<b>II</b>	<b>% of DUs grounded against approved</b>				<b>15</b>
Range	Below 25	26-50	51-75	Above 75	
Marks	0	5	10	15	
<b>III</b>	<b>% of DUs Completed against approved</b>				<b>15</b>
Range	Below 10	11-30	30-50	Above 50	
Marks	0	5	10	15	
<b>IV</b>	<b>% of DUs occupied against completed</b>				<b>5</b>
Range	Below 10	11-30	30-50	Above 50	
Marks	0	1	2.5	5	
<b>V</b>	<b>% of UC submitted against total release</b>				<b>5</b>
Range	Below 20	21-40	41-60	Above 60	
Marks	0	1	2.5	5	
<b>Total</b>					<b>50</b>

## B. Institutional Architecture:

Since the success of the scheme depends on the basic institutional mechanisms established at the State and City level, it is prudent to assess the compliance on sub-indicators mentioned in the table below. The 'Institutional Architecture of Scheme' shall carry 15 marks in total. For the purpose of scoring, different slabs for each sub-indicator have been formulated as given below:

<b>B. Institutional Architecture of Scheme</b>					
<b>I</b>	<b>% Beneficiary attachment against sanctioned DUs</b>				<b>3</b>
Range	Below 50	50-75	75-90	Above 90	
Marks	0	1	2	3	
<b>II</b>	<b>% DBT transfer against Central share released</b>				<b>3</b>
Range	Below 50	50-75	75-90	Above 90	
Marks	0	1	2	3	
<b>III</b>	<b>% Projects/ Houses geo-tagged against approval</b>				<b>3</b>
Range	Below 50	50-75	75-90	Above 90	
Marks	0	1	2	3	
<b>IV</b>	<b>% Submission of HFAPoA against approved cities</b>				<b>3</b>
Range	Below 50	50-75	75-90	Above 90	
Marks	0	1	2	3	
<b>V</b>	<b>% of Placement of SLTC/CLTC against approval</b>				<b>3</b>
Range	Below 50	50-75	75-90	Above 90	
Marks	0	1	2	3	
<b>Total</b>					<b>15</b>

## C. Incremental Monthly Progress

The performance of States shall also be evaluated based upon their incremental month-wise progress on pre-defined parameters. The performance shall be judged for a five-month period starting from 1<sup>st</sup> Jan 2019 till 31<sup>st</sup> May 2019. This will give an opportunity for States lagging behind to expedite their progress and compete with other States). The progress of a specific month shall be calculated in terms of percentage increment with respect to its preceding month. The 'Incremental Monthly Progress' shall carry 20 marks in total as given below:

<b>C. Incremental Monthly Progress</b>					
<b>I</b>	<b>% of DUs approved against demand</b>				<b>5</b>
Range	0-5	6-10	11-15	Above 15	
Marks	1	2	3	5	
<b>II</b>	<b>% of DUs grounded against approval</b>				<b>5</b>
Range	0-5	6-10	11-15	Above 15	
Marks	1	2	3	5	
<b>III</b>	<b>% of DUs Completed against approval</b>				<b>5</b>
Range	0-5	6-10	11-15	Above 15	
Marks	1	2	3	5	
<b>IV</b>	<b>% of Beneficiary attachment against approval</b>				<b>2</b>
Range	0-5	6-10	11-15	Above 15	
Marks	0.5	1.0	1.5	2.0	
<b>V</b>	<b>% Houses geo-tagged against approval (BLC)</b>				<b>3</b>
Range	0-5	6-10	11-15	Above 15	
Marks	0	1	2	3	
<b>Total</b>					<b>20</b>

<b>C. Incremental Monthly Progress</b>						
	Jan'19	Feb'19	Mar'19	Apr'19	May'19	Average Marks
<b>Marks</b>	<b>DUs approved against total demand</b>					
5						
<b>Marks</b>	<b>DUs grounded against total demand</b>					
5						
<b>Marks</b>	<b>DUs completed against total demand</b>					
5						
<b>Marks</b>	<b>Beneficiary attachment against approval</b>					
3						
<b>Marks</b>	<b>Geo-tagging against approval</b>					
2						
<b>Total Marks (out of 20)</b>						

#### **D. Outreach & Transparency**

In order to achieve the goal of 'Housing for All' by 2022, widespread awareness generation about the Mission and its modalities along with transparency and quality is of vital importance. At the same time, adoption of digital technology such as social media, web portal, mobile app etc. ensures wide outreach. In view of the same, a weightage of 15 marks has been assigned.

## I. Best IEC campaigns conducted by States/UTs

Recognising the significance of IEC activities, highest marks of 5 have been given. It will be evaluated on the basis of below listed activities with corresponding marks. The documentary evidence of doing these activities needs to be submitted with the claim.

S. No.	Indicator	Marks
i.	Documentary (film)	2.0
ii.	Active Facebook Account	0.5
iii.	Active Twitter Account	0.5
iv.	YouTube videos	0.5
v.	Hoardings & Banners	0.5
vi.	Brochure/Leaflet/Pamphlet/ Newsletter	0.5
vii.	Street Plays	0.5
<b>Total Marks</b>		<b>5</b>

**II. Social Audit & TPQMA:** The State/ULB which have conducted social audit and TPQMA will get 1 mark each. The percentage of coverage of both components will be communicated separately.

**III. Web portal/ Mobile App on PMAY(U):** The evaluation of this component will be based on the Content, Design & Photos in the Portal/ App

**IV. Grievance Redressal System:** Presence of the online grievance redressal/ helpline/ Toll free number and separate help desk for PMAY (U) will have 1 marks each. Both modes should be functional.

**V. PMAY(U) Logo:** 100% presence of logo in all BLC houses will get full marks or else Nil marks shall be given.

## Special awards Best Practices/ Innovation:

These State/UT level awards are conceived for special recognition to the best practices by the State/UTs with respect to innovation in policy, design, construction, monitoring, project, convergence etc. There will be no scoring mechanism for any of these awards. Being special category awards, the award screening committee will recommend and Empowered Committee would decide the winner in each sub-category. The State/UT might need to make a presentation before the screening committee which will be communicated at appropriate stage. The members of the Committee may also visit the States for final selection

for the award in each sub-category. The decision of the Committee shall be final. The State/UT will nominate their best practices under one or more category with salient details. The awards category is listed below:

1. **Best performing Union Territory under PMAY(U):** Best performing UT will be selected on the basis of 4 parameters as mentioned in 'Evaluation Parameters' in *para 2* above.
2. **Project Monitoring methods/Tools:** The selection of the award will be on the basis of best innovative mechanism to monitor the progress of PMAY (U) project apart from regular mechanism such as geo-tagging, field visit etc.
3. **Policy Initiatives:** The State/UT best policy to promote affordable housing, which has resulted in transformation of the lives of urban poor.
4. **Adoption of innovative construction technology:** This award is to recognize the State/UT adopting fast track and alternate construction technology for AHP/ISSR houses. It will be evaluated on the basis of percentage of total AHP/ISSR houses using alternate technology against total grounded houses.
5. **Community Mobilization Initiatives:** This category of award will recognize innovative community mobilization activity in project implementation, social audit, training, women empowerment.
6. **Best AHP Project on Public land:** The selection for this award will be based on grounded AHP project on public land on combination of factors including policy, design, aesthetic, green initiatives and convergence.
7. **Best AHP Project on Private land:** In order to promote affordable housing on private land the award will recognize the best project as nominated by State/UTs. The selection for this award will be based on combination of factors including grounding, policy, design, aesthetic, green initiatives and convergence.
8. **Best ISSR Project:** The State with highest number of completed houses under ISSR project as on 31<sup>st</sup> May 2019 will be rewarded.
9. **Convergence:** The State/ UTs having maximum projects of convergence with other GoI schemes/ State schemes would be selected for award.

## **II. CLSS Awards**

These awards have been constituted to recognise the remarkable performance of the Primary Lending Institutions, banks, Housing Finance Corporations in disbursement of loan subsidy under CLSS component of PMAY(U). These awards have already been constituted in 2018 where the above stake holders were rewarded on the occasion of 3<sup>rd</sup> anniversary of the Urban Missions. The modalities and selection process for CLSS awards in 2019 will be communicated separately.

## **III. Beneficiary Level Awards**

The State/UTs is required to send photographs of 10 best aesthetically constructed BLC houses. Transparent mechanism should be adopted for selection of these 10 houses to be selected from 10 different ULBs. The Award Screening Committee shall choose 3 best houses from each State/UTs for the award. These award will be conferred to 105 beneficiaries, **three from each State/UTs**.

## **Award Ceremony**

All types of State, Municipal Corporation, Municipality level awards shall be given in the form of Scroll and Citation (Memento) in a special National Event to be held at New Delhi. The awardees shall receive their award by the Hon'ble Prime Minister of India.

The beneficiary level award would be given in the appropriate function organised by the respective State/ District administration.

## How to Apply

### **Submission of Nomination:**

The State/UTs and ULBs will be participants of these national awards. There will be four levels of competition, **Level- I** Inter State, **Level-II** Inter-Municipal Corporation, **Level- III** Inter-Municipality and **Level-IV** inter-beneficiary (separately for each State).

For State level awards, the SLNA of the State/UTs and Municipal Corporations will send their nominations along with requisite information to the Ministry. The States/UTs are requested to nominate 3 best performing Municipalities (Municipal council/ Nagar Panchayat/ NAC) based on indicators mentioned in this document.

All nominations from ULB and SLNA need to be submitted after approval of the SLAC and SLSMC formed under PMAY(U) Mission. The online mechanism of submission of applications will be communicated to the State/UTs at appropriate time. Detailed directions and manual will be shared with the States for filling up the applications and documentary requirement to support the evaluation process.

For the selection of best house, the States/UTs are requested to send 10 high resolution photographs of best houses constructed under BLC components in the State/UT out of which 3 will be awarded to each State.

## Timelines

Sl. No	Activity	Timeline
1	Communication to States/UTs	Jan 10 <sup>th</sup> 2019
2	Submission by ULBs /SLNA for SLAC & SLSMC appraisal	May 15 <sup>th</sup> 2019
3	Submission of nominations to the Ministry	May 31 <sup>st</sup> 2019
4	Scrutiny and evaluation	June 15 <sup>th</sup> 2019
5	Anniversary Celebrations – Distribution of Awards	June 25 <sup>th</sup> 2019

*Disclaimer: Ministry on its own discretion may alter the number of awards, indicators and weightage for the award process, if required, without detailing out the reason thereof.*