

STATE ANNUAL ACTION PLAN (SAAP) (FY 2016-17)

UTTARAKHAND



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

S. No.	Point of Consideration	Yes/No	Give/Details
1.	Have all Cities prepared SLIP as per the suggested approach?	Yes	First priority has been given to universal coverage of Water Supply and Sewerage/Septage.
2.	Has the SAAP prioritized proposed investments across cities/	Yes	Priority has been given looking to existing service level especially for Water Supply & Sewerage.
3.	Is the indicator wise summary of improvement proposed (both investments and management improvements) by State in place?	Yes	Indicator wise improvement proposal both for investment and management has been considered as per requirement.
4.	Have all the cities under Mission identified/ done baseline assessments of service coverage indicators?	Yes	The base line assessment of service coverage has been done for all mission cities.
5.	Are SAAPs addressing an approach towards meeting Service Level Benchmarks agreed by Ministry for each Sector?	Yes	SAAP has been prepared to meet Service Level Benchmarks as agreed by Ministry for each Sector.
6.	Is the investment proposed commensurate to the level of improvement envisaged in the indicator?	Yes	Investment proposed commensurate with Service Level Improvement envisaged in the indicator.
7.	Are State Share and ULB share in line with proposed Mission approach?	Yes	State will bear both its share and ULB share.
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 Financial Commission, external sources)?	Yes	Due diligence has been given on convergence of projects with funds available in 14 th FC/4 th SFC,ADB and NMCG etc.
9.	Does State Annual Action Plan verify that the cities have undertaken financial projections to identify revenue requirements for O & M and repayments?	Yes	SAAP has been prepared considering O & M charges in water supply schemes whereas in case of STP O & M cost shall be borne by state for a period of 5 years . In the meanwhile parastatal shall rationalize user charges and focus on reduction of NRW.
10.	Has the State Annual Action Plan considered the resource mobilization capacity of each ULB to ensure that ULB share can be mobilized?	Yes	State shall bear all the O & M & centage charges.
11.	Has the process of establishment of PDMC been initiated?	Yes	The process is completed.

12.	Has a roadmap been prepared to realize the resource potential of the ULB?	Yes	The resource potential of each ULB has been considered while preparing the SAAP.
13.	Is the implementation plan for projects and reforms in place (Time lines any yearly milestone)?	Yes	Building bye-laws been amended in 2016 and other reforms to be completed as per timeline.
14.	Has the prioritization of projects in ULBs been done in accordance with para 7.2 of the guidelines?	Yes	Prioritization done as per guidelines. Priority has been given where service level gaps is more in order to achieve universal coverage.

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Minutes of State High Powered Steering Committee (SHPS) Meeting

"अमृत" (अटल नवीकरण और शहरी परिवर्तन मिशन) के क्रियान्वयन के सम्बन्ध में मुख्य सचिव, उत्तराखण्ड शासन की अध्यक्षता में गठित राज्य स्तरीय हाईपॉवर स्टेयरिंग कमेटी (SHPS) की द्वितीय बैठक दिनांक 29 जुलाई, 2016 का कार्यवृत्त :-

उपस्थिति :-

- 1- श्री डी0एस0 गर्बाल, सचिव, शहरी विकास विभाग, उत्तराखण्ड शासन -सदस्य सचिव
- 2- श्री आर० मिनाक्षी सुंदरम्, सचिव, आवास विभाग, उत्तराखण्ड शासन -सदस्य
- 3- श्री नितिन सिंह भदौरिया, मिशन निदेशक/निदेशक, शहरी विकास निदेशालय, उत्तराखण्ड, देहरादून -सदस्य
- 4- श्री अर्जुन सिंह, अपर सचिव, पेयजल/वित्त, विभाग उत्तराखण्ड शासन -सदस्य
- 5- श्री एस० के० शर्मा, महाप्रबंधक, जल संस्थान -सदस्य प्रतिनिधि
- 6- श्री एन०एस० बिष्ट, अधिशासी अभियन्ता, पेयजल निगम -सदस्य प्रतिनिधि
- 7- श्री एस०के० पन्त, वरिष्ठ नियोजक, नगर एवं ग्राम नियोजन विभाग, उत्तराखण्ड -सदस्य
- 8- श्री नवनीत पाण्डे, अपर निदेशक, शहरी विकास निदेशालय, उत्तराखण्ड, देहरादून
- 9- श्री रवि पाण्डेय, अधिशासी अभियन्ता, शहरी विकास निदेशालय, उत्तराखण्ड, देहरादून
- 10- श्री राजीव पाण्डे, परियोजना अधिकारी, राज्य नगरीय विकास अभिकरण (सूडा), उत्तराखण्ड, देहरादून

बैठक सर्वप्रथम सचिव, शहरी विकास द्वारा अवगत कराया गया कि शहरी विकास मंत्रालय, भारत सरकार द्वारा संघालित "अमृत मिशन" (अटल नवीनीकरण और शहरी परिवर्तन मिशन) के निर्धारित "मिशन विवरण और दिशा-निर्देश" के अनुसार वित्तीय वर्ष के सैप को राज्य स्तरीय हाईपॉवर स्टेयरिंग कमेटी (SHPS) से अनुमोदन उपरांत ही भारत सरकार को प्रेषित किया जाना है।

भारत सरकार की 6th Apex Committee द्वारा दिनांक 07 जनवरी, 2016 को 50:50 वित्त पोषण पद्धति पर उत्तराखण्ड राज्य हेतु ₹ 269.83 करोड़ की वर्ष 2015-16 की वार्षिक योजना जिसमें केन्द्रांश ₹ 133.67 करोड़ की स्वीकृति प्रदान गई, परन्तु दिनांक 10 मार्च, 2016 को उत्तराखण्ड एवं पूर्वोत्तर राज्यों के लिए "अमृत योजना" 90:10 पद्धति पर संशोधित की गई है। फलस्वरूप इस योजना का परिव्यय ₹ 148.53 करोड़ सीमित रह गया है, जिसके लिए संशोधित कार्य योजना सैप के अनुमोदनार्थ तैयार कर ली गई है, साथ ही वर्ष 2016-17 हेतु भी वार्षिक योजना तैयार कर ली गई, जो समिति के सम्मुख प्रस्तुत की जा रही है। तदोपरान्त एजेण्डे पर बिन्दुवार चर्चा की गई।

कमश-2/-

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1- एजेण्डा 1- Compliance of 1st SHPSC Meeting , dated 16-12-2015 के सम्बन्ध में अवगत कराया गया है कि सभी निर्देशों का अनुपालन सुनिश्चित कर लिया गया है।

Directions	Compliance
Constitution of State Level Technical Committee	SLTC Constituted via GO. No. 106/IV(2) – शा0वि0 – 74 (सा0) 2015. TC – 1, dated 15th January 2016 03 meetings of SLTC Conducted and DPR appraised worth Rs. 244.7 Crs. Rs. 29.71 Crs. Released to ULBs as first instalment
Constitution of SMMU (State Mission Management Unit) and CMMU(City Mission Management Unit)	SMMU & CMMUs constituted via GO. No. 375/IV(2) – शा0वि0 – 74 (सा0) 2015. TC dated 2 nd March 2016 , Recruitment against sanctioned posts completed
Reforms	a. Website of all AMRUT towns created b. e-newsletter being published c. Double Accounting system d. Computerization of Municipal Tax in process e. User Charges for SWM levied

उक्त के सम्बन्ध में बैठक में सहमति प्रदान करते हुए निर्देश दिए कि "अमृत योजना" के संचालन में काफी विलम्ब हो रहा है। वर्ष 2015-16 एवं 2016-17 के कार्यों में तीव्रता लाई जाए तथा 2017-18 का सैप भी समयांतरगत तैयार कर लिया जाए।

2- एजेण्डा 2- Approval of Revised SAAP (State Annual Action Plan) FY 2015-16 प्रथम SHPSC में ₹ 289.18 करोड़ के सैप पर अनुमोदन प्रदान किया गया था, जिसके क्रम में दिनांक 07 जनवरी, 2016 को भारत सरकार द्वारा 50:50 पैटर्न पर ₹ 269.83 करोड़ की योजना पारित की गई है। तदोपरांत 10 मार्च, 2016 को वित्तीय पद्धति 90:10 होने के फलस्वरूप पुनः नगर निकायों द्वारा SLIP गठन की कार्यवाही सम्पादित की गई। दिनांक 12 जुलाई, 2016 को मिशन निदेशक की अध्यक्षता में प्राप्त स्लिप के आधार पर वर्ष 2015-16 के सैप को अंतिम किया गया जिसका विवरण निम्नवत् है :-

SAAP (2015-16) (On a 90:10 funding Pattern)						
S. No.	Name of the town/ Infrastructure facility	Water Supply	Sewerage and Septage Management	Strom Water drain/ drainage	Open Spaces and park	Total
1	Dehradun	36.50	12.55	6.47	2.00	57.52
2	Haridwar	19.00	1.43	0.00	0.50	20.93
3	Haldwani – kathgodam	10.00	15.88	0.00	0.30	26.18
4	Rudrapur	19.50	0.00	0.00	0.30	19.80
5	Kashipur	12.00	9.50	0.00	0.30	21.80
6	Roorkee	2.00	0.00	0.00	0.30	2.30
Total		99.00	39.36	6.47	3.70	148.53

कमशः-3/-

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दिनांक 28 जुलाई, 2016 को आहूत SLTC द्वारा इसकी संस्तुति की गई है। SHPSC द्वारा सम्यक विचारोपरान्त ₹ 148.53 करोड़ की संशोधित सैप 2015-16 पर अनुमोदन प्रदान किया गया।

3- एजेण्डा 3- Approval of SAAP (State Annual Action Plan) FY 2016-17.

मिशन निदेशक/अमृत द्वारा अवगत कराया कि निकायवार SLIP तैयार की गई है, जिसमें सभी Stake Holding Departments के साथ-साथ बोर्ड का भी परामर्श प्राप्त कर लिया गया है। SLIP तैयार करते समय इस बात का विशेष ध्यान रखा गया है कि अन्य विभागीय योजनाएं जैसे ए0डी0बी0, राज्य सैक्टर से Convergence हो सके तथा Duplicacy न हो, साथ ही प्रथम चरण में वही परियोजना को Take up किया जा रहा है, जिसमें भूमि चयन आदि विषय का कोई वाद-विवाद न हो सके। वित्तीय वर्ष 2016-17 हेतु एस0एल0टी0सी0 द्वारा नगरवार एवं योजनावार निम्नानुसार स्वीकृत सैप समिति के समक्ष प्रस्तुत किया गया:-

SAAP 2016-17 for UTTARAKHAND (Town Wise)

S.	Name of the town/ Infrastructure facility	Water Supply	Sewerage and Septage Management	Strom Water drain/ drainage	Open Spaces and park	Total
1	Dehradun	55.00	21.00	0.00	2.00	78.00
2	Haridwar	0.00	27.00	3.00	0.75	30.75
3	Haldwani – Kathgodam	10.00	13.00	0.00	0.55	23.55
4	Rudrapur	0.00	20.91	0.00	0.50	21.41
5	Kashipur	10.00	9.99	0.00	0.41	20.40
6	Roorkee	17.68	0.00	0.00	0.42	18.10
7	Nainital	0.00	5.50	0.00	0.12	5.62
	Total	92.68	97.40	3.00	4.75	197.83

उक्त पर समिति द्वारा विचार विमर्शानुसार अनुमोदन प्रदान किया गया।

4- एजेण्डा 4- Approval of 5 Year O&M Charges from State Sector

मिशन निदेशक द्वारा अवगत कराया गया कि "अमृत" गाईड लाईन के अनुसार सैप में केवल Construction Component को लिया गया है तथा O&M राज्य द्वारा वहन करने की अपेक्षा की गई है।

राज्य अन्तर्गत पेयजल एवं सीवर निर्माण के कार्य पेयजल निगम द्वारा संचालित किये जाते हैं तथा परिसम्पत्तियों का रख-रखाव जल संस्थान द्वारा किया जाता है। महाप्रबन्धक, जल संस्थान द्वारा अवगत कराया गया कि पेयजल योजनाओं का रख-रखाव जल संस्थान द्वारा यूजर चार्ज के माध्यम से किया जाता है, परन्तु सीवर टैक्स से होने वाली आय एस0टी0पी0 के रख-रखाव हेतु पर्याप्त नहीं हो पाती है, के दृष्टिगत SHPSC में "अमृत" योजनान्तर्गत प्रस्तावित परियोजना के O&M का व्यय स्टेट सेक्टर से अनुमत करने हेतु अनुरोध किया गया है।

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बैठक में पृच्छा की गई कि 05 वर्ष के पश्चात क्या स्थिति होगी। इस पर अवगत कराया कि यूजर चार्ज पहले से ही अनुमोदित है इस अवधि में यदि Household संयोजन सुसंगत कर Collection पर ध्यान केन्द्रित किया जाता है तो इसका आत्म स्थायी (Self sustainable) प्राक्कलन कर संचालित किया जा सकता है।

उक्त के सम्बन्ध में निर्देशित किया गया कि जल संस्थान यूजर चार्ज को reationalize कर ले व सीवर संयोजन भी 100 प्रतिशत सुनिश्चित करने के सम्बन्ध कार्यवाही करे। इस निर्देश के साथ समिति द्वारा एस0टी0पी0 के 05 वर्ष के O&M को राज्य सरकार द्वारा वहन करने के प्रस्ताव को अनुमोदित किया गया।

5- एजेण्डा 5- Approval of Centage charges from State Sector मिशन निदेशक द्वारा अवगत कराया गया कि "अमृत" योजनान्तर्गत मुख्यतः प्रेयजल/सीवर एवं ड्रेनेज के कार्य संपादित किए जाने हैं। इन क्षेत्रों में 100 प्रतिशत Benchmark प्राप्त होने के पश्चात ही City Transport पर फोकस किया जाएगा तथा 2.5 प्रतिशत धनराशि Urban green spaces हेतु आरक्षित की गई है।


सभी निकायों में 100 प्रतिशत बेंच-मार्क पूर्ण करने में लगभग ₹ 3200.00 करोड़ की आवश्यकता होगी, जबकि "अमृत" का परिव्यय केवल ₹ 600.00 करोड़ है।

अतः "अमृत मिशन" अन्तर्गत Water Supply & Sewerage के अति आवश्यक कार्य ही लिए जा सकेंगे। केवल नैनीताल में ए0डी0बी0 द्वारा सम्पूर्ण Water supply reorganization का कार्य पूर्ण किया जा चुका है, अतः सिटी ट्रांसपोर्ट के कार्य आगामी वर्ष में लिए जायेंगे। इस प्रकार "अमृत मिशन" अवधि में जल निगम द्वारा लगभग ₹ 550.00 करोड़ की लागत की परियोजनाएं निष्पादित की जायेगी।

"अमृत योजना" के दिशा-निर्देशों के अनुसार परियोजना का क्रियान्वयन नगर निकायों के माध्यम से किया जाना है, यदि नगर निकाय सक्षम नहीं है तो पैरा स्टेटल द्वारा कार्य कराये जाने पर सेन्टेज आदि का वहन राज्य सरकार द्वारा किया जायेगा।

इस सम्बन्ध में मुख्य सचिव द्वारा पृच्छा करने पर यह अवगत कराया गया कि इससे पूर्व जेएनएनयूआरएम के कार्यों के सम्पादन हेतु भी जल निगम के सेन्टेज का वहन राज्य सेक्टर से किया जाता रहा है। बैठक में सुझाव दिया गया कि सेन्टेज को डी0पी0आर0 लागत का ही भाग मानते हुए 90:10 वित्त पोषण पद्धति की अनुमन्यता होनी चाहिए तथा निर्देशित किया गया कि इस विषय पर प्रस्ताव भारत सरकार को प्रेषित किया जाय। इसी निर्देश के साथ समिति द्वारा प्रस्ताव अनुमोदित किया गया।

अन्त में सधन्यवाद बैठक का समापन किया गया।


(शशुघ्न सिंह)
मुख्य सचिव।

कमशः-5/-

-4-

उत्तराखण्ड शासन
शहरी विकास अनुभाग-2,
संख्या-1435/IV(2)-श0वि0-74(सा0)-2015,TC-I
देहरादून: दिनांक: 23 अगस्त, 2016

प्रतिलिपि - निम्नलिखित को सूचनार्थ एवं आवश्यक कार्यवाही हेतु प्रेषित:-

1. प्रमुख सचिव/सचिव, लोक निर्माण/आवास/वित्त/वन एवं पर्यावरण/पेयजल विभाग, उत्तराखण्ड शासन।
2. निजि सचिव, सचिव, शहरी विकास विभाग, उत्तराखण्ड शासन।
3. अनु सचिव, शहरी विकास मंत्रालय, भारत सरकार।
4. निदेशक, शहरी विकास निदेशालय, उत्तराखण्ड, देहरादून।
5. उपाध्यक्ष, एम0डी0डी0डी0ए0, देहरादून।
6. मुख्य नगर नियोजक, ग्राम एवं नगर नियोजन, देहरादून।
7. नगर आयुक्त, समस्त नगर निगम, उत्तराखण्ड।
8. जिलाधिकारी, देहरादून/नैनीताल/हरिद्वार/ऊधमसिंहनगर।
9. प्रबन्ध निदेशक, उत्तराखण्ड पेयजल निगम, देहरादून।
10. मॉड फाईल।

आज्ञा से,
(नितिन सिंह भदौरिया)
अपर सचिव।

Chapter 1: Project Background and Summary

1.1 Introduction

According to the 2011 Census, the absolute increase in the urban population was higher than that of rural population. The urban population grew to 377 million showing a growth rate of 2.76% per annum during 2001-2011. The level of urbanization in the country as a whole increased from 27.7% in 2001 to 31.1% in 2011 – an increase of 3.3 percentage points during 2001-2011 compared to an increase of 2.1 percentage points during 1991-2001. It may be noted that the Indian economy has grown from about 6% per annum during the 1990s to about 8% during the first decade of the 2000s (Ahluwalia 2011). This clearly reflects the power of economic growth in bringing about faster urbanization during 2001-2011.

Table 1.1 Urbanization in India

Indices	2011	2001
Urban Population(million)	377.2	286.1
Number of cities and towns	7935	5161
a) Statutory towns	4041	3799
b) Census towns	3894	1362
c) Metropolitan cities(+1 million)	53	35
Annual exponential growth rate (censes decade)%	2.76	2.74
% of urban to total population	31.16	27.81
a) % of population in cities with > 100000 population	70.24	68.62
b) % of population in towns with (<100000 population)	29.76	31.38
c) % of population in metropolitan cities(+1 million)	42.62	37.82

Table 1.2: Distribution of the municipal population in the cities selected under “AMRUT Mission” in Uttarakhand

Sr. No.	District	Name of Town/city	No of HH.	Population		
				Total	Male	Female
1	Dehradun	Dehradun	125271	574840	301207	273633
2	Haridwar	Hardwar	47251	231338	123455	107883
3	Nainital	Haldwani-cum-Kathgodam	40599	201461	105580	95881
4	US Nagar	Rudrapur	29662	154554	81340	73214
5	US Nagar	Kashipur	22908	121623	63609	58014
6	Haridwar	Roorkee	36129	184060	98767	85293
7	Nainital	Nainital	6500	41377	21648	19729
	Total		308320	1509253	795606	713647

The number of metropolitan cities (+1million) has risen sharply, from 35 to 53 during 2001-2011. They now account for 42.6 percent of the total urban population. Likewise, class1 cities (+100,000) now account for 70.2 percent of the country's urban population. The population growth and infrastructure are not growing in direct proportion. Rapidly growing economy and increased industrial activities, huge population growth are calling for demand for better quality and coverage of water and sanitation services, sewerage and drainage systems, solid-waste management, roads, and power supply.

The State government/urban local bodies have a challenge to provide infrastructure to cater the growing population and backlog of past. To cater the needs, public sector resources are not sufficient which calls for the private investment or any other innovative working model to pull the resources in to infrastructure development.

Learning's 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.

Hence the present mission "**Atal Mission for Rejuvenation and Urban Transformation (AMRUT)**" is launched.

Therefore, the purpose of present Mission "**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).

1.2 AMRUT

1.2.1 Mission

The purpose of present Mission "**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).

1.2.2 Thrust areas under mission

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 centres, especially for children.

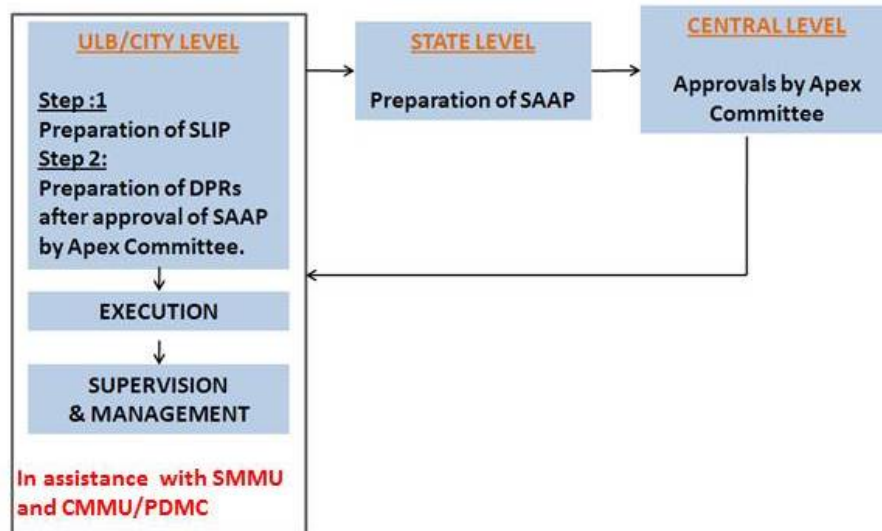
1.2.3 Coverage under Mission

Five hundred cities are proposed for taken up under AMRUT. 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).

1.2.4 Program Management Structure

The following chart shows the functions at each level. ULB had prepared the Slip's and forwarded the same to the State. At state level Slip's are consolidated and SAAP is prepared.



1.2.5 Funding Allocation

The total outlay for AMRUT is Rs. 50,000 crore for five years from FY2015-16 to FY2019-20 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 learning in the Mission. The Mission funds will consist of the following four parts:

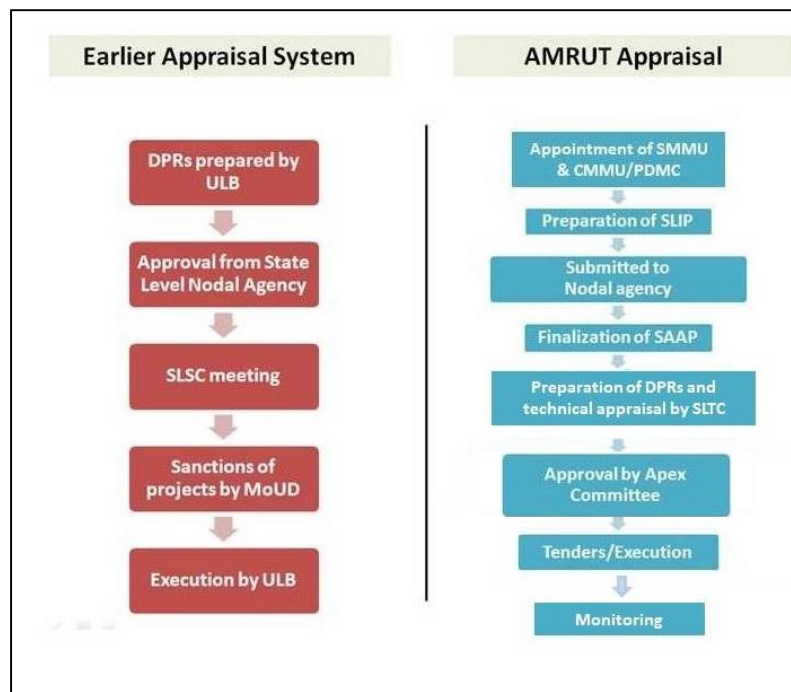
- i. Project fund - 80% of the annual budgetary allocation.
- ii. Incentive for Reforms - 10% of the annual budgetary allocation
- iii. State funds for Administrative & Office Expenses (A&OE) - 8% of the annual budgetary allocation.
- iv. MoUD funds for Administrative & Office Expenses (A&OE) - 2% of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

1.2.6 Appraisal

In AMRUT for appraisal of projects there is no need approach MoUD, appraisal will be done at the State level through State Level Technical Committee (SLTC), the tentative responsibilities are:

- Give technical sanctions,
- Ensure resilience to disasters,
- Check estimate IRR,
- Take corrective action on third party reports
- Appraise DPRs.



1.2.7 Execution of AMRUT

The tasks involved are preparation of Service Level Improvement Plan (SLIP) in consultation with stakeholders to achieve universal coverage and to fulfil the others missions. After preparation of SLIPs, State has to prepare the State Annual Action Plan (SAAP) which is three times the annual allocation. The Apex Committee appraises and approves the SAAP. The DPRs for water supply, sewerage & Septage, drainage are prepared by Uttarakhand Peyjal evam Vikas Nirman Nigam & DPRs for green spaces are prepared by concerned ULB's for the identified projects approved by the State level Committees after technically appraisal by SLTC.

Table 1.3: Breakup of Total MoUD Allocation in AMRUT (Amount in Cr.)

Name of State: Uttarakhand

FY 2016-17

Total Central funds allocated to State	Allocation of Central funds for A&OE (@8% of Total Given in column1)	Allocation of funds for AMRUT (Central share)	Multiply col. 3 by *3 for AMRUT on col. 4 (project proposal to be three-times the annual allocation-CA)	State/ULB share	Total AMRUT annual size (cols. 2+4+5)
1	2	3	4	5	6
64.52	5.16	59.35	178.05	19.78	197.83

Table 1.2.1: Sector wise proposed total project fund and sharing pattern

Name of State: Uttarakhand

(Amount in Crores)

S.No.	Sector	Centre @90%	State @10%	ULB	Convergence	Others	Total
1	Water supply	674.80	74.98	-	-	-	749.78
2	Sewerage and Septage management	1209.23	134.36	-	-	-	1343.59
3	Drainage	949.12	105.46	-	-	-	1054.58
4	Urban Transport	0	0	-	-	-	0
5	Others (Green spaces and parks)	25.89	2.88	-	-	-	28.77
Sub total		2859.05	317.67	-	-	-	3176.72
6	Reforms						317.672
Grand Total							3494.39

Table 1.2.2: Abstract - Break-up of Total Fund sharing pattern

Name of State –Uttarakhand

FY 2016-17

(Amount in Crores)

S. No	Sector	Centre	State			ULBs			Convergence	Others	Total
		Mission	14th FC	Others	Total	14th FC	Others	Total			
1	Water Supply	674.80	-	74.98	74.98	-	-	-	-	-	749.78
2	Sewerage & Septage Management	1209.23	-	134.36	134.36	-	-	-	-	-	1343.59
3	Drainage	949.12	-	105.46	105.46	-	-	-	-	-	1054.58
4	Urban Transport	0	-	0	0	-	-	-	-	-	0
5	Others / Green Spaces and Parks	25.89	-	2.88	2.88	-	-	-	-	-	28.77
	Grand Total	2859.05		317.67	317.67						3176.72
A.&O.E.										254.14	
Reform										317.672	
Total SAAP Size										3748.53	

For Table 1.4 : Abstract - Plan for Achieving Service Level Benchmarks refer Annexure 1 starting from page 81 of this document.

Table 3.2: SAAP- Sector wise Breakup of consolidated investments for all ULBs in the State

(All amount in Rs.in crores)

Name of ULBs (Water supply and sewerage)	Water supply	Sewerage and Septage management	Drainage	Urban Transport	Others (Green Space, Parks, Innovative Projects & Lake Conservation)	Reforms Incentive	Grand Total
1	2	3	4	5	6	7	8
Dehradun	204.23	416.85	800	0	6.7	142.778	1570.558
Hardwar	84.15	200	85.64	0	0.6	37.039	407.429
Haldwani – Kathgodam	160	145	55	0	6.29	36.629	402.919
Rudrapur	118	120.80	0	0	5.54	24.434	268.774
Kashipur	136	117.54	28.68	0	1.25	28.347	311.817
Roorkee	40	292.4	73.16	0	3.1	40.866	449.526
Nainital	7.40	51	12.10	0	5.29	7.58	83.3789
	749.78	1343.59	1054.58	0	28.77	317.67	3494.392
						A&OE @ 8%	254.14
						Grand Total	3748.53

Table 3.4: SAAP - ULB Wise Source of Funds for All Sectors

Name of State – Uttarakhand

for Entire Mission Period- 2015-2019

(Amount in Crores)

Name of the City	Centre	State			ULBs			Convergence	Others e.g. Incentives	Total
		14th FC	Others	Total	14th FC	Others	Total			
1	2	3	4	5	6	7	8	9	10	11
Dehradun	1248.07		138.67	138.67						1386.74
Haridwar	342.74		38.08	38.08						380.82
Haldwani Kathgodam	330.26		36.70	36.70						366.95
Rudrapur	158.89		17.65	17.65						176.54
Kashipur	291.54		32.39	32.39						323.93
Roorkee	367.79		40.87	40.87						408.66
Nainital	103.31		11.48	11.48						114.79
Grand Total	2842.59		315.84	315.84	-	-	-	-	-	3158.43

The state is required to prepare SAAP every year and get it approved by the Apex Committee. Before preparing the current year's SAAP, a key requirement is to review the performance of the approved SAAP of the previous years. This chapter reviews the performance of the implementation of the past SAAPs on key themes in the AMRUT Guidelines.

Project Progress

In this section the physical and financial progress is reviewed. Please complete the following table and respond to the questions.

For DPR details kindly refer annexure 2 attached.

- **Have DPRs been prepared for all projects approved earlier? If not then which are the projects for which DPR is pending and why?**

Yes, DPRs worth Rs 169 Crores are prepared for projects approved earlier in SAAP 2015-16.

- **What is the plan of action for the pending DPRs?**

Instructions issued to the executing agencies to process pending DPR's for FY 2015-16 within two weeks and for FY 2016-17 within 6 weeks.

- **How many SLTC meetings had been held in the State? How many DPRs have been approved by the SLTC till date?**

To till date three SLTC meets had been conducted dated 08.02.2016, 09.03.2016, 29.07.2016 and 20 DPR's worth 133.86 Crores have been approved during SLTC's conducted till date.

- **By when will the pending DPRs be approved by the SLTC and when will implementation start?**

Within two weeks of submission of DPRs by the executing agencies i.e the SLTC shall be conducted in a month for DPR appraisal for FY 15-16 and two months for FY 16-17.

- **Based on the identification of delayed projects and the reasons for slow physical progress, what is the plan of action to speed-up the projects?**

Regular review meetings are being conducted at the level of mission director and secretary urban development level to expedite the approval of remaining DPRs.

- **How much amount has been utilized and what is the percentage share of the funding agencies? Are there any deviations from the approved funding pattern approved by the Apex Committee?**

SAAP	Total SAAP Size (Approved)	Central Share received	Eligible State Share required	Fund Released by State/UTs		Amount Spent till date
				Central Share	State Share	
FY 2015-16	148.53	26.74	2.97	26.74	2.97	Nil
FY 2016-17	197.83	Nil	Nil	Nil	Nil	Nil

- **List out the projects where release of funds to ULBs by the State was delayed?**

Release of funds to the ULB's has been ensured.

- **In how many ULBs implementation was done by agencies other than ULBs? Was a resolution taken from all ULBs?**

Execution of water supply, sewerage & drainage works by Uttarakhand Peyjal Nigam with the approval of ULBs & urban green space projects to be undertaken by the ULBs themselves.

- **List out the projects where the assessed value approved by the Apex Committee was greater than the tendered value and there was a saving? Was this addressed by the HPSC in the present SAAP?**

N/A

- **List out the number of city-wise projects where the second and third instalments were claimed.**

N/A

- **List out the city-wise completed projects. Was the targeted benchmark achieved? Explain the reasons for non-achievement.**

Projects are under various stages of execution, a work order have been issued by Haldwani Nagar Nigam for projects under green spaces and Dehradun for sewerage project.

- **List out the details of projects taken up in PPP model. Describe the type of PPP**

N/A

- **List out and describe any out-of-the-box initiatives/Smart Solutions/resilience used/incorporated in the projects under implementation. What is the nature of the innovation in the projects?**

The DPR's prepared have incorporated necessary structural safeguards to account for earthquake zone. Parks to be developed with minimal use of concrete and creation of themes based urban spaces like medicinal plants and botanical garden etc.

Service Levels

The focus of AMRUT is to achieve service level benchmarks, such as universal coverage in water supply, sewer connections, and so on. In the approved SAAPs, the States/ULBs have targeted the benchmark of universal coverage. The SAAP has to review the progress towards targets set by the States/ULBs to move towards achievement of universal coverage, etc. Please complete the following table and respond to the questions based on the table.

Sector: Water Supply					
Name of City	Service Level Benchmark	SAAP Baseline	SAAP Mission	For the last Financial Year	
		(as in 2015)	Target	Target up to beginning of current FY	Achievement up to beginning of current FY
DEHRADUN	1. Household level coverage of direct water supply connections	78%	100%	85%	78%
	2. Per capita quantum of water supplied (* including ground water supply)	135	135	152	135
	3. Quality of water supplied (*only Water Treatment Plant Supply considered)	80%	90%	85%	80%
HARIDWAR	1. Household level coverage of direct water supply connections	90%	100%	100%	90%
	2. Per capita quantum of water supplied (* including ground water supply)	187	135	-	187
	3. Quality of water supplied (*only Water Treatment Plant Supply considered)	95%	90%	-	95%

	3. 2.Extent of non-revenue water	30%	20%	-	30%
	3.3. Extent of metering of water connection	0%	100%	-	0%
HALDWANI-KATHGODAM	1. Household level coverage of direct water supply connections	80%	100%	81%	80%
	2. Per capita quantum of water supplied (* including ground water supply)	133	135	-	133
	3. Quality of water supplied (*only Water Treatment Plant Supply considered)	70%	90%	71%	70%
RUDRAPUR	1. Household level coverage of direct water supply connections	11%	100%	51%	11%
	2. Per capita quantum of water supplied (* including ground water supply)	49	135	79	49
	3. Quality of water supplied (*only Water Treatment Plant Supply considered)	70%	90%	-	70%
KASHIPUR	1. Household level coverage of direct water supply connections	15%	100%	18%	15%
	2. Per capita quantum of water supplied (* including ground water supply)	45	135	50	45
	3. Quality of water supplied (*only Water Treatment Plant Supply considered)	80%	90%	-	80%
ROORKEE	1. Household level coverage of direct water supply connections	41%	100%	46%	41%
	2. Per capita quantum of water supplied (* including ground water supply)	80	135	82	80
	3. Quality of water supplied (*only Water Treatment Plant Supply considered)	90%	90%	-	90%
	3. 2.Cost recovery in water supply services	60%	-	-	60%
	3.3. Extent of metering of water connection	0%	100%	5%	0%
	Sector: Sewerage and Septage management				
Name of City	Service Level Benchmark	SAAP Baseline	SAAP Mission	For the last Financial Year	
		(as in 2015)	Target	Target up to beginning of current FY	Achievement up to beginning of current FY
DEHRADUN	4. Coverage of latrines (individual or community)	70%	100%	-	70%
	5. Coverage of sewerage network services	15%	100%	-	15%
	6. Efficiency of Collection of Sewerage	25%	100%	30%	25%
	7. Efficiency in treatment	15%	100%	-	15%
HARIDWAR	4. Coverage of latrines (individual or community)	87%	100%	-	87%
	5. Coverage of sewerage network services	52%	100%	54%	52%

	6. Efficiency of Collection of Sewerage	96%	100%	-	96%
	7. Efficiency in treatment	64%	100%	-	64%
HALDWANI-KATHGODAM	4. Coverage of latrines (individual or community)	87%	100%	-	87%
	5. Coverage of sewerage network services	10%	100%	13%	10%
	6. Efficiency of Collection of Sewerage	10%	100%	15%	10%
	7. Efficiency in treatment	0%	100%	0%	0%
RUDRAPUR	4. Coverage of latrines (individual or community)	100%	100%	-	100%
	5. Coverage of sewerage network services	0%	100%	-	0%
	6. Efficiency of Collection of Sewerage	0%	100%	-	0%
	7. Efficiency in treatment	0%	100%	-	0%
KASHIPUR	4. Coverage of latrines (individual or community)	90%	100%	-	90%
	5. Coverage of sewerage network services	0%	100%	0%	0%
	6. Efficiency of Collection of Sewerage	0%	100%	-	0%
	7. Efficiency in treatment	0%	100%	0%	0%
ROORKEE	4. Coverage of latrines (individual or community)	99.8%	100%	-	99.8%
	5. Coverage of sewerage network services	23%	100%	-	23%
	6. Efficiency of Collection of Sewerage	0%	100%	-	0%
	7. Efficiency in treatment	0%	100%	-	0%
NAINITAL	4. Coverage of latrines (individual or community)	95%	100%	-	95%
	5. Coverage of sewerage network services	80%	100%	-	80%
	6. Efficiency of Collection of Sewerage	80%	100%	-	80%
	7. Efficiency in treatment	10%	100%	-	10%
Sector: Drainage					
Name of City	Service Level Benchmark	SAAP Baseline	SAAP Mission	For the last Financial Year	

		(as in 2015)	Target	Target up to beginning of current FY	Achievement up to beginning of current FY
DEHRADUN	8.Coverage of storm water drainage network	11%	100%	12%	11%
	8.2. Incidence of sewage mixing in drains	0%	0%	-	0%
	8.3. Incidence of water logging	4%	0%	4%	4%
HARIDWAR	8.Coverage of storm water drainage network	50%	100%	-	50%
	8.2. Incidence of sewage mixing in drains	25%	0%	-	25%
	8.3. Incidence of water logging	50%	0%	-	50%
HALDWANI-KATHGODAM	8.Coverage of storm water drainage network	41%	100%	-	41%
KASHIPUR	8.Coverage of storm water drainage network	60%	100%	-	60%
ROORKEE	8.Coverage of storm water drainage network	60%	100%	-	60%
	8.2. Incidence of sewage mixing in drains	75%	0%	-	75%
	8.3. Incidence of water logging	15%	0%	-	15%

- **In how many projects, city-wise, have targets not been achieved? What is the Plan for Action to achieve the targets?**

Strict monitoring/supervision and regular third party inspection to ensure the achievement of service level benchmarked targets.

- **What are the status of the ongoing DPR preparation and the plan of action for the pending DPRs?**

DPR preparation for 15-16 to be completed within 2 weeks and for 16-17 to be completed in 6 weeks.

- **How many SLTC meetings had been held in the State? How many DPRs have been approved by the SLTC till date?**

To till date three SLTC meets had been conducted dated 08.02.2016, 09.03.2016, 29.07.2016 and 20 DPR's have been approved during SLTC's conducted till date.

Capacity Building

There are two types of capacity building – individual and institutional. The Apex Committee had approved the annual capacity building plan and the SAAP of the current year has to review the progress of the capacity plan. Please fill out following table and answer the questions.

Sl. No.	Name of ULB	Total numbers to be trained in the current financial year, department wise						Name of the Training Institution (s) identified	No. of Training Programmes to be conducted	Fund Reqd. in current FY (₹ in Crore)
		Elected Reprs.	Finance Dept.	Engineering Dept.	Town Planning Dept.	Admin. Dept.	Total			
1	Representatives From Other Departments	-	-	0	-	5	5	Administrative Training Institute, Mysuru, Karnataka	1	0.065
	Representatives From SMMU/CMMU	-	1	8	3	1	13			
	Representatives From UDD-Uttarakhand	-				1	1			
	Representatives From ULB'S	-								
	Sub Total	0	1	8	3	7	19			
2	Representatives From Other Departments	-	-	1			1	Agra Nagar Nigam in association with CURE	1	0.001
	Representatives From SMMU/CMMU	-	-	2			2			
	Representatives From UDD-Uttarakhand	-	-	0			0			
	Representatives From ULB'S									
	Sub Total	0	0	3	0	0	3			
3	Representatives From Other Departments	0	-	2	2	0	4	IIRS-Dehradun on GIS	1	0.03
	Representatives From SMMU/CMMU	-	1	8	5	1	15			
	Representatives From UDD-Uttarakhand						0			
	Representatives From ULB'S			4		2	6			
	Sub Total	0	1	14	7	3	25			
4	Representatives From Other Departments	-	0	-	-		0	ICA-Dehradun, Workshop/training on Tally	2	0.03
	Representatives From SMMU/CMMU	-	1	-	-	-	1			

	Representatives From UDD-Uttarakhand		5			5	software for account personnels		
	Representatives From ULB'S		24			24			
	Sub Total	0	30	0	0	0		30	
6	Representatives From Other Departments	-	-	5	-	-	5	RCUES Lucknow Environmental Appraisal & Monitoring	1
	Representatives From SMMU/CMMU	-		5	-	-	5		
	Representatives From UDD-Uttarakhand		0	0	5	0	5		
	Representatives From ULB'S		0	5	5	5	15		
	Sub Total	0	0	15	10	5	30		
GRAND TOTAL		0	32	40	20	15	107		0.19

- **In how many departments was training completed as approved in the SAAP of the last Financial Year? In how many departments was training partially done and in how many departments training not done at all? Please give reasons**

In 2015-16 two regional level AMRUT workshops were conducted by MoUD. AMRUT Uttarakhand cell (SMMU/CMMU) was constituted earlier this year in May hence the training was conducted within the two months of joining the newly recruited candidates at ATI Mysore. Apart from AMRUT trainings the AMRUT cell is regularly trained under various workshops and seminars for instance earlier this August AMRUT SMMU and CMMU Dehradun were sensitised regarding preparation of city sanitation plan organised by GIZ Uttarakhand, candidates from SMMU were sensitised on ecosystem services and political economy of water safety organized by CEDAR Uttarakhand ventured with university of Cambridge U.K)and decentralised waste water treatment (DEWATS) at village Kachpura, Agra by Agra Nagar Nigam ventured with CURE.

- **List out the training institutes that could not complete training of targeted functionaries. What were the reasons and how will this is avoided in future?**

N/A

- **What is the status of utilization of funds?**

Funds remaining from CCBP project have been realigned to facilitate capacity building program under Amrut.

- **Have the participants visited best practice sites? Give details**

Yes, a visit to STP for best practices wastewater and solid waste management in Mysore and Mysore municipality on smart urban governance in Mysore. A field exposure visit to Kachpura , Agra based upon best practices on decentralised waste water treatment (DEWATS).

- **Have the participants attended any national/international workshops, as per guideline (Annexure 7)?**

Yes, participants from AMRUT -SMMU & CMMU's have undergone a two days' workshop on preparation of city sanitation plan under NSUP, ecosystem services and water policy by CEDAR, best practices on decentralised waste water management at Kacchpura, Agra and a training is proposed for various government officials and consultants regarding GIS mapping of Uttarakhand state in ventured through Indian Institute of remote sensing by next month.

- **What is the plan of action for the pending activities, if any?**

Regular trainings and exposure visits to be conducted for representatives from ULBs /allied departments and CMMU/SMMU during current fiscal year.

Reforms

According to Guideline 4.3, incentives of previous year will be given at the start of succeeding year, for which States are required to do a self-assessment, on receipt of which incentives will be awarded. A key requirement to claim incentives is to achieve at least 70 per cent Reforms for that year. Some of the criteria to be considered while doing the assessment are as follows:

S.No	Reform Type	Milestones	Target for the last FY	Achievement for the last FY	Number of ULBs achieved percent	Number of ULBs not achieved percent
1	E-Governance	Digital ULBs 1. Creation of ULB website.	6 months	Completed	6	0

		2. Publication of e-newsletter, Digital India Initiatives	6 months	Partial	5	1
		3. Support Digital India (ducting to be done on PPP mode or by the ULB itself).	6 months	Partial	0	6
2	Constitution and Professionalization of municipal cadre	1. Policy for engagement of interns in ULBs and implementation.	12 months	Nil	0	6
3	Augmenting double entry accounting	1. Complete migration to double entry accounting system and obtaining an audit certificate to the effect from FY 2012-13 onwards.	12 months	Partial	4	2
		2. Publication of annual financial statement on website.	Every year	Partial	5	1
4	Urban Planning and City Development Plans	1. Preparation of Service Level Improvement Plans (SLIP), State Annual Action Plans(SAAP's)	6 months	Complete	6	0
		2. Make action plan to progressively increase Green cover in cities to 15% in 5 years.	6 months	Partial	5	1
		3. Develop at least one children park every year in the AMRUT cities.	Every year	Partial	5	1
		4. Maintenance of Parks on PPP Model	12 Months	Nil	0	6
5	Devolution of funds and functions	1. Ensure transfer of 14th FC devolution to ULBs.	6 months	In progress	3	3

		2. Appointment of State Finance Commission (SFC) and making decisions.	12 months	Completed	6	0
		3. Transfer of all 18 functions to ULBs.	12 months	Partially completed	12 out of 18 functions have been transferred to ULBs.	
6	Review of Building bye-laws	1. Revision of building bye laws periodically.	12 months	Completed	6	0
		2. Create single window clearance for all approvals to give building permissions.	12 months	Yes(Single window system is started in Uttarakhand for large commercial projects.	6	0
7(a)	Municipal tax and fees improvement	1. At least 90% coverage.	12 months	Partially completed	5	1
		2. At least 90% collection	12 months	Partially completed	5	1
		3. Make a policy to, periodically revise property tax, levy charges and other fees	12 months	Completed	6(nearly every ULB has completed 70%)	0
		4. Post Demand Collection Balance (DCB) of tax details on the website.	12 months	Partial	1	5
		5. Achieve full potential of advertisement revenue by making a policy for destination specific potential having dynamic pricing module.	12 months	Completed (new hoarding rules have been notified on 16.02.2016)	6	0
7(b)	Improvement in levy and collection of user charges	1. Adopt a policy on user charges for individual and institutional assessments in which a differential rate is charged for water use and adequate safeguards are	12 months	Completed	6	0

		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.	12 months	Nil	0	6
		3. Separate accounts for user charges.	12 months	Partial	5	1
		4. At least 90% billing.	12 months	Partial	5	1
		5. At least 90% collection.	12 months	Nil	0	6
8	Energy and Water audit	1. Energy (Street lights) and Water Audit (including non-revenue water or losses audit)	12 months	Nil	0	6
		2. Making STPs and WTPs energy efficient.	12 months	Nil	0	6
		3. Optimize energy consumption in street lights by using energy efficient lights and increasing reliance on renewable energy.	13 months	Partial (LED and solar powered LED's, streetlight are used for street lighting has been mandatory to optimize energy consumption)	3	3

- **Have the Reform formats prescribed by the TCPO furnished?**

Yes, a detailed overview can be seen in the above table.

- **Did the State as a whole complete 70 percent of Reforms? If, yes was the incentive claimed?**

Dehradun and Haridwar have completed 70 percent of reform targets for FY 2015-16 and 70 percent reforms are target for FY 2016-17.

- **What was the amount of incentive claimed? How was it distributed among the ULBs and what was it used for?**

N/A

- **What is the status of Reforms to be completed in the Mission period? Has advance action been taken and a Plan of Action prepared?**

Seventy percent targets to be achieved in 216-17. Professionalization of municipal cadre, amendment in building bye-laws and municipal tax collection are completed. Hoarding rules have been promulgated.

- **Give any instances of innovation in Reform implementation.**

N/A

Use of A&OE

- **What are the items for which the A&OE has been used?**

For establishment of AMRUT cell-(SMMU and CMMU), salary of AMRUT consultants, capacity building of AMRUT consultants (workshops, trainings & exposure visits on best practices) ,preparation of SLIP's and SAAP'S & DPR cost reimbursement.

- **Are the items similar to the approved items in SAAP or there is any deviation? If yes, list the items with reasons.**

Items are similar as per approved SAAP without any deviation.

- **What is the utilization status of funds?**

Funds remaining from CCBP project have been realigned to facilitate capacity building program under Amrut.

- **Has the IRMA been appointed? What was the procedure followed?**

N/A

- **If not appointed, give reason for delay and the likely date of appointment**

IRMA shall be appointed in the next two months.

- **Have you taken up activities connected to E-Municipality as a Service (E-MAAS)? Please give details.**

Treasury department has made provisions for online e-pensions and payrolls, single window system has been initiated for large commercial ventures and state NIC has also developed a centralised online grievance redressal portal namely SAMADHAN.

- **Have you displayed the logo and tagline of AMRUT prominently on all projects? Please give list.**

Will be ensured.

- **Have you utilised the funds on any of the inadmissible components (para 4.4)? If yes, give list and reasons.**

No

Funds flow

One reason for project delay has been delayed release of funds. In the following table indicate the status of funds release and resource mobilization.

S. No.	Name of the town/ Infrastructure facility	SAAP size	I Installment released to ULBs
1	Dehradun	57.50	11.50
2	Haridwar	20.93	4.19
3	Haldwani-Kathgodam	26.20	5.24
4	Rudrapur	19.80	3.96
5	Kashipur	21.80	4.36
6	Roorkee	2.30	0.46
Total		148.53	29.71

- **In how many projects, city-wise, has the full funds been sanctioned and disbursed?**

All the funds duly received by centre and state has been timely disbursed to the ULBs.

- **Identify projects where delay in funds release led to delay in project implementation?**

Nil

- **Give instances of doing more with less during implementation.**

Nil

Funds disbursements and Conditions

- **How many project fund request has been made to the Gol?**

First instalment of 26.74 crores of CA for 15-16 has been released by Gol. Request for release of first instalment of Rs 35.61 crores for 16-17 subjected to approval of SAAP by Apex committee.

- **How many instalments the Gol has released?**

First instalment of Rs 26.74 crores for FY 2015-16 has been released.

- **Is there any observation from the Gol regarding the claims made?**

Nil

- **List out the conditions imposed by the Apex Committee, State HPSC and the SLTC. Have all the conditions been complied with? If, no identify the conditions not complied with and give reasons for non-compliance.**

Following are instruction given by SLTC held on 12.07.2016

Conditions	Compliance status
Land acquisition is ruled out under AMRUT	Yes
All D.P.R's should include O&M, which shall be paid through state share.	Yes
Service level improvements should be reflected in D.P.R's	Yes
ULB's should opt Septage if sewer laying is unsustainable	Yes
For STP O&M for 5 years shall be borne by state	Yes
For water supply schemes all the O&M shall be managed through leverage of user charges.	Yes
For hill states overall cost of DPR including O&M and centage should be based upon 90:10 funding pattern as it was in JnNURM.	Requested from Gol

The SAAPs are aggregated from the SLIPs. Please fill out the Master Plan of projects (Table 3.1; pg.43) and the state level plan for achieving service levels (Table 3.5; pg.46 of AMRUT Guidelines).

Also, in the table below please give the details of the projects sector wise that are being posed for approval to the Apex Committee.

For the DPR details kindly refer annexure 2

1. Principles of Prioritization

Under this section states will prioritize and recommend projects for selection under AMRUT (AMRUT Guidelines; para 7). The States will identify project based on gap analysis and financial strength of ULBs. While prioritizing projects, please provide information responding to the following questions, in words, not more than as indicated against each question:

- **Has consultation with local MPs/ MLAs, Mayors and Commissioners of the concerned ULBs been carried out prior to allocation of funding? Give details of dates and number of participants**

All proposals have been received from the ULBs after due consultations/approvals in municipal board meetings.

- **Has financially weaker ULBs given priority for financing? Please give list.**

All O&M expenses and centage charges shall be borne by the state.

- **Is the ULB with a high proportion of urban poor has received higher share? Please give list.**

Projects have been prioritised on the basis of service level gap and the total population of the ULBs..

- **Has the potential Smart cities been given preference? Please give list**

Yes, due preference is given with focus on universal coverage of drinking water and sewerage.

- **What is the quantum of Central Assistance (CA) allocated to the State during 2016-17?**

Against the allocation of CA 177.60 crores for FY 2016-17 SAAP Rs 197.83 crores is proposed with a CA of 178.05 crores.

- **Has the allocation to different ULBs within State is consistent with the urban profile of the state?**

Yes due considerations have been given to the population of ULBs and availability of funds from other resources like EAPs and SFC etc.

Prioritisation : Water Supply Projects (for FY- 2016-17)

S.No.	Name of the city	House hold level coverage of water supply connections in %	Per capita quantum of water supplied in lpcd	Project cost allocated to cities under AMRUT			Priority No of the project
				For Universal Coverage	For other objectives	Total	
1	Dehradun	78	135	55.00	0.00	55.00	3
2	Haridwar	90	187	0.00	0.00	0.00	6
3	Haldwani	80	133	10.00	0.00	10.00	4
4	Rudrapur	11	49	0.00	0.00	0.00	5
5	Kashipur	15	45	6.00	4.00	10.00	1
6	Roorkee	41	80	14.43	3.25	17.68	2
7	Nainital	80	110	0.00	0.00	0.00	7
Total for current year (FY 2016-17)				75.93	16.75	92.68	

Prioritisation: Sewerage and Septage Management (for FY 2016-17)

S.No.	Name of City	Per capita quantum of water supplied in lpcd	Sewerage and Septage Management					Priority of the project
			Coverage of latrines	Coverage of Sewerage Network services	Project cost allocated to cities under AMRUT			
			Existing	Existing	For Universal Coverage	For other objectives	Total	
1	Dehradun	135	70	15	21.00	0	21.00	5
2	Haridwar	187	87	52	27.00	0	27.00	4
3	Haldwani Kathgodam	133	87	10	0	13.00	13.00	1
4	Rudrapur	49	100	0	7.21	13.70	20.91	2
5	Kashipur	45	90	15	0	9.99	9.99	3
6	Roorkee	80	90	13	0	0	0	7
7	Nainital	110	95	80	1.40	4.10	5.50	6
Total for current year (FY 2016-17)					64.61	32.79	97.40	

* Although there is a sewer network of 15% covering 1193 households in some parts of city but no treatment facility available in the city.

AMRUT SAAP (State Annual Action Plan) for FY 2016-17						
Prioritisation: Storm Water Drainage						
S.No.	Name of City	Storm Water Drainage				
		Coverage of Storm water drainage network (%)	Incidence of sewerage mixing in drains (%)	Incidence of water logging (%)	Project cost allocated to cities under AMRUT (Rs. in crore)	Priority of the project
		Existing	Existing	Existing		
1	Dehradun	11	0	4	0.00	2
2	Haridwar	50	25	50	3.00	1
3	Haldwani Kathgodam	41	12	2	0.00	3
4	Rudrapur	-	-	-	0.00	6
5	Kashipur	60	50	40	0.00	4
6	Roorkee	60	75	15	0.00	5
7	Nainital	50	0	0	0.00	
Total for current year (FY 2016-17)					3.00	

Prioritization : Green Spaces and Parks (for FY- 2016-17)				
S.No.	Name of the city	Per Person open space in plan areas as per URDPFI (in Sqm)	Per Person open space in buildup areas as per NBC	Project cost allocated to cities under AMRUT
1	Dehradun	3	NA	2.00
2	Haridwar	0.31	NA	0.75
3	Haldwani Kathgodam	11.87	1.40	0.55
4	Rudrapur	7	4	0.50
5	Kashipur	0.19	NA	0.41
6	Roorkee	0.5	NA	0.42
7	Nainital		NA	0.12
Total for current year (FY 2016-17)				4.75

2. Importance of O&M

It has been observed that ULBs pay little attention to the operation and maintenance of infrastructure assets created after completion of projects. This tendency on the part of implementing agencies leads to shear loss off national assets. Please fill out the Plan of action for A&OE expenses given in Table 4 (pg-48) of AMRUT Guidelines and answer the following questions.

- **Do projects proposed in the SAAP include O&M for at least five years? What is the nature of O&M?**

Water supply and sewerage sector projects O/M shall be leveraged through user charges collected by Jal Sansthan (maintenance parastatal agency for water and sewerage in Uttarakhand)

- **How O&M expenditures are propose to be funded by ULBs/ parastatal?**

O&M of assets created after the Defect Liability Period (DLP) shall be funded through leverage of user charges and loss reduction as a cost recovery model. The ULB's shall be required to enhance its coverage and connection network and thus enhance its revenue base, and strengthen the billing and collection systems.

- **Is it by way of levy of user charges or other revenue streams?**

Yes, it shall be done through leverage of user charges and other cost recovery methods might be employed later depending upon the effectiveness of existing model.

- **Has O&M cost been excluded from project cost for the purpose of funding?**

Yes, O&M cost been excluded from project cost for the purpose of funding.

- **What kind of model been proposed by States/ULBs to fund the O&M? Please discuss.**

One of the indicators under water supply and sewerage components is connection to all households. Connections will yield user charges which shall be a cost recovery mechanism for O&M funding. In addition the ULB's/parastatal agency shall ensure energy conservation and NRW (Non-Revenue Water) mitigation , reuse and recycling of waste water, Smart metering, SCADA, Automatic Meter Readers.

- **Is it through an appropriate cost recovery mechanism in order to make them self-reliant and cost-effective? How?**

Yes O&M costs shall be recovered through levy of user charges, effective billing and collection, tariff rationalization, smart metering and SCADA etc. and save costs through energy conservation and efficiency improvement in pumping stations and other electrical installations like solar lighting and solar pumping.

3. Reform Implementation

In order to become eligible to claim the 10% incentive, the State is required to implement the Reforms prescribed by Gol. The states are also required to a self-assessment and based on the score the Apex committee will decide the eligibility of the state. Please fill out Table 5.2; pg. 52 of AMRUT Guidelines and respond to the following.

Some of the criteria that should be considered while preparing the SAAP:

- **Fill out the tables prescribed by the TCPO, what are the Reform type, steps and Target for 2016-17?**

The type, steps and target of reforms have been indicated in Table 5.2 All reforms are targeted to be achieved during the mission period.

- **Fill out Table 5.5 (pg. 54) given in the AMRUT Guidelines. What is the outcome of the self-evaluation done for reporting progress on reform implementation in order to receive the 10% incentive?**

Kindly refer page number 30 under reforms section of this report for the ULB wise reform achievement.

- **Have any issues been identified during the review by HPSC on Reforms implementation? What are the issues?**

During the reform assessment issues in the State regarding implementation following issues were identified, transfer of all 18 functions (prescribed under 12th Schedule of 74th CAA) to the ULB's, constitution of SFC (state finance commission), water loss reduction and municipal act has been revised dated 02.08.2016.

- **Have these issues been considered while planning for reform implementation? How?**

Yes, identified issues have been considered while planning for reform implementation as water loss reduction has been taken for under the sub head of NRW reduction for while considering new water supply projects

4. Annual Capacity Building Plan

The state is required to submit a Capacity Development Plan along with the SAAP for approval by the MoUD, to empower municipal functionaries and lead to timely completion of projects. Please prepare the individual and institutional capacity building plan by filling out Tables 7.2.1, 7.2.2, 7.2.3 and statement in Table 7.2.4 (pgs. 70 – 72) of AMRUT Guidelines and give the following responses.

- **What is the physical and financial Progress of capacity development at state level?**

Kindly refer table given on page 26

- **Do you feel that there is a need to include any other category of official, new department or module?**

N/A

- **What are the issues that are been identified during the review?**

Specific programmes based upon new technologies and exposure visits to be preferred.

- **Have the activities in your current year Capacity Building Plan – training, exposure visits (ULB staff and elected representatives), seminars/workshops, etc. – been vetted/approved by NIUA?**

Yes, approved by NIUA.

- **What is the present institutional capacity in the ULBs of the state; have the RPMC, UMC, etc. been appointed? Are there other PMUs, PIUs, etc. which are still operational?**

RPMC/UMC	Specialists nomenclature
RPMC has been constituted and is known as SMMU	5 Specialists 1. MIS Expert 2. UIE 3. UIE-PHE 4. Urban Planner 5. Municipal Finance Expert
UMC has been constituted and is known as CMMU	10 Specialists 1. UIE -6 2. Urban Planners-4, against a proposed number of 6.
Total	15 specialists joined against sanctioned 17 posts

SMMU & CMMU were constituted via GO. No. 375/IV (2) –"तद्वि० – 74 (सा०) 2015. dated 02.03.2016 , against 17 post sanctioned, 17 recruited and 15 candidates joined.

- **What has been the progress during the previous year/s in institutional capacity building, especially but not only in the seven areas that are mentioned in the AMRUT Guidelines? (p. 67)**

N/A

- **Attach the Quarterly Score Cards on p. 73 of the Mission Guidelines.**

N/A

- **Have those issues been addressed? How?**

N/A

5. **A&OE**

The 10% allocation for A&OE has been divided into two parts, 8% State fund and 2% Gol fund. Please fill out the Plan of Action Table given in the AMRUT Guidelines (Table 4; pgs.48, 49) and answer the following questions.

- **What is the committed expenditure from previous year?**

Nil

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

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 2018	FY 2019	FY 2020
1	Preparation of SLIP and SAAP and DPR	13.33	1.50	2.50	4.66	4.66	-
2	PDMC	8.32	-	1.25	2.36	2.36	2.36
3	Procuring Third Party Independent Review and Monitoring Agency	1.92	-	0.38	0.38	0.58	0.58
4	Publications (e-Newsletter, guidelines, brochures etc.)	0.85	-	0.17	0.26	0.21	0.21
5	Capacity Building & Training -CCBP, if applicable -Others	3.50	-	0.45	0.94	1.28	0.83
6	Others	2.08	-	0.42	0.52	0.62	0.52
Total		30.00	1.50	5.17	9.12	9.71	4.50

- **What are the issues that are been identified during the review?**

Savings in A&OE may be permitted to be used in construction works.

- **Have the A&OE fund used only for admissible components?**

Yes, A&OE fund are used only for admissible components

- **How the ULB/State wants to carry out the implementation of the projects, (establishment of IRMA/PDMC/SMMU/CMMU)?**

AMRUT SMMU & CMMU has been constituted via GO. No. 375/IV (2) –“*१०वि०* – 74 (सा०) 2015. TC dated 2nd March 2016, against 17 post sanctioned, 17 recruited against which 15 joined till date. Constitution of IRMA is under process.

6. **Financing of Projects**

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

- **What is the State contribution to the SAAP? (should be greater than 20 percent, Para 7.4 of AMRUT Guidelines)**

As per GoI circular state shall bear the 10 %

- **Fill out Table 3.4 at pg.45 of AMRUT Guideline. How the residual financing (over and above Central Government share) is shared between the States, ULBs?**

Details of Table 3.4 can be seen on page 19

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

(Amount in Rs.)

Name of the City	Centre	State			ULBs			Convergence	Others e.g. Incentive	Total
		14th FC	Others	Total	14th FC	Others	Total			
1	2	3	4	5	6	7	8	9	10	11
Dehradun	70.20	-	7.80	7.80	-	-	-	-	-	78.00
Hardwar	27.68	-	3.08	3.08	-	-	-	-	-	30.75
Haldwani Kathgodam	21.20	-	2.36	2.36	-	-	-	-	-	23.55
Rudrapur	19.27	-	2.14	2.14	-	-	-	-	-	21.41
Kashipur	18.36	-	2.04	2.04	-	-	-	-	-	20.40
Roorkee	16.29	-	1.81	1.81	-	-	-	-	-	18.10
Nainital	5.06	-	0.56	0.56	-	-	-	-	-	5.62
Grand Total	178.05		19.78	19.78	-	-	-	-	-	197.83

- **Whether complete project cost is linked with revenue sources in SAAP? Please describe?**

There is linkage between project cost and revenue generation i.e enhanced coverage better

shall improvise recovery of user charges.

- **Has projects been dovetailed with other sectoral and financial programme of the Centre and state governments?**

Yes.

The Projects have been dovetailed with other sectoral and financial programmes of the Central Govt. like the ADB, State funding, NGRBA, Namami Gange, Smart Cities Mission, 14th Finance Commission Grants etc. If necessary, MP/MLA LADS funds will also be explored.

- **Has States/UTs explored the possibility of using Public Private Partnerships (PPP), as a preferred execution model? Please discuss.**

Yes, for all current water and sewer projects the O&M charges shall be recovered from user charges only. Proper structuring of the PPP process and the contract are the prerequisites for a successful PPP model.

- **Are PPP options included appropriate Service Level Agreements (SLAs) which may lead to the People Public Private Partnership (PPPP) model? How?**

N/A

Table 1.1: Breakup of Total MoUD Allocation in AMRUT

Name of State: Uttarakhand

FY 2016-17

(Amount in Cr.)

Total Central funds allocated to State	Allocation of Central funds for A&OE (@8% of Total Given in column1)	Allocation of funds for AMRUT (Central share)	Multiply col. 3 by *3 for AMRUT on col. 4 (project proposal to be three-times the annual allocation-CA)	State/ULB share	Total AMRUT annual size (cols. 2+4+5)
1	2	3	4	5	6
64.52	5.16	59.35	178.05	19.78	197.83

Table 1.2.1: Sector wise proposed total project fund and sharing pattern

Name of State: Uttarakhand

(Amount in Crores)

S.No.	Sector	Centre @90%	State @10%	ULB	Convergence	Others	Total
1	Water supply	674.80	74.98	-	-	-	749.78
2	Sewerage and Septage management	1209.23	134.36	-	-	-	1343.59
3	Drainage	949.12	105.46	-	-	-	1054.58
4	Urban Transport	0	0	-	-	-	0
5	Others (Green spaces and parks)	25.89	2.88	-	-	-	28.77
Sub total		2859.05	317.67	-	-	-	3176.72
6	Reforms						317.672
Grand Total							3494.39

Table 1.2.2: Abstract - Break-up of Total Fund sharing pattern

Name of State –Uttarakhand

(Amount in Crores)

S. No	Sector	Centre	State			ULBs			Convergence	Others	Total
		Mission	14th FC	Others	Total	14th FC	Others	Total			
1	Water Supply	674.80	-	74.98	74.98	-	-	-	-	-	749.78
2	Sewerage & Septage Management	1209.23	-	134.36	134.36	-	-	-	-	-	1343.59
3	Drainage	949.12	-	105.46	105.46	-	-	-	-	-	1054.58
4	Urban Transport	0	-	0	0	-	-	-	-	-	0
5	Others / Green Spaces and Parks	25.89	-	2.88	2.88	-	-	-	-	-	28.77
	Grand Total	2859.05	0.03	317.67	317.67						3176.72
A.&O.E.											254.14
Reform											317.672
Total SAAP Size											3748.53

Table 3.2: SAAP- Sector wise Breakup of consolidated investments for all ULBs in the State**(All amount in Rs.in crores)**

Name of ULBs (Water supply and sewerage)	Water supply	Sewerage and Septage management	Drainage	Urban Transport	Others (Green Space, Parks, Innovative Projects & Lake Conservation)	Reforms Incentive	Grand Total
1	2	3	4	5	6	7	8
Dehradun	204.23	416.85	800	0	6.7	142.778	1570.558
Hardwar	84.15	200	85.64	0	0.6	37.039	407.429
Haldwani – Kathgodam	160	145	55	0	6.29	36.629	402.919
Rudrapur	118	120.80	0	0	5.54	24.434	268.774
Kashipur	136	117.54	28.68	0	1.25	28.347	311.817
Roorkee	40	292.4	73.16	0	3.1	40.866	449.526
Nainital	7.40	51	12.10	0	5.29	7.58	83.3789
	749.78	1343.59	1054.58	0	28.77	317.67	3494.392
						A&OE @ 8%	254.14
						Grand Total	3748.53

Table 3.4: SAAP - ULB Wise Source of Funds for All Sectors

Name of State – Uttarakhand

for Entire Mission Period- 2015-2019

(Amount in Crores)

Name of the City/ULB	Centre	State			ULBs			Convergence	Others e.g.	Total
		14th FC	Others	Total	14th FC	Others	Total		Incentive	
1	2	3	4	5	6	7	8	9	10	11
Dehradun	1248.07	0.010	138.67	138.68						1386.75
Haridwar	342.74	0.005	38.08	38.08						380.82
Haldwani Kathgodam	330.26	0.003	36.7	36.70						366.96
Rudrapur	158.89	0.004	17.65	17.65						176.54
Kashipur	291.54	0.003	32.39	32.39						323.93
Roorkee	367.79	0.004	40.87	40.87						408.66
Nainital	103.31	0.003	11.48	11.48						114.79
Grand Total	2842.59	0.03	315.84	315.87	-	-	-	-	-	3158.46

Table 7.2: Annual Action Plan for Capacity BuildingName of State – **Uttarakhand**

FY 2016-17

Form 7.2.2 -Fund Requirement for State level activities

Sl. No.	State Level activities	Total expenditure up to current FY (crores)	Unspent funds available from earlier releases (crores)	Funds required for the current FY (In Crores)
1	RPMC (SMMU)	0.063	0.701	0
2	UMC(CMMU)	0.12		0
3	Others (Workshops, Seminars, etc.) are approved by NIUA	0.066		0
4	Institutional/ Reform	0.05		0
	Total	0.299	0.701	0

Form 7.2.3: Total fund requirement for capacity building

S.No	Funds requirements	Individual	Institutional & SMMU & CMMU	Others	Total (crores)
1	Total release since start of Mission (2015)	---	---	---	0
2	Total utilized - Centre share	---	---	---	0
3	Balance available- Centre share	---	---	---	0
4	Amount required - Centre share (90:10)	---	---	---	3.15
5	Total funds required for capacity building in current FY 2016-17	---	---	---	0.45
6	Total funds required for capacity building in Mission Period	---	---	---	3.50

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

Name of State: Uttarakhand

Mission period 2015-2020

S. No.	Name of ULB (water supply and sewerage)	Total number of projects to achieve universal coverage	Estimated Cost (Rupees in Crores)	Number of years to achieve universal coverage
1	2	3	4	5
1	Dehradun	19	324.18	5 years
2	Haridwar	2	179.43	4 years
3	Haldwani Kathgodam	5	78.00	5 years
4	Rudrapur	6	107.00	5 years
5	Kashipur	2	165.62	5 years
6	Roorkee	1	105.00	4 years
	Total	35	959.23	

For Table 3.5 kindly refer Annexure 1 on page 63 of this report.

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

FY 2016-17

(Amount in Rs.)

Name of State: Uttarakhand

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 2018	FY 2019	FY 2020
1	Preparation of SLIP and SAAP and DPR	13.33	1.50	2.50	4.66	4.66	-
2	PDMC	8.32	-	1.25	2.36	2.36	2.36
3	Procuring Third Party Independent Review and Monitoring Agency	1.92	-	0.38	0.38	0.58	0.58
4	Publications (e-Newsletter, guidelines, brochures etc.	0.85	-	0.17	0.26	0.21	0.21
5	Capacity Building & Training -CCBP, if applicable -Others	3.50	-	0.45	0.94	1.28	0.83
6	Others	2.08	-	0.42	0.52	0.62	0.52
Total		30.00	1.50	5.17	9.12	9.71	4.50

Table5.2: SAAP-Reforms Type, Steps and Target for AMRUT Cities FY-2016-2017

S. No	Type	Steps	Implementation Timeline	Target set by State 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) <input type="checkbox"/> Registration of Birth, Death and Marriage, <input type="checkbox"/> Water & Sewerage Charges <input type="checkbox"/> Grievance Redressal, <input type="checkbox"/> Property Tax, <input type="checkbox"/> Advertisement tax, <input type="checkbox"/> Issuance of Licenses, <input type="checkbox"/> Building Permissions, <input type="checkbox"/> Mutations, <input type="checkbox"/> Payroll, <input type="checkbox"/> Pension and e-procurement.	24 months	---	---		Yes
2.	Constitution and professionalization of municipal cadre	1. Establishment of municipal cadre.	24 months	---	---		Yes
		2. Cadre linked training.	24 months	---	---	---	Yes
3.	Augmenting double entry accounting	1. Appointment of internal auditor.	24 months	---	---		Yes
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	---	---	---	Yes

S. No	Type	Steps	Implementation Timeline	Target set by State in SAAP			
				April to Sep., 2015	Oct. 2015 to Mar. 2016	April to Sep. 2016	Oct. 2016 to Mar, 2017
5.	Devolution of funds and functions	1. Implementation of SFC Recommendations within timeline.	24 months		Yes		
6.	Review of Building bye-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	---	Yes	---	
		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	---	Yes		
7.	Set-up financial intermediary at state level	1. Establish and operationalize Financial intermediary- pool finance, access external funds, float municipal bonds.	24 months	---	---	---	Yes
8.	Credit Rating	1. Complete the credit ratings of the ULBs.	24 months	---	---	---	Yes
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	---	---	---	Yes

Table 5.5: SAAP- Self- Evaluation for Reporting Progress on Reform Implementation**For Financial Year FY 2016-17 (Last financial year)**

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

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

Incentive based grant release calculation:

The States will be required to fill the following Self-Assessment Form. Step1: Fill the following table

S.No	Name of ULBs	Maximum Score possible during the year	Score obtained ULB Wise
(1)	(2)	(3)	(4)
1	Dehradun	280	200*
2	Haridwar	280	200*
3	Haldwani-Kathgodam	280	135
4	Kashipur	280	160
5	Rudrapur	280	180
6	Roorkee	280	140
Subtotal ULB			
1	State	1680	1015
Subtotal State			
Overall		1680	1015
<ul style="list-style-type: none"> Dehradun and Haridwar achieved 70 percent of the reforms for FY 2015-16 			

Table 7.2: Annual Action Plan for Capacity BuildingName of State – **Uttarakhand**

FY- 2016-17

Form 7.2.1 -Fund Requirement for Individual Capacity Building at ULB level In crores

Sl. No.	Name of ULB	Total numbers to be trained in the current financial year, department wise						Name of the Training Institution (s) identified	No. of Training Programmes to be conducted	Fund Req d (₹ in Crore)
		Elected Reps.	Finance Dept.	Engineering Dept.	Town Planning Dept.	Admin. Dept.	Total			
1	Representatives From Other Departments	-	-	0	-	5	5	Administrative Training Institute, Mysuru, Karnataka	1	0.065
	Representatives From SMMU/CMMU	-	1	8	3	1	13			
	Representatives From UDD-Uttarakhand	-		-	-	1	1			
	Representatives From ULB'S	-								
	Sub Total	0	1	8	3	7	19			
2	Representatives From Other Departments	-	-	1			1	Agra Nagar Nigam in association with CURE	1	0.001
	Representatives From SMMU/CMMU	-	-	2			2			
	Representatives From UDD-Uttarakhand	-	-	0			0			
	Representatives From ULB'S									
	Sub Total	0	0	3	0	0	3			
3	Representatives From Other Departments	0	-	2	2	0	4	IIRS-Dehradun on GIS	1	0.06
	Representatives From SMMU/CMMU	-	1	8	5	1	15			

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	Representatives From UDD-Uttarakhand						0			
	Representatives From ULB'S			4		2	6			
	Sub Total	0	1	14	7	3	25			
4	Representatives From Other Departments	-	0	-	-		0	ICA-Dehradun, Workshop/training on Tally software for account personnel's	1	0.035
	Representatives From SMMU/CMMU	-	1	-	-	-	1			
	Representatives From UDD-Uttarakhand		5				5			
	Representatives From ULB'S		24				24			
	Sub Total	0	30	0	0	0	30			
6	Representatives From Other Departments	-	-	5	-	-	5	RCUES Lucknow Environmental Appraisal & Monitoring	1	0.08
	Representatives From SMMU/CMMU	-	0	5	-	-	5			
	Representatives From UDD-Uttarakhand	0	0	0	5	0	5			
	Representatives From ULB'S	0	0	5	5	5	15			
	Sub Total	0	0	15	10	5	30			
7	Representatives From Other Departments	-	-		-	-	0	Training on 74th Constitutional Amendment Act & Decentralisation	2	0.21
	Representatives From SMMU/CMMU	-	0		-	-	0			
	Representatives From UDD-Uttarakhand	0	0				0			
	Representatives From ULB'S	50	0				50			
	Sub Total	50	0	0	0	0	50			
GRAND TOTAL		50	32	40	20	15	157			0.45

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

Yes, already revised in 2015-16.

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

Dehradun Nagar Nigam has initiated the process of credit rating.

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

Yes, the state is planning to initiate spatial integration works in association with IIRS, Dehradun.

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

N/A

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

Yes, already done.

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

Yes, for mitigation of NRW, EA/Jal Sansthan is a separate parastatal which is working on water metering for ADB aided projects, the EA has initiated the process of reducing NRW in Roorkee, Dehradun and Haridwar.

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

Yes, amendments in the municipal act have been made to improve tax assessments and collections dated 02.08.2016.

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

N/A.

Annexures

Annexure 1.**Table 1.4 Abstract-Plan for Achieving Service Level Benchmarks**

Name of City-DEHRADUN								
Proposed Priority Projects	Total Project Cost (Rs. In Crores)	Indicator	Average Baseline	Annual Targets based on Master Plan (Increment from the Baseline value)				
				FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Water Supply	141.85	1. Household level coverage of direct water supply connections	78%	2%	5%	8%	2%	1%
		2. Per capita quantum of water supplied (* including ground water supply) LPCD	135	10	15	0	0	0
		3. Quality of water supplied (*only Water Treatment Plant Supply considered)	80%	5%	5%	5%	5%	0%
Sewerage and Septage Management	67.55	4. Coverage of latrines (individual or community)	70%	12%	6%	6%	6%	
		5. Coverage of sewerage network services	15%	1%	4%	15%	10%	15%
		6. Efficiency of Collection of Sewerage	25%	1%	3%	5%	10%	10%
		7. Efficiency in treatment	15%	2%	3%	5%	15%	30%
Storm Water/Drainage	13.97	8. Coverage of storm water drainage network	11%	0.5%	1%	2%	5%	5%
		8.2. Incidence of sewage mixing in drains	0%	-	-	-	-	-
		8.3. Incidence of water logging	4%	-	-	-	-	-
Others (Green spaces and parks)	6.35	9. Per person green space in plane area 3sqm	3sqm	-	-	-	-	-
		10. Per person open space in built-up areas as per NBC	NA	-	-	-	-	-
	229.72							
Number of proposed parks= 6, Total area=72479 sqm								

Name of City-HARIDWAR								
Proposed Priority Projects	Total Project Cost (Rs. In Crores)	Indicator	Average Baseline	Annual Targets based on Master Plan (Increment from the Baseline value)				
				FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Water Supply	19	1. Household level coverage of direct water supply connections	90%	3%	7%	-	-	-
		2. Per capita quantum of water supplied (* including ground water supply) in LPCD	187	0	0	-	-	-
		3. Quality of water supplied (*only Water Treatment Plant Supply considered)	95%	-	-	-	-	-
		3.3 Extent of non revenue water	30%	-	-	-	-	-
Sewerage and Septage Management	53.43	4. Coverage of latrines (individual or community)	87%	3%	4%	6%	-	-
		5. Coverage of sewerage network services	52%	-	2%	9%	10%	10%
		6. Efficiency of Collection of Sewerage	96%	-	-	-	4%	0%
		7. Efficiency in treatment	64%	-	-	6%	7%	8%
Storm Water/Drainage	6	8. Coverage of storm water drainage network	50%	-	5%	5%	5%	5%
		8.2. Incidence of sewage mixing in drains	25%	-	-	-	-	-
		8.3. Incidence of water logging	50%	-	3%	2%	1%	0%
Others (Green spaces and parks)	2.2	9. Per person green space in plane area 3sqm	0.31 sqm	-	-	-	-	-
		10. Per person open space in built-up areas as per NBC	NA	-	-	-	-	-
	80.63							
Number of proposed parks= 6 , Total Area= 15000 sqm								

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Name of City-HALDWANI-KATHGODAM								
Proposed Priority Projects	Total Project Cost (Rs. In Crores)	Indicator	Average Baseline	Annual Targets based on Master Plan (Increment from the Baseline value)				
				FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Water Supply	28	1. Household level coverage of direct water supply connections	80%	1%	1%	2%	5%	6%
		2. Per capita quantum of water supplied (* including ground water supply)	133	0	0	0	-	-
		3. Quality of water supplied (*only Water Treatment Plant Supply considered)	70%	0%	1%	2%	-	-
Sewerage and Septage Management	53.88	4. Coverage of latrines (individual or community)	87%	0%	3%	5%	5%	0%
		5. Coverage of sewerage network services	10%	-	3%	6%	11%	15%
		6. Efficiency of Collection of Sewerage	10%	0%	5%	3%	10%	15%
		7. Efficiency in treatment	0%	0%	4%	6%	11%	12%
Storm Water/Drainage	0	8. Coverage of storm water drainage network	41%	-	-	-	-	-
		8.2. Incidence of sewage mixing in drains	0%	-	-	-	-	-
		8.3. Incidence of water logging	41%	-	-	-	-	-
Others (Green spaces and parks)	1.67	9. Per person green space in plane area 3sqm	11.87	-	-	-	-	-
		10. Per person open space in built-up areas as per NBC	1.4	-	-	-	-	-
	83.55							
Number of proposed parks= 6 : Total area= 5977 sqm								

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Name of City-RUDRAPUR								
Proposed Priority Projects	Total Project Cost (Rs. In Crores)	Indicator	Average Baseline	Annual Targets based on Master Plan (Increment from the Baseline value)				
				FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Water Supply	29.5	1. Household level coverage of direct water supply connections	11%	10%	31%		13%	10%
		2. Per capita quantum of water supplied (* including ground water supply)	49	10	20		10	10
		3. Quality of water supplied (*only Water Treatment Plant Supply considered)	70%	-	-	-	-	-
Sewerage and Septage Management	41.82	4. Coverage of latrines (individual or community)	100%	-	-	-	-	-
		5. Coverage of sewerage network services	0%	-	-	15%	10%	10%
		6. Efficiency of Collection of Sewerage	0%	-	-	25%	15%	15%
		7. Efficiency in treatment	0%	-	-	25%	15%	15%
Others (Green spaces and parks)	1.55	9. Per person green space in plane area 3sqm	7 sqm	-	-	-	-	-
		10. Per person open space in built-up areas as per NBC	4 sqm	-	-	-	-	-
	72.87							
Number of proposed parks= 5 ,Total area=15600sqm								

Name of City-KASHIPUR								
Proposed Priority Projects	Total Project Cost (Rs. In Crores)	Indicator	Average Baseline	Annual Targets based on Master Plan (Increment from the Baseline value)				
				FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Water Supply	30.06	1. Household level coverage of direct water supply connections	15%	1%	2%	4%	5%	5%
		2. Per capita quantum of water supplied (* including ground water supply)	45	2	3	15	10	15
		3. Quality of water supplied (*only Water Treatment Plant Supply considered)	80%	0%	0%	-	-	-
Sewerage and Septage Management	37.15	4. Coverage of latrines (individual or community)	90%	3%	3%	4%	-	-
		5. Coverage of sewerage network services	15%	-	0%	6%	8%	7%
		6. Efficiency of Collection of Sewerage	0%	-	-	-	-	-
		7. Efficiency in treatment	0%	-	0%	8%	8%	7%
Storm Water/Drainage	0	8. Coverage of storm water drainage network	60%	-	-	-	-	-
Others (Green spaces and parks)	1.34	9. Per person green space in plane area 3sqm	2.5	-	-	1.875	-	-
		10. Per person open space in built-up areas as per NBC	NA	-	-	-	-	-
	68.55							
Number of proposed parks= 4 Total area=3389 sqm								

Name of City-ROORKEE								
Proposed Priority Projects	Total Project Cost (Rs. In Crores)	Indicator	Average Baseline	Annual Targets based on Master Plan (Increment from the Baseline value)				
				FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Water Supply	24.68	1. Household level coverage of direct water supply connections	41%	1%	4%	29%	15	10
		2. Per capita quantum of water supplied (* including ground water supply)	80	-	-	30	-	-
		3. Quality of water supplied (*only Water Treatment Plant Supply considered)	90%	-	-	0%	-	-
		3.3 Extent of metering of water connection	0%	-	-	20%	-	-
Sewerage and Septage Management	16	4. Coverage of latrines (individual or community)	99.8%	0%	0%	0.2%	-	-
		5. Coverage of sewerage network services	23%	-	-	-	25%	25%
		6. Efficiency of Collection of Sewerage	0%	-	-	-	-	-
		7. Efficiency in treatment	0%	-	-	-	25%	25%
Storm Water/Drainage	0	8. Coverage of storm water drainage network	60%	-	11.50 %	60%	80%	100%
		8.2. Incidence of sewage mixing in drains	75%	-	-	-	-	-
		8.3. Incidence of water logging	15%	-	3%	2%	1%	0%
Others (Green spaces and parks)	1.22	9. Per person green space in plane area 3sqm	0.5	-	-	-	-	-
		10. Per person open space in built-up areas as per NBC	NA	-	-	-	-	-
	41.9							
Number of proposed parks= 3 Total area=16928 sqm								

Name of City-NAINITAL								
Proposed Priority Projects	Total Project Cost (Rs. In Crores)	Indicator	Average Baseline	Annual Targets based on Master Plan (Increment from the Baseline value)				
				FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Water Supply	1	1. Household level coverage of direct water supply connections	80%	-	-	-	-	-
		2. Per capita quantum of water supplied (* including ground water supply)	110	-	-	5	10	10
		3. Quality of water supplied (*only Water Treatment Plant Supply considered)	-	-	-	-	-	-
		3.3 Extent of metering in water connection	10%	-	-	-	-	-
Sewerage and Septage Management	13.5	4. Coverage of latrines (individual or community)	95%	2%	2%	1%	-	-
		5. Coverage of sewerage network services	80%	-	2%	3%	5%	10%
		6. Efficiency of Collection of Sewerage	80%	-	0%	5%		
		7. Efficiency in treatment	10%	-	0%	10%	10%	15%
Storm Water/Drainage	0	8. Coverage of storm water drainage network	50%	-	11.50 %	60%	80%	100%
		8.2. Incidence of sewage mixing in drains	75%	-	-	-	-	-
		8.3. Incidence of water logging	15%	-	-	-	-	-
Others (Green spaces and parks)	0.29	9. Per person green space in plane area 3sqm	NA	-	-	-	-	-
		10. Per person open space in built-up areas as per NBC	NA	-	-	-	-	-
	14.79							
Number of proposed parks= 2 Total area = 1200 sqm								

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

Name of State – Uttarakhand

Current Mission Period- 2016-17

Uttarakhand								
Proposed Priority Projects	Total Project Cost (Rs. In Crores)	Indicator	Average Baseline	Annual Targets based on Master Plan (Increment from the Baseline value)				
				FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Water Supply	274.09	1. Household level coverage of direct water supply connections	64%	3%	7%	7%	5%	4%
		2. Per capita quantum of water supplied (* including ground water supply)	119	5	8	5	2	3
		3. Quality of water supplied (*only Water Treatment Plant Supply considered)	81%	2%	2%	2%	2%	0%
Sewerage and Septage Management	283.33	4. Coverage of latrines (individual or community)	83.88%	5.33%	3.60%	4.25%	2.95%	0.00%
		5. Coverage of sewerage network services	21%	0%	2%	10%	12%	14%
		6. Efficiency of Collection of Sewerage	28%	0%	2%	5%	7%	7%
		7. Efficiency in treatment	16%	1%	2%	7%	14%	20%
Storm Water/Drainage	19.97	8. Coverage of storm water drainage network	34%	0%	1%	2%	3%	3%
Others (Green spaces and parks)	14.62	9. Per person green space in plane area 3sqm	4.20	0	-	-	-	-
		10. Per person open space in built-up areas as per NBC	0.90	0	-	-	-	-

Annexure 2

Sl. No	Name ULB	Approved SAAP		DPR (Y/N)	SLTC (Y/N)	Work Order (Y/N)	Implementation Progress		Amount disbursed till date
		Project name	Amount				Physical (%)	Financial (%)	
1	Dehradun	DPR, Water Supply Distribution System for 23 zones. (225.88 Cr including Centage) approved for FY 16-17 is 55 crores.	55.00	Y	Y	N	0.00	0.00	0.00
		OHT, Rising Main, Distribution line for Wing No-6, Premnagar, Cantt Area. (Through CEO)	2.14	Y	N	N	0.00	0.00	0.00
		Estimate for Laying of Sewer for Karanpur, Dehradun	5.02	Y	Y	N	0.00	0.00	0.00
		Sewer line near Sai Lok Phase- II and nearby area	5.30	Y	Y	N	0.00	0.00	0.00
		Sewer Lines left over area (Saraswati Vihar, Ajabpur Khurd, Inder vihar, Ashok vihar)	9.02	Y	Y	N	0.00	0.00	0.00
		Sewer Line improvement (from Prince Chowk to Maharani Bagh)	4.01	Y	N	N	0.00	0.00	0.00
2	Rudrapur	Estimate of Rudrapur Septage Scheme Under AMRUT (DPR of Rs. 155.31 Cr submitted, approved amount for FY 2016-17 is 20.91 crores.	20.91	N	N	N	0.00	0.00	0.00
3	Kashipur	Kashipur Water Supply Scheme Sub ZONE-5	17.92	N	N	N	0.00	0.00	0.00
		Kashipur Septage Scheme phase 1 total DPR cost is 45.67 and approved cost for FY 16-17 is 9.99 crores.	9.99	N	N	N	0.00	0.00	0.00
4	Haldwani - Kathgodam	Reorganisation of distribution system of Awas Vikas Colony, Degree College and Mahila total DPR cost 15.31 crs and an amount 5.31 crs is approved for FY 16-17	5.31	Y	N	N	0.00	0.00	0.00
		Water supply new 2016-17	4.11	N	N	N	0.00	0.00	0.00
		Construction of 28 MLD Sewerage treatment plant, Haldwani DPR cost is 44 crores and approved amount for FY 16-17 is 13 crores.	13.00	Y	N	N	0.00	0.00	0.00

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5	Roor kee	Water supply left over areas "Paadli Gujar" of Roorkee <i>DPR cost is 4.31 and approved amount for FY 16-17 is 2.31 crores</i>	2.31	N	N	N	0.00	0.00	0.00
		Water supply Scheme for Zone-8 of Roorkee	15.47	N	N	N	0.00	0.00	0.00