

**GOVERNMENT OF INDIA
MINISTRY OF WATER RESOURCES**

**REVISED GUIDELINES
FOR PROVIDING CENTRAL ASSISTANCE
TO STATE GOVERNMENTS
FOR THE SCHEMES / PROPOSALS
OF
FLOOD CONTROL
AND RIVER MANAGEMENT WORKS**

**UNDER
FLOOD MANAGEMENT PROGRAMME
(2007-12)**

**NEW DELHI
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**REVISED GUIDELINES
FOR PROVIDING CENTRAL ASSISTANCE
TO STATE GOVERNMENTS
FOR FLOOD CONTROL AND RIVER MANAGEMENT WORKS
UNDER FLOOD MANAGEMENT PROGRAMME
- A STATE SECTOR SCHEME (2007-12).**

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).

The above schemes have been merged together and a restructured scheme, namely, "Flood Management Programme" under State Sector in Central Plan has been approved in-principle, for XI Plan period.

1.4 The sanction of the scheme has been conveyed vide MoWR Order No. 5/7/2006-Ganga (Vol.II) / 4749-77 dated 28.11.2007.

1.5 **During the 4th meeting of Empowered Committee on Flood Management held on 10th July' 2009 at Fresco Room in North Block, New Delhi, it was felt necessary that the original guidelines issued by the Ministry of Water Resources need more clarity in procedure for release of central assistance to state governments (two instalments in a financial year) and may be revised with the approval of Secretary (WR). Accordingly, the guidelines have been revised and circulated for future reference.**

2.0 SCOPE OF SCHEME

2.1 Under "Flood Management Programme" scheme, critical flood control and river management works in the entire country would be covered. These works would include river management, flood control, anti-erosion, drainage development, anti-sea erosion, flood proofing works besides flood prone area development programme in critical regions. It would also include restoration of damaged flood control/ management works.

2.2 The spillover works of aforesaid on-going central plan schemes of X Plan would also be supported under this scheme during XI Plan. The Central Assistance for spillover works shall be released on receipt of the request / proposals from the State Governments as per present norms.

3.0 IMPLEMENTATION ARRANGEMENTS

3.1 The scheme "Flood Management Programme" would be implemented generally by Flood Control/ Water Resources / Irrigation 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 The procedure(s), applicable to the schemes / projects, as laid down in Planning Commission letter No. 16(12)/1/99-WR dated 09.09.2003 and amended from time to time, shall be followed for submission and

examination of all flood control, river management, anti-erosion, improvement of drainage works, etc.

- 3.4 The proposals, which are appraised by the competent authority and secured all mandatory clearances from the specified Committees including State TAC, State Flood Control Board, Planning Commission, etc. would be considered and finalized for central assistance under this scheme by an Empowered Committee headed by Secretary (Expenditure), Ministry of Finance, Government of India. The Empowered Committee will have representatives from Ministry of Water Resources, Ministry of Finance, Planning Commission, Ministry of DONER, Ministry of Environment & Forests and other concerned organizations, as required.

4.0 ELEGIBILITY CRITERIA AND FINANCIAL ARRANGEMENTS

- 4.1 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.

- 4.2 Funding pattern for central assistance would be as under:

(a) Special Category States:

90% (Centre share): 10% (State share),

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

(b) Other States:

75% (Centre share): 25% (State share).

- 4.3 Central Assistance to all the States would also be provided for restoration of damaged flood management works with a funding pattern of 90% (Centre Share): 10% (State share). Central Assistance will not be provided for regular maintenance of flood management works but only for restoration of damaged works to complete them before next monsoon season provided such works were earlier constructed with central assistance and not covered under CRF/ NCCF.
- 4.4 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.

- 4.5 The State Governments which adopt Flood Plain Zoning Bill (circulated by Central Water Commission in 2000) early would be given priority over the other States.
- 4.6 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.
- 4.7 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 enclosed by the State Governments with the proposal for central assistance.
- 4.8 **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.**
- 4.9 **As the flood management works of critical nature, are expected to be completed in a time bound manner, say in a maximum of 2 to 3 financial years, 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 Empowered Committee 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.**
- 4.10 **Release of Central Assistance**
- 4.10.1 **For the works costing up to Rs. 15 crore and proposed to be completed in one working season (say December to June), 1st instalment of central assistance amounting to 50% of the total estimated cost of project (including state share) shall be released immediately on approval of the scheme by the Empowered Committee limiting to the corresponding provision made by the**

State in its budget in respect of both the central share as well as the matching state share. The remaining amount shall be released as 2nd instalment after (i) submission of utilization certificate in GFR-19A for 70% of the earlier release including matching state share, (ii) the monitoring report and (iii) annual budget provision made by the State. If the project is to be completed in two financial years (but in one working season from December to June), the 1st instalment will be released in the first financial year and the 2nd instalment in the second financial year.

- 4.10.2** For the works costing more than Rs.15 crore or not covered in the Para 4.10.1 above; central assistance in each financial year will be released in two instalments. Amount of central assistance in a particular financial year would be decided on the phasing of expenditure and construction programme. In such cases, the central assistance in a financial year would be released in two instalments; 1st instalment amounting to 90% of the central share provided in the annual budget by the state government and the 2nd instalment after (i) submission of the utilization certificate in GFR-19A for 70% of the earlier release including matching state share, (ii) due recommendations of the Monitoring Agency based on the monitoring report subject to provision made in subparagraph - 4.13 and (iii) corresponding budget provision made by the State both in respect of the central share as well as the matching state share.
- 4.10.3** Central assistance towards the expenditure incurred by the state governments on a scheme in the previous financial year(s) before its approval by the Empowered Committee 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 Empowered Committee under FMP) would be reimbursed in the same financial year or, if the central assistance is not released in that financial year, in the next financial year, in which case requirement of budget provision may not be necessary.
- 4.10.4** In case of a claim of reimbursement, a certificate towards actual expenditure will be submitted by the State Government duly countersigned by Principal Secretary/ Secretary of concerned department (Water Resources/ Irrigation/ Flood Management Department).
- 4.10.5** If the project authority fails to adhere to the completion schedule

(as indicated in FMP-I) and unable to complete the project in scheduled time, further central assistance after the scheduled completion period (from next financial year) may be released to the state governments only when sufficient justification is provided and the Monitoring agency is satisfied with the reasons for delay.

- 4.10.6** 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 & 4), in order to avoid attracting the provision of Para 4.10.5.
- 4.11** The grant-in-aid along with state share would be released by the State Government to the concerned project authorities executing the works within 15 days of receipt of central assistance from the Government of India and a certificate to this effect would be submitted immediately thereafter, by the State Finance Department to the Ministry of Water Resources, GOI. If the State Government fails to release the requisite fund to the project authority in the stipulated time, the full central grant-in-aid released for the work would be converted into loan and it would be recovered as per usual terms of recovery of central loan.
- 4.12** 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 before submitting the proposal for release of subsequent instalments. In case of work being implemented by the Central Government Organizations/ Undertakings, the utilization certificate may be countersigned by the Head of organization/ undertakings.
- 4.13** Release of central assistance would be based on the recommendations of the Monitoring Agencies as specified in the subsequent paragraphs. For the works costing more than Rs.15.00 crore, 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 and (iii) annual budget provision made by the State. However, report of the Monitoring Agency will be required before release of 2nd instalment.

- 4.14 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.

5.0 MONITORING & EVALUATION MECHANISM

- 5.1 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.
- 5.2 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.
- 5.3 A scheme costing less than Rs.7.50 Crore would be considered only in exceptional cases, where the State Government submits a certificate that there is no other proposal/works required on the same river at present for consideration under the State Government. While recommending the works costing less than Rs.7.50 crores for inclusion in FMP, the Central Government Organizations viz. CWC, Brahmaputra Board & GFCC would certify that these central organizations have participated in the State TAC meetings or the cost estimates of the works have been technically checked/ examined by them.**
- 5.4 The state governments would commission concurrent evaluation studies for the schemes which cost more than Rs.7.50 crore

through reputed 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). For the schemes costing less than Rs.7.50 crore, the performance would be evaluated after the schemes are completed.

- 5.5 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.
- 5.6 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.***
- 5.7 The Department of Space/ NRSA may also be associated in monitoring of physical progress of the schemes through advanced techniques such as Remote Sensing.
- 5.8 Performance evaluation of the completed works would be conducted by independent specialized/ professional agencies having expertise in related field in consultation with CWC/ GFCC/ Brahmaputra Board as the case may be.

PROFORMA FOR SUBMITTING THE PROPOSALS BY STATE GOVERNMENTS IN RESPECT OF CENTRAL ASSISTANCE UNDER THE STATE SECTOR SCHEME "FLOOD MANAGEMENT PROGRAMME" IN XI PLAN (2007-2012)

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 XI Plan (2007-12)

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	(Executive Engineer)
Chief Engineer (WRD) Concerned	Name of Division

Flood Management Programme during XI Plan (2007-12)

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

Name of Work:

	Information/ Clearances	Fill up details of the Scheme / Reference No.
A	General	
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.	For Release of first instalment	
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 nd / 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 firm and final ; 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	

