

Uttar Pradesh Real Estate Regulatory Authority

Naveen Bhawan, Rajya Niyojan Sansthan,
Kalakankar House, Old Hyderabad, Lucknow-226007

No. *13015*/UP-RERA/Tech-Cell/2024-25

Date: *05/09/2024*

Office Order

Standard Operating Procedure (SOP) for Registration of Real Estate Projects

The Authority previously issued guidelines for Project Registration, Editing and Updating QPR etc. vide office order no. 840/RERA-Website/2018-19 dated 7th May 2018, office order no. 4409/UPRERA/SOP/Pari-Panji/2018-19 dated 27th November 2018 and office order no. 3206/UPRERA/Pari-Panji/2019-20 dated 10th April 2019. Over the period, the real estate project registration application form and process has undergone substantial changes.

As provided under section 3(1) of the RERA Act, prior registration of real estate project with Real Estate Regulatory Authority (RERA) is mandatory to advertise, market, book, sell or offer for sale, or invite persons to purchase in any manner any plot, apartment or building. According to section 3(2) no registration of the real estate project is required where the area of land proposed to be developed does not exceed five hundred square meters or the number of apartments proposed to be developed does not exceed eight inclusive of all phases. Further, Section 4 of the RERA Act mandates that every promoter shall make an application to the Authority for registration of the real estate project in such form, manner, within such time and accompanied by such fee as may be specified by the regulations made by the Authority. Provisions regarding project registration are also provided in Section 4(2) of RERA Act, Rule 3, 4 and 14 of the U.P. RERA Rules and Regulation 3, 4 and 26 of U.P. RERA Regulations 2019 as amended from time to time. Provision for granting the registration of the project is provided under Section 5 of the RERA Act and Rule 6 of the U.P. RERA Rules.

In accordance with the above-mentioned provisions and functions as well as powers given under Section 34(f) and 37 of the RERA Act, the guidelines regarding Registration of Real Estate Projects are hereby revised by the Authority in view of the evolved registration process and hence this Standard Operating Procedure (SOP) is

being issued. The SOPs issued vide office order no. 840/RERA-Website/2018-19 dated 07.05.2018, office order no. 4409/UPRERA/SOP/Pari-Panji/2018-19 dated 27th November 2018 and office order no. 3206/UPRERA/Pari-Panji/2019-20 dated 10th April 2019 shall stand amended to the extent of this SOP. The promoters are mandated to comply with the provisions of the Act, the Rules, the Regulations and orders passed by the Authority accordingly.

I-Process of submission of application for project registration

1. Prior enrolment as a Promoter

The first step for a new promoter for registering its real estate project is to enroll itself as promoter and create a promoter profile on the U.P. RERA Web Portal. After enrollment, the promoter will be able to access the 'Promoter Dashboard', wherein the application for registration of real estate project is available. The Promoter Dashboard on the U.P. RERA Web Portal is an online webpage providing links to all the functionalities and information related to real estate projects and complaints filed against the promoters. The intending promoter should refer to the SOP for Enrollment of Real Estate Promoters available in the notification section on U.P. RERA portal for details on the enrollment process.

The application for registration of real estate projects should be submitted online only using the application form provided on the Promoter Dashboard. The application form is divided into following fifteen (15) parts as explained below: -

2. Updation of Promoter's Profile

At the time of submission of a new application for registration of any project, the promoter is required to update the details and information submitted during creation of promoter profile, if required, to ensure the profile is up to date and reflect the current status of the promoter, including the details of the Directors / Partners / Trustees, latest financial statements and income tax returns etc.

3. Project Land

As per Section 4(2) (I) (A) of the RERA Act and Rule 3(1) (d), (f) and Rule 14 of the UP RERA Rules, the promoter should have the legal title to the land on which the development is proposed along with legally valid documents with authentication of such title.

- (a) The promoter shall be required to provide the following details of the project land: -
- I. Whether the project land is free-hold *or* leasehold?
 - II. Status of encumbrance of the land, if any. If yes, then the type of encumbrance.
 - III. Where the promoter is the owner of the land on which development is proposed, the documents of project land ownership such as conveyance deed i.e., sale deed, gift deed, exchange deed supported by certified copy of title documents etc., and/or certified copy of khatauni to be submitted.
- (b) Where the promoter is not the owner of the land on which development is proposed, details of the consent of the owner of the land along with a copy of the collaboration agreement, development agreement, joint development agreement or any other agreement of similar nature, as the case may be, entered into between the promoter and such owner and copies of title and other documents such as conveyance deed i.e., sale deed, gift deed, exchange deed supported by certified copy of title documents etc., and/or certified copy of khatauni reflecting the title of such owner(s) on the land to be submitted.
- In this case, the promoter is required to add landowner(s) as a promoter to the project. If the landowner is not already enrolled as a promoter on U.P. RERA Web Portal.
- (c) In case, the promoter has leasehold rights on the project land from competent authority, details of leased land including copy of lease documents, sublease documents to be submitted.
- (d) The promoter shall also be required to provide the geographic coordinates of each corner point of the project land. The system will use the geographical coordinates to auto-create a map of the project land.

4. Sanctioned Layout and Map of the Project

As per Section 4(2) (c), (d) & (e) of the Act and Rule 14 of the Rules, the sanctioned plan, layout plan and specifications of the project or the phase thereof, as sanctioned by the competent authority, the promoter shall be required to provide the details of the project as follows: -

- (a) Sanctioning Competent Authority
- (b) Permit number, date and its validity
- (c) Copy of the Sanction Letter, Approved Map and Building Layout. In case the map / layout is part of a township, a copy of the sanctioned layout of the township.
- (d) Copy of approved layout of project superimposed on Sajra (Revenue Map) authenticated by an Architect.

- (e) Approvals and Supplementary Documents: The promoter shall be required to upload the following documents, but not limited to- Commencement Certificate, Waste Disposal Plan, Water Supply Plan, Electricity Supply Plan, Development Work Plan, NOCs submitted for obtaining sanctioned plan and undertaking construction (Fire, Airports Authority, Environment etc.), use of renewable energy, Lift Registration Status, as applicable.
- (f) Specify the details related to the approved map such as land area, covered land area, open land area, carpet area, no. of garages, total area of garages, no. of covered parking, total area of covered parking, no. of open parking, total area of open parking, as applicable.
- (g) In case the promoter intends to register different phases as separate projects as provided in the map, the promoter shall be required to provide the details required in point (f) related to the said part and a copy of the approved map demarcating the land area that is being developed under the concerned registration application.
- (h) In case the promoter had already registered the remaining area or part of the approved map with U.P. RERA, the promoter shall provide the RERA Registration Number of that project(s) and upload a copy of the approved map clearly demarcating the area of such projects(s). The promoter should put up a hoarding at the project site showing the demarcated area of all projects registered with U.P. RERA. If not, a declaration to be uploaded stating that the remaining area has not been registered with U.P. RERA and will not be marketed or sold under this registration application.

5. Basic Details of the Project

The promoter shall be required to provide the following basic details of the project: -

- (a) **Project Name:** The promoter shall provide the name of the project. Here the promoter shall ensure that the name of the project proposed for registration in RERA is clearly mentioned on the sanctioned map in the same manner. However, in case the registration name of the project is not mentioned on the sanctioned map, the promoter shall provide both the names, i.e., the name given in sanctioned map and the project name against the name given in sanctioned map. The promoter shall use only the RERA registered name of the project for marketing and sale purposes.

(b) **Project Type:** The project type may be Residential or Commercial or Mixed Development as per approved sanctioned map. Promoter shall provide type and sub-types of the project as follows:

Residential Development: For residential project type, the sub-type includes 'Group Housing', 'Plotted Development', 'Villa Development' and 'Other' or combination of these sub-types. In case 'Other' is being selected, the promoter to define the end-use.

Commercial Development: For commercial project type, the sub-type includes 'Retail Shops', 'Office Space', 'Commercial Plots', 'Hotel' and 'Other' or combination of these sub-types. In case 'Other' is being selected, the promoter to define the end-use.

Mixed Development: For mixed project type, the sub-type shall include all the sub-types provided under Residential and Commercial project types and 'Other'. In case 'Other' is being selected, the promoter to define the end-use.

(c) **Project Address:** The promoter shall be required to provide the complete postal address of the project.

(d) **Project Cost and Area:** The promoter shall be required to provide *the total cost* including land cost and area of the project. The project cost should be as per the Chartered Accountant certificate.

(e) In addition to the above details, the promoter shall also be required to provide four (4) email addresses in relation to the project for communication with

- UP RERA - One for the purpose of *Project Registration and other administrative matters and one for the Complaints U/s 31, 38, 40 & 63 and 71*
- Allottees
- Agents

After getting the registration of the project, promoter shall use above emails for communication with UP RERA Technical Section & for Complaints, allottees and agents.

6. Project Inventory Details

In this part, the promoter shall be required to provide the list of all individual units (flats, villas, shops, plots etc.) in the project including the Unit No, Carpet Area, No of Balconies etc.

a) **For Apartment Units:** The promoter shall provide the details of project such as;

- i. Number of towers
- ii. Name of towers (as per sanctioned map as well as marketing name)

- iii. Number of floors in every tower (including number of basements)
- iv. Number of units in every tower
- v. Number of covered parking in every tower
- vi. Number of open parking in every tower
- vii. Number of garages in every tower
- viii. Number of lifts in every tower

likewise, the tower-wise unit details (in square meter) of project such as;

- i. Flat/unit number (to be used for allotment/sale)
- ii. Floor number
- iii. Carpet area of unit
- iv. Total Number of balconies
- v. Area of balconies not computed in the FAR
- vi. Area of balconies computed in the FAR
- vii. Number of garages
- viii. Total area of garages
- ix. Number of covered parking
- x. Total area of covered parking
- xi. Number of open parking
- xii. Total area of open parking
- xiii. Type of parking (normal or mechanized)

b) For Plotted Units: The promoter shall provide the details of project such as;

- i. Number of sectors/blocks
- ii. Name of sectors/blocks
- iii. Number of plots in every sector/block
- iv. Plot/unit number (to be used for allotment/sale)
- v. Plot size (in square meter).

c) For Villa Units: The promoter shall provide the details of project such as;

- i. Number of sectors/blocks
- ii. Name of sectors/blocks
- iii. Number of villas in every sector/block
- iv. Villa/unit number (to be used for allotment/sale)
- v. Carpet area (in square meter)
- vi. Number of garages

vii. Total area of garages

d) **For Retail Shops:** The promoter shall provide the details of project such as;

- i. Number of towers
- ii. Name of towers (as per sanctioned map as well as marketing name)
- iii. Number of floors in every tower (including number of basements)
- iv. Number of units in every tower
- v. Number of covered parking in every tower
- vi. Number of open parking in every tower
- vii. Number of garages in every tower
- viii. Number of lifts in every tower

likewise, the tower-wise unit details (in square meter) of project such as;

- i. Shop/unit number (to be used for allotment/sale)
- ii. Floor number
- iii. Carpet area of unit
- iv. Number of balconies
- v. Total area of balconies
- vi. Number of garages
- vii. Total area of garages
- viii. Number covered parking
- ix. Total area of covered parking
- x. Number of open parking
- xi. Total area of open parking
- xii. Type of parking (normal or mechanized)

e) **For Office Space:** The promoter shall provide the details of project such as;

- i. Number of towers
- ii. Name of towers (as per sanctioned map as well as marketing name)
- iii. Number of floors in every tower (including number of basements)
- iv. Number of units in every tower
- v. Number of covered parking in every tower
- vi. Number of open parking in every tower
- vii. Number of garages in every tower
- viii. Number of lifts in every tower

likewise, the tower-wise unit details (in square meter) of project such as;

- i. Office/unit number (to be used for allotment/sale)
- ii. Floor number
- iii. Carpet area of unit
- iv. Number of balconies
- v. Total area of balconies
- vi. Number of garages
- vii. Total area of garages
- viii. Number of covered parking
- ix. Total area of covered parking
- x. Number of open parking
- xi. Total area of open parking
- xii. Type of parking (normal or mechanized)

The promoter is required to download the pre-defined excel/csv format, fill the details of the inventories and upload the document on U.P. RERA portal during project registration. Once the document is uploaded, the system will auto-create a table of the inventories. The promoter shall review and modify the inventory details before moving to the next step.

7. Project Development Plan

(a) **Project Specifications:** The promoter shall be required to provide the specifications of the units in the project, including make / brand of fitting / fixtures as applicable. The promoter has to ensure that specifications provided during registration are used and also reflected in the marketing and promotional material.

(b) **Project Amenities:** A detailed note shall be given explaining the salient features of the proposed project including access to the project, design for electric supply including street lighting, water supply arrangements, site for disposal and treatment of storm and sullage water, any other facilities and amenities such as swimming pool, club, gym or public health services etc. proposed to be provided in the project. The promoter has to ensure that only those amenities which are proposed in registration application are reflected in the marketing and promotional material. Section 14 of the RERA Act mandates that the promoter has to complete the project strictly according to the specifications provided at the time of the registration. Further, the list of project amenities should match the list provided in the Architect's and Engineer's certificates.

8. Details of Professionals

The promoter is required to provide the details of professionals including names, postal and email addresses, mobile number and professional's registration number (as applicable) of the Architect, the Engineer, and the Chartered Accountant in compliance of Section 4(2)(k) of the RERA Act. The promoter shall be responsible for submitting the Architect's, Engineer's and Chartered Accountant's certificates at the time of registration and for filing quarterly progress reports through these professionals. If required, the promoter may change the Architect, Engineer and the Chartered Accountant, any time after registration of the project, using the project edit functionality available on the promoter's dashboard, at his own responsibility.

The promoter shall submit the details of the professionals and get the digitally signed certificates issued by the professionals through the facility available on the promoter's dashboard.

Note: Kindly refer to 'Guidelines for Submission of Architect, Engineer and Chartered Accountant Certificate' issued by U.P. RERA, available on U.P. RERA Web Portal for creating and submitting the certificates using DSC (digital signature). Unless all the three certificates are created by the professionals, approved and forwarded by the promoter, the registration application cannot be submitted.

9. Project Bank Accounts and Project Finance

The promoter must refer the Real Estate Project (Maintenance and Operation of Project Bank Accounts) Directions, 2020 as revised in November 2023, issued vide no. 14297 dated 29-11-2023 for specific details in respect to Project bank accounts and Project Finance. Accordingly,

- i. The promoter shall be required to provide the following details of the project accounts, namely Collection Account, Separate Account and Transaction Account: -
 - (a) Name of Account, Account Number & Latest Account Statement.
 - (b) Bank Name, Branch Name, Branch Address, Branch Email Id and IFS Code.
 - (c) Form RA-1 and Form RA-7 as prescribed in Real Estate Project (Maintenance and Operation of Project Bank Accounts) Directions, 2020 as revised in November 2023.
 - (d) Copy of Standing Instructions issued to the bank for auto-transfer from Collection Account to Separate Account and Transaction Account.

Note: The Promoter shall mandatorily disclose the Collection Account Number of the project in all the Marketing documents and Print & Digital Advertisements.

- ii. The promoter shall be required to provide the following details of project finance or other credit facilities availed for construction and development of the said project, as applicable:
 - a. Details of financial institution.
 - b. Certificate from chartered accountant.
 - c. Sanction letter of project finance from bank/financial institution.
 - d. Details of finance / credit facilities availed.
 - e. Details of Security provided for availing the finance / credit facility.
 - f. Form RA-8 as prescribed in Real Estate Project (Maintenance and Operation of Project Bank Accounts) Directions, 2020 as revised in November 2023.

The promoter shall also be responsible to upload / update the above information on UP RERA portal at the end of every quarter.

10. Real Estate Agents for the Project

The promoter shall be required to select the Real Estate Agents who have been engaged for promotion / booking of units in the project by providing the following details: -

- (a) Validity date of engagement
- (b) Proof of engagement such as engagement letter, agreement etc.

Once the promoter selects a Real Estate Agent, a notification will be sent to the selected agent to confirm his engagement for the said project. Only on confirmation by the Real Estate Agent, the name of the selected agent will be reflected under the project.

The promoter shall continue to be responsible to keep the list of Real Estate Agents engaged up to date for the said project after registration of the project.

Note: It shall be the responsibility of the promoter to ensure that real estate agents, other than those selected, are not engaged in promotion or sale of the units in the project. Agents selected for the project should have valid RERA registration number.

11. Draft formats for Application Form, Allotment Letter and Agreement for Sale / Lease

The promoter shall be required to upload the following documents –

- (a) **Proforma of Application Form:** The document required to be filled and submitted by a potential allottee to express interest for booking / purchasing a unit.

- (b) **Proforma of Allotment Letter:** The document issued by the promoter to the allottee confirming the allocation of a specific unit and outlining the terms and conditions.
- (c) **Proforma of Agreement for Sale:** The document should strictly be in accordance with Uttar Pradesh Real Estate (Regulation and Development) (Agreement For Sale / Lease) Rules, 2018.
- (d) **Proforma of Offer of Possession:** The document issued by the promoter to the allottee, offering possession of the property and outlining the remaining obligations or conditions. This proforma must be in accordance with U.P. RERA order number-7316 dated 29.05.2024.
- (e) **Proforma of Conveyance Deed:** The document for transferring the ownership of the booked unit from the promoter to the allottee.

The promoter has to ensure that all the abovesaid documents are in accordance with the RERA Act, U.P. RERA Rules, Regulations, Uttar Pradesh Apartment (Promotion of Construction, Ownership, and Maintenance) Act, 2010 and Directions issued by the U.P. Real Estate Regulatory Authority from time to time. The promoter shall ensure that proforma documents that are submitted during registration are the ones to be used with allottees post registration. The promoter shall be required to seek prior approval of U.P. RERA for making changes to the above documents.

12. Key Personnel for the Project

The promoter shall be required to provide details of key personnel involved in day-to-day activities of the project.

- (a) **Contractor:** The promoter shall provide the Name, Address, Contact Number, Email Address and scope of work of key contractors engaged for the project.
- (b) **Project Coordinator / Site Engineer:** The promoter shall provide the Name, Contact Number and Email Address of the project coordinator / site engineer appointed for the project.
- (c) **Customer Relationship Manager and Toll-Free Numbers (Minimum Two):** The promoter shall provide the Name, Contact Number and Email Address of the CRM responsible for managing the allottee' related matters for the project. Promoter is also required to provide the dedicated contact number/toll free number related to the project.

13. Project Gantt Charts, Schedule and Quarterly Progress Targets

The promoter shall be required to undertake the following:

a) **Approval of Architect's, Engineer's, and Chartered Accountant's Certificates:**

The promoter shall review the certificates created by the professionals, approve and submit the same for consideration.

b) **Creation and Confirmation of Physical and Financial Quarterly Progress Targets:**

Based on the details provided by the professionals in their certificates, the system will automatically generate the physical and financial quarterly targets in the form of a Gantt Chart as per the following methodology:

i) **Project Start Date:** The system will consider the first 'Activity Start Date' provided in the Architect's certificate as the project start date.

ii) **Project Completion Date:** The system will consider the last 'Activity End Date' provided in the Architect's certificate as the project completion date.

iii) **Physical Targets:** Based on 'Activity Start Date' and 'Activity End Date' provided in the Architect's certificate, the system will apportion the work for each quarter. For example, if the total time required to complete an activity is 8 months i.e., 'Activity Start Date' is 01/01/2024 and the 'Activity End Date' is 31/08/2024, the system will create physical target as -

Quarter 1 (01/01/2024 - 31/03/2024): 37.5%

Quarter 2 (01/04/2024 - 30/06/2024): 37.5%

Quarter 3 (01/07/2024 - 30/09/2024): 25%

In case the work has already commenced for any of the activities, the system shall consider the lower of the work done percentages declared by the Architect or the Engineer in Form REG-1 and REG-2 respectively. The physical targets shall then be set for the remaining work to be completed. The promoter shall be required to review the system generated quarterly physical targets, make changes as required, and submit them.

iv) **Financial Targets:** Based on the physical targets submitted by the promoter, the system shall automatically apportion the total cost of the activity provided in the Engineer's certificate to each quarter. For example, if the total cost for the activity considered above is Rs.1,00,00,000/- as per REG-2, the system will create financial targets as -

Quarter 1 (01/01/2024 - 31/03/2024): Rs. 37,50,000/-

Quarter 2 (01/04/2024 – 30/06/2024): Rs. 37,50,000/-

Quarter 3 (01/07/2024 – 30/09/2024): Rs. 25,00,000/-

The promoter shall be required to review the system generated quarterly financial targets and submit them. Since the financial targets shall be created based on the physical targets, the promoter shall not have the option to make changes in financial targets.

14. Declaration

The promoter is required to upload the Affidavit cum Declaration (Form-B) as prescribed in The Uttar Pradesh Real Estate (Regulation and Development) Rules, 2016.

15. Payment of Registration Fees

The promoter shall be required to pay the requisites registration fees, as under, using the online payment gateways –

Project Type	Project Land Area (Sq.mts)	
	Up to 1,000 sq.mts	Area exceeding 1000 sq.mts
Residential Development	Rs. 10 per sq.mt	Rs.500 per 100 sq.mt
Commercial Development	Rs. 20 per sq.mt	Rs.1,000 per 100 sq.mt
Mixed Development	Rs. 15 per sq.mt	Rs.750 per 100 sq.mt

Note: The promoter shall be able to make the payment of registration fees only after all the previous parts have been duly completed.

16. Project Marketing & Promotional Material

Within one month of the registration of the project, the promoter shall be required to upload project marketing and promotional material such as Project Website, Brochures, Newsprint Advertisements, Online Advertisements etc., that will be used to promote and advertise the project.

The Promoter shall mandatorily disclose the Project RERA Registration Number, QR Code given in the RERA Registration Certificate (Form C), Website Address of U. P. RERA and conditions mentioned in RERA Registration Certificate on all the Print & Digital Advertisements, Brochures, Application Form, Allotment Letters, BBA / AFS.

The promoter is required to keep this section updated, as and when, new promotional material is used for promotion and advertising till the completion of the project.

Note: For promotion and advertisement of registered project, refer to the U.P. RERA Office Order No: 2387, dated 22-02-2024.

II- Evaluation and disposal of Registration Application

1. Scrutiny of Registration Application

- a. U.P. RERA shall evaluate the registration application as per provisions and prepare a checklist with its shortcomings in the prescribed format provided in **Annexure-1**, preferably in seven (7) days after the complete documents are uploaded and registration fees paid.
- b. The Technical Division of the Authority, after compiling the objections, if any, shall issue a notice within further three (3) days to the promoter seeking response on its objections, if any. The promoter must respond on the notice within seven (7) days from the date of the notice.
- c. The Technical Division shall review the response submitted by the promoter on the objections raised. The Technical Division may, with the permission of Secretary, U.P. RERA, call the promoter for the hearing to review the objections and Promoter's responses.
- d. Status of other projects, complaints and compliances of RERA Orders by the promoter shall also be taken into cognizance at the time of evaluation of the application for a new registration.

2. Disposal of Application

- a. The Technical Division after having verified that the registration application is complete and all objections, if any, have been addressed by the promoter, shall place the application before the Secretary for issuing the Registration Certificate in Form-C.
- b. In the event of the Registration application being not as per provisions and the objections raised having not been resolved, the application shall be placed before the Authority for hearing and decision.
- c. An opportunity of hearing shall be provided to the promoter before the Authority. The Authority shall consider the matter and take decision accordingly on approval or rejection of the registration application.
 - i. Upon approval by the Authority, the Registration application shall be placed before the Secretary for issuing the Registration Certificate.
 - ii. Upon rejection by the Authority, the Registration application shall be placed before the Secretary for issuing order rejecting the Registration application.

3. The promoter, in the case of rejection of its Registration application, shall be provided a period of three (3) months for re-submitting its application after clearing the grounds of rejections, without paying the Registration fees again.

3.1.1 If the application for Registration of a project is rejected by the Authority on the grounds of non-compliance of provisions of the RERA Act, Rules, Regulations and the Orders of the Authority and the promoter applies or re-applies for registering the same project without removing the grounds of rejection, its application will be treated as continuation of previous application in violation and in willful disobedience of the Directions / Orders of the Authority and provisions of RERA Act, the Rules and the Regulations. Accordingly, the application shall be placed before the Authority for hearing. After three (3) months of rejection of the application or on rejection of the re-submitted registration application, the promoter shall initiate a fresh registration application by paying the requisite registration fees.



(Pramod Kumar Upadhyay)
Secretary

No. and date as above.

Copy to:

1. Hon'ble Chairman, U.P. Real Estate Regulatory Authority.
2. Hon'ble Members, U.P. Real Estate Regulatory Authority.
3. Legal Advisor, U.P. Real Estate Regulatory Authority.
4. Technical Advisor, U.P. Real Estate Regulatory Authority.
5. Joint Secretary, U.P. Real Estate Regulatory Authority.
6. Deputy Secretary, U.P. Real Estate Regulatory Authority.
7. Assistant Director (Systems), U.P. Real Estate Regulatory Authority for displaying the office order on the web-portal of the Authority.
8. Media Consultant, U.P. Real Estate Regulatory Authority to widely publicize the provisions and directions mentioned in this office order.
9. Guard file.



(Pramod Kumar Upadhyay)
Secretary

Annexure-1

Project Registration Application Evaluation Checklist

Checklist for Examination of Application for Registration of New Project		
Application ID- _____		Date of Application- _____
S.N.	Name of Required Fields	Status of given information (as on _____)
PROMOTER DETAILS		
Common Fields		
1	Promoter Type	Individual / Company / Proprietorship / Societies / Partnership / LLP / Competent Authority / Local Authority / Association of Persons (AOP)
2	Promoter Name	
3	Address of Registered Office	
	Address of Head Office	
4	Promoter's Website	No advertisement or promotion of any un-registered project shall be publicized on this website.
5	PAN Number	
6	Copy of PAN	
7	Email	
8	Mobile No	< Auto filled >
9	<ol style="list-style-type: none"> 1. Projects launched in last 5 years whether completed or being developed. 2. Number of ongoing projects and proposed to be constructed. 3. Number of total completed projects and area constructed till date. 	
10	Details of Registration with other State	

	RERAs/UTs, If any	
11	Audited Balance Sheet for Preceding Year	
12	Income Tax Return for Preceding 3 Years	
13	Authorized Representative Details	
14	Promoter Group Details	
15	Board Resolution	
For Individual		
1	Father's Name (for individual)	
2	Occupation (for individual)	
3	Photograph Upload	
4	Aadhaar Number	
5	Copy of Aadhaar	
For Company		
1	Company Registration Number	
2	Company Registration certificate	
3	Main Objective	
4	Date of Incorporation	
5	Brief detail of Enterprise (Copy of Memorandum of Association of company)	
6	CIN / TAN Number	
7	Copy of CIN/TAN	
8	Name of Chairman	
9	Photograph of Chairman	
10	Name of Directors	
11	Address Proof of Chairman	Aadhaar /DL / Electricity bill / House tax receipt /Voter ID
12	DIN Number	
13	Address of Directors	
14	Photograph of Directors	

For Proprietorship / Partnership / Societies / LLP	
1	Firm Registration Number
2	Firm Registration Certificate
3	Main Objective
4	Date of Incorporation
5	Upload Brief Details of Enterprise
6	TAN Number
7	Copy of TAN
8	Name of Members/Partners
9	Address Proof of Members / Partners
10	Address of Members / Partners
11	Photograph of Members / Partners
For Competent Authority	
1	Main Objective
2	Date of Incorporation
3	Brief Details of Authority
4	TAN Number
5	Copy of TAN
6	Name of Housing Commissioner / CEO / VC
7	Upload Photograph of Housing Commissioner / CEO / VC
8	Postal Address
For Local Authority	
1	Main Objective
2	Date of Incorporation
3	Brief Details of Authority
4	TAN Number
5	Copy of TAN
6	Name of Housing Commissioner / CEO /

	VC	
7	Photograph of Housing Commissioner / CEO / VC	
8	Postal Address	
For Association of Persons		
1	AoP Reg No.	
2	AoP Registration Certificate	
3	Main Objective	
4	Date of Incorporation	
5	Brief Details of Enterprise	
6	TAN Number	
7	Copy of TAN	
8	Name of Partner(s)	
9	Address of Partner(s)	
10	Address Proof of Partner(s)	
11	Photograph of Partner(s)	
PROJECT DETAILS		
1	Project Type	
2	Project Category	
3	Project Name	
4	Project Address	
5	Project website, if any	(to be created within one month from the date of project registration and to be informed to the Authority thereafter)
6	Project Land details	Free hold or lease hold
7	In case of Free hold	Details of project land ownerships including copy of ownership documents.
8	In case of lease hold	Details of leased land including copy of lease documents.
9	Approved Map	

10	Sanctioning Competent Authority	
11	Comments from Sanctioning Competent Authority	
12	Permit Number, date and its validity	
13	Copy of sanction letter, approved map and Building Layout	
14	Copy of Sajra Plan	
15	Details of Apartment/Flat/Shop/Plot	
16	Project specification	
17	Project Amenities	
18	Project Bank Details (Name Number)	
19	Project District/Account District	
20	Email ID of Project Account Bank Branch	
21	Form RA-1	
22	Form RA-7	
23	Details of financial institutions	
24	Certificate from financial institutions	
25	Details of finance/credit availed	
26	Details of security provided for availing the finance/credit facility	
27	Form RA-8	
28	CA Certificate	
29	List of Agents	
30	Development work plan	
31	Electricity Supply Plan	
32	Water Supply Plan	
33	Waste Disposal Plan	
34	Commencement Certificate	
35	Fire NOC (if applicable)	

36	Detail of Encumbrances	
37	Affidavit (form B)	
38	Brochures, Advertisement materials	(to be created within one month from the date of project registration and to be provided to the Authority thereafter)
39	Proforma of Allotment Letter	
40	Proforma of Application form	
41	Proforma of Agreement for Sale	As per the Uttar Pradesh Real Estate (Regulation and Development) (Agreement for Sale/Lease) Rules 2018
42	Proforma of Conveyance Deed	
43	Proforma of Offer of Possession	As per U.P. RERA orders dated 29.05.2024
44	Name and addresses of all the Contractors	
45	Name and address of Architect	
46	License Number of Architect	
47	Name and address of Structural Engineer	
48	Name and address of Chartered Accountant	
49	Registration Number of Chartered Accountant	
50	Mobile number of project coordinator	
51	Customer Relationship manager name with mobile and email id	
52	Development work (Brief Description)	
53	Creation of Quarterly Target	Physical and financial
54	Architect Certificate	Form REG-1
55	Engineer Certificate	Form REG-2
56	CA Certificate	FormREG-3

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Guidelines for Issuing Architect, Engineer, and Chartered Accountant Certificates

The various functions and duties of the promoter regarding any project are outlined in Section 11 of the Real Estate (Regulation and Development) Act, 2016. Section 11(1)(e) of the Act requires promoters to provide quarterly updates on the status of their projects. To comply with the provisions of the RERA Act and the UP RERA Rules, 2016, promoters must set physical and financial quarterly progress targets at the time of registering their project and update the progress against these targets within fifteen (15) days after the end of each quarter, until the completion of the project.

Section 4(2)(1)(D) of the RERA Act mandates:

that seventy per cent. of the amounts realised for the real estate project from the allottees, from time to time, shall be deposited in a separate account to be maintained in a scheduled bank to cover the cost of construction and the land cost and shall be used only for that purpose:

Provided that the promoter shall withdraw the amounts from the separate account, to cover the cost of the project, in proportion to the percentage of completion of the project:

Provided further that the amounts from the separate account shall be withdrawn by the promoter after it is certified by an engineer, an architect and a chartered accountant in practice that the withdrawal is in proportion to the percentage of completion of the project:

Provided also that the promoter shall get his accounts audited within six months after the end of every financial year by a chartered accountant in practice, and shall produce a statement of accounts duly certified and signed by such chartered accountant and it shall be verified during the audit that the amounts collected for a particular project have been utilised for the project and the withdrawal has been in compliance with the proportion to the percentage of completion of the project.

Explanation- For the purpose of this clause, the term "schedule bank" means a bank included in the Second Scheduled to the Reserve Bank of India Act, 1934;

The formats of these certificates are prescribed under the Uttar Pradesh Real Estate Regulatory Authority (General) Regulations, 2019 as REG-1 (Architect's Certificate), REG-2 (Engineer's Certificate), and REG-3 (Chartered Accountant's Certificate) as amended from time-to-time.

To ensure the availability of information provided in these certificates, point number 6(i) of the Real Estate Project (Maintenance and Operation of Project Bank Accounts) Directions, 2020, as revised in November 2023 issued on 29.11.2023, mandates that promoters must upload these certificates along with updating the quarterly progress reports of the project. Additionally, promoters must submit the data from these certificates in a digital form, as per the facility provided by the Authority on its website.

After a detailed review of the submitted certificates and quarterly progress reports, the Authority observed inconsistencies between the uploaded certificates and the quarterly progress report of the projects. Therefore, in order to eliminate data duplication and discrepancies, it has been decided that henceforth, the information of the project progress will be directly derived from the certificates issued by the Architect, Engineer, and Chartered Accountant.

These guidelines are issued to assist the promoters to facilitate its Architect, Engineer, and Chartered Accountant for filing the Form-REG-1, Form-REG-2, Form-REG-3, Form-REG-4 and Form-REG-4A during project registration, quarterly progress reporting, completion of individual towers / blocks and completion of project respectively. Also, after completion of every financial year, the promoter is required to submit the project audit report as per provisions of Section 4(2)(l)(D) of RERA Act in the format prescribed as Form-REG-5 in the Regulations.

1. Generation of Web Links by Promoter for Issuing Certificates

1.1 At the time of registration

Once the promoter submits the details of the Architect, the Engineer and the Chartered Accountant in the registration application, the promoter will be able to generate the web-links for issuing certificates. The Architect's certificate must be issued before the issuance of Engineer's certificate, and similarly the Engineer's certificate must be issued before the issuance of Chartered Accountant's certificate.

1.2 After registration of project

The functionality for generating web-links for issuing of certificates will be provided on the Promoter's Dashboard. The promoter will be required to select the project name for generating the web-links. The Architect's certificate must be issued before the issuance of Engineer's certificate, and similarly the Engineer's certificate must be issued before the issuance of Chartered Accountant's certificate.

The web-links generated will also be emailed by the system to the promoter's registered email address. The promoter shall be required to share the web-link with the professionals for issuing certificates.

2. Accessing the Web-Link

Once the professional clicks on the web-link shared by the promoter, a new window will open where the professional shall be prompted to enter an OTP sent to the promoter's registered mobile number. It shall be the responsibility of the promoter to provide the OTP to the concerned professionals timely.

At the time of registration and quarterly progress reporting, the OTP can be generated sequentially, i.e., initially for the Architect certificate, and then for Engineer certificate (only after the issuance of Architect certificate) and finally for Chartered Accountant certificate (only after issuance of Engineer's certificate). Once the verification through OTP is completed, the professional(s) will be able to access the digital form for issuing certificates.

3. Issuing Certificates

3.1 Process of Issuing Certificate(s) at the time of registration of a project

At the time of registration of the project, the professionals are required to fill and sign Form-REG-1, Form-REG-2 and Form-REG-3 i.e., the Architect's, Engineer's and Chartered Accountant's certificate respectively using the web-link shared by the promoter.

3.1.1 Issuing Architect's Certificate (Form-REG-1)

As part of the Architect's certificate, the Architect shall be required to provide the following details: -

Basic Details

The basic details of the project such as project name, khasra number/ plot number, village name, tehsil, competent authority, district, Area PIN code, project land area, promoter name and promoter ID shall be auto filled from the details already submitted by the promoter as part of its registration application.

The Architect shall be required to provide the name of the following technical professionals appointed for the project, in discussion with the promoter: -

- a) Licensed Surveyor / Architect
- b) Structural Consultant
- c) Mechanical Electrical and Plumbing (MEP) Consultant
- d) Site Supervisor

Table A: Construction Status of Building / Wing / Block / Tower

Table A of the certificate is for providing the construction details of various pre-defined activities involved in development of an individual Building / Wing / Block / Tower. The table has the following columns -

- a) **Task / Activity:** The list of tasks / activities is predefined and cannot be modified.
- b) **Number:** The Architect shall fill the total number of basements / plinths, podiums, and super structure slabs for the concerned Building / Wing / Block / Tower.

- c) **Percentage Work Done:** The Architect shall fill the percentage work done for each of the pre-defined tasks / activities as on the date of the registration application. In case no work has been carried out, the Architect shall fill zero.
- d) **Activity Start Date:** The Architect shall fill the 'Start Date' i.e., work commencement date for each of the pre-defined activities regardless of whether the work commenced before the registration application.
- e) **Activity End Date:** The Architect shall fill the 'End Date' i.e., completion date for each of the pre-defined activities.

The system shall automatically create tables for each Building / Wing / Block / Tower based on the details submitted by the promoter in the registration application, as applicable.

Table B: Construction Status of Internal and External Development Works (Common Facilities) and/or Plotted Development

Table B of the certificate is for providing the construction details of various internal and external development works (common facilities / amenities) and/or plotted development in the overall project. The table has the following columns –

- a) **Internal and External Development Works:** The table will have a pre-defined list of amenities / facilities. However, the Architect shall be provided the facility to add amenities / facilities as applicable.
- b) **Percentage Work Done:** The Architect shall fill the percentage work done for each of the amenity / facility as on the date of the registration application. In case no work has been carried out, the Architect shall fill zero.
- c) **Activity Start Date:** The Architect shall fill the 'Start Date' i.e., work commencement date for each of the amenity / facility regardless of whether the work commenced before the registration application.
- d) **Activity End Date:** The Architect shall fill the 'End Date' i.e., completion date for each of the amenity / facility.

Note:

- (i) The Architect must fill all the details based on physical inspection of the project site and in consultation with the promoter.

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(ii) The number of basements / plinths, podiums, super structure slabs and list of amenities / facilities cannot be modified once the certificate has been submitted.

(iii) The Architect should ensure that the 'Activity End Date' for any of the tasks / activities / amenities / facilities shall not be beyond the validity date of the sanctioned map.

3.1.2 Issuing Engineer's Certificate (Form-REG-2)

Engineer can issue the Form-REG-2 only after the issuance of Form-REG-1 by the Architect. As part of the Engineer's certificate, the Engineer shall be required to provide the following details: -

Basic Details

The basic details of the project such as project name, khasra number/ plot number, village name, tehsil, competent authority, district, Area PIN code, project land area, promoter name and promoter ID shall be auto filled from the details submitted by the promoter as part of its registration application.

The Engineer shall be required to provide the name of the following technical professionals appointed for the project, in discussion with the promoter: -

- a) Licensed Surveyor / Architect
- b) Structural Consultant
- c) Mechanical Electrical and Plumbing (MEP) Consultant
- d) Site Supervisor

Table A: Estimated Cost & Cost Incurred for each Building / Wing / Block / Tower

Table A of the certificate is for providing the estimated cost and cost incurred for construction and development of an individual Building / Wing / Block / Tower. The table has the following columns -

- a) **Task / Activity:** The list of tasks / activities is predefined and cannot be modified.
- b) **Total Estimated Cost:** The Engineer shall provide the total estimated cost for development of said task / activity.
- c) **Amount incurred till now:** The Engineer shall provide the cost incurred on the said task / activity as on the date of registration application, if any.

- d) **% of work done as per latest REG-1:** This field shall be auto filled from the Architect certificate
- e) **Expenditure computed as per REG-1 (Column 3 x Column 5):** This field shall be auto filled by the system using the formula: (Total Estimated Cost) * (% of work done as per latest REG-1).
- f) **Admissible expenditure (Lower of Column 4 and Column 6):** This field shall be auto filled by the system by taking the lower of "Amount incurred till now" and "Expenditure computed as per REG-1"
- g) **Value of Work done in Percentage as per Admissible expenditure (Column No. 7 /Column No. 3:** The field shall be auto filled by the system by using the formula: (Admissible expenditure) *100 / (Total Estimated Cost).

The system shall automatically create tables for each Building / Wing / Block / Tower based on the details submitted by the promoter in the registration application, as applicable.

Table B: Construction Status of Internal and External Development Works (Common Facilities) and/or Plotted Development

Table B of the certificate is for providing the estimated cost and cost incurred for internal and external development works (common facilities) and/or plotted development. The table has the following columns -

- a) **Internal and External Development Works:** The table will have a pre-defined list of amenities / facilities. The Engineer shall be provided the facility to add amenities / facilities as applicable. However, the Engineer should ensure that the list of amenities / facilities provided should match the list provided in the Architect's certificate.
- b) **Total Estimated Cost:** The Engineer shall provide the total estimated cost for development of said task / activity.
- c) **Amount incurred till now:** The Engineer shall provide the cost incurred on the said task / activity as on the date of registration application, if any.
- d) **% of work done as per latest REG-1:** This field shall be auto filled from the Architect certificate
- e) **Expenditure computed as per REG-1 (Column 3 x Column 5):** This field shall be auto filled by the system using the formula: (Total Estimated Cost) * (% of work done as per latest REG-1).

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f) Admissible expenditure (Lower of Column 4 and Column 6): This field shall be auto filled by the system by taking the lower of “Amount incurred till now” and “Expenditure computed as per REG-1”

g) Value of Work done in Percentage as per Admissible expenditure (Column No. 7 /Column No. 3): The field shall be auto filled by the system by using the formula: (Admissible expenditure) *100 / (Total Estimated Cost).

All the remaining fields shall be auto filled by the system.

Note:

- (i) The Engineer must fill all the details based on physical inspection of the project site and in consultation with the promoter.
- (ii) The estimated cost of each activity / task / amenity / facility once submitted cannot be changed.

3.1.3 Issuing Chartered Accountant’s Certificate (REG-3)

Chartered Accountant can submit the Form-REG-3 only after the submission of Form-REG-1 and Form-REG-2 by the Architect and Engineer respectively. As part of the Chartered Accountant’s certificate, the Chartered Accountant shall be required to provide the following details:

Basic Details

The basic details of the project such as project name, khasra No/ plot no, village name, tehsil, competent authority, district, PIN, project land area, promoter name, promoter ID, Bank Account Number and Bank Name shall be auto filled from the details submitted by the promoter as part of its registration application.

Part A: Details of amount incurred for acquisition of land and construction & development expenses

Part A of the certificate is for providing the estimated cost and cost incurred for acquisition of land and for construction & development.

The table has the following 4 columns –

- a) Total Estimated Cost:** The Chartered Accountant shall provide expense-type/nature wise total estimate for the whole project. The same shall be the same as the Total Estimated Project Cost declared in the application for registration.

For the purpose of estimating the total cost of project, as provided in the registration application, the following shall be considered for estimating the cost of project land: -

- (i) In case of inherited / gifted / transferred land, the cost of land shall be the DM Circle Rate as on the date of application of registration with U.P. RERA.
- (ii) In case of acquisition of land through purchase, the actual purchase price of the project land or the DM Circle Rate as on the date of application of registration with U.P. RERA, whichever is higher.
- (iii) In case of acquisition through joint development agreement (JDA), consideration as specified in the JDA or the DM Circle Rate as on the date of application of registration with U.P. RERA, whichever is higher.

However, for the purpose of withdrawal from separate account, the following shall be considered for estimating the cost of project land: -

- (i) In case of inherited / gifted / transferred land, the cost of land shall be taken as zero.
- (ii) In case of acquisition of land through purchase, the actual purchase price of the project land.
- (iii) In case of acquisition through joint development agreement, the actual cost incurred by landowner.

b) Amount incurred till last quarter: This column will be disabled at this stage.

c) Amount incurred during the quarter: This column will be disabled at this stage.

d) Amount incurred till now: The Chartered Accountant shall provide expense-type/nature wise amount incurred till the date of application of registration.

The remaining details in the Part A of the certificate are not required to be provided at the time of registration and the fields in this part will be disabled.

Part B: Details of amount incurred and to be paid directly to the Vendor/ Contractor/ Allottee etc

The details in the Part B of the certificate are not required to be provided at the time of registration and the fields in this part will be disabled.

Note:

- (i) The Chartered Accountant must fill all the details based on sufficient and appropriate information and documents related to the project and in consultation with the promoter.
- (ii) The Chartered Accountant must also provide his membership details and the UDIN generated for the certificate.
- (iii) The Chartered Accountant must also mention the date of which the certificate relates to and the date of signing the certificate.
- (iv) The footnote for estimate in Part A of the certificate shall be disabled.
- (v) The estimated cost of each expense-type/nature once submitted cannot be changed.

3.2 Process of Issuing Certificate(s) for Quarterly Progress Reporting, at the time of Withdrawal from Separate Account of the Project and Application for Extension of Project Registration

Post the registration of the project, the Architect, the Engineer, and the Chartered Accountant are required to issue Form-REG-1, Form-REG-2 and Form-REG-3 respectively, in the following instances, using the web-link shared by the promoter.

- a) After the end of every quarter:** Until the certificates of previous quarter are submitted by the promoter, the promoter will not be able to generate the web-links for the next quarter. The web-links can be generated only after the end of a particular quarter. The web-link will be active till 15th day of the month after the end of a particular quarter. The certificates are to be filled by the professionals and submitted by the promoter before the validity period expires. If the promoter fails to submit the certificates filled by the professionals till the 15th day of the month after the end of a particular quarter, a late fee of Rs.15,000/- per defaulting QPR will be imposed. After paying the late fees, the promoter will be able to start process of submission of the certificates as defined above. If the promoter defaults for more than two (2) quarters, action will be taken against the promoter under relevant provisions of the RERA Act, U.P. RERA Rules and Regulations.
- b) At the time of withdrawal from the separate account of the project:** After submitting the quarterly certificates for the previous quarter, they can be used for withdrawals from separate account of project. Alternatively, if there

are changes in withdrawable funds, fresh certificates can be issued. However, the promoter won't be able to generate a web link for certificate issuance until the quarterly certificates for the previous quarter have been issued.

- c) **At the time of application for extension of project registration:** Until the quarterly certificates of the previous quarters and the Annual Audit Report (Form-REG-5) of the previous financial year are submitted, the promoter will not be able to generate the web-link. Further, the web-link can be generated from three-months prior to the registration expiry date.

3.2.1 Issuing Quarterly Architect's Certificate (REG-1)

As part of the quarterly Architect's certificate, the Architect shall be required provide the following details: -

Basic Details

The basic details of the project such as project name, khasra No/ plot no, village name, tehsil, competent authority, district, PIN, project land area, promoter name and promoter ID shall be auto filled from the details submitted by the promoter as part of its registration application.

The Architect shall be required to provide the name of the following technical professionals appointed for the project, in discussion with the promoter: -

- a) Licensed Surveyor / Architect
- b) Structural Consultant
- c) MEP Consultant
- d) Site Supervisor

Table A: Construction Status of Building / Wing / Block / Tower

Table A of the certificate is for providing the construction details of various pre-defined activities involved in completion of an individual Building / Wing / Block / Tower. The table has the following columns -

- a) **Task / Activity:** The list of tasks /activities shall be auto filled from the Architect's certificate.

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- b) **Number:** The total number of basements / plinths, podiums, and super structure slabs for the concerned Building / Wing / Block / Tower shall be auto filled from the Architect's certificate.
- c) **Percentage Work Done:** The Architect shall fill the percentage work done for each of the pre-defined tasks / activities as on the end of the quarter. In case no work has been carried out, the Architect shall fill zero.
- d) **Activity Start Date:** The 'Start Date' shall be auto filled from the previous Architect's certificate.
- e) **Activity End Date:** The 'End Date' shall be auto filled from the previous Architect's certificate.

The system shall automatically create tables for each Building / Wing / Block / Tower based on the details submitted by the promoter in the registration application, as applicable.

Table B: Construction Status of Internal and External Development Works (Common Facilities) and/or Plotted Development

Table B of the certificate is for providing the construction details of various internal and external development works (common facilities / amenities) and/or plotted development in the overall project. The table has the following columns -

- a) **Internal and Development Works:** The list of amenities / facilities shall be auto filled from the previous Architect's certificate.
- b) **Percentage Work Done:** The Architect shall fill the percentage work done for each of the amenity / facility as on the end of quarter. In case no work has been carried, the Architect shall fill zero.
- c) **Activity Start Date:** The 'Start Date' shall be auto filled from the previous Architect's certificate.
- d) **Activity End Date:** The 'End Date' shall be auto filled from the previous Architect's certificate.

3.2.2 Issuing Quarterly Engineer's Certificate (REG-2)

Engineer can issue the Form-REG-2 only after the issuance of Form-REG-1 by the Architect. As part of the quarterly Engineer's certificate, the Engineer shall be required provide the following details: -

Basic Details

The basic details of the project such as project name, khasra No/ plot no, village name, tehsil, competent authority, district, PIN, project land area, promoter name and promoter ID shall be auto filled from the details submitted by the promoter as part of its registration application.

The Engineer shall be required to provide the name of the following technical professionals appointed for the project, in discussion with the promoter: -

- a) Licensed Surveyor / Architect
- b) Structural Consultant
- c) MEP Consultant
- d) Site Supervisor

Table A: Cost Incurred for each Building / Wing / Block / Tower

Table A of the certificate is for providing the estimated and cost incurred for completion of an individual Building / Wing / Block / Tower. The table has the following columns -

- a) **Task / Activity:** The list of tasks /activities shall be auto filled from the previous Architect's certificate.
- b) **Total Estimated Cost:** The Engineer shall provide the total estimated cost for development of said task / activity.
- c) **Amount incurred till now:** The Engineer shall provide the cost incurred on the said task / activity as on the date of registration application, if any.
- d) **% of work done as per latest REG-1:** This field shall be auto filled from the Architect certificate
- e) **Expenditure computed as per REG-1 (Column 3 x Column 5):** This field shall be auto filled by the system using the formula: (Total Estimated Cost) * (% of work done as per latest REG-1).
- f) **Admissible expenditure (Lower of Column 4 and Column 6):** This field shall be auto filled by the system by taking the lower of "Amount incurred till now" and "Expenditure computed as per REG-1"

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- g) Value of Work done in Percentage as per Admissible expenditure (Column No. 7 /Column No. 3: The field shall be auto filled by the system by using the formula: (Admissible expenditure) *100 / (Total Estimated Cost).**

The system shall automatically create tables for each Building / Wing / Block / Tower based on the details submitted by the promoter in the registration application, as applicable.

Table B: Table B: Construction Status of Internal and External Development Works (Common Facilities) and/or Plotted Development

Table B of the certificate is for providing the estimated cost and cost incurred for completion of an internal and external development works (common facilities) and/or plotted development in the project. The table has the following columns –

- a) Internal and External Development Work:** The list of amenities / facilities shall be auto filled from the previous Engineer's certificate.
- b) Total Estimated Cost:** The Engineer shall provide the total estimated cost for development of said task / activity.
- c) Amount incurred till now:** The Engineer shall provide the cost incurred on the said task / activity as on the date of registration application, if any.
- d) % of work done as per latest REG-1:** This field shall be auto filled from the Architect certificate
- e) Expenditure computed as per REG-1 (Column 3 x Column 5):** This field shall be auto filled by the system using the formula: (Total Estimated Cost) * (% of work done as per latest REG-1).
- f) Admissible expenditure (Lower of Column 4 and Column 6):** This field shall be auto filled by the system by taking the lower of "Amount incurred till now" and "Expenditure computed as per REG-1"
- g) Value of Work done in Percentage as per Admissible expenditure (Column No. 7 /Column No. 3: The field shall be auto filled by the system by using the formula: (Admissible expenditure) *100 / (Total Estimated Cost).**

All the remaining fields shall be auto filled by the system.

3.2.3 Issuing Quarterly Chartered Accountant's Certificate (Form-REG-3)

Chartered Accountant can submit the Form-REG-3 only after the submission of Form-REG-1 and Form-REG-2 by the Architect and Engineer respectively. As part of the quarterly Chartered Accountant's certificate, the Chartered Accountant shall be required provide the following details: -

Basic Details

The basic details of the project such as project name, khasra No/ plot no, village name, tehsil, competent authority, district, PIN, project land area, promoter name, promoter ID, Bank Account Number and Bank Name shall be auto filled from the details submitted by the promoter as part of its registration application.

Part A: Details of amount incurred for acquisition of land and construction & development expenses

Part A of the certificate is for providing the estimated cost and cost incurred for acquisition of land and for construction & development.

The table has the following 4 columns –

- a) **Total Estimated Cost:** The estimated cost shall be auto filled from the previous Chartered Accountant's certificate.
- b) **Amount incurred till last quarter:** This field shall be auto filled to reflect the amount that has been incurred till last quarter.
- c) **Amount incurred during the quarter:** This filed shall be auto filled to reflect the amount that has been incurred in the current quarter using the formula: (amount incurred till now) – (amount incurred till last quarter).
- d) **Amount incurred till now:** The Chartered Accountant shall provide expense-type/nature wise amount incurred as on the last date of the said quarter.

The table has the following 22 rows–

- 1) **Row 1 to Row 4 (Details of amount incurred):** The Chartered Accountant shall fill the amount incurred till the last date of the quarter as per the type/ nature of the expense and in accordance with the provisions of the Act, Rules, Regulations and The Project Bank Account Directions.

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- 2) **Row 5 to Row 6 (% completion):** The information in Row 5 to Row 6 will not be required to be filled as the same shall be populated by the system as per the method of computation mentioned in REG-3.
- 3) **Row 7 (Amount collected from Allottees):** The Chartered Accountant shall fill the amount received from the allottees based on the books of accounts of the promoter.
- 4) **Row 8 (70% Amount to be deposited):** The detail will be filled by the system.
- 5) **Row 9 to Row 11 (Details of loans and Interest on Deposits):** The Chartered Accountant shall fill the loan sanctioned, loan disbursed, and the interest received on the Flexi Deposits in the Separate Account of the Project.
- 6) **Row 12 to Row 13:** The details will be filled by the system.
- 7) **Row 14 to Row 15 (Amount refunded to the allottees and withdrawn):** The Chartered Accountant shall fill the amount refunded to the Allottees and the amount withdrawn from the Separate Account till date in the respective fields.
- 8) **Row 16 (Computed Balance):** The detail will be filled by the system.
- 9) **Row 17 (Actual Balance in the Separate Account):** The Chartered Accountant shall fill the balance available in the Separate Account as on the date of information.
- 10) **Row 18 to Row 21 (Difference, Eligibility for withdrawal, Summary of Part B and Amount that can be transferred to the Transaction Account of the Project):** The details will be filled by the system.
- 11) The Chartered Accountant will be required to confirm whether the land parcel for this project has not been mortgaged in any other project or for any other type of loans/borrowings.

Part B: Details of amount incurred and to be paid directly to the Vendor/ Contractor/ Allottee etc

Part B of the certificate is divided in the following two parts:

- 1) **Certification:** The Chartered Accountant shall provide the amount that has already been withdrawn from the Separate Account, the amount to be paid directly to the vendors/ contractors/ employees and amount to be refunded to the allottees in compliance with the provisions of RERA.
- 2) **Details of payments to be done directly to the Vendors/ Contractors/ Employees/ Allottees:** This section has 6 columns, and the Chartered Accountant shall provide the

name of the party, amount due, nature of payment, bank name, bank account number and IFSC to whom the payment is to be made.

Note:

- (i) The Chartered Accountant must fill all the details based on sufficient and appropriate information and documents related to the project and in consultation with the promoter.
- (ii) The Chartered Accountant must also provide his membership details and the UDIN generated for the certificate.
- (iii) The Chartered Accountant must also mention the date of which the certificate relates to and the date of signing the certificate.
- (iv) The estimated cost of each expense-type/nature once submitted cannot be changed.

3.3 Process of Issuing Annual Audit Report (AAR) at the End of Every Financial Year (Form-REG-5)

After the end of every financial year, the Chartered Accountant shall be required to fill Form-REG-5 i.e., Annual Audit Report (AAR) within the first six-months i.e., by 30th September for every year using the web-link shared by the promoter. If the promoter fails to submit the certificates filled by the Chartered Accountant before 30th September, a late fee of Rs.25,000/- per defaulting financial year will be imposed. After paying the late fees, the promoter will be able to start process of submission of the certificate as defined above. If the promoter defaults for more than two (2) financial years, action will be taken against the promoter under relevant provisions of the RERA Act, U.P. RERA Rules and Regulations.

The promoter will have to ensure that the Chartered Accountant issuing the Form-REG-5 is different from the Chartered Accountant who has issued the Form-REG-3 in the said year.

The web-link can be generated only after the submission of the Architect, Engineer and Chartered Accountant certificates for the quarter ending 31st March of the said year. Until the REG-5 of previous financial year is submitted by the promoter, the promoter will not be able to generate the web-link for the next financial year.

As part of the Annual Audit Report (AAR), the Chartered Accountant shall be required provide the following details: -

- 1) **Basic Details:** The fields such as 'Promoter Name', 'Promoter Address', 'Promoter Enrolment ID' 'U.P. RERA Registration Number', 'Project Name' and 'Period of Certificate' shall be auto filled based on the information available with U.P. RERA.
- 2) **Project Completion Status:** The CA will be required to provide the completion percentage of the project as provided in Form-REG-3 (Chartered Accountant's Certificate) submitted for the quarter ending 31st March of the year for which the AAR is being issued.
- 3) **Collection Details:** The CA will be required to provide the detailed breakup of amount collected (net of refunds, if any, as per provisions of Project Account Directions, dated 29th November 2023) during the said financial year and since inception till 31st March of the said financial year.
- 4) **Amount Withdrawn from Separate Account:** The CA will be required to provide the amount that has been withdrawn from the Separate Account of the project during the said financial year and since inception till 31st March of the said financial year.
- 5) **Amount Spent on the Project:** The CA will be required to provide the detailed breakup of the following amount spent during the said financial year and since inception till 31st March of the said financial year.
 - a) Amount actually spent on the project as per the provisions of Project Account Directions, dated 29th November 2023)
 - b) Amount reported as spent in Form-REG-3 submitted for the quarter ending 31st March of the said financial year.
- 6) **Report on Utilization of Funds:** The CA will be required to select any one of the following two options, based on the review of books of accounts of the project:
 - a) Amount collected has been utilized only for the said project.
 - b) Amount collected has not been utilized only for the said project.
- 7) **Report on Compliance of Section 4(2)(1)(D) of the RERA Act:** The CA will be required to select any one of the following two options, based on the review of the books of accounts of the project.:
 - a) Withdrawal from the separate bank account of the said project has been in compliance with the proportion to the percentage of completion of the project as mentioned under Section 4 (2)(1)(D) of the Act and also in compliance of the provisions of the Project Accounts Directions, dated 29th November 2023.
 - b) Withdrawal from the separate bank account of the said project has not been in

compliance with the proportion to the percentage of completion of the project as mentioned under Section 4 (2)(1)(D) of the Act and also in compliance of the provisions of the Project Accounts Directions, dated 29th November 2023.

- 8) **Consideration of Assured Returns:** The CA will be required to report whether assured return, by whatsoever name, has been considered in the
- a) Amount reported as spent on the project as provided in point 5(a) above.
 - b) Amount reported in the Form-REG-3 submitted for the quarter ending 31st March and as provided in point 5(b) above.
- 9) **Additional Disclosures:** The CA will also be required to report the following details:
- a) Whether there is any change in the estimated cost of the project and whether the same has been reported to U.P. RERA.
 - b) The Chartered Accountant will be required to confirm whether all the Architect, Engineer, and Chartered Accountant certificates as on date of AAR have been submitted.
 - c) The Chartered Accountant will be required to fill the outstanding amounts of late fee and penalty due to the Authority.
 - d) The Chartered Accountant will be required to fill the outstanding liability towards Recovery Certificates (RCs) issued by the authority.
 - e) The Chartered Accountant will be required to fill the registration expiry date.
 - f) The Chartered Accountant will be required to fill the total number of units in the project, the number of units that are already allotted and the remaining units that are yet to be allotted.
 - g) Whether the promoter has created any charge on a unit after its allotment.
 - h) Whether there is any dispute related to the land on which the project is being constructed. If there is dispute, the CA to provide additional details.
 - i) Any other observations, the CA would like to report to U.P. RERA regarding the financial / operational matters of the project.
- 10) The CA to report whether the statement of accounts of the Promoter have been audited by the undersigned. If yes, a copy of the statement of accounts so audited to be uploaded.

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Note:

- (i) The Chartered Accountant must fill all the details based on sufficient and appropriate information and documents related to the project and in consultation with the promoter.
- (ii) The Chartered Accountant must also provide his membership details and the UDIN generated for the certificate.
- (iii) The Chartered Accountant must also mention the date of which the certificate relates to and the date of signing the certificate.

3.4 Process of Issuing Architect Certificate on Completion of each part/block (if any) of Plotted development and/or each of the Buildings/ Wings/ Towers/ Blocks) of the Project (Form-REG-4)

The Architect will be required to submit a certificate in Form-REG-4 on completion of each Block / Tower. The Architect will be prompted to first select each part/block (if any) of Plotted development and/or each of the Buildings/ Wings/ Towers/ Blocks) for which the said certificate is being filled. The Architect shall be required provide the following details:

- 1) Basic Details:** The Architect will be required to fill the following details
 - a) The name of the Part/Block of Plotted Development / Building(s) / Wing(s) / Block(s) / Tower(s), project name and project registration number will be auto filled based on the above selection.
 - b) The address including Khasra / Plot No. of the project will be auto filled based on information submitted at the time of registration.
 - c) The land area, promoter name and promoter ID will be auto filled based on information submitted at the time of registration.
- 2) Details of Technical Professionals:** The names of the technical professionals will be auto filled from the latest Form-REG-2 submitted. However, the Architect will have the option to edit the names, as applicable.
- 3) The names of each part/block (if any) of Plotted development and/or each of the Buildings/ Wings/ Towers/ Blocks selected and corresponding total units will be auto filled.**

- 4) The names of the each part/block (if any) of Plotted development and/or each of the Buildings/ Wings/ Towers/ Blocks and the name of the Local planning Authority will be auto filled. The Architect will be required to provide the Partial / Full Partial/Full Occupancy certificate/Completion certificate number and the date of the certificate

Or

The Architect will be required to be provide the date of application submitted to the Local Planning Authority/ Competent Authority along with requisite certificates / NOCs for granting Part Occupancy Certificate / Completion Certificate.

3.5 Process of Issuing Architect Certificate on Completion of Overall Project (Form-REG-4A)

The Architect will be prompted to select Plots(s) and/or Building(s) / Wing(s) / Block(s) / Tower(s) for which the said certificate is being filled. The Architect shall be required to select all Plots(s) and/or Building(w) / Wing(s) / Block(s) / Tower(s) and provide the following details:

- 1) **Basic Details:** The Architect will be required to fill the following details
 - a) The name of the Plots(s) and/or Building(w) / Wing(s) / Block(s) / Tower(s), project name and project registration number will be auto filled based on the above selection.
 - b) The address including Khasra / Plot No. of the project will be auto filled based on information submitted at the time of registration.
 - c) The land area, promoter name and promoter ID will be auto filled based on information submitted at the time of registration.
- 2) **Details of Technical Professionals:** The names of the technical professionals will be auto filled from the latest Form-REG-2 submitted. However, the Architect will have the option to edit the names, as applicable.
- 3) The Architect will be required to certify that all the buildings along with external development of the project are completed in all aspects as per original/ revised map approved by the competent authority and is fit for occupancy.
- 4) The Architect will be required to be provide the total number of units in each individual plotted / building / wing / tower / block that are being certified under this certificate.

Further the Architect to certify that the plotted / building / wing / tower / block has been completed as per the sanctioned plan and is fit for occupancy.

- 5) The Architect will be required to certify that all common amenities and civic infrastructure i.e., Common plot internal approach road, Internal storm water drainage, water supply, drainage network, percolation well, lights, parking lots etc. has been completed in all aspects and is fit for use.
- 6) The Architect is required to provide Full Occupancy certificate/Completion certificate number and the date of the certificate.

Or

The Architect will be required to provide the date of application submitted to the Local Planning Authority/ Competent Authority along with requisite certificates / NOCs for granting Full Occupancy Certificate / Completion Certificate.

4. Signing of Certificate using DSC

The Architect, the Engineer and the Chartered Accountant must have a DSC issued from a competent Certifying Authority before signing of the certificates. Thereafter the necessary software is required to be installed on the computer which will be used to fill the certificate including the required drivers for digital token (smart card reader or USB token).

- **Step-1 (Insert Token):** Insert the digital token into computer's USB port.
- **Step-2 (Verify Connection):** Ensure that the computer recognizes the digital token.
- **Step-3 (DSC Enrolment):** Click the "Enrol DSC" button as provided on the form, select the digital certificate, authenticate, and confirm the enrolment.
- **Step-4 (Filling of Form):** Fill the complete form and save.
- **Step-5 (Check the filled form):** Once the form is saved, check the system generated pdf document ensuring the correctness of filled information before signing. *(After signing of document, no further changes will be allowed in the form)*
- **Step-6 (Initiate Signing):** Proceed for signing the document via clicking on Signing Button.

- **Step-7 (Authentication):** Enter the PIN/password and select the digital certificate from the token.
- **Step-8 (Signed Document):** Wait till the system applies the digital signature to the document.
- **Step-9 (Submit the application):** After the successful signing of document, submit the form to the promoter for further process.

Refer to the detailed guideline document on UP RERA portal under notification section for installation and configuration of DSC Setup on the system.

5. Process for Revising Estimated Costs in Engineer's and Chartered Accountant's Certificates (Form-REG-2 and Form-REG-3)

Promoters may revise the estimated costs, as provided in the Engineer's and Chartered Accountant's Certificates submitted at the time of registration, but only once throughout the project lifecycle. The application for revision must be made well in advance of the actual costs exceeding the estimated costs, using the functionality provided on the Promoter's Dashboard. The promoter will be required to submit the following documents along with the application: -

- a) Affidavit articulating reasons for an increase in estimated cost and declaring that the estimated cost will not be revised again.
- b) An Engineer's certificate in Form REG-2 reflecting the new estimates (only in the case of revision to construction and development cost) (The fields related to the actual costs will be disabled in this form).
- c) A Chartered Accountant's certificate in Form REG-3 reflecting the new estimates (The fields related to the actual costs will be disabled in this form).

Until the application for revision gets approved, the estimated cost in the system will not be revised and neither the Chartered Accountant and Engineer will be allowed to issue the certificates for QPRs or for withdrawal from the Separate Account of the project, nor the promoter will be allowed to submit the QPR, if the cost incurred exceeds the auto filled estimated cost.

Annexure 1: Architect Certificate (Form-REG-1)

Form-REG-1

ARCHITECT'S CERTIFICATE (On Letter Head)

(To be submitted at the time of Registration of Project, Withdrawal of Money from Separate Account and Submission of Quarterly Progress Report)

No.....

Date:

Information as on _____

Subject: Certificate of Percentage work done for the Project <Project_Name> <Project_Registration_No> situate in Village / Sector _____ Tehsil _____ Competent / Development Authority _____ District _____ PIN _____ admeasuring _____ sq.mts. area being developed by [Promoter's Name][Promoter Id]

I/We _____ have undertaken assignment as Architect for certifying Percentage of work done for the project <Project_Name> <Project Id> situate on the Khasra No/ Plot no _____ of village _____ tehsil _____ competent/ development authority _____ District _____ PIN _____ admeasuring _____ sq.mts area being developed by <Promoter's Name><Promoter Id>

1. Following technical professionals are appointed by Promoter: -

- (i) M/s/Shri/Smt _____ as Licensed Surveyor / Architect
- (ii) M/s/Shri/Smt _____ as Structural Consultant
- (iii) M/s/Shri/Smt _____ as MEP Consultant
- (iv) M/s/Shri/Smt _____ as Site Supervisor

2-Based on Site Inspection, with respect to each of the Plots/ Buildings/Wings/Blocks/Towers of the aforesaid Real Estate Project, I certify as follows -

2.1) As on the date of this certificate, the Percentage of Work done for each of the Buildings/Wings /Blocks/Towers of the Real Estate Project is as per Table-A.

2.2) As on the date of this certificate, the percentage of the work executed with respect to each of the activities pertaining to plotted development and/or buildings which are common to overall project is detailed in the Table-B.

Table - A

Building/Wing/ Block /Tower Number or Name					
S.No	Task / Activity	Number	% Work Done	Activity Start Date	Activity End Date
1	Excavation				
2	Total Number of Basement and Plinth				
3	Total Number of Podiums				
4	Stilt Floor				
5	Total Number of Slabs of Super				

	Structure				
6	Internal walls, Internal Plaster, Floorings within Flats/Premises, Doors and Windows to each of the Flat/Premises				
7	Sanitary Fittings within the Flat/Premises,				
8	Electrical Fitting within the Flat/Premises				
9	Staircases, Lifts Wells and Lobbies at each Floor level connecting Staircases and Lifts				
10	The external plumbing and external plaster, elevation, completion of terraces with waterproofing of the Building/Wing, Overhead and Underground Water Tanks				
11	Installation of Lifts, Water Pumps, Fire Fighting, Fittings and Equipment as per CFO NOC, Electrical Fittings to Common Areas, Electrical and Mechanical Equipment etc.				
12	Compliance to conditions of environmental/Fire NOC, Electric safety certificate, Installation of lifts as per provisions of Lift Act 2024, water pumps, Fire Fighting Fittings and Equipment as per CFO NOC, Electrical fittings to Common Areas, Electrical and Mechanical equipment etc. and all other works as may be required to obtain Occupancy/Completion Certificate.				

(Prepare separate table for each Building/Wing/ Block /Tower. In case of multiple Building/Wing/ Block /Tower, the tables must be numbered as A1, A2.....)

Table - B				
Internal and external development works (common facilities) in respect of the entire registered project				
S.No	Internal/External Development Work (Common Facilities)	% Work Done	Activity Start Date	Activity End Date
1	Internal Roads & Footpaths			
2	Water Supply/Drinking Water Facilities			
3	Sewerage (chamber, lines, Septic Tank, STP)			
4	Storm Water Drain			
5	Landscaping & Tree Planting			
6	Street Lighting			
7	Community Buildings			
8	Treatment & Disposal of Sewage and Sullage water /STP			
9	Solid Waste Management & Disposal			
10	Water Conservation, Rainwater Harvesting			

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11	Energy Management/Use of Renewable Energy			
12	Fire Protection and Fire Safety Requirements			
13	Electrical Sub Station, Control Panel & Meter Room			
14	Receiving Station			
15	Plan of Development Works			
16	Emergency Evacuation Services			
17	Common Facilities in Basement			
18	Others, if any (please specify)			

Yours Faithfully

Signature & Name (IN BLOCK LETTERS) OF Architect
 (License NO.....)
 Mobile No.
 Email ID

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Annexure 2: Engineer Certificate (Form-REG-2)

ENGINEER'S CERTIFICATE (On Letter Head)		Form-REG-2					
(To be submitted at the time of Registration of Project, Withdrawal of Money from Separate Account and Submission of Quarterly Progress Report)							
No.....				Date:			
Information as on _____							
Subject: Certificate of Amount Incurred for Construction and Development of the Project <Project_Name> <Project_Registration_No> situate in Village / Sector _____ Tehsil _____ Competent / Development Authority _____ District _____ PIN _____ admeasuring _____ sq.mts. area being developed by [Promoter's Name, Promoter ID]							
I/We _____ have undertaken assignment as Project Engineer for certifying the amount incurred for the work done on the project <Project_Name> <Project Id>, situate on the Khasra No/ Plot no _____ of village _____ Tehsil _____ Competent/ Development Authority _____ District _____ PIN _____ admeasuring _____ sq.mts area being developed by <Promoter's Name, Promoter's Id>							
1. Following technical professionals were appointed by me for verification / certification of the cost: - (i) M/s/Shri/Smt _____ as Licensed Surveyor / Architect (ii) M/s/Shri/Smt _____ as Structural Consultant (iii) M/s/Shri/Smt _____ as MEP Consultant (iv) M/s/Shri/Smt _____ as Site Supervisor							
2. The project is still ongoing. We have estimated the cost of the completion of the civil, MEP and allied works, of the Plotted Development/ Building(s)/Wing(s)/Block(s)/Tower(s) of the project. Our estimated cost calculations are based on the drawings/plans made available to us for the project under reference by the Promoter, Developer and Consultants and the Schedule of items and quantity for the entire work as calculated by Quantity Surveyor appointed by the Promoter, and the fair assumption of the cost of material, labour and other inputs made by developer, and the site inspection carried out by us is given in following Table A and Table B:							
Table - A							(In Rs. lac)
Building/Wing/ Block /Tower Number or Name							
1	2	3	4	5	6	7	8
S.No	Task / Activity	Total Estimated Cost	Amount incurred till now	% of work done as per latest REG -1	Expenditure computed as per REG-1 (Column 3 x Column 5)	Admissible expenditure (Lower of Column 4 and Column 6)	Value of Work done in Percentage as per Admissible expenditure (Column

							No. 7 (Column No. 3)
1	Excavation						
2	Total Number of Basement and Plinth						
3	Total Number of Podiums						
4	Stilt Floor						
5	Total Number of Slabs of Super Structure						
6	Internal walls, Internal Plaster, Floorings within Flats/Premises, Doors and Windows to each of the Flat/Premises						
7	Sanitary Fittings within the Flat/Premises,						
8	Electrical Fitting within the Flat/Premises						
9	Staircases, Lifts Wells and Lobbies at each Floor level connecting Staircases and Lifts						
10	The external plumbing and external plaster, elevation, completion of terraces with waterproofing of the Building/Wing, Overhead and Underground Water Tanks						
11	Installation of Lifts, Water Pumps, Fire Fighting, Fittings and Equipment as per CFP NOC, Electrical Fittings to Common Areas, Electrical and Mechanical Equipment etc.						

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12	Compliance to conditions of environmental/Fire NOC, Electric safety certificate, Installation of lifts as per provisions of Lift Act 2024, water pumps, Fire Fighting Fittings and Equipment as per CFO NOC, Electrical fittings to Common Areas, Electrical and Mechanical equipment etc. and all other works as may be required to obtain Occupancy/Completion Certificate.						
	TOTAL						

(Prepare separate table for each Building/Wing/ Block /Tower. In case of multiple Building/Wing/ Block /Tower, the tables must be numbered as A1, A2....)

(In Rs. lac)

Table - B

Cost incurred on Internal and external development works (common facilities) in respect of the entire registered project

1	2	3	4	5	6	7	8
S.No	Internal/External Development Work (Common Facilities)	Total Estimated Cost	Amount incurred till now	% of work done as per latest REG-1	Expenditure computed as per REG-1 (Column 3 x Column 5)	Admissible expenditure (Lower of Column 4 and Column 6)	Value of Work done in Percentage as per Admissible expenditure (Column No. 7 /Column No. 3)
1	Internal Roads & Footpaths						
2	Water Supply/Drinking Water Facilities						
3	Sewerage (chamber, lines, Septic Tank, STP)						
4	Storm Water Drain						
5	Landscaping & Tree Planting						
6	Street Lighting						
7	Community Buildings						

8	Treatment & Disposal of Sewage and Sullage water /STP						
9	Solid Waste Management & Disposal						
10	Water Conservation, Rainwater Harvesting						
11	Energy Management/Use of Renewable Energy						
12	Fire Protection and Fire Safety Requirements						
13	Electrical Sub Station, Control Panel & Meter Room						
14	Receiving Station						
15	Plan of Development Works						
16	Emergency Evacuation Services						
17	Common Facilities in Basement						
18	Others, if any (please specify)						
	TOTAL						

3. We estimate the Total Cost for completion of the project under reference as Rs. _____ (Total of column no. 3 in Tables A1, A2.... and Table B) including cost of development of common facilities. The estimated Total Cost of project is with reference to the Civil, MEP and allied works required to be completed for obtaining occupancy certificate/completion certificate for the Project from the concerned Competent Authority under whose jurisdiction the mentioned project is being developed.

4. The admissible expenditure till _____ is Rs. _____ (Total of column no. 7 in Tables A1, A2.... and Table B)).

5. Based on Site Inspection and estimated cost calculation, with respect to each of the Plots/Building/Wing/ Block /Tower and allied works of the aforesaid Real Estate Project, I/ We certify as follows -

5.1) As on the date of this certificate, the Percentage of Admissible Cost Incurred for each of the Buildings/Wings/Blocks/Towers of the Real Estate Project is as per Table-A1,A2.....

5.2) As on the date of this certificate, the Percentage of Admissible Cost Incurred with respect to each of the activities which are common to overall project is detailed in the Table-B.

Yours Faithfully

Signature & Name (IN BLOCK LETTERS) of Engineer
 Mobile No.
 Email ID

Annexure 3: Chartered Accountant's Certificate (Form-REG-3) – Part A

Form-REG-3					
CHARTERED ACCOUNTANT'S CERTIFICATE (On Letter Head)					
(To be submitted at the time of Registration of Project, Withdrawal of Money from Separate Account and Submission of Quarterly Progress Report)					
No.-----			Date: -		
Information as on _____					
<p>Subject: Certificate of amount incurred on [Project Name and RERA Registration No.] for Acquisition and Development of land or/and Construction of _____ Tower/Block/Building(s) situate on Khasra no./Plot No. _____, demarcated by its boundaries (latitude and longitude of the end-points) to the North, to the South, to the East to the West of Village _____, Tehsil _____, Competent Authority/Development Authority _____, District _____, PIN _____, admeasuring _____ sq. meter area, being developed by [Promoter Name] and [Promoter Id], having Separate A/c No. _____ Bank Name _____</p>					
PART-A					
		Rs.in lacs	Rs. In lacs	Rs. In lacs	Rs. In lacs
S.No.	Particulars	Total Estimated Cost	Amount incurred till last quarter	Amount incurred during the quarter	Amount incurred till now
1	2	3	4	5	6
1	Land Cost				
	(a) Acquisition cost of land and legal costs on land transaction:				
	(a.1) For Project Estimation Purpose				
	i - In case of acquisition through Purchase, actual purchase price or the DM Circle Rate on the date of application of registration in U.P. RERA, whichever is higher.	-			
	ii- In case of acquisition through joint development agreement with landowner, the consideration as specified in the joint development agreement or the DM Circle Rate on the date of application of registration in U.P. RERA, whichever is higher.	-			

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iii- In case of inherited /gifted/ through will, the cost of land shall be as per the DM circle rate on the date of application of registration of project in U.P. RERA.	-			
TOTAL OF LAND COST - For Project Estimation Purpose	-			
(a.2) For Purpose of % Completion of the project and Withdrawal from Separate Account				
i - In case of acquisition through Purchase, the actual purchase price will be considered.	-	-	-	-
ii- In case of acquisition through joint development agreement with landowner, the cost of land shall be the actual cost incurred by the landowner	-	-	-	-
iii- In case of inherited /gifted/ through will, the cost of land shall not be considered as there was no acquisition cost incurred by the promoter.				
TOTAL OF LAND COST - For % completion and withdrawal purpose	-	-	-	-
(b) Amount payable to obtain development rights, additional FAR and/or any other work under the provisions of Local Authority or State Government or Statutory Authority, if any;	-	-	-	-
(c) Amounts payable to State Government or competent authority or any other statutory authority of the State or Central Government towards stamp duty, transfer charges, registration fees etc. (if not included in para (a) above);	-	-	-	-

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	(d) Interest (Other than Penal Interest and Penalties etc.) a) paid to Financial Institution , Scheduled Banks , NBFC on loan/ borrowing provided such loan/ borrowing has been utilized for purchase of land b) paid on Unsecured Loan(s)- this interest amount will be restricted at State Bank of India - Marginal cost of Fund based lending Rate (SBI -MCLR) provided such loan has been utilized for purchase of land c) paid to the Competent Authority for acquisition of land	-	-	-	-
	TOTAL OF LAND COST				
1A	- For Project Estimation Purpose i.e. a.1+ b+c+d	-			
1B	- For Withdrawal Purpose i.e. a.2+ b+c+d	-	-	-	-
2	Project Clearance Fees				
	(a) Fees paid to RERA	-	-	-	-
	(b) Fees paid to Local Authority	-	-	-	-
	(c) Consultant/Architect Fees (directly attributable to project)	-	-	-	-
	(d) Any other (specify)	-	-	-	-
	TOTAL OF FEES PAID	-	-	-	-
3A	Cost of Construction and Development				
	(a) Cost of services (water, electricity to construction site) , Site Overheads;	-	-	-	-
	(b) Depreciation cost of machinery and equipment purchased, or hired and maintenance costs, consumables etc., (so long as these costs are directly incurred in the construction of the concerned project);	-	-	-	-
	(c) Cost of materials actually purchased;	-	-	-	-

	(d) Cost of Salary and Wages (excluding cost of salaries of employees of the company not directly attached to project);	-	-	-	-
	Total of Construction and Development Cost (sum of (a) to (d) of 3A)	-	-	-	-
3B	Cost of Construction and Development incurred (the amount as reported in Row 4 of the latest Engineer's Certificate i.e. REG-2)		-	-	-
3C	Total Construction and Development Cost (Lower of 3A and 3B.)		-	-	-
3D	Interest on loan/ borrowing (Other than Penal Interest and Penalties etc.) provided such loan/ borrowing has been utilized for construction of this project: a) paid to Financial Institution, Scheduled Banks , NBFC and b) paid on Unsecured Loan(s)- this interest amount will be restricted at State Bank of India - Marginal cost of Fund based lending Rate (SBI -MCLR)"	-	-	-	-
3E	TOTAL CONSTRUCTION AND DEVELOPMENT COST (S No. 3C + S No. 3D)	-	-	-	-
4	TOTAL COST OF PROJECT				
4A	- For Project Estimation Purpose (S No. 1A + S No. 2 + S No. 3E)	-			
4B	- For % completion of the project and withdrawal purpose (S No. 1B + S No. 2 + S No. 3E)	-	-	-	-
5	Percentage completion of Construction & Development Work completed as per latest REG-2 i.e. (Amount in Row 4 of REG-2 / Amount in Row 3 of REG-2) x100		0%		
6	Percentage completion of the Project (Proportionate cost incurred on the project to the				

	total estimated cost) (Col.6 of S No. 4B / Col.3 of S No. 4B)	
7	Total amount received from allottees till date since Inception of the Project	0.00
8	70% Amount to be deposited in Separate Account (70%*S No. 7)	0.00
9	Loan sanctioned for the project till date (secured and unsecured both)	0.00
10	Loan disbursed for the project till date (secured and unsecured both)	0.00
11	Interest on deposits (flexi facility) credited to the Separate account	0.00
12	Total amount to be credited in the Separate Account till date (S No. 8 + S No. 10 + S No. 11)	0.00
13	Cumulative Amount that can be withdrawn from Separate a/c, i.e. (Total Estimated Cost * Proportionate Cost Incurred on the Project) (Column 3 of S No. 4B * S No. 6)	0.00
14	70% of the principal amount refunded on account of cancellation of unit (provided 70% of the amount collected was deposited to the Separate Account earlier). (The CA will necessarily ensure that units stand cancelled and if the 70% of the principal amount is to be refunded, the details shall be given in Part B of this Certificate)	0.00
15	Amount actually withdrawn till date since inception of the project (This shall include 70% of the amounts already realized till date but not deposited in the Separate Account & the amount already withdrawn towards amount refunded to the allottee(s) towards cancellation of unit(s))	0.00

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16	Computed Balance in Separate A/c as on date: (S No. 12 - S No. 15)	0.00
17	Actual Balance available in Separate A/c as on date	0.00
18	Difference between the computed balance and actual balance in Separate A/c (S No. 16 - S No. 17) Should be Nil	0.00
19	Eligibility for withdrawal (i.e. the amount that can be withdrawn) from the Separate A/c (Minimum of S No. 17 and (S No. 13 + S No. 14 - S No. 15))	0.00
20	Amount to be directly paid to the vendors/ billers/ contractors/ Allottees (in case of refund as per S No. 15 above) as per Part B of this certificate	0.00
21	Amount that can be finally transferred to the Transaction account (S No. 19 - S No. 20)	0.00

This certificate is being issued on specific request of M/s (Name of the Promoter) for UP RERA compliance. The certification is based on the information and records produced before us/me and is true to the best of our/my knowledge and belief.

Note: Based on the information provided by the promoter, I/We certify that the land parcel for this project has not been mortgaged in any other project or for any other type of loans/borrowings.

OR

Note: I/We report that the land parcel for this project has been mortgaged in other projects/ for loans/borrowings for other purpose also.

Signature of Chartered Accountant with seal
(Name of the Chartered Accountant)
(Membership Number)
Name of Firm
Firm Registration Number (FRN)
UDIN:
Email:
Mobile No.

me

Annexure 4: Chartered Accountant's Certificate (Form-REG-3) – Part B

Form-REG-3						
CHARTERED ACCOUNTANT'S CERTIFICATE (On Letter Head)						
(To be submitted at the time of Registration of Project, Withdrawal of Money from Separate Account and Submission of Quarterly Progress Report)						
No.-----						
Date: -						
Information as on _____						
<p>Subject: Certificate of amount incurred on [Project Name and RERA Registration No.] for Acquisition and Development of land or/and Construction of _____ Tower/Block/Building(s) situate on Khasra no./Plot No. _____, demarcated by its boundaries (latitude and longitude of the end-points) to the North, to the South, to the East to the West of Village _____, Tehsil _____, Competent Authority/Development Authority _____, District _____, PIN _____, admeasuring _____ sq. meter area, being developed by [Promoter Name] and [Promoter Id], having Separate A/c No. _____ Bank Name _____</p>						
PART-B						
<p>I/ We also certify that: Out of the amount reported in Column 6 of S No. 4B above:</p>						
<p>(a) Rs. _____ Lacs has been actually spent on the land, construction and development of the project and has not been spent on any item other than the purpose given in Section 4(2)(l)(d) and is, therefore, admissible for withdrawal from the Separate Account.</p>						
<p>(b) Rs. _____ Lacs is the amount for which bills/ invoices from the biller/ vendor/ contractor have been received for the work already rendered by them for the land, construction and development work of this project and being due for payment are, therefore, admissible for payment from the Separate Account directly to the biller/ vendor/ contractor in their bank account as per the list given below.</p>						
<p>(c) Rs. _____ Lacs is the amount pertaining to the refund to be made to the Allottees where allotted units have been cancelled in compliance of U.P. RERA orders for refund to the concerned allottee or for the reason of default by the concerned allottee as per the Agreement for Sale entered into with that allottee.</p>						
(in Rs)						
S No.	Name of the vendor/ contractor/ Allottee	Amount due	Amount due towards	Bank Name	IF S C	Bank Account No.
1						
2						
3						
4						
5						
6						
7						

8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						
23						
24						
Total		-				

This certificate is being issued on specific request of M/s [Promoter's Name, Promoter's Id] for UP RERA compliance. The certification is based on the information and records produced before us/me and is true to the best of our/my knowledge and belief.

Signature of Chartered Accountant with seal
(Name of the Chartered Accountant)
(Membership Number)
Name of Firm
Firm Registration Number (FRN)
UDIN:
Email:
Mobile No.

Handwritten mark

Annexure 5: Annual Audit Report (Form-REG-5)

FORM – REG - 5

[see Regulation 4]

(ON THE LETTER HEAD OF CHARTERED ACCOUNTANT AUDITING THE STATEMENT OF ACCOUNTS OF THE PROMOTER <PROMOTER NAME AND PROMOTER ID IN U.P. RERA>)

ANNUAL AUDIT REPORT OF THE REAL ESTATE PROJECT <NAME OF THE PROJECT> < U.P. RERA PROJECT REGISTRATION NUMBER>

To [NAME AND ADDRESS OF PROMOTER]

Subject: Report on Statement of Accounts on project fund utilization and withdrawal by <Promoter name> <Promoter ID in U.P. RERA> for the period from ____ to ____ with respect to <Project name> <U.P. RERA Regn. No>

This report is issued in accordance with the provisions of the Real Estate (Regulation and Development) Act, 2016 (hereinafter referred to as the Act) read along with the Uttar Pradesh Real Estate (Regulation and Development) Rules, 2016 (hereinafter referred to as the Rules), Uttar Pradesh Real Estate Regulatory Authority (General) Regulations, 2019 (hereinafter referred to as the Regulations) and the Real Estate Project (Maintenance and Operation of Project Bank Accounts) Directions, 2020 as revised in November, 2023, dated 29th November, 2023 (hereinafter referred to as the Project Account Directions).

1. I/We have obtained all necessary information and explanation from the Promoter, during the course of our audit, which in my/our opinion are necessary for the purpose of this report.

2. I/We hereby confirm that I/We have examined the registers, books and documents, and the relevant records of <Promoter> for the said project for the period from _____ to _____ and hereby report that:

- i. The project was ____ % completed as per Engineer's certificate (i.e. Row-5 of REG-3) and ____ % completed as per C.A. certificate (i.e Row-6 of the REG-3) of last quarter of the abovementioned period.
- ii. Amount collected for the said project (net of refunds, if any, as per provisions of the Project Account Directions, dated 29th November, 2023) during the year for this project and the amount collected (net of refunds, if any, as per provisions of the Project Account Directions, dated 29th November, 2023) from inception till the end of the abovementioned period is as follows:

S No.	Particulars	During the period (in Rs. Lac)	Since inception till the end of the abovementioned period (In Rs. lac)

1	2	3	4
1	Received from the Allottees		
2	Secured borrowings from Banks, FIs, & NBFCs		
3	Unsecured borrowings		
4	Borrowings from Related Parties		
5	Interest earned on Deposits		
6	Funds infused by the promoters		
7	Any other (please specify)		
	Total		

- iii. Amount withdrawn from the Separate Account for this project during the year is Rs. _____ and amount withdrawn from inception of the project till the end of the abovementioned period is Rs. _____
- iv. Amount spent on the said project during the year and since inception of the project till the end of the abovementioned period as per the details given below is Rs. _____

1	2	Amount actually spent on the project as per the provisions of Project Account Directions (in Rs. Lac)		As reported in the REG-3 of the last quarter of the said period (in Rs. Lac)
		3	4	5
	Particulars	During the period	Since inception till the end of the abovementioned period	Since inception till the end of the abovementioned period
a	Land Cost			
b	Project Clearance Fees			
c	Interest on Borrowings			
d	Cost of Construction and Development			(i.e. Row-3C of REG 3)

3. I/We report that the [Name of Promoter] has utilized the amount collected for <Name of the Project> only for the said project.

OR

I/We report that the [Name of Promoter] has not utilized the amount collected for <Name of the Project> only for the said project.

4. I/We report that the withdrawal from the separate bank account of the said project has been in compliance with the proportion to the percentage of completion of the project as mentioned under Section 4 (2)(I)(D) of the Act and also in compliance of the provisions of the Project Accounts Directions, dated 29th November, 2023.

OR

I/We report that the withdrawal from the separate bank account of the said project has not been in compliance with the proportion to the percentage of completion of the project as mentioned under Section 4 (2)(I)(D) of the Act and also in compliance of the provisions of the Project Accounts Directions, dated 29th November, 2023.

5. I/We report that no type of assured return, by whatsoever name, has been considered in the amount reported as spent on the project in Column 3 and 4 of table in Para 2(iv) above

6. I/We report that no type of assured return, by whatsoever name, has been claimed in the amount certified for withdrawal purposes in Column 5 of table in Para 2(iv) in REG-3.

OR

I/We report that assured return, by whatsoever name, amounting to Rs. _____ has been considered in the amount certified for withdrawal purposes in Column 5 of table in Para 2(iv) in REG-3.

7. I/ We report that the interest amount reported for withdrawal purposes in the REG-3 of the last quarter of the said period is in compliance with the concerned provisions of the Project Account Directions.

OR

I/ We report that the interest amount reported for withdrawal purposes in the REG-3 of the last quarter of the said period is not in compliance with the provisions of the Project Account Directions.

8. I/We report that as on the end date of the abovementioned period:

i) There is no change in the Estimated Cost of the Project/ There is a change in the Estimated Cost of the Project and the promoter has/ has not informed the Authority.

ii) All the due QPRs have/ have not been filed.

iii) There is an outstanding late fee amounting to Rs. _____ and outstanding penalty amounting to Rs. _____ due to the Authority.

iv) There is no outstanding liability towards the RCs issued by the Authority/ There is an outstanding liability towards the RCs issued by the Authority amounting to Rs. _____

v) The end date of registration is after three months from the abovementioned date/ The promoter has applied for extension of registration as the registration expires on DD/MM/YYYY.

vi) Out of the total ____ units in the project ____ units are already allotted and the remaining ____units are still unsold.

vii) In compliance of Section 11(4)(h) of the Act, the promoter has not created any charge on a unit after its allotment / The promoter has created a charge on a unit after its allotment.

viii) There is no dispute related to the land on which the project is being constructed/ There is a dispute related to land on which the project is being constructed, the details of which are as follows -

.....

ix) Other observations if any:

a) _____

b) _____

c) _____

6. The statement of accounts of the Promoter have been audited by the undersigned and the statement of accounts so audited are enclosed with this report.

Place :

Date :

(Signature and Stamp/Seal of the Signatory CA)

Name of the Signatory:

Full Address:

Membership No.:

Mobile No.:

E-mail ID:

UDIN:

Enclosure: The audited statement of accounts of the Promoter for the abovementioned period.

ARCHITECT'S CERTIFICATE (On Letter Head)

(To be issued on completion of each part/block (if any) of Plotted development and/or each of the Buildings/ Wings/ Towers/ blocks) of the Project

Date:

To,

The _____ (Name & Address of Promoter),

Information as on _____

Subject: Certificate of Completion of part/block (if any) of plotted development and/or Construction work of _____ building(s)/wing(s)/tower(s) / block(s) as part of <Project_Name><Project_Registration_No>situate in Village / Sector _____ Tehsil _____ Competent / Development Authority _____ District _____ PIN _____ admeasuring _____ sq.mts. area being developed by <Promoter's Name><Promoter Id>

I/We _____ have undertaken assignment as Architect for certifying completion of part/block (if any) of plotted development and/or Construction work of _____ building(s)/wing(s)/tower(s)/ block(s) as part of <Project_Name><Project_Registration_No> situate in Village / Sector _____ Tehsil _____ Competent / Development Authority _____ District _____ PIN _____ admeasuring _____ sq.mts. area being developed by <Promoter's Name><Promoter Id>

2. Following technical professionals are appointed by Promoter: -

- (i) M/s/Shri/Smt _____ as Licensed Surveyor / Architect
- (ii) M/s/Shri/Smt _____ as Structural Consultant
- (iii) M/s/Shri/Smt _____ as MEP Consultant
- (iv) M/s/Shri/Smt _____ as Site Supervisor

3. Based on the site inspection, completion of task/ activities as per the REG-1 certificate and based on NOCs received for Structural Safety, Fire Safety, Electrical Safety and Lift Safety and to the best of my/our knowledge, I/ we hereby certify that out of the total number of _____ plots in part/block of the plotted development and/or _____ units proposed to be built by the Promoter in the _____ part/block of the plotted development and/or _____ Building/ _____ Wing/ _____ Block / _____ Tower of the project, all the plots and/or units have been completed

in all aspects as per original/ revised map approved by the competent authority and is fit for occupancy for which it has been developed/ erected/ re-erected/ constructed and enlarged.

4. The part/block of the plotted development and/or____ Building / ____Wing/____Block/____ Tower of the Project is granted Partial/Full Occupancy certificate/Completion certificate bearing number _____ dated _____ by _____ <Local Planning Authority>.

Or

The application dated _____ has been submitted to the _____ <Local Planning Authority/ Competent Authority> along with requisite certificates / NOCs for granting Full Occupancy Certificate / Completion Certificate.

Yours Faithfully

Signature & Name (IN BLOCK LETTERS) of Architect

(License No.....)

Mobile No.

Email ID

Form-REG-
4A
ARCHITECT'S CERTIFICATE (On Letter Head)
(To be issued on completion of the entire project)
Date: To, The _____ (Name & Address of Promoter), Information as on _____
Subject: Certificate of Completion of Construction and Development work of <Project_Name><Project_Registration_No> comprising of Plots(s) and/or Building(w)/Wing(s)/Block(s)/Tower(s) <Building/Wing/Tower/Block_Names> situate in Village / Sector _____ Tehsil _____ Competent / Development Authority _____ District _____ PIN _____ admeasuring _____ sq.mts. area being developed by <Promoter's Name><Promoter Id>
1. I/We _____ have undertaken assignment as Architect for certifying completion of construction work of <Project_Name><Project_Registration_No> comprising of Plots(s) and/or Building(w)/Wing(s)/Block(s)/Tower(s) <Building/Wing/Tower/Block_Names> situate on the Khasra No/ Plot no _____ of village _____ tehsil _____ competent/ development authority _____ District _____ PIN _____ admeasuring _____ sq.mts area being developed by <Promoter's Name><Promoter Id>
2. Following technical professionals are appointed by Promoter: - (i) M/s/Shri/Smt _____ as Licensed Surveyor / Architect (ii) M/s/Shri/Smt _____ as Structural Consultant (iii) M/s/Shri/Smt _____ as MEP Consultant (iv) M/s/Shri/Smt _____ as Site Supervisor
3. Based on site inspection, completion of task/ activities as per the REG-1 certificate and based on NOCs received for Structural Safety, Fire Safety, Electrical Safety and Lift Safety and to the best of my/our knowledge I/we hereby certify that all the plots and/or buildings along with external development of the project are completed in all aspects as per original/ revised map approved by the competent authority and is fit for occupancy



for which it has been developed/ erected/ re-erected/ constructed and enlarged.

4. Based on the site inspection, I/ we hereby certify that out of the total number of _____ plots in all parts/blocks (if any) of the plotted development and/or total number of _____ units proposed to be built by the Promoter in the said Project admeasuring _____ sq.mts, all the plots and/or units have been completed in all aspects as per original/ revised map approved by the competent authority and are fit for occupancy for which it has been erected/ re-erected/ constructed and enlarged.

5. I/We further certify that all common amenities and civic infrastructure i.e., Common plot internal approach road, Internal storm water drainage, water supply, drainage network, percolation well, lights, parking lots etc. has been completed in all aspects and is fit for use.

6. The Project is granted Full Occupancy certificate/Completion certificate bearing number _____ dated _____ by _____ <Local Planning Authority/ Competent Authority>

Or

The application dated _____ has been submitted to the _____ <Local Planning Authority/ Competent Authority> along with requisite certificates / NOCs for granting Full Occupancy Certificate / Completion Certificate.

Yours Faithfully

Signature & Name (IN BLOCK LETTERS) of Architect

(License No.....)

Mobile No.

Email ID