

**Guidelines  
for  
Submission, Appraisal and  
Clearance  
of  
Irrigation and Multipurpose  
Projects, 2010**

## **INTRODUCTION**

1.1 The Guidelines for Submission, Appraisal and Clearance of Irrigation and Multipurpose Project, 1989 had been prepared by the Project Appraisal Organisation (PAO), Central Water commission (CWC) on the basis of the recommendations of the National Conference of Irrigation and Water Resources Ministers held in July, 1986 (**Annexure-1**).

1.2 The existing procedure for scrutiny examination of Irrigation & Multipurpose projects by CWC and acceptance by Planning commission for inclusion in the State Development Plan was drawing attention of the MoWR due to pendency of many projects cleared by the Advisory Committee but awaiting investment clearance from Planning Commission in absence of clearance from Ministry of Environment & Forests (MoEF), Ministry of Tribal Affairs (MoTA), State Finance Desk and other agencies. Meanwhile the Planning Commission also simplified procedure of investment clearance to the projects other than those on inter-State river vide their letter Nos. 16(12)/96-I&CAD dated 17<sup>th</sup> November, 1997 (**Annexure-2**), 16(12)/96-I&CAD dated 7<sup>th</sup> January, 1998 (**Annexure-3**) and 16(12)/99-WR dated 30<sup>th</sup> November, 2000 (**Annexure-4**). Hence modifications in the existing appraisal procedure for inter-State projects in the CWC had become essential.

1.3 Accordingly, the existing procedure of project appraisal of Irrigation, Flood Control & Multipurpose Projects for both major and medium projects, which are having inter-State ramification, had been revised to accommodate various subsequent changes in guidelines of the Planning Commission and first revised Guidelines in this respect were issued in 2002. As per the Guidelines 2002, the concerned State Government in the initial stage

submits preliminary report covering surveys and investigations, international/inter-State aspects, hydrology, irrigation planning, brief environmental aspects, intended benefits, etc. which are required to establish soundness of the project proposal. The project proposal is examined and if found acceptable, the CWC conveys 'In Principle' consent to the State Government for preparation of Detailed Project Report (DPR). Thereafter, DPR is prepared with up-to-date cost and simultaneously the Project Authorities process and obtain necessary clearances of the Ministry of Environment & Forests in respect of Environment Impact Assessment and Forest area being diverted. If Scheduled Tribe population is diverted, the clearance of R&R Plans is obtained from the Ministry of Tribal Affairs. The DPR thus prepared is examined in CWC. In States where central design and planning organizations do not exist, the CWC checks the designs also. The CWC finalizes the cost, B.C. ratio, internal rate of return etc. and the State Government obtains concurrence of the State Finance Department for the finalised cost. The project proposal, thereafter, is put up to the Advisory Committee for clearance, which is, by and large, like single window clearance.

1.4 Of late, it has been observed in some of the projects that, the State Government takes unduly long time in compliance of the observations of CWC and other Central Appraising Agencies. As a result, a number of project proposals remain in the pending list of CWC even for more than the plan period. By the time, the State Government submit the compliance of the observations; the project estimates become irrelevant and are required to be modified. In order to streamline such delay, the Guidelines for Submission, Appraisal and Clearance of Irrigation and Multipurpose project,

2002 has been a little bit modified with the inclusion of certain Para and detailed checklist.

1.5 The present modified Guidelines 2010 are applicable to major and medium projects on inter-State rivers or their tributaries.

1.6 The Procedure for submission, appraisal and clearance outlined in the modified guidelines shall now be followed by the State Governments, will come into effect from 31<sup>st</sup> August, 2010.

## **2 PRELIMINARY REPORT**

2.1 On the basis of collection of requisite information as well as Surveys and Investigations, the preliminary report shall be prepared to contain brief and to the point chapters on General data, General Planning, Inter-State and International aspects, Surveys & Investigations including Geological investigation, Seismic investigation, Foundation investigation, Construction material survey, Hydrological and meteorological investigations etc. Hydrology, Drinking water requirements, Irrigation planning, plans for other intended benefits, Environmental and Ecological aspects, etc. required for initial assessment of soundness of the basic planning of the project proposal as per the check-list (**Annexure-5**). Applicable check-list shall also be attached to ensure that all the desired information is contained.

2.2 Eight sets of Reports in respect of Major projects shall be submitted to the Chief Engineer, Project Appraisal Organisation (PAO), Central Water Commission (CWC), New Delhi. Reports in respect of Medium Projects shall be submitted to respective regional offices of CWC under intimation to the Chief Engineer, PAO, CWC. The submission and

clarifications/compliance of the observations shall be attended by the concerned Chief Engineer of the State.

2.3 The preliminary reports shall be quickly scrutinized in the Office where they are submitted. However, once a report is found acceptable, “In Principle” consent of CWC for DPR preparation shall be communicated from the Office of the Chief Engineer, PAO, CWC after examination and clearance by a Screening Committee. The time schedule for according “In Principle” consent of CWC for preparation of DPR is given at **Annexure-6**.

2.4 While communicating the said consent, the project authorities will be advised for preparation/submission of DPR in accordance with CWC guidelines. They will also be advised to submit Environment Impact Assessment Report together with R&R Plan, Environment and Disaster Management Plans along with broad cost estimate. An application for forest clearance, if required, may be sent to the Ministry of Environment & Forest (MoEF) with a copy to the Chief Engineer, EMO, CWC. In case Schedule Tribe population is likely to be affected, the R&R Plan will also be submitted to the Ministry of Tribal Affairs (MoTA).

2.5 The project authorities shall ensure that all necessary actions are taken to obtain clearances from the above mentioned Ministries well in time after due appraisal and DPR is submitted along with these clearance, whenever required.

2.6 The submission and clearance of Environment Impact Assessment, R&R Plans etc. and Forest Clearance shall be governed by the prevailing norms and regulations of the related Ministries.

2.7 The 'In Principle' consent of CWC for DPR preparation for a project shall have a validity period of 3 (three) years. In case Investment clearance is not accorded to this project within this validity period, the 'In Principle' consent will suo-moto lapse.

### **3 DETAILED PROJECT REPORT**

3.1 Detailed Project Report (DPR) shall be prepared in accordance with applicable Indian Standards and "Guidelines for preparation of Detailed Project Reports of Irrigation and Multipurpose Projects" issued by Govt. of India, MoWR (erstwhile Ministry of Irrigation)–1980, after detailed surveys and investigations. It must be ensured that duly completed check-list, salient features and all relevant details as well as maps, annexure, etc. as required by the aforesaid MoWR Guidelines are contained in the report and estimates are comprehensive as well as up-to-date in accordance with the existing guidelines issued by Central Water Commission (1997).

3.2 The clearances obtained in respect of Environment Impact Assessment, Forest, R&R Plans, etc. shall also be appended with DPRs and implied costs shall be duly accounted in the estimate.

3.3 Twelve sets of DPRs alongwith relevant clearances as per check-list (**Annexure-7**) in respect of Major Projects shall be submitted to the Chief Engineer, PAO, CWC for examination. In case of medium projects, proforma reports shall be prepared giving salient features, notes in respect of basic planning, international / inter-State aspects, hydrology, irrigation planning, storage planning, spillway capacity, rates of important items, abstract of cost

estimates, benefit cost ratio, etc. and sufficient copies of the same shall be submitted to respective regional offices of CWC for examination under intimation to the Chief Engineer, PAO, CWC.

3.4 In case Design & Planning Organizations are existing in the concerned State or the State certifies that it has sufficient competency to design such projects and a certificate is furnished by them in prescribed proforma (**Annexure-8**) in respect of their detailed examination/clearance of the project proposal and appraisal/clearance of the State level project Appraisal/Technical Advisory and Environmental Appraisal committees, examination of the project by CWC will be generally restricted to inter-State aspects, basic planning, hydrology and economic viability. In such cases only 8 sets of DPR for Major projects and 4 sets of proforma report in case of Medium projects may be sent to respective offices of CWC for examination.

3.5 In case CDO certificates are not appended with DPRs/proforma reports, they shall be scrutinized in detail. Major project proposals shall be examined in concerned Directorates of CWC, Ministry of Water Resources (MoWR), Ministry of Agriculture, Central Ground Water Board (CGWB) and other Central agencies in respect of items pertaining to their area of specialization/area of concern. During techno-economic appraisal, State compliance to CWC observations will be required to be submitted by an officer not below the rank of Chief Engineer/Equivalent competent Authority.

3.6 All projects in the Ganga-Brahmaputra-Meghna and Indus basins would be examined from International angle in the MoWR. The State Governments which have borders with neighbouring countries should in

particular keep this in view while considering any project close to International borders right from the initial stage of investigation and planning. This applies to major as well as medium projects irrespective of the fact that a Central Design and Planning Organization exists in that State or not. Similarly inter-State aspects and implications shall be duly verified in ISM Dte., of CWC even in case of medium projects.

3.7 The final estimate shall be based on finalized designs and details of civil and hydraulic structures and economic analysis will be carried out by the Project Authorities/CWC adopting standard/accepted procedures. The project authorities will also submit concurrence of the State Finance for the finalized cost.

3.8 Once techno-economic viability of a Project Proposal is established, a comprehensive note and check-list, duly finalized by PAO, CWC shall be circulated among Members of Advisory Committee of MoWR (Composition at **Annexure-9**) for consideration and clearance of Irrigation, Flood Control and Multipurpose Project Proposals.

3.9 The State Engineers of the level of Chief Engineer/Superintending Engineer associated with the project formulation/design will be invited to attend the Advisory Committee meeting so as to furnish information/clarifications, if any, sought by the Members of the Advisory Committee.

3.10 On the basis of examination conducted by the Advisory Committee, decision on techno-economic viability of the projects is taken in the meeting of this Committee.



3.11 The projects found acceptable by the Advisory Committee shall be recommended for investment clearance by the Planning Commission and inclusion in the Five Year Plan/Annual Plan.

3.12 Normally for project proposals submitted with CDO certificates, appraisal will be completed within six months and for other proposals it would be completed within 12 months provided response of the concerned State in respect of the observations of Central Agencies are received within 3 months. In case the technical issues are not settled and/or other requirements for TAC clearance viz., clearances of MoEF, MoTA, TAC of concerned state, etc., and State Finance Concurrence for the estimated cost are not furnished within one year, the project shall be treated as returned.

#### **4 REVISED PROJECT/ ESTIMATE**

4.1 In case of major and medium projects which have been approved by the Planning Commission and where the revised estimates of the project have increased by more than 15% of the original estimates, excluding escalation due to price-rise, or where there is change in scope i.e. change in projects parameters resulting in change in nature and benefits such as CCA, installed capacity, energy generation etc., Revised project Reports including Estimates will be furnished to CWC for examination as new major/medium schemes and the procedure for scrutiny for such revised project/estimates shall be same as outlined in the preceding chapters. Statement of excess costs, as detailed in Para 4.4 shall also be appended with the revised estimates.

4.2 The revised estimate for Major Irrigation and Multipurpose Projects, where there is no change in scope shall be critically examined in the State

Standing Committee before submission to CWC. The estimates shall be submitted to CWC incorporating the action taken report on the recommendations of the committee as per direction of the Planning Commission vide circular No. 16(12)/2003/WR dated 18.05.2004 (**Annexure-10**).

4.3 The revised estimates for medium projects in which there is no change in scope can be approved by the TAC of concerned State under intimation to CWC, MoWR and Planning Commission as per direction of the Planning Commission vide circular No. 16(12)/2003/WR dated 18.05.2004 (**Annexure-10**). In this regard, a State Government will have to first satisfy the CWC that there has no change in the scope of the project and obtain their clearance for this before approving revised cost. If required, CWC will carry out a site inspection of the project before issue of no objection.

4.4 In respect of revised project estimates for Major Irrigation and Multipurpose Projects where there is no change in the scope and where the costs excluding escalation due to price rise have not changed by more than 15%, the concerned State Govt. need not forward detailed estimates for examination at Centre. For such projects/estimates the State Govt. should send project-wise statements of excess costs to CWC giving the abstract of costs under major sub-heads indicating the excess costs over the sanctioned costs and reasons thereof after obtaining concurrence of the State Finance Department. The covering note will include the salient features of the project contemplated in original proposal and that being executed at site. The CWC will examine such estimates broadly and send its views to the Advisory Committee for consideration and recommendation of the Planning Commission.

4.5 Time for appraisal of the revised estimates in CWC as well as response time for compliance by the concerned State Government shall be same as per para-3.12.

4.6 When revised estimates are prepared during construction, the quantities of items completed should be indicated separately and the cost thereof assessed on the basis of actual expenditure. Any liability arising out of the contract for the completed work and affecting the cost should also be considered in the estimate.

For works in progress, the estimates should be based on contract rates. If the contract document contains any clause for escalation on the prices of materials and labour wages subsequent to the award of contract, the amount involved should be assessed and included in the estimate.

For works, not covered in any contract, prevailing local rates may be taken for items covered in the Schedule of Rates and for remaining items rates may be adopted on the basis of analysis of rates, prepared in accordance with the guidelines issued by CWC.

In case of any doubt on the viability of rate of any item, a certificate from the State/ Project Chief Engineer, duly justifying reasonability of the rate, shall generally be taken as final and acceptable.

**EXTRACT OF “SUMMARY RECORD OF NATIONAL CONFERENCE OF IRRIGATION AND WATER RESOURCES MINISTERS OF STATE AND UNION TERRITORIES HELD IN NEW DELHI, JULY 86”**

**2.2 Project Clearance**

The Conference felt that improvement in project preparation at the State level would be an essential step to reduce the time taken for the techno-economic examination of projects at the Centre. For speedy clearance it recommended the following steps:

- i) The projects should not be sent to the Centre for techno-economic examination unless these have been thoroughly and comprehensively prepared on an integrated basis by a multi-disciplinary Cell in conformity with the guidelines laid down for the purpose.
- ii) The State Government should indicate their priorities for examination of projects in CWC at the time of Annual Plan discussions.
- iii) Medium irrigation projects should be examined in the State's Design Organizations wherever existing and only thereafter these may be sent to the Central Water Commission for information with regard to water accounting. Where State design Organizations do not exist the present procedure will continue. Inter-State aspects of medium projects are, however, required to be cleared by the Centre.
- iv) In case there is a Central Design Organization in the State Irrigation Department and the major projects are examined in such Organization before these are sent to the CWC, the examination of such projects in the Central Water Commission may be restricted to the scrutiny of Inter-State aspects, hydrology, water accounting and economic viability. In case, there is no Central Design Organization in the State irrigation Department, the major project reports will continue to be examined in the Central Water Commission as per existing procedure.
- v) Central agencies in turn should review the procedures for techno-economic and other scrutinizes in consultation with the State and Union

Territories and try to ensure that examination by diverse agencies run parallel and not in sequence and are completed within prescribed time-limits.

**Annexure-2**

No. 16(12)/96-I&CAD  
Planning Commission  
(I&CAD Division)

Sansad Marg, New Delhi  
November 17, 1997.

To

The Chief Secretary of  
All States/UTs

Subject: Revised Guidelines for Investment Clearance by the Planning Commission in respect of Medium Irrigation Schemes.

Sir,

1. The procedure for submission and examination of irrigation projects was laid down by the Planning Commission in its letter No. III-I(1)65-IP dated 25<sup>th</sup> July, 1966. This was modified vide letter of even number dated 4<sup>th</sup> January, 1968. The revised classification of major and medium irrigation schemes was circulated by the Planning commission vide letter No. II-11(42)72-I&CAD dated 25<sup>th</sup> September, 1975.
2. Keeping in view the policy of decentralization, the relaxation in the existing procedure has been under consideration of the Planning Commission for quite some time. Accordingly, the revised guidelines for investment approval for irrigation projects under State Plans are issued as under:
  - (a) The Planning Commission shall hereafter accord investment clearance in case of all major irrigation and / or multipurpose projects and in the case of medium irrigation, only for those projects where Inter-State angle is involved.
  - (b) The State Governments are hereby empowered to accord investment approval for medium irrigation schemes that do not involve any Inter-State aspect(s). However, in case of medium irrigation projects having Inter-state aspects/issues, such schemes would need techno-economic appraisal by Central Water Commission, and the

Advisory Committee on Irrigation, Flood Control and Multipurpose Projects in the Ministry of Water Resources as well as investment clearance by the Planning Commission as per the procedure in vogue.

(c) Before according the investment approval to a medium irrigation scheme, the State Government should take into account the committed liabilities of on-going schemes vis-à-vis the availability of resources for the implementation of such scheme in the Plan so that available resources are not thinly spread over number of schemes resulting in time and cost overruns. For this purpose, the State Irrigation/Water Resources Deptt. should obtain the clearance from their State Planning Department.

(d) Also, the State Government. shall obtain all required statutory clearance(s) from the Ministry of Environment & Forest and Ministry of Welfare like environmental clearance. Forest clearance, approval for rehabilitation and resettlement Plan and all other clearance, as may be required before the investment approval is accorded.

(e) Before according investment approval, the State Government. shall satisfy itself that:

- (i) the schemes have been prepared after adequate investigation;
- (ii) the estimates are complete and correct technically;
- (iii) the financial forecasts and estimates of benefits anticipated are based on reliable and accurate data; and
- (iv) the need of environment conservation and proper rehabilitation of project – affected persons have been taken into account.

If required, the States can seek the assistance of Central Water Commission in the design of dams, barrages and canals etc.

(f) The State Governments shall intimate the copy of the investment clearance accorded by them in respect of eligible medium irrigation

schemes to the Planning Commission, Ministry of Water Resources, Central Water Commission and all concerned Central Ministries / Organizations.

3. These revised guidelines take place with immediate effect.

Yours faithfully,

Sd/-

(B.N. Navalawala)  
Adviser (I&CAD)

Copy for information to:

1. Cabinet Secretary, Cabinet Secretariat, Rashtrapati Bhawan, New Delhi – 110001.
2. Principal Secretary, Prime Minister's Office, South Block New Delhi.
3. Secretary to President, President Estate, New Delhi.
4. Secretary, Ministry of Water Resources, Shram Shakti Bhawan, New Delhi.
5. Secretary, Ministry of Agriculture (Deptt. of Agri. & Cooperation), Krishi ,Bhawan, New Delhi.
6. Secretary, Ministry of Environment & Forests, New Delhi.
7. Secretary. Ministry of Welfare, Shastri Bhawan, New Delhi.
8. Chairman, Central Water Commission, Sewa Bhawan, R.K. Puram, New Delhi.
9. Joint Secretary, Ministry of Finance, Deptt. of Expenditure, Plan Finance II, North Block, New Delhi.
10. Chief General Manager, NABARD, Sterling Centre, Post Box No. 6552, Dr. Annie Besant Road, Worli, Mumbai-18
11. Irrigation Secretary of all the States / Administrator of U.Ts.
12. Principal Adviser (Admn)/Adviser (P&E), Planning Commission.

13. Information Officer, Planning Commission

Sd/-

(B.N. Navalawala)

**Annexure-3**

**CLARIFICATION OF PLANNING COMMISSION REGARDING  
INTER- STATE RAMIFICATION**

No. 16(12)/96-I&CAD  
Planning Commission  
(I&CAD Division)

Sansad Marg, New Delhi – 110001  
January 7, 1998

To

The Chief Secretary of  
All States/UTs

Subject: Revised Guidelines for Investment Clearance by the Planning  
Commission in respect of Medium Irrigation Schemes.

Sir,

Recently, the Planning Commission vide letter of even number dated 17.11.1997 on the above cited subject have issued Revised guidelines for investment clearance in case of medium irrigation projects.

2. In continuation, it is hereby clarified that any medium project which is located on an Inter-State or its tributary will be deemed to involve inter-state aspects/issues and thereby the projects on this category are not covered by the above guidelines and, as such, shall need investment clearance from the Planning Commission as per the procedure in vogue. Before consideration of a medium irrigation project for investment clearance, the concerned State/UT Govt. shall approach the Central Water Commission to obtain the confirmation / certification from the CWC to the effect that proposed medium project is not located on an inter-state river or its tributary. The Central Water Commission shall confirm/certify or otherwise to this effect within 4 week's time from the date of receipt of a State's such reference in CWC.



3. Further, it has now been decided in consultation with the CWC that the scrutiny of medium irrigation projects at CWC shall henceforth be completed in 18 weeks' time from the date of receipt of project proposal in CWC where the inter-state aspects have been resolved and hydrology and economic viability of the project is found acceptable. Whereas, in case of major irrigation and multipurpose projects, the scrutiny at CWC shall henceforth be completed in 38 weeks' time from the date of receipt ;of DPR in CWC. Accordingly, the Central Water Commission will be shortly issuing revised guidelines for submission, appraisal and clearance of irrigation & multipurpose projects in lieu of prevailing guidelines issued by them in the year 1989.

4. The above guidelines shall be treated as part of the revised guidelines issued under Planning Commission's letter of even number dated 17.1.1.1997, copy thereof enclosed for ready reference.

Thanking you,

Yours faithfully,  
Sd/-  
(B.N. Navalawala)  
Adviser (I&CAD)

Copy for information to:

1. Cabinet Secretary, Cabinet Secretariat, Rashtrapati Bhawan, New Delhi – 110001.
2. Principal Secretary, Prime Minister's Office, South Block New Delhi.
3. Secretary to President, President Estate, New Delhi.
4. Secretary, Ministry of Water Resources, Shram Shakti Bhawan, New Delhi.
5. Secretary, Ministry of Agriculture (Deptt. of Agri. & Cooperation), Krishi Bhawan, New Delhi.
6. Secretary, Ministry of Environment & Forests, New Delhi.
7. Secretary. Ministry of Welfare, Shastri Bhawan, New Delhi.
8. Chairman, Central Water Commission, Sewa Bhawan, R.K. Puram, New Delhi.
9. Joint Secretary, Ministry of Finance, Deptt. of Expenditure, Plan Finance II, North Block, New Delhi.
10. Chief General Manager, NABARD, Sterling Centre, Post Box No. 6552, Dr. Annie Besant Road, Worli, Mumbai-18
11. Irrigation Secretary of all the States / Administrator of U.Ts.
12. Principal Adviser (Admn)/Adviser (P&E), Planning Commission.
13. Information Officer, Planning Commission

Sd/-  
(B.N. Navalawala)

**Annexure-4**

No. 16(12)/99-WR  
Planning Commission  
(Water Resources Division)

Yojana Bhavan, Sansad Marg,  
New Delhi – 110001  
DATED 30.11.2000

To

All Chief Secretaries of  
States/UTs

Subject: Revised Guidelines for Investment Clearance by the Planning  
Commission in respect of Irrigation and Flood Control Projects.

Sir,

Keeping in view the policy of decentralization, the guidelines for investment approval by the Planning Commission for Irrigation and Flood Control including drainage projects under the State Plans are revised as detailed below:

(1) All major and or multi-purpose and medium irrigation projects and flood control including drainage projects which have Inter-State ramifications will be subject to techno-economic appraisal in CWC and then approval by the Advisory Committee on Irrigation. Flood Control and Multi-purpose projects in the MoWR before the investment clearance of such projects / schemes is accorded by the Planning Commission and in this case the prevailing procedure would continue. Guidelines issued earlier vide letter Nos. 16(12)/96-I&CAD dated 17.11.97, No. 16(12)/96-I&CAD dated 7.1.98 and No. 16(12)/1/99-I&CAD dated 18.6.99 refer in this regard.

(2) The State Governments are hereby empowered to accord investment approval for the major and or multipurpose & medium irrigation projects and flood control including drainage projects which do not have inter-State ramifications. It is also clarified that any project which is located on an inter-State river or its tributary will be deemed to involve inter-State ramification

and as such shall need investment clearance from the Planning commission as per the para (1) above.

(3) Before according the investment approval to the schemes/ projects, the concerned State/UT Government will first obtain as a pre-requisite a certificate from the Central Water Commission in case of major and medium irrigation (and multi-purpose) projects whereas for flood and drainage projects schemes, a certificate from Ganga Flood Control Commission in case of all Ganga Basin State, the Brahmaputra Board in case of all the North Eastern States including Sikkim and CWC in case of all other States to the effect that such project/scheme does not have any inter-State ramifications/implications.

(4) The State Government should take into account the committed liabilities of ongoing schemes vis-à-vis the availability of resources for the implementation of such scheme in the Plan so that available resources are not thinly spread over number of schemes resulting in time and cost overruns. For this purpose, the State Irrigation / Water Resources Department should obtain the clearance from their State Planning Department.

(5) Also the State Government shall obtain all required statutory clearance (s) form the Ministry of Environment & Forests and Ministry of Social Justice and Empowerment like environmental clearance. Forest clearance, approval for rehabilitation and resettlement plan and all other clearances, as may be required before the investment approval is accorded.

(6) Before according investment approval, the State Government shall satisfy itself that:

- (a) the schemes have been prepared after adequate investigations;
- (b) the estimates are complete and correct technically;
- (c) the financial forecasts and estimates of benefits anticipated are based on reliable and accurate data; and
- (d) the need of environment conservation and proper rehabilitation of project-affected persons have been taken into account.

(7) The State Governments shall intimate the copy of the investment clearance accorded by them in respect of eligible schemes to the Planning Commission. Ministry of Water Resources/ Central Water Commission and all concerned Central Ministries Organizations.

The above revised guidelines take place with immediate effect.

Yours faithfully,  
Sd/-

(B.N. Navalawala)  
Adviser (WR)

Copy for information to:

1. Cabinet Secretary, Cabinet Secretariat, Rashtrapati Bhawan, New Delhi – 110001.
2. Principal Secretary, Prime Minister's Office, South Block New Delhi.
3. Secretary to President, President Estate, New Delhi.
4. Secretary, Ministry of Water Resources, Shram Shakti Bhawan, New Delhi.
5. Secretary, Ministry of Agriculture (Deptt. of Agri. & Cooperation), Krishi Bhawan, New Delhi.
6. Secretary, Ministry of Environment & Forests, New Delhi.
7. Secretary, Ministry of Social Justice & Empowerment, Shastri Bhawan, New Delhi.
8. Chairman, Central Water Commission, Sewa Bhawan, R.K. Puram, New Delhi.
9. Chairman, Ganga Flood Control Commission, Patna, Bihar..
10. Chairman, Brahmaputra Board, Guwahati, Assam.
11. Joint Secretary, Ministry of Finance, Department of Expenditure, Plan Finance, North Block, New Delhi.
12. Chief General Manager, NABARD, Sterling Centre, Post Box No. 6552, Dr. Annie Besant Road, Worli, Mumbai-18
13. Irrigation Secretary of all the States / Administrator of U.Ts.
14. Adviser (Admn)/Adviser (P&E), Planning Commission.
15. Information Officer, Planning Commission

Sd/-  
(B.N. Navalawala)

**Annexure-5**

**Check List for Preliminary Report**

1. Does the Preliminary Report contain the chapters on:
  - i) General Data:

This chapter would include the location, category and other physical features of the project.
  - ii) General Planning:

This chapter would include the discussion on the master plan for overall development of river basin and stages of basin development, alternative proposals of the project with their merits and demerits, priority of the project in the overall development of the basin, the effect of the scheme on the riparian rights existing upstream and downstream of the project, etc.
  - iii) Inter-state and International Aspects:

This chapter would include the Inter-state and International issues identified and present status of agreement indicated especially in respect of sharing of water, sharing of costs, sharing of benefits, acceptance of the submergence by the upstream state(s), compensation of land coming under submergence, settlement of oustees and any other issue if so. If there is no agreement between the states exists, the present position against the aforementioned items may be stated.
  - iv) Survey & Investigations:

This chapter would include detailed topographical surveys in respect of river, reservoir, head works (dams, dykes, barrages, weirs and other auxiliary component), plant site and colonies, canals, branch canals and water conductor systems, major canal structure, power house, tunnels, adits, penstocks, command area for OFD and drainage works, soil conservation, etc. Apart from the above, the geological investigation, seismic investigation, foundation investigation and construction material survey for the project should also be discussed.

v) Hydrology:

This chapter would include an index map and bar chart showing locations of various hydrometric, climatic and rainfall stations and the data availability at those stations. A brief note about quality, consistency, processing and gap filling of the data should be furnished. Apart from the above, the availability of water for the benefits envisaged, design flood for the various structures, sedimentation studies, simulation studies, flood routing studies, backwater studies, etc, should also be carried out and discussed.

vi) Irrigation Planning:

This chapter would include all aspects of irrigation planning.

vii) Planning for other intended benefits:

This chapter would include a brief details of other benefits like flood control and drainage, power, drinking water requirements, etc.

viii) Environmental and Ecological Aspects:

**Annexure-6**

**FLOW CHART FOR EXAMINATION OF PRELIMINARY REPORTS ON  
IRRIGATION AND MULTI-PURPOSE PROJECTS (MAJOR)**

**TOTAL DURATION: 18 WEEKS**

Preliminary Examination in the Appraisal Directorates and Circulation to specialized Directorates of CWC

(1 Week)

Examination in the various specialized Directorates of CWC and transmission of first set of comments to State.

(4 Weeks)

Submission of State's replies to the Comments raised by the Appraisal Directorates of CWC/ other central agencies including further studies and investigation etc.

(4 Weeks)

Examination of state's replies and discussion with the project engineers for finalization in the CWC

(6 Weeks)

(If re

Preparation of Note by the Appraisal Directorates for the Screening Committee of CWC for conveying In-Principle Consent for preparation of DPR or otherwise.

(3 Weeks)





**Check List for Detailed Project Report**

1. Whether the “In Principle” consent of the proposal been accorded by CWC ?
2. Date of issue of the “In principle” consent of the project proposal.
3. Whether the DPR has been submitted within the stipulated period ?
4. Whether the DPR has been prepared as per the existing guidelines of Ministry of Water Resources (erstwhile Ministry of Irrigation) ?  
(Please refer check-list enclosed in Working Group Report Guidelines for preparation of Detailed Project Report of Irrigation and Multipurpose projects-1980)
5. Whether the State has Planning and Design Organisation ?
  - i) If yes, whether certificate (along with date) has been issued by the organisation that the Design organisation is competent enough to check the design of all the components of the project and all the structural components as mentioned in the DPR are safe and economical ?
  - ii) If no, whether detailed design and drawings of all the structural components are attached ?
6. Whether the DPR has been submitted with;
  - i) Forest clearance accorded by MoEF (if required).
  - ii) Environmental clearance accorded by MoEF (if required).
  - iii) R&R clearance accorded by MoTA (if required).
  - iv) Clearance from other Ministries/Department (if required)
  - v) State Finance Concurrence.  
If yes, date of their clearance.  
If no, expected date of their clearance.

**Sample Letter of Clearance of Major / Medium Irrigation / Multi-purpose Projects by the CDO of the State Govt.**

To

The Chief Engineer,  
Project appraisal Organization,  
Central Water Commission  
Sewa Bhavan, R.K. Puram,  
New Delhi – 110066

Subject: Clearance ----- Major/ Medium Irrigation/  
Multipurpose Project.

The above project has been examined in the Central Design Organization with reference to the Checklist as per guidelines for preparation of DPR 1980 and it is found that:

- i) All necessary surveys and investigations for planning of the project and establishing its techno-economic feasibility have been carried out as per the aforementioned guidelines.
- (ii) 10%/5000 ha. of the command area of the project (whichever is minimum) has been investigated in full details in three patches representing terrain conditions in the command for estimation of the conveyance system upto the last farm gates.
- (iii) 10% of the Canal structures have been investigated in full detail.
- (iv) Detailed Hydrological, geological, construction material investigations, have been carried out for all major structures i.e. dams, weirs, main canal, branch canal up-to distributaries carrying a discharge of 10 cumecs.

- (v) Soil survey of the command has been carried out in detail as per IS 5510-1969.
- (vi) Necessary designs for the various components of the project has been done in accordance with the guidelines and relevant Indian Standards.
- (vii) Necessary studies for utilization of ground water have been done with special regard to problem of water logging and suitable provisions have been made for conjunctive use of ground water & drainage arrangements.
- (viii) The cropping pattern has been adopted in consultation with the State Agriculture Department and are based on soil surveys of the command keeping in view the national policy in respect of encouraging crops for producing oil seeds and pulses.
- (ix) The cost estimates and economic evaluations are carried out as per guidelines issued by the Central Water Commission.
- (2) The project has also been examined by the State level Project appraisal / Technical Advisory Committee comprising representative of Irrigation, Agriculture, Fisheries, Forests, Soil Conservation, Ground Water, Revenue and Finance Deptt and State level Environmental Committee etc. and techno-economic feasibility of the project has been established.
- (3) The project is recommended for clearance by Centre and approved by Planning Commission.

Chief Engineer,  
Central Design Organization,  
Irrigation Water Resources Department,  
Govt. of-----

**(TO BE PUBLISHED IN THE GAZETTE OF INDIA PART – I SECTION – I)**

No. 12/5/86-P-II  
Government of India  
Ministry of Water Resources  
New Delhi,

27<sup>th</sup> November, 1987.

**RESOLUTION**

Sub: Advisory Committee for Consideration of techno-economic viability of Major, Medium Irrigation, Flood Control and Multipurpose project proposals.

1) A Committee for recommending projects to be included in the Second Five Year Plan was set up by the Planning Commission, vide their Resolution No. PC(V)/IV(5)/54, dated the 20<sup>th</sup> February, 1954. Later, the Planning Commission constituted an Advisory Committee for Irrigation, Flood Control and Multipurpose projects, vide their letter No. II-16(25)(1)/76-I&CAD, dated the 27<sup>th</sup> September, 1976. This Committee was entrusted with the function of getting the project examined by the Central Water Commission and Central Electricity Authority, as required to determine their techno-economic viability.

(2) The arrangements for scrutiny of techno-economic viability of irrigation, flood control and multipurpose projects have been reviewed by Government and it has been decided that the Advisory Committee constituted by the Planning Commission will be replaced by an Advisory Committee in the Ministry of Water Resources which will scrutinize proposals for major / medium irrigation, flood control and multi-purpose projects.

(3) The Committee shall consist of the following:

- |      |  |   |          |
|------|--|---|----------|
| (i)  | Secretary, Ministry of Water Resources       | - | Chairman |
| (ii) | Chairman, Central Water Commission<br>Member | - |          |

- (iii) Secretary (Expenditure), Ministry of Finance or Member -  
his Nominee
- (iv) Secretary, Department of Power, Ministry of Energy -  
Member  
or his Nominee.
- (v) Secretary, Department of Environment & Forest -  
Member  
or his Nominee
- (vi) Secretary, Department. of Agriculture & Cooperation -  
Member  
or his Nominee
- (vii) Secretary, Ministry of Welfare or his Nominee - Member
- (viii) Director-General, ICAR or his nominee - Member
- (ix) Chairman, Central Electricity Authority - Member
- (x) Advisor (I&CAD), Planning Commission - Member
- (xi) Advisor (Energy), Planning Commission - Member
- (xii) Financial Advisor , Ministry of Water Resources -  
Member
- (xiii) Chairman, Central Ground Water Board - Member
- (xiv) Chief Engineer (PA), CWC - Member-Secretary

(4) The Nominees will not be below the rank of Joint Secretary. The committee may also invite representatives of any other Government organizations, scientific body of experts in the relevant fields to participate in its deliberations.

(5) The functions of the Committee will be to examine projects proposed by State Governments, Central Government or other organizations and satisfy itself that:

- i) the schemes have been prepared after adequate investigations;
- ii) the estimates are complete and correct technically;
- iii) the financial forecasts and estimates of benefits and anticipated are based on reliable and accurate data; and
- iii) the need of environment conservation and proper rehabilitation of project-affected persons have been taken into account.

(6) The project proposals will be received in the Central Water commission which will carry out initial scrutiny in consultation with other concerned

agencies and provide secretarial assistance to the Committee, which may modify, as necessary, the procedure for receipt of project proposals and their examination.

(7) On the basis of the examination conducted by the Committee, the Ministry of Water Resources would convey the decision on techno-economic viability of the projects. Their inclusion in the Five Year Plans or Annual Plans, as the case may be, could be decided by the Planning Commission having regard to the objectives and strategy of the Plan.

Sd/-  
(S. Kanungo)  
Additional Secretary

**ORDER**

ORDERED that this Resolution be communicated to all the State Governments, Ministries/ Departments of the Government of India, the Comptroller and Auditor-General of India, Prime Minister's Office, President's Secretariat and Planning Commission.

ORDERED also that the Resolution be published in the Gazette of India.

Sd/-  
(S. Kanungo)  
Additional Secretary

The General Manager,  
Government of India Press,  
FARIDABAD (with Hindi version)

**Annexure-10**

No.16/(12)/2003/WR  
Government of India  
Planning Commission  
(WR Division)

Yojana Bhawan, New Delhi the 18<sup>th</sup> May 2004.

To

The Chief Secretary,  
Govt. Of

Subject: Revised estimates of major, multipurpose & medium irrigation projects on inter-state rivers.

Sir,

The procedure for getting revised estimates of major, multipurpose & medium irrigation projects on inter-state rivers as outlined in the guidelines issued by the Central Water Commission in 2002 for submission, appraisal and clearance of irrigation and multipurpose projects. A copy of the relevant extract is enclosed for ready reference. On a review of the position of submission of revised estimates by state governments and getting them approved as per prescribed procedure, it is seen that only in a very few cases, the state governments have got revised estimates approved. Such approvals sought are mostly confined to the first revision only and not the subsequent revisions. The latest estimated cost of practically all the irrigation projects in the country is thus unapproved. A state finance department have been permitting expenditure on projects much beyond the approved cost. In some cases, the state governments accord administrative approvals themselves for the revised cost without submission of the same to the CWC.

2. Keeping these facts in view, it has been decided to adopt the following procedure for submission of revised estimates of irrigation/multipurpose projects with immediate effect.

- i) While according investment clearance, Planning Commission will make a specific mention in the clearance order requesting State Finance Department not to permit expenditure on the project beyond the approved cost unless the revised estimate is got approved following the prescribed procedure.
  - ii) For major irrigation/multipurpose projects, State Governments will constitute a Standing Committee of State Finance, Planning & Water Resources Secretaries who will examine critically the reasons for cost overrun and give their report with relevant/findings recommendations. The revised estimate will be submitted by the State Governments thereafter to the CWC together with this report and action taken report on the findings/recommendations of the committee. CWC will thereafter examine the revised estimates on a fast track basis. The Standing Committee will be serviced by the State Irrigation/Water Resources Department for providing necessary documents, etc.
  - iii) For medium irrigation projects, where there is no change in scope of the project, State Governments may themselves approve the revised estimate as per procedure for such approvals in the states. A copy of such approval may be endorsed to CWC, MoWR & the Planning Commission State Governments will have to first satisfy the CWC that there has been no change in the scope of the project and obtain their clearance for this before approving revised cost of medium projects. If required, CWC will carry out a site inspection of the project before issue of no objection. For projects where there is change in scope in terms of storage capacity, CCA, length of canals etc., the [procedure in (ii) above will be followed.
3. State Governments are requested to ensure strict compliance of the above revised procedure with a view to bring in more fiscal discipline and accountability in the irrigation sector.
4. For ongoing approved projects, State Governments are urged to expeditiously submit the revised estimates to the CWC in a time frame of say 6 months. For ongoing unapproved projects, State Governments may obtain quickly the required statutory and other clearances, update costs where required and submit it to the CWC for appraisal so that the projects can be accorded investment clearance thereafter.

Yours faithfully,

Sd/



(A.Sekhar)  
Adviser (WR)