
CHAPTER 1: OVERVIEW & SUMMARY OF ANNUAL PLAN 2012-13

1. NGRBA Program and Objectives

The Government of India has created the NGRBA with the objectives of (a) ensuring effective abatement of pollution and conservation of the river Ganga by adopting a river basin approach to promote inter-sectoral co-ordination for comprehensive planning and management; and (b) maintaining minimum ecological flows in the river Ganga with the aim of ensuring water quality and environmentally sustainable development.

The NGRBA has resolved that the immediate target of the NGRBA Program is to ensure that by the year 2020, no urban sewage or industrial effluent will flow into the main stem of the river Ganga.

2. Program Investments

All investments targeting the clean-up and conservation of the river Ganga, in pursuance of the objectives of the NGRBA, regardless of sources of financing, will constitute the NGRBA Program, and will be managed through the NMCG.

3. Basin States

The Basin States are the states of Uttarakhand, Uttar Pradesh, Bihar, Jharkhand and West Bengal.

The NGRBA may in future expand the area of operation of the NGRBA Program to such other States through which major tributaries of the river Ganga flows, for the purpose of effective abatement of pollution and conservation of the river Ganga.

4. Program Implementation Framework

The entire NGRBA Program (including the EAP and the non-EAP components) will be implemented following the principles, procedures and detailed processes described in the NGRBA Program Framework dated May 2011 (and as amended from time to time). (For NGRBA Programme Framework document kindly visit <http://moef.nic.in/ngrba> or www.ngrba.org.in)

In addition to the above, the activities specifically financed by the World Bank assisted NGRB Project will be procured following the World Bank Procurement Guidelines dated January 2011, as per agreement dated 14th June, 2011 between the Government of India and the World Bank.

5. Financing of the Program

The NGRBA Program will be implemented using a variety of financing sources, as approved by the Government of India from time to time; and may include public-private partnerships. In Annual Plan 2012-13, only government financing (from EAP and non-EAP heads) is considered.

a. EAP and Non-EAP

The EAP head includes financing available from (i) JICA financed GAP Phase II Project, and (ii) World Bank assisted NGRB Project.

The non-EAP head includes financing from (i) Plan allocation for NGRBA Program as approved by the Planning Commission and the Ministry of Environment and Forests, and (ii) Scheduled Caste Sub-Plan allocation approved by the Planning Commission and the Ministry of Environment and Forests.

b. Scope of Financing

As approved by the Government of the India, the financing covers the following:

- i. All institutional expenditure including capital and recurrent expenditure for (i) operation of the project management entities at Central and State levels; (ii) planned knowledge, research, information, capacity building activities; (iii) piloting new and innovative solutions that will further the mission objectives; (iv) communication, public outreach, social intermediation, and public participation activities.
- ii. With respect to “infrastructure investments”, the capital expenditure, and the operation and maintenance expenditure for a period of 5 years after commissioning for the “infrastructure investment” sub-projects related to two sectors: (a) municipal wastewater; and (b) riverfront development/management.

c. Share of Financing

As approved by the Government of the India, the Central/State share of financing will be as follows:

- i. 100% financing from the Central Government. The Central Government will fully finance the following:
 - a. All Central level institutional expenditure including capital and recurrent expenditure for (i) NMCG, (ii) Ganga Knowledge Centre, (iii) NGRBA Cell of the CPCB, (iv) comprehensive water quality monitoring for the entire Ganga River; (v) research studies, pilot investments and trainings, (vi) consultancies required for effective, efficient and high quality preparation and implementation of the NGRBA Program activities and sub-projects; (vii) program supervision, monitoring and evaluation, (viii) communication and public awareness program; and (ix) incremental operating expenditure at the Central Government level.
 - b. For the “infrastructure investment” sub-projects related to industrial pollution control, 50% of the capital cost will be provided by the Central Government, 25% by the State Government, and the remaining 25% by the industries. All operation and maintenance expenditure will be borne by industries.
 - c. All other expenditure as part of the NGRBA Program will be shared at a ratio of 70:30 between the Central Government and the respective State Government. Provided that:
 - i. The State Government will be responsible for 100% of the operation and maintenance expenditures during the first 5 years after commissioning of the “infrastructure investments” related to Solid Waste Management.
 - ii. The Urban Local Bodies will be responsible for 100% of the operation and maintenance expenditures for the “infrastructure investments” in municipal wastewater, solid waste management, and riverfront development/management beginning at the 6th year after commissioning. The State Government will guarantee that ULBs will operate and maintain the assets created, and provide for all required expenditure to that effect.

6. Institutional Arrangements for Implementation of the activities included in the Annual Plan

The institutional responsibilities for implementation (including specific responsibilities for preparation, review, monitoring and approval) have been specified in the NGRBA Program Framework. These arrangements are summarized below.

NGRBA Program Components		Responsibilities for Implementation and Approval			
Component	Activities	Concept	Preparation	Review	Approval
Institutional Development Component 1A: NGRBA Operationalization and Program Management	Institutional Support to the NMCG	NMCG	NMCG	Already approved by CCEA	Any change will be approved by GC
	Institutional Support to the SPMGs	SPMGs	SPMGs	SRCA	NMCG
	Enhancing Ganga Knowledge Resources	NMCG	NMCG	GC	GC
	Communications and Public Participation (central level)	NMCG	NMCG or EA	GC	GC
	Communications and Public Participation (state level)	SPMG	SPMGs or EAs	SRCA	NMCG
Component 1B: Technical Assistance for ULBs	Capacity-building of ULB Service Providers	SPMG	ULB	SPMG and SRCA	NMCG
Component 1C: Technical Assistance for Environmental Regulators	Up-gradation of Water Quality Monitoring System	NMCG	CPCB	NMCG	GC
	Capacity-building of Environmental Regulators (central level)	NMCG	CPCB	NMCG	GC
	Capacity-building of Environmental Regulators (state level)	SPMG	SPCB	SPMG, SRCA	NMCG
	Comprehensive Inventorying of Pollution Sources	NMCG	CPCB	NMCG	GC
Infrastructure Investment Component 2A: (i) Wastewater treatment and sewerage networks, (ii) Industrial pollution control and prevention, (iii) Solid waste management, and (iv) River front management	Preparation of Concept Paper (as part of Annual Plan process)	SPMG in consultation with ULB	SPMG	SRCA	NMCG
	Preparation of Feasibility Report (FR) including environmental and social screening; Communication and Public Outreach; outline land acquisition plan	ULB and EA	EA	SPMG	NMCG
	Preparation of Detailed Project Report (DPR) including environmental and social assessment, communication and public outreach plan, etc	As per FR	EA	SPMG, SRCA and NMCG, ESC	Competent Authority
	Contract document, contract award, and contract	As per DPR	EA	As per DPR. Changes to be	SPMG

NGRBA Program Components		Responsibilities for Implementation and Approval			
Component	Activities	Concept	Preparation	Review	Approval
	management			approved by NMCG	
Infrastructure Investment Component 2B: Pilot Investments	Same as Infrastructure Investment Component 2A.				

7. Role and Scope of Annual Plan

Given that the NGRBA Program is a multi-year program of investment and capacity building, Annual Plans were proposed as an implementation tool which enables achieving interim targets. The Annual Plan process is designed as a continuous process of formal consultation among the ULBs, the SPMG and the SRCA, the NMCG. The Annual Plan process (i) plays the role of bottom-up planning within the overall resources available; (ii) is a basis of budget requests from the State and Central Governments; (iii) provides to the State and Central Governments and their authorizing agencies a snapshot how well the NGRBA Program is being implemented; and, (iv) provides authorization to NMCG to implement the NGRBA Program for the year within the provisions of the NGRBA Program Framework.

The scope of the Annual Plan will include the following:

- a. A summary of activities that will be undertaken during the financial year.
- b. For infrastructure investment sub-projects, in any of the four identified sector, the activities included in the annual plan may include preparation of FR, land acquisition (activities up to notification under section 4 of the land acquisition Act), preparation of DPR, complete land acquisition, and (any or all) activities under approved DPRs; project management including contract management, monitoring and evaluation.
- c. For institutional development components, activities related to preparation, implementation, monitoring and evaluation.
- d. All incremental operation activities including staffing and other resources required at the NMCG, SPMGs, ULBs, and EAs as applicable.
- e. An estimate of expenditure required for all of above.
- f. All of the above will be as per the approved NGRBA Program Framework.

8. Annual Planning Process as per NGRBA Program Framework

As per the NGRBA Program Framework, the Annual Plan process will include the following sequential activities:

- a. A state level annual planning meeting would be organized by the SPMG in early September every year, with all relevant ULBs and EAs participating, to prepare the draft annual plan for the state. The draft annual plan should be supported by brief concept notes for all infrastructure investment proposals.
- b. The SPMGs would submit the draft annual plans, after consultation with SRCA, to NMCG by the end of September for the next Financial Year.

- c. For finalization of the state annual plans, the NMCG would organize an annual planning meeting in October every year, with the 5 basin states participating. The World Bank would provide relevant inputs in the consultations at both the SPMG and NMCG levels.
- d. NMCG will also prepare a draft annual plan for the national level activities in early September every year, with all relevant EAs participating.
- e. The NMCG would prepare the NGRBA Annual Plan consolidating the state plans and its own annual plan, by November every year, for the next financial year. The Annual Plan would be submitted to the World Bank for comments, review and no objection by December each year.
- f. The Annual Plan would be submitted to the Empowered Steering Committee (ESC) of NGRBA for concurrence by end January every year, for the next financial year. The Governing Council will approve the overall expenditure envisaged in the Annual plan for a particular year that has been concurred by the ESC.
- g. Revision of the annual plan during the financial year would follow Gol's normal budget revision timetable; and any revision will be placed before GC for approval. Such revisions will be placed before the ESC along with the request for approval for the next annual plan.

9. Summary of Annual Plan 2012-13

The Annual Plan [see Annexure -1.1 & 1.2] for the total outlay for the NGRBA Program during 2012-13 is Rs. 512.5 crores (with Rs.250 crores from EAP, Rs.250.04 crores from Non-EAP, and Rs.12.46 crores SCSP heads).

This is a new proposal presented to the ESC. This Annual Plan has been prepared as per the approved NGRBA Program Framework. There is no overlap of objectives or duplication of financing with any other scheme in other Ministries/Departments of the Central/State Government.

CHAPTER 2: PRINCIPLES OF THE APPROVED NGRBA PROGRAM

1. Main Features of NGRBA Program Framework

The NGRBA Program Framework, approved in May 2011 includes (i) detailed investment frameworks, (ii) implementation process flow, including planning, preparation, appraisal, implementation and monitoring and evaluation, (iii) environment and social management framework, ESMF, (iv) governance and accountability action plan, and (v) communication and public outreach strategy. These collectively define and form the basis of program implementation and performance monitoring.

Investment Frameworks. Investment frameworks have been developed for selecting and implementing infrastructure investments in the four key sectors of intervention under the NGRBA program - municipal wastewater, industrial pollution, solid waste management and river front management. The frameworks prescribe criteria and quality assurance standards covering various aspects including eligibility, prioritization, planning, technical preparation, financial and economic analyses, environmental and social management, long term O&M sustainability, community participation, and local institutional capacity. The objective is to ensure that the investments are well-prepared and amongst the most effective in reducing the pollution loads, and implemented in a manner that makes them sustainable.

Implementation Process Flow. The step-by-step process along with roles and responsibilities of the entities involved in implementation of the NGRBA program have been agreed and documented. The implementation process covers the aspects including annual planning, investment prioritization, a two-stage (FR and DPR) preparation and appraisal process, execution, O&M, eventual assets transfer to local bodies, financial management, procurement, community engagement, social and environmental management, governance and monitoring and evaluation. In addition to the infrastructure investments (under Component Two of the project), the implementation process has also been agreed for pre-identified activities related to Institutional Development, innovative pilots, communications, and research and knowledge management.

Guidelines for Infrastructure Investments Preparation. A two-step process has been prescribed for preparation and appraisal of investments, whereby investments would be appraised at both FR and DPR stages. For FR and DPR, the guidelines specify requisite contents, methodologies, and standards to be followed.

Post-Implementation Management of Assets Created. The frameworks and implementation arrangements require that each DPR includes a detailed plan for operation and maintenance of assets that will be created under the NGRBA program. These plans must identify the institutional responsibilities as well as funding and other resources that would be required for their long term sustainable operations.

Model Agreements/MoAs. These have been prescribed to operationalize the agreed institutional model and implementation arrangements, and include: (i) Memorandum of Association and bylaws, including functions and powers of the NMCG and the SPMGs and the division of roles and responsibilities; and (ii) two tripartite Memoranda of Agreement (MoAs), one at the Program-level between the NMCG, the SPMG, and the ULB; and one at the investment-level, between the SPMG, the ULB and the EA; for ensuring commitment and clarity on roles and responsibilities of various parties regarding execution, O&M, and eventual transfer of assets to local bodies.

FM Manual: This provides the details of funds flow, accounting, internal auditing, external auditing, statutory auditing, reporting, and the related control and accountability mechanisms.

Powers of Approvals. Powers and procedures for technical and administrative approvals of investments have been defined in the NGRBA Program Framework. To ensure efficiency in implementation most of the powers have been delegated to the lowest appropriate levels, adopting the principle of subsidiarity. Thus, once the annual plan is cleared by the ESC, most implementation related powers are vested with the NMCG (and its GC), SPMGs and EAs for their respective components.

For World Bank financed NGRB project (a part of the NGRBA Program), there is a Procurement Manual which will need to be followed for procuring any goods or equipment, works or services under the project.

Approvals Received

CCEA Approval: On April 28, 2011, the CCEA has approved the World Bank assisted NGRB Project, including the detailed project proposal and the following outlays. CCEA approval was preceded by EFC approval on December 21, 2010.

	Item	Indicative Cost (Rs. Cr.)	Cost Sharing Center & State
Component A – Institutional Development			
1.	Setting up Mission Directorate (MD) at Centre and State-level Project Management Groups (NMCs)	600	100% by Centre for MD and 70:30 for State SPMGs
2.	Setting up a Ganga Knowledge Centre		100% by Centre
3.	Setting up a comprehensive water quality monitoring system		100% by Centre
4.	Capacity Building of CPCB/ SPCBs		100% by Centre for CPCB and 70:30 for SPCBs
5.	Capacity Building of relevant ULBs		70:30
6.	Research, Studies, Pilots and Trainings		100% by Centre
	Sub-total of Component-A	600	
Component B – Infrastructure Investments			
1.	Wastewater (Collection and Treatment)	4800	70:30
2.	Solid Waste Management	300	70:30
3.	Industrial Pollution Control	500	25:25:50(Industries)
4.	River Front Management	500	70:30
	Sub-total of Component-B	6100	
Component C – Project Implementation Support			
1.	Consultancies – Project Management Support, Technical Support, Bank's fiduciary and safeguard requirements	300	100% by Centre
2.	Supervision, monitoring and evaluation		100% by Centre
3.	Communication and public awareness programme		100% by Centre
4.	Incremental operating costs		100% by Centre
	Sub-total of Component-C	300	
	GRAND TOTAL	7000	

Note: The year –wise phasing of the proposed expenditure of Rs. 7000 crores is placed in Annexure -2, table 2.1. The CCEA approval indicates phasing of expenditure for the FY 2012-13 for Rs. 750 crores against Central share and for Rs. 300 crores against the State share, totaling for Rs. 1050 crores.

Approvals for Non-EAP component of NGRBA Program:

The Annual Plan 2012-13 of the MoEF including the NGRBA (both EAP & Non-EAP) was discussed in the Planning commission on 14th February, 2012. Accordingly, an outlay for Rs. 512.50 crores (with Rs.250 crores from EAP, Rs.250.04 crores from Non-EAP, and Rs.12.46 crores SCSP heads) has been finalized for the NGRBA programme for the financial year 2012-13.

2. Powers of Approval

The approved NGRBA Program Framework specifies the following powers of financial and administrative approval at different levels of institutions involved in implementing the NGRBA Program.

a. At Government of India Level

i. Empowered Steering Committee

The ESC concurrence to the NGRBA Annual Plan every year. [Annual Plan estimates are estimates only; and variations in individual item-wise estimates are expected, and are deemed to be permitted in the interest of achieving objectives and targets of the Annual Plan. All such variations will be summarized and will be presented along with request for next year's Annual Plan.] In addition, each "infrastructure investment" sub-project will be separately appraised by the ESC based on a DPR for such "infrastructure investment" sub-project once the NMCG has accepted the DPR for its quality, scope and content.

ii. Governing Council of National Mission for Clean Ganga

The Governing Council will approve the overall expenditure envisaged in the Annual plan for a particular year that has been concurred by the ESC; and its substantial modification (such as increase in outlay, additional request for Government funds, or if any).

iii. Mission Director

Within the approved Annual Plan, the Mission Director will have the powers to allow expenditures to be made or release of program funds to SPMGs or national level EAs to achieve the objectives and targets set out in the Annual Plan. Mission Director will have the powers to make approve variations in individual item-wise estimates as long as the overall Annual Plan outlay is not exceeded, and as long as the variations are in the interest of achieving objectives and targets of the Annual Plan. This power will include, replacing FR/DPR of one infrastructure investment activity by another infrastructure investment when requested by SPMGs; replacing one institutional development activity by another when requested by SPMGs or national level EAs; enhancing expenditure on one activity by lowering expenditure on another to encourage faster implementation of the one activity. In accordance to the NGRBA Framework (and as reflected in the NMCG Bye-Laws), the Mission Director has the following responsibilities and powers; and may exercise such powers in consultation with the Finance Director of NMCG as provided in the NGRBA Programme Framework & NMCG Bye-Laws:

- a. Overall project planning and management; direct implementation of the national level activities; ensuring satisfactory implementation of the state-level investments and activities in accordance with the agreed NGRBA program framework; providing guidance, support and approvals to the SPMGs where needed; and monitoring implementation performance;
- b. Ensuring compliance with agreed financial management policies and procedures including management of program funds, timely release of advance program funds to the states, conducting external audits and ensuing compliance with audit observations;
- c. Capacity building of all program partners; managing national communication and public outreach campaigns, stakeholder consultations and community participation;

- d. Ensuring compliance with the agreed quality assurance process for the physical infrastructure investments;
- e. Regular monitoring and evaluation of program performance.

The GC will delegate any other power including financial power to the Mission Director (or the NMCG, as appropriate) as required to implement the Annual Plan.

b. At State Level

i. State River Conservation Authority

State River Conservation Authority (SRCA) / State Ganga River Conservation Authority (SGRCA) will be the apex policy and decision-making structure at the state level. The state level annual plan for the state will be approved by the State Executive Committee (SEC) of SRCA/SGRCA.

ii. SPMG and the State Program Director

Within the approved State Annual Plan, the SPMG through the State Program Director will have the powers to allow expenditures to be made or release of program funds to the EAs and ULBs to achieve the objectives and targets set out in the Annual Plan. In accordance to the NGRBA Framework (and as reflected in the SPMG Bye-Laws), the SPMG through the State Program Director has the following responsibilities and powers

- a. Overall program planning and management at state level, ensuring satisfactory implementation of the state-level investments and activities in accordance with the agreed NGRBA program framework and implementation arrangements; providing guidance, support to the state EAs; and monitoring implementation performance of the EAs;
- b. Ensuring compliance with agreed financial management policies and procedures including management of program funds, timely release of advance program funds to the EAs, conducting concurrent internal audits for all state level activities and ensuring compliance with audit observations, and submitting reimbursement claims to the NMCG;
- c. Capacity building of EAs; managing state level IEC campaigns, stakeholder consultations and community participation; and other state level activities in the Institutional Development Component (Component One) of the project;
- d. Ensuring compliance with the agreed quality assurance of physical infrastructure investments; and ensuring compliance with the relevant Central and State Govt. policies;
- e. Regular monitoring and evaluation of program performance, including regular review of strategies and implementation arrangements in the context of implementation experiences and for ensuring requisite course corrections as needed; and
- f. Liaising with the NMCG, including sending quarterly progress reports to the SGRCA and the NMCG.

3. Scope of Investments

a. Institutional and State-wide Activities

i. Operationalisation & Programme Management (both at National & State level)

- a) The NMCG will have the mandate of national-level management of the entire NGRBA program. The NMCG will ensure that the objectives of the NGRBA program are fully achieved in a timely manner.
- b) The SPMGs have been constituted in each of the Ganga river basin states, as registered societies of the state government, except in the case of Jharkhand to be performed by a dedicated cell within the UD Department, with the objective of serving as the dedicated institution for effective implementation of the NGRBA program activities at the state level, and as the state-level entity responsible in the long term for the conservation and health of the state's stretch of the river Ganga.

ii. Capacity Building of ULBs & EA

- a) Since ULB engagement is critical for long term sustainability of investments and given the current serious capacity constraints at the local level, the NGRBA Program has adopted a pragmatic and progressive approach to the role of the ULBs. It has introduced an important reform by empowering ULBs to participate in the planning, selection, and approval of local investments, as well as in the selection of the agencies which will execute the investments, thereby introducing participation and ownership into the process. The NGRBA Program will also provide technical assistance for the ULBs, so that they can progressively develop the capacity to take a greater role in planning, implementation, and operation of investments.
- b) **Technical Assistance for ULB Service Providers.** This subcomponent will support the ULBs, local-level water and wastewater service providers and any other relevant agency providing water and wastewater services in the sub-project area, through provision of modern and efficient information and planning systems, training, equipment for managing physical systems, and technical assistance for improving revenue/cost recovery to ensure sustainability of local investments.
- c) Capacity Building of EAs: During state level consultations of the Annual plan 12-13, all the States / SPMGs expressed need for 'Capacity Building of EAs' particularly for guiding them during the process of planning, project formulation and executing the infrastructure investments in accordance to the provisions made in the NGRBA Programme framework, some of which are entirely appearing as new concepts, particularly the ESMF, Communication & Public Outreach and GAAP.
- d) **Technical Assistance for EAs.** This subcomponent will support the EAs, for carrying out detailed investigations & planning, project formulation in the sub-project area, through provision of modern and efficient information and planning systems, training, and technical assistance for improving process of execution to ensure sustainability of investments.

iii. Capacity Building of Environmental Regulators (CPCB & SPCBs)

- a) The State Pollution Control Boards (SPCBs) are responsible for compliance with the water pollution regulations, under the overall technical and policy guidance of the Central Pollution Control Board (CPCB) at the national level. However, the SPCBs in almost all Ganga basin states need additional resource mobilization and adequate technical staff or equipment to carry out their assigned functions. The CPCB has the legal powers to instruct the SPCBs and even to take over their enforcement function. However, the capacity of the CPCB is also required to make adequate to meet the challenges of cleaning the Ganga, especially for basin-level water quality monitoring, pollution inventorying, and enforcement.
- b) **Technical Assistance for Environmental Regulators.** This will support capacity building of the central and state pollution control boards, to address the key constraints related to their functions regarding the Ganga, focusing on improving information systems, staff skills, laboratory accreditation, and infrastructure facilities. Some of the key activities include:
 - i. *Up-gradation of the Water Quality Monitoring System (WQMS),*
 - ii. *Comprehensive inventorying of pollution sources, and*
 - iii. *Strengthening environmental compliance monitoring.*

b. Sub-Project “infrastructure investments”

i. Sectors of “infrastructure investments”

Four Sub-project sectors have been identified for implementation of the NGRBA Programme, such as; Municipal Wastewater Sub-projects, Industrial Pollution Sub-projects, Solid Waste Management Sub-projects and River Front Management Sub-projects.

ii. Selection and Eligibility Criteria

- a) For Municipal Wastewater Sub-projects - Till such time as the Ganga River Basin Management Plan (GRBMP) is fully prepared, a prioritization method will be adopted for selecting wastewater investments according to their relative effectiveness in reducing the pollution loads entering the Ganga. Such prioritization method is based on the quantum of wastewater treated by the sub-project, and its impact on the water quality of Ganga during lean flow conditions at the location of discharge. All the projects in the pipeline would be sorted in descending order depending on their impact. In order to be considered for NGRBA funding, a wastewater sub-project would need to be in the top half of sub-projects in the pipeline. In any given year, not more than 70% of the portfolio of wastewater sub-projects (by value) should consist of these high priority investments. However, additional projects may also be considered (outside of these criteria) in order to accomplish the Mission Clean Ganga. (See NGRBA Programme Framework document for further details, visit <http://moef.nic.in/ngrba> or www.ngrba.org.in)
- b) For Industrial Pollution Sub-projects - The sub-projects shall directly result in the reduction of industrial pollution load on the main stem of Ganga or its main tributaries. The reduction in industrial pollution load shall be measured in terms of reduction in BOD, COD and TDS levels in the main stem of the Ganga, before and after the discharge of industrial effluents in the river.
- c) For Solid Waste Management Sub-projects - Sub projects would be selected and prioritized on the basis of the following factors: (i) unorganized waste disposal sites

on the river banks; (ii) religious, historical and archeological sites of importance with poor solid waste management; (iii) slums and small settlements along the river without formal waste collection and transportation; (iv) small towns along the river without adequate solid waste management systems; and (v) rehabilitation and remediation of existing disposal sites along the river.

- d) For River Front Management Sub-projects - Three types of sub-projects will be considered eligible for funding under the riverfront management (RFM) sector: (i) comprehensive and integrated Area Development Plans (ADPs); (ii) the construction or improvement of crematoria; and (iii) the conservation and preservation of ecologically sensitive areas. ADP sub-projects are expected to be in the majority under the NGRBA Program. ADP sub-projects should be taken up in reasonably long stretch of ghats. However, the ghats portion may be limited in length to the optimal and historical use of the river. In case of smaller ghats, the sub-project may still be eligible if a justifiable case is made for its cultural, historical, religious, economic or recreational importance.

iii. Process of Preparation of Proposals

Investment frameworks have been developed, as part of the NGRBA Programme framework, for selecting and implementing infrastructure investments in the four key sectors of intervention under the NGRBA program - municipal wastewater, industrial pollution, solid waste management and river front management.

- a) A two-step process has been adopted for preparation and appraisal of investments, whereby investments would be appraised at both concept and detailed project report stage. NGRBA project report preparation guidelines have been prepared and disseminated for preparation of feasibility reports and detailed project reports, including requisite contents, methodologies, and standards to be followed.
- b) The frameworks prescribe criteria and quality assurance standards covering various aspects including eligibility, prioritization, planning, technical preparation, financial and economic analyses, environment and social management, long term O&M sustainability, community participation, and local institutional capacity. The objective is to ensure that the investments are well-prepared and amongst the most effective in reducing the pollution loads, and implemented in a manner that makes them sustainable.
- c) Given the long-term nature of the NGRBA program and the fact that universe of potential investments is large, the adoption of the framework approach effectively sets the "rules of the game", and will allow infrastructure investments to be selected on a dynamic and ongoing basis. These investments primarily be 'Risk free', 'of immediate need in nature to ensure optimal utilization of the assets created under GAP I & II', and 'unavoidable in the intermediate perspective'.

4. Framework for Management of Environmental and Social Issues and Impacts

- a) Given the distributed nature of investments in multiple states, the investments under the program may entail environmental and social impacts. The environment and social framework is intended to help manage the social and environmental impacts through appropriate measures during the planning, design, construction and operation phases of various investments. The framework will identify the adverse environment and social impacts and provide specific guidance on the policies and procedures to be followed for environmental and social assessment along with roles and responsibilities of the implementing agencies.
- b) The document, which is an integral part of the NGRBA Programme framework, essentially comprises the following key sections:

- A brief summary of key probable Environmental and Social Impacts
- Environment and Social Regulatory Framework applicable for the program
- Environment Management Framework
- Social Management Framework
- Project Appraisal, Monitoring and Reporting Arrangements
- Institutional Arrangements
- Training and Capacity Building for ESMF

5. Financial Management Procedures (including accounting and auditing)

- a. The Consolidated Annual Plan of the Project concurred by the ESC will form the basis of implementation.
- b. Project accounts will be maintained by using an off-the shelf accounting package. All NGRBA program activities will use double-entry accrual based accounting system.
- c. The NMCG will receive NGRBA funds from the MoEF budget in an earmarked project bank account. The NMCG will transfer funds to the SPMGs on half-yearly basis, for implementation of the agreed State Annual Plan activities. The State Government will release its share of funds to the SPMG within two months of the receipt of the installment from the NMCG.
- d. All implementing agencies, including the NMCG, SPMGs and the EAs, will have an information system for tracking and monitoring timeliness of payments to suppliers/contractors. The system will be able to generate exception reports for the management for monitoring and taking necessary actions.
- e. **Internal Audits:** The NMCG and each SPMG will also hire chartered accountants as internal auditors to assess effectiveness of internal controls and to provide independent assurance on the adequacy of internal controls to mitigate financial risks. The NMCG will set up its own internal audit unit by 2013. The NMCG will ensure that the work of internal auditors is duly considered by the external auditors when planning the scope of their audit examination.
- f. **External Audits:** Each SPMG and the NMCG will prepare annual financial statements and have them audited by an independent external auditor appointed by the NMCG. Each SPMG will submit its annual audited financial statements together with the audit report to the NMCG. The NMCG will prepare a consolidation of the annual audited financial statements of the five SPMGs together with its own, and submit the same along with the individual audit reports and audited financial statements to the GC by September 30 every year.
- g. The NMCG will ensure that the audit observations are satisfactorily dealt with in a timely manner.

6. Procurement Procedures

- a) For the World Bank financed NGRB Project, all procurement will be as per the Project Procurement Manual approved in May 2011.
- b) For all other projects and activities under the NGRBA Program, all procurement of goods or equipment, works and services will be as per the relevant applicable State and Central Government Finance Rules.

7. Communication, Public Outreach; Governance and Accountability Actions

The Communication and Public Outreach Strategy and Plans will be in furtherance of the objectives of the NGRBA Program to ensure effective abatement of pollution and conservation of the river Ganga through

strategic communication and enhanced public participation and outreach. Communications strategy will include:

- I. **Mass communication campaigns:** These campaigns will be focused on pollution control messages and sensitization of the general public.
- II. **Proactive Disclosure**, such as: (a) Right to Information (RTI) compliance; (b) Websites at NMCG and SPMGs levels; (c) Public Information Cells at the EAs level; (d) Information Boards/Walls at the level of the individual works.
- III. **Community participation**, such as (a) provisions for conferences, workshops, seminars at the national, state and ULB levels to bring stakeholders together for discussion, dialogue and information dissemination; (b) participation of community and citizen groups via ULB-level Citizens' Monitoring Committees for monitoring, feedback and social audits.
- IV. **Social Intermediation and Outreach** around Specific Investments: All major investments will have social intermediation interventions to engage with local communities and key stakeholders to ensure their inclusion and participation in the planning, implementation and subsequent management of the investments.
- V. **Ganga Project Innovation:** These proposals could cover a wide range of activities from innovative pollution-prevention methods, awareness campaigns, community driven initiatives, data collection/analysis exercises etc. Large infrastructure projects will not be eligible for these grants.

CHAPTER 3: OVERALL PROGRAM PERSPECTIVE

1. NGRBA Target for “Clean Mission Ganga”

Building on lessons from the past, the Government of India (GoI) has developed the new and more comprehensive vision for clean-up and conservation of the Ganga, led by the establishment of the National Ganga River Basin Authority (NGRBA) in 2009. The NGRBA has been given a mandate to develop a multi-sector program (“the NGRBA Program”) for ensuring pollution abatement in the Ganga. The vision of the NGRBA Program marks a significant departure from the previous efforts, as follows:

- a) A comprehensive, basin-level, and multi-sectoral approach has been adopted, with support for investments in wastewater, solid waste and river front management, and efforts to address non-point source pollution and ecological flows. This is in contrast to a town-centric and “end-of-the-pipe” wastewater treatment focus of the previous efforts.
- b) Institutional development is recognized as a critical need, and the NGRBA Program aims to develop strong and dedicated operational-level institutions for planning, managing and implementing the program.
- c) The NGRBA Program will invest in strengthening the knowledge base for Ganga, to ensure that planning and management are based on adequate and sound information.
- d) The NGRBA Program will emphasize the long-term sustainability of investments, through operational mechanisms and capacity-building of local service providers.
- e) Communications and public participation will be designed as integral elements of the NGRBA Program, at both national and local levels.
- f) The NGRBA Program will also support investments in improving the regulatory and enforcement capacity of environmental management institutions in the basin.
- g) The GoI acknowledges that the clean-up of the Ganga will require significant resources, in order to reach the threshold level of improvements in water quality.
- h) Accordingly, the NGRBA Program is being provided with enhanced budgetary allocations to meet the declared objective of NGRBA of ensuring zero discharge of untreated wastewater into the main stem of the river by 2020.

2. Basin Planning and Annual Plan

Basin-level planning. The GoI has also initiated a process of basin-level planning for guiding clean-up and conservation of the Ganga. Led by a consortium of seven premier Indian technical institutions, the plans will be prepared on a dynamic basis to allow adaptive management of the continuously evolving challenges, and will underpin the development of the long-term strategy for cleaning the Ganga.

Annual plan. The Annual Plan starting from financial year 2012-13 of the NGRBA Programme period have adequate baselines acquired through the state level consultations against which the selection and subsequent performance of the specific investment can be monitored. As discussed in para 8, chapter 1, the annual plan process will be followed for every financial year of implementation of the NGRBA programme.

3. Intermediate Perspective

- a) While the process of developing a basin-level approach to planning of the Ganga clean-up has been initiated, the early investments of the NGRBA Program (which will include the investments supported by the World Bank assisted NGRB project) will be limited to interventions which are in obvious priority locations and which can make a positive demonstration impact in terms of sustainable operations and water quality improvements. The investments will be selected to include potential early successes and support for strong local demand and ownership.

- b) Few DPRs of investment projects, particularly at Allahabad and Kanpur in Uttar Pradesh in the Municipal Wastewater Sector, at Patna in Bihar in the River Front Management / Development sector under the World Bank assisted NGRB project and at Barrackpore, Budge Budge & Halisahar in West Bengal in the Municipal Wastewater Sector under Non-EAP are currently undergoing technical review and environmental/social assessment, for approval and implementation in the current financial year of the project. Given the fact that the NGRBA Program Framework will be tested for the first time on the project's early investments, and that preparing or improving existing investment DPRs to the standards of the NGRBA Program Framework will require substantive work, it is expected that disbursement on infrastructure investments may be slow in the first one-two years of the project, picking up in the subsequent years. This is a feature of the project design, and is reflected in the CCEA approval of the project.
- c) Nonetheless, the project is proposed for immediate implementation, in order to ensure that (i) the NGRBA's pipeline of early investments can be prepared to the required standards, with the technical support provided by the project; and (ii) NGRBA's institutional development activities can be jump-started.
- d) NGRBA Programme will allow infrastructure investments to be selected on a dynamic and ongoing basis, and therefore, revision of the intermediate perspective will be necessarily carried out on a regular basis to meet the aspirations of the people.

4. The Original 8 years' perspective estimate prepared and included in World Bank assisted NGRB Project in May 2011

The CCEA approved World Bank assisted NGRB Project for Rs 7000 crores has been estimated for implementation over a period of 8 years. An indicative estimated budget outlay has been finalized in consultation with the World Bank for the 8 years perspective. Abstract of the estimate along with component and item-wise details are placed in Annexure – 3, table 3.1. The year-wise activities under World Bank assisted NGRB project will be broadly guided through implementation of the components and sub-components described in the corresponding indicative estimates (see Annexure – 3, table 3.2 to 3.20), however will follow the allocation of funds concurred by the Empowered Steering Committee and approved by the competent authority for every financial year.

5. Current Estimate of the Intermediate Perspective

During finalization on the State Annual Plans, all the 5 basin states have submitted 8 years perspective, considering scope of infrastructure investments in all the four sub-project sectors for abatement of pollution of river Ganaga. The annual plan has accordingly been proposed along with 8 (eight) years' perspective i.e. up to 2020 indicating the shelf of projects as obtained from the SPMGs/States (see the long-List placed at Annexure 3, table 3.21) as per the mandate of the NGRBA to ensure that by 2020 no untreated municipal sewage and industrial effluents flow into Ganga. The abstract perspective indicating projected cost estimate at current pricing level is shown in Annexure 3, table 3.22.

CHAPTER 4: SPECIFIC PROPOSALS CONSIDERED FOR ANNUAL PLAN 2012-13

1. Purpose covered by the Annual Plan Outlay

Institutional Development (EAP Component: Under World Bank assisted NGRB Project. CCEA Approved cost – Rs. 600 crores, Proposed Budget Outlay – Rs. 50.66 crores). The items covered under Institutional Development include:

- I. Operation and program management cost of the NMCG and the SPMGs. This includes the cost of recruitment of the first batch of agreed key contract staff, their salaries, training and overheads. [Additional such contract staff agreed but not included in the first year recruitment plan will be recruited in the subsequent years.] This also includes the cost of setting-up, rentals, refurbishment, furnishing and operation of NMCG and SPMG offices. Further, this cost also includes cost of hiring specialized consultants to provide support for the following:
 1. Internal and external audits;
 2. Human resources management including establishing the performance appraisal processes at NMCG;
 3. Technical support to be provided to the SPMGs and the respective EAs for adequate preparation of feasibility reports and DPRs for “infrastructure investments”;
 4. Project management support to NMCG
 5. Strategy and project support for facilitating public-private partnerships in “infrastructure investments”;
 6. Communication, public outreach and social intermediation;
 7. Preparation of social and environmental management plans for “infrastructure investments”;
 8. Independent (third-party) appraisal of investments under EAP (World Bank assisted).
- II. Capacity building of ULBs and EAs
- III. Capacity Building of Environmental Regulators (CPCB and SPCBs)
- IV. Ganga Knowledge centre
- V. Ganga Water Quality Monitoring System
- VI. Research, Studies / Pilot investments
 - Feasibility study on ‘Energy Positive Sewage Treatment Pilots at
 - a. 80 mld STP in Varanasi
 - b. 14 mld STP in Mirzapur
 - c. One project at West Bengal, to be suggested by the SPMG

Research, studies : (There is no specific proposal under EAP)

Note 1 : An additional **budget outlay of Rs. 15 crores for NMCG (General)** is proposed under Non –EAP component to meet the expenses of on-going consultancies, third party appraisal etc. as mentioned in table 4.6 & 5.5 of the plan document.

Infrastructure Investments (EAP - New: World Bank. Project Cost – Rs. 894.58 crores, Proposed Budget Outlay – Rs. 189.34 crores). The items covered under **Infrastructure Investments** include:

- i. Municipal Wastewater Sub-projects:

- a. 14 MLD capacity STP at Salori, Allahabad (Uttar Pradesh)
- b. Sewerage system in Sewerage District-C & Allahpur, Allahabad (Uttar Pradesh)
- c. Sewerage system for Sewerage District – I, Kanpur (Uttar Pradesh)
- d. Sewerage system for Sewerage District – A, Allahabad (Uttar Pradesh)
- ii. Industrial Pollution Control Sub-projects: NIL
- iii. Solid Waste Management Sub-projects: NIL
- iv. River Front Management Sub-projects:
 - a. River Front Development at Patna (Bihar)

Note: See Annexure- 4, table 4.1 for brief project information.

Infrastructure Investments (EAP – On-going: JICA. Project Cost – Rs. 496.90 crores, Proposed Budget Outlay – Rs. 10 crores). The items covered under **Infrastructure Investments** include:

- i. Municipal Wastewater Sub-projects:
 - a. Municipal wastewater project at Varanasi under GAP Phase-II (Uttar Pradesh)

Infrastructure Investments (Non-EAP Component - New. Project Cost – Rs. 452.48 crores, Proposed Budget Outlay – Rs. 49.70 crores). The items covered under **Infrastructure Investments** include:

- i. Municipal Wastewater Sub-projects:
 - a. Municipal Wastewater project proposal at Muni Ki Reti – Dhalwala (Uttarakhand)
 - b. Municipal Wastewater project proposal at Rajmahal (Jharkhand)
 - c. Sewerage integration work and STP at Barrackpore (West Bengal)
 - d. Sewerage integration work and STP at Budge Budge (West Bengal)
 - e. Sewerage integration work and STP at Halisahar (West Bengal)
- ii. Industrial Pollution Control Sub-projects: NIL
- iii. Solid Waste Management Sub-projects: NIL
- iv. River Front Management Sub-projects: NIL

Note: See Annexure- 4, table 4.1 for brief project information.

Preparation of Infrastructure Investments (EAP: World Bank & Non-EAP Component. Project Cost – Rs. 6684.86 crores approx. Budget Outlay is not indicated and is subject to selection of projects under EAP or Non-EAP. Provisions have been made to allow the States/ SPMGs to initiate preparation of FR / DPR).

For preparation of Feasibility Reports / Detailed Project Reports

1. Municipal Wastewater project proposal at Joshimoth (Uttarakhand)
2. Municipal Wastewater project proposal at Gopeshwar (Uttarakhand)
3. Industrial Pollution Control project proposal at Kashipur (Uttarakhand)
4. Solid Waste Management project proposal at Joshimoth (Uttarakhand)
5. Solid Waste Management project proposal at Gopeshwar (Uttarakhand)
6. Solid Waste Management project proposal at Muni Ki Reti – Dhalwala (Uttarakhand)
7. Solid Waste Management project proposal at Badrinath (Uttarakhand)
8. Solid Waste Management project proposal at Swarg Ashram Laxman Jhula (Uttarakhand)
9. Solid Waste Management project proposal at Rishikesh (Uttarakhand)
10. Solid Waste Management project proposal at Tapovan (Uttarakhand)
11. Solid Waste Management project proposal at Pandukeshwar Govind Ghat (Uttarakhand)
12. RFD project proposal at Haridwar (Uttarakhand)
13. RFD project proposal at Rishikesh (Uttarakhand)
14. RFD project proposal at Muni Ki Reti – Dhalwala (Uttarakhand)

15. RFD project proposal at Swarg Ashram Laxman Jhula (Uttarakhand)
16. STP Up-gradation at Naini, Allahabad (Uttar Pradesh)
17. STP Up-gradation at Varanashi (Uttar Pradesh)
18. STP renovation at Kanpur (Uttar Pradesh)
19. Municipal Wastewater project proposal at Cis-Varuna Sewerage Zone – I, Varanashi (Uttar Pradesh)
20. Industrial Pollution Control project (CETP) proposal at Jajmau, Kanpur (Uttar Pradesh)
21. RFD project proposal at Allahabad (Uttar Pradesh)
22. RFD project proposal at Kanpur (Uttar Pradesh)
23. Municipal Wastewater project proposal at Chhapra (Bihar)
24. Solid Waste Management project proposal at Chhapra (Bihar)
25. Solid Waste Management project proposal at Bhagalpur (Bihar)
26. Municipal Wastewater project proposal at Patna (Bihar)
27. Municipal Wastewater project proposal at Bhagalpur (Bihar)
28. Municipal Wastewater project proposal at Sahebganj (Jharkhand)
29. Solid Waste Management project proposal at Sahebganj (Jharkhand)
30. Solid Waste Management project proposal at Rajmahal (Jharkhand)
31. RFD project proposal at Sahebganj (Jharkhand)
32. RFD project proposal at Rajmahal (Jharkhand)
33. Integrated Sewerage Scheme, Baranagar Municipal Town (West Bengal)
34. Sewerage integration work and STP at Garulia (West Bengal)
35. Sewerage integration work and STP at Khardah (West Bengal)
36. Integrated Sewerage Scheme, Maheshtala Municipal Town (West Bengal)
37. Integrated Sewerage Scheme, Panihati Municipal Town (West Bengal)
38. Municipal Wastewater project proposal for Kolkata City (West Bengal)
39. Sewerage integration work and STP at Kamarhati. (West Bengal)
40. Integrated Solid Waste Disposal facilities at Dhapa for Kolkata city (West Bengal)
41. Electric Crematoria and Community Toilet Complex (RFD Sub-project) at Kalyani Municipal Town (West Bengal)
42. RFD at Kolkata (West Bengal)
43. RFD at Howrah (West Bengal)
44. RFD at Bhatpara (West Bengal)

Note 1: See Annexure- 4, table 4.2 of the plan document for brief project information.

Note 2: Selection of Projects under EAP & Non-EAP will be carried out during evaluation of the proposal by NMCG in consultations with the States / SPMGs and is subject to fulfillment of 'eligibility criteria' laid down in the NGERBA Programme Framework, as briefly described in para 4.b.ii, Chapter 2 of the plan document.

Note 3 : Budget outlay for **Rs. 12.34 crores under SCSP** is proposed to be utilized against the new infrastructure investments listed above, and as detailed in the plan document.

Ongoing NGRBA projects (under Non – EAP. Approved Project cost – Rs. 2677.57 crores, Proposed Budget Outlay - Rs. 185.34 crores)

1. Sewer networks & STP at Badrinath.
2. Sewerage networks & STP at Rudraprayag.
3. Sewerage networks & STP at Karanprayag.
4. Sewerage networks & STP at Deoprayag

5. Interception and Diversion at Joshimath
6. Interception and Diversion at Gopeshwar
7. Sewerage Scheme at Triveni Ghat, Rishikesh
8. Sewerage Scheme at Ahbab Nagar (Jwalapur), Haridwar
9. STP for Zone-II Jawalapur, Haridwar
10. Sewerage system and STP for Tapovan area, Tehri
11. Sewerage System and STP for Gangotri Dham, Uttarkashi
12. Sewerage system, STPs, community toilet complexes, dhobi ghats, PP&A, Allahabad
13. Sewerage work in District-E, Allahabad
14. Sewerage system & STP, Garmukteshwar
15. Sewerage system & STP, Kannauj
16. Sewerage system & STP, Moradabad (Ramganga)
17. Sewerage system, STP, community toilet complexes, dhobi ghats, PP&A at Varanasi
18. Development of area around Assi Ghat at Varanasi
19. Sewer Network, SPS and STP, Begusarai
20. Sewer Network, SPS and STP, Buxar
21. Sewer Network, SPS and STP, Hajipur
22. Sewer Network, SPS and STP, Munger
23. Development of Ghats, Baidyabati
24. Development of Ghats, Bansberia
25. Prevention of pollution of Beliaghata Circular Canal joining Ganga through interception & diversion & sewage pumping stations, Kolkata
26. Development of Ghats, Chandannagar
27. Resuscitation of Chetla Boat Canal joining Ganga, Kolkata
28. Development of Electric Crematoria, Howrah
29. Development of Ghats, Kolkata
30. Development of Ghats, Naihati
31. Development of Ghats, Howrah
32. Development of Ghats, Rishra
33. Development of 16 Ghats, Panihati
34. Development of 13 Ghats, Kamarhati
35. Development of 7 Ghats, Bally
36. Development of 4 Ghats, Titagarh
37. RFD & EC at Maheshtala
38. RFD at Budge-Budge
39. RFD & EC at Halisahar
40. RFD & EC at Hoogly-Chinsurah
41. RFD at North Barrackpore
42. RFD at Uttarpara-Kotrung
43. RFD at Konnagar
44. River Front Development (RFD) and Electric Crematoria at Nimtolaghat at Kolkata
45. Sewerage system & STP at Gayeshpur
46. Sewerage system & STP at Bhatpara
47. Sewerage system & STP at Kalyani
48. Development of Ghats at Khardah

49. Development of Ghats at Serampore

Note: See Annexure- 4, table 4.3 of the plan document for brief project information.

The approved /ongoing 'General' projects under NGRBA (under Non-EAP)

1. Making detailed Technical and financial proposals, IIT, Kanpur.
2. Imparting education and awareness generation for Conservation of Gangetic Dolphin under NGRBA.
3. Development of Ganga River Basin Management Plan under NGRBA, IIT, Kanpur.
4. Study on Cumulative Impact of Hydro Power Projects in Bhagirathi and Alaknanda Basin.
5. Development of framework for performance level Benchmarking under NGRBA, IIT, Delhi.
6. Consultancy services for project on "Environmental & Social Impact Assessments Including Management Framework for National Ganga River Basin Authority.
7. Pollution Inventorization Assessment and Surveillance on Ganga river, CPCB New Delhi.
8. R&D project "Salt-less presentation of skin/hides by Lyophilisation in Slaughterhouses in Ganga Basin for Pollution mitigation in tanneries under NGRBA.
9. R&D project "Elimination of Escherichia coli and other fecal coliform bacteria through bacteriophages from River Ganga and Tributaries.
10. Project of In-Situ treatment of sewage through bio-remediation at Morigate Nala, Allahabad, CPCB, New Delhi.
11. Project of In-Situ treatment of sewage through bio-remediation of City Drain, Farukhabad, CPCB, New Delhi.
12. Project of In-Situ treatment of sewage through bio-remediation of Bakarganj Nala, Patna, CPCB, New Delhi.

Note 1: See Annexure- 4, table 4.3 of the plan document for brief project information.

Note 2 : General Projects approved but not yet started are subject to further review by the MoEF, before consideration for funding during 2012-13 under NGRBA Programme.

2. Processes used to prepare Annual Plan proposals from Basin States and from NMCG

a. Initial Proposals

- I. The Annual plan process for the FY 2012-13 was initiated by the then NMCG, NGRBA in June, 2011 requesting all the State Nodal Departments of 5 basin states to prepare respective state annual plans in prescribed formats.

- II. For finalization of the state annual action plans, annual planning consultations were organized with the participating 5 basin states in November and December, 2011. Summary of the consultations are placed in Annexure- 4, table 4.4
 - III. The revised state annual plans were approved by the respective SEC / SRCA for the state of Uttarakhand, Uttar Pradesh, Jharkhand & West Bengal. The revised annual plan for the state of Bihar has been approved by the Executive Committee of the SPMG headed by the Chief Secretary, Govt. of Bihar in its meeting held on 12-03-2012. Summary of the State level approvals are placed in Annexure- 4, table 4.5
 - IV. The Annual Plan proposal of the NMCG (including NGRBA Cell of CPCB) was discussed on 17th January, 2012 and finalized. Summary of the proposal and allocation for NMCG (including NGRBA Cell of CPCB is placed in Annexure -4, table 4.6).
- b. Consolidation of all proposals
- i. Consolidated NGRBA Annual Plan 2012-13 was initially proposed for Rs. 1000 crores (against 5 basin states) and for Rs. 6 crores against NMCG, based on requirement of fund submitted by the NRCDD, MoEF. (Ref: Annexure – 4.1 & 4.2)
 - ii. In subsequent consultations in the MoEF and with the Planning Commission, the outlay for NGRBA for FY 2012-13 was finalized for Rs 512.50 crores in the meeting held in the Planning Commission on 14th February, 2012. (Ref: Annexure – 1.1, 1.2)
3. **The specific proposals considered in preparation of the Annual Plan 2012-13** is based on:
- a. Estimate made by NMCG for implementation of the National Level activities.
 - b. Proposals received from each of the five basin states, duly approved by SEC/SRCA. These are in Annexure 4.3, 4.4, 4.5, 4.6 & 4.7.
 - i. Note that the estimates received from the five basin states far exceeds the available budget envelop for Annual Plan 2012-13. Therefore, the outlay proposed in the Annual Plan did not cover all activities and “infrastructure investments” proposed by basin states. These remaining proposals will be covered either in the revised estimates, or revision of Annual Plan, or in the next Annual Plan 2013-14, subject to each of these proposals fulfilling the requirements, eligibility and prioritization criteria of the NGRBA Program Framework. The summary of the proposals of the basin states and allocation within the Annual Plan 2012-13 are placed in Annexure 4, table 4.7, 4.8, 4.9, 4.10 & 4.11.
 - ii. There is some more SEC / SRCA recommended towns, listed in Annexure – 4.3, 4.4, 4.5, 4.6 & 4.7 and summarized in table 4.7, 4.8, 4.9, 4.10 & 4.11, which may also be considered for funding during 2012-13 subject to availability of fund and submission of proper FRs & DPRs.

CHAPTER 5: BUDGET OUTLAY 2012-13

1. Total Outlay:

The total outlay for Annual Plan 2012-13 is Rs. 512.5 crores. The fund is proposed to be utilized by the NMCG including CPCB and 5 basin States / SPMGs including the SPCBs and project town ULBs (See the abstract of the distribution of budget outlay at Annexure – 5, table 5.1). The major break-up is as follows:

- a. **EAP Component**
 - i. **World Bank assisted NGRB Project – Rs. 240 crores**
 - 1. New sub-project “infrastructure investment” (DPR yet to be approved) – **Rs. 189.34 crores** (See Annexure – 5, table 5.2)
 - 2. Institutional activities under NGRBA Program [including EAP – General & NGRBA (PPMU) i.e. NMCG] – **Rs. 50.66 crores** (See Annexure – 5, table 5.3)
 - ii. **JICA funded GAP Phase II Project – Rs. 10.00 crores**
- b. **Non-EAP Component**
 - i. **Outlay for ongoing NGRBA “infrastructure investments”** (where DPRs have been already approved before April 2012 – **Rs. 185.34 crores**)
 - ii. **Outlay for NMCG (General) – Rs. 15.00 crores**
 - iii. **New “infrastructure investments”** (DPRs yet to be approved) – **Rs. 49.70 crores**
- c. **SCSP against 5 basin states** (to form part of DPR costs under EAP / Non-EAP, and DPRs yet to be approved) – **Rs. 12.46 crores**

2. State-wise Outlay

a. EAP Component (See table 5.4)

- i. World Bank assisted NGRB Project : Uttarakahand – Rs. 20 crores, Uttar Pradesh – Rs. 86 crores, Bihar – 35 crores, Jharkhand – Rs 15 crores, West Bengal – 55 crores and NMCG (Including NGRBA Cell of CPCB) – 29 crores [Total – Rs. 240 crores].
- ii. JICA funded GAP Phase II Project : Uttar Pradesh – Rs. 10 crores [Total – Rs. 10 crores].

b. Non-EAP Component (See table 5.5)

Uttarakahand – Rs. 20.64 crores, Uttar Pradesh – Rs. 90 crores, Bihar – 40 crores, Jharkhand – Rs 4.64 crores, West Bengal – 80 crores and NMCG (Including NGRBA Cell of CPCB) – 15 crores [Total – Rs. 250.04 crores].

c. SCSP (See table 5.5)

Uttarakahand – Rs. 1.46 crores, Uttar Pradesh – Rs. 4 crores, Bihar –2 crores, Jharkhand – Rs 1 crores and West Bengal –4 crores – 15 crores [Total – Rs. 12.46 crores].

Note: 1. State-wise outlay has been proposed, considering the estimated cost of proposed Institutional development and new Infrastructure Investments, approved cost of on-going projects, expenditure and progress of works in on-going projects (See Annexure 5.1), proposed distribution of outlay under NGRBA (See Annexure 4.1) and 'SPMG cost National breakup' suggested in the estimated budget of the World Bank (See Annexure 5.2)

3. Purpose-wise Outlay

Purpose-wise components, as described in Chapter – 4 of the document have been considered for allocation of the budget outlay for each and every activities listed therein. The components identified in the detailed statements of estimates, as originally received from the World Bank attached in Annexure 3, Table 3.1 to 3.20 will guide the activities both under Institutional development and Infrastructure investments under EAP. For Non-EAP including the SCSP, budgetary outlay and guidance as laid down in the Plan documents will be followed for taking up the purpose wise activities under the NGRBA programme.

4. Status of Outlay and Expenditure in 2011-12

- a) The CCEA approval indicates year-wise phasing for 2011-12 for Rs. 500 crores against Central share and for Rs. 225 crores against the State share, totaling for Rs. 725 crores.
- b) The BE 2011-12 for NGRBA has provision for Rs. 500 crores, which was reduced to Rs. 216.61 crores in the RE. The expenditure till 31.03.2011 was for Rs. 192.63 crores (EAP-40.40 crores, Non-EAP – 152.24 crores) [including Rs. 134.56 crores (along with bank interest earned) lying in NMCG Bank Account] (See Annexure 5, table 5.6)

Note: Prior to approval of the World Bank assisted NGRBA project for Rs. 7000 crores by the CCEA, NGRBA projects in the basin states have been approved from the Governments own Non-EAP resources and also approved one JICA funded EAP in Varanasi (GAP). The expenditure during the FY 2010-11 under NGRBA was incurred for Rs. 499.77 crores. (See Annexure 5, table 5.6).