

Format of State Annual Action Plan

State Annual Action Plan (SAAP)

ATAL MISSION FOR REJUVENATION AND URBAN TRANSFORMATION (AMRUT)

Name of State _____

Time Period: (FY) _____

This Report consists of:

1	<i>Abstract: Consolidated Requirement of State and Share of Each Stakeholder</i>
2	Service Level Improvement Plan
3	State Annual Action Plan ¹ (SAAP) derived from SLIP
4	Plan of Action for Administrative and Office Expenses (A&OE)
5	Plan of Action for Reform Implementation
6	Appraisal Framework for States

Report Submitted by: _____

Date: dd/mm/yy

1. Abstract of State Annual Action Plan (SAAP)

¹ State Annual Action Plans will be based on aggregating Service Level Improvement Plans at State level based on available resources.

Consolidated Requirement of State and Share of Each Stakeholder

Table No.	Content
1.1	Breakup of Total MoUD Allocation in AMRUT
1.2.1	Sector Wise Proposed Total Project Fund and Sharing Pattern
1.2.2	Break-up of Total Fund Sharing Pattern
1.3	Use of Funds on Projects: On-going and New
1.4	Plan for Achieving Service Level Benchmarks

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

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Table 1.2.1: Abstract-Sector Wise Proposed Total Project Fund and Sharing Pattern								
(Amount in Rs.)								
Sl. No	Sector	No. of Projects	Centre	State	ULB	Convergence	Others	Total
1	Water Supply							
2	Sewerage and Septage Management							
3	Drainage							
4	Urban Transport							
5	Others							
6	Grand Total							

Table 1.4: Abstract-Plan for Achieving Service Level Benchmarks

FY_____

Proposed Priority Projects	Total Project Cost	Indicator ²	Baseline ³	Annual Targets based on Master Plan (Increment from the Baseline Value)					
				FY 2016		FY 2017	FY 2018	FY 2019	FY 2020
				H1	H2				
Water Supply									
		1. Household level coverage of direct water supply connections							
		2. Per capita quantum of water supplied							
		3. Quality of water supplied							
Sewerage and Septage Management									
		4. Coverage of latrines (individual or community)							
		5. Coverage of sewerage network services							
		6. Efficiency of Collection of Sewerage							
		7. Efficiency in treatment							
Drainage									
		8. Coverage of storm water drainage network							
Urban Transport									
		9. Service coverage of urban transport in the city							
		10. Availability of urban transport per 1000 population							
Others									

² As per SLB framework for water supply, sewerage, solid waste management and drainage and proposed SLB indicator for urban transport

³ Detailed information for arriving at % target against baseline shall be worked out from details provided by Cities so as to arrive at state indicators

ULB LEVEL

2. Service Level Improvement Plan (SLIP)

Table	Content
2.1	Master Plan of all projects to achieve universal coverage of water supply and sewerage during current Mission period (FYs 2015-16 and 2019-20)
2.2	Details of Prioritized Projects Proposed & Planned under AMRUT during current FY: Sector Wise
2.3.1	Proposed Funding and Sharing Pattern for Priority Projects: Sector Wise
2.3.2	Source of Funds from Gol/State/ULB (for all sectors)
2.4	Year Wise breakup of Investments (for all sectors)
2.5	Plan for Achieving Service Level Benchmarks
2.6	Reporting of Physical and Financial Progress of the Projects Under the Mission During Last Financial Year

Name of City: _____

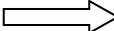
Current Mission Period (2015-20)

Table 2.1: SLIP – Master Plan of all projects to achieve universal coverage of water supply and sewerage during current Mission period (Fys 2015-16 and 2019-20)						
Sr. No.	Project Name and Code ⁴ (list all projects to achieve universal coverage in the City separately for water supply and sewerage)	Infrastructure Improvement				Estimated Cost (Amount in Rs.)
		Change in Service Levels				
		Priority number	Year in which to be implemented	Year in which proposed to be completed		
Grand Total						

⁴ Project code may be abbreviated as: Mission/State/City/Sector/Number(Zone) such as AMRUT/UP/Mathura/WS/01(Zone name)

Name of City: _____

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Table 2.2: SLIP - Details of Prioritized Projects Proposed under AMRUT during current FY: Sector Wise						
Particulars  ↓ Sector	Project Name and Code ⁵	Infrastructure Improvement				Estimated Cost (Amount in Rs.)
		Physical Components	Change in Service Levels			
			Indicator	Existing (As-Is)	After (To-be)	
Water Supply						
Sewerage and Septage Management						
Storm Water						
Urban Transport						
Others						
Grand Total						

⁵ Project code may be abbreviated as: Mission/State/City/Sector/Number(Zone) such as AMRUT/UP/Mathura/WS/01(Zone name)

Name of City: _____

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Table 2.3.1: SLIP - Proposed Funding and Sharing Pattern: Sector Wise						
(Amount in Rs.)						
Sector	Total Project Cost	Share				
		GOI	State	ULB	Others	Total
Water Supply						
Sewerage and Septage Management						
Drainage						
Urban Transport						
Others						
Total						

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Table 2.3.2: SLIP- Source of Funds from GoI/State/ULB (for all sectors for all sectors and prioritized projects)

(Amount in Rs.)

Source	Source of Funds						Total
	Grant (Centre/State)	Own fund (State/ULB)	14 th FC (State)	Debt (Centre/State/ Others)	Others (Including PPP)	Convergence (Centre/State/UL B)	
GoI							
State							
ULB							
Total							

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Table 2.4: SLIP - Year Wise breakup of Investments (for all sectors)				
(Amount in Rs.)				
Sector	Share			
	GOI	State	ULB	Total
Total Cost of Projects approved till last year (a)				
Cost of Projects Proposed during the year (b)				
Amount Spent till last year (c)				
Committed Expenditure (d) = (a+b-c)				
Proposed Spending during Current Financial year (new and old projects) (e)				
Balance Carry Forward for Next Financial Years (f) = (d) – (e)				

Name of City: _____

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Table 2.5: SLIP – Plan for Achieving Service Level Benchmarks

Proposed Projects	Total Project Cost	Indicator ⁶	Baseline ⁷	Annual Targets (Increment from the Baseline Value)					
				FY 2016		FY 2017	FY 2018	FY 2019	FY 2020
				H1	H2				
Water Supply									
		1. Household level coverage of direct water supply connections							
		2. Per capita quantum of water supplied							
		3. Quality of water supplied							
Sewerage and Septage Management									
		4. Coverage of latrines (individual or community)							
		5. Coverage of sewerage network services							
		6. Efficiency of Collection of Sewerage							
		7. Efficiency in treatment							
Drainage									
		8. Coverage of storm water drainage network							
Urban Transport									
		9. Service coverage of urban transport in the city							
		10. Availability of urban transport per 1000 population							
Others									

⁶ As per SLB framework for water supply, sewerage, solid waste management and drainage and proposed SLB indicator for urban transport (Please also Refer Annexure 1)

⁷ Detailed information for arriving at % target against baseline shall be annexed along with the proposals to states

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Table 2.6: SLIP - Reporting of Physical and Financial Progress of the Projects Under the Mission During Last Financial Year

Name of the Project	Target of Last Year		Achievement of Last Year		Variance		Reason for Variance
	Physical %	Financial %	Physical %	Financial %	Physical %	Financial %	

* Approved copy of this table should be send to MoUD, along with the SAAP

State Level

3. State Annual Action Plan⁸ (SAAP) derived from SLIPs

Table No.	Content
3.1	Master Plan of all projects details to achieve universal coverage during the current Mission period based on Table 2.1 (FYs 2105-16 and 2019-20)
3.2	Sector Wise Breakup of Consolidated Investments for each ULB in the State
3.3	ULB Wise Source of Funds for All Sectors
3.4	Year Wise Share of Investments for All Sectors (ULB Wise)
3.5	State level Plan for Achieving Service Level Benchmarks
3.6	State Level Plan of Action for Physical and Financial Progress

⁸ State Annual Action Plans will be based on aggregating Service Level Improvement Plans at State level based on available resources.

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Current Mission period 2015-20

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

(Amount in Rs.)

Sr. No.	Name of ULB (water supply and sewerage)	Total number of projects to achieve universal coverage	Estimated Cost	Number of years to achieve universal coverage
1	2	3	4	5

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Table 3.2: SAAP - Sector Wise Breakup of Consolidated Investments for all ULBs in the State							
(Amount in Rs.)							
Name of City	Water Supply	Sewerage and Septage Management	Drainage	Urban Transport	Others	Reforms	Total
1	2	3	4	5	6	7	8
Total Project Investments							
A&OE							
Grand Total							

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Table 3.5: SAAP – State level Plan for Achieving Service Level Benchmarks									
Proposed Priority Projects	Total Project Cost	Indicator ⁹	Baseline ¹⁰	Annual Targets (Increment from the Baseline Value)					
				FY 2016		FY 2017	FY 2018	FY 2019	FY 2020
				H1	H2				
Water Supply									
		1. Household level coverage of direct water supply connections							
		2. Per capita quantum of water supplied							
		3. Quality of water supplied							
Sewerage and Septage Management									
		4. Coverage of latrines (individual or community)							
		5. Coverage of sewerage network services							
		6. Efficiency of Collection of Sewerage							
		7. Efficiency in treatment							
Drainage									
		8. Coverage of storm water drainage network							
Urban Transport									
		9. Service coverage of urban transport in the city							
		10. Availability of urban transport per 1000 population							
Others									

⁹ As per SLB framework for water supply, sewerage, solid waste management and drainage and proposed SLB indicator for urban transport

¹⁰ Detailed information for arriving at % target against baseline shall be worked out from details provided by Cities so as to arrive at state indicators

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Table 3.6: SAAP – State Level Plan of Action for Physical and Financial Progress

Sector: _____

Name of City	Performance indicator	Baseline (as of date xx)	Mission Target	For the Financial Year _____			
				For Half Year 1		For Half Year 2	
				Physical Progress to be achieved	Funds to be utilized	Physical Progress to be achieved	Funds to be utilized

(Note: Above information to be provided for each sector in each city, every half year, till the completion of the project)

5. Plan of Action for Reform Implementation

Table No.	Content
5.1	Reforms Type, Steps and Target for AMRUT Cities FY 2015-16
5.2	Reforms Type, Steps and Target for AMRUT Cities FY 2016-17
5.3	Reforms Type, Steps and Target for AMRUT Cities FY 2017-18
5.4	Reforms Type, Steps and Target for AMRUT Cities FY 2018-19
5.5	Self- Evaluation for Reporting Progress on Reform Implementation

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

S.No	Type	Steps	Implementation Timeline	Target to be set by states in SAAP	
				April to Sep, 2015	Oct, 2015 to Mar, 2016
1	E-Governance	Digital ULBs 1. Creation of ULB website. 2. Publication of e-newsletter, Digital India Initiatives. 3. Support Digital India (ducting to be done on PPP mode or by the ULB itself).	6 months 6 months 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 FY2012-13 onwards. 2. Publication of annual financial statement on website.	12 months Every year		
4	Urban Planning and City Development Plans	1. Preparation of Service Level Improvement Plans (SLIP), State Annual Action Plans (SAAP). 2. Make action plan to progressively increase Green cover in cities to 15% in 5 years. 3. Develop at least one children park every year in the AMRUT cities.	6 months 6 months 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	<ol style="list-style-type: none"> 1. Ensure transfer of 14th FC devolution to ULBs. 2. Appointment of State Finance Commission (SFC) and making decisions. 3. Transfer of all 18 function to ULBs. 	<p>6 months</p> <p>12 months</p> <p>12 months</p>		
6	Review of Building by-laws	<ol style="list-style-type: none"> 1. Revision of building bye laws periodically. 2. Create single window clearance for all approvals to give building permissions. 	<p>12 months</p> <p>12 months</p>		
7(a)	Municipal tax and fees improvement	<ol style="list-style-type: none"> 1. Atleast 90% coverage. 2. Atleast 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. 	12 months		

7(b)	Improvement in levy and collection of user charges	<ol style="list-style-type: none"> 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 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. Atleast 90% billing. 5. Atleast 90% collection. 	12 months		
8	Energy and Water audit	<ol style="list-style-type: none"> 1. Energy (Street lights) and Water Audit (including non-revenue water or losses audit). 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. 	12 months		

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

S.No	Type	Steps	Implementation Timeline	Target to be set by states in SAAP			
				April to Sep, 2015	Oct, 2015 to Mar, 2016	April to Sep, 2016	Oct, 2016 to Mar, 2017
1	E-Governance	1. Coverage with E-MAAS (from the date of hosting the software) <ul style="list-style-type: none"> • Registration of Birth, Death and Marriage, • Water & Sewerage Charges, • Grievance Redressal, • Property Tax, • Advertisement tax, • Issuance of Licenses, • Building Permissions, • Mutations, • Payroll, • Pension and e-procurement. 	24 months				
2	Constitution and professionalization of municipal cadre	1. Establishment of municipal cadre. 2. Cadre linked training.	24 months				
3	Augmenting double entry accounting	1. Appointment of internal auditor.	24 months				
4	Urban Planning and City Development	1. Make a State Level policy for implementing the parameters given in the National Mission	24 months				

	Plans	for Sustainable Habitat.					
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. 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 24 months				
7	Set-up financial intermediary at state level	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

S.No	Type	Steps	Implementation Timeline	Target to be set by states in SAAP					
				April to Sep, 2015	Oct, 2015 to Mar, 2016	April to Sep, 2016	Oct, 2016 to Mar, 2017	April to Sep, 2017	Oct, 2017 to Mar, 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						
3	Swachh Bharat Mission	1. Elimination of open defecation. 2. Waste Collection (100%), 3. Transportation of Waste (100%). 4. Scientific Disposal (100%). 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.	36 months						

Table 5.5: SAAP - Self- Evaluation for Reporting Progress on Reform Implementation

For Financial Year _____ (Last financial year)

The reforms achievement will be measured every year after the end of financial year by allocating 10 marks for each reforms milestone achieved as against the targets set by the MoUD.

S. No	Year	No of milestones	Maximum Score
1	1 st year	28	280
2	2 nd year	13	130
3	3 rd year	8	80
4	4 th year	3	30

Incentive based grant release calculation:

The States will be required to fill the following Self-Assessment Form.

Step 1: Fill the following table

S. No	Name of ULBs	Maximum Score possible during the year	Score obtained ULB Wise
(1)	(2)	(3)	(4)
1			
2			
3			
Subtotal ULB			
State			
1			
2			
3			
Subtotal State			
Overall			

Step 2: Calculate the overall score in percentage obtained by the state (State score plus ULB score).

Step 3: Only those States achieving 70 percent and above overall reform score will be considered for incentive.

Step 4: If the overall score is greater than 70 percent, the incentive amount will be distributed among the states depending upon the number of ULBs that have achieved a score of more than 70 percent in the state.

6. Appraisal Framework for States

Table No.	Content
6.1	Appraisal of SLIPs by State Mission Directorate to be put up before State HPSC
6.2	Consolidated State Annual Action Plan to be sent for Assessment by MoUD
6.3	Tentative Appraisal of State level Action Plans by MoUD

**Table 6.1: Check list –Appraisal of SLIPs of ULBs by State Mission
Directorate to be put up before State HPSC**

ULB-State:

SI No	Area of appraisal	Yes/No	Supported Documents	Remarks
1.	Has the city assessed baseline for service coverage indicators?			
2.	Has the City carried out citizen consultations to develop SLIPs and prepare CDPs			
3.	Have the prioritization of projects been done based on citizen consultation			
4.	Has the city assessed low cost or no cost improvements that can improve service levels?			
5.	Are the identified capital investments accompanied by management (e.g. Reforms) improvements to improve service levels?			
6.	Will the proposed investments ensure service levels to slum/ urban poor areas?			
7.	Is the proposed project addressing the highest priority need for improvement after including the National priorities?			
8.	Is the investment proposed commensurate to the level of improvement envisaged in the indicator?			
9.	Has the city proposed smart solutions to minimize the cost of investments?			
10.	Type of Smart Solutions proposed by the city			
11.	Has the city ensured that investment proposals are based on reasonable cost norms?			
12.	Has the city carried out a			

	financial forecast to identify resource requirements for a) Capital costs b) O & M c) Repayments for borrowings / financing contributed by PPP			
13.	Has the city identified incremental O & M requirements, including staff and costs?			
14.	Has the city considered various sources of funds to meet investment needs?			
15.	Has the city considered all potential revenue improvements to mobilise additional revenue including innovative financing options?			
16.	Has the city explored all sources of finance, including market borrowing?			
17.	Has the city considered various PPP options?			
18.	Has the city provided clear status and roadmap for implementation of reforms?			
19.	Have cities prepared implementation plan for initiating proposed projects and reforms			
20.	Has the prioritization of ULBs for funding in AMRUT been done according to para 7.2.			

* Please attach minutes of the last meeting

Table 6.2: Checklist - Consolidated State Annual Action Plan of all ULBs to be sent for Assessment by MoUD

State:

Sl. No.	Points of Consideration	Yes/No	Give Details
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, 14 th Finance Commission, external sources)?		
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?.		

Please attach minutes of the SHPSC

(State Mission Director)

Table 6.3: Check List - Tentative Appraisal of State level

Action Plans by MoUD

SI No	Area of appraisal	Yes/No	Supported Documents	Remarks
1.	Has the State prioritized cities and sectors based on the baseline data?		Appraisal report of State PS	
2.	Has the State ensured that low or no cost improvements have been identified by each city?		Appraisal report of State PS	
3.	How well has the state planned and financed capital expenditure?			
4.	What is the expected level of financial support from the Central Government and how well have the State/ULB and other sources of finance been identified and accessed?			
5.	Has the State ensured that the State share has been adequately budgeted?			
6.	Has the State instituted enough measures to ensure that cities are assisted to mobilise their share of project cost, as may be necessary?			
7.	Has the State engaged Project Development and Management Consultant to manage projects and reforms?			
8.	Have the FFC grants been released to the ULBs in the State?			
9.	Have other performance requirements of FFC been complied with?			
10.	How well the state has planned to move towards achievement of universal coverage and benchmarks in water supply, sewerage/septage, urban transport and storm water.			
11.	Have the targets (Timelines and Milestones) for reforms been			

	developed?			
12.	Has the State explored the potential for PPP in the proposed projects?			
13.	Has a financial intermediary been established?			
14.	How well has the diagnostic been done for gap analysis at state level?			
15.	How well are the techno financial details of the projects?			
16.	Has the state followed policy of prioritization given in para 7.2.?			