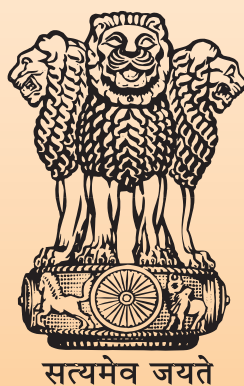


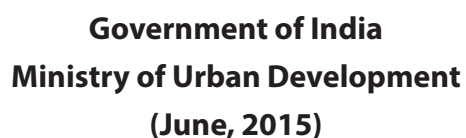


Mission Statement & Guidelines



Ministry of Urban Development
Government of India
June 2015

Mission Statement & Guidelines



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Atal Mission for Rejuvenation and Urban Transformation (AMRUT)

Providing basic services (e.g. water supply, sewerage, urban transport) to households and build amenities in cities which will improve the quality of life for all, especially the poor and the disadvantaged is a national priority. An estimate of the funds required over a 20 year period, at 2009-10 prices, was made by the High Powered Expert Committee (HPEC) during 2011. The Committee estimated that Rs. 39.2 lakh crore was required for creation of urban infrastructure, including Rs. 17.3 lakh crore for urban roads and Rs. 8 lakh crore for services, such as water supply, sewerage, solid waste management and storm water drains. Moreover, the requirement for Operation and Maintenance (O&M) was separately estimated to be Rs. 19.9 lakh crore.

Learnings from the earlier Mission have shown that infrastructure creation should have a direct impact on the real needs of people, such as providing taps and toilet connections to all households. This means that the focus should be on infrastructure creation that has a direct link to provision of better services to people and this was explicitly stated by the President of India in his speeches to the Joint Sessions of the Parliament on 9 June, 2014 and 23 February, 2015.

Therefore, the purpose of Atal Mission for Rejuvenation and Urban Transformation (AMRUT) is to (i) ensure that every household has access to a tap with assured supply of water and a sewerage connection; (ii) increase the amenity value of cities by developing greenery and well maintained open spaces (e.g. parks); and (iii) reduce pollution by switching to public transport or constructing facilities for non-motorized transport (e.g. walking and cycling). All these outcomes are valued by citizens, particularly women, and indicators and standards have been prescribed by the Ministry of Urban Development (MoUD) in the form of Service Level Benchmarks (SLBs).

However, the pursuit of better outcomes will not stop with the provision of taps and sewerage connections to all (universal coverage). Other benchmarks will be targeted following a step-by-step process after achieving the benchmark of universal coverage. Such a gradual process of achieving benchmarks is called “**incrementalism**”. This does not mean that other SLBs are less important, but that in the incremental process SLBs are achieved gradually according to National Priorities. In the case of urban transport the benchmark will be to reduce pollution in cities while construction and maintenance of storm water drains is expected to reduce, and ultimately eliminate, flooding in cities, thereby making cities resilient.

Earlier, the MoUD used to give project-by-project sanctions. In the AMRUT this has been replaced by approval of the State Annual Action Plan once a year by the MoUD and the States have to give project sanctions and approval at their end. In this way, the AMRUT makes States equal partners in planning and implementation of projects, thus actualizing the spirit of **cooperative federalism**.

A sound institutional structure is the foundation to make Missions successful. Therefore, Capacity Building and a set of Reforms have been included in the Mission. Reforms will lead to

improvement in service delivery, mobilization of resources and making municipal functioning more transparent and functionaries more accountable, while Capacity Building will empower municipal functionaries and lead to timely completion of projects.

1. Thrust areas

1.1 The Mission will focus on the following Thrust Areas:

- i. water supply,
- ii. sewerage facilities and septage management,
- iii. storm water drains to reduce flooding,
- iv. pedestrian, non-motorized and public transport facilities, parking spaces, and
- v. enhancing amenity value of cities by creating and upgrading green spaces, parks and recreation centers, especially for children.

2. Coverage

2.1 Five hundred cities will be taken up under AMRUT. The list of cities will be notified at an appropriate time. The category of cities that will be covered in the AMRUT is given below:

- i. All Cities and Towns with a population of over one lakh with notified Municipalities, including Cantonment Boards (Civilian areas),
- ii. All Capital Cities/Towns of States/ UTs, not covered in 2.1(i),
- iii. All Cities/ Towns classified as Heritage Cities by MoUD under the HRIDAY Scheme,
- iv. Thirteen Cities and Towns on the stem of the main rivers with a population above 75,000 and less than 1 lakh, and
- v. Ten Cities from hill states, islands and tourist destinations (not more than one from each State).

3. Mission Components

3.1 The components of the AMRUT consist of capacity building, reform implementation, water supply, sewerage and septage management, storm water drainage, urban transport and development of green spaces and parks. During the process of planning, the Urban Local Bodies (ULBs) will strive to include some smart features in the physical infrastructure components. The details of the Mission components are given below.

3.1.1 Water Supply

- i. Water supply systems including augmentation of existing water supply, water treatment plants and universal metering.
- ii. Rehabilitation of old water supply systems, including treatment plants.
- iii. Rejuvenation of water bodies specifically for drinking water supply and recharging of ground water.

- iv. Special water supply arrangement for difficult areas, hill and coastal cities, including those having water quality problems (e.g. arsenic, fluoride)

3.1.2 Sewerage

- i. Decentralised, networked underground sewerage systems, including augmentation of existing sewerage systems and sewage treatment plants.
- ii. Rehabilitation of old sewerage system and treatment plants.
- iii. Recycling of water for beneficial purposes and reuse of wastewater.

3.1.3 Septage

- i. Faecal Sludge Management- cleaning, transportation and treatment in a cost-effective manner.
- ii. Mechanical and biological cleaning of sewers and septic tanks and recovery of operational cost in full.

3.1.4 Storm Water Drainage

- i. Construction and improvement of drains and storm water drains in order to reduce and eliminate flooding.

3.1.5 Urban Transport

- i. Ferry vessels for inland waterways (excluding port/bay infrastructure) and buses.
- ii. Footpaths/walkways, sidewalks, foot over-bridges and facilities for non-motorised transport (e.g. bicycles).
- iii. Multi-level parking.
- iv. Bus Rapid Transit System (BRTS).

3.1.6 Green space and parks

- i. Development of green space and parks with special provision for child-friendly components.

3.1.7 Reforms management & support

- i. Support structures, activities and funding support for reform implementation.
- ii. Independent Reform monitoring agencies.

3.1.8 Capacity Building

- i. This has two components- individual and institutional capacity building.
- ii. The capacity building will not be limited to the Mission Cities, but will be extended to other ULBs as well.
- iii. Continuation of the Comprehensive Capacity Building Programme (CCBP) after its realignment towards the new Missions.

3.1.9 Indicative (not exhaustive) list of inadmissible components

- i. Purchase of land for projects or project related works,
- ii. Staff salaries of both the State Governments/ULBs,
- iii. Power,
- iv. Telecom,
- v. Health,
- vi. Education, and
- vii. Wage employment programme and staff component.

4. Fund Allocation

4.1 The total outlay for AMRUT is Rs. 50,000 crore for five years from FY 2015-16 to FY 2019-20 and the Mission will be operated as a Centrally Sponsored Scheme. The AMRUT may be continued thereafter in the light of an evaluation done by the MoUD and incorporating learnings in the Mission. The Mission funds will consist of the following four parts:

- i. Project fund - 80% of the annual budgetary allocation.
- ii. Incentive for Reforms - 10% of the annual budgetary allocation.
- iii. State funds for Administrative & Office Expenses (A&OE) - 8% of the annual budgetary allocation
- iv. MoUD funds for Administrative & Office Expenses (A&OE) - 2% of the annual budgetary allocation

However, for FY 2015-16 the project fund would be 90% of the annual budgetary allocation as incentive for Reforms will be given only from FY 2016-17 onwards. The Mission funds would be allocated to States/UTs based on the following principles.

4.2 Project Fund

The project fund will be divided among States/UTs at the beginning of each year. An equitable formula will be used to distribute the annual budgetary allocation in which equal (50:50) weightage is given to the urban population of each State/UT (Census 2011) and the number of statutory towns in the State/UT. As the number of statutory towns are notified by States/UTs and will change during the Mission period, the formula will take into account changes in this number every year. The amount of project fund allocated will be informed to the States/UTs at the appropriate time. The Central Assistance (CA) for the projects will be in three instalments of 20:40:40 of the approved cost (Refer para 9).

4.3 Incentive for Reform

One purpose of the Mission is to improve governance through a set of Reforms. During the Mission period, 11 Reforms will be implemented. The list is given in Annexure 1. The following principles will govern the grant of incentives to States.

- i. Past experience shows that projects get delayed if release of project funds is linked to non-completion of Reforms. Therefore, the AMRUT shifts from penalization to

incentivization. Ten percent of the annual budget allocation shall be kept apart and given to the States/UTs every year as incentive for achievement of Reforms. The Mission will give incentives for the previous year at the start of the succeeding Financial Year (FY). The States/UTs shall do the self-assessment in the prescribed procedure given in Table 5.5 of Annexure 2. The National Mission Directorate, on receipt of the self-assessment, will announce the award of incentive to the States.

- ii. The incentive fund is an additionality that will be provided by the MoUD and no matching funds will be required to be given by the State/ULB.
- iii. The State High Power Steering Committee (SHPSC) will decide the use of the incentive amount. The incentive award will only be used in Mission cities on admissible components of the AMRUT, including new projects. The SHPSC will inform the MoUD of the use of incentive funds on projects.
- iv. The incentive cannot be used as the State share in project in the AMRUT, but can be used by the ULBs for their project funding.
- v. Unutilised funds for Reform incentives will be transferred to Project Fund every year.

4.4 State Fund (Administrative & Office Expenses)

- i. The funds will be allocated to all States/UTs on the equitable formula given in para 4.2.
- ii. The use of these funds will be recommended by the SHPSC and will form a part of the State Annual Action Plan (SAAP).
- iii. This fund will be utilised for capacity building programmes and will not be used for purchase of vehicles, construction and maintenance of buildings, creation of posts, payment of salary and purchase of furniture and fixtures, etc.
- iv. Hiring of professionals and support teams on contract to support the implementation of Mission at all levels will be permissible as set out in the guidelines and after following fair and transparent procedures.
- v. The funds for capacity building will be released in similar instalments as given for project funds above.
- vi. Taking up activities connected to E-Municipality as a Service (E-MAAS).
- vii. Displaying the logo and tagline of AMRUT prominently on all projects.
- viii. Institutional arrangements that support Mission implementation will be eligible to be funded from this fund, including ongoing Comprehensive Capacity Building Programme (CCBP) and Independent Review & Monitoring Agencies (IRMA).

4.5 MoUD Fund (Administrative & Office Expenses)

- i. The fund will be utilized at the National Mission Directorate level (including the Urban Transport Division) for capacity building, Mission Directorate, convening National & regional workshops, giving awards and recognition of best practices, up-scaling and replication of best practices and smart solutions, commissioning of research

and applied studies through, say, Centres of Excellence and other institutions and international cooperation for capacity building and technology development.

- ii. Taking up activities connected to E-MAAS.
- iii. The Apex Committee will decide on the use of these funds for any other purpose.

5. Components to be Funded

5.1 The funding pattern of projects indicating the share of Central Government/State Government/ULBs/private sector is given below.

S.No.	Components	Funding Pattern
1.	Water Supply: <ul style="list-style-type: none"> New, augmentation and rehabilitation of water supply system. Rejuvenation of water bodies for water supply and recharge of ground water. Special arrangements for difficult areas, hills and coastal cities. 	<ul style="list-style-type: none"> One-third of the project cost as grant from Gol for cities with a population of above 10 lakh. One-half of the project cost as grant for cities/towns with population up to 10 lakh. Balance funding by State Governments / ULBs or through private investment.
2.	Sewerage: <ul style="list-style-type: none"> New, augmentation and rehabilitation of sewerage systems and treatment plants. Recycling water for beneficial purposes and Reuse of waste water. 	<p>The tender will include O & M for five years based on user charges. For the purpose of calculation of the project cost, the O&M cost will be excluded; however, the States/ULBs will fund the O&M through an appropriate cost recovery mechanism in order to make them self-reliant and cost-effective.</p> <p>The SLIPs (refer para 6) will first provide for provision of water and sewerage connections to all households.</p>
3.	Septage: <ul style="list-style-type: none"> Faecal sludge management – (cleaning, transporting and treatment), particularly mechanical & biological cleaning of septic tanks and sewers. 	
4.	Storm water drains: <ul style="list-style-type: none"> Construction & improvement of drains and storm water drains 	
5.	Urban transport: <ul style="list-style-type: none"> Sidewalks, foot over bridges, non-motorized transport, buses, BRTS, multi-level parking, waterways and ferry vessels. 	

6.	<ul style="list-style-type: none"> Development of green spaces and parks with special provision for child-friendly components. For parks, ULBs will have to establish a system for maintenance with local resident participation. 	One-half of the project cost by Gol and the total expenditure on these projects will not exceed 2.5% of the State Annual Action Plan (SAAP).
7.	<ul style="list-style-type: none"> Capacity Building and Reforms support 	Full (100%) by Gol, based on existing norms and unit costs set by the Apex Committee.
8.	<ul style="list-style-type: none"> A&OE (PMU/PIU/DPR cost, etc.) 	

6 Preparation of Service Level Improvement Plans (SLIPs)

- 6.1 The primary purpose is to cover all households with water supply and sewerage (including septage). For this the Service Level Improvement Plan (SLIP), as given in part 2 of Annexure 2, has to be prepared by each ULB and the strategic steps are given below.
- 6.2 **Assess the service level gap:** The AMRUT builds on the available data, information and plans on water supply and sewerage with the States/ULBs. If we take the zone as the basic unit to assess existing levels of coverage of water supply and sewerage, the number of households in the zone having water tap/sewerage connections and those not having these facilities will be taken from the Census (2011) or the baseline survey done by the MoUD¹ (No new baseline survey is envisaged and the State/ULB should accept /endorse the earlier baseline). The zone-wise gaps will be added to arrive at the service level gap in water supply and sewerage in the ULB.
- 6.3 **Bridge the gap:** Once the gap between the existing number of households having water and sewerage/septage connections against the total number of households is computed, plans will be prepared to bridge the gap by using one or more of the components set out in para 3 under the heads of water supply and sewerage/septage. All households in a zone will be covered and this exercise should be done separately for water supply and sewerage and will be a part of the SLIP (Table 2.1; Annexure 2).
- 6.4 **Examine alternatives:** The ULBs will have to examine alternatives available to them. For example, one State/ULB may require addressing gaps in distribution. Another State/ULB may require a common grid connecting many localities to a distant water source. In sewerage, some States/ULBs may choose a mix of centralised and decentralised systems. A State/ULB with high urban densities may choose centralised network based systems. Moreover, considering the cost of sewerage network systems, some ULBs may opt for efficient septage management systems. Therefore, a one-size-fits-all approach will not work and alternatives should be generated in order to do more with less resources and do it in a way that the benefits reach the people in the form of taps and toilets.

¹ See Service Levels in Urban Water and Sanitation Sector (2012), Status Report (2010-11), MoUD, Government of India.

- 6.5 **Estimate the cost:** The cost (both capital and O&M) of each project will be prepared based on line (or abstract) estimates. An important output will be the **total requirement of funds for achieving universal coverage for water supply and sewerage (Master Plans)** for each ULB (see Table 2.1; Annexure 2) and the full State (see Table 3.1; Annexure 2). All relevant and appropriate technical and financial norms prescribed in the JnNURM will apply to the AMRUT Mission; no contingencies or cost escalation will be permissible and no incomplete or already started projects will be included.
- 6.6 **Prioritize:** The maximum amount the Central Government will give as project finance is given in para 5 above. If resources are available to achieve universal coverage in one year, then the ULB will propose the same. However, if sufficient resources are not available to achieve universal coverage in the ULB and the Mission has to be implemented in several years, the ULB will prioritize the zones to be taken up in the first, second, third, fourth and fifth year of the Mission. Universal coverage will start with water supply followed by sewerage in that order. Depending on availability of funds, universal coverage of water supply and sewerage can also be done together. After universal coverage is achieved, the State/ULBs will decide on the next priority – a ULB may decide to construct storm water drains or fund urban transport depending on whether the local priority is to reduce frequent flooding or reduce vehicle-induced pollution. All in all, universal coverage of water and sewerage is a National Priority and this is the first objective to be achieved by the States/ULBs.
- 6.7 However, as given in para 5 above, upto 2.5 percent of the annual allocation may be used to develop parks having child friendly features together with preparing guidelines to entrust park maintenance with funds and functionaries to the local interested stakeholders. This is also a Reform in the AMRUT.
- 6.8 **Out-of-box thinking:** There should be a ‘decisive break with the past’ during the preparation of the SLIPs by the ULBs. For example, instead of pumping water from long distances involving huge capital and electricity consumption costs, the States/ULBs should examine alternatives, such as **water recycling and reuse**. The benchmark is that at least 20 percent of the waste water generated in ULBs should be recycled and the norms for recycled water for non-potable uses have already been prescribed. Another way is to make the water system more efficient by reducing unaccounted water (non-revenue water) to less than 20 percent, which is also a part of the Reforms to be implemented by the States/ULBs and is supported in the AMRUT.
- 6.9 During design and preparation of technical estimate, low cost options will be given preference (frugal engineering) and Smart Solutions applied in order to reduce costs and make services better. A list of Smart Solutions developed by the Centre for Development of Advanced Computing (C-DAC) is given in Annexure 3.
- 6.10 **Conditionalities:** Non-availability of land or delayed availability was one of the key factors that had delayed projects in the earlier Mission. Another connected issue is obtaining clearances from other departments. **Therefore, in the AMRUT no projects should be included which do not have land available and no project work order should be issued if all clearances**

from all the departments have not been received by that time. Moreover, the cost of land purchase will be borne by the States/ULBs. Finally, the AMRUT funds should not be used to complete some components in the JnNURM which were shown in the Detailed Project Report submitted and approved by the MoUD. For example, if the main lines have been laid by using JnNURM grants and provision of taps was also a part of the project, but has not been provided by the ULB, then such left over portions are not eligible for funding in the AMRUT.

- 6.11 **Resilience:** Incorporation of resilience and securing projects against disasters will be done at the stage of preparation of the SLIP itself, particularly for the vulnerable and the poor, and at the project development stage where disaster-secure engineering and structural norms would be included in the design. This will be again ensured by the States/ULBs while preparing the SAAPs.
- 6.12 **Financing:** Financing of projects, including the O&M costs, is a key aspect of the SLIPs. For each option, the capital cost and O&M cost has to be estimated. Different sources of finance have to be identified. At the ULB level, the contribution from internal sources (e.g. taxes, fees, others), external sources (e.g. transfers from States, project fund from Central/State Governments, others) and possibilities of debt, bonds and others has to be assessed. The challenge is to motivate citizens to share the additional cost. One way is to take a loan for project funding for a locality and repay the loan through an increase in property taxes for, say, 10 years in that locality only. This is called Tax Increment Financing (TIF).
- 6.13 Dovetailing of funds through convergence with other Central and State Government Programs/ Schemes with the AMRUT is also another source of funding. At the stage of preparation of SLIP itself, cities must seek convergence with Smart Cities Mission, Swachh Bharat Mission (SBM), National Heritage City Development and Augmentation Yojana (HRIDAY), Digital India, Skill development, Namami Gange, Housing for All, etc.
- 6.14 **Reforms:** Implementation of Reforms is an important objective of the SLIP. The ULBs have to prepare a roadmap for Reforms which will be consolidated by the State Mission Director and included as part of the SAAP. Some Reforms require more funds than others. Assessment and collection of user charges, property tax, fee, and so on are examples of activities requiring hardly any additional funds. If funds are required to implement Reforms they can be accessed from, (i) the allowed components of the AMRUT, (ii) the State A&OE funds, or (iii) the Capacity Building for Urban Development (CBUD) program funded by the World Bank. All these should form part of the SAAP; however, duplication and redundancy should be avoided at the time of preparing the SLIP and the SAAP (Annexures 2 & 7).

7. State Annual Action Plan (SAAP)

- 7.1 The basic building block for the SAAP will be the SLIPs prepared by the ULBs. At the State level, the SLIPs of all Mission cities will be aggregated into the SAAP. Therefore, the SAAP is basically a State level service improvement plan indicating the year-wise improvements in water-supply and sewerage connections to households.

- 7.2 **Principles of Prioritization:** The States will decide on the inter-ULB allocation based on gap analysis and financial strength of ULBs and choose those ULBs in the first year that have higher gaps in provision of water supply and sewerage. The prioritization of ULBs for funding will be done after consultation with local MPs, Mayors and Commissioners of the concerned ULBs. Financially weaker ULBs can be financed to a greater extent. Urban Local Bodies with a high proportion of urban poor could receive a higher share. Moreover, the potential Smart cities will be given first preference because the Smart Cities Mission and the AMRUT are complementary. Based on prioritization by the States and resources available, the States will send the SAAP upto three times the Central Assistance (CA) allocated to the State during 2015-16 (because a project is likely to take three years for completion and the funding will be given in three instalments) and the outstanding CA of the previous year plus the annual allocation of the year in the subsequent years. As a result, different ULBs within a State may become entitled to different funding patterns, but the share of the Centre will be fixed as given in these Guidelines.
- 7.3 **Importance of O&M:** Experience with past programmes has shown that once projects are completed the ULBs pay little attention to the operation and maintenance of infrastructure assets created. Therefore, projects being proposed to the MoUD in the SAAP will include O&M for at least five years to be funded by way of levy of user charges or other revenue streams. However, for the purpose of calculation of the project cost, the O&M cost will be excluded and the States/ULBs will fund the O&M through an appropriate cost recovery mechanism in order to make them self-reliant and cost-effective.
- 7.4 **Financing of projects:** Financing is an important element of the SAAP. The table given in para 5 indicates the maximum share which will be given by the Central Government. The States/ULBs have to plan for the remaining resource generation at the time of preparation of the SAAP. The financial share of cities will vary across States. In some States, the ULBs may be in a position to contribute significantly to the project cost as compared to a ULB in another State. Accordingly, States have to decide during formulation of the SAAP how the residual financing (over and above Central Government share) is shared between the State, ULBs and any other source identified by the State/ULB (e.g. PPP, market borrowing). **However, the State contribution to the SAAP will not be less than 20 percent of the total project cost.**
- 7.5 Importantly, at the State level the SAAP should only contain those projects where complete project cost is completely linked with revenue sources. This will include dovetailing with other sectoral and financial programmes of the Centre and State Governments. A useful way is to create a Financial Intermediary, also a Reform in the AMRUT, in order to pool funds from all sources and release funds to ULBs in time. Such intermediaries will also be able to access external sources of finance, such as debt and bonds, which small and financially distressed ULBs are unable to access. The potential opened by the promulgation of Regulations by the SEBI for municipal bonds can be fully realized by such an intermediary. During the process of developing the SAAP, the States/UTs should explore the possibility of using Public Private

Partnerships (PPP), which should be the preferred execution model. The PPP should include appropriate Service Level Agreements (SLAs) with strong citizen feedback built into it. This will lead to the People Public Private Partnership (PPPP) model.

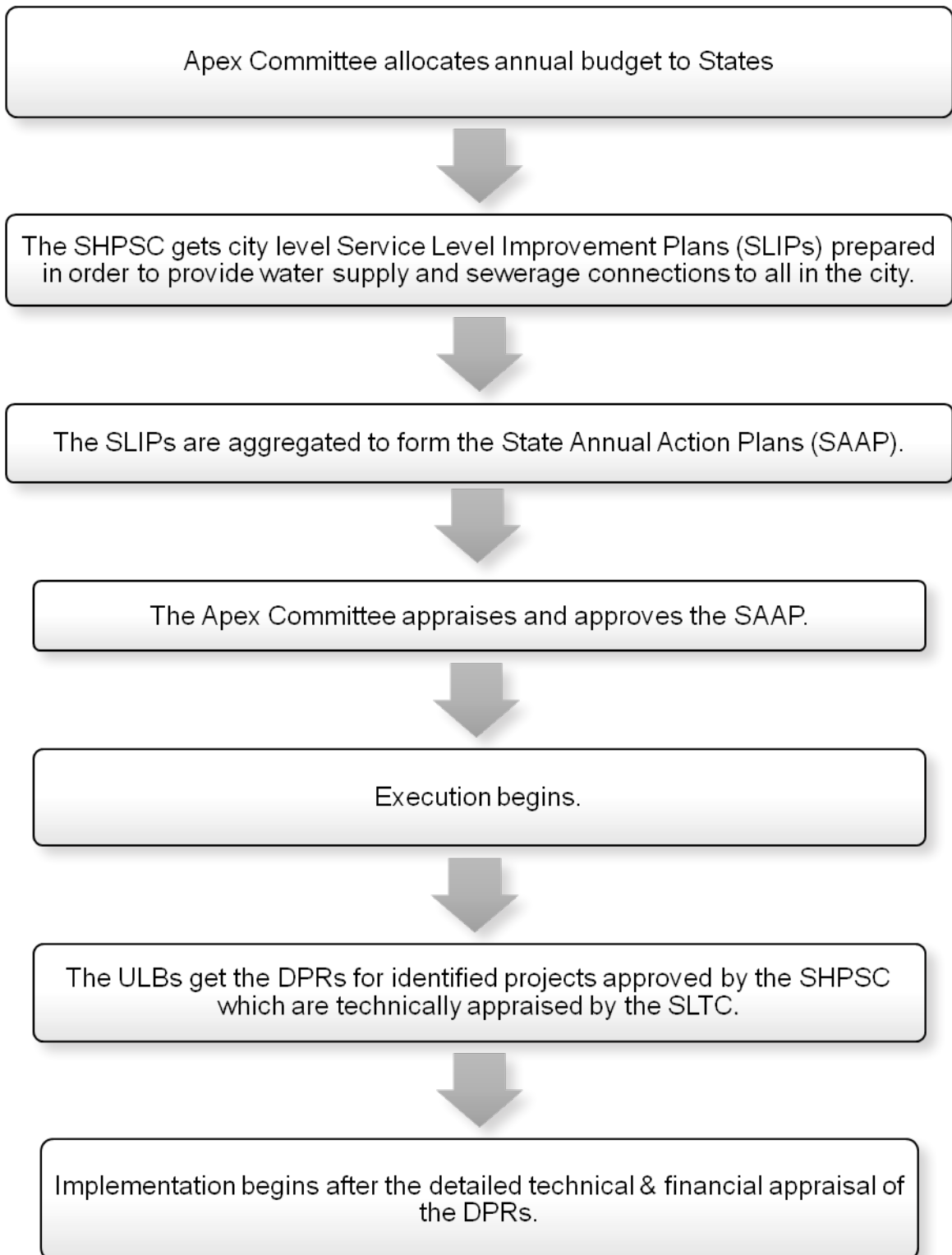
7.6 Approval of SAAP: The SAAP will be approved by the MoUD once a year according to the schedule given by the Apex Committee. The Apex Committee may revise the SAAP, approve with conditions or return it for rectification of gaps. The AMRUT will provide **project funds to ULBs through the States**. Some of the criteria to evaluate the SAAP by the MoUD are given below.

- i. How well has the State Government diagnosed service level gaps ?
- ii. How well has the State planned and financed capital expenditure ?
- iii. How well has the State moved towards achievement of universal coverage in water supply and sewerage/septage and thereafter other benchmarks in these two sectors and in urban transport and storm water drain construction ?
- iv. 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 ?
- v. How fairly and equitably have the needs of the ULBs been given due consideration ?
- vi. Have adequate consultations with all stakeholders been done, including citizens, local MPs and other public representatives ?

8. Execution

8.1 Projects will be executed by ULBs. In case the ULBs do not have adequate capacity to handle projects, the State Government may recommend in SAAP, upon a Resolution passed by the ULB, for the execution of the projects by specialized parastatal agencies of the State or Central Governments. Such arrangements should necessarily be executed by way of a tripartite Memorandum of Understanding (MoU) amongst the State Government, the specialized Parastatal agencies and the concerned Municipality. In such a case, the capacity of the ULBs will be augmented through the capacity building component of the AMRUT. The maintenance and upkeep of the created assets will be the responsibility of the ULB and the State Government.

8.2 The MoUD will not give project-by-project approvals or technically sanction project DPRs; the States/UTs will be solely responsible for these activities. The MoUD has prepared comprehensive manuals and issued guidelines and advisories on solid waste management, sewerage, water supply, urban transport, etc. The State Level Technical Committee (SLTC) will ensure compliance with these technical documents. The flow chart given below gives the details of the complete process of planning, approval and implementation of the AMRUT.



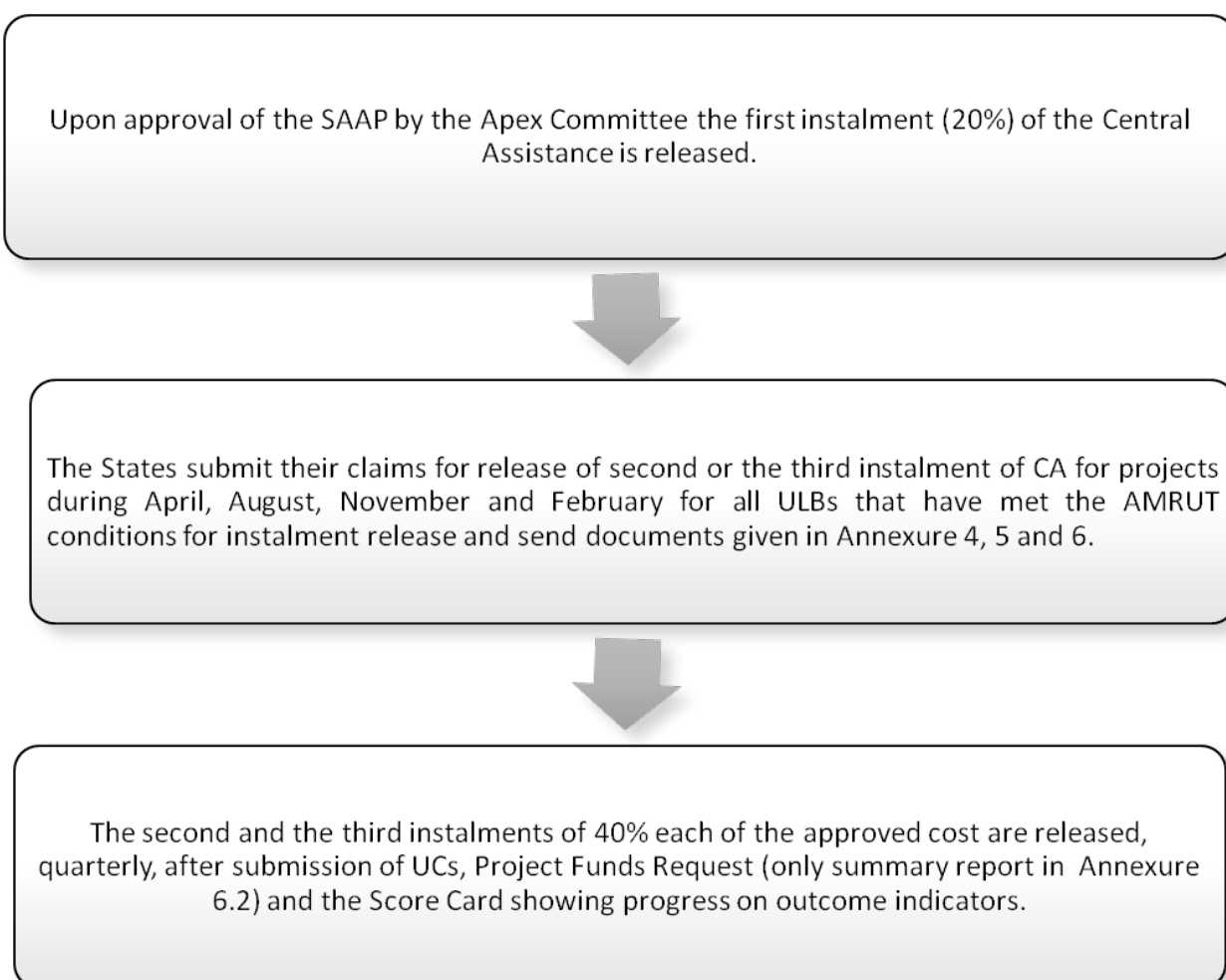
- 8.3 Some of the factors identified for the slow implementation of projects are related to project design, process of tendering, cost escalation due to delays and delay in calling and settling tenders and difference in approved cost and cost shown in Detailed Project Reports (DPRs). In order to overcome these constraints, the States/ULBs should follow an approach in which end-to-end support for project design, development, implementation and management is provided to ULBs/States by external entities. Specifically, the assistance will be given for preparation of the SLIP, SAAP, DPR, etc. The external entities will be called Project Development and Management Consultants (PDMCs). A model Scope of work for providing end-to-end assistance by external entities is given at Annexure 8 and this will enable States/UTs to procure PDMCs. A model Request for Proposals (RfP) is also available in the Mission Toolkit.

9. Release of funds

- 9.1 The funds will be released in three instalments of 20:40:40. The funds will be kept in separate bank account by the implementing agency as was done in the earlier Mission. Immediately after announcement of the AMRUT, each Mission City will be given an advance of Rs. 25 lakh for preparation of SLIP/individual capacity building which will come from the ULB's share of the A&OE funds and will be adjusted in its share at the time of release of the first instalment.
- 9.2 The first instalment will be released immediately after approval of the SAAP by the Apex Committee. The second and third instalment will be released on receipt of (i) Score Card, (ii) Utilization Certificates, and (iii) Project Funds Request. The request formats given in Annexures 6.1 and 7.3 (capacity building progress) will be sent by the ULBs to the State Mission Directors. In turn, the State Mission Directors will consolidate these requests and send their reports in the formats given in Annexures 6.2 and 7.4 (capacity building progress) along with the Score Cards and the Utilization Certificates given in Annexures 4 and 5, respectively, to the MoUD.
- 9.3 These documents should show, (i) utilisation of 75% of the amount already released by the Centre and State according to the funding pattern given in para 5, (ii) utilization of the State/ULB/Private Sector shares, and (iii) meeting the service level milestones as assured in the roadmap contained in SAAP and certified in the report of the Independent Review And Monitoring Agency (IRMA). Importantly, release of the second and third instalments of CA will be subject to, (a) mobilizing the assured resources as given in the SAAP by the States/UTs, and (b) any other conditions imposed by the SHPSC and the Apex Committee. Recognizing the fact that all approved projects may not be progressing at an equal pace, States may, in exceptional circumstances, submit their proposals for release of second and third instalments for a set of ULBs/projects as and when 75 percent utilization and other conditions are fulfilled (see flow chart on page 18).
- 9.4 At the end of third quarter of every year the Apex Committee will review the utilisation of allocations by States and shall reallocate funds from non-performing to the performing States/ULBs based on their performance and potential to utilize funds. Any excess or shortfall

in the first instalment of 20% released on the basis of estimated cost shall be adjusted while releasing the second instalment of CA which will be based on approved cost. The approved cost is the appraised cost or the tendered cost of the project (whichever is less) and has to be taken into account by the SHPSC. Diversion of Central Grants for purposes other than the Mission projects shall entail levy of penal interest on the amount and any other action by the Apex Committee and may include adverse effect on release of grants.

- 9.5 The learnings from earlier programmes have pointed to the fact that timely release of project funds by the State Governments is critical to project completion; therefore, the States should release the CA funds along with State share to the ULBs within seven working days of release of Central share by MoUD otherwise interest at the rate specified by the Ministry of Finance shall be levied on the State for any delay beyond seven days and appropriate deductions made from future instalments.
- 9.6 The flow chart below gives the steps in the release of funds.



10. Programme Management Structure

10.1 National level

An Apex Committee (AC), chaired by the Secretary, MoUD and comprising representatives of related Ministries and organisations will supervise the Mission. The composition of the Apex Committee will be:

i.	Secretary (MoUD)	Chairman
ii.	Secretary(Department of Expenditure)	Member
iii.	Secretary(Department of Economic Affairs)	Member
iv.	Principal Advisor(HUD), NITI Ayog	Member
v.	Secretary (Drinking Water & Sanitation)	Member
vi.	Secretary(Ministry of Housing & Urban Poverty Alleviation)	Member
vii.	Secretary (Environment & Forest)	Member
viii.	Joint Secretary & FA, MoUD	Member
ix.	OSD(UT), MoUD	Member
x.	Adviser(CPHEEO)	Member
xi.	TCPO	Member
xii.	Director, NIUA	Member
xiii.	Mission Director (MoUD)	Member Secretary

The Apex Committee may co-opt any representative from any Government Department or organisation as Member or invite any expert to participate in its deliberations. The functions of the Apex Committee are:

- i. Approve the SAAP submitted by the State High Powered Steering Committee, including the Annual Comprehensive Action Plan for Capacity Building of States, the Reform roadmap in the SAAP.
- ii. Allocate and release funds to the States/UTs/Mission Directorate.
- iii. Overall monitoring and supervision of the Mission.
- iv. Advise the State/UT/implementing agencies on innovative ways for resource mobilization, private financing and land leveraging.
- v. Confirm appointment of organisations, institutions or agencies for third party monitoring (IRMA).
- vi. The Apex Committee may delegate, as it considers appropriate, some of the functions within prescribed limits to the Mission Director for ensuring speedy implementation of the Mission.
- vii. Formulate the threshold of physical progress of project at which to release funds to the States.

The Apex Committee will meet according to requirements but at least once in three months. There will be a National Mission Director, who will not be below the rank of Joint Secretary to Government of India who will be the overall in-charge of all activities related to the Mission. The Mission Directorate will take support from subject matter experts and such staff, as considered necessary. The National Mission Director will be the Member Secretary in the Apex Committee.

10.2 State level

A State level High Powered Steering Committee (SHPSC) chaired by the State Chief Secretary, shall steer the Mission Programme in its entirety. An indicative composition of the SHPSC is given below.

i.	Chief Secretary	Chairman
ii.	Pr.Secretary(PHE)	Member
iii.	Pr.Secretary(Finance)	Member
iv.	Pr.Secretary(Housing)	Member
v.	Pr. Secretary(Environment & Forest)	Member
vi.	Representative of MoUD	Member
vii.	Mission Director (if different from viii below)	Member
viii.	Pr. Secretary(UD)	Member Secretary

The SHPSC may co-opt member(s) from other State Government Departments/Government organisations and may also invite experts in the field to participate in its deliberations. There would be a State Mission Director who will be an officer not below the rank of Secretary to the State Government, nominated by the State Government, with a Programme Management Unit (PMU) and a Project Development and Management Consultant (PDMC). With the establishment of PDMCs, the AMRUT will not support the PMUs and Project Implementation Units (PIUs) set up under earlier Mission. Moreover, the States will ensure that there is no overlap in the functions of these Mission support structures. In case a PMU has already been established under the CCBP, another PMU will not be supported from the Mission funds. The functions of the SHPSC are:

- i. Identify the gaps in infrastructure based on SLBs, need for individual and institutional capacity building, ways and means to achieve urban reforms, finalisation of the financial outlays, etc. of the Mission Cities/Towns.
- ii. Prepare the SAAP based on the SLIPs of the ULBs of the State prioritising cities and projects based on available resources each year, as prescribed in the Mission Statement and Guidelines.
- iii. Approve the projects after they are technically appraised and sanctioned by the State Level Technical Committee (SLTC). All project approvals shall be accorded by the State HPSC provided these projects are included in the approved SAAP. No project shall be referred to the MoUD for sanction. In the entire project approval, procurement and execution process, the State HPSC shall ensure that all the provisions of State Financial Rules are followed.

- iv. Plan the fund flow in short, medium as well as long term. Explore innovative ways for resource mobilization, private financing and land leveraging for funding of projects.
- v. Fix the State and ULB share of contribution towards the projects in addition to the Central Government Grant specified in para 5 of these Guidelines.
- vi. Look into complaints of poor quality, lack of supervision and other violations. Monitor the quality of work and reports of appraisal by third party assessors and others and take action at their end.
- vii. Recommend proposals for release of instalment of funds for on-going projects to the National Mission Directorate.
- viii. Follow-up action to establish a Financial Intermediary, allocate and release the Central and State share of funds in time for execution of projects.
- ix. Recommend a roadmap and milestones for implementation of Reforms in the State/ULBs for approval of the Apex Committee. Review the progress of committed Urban Reforms at the State and ULB level.
- x. Monitor the progress of implementation of the Mission, including project implementation in ULBs.
- xi. Monitor outcome and O&M arrangements of projects sanctioned and completed under the Mission.
- xii. Periodically, review the progress of capacity building and training activities.
- xiii. Organise timely audit of the funds released and review the Action Taken Reports on various Audit reports relating to the earlier Mission and the new Mission and on other reports including that of third party, Project Development and Management Consultants and the elected representatives of the ULBs.
- xiv. Bring about inter-organisation coordination and collaboration for better planning and implementation of the Mission Programme.
- xvi. Any other matter relevant for the efficient implementation of the Mission or referred by the National Mission Directorate.
- xvii. Monitor the legal issues/cases in courts, if any.

10.3 City Level

At the City level the ULB will be responsible for implementation for the Mission. The Municipal Commissioner will ensure timely preparation of SLIP (para 6 & Annexure 2). The ULBs will develop DPRs and bid documents for projects in the approved SAAP. The ULBs will ensure city level of approvals of DPRs and bid documents and forward these to the SLTC/SHPSC for approvals. Urban local bodies will procure implementation agencies as provided in the financial rules and regulations and after award of work, ensure its timely completion. For this, the ULBs will take support from PDMCs to perform these activities as given in section 8. The ULB will also develop a road map for Reform implementation and capacity building as given in Annexures 2 (Table 5.1) and 7, respectively. The ULB will also be responsible for building coordination and collaboration among stakeholders for timely completion of projects without escalation of project cost.

11. Appraisal of DPRs for projects

11.1 The SHPSC shall constitute a SLTC with representatives from the concerned Departments/ Organisations, which will carry out the technical and financial appraisal of the DPRs. The composition of the SLTC is given below.

i.	Pr.Secretary(UD)/Secretary(UD)	Chairman
ii.	Water Resources/Ground Water Department	Member
iii.	Revenue/Land Department	Member
iv.	Town Planning Department	Member
v.	Slum Development Board	Member
vi.	Electricity Department	Member
vii.	Representative of CPHEEO, MoUD	Member
viii.	Finance Department	Member
ix.	Mission Director (if not Chairman/Member-Secretary)	Member
x.	Technical Head (e.g. Engineer-in-Chief) Urban Water Supply & Sewerage Board/ For transport projects – Road Transport Corporation MD/ED	Member-Secretary

11.2 The SHPSC may nominate more members on the SLTC from other concerned State Government Departments/Government organisations, if considered necessary. The key functions of the SLTC are:

- i. Approve the technical parameters such as scope, objectives and final deliverables of the Project, Internal Bench Mark (IBM)/deciding basic parameters/approval of bid documents/evaluation criteria, and payment schedule. For this purpose, the SLTC shall take into consideration manuals, guidelines and advisories issued by MoUD in the relevant sector and ensure compliance in the DPR (see para 9 also)².
- ii. Incorporate resilience and secure projects against disasters and ensure that disaster-secure engineering and structural norms are included in the design.
- iii. While giving technical sanction, the SLTC will make sure that contingencies or cost escalation are not included in the estimates and all technical and financial norms of the JnNURM are followed in estimate preparation, technical sanction of projects, tender acceptance, extension, etc.
- iv. While giving technical sanctions, the SLTC shall also examine the Internal Rate of Return (IRR) both FIRR and EIRR, and Recurring Cost of Capital Expenditure (RCCE).
- v. Approve the tenders.

- vi. Take corrective action on the reports of IRMA and other quality control reports.
- vii. Analyse the Project Funds Request Report given in Annexure 6.1 and take corrective action to ensure timely completion of projects without any escalation in costs.
- viii. Appoint PDMCs.

²1. Checklist for submission and scrutiny of DPR (Sewerage and Sewage Treatment) Ministry of Urban Development, Government of India March 2012-<http://urbanindia.nic.in>

2. Checklist for submission and scrutiny of DPR (Water Supply) Ministry of Urban Development, Government of India March 2012-<http://urbanindia.nic.in>

3. Checklist for submission and scrutiny of DPR (Storm Water Drainage)

12. Urban Reforms

- 12.1 A National Conclave was held with Ministers of Housing and Urban Development of States/UTs in New Delhi on 2 and 3 July, 2014 and a National Declaration on Urban Governance and 'Housing for All' was adopted during the National Conclave. The Reforms to improve service delivery, mobilize resources and make municipal functioning more transparent and functionaries more accountable are based on the spirit of the National Declaration.
- 12.2 Specifically, the Mission mandates a set of 11 Reforms which have to be implemented by all the States and 500 Mission cities within a period of 4 years as given in Annexure 2 (Tables 5.1 to 5.4). The State has to submit the roadmap of implementation as part of the SAAP, which will include Reforms to be implemented at both the State and ULB levels.
- 12.3 During the earlier mission, 10% ACA was retained for non-completion of Reforms. However, the AMRUT incentivizes Reforms implementation by setting aside 10% funds as incentives for States/ULBs. The incentive fund will be in addition to the Central Share as allocated annually. The incentive will be based on a self-assessment done by the ULBs and confirmed by the SHPSC on the report of the IRMAs. Self-appraisal will be part of the SAAP and the method is given in Annexure 2 (Table 5.5).

13. Capacity building

- 13.1 States will take up extensive Capacity Building Activities for their ULBs to achieve urban reforms and implement projects in Mission mode. They shall submit an annual plan for capacity building, as part of the SAAP, to MoUD for approval, as given in Annexure 7.2 (Form 7.2.1-7.2.4). The Comprehensive Capacity Building Programme (CCBP) will be realigned towards the priorities of the new MoUD Missions by the Mission Director. The plan will have two components individual and institutional capacity building.
- 13.2 **Individual capacity building:** The key features are demand driven periodic training, recognition of practices and functionaries, independent assessment of training outcomes and mentoring and peer networking. Individual capacity building will include the following type of activities.
- i. Strategic training plan based on Training Needs Assessment (TNA).
 - ii. Exposure visits.
 - iii. Workshops, seminars, research studies and documentation.
 - iv. Individual capacity building focusing on coaching and task-related assistance from peers and mentors.
 - v. Visibility, including preparation of Information Education and Communication (IEC) materials.

- 13.3 **Institutional capacity building:** The focus will be on building the institutional capacity of ULBs by using Consulting Firms and other entities.

14. **Monitoring of Projects**

- 14.1 The Mission will be monitored real-time at the State and ULB level. Moreover, information and data will be shared with citizens in the public domain and third party monitoring and review encouraged. There will be a quarterly external monitoring by the Independent Review and Monitoring Agency (IRMA). The IRMA will submit the quarterly report to the ULB/parastatal and the SLTC. The comments of the ULB and the SLTC will be examined by the SHPSC and action taken. The State Mission Director will submit the action taken on the IRMA report at the time of claiming funds in the AMRUT. Similarly, the IRMA will do a half-yearly appraisal of Reform implementation. Concretely, monitoring will consist of the following elements.

- i. All projects will be periodically monitored and reviewed by Apex Committee and will be subjected to various audits by external and empanelled agencies, internal auditors as well as by C&AG and State AGs.
- ii. The MoUD, States and the ULBs will track objectives and other key indicators using Information Technology based solutions, periodically, and release of funds will be linked to achievement of key performance targets given in the SAAP. Online real-time net-based monitoring will be done, with the aid of cyber tour of worksite, preferably using cameras in mobiles and third party review and real-time evaluation will also be done.
- iii. At the State level, the State HPSC would undertake detailed scrutiny of the projects at the proposal stage and monitoring during the execution.
- iv. The State HPSC shall submit a Quarterly Score Card given in Annexure 4.
- v. The Mission will support a National Performance Monitoring Cell for monitoring implementation of SLBs in urban basic services.
- vi. The ULBs would be required to closely monitor the projects through their elected representatives and ULB bodies and through direct citizens' feedback using mobiles and e-groups. A strong component of public disclosure through websites will also be built in.
- vii. Third party review by IRMA for projects and for Reforms shall be carried out. This agency will be hired from amongst specialised/technical agencies.

15. **District Level Review and Monitoring Committee (DLRMC)**

- 15.1 A District Level Review and Monitoring Committee (DLRMC) will be constituted and Member(s) of Parliament will be the Co-chairperson with the District Collector. The DLRMC will monitor and review the implementation of the AMRUT projects.

16. Audit and litigation matters

- 16.1 The State Mission Directorate shall be responsible for all matters connected with C&AG Audit and litigation including cases before Courts/Tribunals and Arbitrators. The State Mission Directorate shall be responsible for defending the Central Government interests on behalf of the National Mission Directorate/MoUD.

17. Incomplete projects of JnNURM

- 17.1 Detailed instructions regarding coverage of incomplete projects of JnNURM, to be covered under AMRUT, will be issued separately by MoUD.

Annexures & Tables

Annexure 1: Reforms Milestones and Timelines for AMRUT Cities

S.No	Type	Milestones	Implementation timeline
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
		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, 	24 months
		<ul style="list-style-type: none"> e-procurement, Personnel Staff management and Project management. 	36 months
2	Constitution and professionalization of municipal cadre	1. Establishment of municipal cadre. 2. Cadre linked training. 3. Policy for engagement of interns in ULBs and implementation.	24 months 24 months 12 months
		4. 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
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.	12 months
		2. Appointment of internal auditor. 3. Publication of annual financial statement on website.	24 months Every year
4	Urban Planning and City level Plans	1. Preparation of Master Plan using GIS.	48 months
		2. Preparation of Service Level Improvement Plans (SLIP), State Annual Action Plans (SAAP).	6 months
		3. Establish Urban Development Authorities.	36 months
		4. Make action plan to progressively increase Green cover in cities to 15% in 5 years.	6 months
		5. Develop at least one Children Park every year in AMRUT cities.	Every Year
		6. Establish a system for maintaining of parks, playground and recreational areas relying on People Public Private Partnership (PPPP) model.	12 months
		7. Make a State level policy to implement the parameters given in National Mission for Sustainable Habitat.	24 months

S.No	Type	Milestones	Implementation timeline
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. Implementation of SFC recommendations within timeline. 4. Transfer of all 18 functions to ULBs. 	6 months 12 months 18 months 12 months
6	Review of Building by-laws	<ol style="list-style-type: none"> 1. Revision of building bye laws periodically. 2. 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. 3. State to formulate a policy and action plan for having Rain water harvesting structures in all commercial, public buildings and new buildings on plots of 300 sq. meters and above. 4. Create single window clearance for all approvals to give building permissions. 	12 months 12–24 months 12–24 months 12 months
7	Set-up financial intermediary at state level	<ol style="list-style-type: none"> 1. Establish and operationalize financial intermediary- pool finance, access external funds, float municipal bonds. 	12-18 months
8(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
8(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
9	Credit Rating	<ol style="list-style-type: none"> 1. Complete the credit ratings of the ULBs 	18 months
10	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 more energy efficient, 3. Optimize energy consumption in street lights by using energy efficient lights and increasing reliance on renewable energy, 4. Give incentives for green buildings (e.g. rebate in property tax or charges connected to building permission/ development charges) 	12 months 12 months 12 months 24 months
11	Swachh Bharat Mission	<ol style="list-style-type: none"> 1. Elimination of open defecation, 2. Waste Collection (100%), 3. Transportation of Waste (100%). 4. Scientific Disposal (100%). 	36 months

Annexure 2: 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	Abstract: Consolidated Requirement of State and Share of Each Stakeholder
2	Service Level Improvement Plan
3	State Annual Action Plan ³ (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

³ State Annual Action Plans will be based on aggregating Service Level Improvement Plans at State level based on available resources.

1. Abstract of State Annual Action Plan (SAAP)

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

Table 1.1: Breakup of Total MoUD Allocation in AMRUT

Name of State: _____

FY _____

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/ULB share	Total AMRUT annual size (cols.2+3+4+5)
1	2	3	4	5	6

Name of State: _____

FY _____

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

(Amount in Rs.)

FY_____

Sl.No.	Sector	Centre	State			ULB			Convergence	Others	Total
		Mission	14 th FC	Others	Total	14 th FC	Others	Total			
1	Water Supply										
2	Sewerage and Septage Management										
3	Drainage										
4	Urban Transport										
5	Others										
6	Grand Total										

Table 1.3: Abstract-Use of Funds on Projects: On Going and New

(Amount in Rs.)

FY _____

Sl. No.	Sector	Total Project Investment	Committed Expenditure (if any) from Previous year						Proposed Spending during Current Financial year						Balance Carry Forward for Next Financial Years					
			Centre			State			ULB			Centre			State			ULB		
			14th FC	Others	Total	14th FC	Others	Total	14th FC	Others	Total	14th FC	Others	Total	14th FC	Others	Total	14th FC	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 ⁴	Baseline ⁵	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									

⁴As per SLB framework for water supply, sewerage, solid waste management and drainage and proposed SLB indicator for urban transport

⁵Detailed 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 to 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 GoI/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 to 2019-20)

Sr. No.	Project Name and Code ⁶ (list all projects to achieve universal coverage in the City separately for water supply and sewerage)	Infrastructure Improvement			
		Change in Service Levels			Estimated Cost (Amount in Rs.)
		Priority number	Year in which to be implemented	Year in which proposed to be completed	
Grand Total					

⁶ Project code may be abbreviated as: Mission/State/City/Sector/Number(Zone) such as AMRUT/UP/Mathura/WS/01 (Zone name)

Name of City: _____

FY _____

Table 2.2: SLIP - Details of Prioritized Projects Proposed under AMRUT during current FY: Sector Wise

<div> <div>Particulars</div> <div> <div>↓</div> <div>Sector</div> </div> </div>	Project Name and Code ⁷	Infrastructure Improvement				
		Physical Components	Change in Service Levels			Estimated Cost (Amount in Rs.)
			Indicator	Existing (As-is)	After (To-be)	
Water Supply						
Sewerage and Septage Management						
Storm Water						
Urban Transport						
Others						
Grand Total						

⁷ Project code may be abbreviated as: Mission/State/City/Sector/Number(Zone) such as AMRUT/UP/Mathura/WS/01 (Zone name)

Name of City: _____

FY _____

**Table 2.3.1: SLIP - Proposed Funding and Sharing Pattern for Priority Projects:
Sector Wise**

(Amount in Rs.)

Sector	Total Project Cost	Share				
		Gol	State	ULB	Others	Total
Water Supply						
Sewerage and Septage Management						
Drainage						
Urban Transport						
Others						
Total						

Name of City: _____

FY _____

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

(Amount in Rs.)

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

Name of City: _____

FY _____

Table 2.4: SLIP - Year Wise breakup of Investments (for all sectors)

(Amount in Rs.)

Sector	Share			
	Gol	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: _____

FY _____

Table 2.5: SLIP – Plan for Achieving Service Level Benchmarks

Proposed Projects	Total Project Cost	Indicator ⁸	Baseline ⁹	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									

⁸ 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).

⁹ Detailed information for arriving at % target against baseline shall be annexed along with the proposals to states.

Name of City _____

FY _____

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 sent to MoUD, along with the SAAP

State Level

3. State Annual Action Plan¹⁰ (SAAP) derived from SLIPs

Table No.	Content
3.1	Master Plan of all projects to achieve universal coverage during the current Mission period based on Table 2.1 (FYs 2105-16 to 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

¹⁰ State Annual Action Plans will be based on aggregating Service Level Improvement Plans at State level based on available resources.

Name of State: _____

Current Mission Period 2015-20

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)

(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

Name of State: _____

FY _____

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							

Name of State _____

FY _____

Table 3.3: SAAP - ULB Wise Source of Funds for All Sectors

(Amount in Rs.)

[illegible]

Name of State _____

FY _____

Table 3.4: SAAP - Year Wise Share of Investments for All Sectors (ULB Wise)

(Amount in Rs.)

		Committed Expenditure (if any) from Previous year						Proposed Spending during Current Financial year						Balance Carry Forward for Next Financial Years						
Name of City	Total Project Investment	Centre		State		ULB		Centre		State		ULB				State		ULB		Total
		14th FC	Others	Total	14th FC	Others	Total	14th FC	Others	Total	14th FC	Others	Total	14th FC	Others	Total	14th FC	Others		

Name of State _____

FY _____

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

Proposed Priority Projects	Total Project Cost	Indicator ¹¹	Baseline ¹²	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									

¹¹ As per SLB framework for water supply, sewerage, solid waste management and drainage and proposed SLB indicator for urban transport

¹² Detailed information for arriving at % target against baseline shall be worked out from details provided by Cities so as to arrive at state indicators

Name of State _____

FY _____

Table 3.6: SAAP – State Level Plan ofAction 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)

4. Plan of Action for Administrative and Other Expenses (A&OE)

Name of State: _____

FY _____

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

(Amount in Rs.)

S. No.	Items proposed for A&OE	Total Allocation	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 and SAAP							
2	PDMC							
3.	Procuring Third Party Independent Review and Monitoring Agency							
5	Publications (e-Newsletter, guidelines, brochures etc.)							
6	Capacity Building and Training - CCBP, if applicable - Others							
7	Reform implementation							
8	Others							
Total								

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 FY 2012-13 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. 4. Establish a system for maintaining of parks, playground and recreational areas relying on People Public Private Partnership (PPPP) model.	6 months 6 months Every year 12 months		
5	Devolution of funds and functions	1. Ensure transfer of 14 th FC devolution to ULBs. 2. Appointment of State Finance Commission (SFC) and making decisions. 3. Transfer of all 18 function to ULBs.	6 months 12 months 12 months		

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. At least 90% coverage. 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. 	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. At least 90% billing. 5. At least 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 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				
		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	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 5.4: SAAP - Reforms Type, Steps and Target for AMRUT Cities FY 2018-2019

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	April to Sep, 2018	Oct, 2018 to Mar, 2019
1	Urban Planning and City Development Plans	1. Preparation of Master Plan using GIS.	48 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	10	100
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			
Sub total ULB			
	State		
1			
2			
3			
Sub total 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:

S. No.	Area of appraisal	Yes/No	Supporting 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 improvements (e.g. Reforms) 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.			

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

State:

S. 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**

S. No.	Area of appraisal	Yes/No	Supporting Documents	Remarks
1.	Has the State prioritized cities and sectors based on the baseline data ?		Appraisal report	
2.	Has the State ensured that low or no cost improvements have been identified by each city ?		Appraisal report	
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 ?			

Annexure 3: List of Smart Solutions Developed by C-DAC

Component	Smart Solution
Sewerage & Drainage system	<ul style="list-style-type: none"> • Monitor the sewerage level in manholes at strategic locations in the sewer pipe network • Raise alarms in the Central Monitoring station when the level in manholes exceeds the present limit value • The daily, weekly and monthly reports for all the mentioned parameters • Develop an ultrasonic level sensor with integrated GSM modem
Water supply system	<ul style="list-style-type: none"> • Smart water meters and Billing systems • Remotely operated Automatic Distribution Valves • Systems for Water Quality Monitoring
Energy System	<ul style="list-style-type: none"> • Smart Home energy network system: for identifying various types of loads and planning load balancing accordingly • Smart substation automation system based on IEC61850 • Integration of renewable energy sources for energy conservation for distribution system
Citizen safety system	<ul style="list-style-type: none"> • Establishment of city wide intelligent distributed video surveillance network • Facial recognition enables identification and tracking of criminal suspects at crowded areas, airports, railway stations and bus stations. • Ensure reliable and Secured data/video transmission from node to the analysis center
Emergency Response system	<ul style="list-style-type: none"> • Implementation to a limited extent showcasing the scalability with GPS enabled ambulances. • Mobile App for Dynamic Route Maps • Framework in terms of written standards • Simulation and implementation to a limited extent showcasing the scalability with emergency vehicles
Clean Environment	<ul style="list-style-type: none"> • Pollution Monitoring system • Application Software for Monitoring & Control • Air Quality Monitoring Tool in form of pollution map indicating level of air pollution of different locations within the city • Algorithm for forecasting air pollution • Wireless Network end node with high sensitive noise sensor • Wireless gateways for transferring the data to the internet cloud • Data analytics on noise data

Annexure 4: Score Card for Cities/States

(To be Submitted Quarterly)

Progress on Mission Objectives (State Level)

Sector	SLB	Baseline	Mission Target	Target till date	Achievement

Resource mobilization (City Wise)

Name of City	Source	Mission Target	Target till date	Achievement
City Name	Gol			
	States			
	ULB			
	Others			
City Name	Gol			
	States			
	ULB			
	Others			

Implementation Status (Project Wise)

Project Name (also Capacity Building)	Actual Progress	Unit	Mission Target	Target till date	Achievement
Project 1	Physical progress	%			
	Financial progress	%			
	Amount disbursed till date	Rs. Crore			
Project 2	Physical progress	%			
	Financial progress	%			
	Amount disbursed till date	Rs. Crore			

Funds flow (City Wise)

City Name	Gol Financing	Budget	Sanctioned	Disbursed	Accrued

Annexure 5: Utilization Certificate Format (City Wise)

Form of Utilization Certificate

S. No.	Letter No. and Date	Amount (Rs.)	<p>Certified that out of Rs. _____ of Grants- in-aid sanctioned during the years _____ in favour of _____ under this Ministry/Department letter No. given in the margin and Rs. _____ on account of unspent balance of the previous year, a sum of Rs. _____ has been utilized for the purpose of _____ for which it was sanctioned and that the balance of Rs. _____ remaining unutilized at the end of the year has been surrendered to Government (vide No. _____ dated _____) will be adjusted towards the grants - in-aid payable during the next year _____.</p>
	Total		

Certified that I have satisfied myself that the conditions on which the grants-in-aid was sanctioned have been duly fulfilled/are being fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kinds of checks exercised.

- 1.
- 2.

(Municipal Commissioner/Head of the ULB)

Date: _____

1. Date of release of ACA by Gol -
2. Date of release of ACA to ULBs -
3. Date of release of State share to ULBs -
4. Interest calculated at *g*-sec rate to be deducted for delayed release of ACA to ULBs-

Counter Signed by

Principal Secretary/Secretary of Urban Development

Annexure 6: Project Funds Request

6.1 Project Wise Instalment Release request to be submitted by ULB to State

1	Name of Project								
2	Date of approval by SHPSC								
3	Completion Date			Scheduled Date					
				Revised Date, if any					
4a.	Approved Cost								
4b.	Tendered Cost								
5	ACA Admissible based on Approved Cost								
6	Release of Central/State/ULB share (Rs. in lakh)			Total Share		Due	Released		
				ACA + State + ULB					
Instalment		Central share		State share		ULB share		Others share	
		Due	Released	Due	Released	Due	Released	Due	Released
First									
Second									
Third									
Total		Rs. Lakhs	Rs. Lakhs	Rs. Lakhs	Rs. Lakhs	Rs. Lakhs	Rs. Lakhs	Rs. Lakhs	Rs. Lakhs
7	Utilization Certificate submitted by Implementing Agency			Rs. _____ lakh					
8	Percentage of funds utilized by Implementing Agency								

9	Physical progress					
10	Conditions imposed by SHPSC at the time of sanction of project and release of next instalment					
11	Whether conditions imposed by SHPSC fulfilled					
12	Implementation of Reforms					
		FY	No. of Reforms in FY	No. of target activities	Target Till Date	Achievement Till Date
		1				
		2				
		3				
		4				
13	(a) Status of Score Card for Last Quarter			Submitted/Not Submitted		
	(b) Status of IRMA Report and recommendation thereon			Whether quarterly IRMA inspection done Y/N	Observations made by IRMA	Action Taken by State/ULB
14	Proposal for release of instalment by SHPSC					

(Municipal Commissioner/Head of the ULB, Parastatal)

Date: _____

6.2 Summary of Instalment Release Request to be sent by State to MoUD

S.No.	Name of City	Name of Project	Scheduled Completion Date	Approved Cost Rs. Lakhs	ACA Admissible Rs. Lakhs	Amount Released till date					% of amount utilised as per UC received	Physical Progress till date	% of Reforms achieved till date	Score Card Submission Status	Whether action taken on IRMA Observations	S.No. of Instalment Required	Instalment Amount Required	% of ACA	Total ACA Released after this instalment
						Central	State	ULB	Others	Total									

(State Mission Director)

Annexure 7: Annual Capacity Building Plan

Presently, the Ministry of Urban Development (MoUD) is supporting States and ULBs in capacity building activities through two schemes - Comprehensive Capacity Building Program (CCBP) and the Capacity Building for Urban Development Project (CBUD). After realignment to the Smart Cities Mission and AMRUT, the Strategy and Plan of Action (PoA) are given below.

Strategy

Several reports and studies¹³ have recommended capacity building of both municipal functionaries and municipal institutions. Accordingly, the realigned Capacity Building Plan consists of two strategic interventions - Individual Capacity Building and Institutional Capacity Building. The purpose of individual training is to enhance the functional knowledge, improve the job related skills and change the attitude of municipal functionaries. The one-year training will be imparted to municipal functionaries in training institutes (classroom) followed by its application at their work place. Additionally, they will be mentored and provided coaching services at their work place during the one-year training period. The aim of Institutional Capacity Building is to improve institutional outcomes, as set out in the AMRUT Reform Agenda.

Plan of Action (PoA)

Individual Capacity Building: Based on the Training Needs Analysis (TNA)¹⁴ the focus will be on the following four departments in ULBs.

- Finance & Revenue: Financial Planning and Management, Revenue Mobilization.
- Engineering and Public Health: Water and Sanitation, Drainage and Solid Waste Management.
- Town Planning: Urban Planning including pro-poor planning approaches.
- Administration: e-Governance, Computer and Soft Skills.

¹³ 1. Urban Development Management for the formulation of Twelfth Five Year Plan (2012-17). 2011.
2. Report of the Working Group on Capacity Building. N.Delhi: Planning Commission.
3. Report on the Indian Urban Infrastructure and Services (HPEC). 2011. N. Delhi, MoUD.
4. Report of the Committee on JnNURM II: Clean Bastis, Safe Communities and People's Cities. N. Delhi: Planning Commission.
5. Appraisal of the JnNURM, Grant Thornton. 2011. N. Delhi.
6. Local Governance: An inspiring Journey into the future, Sixth Report, Second Administrative Commission. 2007. N. Delhi, Gol.

¹⁴ CBUD. 2014. Study on Training Needs Assessment (TNA) and Preparation of Strategic Training Plan. N. Delhi: MoUD & World Bank.

The ULBs will plan to train at least 30 functionaries from the four departments every year and all elected representatives. The elected representatives will be imparted training once at the training institutes, which will include a site-visit to learn from best practices in India. As regards municipal functionaries, 45,000 officials from 500 urban local bodies will be trained upto June 2018. The training will consist of three capsules spread over a year. Each capsule will consist of three days training in the training institute followed by four months during which the training will be applied in their work by the municipal functionaries. During a period of one year, therefore, a municipal functionary will be imparted training for nine (9) days in the training institute.

There are several retired officers from the Central, State and Municipal services who are settled in the ULBs. During the four months when the trainees return to their work place, such retired officers can work as mentors. For this the training agencies will match mentors with the municipal functionaries. Finally, the year-long training will also contain one visit to an initiative in India identified as a best practice and one participation in an International/National workshop. The payments for all these activities will be made according to the norms given in the CCBP toolkit (pages 18 & 19). The likely cost will be nearly Rs. 100 crore for three years.

The training will be conducted by empanelled training agencies, academic institutes and other not-for-profit organizations (henceforth called entities). They will be allocated ULBs located within States/regions/areas. Payments to entities will be made after completion of each capsule by the ULBs, subject to training having met its objectives as independently assessed by the NIUA (or its nominee). If gaps are identified by the NIUA, the training entity will have to conduct a re-training at its cost.

The NIUA will be the strategic partner of the MoUD in capacity building and will provide single window services to the MoUD/States/ULBs. The NIUA will be involved in disseminating information on training modules, documenting best practices, monitoring the progress of training, and, most important, evaluating the benefits of training after completion of each training capsule of four months. This evaluation will be done for all the individual municipal functionaries over the one-year long training period and results will be shared with the training entities to make them review their training methods and modules, if necessary, to make the training more appropriate and relevant for the municipal functionaries.

For example, functionaries will self-assess the training in the standard formats prescribed after completion of the three-day training program by the training entities in the classroom. Again after their return from the work place after four months the functionaries will self-assess. Now, additionally, their supervisors will also assess the improvement in skills, attitudes and knowledge of the trainees. The self-assessment and supervisor assessment will inform the NIUA and the training entity about the, (i) impact of the training on the knowledge, skills and attitudes of individual functionaries over their existing levels (baseline), and (ii) improvements in tasks-related performance. Importantly, the learnings gained from such a real-time evaluation will be used by the NIUA to disseminate lessons and design future activities for ULBs/States.

The NIUA will examine and approve, in consultation with National Mission Director, the roll-out of all other components of the CCBP (e.g. workshops, seminars, visits, etc). The NIUA will also prepare an

Annual Capacity Building Report in order to make mid-course correction in the Capacity Building Plan. For this purpose adequate technical and human resources will be provided to NIUA from the Mission funds. The funding for the individual capacity building will be from the State A&OE/CBUD Funds.

Institutional Capacity Building: The aim is to improve institutional outcomes (e.g. accountability and transparency, service delivery, citizen empowerment, resource mobilization) by bringing in external experts and professionals. The external resources can be brought in two ways: (i) outsourcing of functions, and (ii) outsourcing of functionaries. In outsourcing of functionaries, human resource agencies supply human resources, while in outsourcing of functions an activity/job is given to an external company, organization or institution. In both, payments are linked to achievement of objectives and outcomes. The following functions will be outsourced and funded through the A&OE Funds/CCBP/CBUD as decided by the National Mission Director.

1. Empanelling handholding agencies and/or consulting firms for preparation of Smart City Proposal for the Smart Cities selection competition.
2. Empanelling handholding agencies and/or consulting firms for complete end-to-end assistance in AMRUT for the preparation of SLIP, Project Development (e.g. design, estimation) and Management.
3. Assisting in implementing the reform agenda focusing on outcomes, as given in AMRUT Reforms and identified indicators in the CCBP toolkit¹⁵.
4. Providing human resources and all other kinds of support to the Special Purpose Vehicles (SPVs) to be established under the Smart City Mission by providing professionals and managers.
5. Mobilize external resources and improve internal resource generation of the ULBs. For instance, facilitate access to municipal bonds by credit rating ULBs, providing assistance to ULBs to monetize land and prepare Tax Increment Financing Proposals (TIF), obtain private funding, etc.
6. Develop multi-layer GIS maps connected to data (attribute tables) in order to enable ULBs to use GIS for decision-making.
7. Assist the States/ULBs to revise Laws and Rules (e.g. land pooling) for implementing the AMRUT Reform Agenda

This is not an exhaustive list and new items will be added as the Missions are implemented.

There are several structures existing at the State and ULB levels, such as PMUs, PIUs, RPMCs, etc. At present, only the State level Reform and Performance Management Cell (RMPC) will be supported by the Mission. They will perform the functions given in the CCBP toolkit, but focus on, (a) assisting the Mission Director in preparing the SAAP, Reform implementation so that at least 70% Reforms are achieved in order to qualify for the Reform incentive, and (b) visit all the Mission cities to assist them in implementation of reforms prescribed in the AMRUT. The Urban Management Cells (UMCs) will

¹⁵ Pg. 41, Annexure 7, Performance criteria/benchmark.

also be supported by the Mission and report to the State Mission Director. In addition to their tasks given in the CCBP toolkit they will focus on, (i) coordinating and building cooperation between the ATIs, empanelled Training agencies and ULBs for individual training programmes, (ii) carrying out training of trainers, (iii) providing task oriented coaching for the full year to the municipal functionaries in collaboration with empanelled agencies, and (iv) fostering partnership and networking between empanelled training institutions and ATIs.

The States/ULBs will submit a Capacity Development Plan in the following forms along with the SAAP for approval by the MoUD.

Table 7.1 ULB level Individual Capacity Development Plan

(to be sent by ULB to State Government)

Form 7.1.1 Physical

Name of ULB

FY :-----

S. No	Name of the department/ Position	Total number of functionaries (officials/elected representatives) identified at start of Mission (2015)	Numbers trained during last FY(s)	Numbers to be trained during the current FY	Name(s) of Training Institute for training during the current FY	Cumulative numbers trained after completion of current FY.
1	Elected Representatives					
2	Finance Department					
3	Engineering Department					
4	Town planning Department					
5	Administration Department					
	Total					

Form 7.1.2 Financial

Name of ULB:

FY :-----

S.No	Name of the department	Cumulative funds released upto current FY	Total expenditure upto current FY	Unspent funds available from earlier releases	Funds required for the current FY to train the number given in Form 7.1.1
1	Elected Representatives				
2	Finance Department				
3	Engineering Department				
4	Town planning Department				
5	Administration Department				
	Total				

Table 7.2 Annual Action Plan for Capacity Building

(to be sent by States to MoUD)

Name of State

Number of Mission cities in AMRUT

FY

Form 7.2.1 Fund requirement for Individual Capacity Building at ULB level

S. No	Name of the ULB	Total numbers to be trained in the current FY department wise						Name of the training institution (s) identified	Number of training programmes to be conducted	Funds required in current FY
		Elected Representative	Finance Dept.	Engineering Dept.	Town planning Dept.	Administration Dept.	Total			
1	ULB 1									
2	ULB 2									
3	ULB 3									
4	ULB 4									
Total										

Form 7.2.2 Fund requirement for State level activities

S.No	State level activity	Cumulative funds released upto current FY	Total expenditure upto current FY	Unspent funds available from earlier releases	Funds required for the current FY
1	RPMC				
2	UMC				
3	Others (e.g. workshops, seminars, etc), which are approved by NIUA				
4	Institutional				
Total					

Form 7.2.3 Total fund requirement for Capacity Building

S.No	Funds requirements	Individual	Institutional	RPMC and UMC	Others	Total
1	Total release since start of Mission (2015)					
2	Total utilized – Centre share					
3	Balance available- Centre share					
4	Amount required – Centre share					
5	Total funds required for capacity building in current FY					

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 ?

i. Any other capacity assistance to implement the AMRUT Reform Agenda as set out in these Guidelines ?

Table 7.3 Quarterly Score Cards for States
Financial and physical Progress on Capacity Building (ULB Level)
(to be sent by ULBs to State)

Name of ULB	Name of the department/ position	Physical		Financial		Balance funds available in current FY	Ahead (+) or behind proportionate target (-)
		Proportionate ULB Target	ULB achievement with respect to proportionate target	Proportionate funds allocated in current FY	Funds utilized as compared to proportionate target		
ULB- 1	Elected Representative						
	Finance Dept.						
	Engineering Dept.						
	Town planning Dept.						
	Administration Deptt.						
ULB- 2	Elected Representative						
	Finance Dept.						
	Engineering Dept.						
	Town planning Deptt.						
	Administration Dept.						

Table 7.4: Quarterly Score Cards for States
Financial and physical Progress on Capacity Building (State Level)
(to be sent by States to MoUD)

Total number of ULBs:

Quarter ending _____

Number of ULBs above/ below proportionate target (from Table 7.3)	Name of the department/ position	Physical		Financial		Total number trained, if relevant, upto quarter	Total funds utilized upto quarter
		Total Target in FY	Proportionate target upto quarter	Funds allocated in current FY	Proportionate target upto quarter		
Above _____	Individual training						
	Institutional Capacity Building						
	RPMC and UMC						
Below _____	Other – specify						
	Other – specify						

Annexure 8: Scope of End-to-End Support

1. Each PDMC will have one state office (comprising of project management and design professionals) at respective capital city of the state and multiple field offices (comprising of project implementation professionals). The PDMC's Management and Design professionals will be stationed at state office and will travel to the project cities as per the work requirement.
2. The project implementation professionals will be stationed in cities having population greater than five lakh and serving all surrounding AMRUT cities having population below five lakh. In exceptional cases the States may appoint PDMCs for a set of cities surrounding a city having three-lakh population. Depending on the special circumstances prevailing in the UTs, NE and Hill States they may decide on a different structure for locating the implementation professionals.
3. The scope of PDMC under the proposed mission will be divided into four broad components namely Planning, Design, Supervision and Project Management. The PDMC's scope includes preparation of City Wide Concept Plan, Service Level Improvement Plan (SLIP) and State Annual Action Plan (SAAP). The PDMC will identify projects on the basis of SLIP framework, and carry out required investigation, design, procurement, and implementation. The PDMC will also ensure compliances and monitoring of the project activities using PMIS / latest IT tools and techniques such as online monitoring of work sites with the aid of cyber tools.
4. The PDMC will develop "City-wide Concept Plan" which is a non-fully complete CDP, which may be based on old or revised City Development Plan (CDP). The City-wide Concept Plan will contain the City Vision, description, situation analysis/As-is description of the water supply, storm water drainage, sewerage and septage management and open spaces (e.g. parks, playgrounds). All previous plans and documents (e.g. City Sanitation Plan, City Mobility Plan, Master Plan and other plans) of all departments and agencies will also be reviewed to craft an overall strategy focused on achievement of Service Level Benchmarks (SLBs). Possibilities to apply smart technologies for providing better and enhanced basic services to the people of the city will be included in the strategy.
5. PDMC will build on the available data, information and plans to assess existing levels of coverage of water supply and sewerage. Nearly all Mission cities will have some data, information and plans. For example, in water supply and sewerage the basic unit is the zone (or equivalent) based on ground contours. In the zone the number of households having water tap connections and those not having will be taken from the Census (2011) or the baseline survey done by the MoUD. No new baseline survey is envisaged at planning stage.

6. Once the gap between the existing number of households having water and sewerage/septage connections and the total number of households is computed, plans will be prepared to bridge the gap by using one or more of the components set out in the Mission Guidelines.
7. Next, technical investigation will be done to prepare options showing different ways, both technical and financial, to cover all the households in a zone with water supply and sewerage/septage connections.
8. The PDMC will examine and use inter-linkages with other schemes mainly in terms of coverage, impact, outcomes, etc.; convergence in outcomes and funds flow will also be done. Here, innovative ways of doing more with less, application of Smart Solutions and citizen-generated innovations will be explored. For each alternative the cost (both capital and O&M) of the project will be prepared based on line (or abstract) estimates. After this investigation, the Service Level Improvement Plan (SLIP) will be prepared containing options with their capital and the O&M costs.
9. The scheduling of projects in the SLIP for next five years will be done in consultation with citizens after informing them about likely costs of all the projects in the zones/ULB. City Planning and SLIP development will be people-driven achieved through citizen consultation meetings involving diverse people and groups of people, such as resident's welfare associations, tax payers associations, senior citizens, chamber of commerce and industries, slum dwellers associations groups. During these consultations details of best practices and appropriate smart solutions will also be shared with the citizens in order to enable them to make informed decisions and generate innovative solutions. Citizen participation will increasingly rely on ICT, especially mobile-based tools.
10. There will also be a financial plan prepared. During consultations citizens will be informed about the cost and the need for external sources of funds. Innovative financing models and mechanisms will be fully described. The challenge in providing basic services at benchmark levels, at reduced costs and less resource consumption will be shared with the citizens.
11. During the process of developing the SAAP, the PDMCs should explore the possibility of using Public Private Partnerships (PPP), which should be the preferred execution model.
12. For project identified and approved under SAAP, PDMC will prepare Detailed Project Reports (DPRs) and Bid Document. Review of infrastructure status, gap and demand assessment with reference to service level indicators will be made for the identified projects. Convergence of project component will be ensured with other sectoral and area programs in the city.

13. Field/laboratory Investigations, surveys, formulation of technical options, design, cost estimates and solutions to resettlement and environmental issues will be made a part of DPR. The finance plan including O&M strategy for the complete life cycle of the project will be an integral part of DPR.
14. Possibilities to apply smart technologies for providing better and enhanced basic services to the citizens will be explored while formulating the DPR. At draft DPR stage, first stage consultations will be facilitated by PDMC to engage citizens and get feedback and adopt mid-course correction, if required.
15. The DPR will identify contracting opportunities including exploring options for PPP/ Service Level Agreements or direct contracting and accordingly provide corresponding bid document. Based on the bid document PDMC will support States/ULBs in the procurement of contracting firms, according to their laws and rules.
16. The PDMCs will provide extensive support in project execution to the ULBs/State parastatal. It will help in ensuring cost, time and quality compliances as envisaged in contract agreement. Expertise of PDMC firms will be used by the State and City Governments to make quick decisions so as to ensure timely completion of projects within cost estimates.
17. The PDMC will also ensure linkage between proposed infrastructure project and delivery of services. It will monitor improvement in services level indicators as contained in the State Annual Action Plan (SAAP). Periodic second stage consultations for taking useful feedback will also be facilitated by PDMCs during implementation phase.
18. All the work has to be done according to the mission statement and guidelines of AMRUT as issued by MoUD.
19. The detailed Terms of reference including specific scope of work, professional staff requirement, payment schedule and implementation arrangement shall be provided in the Request for Proposal (RfP) to be issued by respective State/ Union Territory to the Empanelled consulting Firms.



स्वच्छता शपथ

महात्मा गांधी ने जिस भारत का सपना देखा था उसमें सिर्फ राजनैतिक आजादी ही नहीं थी, बल्कि एक स्वच्छ एवं विकसित देश की कल्पना भी थी।

महात्मा गांधी ने गुलामी की जंजीरों को तोड़कर माँ भारती को आज़ाद कराया।

अब हमारा कर्तव्य है कि गंदगी को दूर करके भारत माता की सेवा करें। मैं शपथ लेता हूँ कि मैं स्वयं स्वच्छता के प्रति सजग रहूँगा और उसके लिए समय दूँगा।

हर वर्ष 100 घंटे यानी हर सप्ताह 2 घंटे श्रमदान करके स्वच्छता के इस संकल्प को चरितार्थ करूँगा।

मैं न गंदगी करूँगा न किसी और को करने दूँगा।

सबसे पहले मैं स्वयं से, मेरे परिवार से, मेरे मुहल्ले से, मेरे गांव से एवं मेरे कार्यस्थल से शुरूआत करूँगा।

मैं यह मानता हूँ कि दुनिया के जो भी देश स्वच्छ दिखते हैं उसका कारण यह है कि वहां के नागरिक गंदगी नहीं करते और न ही होने देते हैं।

इस विचार के साथ मैं गांव-गांव और गली-गली स्वच्छ भारत मिशन का प्रचार करूँगा।

मैं आज जो शपथ ले रहा हूँ, वह अन्य 100 व्यक्तियों से भी करवाऊँगा।

वे भी मेरी तरह स्वच्छता के लिए 100 घंटे दें, इसके लिए प्रयास करूँगा।

मुझे मालूम है कि स्वच्छता की तरफ बढ़ाया गया मेरा एक कदम पूरे भारत देश को स्वच्छ बनाने में मदद करेगा।

