

# STATE ANNUAL ACTION PLAN (SAAP)

State-



## TABLE OF CONTENTS

Checklist – Consolidated State Annual Action Plan of all ULBs to be sent for Assessment by MoUD (as per table 6.2)	3
Minutes of State High Powered Steering Committee (SHPS) Meeting	5
Chapter 1: Project Background	6
Chapter 2: State Scenario	7
Chapter 3: STATE ANNUAL ACTION PLAN (SAAP)	8
1. Principles of Prioritization	9
2. Importance of O&M	10
3. Financing of Projects	11
Chapter 4: PRINCIPLE OF PRIORTIZATION (SAMPLE ATTACHED FOR REFERENCE ONLY)	24
Chapter 5: SAAP TABLES	26

**Checklist – Consolidated State Annual Action Plan of all ULBs to be sent for Assessment by MoUD (as per table 6.2)**

<b>S.No.</b>	<b>Points of Consideration</b>	<b>Yes/No</b>	<b>Give Details</b>
1.	Have all the Cities prepared SLIP as per the suggested approach?		
2.	Has the SAAP prioritized proposed investments across cities?		
3.	Is the indicator wise summary of improvements proposed (both investments and management improvements) by State in place?		
4.	Have all the cities under Mission identified/done baseline assessments of service coverage indicators?		
5.	Are SAAPs addressing an approach towards meeting Service Level Benchmarks agreed by Ministry for each Sector?		
6.	Is the investment proposed commensurate to the level of improvement envisaged in the indicator?		
7.	Are State Share and ULB share in line with proposed Mission approach?		
8.	Is there a need for additional resources and have state considered raising additional resources (State programs, aided projects, additional devolution to cities, 14th Finance Commission, external sources)?		

State Annual Action Plan (SAAP)

---

9.	Does State Annual Action Plan verify that the cities have undertaken financial projections to identify revenue requirements for O&M and repayments?		
10.	Has the State Annual Action Plan considered the resource mobilization capacity of each ULB to ensure that ULB share can be mobilized?		
11.	Has the process of establishment of PDMC been initiated?		
12.	Has a roadmap been prepared to realize the resource potential of the ULB?		
13.	Is the implementation plan for projects and reforms in place (Timelines and yearly milestones)?		
14.	Has the prioritization of projects in ULBs been done in accordance with para 7.2 of the guidelines?		

State Mission Director

Minutes of State High Powered Steering Committee (SHPS) Meeting

## Chapter 1: Project Background

Provide brief description of AMRUT mission, thrust area under mission, coverage under mission, program management structure and funding allocation

## Chapter 2: State Scenario

Provide brief about State Scenario, physical location, demography, brief of each AMRUT town with description of infrastructure (water supply and Sewerage) in each city.

### Chapter 3: STATE ANNUAL ACTION PLAN (SAAP)

AMRUT mission will provide project funds to ULBs through the States on the basis of proposals submitted in State Annual Action Plan (SAAP). SAAP is basically a State level service improvement plan indicating the year-wise improvements in water-supply and sewerage connections to households. The basic building block for the SAAP is the SLIPs prepared by the ULBs. At the State level, the SLIPs of all Mission cities will be aggregated into the SAAP. While preparing SAAP information responding to the following questions, are mentioned below:-

- **Has the State Government diagnosed service level gaps? (250 Words)**
- **Has the State planned for and financed capital expenditure? (350 Words)**
- **Has the State moved towards achievement of universal coverage in water supply and sewerage/septage? (350 Words)**
- **What is the expected level of the financial support from the Central Government and how well have State/ULB and other sources of finance been identified and accessed? (300 words)**
- **How fairly and equitably have the needs of the ULBs been given due consideration?**
- **Have adequate consultations with all stakeholders been done, including citizens, local MPs and other public representatives? (350 words)**



Important steps which have been considered while preparation of SAAP are mentioned below:

1. Principles of Prioritization

The outlines of prioritization of projects for current financial year is also enclosed at Annexure -I.

Information responding to the following questions, are mentioned below:-

- **Has consultation with local MPs/ MLAs, Mayors and Commissioners of the concerned ULBs been carried out prior to allocation of funding? (250 words)**
  
- **Has financially weaker ULBs given priority for financing? (200 words)**
  
- **Is the ULB with a high proportion of urban poor has received higher share? (250 words)**
- **Has the potential Smart cities been given preference?**
  
- **How many times projects are proposed in SAAP of the Central Assistance (CA) allocated to the State during 2015-16? (100 words)**
  
- **Has the allocation to different ULBs within State is consistent with the urban profile of the state? (260 words)**

2. Importance of O&M

It has been observed that ULBs pay little attention to the operation and maintenance of infrastructure assets created after completion of projects. This tendency on the part of implementing agencies leads to shear loss off national assets. Information regarding importance given to O&M is mentioned below against each question:

- **Has Projects being proposed in the SAAP include O&M for at least five years? (100 words)**

- **How O&M expenditures are propose to be funded by ULBs/ parastatal? (200 words)**
- **Is it by way of levy of user charges or other revenue streams? (100 words)**
- **Has O&M cost been excluded from project cost for the purpose of funding? (100 words)**
- **What kind of model been proposed by States/ULBs to fund the O&M? Please discuss. (250 words)**
- **Is it through an appropriate cost recovery mechanism in order to make them self-reliant and cost-effective? How? (250 words)**

### 3. Financing of Projects

Financing is an important element of the SAAP. Each state has been given the maximum share which will be given by the Central Government. (Para 5 of AMRUT Guidelines). The State has planned for the remaining resource generation at the time of preparation of the SAAP. The financial share of cities will vary across ULBs. Information responding to the following questions regarding financing of the projects proposed under AMRUT, in words has been indicated below:

- **How the residual financing (over and above Central Government share) is shared between the States, ULBs? (200 words)**
- **Has any other sources identified by the State/ULB (e.g. PPP, market borrowing)? Please discuss. (250 words)**
- **What is the State contribution to the SAAP? (it should not be less than 20 percent of the total project cost, Para 7.4 of AMRUT Guidelines) (150 words)**

- **Whether complete project cost is linked with revenue sources in SAAP? How? (250 words)**
- **Has projects been dovetailed with other sectoral and financial programme of the Centre and State Governments? (250 words)**
- **Has States/UTs explored the possibility of using Public Private Partnerships (PPP), as a preferred execution model? Please discuss. (300 words)**
- **Are PPP options included appropriate Service Level Agreements (SLAs) which may lead to the People Public Private Partnership (PPPP) model? How? (300 words)**



## Chapter 4: PRINCIPLE OF PRIORTIZATION (SAMPLE ATTACHED FOR REFERENCE ONLY)

Provide the principle used for prioritization. A sample table for prioritization has been indicated. However, the prioritization as per the AMRUT guidelines followed by the State shall be described here.

S.No	Name of the City	Household level Coverage of Water Supply Connection in %age	Per Capita Quantum of Water Supplied in LPCD	Project Cost Demanded by the Cities under AMRUT for Project Period	Water Supply Projects (FY-2015-16)	
					Project Cost Demanded by the Cities under AMRUT FY 2015-16	Priority No of the Projects
	<b>Total for Mission Period (FY 2015- 19)</b>					
	<b>Total for Current Year (FY 2015 - 16)</b>					

## Sewerage and Septage Management (FY-2015-16)

Sl. No.	Name of the City	Per Capita Quantum of Water Supplied	Coverage of Latrines	Coverage of Sewer Network (%age)	Project Cost Demanded by Cities under AMRUT for the Project Period	Project Cost Demanded by the Cities under AMRUT FY 2015-16	Priority of the Project
			Existing	Existing	Amount in Crores		
1							
1.a							
1.b							
1.c							
2							
3							
4							
5							
6							
7							
	<b>Total for Mission Period (FY 2015- 19)</b>						
	<b>Total for Current Year (FY 2015 - 16)</b>						
<b>Note - Basis of Prioritization</b>							

## Chapter 5: SAAP TABLES

Table 1.1: Breakup of Total MoUD Allocation in AMRUT

Name of State -

FY- 2015-16

<b>Total Central funds allocated to State</b>	<b>Allocation of Central funds for A&amp;OE (@ 8% of Total given in column 1)</b>	<b>Allocation of funds for AMRUT (Central share)</b>	<b>Multiply col. 3 by x3) for AMRUT on col. 4 (project proposal to be three-times the annual allocation - CA)</b>	<b>Add equal (col. 4) State/ULB share</b>	<b>Total AMRUT annual size (cols.2+4+5)</b>
1	2	3	4	5	6

(Amount in Crores)

Table 1.2.1: Abstract-Sector Wise Proposed Total Project Fund and Sharing Pattern

Name of State –

FY- 2015-16

(Amount in Crores)

Sl. No.	Sector	No of Projects	Centre	State	ULB	Convergence	Others	Total Amount
1	Water Supply							
2	Sewerage & Septage Management							
3	Drainage							
4	Urban Transport							
5	Green Spaces and Parks							
	<b>Grand Total</b>							



Table 1.2.2: Abstract-Break-up of Total Fund Sharing Pattern

Name of State –

FY- 2015-16

(Amount in Crores)

Sl. No.	Sector	Centre	State			ULBs			Convergence	Others	Total
		Mission	14th FC	Others	Total	14th FC	Others	Total			
1	Water Supply										
2	Sewerage & Septage Management										
3	Drainage										
4	Urban Transport										
5	Others										
	<b>Grand Total</b>										
										<b>A.&amp;O.E.</b>	
										<b>Total SAAP Size</b>	

## State Annual Action Plan (SAAP)

Table 3.1: SAAP –Master Plan of all projects to achieve universal coverage during the current Mission period based on Table 2.1 (FYs 2015-16 to 2019-20)

Name of State-

(Amount in Crores)

Sl. No.	Name of ULB	Total number of projects to achieve universal coverage (Water supply and Sewerage)	Estimated Cost (₹ in Crores)	Number of years to achieve universal coverage
1	2	3	4	5
<b>Water Supply</b>				
1				
2				
	<b>Sub Total</b>			
<b>Sewerage &amp; Septage</b>				
1				
2				
	<b>Grand Total</b>			





Table 3.5: SAAP- – State level Plan for Achieving Service Level Benchmarks

Name of State –

Current Mission Period- 2015-16

Proposed Priority Projects	Total Project Cost	Indicator	Baseline	Annual Targets based on Master Plan (Increment from the Baseline Value)					
				FY 2016		FY 2017	FY 2018	FY 2019	FY 2020
				H1	H2				
<b>Water Supply</b>									
		Household level coverage of direct water supply connections							
		Per capita quantum of water supplied							
		Quality of water supplied							
<b>Sewerage and Septage Management</b>									
		Coverage of latrines (individual or community)							
		Coverage of sewerage network services							
		Efficiency of Collection of Sewerage							
		Efficiency in treatment							





Table 4: SAAP - Broad Proposed Allocations for Administrative and Other Expenses

Name of State –

Current Mission Period- 2015-16

(Amount in Crores)

S. No.	Items proposed for A&OE	Total Allocation (in Cr)	Committed Expenditure from previous year (if any)	Proposed spending for Current Financial year	Balance to Carry Forward			
					FY-2017	FY-2018	FY-2019	FY-2020
1	Preparation of SLIP, SAAP and DPR							
2	PDMC							
3	Procuring Third Party Independent Review and Monitoring Agency							
4	Publications (e-Newsletter, guidelines, brochures etc.)							
5	Capacity Building and Training							
	5.a)CCBP, if applicable -							
	5.b) Others (Workshop & Seminars)							
6	Reform implementation							



## State Annual Action Plan (SAAP)

S. No.	Items proposed for A&OE	Total Allocation (in Cr)	Committed Expenditure from previous year (if any)	Proposed spending for Current Financial year	Balance to Carry Forward			
					FY-2017	FY-2018	FY-2019	FY-2020
7	Others							
	Establishment Cost of State MMU & City MMU							
	Supporting Cost includes local travel and Stationery							
<b>Total</b>								

Table 5.1: SAAP - Reforms Type, Steps and Target for AMRUT Cities FY-2015-2016

Name of State –

FY- 2015-16

Sl. No.	Type	Steps	Implementation Timeline	Target to be set by states in SAAP		Remarks (Present Status)
				Oct 2015 to Mar 2016	Apr to Sep 2016	
1	E-Governance	<b>Digital ULBs</b>				
		1. Creation of ULB website.	6 months			
		2. Publication of e-newsletter, Digital India Initiatives.	6 months			
		3. Support Digital India (ducting to be done on PPP mode or by the ULB itself).	6 months			
2	Constitution and professionalization of municipal cadre	1. Policy for engagement of interns in ULBs and implementation.	12 months			
3	Augmenting Double entry accounting	1. Complete migration to double entry accounting system and obtaining an audit certificate to the effect from FY 2012-13 onwards.	12 months			
		2. Publication of annual financial statement on website	Every Year			

## State Annual Action Plan (SAAP)

Sl. No.	Type	Steps	Implementation Timeline	Target to be set by states in SAAP		Remarks (Present Status)
4	Urban Planning and City Development Plans	1. Improvement Plans (SLIP), State Annual Action Plans (SAAP).	6 months			
		2. Make action plan to progressively increase Green cover in cities to 15% in 5 years.	6 months			
		3. Develop at least one Children Park every year in the AMRUT cities.	Every Year			
		4. Establish a system for maintaining of parks, playground and recreational areas relying on People Public Private Partnership (PPPP) model.	12 months			
5	Devolution of funds and functions	1. Ensure transfer of 14th FC devolution to ULBs.	6 months			
		2. Appointment of State Finance Commission (SFC) and making decisions.	12 months			
		3. Transfer of all 18 function to ULBs.	12 months			
6	Review of Building by-laws	1. Revision of building bye laws periodically.	12 months			

## State Annual Action Plan (SAAP)

Sl. No.	Type	Steps	Implementation Timeline	Target to be set by states in SAAP		Remarks (Present Status)
		2. Create single window clearance for all approvals to give building permissions	12 months			
7a	Municipal tax and fees improvement	1. At least 90% coverage.	12 months			
		2. At least 90% collection.				
		3. Make a policy to, periodically revise property tax, levy charges and other fees.				
		4. Post Demand Collection Book (DCB) of tax details on the website.				
		5. Achieve full potential of advertisement revenue by making a policy for destination specific potential having dynamic pricing module				
7a	Improvement in levy and collection of user charges	1. Adopt a policy on user charges for individual and institutional assessments in which a differential rate is charged for water use and adequate safeguards are included to take care of the interests of the	12 months			

## State Annual Action Plan (SAAP)

Sl. No.	Type	Steps	Implementation Timeline	Target to be set by states in SAAP		Remarks (Present Status)
		vulnerable.				
		2. Make action plan to reduce water losses to less than 20% and publish on the website.				
		3. Separate accounts for user charges.				
		4. At least 90% billing.				
		5. At least 90% collection				
8	Energy and Water audit	1. Energy (Street lights) and Water Audit (including non-revenue water or losses audit).	12 months			
		2. Making STPs and WTPs energy efficient.				
		3. Optimize energy consumption in street lights by using energy efficient lights and increasing reliance on renewable energy.				

State Annual Action Plan (SAAP)

---

Table 5.2: SAAP - Reforms Type, Steps and Target for AMRUT Cities FY-2016-2017

Name of State –

FY- 2016-17

Sl. No.	Type	Steps	Implementation Timeline	Target to be set by states in SAAP				Present Status/ Issue If Any
				Oct 2015 to Mar 2016	Apr to Sep 2016	Oct 2016 to Mar 2017	Apr to Sept 2017	
1	E-Governance	1. Coverage with E-MAAS (from the date of hosting the software) <ul style="list-style-type: none"> <li>• Registration of Birth, Death and Marriage,</li> <li>• Water &amp; Sewerage Charges,</li> <li>• Grievance Redressal,</li> <li>• Property Tax,</li> <li>• Advertisement tax,</li> <li>• Issuance of Licenses,</li> <li>• Building Permissions,</li> <li>• Mutations,</li> <li>• Payroll,</li> <li>• Pension and e-procurement</li> </ul>	24 months					
2	Constitution and professionalization of municipal cadre	1. Establishment of municipal cadre.	24 months					

## State Annual Action Plan (SAAP)

Sl.	Type	Steps	Implementation	Target to be set by states in SAAP				Present
		2. Cadre linked training.						
3	Augmenting double entry accounting	1. Appointment of internal auditor.	24 months					
4	Urban Planning and City Development Plans	1. Make a State Level policy for implementing the parameters given in the National Mission for Sustainable Habitat	24 months					
5	Devolution of funds and functions	1. Implementation of SFC recommendations within timeline.	24 months					
6	Review of Building by-laws	1. State to formulate a policy and action plan for having a solar roof top in all buildings having an area greater than 500 square meters and all public buildings	24 months					



## State Annual Action Plan (SAAP)

Sl.	Type	Steps	Implementation	Target to be set by states in SAAP				Present
		2. State to formulate a policy and action plan for having Rainwater harvesting structures in all commercial, public buildings and new buildings on plots of 300 sq. meters and above	24 months					
7	Establish and operationalize financial intermediary- pool finance, access external funds, float municipal bonds	1. Establish and operationalize financial intermediary- pool finance, access external funds, float municipal bonds.	24 months					
8	Credit Rating	1. Complete the credit ratings of the ULBs.	24 months					
9	Energy and Water audit	1. Give incentives for green buildings (e.g. rebate in property tax or charges connected to building permission/development charges).	24 months					

**Table 5.3: SAAP - Reforms Type, Steps and Target for AMRUT Cities FY-2017-2018**

Name of State –

FY- 2017-18

Sl. No.	Type	Steps	Implementat ion Timeline	Target to be set by states in SAAP						Present Status/ Issue If Any
				Oct 2015 to Mar 2016	Apr to Sep 2016	Oct 2016 to Mar 2017	Apr to Sept 2017	Oct to March 2018	Apr to Sept 2018	
1	E-Governance	1. Personnel Staff management. 2. Project management	36 months							
2	Urban Planning and City Development Plans	1. Establish Urban Development Authorities.	36 months							

## State Annual Action Plan (SAAP)

Sl. No.	Type	Steps	Implementat	Target to be set by states in SAAP						Present
3	Swachh Bharat Mission	<ol style="list-style-type: none"> <li>1. Elimination of open defecation.</li> <li>2. Waste Collection (100%),</li> <li>3. Transportation of Waste (100%).</li> <li>4. Scientific Disposal (100%).</li> <li>5. The State will prepare a Policy for Right-sizing the number of municipal functionaries depending on, say, population of the ULB, generation of internal resources and expenditure on salaries.</li> </ol>	36 months							



Table 7.1: SAAP - ULB level Individual Capacity Development Plan (State level Plan)

Name of State –

FY- 2015-16

**Form 7.1.1 - Physical**

<b>Sl. No.</b>	<b>Name of the Department/Position</b>	<b>Total no. of functionaries (officials/elected representatives) identified at start of Mission (2015)</b>	<b>Numbers trained during last FY (s)</b>	<b>No. to be trained during the current FY</b>	<b>Name(s) of Training Institute for training during the current FY</b>	<b>Cumulative numbers trained after completion of current FY 2015-16</b>
1	Elected Representatives					
2	Administration Department					
3	Finance Department					
4	Engineering and Public Health Department					
5	Town Planning Department					
	<b>Total</b>					

Table 7.1: SAAP - ULB level Individual Capacity Development Plan (State level Plan)

Name of State –

FY- 2015-16

**Form 7.1.2 - Financial**

<b>Sl. No.</b>	<b>Name of the Department/Position</b>	<b>Cumulative funds released upto current FY</b>	<b>Total expenditure upto current FY</b>	<b>Unspent funds available from earlier release</b>	<b>Funds required for the current FY to train the number given in Form 1 (INR Crore))</b>
1	Elected Representatives				
2	Administration Department				
3	Finance Department				
4	Engineering and Public Health Department				
5	Town Planning Department				
				<b>Total Amount</b>	



Table 7.2: Annual Action Plan for Capacity Building

Name of State –

FY- 2015-16

**Form 7.2.2 - Fund Requirement for State level activities**

<b>Sl. No.</b>	<b>State Level activities</b>	<b>Total expenditure upto current FY</b>	<b>Unspent funds available from earlier releases</b>	<b>Funds required for the current FY (In Crore)</b>
1	RPMC (SMMU)			
2	UMC			
3	Others (Workshops, Seminars, etc.) are approved by NIUA			
4	Institutional/ Reform			
	<b>Total</b>			



Table 7.2.3: Annual Action Plan for Capacity Building

Name of State –

FY- 2015-16

**Form 7.2.3 - Total Fund Requirement for Capacity Building**

<b>Sl. No.</b>	<b>Fund requirement</b>	<b>Individual (Training &amp; Workshop)</b>	<b>Institutional/ Reform</b>	<b>SMMU/RPMC/CMMU</b>	<b>Others</b>	<b>Total (In Crore)</b>
1	Total release since start of Mission (2015)	-	-	-	-	-
2	Total utilisation-Central Share	-	-	-	-	-
3	Balance available-Central Share	-	-	-	-	-
4	Amount required-Central Share	-	-	-	-	-
5	Total fund required for capacity building in current FY 2015-16					

### **Form 7.2.4 Details of Institutional Capacity Building**

**a. Is the State willing to revise their town planning laws and rules to include land pooling?**

**b. List of ULBs willing to have a credit rating done as the first step to issue bonds?**

**c. Is the State willing to integrate all work done in GIS in order to make GIS useful for decision making in ULBs?**

**d. Is the State willing to take assistance for using land as a fiscal tool in ULBs?**

**e. Does the State require assistance to professionalize the municipal cadre?**

**f. Does the State require assistance to reduce non-revenue water in ULBs?**

**g. Does the State require assistance to improve property tax assessment and collections in ULBs?**

**h. Does the State require assistance to establish a financial intermediary?**