

MODEL CONCEPT PAPER

The following points may be kept in view while formulating the concept papers for priority projects for submission to Ministry of Development of North Eastern Region:

- 1) The concept paper should elaborate the problem to be addressed through the project at the local / state level. Evidence regarding the nature and magnitude of the problems should be given. Clear evidence should be available regarding the nature and magnitude of the problem to be addressed.
- 2) The development objectives proposed to be achieved should be given.
- 3) Benefits likely to accrue quantified in terms of population and other parameters.
- 4) The ongoing initiatives taken by the State Government and the manner in which duplication will be avoided and synergy created through the proposed project.
- 5) Economic parameters be given to justify the project for funding and in case of social infrastructure projects socio-economic analysis justifying taking up of the project may be elaborated.
- 6) Issues relating to sustainability, including operation and maintenance of assets after project completion and related issues should be given.
- 7) Estimated cost, financial and physical phasing, time frame, status of administrative and statutory clearances from State / Central Government authorities, and readiness for implementation of the projects should also be given.

GENERIC STRUCTURE OF THE DETAILED PROJECT REPORT (DPR)

Context/background: This section should provide a brief description of the sector/sub-sector, the State priority, strategy and policy framework as well as brief description of the existing situation.

This section should also provide:

1. The sectoral policy of the State for the sector to which the proposed project belongs.
2. If no sectoral policy is there, then the vision of the State Government in this regard should be given.
3. Has the State Govt prioritized the works in this particular sector as per their importance/requirement?
4. Detailed facts and figures for that sector and the rationale for the particular project should be provided why this project should be chosen over other works in the same sector.
5. How does this project justify to be given priority leaving behind other sectors?
6. Does this have some strategic importance for this state?

Problems to be addressed: This section should elaborate the problems to be addressed through the project/scheme at the local/regional level. Evidence regarding the nature and magnitude of the problems should be presented, supported by baseline data/surveys/reports. Clear evidence should be available regarding the nature and magnitude of the problems to be addressed. In addition this section should also include:

1. How the project dovetails into the long-term sectoral policy of the State?
2. What are the existing benchmarks?
3. Benefits expected to accrue after completion of the project?

Project Objectives: This section should indicate the Development Objectives proposed to be achieved, ranked in order of importance. The deliverables/outputs for each Development

Objective should be spelt out clearly. This section should also provide a general description of the project.

Target beneficiaries: There should be clear identification of target beneficiaries. Stakeholder analysis should be undertaken, including consultation with stakeholders at the time of project formulation. Options regarding cost sharing and beneficiary participation should be explored and incorporated in the project. Impact of the project on weaker sections of society, positive or negative, should be assessed and remedial steps suggested in case of adverse impact.

Project beneficiaries: This section should present an analysis of alternatives strategies available to achieve the Development Objectives. Reasons for selecting the proposed strategy should be brought out. Involvement of NGOs should be considered. Basis for prioritization of locations should be indicated (where relevant). Options and opportunity for leveraging government funds through public-private partnership must be given priority and explored in depth.

Legal Framework: This sector should present the legal framework within which the project will be implemented and strengths and weakness of the legal framework in so far as it impacts on achievement of project objectives.

Environmental impact assessment: Environmental impact assessment should be undertaken, wherever required and measures identified to mitigate adverse impact, if any. Issues relating to land acquisition, diversion of forestland, rehabilitation and resettlement should be addressed in this section.

On-going initiatives: This section should provide a description of ongoing initiatives and the manner in which duplication will be avoided will be avoided and synergy created through the proposed project.

Technology issues: This section should elaborate on technology choices, if any, evaluation of options, as well as the basis for choice of technology for the proposed project.

Management arrangements: Responsibilities of different agencies for project management and implementation should be elaborated. The organization structure at various levels as well as monitoring and coordination arrangements should be spelt out. Simultaneously this section should include following information:

1. The project implementation and monitoring arrangement?
2. Nodal officer?
3. Implementation team?
4. Implementation schedule?
5. Status of readiness of the project for execution indicating the status of availability of administrative and regulatory clearances such as:
 - (a) Forest clearance
 - (b) Acquisition of land
 - (c) Any other clearance required etc. This Chapter will also list out monitoring arrangement proposed.

Means of Finance and Project Budget: This section should focus on means of finance, evaluation of options, project budget, cost estimates and phasing of expenditure. Options for cost sharing and cost recovery (user charges) should be considered and built into the total project cost. Infrastructure projects may be assessed on the basis of the cost of debt finance and the tenor of debt. Options for raising funds through private sector participation should also be considered and built into the project cost.

Time frame: This section should indicate the proposed 'zero' date for commencement and also provide a PERT/CPM chart.

Risk analysis: This section should focus on identification and assessment of project risks and how these are proposed to be mitigated. Risk analysis could include legal / contractual risks, environmental risks, revenue risks, project management risks, regulatory risks, etc.

Evaluation: This section should focus on lessons learnt from evaluation of similar projects implemented in the past. Evaluation arrangements for the project, whether concurrent, mid-term or post-project should be spelt out. It may be noted that continuation of project/schemes from one plan period to another will not be permissible without an independent, in depth evaluation being undertaken.

Success criteria: Success criteria to assess whether the Development Objectives have been achieved should be spelt out in measurable terms. Base-line data should be available against which success of the project will be assessed at the end of the project (Impact assessment). In this regard, it is essential that base-line surveys be undertaken in case of large, beneficiary-oriented projects.

Success criteria for each Deliverable/output of the project should also be specified in measurable terms to assess achievement against proximate goals.

Financial and economic analysis: Financial and economic analysis of the project may be undertaken. This analysis should clearly be able to justify the cost to be incurred on the project and its consequent sanction.

Sustainability: Post-implementation management issues relating to sustainability, including stakeholder commitment, operation and maintenance of assets after project completion, and other related issues should be addressed in this section. The other related issues may be addressed as:

1. The current practice in the State.
2. Budget Provisions made in the past for the similar projects.
3. The post-implementation requirements for the particular project viz.
 - (a) Manpower training needs.

(b) Financial needs etc.

4. Can this project be made self-sustainable in future? If, yes, what are arrangements have been put in place.

**PROJECT/SCHEME SCHEDULE TO BE SUBMITTED
BEFORE RELEASE OF 1ST INSTALMENT**

A. Identification Particulars

1. Name of Project/scheme/programme :
2. Location : State.....
Distt.....
3. Date of Approval of Project/scheme :
4. Approved Cost :
5. Date of Completion of Project/scheme :
6. Objectives/ Scope/Benefits (Not more than four lines)
7. Executing Agency (State Govt./ PSU/ other agency (specify))

B. Project Implementation Schedule (since start till date of completion)

| Items/ Activities* (milestones/units/beneficiaries area coverage etc.) | Unit | Year----- | | | | | | | | Year..... | | | | | | | |
|---|------|-----------|-----|----------|-----|----------|-----|----------|-----|-----------|-----|----------------------|-----|----------------------|-----|----------------------|-----|
| | | 1st qtr. | | 2nd qtr. | | 3rd qtr. | | 4th qtr. | | 1st qtr. | | 2 nd qtr. | | 3 rd qtr. | | 4 th qtr. | |
| | | Phy | Fin | Phy | Fin | Phy | Fin | Phy | Fin | Phy | Fin | Phy | Fin | Phy | Fin | Phy | Fin |
| 1. Land Acquisition | | | | | | | | | | | | | | | | | |
| 2..Infrastructure Dev. | | | | | | | | | | | | | | | | | |
| 3. Civil construction/buildings | | | | | | | | | | | | | | | | | |
| 4. Installation of Mach./Equip a) ... b) | | | | | | | | | | | | | | | | | |
| 5. Environmental safeguards | | | | | | | | | | | | | | | | | |
| 6. For beneficiary oriented schemes a) Area to be covered b) Units established c) No. of beneficiaries d) Others (specify) | | | | | | | | | | | | | | | | | |
| 7. Other works (specify) | | | | | | | | | | | | | | | | | |
| 8. Mechanical completion/ commercial operation/ completion of scheme | | | | | | | | | | | | | | | | | |

** The items/activities may change as per nature of Project/Schemes/Programmes*

UTILISATION CERTIFICATE**Name of Project:****Approved Support from NLCPR: Rs..... lakhs****Releases made till date (breakup in the following order):**

| Sl No. | Letter No & date | Amount |
|--------|-----------------------------|-----------|
| 1 | DNER/NLP/ /...../2002 DATED | Rs. lakhs |
| 2 | | |

Current release/releases for which the UC is being furnished:

| Sl No. | Letter No & date | Amount |
|--------|-----------------------------|---------------|
| 1 | DNER/NLP/ /...../2002 DATED | Rs..... lakhs |

Certified that out of Rs..... lakhs. (in words) made available as assistance under the Non-lapsable Central Pool of Resources sanctioned by Department of Development of North Eastern Region during the financial year vide letter number DNER/NLP/ / /2002 DATED and Rs. (in words.....) on account of unspent balance of the previous year, a sum of Rs..... lakhs(in words) has been utilized for the following works:

(Name of the project)

| Components/items of works | Amount utilised |
|---------------------------|-----------------|
| a. | |
| b. | |
| c. | |

Further certified that I have satisfied myself that the conditions on which the assistance from the Non-lapsable Central Pool of Resources 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. Vouchers and Books of Accounts.
2. Measurement Books
3. Grant-in-aid/Loan Register
4. Expenditure Register.

The balance of Rs._____ is remaining unutilised as on (date/month/year).

| | |
|--|--|
| Signature by the Departmental Secretary: | Counter Signature by Planning Secretary: |
| Name : | Name : |
| Date : | Date : |
| Place : | Place |
| Office Seal : | Office Seal : |

ANNEXURE V

PROGRESS REPORT FOR QUARTER ENDING (Month/Year)

A. Identification Particulars

1. Name of Project/scheme/programme :
2. Location :
State... Distt....
3. Date of Approval of Project/scheme :
4. Approved Cost :
5. Date of Completion of Project/scheme :
6. Executing Agency (State Govt./ PSU/ other agency (specify) :.

B. Progress of Preliminary Activities

| Preliminary Project Activity | Date | Remarks |
|--|-------------|----------------|
| Agreement for project execution | | |
| (i) Preparation of Draft Invitation for Bids | | |
| (ii) Invitation for Bids | | |
| (iii) Evaluation of Bids | | |
| (iv) Selection of Agency | | |
| (v) Award of works | | |

C. Physical Progress (Descriptive)

| | Activities/Major Items of work | Unit | Physical Progress during the Quarter |
|----|---------------------------------------|-------------|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

D. Financial Progress

| S.No | Expenditure against Activities (major items of expenditure) | During Quarter | Cumulative Expenditure | Reasons of Variation |
|------|---|----------------|------------------------|----------------------|
| 1. | | | | |
| 2. | | | | |
| 3. | | | | |
| | Total actual expenditure | | | |

E. Progress of Release of Funds

| | Release of Funds/Payments | During the Quarter | Cumulative Amount |
|----|---|--------------------|-------------------|
| 1. | Central Govt. to State Govt. | | |
| 2. | State Government of concerned Deptt. | | |
| 3. | Actual Disbursement to Contractors/ Beneficiaries etc. (utilization certificates/ Imp.Vouchers etc. attached) | | |

F. Key Parameters

1. Overall physical progress (%).
2. Total funds received from NLCPR
3. Expenditure incurred out of (2) above.
4. Anticipated completion date of the project/scheme.

G. Qualitative observations on the implementation of the project/Scheme:

1. Follow-up action on issues raised in previous quarter.
2. Major constraints/problems encountered.
3. Latest inspection notes on the project containing the following :
 - (a) Is copy of DPR available at site ?
 - (b) What are the quantitative achievements against DPR?
 - (c) What are the qualitative assessment of project implementation?
 - (d) Suggestive remedial action to be taken by concerned department/agency may be indicated.
 - (e) Is any specific item pending for clearance with any State Government authority?

Signature by the Nodal Officer:

Name :

Designation:

Date :

Place :

Office Seal :

ANNEXURE-VI

**INFORMATION BOARD AT
PROJECT SITE
(BOARD SIZE TO BE 5 FT. X 4 FT.)**

GOVERNMENT OF INDIA

1. Name of the Project:
2. Approved Cost:
3. Facilities to be created:
4. Date of starting:
5. Date of completion:
6. Responsible Department:
7. Name of the Contractor:
8. Funded from Non-Lapsable Pool by
Ministry of Development of
North Eastern Region