

No. 5/3/2012-Ganga/P-III/3868-3928

**Government of India  
Ministry of Water Resources  
Ganga Wing**

\*\*\*\*\*

11<sup>th</sup> Block, 8<sup>th</sup> Floor, CGO Complex,  
Lodhi Road, New Delhi-110003  
Dated the 31<sup>st</sup> October, 2013

**ORDER**

**Subject: Administrative Approval for continuation of "Flood Management Programme" under State Sector for taking up Flood Control and River Management Works in the entire country during XII Plan.**

Administrative approval of the competent authority is hereby conveyed for the continuation of "Flood Management Programme", a State Sector Scheme under Central Plan, to provide central assistance to the State Governments amounting to Rs.10,000 crore during XII plan period (2012-17) for taking up works related to river management, flood control, anti-erosion, drainage development, flood proofing, restoration of damaged flood management works, anti-sea erosion and catchment area treatment etc.

2. The inter-se priority of the works would be decided by an Inter-Ministerial Committee headed by Secretary (Water Resources), Government of India depending upon the critical/ emergent situation and the availability of annual budget/ plan outlay.


3. The funding pattern under the Scheme during XII Plan would be as under :

- (a) The funding pattern for spillover works approved and included under Flood Management Programme during XI Plan would be same as in XI Plan.
- (b) The funding pattern for new works where investment clearance had been accorded by the Planning Commission before 30-07-2013 will be as per the pattern approved in the XI Plan.
- (c) The funding pattern for new works other than those covered under para-3(b) above, would be as under :
  - (i) For Special Category States - 70% Central Share : 30% State Share,  
(The Special Category States covers the North Eastern States, Sikkim, Himachal Pradesh, Jammu & Kashmir and Uttarakhand.)
  - (ii) For General / Non-Special Category States - 50% Central Share : 50% State Share and
  - (iii) For new works of catchment area treatment and restoration of earlier flood management works damaged due to force majeure like conditions, the central assistance would be provided as applicable to respective category of States.

( Contd./-)

4. The project eligibility criteria for new projects under the Scheme would be as under:
  - (a) For Special Category States : Rs. 10 crore and above with Benefit Cost Ratio more than 1.0.
  - (b) For General / Non-Special Category States: Rs. 40 crore and above with Benefit Cost Ratio more than 1.0.
5. Further, there have been certain changes in the guidelines issued by this Ministry in August, 2009, therefore, the modified guidelines on "Flood Management Programme" duly approved by the competent authority are also annexed; which shall be strictly adhered to.
6. This issues with the concurrence of Finance Desk of Ministry of Water Resources vide their Dy. No. 8802-FD dated 31.10.2013.

Encl: As above.

 31.10.2013  
(C. LAL)

Senior Joint Commissioner-II (Ganga)  
Tel : 011-24360611

To:

All Principal Secretaries/Secretaries of Irrigation/Water Resources/CAD Departments of the States (As per list enclosed).


**Copy to:**

1. Chairman, CWC, New Delhi.
2. Member (RM), CWC, New Delhi
3. Member(D&R), CWC, New Delhi
4. Member (WP&P), CWC, New Delhi
5. Chairman, Brahmaputra Board, Guwahati.
6. Chairman, Ganga Flood Control Commission, Patna.
7. Secretary, NDMA, A-1 Safdarjang Enclave, New Delhi.
8. Advisor (WR), Planning Commission, New Delhi.
9. JS & FA, MoWR, New Delhi.
10. Joint Secretary (PP), MoWR, New Delhi.
11. Joint Secretary (PF-I), Department of Expenditure, Ministry of Finance, North Block, New Delhi.
12. Commissioner (B&B), MoWR, CGO Complex, Block No.3, Lodhi Road, New Delhi
13. Commissioner (SP), MoWR, New Delhi.
14. Chief Engineer (FM), CWC, Sewa Bhawan, R.K.Puram, New Delhi.
15. Director (Finance), MoWR, New Delhi
16. Principal Director of Audit, Economic & Service Ministries, AGCR Building, New Delhi-110002
17. Controller of Accounts, MoWR, Shastri Bhawan, New Delhi.
18. Principal PAO, MoWR, Shastri Bhawan, New Delhi.
19. Finance Wing/ Budget Section, MoWR.

( Contd./-)

**Copy also for kind information to:**

1. PS to Hon'ble Minister (WR), New Delhi.
2. Sr. PPS to Secretary (WR), New Delhi.
3. Sr. PPS to Secretary (Finance), Ministry of Finance, New Delhi.
4. Sr. PPS to Secretary (BM), Ministry of Home Affairs, New Delhi.
5. Sr. PPS to Secretary, Ministry of DONER, New Delhi.
6. Sr. PPS to Secretary, Ministry of Environment & Forest, New Delhi.
7. Cabinet Secretariat (Ms. Sanjukta Ray, Director (Cabinet), Rashtrapati Bhawan, New Delhi w.r.t. letter No. 41/CM/2013(i) dated 21.10.2013.



31.10.2013

**(C. LAL)**

Senior Joint Commissioner-II (Ganga)  
Tel : 011-24360611

**Government of India**  
**Ministry of Water Resources**



**Flood Management Programme**  
**During XII Five Year Plan**

**Guidelines for Central Assistance to States**

**New Delhi**  
**October, 2013**

## CONTENTS

Section	Particulars	Page
1.0	Background	1-2
2.0	Scope of the scheme	3
3.0	Implementation arrangements	3
4.0	Approval of projects under FMP	4
5.0	Funding pattern and criteria for inclusion of projects	4-7
6.0	Release of central assistance	7-10
7.0	Ensuring Regular Monitoring of Flood Protection Works	10
8.0	Monitoring Mechanism	10
9.0	Evaluation Studies	10-11
10.0	Completion Reports and Consolidated Utilisation Statement	11
11.0	Documents and Formats	11-13
<b>Appendices / Annexures</b>		
<b>Appendix-1</b>	Copy of constitution of IMC-FMP	<b>14-15</b>
<b>Annex-1</b>	FMP-1 Format for submission of request for inclusion of project under FMP.	<b>16</b>
<b>Annex-2</b>	FMP-2: Physical Progress Report	<b>17</b>
<b>Annex-3</b>	FMP-3 : Financial Progress Report	<b>18</b>
<b>Annex-4</b>	FMP-4 : Recommendation of Monitoring Agency for release of funds	<b>19-20</b>
<b>Annex-5</b>	GFR- 19 ( A ) Form : Utilisation Certificate	<b>21</b>
<b>Annex-6</b>	Broad contents of Concurrent Evaluation Report	<b>22</b>

## 1.0 BACKGROUND

1.1 Devastation by floods is a recurrent annual phenomenon in India. Almost every year, some or the other part of the country is affected by floods. Floods cause enormous damage to life, public property and disruptions to infrastructure besides psychological and emotional instability amongst the people.

1.2 Many areas of the country are very vulnerable to floods and there is a great risk of damage to national assets like highways, roads, railway tracks, etc. apart from damages to life and property. These aspects will be given due consideration and addressed appropriately while considering the proposals for central assistance to the state governments.

1.3 During X Plan, following four schemes were sanctioned to provide central assistance to the flood prone states to take up flood control and river management works in critical areas:

- (a) Critical Anti-erosion works in Ganga Basin States (a Centrally Sponsored Scheme),
- (b) Critical Flood Control and Anti Erosion Schemes in Brahmaputra and Barak Valley States (a State Sector Scheme),
- (c) Improvement of Drainage in critical areas in the country (a State Sector Scheme) and
- (d) Critical Anti-erosion Works in Coastal and other than Ganga Basin States (a State Sector Scheme).

1.4 During XI Plan, the above four schemes operated during X Plan were merged together and a restructured scheme, namely, "Flood Management Programme" under State Sector in Central Plan was approved 'in-principle' by the Cabinet in its meeting held on 02-11-2007. Based on the approval of the cabinet, the sanction of the Flood Management Programme during XI Plan was conveyed vide MoWR Order No. 5/3/2012-Ganga/P-III/3868-3928 dated 31<sup>st</sup> October, 2013 (

### **Appendix-1)**

During XI Plan, the central assistance was provided to the State Governments for undertaking critical works related to river management, flood control, anti-erosion, drainage development, anti-sea erosion, flood proofing, flood prone area development programme in critical regions, restoration of damaged flood control/ management works and anti-sea erosion works.

- 1.5 Funding pattern during XI Plan was 75(Centre): 25(State) for General/Non-Special Category States and 90(Centre): 10(State) for Special Category States.
- 1.6 The Special Category States cover the North Eastern States, Sikkim, Himachal Pradesh, Jammu & Kashmir and Uttarakhand.
- 1.7 The Ministry of Water Resources issued first set of guidelines on Flood Management Programme during XI Plan in December, 2007 and revised guidelines on FMP during XI Plan were issued with the approval of Secretary(WR) in August, 2009.
- 1.8 In view of the demand by States for completion of ongoing and new critical works of flood management, the XII Plan Working Group on 'Flood Management and Region Specific Issues' set up by the Planning Commission recommended continuation of Flood Management Programme during XII Plan. Accordingly, the Ministry of Water Resources, in wider consultations with the States, Planning Commission, Ministry of Finance, NDMA, M/o Environment & Forest and M/o Rural Development, formulated the proposal for continuation of Flood Management Programme during XII Plan with outlay of Rs. 10,000 crore.
- 1.9 The scheme of Flood Management Programme during XII Plan was appraised by Expenditure Finance Committee (EFC) headed by Secretary (Exp.), Ministry of Finance in its meeting held on 08-03-2013 and it recommended continuation of Flood Management Programme during XII Plan with an outlay of Rs. 10,000 crore for approval of the Cabinet.
- 1.10 The Committee of Secretaries also recommended continuation of Flood Management Programme during XII Plan with outlay of Rs. 10,000 crore in the meeting held on 30-07-2013.
- 1.11 *The Cabinet in its meeting held on 17-10-2013 accorded approval to the continuation of Flood Management Programme for providing central assistance to the extent of Rs. 10,000 crore to the State Governments during XII Plan.*
- 1.12 In view of many changes in scope, eligibility criteria, funding pattern and procedure for approval and release of funds during XII Plan, the earlier guidelines are modified and the present guidelines for Flood Management during XII Plan are circulated for reference.

## 2.0 SCOPE OF THE SCHEME

- 2.1 Under “Flood Management Programme”, critical flood control, river management and anti-sea erosion works in the entire country would be covered. These works would include the works related to river management, flood control, anti-erosion, drainage development, flood proofing, flood prone area development programme in critical regions, restoration of flood control/ management works damaged due to force majeure like conditions, anti-sea erosion and catchment area treatment.
- 2.2 The spillover of works approved under Flood Management Programme during XI Plan would also be supported under this scheme during XII Plan. The Central Assistance for spillover works shall be released on receipt of the request / proposals from the State Governments and completion of all formalities.
- 2.3 The central assistance for projects of catchment area treatment will be provided only to such projects which meet the objective of flood management in selected / prioritized catchments having high rate of run-off / erosion ensuring convergence with similar projects of catchment area treatment /watershed management under MoEF, MNREGA of NoRD and DoLR etc. This will be of promotional nature on selective basis.

## 3.0 IMPLEMENTATION ARRANGEMENTS

- 3.1 The scheme “Flood Management Programme” would be implemented generally by Flood Control/ Water Resources / Irrigation / Public Works Departments of the State Governments. In exceptional and emergent cases, the works could be entrusted to the central government organizations / undertakings, with the approval of Union Minister for Water Resources.
- 3.2 Managerial Inputs towards financial management, quality control, physical progress, timely completion of the works, etc. shall be the responsibility of the State Governments/ Implementing Agencies.
- 3.3 CWC/GFCC/Brahmaputra Board shall constitute Standing Committees having representatives of State Governments and NGOs in the area for joint inspection of arrangements made by the concerned State Government for maintenance of critical / major flood protection works in respective jurisdictions. The damaged flood management works in respect of which the State Government has sought central assistance under Flood Management Programme may also be inspected by the above Standing Committee.



#### 4.0 APPROVAL OF PROJECTS FOR FUNDING UNDER FLOOD MANAGEMENT PROGRAMME

4.1 The general procedure(s) of techno-economic appraisal as laid down in Planning Commission communication No. 16(12)/12003-WR dated 29.06.2012 or amendments thereto from time to time, shall be followed for submission and appraisal of all projects to be funded under Flood Management Programme.

4.2 The proposals, which are appraised by GFCC and CWC and secured all mandatory clearances including clearance from State TAC , State Flood Control Boards ( or alternative competent mechanisms put in place for the purpose by those States where TAC / Flood Control Boards do not exist), Forest Clearance, techno-economic viability acceptance of CWC/GFCC/Advisory Committee of MOWR (as applicable), investment clearance from Planning Commission and are compliant to these guidelines would be considered, prioritised and finalized for inclusion under Flood Management Programme by an Inter-Ministerial Committee (IMC) headed by the Secretary (WR). A copy of the constitution ( OM No 5/3/2012-Ganga/3929-3946 dated 31.10.2013) of IMC-FMP is given at **Appendix-2**).

#### 5.0 FUNDING PATTERN AND CRITERIA FOR INCLUSION OF PROJECTS

5.1 **Integrated Flood Management Approach-** Under the scheme, central assistance to the States would be provided for taking up flood management works in an integrated manner covering entire river / tributary or a major segment. In case of emergent situation arising due to high floods, the works in critical reaches would be taken up immediately after flood season.

5.2 **Funding Pattern for Ongoing Projects –** The funding pattern for ongoing projects approved during XI Plan would remain the same as approved in XI Plan i.e. 75(Centre): 25(State) for General/ Non-Special Category States and 90(Centre): 10(State) for Special Category States.

#### 5.3 Funding Pattern for New Projects

5.3.1 The funding pattern for new projects where Investment Clearance had been accorded by the Planning Commission before 30-07-2013, will be as approved during XI Plan for respective category of States i.e 75(Centre): 25(State) for General/ Non-Special Category States and 90(Centre): 10(State) for Special Category States.

- 5.3.2 **New Projects of General /Non-Special Category States** - The new projects / works of General /Non-Special Category States, other than those covered under clause 5.3.1 above, within the scope of Flood Management Programme, costing Rs. 40 crore and above, having BC Ratio more than 1.0 , shall be included for funding under Flood Management Programme during XII Plan. The funding pattern for such projects / works of Non-Special Category States will be 50 ( Central ) : 50 ( State).
- 5.3.3 **New Projects of Special Category States** - The new projects / works of Special Category States, other than those covered under clause 5.3.1 above, within the scope of Flood Management Programme, costing Rs. 10.0 crore and above, having BC Ratio more than 1.0, shall be included for funding under Flood Management Programme during XII Plan. The funding pattern for such projects / works of Special Category States will be 70 ( Central ) : 30 (State).

*(The Special Category States cover the North Eastern States, Sikkim, Himachal Pradesh, Jammu & Kashmir and Uttarakhand.)*

- 5.4 **Projects for restoration of earlier damaged flood management works** – The Central Assistance to all the States would also be provided for restoration of damaged flood management works and funding pattern for such works will be as applicable to respective category of State. Central Assistance will not be provided for regular maintenance of flood management works but only for restoration of flood management works damaged under force majeure like conditions. It would be ensured that such works are not covered under CRF(SDRF)/ NCCF(NDRF).
- 5.5 **Projects for Catchment Area Treatment**– The projects for catchment area treatment, as stipulated in the scope of the Flood Management Programme, shall be included for funding under Flood Management Programme during XII Plan. The funding pattern and criteria for such works shall be as applicable to respective category of States and convergence with similar programmes undertaken under National Mission for Green India and programmes of watershed management would be ensured.

- 5.6 **The State Governments shall ensure inclusion of the scheme in the State Plan and make requisite budget provision towards Central as well as State share on annual basis.**
- 5.7 **The State Governments which adopt Flood Plain Zoning Bill (circulated by Central Water Commission in 2009), would be given priority over the other States.**
- 5.8 **While submitting a new proposal, the State Governments shall ensure acquisition of land required under the scheme and would submit a certificate to this effect, failing which no funds would be released to the State Governments. For land acquisition, requisite funds would be provided/arranged by the concerned State Governments from their own resources. However, the amount spent on land acquisition would be considered as a part of State's share towards the overall cost of the project and accounted for subsequent releases of central assistance.**
- 5.9 While submitting a new proposal, the State Government would specify the time frame for completion of the project and funds required on annual basis; which shall be adhered to, by implementing agencies. A detailed statement in Proforma-FMP-1 (enclosed ) would be furnished by the State Governments with the proposal for central assistance.
- 5.10 The State Governments shall ensure that the State has not received any financial assistance for the proposed work/ scheme in the past, either from the central government or any other funding agency and would submit a certificate to this effect while sending proposals under FMP.
- However, financial assistance mentioned under this para, shall exclude the cases where repayable loan on commercial terms is arranged by a State from any agency to meet its State Share and to complete the work due to urgency.
- 5.11 As the flood management works of critical nature, are expected to be completed in a time bound manner, no cost escalation shall be allowed for any work/ scheme once it is approved under FMP. The approved cost of the scheme mentioned in the Investment Clearance by Planning Commission and approved by the IMC-FMP shall be treated as firm & final for the purpose of central share. If there is any cost escalation, it would be borne by the state Government from its own resources.

In cases where project completion is delayed due to force majeure, extension may be considered by IMC-FMP on merits on the basis of justification by State, views of appraisal agency and revised investment approval by Planning Commission. In deserving cases, upward revision of cost by not more than 15% of cost of works earlier approved /accepted during appraisal may be approved by IMC-FMP.

5.12 If the project is delayed beyond the target date inclusive of the extension granted on merits of the case by IMC-FMP, no further central assistance would be released and the States would bear the remaining cost of the project.

5.13 The State Governments shall ensure that the works are executed in a well planned manner and completed within the scheduled completion period. The progress shall be monitored through CPM/PERT Charts; which shall be submitted within three months of release of first installment of central assistance.

## 6.0 RELEASE OF CENTRAL ASSISTANCE

6.1 The central assistance for all projects shall be released in two instalments in a financial year.

### 6.2 Release of First Instalment

6.2.1 For projects receiving assistance upto 50% of project cost, the first instalment of central Share in a financial year equal to 90% of central share provided in the Annual State Budget, shall be released after submission of a certificate, duly signed by the concerned Principal Secretary to the effect that the State has released at least 50% of its State Share to the project as provided in the Annual State Budget.

6.2.2 For projects receiving assistance higher than 50%, the first installment of central Share in a financial year equal to 50% of central share provided in the Annual State Budget shall be released after submission of a certificate, duly signed by the concerned Principal Secretary to the effect that the State has released full State Share to the project as provided in the Annual State Budget.

### 6.3 **Release of Second /Subsequent Installment (s)**

6.3.1 **In the Same Financial Year** - Balance/Second instalment of GOI share in the same financial year shall be released on submission of (i) Utilisation Certificate in GFR-19 (A) (Format enclosed) for utilization of 50% of Central Share released earlier in the same financial year, (ii) due recommendations of the Monitoring Agency based on the monitoring report, (iii) corresponding budget provision made by the State both in respect of the central share as well as the matching state share and (iv) submission of certificate, duly signed by the concerned Principal Secretary that the State has released its full State Share to the project, provided in the Annual State Budget.

6.3.2 **In the Next / Subsequent Financial Year** - Next year instalment of GOI share in the next financial year shall be released on submission of (i) Utilisation Certificate in GFR-19 (A) (Format enclosed) for utilization of full Central Share released earlier (ii) due recommendations of the Monitoring Agency based on the monitoring report, (iii) corresponding budget provision made by the State both in respect of the central share as well as the matching state share and (iv) submission of certificate, duly signed by the concerned Principal Secretary that the State has released its State Share to the project, provided in the Annual State Budget.

### 6.4 **REIMBURSEMENT OF EXPENDITURE**

6.4.1 The central assistance towards the expenditure incurred by the State Governments on a scheme in the previous financial year(s) before its approval by the IMC-FMP would not be entertained. However, actual expenditure incurred by the State Governments from their own resources in the financial year (in which the scheme is approved by the IMC-FMP or in a year after the approval of project by IMC-FMP under FMP) would be reimbursed, in such cases, requirement of budget provision in the year of reimbursement may not be necessary.

6.4.2 In case of a claim of reimbursement, a certificate towards actual expenditure incurred will be submitted by the State Government duly countersigned by Principal Secretary/ Secretary of concerned department (Water Resources/ Irrigation/ Public Works Department).

6.5 If the project authority fails to adhere to the completion schedule (as indicated in FMP-I) or the

extension granted by IMC-FMP and is unable to complete the project in scheduled time, further central assistance after the scheduled completion period (from next financial year) shall not be released to the State Governments and the State shall bear the remaining cost of the project from its own resources.

- 6.6 If the project authority fails to adhere to the completion schedule due to non-release of central assistance in the planned time for any reason, the state government may revise the construction schedule after receipt of the first instalment and intimate to the Ministry of Water Resources for record in performa (FMP-1), in order to avoid attracting the provision of Para 6.7.
- 6.7 However, any revision of cost of project or its schedule of construction required to address the flood problem / erosion / bank failure subsequent to preparation of DPR, would be considered by IMC-FMP on merits on the basis of justification by State, views of appraisal agency and revised investment approval by Planning Commission.
- 6.8 The Utilization Certificate in FORM GFR-19A (enclosed) shall be issued by the concerned Chief Engineer and the financial authority; and countersigned by the concerned Secretary of the implementing department / Finance Secretary of the state government. In case of work being implemented by the Central Government Organizations/ Undertakings, the utilization certificate may be countersigned by the Head of organization/ undertakings.
- 6.9 Release of central assistance would be based on the recommendations of the Monitoring Agencies as specified in the subsequent paragraphs. The Monitoring Agencies would inspect the works, at least once in every financial year, to monitor overall quality of works, technical specification and progress at site before recommending further releases. If the Monitoring Agencies are unable to complete the second visit before the end of financial year; subsequent instalments in the next financial year would not be held up on account of non-completion of second field visits by the monitoring teams and in such cases, the 1st instalment in the next financial year will be released on receipt of (i) utilization certificate in GFR-19A of the earlier release(s) including matching state share, (ii) due recommendations of the Monitoring Agency based on physical and financial progress of the work submitted in the prescribed format viz. FMP -2 & 3 duly certified by the concerned Chief Engineer from the State, (iii) annual budget provision made by the State and (iv) submission of certificate , duly signed by the concerned Principal Secretary that the State has released its full State Share, provided in the Annual State Budget, to the project .

6.10 States would be required to submit audited statements of expenditure incurred on the works executed with central assistance under the scheme within nine months of the completion of the financial year. The releases of central assistance in the following year will not be considered if an audited statement of expenditure is not furnished within stipulated period.

## 7.0 ENSURING REGULAR MAINTENANCE OF FLOOD PROTECTION WORKS

7.1 **The State Governments shall undertake regular maintenance of flood protection works before and after each monsoon and even during execution of works.**

## 8.0 MONITORING MECHANISM

8.1 Monitoring of the schemes under the Flood Management Programme, will be carried out by the Central Water Commission (CWC), Ganga Flood Control Commission (GFCC) and Brahmaputra Board (BB) in their respective jurisdiction.

8.2 The above central organizations would play an active role at formulation stage of the proposals for flood management works by the state governments in their respective jurisdiction and provide necessary guidance in preparation/ submission of the proposals in time for appraisal and release of central assistance.

8.3 The monitoring teams (of CWC/ GFCC/ Brahmaputra Board) would monitor the physical and financial progress of the schemes. They would conduct sample checks on the quality of construction materials like bricks, stones, geo-textiles, compaction of soil etc and quality of works in general during the field visits. The samples taken/ witnessed at site by the teams would be got tested for quality checks and results thereof would be reflected in the monitoring reports.

8.4 ***Release of central assistance would be recommended by the Ministry of Water Resources, GOI to the Ministry of Finance based on the recommendations of CWC/GFCC/Brahmaputra Board submitted in the prescribed format viz. FMP-4.***

## 9.0 EVALUATION STUDIES

9.1 The State Governments would commission concurrent evaluation studies for the projects during their execution through reputed independent organization(s) (not under the administrative control of Ministry of Water Resources, Government of India or under the Irrigation/ Water Resources Department of the state government). The aspects to be addressed in the report of concurrent evaluation are enclosed. A reasonable provision for likely charges for

concurrent evaluation shall be kept by the States in the cost estimates of the project / works.

9.2 The State Governments would also commission through IITs the performance evaluation of completed works / projects with regard to objectives as defined in the DPRs and cost of such studies shall be borne by States .

## 10.0 COMPLETION REPORTS AND CONSOLIDATED UTILISATION STATEMENT

10.1 **On completion of works / projects, the State Governments shall , in respect of each work / project funded under Flood Management Programme, submit a completion report along with a consolidated Utilisation Statement giving a brief account of works approved, works actually carried out, Total expenditure on the project, Centre Share released (with reference number of release order) , Central Share utilized ( giving details of UCs submitted), State Share spent and reasons for delay, if any.**

## 11.0 DOCUMENTS AND FORMATS

The list of important documents to be submitted with the proposals is given below and related standard formats to be followed are enclosed as indicated :

### 11.1 Documents required for initial inclusion of project for funding under FMP

- (i) Request of State in FMP-1 Proforma, duly signed by concerned Principal Secretary (Format at Annex-1)
- (ii) Clearance of State TAC (or the alternate technical mechanism in place)
- (iii) Clearance of State Flood Control Board, (applicable for projects costing more than Rs. 30 crore, if it does not exist, the clearance of alternative mechanism put in place )
- (iv) Forest Clearance
- (v) Certificate, duly signed by concerned CE of State Government, that land required for the project is Government land or if private land, the same has been acquired and is in possession of the State Government' and the land is free from any encumbrances.
- (vi) Certificate, duly signed by concerned CE of State Government, that the project has not received any financial assistance in the past from any agency of Government of India.

*(In case, the Government has availed or proposes to avail any commercial repayable loans for executing the works, brief details of such loans may be provided)*



- (vii) Certificate, duly signed by concerned CE of State Government, that the cost of the project is firm and final and any escalation in cost of the Project, would be borne by the state Government.
- (viii) Techno-economic viability acceptance of the DPR for the Project by CWC/GFCC/Advisory Committee of MOWR.(As applicable)
- (ix) Investment Clearance accorded by Planning Commission
- (x) Assurance by State Finance Department that requisite funds would be provided by State as per envisaged phasing of expenditure.
- (xi) Any other clearance, if required.

#### 11.2 Documents required for release of First Installment of central assistance under FMP

- (i) Approval of IMC-FMP
- (ii) Recommendation of CWC/GFCC/BrBd in FMP-4 performa.(format at Annex-4)
- (iii) State budget allocation, issued by State Finance Department, for the current financial year indicating Project/work-wise details of total provision, central share and state share. In case, the budget allocation made by State Finance Department indicates only consolidated provisions, the Project/work-wise details of total provision, Central Share and State Share, may be certified by the concerned Principal Secretary.
- (iv) A certificate, duly signed by the concerned Principal Secretary, that the State has released its full State Share to the project as provided in the Annual State Budget.
- (v) State-wise annual ceilings fixed by Planning Commission under FMP.(To be enclosed by Ganga Wing, MoWR)

#### 11.3 Documents required for release of Second/subsequent Installments of central assistance under FMP.

- (i) Physical and Financial Progress in FMP-2 and FMP-3 Performa respectively duly certified by the concerned CE of the state Government.(Performa at Annex -2 & 3)
- (ii) Utilization Certificate in GFR 19 A form duly signed /counter signed by the concerned Principal Secretary (Proforma at Annex-5)

- (iii) State budget allocation, issued by State Finance Department, for the current financial year indicating Project/work-wise details of total provision, central share and state share. In case, the budget allocation made by State Finance Department indicates only consolidated provisions, the Project/work-wise details of total provision, Central Share and State Share, may be certified by the concerned Principal Secretary.
- (iv) A certificate, duly signed by the concerned Principal Secretary, that the State has released its full State Share to the project as provided in the Annual State Budget.
- (v) Recommendation of the Monitoring Agency( CWC/GFCC/BrBd ) in FMP-4 enclosing the Monitoring Report and all relevant documents.
- (vi) Report of the concurrent evaluation done by an Independent agency referred to in clause 8.1 above and prepared in the Broad format of Contents listed at Annex-6.
- (vii) Statement of Audited expenditure of Central assistance earlier released and after the period stipulated under Clause 6.10 above.

**Note: The State Government shall submit a CPM- PERT chart for monitoring of physical progress of various activities/components of the project within three months of the release of First installment of central assistance.**

**No.5/3/2012-Ganga/3929-3946**  
**Government of India**  
**Ministry of Water Resources**  
**Ganga Wing**

\*\*\*\*\*

11<sup>th</sup> Block, 8<sup>th</sup> Floor, CGO Complex,  
Lodhi Road, New Delhi-110003.  
Dated the 31<sup>st</sup> October, 2013

**Memorandum**

**Sub: Constitution of Inter-Ministerial Committee for Flood Management Programme (IMC-FMP) during XII Plan (2012-17).**

The Government of India has decided continuation of State Sector Scheme namely, "Flood Management Programme" during XII Plan for providing central assistance to the States for taking up the works related to flood control, river management, anti-sea erosion restoration of damaged flood management works and catchment area treatment. The sanction of competent authority in this regard has been conveyed vide MoWR Order No. 5/3/2012-Ganga/P-II /3868-3928 dated 31.10.2013.

2. Under the scheme, the proposals of river management, flood control, anti-erosion, drainage development, flood proofing, flood prone area development programme, restoration of damage flood management works, anti-sea erosion, catchment area treatment etc. received from the State Governments or the Central Organisations in exceptional cases which have secured all mandatory appraisals and clearances would be considered for central assistance by an Inter-Ministerial Committee for Flood Management Programme (IMC-FMP) headed by the Secretary (WR), Union Ministry of Water Resources. The IMC-FMP would have the following constitution:

SN	Designation	Status in IMC-FMP
1	Secretary (WR), MoWR	Chairman
2	Chairman, Central Water Commission	Member
3	Additional Secretary, MoWR	Member
4	Member (RM), Central Water Commission	Member
5	Adviser (WR), Planning Commission	Member
6	Chairman, Ganga Flood Control Commission	Member
7	Chairman, Brahmaputra Board	Member
8	Joint Secretary (PF-I), MoF	Member
9	JS&FA, MoWR	Member
10	Joint Secretary (DM), MHA	Member
11	Joint Secretary, M/o of DONER	Member
12	Joint Secretary, MoEF	Member
13	Commissioner (B&B), MoWR	Member
14	Commissioner (Ganga), MoWR	Member-Secretary

2. **Based on** the approval of the scheme during XII Plan, the earlier guidelines for providing central assistance to the State Governments under FMP have been modified which could be followed in selection of the projects/works during XII Plan.

7/31/13

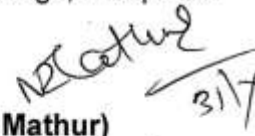
3. The IMC-FMP would examine the proposals submitted by State Governments and select the projects/works depending upon the critical/emergent situation and the availability of annual budget/ plan outlay to ensure cost effective solutions.

4. The IMC-FMP would also examine and approve the eligible cases of earlier approved projects involving variation in cost, scope and extension of period of completion. The projects in respect of which Planning Commission had accorded investment clearance earlier shall be considered with prior recommendation / concurrence of Planning Commission on the variations / extension of time.

5. The IMC-FMP, if required, may re-allocate the provisions made in the EFC Memo for various items within the overall sanctioned outlay.

6. The IMC-FMP may invite any other expert during meetings, if required.

**Encl: As above.**

  
( N.K. Mathur )  
Commissioner (Ganga)  
& Member Secretary

**Copy to :**

All Members of the IMC-FMP.

**Copy for kind information:**

1. PS to Hon'ble Minister (WR), Shram Shakti Bhawan, New Delhi.
2. Sr. PPS to Secretary(WR), Shram Shakti Bhawan, New Delhi.
3. Sr. PPS to Secretary(Exp.), Ministry of Finance, New Delhi.
4. Director(Finance), MOWR, New Delhi.

**PROFORMA FOR SUBMITTING THE PROPOSALS BY STATE GOVERNMENTS IN RESPECT OF CENTRAL ASSISTANCE UNDER THE STATE SECTOR SCHEME "FLOOD MANAGEMENT PROGRAMME" IN XIIPLAN (2012-2017)**

1.	Name of the Scheme	:	
2.	Brief Description of Scheme	:	
3.	Location (a) River (b) River Basin (c) Taluka/ District & State	:	
4.	Estimated Cost & Price Level	:	
5.	Year-wise phasing of works (a) Physical (b) Financial	:	
6.	Area and Population Benefited	:	
7.	Benefit-Cost Ratio	:	
8.	Mandatory Clearances (a) Dates of Techno-economic Appraisal by State TAC/GFCC/CWC/MOWR (b) Date of Clearance of State Flood Control Board / State Finance Department (c) Date of Investment Clearance from the Planning Commission	:	
9.	Whether recommended by Task Force on Flood Management/ Erosion Control – 2004.	:	

(Secretary)  
State Government

10. Recommendation of CWC/GFCC/Brahmaputra Board

(CWC/GFCC/Brahmaputra Board)

**Flood Management Programme during XII Plan (2012-17)**

Code No. of the Scheme: .....

1. Name of Scheme :
2. Estimated Cost :
3. Central Share :
4. Area to be protected :
5. Population to be benefited :

**Statement of Quarterly Physical Progress of quarter ending .....**

Sl. No.	Item of Works	Total Quantity (approved by TAC)	Unit	Physical Achievement (up to the last quarter)	Progress in the present quarter ending .....		Cumulative Progress
					Target	Achievement	
(i)	(ii)	(iii)	(iv)	(v)	(vi)	(vii)	
1.	Land Acquisition						
2.	Length of Embankment						
3.	Length of revetment						
4.	Length, width & depth of Launching apron						
5.	Quantity of earthwork						
6.	Quantity of stone works						
7.	Concrete work						
8.	Inspection Roads, if any						
9.	Drains, if any						
10.	Any other item, if not covered above						

Certified that above statement has been checked physically and quantities shown are correct.

Counter signed by  Chief Engineer (WRD) Concerned	(Executive Engineer) Name of Division
---	--

Flood Management Programme during XI Plan (2012-17)

Code No. of the Scheme: .....

1. Name of Scheme :
2. Estimated Cost :
3. Central Share approved by Empowered Committee :
4. Central Assistance released till date :
5. Date of Award of Work :
6. Time Schedule of Completion :

Statement of Quarterly Financial Progress of quarter ending .....

Sl. No.	Item of Works	Total Cost (approved by TAC)	Financial Achievement (up to the last quarter)	Progress in the present quarter ending .....		Cumulative Progress
				Target	Achievement	
(i)	(ii)	(iii)	(iv)	(v)	(vi)	(vii)
1.	Cost of Land, if any					
2.	Cost of Earthwork					
3.	Cost of Revetment, Launching Apron and Stone Pitching, etc					
4.	Cost of Cement Concrete					
5.	Cost of Inspection Roads, if any					
6.	Cost of Drains, if any					
7.	Any other item, if not covered above					
8.	-do					
9.	-do-					
10.	Total Cost of Scheme					

Certified that above statement has been prepared based upon works completed at site, checked and found correct.

Counter signed by  Chief Engineer (WRD) Concerned	(Executive Engineer) Name of Division
---	--

**Flood Management Programme (FMP)**  
**Check List for Submission of Proposals of Release of Central Assistance**

**Name of Work:**

	<b>Information/ Clearances</b>	<b>Fill up details of the Scheme / Reference No.</b>
<b>A</b>	<b>General</b>	
1.	Code No. of the Scheme/ Work	
2.	Location of Work (Name of river/ District/ State)	
3.	Dates of Appraisal by State TAC/ GFCC / CWC, as the case may be.	
4.	Administrative Approval by State Finance Department.	
5.	Date of Clearance of Advisory committee of MoWR (if required).	
6.	Date & reference of Investment clearance by Planning Commission	
7.	Estimated Cost & Central Share approved by the Empowered Committee on FMP	
8.	Year-wise Phasing of Expenditure and Year of Completion of Work.	
9.	If private land is required for the project, whether it has been acquired/ arranged by the State Government or not?	
10.	Certificate from State Government that the State has not received any financial assistance for the same work in the past, either from the central government or any other funding agency.	
<b>B.</b>	<b>For Release of first instalment</b>	
1.	Certificate/ Letter from State Government showing Annual Budget provision in State plan (for Central share as well as State share) and distribution of budget allocation for each scheme.	
2.	Whether the provision of budget by state government is in accordance with phasing of expenditure.	
3.	Amount of First Instalment recommended by the Regional Office(s) of MOWR	
4.	Signature Name and Designation of Recommending Officer	



C.	For releases of 2 <sup>nd</sup> / subsequent instalments	
1.	Amount of Central assistance released earlier (with Order No. dated.....)	
2.	Name of Executing Agency	
3.	Date of Letter of Intent/ Agreement	
4.	Scheduled Date of Completion of Work	
5.	Physical & Financial Progress of Work for the last quarter filled in FMP-2 & FMP-3 Performa by concerned state officers)	
6.	Whether the Project cost approved by the Empowered Committee is <b>firm and final</b> ; if not, whether the state government is ready to bear the additional cost of the project from their own resources (Please enclose a certificate from State Government in this regard).	
7.	Utilization certificate(s) in GFR-19 A.	
8.	Percentage utilization of central assistance released earlier.	
9.	Monitoring Report of GFCC/ CWC/ Br Board containing following details: (i) Construction drawings - Layout, Typical X- sections of work, etc. (ii) Selected Photographs of executed components/ works in progress. (iii) Details of field & laboratory Tests performed during construction by field engineers/ Quality Control Units and results thereof. (iv) Details of Sample tests made by Monitoring Teams of regional offices of MOWR & results thereof.	
10.	Status/ Report of concurrent evaluation of the works assigned to independent agencies (for schemes costing more than Rs 7.50 cr. only).	
11.	Certificate from State Government towards budgetary provision (central & state share) for the scheme during the current financial year.	
12.	Whether the provision of budget by state government is in accordance with phasing of expenditure approved.	
13.	Audited Statements of Expenditure, if due (Para 4.14 of MOWR Guidelines)	
14.	Recommendation of Regional Office(s) of MOWR and Amount of Recommendation.	
15.	Signature Name & Designation of Recommending Officer	

**FORM GFR 19- A**

[ See Rule 212 (1) ]

**Form of Utilization Certificate**

Sl. No.	Letter No. and date.	Amount
	Total	

Certified that out of Rs. .... of grants-in-aid sanctioned during the year ..... in favour of ..... Under this Ministry / Department Letter No. given in the margin and Rs. .... on account of unspent balance of the previous year, a sum of Rs. .... has been utilized for the purpose of ..... For which it was sanctioned and that the balance of Rs. .... remaining unutilized at the end of the year has been surrendered to Government (*vide* No. ...., dated .....) / will be adjusted towards the grants-in-aid payable during the next year .....

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

*Kinds of checks exercised*

- 1.
- 2.
- 3.
- 4.
- 5.

Signature .....

Designation .....

Date .....

### Broad Contents of Concurrent Evaluation Report

1. Name of the Project and Estimated Cost.
2. Name of River / tributary/Sub-tributary.
3. Location : village /Taluka/Distt.
4. Details of clearance of DPR by CWC / GFCC/AC-MOWR
5. Details of Investment Clearance accorded by Planning Commission
6. Details of approval by Inter-Ministerial Committee ( IMC-FMP)
7. Year-wise details of funds sanctioned / released ( Central Share and State Share )
8. Year-wise details of expenditure incurred ( Total, CS and SS).
9. List of works approved ( Type of work / structure and quantity)
10. Physical and financial Progress in FMP-2 and FMP-3.
11. Details of inspection by Evaluation Agency
  - (i) Date of inspection
  - (ii) Reaches/areas inspected
12. Findings of Evaluation Agency
  - (i) Whether works have been carried out as per approved DPR including the observations made during appraisal. In case of deviations, whether clearance/ approval of CWC / GFCC/ Advisory Committee / IMC-FMP has been obtained for the deviations. If not, status of the proposal for seeking approval / clearance.
  - (ii) Whether quality of works and materials used including workmanship is as per BIS norms.
  - (iii) Whether State Government has carried out quality control tests as prescribed by BIS.
  - (iv) Whether project authority has drawn programme for maintenance of works after their completion for effective utilization investment on the project.
13. Details of unsettled claims, pending litigation and their impact on scope, cost benefit and completion period of the project.
14. Details of structures, activities and expenditure there upon
15. Photographs of project taken during inspection of Evaluation Agency.
16. Any other relevant information.