

**GUIDELINES FOR SURFACE MINOR IRRIGATION
(SMI) SCHEME UNDER PMKSY (HKKP)**



**Government of India
Ministry of Water Resources, River Development & Ganga
Rejuvenation**

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Guidelines for Surface Minor Irrigation (SMI) Schemes

1.0 BACKGROUND

Surface Minor Irrigation (SMI) schemes with irrigation potential less than 2000 ha were included under Accelerated Irrigation Benefit Programme (AIBP) for providing Central Assistance (CA) since 1999-2000 for Special Category States. Subsequently the Scheme extended to area covering DPAP, Tribal, DDP, Flood prone, Left Wing extremist and Koraput, Bolangir and Kalahandi (KBK) region of Odisha.

Pradhan Mantri Krishi Sinchayee Yojana (PMKSY) was launched in 2015-16 with an aim to enhance physical access of water on farm and expand cultivable area under assured irrigation, improve on farm water use efficiency, introduce sustainable water conservation practices etc. PMKSY- Har Khet Ko Pani (HKKP) is one of the component of PMKSY. The scheme of SMI is now a part of PMKSY (HKKP).

2.0 ELIGIBILITY

2.1 New SMI schemes approved by State Technical Advisory Committee (TAC) and State Level Sanctioning Committee (SLSC) are eligible for Central Assistance (CA) under PMKSY (HKKP) scheme as per the following criteria:

| Category | Criteria |
|---|---|
| 1. Special category states - North-Eastern states, Hilly states (Himachal Pradesh, Jammu and Kashmir and Uttarakhand) and drought prone undivided Koraput, Bolangir and Kalahandi (KBK) districts of Odisha, Bundelkhand region of UP and MP & Marathwada & Vidharbha region of Maharashtra | (i) Individual schemes having Culturable Command Area (CCA) more than or equal to 10 hectare OR cluster of MI schemes within radius of 5 Km having CCA of 20 hectare or more. (ii) Schemes having benefit cost ratio of more than 1 (iii) Development cost per hectare of CCA of individual scheme is less than Rs.2.5 lakh. (iv) Schemes included under District Irrigation Plan (DIP). |
| 2. Non-special category states- schemes benefitting tribal areas, drought prone areas, desert prone areas, flood prone area and Left Wing Extremists Affected area. | (i) Individual schemes having CCA more than or equal to 20 hectare OR cluster of MI schemes within radius of 5 km having total CCA of 50 hectare or more. (ii) Schemes having benefit cost ratio of more than 1 (iii) Development cost per hectare of CCA of individual scheme is less than Rs.2.5 lakh. (v) Schemes included under District Irrigation Plan (DIP). |

- 2.2 Ongoing SMI Schemes included under AIBP prior to PMKSY would continue to be eligible for CA under PMKSY (HKKP) scheme subject to the approval of SLSC.

3.0 FUNDING OF SMI SCHEMES

3.1 Funding Pattern

The central assistance (CA) will be in the form of central grant. Category wise funding pattern will be as per the table below.

| Category | Funding Pattern |
|--|---------------------------|
| 1. Seven North-Eastern states including Sikkim &, three Hilly states (Himachal Pradesh, Jammu and Kashmir and Uttarakhand) | 90 (Central): 10 (State) |
| 2. Project benefitting special areas i.e, undivided Koraput, Bolangir and Kalahandi (KBK) districts of Odisha, Bundelkhand region of UP and MP, Marathwada & Vidharbha region of Maharashtra, Naxal affected areas, DPAP areas, Tribal areas, Flood prone area, Desert Development Programme (DDP) area of General Category States /UTs other states and Union Territories | 60 (Central) : 40 (State) |

3.2 Terms of Funding

3.2.1 New Schemes

- (i) The estimated cost at the time of inclusion of any new project under the scheme of PMKSY (HKKP) will be frozen for the purpose of working out the quantum of central assistance, with the States being at liberty to fund the project from their own resources after the stipulated date of completion.
- (ii) The stipulated date of completion will be two years starting from the financial year of first release of Central Assistance and excluding the year of first release.

3.2.2 Ongoing Schemes

- (i) The stipulated date of completion will be as per latest Memorandum of Understanding (MoU).
- (ii) The projects which are not going as per schedule, time extension of maximum two years from the stipulated date of completion as per MoU and escalation of cost by maximum 20% on the original cost may be allowed based on justifications provided by the State with the approval of Secretary, Ministry of Water Resources, River Development and Ganga Rejuvenation.

4.0 MODE OF DISBURSEMENT

The central assistance (CA) would be released in the following manner:

- 4.1 As first instalment, 50% of CA to be released after the State releases its full share;
- 4.2 Balance/Second instalment of CA to be released after obtaining UC of minimum of 50% of CA released earlier;
- 4.3 Next year instalment to be released after obtaining 100% utilization of funds released in the previous year(s).

5.0 SUBMISSION OF PROPOSAL FOR CENTRAL ASSISTANCE UNDER PMKSY (HKKP)

- 5.1 Detailed Project Report (DPR) of each SMI schemes are to be prepared by the Concerned State Govt. in Consultation with Panchayat Raj Institution. The guidelines in this regard should be issued in consultation with CWC from time to time.
 - 5.2 The proposal prepared, jointly by concerned field units of CWC & State Govt. for release of CA for ongoing SMI schemes under PMKSY (HKKP) along with the supporting documents including DPRs for new schemes in original or duly authenticated by the officer of concerned State Govt. not below the rank of Engineer-in Chief of the concerned department, is to be submitted by the concerned State Government/UTs in the concerned field office of Central Water Commission (CWC) after the approval of State TAC & SLSC for new schemes and approval of SLSC for ongoing schemes.
 - 5.3 Concerned field office of CWC will examine the proposal in details and forward the complete proposal enclosing the necessary documents to the concerned wing of MoWR, RD & GR with due recommendation. The copy of the same shall also be sent to concerned Chief Engineer of CWC (Headquarter) for monitoring & maintaining overall status of the SMI scheme in the country at central level. In case some clarification is required regarding cost/technical aspects, MoWR may refer the same to CWC (headquarter) for examination.
 - 5.4 The details of Activity Mapping is given in **Annexure-I**.
 - 5.5 A flow chart for implementation arrangement is given at **Annexure-II**.
- #### **6.0 IMPORTANT POINTS TO BE TAKEN INTO CONSIDERATION WHILE SUBMITTING THE PROPOSAL FOR CENTRAL ASSISTANCE UNDER PMKSY(HKKP)**
- 6.1 Priority will be given for completion of ongoing SMI schemes. The new eligible SMI schemes shall not be entitled for CA automatically and the same shall depend upon availability of funds.

- 6.2 Panchayati Raj Institutions have to be consulted at an appropriate level by the Irrigation/ Water Resources Department of the concerned State before submitting the proposal for release of Central Assistance.
- 6.3 State governments will be required to enter into an MoU with the MoWR, RD & GR as per **Annexure-III** for each individual project under the scheme.
- 6.4 The Utilization Certificate shall be issued for the expenditure incurred as on 31st March of the Financial Year (FY) of funding. It is desirable to avoid bunching of funds.
- 6.5 The Utilization Certificate (UC) in GFR-19(A) (**Annexure-IV**) shall be issued by the Chief Engineer of the project and countersigned by Secretary (Water Resources/Irrigation) of the concerned State Government. The UC must contain physical achievement of Irrigation Potential and financial progress/expenditure on PMKSY (HKKP) component on year to year basis.
- 6.6 It is desirable for even distribution of expenditure in a given FY. The State Governments/UTs should make every effort to submit the proposal for release of first instalment CA in the first quarter of the current FY with proper budget certificate, so that the State Governments may request for second instalment in current FY.
- 6.7 The quarterly physical target and progress certificate for the scheme shall be issued by the Chief Engineer of the project and countersigned by Secretary (Water Resources/ Irrigation) of the State Government and should reach to field monitoring unit of CWC by first week of July, October, January, and April (of next financial year).
- 6.8 States will have to ensure that there is no overlapping of the works under taken in the Minor Irrigation schemes and the works under taken in the M.N.R.E.G.S and any other schemes of Central and State Government.
- 6.9 If the State Governments fails to comply with the agreed date of completion, the grant component released will be treated as loan and recovered as per usual terms of recovery of the Central Loan.
- 6.10 The States would be required to submit audited statements of expenditure incurred on the PMKSY (HKKP) component of the project within nine months of the completion of the financial year. The release of central assistance of the following years will not be considered if audited statement of expenditure is not furnished within nine months of release of central assistance.
- 6.11 Concurrent evaluation of the project by State Government is mandatory at the end of each Financial Year during the period of funding.
- 6.12 Proposal should include physical & financial progress up to the previous FY and targets for the remaining FYs along with their unique identification no, district benefitted, number of people benefitted and number of SC/ST people benefitted

for individual schemes. Employment generation due to works on this scheme during the last FY may also be mentioned in the progress.

- 6.13 An undertaking is to be submitted by the State Government for inclusion of new surface minor irrigation schemes in non-special category states as per **Annexure-V**.

7.0 MONITORING OF SMI SCHEMES UNDER PMKSY (HKKP)

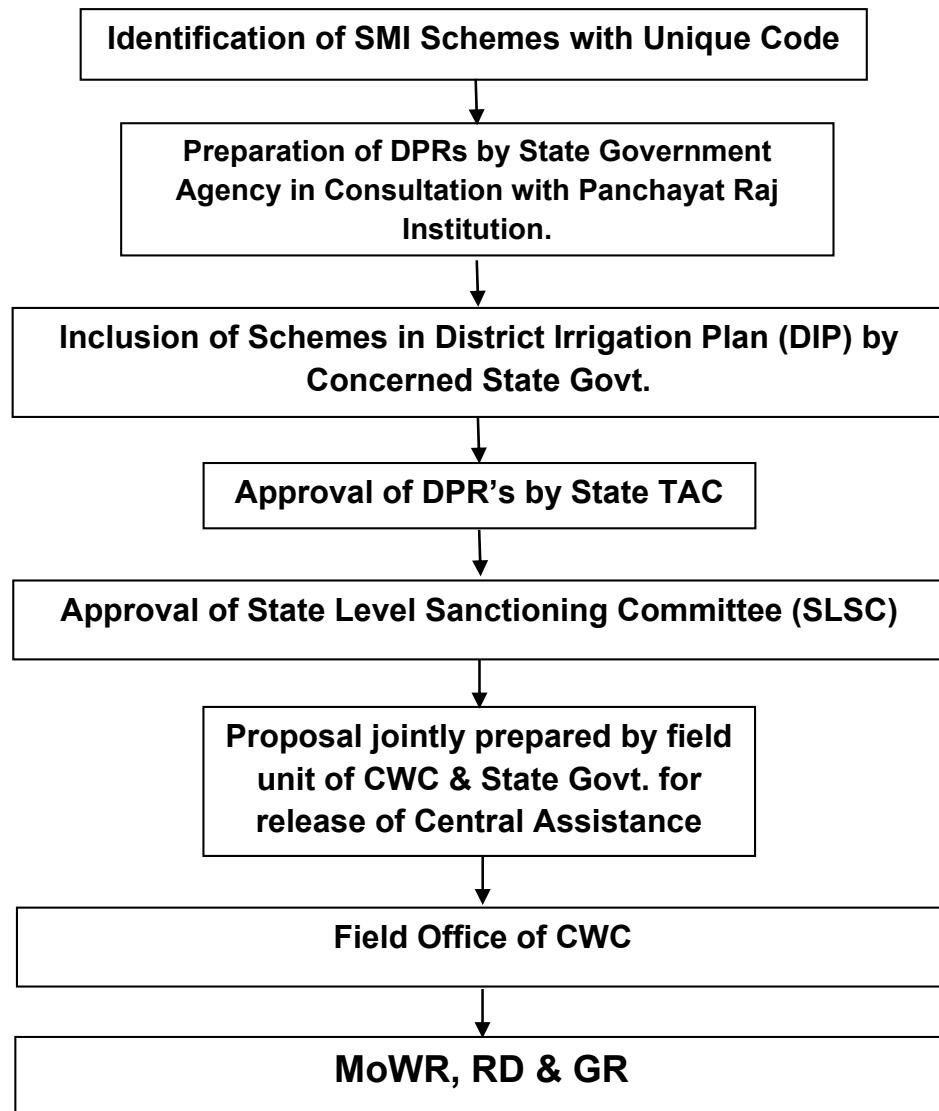
- 7.1 Monitoring of the minor irrigation schemes has to be done by the State Government based on Geographic Information System (GIS) maps and each Minor Irrigation Schemes to be given a Unique Identification Code (U.I.C) Monitoring will be done through agencies independent of construction agencies.
- 7.2 These schemes would also be monitored periodically on sample basis (at least 20% of MI Schemes) by the concerned Regional Offices of Central Water Commission and will be assessed against predetermined targets set by the Ministry of Water Resources.
- 7.3 Evaluation will be carried out for completed MI schemes by the State Government through independent agency.

Annexure-I

Activity mapping under Surface Minor Irrigation (SMI) Schemes.

| Name of Scheme | Arrangements at Scheme Level Stage-I | Arrangements at State Level Stage-II | Arrangements at Central Level Stage-III |
|--------------------------|---|---|--|
| Surface Minor Irrigation | At the scheme level, the Detailed Project Reports (DPRs) of the SMI would be prepared in consultation with Panchayat Raj Institution and concerned implementing Department of State Govt. | <p>A Technical Advisory Committee (TAC) will be constituted by the State to techno-economically appraise and approve the DPRs, State TAC shall also include representative from Central Water Commission (CWC) and Central Ground Water Board (CGWB).</p> <p>After approval of the DPR by the State TAC, Approval of SLSC will be needed for seeking Central Assistance in respect of the schemes. The proposal for Central Assistance will be jointly prepared by the State and concerned Regional office/ Field office of CWC, and submitted to the concerned regional/field offices of CWC. Field office of CWC shall forward the same to MoWR, RD & GR with a copy to concerned Chief Engineer (HQ), CWC for coordinating, monitoring and maintaining overall status of SMI schemes at central level. Works would implemented by State through it's agencies.</p> <p>After completion of the project, the same may be handed over to WUAs</p> <p>The concurrent evaluation at the time of implementation would be done by the State Govt. themselves.</p> | <p>The Ministry of Water Resources (MoWR), RD & GR will coordinate the programme at the central level through Central Water Commission. The new eligible SMI schemes shall not be entitled for CA automatically and the same shall depend upon availability of funds.</p> <p>The CWC will monitor the progress through periodic reports from the States and field visits on sample basis. (Atleast 20% of Schemes)</p> |

IMPLEMENTATION ARRANGEMENTS



Note: Copy of each proposal would be sent to MoWR, RD & GR with a copy to concerned Directorate/Organisation of CWC (HQ) for coordinating, monitoring & maintaining overall status of Surface Minor Irrigation Schemes in the country at Central level.

Memorandum of Understanding between the Ministry of Water Resources, River Development & Ganga Rejuvenation (MoWR, RD & GR), Government of India and Government of on completion of Surface Minor Irrigation Schemes.

1. This memorandum of understanding is made between the Ministry of Water Resources, River Development & Ganga Rejuvenation, Government of India and the Government offor the completion of.....ongoing Minor Irrigation Schemes in the next two (2) financial years under the Central Assistance(CA) under PMKSY (HKKP) of the Government of India.

2. The..... irrigation Schemes was approved by the State Technical Advisory Committee (TAC). in.....for Rs.....crore to irrigate.....ha annually. The scheme has been approved by SLSC in its meeting dated

3. According to the State Government, the latest approved estimated cost of the project is Rs..... ..crore at.....price level. The expenditure up to is Rs.....crore and a potential of..... ha has already been created.

4. The balance cost for completion of the project is thus Rs crore with a balance potential ofha. The physical and financial details of the components to be covered under this programme are annexed. The physical year-wise target* for creation of irrigation potential will be as under:

Year of inclusion -----% irrigation potential included under PMKSY (HKKP)
1st year - ---% irrigation potential included in PMKSY (HKKP)
2nd year ----% irrigation potential included in PMKSY (HKKP)

5. The Ministry of Water Resources, River Development & Ganga Rejuvenation, Government of India agrees to extend Central assistance to cover the full balance cost of Rs..... crore for the completion of the project in the next two (2) financial years subject to the following conditions:
 - i) The project will be completed by the Government of by.. . . Its completion will be informed immediately to the Ministry of Water Resources for deleting the project from the list of on-going projects.

- ii) The release pattern will be as given in the Guidelines.
- iii) The project will be monitored by CWC, as per the guidelines. Quarterly progress report in respect of the Surface Minor Irrigation Schemes shall be submitted to the CWC and Ministry of WR, RD & GR by 7th January, April, July and October positively.
- iv) The State Government shall ensure required quality control in the execution of the works.

Signed on the day 201.. at New Delhi.

| | |
|---|---|
| For and on behalf of the Govt. of..... Secretary, Government of..... | For and on behalf of Government of India Commissioner(PROJECTS) Ministry of Water Resources, River Development & Ganga Rejuvenation |
|---|---|

FORM GFR 19-A
[See Rule 2012 (1)]
Form of Utilization Certificate

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

1. 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.

Signature.....

Designation.....

Date.....

UNDERTAKING BY THE STATE GOVERNMENT FOR INCLUSION OF NEW SURFACE MINOR IRRIGATION SCHEMES IN NON-SPECIAL CATEGORY STATES

To
The Secretary to Government of India,
(Name, Designation),
Ministry of _____,
Government of India,
New Delhi.

The State of _____ acting through (name, designation) _____
_____, Ministry / Department of _____ Government of _____ hereinafter
referred to as "the SG", do hereby declare and undertake as follows:

- i) The SG agrees for the completion of surface minor irrigation schemes on schedule.
- ii) Quarterly progress report in respect of the Surface Minor Irrigation Schemes being implemented under PMKSY (HKKP) shall be submitted to the Government of India by 7th January, April, July and October positively.
- iii) The SG will form water users association for post construction maintenance and formation of such water users association shall be intimated to the Government of India within one year from the date of signing of the undertaking.
- iv) In case of failure, the Central share provided to the SG under the programme shall be treated as withdrawn and recovered in one lump sum instalment with interest as prescribed by the Ministry of Finance.

Date: ----- Signature-----

Place: ----- Secretary (WR/Irrigation)

Govt. of-----

For and on behalf of the Governor
of the State _____

In presence of

(Witness)

P.15011/24/2016-SPR / 4017 - 4022,
Government of India
Ministry of Water Resources,
River Development and Ganga Rejuvenation
(SPR Wing)

Room No. 431, Shram Shakti Bhawan,
Rafi Marg, N. Delhi
Dated: 16th July, 2018

Office Memorandum

Subject: Simplification of process for release of Central Assistance to projects under SMI and RRR of Water Bodies components of PMKSY-HKPP

The following procedure for processing of proposals for release of Central Assistance under SMI and RRR of Water Bodies components of PMKSY- HKPP shall be followed henceforth:

- i. In a financial year total CA eligibility and corresponding amount of 1st and 2nd instalment together, as per the prevailing norms/guidelines, may be concurred by IFD and necessary approval of the Competent Authority may be obtained at the first instance. Subsequently, sanction order for 1st instalment of CA may be issued by SMD (concerned Sr. Jt. Commissioner).
- ii. After receipt of necessary Utilization Certificate (UC), other requisite documents from concerned State Government and recommendations of CWC (Field Office), SMD (concerned Sr. Jt. Commissioner) may directly issue Sanction Order for 2nd instalment to be released in the F.Y. as per the approval granted at first instance, with the vetting of Sanction Order from IFD. However, in case eligibility of 2nd instalment becomes less than the approval taken at 1st instance, SMD (concerned Sr. Jt. Commissioner) shall issue sanction order limiting to such reduced eligible amount of 2nd instalment.
- iii. If the amount of 2nd instalment of CA increases beyond the approval taken at first instance due to reasons like increase in budget provided by State, Expenditure status or otherwise, the concurrence of IFD and approval from Competent Authority shall be again obtained in that case.
- iv. The concerned SMD will ensure that necessary stipulations have been met and the requisite documents have been submitted by the State Government before release of 2nd instalment.

This issues with the concurrence of IFD vide their Dy. No. 830/JS&FA/18 dt. 06.06.18. and approval of competent authority.


16/7/18
(Avanti Verma)

Deputy Commissioner

To

1. JS & FA, MoWR, RD & GR, New Delhi.
2. Director (Finance), MoWR, RD & GR, New Delhi.

3. Senior Jt. Commissioner (MI), MoWR, RD & GR, New Delhi.

Copy for information to:

1. PS to Hon'ble Minister (WR, RD & GR).
2. PS to Hon'ble Minister of State (WR, RD & GR)
3. PS to Secretary (WR, RD & GR).

P.15011/24/2016-SPR / 4121 - 78 ,
Government of India
Ministry of Water Resources,
River Development and Ganga Rejuvenation
(SPR Wing)

Room No. 431, Shram Shakti Bhawan,
Rafi Marg, N. Delhi
Dated: 16th July, 2018

Office Memorandum

Subject: Modification in the existing guidelines of SMI.

With the approval of the competent authority, the following modifications have been effected in the existing guidelines (June-2017) for the Surface Minor Irrigation (SMI) Scheme under PMKSY (HKKP):

| Existing Provisions | Revised Provisions |
|---|---|
| 3.2.2 Ongoing Schemes (ii) "The projects which are not going as per schedule, time extension of maximum two years from the stipulated date of completion as per MoU and escalation of cost by maximum 20% on the original cost may be allowed based on justifications provided by the State with the approval of Secretary, Ministry of Water Resources, River Development and Ganga Rejuvenation". | "The projects which are not going as per schedule, time extension from the stipulated date of completion as per MoU and escalation of cost by maximum 20% on the original cost may be allowed based on justifications provided by the State with the approval of Secretary, Ministry of Water Resources, River Development and Ganga Rejuvenation. Cost escalation beyond 20%, if any, may be borne by the concerned State Government". |

2. The other provisions of the earlier guidelines remain same.


(Avanti Verma)
Deputy Commissioner

To

1. Principal Secretary (Irrigation/WRD) of State Governments/ UTs.
2. JS & FA, MoWR, RD & GR, New Delhi.
3. CE (PPO), Central Water Commission, Sewa Bhawan, New Delhi.
4. All Regional Chief Engineers, Central Water Commission, New Delhi.
5. Director (Finance), MoWR, RD & GR, New Delhi.
6. Senior Jt. Commissioner (MI), MoWR, RD & GR, New Delhi.
7. NIC, MoWR, RD & GR, with the request to upload the OM on the website of the Ministry.

Copy for information to:

1. PS to Hon'ble Minister (WR, RD & GR).
2. PS to Hon'ble Minister of State (WR, RD & GR)
3. PS to Secretary, (WR, RD & GR).
4. PS to Chairman, Central Water Commission, Sewa Bhawan, New Delhi.