REPORT OF THE COMPTROLLER AND AUDITOR GENERAL OF INDIA

CIVIL

FOR THE YEAR ENDED 31 MARCH 2011
(REPORT NO. 2)

GOVERNMENT OF UTTAR PRADESH

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PREFACE

This Report has been prepared for submission to the Governor under Article 151 of the Constitution.

Chapter 1 of this report indicates audited entity profile, authority for audit, planning and conduct of audit, organisational structure of office of the Principal Accountant General (Civil Audit) and response of the Departments to the draft paragraphs. Significant audit observations included in this report have also been brought out in this Chapter.

Chapter 2 deals with the findings of performance audit while Chapter 3 covers audit of transactions in various departments including autonomous bodies. Chapter 4 includes a report on the CCO based audit of Horticulture and Food Processing Department.

The cases mentioned in this Report are among those which came to notice in the course of test audit of accounts during the year 2010-11 as well as those which had come to notice in earlier years but could not be dealt with in previous Reports; matters relating to the period subsequent to 2010-11 have also been included, wherever necessary.

Chapter I INTRODUCTION

1.1 About this Report

This Report of the Comptroller and Auditor General of India (C&AG) relates to matters arising from compliance audit of the transactions of the Civil and Works departments of the Government of Uttar Pradesh, Centrally sponsored and State plan schemes and audit of autonomous bodies of the State, including performance audit of selected schemes and departments.

The primary purpose of the Report is to bring to the notice of the State Legislature, important results of audit. Auditing standards require that the materiality level of reporting should be commensurate with the nature, volume and magnitude of transactions. The findings of audit are expected to enable the Executive to take the corrective action as also to frame policies and directives that lead to improved financial management of the organisations, thus contributing to better governance.

Compliance audit refers to examination of the transactions relating to expenditure, receipts, assets and liabilities of the audited entities to ascertain whether the provision of the Constitution of India, applicable laws, rules and regulations and various orders and instructions issued by the competent authorities are being complied with.

Performance audit is an independent assessment or examination of the extent to which an organisation, programme or scheme operates economically, efficiently and effectively.

This Chapter provides the audited entity profile, the planning and extent of audit. Chapter 2 of this Report deals with the findings of performance audit and Chapter 3 deals with compliance audit in the various departments and autonomous bodies. Chapter 4 contains results of CCO based audit of Horticulture and Food Processing Department.

1.2 Audited entity profile

There are 65 departments at the Secretariat level, headed by Chief Secretary/Principal Secretaries/Secretaries who are assisted by the Special Secretaries, Deputy Secretaries and Directors and subordinates officers under them and 27 autonomous bodies which are under audit jurisdiction of the Principal Accountant General (Civil Audit), Uttar Pradesh, Allahabad.

The comparative position of expenditure of the Government during 2010-11 and in the preceding two years is given in Table 1.

Table 1: Comparative position of expenditure for the year 2008-11

(₹ in crore)

Particular	2008-09			2009-10			2010-11		
	Plan	Non-plan	Total	Plan	Non-plan	Total	Plan	Non-plan	Total
Revenue expenditure									
General services	211.94	29,557.38	29,769.32	824.29	39,817.01	40,641.30	987.34	47,031.83	48,019.17
Social services	11,584.22	16,961.79	28,546.01	10,998.49	21,065.79	32,064.28	15,829.56	23,737.14	39,566.70
Economic services	5495.18	8654.17	14,149.35	3,878.40	9,429.60	13,308.00	4,222.63	11,502.40	15,725.03
Grants-in-aid	---	3,504.21	3504.21	---	3,360.03	3,360.03	---	4,364.71	4,364.71
Total (1)	**17,291.34**	**58,677.55**	**75,968.89**	**15,701.18**	**73,672.43**	**89,373.61**	**21,039.53**	**86,636.08**	**1,07,675.61**
Capital expenditure									
Capital Outlay (2)	**18,087.49**	**4,258.23**	**22,345.72**	**19,224.48**	**5,866.75**	**25,091.23**	**19,581.08**	**691.72**	**20,272.80**
Loans and Advances disbursed (3)	**390.33**	**416.68**	**807.01**	**209.23**	**732.62**	**941.85**	**617.28**	**350.94**	**968.22**
Payment of Public Debt (4)	**-**	**6,776.49**	**6,776.49**	**-**	**7,668.59**	**7,668.59**	**-**	**7383.08**	**7,383.08**
Total disbursement out of Consolidated Fund (1+2+3+4)	**35,769.16**	**70,128.95**	**1,05,898.11**	**35,134.89**	**87,940.39**	**1,23,075.28**	**41,237.89**	**95,061.82**	**1,36,299.71**
Contingency Fund	-	-	-	-	-	-	-	**39.90**	**39.90**
Public Account disbursements	-	**1,00,026.64**	**1,00,026.64**	-	**1,01,780.30**	**1,01,780.30**	-	**1,17,472.99**	**1,17,472.99**
Total	**35,769.16**	**1,70,155.59**	**2,05,924.75**	**35,134.89**	**1,89,720.69**	**2,24,855.58**	**41237.89**	**2,12,574.71**	**2,53,812.60**

1.3 Authority for audit

Authority for audit by the C&AG is derived from the Articles 149 and 151 of the Constitution of India and the Comptroller and Auditor General's (Duties, Powers and Conditions of Service) Act, 1971. Principal Accountant General (Civil Audit) conducted audit of expenditure of civil and works departments, autonomous bodies under sections 13, 14, 15, 19 and 20 of the Comptroller & Auditor General's (Duties, Powers and Conditions of Service) Act, 1971. The principles and methodology for compliance audit are prescribed in the manuals issued by the Comptroller & Auditor General of India.

1.4 Organisational structure of the office of the Principal Accountant General (Civil Audit), Uttar Pradesh

Under the directions of the C&AG, the Principal Accountant General (Civil Audit), Uttar Pradesh, conducts audit of civil and works departments and autonomous bodies through two groups each for inspection of the civil and works departments, one group each for autonomous bodies and forest department. During 2010-11, 71 audit parties conducted compliance audit of

the selected units under various civil and works departments of the State Government, autonomous bodies, externally aided projects etc.

1.5 Planning and conduct of audit

Audit process commences with the assessment of risk of various Government departments/organisations/autonomous bodies and schemes/projects etc., based on expenditure, criticality/complexity of activities, level of delegated financial powers, assessment of internal control and the concerns of stakeholders. Previous audit findings are also considered in this exercise.

After completion of audit of each unit, Inspection Reports containing audit findings are issued to the head of the unit/department. The units are requested to furnish replies to the audit findings within one month of receipt of the Inspection Report. Whenever replies are received, audit findings are either settled or further action for compliance is advised. The important audit observations arising out of these Inspection Reports are processed for inclusion in the audit report.

During 2010-11, 16,612 party-days were used to carry out audit of 2,378 units out of 6,940 units of various departments/organisations. The audit plan covered those units/entities which were vulnerable to significant risk, as per the assessment.

1.6 Significant observations of performance audit

Performance audit is undertaken to ensure whether the Government programmes have achieved the desired objectives at the minimum cost and given the intended benefits.

This report contains results of Performance audits of Construction, Modernisation and Maintenance of State Tubewells; Information System Audit on 'Preparedness of Computer Based Management Information System in Irrigation Department; and Long Paragraphs on Status of Infrastructure Facilities and Teaching Aids in Government Primary and Upper Primary Schools in Ghazipur and Gautam Buddha Nagar Districts and Status of Medical Equipment and Apparatus in Ghazipur and Gautam Buddha Nagar districts. The salient features of the performance audits are discussed below.

1.6.1 Performance Audit on "Construction, Modernisation and Maintenance of State Tubewells"

Economy of Uttar Pradesh is dependent mainly on agriculture which provides livelihood to 65 *per cent* of its population. Of total net irrigated area of 1.31 crore hectare in the State, tubewells contribute irrigation to only 0.04 crore hectare (3 *per cent*) area. Performance audit on "Construction, Modernisation and Maintencne of State Tubwells", covering the period 2006-11, revealed creation of liability of interest bearing loan. There were cases of procurement of machines without requirement and without obtaining administrative and

financial sanction from the Government. Benefit Cost Ratio of the projects was deliberately made economically viable. Huge liability was pending on account of electricity charges. Despite investment of huge amount, the Department could utilise only 27 *per cent* of the created irrigation potential. The Government adopted fixed rate for electricity charges instead of opting for metered billing which would have been beneficial for the Department.

1.6.2 Information System Audit on 'Preparedness of Computer Based Management Information System in Irrigation Department'

Uttar Pradesh Irrigation Department (UPID) initiated a computer based Management Information System (MIS) in April 2001, which was to be fully implemented within 54 months. However, even after expiry of about 10 years, the implementation of computer based Management Information System in the Irrigation Department was far from completion. The objectives of effective planning and analyses based on the factual data; increased monitoring; enhanced transparency and communication, could not be achieved due to non preparedness of the Department in making current data available to the vendor, poor internet connectivity and inadequate training. Till date, not even a single module, out of 26 modules, has been put to use. Even master data had been fed partially and that too was unreliable. Department also failed to develop a system to protect the data from any disaster.

1.6.3 Status of Infrastructure Facilities and Teaching Aids in Government Primary and Upper Primary Schools in Ghazipur and Gautam Buddha Nagar Districts

"UP Education for All Project Board" was constituted in May 1993 to manage the World Bank assisted project and the powers to manage the primary and upper primary schools were vested with the "Village Education Committees (VEC)." Universalisation of elementary education was affected due to non-availability of sufficient number of teachers; inadequate infrastructure facilities like toilets, separate toilets for girls, safe and adequate drinking water, mid-day-meal (MDM), sports grounds, computer facilities, seating arrangements, free text books, uniforms, training of teachers, library facilities and electrification in the Government Primary and Upper Primary Schools. Despite availability of sufficient class rooms, improved Teacher Student Ratio, MDM and other facilities, the Government was not able to enhance enrolment, contain or restrict the dropout rate of children from the schools.

1.6.4 Status of medical equipment and apparatus in Ghazipur and Gautam Buddha Nagar districts

The status of Medical equipment and apparatus in Ghazipur and Gautam Buddha Nagar districts for 2006-11 was evaluated in audit. It revealed that a large number of equipment was either not optimally utilised or was lying idle mainly due to non-posting of medical staff. The bed occupancy was very low and the patients were left to take recourse to private diagnostic centres. The

ambulances were also not used for incoming and discharged patients. Huge expenditure incurred on ventilators and ambulances was also proved to be unproductive.

1.6.5 Chief Controlling Officer based audit of Horticulture and Food Processing Department

The vision of the Horticulture and Food Processing Department is to increase the productivity and quality of horticulture crops. CCO based audit of the Department revealed that due to inadequate manpower and infrastructure and non-utilisation of available funds, the objectives were largely unfulfilled. Annual Action Plans were prepared without ascertaining the field level requirements. Sincere efforts to establish nurseries for producing qualitative planting materials and seeds were not made. Post Harvest Management, essential for improving marketability of horticulture produce, was not given due attention. The monitoring and evaluation system was inadequate, resulting in poor execution of projects.

1.7 Significant observations of Compliance Audit

Audit observed significant deficiencies in critical areas, which impact the effectiveness of the State Government. Some important findings of the compliance audit (28 paragraphs) have also been reported. The major observations relate to:

- Non-compliance with rules and regulations;
- Audit against propriety and cases of expenditure without adequate justification;
- Failure of oversight/governance;
- Persistent and pervasive irregularities; and
- Fraud and detection of fraud.

1.7.1 Non-compliance with rules and regulations

For sound financial administration and control, it is essential that expenditure conforms to financial rules, regulations and orders issued by the competent authority. This helps in maintaining financial discipline and prevents irregularities, misappropriation and frauds. This section of non-compliance with rules and regulations brings out observations involving ₹ 2765.23 crore. Some of these are shown as under.

- *Transfer of 501.922 acre land to the New Okhla Industrial Development Authority without realising its full value led to a loss of ₹ 2,632.19 crore.*

(Paragraph 3.1.1)

- *Chhatrapati Sahuji Maharaj Medical University, Lucknow demolished a heritage building in Lucknow and in its place constructed a new one at ₹ 28.30 crore in disregard of the Ancient Monuments and Archeological Sites and Remains Act, 1958.*

  (Paragraph 3.1.2)

- *Non-adherence to specifications resulted in not only sub-standard works worth ₹ 2.50 crore but also avoidable expenditure ₹ 2.82 crore on renewal works of village roads.*

  (Paragraph 3.1.4)

- *Payment of secured advances, in violation of the contract conditions, led to undue aid of ₹ 94.17 crore to the contractors and undue benefit of ₹ 2.23 crore as interest.*

  (Paragraph 3.1.6)

1.7.2 Audit against propriety and cases of expenditure without adequate justification

Authorisation of expenditure from public funds has to be guided by the principles of propriety and efficiency of public expenditure. Authorities empowered to incur expenditure are expected to enforce the same vigilance as a person of ordinary prudence would exercise in respect of his own money. Audit scrutiny revealed instances of impropriety and extra expenditure amounting to ₹ 121.33 crore. Some of the important audit findings are as under.

- *Laser Land Levelers, purchased at a cost of ₹ 2.49 crore, without assessing their feasibility, were lying idle, rendering the expenditure incurred thereon unfruitful. Besides, the objective of ensuring appropriate and minimum use of water in irrigating the agriculture fields was also not achieved.*

  (Paragraph 3.2.1)

- *Appointment of lecturers of physical education and sports without introducing the required curriculum resulted in wasteful expenditure of ₹ 6.54 crore defeating the objective of participation of youth of the State in National and International sports events.*

  (Paragraph 3.2.4)

- *In violation of the orders of the Supreme Court, Ghaziabad Development Authority placed orders for supply of electrical items worth ₹ 15.92 crore for development of site proposed for construction of houses resulting in the items lying unused for about two years.*

  (Paragraph 3.2.5)

- *Excess payment of ₹ 3.48 crore was made to the contractor due to preparation of estimate by allowing inadmissible Schedule of Rates.*

  (Paragraph 3.2.6)

- *Non-adherence to original alignment for the construction of Algin-Charsari bund led to avoidable expenditure of ₹ 8.98 crore.*

(Paragraph 3.2.7)

- *Purchase of pumps, electric motors and accessories, not synchronised with the completion of electric distribution system and construction of sub-station rendered the investment of ₹ 2.65 crore idle.*

(Paragraph 3.2.8)

- *Execution of work against the defective technical sanction rendered the expenditure of ₹ 7.58 crore infructuous.*

(Paragraph 3.2.10)

1.7.3 Failure of oversight/governance

Government has an obligation to improve the quality of life of the people in the area of health, education, development and upgradation of infrastructure, public services, etc. Audit noticed instances where the funds released by the Government for creating public assets, remained unutilised/ blocked or proved unfruitful/ unproductive due to indecisiveness, lack of administrative oversight and concerted action at various levels. Cases of failure of oversight/governance noticed in audit amounted to ₹ 144.08 crore. Some important findings are as under.

- *Cost of land allotted for housing schemes was not realised even after lapse of 11 to 19 years.*

(Paragraph 3.3.1)

- *Defective planning and dilapidated condition of houses within four to eight years of construction resulted in not only failure of the scheme, but also wasteful expenditure of ₹ 3.79 crore.*

(Paragraph 3.3.2)

- *Non-obtaining of No Objection Certificate from Bhabha Atomic Research Centre resulted in non- commissioning of the cancer unit valuing ₹ 5.99 crore.*

(Paragraph 3.3.5)

- *Infructuous expenditure of ₹ 23.22 crore on civil works and loss of ₹ 5.20 crore due to non recovery of liquidated damages.*

(Paragraph 3.3.6)

- *Commencement of work without acquiring the required land, rendered an expenditure of ₹ 23.18 crore wasteful.*

(Paragraph 3.3.7)

1.7.4 Persistent and pervasive irregularity

An irregularity is considered persistent if it occurs year after year. It is deemed pervasive when prevalent in the entire system. Recurrence of irregularities, despite being pointed out in earlier audits is indicative of slackness on the part

of the executive and lack of effective monitoring. This in turn encourages willful deviations from observance of rules/regulations and results in weakening of administrative structure. Audit observed that

- *Execution of construction works of Rapti Link Channel (RLC) in violation of the orders of the Government led to unauthorised and unfruitful expenditure of ₹ 2.21 crore.*

(Paragraph 3.4.1)

1.7.5 *Fraud and detection of fraud*

Audit of financial transactions, test checked in Public Works Department and their field functionaries revealed that

- *Failure to verify the genuineness of the transfer order by the Executive Engineer, Construction Division, Bridges and Roads, Gorakhpur, as ordered by the Engineer-in-Chief, Public Works Department, not only facilitated the joining of two fake employees but also resulted in fraudulent drawl of salaries of ₹ 3.73 lakh.*

(Paragraph 3.5.1)

1.8 Response of the departments to the draft performance reviews and audit paragraphs

The draft performance reviews and audit paragraphs are forwarded to the Principal Secretaries/ Secretaries of the concerned departments drawing their attention to the audit findings and requesting them to send their responses within six weeks. It is brought to their personal attention that in view of likely inclusion of such paragraphs in the Audit Reports of the Comptroller and Auditor General of India, which are placed before Uttar Pradesh Legislature, it would be desirable to include their comments in the matter. They are also advised to have meetings with the Principal Accountant General to discuss the performance reviews /draft audit paragraphs, proposed for Audit Reports.

During May to December 2011, three draft performance reviews and 34 draft paragraphs which included two long paragraphs were forwarded to the concerned Principal Secretaries/Secretaries of the departments demi-officially. The meetings for discussions were also arranged during October to December 2011.The responses in respect of all the draft performance reviews and paragraphs were received and have suitably been incorporated in the Report. However, Government/Departments did not furnish detail replies in respect of Information System audit of Irrigation Department, CCO based audit of Horticulture and Food Processing Department and both the long paragraphs.

Chapter II PERFORMANCE AUDIT

This chapter contains results of performance audit of Construction, Modernisation and Maintenance of State Tubewells; Information System Audit on 'Preparedness of Computer Based Management Information System in Irrigation Department' and Long Paragraphs on Status of Infrastructure Facilities and Teaching Aids in Government Primary and Upper Primary Schools in Ghazipur and Gautam Buddha Nagar Districts and Status of Medical Equipment and Apparatus in Ghazipur and Gautam Buddha Nagar districts.

IRRIGATION DEPARTMENT

2.1 Performance Audit on "Construction, Modernisation and Maintenance of State Tubewells"

Executive Summary

Economy of Uttar Pradesh is dependent mainly on agriculture which provides livelihood to 65 per cent of its population. Of total net irrigated area of 1.31 crore hectare in the State, tubewells contribute irrigation to only 0.04 crore hectare (3 per cent) area. Performance audit of "Construction, Modernisation and Maintenace of State Tubwells" disclosed the following:

- *Failure of proper and required scrutiny of the project cost at E-in-C as well as at the Government level, led to avoidable creation of liability of interest bearing loan of ₹ 1.60 crore.*
- *The Department purchased heavy machines costing ₹ 3.06 crore without obtaining administrative and financial sanction from the Government.*
- *Liability of ₹ 177.06 crore was pending on account of electricity charges.*
- *The Department could utilise only 27 per cent of created irrigation potential due to wrong assessment of failed STWs, improper selection of sites for construction of new STWs, non-construction of field channels and new pump sets were replaced where pump sets were functioning effectively.*
- *Installation of 828 low capacity pump sets resulted in short utilisation of irrigation potential in 0.41 lakh hectare. Saving of ₹ 6.12 crore was also not surrendered.*
- *If the Government would have opted for metered billing an amount of ₹ 245.49 crore could have been saved.*

2.1.1 Introduction

The Irrigation Department (ID) is responsible for investigation, planning, designing, construction and maintenance of State Tubewell (STWs) Projects in the State. ID started construction of STWs of capacity of 1.5 cusec, with a command area of 100 hectares, in 1936. In 1999, operation of STWs with operators was handed over to *Panchayati Raj Institutions* (PRIs). Due to poor operation of STWs by PRIs, the Government decided to take over their operation in July 2005.

ID again started construction of STWs of one cusec capacity in 2004-05. Of the total irrigation potential of 34.15 lakh hectare created (as of March 2011), 1.66 lakh hectare was created during 2006-11 through 3521[1] new STW projects with an investment of ₹ 576.23 crore. Further, ID restored 1.85 lakh hectare of Culturable Command Area (CCA) through re-boring of wells in case of 1230 failed STWs (₹ 147.24 crore), improvement works of ₹ 187.89 crore on defunct channels of 8350 STWs and replacement of pump sets of 5750 STWs.

2.1.2 Organisational setup

At the Government level, the Principal Secretary, ID is responsible for overall monitoring and implementation of various schemes of construction, modernisation and maintenance of STWs. Engineer-in-Chief, Mechanical (E-in-C), assisted by Chief Engineer (CE), level-I (Tube well) and CE, Central Equipment and Stores Procurement Organisation (CESPO) at the Department level and four Zonal CEs and 23 Superintending Engineers (SEs) in the field. Of the total 92 divisions, three Investigation and Planning Divisions, four Procurement Divisions, 11 Construction Divisions, 70 Maintenance Divisions and four Workshop Divisions are responsible forplanning, procurement of materials, construction, modernisation/maintenance/operation and manufacturing accessories for STWs respectively.

2.1.3 Audit objectives

The objectives of this performance audit were to ascertain whether:

- planning of the schemes was proper;
- funds were adequate, released in time and utilised economically, efficiently and effectively;
- there was an effective mechanism in place for construction, modernisation, renovation/reinstallation of tubewells and also maintenance of already created assets;

[1] 234 STWs: Mukhya Mantri Ghoshana (Chief Minister's Declaration) and 3287 STWs: NABARD Funded.

- the schemes achieved the objectives to provide targeted irrigation potential to the beneficiaries and whether the potential created was utilised optimally and desired Benefit Cost Ratio (BCR) was achieved; and
- the monitoring and evaluation mechanism was effective.

2.1.4 Audit criteria

Following were the sources of criteria adopted for the performance audit:

- Survey reports, preliminary plan proposals/detailed project reports of selected projects and State Water Policy 1999;
- Project guidelines, administrative and financial sanctions;
- Annual work plan, Budget Manual and financial rules;
- Circulars/instructions issued by the Government and Engineer-in-Chief; and
- National Bank for Agriculture and Rural Development's (NABARD's) terms and conditions and reports relating to release, repayment and utilisation of loan.

2.1.5 Scope of audit

The performance audit covered the period from April 2006 to March 2011. Records of 18 selected districts[2] were test checked during the period of audit. The districts were selected applying Probability Proportionate to Size Without Replacement method with stratified statistical sampling. Information was also collected from the offices of the Principal Secretary, ID; E-in-C; Agriculture Department; and NABARD. Joint physical inspection of 148 (10 *per cent*) out of 1446 STWs, constructed/ renovated/modernised during 2006-11, was also carried out together with interaction with the beneficiaries.

2.1.6 Audit Methodology

The audit objectives, criteria and scope were discussed with the Principal Secretary, ID, Government of Uttar Pradesh (GoUP) and E-in-C in an entry conference in 21 April 2011. The audit findings, conclusions and recommendations were discussed in an exit conference in 16 January 2012 with the Principal Secretary of the Department and the replies of the Department have been suitably incorporated.

2.1.7 Planning of the schemes

STWs are the major source for providing assured irrigation round the year either in those areas where construction of gravity canals is not feasible or in the areas which are not irrigated through canal. Tubewells are also used for

[2] Agra, Aligarh, Ambedkar Nagar, Banda, Bareilly, Budaun, Faizabad, Ghazipur, Gorakhpur, Hamirpur, Hardoi, Jalaun, Kanpur, Lucknow, Mainpuri, Muzaffarnagar, Sant Ravidasnagar and Varanasi.

conjunctive use of ground water in order to increase the intensity and productivity of crops. Further, STWs require short gestation period and provide quick irrigation facilities to areas under their command.

To help Schedule Cast/Schedule Tribe/Minority communities and marginal farmers and also to create irrigation facility in unirrigated area (0.35 crore hectare) of the State, GoUP sanctioned (February 2004) the scheme[3] for construction of 1000 new tubewells with schedule date of completion by 2006-07. Further, ID also executed two other projects[4] for restoration of already created irrigation potential (1.88 lakh hectare) which could not be irrigated due to failure of STWs, depletion of distribution system and wearing down of pump sets.

Audit examination of the three schemes revealed the shortcomings, discussed in the succeeding paragraphs.

2.1.7.1 Planning without assessment of requirement

Construction of new STWs

ID started a pilot project, "Construction of 1000 Small State Tubewells", in 2003-04 at a cost of ₹ 81.91 crore in 57 districts, where sufficient ground water was available for deep tubewells. The project was revised to ₹ 98.19 crore for stated increase in cost of material, energisation charges and other construction materials such as diesel, cement, bricks etc. The project was completed in 2007-08 at ₹ 98.22 crore. Similarly, ID sanctioned another project for construction of 3000 new STWs at ₹ 448.54 crore in 2007-08 with completion schedule by 31 March 2010. The scheme was still in progress (January 2012) and expenditure of ₹ 444.52 crore had been incurred (December 2011).

Scrutiny of the records revealed that the projects were formulated without taking the requirements into account as no proposals regarding number and location of STWs were obtained from the districts at the planning stage. After the approval of the project by the Government, tubewells were distributed among the districts on the basis of number of running tubewells and net irrigated area. Subsequently, the concerned nodal tubewell division of the district invited proposals from people's representatives, *Gram Sabhas* and groups of farmers having a minimum of 50 hectare of unirrigated area. Thereafter, the nodal division ascertained the feasibility/eligibility of the construction of the STWs and submitted the proposals to District Tubewell Site Selection Committee headed by District Magistrate for approval of construction sites of the tubewells.

Further it was noticed that ID sent proposals (February 2009) to NABARD for change of target of 25 unconstructed STWs (₹ 4.02[5] crore) in three districts[6]

[3] Construction of 1000 new STWs.
[4] Modernisation of failed STWs and improvement in distribution system and installation of new pump sets.
[5] NABARD's share: ₹ 3.72 crore and State Share: ₹ 0.30 crore.

due to saline water quality and absence of sufficient granular zone, which was rejected by NABARD (March 2009). NABARD also requested (March 2009) to ID to submit a proposal for cancellation of these project which was forwarded to NABARD in May 2009.

The Government stated (January 2012) that the project was formulated keeping in view the district-wise unirrigated area and stage of ground water development but not on *ad-hoc* basis. Reply was not correct as the stated criteria for selection of site and allocation of STWs were not adhered to, for example, JP Nagar[7], with more unirrigated area as well as higher possibility of use of ground water, was allocated only 25 new STWs whereas Bagpat[8] with less unirrigated area and less possibility of use of ground water, was allocated 75 new STWs.

Modernisation of failed STWs

The STWs failed after completing their useful life results in cessation of irrigation facilities in their command area. To restore irrigation facilities in such areas, modernisation of STWs was decided by re-boring of wells; construction of new pump houses and head sumps; installation of new pump sets; connecting existing distribution systems with new well points by laying PVC pipe lines; renovation of existing distribution systems, if required; and strengthening of field channels. Accordingly, proposals for re-construction of 800 out of 1227 such STWs, as on 1 April 2007, were prepared (July 2007) excluding those where (i) water was saline; (ii) excessive number of private tubewells were installed in the command of such STWs; (iii) STWs failed before completing their economic life due to technical reasons; and (iv) there were habitations now under the command of STWs. NABARD sanctioned the project in October 2008 for RIDF loan.

However, non-availability of command area due to high concentration of private tubewells in command area of originally proposed STW, ID sent (September 2010) revised proposal to NABARD for modernisation of 470 out of 800 such STWs. Further, during test check of the STWs in Ghazipur district, it was noticed that after initial resistivity survey of these STWs, ground water salinity was observed, hence 13 STWs of Ghazipur could not be modernised.

While accepting the facts, the Government stated (January 2012) that due to technical reasons, the modernisation of these 13 STWs was not taken up and funds to the extent of ₹ 1.91 crore were surrendered.

Thus, due to improper assessment and projection of the reasons for failure of STWs,

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[6] Chitrakoot (05), Mahoba (10) and Mathura (10).
[7] Unirrigated sown area was 58000 hectare and possibility of use of Ground water was 37 *per cent* of recharge.
[8] Unirrigated sown area was 3000 hectare only and utilisation of Ground water was already 113 *per cent* of recharge.

13 STWs could not be modernised and Department had to surrender ₹ 1.91 crore. Besides, farmers holding land of 0.13 lakh hectare were also deprived of the benefit of irrigation facilities.

Overestimation of project

Overestimation of project led to creation of avoidable liability of ₹ 1.60 crore.

ID prepared a project for restoration of irrigation facility in 0.80 lakh hectare command area during 2008-11 by modernising 800 failed STWs. The cost of the project was to be met through loan from NABARD and State Government in the ratio of 95:5. As per project report, the estimated cost of modernisation of each STW was ₹ 0.14 crore including the cost of survey, land, works, equipment, contingency (two *per cent*), Special Tools and Plants, plantation, charges for direction and administration and energisation. ID submitted (September 2007) the proposal to Expenditure Finance Committee (EFC), for evaluation of the cost of the project. On the recommendation of EFC, the Government issued administrative and financial sanction of ₹ 111.66 crore for the project.

Scrutiny of the detailed project documents revealed that a provision of ₹ 2.03 crore (approximately ₹ 25000 per STW for 800 STWs) was approved for Special Tools and Plants for 800 STWs. However, in the proposal put up for approval of EFC, provision for Special Tools and Plants was made at the rate of ₹ 45000 per STW. EFC approved the proposal of ID, which resulted in excess approval and release of ₹ 1.60 crore (₹ 20000 per STW for 800 STWs). Thus, the failure of proper scrutiny of the project cost at E-in-C as well as at the Government level, led to creation of liability of interest bearing loan of ₹ 1.60 crore extended by NABARD.

The Government accepted the fact and stated (January 2012) that the excess amount released was utilised to cover the escalations in the cost of labour and material. The reply was incorrect and also against the extant financial rules as the funds should have been used for the purported purpose only. The excess release of ₹ 1.60 crore should have been surrendered.

Purchase of heavy machines without administrative and financial sanctions

Department purchased heavy machineries costing ₹ 1.55 crore without obtaining administrative and financial sanction.

During 2006-11, ID formulated projects namely, *Chaudhari Charan Singh Nalkoop Yojna* (*CCSY*), for construction of 3000 new STWs (₹ 448.54 crore) and for modernisation of 800 failed STWs (₹ 111.66 crore). The projects for construction and modernisation of STWs (3000 and 800 STWs) were to be taken up departmentally and a provision of ₹ 6.24 crore was made for purchase of new machines as mentioned in **Table 1**.

Table 1: Statement showing provisions for purchase of heavy machines

(₹ in crore)

Name of the machine	No.	Rate	Total cost
Construction of 3000 New STWs under CCSY			
Drilling Rig	02	1.12	2.24
Compressors (600 PSI)	02	1.00	2.00
Modernisation of 800 failed STWs			
Drilling Rig	01	1.10	1.10
Compressors (350 PSI)	01	0.50	0.50
Compressors (150 to 250 PSI)	01	0.40	0.40
Total	**07**		**6.24**

(Source: E-in-C, Mechanical, Irrigation Department, Uttar Pradesh)

Scrutiny revealed that ID purchased none of the three rig machines proposed in the projects. Further, it purchased four 600 Pound per Square Inch (PSI) compressors at ₹ 4.87[9] crore instead of only two 600, one 350 and one 150-250 PSI compressors. This led to extra expenditure of ₹ 1.51 crore. Besides, ID also purchased eight extraction machines at ₹ 1.55 crore[10] without administrative and financial sanctions.

While accepting the facts, the Government stated (January 2012) that the compressors were purchased under the existing provision for Special Tools and Plants. The reply was not acceptable as the excess expenditure was met out of the provisions made for rigs, which were not purchased. It was further stated that although no provision for purchase of pipe extraction machines existed but these were purchased since there was rebate on linear assemblies. The purchase of pipe extraction machines without administrative and financial sanctions and also without approvals of NABARD was in violation of the extant financial rules, terms and conditions entered into by GoUP with NABARD.

Further scrutiny of the records of the test checked Tubewell Construction Divisions (TWCDs) revealed that although four additional compressors of 600 PSI capacity were purchased, the already available compressors were not fully utilised due to shortage of compressor operators as detailed in **Table 2**.

Table 2: Statement showing division-wise shortage of operators

Name of Division	Month of purchase of compressor	Amount (₹ in crore)	Number of STWs developed as of March 2011	Compressors available in the division		Compressor operator available
				Total	Working	
TWCD, Lucknow	January 2009	1.23	31	4	4	2
TWCD, Agra	February 2010	1.23	05	7	5	3
TWCD, Varanasi	February 2010	1.20	04	7	6	2
TWCD, Allahabad	February 2011	1.21	Nil	4	4	Nil
Total		**4.87**				

(Source: Information collected from CESPO and concerned TWCDs)

[9] TWCD, Lucknow: ₹ 1.23 crore; TWCD, Agra: ₹ 1.23 crore; TWCD, Varanasi: ₹ 1.20 crore; and TWCD, Allahabad: ₹ 1.21 crore.

[10] Two extraction machine @ ₹ 16.41 lakh, four extraction machine @ ₹ 19.93 lakh and two extraction machine @ ₹ 21.04 lakh.

Keeping in view the shortage of Compressor operators, the possibility of optimum utilisation of existing as well as newly purchased Compressors appear to be remote. Further, the compressor at TWCD, Allahabad was purchased (February 2011) at the fag end of completion schedule of the projects (31 March 2011) and the STWs under these two projects were developed on contracts/work orders, though the projects were to be executed departmentally.

The Government stated (January 2012) that the compressors were utilised by the existing operators and also by other technical staff, who were provided special training for operating the compressors. The reply was not acceptable as the compressors were purchased without ascertaining the availability of operators and ensuring the optimal utilisation of compressors; no records in support of special training imparted to other technical staff was made available; and payments were also made to contractors for development work of STWs through compressors.

Excess estimation of ordinary Tools and Plants

Excess estimation of ordinary Tools and Plants of ₹ 5.17 crore was made without obtaining demand from divisions.

With a view to ensuring proper utilisation of STWs' potential, GoUP sanctioned (August 2007) a project relating to improvement in system of 11000 STWs at ₹ 158.17[11] crore, to be implemented during 2008-11. An expenditure of ₹ 147.20 crore had been incurred as of March 2011.

Scrutiny of the project document revealed that ₹ 5.17 crore was provisioned for ordinary Tools and Plants without obtaining demand from the divisions. No justification for requirement of Tools and Plants was given in the project. Details are given in **Table 3**.

Table 3: Details of ordinary Tools and Plants

(₹ in lakh)

Sl. No.	Name of ordinary T&P	Provision for 11000 STWs		Required in test checked districts (3929[12] STWs)		Actual procurement in test checked districts	
		Quantity (In No.)	Total cost	Quantity (In No.)	Total cost	Quantity (In No.)	Total cost
1.	Chain Tackle 3 Tones	2100	420.00	750[13]	150.00	64	14.91
2.	6" Pipe chain wrench	2100	52.50	750	18.75	13	0.57
3.	Pipe Wrench	2100	44.10	750	15.75	54	0.43
Total			**516.60**		**184.50**	**131**	**15.91**

(Source: E-in-C, Mechanical, Irrigation Department, Uttar Pradesh**)**

It is evident from the above table that only 64 out of 750 chain tackles estimated in test checked districts, were purchased during 2009-11. This also indicates that the division-wise requirement was not assessed.

While accepting the facts, the Government stated (January 2012) that there was no intention for making excess provision of the items. Reply was not

[11] NABARD share: ₹145.35 crore and State share: ₹ 12.82 crore.
[12] 3929 STWs of the test checked districts were taken for improvement.
[13] 3929 × (2100÷11000)

justified as the provision of items under the head Tools and Plants without ascertaining the actual requirement of the districts which had resulted in excess provision of the items not required for the project.

2.1.7.2 Viability of the project: Benefit Cost Ratio (BCR)

Projects were derived in such a way to make it commercially viable to fulfill the requirements of NABARD

As per Paragraph 10 of Financial Handbook (FHB) Volume-VI read with Appendix-IX of Financial Handbook Volume-V irrigation works have been treated as commercial schemes. BCR is the ratio of annual benefits over annual cost of the project. The annual benefit is the expected increase in agricultural income, net of input cost, owing to the irrigation project. The annual cost includes cost of operation and maintenance, depreciation and interest burden on the project cost. Implicit assumption in its calculation is that the running cost of the project would be made good as a result of increased earnings from higher production. If an irrigation project assumed BCR of one or above one, it is considered commercially viable. Further, loans under RIDF are also considered for sanction to those projects that have BCR>1. Audit observed that:

Projection period

The project reports were based on unrealistic assumptions for calculating the BCR. The projection period for BCR was taken as eight years while the capital was to be invested within two/three years. Audit noticed (April-May 2011) that Department calculated BCR for eight years instead for the period in which the intended benefits have been achieved. Details are given in **Table 4**.

Table 4: Statement showing scheme-wise projection period taken for calculation of BCR

Sl. No.	Name of the project	Projection period (in years)	BC ratio	Period in which Social Benefit achieved	Actual BC ratio taking benefit period i.e., col. (5)
(1)	(2)	(3)	(4)	(5)	(6)
1	Construction of 1000 new STWs	8	1:1.07	6	1:0.79
2	Construction of 3000 new STWs	8	1:1.24	6	1:0.92
3	Modernisation of 450 failed STWs	8	1:1.64	6	1:1.07
4	Modernisation of 800 failed STWs	8	1:1.37	6	1:0.86
5	Improvement in field channel of 3100 STWs	7	1:1.05	3	1:0.45
6	Improvement in field channel of 11000 STWs	4	1:3.10	4	1:3.10

(Source: E-in-C, Mechanical, Irrigation Department, Uttar Pradesh**)**

It is thus evident from the table above that the projects at Sl. No. 1, 2, 4 and 5 were not commercially viable due to the BCR<1. Thus, the proposals for sanction of projects were not based on actual data and were based on unrealistic projections.

In reply the Government stated (January 2012) that guideline laid for the formulation of project stipulates that after the probable date of completion of project the revenue should be derived within a period of 10 years. Reply was

not acceptable as the intended social benefits of the projects were achieved well before the period taken for calculation of BCR. Further, the BCR projections for loan were unrealistic.

Envisaged cost benefit based on unrealistic running of STWs

Scrutiny of six project reports mentioned in the Table 4 above revealed that the derived BCR was not based on realistic data. Social benefit was calculated taking 1500 to 2500 hours of annual running of STWs, which was much more than the actual average running of STWs during 2006-11 as given in **Table 5.**

Table 5: Statement showing year-wise running of STWs

Year	No. of running STWs as on 1st April	Actual running hours of STWs	Average running of per STW
2006-07	27988	N/A	N/A
2007-08	28366	16573046	584
2008-09	27600	16438180	596
2009-10	27932	19478700	697
2010-11	28320	21559437	761

(Source: E-in-C, Mechanical, Irrigation Department, Uttar Pradesh)

It is evident from the above table that the actual running hours of STWs during 2006-11 ranged between 584 and 761 hours per STW. Scrutiny further revealed that BCR was calculated on the basis of annual working expenses which included (i) extension and improvement, (ii) maintenance of works and (iii) energy charges.

The cost of annual working expenses were considered without accounting for the cost of operation, though the expenditure on establishment was also to be considered for assessing the BCR.

In reply (January 2012), the Government did not offer any comment to the above observation.

2.1.8 Financial management

2.1.8.1 Allotment and expenditure

The Government provided funds for construction, modernisation, maintenance of STWs and their annual repair. The expenditure on capital works of schemes was to be met initially by the Government and 95 *per cent* of the cost of the project was to be reimbursed from borrowing the loan from NABARD at an interest rate which was pegged at the rate of 0.5 *per cent* above the bank rate. In addition, the Government also made budgetary provisions for specific[14] projects whereby the Government allotted funds to E-in-C who in turn released it to EEs. Details of provisions made in annual budget and expenditure incurred thereagainst during 2006-11 are given in **Table 6**.

[14] Chief Minister's Declaration, Improvement of field channels under Rashtriya Krishi Vikas Yojna.

Table 6: Allotment and expenditure

(₹ in crore)

Year	Final Budget Provision				Surrender			Sanction released			Total released/ utilized
	2702		4702	Total	2702		4702	2702		4702	
	NP	Plan	Plan		NP	Plan	Plan	NP	Plan	Plan	
2006-07	33.33	19.00	126.51	178.84	0.00	0.00	0.00	33.33	19.00	126.51	178.84
2007-08	34.00	19.00	136.07	189.07	0.00	0.00	0.00	34.00	19.00	136.07	189.07
2008-09	58.00	22.00	194.74	274.74	2.54	0.00	3.19	55.46	22.00	191.55	269.01
2009-10	57.00	10.05	228.74	295.79	0.89	0.00	0.05	56.11	10.05	228.69	294.85
2010-11	57.00	19.70[15]	249.49	326.19	0.00	0.00	0.08	57.00	19.70	249.41	326.11
Total	**239.33**	**89.75**	**935.55**	**1264.63**	**3.43**	**0.00**	**3.32**	**235.90**	**89.75**	**932.23**	**1257.88**

(Source: Information/data furnished by E-in-C, Mechanical, Irrigation Department, Uttar Pradesh)

Budget provision of ₹ 179.45 crore was originally made under the Plan scheme during 2008-09. Further, on demand, the Government re-appropriated ₹ 15.29 crore, out of which ₹ 3.19 crore was surrendered. Similarly, against the provision of ₹ 115 crore under Non-Plan head during 2008-09 and 2009-10, ₹ 3.43 crore were surrendered at the end of financial year.

In reply, the Government stated (January 2012) that ₹ 3.19 crore were short released against the budgetary provision. It was further stated that the excess budget provision was made on the assumption of number of running tubewells and as these were less hence ₹ 3.43 crore was surrendered/re-allocated to other heads.

2.1.8.2 Allotment and expenditure for electricity charges

Liability of ₹ 177.06 crore was still pending.

Scrutiny of records/information furnished by Uttar Pradesh Power Corporation Limited (UPPCL) revealed that a liability of ₹ 177.06 crore was pending on ID against the energy charge of STWs as on March 2011. Details of amount verified and payment made for electricity charges on account of STWs during 2006-11 are shown in Table 7.

Table 7: Statement showing payment for energy charges

(₹ in crore)

Year	Amount verified	Payment	Liabilities
2006-07	290.91	289.63	01.28
2007-08	236.08	246.28	-10.20
2008-09	392.95	389.76	03.19
2009-10	420.30	389.84	30.46
2010-11	542.16	389.83	152.33
Total	**1882.40**	**1705.34**	**177.06**

(Source: Uttar Pradesh Power Corporation Limited, Lucknow)

It would be seen from the above table that a liability of ₹ 177.06 crore was still pending as of 31 March 2011.

[15] This includes ₹ 14.70 crore for Rashtriya Krishi Vikas Yojna.

While accepting the fact the Government stated (January 2012) that the liability has been created due to less allotment of the budget. The Government also stated that the demand for clearance of the liability has already been raised.

2.1.8.3 Diversion of fund

NABARD loan of ₹ 22.39 lakh were diverted for the work sanctioned under CM's declaration scheme.

EE, TWCD and TWD, Agra demanded ₹ 139.32 lakh (TWCD: ₹ 115.00 lakh and TWD: ₹ 24.32 lakh) for spill over work of 2007-08. Accordingly, E-in-C sanctioned (December 2008) ₹ 139.32 lakh (₹ 115.00[16] lakh for spill over work of mechanical part of tubewells viz., drilling, development, *etc*., and ₹ 24.32[17] lakh for energisation work of tubewells) under NABARD funded "Chaudhary Charan Singh Project for Construction of New State Tubewells".

Scrutiny revealed that out of ₹ 139.32 lakh, ₹ 22.39 lakh (TWCD, Agra: ₹ 9.90 lakh and TWD, Agra: ₹ 2.49 lakh) in the two divisions were diverted for the work sanctioned under Chief Minister's Declaration Scheme, which was not funded by NABARD.

The Government accepted (January 2012) the fact regarding TWCD, Agra. However, in case of TWD, Agra it stated that no funds were diverted. The reply of the Government was incorrect as ₹ 2.49 lakh had been booked against STWs sanctioned under Chief Minister's Declaration scheme.

2.1.9 Implementation of the projects

2.1.9.1 Non-achievement of objectives

Department failed to utilise 73 per cent of created potential.

ID had created 32.49 lakh hectare of irrigation potential at the beginning of financial year 2007-08 which was subsequently enhanced to 34.15 lakh hectares by 31 March 2011. Details of total irrigation potential created and total Culturable Command Area (CCA[18]) irrigated between 2006-07 and 2010-11 are given in **Table 8**.

Table No. 8: Utilisation of created irrigation potential

(Figure in lakh hectare)

Category of STWs	2006-07			2010-2011		
	No. of STWs	Total irrigation potential	Total CCA irrigated	No. of STWs	Total irrigation potential	Total CCA irrigated
Running STWs	28366	27.88	6.03	29016	27.00	9.27
Failed STWs	1227	1.23	0	1877	1.88	0
Under improvement STWs	207	0.21	0	1412	1.41	0
Non-energised STWs	737	0.45	0	704	0.35	0
Abandoned STWs	2721	2.72	0	3506	3.51	0
Total	**33258**	**32.49**	**6.03**	**36515**	**34.15**	**9.27**

(Source: E-in-C, Mechanical, Irrigation Department, Uttar Pradesh)

[16] EE, Tubewell Construction Division, Agra.
[17] EE, Tubewell Division, Agra.
[18] The area which can be irrigated from a scheme and is fit for cultivation.

It would be seen from the above table that even after spending ₹ 576.23[19] crore for creation of 1.66 lakh hectare (₹ 34713 per hectare) irrigation potential during 2006-11, ID could utilise only 9.27 lakh hectare (27 *per cent*) of the created irrigation potential.

Analysis in audit revealed that this was due to improper selection of sites for construction of new STWs, wrong assessment of failed STWs, installation of new pump sets on the wells where pump sets were functioning effectively as discussed in the succeeding paragraphs.

The Government stated (January 2012) that 3.24 lakh hectare irrigated area (65 *per cent*) increased during 2006-07 to 2010-11. Reply was not acceptable, even though the Department increased 3.24 lakh hectare of irrigation area during 2006-07 to 2010-11, the Department could utilise only 27 *per cent* of the total created irrigation potential.

2.1.9.2 Non-energisation of STWs

The objective of various STWs schemes was to provide quick irrigation facilities to the small and marginal farmers. To achieve the objectives of the scheme, the constructed/modernised STWs were to be energised immediately after the installation of the pump sets. Scrutiny revealed (August 2011) that 717 out of 2016 STWs constructed in the State during 2009-11, were not energised till March 2011 despite transfer of ₹ 13.12 crore to UPPCL for energisation. Out of 717, 188 STWs (₹ 3.63 crore) were pertaining to the test checked districts.

While accepting the Audit observation the Government stated (January 2012) that out of 717 only 27 STWs were yet to be energised (December 2011) and UPPCL was being regularly requested to expedite energisation. The reply was not acceptable as Government did not furnish evidence in support of reply.

2.1.9.3 Construction of New State Tubewells

In 2006-07, ID prepared a project for construction of 3000 small STWs under CCSY of one cusec capacity with 50 hectare CCA in 68[20] districts. These STWs were proposed in each district. The energisation of STWs was entrusted to UPPCL. Initially, NABARD sanctioned (November 2006) the project under Rural Infrastructure Development Fund (RIDF)-XII at ₹ 367.98 crore, which was subsequently revised (November 2007) to ₹ 448.54 crore (NABARD: ₹ 426.11 crore and State: ₹ 22.43 crore). This project aimed at creation of irrigation potential of 1.50 lakh hectare. The proposed work was to be completed by March 2010.

[19] Expenditure of ₹ 576.23 crore was incurred on creation of additional 1.66 lakh hectare (34.15 lakh hectare – 32.49 lakh hectare) irrigation potential during 2006-11.

[20] Lalitpur and Sonbhadra districts excluded from the project due to non-feasibility of construction.

The project envisaged construction of pump house, delivery tank, header for PVC pipeline, brick work regulator, pump unit with switch gear, fuse/isolating switch, capacitor, automatic starter and an hour meter for each STW. The project also envisaged the construction of distribution system in each STW consisting of 0.6 km underground PVC pipeline with five outlets and 3 km of field channels. The examination of the records relating to the project revealed the following irregularities:

Improper selection of site for construction of new STWs

50 *per cent* STWs were constructed in areas falling under private Tubewells and flood prone area.

The Government procedure for selection of construction site for new STWs (August 2007) provided for (i) priority to those places where ground water level was deep and because of which construction of private tubewell was not feasible, (ii) non-construction in areas coming under the command of canals, (iii) non-construction of STWs where the command areas of the proposed STWs were flood prone or fell under *banjar-kankrili* soil and were therefore not fit for *Rabi*/sugarcane crop *etc*.

Scrutiny of the records in the test checked districts revealed that in contravention to the site selection order, 39 STWs were constructed at a cost of ₹ 5.36 crore. This was also confirmed during joint physical inspection of 10 *per cent* STWs constructed during 2006-11. District-wise details are given in **Table 9**.

Table 9: District-wise details of STWs constructed against the provision

(₹ in crore)

Sl. No.	Name of district	Number of STWs constructed	Number of STWs jointly inspected (10 *per cent* of constructed STWs)	STWs constructed in the command which was already irrigated by private tubewell, canal, *etc.*		STWs constructed in the command which falls under flood prone area, low land, *etc.*	
				No.	Cost of STW	No.	Cost of STW
1.	Agra	40	4	2	0.25		
2.	Aligarh	58	6	4	0.52		
3.	Ambedkarnagar	50	5	2	0.26	1	0.15
4.	Banda	80	9	4	0.60		
5.	Bareilly	50	5	3	0.41		
6.	Budaun	100	10	2	0.26		
7.	Ghazipur	46	6	2	0.33		
8.	Gorakhpur	50	6	1	0.17	1	0.16
9.	Hamirpur	50	5	2	0.25		
10.	Lucknow	30	2	1	0.08		
11.	Mainpuri	56	8	8	1.16		
12.	Muzaffarnagar	48	5	3	0.40		
13.	Sant Ravidas Nagar	34	3	1	0.11	1	0.09
14.	Varanasi	74	4	1	0.16		
	Total	**766**	**78**	**36**	**4.96**	**3**	**0.40**

(Source: Joint inspection of STWs with executing officer of TWDs)

It is evident from the above table that site selected for construction of 39 (50 *per cent*) out of 78 STWs, jointly inspected, was against the prescribed norms.

The Government stated (January 2012) that there was no ban on construction of STWs where private tubewells existed in the command of the proposed STWs and that these sites were selected by District Tubewell Site Selection Committee. Reply is not correct as the construction of STWs in 50 *per cent* cases in command area having more than three private tubewells and in the command of canals and flood prone area was against the Government procedure for selection of construction site for new STWs.

Non-construction of field channels

In test checked districts 19 out of 23 divisions did not construct field channels.

As per sanctioned project report, the water from the delivery tank passes through a regulator and then via header into pipe lines in two directions with five outlets spread over the command area of the tubewell. From every outlet field channels, totalling 3 km in length, were to be constructed to distribute water to all the fields in the command area of the tubewell. The construction cost of STW was ₹ 14.08 lakh for the first year and at enhanced rate of five *per cent* and 10 *per cent* for subsequent two years. The construction cost included the cost of ₹ 0.21 lakh for construction of field channels for first year, ₹ 0.22 lakh for second year and ₹ 0.23 lakh for third year.

Scrutiny of the records (April-August 2011) revealed that 19 out of 23 divisions (798 out of 965 STWs) of 18 test checked districts did not construct field channels costing ₹ 1.77 crore (***Appendix-2.1.1)*** which were mandatorily and essentially required for distribution of water in the entire command of the tubewell. E-in-C issued strict instructions (June 2010) to all divisions for construction of field channels as per provisions contained in the project. The photographs below, taken during April-August 2011 in few locations visited by Audit, depict that the field channels were not constructed.



335 Bah, Agra



110 ZG, Ghazipur



448 BG, Gorakhpur



405 AG, Ambedkarnagar

In reply, the Government stated (January 2012) that field channels had been constructed on most of the STWs and on those STWs where the work of construction of field channels was not taken up due to various reasons, were being constructed as per provision. The Government was, however, silent about non-construction of field channels at locations pointed out in audit.

Thus, due to non-construction of field channels, the Department could not optimise the intended benefit of construction of new STWs and the funds allocated for the purpose were utilised for other activities of STWs.

Improper establishment of well point of STWs command

As per Government Order (August 2007) and the project report, the well was to be established at the highest point in the command and in such a way that the beneficiaries may utilise the maximum irrigation facility.

Scrutiny of the records of the 15 test checked districts revealed that the 46 STWs having 2300 hectare CCA were constructed without ensuring proper location which resulted in non-distribution of water in the entire command. Details are given in **Table 10**.

Table 10: Statement showing improper establishment of well-point

Sl. No.	Name of district	Number of STWs constructed	Number of STWs jointly inspected	Number of STWs where the location of well was improper
1.	Agra	40	04	04
2.	Aligarh	58	06	01
3.	Banda	80	09	05
4.	Bareilly	50	05	03
5.	Budaun	100	10	01
6.	Faizabad	100	10	06
7.	Ghazipur	46	06	02
8.	Gorakhpur	50	06	04
9.	Hamirpur	50	05	05
10.	Jalaun	38	05	04
11.	Kanpur	37	04	01
12.	Mainpuri	56	08	02
13.	Muzaffarnagar	48	05	06
14.	Sant Ravidas Nagar	34	03	01
15.	Varanasi	74	04	01
	Total	**861**	**90**	**46**

(**Source**: Joint inspection of STWs with executing officer of TWDs)

The above table indicates that well point was not properly established in 46 (51 *per cent*) out of 90 jointly inspected (April-August 2011) STWs. Due to improper survey for selection of site for constructing the well, the entire command of the STWs was not being irrigated.

In reply, the Government stated (January 2012) that the well point of the STWs was selected after taking all technical aspects in totality so as to provide irrigation facilities in the entire command. Reply was not correct as the wells were located at points from where irrigation of the entire command of 50 hectare would not be possible.

2.1.9.4 Projects for improvement of STWs

To ensure proper utilisation of STWs' potential, ID started (2008-09) a project named "Improvement in system of 11000 State Tubewells". The project aimed at installing new pump sets and accessories in place of worn out pump sets, which had completed their economic running life and to modernise the depleted distribution system of STWs to restore irrigation in the command area. The expected irrigation potential of 48950 hectare was to be restored at ₹ 158.17 crore.

Scrutiny of the records revealed that the objectives of the scheme to restore irrigation in 48950 hectares were not achieved due to reasons discussed in succeeding paragraphs.

Pumps installed in case of STWs with low specific yield

Pump sets were replaced in STWs having low specific yield.

As per Standing Order 1 of 1997-98 of ID, specific yield of the tubewell on which pump set was being replaced should not be less than 1000 gallons per hour per feet.

Scrutiny of the records of nine test checked TWDs (April-August 2011) revealed that in contravention of the Standing Order, the pump sets were installed on 55 STWs by spending ₹ 1.15 crore which had yields of less than 1000 gallons per hour per feet. Scrutiny further revealed that the required approval of SE for this deviation was not obtained before the installation of the pump sets. Thus, the irrigation potential of the tubewells was not restored as no significant increase in discharge was noticed even after the installation of new pump sets. Details are given in ***Appendix-2.1.2.***

On being pointed out in Audit, EE of the concerned TWDs stated that the new pumps were installed on the demand of the farmers.

In reply, the Government, however, stated (January 2012) that it was misrepresentation of information at the divisions' level. Further, Government also stated that on re-verification, it was found that there is not a single STWs on which the specific yields is less than 1000 gallons per hour per feet and significant increase in discharge has been found. The reply is not acceptable as

even from the revised details given by the Government, it is evident that in 33 out of 55 STWs, the discharge before replacement of the pump sets was below 1000 gallons per hour per feet. Besides, Government also did not furnish the history chart of the STWs (original document) in support of their reply which indicates actual yield of the STWs.

Thus, installation of pump sets on the STWs, which had insufficient water strata, resulted in unfruitful expenditure of ₹ 1.15 crore.

Pump sets installed on STWs with more than 70 per cent discharge

As per Standing Order 1 of 1997-98 of ID, pump set should be replaced only when the discharge of the STWs is less than 70 *per cent* of the designed discharge (33655 gallon per hour). However, 145 out of 306 pump sets, replaced in seven test checked TWDs, and had discharge of water of more than 70 *per cent*. Scrutiny further revealed that even after installation of new pump sets in most of STWs, there was no improvement in irrigation potential. Details are given in ***Appendix-2.1.3***.

In reply, the Government stated (January 2012) that pump sets which were replaced, had completed their economical life and were worn out, required frequent repairs. Reply was not correct as criteria for replacement should be efficiency and not the life of pump sets. Moreover, in case of deviation in the Standing Order, prior approval of SE was not obtained.

Thus, expenditure of ₹ 2.58 crore incurred on replacement of pump sets was against the prescribed norms.

No significant change in discharge of STWs

The objective of replacement of pump set was to increase the irrigation potential of the STWs. Scrutiny of the records of the test checked divisions revealed that due to improper assessment, discharge of the STWs remained more or less the same despite replacement of pump sets during 2009-10 at a cost of ₹ 0.82 crore. Details are given in ***Appendix-2.1.4***.

Scrutiny revealed that in six TWDs, discharge of the 46 STWs (20 *per cent*) out of 235 STWs, where pump sets were replaced, remained almost same. This indicates that replacement of pump sets was not required as the discharge remained almost unchanged.

On being pointed out in Audit, EE of the concerned TWDs stated (April-August 2011) that due to field requirement and demand of people representatives pump sets were installed on the STWs.

In reply, the Government however, stated (January 2012) that it was misrepresentation of information at the division level. Government also furnished the details showing the increase in the discharge of the STWs. The information furnished, however, revealed very meagre increase in the discharge of the STWs. Besides, Government also did not furnish the history

chart of the STWs (original document) in support of their reply which indicates actual discharge of the STWs.

Thus, despite incurring an expenditure of ₹ 0.82 crore on replacement of new pump sets, the discharge of STWs remained almost the same and could never achieve the designed discharge of 33,655 gallons per hour in any of the STWs replaced.

Installation of low capacity pump sets

Saving of ₹ 6.12 crore due to installation of low capacity pump sets was not urrendered but utilised for other work.

The STWs which could not irrigate the entire command area due to worn out pump sets or due to failure of STWs, installation of 1.5 cusec capacity of pump sets was sanctioned in the projects viz., "Modernization of 800 failed STWs" and "Improvement of field channel and Installation of pump set in 11000 STWs". Both the projects covered STWs having capacity of 1.5 cusec discharge and 100 hectare of command area.

Scrutiny of the records of CESPO, Lucknow revealed that it procured and supplied 828 pump sets having capacity of one cusec (22437 gallons per hour) to the concerned divisions and these were installed in lieu of 1.5 cusec (33655 gallons per hour) capacity pump sets. Details are given in **Table 11**.

Table 11: Details of low capacity pump sets procured and supplied

Name of scheme	Number and capacity of pump sets sanctioned in the project				Number and capacity of pump sets actually installed				Saving (₹ in crore)	Short utilisation (in hectare)
	No.	Capacity	Amount (₹ in crore)	Area to be covered (in hectare)	No.	Capacity	Amount (₹ in crore)	Area to be covered (in hectare)		
Modernization of 800 failed STWs	94	1.5 cusec	2.56	9400	94	1.0 cusec	1.29	4700	1.27	4700
Improvement of channels & installation of pump sets in 11000 STWs	734	1.5 cusec	14.85	73400	734	1.0 cusec	10.00	36700	4.85	36700
Total			**17.41**	**82800**	**828**		**11.29**	**41400**	**6.12**	**41400**

(Source: CESPO and test checked TWDs)

It would be seen from the above table that all the 828 pump sets installed under the two schemes were of one cusec capacity only as against the approved capacity of 1.5 cusec. Scrutiny further revealed that saving of ₹ 6.12 crore due to installation of low capacity pump sets was also not surrendered but utilised for other work. This resulted in short utilisation of 0.41 lakh hectare irrigation potential.

In reply, the Government accepted the fact and stated (January 2012) that due to technical reason one cusec capacity pump sets were installed in lieu of 1.5 cusec capacity. Reply was not acceptable as 1.5 cusec capacity pump sets should have not been provisioned in the project, if the STWs on which pump sets required to be installed were not technically feasible.

2.1.10 Other irregularities

2.1.10.1 Excess expenditure on electricity charges

If Government would have opted metered billing an amount of ₹ 245.49 crore would have been saved.

Scrutiny of the records of test checked divisions revealed that UPPCL submitted the bill to the concerned divisions for verification of Break Horse Power (BHP) of the STWs. All the divisions verified BHP of each STW mentioned in the bill and sent it back to UPPCL. BHP verification was also done at the level of E-in-C on the basis of total running and closed STWs in the State. Total BHP for the quarter was verified taking an average of 17.5 BHP per STW and total running STWs in the last week of the previous quarter. UPPCL submitted the electricity bills[21] to E-in-C on the basis of verified BHP at the E-in-C level. E-in-C in turn issued authority letter to Tubewell Division, Lucknow (Nodal Division) for centralise payment of electricity charges.

Metered connection at STWs (89 Bah and 335 Bah) in Agra



89 Bah, Agra



335 Bah, Agra

Scrutiny of records of test checked TWDs revealed that UPPCL submitted detailed estimate for energisation of each STW including cost of meter to the concerned TWDs. In some STWs, the electricity connection was metered as shown in the photographs above. Audit calculated the electricity charges of the STWs on the basis of running hours and compared it with the fixed rates. This revealed that ID paid more than 80 *per cent* of actual electricity consumed.

The calculation of difference between metered and un-metered electricity charges, based on the basic data of ID and rates and procedure of UPPCL during 2010-11, is given in **Table 12**.

[21] ₹ 500 per BHP (1.04.2006 to 12.08.2007); ₹ 350 per BHP (13.08.2007 to 31.10.2007); ₹ 364 per BHP (01.11.2007 to 26.04.2008); ₹ 800 per BHP (27.04.2008 to 14.04.2010) and ₹ 1000 per BHP (15.04.2010 to 31.03.2011).

Table 12: Calculation of difference between metered and un-metered electricity charges during 2010-11

Number of running STWs as on 1 April 2010	28320 STWs
Average BHP per STW	17.5 BHP
One BHP	746 watts
Hence 17.5 BHP (746×17.5)	13055 watts
13055 watts (13055/1000)	13.055 kw
Running hours during 2010-11	21559437 hrs
Total unit consumed (13.055×21559437)	281458450.04 kwh
Due to 65% efficiency factor excess consumption of units (281458450.04×(100/65)	433013000.05 kwh
(A) Electricity Charge per unit (₹4.40×433013000.05)	₹ 1905257200.24
(B) Fixed demand charge per BHP per annum (28320×17.5× ₹ 100×12)	₹ 594720000.00
(C) ED per annum (28320× ₹ 270×12)	₹ 91756800.00
Total (A+B+C)	₹ 2591734000.24
Capacitor surcharges 15 *per cent* of (A+B)	₹ 374996580.04
Total Bill	₹ 2966730580.27
Say	₹ 296.67 crore
Amount verified at unmetered connection	₹ 5421615000.00
Say	₹ 542.16 crore
Saving (₹ 542.16 crore - ₹ 296.67 crore)	₹ 245.49 crore

From the above details it is apparent that had the Government would have opted for metered billing, an amount of ₹ 245.49 crore would have been saved.

While accepting the fact the Government stated (January 2012) that due to practical difficulties there was no alternative except to follow ongoing procedure of paying electricity charges on un-metered connection basis. The reply was not acceptable as the Government should have opted the billing system which would have been beneficial to the State.

Besides, taking the above calculation into consideration, possibility of excess payment in the previous years can not be ruled out.

2.1.10.2 Delayed handing over of drilling and development of STWs

Chief Engineer, Mechanical, level-1 issued (May 2008) instruction for handing over of tubewells immediately after development or within 15 days in any case. The above instruction was to ensure timely completion of the construction work, energisation work *etc*., to be started after development. SE was responsible for compliance to the above instruction. The instruction also entailed that responsibility of officers would be fixed for delayed handing over.

Scrutiny of records of the test checked divisions revealed that there were delays ranging from 1 to 29 months in handing over of new STWs to TWDs from the date of its development as detailed in **Table 13**.

Table 13: Statement showing delays in handing over of STWs during 2006-11

Sl. No.	Name of TWCD	Total No. STWs Constructed	No. of STWs handed over with delay(s)	Delay range (in month)
1.	Agra	232	78	1 to 8
2.	Faizabad	494	145	1 to 9
3.	Gorakhpur	276	99	1 to 8
4.	Jalaun	367	93	1 to 12
5.	Kanpur	154	73	1 to 8
6.	Lucknow	214	76	1 to 10
7.	Muzaffarnagar	455	48	1 to 9
8.	Varanasi	400	179	1 to 29

(Source: Mentioned TWCDs)

Delay of 1 to 29 months, adversely affected the completion of STWs on time and deprived the farmers of the benefit of irrigation.

In reply, the Government stated (January 2012) that there were no cases of abnormal delay between development and handing over. Reply was not correct as STWs were to be handed over to concerned TWD within 15 days of development. Further, there was nothing on record which could prove that the Government had initiated action against any of the SEs for non-compliance to the above instruction.

2.1.11 Manpower Management

2.1.11.1 Shortage of manpower

Shortage of Tubewell operators hindered the operation of STWs resulting in short utilisation of irrigation potential.

Adequate manpower was required for optimum utilisation of benefits from STWs. Running of newly constructed STWs under two projects viz. construction of 1000 and 3000 new STWs required tubewell operators.

As per paragraph 3(VII) of Irrigation Manual of Orders, one tubewell operator is required to be posted for each STW.

During course of performance audit (April-August 2011), it was noticed that there was huge shortage in the cadre of tubewell operators (responsible for operation[22] of STWs). Scrutiny of records of test checked Tubewell Divisions (TWDs) revealed that during 2006-11, 1062 new STWs were constructed in these districts. The status of tubewell operators and running STWs (newly constructed as well as existing) in these TWDs during 2006-11 is given in **Table 14**.

[22] Operation of STW required (i) Entry of meter reading at 8 am, (ii) presence at STW during *Kharif*: 6am to 11 am and during *Rabi*: 8 am to 1 pm & 4 pm to 5 pm and other work assigned vide para 16 of Irrigation Manuals of Orders.

Table 14: Statement showing year-wise shortage of tubewell operators in test checked districts

Year	No of running STWs	Tubewell operators available	Availability of Tubewell operators (In percentage)
2006-07	8177	6557	80
2007-08	8373	6134	73
2008-09	8129	5934	73
2009-10	8203	5690	69
2010-11	8413	5663	67

(Source: Records of concerned TWDs)

It is evident from the above table that though the number of STWs gradually increased, but the number of tubewell operators decreased (80 to 67 *per cent*).

Further, as a result of shortage of manpower, tubewell operators were looking after the charge of more than one STW and in TWD, Varanasi one tubewell operator had charge of six STWs at a time.

While accepting the shortage of manpower the Government stated (January 2012) that due to shortage of tubewell operators, one tubewell operator has been directed to attend two to three nearby tubewells. This hindered the working of STWs resulting in short utilisation of irrigation potential.

2.1.12 Internal Control Mechanism

A built-in-internal control system provides reasonable assurance to the department about compliance with applicable norms and rules thus achieving reliability of financial reporting and effectiveness and efficiency in departmental functions. Scrutiny of records revealed the following:

2.1.12.1 Improper/non maintenance of important records and registers

10 to 21 prescribed records were not maintained at STWs.

For effective control over financial and physical progress, E-in-C issued (August 2007) instruction to EEs for proper upkeep of 21 prescribed records at STW so that the inspecting authority can evaluate their performance. E-in-C directed (December 2007) all EEs to maintain Works Register prescribed in the Financial Hand Book Vol-VI.

Scrutiny of records revealed that Works Register, essential to watch the progress of day to day expenditure incurred on a particular STW, were not maintained in 18 test checked divisions. Due to non-maintenance of Works Register, divisions failed to maintain tubewell-wise expenditure in Form 64 of monthly accounts. This resulted in lack of control over allotment made for the particular STW.

Scrutiny further revealed that prescribed records, ranging from 10 to 21[23] were not available at 53 out of 148 jointly inspected STWs. Further, the records available were incomplete, unreliable and, therefore, did not serve the purpose.

In reply, the Government stated (January 2012) that instruction had been issued for keeping up all necessary records in the divisions as well as STWs.

2.1.12.2 Non closure of stock account

Paragraph 768 of FHB, Volume VI, provides the time schedule for six monthly closing of stock account (September by 1 December and March by 1 August). In this regard, E-in-C also issued (December 2002) detailed instructions for settlement of discrepancy noticed during verification and for closing of stock accounts.

Scrutiny of records of the test checked divisions revealed that the stock accounts were not closed from March 2006 to September 2010. This was indicative of lack of internal controls in the Department. Details are given in ***Appendix-2.1.5***.

In reply, the Government stated (January 2012) that instructions have been issued to all CEs for closing of stock accounts by March 2012. Thus, due to non-closure of stock account, stated stocks valued at ₹ 73.76 crore were could not be verified in audit.

2.1.12.3 Non-disposal of surplus/unserviceable items

The Government issued (February 2011) instruction for withdrawal of orders for settlement of unserviceable items of the Department through Small Scale Industries and instructed that settlement hereinafter be done as per procedure contained in Appendix-XIXD of FHB-V.

Scrutiny of the records of CESPO revealed that 745.23 MT of worn out super enamelled copper wire, PVC coated copper wire and steel/cast iron/aluminium scrap (₹ 7.05 crore) and 209364 unserviceable machines/stores (₹ 7.37 crore) were lying in the divisions as of March 2011. Details are given in ***Appendix-2.1.6***. Possibilities of further deterioration and pilferage of these stores cannot be ruled out.

In reply, the Government stated (January 2012) that ID made efforts for the disposal of items at the Central level but despite wide publicity, highest biding prices of various items were below the norm. Reply was not acceptable as the ID should have taken effective steps to dispose of the unserviceable items to avoid further deterioration and pilferage of surplus/unserviceable items. Further, this also resulted in blockade of ₹ 14.42 crore.

[23] (i) Khasra shudkar register; (ii) Khasra bandobast; (iii) Tubewell command shajra; (iv) Sown area register; (v) Receipt book/irrigation sleep; (vi) Parhtaal register; (vii) Register jamabandi; (viii) Mechanical register; (ix) Civil register; (x) Running hour chart; (xi) Discharge chart; (xii) Pump efficiency chart; (xiii) History chart; (xiv) Strata chart; (xv) Gul/pipe line chart; (xvi) Osarabandi chart; (xvii) Irrigation supervisor log book; (xviii) Mistry log book; (xix) Complain book; (xx) Inspection book; and (xxi) Dak bahi.

2.1.13 Monitoring and supervision

On the direction of State Government, E-in-C fixed (July 2007) norms for monitoring/inspection at each level for proper functioning of STWs. CEs and SEs would thoroughly inspect the STWs for a minimum of three/five days respectively in a week and ensure immediate corrective action, in consultation with the farmers. EEs were required to be available in the office till 12 Noon, and after that they were to inspect the STWs and ensure immediate corrective action, whenever needed, in consultation with the farmers.

Scrutiny of the records of the test checked divisions revealed that norms for monitoring/inspection were not adhered to at any level. Only 10 to 24 monitoring meetings were held by the SEs in respect of 19 out of 23 test checked divisions during 2008-11. Similarly, SE was required to inspect each division under his control at least once a year. Scrutiny of 18 out of 23 divisions revealed that no inspection was carried out by SEs in eight divisions during 2006-11. In eight, out of remaining 10 divisions, only one to four inspections were carried out by SEs during 2006-11.

As the monitoring/inspection systems were not adhered to, ID failed to initiate any remedial measures for improving the implementation of schemes, maintenance of important records and consequently, the lessons learnt over a period of time in implementing the schemes failed to bring about any systemic improvements. ID did not evaluate the performance of the schemes to ensure that the irrigation potential created was fully utilised.

In reply, the Government stated (January 2012) that the referred order was issued under the prevailing drought conditions in the State, in special circumstances. The routine work of monitoring and supervision was being done at different levels as per norms and orders issued from time to time. Reply was not correct as if the order *ibid* was for special circumstances that would have been withdrawn and fresh order should have been issued.

2.1.14 Conclusion

The Department failed to achieve its objectives as the projects were not formulated on ground realities and STWs were identified in an *ad-hoc* manner. The projects were made deliberately economically viable as assumptions made were based on unrealistic data. The Department could not utilise 73 *per cent* of the created irrigation potential due to inadequate implementation of the construction, modernisation and maintenance schemes. Further, payment for energy charges was based on fixed rate of BHP, whereas, actual running of STWs was less than the BHP verified resulting in creation of huge liability of ₹ 177.06 crore on account of electricity consumption charges. Adequate manpower required for functioning of the newly constructed STWs was not ensured. Internal control mechanism of the Department was also inadequate.

2.1.15 Recommendations

- *Feasibility/eligibility criteria for the construction site should be ascertained prior to sanction of the project;*
- *BCR should be derived on the actual data so that the economic viability of the project can be accurately computed;*
- *Construction of field channel should be ensured as to optimise the intended benefits of the construction of new STWs;*
- *Energy charges should be paid through metered connections based on actual consumption; and*
- *The monitoring and supervision was not found to be effective. Remedial measures need be taken by the department soon.*

IRRIGATION DEPARTMENT

2.2 Information System Audit on 'Preparedness of Computer Based Management Information System in Irrigation Department'

Executive Summary

Uttar Pradesh Irrigation Department (UPID) initiated (April 2001) a computer based Management Information System (MIS); supporting administrative and water resource database and analytical & communication facilities. MIS plan envisaged making computer based MIS operational in 48 months and taking over the system and withdrawal of consultant in next 6 months starting from April 2001. Even after expiry of 10 years computer based MIS was a non starter in the Department due to deficiencies in project implementation and also in system developed.

Major audit findings are highlighted below:

- *Uploading of master and historical data was not yet completed. Consequently not a single module has been put to use.*
- *The Department failed to provide prescribed training to the end users for their skill development and effective use of the Application Software (AS).*
- *Department had not appointed the required technical experts for implementation and maintenance of MIS.*
- *Slow and unreliable internet connectivity was a great stumbling block in implementation of web based Application Software. Further there was delay in delivery of service due to multiple vendors.*
- *Access control was inadequate. Administrative right of database was still with the vendors.*
- *In the Application Software there was lack of data integrity and consistency checks.*
- *Defective screen design of Application Software hindered smooth operation, online help facility was neither user friendly nor topic specific.*
- *There was no disaster recovery plan.*

2.2.1 Introduction

As provided in Irrigation Manual prepared under the provisions of Northern India Canal & Drainage Act-1873, Irrigation Department (ID) of the Government of Uttar Pradesh (GoUP) is entrusted with the responsibility of utilisation of water resources of the State for irrigation purposes by means of canals, tube wells, dams & *bundhies* and of flood control activities. In April 2001, ID initiated, the UP Water Sector Restructuring Project (UPWSRP).

Business process re-engineering part of UPWSRP provided for establishing a Management Information System (MIS); supporting administrative and water resources database; and analytical and communication facilities to modernise and streamline Uttar Pradesh Irrigation Department business processes. UPWSRP was funded by International Development Association (IDA), an arm of World Bank. ID created a Project Activity Core Team (PACT) comprising one Chief Engineer, one Technical Advisor and experts from the fields of agriculture, ground water, rehabilitation, environment, geographical information system, participatory irrigation management, procurement, legal, finance etc. under a chairman to monitor the implementation of UPWSRP in May 2002. Implementation schedule and financing plan of computer based MIS were as under-

Table 1: Schedule for Completion of task and Financial Plan

Project Year	One	Two	Three	Four	Five	TOTAL
A. Implementation Schedule						
(1) Development of MIS Strategy	Four months					
(2) Development of MIS Plan	Eight months					
(3) Implementation of MIS Project		24 months				
(4) Operation and training		36 months				
(5) Handing over of the system					Six months	54 months
B. Financing Plan	**(₹ in crore)**					
(1) Capital cost	21.07	22.30	15.05	3.64	50.00	62.56
(2) Recurring cost	1.83	3.65	5.21	7.33	7.33	25.35
Total	**22.90**	**25.95**	**20.26**	**10.97**	**57.33**	**87.91**

(Source: UPWSRP Project Implementation Plan)

ID envisaged following benefits from computer based Management Information System:

- Effective analyses and planning by using timely, accurate and reliable, online available data and trends, for improved performance and early detection of variations to effect speedy correctives;
- Increased efficiencies in routine tasks by online sharing and quick retrieval of data, reduction in manual documentation and compilation; and
- Speedy decision making on real time data and trends available on state wide network of computers.

2.2.2 Organisational set up

Principal Secretary, Irrigation Department at the Government level and Engineer-in-Chief at the Department level monitor the project. One post of Chief Engineer (Information System) was created in the office of the Engineer-in-Chief. To implement and co-ordinate MIS activities, a MIS Cell comprising one Superintending Engineer (MIS Expert), two Executive Engineers, two Assistant Engineers and two Junior Engineers were in place at

the office of PACT. MIS Cell functioned under the supervision of Chief Engineer, UPWSRP.

2.2.3 Audit objectives

The Information Systems Audit was conducted to assess whether:

- user requirements were assessed properly and incorporated fully and accurately in the Application Software;
- accuracy, confidentiality, completeness, up-to-date status, reliability, availability, timeliness and effectiveness of data were not compromised;
- the MIS developed was being used for speedy and informed decision making;
- information Systems Assets and resources have been acquired as per requirement, properly safeguarded and operated/used by trained personnel; and
- Monitoring and evaluation of the MIS was being carried out effectively.

2.2.4 Audit criteria

Following were the sources of criteria adopted for Information System Audit:

- Project Document;
- User Requirement Specifications;
- Financial Rules;
- Documents relating to the targets and coverage of various schemes of computerisation;
- Best practices relating to IT controls; and
- World Bank guidelines on selection of consultants/vendors.

2.2.5 Scope and audit methodology

The Information System Audit of MIS of ID was conducted from May 2011 to July 2011 and covered the period from April 2001 (inception) to June 2011. Records of the office of CE (PACT), one out of two SEs (PACT), four out of seven Divisions (in three[1] out of five[2] districts) functioning under the control of CE (PACT) and nine other divisions[3] of ID located in these three districts were examined in audit. Further, information relating to MIS was called for from 57 offices out of remaining 541 offices[4] (total number of offices 555).

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[1] Jaunpur, Raibareli and Sultanpur.
[2] Barabanki, Jaunpur, Pratapharh, Raibareli and Sultanpur.
[3] Irrigation Divisions, Sultanpur; Sharda Sahayak Khand-16, Sultanpur; Irrigation Division-2, Sultanpur; Irrigation Division, Jaunpur; Minor Lift Canal Division, Jaunpur; Tubewell Division, Jaunpur; Sharda Sahayak Khand-6, Rae Bareli; Sharda Sahayak Khand-South, Rae Bareli; and Sharda Sahayak Khand-45, Rae Bareli.
[4] Administrative offices:143 and divisions: 398.

The Entry Conference was held with the Government on 07 June 2011 wherein the audit objectives, criteria and methodology were discussed. The audit findings and recommendations were discussed with the Government in the Exit Conference held on 16 January 2012. Replies from the Government were received, discussed and suitably incorporated in the report.

2.2.6 Limitations

Apart from offices visited by Audit Team, information regarding availability of maintenance service and progress of work were called for from 57 offices but reply had been received from nine offices only.

2.2.7 Audit Findings

2.2.7.1 Development of MIS Plan, Application Software (AS) and acquisition of MIS & AS Assets

In order to facilitate timely decision by making comprehensive and relevant database available on real time basis and at one place, the computer based MIS was planned to be implemented by November 2007. Procurement of hardware; development of software and procurement of consultancy services are discussed in subsequent paragraphs. The selection of consultant/vendors was based on Quality-cum-Cost based selection procedure prescribed in World Bank guidelines.

Development of MIS Strategy

Although implementation of UPWSRP commenced from April 2001 and the phase of "development of MIS strategy" was to be completed within four months, the implementing agency, *viz.* PACT, was constituted in May 2002, after a delay of more than one year.

Project implementation was replete with instances of advance procurements, delayed procurements, delayed installations and commi-ssioning etc. in key items/ activities leading to inordinate delays.

MIS Plan, software development, implementation of MIS and networking

An agreement was executed (May 2002) with M/s Tata Consultancy Services (TCS) to help and develop a MIS plan within eight months, and implement it in the following 24 months; guide project operation, supervise staff training & support in the following 12 months; and hand over the MIS systems in the following six months at ₹ 3.40 crore. The IS strategy consisted of (i) Executive functions[5] (ii) Technical functions[6] and (iii) Support function[7]. M/s TCS submitted report consisting of comprehensive User Requirement Specification and MIS Plan, scheduled for submission within eight months (January 2003), in June 2003 with a delay of four months.

[5] Accounting, audit and draft para management, contract management, human resource management, payroll accounting, litigation management, stores accounting, revenue collection, budget, procurement and tender management, assembly & parliamentary questions and their reply management and asset management.

[6] Irrigation and water management, drainage improvement and maintenance, flood control and management, investigation and planning, design of works, construction of projects, mechanical works, dam safety monitoring, monitoring and evaluation.

[7] Messaging and work flow system, document management system, information technology management system, intranet and administration.

Engagement of networking vendors

Although the networking vendor was to be engaged immediately after submission of the MIS plan, PACT engaged (August 2004) M/s HCL Comnet Limited for establishing state-wide, Wide Area Network (WAN) at ₹ 15.79 crore, by April 2006. The vendor was also responsible for maintenance of WAN and meeting bandwidth charges for six years, including three years' warranty, beginning April 2006. Thus, engaging the networking vendor in August 2004, instead of immediately after submission of the MIS plan (June 2003), resulted in delay by 14 months. The implementation of MIS was further delayed as the vendor (M/s HCL Comnet) completed the work with a delay of four years (April 2010).

The Government attributed (January 2012) the delay in award of the work to procedural delays. Reply was not acceptable as a dedicated facility (PACT) was created for designing and implementation of the MIS plan and the delays indicated its failure in discharging duties. The Government also attributed the delay in implementation of the network to non-availability of leased line facility at various locations. The reply was not acceptable as the availability of leased line facility should have been ensured before awarding the work.

The work of implementation of Local Area Network (LAN), in all the 555 offices, was to be commenced immediately after finalisation of the MIS plan (June 2003). PACT sent the draft bidding document to World Bank for approval on 1 May 2004, and World Bank issued No-objection certificate on 7 July 2004. However, the work was awarded in September 2005 to M/s GTL Limited, at ₹ 4.90 crore, with date of completion by August 2006. The vendor, who was also responsible for hand-holding and maintenance of the system for six years (including three years warranty, beginning August 2006) completed the work in July 2007 with a delay of 11 months. Thus, there was delay of approximately one year in sending the bidding documents to the World Bank and a further delay of more than a year in the award of work.

The Government stated (January 2012) that the delay in implementation of LAN was due to delay in finalisation of locations and changes therein and also due to establishment of new offices. The reply was not acceptable as the various locations for establishing network should have been ensured well in advance and failure in this regard indicated inadequate planning.

Procurement of hardware

PACT procured (October 2004) 1000 desktop computers, printers, UPSs and software (OS and MS office) from M/s HCL Infosystems Limited (Firm) at ₹ 7.28 crore. These items were supplied between January and March 2005 and carried three years' warranty. After the expiry of warranty period, ₹ 1.26 crore was to be paid to the firm for maintenance of the above mentioned items for the following three years. However, M/s Mahindra British Telecom Limited

was engaged for software development in October 2005 and various modules were delivered between September and November 2009. Thus, by the time software modules were made available, warranty period of all the desktop computers and one and a half years, out of three years of the maintenance contract period, had expired. This resulted in infructuous expenditure of ₹ 1.89 crore on warranty and maintenance charges without use of hardware. This was avoidable, had procurement of hardware been dovetailed with the delivery of the software modules.

Government replied (January 2012) that hardware items were purchased in advance and the staff was being provided basic computer training on it. The reply was not acceptable as these computers, printers and UPS were for implementation of AS and not for providing basic computer training.

Development of application software

Although the MIS plan prepared by M/s TCS was received in June 2003, ID engaged (October 2005) M/s Mahindra British Telecom Limited (now M/s Tech Mahindra), after a lapse of 27 months, for development and submission of AS, at ₹ 12.90 crore. This included development and supply of application system, general purpose software, training, conversion and migration of data and six years of post implementation support. The vendor completed the assignment in November 2009, with a delay of 25 months. Thus, there was a delay of 27 months in selection of vendors/award of works and a further delay of 25 months in delivery of the AS. The deficiencies noticed in the AS are discussed in paragraph 2.2.7.2 below.

Audit observed that though the consultant (M/s TCS) submitted its report in June 2003, there was delay in sending (May 2004) the draft bidding document to World Bank for approval, and after receiving clearance from the later in October 2004, the Department finalised the engagement of Software Vendor in October 2005. Vendor had also delayed the completion of work by two years, resulting in a total delay of four years in development of Application Software.

Government replied (January 2012) that process for engaging software vendor was started in February 2004 and there was procedural delay. Regarding delay in completion of work Government stated that it was due to shifting of data centre twice and also due to contract with vendor remaining ineffective between 25 Feb 2008 to 06 June 2008. Reply was not acceptable as procedural delays and shifting of data centre indicates lapse in planning the work.

Supply and installation of server

It was necessary to procure and install the server and associated hardware immediately after receipt of the AS by the concerned vendor (November 2007). However, ID took 22 months in placing the supply order

(August 2009) on M/s Vayam Technologies Limited for supply of a server, associated hardware, operating system and *anti-virus* software for ₹ 6.70 crore. The delivery and installation was to be completed within three months from August 2009. The vendor was to hand-hold and maintain the server and above mentioned items for six years, including three years' warranty, beginning December 2009. Servers were, however, supplied and installed in September 2010.

The Government stated that on the advise of UPDESCO (February, 2008) all the bids were rejected in July, 2008 and procurement process was started afresh (September 2008). Rejection of bids delayed the procurement process. The Government further stated that a penalty of ₹ 3.35 lakh was imposed on the vendor for delay in installation of the server.

Thus, procurements were not made in accordance with the implementation schedule detailed in the MIS Plan of UPWSRP. For implementation of any MIS synergies and synchronisation in procurement and commissioning are a prerequisite. The development of computer based MIS in the Department was replete with instances of advance procurements, delayed procurements, delayed installations and commissioning etc. in key items/activities leading to inordinate delays. MIS was a non-starter in the Department till date (January 2012) although more than 74 months have already been lapsed since its scheduled date of completion (October 2005).

The Government stated that ID is using mailing and messaging services and efforts are being made for implementation of MIS. However, these services were just spin off benefits.

2.2.7.2 Implementation of Application Software

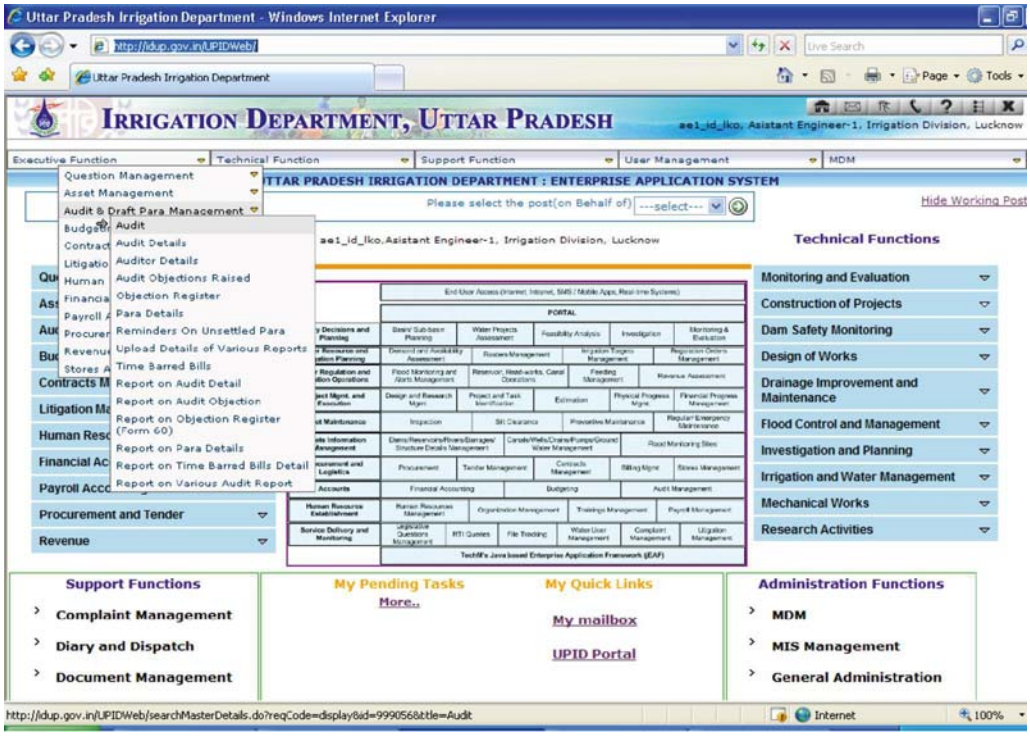
Screen Design and inbuilt help facility

Screen design was a hindrance in smooth operation of application software. Online help facility was neither user friendly nor topic specific.

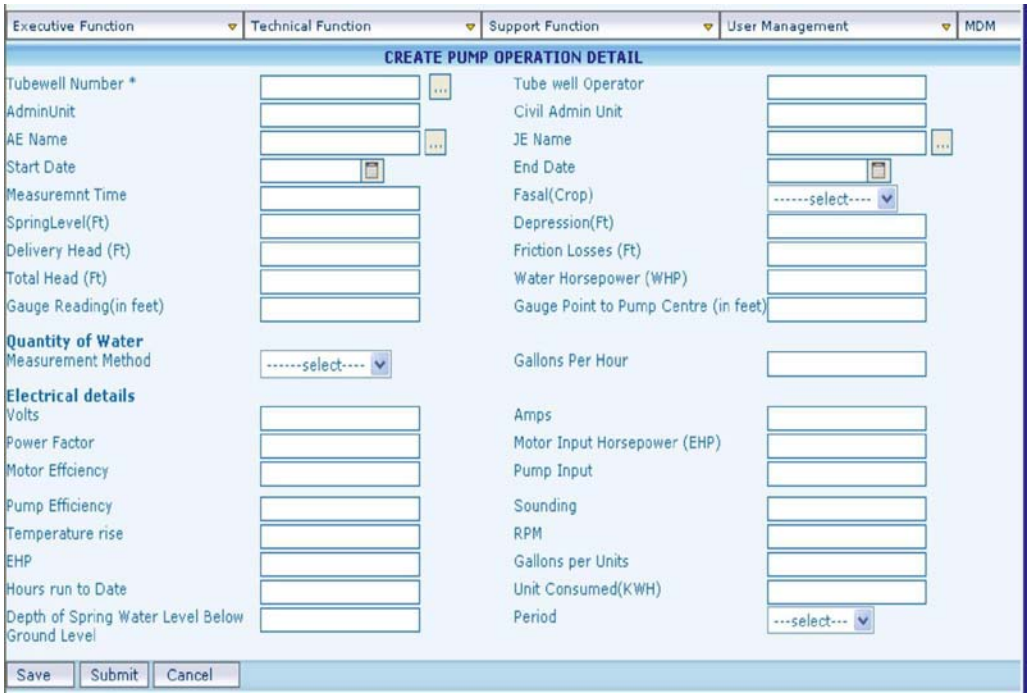
Screen should be designed so as to ensure smooth operation and reduction in likely input errors. Online help facility should be built into the AS to get topic specific help easily. Audit observed that the 'Opening screen' of the AS was congested (screenshot of opening screen is given below). Multiple windows popped-up on the screen while entering data and the data were to be retrieved from another table provided in look-up screens. This problem is there in every module. Therefore, to facilitate easy data entry, drop down list boxes should have been built-in. The Government stated that lookup screen was introduced due to high volume of data. The reply was not acceptable as volume of data does not come in the way of drop down list.

Online 'Help facility through use of function keys' was to be provided in AS. This had been provided by loading module-wise user manual in MS Word format. Each manual consists of 100 to 160 pages and was to be downloaded for use. The access to help facility was neither topic specific nor user friendly.

Opening Screen of AS



Data Entry Form (Mechanical Works Module)



The Government replied (January 2012) that in place of online-help, user manual had been uploaded. The reply was not acceptable as providing 'help' in manner it had been, defeated the purpose of online 'help' facility.

Access Control

Access control was weak, rendering system vulnerable to unauthorized access.

Users identify themselves to an 'access control system' by their usernames and passwords. Therefore, to prevent misuse, the password should have a periodic validity and after a pre-determined number of unsuccessful log-in attempts the user profile should automatically get disabled.

Audit observed that:

- there was no pre-defined policy for password creation in terms of number of characters *viz.* number of numerals, alphabets or a combination of both;
- nine[8] out of 23 test checked offices had not received user name and password;
- in Irrigation Division, Sultanpur the password assigned to the Executive Engineer was not changed since its receipt from PACT (November 2010) and it was being used by all data entry operators;
- no restriction was built into the software against the number of unsuccessful/unauthorised attempts and consequent disabling of the password/locking of the system was not programmed.

The inadequate access controls were a threat to data integrity and increased vulnerability and unauthorised access.

The Government stated (January 2012) that the password policy had not been implemented keeping in view the user convenience and it would be implemented soon. The reply indicated that data security was compromised in exchange of convenience which was dangerous and risk ridden.

2.2.7.3 Delivery and Support

Delay in making current data available to the software developer

Uploading of master and historical data was not yet complete; consequently not a single module had been made fully operational.

The developed Application Software, having 26 modules, covered the executive, technical and support functions of the Department. For effective use of the AS, it was necessary to upload and lock the historical and master data before its implementation**.** M/s Tech Mahindra was to upload the master and historical data. According to para 2.1.1 of the agreement and the clarification of vendor of (July 2005), the vendor was to upload 23 GB historical/master data at ₹ 1.5 crore which were to be made available by the Department in time. Though software vendor had handed over all the 26 modules to the Department between September to November 2009, the master & historical

[8] Sharda Sahayak Khand-16, Sultanpur; Irrigation Division-2, Sultanpur; Irrigation Division, Jaunpur; Minor Lift Canal Division, Jaunpur; Tubewell Division, Jaunpur; Sharda Sahayak Khand-6, Raibareli; Irrigation Division-I, Lalitpur; Rajghat Canal Construction Division, Lalitpur; and Eastern Ganga Canal Construction Division, Najibabad, Bijnore.

data had not been completely uploaded (January 2012). Thus, in absence of master/historical data, modules developed could not be put to use.

The Government stated (January 2012) that the vendor was paid for only the quantum of data actually uploaded and efforts were on for complete data entry and the work was regularly being monitored at Head of Department and Chief Engineer level.

Inadequate training to staff

Staff was not provided proper training in operating application software and support activities.

According to para 2.4.2 of the agreement, the vendor was to provide training to at least two users per office per module. For the said training, a sum of ₹ 0.18 crore was paid to vendor in two installments (March and October 2009). Details of training imparted, furnished to Audit by PACT did not mention the modules for which training was provided. The examination of available details revealed that 1867 out of 2566 trained persons received only one day training and 374 persons were provided two days' training against the prescribed 10 days'. In 10 out of 23 offices, from where information was collected, not even a single person was trained and in the remaining 13 offices, employees were trained for use of only two to three modules. Training in the area of database administration, helpdesk, application system support, operation and facilities and management were provided only to private IT persons hired for the project period.

Thus, the Department failed to provide prescribed training to the end users for their skill development and effective use of the AS available. Further, there was lack of technical capacity building for taking over the job after support phase was over.

The Government stated (January 2012) that 10 days' training in 40 batches were provided to employees in operating all the 26 modules. As already stated above, ID did not have details regarding modules in which various trainees were trained and duration of training. However, training database and information received from field offices did not support the Governments' assertion.

Staffing

Department has not appointed required technical experts for implementation and main-tenance of MIS.

According to para 9.2.4 of the MIS Plan, successful implementation, subsequent operation and maintenance of MIS necessitated that data and information was managed as 'resource' of the Department as opposed to being "owned" by the users. The high level interactions and dependencies between computers, communications, office automations and technologies make it imperative that these resources are managed as single organizational function.

The MIS Plan proposed a Departmental Information System Structure to support the implementation of MIS technical plan, ongoing maintenance and enhancement thereof. This proposal included appointment of Chief

Information Officer for overall responsibility for MIS; and System Managers for application system support; database administration; network management; mailing and messaging; Computer Aided Design (CAD); and Geographical Information System (GIS) at State level. All these positions were to be held by personnel technically qualified in the field of their assignment.

Scrutiny of records in PACT revealed that the Department (September 2004) created one post of Chief Engineer (IS) as 'Information System Officer' at the State level with overall responsibility for implementation and maintenance of MIS. Posts of System Managers were, however, not created till date (January 2012). Further, the Department proposed (March 2009) to the Government for posting of one Chief Engineer Level-2 as Chief Information System Engineer. Posting of Superintending Engineer and Executive Engineer level officers of defunct circle/divisions, as Senior System Engineers and System Engineers, was also proposed. The proposal was, however, pending with the Government (January 2012). In the absence of technical experts for implementation and maintenance of MIS the Department was dependent upon the vendors/professionals of AS, Server, LAN and WAN for utilisation of the MIS.

Thus, the Department failed to appoint the required technical experts for implementation and maintenance of MIS. Further, the proposal of the Department to adjust surplus Civil Engineers, who did not have any experience in Information Technology, against the posts of system engineer was against the advice of MIS Consultant who had advised that Chief Information officer and system managers should have seven to nine years' and four to six years' experience respectively in IT related field.

The Government in its reply stated (January 2012) that the action for creation and filling of posts was in progress.

Absence of input controls

In the Application Software there was lack of data integrity and consistency checks.

Data of selected modules, out of the data of all the modules were obtained (June-July 2011) from PACT in delimited text format and analysed using MS Access 2007 to verify their accuracy, confidentiality, completeness, updation status, integrity and consistency. Results were as under:

Human Resource Management System Module

This module, included personnel record management, manpower estimation, recruitment, training, leave, complaint, grievance management etc., and was designed to help the Department in effective utilisation of human resources in order to enhance organisational performance. Data entry in this module was started without assigning unique code to each employee of the Department. Audit observed the following:

- employee Number column of Employee Table exhibited characters (both numeric and alpha numeric).
- in Employee Table 26382 records had been entered. Duplicity was checked on combination of name and date of birth fields and it was noticed that same name was entered twice in 1289 cases, and three to 23 times in 951 cases.
- year of birth had been shown as 2008 in 4528 records, 2010 in 68 records, 2011 in 87 records and 2020 in 31 records. Year of birth shown ranged from 1992 to 6420 in 68 records.
- year of birth had been shown as 1900 in 37 records of Employee Table, there were 86 other cases in which year of birth shown ranged from 0957 to 1947.
- date of birth was same as date of appointment in 14 cases, date of appointment was prior to date of birth in 26 cases. Difference between date of appointment and date of birth ranged from one day to 6260 days (less than 18 years) in 22 cases.
- in Employee table father's name had not been entered in 9301 records and date of appointment not entered in 22738 records.
- weekday of appointment was Sunday in 100 records.
- in Employee Table 26382 records were entered but in tables relating to nomination, education, leave and training only 209, 2810, 5 and 316 records respectively were only entered.
- test data, which were to be deleted before launching the programme, were still appearing in the tables.

These deficiencies/discrepancies indicated that requisite input controls/checks were not introduced and data were incomplete and unreliable.

The Government replied (January 2012) that in the initial phase validation checks were disabled for facilitating data entry. Data was being corrected and validation checks had been established. The reply was not acceptable as disabling validation checks for speeding up data entry was not proper which resulted in erroneous data being fed.

Litigation Management Module

This module was designed to provide easy flow of information to facilitate timely action on pending court cases and compliance to court orders. Analysis of data obtained from department in delimited text form revealed that:

- case description column, for mentioning description of the case, was left blank in 7084, out of 9021 entries in Case Table.

- case number column for mentioning case number was left blank in 111 records, and case number was mentioned as "0" in 16 records. Case numbers were repeated two to 10 times in 1438 records.
- the date of first hearing was mentioned as 04 January 2006 in 688 records of the Case Table, 04 January 2003 in 590 records. The date of first hearing was same in 100 to 574 records which apparently do not appear to be correct.
- the day of first hearing was Sunday in 1012 cases, and the day of filing the writ was Sunday in 957 cases.
- in other tables *viz.* Case Proceedings, Delay Case, Court Order and Case Documents, only test data were available.

Thus, the authenticity of data entered in the module till date could not be established.

Government replied (January 2012) that instruction had been issued to upload data and remove test data. The reply was self explanatory that the appropriate checks were not introduced in the system.

Assembly and Parliamentary Question Reply management system module

This module intended to help in keeping track of the questions raised by the Hon'ble members of Parliament and State Assembly. Data analysis of this module revealed that:

- the Nodal Officer *Id* column was filled with 'zero' in 225 records out of 972 records available in Questions Table;
- diary number for each question should be unique but same diary number was repeated from two to 79 times in 19 cases;
- check of duplicity of question description, in combination with *session-id* and name of Hon'ble member revealed that 61 questions were repeated in Questions Table from two to four times;
- authority for entry in Question Table was available to Executive Engineer (Assembly Cell) but entries in the table were made at the level of Chief Engineer, PACT indicating that user privileges were not defined;
- instead of the 'time taken for furnishing replies' to the questions in Questions table, name of week-day was entered in 270 records out of 972 records, in remaining records this column was left blank; and
- in reply table, the column 'Reply' was meant for entering reply, but only word 'replied' or 'replied by' has been entered in 75 records.

Evidently, such data would be of no use in monitoring submission of replies to Assembly and Parliamentary questions, and the purpose for which the module was designed remained unachieved.

Government replied (January 2012) that errors in data were being removed and checks were being introduced. The reply was not tenable as checks should have been implemented before data entry.

Financial Accounting Module

This module was developed for maintaining various registers, cash books and to generate various reports such as cash outlay report, imprest account report, transfer entry book, schedule of remittances, schedule of works expenditure, schedule of suspense/deposit. Analysis of data available in this module revealed that:

- in Cash Book Table, which stored summarised position of cash books, there were only 20 records. All the records appeared to be test data. In none of the records, closing balance equaled opening balance plus total cash receipts minus cash payments. None of the closing balances equalled cash in chest plus temporary imprest plus permanent imprest. In three records all the values were zero. It revealed that closing balance was not being calculated by the system. Values were entered manually and accepted by the system;
- in Cash Book table Cash book period end-date was less than cash book period start-date in one record (Record number 9), closing of 30 June 2011 had been entered on 29 June 2011 in three records (Record number 18 to 20), and the same was accepted by the system. Three entries were accepted by the system for the same Administrative unit and month;
- in Generic Bill Table there were 424 records which were fed only by two offices. Bill amount minus deduction amount did not match with amount approved/amount passed. In 16 records, total of deductions under various heads of deduction did not match with total deducted amount in 11 records; and
- In Cheque Book table, there were only 10 records. Number of leaves available in Cheque Book Column, did not match with details fed in 'cheque number from' to 'cheque number to' columns in three records.

Above discrepancies indicated that data integrity and consistency checks were absent in the module.

The Government replied (January 2012) that errors were due to test data and checks were being introduced. The reply was not acceptable as checks should have been implemented, and test data must have been removed before data entry.

Budget Module

This module was to facilitate users to make budget request, watch budget sanction, re-appropriations, and surrender of unutilised budget. Various reports generated in this module were to help in analysing fund information and in preparation of budget for the next year. Analysis of 'Account Head Table' revealed that incorrect account heads such as "4701C22424", "567867888787806" were entered. Account head description given was also incomplete. Thus, no checks were built into and the system accepted any value and even incomplete Account head description.

The Government replied (January 2012) that validation checks had been established. The reply was not acceptable as validation checks should have been introduced before implementation of software.

Irrigation and Water Management Module

This module was to help the Department in efficient operation of canals, to ensure timely maintenance of canal system, efficiency and accuracy in recording revenue receipts and to minimise grievances of farmers. Analysis of the data revealed that:

- The data of main canals, branches, distributaries and minors were entered in a single table named Canal Table. Coding system for each category of canal and also for each canal had not been developed. As such completeness and accuracy of data could not be ensured and in absence of coding there was no double check;
- Parent Identification mapping in the Canal Table was also incorrect. There was one entry "SARYU MAIN CANAL" which was shown as a branch of "Sharda Sahayak Feeder Channel". Another entry "Saryu Main Canal" which was shown as branch of "Basti Branch", while Saryu Main Canal was a main canal;
- Bed Level Column was blank in 9940 records; in 9840 record FSL (Full Supply Level) was blank, tail-column was blank in 3302 records and head discharge column was blank in 10363 records. In many records, columns such as benefitted villages, point off take etc. were also lying blank; and
- Water Users Association's (WUA) member identification was system generated and there was no check of duplicate entries. Duplicity was checked on combination of WUA identification, name, address and 236 names were found repeated from two to 1088 times.

As such incomplete and inaccurate data entered in the system rendered the module unusable.

The Government replied (January 2012) that errors were there due to presence of test data which was being removed and coding system had been established.

Reply was not acceptable as introducing coding system after entering a large volume of data is of no use.

Mechanical Works Module

The key objectives of the module was to maintain details of all the tubewells and minor lift canals and to keep track of all the construction works, complaints and maintenance works relating to tubewells and minor lift canals. In the tubewells Table, meant for storing details of all tubewells, there were 24234 records. Duplicity check on combination of circle offices, divisions and departmental tubewell number revealed that same tubewell had been entered twice in 383 cases, thrice in 13 cases and four times in one case indicating absence of input control and haphazard data feeding.

The Government replied (January 2012) that validation system existed and more checks were being introduced. The reply was not acceptable as all the checks must have been introduced before starting data entry.

Flood Control and Management Module

For arranging relief work during floods, complete and accurate information of floods and rainfall pattern is needed to assist the concerned authorities. This module was to help in notifying the details of flood related information to appropriate authorities of Civil Administration and the Department for ensuring timely counter safety and relief measures. Analysis of the data available in the module revealed that there were 156 records in Flood Forecast Site table. In 74 records, the column, Danger Level and Highest Flood level were blank; in Flood Forecast Reading table, all the records were entered by temporary users. Flood Forecast Time column providing a time-stamp and the year in the timestamp ranged from 1955 to 2003, revealing entry of non-real life data and non-use of the module for the purpose for which it was designed.

The Government stated (January 2012) that instructions had been issued to all the offices to check the data and remove test data and duplicate entries, make necessary corrections and to update the data. The Government also stated that validation checks were being introduced.

Multiple vendors

LANs established in each office, were integrated thorough WAN. M/S GTL Limited established LAN in field offices and M/S HCL Comnet Limited implemented WAN. In case of any problem in internet connectivity, users were not aware as to which vendor required to be contacted for solution due to unawareness of the exact nature of the problem. Multiplicity of vendors for similar nature of work, led to delays in smooth delivery of services.

The Government stated (January 2012) that separate vendors were engaged for domain expertise and efforts were being made for early disposal of complaints.

Dependence on vendors

There was no capacity building in the Department and even for routine tasks Department was dependent on vendors.

Vendors for software development and maintaining servers still held the Administrative rights of database. Consequently, the Department was dependent on these vendors for routine tasks like deletion of any record from backend, taking up backup of database etc. Sometimes there might be need for backend corrections, though backend corrections should not be permitted in normal course, but as there was lack of validation checks as already mentioned, in para relating to input controls, for which Department was dependent on vendors. Provision of backend access to vendors was a risk to data integrity.

The Government stated (January 2012) that administrative rights were in control of MIS Cell. The reply was not correct as despite passage of considerable time, and the vendor support period nearing to end, the Department had not buildup adequate capacity to take over the system after support phase is over.

Slow and unreliable internet connectivity

Like any other *web-based* application, internet service was necessary for use of the AS. The internet speed should also be fairly good for quick response time and without broken working rhythm.

Internet connectivity was provided to users through LAN and WAN. The latter was established through BSNL leased line. Expenditure on establishment of LAN was ₹ 4.90 crore (₹ 3.27 crore one time and ₹ 1.63 crore recurring for the period from August 2007 to July 2013, 100% of capital amount has been paid and recurring payment is being made). Expenditure on WAN was ₹ 15.79 crore (₹ 0.84 crore one-time and ₹ 14.95 crore for the period from May 2010 to April 2016). At each LAN site, internet speed provided (upto 64 Kilo Bytes per Second) were not adequate to access AS and enter data. In test checked offices, it was observed that on opening the departmental *web-site* it takes a long time. Sometimes, repeated attempts were required to log-in. Once logged in, the internet got disconnected automatically. This was a great stumbling block in the implementation of computer based MIS. Ten out of twenty three test checked offices, confirmed inadequate connectivity and nine offices stated that there was no internet connectivity.

Thus, even after incurring such a huge amount on LAN and WAN (₹ 4.90 crore on LAN and ₹ 15.79 crore on WAN), the Department started distributing USB modems to each office for accessing internet. Two out of 14 test checked offices, had even taken BSNL broadband connection which resulted in wasteful expenditure on LAN and WAN of ₹ 20.69 crore[9] and

[9] ₹ 20.69 crore (LAN - ₹ 4.90 crore + WAN - ₹ 15.79 crore)

extra expenditure of ₹ 6.59 lakh[10] on procurement of USB modem and recurring charges on the Government exchequer.

The Government stated (January 2012) that there was a proposal to increase bandwidth upto 10 MBPS in the second phase of the project (UPWSRP). The reply indicated that the data load and the need of band-width for use of the AS was not assessed at the time of planning and implementation of the computer based MIS.

Disaster Recovery and Business Continuity Plan

There was no disaster recovery system.

There must be a plan in position to ensure that the Information System continues to function even in the event of a failure of information processing resource. For ensuring continuity of work, it was necessary that Database Backup is kept in a safe place away from the data centre so that data remains secure in case of any disaster. Further for computer based MIS of such a large magnitude a disaster recovery site should be planned. The Department has not documented any Disaster Recovery/Business Continuity Plan. In the Department, there was no alternate data centre site and backup was being stored at data centre itself exposing the Department to high risk of stoppage of the MIS activity in case of destruction of data centre.

The Government stated (January 2012) that there was a proposal to develop a Disaster Recovery System in the second phase of the project (UPWSRP). This indicated that the MIS plan was faulty to the extent that it did not provide for a disaster recovery and business continuity plan.

2.2.8 Monitoring

Vendors handed over all the modules of AS to the Department between March and November 2009 but the Department did not make any plan for gradual shifting from the manual system to computer based MIS. In the absence of such a plan there was no yardstick against which progress of implementation of computer based MIS could have been monitored.

The Government stated (January 2012) that all the Chief Engineers were instructed (January 2012) to get the MIS modules implemented. However, due to lack of proper monitoring MIS modules were yet to be fully implemented.

2.2.9 Conclusion

Even after spending ₹ 68.97 crore (January, 2012) and after expiry of about 10 years the progress of implementation of computer based MIS in the Irrigation Department was far from satisfactory. The objective of effective planning and analyses based on the factual data, increased monitoring, enhanced transparency and communication could not be achieved due to non preparedness of the Department in making current data available to the vendor, poor internet connectivity and inadequate training. Till date

[10] ₹ 6.59 lakh (₹ 3.84 lakh on USB modem + ₹ 2.75 on recurring charges)

(January 2012), not a single module, out of 26 modules, has been put to use, though these modules were handed over to the Department, by the vendor, between September and November 2009, besides the hardware procured in October 2004, also became outdated. Till date, even master data had been fed partially and that too were unreliable. Department also failed to protect the system/data from any disaster.

2.2.10 Recommendations

- *Unique codes should be assigned to each officer/employee, canals, Tubewells and minor lift canals for avoiding duplicity of data; input and validation controls should be built-in to ensure completeness and correctness of the data;*
- *The backlog of data entry should be completed at the earliest for ensuring availability of historical and master data and facilitating expeditious decision process;*
- *Data backup should be stored at a place away from the data centre; and a disaster recovery site & business continuity plan should be put in place;*
- *Proper monitoring efforts should be made to make all the 26 modules put to use and appropriate training should be imparted to staff; and*
- *Issues of LAN/WAN and bandwidth needs to be addressed and resolved with promptitude.*

BASIC EDUCATION DEPARTMENT

2.3 Status of Infrastructure Facilities and Teaching Aids in Government Primary and Upper Primary Schools in Ghazipur and Gautam Buddha Nagar Districts

2.3.1. Introduction

"UP Education for all Project Board" was constituted in May 1993 to manage the World Bank assisted project and the powers to manage the primary and upper primary schools were vested with the "Village Education Committees (VEC)". The Board also manages the Centrally sponsored *Sarva Shiksha Abhiyan* (SSA), 2001 which aims at ensuring availability of a well equipped, well staffed, well functioning and well attended primary and upper primary schools, providing useful and relevant elementary education cutting across all social, regional and gender gaps, to all children in the age group of six to 14 years by the year 2010. The Right of Children to Free and Compulsory Education Act, 2009 (RTE) envisions free and compulsory education to all children in the age group of six to 14 years.

Keeping in view the aforesaid objectives, the State Government initiated number of steps which included opening of new schools in un-served habitations, adding new class rooms to existing schools, recruitment and training of teachers to improve pupil-teacher-ratio and reorientation of the teaching skills, effective implementation of SSA activities and Mid-Day Meal (MDM) scheme etc.

Principal Secretary, Basic Education Department; State Project Director, SSA; Director, Basic Education; Basic Shiksha Adhikari (BSA); and Deputy/Assistant BSA and Village Education Committee at the Government, department, district, block and school levels, respectively, were responsible for implementation of the aforesaid programmes.

2.3.2 Audit coverage and sample selection

To evaluate the status of availability of infrastructure facilities and teaching aids in the Government "Primary Schools" (PSs) and "Upper Primary Schools" (UPSs) and its impact on basic education during 2006-11, Ghazipur (GZP) and Gautam Buddha Nagar[1] (GBN) were selected on the basis of geographical locations, economic conditions and inter-district disparity[2] in the State. **Table 1** exhibits the population, number of children (0-6 years), number of PSs/UPSs in both the districts and sampled PSs/UPSs for detailed examination.

[1] Ghazipur lies in the State's eastern border and Gautam Buddha Nagar in western border.

[2] The Government has worked out the level of development in the state by Ranking Method at district level on the basis of 36 selected indicators under economic infrastructure, social infrastructure etc. On this basis, the districts have been placed in five ranges of Composite Index of Development (CID): very high, high, medium, low and very low. While Ghazipur is under very low CID with 71.90 points, Gautam Buddha Nagar is under very high CID with 431.44 points.

Table 1: Population and total number of schools, sampled schools and schools physically inspected for detailed examination as on April-May 2011.

Sl. No.	Particular	Ghazipur	G.B. Nagar
1.	Population	36.23 lakh	16.75 lakh
2.	Children (0-6 years)	5.38 lakh	2.45 lakh
3.	Number of Government PS (Primary School)	1720	463
4.	Number of PS sampled for collection of information (10 *per cent* of Sl. No. 3)	172	46
5.	Number of PS sampled for physical verification (33 *per cent* of Sl. No. 4)	57	15
6.	Number of Government UPS (Upper Primary School)	748	208
7.	Number of UPS sampled for collection of information (10 *per cent* of Sl. No. 6)	75	21
8.	Number of UPS sampled for physical verification (33 *per cent* of Sl. No. 7)	25	7

(Source: Records of BSAs)

2.3.3 Financial arrangement

The cost of SSA was shared between the Central and State Government in the ratio of 75:25 up to the Tenth Plan period (2002-07). The State share was raised to 50 *per cent* thereafter. The contribution to SSA was to be over and above this investment. In the two sampled districts, the receipt and utilisation of funds earmarked for infrastructure facilities and teaching aids, during 2006-11, was as below:

Table 2: Status of expenditure on the Infrastructure Facilities and Teaching Aids as on March 2011

(₹ in crore)

Year	Ghazipur					G.B. Nagar				
	Opening balances	Receipts	Total funds available	Expenditure *(per cent in bracket)*	Closing Balances	Opening balances	Receipts	Total funds available	Expenditure *(per cent in brackets)*	Closing Balances
2006-07	1.74	65.39	67.13	64.71 *(96)*	2.42	NA	NA	11.20	10.64 *(95)*	0.56
2007-08	2.42	67.42	69.84	66.58 *(95)*	3.26	0.56	14.62	15.18	12.79 *(84)*	2.39
2008-09	3.26	156.37	159.63	154.01 *(96)*	5.62	2.39	34.97	37.36	36.03 *(96)*	1.33
2009-10	5.62	182.95	188.57	184.17 *(98)*	4.40	1.33	49.48	50.81	47.40 *(93)*	3.41
2010-11	4.40	211.82	216.22	207.52 *(98)*	8.70	3.41	60.29	63.70	57.02 *(90)*	6.68
Total		**683.95**		**676.99 *(96)***			**159.36**		**163.88 *(92)***	

(Source: Records of BSAs/SSAs) **NA:** Not available

It would be seen from the above table that although the percentage of utilisation remained almost the same in the two districts but in the sampled schools the number of children enrolled (class-I) reduced by 44 *per cent* in GZP during 2006-11 and by 19 *per cent* in GBN during 2008-11, as discussed in paragraph 2.3.6.1.

Audit Findings

2.3.4 Infrastructure Facilities

2.3.4.1 Basic Amenities

Basic education was affected due to non-availability of adequate basic amenities

To achieve universalisation of elementary education in the State, basic infrastructure and amenities like separate toilets for boys and girls, safe and adequate drinking water facility, play grounds, boundary wall for ensuring security and sanitation facilities to keep the schools clean were to be provided in all schools under *Sarva Shiksha Abhiyan*. The status of Infrastructure and basic amenities in the Government PSs and UPSs of GZP and GBN was as under:

Table-3: Status of non-availability of basic infrastructure facilities as on May 2011.

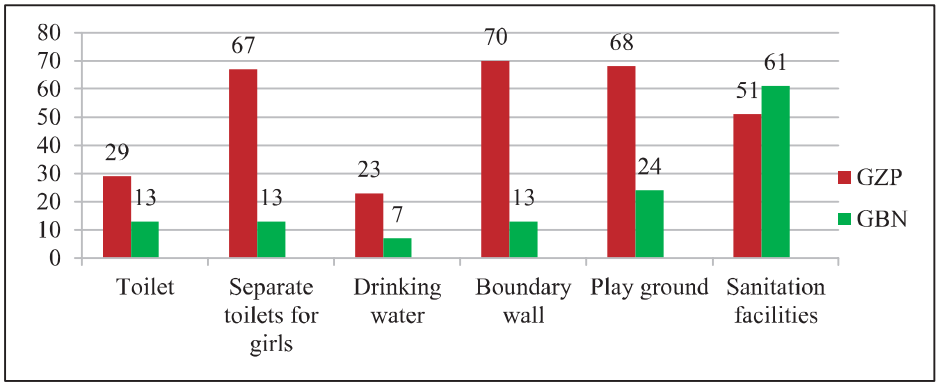
District	Number of Government PSs/ UPSs	Non-availability of basic infrastructural facilities				
		Toilets *(Per cent in bracket)*	Separate Girls' Toilet *(Per cent in bracket)*	Drinking water *(Per cent in bracket)*	Boundary wall *(Per cent in bracket)*	Play ground *(Per cent in bracket)*
GZP	2468	224 (9)	814 (33)	425 (17)	1666 (68)	1298 (53)
GBN	671	49 (7)	224 (33)	49 (7)	89 (13)	205 (31)

(Source: Records of BSAs)

Thus, 9 to 68 *per cent* schools in GZP and 7 to 33 *per cent* schools in GBN were running without adequate basic infrastructure facilities.

The status of infrastructure/basic facilities in sample selected schools of GZP and GBN are shown in ***Appendix-2.3.1 (a) & (b) and 2.3.2 (a) & (b)*** and chart below:

Chart-1: Percentage of the PSs and UPSs where basic infrastructure was not available as on May 2011.



Thus, the percentage of schools lacking basic infrastructure was very high in GZP as compared to GBN although the expenditure in GZP was higher (₹ 676.99 crore) than the expenditure incurred in GBN (₹ 163.88 crore) during 2006-11.

In reply, the Government stated (February 2012) that drinking water and toilet facilities have been made available in almost all the schools and boundary walls would be completed by March 2013. The Government also stated that play ground were not available due to non-availability of land/funds. Reply of the Government in respect of drinking water and toilet facilities is not acceptable since such facilities were not available as per information made available by the sampled schools.

2.3.4.2 Availability of electric supply in schools

As per recommendation of Twelfth Finance Commission, the lectrification of schools was not done.

As envisioned in the Twelfth Finance Commission recommendations, all the Government PSs and UPSs were to be provided electricity connection by October 2009. The status of availability of electric connection in PSs and UPSs of GZP and GBN during 2010-11 was as under:

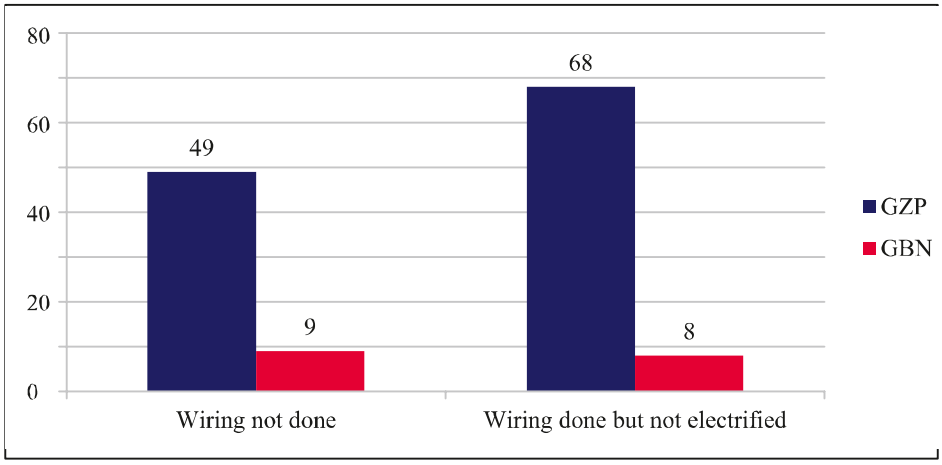
Table 4: Status of electrification in schools during 2010-11

District	Total Number of PSs and UPSs	Number of schools having electric wiring *(per cent in bracket) (2)-(4)*	Number of schools without electric wiring *(per cent in bracket)* (2)-(3)	Number of schools where electric wiring has been completed but no electric connection provided *(per cent in bracket) (5)*100/(3)*
(1)	(2)	(3)	(4)	(5)
GZP	2468	1327 *(54)*	1141 *(46)*	920 *(69)*
GBN	671	671 *(100)*	0	0

(Source: Records of BSAs)

As per information made available (May 2011), all the PSs and UPSs in GBN were having power supply and electric wiring. In GZP, electric wiring was not done in 46 *per cent* schools. In 69 *per cent* schools, wiring was complete but there was no electric connection. The position of electrification as reported by the sampled PSs and UPSs (247 in GZP and 67 in GBN), was as below:

Chart-2: Percentage of sampled schools provided with electric supply during 2010-11



Thus, as per information made available (May 2011) by sampled schools only 126 out of 247 schools in GZP had internal wiring and only 40 schools (32 PSs and eight UPSs) out of these 126 were electrified. However, 22 (16 PSs and 6 UPSs) out of 40 reported that there was no power supply during school hours {***Appendix-2.3.3 (a) & (b)}.***

Similarly, in GBN, six schools (four PSs and two UPSs) out of 67 sampled schools did not have electric wiring and five (three PSs and two UPSs) out of 61 schools having electric wiring, did not have electric supply {***Appendix-2.3.4 (a) & (b)***}.

Thus, the wiring done in the sampled school of GZP and GBN where there is no electric supply without ensuring the power supply is of no use.

In reply, the Government stated (February 2012) that in GZP electrification was completed in 1327 schools against which 440 schools were electrified.

2.3.4.3 Seating arrangements

Adequate seating arrangements were not made available in all schools.

As per guidelines, *Tat-Patty* & *chowkis* and desks & benches were to be provided to each student of PSs and UPSs respectively.

BSA, GZP informed (May 2011) that ₹ 2.86 crore was provided in 2006-07 for *Tat-Patty* and *chowkis* and desks and benches to1667 schools (1559 PSs and 108 UPSs) out of 2082 schools (1606 PSs and 476 UPSs). No funds were provided for seating arrangements to remaining 415 schools (47 PSs and 368 UPSs).

Four PSs and 30 UPSs (out of sampled 247 schools) in GZP informed (May 2011) non-availability of seating facility {***Appendix-2.3.1 (a) & (b)***}. In GBN also eight out of 21 sampled UPSs reported non-availability of desks and benches {***Appendix-2.3.2 (a) & (b)***}.

No reply to the above was furnished by the Government (March 2012).

2.3.5 Teaching Aids in PSs and UPSs

2.3.5.1 Computer hardware and software for innovative activity

Innovative activities for computer education in UPSs were not undertaken due to non-electrification of schools.

As SSA envisaged introduction of computer education in UPSs, computers were provided to those schools where electric connection was available. The information provided (May 2011) by the concerned BSAs of GZP and GBN in this regard is given in **Table 5**.

Table-5: Supply of Computer hardware and their functionality as on May 2011

District	Number of UPSs in the district (2010-11)	Number of UPSs, where Computers were provided	Number of UPSs, where computers were installed and were being used
GZP	748	79	79
GBN	208	40	40

(Source: Records of BSAs)

Thus, computers were provided to only 11 *per cent* schools in GZP. Test check of records (May 2011) of sampled schools revealed that only 10 out of 75 sampled UPSs received computers, of which seven were not installed because of non- availability of electricity. Further, only one (UPS Shriganj) out of the three installed computers were in use {***Appendix-2.3.1 (b)***}.

In addition, physical verification (April-May 2011) of seven UPSs, where computers have been supplied, revealed that in two UPSs (Mainpur and Mardah) computers were not physically available and in two UPSs (Yushufpur and Khanpur) computers, although reported as installed, were not installed.

In GBN, only 40 out of 208 UPSs received computers. Eight out of 21 sampled UPSs had received computers and five out of these were installed. Remaining three[3] Computers were not made functional due to non-availability of electricity {***Appendix-2.3.2 (b)}.***

In reply, the Government stated (February 2012) that keeping in view the availability of funds the districts had implemented computer aided learning programme.

Thus, computer education was affected adversely due to short supply of computers and non-availability of electricity in schools.

2.3.5.2 Sports facilities

As per provisions of RTE Act, 2009, the sports facilities were not made available in all the schools.

The RTE Act, 2009 prescribes norms and standards for schools in terms of provisioning for play material, games and sports equipment. Details of the sports items provided to the children in sampled PSs/UPSs of GZP and GBN was as below:

Table-6: Status of availability of sports items in the sampled PSs/UPSs as on May 2011.

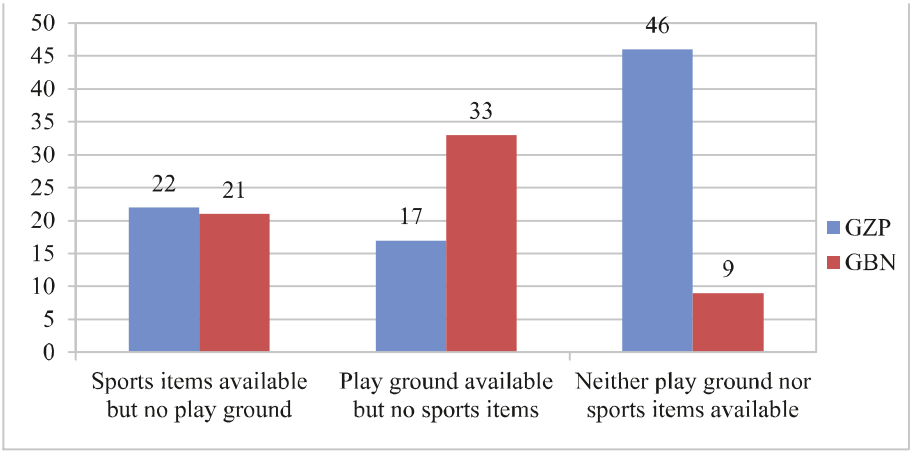
District	Category of schools	No. of sample selected PSs/UPSs	No. of schools where sports items were not provided (*per cent* in brackets)
GZP	PS	172	111 (65)
	UPS	75	45 (60)
GBN	PS	46	18 (39)
	UPS	21	10 (48)

(Source: Data Collected from PSs/UPSs)

[3] UPS Latifpur, Luharli, Girdharpur.

Thus, both the districts did not have adequate provision for ensuring sports activities as envisaged in the Act *ibid*. Audit of the sampled schools[4] revealed further inadequacies as presented in the chart below and detailed in ***Appendix-2.3.1 (a) & (b)*** and ***Appendix-2.3.2 (a) & (b)***:

Chart-3: Percentage of schools not having adequate sports arrangements



In reply, the Government attributed (February 2012) this to non-availability of land in the school.

2.3.5.3 Mid-Day Meal

Kitchen utensils and kitchen rooms were not available in all schools. In GBN, ₹ 206.25 lakh incurred on construction of kitchen rooms and purchase of utensils remained unfruitful.

MDM scheme was launched (September 2004) as a centrally sponsored scheme to improve the nutritional status and to increase attendance of school children. According to the norms of the MDM, a Kitchen-cum-Store Room should be provided in each school for cooking of food and storage of cooked food and utensils.

The status of available facilities in GZP and GBN as on May 2011 was as under:

- In GZP kitchen utensils were not available in 424 (17 *per cent*) schools (12 PSs & 412 UPSs) and kitchen- cum- store rooms were not available in 328 schools (12 PSs & 316 UPSs) out of 2468 schools; and
- In GBN kitchen-cum-store rooms, constructed in 284 (42 *per cent*) PSs/UPSs, out of the total 671 PSs/UPSs during 2006-11 at a cost of ₹ 1.73 crore, and in 637 (95 *per cent*) schools kitchen utensils purchased for ₹ 33.25 lakh, were not being used, as NGOs were supplying the MDM in all PSs/UPSs.

Further, scrutiny of records (May 2011) of sampled schools (PSs/UPSs) revealed that the percentage of schools not having adequate arrangements for providing MDM was larger in GBN than GZP, as shown in **Table 7**.

[4] 247 schools in GZP and 67 schools in GBN in April-May 2011.

Table-7: Status of Kitchen-cum-Store Room and utensils in sampled PSs/UPSs as on May 2011

District	Category of schools	Number of selected schools	Number of schools having no kitchen room (*per cent* in bracket)	Number of schools having no kitchen utensils (*per cent* in bracket)
GZP	PS	172	11 (6)	14 (8)
	UPS	75	44 (59)	22 (29)
GBN	PS	46	17 (37)	28 (61)
	UPS	21	17 (81)	14 (67)

(**Source**: Data Collected from PSs/UPSs) ***{Appendix 2.3.1-(a) & (b) and 2.3.2 (a) & (b)}***

It would be seen from the above table that kitchen rooms were not available in six *per cent* to 37 *per cent* in PSs and 59 *per cent* to 81 *per cent* in UPSs. Similarly, kitchen utensils were not available in eight *per cent* to 61 *per cent* in PSs and 29 *per cent* to 67 *per cent* in UPSs.

No reply to the above was furnished by the Government (March 2012).

2.3.5.4 Distribution of Free Text Books and Uniforms

Free text books and uniforms were not distributed to all eligible children.

SSA envisages providing free text books to all girls/SC/ST children at primary and upper primary level with an upper ceiling of ₹ 150 per child. Besides, free uniforms were also to be provided to all girl students of all categories of PS, as provided in the National Programme of Education for Girls at Elementary Level, a component of SSA.

Scrutiny of records (May 2011) of sampled schools revealed that free text books and uniforms were not distributed in some of the schools of GZP and GBN districts as shown below:

Table-8: Status of distribution of Free Text Books and Uniform in sampled schools as on May 2011.

District	Category of schools	Number of selected PSs/ U PSs	Number of schools where text books were not distributed (*per cent* in bracket)	Number of schools, where uniform was not distributed (*per cent* in bracket)
GZP	PS	172	22 (13)	19 (11)
	UPS	75	14 (19)	Not applicable
GBN	PS	46	11 (24)	21(46)
	UPS	21	2 (10)	Not applicable

(**Source:** Data Collected from PSs/UPSs) ***{Appendix-2.3.3 (a) & (b) and 2.3.4 (a) & (b)}***

Non-distribution of free uniforms to girls, scheduled caste/ scheduled tribe students and text books to the eligible children in all the schools resulted in non achievement of 100 *per cent* scheme objectives.

No reply to the above was furnished by the Government (March 2012).

2.3.5.5 Library facility

Schools lacked library facility.

The RTE Act, 2009 provides that there shall be a library in each school having newspaper, magazines and text books on all subjects, including story books.

BSA, GZP informed that library facility was not provided in 939 (384 PSs & 555 UPSs) out of 2468 schools (1720 PSs & 748 UPSs). Similarly, BSA, GBN informed that this facility was not available in 221 (83 PSs & 138 UPSs) out of 671 schools (463 PSs & 208 UPSs).

Scrutiny of records (April-May 2011) in sampled PSs/UPSs revealed that in GZP 102 PSs (59 *per cent*) and 61 UPSs (81 *per cent*) did not have library facility and in GBN nine PSs (20 *per cent*) and six UPSs (29 *per cent*) lacked the same. Details are given in ***Appendix-2.3.3 (a) & (b) and 2.3.4 (a) & (b).***

No reply to the above was furnished by the Government (March 2012).

Significant shortfall in enrolment of children even after increase of classrooms.

2.3.6 Enrolment, Drop Out and Retention Rate

Increase in number of enrolment, reduction in rate of dropout and higher retention rate are indicative of a successful education system. The discrepancies noticed in this regard are discussed in following paragraphs.

2.3.6.1 Enrolment

Analysis of the information of enrolment of children of PSs/UPSs furnished (May 2011) by BSAs of GZP and GBN revealed as below:

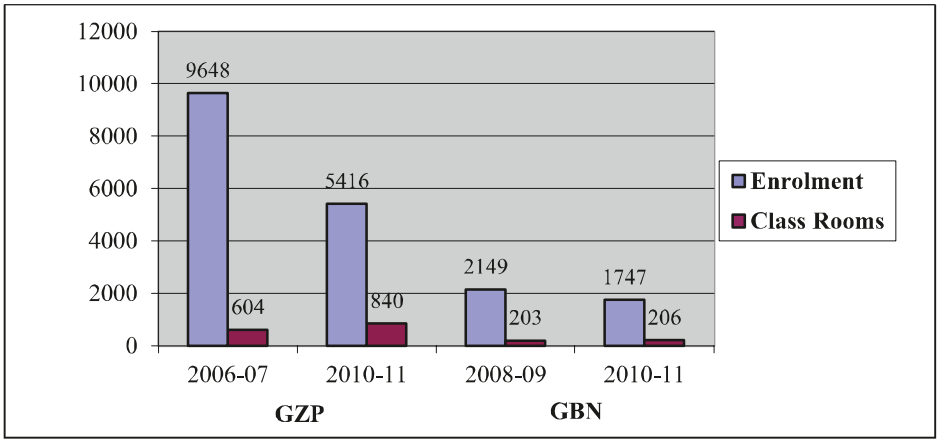
Table 9: Number of enrolment at PS and UPS level in GZP and GBN

District	School	2006-07	2007-08	2008-09	2009-10	2010-11
GZP	PS	394973	358223	328733	252948	268624
	UPS	56753	66789	78034	64689	71748
GBN	PS	The district was formed after 2007-08.		65530	63181	57636
	UPS			3390	3794	3421

(Source: Information collected from BSAs)

Thus, enrolment in PSs came down from 394973 (2006) to 268624 (2011) in GZP and in GBN from 65530 (2008) to 57636 (2011) respectively. Scrutiny of records in 172 sampled PSs in GZP and 46 PSs in GBN also revealed a declining trend in enrolment in Class-1 as shown in the Chart 4.

Chart 4: Trend of enrolment in Class1 in GZP (2006-11) and GBN (2008-11)



Note: Sampled schools of GBN had not furnished the information from 2006-07 to 2007-08

Thus, enrolment in Class-I decreased by 44 *per cent* in GZP during 2006-11, despite increase in number of class-rooms by 39 *per cent* (2006-11) ***{Appendix-2.3.5(a)}.*** Similarly, enrolment in Class-I in GBN also decreased by 19 *per cent* (2008-11) although, class rooms in the district increased by one *per cent* during the period {***Appendix-2.3.5(b)}***.

In reply, the Government stated (February 2012) that decline in enrolment was not due to poor quality of infrastructure, basic amenities and teaching Aids etc, but did not explain the reasons for decline.

2.3.6.2 Dropout and Retention of children

Schools were not able to retain the dropout of children.

As per recommendations of SSA programme management the children enrolled should continue to remain in school to complete their basic education. Children leaving schools midway indicates either non-availability of good educational environment/teachers or lack of proper atmosphere/ facilities.

In 463 PSs of GBN, 8161 children out of 12421 children enrolled in Class-III (2008-09), took admission in Class-V (2010-11). Thus, 34 *per cent* children dropped out and did not continue their education in the Government schools during the period. Similarly, in 208 UPSs, 3421 children out of 4791 children enrolled in Class-VI (2008-09) were admitted to Class-VIII (2010-11), resulting in drop out of 29 *per cent* children at UPSs level during the period. Information relating to GZP was not made available.

As per the data relating to the sampled schools the drop out percentage rate is shown in **Table 10**.

Table 10: Status of dropout at PS and UPS level in GZP and GBN as on May 2011

(***Per cent*** **in brackets)**

Particular	Class-1 2006-07	Class-V 2010-11	Class-VI 2008-09	Class-VIII 2010-11
GZP Sampled schools	172 PSs		75 UPSs	
Number of enrolment	9648	5079 (53)	3595	3056 (85)
Particular	**Class-III 2008-09**	**Class-V 2010-11**	**Class-VI 2008-09**	**Class-VIII 2010-11**
GBN sampled schools	46 PSs		21 UPSs	
Number of enrolment	1305	824 (63)	579	401 (69)

(Source: Information collected in sampled schools) ***{Appendix-2.3.3 (a) & (b) and 2.3.4 (a) & (b)}***

Thus, during the period under review 47 *per cent* children dropped out at primary level and the dropout rate was 15 *per cent* at the UPS level in GZP; and 37 *per cent* at primary and 31 *per cent* at UPS level in GBN.

The high drop-out rate of the children in PSs and UPSs of both the districts was indicative of lack of good quality infrastructure, teaching aids and MDM etc.

No reply to the above was furnished by the Government (March 2012).

2.3.6.3 Transition Rate

Transition rate of children was not maintained upto the mark.

Transition rate reflects the proportion of children continuing to the entry grade of Upper Primary from the exit grade of Primary level. The year-wise transition rate in sampled 247 (172 PS; 75 UPS) and 67 (46 PS; 21 UPS) schools in GZP and GBN were as below:

Table 11: Transition Rate from class-V to class-VI as on May 2011

Name of District	Enrolment – Transition							
	2006-07	2007-08	2007-08	2008-09	2008-09	2009-10	2009-10	2010-11
	Class-V	Class-VI	Class-V	Class-VI	Class-V	Class-VI	Class-V	Class-VI
GZP	5338	3358 (63)[5]	5191	3595 (69)	4732	3502 (74)	5162	3359 (65)
GBN	993	592 (60)	1026	579 (56)	874	516 (59)	883	459 (52)

(**Source:** Data Collected from PSs/UPSs) ***(Appendix-2.3.6 (a) & (b) and 2.3.7(a) & (b))***

Thus, the transition rate of children from class-V to class-VI in GZP ranged between 63 and 74 *per cent* and in GBN, between 52 and 60 *per cent*. Therefore, more children left the schools after primary level in GBN indicating inadequate effort by the authorities to retain children from PSs to UPSs.

No reply to the above was furnished by the Government (March 2012).

2.3.7 Other points of interest

2.3.7.1 Teacher Student Ratio (TSR)

The improved TSR was reported but it was mainly due to declining of enrolment and high dropout of children.

As per RTE Act, the TSR of 1:30 (PS) and 1:35 (UPS) should be maintained for effective teaching. The TSR at GZP and GBN in sampled schools during 2006-11 was as below:

Table 12: Position of Teacher Student Ratio (TSR) as on 2010-11

Year	Ghazipur		G .B. Nagar	
	TSR in PS	TSR in UPS	TSR in PS	TSR in UPS
2006-07	1:60	1:58	1:44	1:31
2007-08	1:54	1:54	1:43	1:36
2008-09	1:52	1:43	1:35	1:32
2009-10	1:42	1:34	1:35	1:32
2010-11	1:45	1:37	1:37	1:37

(**Source:** Records of BSA)

In 247 sampled schools (172 PS and 75 UPS) in GZP, the TSR during 2010-11 was 1:45 (PS) and 1:37 (UPS). In 67 sampled schools (46 PS and 21 UPS) in GBN, the TSR at the both PS and UPS in 2010-11 was 1:37.

It would be seen from the above that the TSR has improved in GZP and GBN districts mainly due to declining of enrolment and drop out of children.

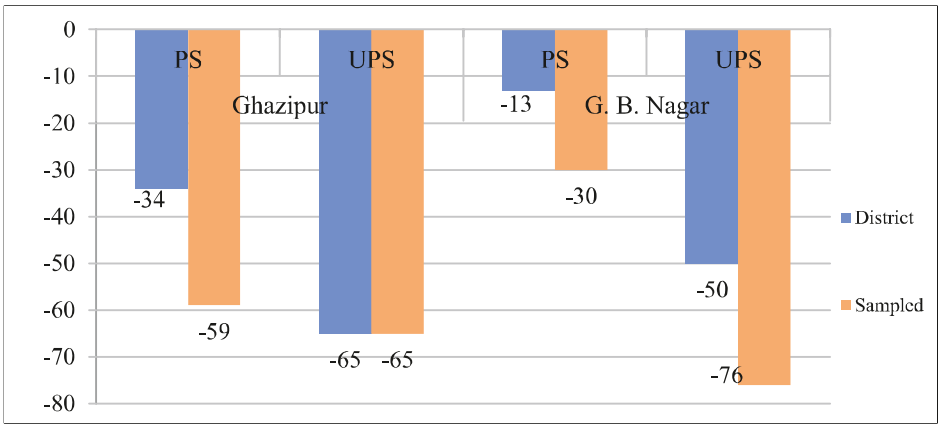
[5] Percentage of children enrolled in class-VI in brackets.

No reply to the above was furnished by the Government (March 2012).

2.3.7.2 Shortage of teachers

The shortage of teachers at schools level was more pronounced in sampled schools, *vis-à-vis*, the overall position of the district. The details are shown below:

Chart 5: Comparison of shortage of teachers (in *per cent*) at district and sampled school level as on May 2011.



(Source: Records of BSA and schools)

The shortage of teachers affected the quality of education.

It would be seen from the chart-5 that the shortage of teachers in PSs and UPSs in GZP district level was 34 *per cent* and 65 *per cent* and in GBN it was 13 *per cent* and 50 *per cent* respectively. Similarly, the shortage of teachers in sampled PSs and UPSs in GZP was 59 *per cent* and 65 *per cent* and in GBN it was 30 *per cent* and 76 *per cent* respectively. The shortage of teachers in sampled 314 schools (GZP: 247 & GBN: 67) is detailed in ***Appendix-2.3.8 (a & b) and Appendix-2.3.9 (a) & (b).***

The shortage of teachers affected the quality of education as well as TSR also.

No reply to the above was furnished by the Government (March 2012).

2.3.7.3 Gross Enrolment Ratio, Net Enrolment Ratio and Retention Rate

Gross Enrolment Ratio (GER)[6], Net Enrolment Ratio (NER)[7] and Retention Rate (RR)[8] are the performance indicators under SSA. The GER, NER and RR in both the districts, during 2006-11, were as below:-

[6] GER is the percentage of total enrolment in primary/elementary level of education to the population of primary/elementary schools.
[7] NER indicates the percentage of enrolment corresponding to the targeted child population.
[8] Retention rate (RR) indicates retention of the children at the end of the year.

Table 13: Status of GER, NER and RR as on May 2011.

District	Particular	Schools	2006-07	2007-08	2008-09	2009-10	2010-11
GZP	GER	PS	93.61	89.63	83.76	81.11	84.36
		UPS	36.89	47.23	54.42	42.50	50.11
	NER	PS	92.64	89.52	81.67	79.72	83.61
		UPS	26.23	32.17	39.32	35.19	45.15
	RR	PS	90.12	91.13	93.26	95.30	96.43
		UPS	87.92	89.45	91.02	92.70	93.50
GBN	GER	PS	104.12	107.29	98.64	96.15	96.70
		UPS	49.42	64.89	74.30	76.49	83.69
	NER	PS	78.23	82.77	73.67	78.96	82.11
		UPS	36.13	51.01	54.21	59.75	61.78
	RR	PS	99.82	100.06	83.35	50.19	Information not furnished
		UPS	Information not furnished			95.33	

(Source: Records of BSAs)

Thus, the GER and NER at primary level declined from 93.61 and 92.64 (2006-07) to 84.36 and 83.61 (2010-11) respectively in GZP and the GER declined from 104.12 (2006-07) to 96.70 (2010-11) in GBN. The retention rate at primary level improved in GZP from 90.12 (2006-07) to 96.43 (2010-11). However, this rate fell down in GBN from 99.82 (2006-07) to 50.19 (2009-10). The information about 2010-11 was not made available. This indicated that schools failed to attract new children for enrolment at primary level in both the districts and the schools in GBN failed to retain the students for full course at primary level.

No reply to the above was furnished by the Government (March 2012).

2.3.7.4 Training Facilities

Deployment of teachers in other activities led to significant shortfall in attaining the target of teachers training.

Pre-service training of 30 days for newly recruited teachers and of 60 days for contract teachers, besides 20 days in-service training, covering several pedagogical issues, including content and methodology, to improve teaching-learning transactions at class room level, were to be provided every year to every teacher by the master trainers of Block Resource Centers (BRC)[9] and Cluster Resource Center (CRC) who in turn were to be trained by the District Institute of Educational Training (DIET). The targets and achievements in both the district are given in **Table 14**.

Table 14: Status of target and achievement of teachers training as on June 2011

District	Year	Target (mandays)	Achievement (mandays)	Percentage of achieved target
GZP	2010-11	23439	10818	46.15
GBN	2010-11	2150	1720	80.00

(Source: Records of DIETs/BSAs)

The above table indicates that the targets for training of teachers could not be achieved in both the district.

[9] BRC and CRC are to provide academic support structure at a block and cluster level.

Both the BSAs stated (August 2011) that target of teachers' training was not achieved due to engagement of teachers in other activities.

No reply to the above was furnished by the Government (March 2012).

2.3.8 Conclusion

Universalisation of elementary education by providing sufficient number of teachers, adequate infrastructure facilities like toilets, separate toilets for girls, safe and adequate drinking water, mid-day-meal, sports grounds in the Government Primary and Upper Primary Schools were not largely fulfilled in the Ghazipur and Gautam Buddha Nagar districts of the State. Enrolment in Government PSs/UPSs was on declining trends (44 *per cent* in GZP and 19 *per cent* in GBN during 2006-11 in class-1) and dropout in these schools was also significant (47 and 37 *per cent* at the primary level respectively in GZP and GBN) in the scenario of growing population of the State. Shortage of teachers in the sampled schools, *vis-à-vis,* the overall position of both the district also effected the achievement of objective of the scheme. The Computers were provided to 10 UPSs of GZP, of which seven were not installed due to non-availability of electric supply. Distribution of free text books and uniform to all girls, SC/ST children at primary and upper primary levels was not ensured in all Government PSs/UPSs. Besides, 59 *per cent* sampled PSs and 81 *per cent* sampled UPSs of GZP and 20 *per cent* sampled PSs and 29 *per cent* sampled UPSs of GBN lacking library facilities. The transition rate of students from class-V to VI in sampled schools of GZP ranged between 63 and 74 *per cent* and 52 and 60 *per cent* in GBN.

Despite availability of sufficient class-rooms, improved TSR, MDM and other facilities, the Government was not able to restrict the drop out of the children in the Government schools.

2.3.9 Recommendations

- *Universalisation of elementary education should be ensured by reducing drop out rate and bringing children into the education stream;*
- *The infrastructure facilities and teaching aids, provisioned in the programmes launched by GoI and State, should be ensured to every school;*
- *Supply of free text books and uniforms to all eligible children should be ensured; and*
- *The shortage of teachers be mitigated in the schools by deployment of teachers and proper training to the teaching staff should be provided for better quality of education.*

MEDICAL HEALTH AND FAMILY WELFARE DEPARTMENT

2.4 Status of medical equipment and apparatus in Ghazipur and Gautam Buddha Nagar districts

2.4.1 Introduction

With a view to promoting good health and expand the outreach of health care, Medical Health and Family Welfare Department (MHFWD) runs a network of hospitals comprising District Hospitals (DHs), Community Health Centres (CHCs), Primary Health Centres (PHCs) and Sub centres. In 1994, the Government of Uttar Pradesh (GoUP) set norms for medical equipment and apparatus for these hospitals. In 2006, the Government of India (GoI) also prescribed health standards (designated as Indian Public Health Standards-IPHS) defining the level of quality of the hospitals/centres should meet with the key aim to enhancing the quality services delivered.

At the Government level, the Principal Secretary, assisted by the Director General, Medical and Health Services, Lucknow (DGMHS) at the State level, the Chief Medical Superintendents (CMSs) for DHs/ DJH and Chief Medical Officers (CMOs) for CHCs, PHCs and Sub centres at district level were responsible for the implementation of activities of MHFWD.

To evaluate the status of medical equipment and apparatus for 2006-11, Ghazipur and Gautam Buddha Nagar were selected [1] on the basis of geographical locations, economic conditions and inter-district disparity in the State.

Records for 2006-11 were examined (May and June 2011) in the offices of DGMHS, Lucknow, CMSs of DHs/ DJH and CMOs of Ghazipur and Gautam Buddha Nagar. Besides, records of five CHCs[2] out of ten, 15 PHCs[3] out of 87 and 59 Sub centres[4] out of 521 were also examined. Results of examination are discussed in succeeding paragraphs. These findings were discussed (January 2012) with the Principal Secretary, MHFWD. The results of discussions and the replies of the Government have been suitably incorporated.

Audit findings

2.4.2 Allotment and expenditure

Internal controls were lax.

During 2006-11, DGMHS provided ₹ 178.96 crore to the CMOs and CMSs, Ghazipur (₹ 137.49 crore) and Gautam Buddha Nagar (₹ 41.47 crore) against

[1] Ghazipur lies in State's eastern border and Gautam Buddha Nagar in western border. The Government has worked out the level of development in the state by Ranking Method at district level on the basis of 36 selected indicators under economic infrastructure, social infrastructure etc. On this basis, the districts have been placed in five ranges of Composite Index of Development (CID): very high, high, medium, low and very low. While Ghazipur is under very low CID with 71.90 points, Gautam Buddha Nagar is under very high CID with 431.44 points.

[2] Ghazipur: Khanpur, Muhammadabad and Saidpur; Gautam Buddha Nagar: Badalpur and Bhangel.

[3] Ghazipur: Abhisan, Asawar, Barachaur, Betawar, Bhadaura, Karanda, Kusmikalan, Mardaha, Reotipur, Subhakarpur, Zamania and Gautam Buddha Nagar: Barela, Bisrakh, Dankaur and Sector 22.

[4] Gautam Buddha Nagar: 17 and Ghazipur: 42.

which ₹166.67 crore (Ghazipur: ₹ 128.45 crore; Gautam Buddha Nagar: ₹ 38.22 crore) was utilised in providing health care, leaving overall savings of ₹ 12.29 crore (Ghazipur: ₹ 9.04 crore; Gautam Buddha Nagar: ₹ 3.25 crore). The details of allotment, expenditure and savings are given in **Table 1**.

Table 1: Allotment and expenditure

(₹ in crore)

Units test checked	Period	Allotment	Expenditure	Savings
CMO, Ghazipur	2006-11	105.52	100.01	5.51
DH (Male), Ghazipur	2006-11	21.67	19.25	2.42
DH (Female), Ghazipur	2007-11	10.30	9.19	1.11
CMO, Gautam Buddha Nagar[5]	2008-11	35.60	32.94	2.66
DJH, Gautam Buddha Nagar[6]	2006-08	5.87	5.28	0.59
Total		**178.96**	**166.67**	**12.29**

(Source: CMOs and CMSs**)**

Scrutiny revealed (May-June 2011) that the funds were allotted for pay and allowances on the basis of sanctioned strength of staff rather than person-in-position in violation of Paragraph 32 of the Budget Manual[7] resulting in savings of ₹ 12.29 crore. Scrutiny also revealed that CMO, Gautam Buddha Nagar did not maintain the register for allotment and expenditure during 2006-11. As such the register was not submitted to the Controlling Officer, depriving him of the opportunity to exercise expenditure control, as required under Paragraphs 112 and 116 of the Budget Manual[8]. Further, CMO, Gautam Buddha Nagar did not record day-to-day transactions (involving ₹ 4.96 crore) in cash book for the months of February and March 2011. The monthly balances (involving ₹ 16.24 crore) from June 2010 to January 2011 were also not authenticated by DDO (as of June 2011).

The Government stated (January 2012) that the funds were allotted in anticipation of appointment of doctors by the Public Service Commission. The Government also stated (January 2012) that the CMO, Gautam Buddha Nagar had since authenticated the cash book entries. The replies were not acceptable as the fact remained that the statutory provisions (Rule 32 of Budget Manual) were violated, resulting in savings of ₹ 12.29 crore. No reply for non-maintenance of register of allotment and expenditure was furnished (March 2012).

Thus, internal controls were lax not only in allotment of funds but also in utilization thereof which was fraught with the risk of misappropriation /embezzlement.

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[5] Does not include budget allotment and expenditure under the grant number 32 during 2009-10.
[6] During 2008-11, the expenditure was incurred by the New Okhala Industrial Development Authority.
[7] Budget estimates should be framed on the basis of expenditure to be incurred on pay and allowances of the person-in-position irrespective of sanctioned strength.
[8] DDO should maintain a register of allotment and expenditure containing columns for voucher number, date, description from major head to detailed head and objects. A copy of such register was also to be submitted to the controlling officer by fifth of each month in respect of the previous month.

2.4.3 Functioning of departments

Hospitals/ Centres were ineffective in providing health care services.

To ensure the mandated health services, the Government had sanctioned departments of Radiology, Pathology, Paediatrics etc. for DHs and CHCs. DGMHS was responsible for posting of doctors/specialists. Test checked hospital-wise departments sanctioned and their functioning in selected districts is brought out in **Table 2**.

Table 2: Functioning of departments as on March 2011

Name of hospital	Departments sanctioned	Departments not functional (periods in bracket)
Ghazipur		
DH (Male)	Radiology, Pathology, Paediatrics, Surgery and Cardiology	Surgery, Cardiology and Pathology (2010-11)
DH (Female)	Gynaecology, Radiology, Pathology & Paediatrics	Radiology & Pathology (2006-11), Paediatrics (2006-09)
CHC, Muhammadabad	Surgery, Medicine, Gynaecology, Paediatrics, Radiology and Eye	Surgery (2007-11), Paediatrics (2008-11), Gynaecology & Eye (2006-08)
CHC, Saidpur	Surgery, Medicine, Gynaecology, Paediatrics, Eye	Surgery & Paediatrics (2010-11)
CHC, Khanpur	Surgery, Medicine, Gynaecology, Paediatrics, Eye	Surgery, Gynaecology, Paediatrics (2006-11)
Gautam Buddha Nagar		
CHC, Badalpur	Surgery, Medicine, Gynaecology, Paediatrics, Orthopedic & Radiology	Radiology (2006-08), Paediatrics (2006-09)
District Joint Hospital	Surgery, Pathology, Skin, Cardiology, Radiology, Eye, Orthopedics, ENT, Medicine, Paediatrics, Dental and Gynaecology	Surgery, Pathology, Skin, Cardiology (2007-10)

(Source: Records of test checked hospitals/centres**)**

The table above indicates that various departments did not function during different spells. This was due to non-posting of medical staff by DGMHS, Lucknow. In DH (Male), Ghazipur, nine specialists (Pathologist: two; Physician: one; Anaesthetist: one; Surgeon: two; Paediatrician: one; Radiologist: one Cardiologist: one) were not posted (2010-11). In DH (Female), Ghazipur, one to two Medical Officers were not posted (2008-11). In DJH, Gautam Buddha Nagar, none was posted (2006-11) against nine specialists (General Surgeon: two; Pathologist: two; Skin Specialist: one; cardiologist: one, Superintendent and Senior Medical Officer: two; Chief Medical Superintendent: one).

In test checked CHCs, the shortfall[9] in medical staff ranged (during 2006-11) between 11 and 15 against sanctioned 34 specialists. Likewise, in test checked

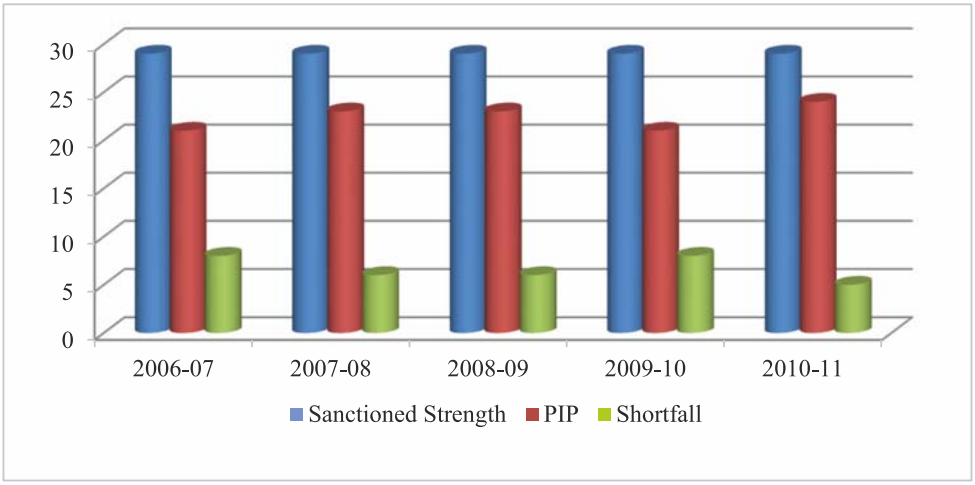
[9]

Hospitals	Sanctioned strength	2006-07	2007-08	2008-09	2009-10	2010-11
		person-in-position/shortfall				
CHCs	34	21/13	19/15	20/14	22/12	23/11
PHCs	29	21/8	23/6	23/6	21/8	24/5

(Source: Records of test checked hospitals)

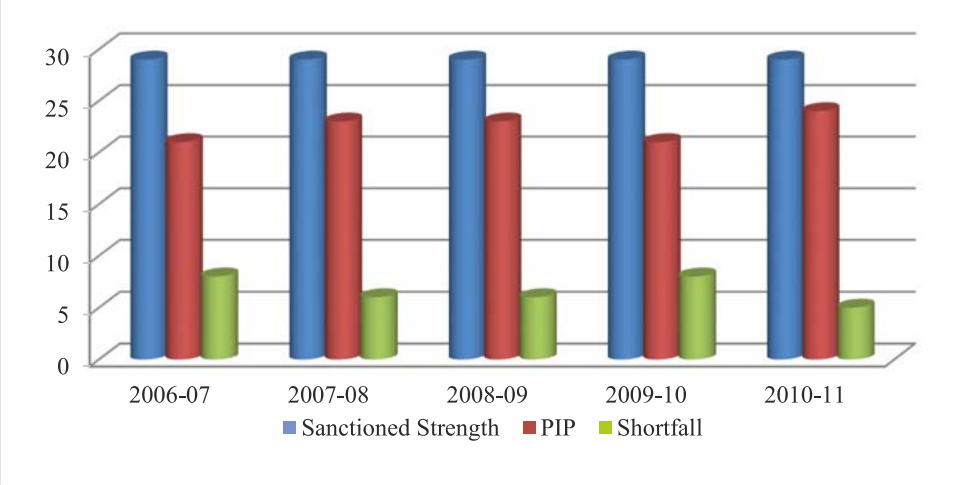
PHCs, it ranged between five and eight against sanctioned 29 (during 2006-11). The shortfall in CHCs and PHCs shown in Bar Chart 1 and 2.

Chart 1: Shortfall in CHCs



(Source: Records of test checked hospitals**)**

Chart 2: Shortfall in PHCs



(Source: Records of test checked hospitals**)**

The Government accepted (January 2012) the aforesaid shortfalls. Thus, the hospitals/centres in Ghazipur and Gautam Buddha Nagar test checked were not effective to the mandated extent in providing health care services to the community.

2.4.4 Medical equipment

With a view to ensuring health care service, the Government provided medical equipment and apparatus to DHs and CHCs. However, Audit observed (May - June 2011) that a number of medical equipment and apparatus were lying idle since long as discussed below:

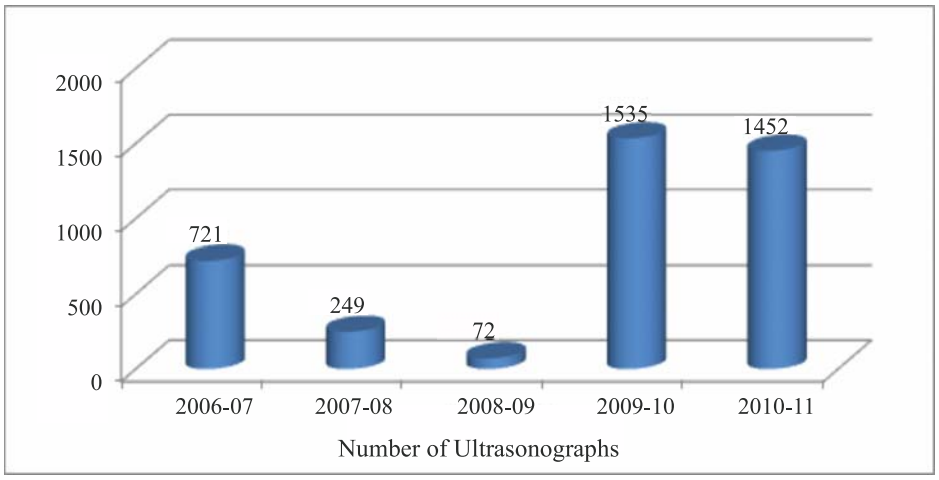
Ultra sound machine

Ultrasound, X-ray machines, Ventilators etc., were lying idle.

In DH (Female) Ghazipur, one ultrasound machine (₹ 5.79 lakh) was installed in September 2006. Prior to it, a post of radiologist was sanctioned by the Government in 2005. However, neither DGMHS posted a radiologist nor the CMS of the hospital effectively pursued the matter of posting since September 2006. During joint inspection (26 May 2011) of wards of the hospital, Audit noticed that the patients had ultra sono graph reports of the private diagnostic centres. Thus, the ultra sound machine remained idle, as of May 2011, even after five years of its installation and the patients did not have any option but to visit private diagnostic centres for ultra sono graphs all along.

In DH (Male), Ghazipur, one ultrasound machine was installed in 2006 and 4,029 ultra sono graphs were conducted during 2006-11 as shown in **Chart 3**.

Chart 3: Number of ultrasonographs



(Source: Records of the hospital**)**

The chart above indicates the number of ultrasonographs, ranging between 72 (2008-09) and 1,535 (2009-10), conducted during the years 2006-11. As the log books of repair and performance in respect of the machines were not maintained by the CMS of the hospital, though mandatory in terms of Government instruction (May 1991), the reasons for variation could not be ascertained in audit. The Government attributed (January 2012) very low numbers of ultrasonographs during 2007-09 to the non-availability of radiologists.

X-ray machine

In DH (Male), Ghazipur, six X-ray machines (₹ 13.41 lakh) were installed prior to 2006-07. However, as of March 2011, three were unserviceable since 2009-10 (no annual maintenance contract was executed with the supplier) for no reason on record. One machine was condemned in 2004 but was not disposed of even after seven years due to inaction. Out of the remaining two,

one was in service and 7,405 x-rays were conducted during 2009-11, while one machine was idle.

In reply, the Government stated (January 2012) that only one machine was in service due to sanction of only one post of x-ray technician. The Government further stated (January 2012) that action to dispose of one x-ray machine (condemned in 2004) was ongoing.

Cardiac equipment

The Government sanctioned cardiology department for DJH, Gautam Buddha Nagar prior to 2006-07 and equipped it with computerised ECG, four cardiac monitors and two cardiac monitors with defibrillator[10]. The Government also sanctioned (June 2005) a post of cardiologist for the department. However, the equipment were not being used for treatment of patients and remained idle as the cardiologist was not posted by DGMHS, as of June 2011.

The Government stated (January 2012) that cardiologist could not be posted due to their non-availability.

Electrolyte Ion Analyser

In May 2003, Uttar Pradesh Health System Development Project supplied Electrolyte Ion Analyser[10] to DH (Male), Ghazipur. However, DGMHS did not provide funds during 2003-09 for consumable kits though a pathologist remained posted in the hospital since May 2003. This indicated lack of monitoring by DGMHS. However, after six years, DGMHS sanctioned (February 2010) ₹ 3.30 lakh for consumable kits. Even after purchase (March 2010) of consumable kits, the equipment was lying idle (as of May 2011) as the pathologist was in the meanwhile transferred (March 2010) and the post remained vacant during 2010-11.

The Government accepted (January 2012) that the Electrolyte Analyser could not be used due to non-posting of pathologist; it further stated that a pathologist has been posted in December 2011.

First Referral Unit (FRU) equipment

PIP (2009-10) revealed that CHCs, Muhammadabad and Saidpur in Ghazipur (2008-09) and CHC, Badalpur in Gautam Buddha Nagar (2009-10) were accorded status of FRU. Consequently, the equipment[11] for FRU was supplied (February 2010) to them.

However, the status of FRU of CHC, Muhammadabad was subsequently withdrawn in 2009-10 due to non-functioning of surgery and paeadiatric departments for want of posting of specialists. During Joint Physical

[10] Cost not furnished though called for in February 2012.
[11] First Referral Unit (FRU) equipment comprises surgical sets, IUD insertion kits, normal delivery kits, devices for anaesthesia, neo-natal resuscitation equipment etc. Cost not furnished though called for in February 2012.

Inspection (May 2011), it was noticed that the equipment was lying idle in packed condition.

The Government did not furnish any reply (March 2012).

The FRU status of CHC, Saidpur was not withdrawn. However, the surgical sets and neo-natal resuscitation medical equipment were lying idle since their receipt in 2009-10 as the posts of surgeon and paediatrician were vacant (May 2011) since then.

In CHC, Badalpur, baby radio therapy and normal delivery kits were in use and blood transfusion kit[10] which were received in December 2010, was transferred (April 2011), due to non-availability of infrastructure, to DJH, Gautam Buddha Nagar where it was again lying idle due to the same reason. Remaining equipment meant for FRUs were also lying idle in packed condition as shown in the photographs.

In reply, the Government accepted (January 2012) the facts.



Packed Autoclave lying idle in CHC, Badalpur, G B Nagar



Packed FRU equipment lying idle in CHC, Badalpur, G B Nagar

Ventilator

In March 1999, Central Medical Store Depot, Lucknow supplied a ventilator[10] to DJH, Gautam Buddha Nagar for installation in Intensive Care Unit (ICU) of the cardiology department of the hospital. However, the cardiologist was not posted to ensure its functioning even after 12 years (June 2011) of its supply although the post of cardiologist was sanctioned by the Government prior to



Ventilator lying idle in DJH Gautam Buddha Nagar

its supply. The ventilator was lying idle in store as of June 2011 since its receipt. No action was initiated by the CMS, DJH, Gautam Buddha Nagar for the posting of cardiologist.

In reply, the Government stated (January 2012) that the action was being taken to post the specialist /cardiologist.

Other Medical equipment and apparatus

The Department upgraded existing PHCs at Bhangel, Gautam Buddha Nagar (July 2008) and Bhadaura, Ghazipur (December 2009) to CHCs and equipped (July 2010) them with several medical equipment[12]. To ensure services at CHC, Bhangel and CHC, Bhadaura, the CMOs submitted the proposals to the Government in December 2009 and July 2010 for sanction of posts of the requisite medical and para medical staff. However, while the Government did not sanction the staff (June 2011) for CHC, Bhangel even after one year of submission of the proposal, DGMHS did not post (May 2011) them even after 15 months of sanction (January 2010) of the staff for CHC, Bhadaura.

The Government stated (January 2012) that the medical and para medical staff for CHC, Bhangel had been sanctioned in June 2011. However, the staff was yet to be posted rendering the equipment idle.

Thus, due to administrative failure and lack of monitoring by DGMHS and non-functioning of departments/non-posting of specialists, equipment like Ultrasound Machines, X-ray Machines, Electrolyte Ion Analyser and FRU equipment etc. were lying idle. This deprived the patients of the mandated benefits of the equipment.

2.4.5 Ambulances

Ambulances were not used for intended purpose.

There were three ambulances[10] in DJH, Gautam Buddha Nagar, as on June 2011. Scrutiny of log books revealed (May-June 2011) that out of 197 journeys performed by these ambulances during various periods[13], only 25 journeys (13 *per cent*) were for incoming and discharged patients while remaining 172 (87 *per cent*) were for administrative works including postal distribution. Similarly, there was an ambulance each in DH (Male), Ghazipur and DH (Female), Ghazipur, as of June 2011. Scrutiny of their log books for the month of April and May 2011 also revealed that ambulances were used for only administrative works, instead for incoming and discharged patients. In DH (Female), Ghazipur, the log book was incomplete.

The Government stated (January 2012) that the ambulance in Gautam Buddha Nagar was used for VIP duty. The Government also stated that the ambulance

[12] CHC Bhangel: dental chair, hydraulic operation table, ECG machine, defibrillator, physio-therapy table, ultra sound machine and x-ray machine. CHC Bhadaura: 30 beds, dental chair, three operation tables, surgical sets, neo-natal resucication equipment and various medical devices for labour room. Cost not furnished though called for in February 2012.

[13] January to March 2011, December 2010 to March 2011 and January 2011 to April 2011.

in Ghazipur was not used for patients as ambulance services were available at local level at cheaper rates. Besides, only one vehicle was available in the hospital for administrative and emergency works. The replies were not acceptable as the objective of procurement of ambulances were frustrated.

PHC, Subhakarpur, Ghazipur purchased one ambulance[10] from MPLAD fund in 2006. However, after one year of use, it was sent to the workshop at Varanasi in 2007 for repair but was not taken back (May 2011) due to non-payment of parking charges (₹0.80 lakh) levied by the workshop.

The Government stated (January 2012) that action is being taken to take it back.

Thus, on one hand there was misuse of ambulances in DJH, Gautam Buddha Nagar, DH (Male), Ghazipur and DH (Female), Ghazipur, on the other, an ambulance was lying idle in a workshop for about four years (May 2011).

2.4.6 Unproductive expenditure on ventilators and ambulances

Unproductive expenditure on ventilators

Expenditure of ₹ 3.76 crore incurred on purchase of ventilators and ambulances proved unproductive.

The State Government sanctioned (September 2010) ₹ 2.45 crore for purchase of 35 ventilators on propriety and single quotation basis for installation in hospitals of the National Capital Regions[14] (NCR) for providing treatment for dengue and other vector borne diseases during XIXth Commonwealth Games[15] (CWG-2010). CMO, Ghaziabad was the nodal officer for it.



Ventilators in packed condition at Dr. Ram Manohar Lohia Joint Hospital, Lucknow

Scrutiny of the records revealed (May-June 2011) that CMO, Ghaziabad, instead of placing purchase order for ventilators immediately after administrative and financial sanction (₹ 2.45 crore) in September 2010, placed the order on M/s Aeon Medical Private Limited, Indore (firm) nine days after commencement of the Games in October 2010 with the direction to arrange supply at the earliest. No time schedule for supplies was, however, fixed in disregard to the canons of financial propriety. The firm commenced the supply[16] (after over a month of the end of the CWGs) from November 2010 and completed by March 2011. Further, the ventilators were not installed in

[14] Bagpat, Bulandshahar, GB Nagar, Ghaziabad and Meerut.

[15] The Commonwealth Games is a multi-sport event held every four years among Commonwealth Countries. XIXth Commonwealth Games (CWG-2010) were organized from 3 to 14 October 2010 in New Delhi and adjacent Gautam Buddha Nagar, where the cycling event was held on 13 October 2010.

[16] 18 November 2010: 10 sets, 13 December 2010: nine sets, 18 December 2010: 14 sets and 18 March 2011: two sets.

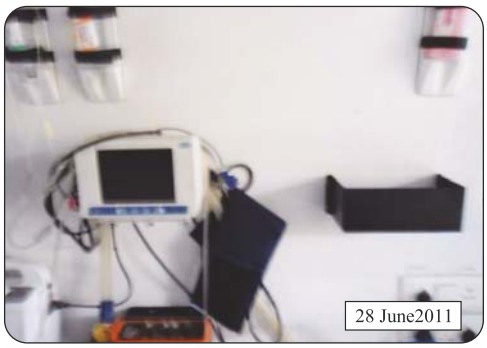
the hospitals of the NCR. The CMO, Ghaziabad did not cancel the purchase order mid-way as the games were over but accepted the supplies. Further scrutiny revealed that all 35 ventilators, under the orders of DGMHS, were subsequently transferred (November 2010 to March 2011) to six hospitals[17] at Gorakhpur, Kanpur, Lucknow and Meerut without ensuring whether these were actually required there and also whether infrastructure existed for installation in these hospitals. It was noticed that out of 35 ventilators (₹ 2.45 crore), 14 (₹ 0.98 crore) were lying idle in packed condition in three test checked hospitals at Lucknow (June 2011) for want of infrastructure and non-availability of staff in Balrampur, Shayama Prasad Mukherjee and Ram Manohar Lohia Hospitals. In Ram Manohar Lohia Hospital, five ventilators were already installed with an average usage of twice or thrice per day.

In reply, the Government stated (January 2012) that the purchase order was not cancelled in public interest. The Government also stated that the ventilators were transferred to other hospitals in public interest. The reply was not acceptable as the ventilators were purchased for CWG. No reply was, however, furnished regarding non-utilisation of ventilators in the hospitals where these were transferred as of March 2012.

Unproductive expenditure on ambulances

For providing advance life support to the cycling event [18], the State Government sanctioned (September 2010) ₹ 1.31 crore for purchase of nine ambulances (₹ 64.98 lakh) and fittings (₹ 66 lakh) for four with advanced life support systems and five with basic life support systems.

CMO, Gautam Buddha Nagar purchased (September 2010) nine ambulances at ₹ 64.98 lakh from M/s Force Motors Limited, Pune and placed (September 2010) the order for fitting of life support systems, including defibrillator to M/s Aeon Medical Private Limited, Indore. As per supply order (September 2010), the firm was to arrange on-site training to the designated team of doctors and other medical personnel. The supplies of nine ambulances, duly fitted, were received (October 2010) from the firm. However, as no team of doctors and medical personnel were constituted by the CMO, Gautam Buddha Nagar, the on-site training was not provided. This indicated not only failuref of governance but also lack of vigilance. No log books of the ambulances were maintained/



Missing defibrillator in ALS of Dr. RMLJH, Lucknow

[17] UHM Kanpur: 6; DH Gorakhpur: 12; PLS Meerut: 3; SPM Lucknow: 6; Balrampur Hospital Lucknow: 6 and RML Lucknow: 2.
[18] Under instruction (February 2010) of the Ministry of Health & Family Welfare, GoI.

furnished to audit. As a result, it could not be ascertained in audit as to whether these ambulances were used in CWGs or otherwise.

Scrutiny of the records also revealed (May-June 2011) that after the CWG were over, the aforesaid nine ambulances were transferred (November 2010), without ensuring their utility, to the Joint District Hospital, Sanjai Nagar, Ghaziabad (one), MMG Hospital, Ghaziabad (one) Ram Manohar Lohia Hospital, Lucknow (two), Shayama Prasad Mukherjee Hospital, Lucknow (two) and UHM Hospital, Kanpur (three). During scrutiny of the records (May-June 2011) in test checked hospitals, it was noticed that four ambulances, transferred to Shayama Prasad Mukherjee and Ram Manohar Lohia Hospitals, Lucknow were lying idle as of January 2012, as these hospitals were already equipped with the ambulance[19]. In test check of the records of ambulances in these hospitals, Audit also observed that none of the free six services[20] were availed as of June 2011. The CMSs of these hospitals intimated (June 2011) that no demands were placed for these ambulances. joint physical verification (July 2011) revealed that defibrillator (cost: ₹ 1.50 lakh), consumable items (cost: ₹ 25000) and emergency kit (cost: ₹ 40000) were missing from the ambulances available in the hospitals at Lucknow. On being pointed out in audit (May-June 2011), CMS, Ram Manohar Lohia Hospital, Lucknow stated (July 2011) that the matter had already been reported (March 2011) to DGMHS, Lucknow. The reply was not acceptable as neither any departmental enquiry was initiated nor First Information Report lodged with the police upto January 2012.

Thus, due to delay in placement of purchase orders for ventilators to a firm without specifying time-frame for supply and subsequently transferring them to hospitals without ensuring their utility/requirement, expenditure of ₹ 2.45 crore, on purchase of 35 ventilators was rendered unproductive. Besides, due to failure for providing onsite training of equipment to doctors and paramedical staff and transferring ambulances equipped with basic and advanced life support systems to hospitals, without assessment of requirement, ₹ 1.31 crore was also rendered unproductive.

During discussion (January 2012), the Principal Secretary stated that the Government was committed for better use of the equipment through perspective planning. It further stated that the Government is committed for utilisation of all the equipment at the place of requirement by transferring them to those hospitals/districts wherever required.

2.4.7 Other points of interest

- Six hospitals out of seven test checked were not equipped with as per equipment norms of the State Government, 1994 (***Appendix-2.4.1***),

[19] Shayama Prasad Mukherjee Hospital, Lucknow was equipped with four ambulances and Ram Manohar Lohia Hospital, Lucknow with three ambulances.
[20] The manufacturer provides free services for maintenance.

depriving people of medical health care in Ghazipur and Gautam Buddha Nagar.

- Size of DHs and number of CHCs, PHCs and Sub centres in rural areas were below the IPHS in Ghazipur and Gautam Buddha Nagar even after six years of launching of NRHM, as of March 2011 **(*Appendix-2.4.2*)**.
- Equipment available (May/June 2011) in the test checked hospitals/centres were below the IPHS **(*Appendix-2.4.3*)**.
- Treatment of low number of patients in Indoor Patient Department indicated that the test checked DHs, CHCs and PHCs did not attract patients for treatment due to non-availability of equipment, non-functioning/non-sanction of departments/non-posting of doctors/ specialist and medical staff. As a result, bed occupancy was low **(*Appendix-2.4.4*)** during 2006-11.

The Government did not furnish any reply (March 2012).

2.4.8 Conclusion

The departments sanctioned by the Government did not function due to non-posting of medical staff. Consequently, a large number of equipment were either not optimally utilised or were lying idle. The hospitals in Ghazipur and Gautam Buddha Nagar were not even equipped as per the norms of 1994 of the State Government. Achievement *vis-a-vis* IPHS was minimal even after six years of launching of NRHM in 2005. The bed occupancy rate of the hospitals was very low and the patients were left to take recourse to the private diagnostic centers. The ambulances were used for official works, instead of by the incoming /discharged patients. Besides, huge expenditure incurred on purchase of ventilators and ambulances for CWGs was rendered unproductive due to improper planning.

2.4.9 Recommendations

- *The Government should constitute a Monitoring Committee at State level for ensuring functioning of all the departments in hospitals/centers, optimum use of equipment and ambulances by incoming and discharged patients;*
- *The Government should ensure that the hospitals/ centers are equipped with adequate facilities and requisite manpower, so that the community gets the intended benefits of standardised medical services; and*
- *The Government should also ensure optimum utilisation of the medical equipments etc., procured for CWGs.*

Chapter III AUDIT OF TRANSACTIONS

Audit of transactions of the Government departments, their field formations as well as that of the autonomous bodies brought out several instances of lapses in management of resources and failures in the observance of the norms of propriety and economy. These have been presented in the succeeding paragraphs under broad objective heads.

3.1 Non-compliance with rules and regulations

For sound financial administration and financial control it is essential that expenditure conforms to financial rules, regulations and orders passed by the competent authority. This not only prevents irregularities, misappropriation and frauds, but helps in maintaining good financial discipline. Some of the audit findings on non-compliance with rules and regulations are hereunder.

IRRIGATION DEPARTMENT

3.1.1 Loss to Government

Transfer of 501.922 acre land to the New Okhla Industrial Development Authority without realising its full value led to a loss of ₹ 2,632.19 crore.

As per the State Financial Rules[1] all Government land and immovable property should ordinarily be sold through the Revenue Department.

Scrutiny of records of Executive Engineer (EE), Head Works Division, Agra Nahar, Okhla revealed (March 2010) that the Government, instead of transferring 317.63 acre spare land located in South Delhi[2] to New Okhla Industrial Development Authority (Authority) through the Revenue Department, decided (July 2008) to transfer the land directly on payment, for development purposes and issued notification (October 2008). The Government also directed (January 2009) to complete all the requisite legal formalities including realisation of full cost of land at the prevailing circle rate by the Irrigation Department before the registration and transfer of possession of the land in favour of the Authority. Scrutiny also revealed that in addition to the aforesaid land, the Principal Secretary, Irrigation Department also ordered (January 2009) to transfer 184.292 acre[3] land located in Gautam Buddha Nagar directly to the Authority.

The EE transferred[4] and allowed possession of the land (501.922 acre) during January 2009 to May 2009, to the Authority without recovering full value of

[1] Paragraph 371 of Financial Handbook (FHB) Vol.VI.
[2] Villages: Aali, Jasola, Jaitpur, Madanpur, Okhla and Saidabad.
[3] 20.77 acre of Village-Nayabans + 135.65 acre land of Noida main nala + 27.872 acre of 2.5 km bundh situated in doaba of Hindon and Yamuna = 184.292 acre (as per actual measurement informed by EE dated 16-05-2011).
[4] 260.67 acre on 15.01.2009, 56.96 acre on 03.02.2009, 20.77 acre on 20.03.2009 and 163.522 acre on 29.5.2009.

the land from the Authority as directed, and raised demand for ₹ 150 crore as advance as against total value of the land of ₹ 2,697.19 crore[5] worked out in audit on the basis of prevailing circle rate. The Authority paid (March 2009) only ₹ 65 crore. Moreover, the value of the land transferred had not yet been ascertained by the Department, as of November 2011.

The EE, shifting the responsibility of transfer of lands to the Government, stated (March 2010) that the decisions to transfer the land was taken at the Government level. It also stated that the valuation of the land was yet to be finalised. The reply was not acceptable as the Government order for realising full value of land before transfer of the possession of land was not observed.

During discussion (November 2011), while admitting the facts the Government stated that the land would be registered in favour of the Authority after realising full value in ten years. The reply was not acceptable as the fact remained that the land was transferred without realising full value.

Thus, due to transfer of 501.922 acre land belonging to the Department without realising full value at the prevailing circle rates led to loss of ₹ 2,632.19[6] crore to the Government.

MEDICAL EDUCATION DEPARTMENT

3.1.2 Unlawful demolition/construction

Chhatrapati Sahuji Maharaj Medical University, Lucknow demolished a heritage building in Lucknow and on the same site constructed a new one at ₹ 28.30 crore in disregard of the Ancient Monuments and Archeological Sites and Remains Act, 1958.

The Ancient Monuments and Archaeological Sites and Remains Act, 1958 and rules framed thereunder not only prohibit the demolition of the building which was declared heritage by the Archaeological Survey of India (ASI) but also mandated to obtain the "No Objection Certificate" from it prior to construction or re-construction or repair or renovation of such building or structures which are located in prohibited and regulated areas.

Scrutiny of the records of Chhatrapati Sahuji Maharaj Medical University, Lucknow revealed (January 2011) that the University owned a building which was falling under the heritage zone[7] declared (1920) by the ASI. The building was also situated within the regulated area of the Conserved Monument of Imam Bara Asaf-ud-daulah[8], Lucknow in terms of the Act, *ibid*. However, the University proposed to the Government (September 2007) for demolition of heritage building and to construct a new building in its place at ₹ 29.11 crore.

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[5] Cost of 184.292 acre of land has been computed on the basis of present prevailing circle rates ranging between ₹ 2500 to ₹ 13200 per sqm in Gautam Budh Nagar w.e.f. 8/2010. Further, the cost of 317.63 acre of land has been calculated in accordance with the notification dated 04.02.2011 of Revenue Department, Govt. of National Capital Territory of Delhi ranging between ₹ 13800 to ₹ 32200 per sqm.

[6] Principal Amount ₹ 2632.19 crore = ₹ 2697.19crore - ₹ 65 crore.

[7] Built in 1914,on the pattern of Awadh architecture and was declared heritage zone in November-December 1920 by ASI,

[8] Built in 1783 and declared heritage zone in November-December 1920, by ASI,

The Government, in disregard of aforesaid rules and regulations, accorded (March 2008) administrative approval and financial sanction to the proposal. The works of demolition and construction were assigned to the *Uttar Pradesh Rajkiya Nirman Nigam Limited* (UPRNN), which demolished the building[9] and constructed a new one at ₹ 28.30 crore (as of March 2011). Scrutiny also revealed that the demolition and construction were carried out despite the request (May 2008) made by the Superintending Engineer, ASI to preserve the archaeological feature of the building and to get prior approval for alteration of internal structure. Moreover, four other buildings were also under construction (May 2011) without obtaining the requisite "No Objection Certificate" from the ASI. Thus, not only the demolition of the heritage building but also the construction of a new one at ₹ 28.30 crore did not conform to the rules, regulation.

In reply, the University accepted (January 2011) the facts and stated that it would be avoided in future. The reply was not acceptable as the fact remained that the heritage building was demolished in violation of the extant Act and rules. The Government accepted (November 2011) the facts.

PUBLIC WORKS DEPARTMENT

3.1.3 Excess expenditure

An excess expenditure of ₹ 2.02 crore was incurred by the Provincial Division and Construction Division, Deoria in construction of cement concrete roads in disregard to approved specifications and norms.

As per the detailed guidelines issued (July 2008) by the Government for construction of Cement Concrete roads, covered drains under *Dr. Ambedkar Gram Sabha Vikas Yojna 2008-09*, the administrative departments/executing agencies were to adopt specifications scrupulously, consumption norms of material as well as standard drawings and designs for execution of works. The model estimate in the guidelines was based on standard designs and drawings, consumption norms and the unit rates and was approved by the State Planning Institute[10]. However, a committee headed by the Principal Secretary, *Panchayati Raj* was empowered to decide on policy matters and *Zila Panchayat Anushravan Koshthak* (Government Level) was empowered to take decisions on technical matters under the guidelines. The executing agencies were not competent to deviate/ change model estimate without prior approval of the Government.

Scrutiny of the records of Executive Engineer (EE), Provincial Division and EE, Construction Division, PWD, Deoria and further information collected revealed (April 2010) that concerned EEs accorded technical sanction to estimates for the works[11] of Cement Concrete roads and covered drains by

[9] Salvage value ₹14.69 lakh (as on 30 March 2008) after demolition.
[10] Working as planning department of the Government.
[11] Executive Engineer, Provincial Division, PWD, Deoria: 15 work and Construction Division, PWD, Deoria: 20 work.

making changes in their designs and consumption norms and thereby violated the guidelines which resulted in an extra expenditure of ₹ 2.02 crore as discussed below:

- Under the scheme, Cement Concrete roads were to be constructed by providing the base of lean concrete containing the composition of cement, fine sand and brick ballast in the ratio of 1:6:12 respectively. In both the divisions, the constituent of brick ballast in lean concrete in road works was replaced by costlier stone ballast. Deviation from the approved specifications led to excess expenditure of ₹ 1.32 crore as detailed in (***Appendix-3.1).***
- As per approved design and drawings, drains were to be covered with RCC[12] cover of 60 cm width and 5 cm thickness and the consumption of mild steel (iron work) in RCC cover was allowed at the rate of one *per cent* of the cubical quantity[13] of RCC cover. However, deviating from these norms, provision for RCC drain cover was made for 7.5 cm thickness in both the divisions. The increase in the thickness of the drain cover led to excess expenditure of ₹ 0.70 crore (including cost of the Mild Steel) as detailed in ***(Appendix -3.2).***

Thus, deviations from the approved specifications and consumption norms led to an excess expenditure of ₹ 2.02 crore.

In reply, the Chief Engineer (CE), PWD Headquarters, Lucknow stated (August 2010) that Superintending Engineer (SE) was competent to change the material and quantity as per condition of the site. The reply was not acceptable as the cases of inevitable modifications of norms should have been referred by the executing agencies to the Government with full justification, to obtain permission for deviations from the norms.

While admitting the facts and figures, the Government, during discussion, stated (November 2011) that works with deviation were executed due to site conditions and to provide structural soundness. The reply is not acceptable as model estimate was approved by the State Planning Institute and CE/SE was not the competent authority to deviate/change the model specifications.

3.1.4 Violation of specifications

Non-adherence to specifications resulted in not only sub-standard works worth ₹ 2.50 crore but also avoidable expenditure of ₹ 2.82 crore on renewal works of village roads.

As per the instruction issued (July 1998) by the Engineer-in-Chief (E-in-C), Public Work Department, Lucknow, all the construction works were to be executed in accordance with the norms/specifications of Ministry of Road

[12] Reinforce cement concrete.
[13] One cum of RCC work required 78.5 kg. mild steel.

Transport and Highways (MORTH) and also of the Department. However, the following deviations from the specifications were noticed in audit.

- In terms of the standard specifications (June 1974 and February 1984) of the Department and also the specifications of MORTH, the soling coat of a road pavement should be provided with stone ballast of appropriate size (i.e. 45-90 mm). Bricks on the edge are not the approved material for use in the soling coat because the crushing strength of brick (140 Kg/Square centimeter) is less as compared to that of stone ballast (650 Kg/ Square centimeter).

Scrutiny of records of Executive Engineer (EE), Provincial Division, Balrampur revealed (May 2010) that the Government sanctioned (June 2008) ₹ 11.39 crore for the widening and strengthening of Utraulla-Faizabad-Allahabad road (State Highway). The required crust in the widened portion was achieved by laying old dismantled bricks on edge (BOE) in the soling coat in place of stone ballast of appropriate size, as prescribed in the specifications, in Kms 4, 7, 11, 15 and 17. Thus, the work in the widened portion so executed was below to the specified norms as the strength was less than that required to sustain the axle load of the commercial vehicles. Further, the work of strengthening over a weak soling in the widened portion was also bound to suffer adversely due to pavement distortion, rendering total works costing ₹ 2.50 crore substandard as detailed in ***Appendix 3.3***.

In reply, the EE stated (May 2010) that it would be of sufficient strength as the widened portion would remain outside of the main carriageway. The reply was incorrect because the widened portion is also a part of the main carriageway. This was also corroborated by Central Road Research Institute, New Delhi, by stating that the use of bricks in soling coat would certainly affect the performance of the pavement in the long run because the soling layer would not have sufficient strength.

- In terms of the E-in-C's circular (June 2007), the same material[14] as was used in second coat (P_2) of two coat surface dressing (painting) should be used for renewal of village roads.

Test check of records of the EE, Provincial Division, Sitapur revealed (November 2010) that contrary to the aforesaid instruction, the renewal of 34 village roads {(Total 2,87,676 square meter area (sqm)}, was done with premix carpeting with seal coat (PC/Seal coat) which was of higher specifications. An expenditure of ₹ 4.50 crore ***(Appendix 3.4)*** during 2009-10 instead of ₹ 1.68 crore (admissible at the rate of ₹ 58.50 per sqm) according to P_2 specification, was incurred. Thus, an expenditure amounting to ₹ 2.82 crore was incurred using higher and costlier specification in renewal work of village roads, which otherwise could have been avoided.

[14] 80/100 Peneteration Grade Bitumen and 13mm nominal size pre-coated grit.

The EE stated (November 2010) that renewal of village roads with PC/Seal coat was done as per circular of E-in-C (August 2007). Justifying the PC/Seal coat works, E-in-C also stated that damage to the surface of roads every year was a regular feature as these were in flood prone area. The reply was incorrect as the above circular was for construction of only new village roads and was not applicable to the renewal works. Further, in the adjoining (Lakhimpur Kheri) district of the same circle, P_2 specification has been adopted for renewal of village roads during the same period.

During discussion (November 2011), the Government while admitting the facts and figures stated that by using old dismantled bricks the money was saved without compromising the quality of work, in the former case. The reply was not acceptable as quality of work could not be assured without adherence of the prescribed specifications. However, no justification was furnished in respect of the other case.

3.1.5 Extra payment to contractors

Extra payment of ₹ 1.89 crore was made to contractors by the Chief Engineer, Allahabad Zone due to non updation of Schedule of Rates.

As per State Financial Rules[15], Schedule of Rates[16] (SoRs) for each circle should be updated in April/ May each year after market surveys and taking into account the prevailing rates, taxes and duties. The Superintending Engineers are responsible for updation of the SoRs.

The Government revised (June 2004) the transit fee from ₹ five to ₹ 38 per Metric Ton on timber wood and other forest produces including lime-stone, 'laterite' rocks etc. Accordingly, rates of stone ballast/stone grits, inclusive of transit fee at the prevailing rates, were approved for SoRs of Allahabad and Pratapgarh Circles of the Department for the period up to November 2009. In March 2010, the Government waived off levy of the transit fee on forest produce.

Scrutiny of records of the office of the Chief Engineer (CE), Allahabad Zone, Allahabad revealed (March 2011) that although the transit fee was waived off in March 2010, the concomitant reduction on that account was not effected in the SoRs of these two circles till March 2011. As a result, the estimates sanctioned after March 2010 continued to include the element of transit fee. Scrutiny of vouchers, relating to works sanctioned during 2010-11, revealed that stone grit[17] were used in various works in the Allahabad and Pratapgarh circles and payments on that account were made inclusive of transit fee. This had resulted in extra payment of ₹ 1.89 crore to the contractors as detailed in the (***Appendix 3.5)***.

[15] Paragraph 264 and 523 of Financial Hand Book Volume VI.
[16] Work estimates are prepared on the basis of Schedule of Rates. Their updating is essentially required for fair and realistic assessment of the cost of works. Further, the cost of road materials such as stone ballast and stone grit include forest tax/ transit fee in addition to cost of digging, breaking of stone, royalty and loading.
[17] Stone grit from Dalla quarry situated in Mirzapur district.

The CE while admitting the facts, stated (November 2011) that rates in the SoRs were inclusive of transit fee and assured to recover the excess payment of ₹ 1.89 crore from the contractors. The recovery was, however, awaited (March 2012). The Government, during discussion (November 2011), accepted the facts.

3.1.6 Undue aid to the contractors

Payment of secured advances, in violation of the contract conditions, led to undue aid of ₹ 94.17 crore to the contractors and undue benefit of ₹ 2.23 crore as interest.

In the light of judgment[18] (July 2006) of Hon'ble High Court, Allahabad, Lucknow Bench, the Government modified (January 2007) the existing tender procedure to bring transparency in the tendering process and introduced Model Bid Documents[19] (MBDs) and directed the Engineer-in-Chief, Public Works Department (PWD) to ensure its compliance scrupulously throughout the State. The document provided, *inter-alia* that the contractor would be eligible to receive mobilization and equipment advance against production of unconditional Bank Guarantee of any Scheduled Bank and subject to submission of invoices for purchase of machineries to be put into use on works relating to the contracts.

Scrutiny of records (February and March 2011) of Executive Engineer (EE), Construction Division-I and Provincial Division of PWD, Lucknow and further information collected (May to July 2011) from 13 other divisions[20] revealed that undue aid of ₹ 94.17 crore was provided to contractors as secured advance[21] without any provision in the MBD. The secured advances were recovered after the period ranging from one to 14 months. Further, the State Government paid interest of ₹ 2.23 crore on ₹ 94.17 crore, calculated at the average rate of 7.53 *per cent* for the year 2009-10, the rate at which the State Government went in for commercial borrowings during 2008-09, 2009-10 and 2010-11 ***(Appendix 3.6)***. The avoidable interest outgo was particularly significant as 96 *per cent* of the State's borrowing during 2009-10 were spent on debt servicing of loans taken by it during the past years. Thus, the secured advances facilitated the contractors to carry out the works awarded to them by utilising the secured advances. This was irregular as the contractors were liable to execute the works awarded from their own resources and payments were to be made only after the execution of works to the entire satisfaction of the concerned authorities.

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[18] In the case of Chandrika Prasad Nishad Vs State of Uttar Pradesh and others.

[19] With the intention to check the interference of criminals, anti social elements and Mafia in the works of State Government.

[20] EEs, PDs Agra, Bulandshahar, Fatehpur, Jaunpur, Lakhimpur Kheri; EE, CD Deoria; EE, CD(B&R) Gorakhpur; EEs, CD-I, Agra, Gorakhpur, Muzaffernagar, Pilibhit; and EEs, CD-II Fatehpur & Lucknow.

[21] Secured Advance is given on the security of material of imperishable nature brought to the site against a formal agreement.

Thus, on one hand violation of the contract conditions by making payment of secured advances to the contractors resulted in undue aid of ₹ 94.17 crore and on the other hand undue benefit of ₹ 2.23 crore in the form of interest to them.

The EE stated (March 2011) that payments of secured advances were made under the provision of financial rules[22]. The replies were incorrect as the contract documents were legal binding on both the parties. Thus, the payment of secured advances to the contractors without any provision in the MBD was irregular. During discussion (November 2011), the Government accepted the facts.

URBAN DEVELOPMENT DEPARTMENT

3.1.7 Wasteful expenditure

Failure to obtain requisite prior permission from the National Highways Authority of India for construction of a road and a flyover in Rampur district rendered expenditure of ₹ 1.34 crore on preparation of draft project report wasteful.

Obtaining prior permission from the National Highways Authority of India (NHAI) for taking up any construction on its site was a pre requisite since January 2003.

With a view to implement the development works[23] under the Urban Infrastructure Development Scheme for Small and Medium Towns, the Government assigned (August 2006) the job of preparing Draft Project Reports (DPRs) to the Regional Centre for Urban and Environmental Studies (RCUES), Lucknow for a road and a flyover in Rampur (project cost: ₹ 89.58 crore).

Scrutiny of records of the Director, Local Bodies, UP Lucknow and information collected subsequently revealed (November 2009) that the Director assigned the job of preparing draft project reports to RCUES without ascertaining the status of the land on which the road and a flyover in Rampur district was to be constructed and paid (November 2006 and May 2007) ₹ 1.34 crore[24] to it. RCUES prepared the DPR and submitted to the Government. The State Level Sanctioning Committee (SLSC) also accorded approval (September 2006). However, the work on the project could not commence as the works on the same alignment of flyover and bypass road were also proposed by NHAI. This rendered the expenditure of ₹ 1.34 crore on preparation of draft project reports wasteful.

In reply, the Government stated (June 2011) that project was sanctioned by State Level Sanctioning Committee[25] (SLSC) in September 2006 in view of

[22] Paragraph 456 of FHB Volume VI.
[23] Urban renewal including widening of narrows roads, renewal of sewerage/drainage/solid waste disposal systems and water supply.
[24] November 2006: ₹ 67.18 lakh and May 2007: ₹ 67.19 lakh.
[25] Committee comprising of representative of Central Government and State Government under the Chairmanship of Chief Secretary, Government of UP.

staging of Common Wealth Games, 2010. The reply was not acceptable. There was disconnect between the Government and NHAI and the Government did not approach it for required prior permission before assigning the job of preparing the draft project reports.

During discussion (November 2011), the Government stated that when DPR was prepared the project of NHAI was not conceived and assured to clarify the exact position of ownership of the site within a fortnight. However, the clarification was awaited (March 2012).

3.2 Audit against propriety and cases of expenditure without adequate justification

Authorisation of expenditure from public funds is to be guided by the principles of propriety and efficiency of public expenditure. Authorities empowered to incur expenditure are expected to enforce the same vigilance as a person of ordinary prudence would exercise in respect of his own money and should enforce financial order and strict economy at every step. Audit detected instances of impropriety and extra expenditure.

AGRICULTURE DEPARTMENT

3.2.1 Unfruitful expenditure

Laser Land Levelers (LLLs), purchased at a cost of ₹ 2.49 crore, without assessing their feasibility, were lying idle, rendering the expenditure incurred thereon unfruitful. Besides, the objective of ensuring appropriate and minimum use of water in irrigating the agriculture fields was also not achieved.

Planning entails assessment of requirements after comprehensive and credible surveys.

With a view to ensuring appropriate and minimum use of water in irrigating the agriculture fields, the Government sanctioned (March 2009) ₹ 2.94 crore for purchase of 99 Laser Land Levelers under *Kushal Jal Prabandhan Yojna.* These levelers were to be used in tractors for leveling farmers' agriculture land on demand and on payment of hire charges of ₹ 400 per hour. Scrutiny of records of the Director, Agriculture, Lucknow in July 2009 and further information collected from 17 *Bhoomi Sanrkashan Adhikari*[26] (BSAs) and nine District Agriculture Officers[27](DAOs) during April 2011 revealed that the Director, Agriculture, Lucknow purchased (March 2009) 84 levelers for use by the farmers in 70 districts and 15 for Government Agriculture Farms at a total cost of ₹ 2.49 crore[28] without assessing their feasibility and supplied 84 LLLs (March 2009 to July 2009) to the BSAs of 70 districts. However, all the

[26] Banda, Bareilly, Bijnore ,Chitrakoot, Deoria, Etawah, Fatehpur, Gautam Buddha Nagar, Ghazipur, Jalaun, Kushinagar, Lucknow, Mau, Meerut, Sant Kabir Nagar, Siddharthnagar and Varanasi.
[27] Allahabad, Basti, Ghazipur, Mahoba, Mau, Siddharthnagar, Sonbhadra, Sultanpur and Varanasi.
[28] At the rate of ₹ 2.97 lakh each.

levelers received in 17 test checked BSAs were lying idle due to non-availability of tractors. Scrutiny also revealed that the Director, Agriculture ordered (July 2009) the BSAs to transfer all levelers to the Government Agriculture Farms under charge of the DAOs of the concerned districts for utilisation at farms and by the farmers. The levelers were accordingly transferred between July 2009 and February 2010. However, records of nine test checked DAOs revealed that the levelers were neither used at Government farms nor by the farmers despite availability of tractors. Further, since there was no demand from the farmers, the department reduced (June 2010) the hire charges from ₹ 400 per hour to ₹ 40 per hour, however, despite reduction in the hire charges, the utilisation of LLLs could not be ensured.

The concerned DAOs stated (April 2011) that the levelers were lying idle as there was no demand from the farmers. During discussion (November 2011), the Government stated that the objective of the levelers was to improve the agriculture system by encouraging and awakening farmers to use them. The reply was not acceptable as the fact remained that purchase of levelers without assessing their feasibility rendered an expenditure of ₹ 2.49 crore on procurement of levelers unfruitful for almost three years. Besides, the intended objective of appropriate and minimum use of water in irrigating the agriculture fields could also not be achieved.

DAIRY DEVELOPMENT DEPARTMENT

3.2.2 Unfruitful expenditure

Due to inadequate planning, the expenditure of ₹ 1.55 crore on purchase of Bulk Milk Coolers by *Dugdh Utpadak Sahkari Sangh* Bulandshahr and Meerut for supplying quality and clean milk was rendered unfruitful.

The Government of India (GoI) accorded (October 2003) administrative approval for centrally sponsored scheme for strengthening of infrastructure for Quality and Clean Milk Production. The funding pattern under the scheme was in the ratio of 75: 25 for purchase of Bulk Milk Coolers (BMCs) between GoI and the respective Dairy Cooperative Society/Union. GoI approved (November 2005) the project submitted by *Pradeshik Cooperative Dairy Federation*, Lucknow (PCDF) for installation of 16 and 15 BMCs of 1,000 litre per day (lpd) each chilling capacity for Dairy Cooperative Societies (Societies) for supply of 31,000 lpd to *Dugdh Utpadak Sahkari Sangh (DUSS)* of Bulandshahr and Meerut respectively. PCDF, however, issued (November 2006) letter of intent for supply, installation, testing and commissioning of BMCs of 2,000 lpd[29] instead of 1,000 lpd[30] to get BMCs of double capacity with low operation cost[31]. Accordingly, DUSS, Bulandshahr and Meerut

[29] At unit price of ₹ 6.73 lakh along with accessories and Diesel Generator set.
[30] At unit price of ₹ 5.79 lakh along with accessories and Diesel Generator set.
[31] ₹ 0.46 per kg and ₹ 0.36 per kg milk for BMC of 1,000 lpd and 2,000 lpd respectively.

purchased (December 2006) 31 BMCs at a cost of ₹ 2.09 crore[32]. Besides, DUSS Bulandshahr purchased three[33] more BMCs of 2000 lpd and one BMC of 3,000 lpd for ₹ 11.69 lakh in November 2007 under the State scheme (August 2007). Thus, total 35 BMCs with 71,000 lpd capacity at a cost of ₹ 2.41 crore were procured.

Scrutiny of records (May 2010 and April 2011) of DUSS, Bulandshahr and Meerut revealed that only 11 out of 35 BMCs of Meerut were running at their capacity ***(Appendix 3.7)***. The required quantity of milk for fourteen[34] BMCs was not available while for eight[35] BMCs of Bulandshahr, the availability of milk was very low (ranging between 21 and 317 lpd instead of 2,000 lpd). One BMC was lying unutilised in store and the BMC of capacity of 3,000 lpd was transferred (July 2009) to *Jyotiba Phule Nagar district* (Amroha). The total availability of milk to DUSS Bulandshahr and Meerut was 1,065 lpd and 20,053 lpd respectively which was only three and 67 *per cent* of the capacity of BMCs procured ***(Appendix 3.8)***. Thus, due to inadequate planning, expenditure of ₹ 1.55 crore[36], incurred on purchase of 23 BMCs, was rendered unfruitful.

DUSS, Bulandshahr attributed (April 2011) poor availability of milk to the delayed payment of the cost of milk to the societies and purchase of milk by private traders at higher rates[37]. DUSS, Meerut stated (April 2011) that of the BMCs installed at four societies, two societies were closed due to local politics, one due to flood and one refused to supply milk without stating any reason.

During discussion (November 2011), the Government admitted the facts but did not explain the strategy to increase milk availability to use the BMCs optimally.

ANIMAL HUSBANDRY DEPARTMENT

3.2.3 Unfruitful expenditure

The academic session of college of Animal Industries and Business Management in Mathura district could not be commenced even after four years due to non-completion of the building on account of substandard works, rendering the expenditure of ₹ 1.01 crore incurred on the construction of the building unfruitful.

The Government sanctioned (March 2004) ₹ 1.68 crore against the revised (January 2008) estimate of ₹ two crore, for construction of college buildings of Animal Industries and Business Management, *Pandit Deen Dayal*

[32] ₹ 6.73 x 31 = ₹ 2.09 crore.
[33] Two BMCs in November 2007 and one BMC in September 2008 at unit cost of ₹ 6.68 lakh.
[34] Chingrawati, Chitsaun, Daulatpur Khurd, Dhakrauli, Ghansurpur, Jainpur, Mahmudpur, Muradpur, Naglakat, Naya Boss of Bulandshahar and Khatki, Kunheira, Jaisinghpur, Meewa of Meerut.
[35] Aurangabad, Bhailai, Charaura, Dhakauli, Lohra, Moharsa, Saidpur, Sarangpur.
[36] 20 x 6.73 + 3 x 6.68 = ₹ 1.55 crore.
[37] Milk rate provided by private traders was ₹ 29 to 31 per litre and rate of NOIDA Dairy were ₹ 25 per litre.

Upadhayay Pashu Chikitsa Vigyan Vishwavidyalaya Evam Go Anusandhan Sansthan (Sansthan) Mathura for commencement of academic session from April 2008. The Sansthan entered (June 2004) into a Memorandum of Understanding (MoU) with *Uttar Pradesh Rajkiya Nirman Nigam Limited* (UPRNN) for the construction of the building. As per MoU, the Vice-Chancellor of the Sansthan, or a committee constituted by him, would oversee the progress of works and the construction in accordance with the drawings and specifications provided in the estimate. In the event of defect or variations, UPRNN was to rectify the same at its own cost within 30 days of receipt of the intimation in writing. The MoU also enjoined that a penalty of ₹ 1,000 per day would be charged in the event of works not being completed without any valid reasons within the stipulated time.

Scrutiny of records of Sansthan revealed (June 2010) that UPRNN commenced the work in January 2004 and completed 60 *per cent* of the work at a cost of ₹ 1.01 crore. In November 2005, the committee found that the work was substandard and the pace of work was slow. As a result, the work was stopped in August 2006. After four years, in August 2010 the Sansthan imposed penalty[38] of ₹ 20.02 lakh on UPRNN. Scrutiny also revealed that consequent to the request made by UPRNN, the technical cell of Aligarh Muslim University carried out (December 2010) inspection of the works and confirmed sub standard works and workmanship, non-compliance to specifications etc. In April 2011, UPRNN Delhi Zone, New Delhi released ₹ 20.70 lakh to UPRNN, Mathura to rectify the defects. However, the building was lying incomplete as of February 2012 after incurring an expenditure of ₹ 1.01 crore and consequently the academic session could not be commenced even after four years of the target date, rendering the entire expenditure unfruitful.

In reply, the Sansthan (May 2011) admitted that the academic session could not be commenced from April 2008 due to execution of substandard works by UPRNN.

During discussion (November 2011), the Government admitted the facts and stated that building would be completed by May 2012 and academic session would be commenced in 2012-13.

HIGHER EDUCATION DEPARTMENT

3.2.4 Wasteful expenditure

Appointment of lecturers of physical education and sports without introducing the required curriculum resulted in wasteful expenditure of ₹ 6.54 crore defeating the objective of participation of youth of the State in National and International sports events.

The State Government decided (June 2004) that unless physical education and sports are included as a subject in the curricula at degree level in the State,

[38] Ten *per cent* of the estimated cost of ₹ 200.18 lakh.

the desired level of results from participants in National and International sports events would not be achieved. Further, it was felt that this would reduce the growing tension among youth. The Government directed (June 2004) the Director, Higher Education that a curriculum should be prepared in consultation with Director of Sports for approval by the competent authorities of universities within one month and the same should be incorporated in their rules and regulations. The Government also decided (June 2004) that every college would select five out of 20 sports[39] and all students (except physically handicapped) were to select one of these. The students were required to clear the examination (written and practical) latest by the third year of the degree course. There were 1156 degree colleges[40] in the State at the time of issue of the order.

To achieve the intended objective Government created (February and March 2005) 266 and 111 temporary posts of lecturers of physical education and sports for the Government aided and Government colleges respectively. Lecturers for Government aided colleges had to be selected through Uttar Pradesh Higher Education Service Commission. The selection process was completed in September 2006.

Test check of the records of Regional Higher Education Officer, Lucknow (August 2010) and District Inspector of Schools, Ghazipur (September 2010) revealed that 14 lecturers appointed in November 2006 (Lucknow: 13 and Ghazipur: one) for the purpose, did not take any class as neither the required curriculum was introduced nor any student opted for physical education and sports subject. A sum of ₹ 1.46 crore had already been spent on the pay and allowances of these lecturers till March 2011. In reply to an audit query, the Regional Higher Education Officer, Lucknow stated (December 2010) that universities had not prepared the curriculum for physical education and therefore, the subject could not be introduced but the lecturers were assigned the work of conducting sports activities as well as cooperating in the administrative work of the colleges.

Further, information collected (November 2011) revealed that except Bareilly and Meerut Universities the scheme was not implemented in the colleges of the State and a sum of ₹ 6.54 crore[41] was spent up to March 2011 on account of pay and allowances and other dues of the lecturers.

This led to wasteful expenditure of ₹ 6.54 crore on the pay and allowances and other dues of lecturers for want of required curriculum. Besides, the intended objective of more participation of youth of the State in National and International sports events and reducing tension among youth could also not be achieved.

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[39] Archery, Athletics, Badminton, Basket Ball, Boxing, Chess, Cricket, Fencing, Football, Gymnastics, Hand ball, Hockey, Judo, Kabbbadi, Kho-kho, Lawn tennis, Shooting, Swimming and Diving, Table tennis, and Volley Ball.
[40] Government colleges : 111, Government Aided colleges :345 and Self Financed colleges: 700
[41] Inclusive of ₹ 1.46 crore.

During discussion (November 2011), the Government admitted the facts and assured that rest of the universities would commence the course from the year 2012-13.

HOUSING AND URBAN PLANNING DEPARTMENT

3.2.5 Infructuous expenditure

In violation of the orders of the Supreme Court, Ghaziabad Development Authority placed orders for supply of electrical items worth ₹ 15.92 crore for development of site proposed for construction of houses resulting in the items lying unused for about two years.

Under the priority schemes of Chief Minister of Uttar Pradesh, Ghaziabad Development Authority (GDA), Ghaziabad proposed (December 2007) construction of 3168 two-room four-storey houses under "*Koyal Enclave Awasiya Yojana*" (Scheme) for urban Economically Weaker Sections (EWS). The scheme was to be developed in 90 acres[42] near Bhopura Gram in Ghaziabad. GDA incurred ₹ 71 lakh on publicity and printing of brochures for the scheme. Pursuant to filing of a case[43] in the Hon'ble Supreme Court of India, the apex court ordered to maintain *Status quo* in respect of the land of petitioners (12.88 acres), falling within the land earmarked for the scheme. Due to the stay order of the Supreme Court and stated agitation by the farmers for compensation the construction and development works, both civil and electrical, had not started (May 2011).

Scrutiny of records (January 2010 and March 2011) of GDA revealed that despite the stay order (16 March 2009) of the Apex Court, GDA executed (21 April 2009) two agreements[44] for ₹ 22.57 crore with a local firm[45] for supply and construction of 33/11 KV Line, 33/11 KV sub-station, 11 KV Feeder, LT sub-station, LT Line network and street lights for the scheme. GDA had made (December 2009) payment of ₹15.92 crore[46] to the contractors against the supply of electrical items under the agreements. Audit scrutiny revealed (April 2011) that all the electrical items were lying unused. Thus, despite the orders of the Hon'ble Supreme Court to maintain the *Status quo*, GDA placed orders for electrical items rendering the expenditure of ₹ 15.92 crore on supplied items infructuous. Besides, the expenditure incurred on publicity and printing of brochures was also wasteful.

On being pointed out, GDA stated (April 2011) that the electrical items were not used and works were not started due to the orders of the Supreme Court and agitation of farmers. It was further stated that a proposal to transfer these

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[42] Part of 167.413 acres of land transferred by the Special Land Acquisition Officer, Ghaziabad in May 1991 to GDA for Kshetriya Awasiya Yojana at Gram Bhopura, Loni, Ghaziabad.

[43] Special Leave Petition (Civil) (No. 24669/08) of Petitioners Sri Raghubar Dayal & Others versus State of U.P. & Others dated 16 March 2009.

[44] Agreement no. 656 dated 21/04/2009 for ₹12.06 crore and Agreement no. 657 dated 21/04/2009 for . ₹ 10.51 crore.

[45] M/s. Anil Kumar & Co., Purana Navyug Market, Ghaziabad.

[46] Expenditure against Agreement no. 657 through 5th Running bill dated 10/12/2009 – ₹ 6.13 crore . Expenditure against Agreement no. 656 through 7th Running bill dated 10/12/2009 - ₹ 9.79 crore Total ₹ 15.92 crore.

electrical items to other schemes was under consideration. The reply was not justified as GDA executed the agreements for supply of the electrical items, after the order of the Supreme Court.

During discussion (October 2011), the Government admitted the facts and instructed GDA to provide the utilisation details of electrical items to audit. However, the details were awaited (March 2012).

IRRIGATION DEPARTMENT

3.2.6 Excess payment

Excess payment of ₹ 3.48 crore was made to the contractor due to preparation of estimate by allowing inadmissible Schedule of Rates.

Financial rules[47] provide that to facilitate the preparation of estimates, as also to serve as a guide in deciding rates in connection with contract agreements, a Schedule of Rate (SoR) for each kind of work commonly executed should be maintained in the division and kept up-to-date. It should be prepared on the basis of the rates prevailing in each locality and necessary analysis of the rates for each description of work and for the varying conditions thereof should, so far as may be practicable, be recorded. The rates entered in estimates should generally agree with the SoRs but where, for any cause the latter are not considered sufficient, the deviation should be explained in detail in the report on the estimate.

Scrutiny of records (March 2011) of the Executive Engineer (EE), Irrigation Construction Division (ICD), Mauranipur, Jhansi revealed that the construction of spillway and earthen embankment was taken up under 'Pahari dam modernisation project' at 75 metre downstream of existing dam situated in *Tehsil* Mauranipur of Jhansi district. SoR of Jhansi Circle is applicable at this site. An estimate of ₹ 96.30 crore for the project was sanctioned (February 2009) by the Chief Engineer (Betwa Project), Jhansi and an agreement[48] was executed (February 2009) by the Superintending Engineer, Irrigation Construction Circle, Mahoba for the project.

Scrutiny further revealed that while preparing the estimate of the above work the SoR applicable to Chitrakoot Dham revenue circle, Banda was taken into account instead of the SoR applicable for Jhansi Circle, under which the site of work was located. Total 59 items were sanctioned in the estimate, out of which rates of 41 items were higher than the rates of Jhansi circle, which had resulted an overestimation of work by ₹ 4.16 crore.

Resultantly, an excess payment of ₹ 3.48 crore on nine items under the agreements was made to the contractor as of June 2011 ***(Appendix 3.9).***

On being pointed out (March 2011) in audit, the EE replied that the work of 'Pahari dam project' was being executed on river 'Dhasan' which is situated on

[47] Paragraph 523 of FHB Vol. VI.
[48] 01/SE/2008-09 at a cost of ₹ 90.84 crore.

the borders of Jhansi and Banda Circles. In the estimate the rates for material were taken from the SoR of Jhansi Circle but the rates for labour component were taken from the SoR of Banda Circle as the labour was engaged from Banda Circle. The reply was not acceptable as the rates included in the estimate were approved for completed item of works and not for labour and material separately. Further, the rates included in the estimate should be of SoR of the concerned circle and not of the other circle.

Thus, an excess payment of ₹ 3.48 crore was made to the contractor due to adoption of higher SoR of other circle.

During discussion (November 2011), the Government admitted the facts and assured to constitute an enquiry in the case.

3.2.7 Avoidable expenditure

Non-adherence to original alignment for the construction of Algin-Charsari bund led to avoidable expenditure of ₹ 8.98 crore.

The Government accorded (January 2005) administrative sanction for construction of Algin-Charsari Bund at a cost of ₹ 14.58 crore on the left bank of river Ghagra to provide protection from flood to the people of Gonda, Bahraich and Barabanki districts. The project was approved by Ganga Flood Control Commission (GFCC), Patna (January 2005). The Chief Engineer (CE), Sharda Sahayak approved the alignment (September 2005) of Algin-Charsari Bund (km 0.000 to km 44.800) and sanctioned (December 2005) an estimate of ₹ 11.36 crore for earth work.

Scrutiny of records (March 2011) of Executive Engineer (EE), Flood Works Division, Gonda, revealed that the alignment of the Bund (km 0.000 to km 44.800) was changed[49] (April 2006) and the length was increased by 7.600 km (km 0.000 to km 52.400) by CE without approval of GFCC[50], Patna (August 2011). In the changed alignment, the bund at km 10 to km 20 was projected towards the river as a result the bund became vulnerable and was damaged at km 15.350 which scoured (August 2010) from km 14.945 to km 16.500 due to floods. It was further noticed that the division incurred an expenditure of ₹ 8.15 crore on flood protection works at km 10 to km 20 and started the construction of a ring bund costing ₹ 1.39 crore for protection from flood and further damage to the bund. The work was left incomplete after incurring an expenditure of ₹ 83.11 lakh (March 2011). A committee constituted in September 2010, headed by Engineer-in-chief (Planning and design) U.P., Lucknow to look into the reasons behind the damage of the bund also opined (December 2010) to execute the work between km 10 to km 20 of the bund as per the original alignment after acquiring the required land. Thus, non-

[49] The matter regarding deviation from the original alignment was reported in Inspection Report in 2007-08.
[50] Technical sanction was sought in May 2011 from GFCC, authorised to award technical sanction for the projects costing more than ₹ 7.50 crore.

adherence to approved alignment resulted in avoidable expenditure of ₹ 8.98 crore including ₹ 83.11 lakh on the incomplete ring bund.

On being pointed out in audit (March 2011), EE replied that the change in the alignment of the bund was done due to demands of public representatives and all the works were executed as per technical parametres. The reply was not correct as the change of alignment was not approved.

During discussion (November 2011), the Government accepted the facts and stated that the disciplinary proceedings against the erring officers was under progress.

3.2.8 Idle investment on pumping machinery

Purchase of pumps, electric motors and accessories, not synchronised with the completion of electric distribution system and construction of sub-station rendered the investment of ₹ 2.65 crore idle.

As per Financial Rules[51] of the Government, purchase of store material far in advance should be avoided. Further, in a project constituting electrical, mechanical and civil works, it is required that the purchase of pumps, motors and electrical appliances should be synchronised with the construction of sub-station and its distribution system and civil works to ensure their commissioning in a time bound manner.

The Government accorded (January 2008) administrative approval and financial sanction for the *Chaudhari Charan Singh Tanda Pump Canal Renovation Project* at a cost of ₹ 9.76 crore to increase water discharge capacity of Tanda Pump Nahar from 300 to 450 cusecs with the scheduled date of completion by March 2010. The Technical Sanction for the revised project for the mechanical and electrical works was accorded in September 2009 for ₹ 8.62 crore. In the revised project, ₹ 4.77 crore and ₹ 3.85 crore were sanctioned for electrical and mechanical works, respectively. Besides, the civil works of ₹ 5.03 crore was to be carried out by the Irrigation Division, Tanda, Ambedkar Nagar by March 2010.

Scrutiny of records of the Executive Engineer, Lift Irrigation Division, Faizabad (Division) and further information collected revealed (June 2010 and April 2011) that a sum of ₹ 3.41 crore[52] was provided to the Executive Engineer, Electrical Work's Division, *Madhyanchal Vidyut Vitran Nigam Limited*, Faizabad against the revised estimate of ₹ 2.77 crore during 2007-09 for the construction of 33 KV independent distribution system from Akbarpur to Mahripur without assigning any specific time-schedule for completion of work. The division procured six pumps/motors[53] and accessories between February 2008 to March 2010 at a cost of ₹ 2.65 crore without synchronising

[51] Paragraph 179 of FH B VI.
[52] EE LID Faizabad ₹ 42.50 lakh and EE, ID Ambedkar Nagar ₹ 298.42 lakh.
[53] 04 end suction centrifugal pumps and 02 horizontal split caging centrifugal pumps along with 3.3 KV HT motors.

the procurement with the pace of the construction of sub-station and independent distribution system. Due to lack of coordination among the executing agencies, the pumps, motors and accessories were lying uninstalled. This resulted in investment of ₹ 2.65 crore on the procurement of pumps /machinery items idle (August 2011).

The division replied (August 2011) that the construction of sub-station and electric distribution system was completed (June-July 2011) and 33 KV electrical line energised in July 2011. The firm had been requested for installation and commissioning of pumps, motors and accessories.

Thus, it was evident that pumps, motors and accessories procured during February 2008 to March 2010 could not be installed and commissioned even after lapse of 20 to 45 months of their receipts which had resulted in idle expenditure of ₹ 2.65 crore. Besides, the objective to increase water discharge capacity from 300 to 450 cusec remained unachieved.

During discussion (November 2011), the Government while accepting the facts stated that pumps and motors were not yet utilised due to non-commissioning.

JAIL ADMINISTRATION AND REFORMS DEPARTMENT

3.2.9 Unfruitful expenditure due to non-completion/delayed completion of jails

Failure of the department to release funds timely and finalise the scope of work before its entrustment led to non-completion/delayed completion of buildings for jails in six districts, despite revisions of completion schedules two times and cost escalation ranging between 23 and 145 *per cent* defeating the prime objective of de-congesting the existing jails.

To de-congest the existing jails, the State Government (Government) sanctioned (between March 2003 and March 2006) ₹ 68.50 crore for construction of five jail buildings in five newly created districts[54] under a centrally sponsored scheme[55]. The cost, under the scheme, was to be shared in the ratio of 75 and 25 by the Governments of India (GoI) and the State. In addition to above, the construction of jail building in Maharajganj, sanctioned in May 1998 for ₹ 9.93 crore (₹ 50 lakh was released with the sanction) by the State Government, was also included under the scheme in November 2005 to accommodate 3240 additional prisoners in six district jails. The Government nominated *Uttar Pradesh Rajkiya Nirman Nigam* (UPRNN) as the executing agency with completion schedules between March 2007 and November 2008 (***Appendix3.10***). The Director General, Jail Administration and Reforms Services, Lucknow (DG) was to monitor the quality and completion of works.

[54] Bagpat, Balrampur, Kannauj, Kaushambi and Sonbhadra.
[55] Modernization of Prisons (2002-07).

Scrutiny of records (September 2010) of DG and information collected (April 2011) revealed that the original estimates were subsequently revised[56] due to addition and alteration to the works between March 2006 and February 2011. Cost escalations ranged between 23 and 145 *per cent*. The schedules of completion were also extended up to September 2011, two to four years beyond the original schedule. The Government released ₹ 125.66 crore up to March 2011 to UPRNN against the expenditure of ₹ 115.83 crore. The physical progress of the construction of all the buildings ranged between 85 and 95 *per cent* as of March 2011 (***Appendix 3.10***). Thus, despite revision of costs and schedules of completion, the buildings were yet to be completed to make six jails functional and to reduce congestion[57] in the existing jails as of March 2011.

On being pointed out in audit DG (jails) stated (February 2011) that the jail buildings could not be completed due to delay in release of funds and increase in scope of the works. The reply was not acceptable as DG himself was responsible to arrange for timely release of funds. The Government in the revised sanctions stated that in future no cost increase will be admissible for the completion of projects and final date of completion was fixed as March and September 2011. Incidentally, the funds released were more than expenditure incurred (March 2011) and the scope of work was required to be finalized before the award of work.

The Government accepted (November 2011) the facts and stated that the construction work of jails at Balrampur, Kanauj and Maharajganj were completed and jails at Kanauj and Maharajganj were functional.

The fact, however, remained that two jails (Kannauj and Maharajganj) were made functional in 2011 with shortages of 70 and 66 *per cent* of the required staff respectively including Superintendent of Jail, Deputy Jailers and Wardens. Four jails (Bagpat, Balrampur, Kaushambi and Sonbhadra) after incurring an expenditure of ₹ 68.79 crore, could not be made functional as of November 2011 and the objective of decongesting the existing jails was defeated.

PUBLIC WORKS DEPARTMENT

3.2.10 Infructuous expenditure

Execution of work against the defective technical sanction rendered the expenditure of ₹ 7.58 crore infructuous.

As per paragraph 4.2.1.6 Indian Road Congress (IRC) guidelines[58], the thickness of non bituminous crust should be in consonance with the nature/quality of ultimate pavement for the full design life, even in the event

[56] Twice for Bagpat, Kannauj, Kaushambi, Maharajganj and Sonbhadra districts and once for Balrampur district.
[57] 11833 to 13352 prisoners were kept in the six jails during 2008-11 against the capacity of 5839 to 6236 prisoners.
[58] IRC-37/2001.

of construction of a road under stage construction[59].The bituminous works of richer specifications are, therefore, not admissible unless thickness of non-bituminous crust is adequate to bear the projected traffic load.

The Government sanctioned (May 2008) ₹ 7.38 crore for widening (from 5.50 to 7.00 m) and strengthening of *Raya-Mant Marg* (Other District Road) which was subsequently revised (January 2009) to ₹ 11.37 crore due to increase in quantities, rates and extra provisions[60]. Chief Engineer, Agra accorded technical sanctions to the estimates (original as well as revised) in September 2008 and May 2009 for ₹ 7.38 crore and ₹ 10.32 crore for "kms 0.0 to 10, km 11 and km 12 (800 meter), total 11.800 km", respectively with the specifications in the estimates in contravention to the IRC guidelines. Superintending Engineer, Agra Circle, Agra executed (September 2008) a contract bond[61] for 10 km at ₹ 4.55 crore at 19.5 *per cent* above the departmental rate with a sole bidder[62]after inviting tenders on short term notice with the schedule of completion as December 2009. Extra items in km 1 to 12 (800 meter) were also sanctioned (June and July 2009) by Chief Engineer for ₹ 2.65 crore.

Scrutiny of records of Executive Engineer (EE), Construction Division I, Mathura revealed (January 2011) that the work (commenced in September 2008) was not executed in accordance with technical parameters and IRC specifications. The required crust, based on Traffic Census (Commercial Vehicles: 2480 and Passenger Car Units: 12428), CBR[63] of 5.5 *per cent* and designed life of 10 years, was calculated as 64.47 cm as per the provisions of IRC 37-2001. However, contrary to the pavement design of 64.47 cm, crust of only 45 cm was given under stage construction by providing non-bituminous crust of 15 cm (two coats of Grade III of 7.5 cm each) followed by 7.5 cm of Bituminous Macadam (BM) and 2.5 cm of Semi-Dense Bituminous Concrete (SDBC) on existing crust of 20 cm.

The overlay of BM - 7.5 cm and SDBC - 2.5 cm on a crust of 35 cm against the required crust of 55 cm[64] was in contravention to prescribed specification, as a result the road was damaged badly (June 2010) causing inconvenience to public. The work was still incomplete as of June 2011. Thus, the execution of work on defective pavement design rendered the expenditure of ₹ 7.58 crore (March 2011) infructuous.

The EE, Construction Division-I, Mathura stated that the execution of work was done as per the direction of higher authorities and in accordance with the technical sanction accorded by the competent authority. The reply was not

[59] When construction of road is to be made in stages.
[60] Road furniture, Retro reflective shine boards, Culverts etc.
[61] 65/SE Agra Circle/2008-09 dated 30.09.2008.
[62] M/s Apex Constructions, Mathura.
[63] California Bearing Ratio.
[64] 64.47 cm – 10 cm (7.5 +2.5) = 54.47 cm i.e. 55 cm.

tenable as the technical sanction itself was not in accordance with the IRC's guidelines and the road was damaged within one year of commencement of the work.

Thus, defective sanction of estimate by allowing costlier bituminous works on inadequate non-bituminous crust thickness resulted in infructuous expenditure of ₹ 7.58 crore and premature damage to the road.

During discussion (November 2011), the Government admitted the facts and stated that an enquiry was in progress and action for recovery would be taken accordingly.

3.2.11 Excess payment on suspected consumption

Adoption of different norms for material in construction of same nature of works resulted in excess payment of ₹ 1.63 crore.

Technical sanction[65] to an estimate means that the proposals are structurally sound and the estimates are accurately calculated and based on adequate and reliable data. Per cubic metre requirement of loose quantity of stone ballast of the same quarry for the same type of work should always be same.

Scrutiny of records and information collected (October 2009 and July 2011 respectively) from the Executive Engineer, Construction Division-I, Unnao, revealed that the Government sanctioned (June 2008) widening and strengthening of two stretches of *Sandila-Rasoolabad-Chakalvansi* road[66] and *Safipur-Miyaganj* road[67] in District Unnao. The Chief Engineer (CE), Central Zone, Lucknow accorded (June 2008) technical sanctions to the estimates taking the consumption norms of 1.29 cum loose quantity of stone ballast per cum in Water Bound Macadam (WBM) works. The stone ballast was taken from Kabrai quarry situated in Mahoba district.

The two contract bonds for *Sandila-Rasoolabad-Chakalvansi* road and one for *Safipur-Miyaganj* road were executed (July 2008) with the same contractor for WBM work, which were executed accordingly. However, in other two roads[68], the CE accorded the technical sanctions by taking consumption norms of 1.21 cum of loose quantity of stone ballast per cum in WBM work[69] of the same quarry. This resulted in excess consumption of 0.08 cum[70] loose quantity of stone ballast for every cubic meter compacted quantity of WBM with extra expenditure of ₹ 1.63 crore (***Appendix 3.11***). Moreover, possibility

[65] Paragraph 318 of FHB Vol VI.

[66] Km 31 to 46 (CB-18/SE-Unnao circle/08-09/dated 05-07-2008) at 10.01 *per cent* above departmental rate. Date of commencement: 05.07.2008. Date of completion : 02.06.2010. Km 47 to 59 (CB-16/SE-Unnao circle/08-09/dated 05-07-2008) at 5 *per cent* above departmental rate. Date of commencement: 05.07.2008. Date of completion: 27.10.2009.

[67] Km 0.00 to 15.35(CB-17/SE-Unnao circle/08-09/dated 05-07-2008) at 5 *per cent* above departmental rate. Date of commencement: 05.07.2008. Date of completion: 03.04.2010.

[68] WBM work of widening and strengthening of Achalganj-Gangaganjghat Road Administrative and financial sanction (AFS) 11/2007 and Nawabganj-Jaitipur-Lakhanapur Link Road.

[69] Adopted same norms for all the layers- WBM I, II and III instead of different norms prescribed Ministry of Roads, Transport and Highways.

[70] Difference of loose quantity is 1.29 cum – 1.21 cum

of suspected consumption of 0.08 cubic meter loose quantity of stone ballast per cubic meter compacted quantity of WBM work can not be ruled out.

The Superintending Engineer informed (December 2009) that the standardization of loose quantity of quarry materials for each quarry was under consideration.

During discussion (November 2011), the Government admitted the facts.

3.3 Failure of oversight/governance

The Government has an obligation to improve the quality of life of the people for which it works towards fulfillment of certain goals in the area of health, education, development and upgradation of infrastructure and public services etc. However, Audit noticed instances where funds released by Government for creating public assets for the benefit of the community remained unutilised/ blocked and/or proved unfruitful/ unproductive due to indecisiveness, lack of administrative oversight and concerted action at various levels. A few cases have been discussed below.

HOUSING AND URBAN PLANNING DEVELOPMENT

3.3.1 Loss of ₹ 79.93 crore due to non-realisation of the cost of land

Cost of land allotted for housing schemes was not realised even after lapse of 11 to 19 years.

Budget Manual[71] provides that any substantial amount due for realisation against another Government, local body or other outside party should not be allowed to remain outstanding for a long time.

The Government decided (January 1987) to transfer land[72] to Central and State Government Undertakings, Development Authorities, Housing and Development Boards, Local Bodies, *Harijan Evam Nirbal Warg Awas Nigam* and registered co-operative housing societies at two thirds of the circle rates.

Scrutiny of records (May 2008) of the Competent Authority, Urban Land Ceiling, Kanpur and information collected (April 2011) revealed that Urban Land Ceiling, Kanpur transferred 12.55 lakh square metre land[73] of village *Bara Sirohi*, Kanpur to Kanpur Development Authority (KDA) for *Jawahar Puram Avas Yojna* (First and Second Phase) for development and sale to private parties. The amount of ₹ 0.68 crore for the first phase was incorrectly computed by Urban Land Ceiling, Kanpur at the rate of ₹ one plus *solacium* (*i.e.* ₹ 11.99) per square metre, instead of prevailing circle rate. The total cost of the land worked out to ₹ 81.43 crore (First phase: ₹ 26.55 crore and second phase: ₹ 54.88 crore) at the prevailing circle rates[74] fixed by District

[71] Paragraph 174 (12) of the Chapter XV.
[72] Acquired under section 23 of the Urban Land (Maximum Ceiling and Regulation) Act, 1976.
[73] 5.69 lakh square metre in July 1991 and 6.86 lakh square metre in 1999.
[74] Two third of ₹ 700 per square metre and ₹ 1200 per square metre effective for the periods April 1991 to March 1993 and April 1997 to March 1999 respectively.

Magistrate, Kanpur. The Government ordered (October 2002 and October 2005) KDA to deposit only ₹ 55.36 crore[75].

KDA deposited only ₹ 1.50 crore (July 1995: ₹ 0.20 crore and September 2009: ₹ 1.30 crore) against the total dues of ₹ 81.43 crore. The balance amount of ₹ 79.93 crore was yet to be realised as of October 2011.

Besides, KDA had also not shown the amount as liability in its balance sheet as of March 2010. Thus, the Government failed to recover the balance amount from KDA even after 11 to 19 years of handing over of land for phase I and II which had resulted in non realisation of Government dues of ₹ 79.93 crore.

The Urban Land Ceiling, Kanpur stated (April 2011) that the matter had been referred to the Government for realization of the balance amount. The Government accepted (October 2011) the facts.

Thus, due to inaction on the part of the Government, ₹ 79.93 crore remained unrealized for 11 to 19 years.

3.3.2 Wasteful expenditure

Defective planning and dilapidated conditon of houses within four to eight years of construction, resulted in not only failure of the scheme, but also wasteful expenditure of ₹ 3.79 crore.

With a view to provide shelter to persons with annual income of not more than ₹ 11,850 and with no house of their own, Lucknow Development Authority, (LDA) approved (August 2000) construction of 2,000 houses built in 19.5 square metre area each at a unit cost of ₹ 40,500 at Gram Devpur Para under the *Devpur Para Ashrayheen Yojana* (Scheme). The Lucknow Nagar Nigam provided (August 2000) 1,33,661 square metre (13.862 hectare) of agricultural land[76] free of cost to LDA for construction of these houses. The Government of Uttar Pradesh changed (April 2001) the land use to residential on the recommendation of LDA, which proposed to utilise only 98,883 square metre of land[77] for the Scheme. The estimated cost for construction of houses and development works[78] in the scheme was ₹ 3.15 crore. To ensure speedy completion, the work was divided into four packages of five hundred houses each at estimated cost of ₹ 65.06 lakh each package and short term (seven days) tenders were called for on 13 September 2000. LDA awarded (October 2000) the construction work to four contractors[79] with completion schedule by July 2001. Due to limited work place, low lying land and comparatively more construction cost, the number of houses of one group was reduced to 468 in place of 500 houses. The constructions were delayed and

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[75] For first phase: ₹ 0.48 crore and second phase: ₹ 54.88 crore.
[76] Khasra No.2131, 2205, 2746, 2855 and 2599 valuing ₹ 2.36 crore in August 2000.
[77] Khasra No.2746 having area of 98,883 square metres and remaining 34778 sq. meter of land with present value of ₹ 13.01 crore was not utilised.
[78] Road (Kharanja), drains and park.
[79] M/s. A.K. Tripathi, M/s. A.K. Bajpai, M/s. Veeru Construction, M/s. Gyan Prakash Tiwari.

completed up to December 2005. LDA incurred ₹ 3.79 crore[80] on construction of 1,968 houses including development works. It allotted only 1,640 houses[81] during November 2001 and September 2002. Of the total allottees, 130 had taken refund of registration fee and only 47 signed the agreement and took possession. However, only one allottee deposited the full amount but the lease deed was not signed due to non-submission of lease plan by the executing division.

Scrutiny of records (October 2009) of LDA and information collected (May 2011) revealed that the possession of the houses were not taken by 1463 allottees as the houses were constructed without bathroom/toilets[82] and kitchen. Besides, basic amenities of sewer and drainage were also not provided and the houses were located far from the city. The Vice-Chairman, LDA (VC) inspected (July 2007) the scheme and found that 34 houses were completely damaged and front and rear walls of 250 houses had collapsed. As the houses were in dilapidated condition and not worth living due to non-taking by allottees and lack of proper maintenance, LDA's Board decided (August 2009) to demolish the houses. VC again inspected the houses (03 March 2011) and found that 66 houses had collapsed, 507 were damaged and remaining 1,395 were partially damaged. The VC again proposed (11 May 2011) the demolition of all the 1,968 houses as the houses were in dilapidated condition.



Houses built under Devpur Para Ashrayheen Yojana by LDA, Lucknow

[80] ₹ 3.07 crore on construction of houses and ₹ 0.72 crore on related development works.
[81] Incomplete and unfinished 328 houses were not allotted.
[82] A common community toilet (*Shulabh Sauchalay*) was constructed and hand pumps (India Mark-II) were provided for drinking water purposes.

On being pointed out in audit (May 2011), the Secretary, LDA stated that the houses were fit for residential purposes and some buildings were repairable. The reply was not correct as LDA had already recommended (August 2009 and May 2011) demolition of the houses. Further, not only the houses built did not serve the objectives of the scheme these became inhabitable and unsafe within four to eight years of their construction. The Government accepted (October 2011) the facts.

Thus, due to defective planning and dilapidation of houses within four to eight years of construction, the scheme failed to attain its objectives rendering the entire expenditure of ₹ 3.79 crore wasteful. The matter needs investigation to fix the responsibility for substandard works.

IRRIGATION DEPARTMENT

3.3.3 Rupees 1.28 crore were spent for unintended purposes leading to misappropriation

Non-observance of codal provision of Mahatma Gandhi National Rural Employment Guarantee Scheme (MNREGS) led payment to contractors of ₹ 1.28 crore for unintended purposes.

Guidelines of Mahatma Gandhi National Rural Employment Guarantee Scheme, September 2005, (MNREGS) stipulates that funds allocated under the Scheme should not be used for purposes other than those stipulated under any circumstances and engagement of contractors and machinery are not allowed. The objective of the scheme is to enhance livelihood security in rural areas by providing at least 100 days guaranteed Wage employment in a financial year to every household whose adult members volunteer to do unskilled manual work.

With a view to generate employment for 2,33,850 persondays Chief Development Officer (CDO) Maharajganj sanctioned ₹ 2.72 crore (March 2008) for increasing the capacity of 23 drains and ₹ 55.40 lakh (April 2008) for restoring Wasulah Guide Bundh under the Scheme. The CDO released 75 *per cent* of the sanctioned amount of ₹ 2.46 crore[83](March and April 2008), for both the projects to generate 1,75,540 persondays employment and the rest 25 *per cent* amount was to be released after utilisation of first installment.[84]

Scrutiny of records (August 2010) of Executive Engineer (EE) Irrigation Division-II Mahrajganj and subsequent information collected (May 2011) revealed that out of ₹ 2.46 crore received, only ₹ 90.45 lakh was spent on the proposed work under MNREGS which generated only 66,831 persondays of employment and ₹ 27.41 lakh was refunded (February 2009) to the CDO as further work on this Project was not needed. Further scrutiny revealed that in

[83] ₹ 2.04 crore for restoration of drains and ₹ 0.42 crore for Wasulah Guide Bundh.
[84] The balance 25 *per cent* was not released.

violation of the provisions of the Scheme, the balance amount of ₹ 1.28[85] crore, intended for generating employment of 1,08,709[86] persondays under the scheme, was paid to the contractors to clear the liabilities (***Appendix3.12***) of other works executed during 2007-10 through agreements/work orders by the then EE. Thus, the funds received under MNREGS were misappropriated and used for unintended purposes and generation of employment for 1,08,709 persondays was not achieved. This added to the overall shortfall in achievement of target by the district ranging between 68 and 83 *per cent* of persondays to be generated during 2007-10.

While accepting the facts EE replied that ₹ 1.28 crore was paid to contractors to clear the liabilities of other works executed in previous years from the amount received under MNREGS.

The Government accepted (November 2011) the facts regarding the misappropriation of MNREGS fund.

3.3.4 Misutilisation of Government revenues

Misutilisation of ₹ 2.24 crore relating to trade tax, income tax and royalty deducted from the contractors' bills for the clearance of liabilities.

The UP Budget Manual[87] and Financial rules[88] provide that an allotment should be appropriated only for the objects for which it is sanctioned. Diversion of funds allotted through Cash Credit Limit (CCL) without the authorisation of competent authority is to be treated as financial irregularity and dealt with accordingly. In order to ensure that the codal provisions are strictly followed, the State Government imposed a further restriction (August 2004) that deductions made on account of trade tax, income tax and royalty from the bills of the contractors of a particular work have to be remitted into the treasury under proper head of account immediately against the allotment of CCL for that work placed at the disposal of the Drawing and Disbursing Officer (DDO). DDOs were also made responsible for excess payments on account of levy of interest as well as penalty due to delay in remittance of the income/trade tax recovered.

Scrutiny of the records of the Executive Engineer (EE), Flood Works Division, Gonda revealed (March 2011) that CCL meant for remitting the amount of deductions of ₹ 2.24 crore[89] from the contractors' bills during 2009-10 on account of trade tax, income tax and royalty into the treasury was misutilised for clearance of liabilities[90] created due to execution of works in absence of budget allotment in previous years. EE incurred expenditure over

[85] ₹ 2.46 crore (₹ 204.00 lakh + ₹ 41.55 lakh) - ₹1.18 crore (₹ 90.45 lakh + ₹ 27.41 lakh) = ₹ 1.28 crore.
[86] 1,75,540 - 66,831=1,08,709
[87] Chapter XV, Para 174 (8)
[88] Paragraph 315 of FHB Vol-VI
[89] Trade Tax- ₹.1.72 crore, Income Tax- ₹.0.43 crore and Royalty- ₹.0.09 crore.
[90] Out of total liability amounting to ₹ 3.11 crore, a sum of ₹ 2.24 crore was paid from deductions on account of trade tax, income tax and royalty.

and above the allotment utilizing this amount and did not remit ₹ 2.24 crore to the proper head of accounts as of March 2011. However, ₹ 20 lakh from the CCL of 2010-11 was remitted into treasury towards tax liabilities of 2009-10.

On being pointed out EE replied (March 2011) that the amount was utilised for the payment of necessary works carried out during the flood. The reply was in violation of the instant rule as the utilisation of amount deducted from contractors' bill on account of trade tax, income tax and royalty for payment of liabilities was not only unauthorised but also created an additional liability of ₹ 2.24 crore and paved the way for imposition of penalty[91] of ₹ three crore by Trade Tax Department.

Further, the Superintending Engineer, Investigation & Planning (Flood) Circle, Lucknow rejected (November 2010) the demand of budget made by the Chief Engineer (Saryu-I), Irrigation Department, Faizabad for the payment of above remittances into treasury with the remarks that no budget could be allotted for the purpose. As per provisions of UP Budget Manual, excess expenditure should be regularised on the basis of the recommendation of the Committee on Public Accounts, by presenting to the Legislative Assembly demands for excess grants as required under Article 205 (1) (b) of the constitution.

Thus, the CCL of ₹ 2.24 crore was misutilised for clearance of the liabilities of previous years and an additional liability to that extent was created for which no budgetary allotments had been made. Payment of ₹ 20 lakh from the CCL of 2010-11 towards tax liabilities of 2009-10 was also irregular.

The Government accepted (November 2011) the facts and stated that departmental action was being initiated against the concerned EE and action will be taken to deposit the amounts in respective heads of accounts at the earliest.

MEDICAL AND HEALTH DEPARTMENT

3.3.5 Infructuous expenditure

Non-obtaining of No Objection Certificate from Bhabha Atomic Research Centre resulted in non-commissioning of the cancer unit valuing ₹ 5.99 crore.

To check and treat the widespread cases of oral cancer, caused due to use of tobacco, in Mainpuri and neighboring districts, the Chief Minister, Uttar Pradesh during budget speech announced (March 2004) establishment of a cancer unit at District Hospital, Mainpuri. The purchase committee headed by Principal Secretary, Medical and Health Services recommended (March 2005) purchase of Linear Accelerator, Brachytherapy and Treatment Planning

[91] Trade Tax Department imposed penalty of ₹ three crore. Penalty related to income tax and royalty was not available.

System (TPS) for ₹ 5.43 crore[92] from M/s Siemens Limited, New Delhi, M/s Nucletron B V, Chennai and T S G Integrations, New Delhi respectively. Accordingly, Director General, Medical and Health Services (DG, M&HS) placed (March 2005) supply orders and entered into (March 2005) an agreement with M/s Siemens Limited, New Delhi for turnkey site preparation work for installation of Linear Accelerator/ Brachytherapy/TPS for ₹ 1.17 crore with completion schedule by March 2006. Before starting the operation of cancer unit, a No Objection Certificate (NOC) was to be obtained from Bhabha Atomic Research Centre (BARC) for commissioning and supply of radioactive material required for operation of the unit. The Government sanctioned (February 2008) eight posts[93] in regular time scale and five posts[94]on contract basis for making the unit functional.

Scrutiny of records (June 2010) of Chief Medical Superintendent (CMS), District Hospital Mainpuri and information collected (April 2011) revealed that equipment worth ₹ 5.55 crore[95] were supplied (May 2006) and ₹ 0.44 crore were spent (October 2006) on works for 11 KV feeder. The works related to the agreement were completed[96] in 2007-08. DG, M&HS requested (August 2006 and January 2007) the Director General, Medical Education, Lucknow to provide specialists and technicians from Sarojini Naidu Medical Collage, Agra for commissioning and operation of the unit. Further, in view of non-availability of personnel and necessary equipment (Dosimeter- an essential component for operation of the unit) DG, M&HS requested (May 2007) the Principal Secretary to transfer the cancer unit to the Sarojini Naidu Medical College, Agra to make it operational. But the unit could not be made operational as of November 2011, rendering the expenditure of ₹ 5.99 crore infructuous.

On being pointed out CMS, Mainpuri stated (April 2011) that NOC was not given by BARC due to non-availability of specialists and dosimeter. The NOC was to be given by BARC only after receipt of a report from a Radio Medical Physicist on the facility created at the cancer unit. Further, the cancer unit building had also not been handed over (May-2011) to CMS Mainpuri as NOC was not obtained from BARC. Thus, due to failure on the part of the Department to provide personnel, essential equipment and faulty planning, the unit could not be made operational even after lapse of three years of supply of equipment and completion of the work on turn-key basis. Further, the patients of the Mainpuri and neighboring districts were denied essential medical facilities in the nearby area, defeating the very objective for setting-up the cancer unit at Mainpuri.

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[92] Linear Accelerator: ₹ 4.23 crore, Brachytherapy: ₹ 0.71 crore and Treatment Planning System: ₹0.49 crore.
[93] Two Radiotherapist/Medical Officer, two Radio Physicists, two Radiotherapy Technicians: and two Nurses.
[94]One Computer Operator/Record Keeper, two Ward Boys, and two Safai Staff.
[95] Linear Accelerator: ₹ 4.35 crore, Brachytherapy: ₹ 0.71 crore and Treatment Planning System: ₹ 0.49 crore
[96]Exact month of completion was not made available though called for.

The Government accepted (November 2011) the facts and stated that due to non creation of posts for operating the unit, NOC was not issued by BARC. It is thus, evident that due to failure on the part of the Government in providing requisite facilities expenditure worth ₹ 5.99 crore incurred on procurement of cancer unit became infructuous.

3.3.6 Infructuous expenditure

Infructuous expenditure of ₹ 23.22 crore on civil works and loss of ₹ 5.20 crore due to non recovery of liquidated damages.

To provide health services by super specialists to the people of Basti and Poorvanchal, the Government of Uttar Pradesh sanctioned (March 1991) a 500-bed hospital at Kailly, Basti. The hospital was named (April 1991) after the Organization of Petroleum Exporting Countries (OPEC) as OPEC had to share the expenditure[97] with the State Government. The original sanctioned (March 1991) cost of ₹ 21.68 crore, revised to ₹ 45.95 crore in November 1997, was further revised to ₹ 52.04 crore in August 2005. The civil works were awarded to *Uttar Pradesh Rajkiya Nirman Nigam* (UPRNN). As per the bond executed with UPRNN by the Directorate of Medical and Health Services, UP, Lucknow (Directorate), the civil works were to be completed within 36 months of the commencement (September 1991) of the work with damages[98] for delay in completion[99]. Date of completion of civil work was revised to March 2001 and again to March 2007. The first phase (100 bed wards/hospital) and second phase (200 bed wards/hospital) were made functional in 1997 and 1998 respectively. The posts of medical, para-medical and other employees for the first two phases were sanctioned in October 1997 and March 1998 respectively and the proposal for the medical, para-medical and other staff for the third phase (200 bed wards/hospital) was sent to the Directorate in December 2003. Of the total sanctioned cost of ₹ 52.04 crore, ₹ 46.95 crore were released up to March 2001 and the balance ₹ 5.09 crore was released in 2005-06. The State Government sanctioned (November 2006) ₹ 2.47 crore for procurement of equipment for third phase (200-bed-wards/hospital) of the 500 bed hospital.

UPRNN handed over (January 2010) the civil works[100], carried out for at a cost of ₹ 21.68 crore, for the third phase to the Director and Chief Medical Superintendant, OPEC hospital, Kailly, Basti , after 34 months of the revised schedule of completion.

Scrutiny of records of the Director OPEC revealed (January 2009 and April/ May 2011) that in violation of the provision contained in paragraph 179 of Financial Handbook (FHB) Vol. VI, equipment worth ₹ 1.99 crore were

[97] Fifty *per cent* on civil works; 70 *per cent* on equipment, furniture etc; and 50 *per cent* on drawings and designs.
[98] At the rate of 0.50 *per cent* per week subject to a maximum of 10 *per cent* of the total project cost.
[99] The original completion schedule of March 2001 was revised to March 2007 in August 2005.
[100] Buildings sewage treatment plant, administrative block, nurses' hostel, outdoor patient department block, one block each of Type I, II & IV houses etc. were not handed over as of May 2011 by UPRNN.

purchased between December 2006 and March 2007 and ₹ 0.48 crore were transferred to Central Medicine Store Department, Lucknow (CMSD) for supply of equipment prior to completion of civil works. The equipment valuing ₹ 1.06 crore were neither installed nor CMSD supplied the equipment to OPEC Hospital (May 2011). No posts of medical, para-medical and other employees had been sanctioned/created (May 2011). Thus, the expenditure of ₹ 21.68 crore on civil works and ₹ 1.06 crore on the idle equipment and ₹ 0.48 crore on equipment yet to be received from CMSD were rendered infructuous. Further, the leviable liquidated damages of ₹ 5.20 crore (limited to 10 *per cent* of total cost of the project) was not recovered (June 2011).

On being pointed out in audit Director OPEC Hospital replied (April 2011) that the 200-bed-wards/hospital of third phase could not be made functional as medical, para-medical and other employees were not posted. It was also stated that equipment worth ₹ 0.93 crore out of ₹ 1.99 crore were being utilised in already functional 300 bed wards/hospital while the remaining equipment worth ₹ 1.06 crore were lying unused.

As such, the objective of setting up of a 500 bed hospital to provide health services by super specialists to the poor people of Basti and Poorvanchal was yet to be fully achieved even after expiry of more than 20 years of its sanction (March 1991). Besides, ₹ 21.68 crore paid to UPRNN (up to March 2006) for civil works and ₹ 1.54 (1.06+0.48) crore spent on equipment for the third phase 200 bed wards/hospital could not be gainfully utilised and ₹ 5.20 crore recoverable on account of liquidated damages was yet to be levied.

The Government accepted (November 2011) the facts and stated that action for recovery of losses caused due to delay in completion of civil works by UPRNN would be taken urgently. However, it was silent about utilization of the equipment and posting of medical and para medical staff.

PUBLIC WORKS DEPARTMENT

3.3.7 Wasteful expenditure

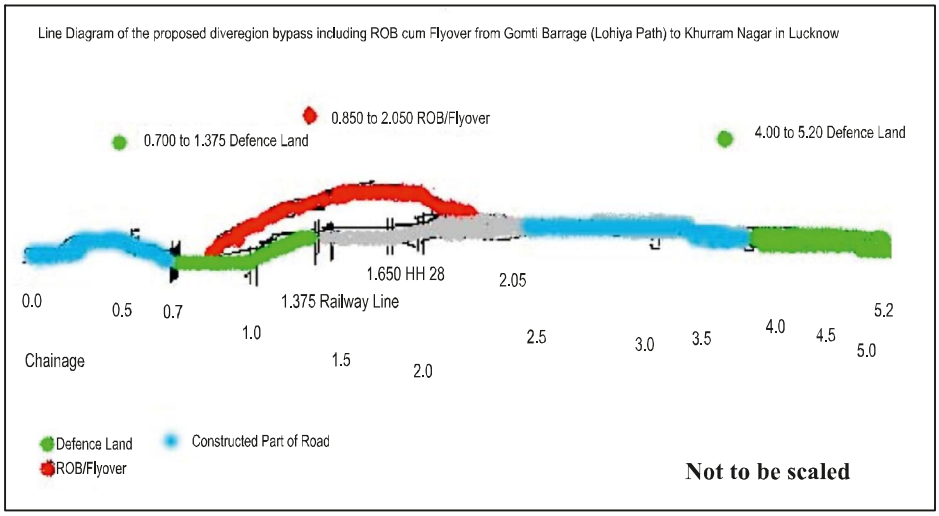
Commencement of work without acquiring the required land, rendered an expenditure of ₹ 23.18 crore wasteful.

Paragraph 378 of FHB Volume VI provides that no work should commence on a land unless it has been handed over by a responsible Government officer. So far as land earmarked for military purposes in the cantonment area is concerned, the proposal for its occupation should be made to the cantonment authorities in an appropriate manner for onward submission and approval of the Government of India as envisaged in paragraph 374 ibid.

The Government approved (February 2009) the departmental proposal to construct a six-lane ring road (5.200 km) from Gomti Barrage of Lohia Path to

Khurram Nagar in Lucknow city comprising construction of road (chainage km 0.00 to km 0.850 and km 2.050 to km 5.200) and a Railway Over Bridge (ROB) cum Fly Over (Chainage km 0.850 to km 2.050). The administrative approval and financial sanction of ₹ 32.45 crore for construction of road was accorded in February 2009. The construction of road in the proposed alignment was to provide an alternative route to divert the traffic of Indira Nagar, Munsipulia and Polytechnic crossing in Lucknow city by reducing the distance by three km and to ease road congestion in the aforesaid area. The alignment of the road was finalised through the left embankment of the Kukrail Nala without ensuring availability of dispute free land for the proposed construction, its legal possession and ownership. Chief Engineer (CE), Lucknow Zone accorded (February 2009) technical sanction (₹ 32.45 crore) to the detailed estimate.

Scrutiny of records of the Executive Engineer, Construction Division-I, Public Works Department (PWD) Lucknow revealed (February 2011) that the road work from chainage km 0.00 to km 0.850 km and chainage 2.050 km to 5.020 km was awarded to the contractor (February 2009) at a cost of ₹ 31.45 crore with the stipulated date of completion by November 2009, without taking over the defence land (from km 0.700 to km 1.375 and km 4.000 to km 5.200). An expenditure of ₹ 23.18 crore had been incurred as of March 2011 on the construction of the road between chainage km 0.000 to km 0.725 and chainage km 2.050 to km 4.000 on two sides of the ROB, respectively. However, the EE reported (June 2009) that the work in subsequent reach was stopped by Army as the proposed construction was falling within their firing range. Audit also noticed that a proposal (June 2010) to settle the issue by exchange of land contiguous to Army land did not materialise as of February 2011. The status of constructed part of road is shown in the diagram.



On being pointed out in audit, the Department stated (May 2011) that alignment of road was approved and work was commenced keeping in view the general perception that land of the rivers and drains belonged to the State Government. It was further stated that one end of the constructed road had been connected to the existing main road and on the remaining portion old road was available for transport.

The reply was not correct as financial rules do not permit commencement of work on general perception and without having clear title and legal possession of the land. Besides, 'No Objection Certificate' was also not obtained from the Defence Authorities. Further, construction of road in a small segment did not serve the purpose of diversion of traffic through a shorter route and reduction of traffic congestion as both the ends are yet to be connected (March 2011). Thus, lack of proper planning in executing the work rendered an expenditure of ₹ 23.18 crore wasteful as of March 2011.

The Government accepted (November 2011) the facts and stated that efforts were being made to take over the land from the Army.

PANCHAYATI RAJ DEPARTMENT

3.3.8 Wasteful expenditure

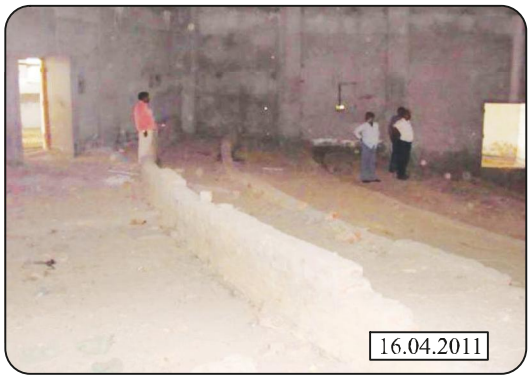
Taking up the construction of a complex without prior consultation of the competent authority and surrender of funds midway rendered the expenditure of ₹ 4.45 crore on the incomplete complex wasteful.

To organize social, cultural and literary programmes and seminars/meetings in Ambedkarnagar district, the Government of Uttar Pradesh (GoUP) announced (February 2005) construction of Lohia Bhawan with provisions for guest house[101], air-conditioned auditorium, library building, and statue of late Shri Ram Manohar Lohia and parking on the land[102] owned by State Civil Aviation Department. The Government approved (November 2005) ₹ 6.52 crore against the estimate (January 2005) of *Uttar Pradesh Rajkiya Nirman Nigam* (UPRNN) received in January 2005 and sanctioned (November 2005) ₹ two crore with the condition to start the work after the approval of layout and map by the competent authority. After the approval of layout and map of the building (January 2006), the work was started in January 2006 with completion schedule of March 2007. The Government further sanctioned (March 2006) ₹ 4.52 crore and ordered to keep the amount in Personal Ledger Account (PLA) of *Zila Panchayat*, Lucknow. It was to be released only after the utilisation of ₹ two crore sanctioned in November 2005.

Scrutiny of records of the Director, *Panchayati Raj*, Lucknow and District *Panchayati Raj* Officer (DPRO), Ambedkarnagar revealed (February 2011)

[101] Three VIP suites and 15 general suites.
[102] 1.361 hectare land in front of air strip for which the Civil Aviation Department issued No Objection Certificate in February 2005.

that the department released (August 2006) ₹ 2.45 crore to UPRNN after obtaining Utilisation Certificates (UCs) for ₹ two crore (June 2006) leaving ₹ 2.07 crore in PLA. Subsequently, the team of Civil Aviation Department raised objection (November 2006) about the height of the buildings and asked to demolish the overhead tank. In view of the decision taken (February 2007) by the Government in consultation with the Civil Aviation Department, UPRNN revised (April 2007) the layout plan and completed 70 *per cent* of the work up to December 2008. UPRNN furnished (December 2008) the UC for ₹ 4.45 crore[103] and requested (December 2008) DPRO, Ambedkarnagar to release ₹ 2.07 crore lying in PLA to complete the residual work. The Panchayati Raj Department extended the completion schedule up to December 2009 but instead of releasing the balance amount of ₹ 2.07 crore, lying in PLA, deposited (December 2009) the same into treasury pursuant to the order (September 2009) of Finance Department GoUP (the order stated that funds lying in PLA should be utilised by September 2009 or remitted into treasury) after one year of receiving UC for ₹ 4.45 crore. Thus, although UPRNN had submitted the UC for ₹ 4.45 crore in December 2008 and requested DPRO, Ambedkarnagar to release the balance amount of ₹ 2.07 crore in the same month but the funds were not released till December 2009 and were deposited into the treasury by the *Panchayati Raj* Department.



Auditorium



Overhead tank at Ground Level

Thus, preparation of estimates and sanction of the project without adhering to the norms of the Civil Aviation Department, failure of the executing agency to complete the works by due date and remittance of ₹ 2.07 crore by the Department into treasury (December 2009) led to the work remaining incomplete.

The Government replied (July 2011) that Hon'ble Chief Minister had cancelled (May 2007) all the incomplete announcements of the earlier Government. It was further stated (November 2011) that to complete the work a proposal for the provision of the balance amount would be sent. Further, Government was requested to intimate the status of proposal for the provision

[103] 2005-06 : ₹ 0.69 crore, 2006-07: ₹ 1.22 crore, 2007-08 : ₹ 0.73 crore and 2008-09 : ₹ 1.81 crore

of balance funds to complete the work but, no reply was furnished (February 2012).

Thus, the expenditure of ₹ 4.45 crore incurred on the complex proved wasteful, as the intended objective of construction of Lohia Bhawan were not being met even after lapse of four years of original schedule of completion.

3.4 Persistent and pervasive irregularities

An irregularity is considered persistent if it occurs year after year. It becomes pervasive when it is prevailing in the entire system. Recurrence of irregularities, despite being pointed out in earlier audits is not only indicative of non-seriousness on the part of the executive but is also an indication of lack of effective monitoring. This in turn encourages willful deviations from observance of rules and regulations and results in weakening of the administrative structure. The case reported in audit about persistent irregularities has been discussed below.

IRRIGATION DEPARTMENT

3.4.1 Unauthorised and unfruitful expenditure

Execution of construction works of Rapti Link Channel (RLC) in violation of the orders of the Government led to unauthorised and unfruitful expenditure of ₹ 2.21 crore.

Mention was made in paragraph 3.1.7.4 in the Report of the Comptroller and Auditor General of India (Civil) for the year ended 31 March 2008 regarding irregular expenditure of ₹ 93.84 crore incurred on Rapti System. The objective of 21.400 km long Rapti Link Channel (RLC) was to feed Rapti Main Canal from Saryu Main Canal under Saryu Canal Project of which 1.185 km[104] channel has been left to be constructed. Despite orders issued by the Government in 1999 and 2002 for stopping the work of Rapti system, the department incurred ₹ 93.84 crore on Rapti System as of July 2008.

Scrutiny of records (June 2010 and May 2011) of Executive Engineer (EE), Saryu Nahar Division-IV, Bahraich revealed that in violation of the orders of the Government (February 2003) the Executive Engineer (EE) executed six agreements (February 2009) for the construction of RLC from Km 2.880 to 3.990 in District Bahraich at a cost of ₹ 2.09 crore. An expenditure of ₹ 2.21 crore was incurred on the said works from the funds allotted for Saryu Canal Project (SCP) (Phase-I and II) between 2008 and 2011. Works of RLC was neither approved by Expenditure Finance Committee (EFC) nor administrative and financial sanctions for the work was accorded by the Government. Thus, execution of works of RLC was not only in violation of the Government order but also the expenditure on it was unfruitful as RLC was still incomplete (November 2011).

[104] Km 9.700 to 10.060 = 0.360 km, 11.375 to 12.200 = 0.825 km, total 1.185 kms.

On being pointed out in audit EE replied (June 2010) that in the sanctioned project there was a provision for completion of incomplete works and the work was executed as per the sanctioned project. The reply was not correct as the Government had ordered to stop the work of RLC. Thus, the construction work of RLC in violation of the Government order resulted in unauthorised and unfruitful expenditure of ₹ 2.21 crore.

The Government accepted (November 2011) the facts and admitted that the construction of RLC at km 9.700 to km 10.060 (360 metre), km 11.375 to km 12.200 (825 metre) and construction of super passage is still incomplete.

3.5 Fraud and detection of fraud

Audit of financial transactions, test checked in one department of the Government and their field functionaries showed instance of fraudulent payments as discussed in the following paragraph:

PUBLIC WORKS DEPARTMENT

3.5.1 Fraudulent drawal of pay and allowances

Failure to verify the genuineness of the transfer order by the Executive Engineer, Construction Division, Bridges and Roads, Gorakhpur, as ordered by the Engineer-in-Chief, Public Works Department, not only facilitated the joining of two fake employees but also resulted in fraudulent drawal of salaries of ₹ 3.73 lakh.

Engineer-in-Chief (E-in-C), Public Works Department ordered (July 2004) all the Zonal Chief Engineers to direct all the Executive Engineers (EEs) under their jurisdiction to verify the transfer orders relating to Group D employees (Peon, Beldar, Mate, Chawkidar, Work Agent, etc.) with the office of E-in-C before allowing them to join on transfer basis. The E-in-C also ordered that concerned EEs would be responsible if they allowed the fake employees to join their offices without verification of the genuineness of transfer orders.

Scrutiny of records (June 2011) of the Executive Engineer, Construction Division, Bridges and Roads, Gorakhpur revealed that on the basis of fake transfer orders issued (May 2009 and November 2009) by the office of E-in-C two fake employees[105] reported to Construction Division, Bridges and Roads, Gorakhpur for joining on the basis of last pay certificates (LPCs) issued by Executive Engineer, Provincial Division, Unnao and Executive Engineer, Temporary Division (PMGSY), Kannauj (September 2009 and January 2010). The Executive Engineer, Construction Division, Bridges and Roads, Gorakhpur violating the departmental orders, did not verify the transfer orders and LPCs with the office of E-in-C and allowed two fake employees to join his office on 25.09.2009 and 11.01.2010 respectively. After elapse of 20 months (September 2009 to April 2011) and 16 months (January 2010 to

[105] Shri Satish Kumar Tiwari, Mate and Shri Anjani Kumar Singh, Mate

April 2011) respectively from their joining office, Executive Engineer (Provincial Division), PWD Gorakhpur, informed (May 2011) the Executive Engineer, Construction Division, Bridges and Roads, Gorakhpur that both transfer orders might be fake and need to be verified by the divisions from which these orders had been issued.

Taking cognizance of the matter, a verification of genuineness of the matter was conducted (May 2011) in Kannauj and Unnao Divisions. In reply (May 2011), the Executive Engineer, Provincial Division, Unnao and Executive Engineer, Temporary Division (PMGSY), Kannauj stated that both the employees were neither posted in their divisions nor any LPC was issued. By this time, both the fake employees were paid ₹ 3.73 lakh[106] by the Executive Engineer, Construction Division, Bridges and Roads, Gorakhpur on account of pay and allowances.

In reply, Executive Engineer, Construction Division, Bridges and Roads, Gorakhpur stated that First Information Report had been lodged (June 2011) against the fake employees and the payment of pay and allowances had been stopped from May 2011.

Thus, due to failure to take cognizance of the E-in-C's instruction to verify the genuineness of the transfer orders relating to Group D employees prior to their joining, two fake employees were allowed to join the office of the Executive Engineer, Construction Division, Bridges and Roads, Gorakhpur. This facilitated fraudulent drawal of pay and allowances of ₹ 3.73 lakh.

During discussion (November 2011), the Government admitted the facts and stated that the departmental inquiry was pending and case was sub judice in the Court of Law. The Government further stated that action would be taken accordingly.

[106] Shri Satish Kumar.Tiwari during the period of September 2009 to April 2011; ₹ 2.18 lakh and Shri Anjani kumar Singh January 2010 to April 2011; ₹ 1.55 lakh = ₹ 3.73 lakh

Chapter IV

CHIEF CONTROLLING OFFICER BASED AUDIT OF A GOVERNMENT DEPARTMENT

4.1 Integrated audit of Horticulture and Food Processing Department

Executive Summary

Horticulture and Food Processing Department is responsible for holistic growth in productivity and quality of horticultural crops through latest technologies and extension of food processing methods to generate employment and enhance farm income.

In Chief Controlling Officer based audit of the Department, the period of 2006-11 was covered to examine the economy, efficiency and effectiveness of significant activities keeping in view its mandate. The major audit findings are as under:

- *The Perspective Plan for the entire period (2006-11) was not prepared and Annual Action Plans for 2006-11 were prepared without inputs from district/field level agencies, resulting in fixing up of unrealistic targets.*
- *Mechanism for collecting reliable and realistic data for assessment of horticultural area, production and productivity at District as well as at State level was not developed by the Department.*
- *Against the Plan Budget provision (2006-11) of ₹ 559.01 crore, the State Government released only ₹ 327.71 crore (59 per cent).*
- *Against the approved outlay (2006-11) of ₹ 669.83 crore, GoI released only ₹ 322.05 crore (48 per cent) and the Department could utilise only 53 to 87 per cent of the available funds. Failure of the Department to utilise the original allotment resulted in non-release of approved outlay in the subsequent years.*
- *An avoidable expenditure of ₹ 1.17 crore was incurred (2008-11) on purchase of Garlic seeds.*
- *An amount of ₹ 43.60 crore, parked in PLA (2007-09), was booked as final expenditure. In March 2009, ₹ 23.90 crore was withdrawn from PLA and deposited into the revenue head.*
- *Irregular assistance of ₹ 8.88 crore was provided to the beneficiaries for vegetable seed production.*
- *An avoidable assistance of ₹ 19.69 crore was provided to the beneficiaries (2006-10) without ensuring survival of Medicinal, Spices and Aromatic crops.*
- *Irregular expenditure of ₹ 1.53 crore was incurred (2006-11) on printing of publicity material.*
- *Idle expenditure of ₹ 2.06 crore was incurred (2006-11) on incomplete works at Government seed farms, nurseries and parks.*

4.1.1 Introduction

Uttar Pradesh (geographical area: 2.41 lakh Square km) is an agro-based State. Its 70 *per cent* population is dependent on agriculture, of those, 90 *per cent* are small and marginal farmers (majority belonging to Scheduled Caste). The share of the State was 447.15 lakh MT (26 *per cent*) of the country's total horticulture production (2004-05) of 1698 lakh MT. Only 20 *per cent* of the fruits and vegetables produced in the State are processed and a large part (40 *per cent*) finds its way to other State. Due to inadequate infrastructure for post harvesting and processing, large quantity of horticultural produce is wasted, which adversely affects the income level of the farmers as well as State's economy.

The vision of the Horticulture and Food Processing Department (Department) is to increase the productivity and quality of horticultural crops through use of latest technology and extension of food processing techniques (*viz.* establishment of pack houses, ripening chambers, controlled atmosphere storage, refer vans and mobile processing units) in order to restrict wastage of horticultural produce by creating post harvesting infrastructure.

4.1.2 Significance

Horticulture development and food processing has been an ideal option for diversifying agriculture and heralding a Golden Revolution. Such a revolution will empower the people by generating employment opportunities, improving economic conditions and providing nutritional security. The Department has been selected for CCO[1] based audit to assess the impact of implementation of various schemes and to ascertain the development of area under horticulture, productivity issues and adequacy of post harvesting facilities.

4.1.3 Organisational setup

Principal Secretary, Horticulture and Food Processing Department is responsible for overall implementation and monitoring of various schemes and programmes launched by the Government of India (GoI) and Government of UP (GoUP). At the Department level, Director, Horticulture and Food Processing heads, the Department and is assisted by an Additional Director and four Joint Directors. At district level, District Horticulture Officer (DHO)/ Superintendent, Government Gardens assisted by Horticulture Inspectors are responsible for implementation and monitoring of the schemes /programmes.

4.1.4 Audit Objectives

The objectives of CCO based audit were to ascertain whether:

- adequate institutional capacity to achieve the desired objectives was in existence;

[1] Chief Controlling Officer

- compliance with relevant rules, laws and regulations in discharge of the mandated functions was ensured; and
- the schemes and programmes launched by the GoI and GoUP were implemented and also whether the delivery of services was efficient and effective.

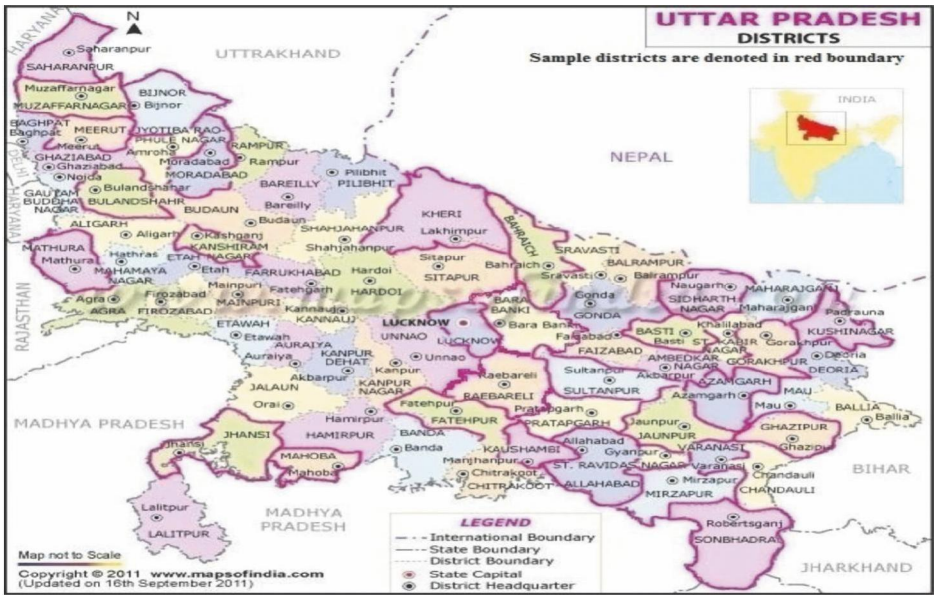
4.1.5 Audit Criteria

Following were the sources of criteria adopted for the CCO based audit:

- Guidelines issued by GoI and the GoUP;
- Budget Manual and financial rules;
- Budget documents, perspective plan, annual action plans and performance budget;
- Departmental policies/rules and regulations;
- Procedures prescribed for monitoring, evaluation and internal audit; and
- Reports on joint physical inspection and interviews with the beneficiaries.

4.1.6 Scope of Audit and Methodology

Audit covered 32 units {14 units of category[2]-H (80 *per cent*), 14 units of category-M (40 *percent*) and 4 units of category–L (20 *per cent*) (***Appendix 4.1***)} out of 73 units of the Department selected through Simple Random Sampling without Replacement (SRSWOR) method. The units selected for CCO based audit are denoted in the map.



Two farms/nurseries of each district were also selected for joint physical inspection with District Horticulture Officer. Records for the period 2006-11

[2] High risk-H, Medium risk-M and Low risk-L

pertaining to Director, Joint Directors, DHOs/ Superintendant, Government Gardens, one Citrus Specialist of Horticulture and Food Processing Department, along with selected nurseries and farms were scrutinised.

An Entry Conference was held on 24 May 2011 with the Secretary, Horticulture and Food Processing Department during which audit objectives, audit criteria, scope and methodology were discussed and agreed upon. The Exit Conference was held with the Joint Secretary, Horticulture and Food Processing Department on 8 February 2012 during which the audit findings and recommendations were discussed. The reply received from the Government has been suitably incorporated at relevant places in the report.

4.1.7 Limitations

Non-production of records and replies to audit memos limited the scope of audit.

Evaluation of the activities of an entity by conducting a performance audit is possible when requisite information and records are furnished by the audited entity to Audit. Despite the assurance given by the Secretary of the Department during the entry conference held on 24 May 2011 that all information and records, required by Audit, would be made available, the records and replies to audit memoranda were not produced to the audit team. A letter was addressed to the Director demi-officially (27 July 2011) regarding non-production of records and the matter was taken up further by the Principal Accountant General with Principal Secretary of the Department (7 September and 12 October 2011). However, the information/ records related to schemes, tender documents and post harvest activities and replies to 644 audit memoranda were largely not furnished as of February 2012 (***Appendix 4.2)***.

The non- production of records and non-furnishing of information to various audit memoranda limited the scope of audit to that extent.

Audit Findings

4.1.8 Institutional Weakness

Every organisation needs to have sound infrastructure, sufficient manpower and funds to manage and achieve its mandate. This ensures soundness and appropriateness of the internal systems and controls in its key areas of activities and drives the organisation towards its objectives in an economical, efficient and effective manner. Some of the areas, where the activity of the Department was found weak, are discussed in the succeeding paragraphs:

4.1.8.1 Planning

Non-preparation of perspective plan and non-participation of implementing agency at grass root level retarded the progress of the schemes.

A Perspective Plan (PP) and Annual Action Plan (AAP) is essential for systematic implementation of any scheme. The schemes for improving Horticulture and Food Processing require baseline survey for assessing the status of horticultural production, its potential and demand, post-harvesting facilities and processing centres before preparation of these plans.

Scrutiny of the records at the Directorate and districts levels revealed that neither baseline survey was conducted nor PP was prepared. AAPs prepared and submitted by the districts were revised at the Directorate level on the basis of data on area and productivity of horticultural produce reported by the Board of Revenue, Agriculture Statistics and Crop Insurance Department. Consequently, physical targets fixed for the implementation of the schemes at district level were largely not achieved as discussed in subsequent paragraphs.

Scrutiny further revealed that the data of area and production of Mango, Guava, Potato and Tomato made available for the period 2006-07 to 2009-10, collected and reported by the test checked districts to the Directorate and data entered in the records maintained by the Directorate had substantial differences as detailed in ***Appendix 4.3***.

Thus, the participation of the implementing agencies at the grass root level in the planning process was largely absent. As a result, most of the infrastructural projects were implemented in an unsystematic manner which retarded the progress of the schemes as discussed in subsequent paragraphs.

While accepting the facts, the Government stated (February 2012) that proposal for creation of database of horticultural area and production had been approved by the Planning Department and reliable data would be available after physical verification.

4.1.8.2 Human Resources Management

Adequate human resource is a key element required for preparation, implementation and monitoring of schemes/programmes.

Scrutiny of records of Directorate and test checked districts revealed shortage of key functionaries at each level as detailed in **Table 1**.

Table 1: Status of Officers and Staff as of March 2011

Name of Post	State level			In test checked districts			
	Sanctioned	Person-in-position	Shortages (*Per cent*)	Sanctioned	Person-in-position		Shortages (*Per cent*)
					April 2006	March 2011	
DHO[3]	67	35	32 (48)	28	22	17	11(39)
SHI[4]	174	108	66 (38)	85	66	68	17(20)
HI	173	40	133 (77)	84	46	23	61(73)
AHI	379	310	69 (18)	208	176	157	51(25)

(Source: Directorate & concerned DHOs records**)**

Shortage of manpower at various levels affected the work of survey, implementation and monitoring of the schemes.

At the State level the shortage of DHOs, SHIs, HIs and AHIs was 48, 38, 77 and 18 *per cent* respectively as on March 2011. At the management level also, five against the 23 sanctioned posts of Deputy Director were lying vacant as on March 2011. It is also evident from the Table 1 that the number of posts of key functionaries in test checked districts gradually decreased during

[3] In 5 districts Superintendant, Government Gardens were supervising the implementation of the schemes.
[4] Senior Horticulture Inspector (SHI), Horticulture Inspector (HI) and Assistant Horticulture Inspector (AHI).

2006-11, in spite of the fact that many new schemes[5] (GoI and GoUP) *viz.* State Horticulture Mission (SHM), *Rashtriya Krishi Vikas Yojna* (*RKVY*), National Mission on Medicinal Plants (NMMP), Micro Irrigation (MI) and Professional Horticultural Development of Intensified Area (PHDIA) were launched in the State during this period.

On being pointed out in audit, DHOs of the test checked districts stated that due to shortage of manpower, survey, implementation and monitoring of the schemes/programmes could not be done adequately. It was also intimated (May 2011) by DHO, Kaushambi that physical verification of plantation in fruit garden was not done due to shortage of staff resultantly subsequent installments of ₹ 0.36 crore of financial assistance was not released by DHO.

The Government while accepting the facts stated (February 2012) that necessary action for filling up the vacant posts was under process. The reorganisation of the Department was also in progress and one official would be available at each block.

Thus, shortage of manpower at various levels adversely affected the achievements of the targets of the schemes and programmes as envisaged.

4.1.8.3 Infrastructure Development

In order to formulate overall development of the horticulture sector post-harvest management, processing and marketing of horticultural produce, a network of infrastructural facilities was to be created.

To meet the developmental requirement of horticulture sector, GoI launched (2005-06) State Horticulture Mission, jointly funded by the State Government, in 45 districts[6] of the State and in remaining 28 districts, the State Government launched (2006-2007) Professional Horticultural Development of Intensified Area on the pattern of SHM.

The physical targets and achievements of infrastructure under both the schemes during 2006-11 were as below:

Table 2: Physical targets and achievements as of March 2011

Sl. No.	Item	State Horticulture Mission (2006-11)		Professional Horticultural Development of Intensified Area (2006-10)	
		Target	Achievement (Percentage)	Target	Achievement (Percentage)
1	Pack house	381	143 (37)	43	28 (65)
2	Cold storage	200	168 (84)	-	-
3	Refer vans	28	-	-	-
4	Mobile processing unit	67	1 (1)	-	-
5	Garlic storage	8	2 (25)	-	-

[5] SHM (June 2005), RKVY (May 2007), MI (January 2006), NMMP (March 2009) and PHDIA (2006).
[6] (2005-06: 26, 2007-08:14 and 2009-10:5 districts)

6	Wholesale market	2	1 (50)	-	-
7	Rural market	80	1 (1)	20	13 (65)
8	Ripening chamber	5	2 (40)	-	-
9	Low energy cool chamber	41	1 (2)	1500	1000 (67)
10 a	Preservation of new unit	85	7 (8)	-	-
10 b	Up gradation old unit	55	5 (9)	-	-
11	Onion storage	1051	158 (15)	214	112 (52)
12	Turmeric curing	52	19 (36)	-	-
13	Distillation unit	248	19 (8)	-	-
14	Pre-cooling unit	2	0	-	-
15	Mobile pre-cooling unit	8	0	-	-
16	Functional infrastructure	149	24 (16)	-	-
17	Static/Mobile wending cart	258	8 (3)	-	-
18	Controlled atmosphere	2	0	-	-
19	Market for flower	2	0	-	-
20	Quality awareness	127	3 (2)	-	-

(**Source:** Directorate records)

Targets fixed for infrastructure development were not achieved.

It is evident from the above that though PHDIA was launched on the pattern of SHM, provision was made for only four components such as establishment of pack house, rural market, low energy cool chamber and onion storage. The scheme was discontinued after March 2010. Thus, 28 districts covered under PHDIA lagged behind in the processing of horticultural produce.

Audit findings on the implementation of the schemes are discussed in subsequent paragraphs.

The Government while accepting the facts stated (February 2012) that infrastructure development would be implemented on the patterns of SHM through *RKVY*.

4.1.8.4 Monitoring and Evaluation

Monitoring

Monitoring of the scheme activities was inadequate and documentation was not done.

In the planning documents of SHM, MI, *RKVY* and PHDIA schemes, it was provisioned that a State Level Committee would monitor the schemes in the State and at regional levels, Deputy Director (DD) would monitor the implementation of these schemes and verify 20 *per cent* of scheme activities. DHOs of the concerned districts were solely responsible for implementation of the schemes and their verification.

Scrutiny of the records by audit (May-June 2011) and information made available by the Directorate revealed that under SHM 15 meetings (October 2005 to January 2011) were held at the State level. In case of MI and RKVY schemes, only three State level meetings were held during 2006-11. Further scrutiny revealed that no mention was made in the minutes regarding monitoring of the scheme activities by the DDs and DHOs *vis-a-vis* the prescribed percentage.

Scrutiny of the records (April - September 2011) of the 11 DDs and 24 DHOs of the test checked districts revealed that monitoring reports of inspection were neither prepared by DDs nor by DHOs. In reply to Audit query (April - September 2011), the concerned DDs/DHOs stated that the monitoring of the schemes was done but no monitoring/inspection note was prepared. In the absence of any documentation, the existence and adherence to prescribed monitoring mechanism was not verifiable.

The Government accepted the fact and stated (February 2012) that directions had been issued to all the Divisional Deputy Directors and District Officers for monitoring and verification as per norms.

Evaluation

Evaluation of SHM was not done and even corrective measures initiated by the State Planning Institute were not adopted.

Guidelines of SHM provided that evaluation of the scheme was to be conducted at the end of the Tenth plan period (March 2007). The State Level Executive Committee (SLEC) of SHM in its Fifth meeting (January 2007) initiated the process of selection of an agency for evaluation of the scheme activities. Till the Sixteenth meeting of SLEC (January 2011), selection of the agency was not finalised. Thus, the impact of the scheme was not evaluated by any independent agency and therefore, the advantages of mid course correction, if required, were denied.

State Planning Institute (SPI) of GoUP conducted (2009-10) evaluation of PHDIA scheme by selecting five (Aligarh, Bahraich, Bijnor, Fatehpur and Kanpur Dehat) out of 26 districts. The evaluation report *inter alia* pointed out that only the people with resources benefited; survival of plantation was low due to inferior quality of planting materials, late/short supply of plants and seeds, rejuvenation of fruit garden against the norms, beneficiaries were not provided assistance as per norms etc. SPI also evaluated (2009-10) MI scheme by selecting five districts (Allahabad, Kaushambi, Meerut, Raebareli and Saharanpur) of the State. SPI in its report stated (January 2010) that the progress of the scheme was slow as beneficiaries lacked technical knowhow. It also stated that norms to benefit Scheduled Caste/Scheduled Tribe population were not adopted and only 54 *per cent* of the system (Drip and Sprinkler) were established of which only 67 *per cent* were functional.

SHM was not evaluated at all and performance of other small schemes, which were evaluated, was inadequate and no corrective measures initiated to rectify the same come to notice during the period under review, defeating the very purpose of evaluation.

The Government accepted the facts and stated (February 2012) that a committee headed by Class -I officer would be constituted in each district for verification of inputs *viz.,* seeds, plants, fertilizer and chemicals etc. It was also informed to Audit that payment would be released only after verification.

4.1.8.5 Internal Control

Internal control is a process by which an organisation directs its activities to achieve its objectives effectively. Scrutiny of the records at the Directorate level revealed that the Internal Audit Wing of the Directorate was required to conduct annual audit of the district units. During 2006-11, the wing planned internal audit of 95 units every year but only 34 to 70 units were actually covered. The percentage of unaudited units increased from 32 to 64 in 2006-07 and 2010-11 respectively.

Huge pendency in compliance to audit observations.

Statutory audit of the Department was being conducted by the Principal Accountant General (Civil Audit) UP, Allahabad. As of January 2012, 245 paragraphs (Money value: ₹ 97.30 crore) of 91 Audit Inspection Reports (2007-12) were outstanding.

Due to failure to conduct internal audit as planned and to take remedial action on the observations of statutory audit, large number of objections/ issues remained outstanding which diluted the oversight mechanism.

The Government while accepting the facts stated (February 2012) that due to shortage of staff the targets were not achieved. It was also stated that annual targets of internal audit would be ensured and a schedule would be made for clearance of outstanding audit paragraphs of internal and statutory audit at Directorate level.

4.1.9 Compliance Issues

For sound financial administration and control, it is essential that expenditure conforms to financial rules, regulations and is in consonance with orders issued by the competent authority. This not only prevents irregularities, misappropriation and frauds but also helps in maintaining good financial discipline. Some of the audit findings regarding non-compliance with rules and regulations are discussed in the following paragraphs:

4.1.9.1 Financial Management

Preparation of Budget and its utilisation

Budget Manual of GoUP stipulates that the Budget Estimates (BEs) are to be consolidated by the Controlling Offices based on the proposals received from the subordinate offices and should be as accurate as possible. The Directorate did not produce any record/ information regarding the basis for preparation of BEs for the period 2006-11.

The details of the budget estimates proposed by the Department during 2006-11, sanctions and releases by the Government and expenditure incurred there against are given in **Table 3**.

Table 3: Budget outlay and expenditure as on March 2011

(₹ in crore)

Year	Plan				
	Budget estimates	Sanctioned budget	Budget released	Expenditure	Percentage of utilisation
2006-07	52.60	51.35	48.71	46.85	96
2007-08	191.96	97.91	88.97	82.63	93
2008-09	125.49	92.48	88.24	74.98	85
2009-10	96.07	82.92	80.64	65.49	81
2010-11	92.89	28.49	21.15	19.10	90
Total	**559.01**	**353.15**	**327.71**	**289.05**	**88**

(**Source:** Directorate records)

Lack of correlation in planned budget estimate, releases and expenditure.

It is evident from the above table that, against the aggregate budget estimates of ₹ 559.01 crore during 2006-07 to 2010-11, GoUP sanctioned budget estimate of ₹ 353.15 crore against which only ₹ 327.71 crore was released. Of this, the Department could utilise only ₹ 289.05 crore (88 *per cent*).

The Government accepted the facts and stated (February 2012) that efforts would be made for collecting budget estimates from the districts before preparation of annual action plan. It also stated that due to shortage of staff the implementation of the schemes and expenditure theiragainst were affected.

Allocation and expenditure

The Department was implementing two GoI funded, two jointly funded (GoI & GoUP) and nine State funded schemes. The availability of funds for the schemes and expenditure incurred during 2006-11 are given in **Table 4**:

Table 4: Financial outlay of the schemes

(₹ in crore)

Sl. No.	Name of the scheme	Funds available during 2006-11	Expenditure	Shortfall (-) Excess (+)
GoI and State funded Schemes				
1	State Horticulture Mission[7] (GoI:85 and State:15)	453.84	417.73	(-) 36.11
2	Micro Irrigation Scheme (GoI:80 and State:20)	30.07	21.47	(-) 8.60
GoI funded Schemes				
3	*Rashtriya Krishi Vikas Yojna*	86.03	70.20	(-) 15.83
4	National Mission on Medicinal Plants	8.08	3.82	(-) 4.26
State funded Schemes				
5	Intensification and Seed Processing Centre of Horticultural produces in State	12.21	11.97	(-) 0.24
6	Encouragement of Zetrofa Farming	1.50	1.34	(-) 0.16
7	Professional Horticultural Development of Intensified Area	163.12	152.38	(-) 10.74
8	Protection of Fruit garden in the State	7.66	7.66	-
9	Horticulture Crop Insurance	2.0	2.0	-

[7] Cent *per cent* GoI funded till March 2007 and thereafter jointly funded (GoI:85 and State:15 *per cent*)

10	Horticulture Data Base Management	7.11	7.01	(-) 0.10
11	Food Processing Industrial Development Training	4.54	4.50	(-) 0.04
12	Quality Control and Hygiene related Awareness Training	2.56	2.50	(-) 0.06
13	Beautification of Ambedkar parks in Ambedkar Nagar	0.59	0.59	-
	Total	**779.31**	**703.17**	**(-) 76.14**

(**Source:** Information collected from Directorate and Koshwani)

It is evident from the table that during 2006-11, the Department did not utilise ₹ 76.14 crore of the available funds under these schemes.

In the Exit Conference, the Government accepted the facts (February 2012).

Irregular purchases of Garlic Seeds under SHM

Paragraph 260 (Appendix 18) of Financial Handbook (FHB) Volume V (Part I) stipulates that purchases of non-rate contract items should be made through tendering process and from prominent and registered firms. Besides, detailed specifications should also be mentioned in the tender document to get more competitive and fair rates.

In this regard the SLEC under the chairmanship of Agriculture Production Commissioner (APC) also decided (June 2008) to ensure quality and for uniformity in rates. A committee headed by the Director was to be constituted for entering into agreement of quantity and rates for the supply of seeds, planting material and other inputs through tendering.

Non-adherence to financial rules and lackadaisical approach of the Department led to avoidable expenditure of ₹ 1.17 crore.

Under the SHM, the Department was required to purchase certified Garlic seeds for the "Establishment of Spice Plants Garden". But due to non-adherence to the financial rules, the purchases were made from different firms (***Appendix-4.4***) and an avoidable expenditure of ₹ 1.17 crore was incurred as discussed below:

(i) Scrutiny of records of the test checked districts revealed that during 2008-09, 14 DHOs purchased 1,73,918 Kgs of Garlic seeds from different agencies and at different rates. DHO, Meerut purchased the seeds (Variety: G-282) at the rate of ₹ 50 per kg from NHRDF[8] whereas other 13 DHOs purchased the seeds (G-282) from HP Agro, NAFED, UP Khadi Board, UP Seeds Corporation Limited etc. at rates ranging from ₹ 69.40 to ₹ 125 per kg. This led to extra expenditure of ₹ 81.03 lakh as detailed in ***Appendix 4.4***.

(ii) During 2009-10, the Department invited rates from prominent firms for supply of Garlic seeds. NHRDF, Nasik, Maharashtra offered the rate of ₹ 50 per kg for supply of the seeds (G-282). This offer was accepted in the eleventh meeting (3 March 2009) of SLEC. But, the Directorate, directed 30 September 2009, concerned districts to make purchase of Garlic seeds (G-282) from

[8] National Horticultural Research and Developmental Foundation (NHRDF)

NHRDF though the sowing period for *Rabi* season was October-November 2009.

In the meantime, the Department also enlisted (17 June and 1 July 2009) nine other firms for purchase of Garlic seeds (G-282) without prescribing the rates.

Scrutiny of records of the test checked districts revealed that 19 DHOs purchased 1,00,424 kg Garlic seeds (G-282) from different firms at different rates ranging between ₹ 64 to ₹ 125 per kg and incurred an excess expenditure of ₹ 26.79 lakh (***Appendix 4.4)*** which was avoidable, if seeds would have been purchased from NHRDF at the rate of ₹ 50 per kg**.**

Thus, nominating the firms for supply of seeds at higher rates without the consent of the SLEC and delaying the communication of the names of the firms ready to supply at lower rates to the districts ultimately burdened the public exchequer.

(iii) During 2010-11, DHOs of 15 districts purchased 32,061 kg Garlic seeds (G-282) at the rate of ₹ 120 per kg from NHRDF and incurred an expenditure of ₹ 38.47 lakh, though Himachal Pradesh Agro Industries Corporation Limited (HPAICL) had offered (July 2010) the rate of ₹ 90 per kg to the Director and all DHOs. Thus, ignoring the offer of HPAICL, excess expenditure of ₹ 9.60 lakh was incurred by the concerned DHOs ***(Appendix 4.4)*** on purchase of Garlic seeds (G-282)**.**

The Government accepted the facts and stated (February 2012) that in future centralised purchases would be made.

Thus, non-adherence to financial rules and lackadaisical approach of the Department led to avoidable expenditure of ₹ 1.17 crore.

Funds parked in PLA refunded to the Government

Paragraph 162 of the FHB Volume V (Part I) stipulates that money should not be drawn from the Government Treasury unless it is required for immediate disbursement.

To avoid lapse of budget State share of ₹ 43.60 crore was parked in PLA and was booked as final expenditure.

Scrutiny of records of the Directorate revealed that ₹ 43.60 crore ***(Appendix 4.5)*** sanctioned by the Government during 2006-08 for the implementation of various schemes was withdrawn from the Treasury and parked in the PLAs[9] of *UP Bhoomi Sudhar Nigam Limited* (UPBSNL), Lucknow and UP Scheduled Caste Finance and Development Corporation Limited, Lucknow. The Department deposited (March 2009) ₹ 23.90 crore into its receipt head of account (Major Head-0401) thereby showing it as inflated departmental receipts to that extent. Only the balance ₹ 19.70 crore was released to the districts for implementation of the schemes.

Besides, scrutiny of records of the test checked districts revealed that funds

[9] Personal Ledger Account (PLA)

(₹ 5.31 crore) relating to State share of SHM, MI and other State funded schemes was withdrawn (2006-11) from the Treasury and kept in the bank account of SHM (₹ 4.63 crore) and PLA of DRDA (₹ 0.68 crore) as detailed in ***Appendix 4.6.***

Thus, the State share was irregularly withdrawn from the Treasury and was parked in PLA/bank account for period ranging between 1 to 2 years.

The Government while accepting the fact stated (February 2012) that at present funds were not being parked in bank account and PLA.

Non-preparation of Bank Reconciliation Statements

Non-preparation of Bank Reconciliation Statements resulted in huge differences in cash book and bank balances.

Bank Reconciliation is an essential internal control mechanism that highlights and explains the difference between bank balance shown in the bank statement and the corresponding amount shown in the cash book at a particular point of time. The preparation of reconciliation statement is mandatory for each DHO operating schemes through bank accounts.

Scrutiny of the records of the test checked DHOs revealed that during 2006-11, DHOs (19) did not prepare Bank Reconciliation Statement of SHM bank account despite huge differences between the closing balances of Cash Book and those shown in the bank statements as detailed in ***Appendix 4.7***.

Moreover, in offices of DHOs mentioned in Table 5, the cash books (in 3 districts: main cash book and in 3 districts: Scheme specific cash book) were not maintained.

Table 5: Details of expenditure as on September 2011

Sl. No.	Name of office	Period of expenditure	Treasury/ Bank	Expenditure (₹ in crore)
1	DHO, Bahraich	June - August 2011	Treasury	0.16
2	DHO, Mirzapur	August 2010-March 2011	Treasury	0.98
3	DHO, Sultanpur	April 2010-May 2011	Treasury	2.24
4	DHO, Sonbhadra	April 2010-March 2011	Bank	0.35
5	DHO, Gorakhpur	April 2008-June 2011	Bank	0.08
6	DHO, Mahoba	21st March 2010-July 2011	Bank	0.03
			Total	**3.84**

(**Source:** DHO records)

Thus, provisions of FHB were not complied with by the concerned DHOs.

The Government while accepting the fact stated (February 2012) that instructions were being issued to the concerned districts for preparing the Bank Reconciliation Statement on priority.

The reply is inadequate as it does not reflect the comprehensive addressal of the issue relating to the essential internal control mechanism of Bank Reconciliation.

Maintenance of GPF Records

GPF advances of ₹ 19.93 lakh pertaining to Group "C and D" employees were not entered into their GPF pass books.

As per GPF Rules, 1985, the maintenance of GPF records of Group "C (Pass books) and D" (Ledger, Broadsheet and Pass books) employees is the responsibility of the Heads of Offices/DDOs.

Scrutiny of the records of the Directorate and the test checked districts[10] revealed that:

- During 2005-11, GPF advances of ₹ 19.93 lakh pertaining to 30 Group "C and D" employees were not entered into their GPF pass books (***Appendix 4.8***);

Broadsheet of Group "D" employees was not maintained in district offices.

- The records (ledgers and pass books) of drawls of GPF advances of ₹ 70.70 lakh pertaining to 81 Group "C" and "D" employees for the period 2006-11 were not furnished to Audit for verification (***Appendix 4.9***); and
- District offices did not maintain (2006-11) the broadsheets of Group "D" employees for exhibiting subscriptions, recoveries, advances sanctioned and interest allowed etc.

The Government accepted the facts and stated (February 2012) that the records of GPF would be prepared on priority.

4.1.10 Implementation of Schemes/Programme

The Department was implementing mainly 13 schemes (2006-11). Of these six functional schemes, selected on the basis of expenditure, were examined and results thereof are discussed in the following paragraphs:

4.1.10.1 State Horticulture Mission (SHM)

GoI launched (June 2005) National Horticulture Mission (NHM), a Centrally Sponsored Scheme, for holistic development of horticulture by ensuring horizontal and vertical linkages with active participation of all the stakeholders. GoI revised (2007-08) the funding pattern (GoI: 85 and State: 15 *per cent*) and envisaged to increase the horticulture growth rate of the State from 6.57 to 10.87 *per cent* under the Eleventh Five Year Plan (2007-12) covering 45 districts and an additional area of 15.75 lakh hectare (***Appendix 4.10).***

Objectives of the scheme

The main objective of the SHM was to provide holistic growth of the horticulture sector through an area based regionally differentiated strategies

[10] Allahabad, Azamgarh, Bahraich, Basti, Bijnor, Bulandsahr, Fatehpur, Ghazipur, Gorakhpur, Jaunpur, Jhansi, Kanshi Ram Nagar, Kaushambi, Kushinagar, Lakhimpur Kheri, Lucknow, Mahoba, Mathura, Meerut, Mirzapur, Moradabad, Muzaffarnagar, Raebareli, Saharanpur, Sant Kabir Nagar, Siddharth Nagar, Sonbhadra, Sultanpur and Varanasi.

(research, technology promotion, post harvest management, processing and marketing). Audit examined major horticultural crops cultivated in the State viz. banana, mango, guava, litchi, garlic, chilly, turmeric and vegetable seeds. The results are discussed in succeeding paragraphs:

Financial Management

The Central assistance allotted, as per approved AAP, was based on the expenditure incurred during the previous year and the capacity of the SHM in implementing the programme and it was released directly to the SHM through demand drafts/ cheques.

GoI releases and their utilisation

The details of releases and expenditure thereagainst during 2006-11 under the SHM were as given below:

Table 6: Details of releases of GoI and utilisation during 2006-11

(₹ in crore)

Year	Opening Balance	Amount due as per AAP	Amount received from GoI	Total Amount	Expenditure (*per cent*)	Cumulative Balance
2006-07	47.87	123.98	15.00	62.87	33.41 (*53*)	29.46
2007-08	29.46	180.62	94.26	123.72	68.53 (*55*)	55.19
2008-09	55.19	144.21	63.73	118.92	87.65 (*74*)	31.27
2009-10	31.27	114.77	91.43	122.70	106.14 (*87*)	16.56
2010-11	16.56	106.25	58.08	74.64	57.49 (77)	17.15
Total		**669.83**	**322.50**		**353.22**	

(Source: Directorate records)

Non-utilisation of GoI releases resulted in non-release of assistance of approved outlays.

As evident from the table above, during 2006-11, against the approved outlay of ₹ 669.83 crore, the amount received from GoI was ₹ 322.50 crore (48 *per cent*) of the budgeted amount.

Further, it was noticed that the Department utilised only 53 to 87 *per cent* of the available funds and balances ranging from ₹ 16.56 to ₹ 55.19 crore remained unutilised in all the years.

Failure of the Department to utilise the original allotment resulted in non-release of assistance of approved outlays by GoI in the subsequent years.

In the Exit Conference the Government accepted (February 2012) the fact but did not furnish any specific reply.

Expenditure without supporting vouchers

Expenditure of ₹ 52.03lakh was incurred without supporting vouchers.

As per Rule 50 (3) of FHB (Volume V) Part I vouchers should be kept as testimony for the expenditure incurred.

Scrutiny of the records of DHO, Kushinagar revealed that:

- During 2006-07, an expenditure of ₹ 52.03 lakh was incurred by the DHO, Kushinagar but documentary evidence in support of expenditure

was not made available and therefore, the genuineness of the expenditure incurred could not be verified; and

- DHO, Kushinagar made an advance payment (January 2006) of ₹ 2.99 lakh to an employee (Clerk-cum-Cashier) but the adjustment vouchers were not available even after a lapse of five years of the retirement of the official.

The Government while accepting the fact stated (February 2012) that instruction were being issued to Director for conducting an inquiry against the DHO, Kushinagar and result of inquiry would be intimated to Audit.

Funds provided to other Departments

During 2006-11, ₹ 51.36 crore was provided to other departments without any monitoring.

Scrutiny of the records of the Directorate, revealed that ₹ 51.36 crore was released (2006-11) to other departments (13) for establishment of Nurseries, Tissue Culture Laboratory (TCL) etc. as detailed in ***Appendix-4.11***. The project report, monitoring report, completion report and details of utilisation of funds were not found on record. As such, the progress made on establishment of Nurseries, TCL could not be ascertained in audit.

The Government while accepting the fact stated (February 2012) that a meeting would be conducted under the chairmanship of Agriculture Production Commissioner (APC) and decision for withdrawal of funds from the erring departments would be taken.

Vegetable Seed Production

Scheme of Vegetable Seed Production envisaged giving financial assistance to farmers for producing seedlings for germination in such a manner that early and late crop could be possible thereby avoiding glut and scarcity of produce. The assistance was based on quantum of seedlings produced per hectare in a given region (210 quintal/hectare (ha) in Eastern districts and 230 quintal in Western districts). In case of pea seeds, prescribed quantity was 12 quintal/ha for all the districts of the State. The assistance was to be provided after assuring production of seeds as per norms and their certification (tagging) by UP Seeds Certification Institute.

Irregular assistance of ₹ 8.88 crore was provided to the beneficiaries for vegetable seed roduction.

Scrutiny of records of the test checked districts revealed that the financial assistance of ₹ 8.88 crore (Potato: ₹ 1.79 crore and Peas: ₹ 7.09 crore) was provided (20 districts[11]) to the beneficiaries during 2006-11 without assessing the prescribed quantum of seed produced.

Thus, due to non-adoption of SHM norms, the fulfillment of intended objectives of seed production was not ensured.

[11] Allahabad, Basti, Barabanki, Bulandsahr, Ghazipur, Gorakhpur, Jaunpur, Jhansi, Kaushambi, Kushinagar, Mathura, Meerut, Mirzapur, Moradabad, Muzaffarnagar, Raebareli, Saharanpur, Sant Kabir Nagar, Sonbhadra and Sultanpur.

The Government while accepting the fact stated (February 2012) that inquiry would be conducted by the Joint Director, in two sampled districts (Basti and Saharanpur).

Establishment of New Gardens

The SHM envisaged bringing new areas under perennial fruit crops (Mango, Guava, Litchi, Aonla, Bael, and Citrus), flowers (cut flowers, bulbous flowers and loose flowers) spices (Chilly, Garlic, and Turmeric) and aromatic crops (Patchouli, Geranium, Rosemary, and Damask Rose). It envisaged providing assistance for cultivation spread over a period of three years in the ratio of 50:20:30, subject to survival rate of 75 *per cent* in the second year and 90 *per cent* in the third year of the new gardens.

Scrutiny of records of the Directorate revealed that the Department released (2006-10) entire assistance of ₹ 41.80 crore to the beneficiaries of 39,308 ha in the first year itself against admissible amount of ₹ 22.11 crore (₹ 5,625 x 39,308) as per NHM guidelines.

Irregular assistance of ₹ 19.69 crore was provided to the beneficiaries of new garden.

This resulted in irregular release of assistance of ₹ 19.69 crore (Medicinal: ₹ 0.83, Spices: ₹ 15.17 and Aromatic: ₹ 3.69 crore) for 39,308 ha of land during 2006-10 without ensuring the survival of the plantation in the subsequent years.

The Government accepted the facts and stated (February 2012) that future assistance would be provided only after ensuring the survival of the plantation.

The above reply is indicative of the absence of monitoring, internal controls and fulfilment of the objectives of the Mission.

Non- adoption of norms of financial assistance

The quantum of assistance was fixed (2005-06) as ₹ 22,500 per ha for perennial fruits (maximum 75 *per cent*) and ₹ 11, 250 per ha for spices and aromatic plants. The financial assistance of cultivation was normally for one crop and was to be spread over a period of three years in the ratio of 50:20:30, subject to survival rate of 75 *per cent* in second year and 90 *per cent* in the third year. GoI revised (April 2010) the rates[12] of financial assistance in the ratio of 60:20:20

During 2006-11, an amount of ₹ 37.36 crore was released to the district units for providing financial assistance to the beneficiaries for bringing additional area of 34,530.64 ha ***(Appendix-4.12)*** under cultivation of major fruit crops (Aonla, Bael, Citrus, Guava, Litchi and Mango). Physical and financial targets were also fixed by the Directorate for providing financial assistance to the beneficiaries for maintenance of gardens.

[12] Mango: ₹ 16, 500, Mango (High density):₹ 40, 000, Guava: ₹ 16,463, Guava (High density): ₹ 31,388, Aonla: ₹ 17,505, Citrus/Ber/Bel: ₹ 14,213, Litchi: ₹ 17625 per hectare.

Scrutiny of records of the Directorate revealed that:

Irregular assistance of ₹ 1.27 crore was paid for maintenance of plantation.

- During 2006-07, plantation was made in 3001.75 ha, whereas maintenance assistance was provided to the beneficiaries of 5490.50 ha in 2007-08 and 4634.60 ha in 2008-09;

Thus, financial assistance of ₹ 1.27 crore (2007-08: ₹ 0.71 crore and 2008-09: ₹ 0.56 crore) paid to the beneficiaries for maintenance over and above the plantation area of 3001.75 ha was irregular;

Excess assistance of ₹ 2.08 crore was provided for plantation.

- During 2007-08, financial assistance of ₹ 11.22 crore was released for plantation in 8127.49 ha area, as against permissible assistance of ₹ 9.14 crore (at the rate of ₹ 11250 /ha). As such, excess financial assistance of ₹ 2.08 crore for plantation was provided to the beneficiaries.

Scrutiny of records of the test checked districts revealed that:

- During 2006-11, expenditure to the tune of ₹ 19.93 crore was incurred for providing financial assistance to the beneficiaries for bringing an additional area of 20,537.88 ha (***Appendix-4.13***) under cultivation of perennial[13] fruit crops.

It was noticed that during 2006-07, plantation was made in 2147.10 ha, whereas for maintenance in first and second year, assistance was provided to the beneficiaries of 3788.39 ha in 2007-08 and 3287.00 ha in 2008-09, which resulted in excess expenditure of ₹ 1.06 crore (2007-08: ₹ 0.72 crore and 2008-09: ₹ 0.34crore).

In reply, concerned DHOs stated (April-September 2011) that financial assistance for maintenance was given to the beneficiaries of previous years' plantation.

The reply was not acceptable as assistance for maintenance of plantation area achieved in a year can either remain stationary or decrease (due to non survival of plants) in succeeding 2nd and 3rd years. But, under no circumstances this area can increase.

The Government accepted the fact and stated (February 2012) that a detailed inquiry would be conducted by the Finance Controller.

Rejuvenation/Replacement of senile plantation

To improve the productivity through removal of senile plantation, re- plantation with fresh, appropriate and integrated combination of inputs, pruning and grafting techniques, an assistance at the rate of 50 *per cent* of the cost subject to maximum ceiling of ₹ 15000 per ha (limited to 2 ha per beneficiary) of rejuvenation/replacement, was admissible to the identified

[13] Aonla, Bael, Citrus, Guava, Mango and Litchi.

beneficiaries. The garden for rejuvenation was to be identified only after Joint Inspection carried out by the concerned DHO and Scientist of HRTC[14].

Financial assistance of ₹ 6.16 crore was paid for rejuvenation without required joint inspection.

However, scrutiny of records in the test checked districts revealed that identification of garden for rejuvenation was made without Joint Inspection in 24 districts and assistance of ₹ 6.16 crore was released (2006-11) to the beneficiaries of 5774.45 ha (60 *per cent*) against the target of 9570 ha.

In reply, the concerned DHOs stated (July 2011) that the inspection was carried out by the Horticulture Inspectors.

The reply is not acceptable as joint inspection in identification of garden for rejuvenation was the prerequisite of scheme guidelines but was not done and the inspection reports of the Horticulture Inspectors were also not available.

The Government accepted the fact and stated (February 2012) that district authorities were being directed to furnish the joint inspection reports to Audit. The same were awaited (March 2012).

Post Harvest Management

Post harvest management was an important component of the SHM. Under the programme processing and marketing of horticultural produce, creation of a network of infrastructural facilities for storage, packaging, grading, transportation, curing and ripening was essential for increasing the marketability of the horticulture produce.

Scrutiny of records of the Directorate revealed that during 2006-11, the Department made provision for 20 components in post harvest activities. Further scrutiny revealed that in 13 components, achievement was less than 10 *per cent.*

Effective steps for creation of Post Harvest Facilities were not taken.

Scrutiny of records of the test checked districts revealed that during 2006-11, though provision was made and funds were available but achievement was only between zero to 31 *per cent* ***(Appendix-4.14)***. This indicated that allocation in the AAP was made without assessing the field level requirement resulting in lack of support mechanism to add value to the farmers' produce.

In reply, concerned DHOs stated (April – September 2011) that due to non-sanctioning of the project by the Directorate and lack of interest shown by the beneficiaries, achievement was lacking.

The reply is not acceptable as the post harvest activity was an important component of the scheme to reduce the pilferages of the farmers produce and proper publicity for generating awareness of the activities should have been made. Further, timely approval of the projects should also have been ensured by the Department.

[14] Horticultural Research and Training Centre.

The Government, while accepting the fact, stated (February 2012) that the pilferages of farmers produce would be reduced after commencement (April 2012) of Food Processing Mission by GoI.

Other irregularities noticed in test checked districts

Audit scrutiny of records of scheme in test checked districts revealed the following irregularities:

Non- distribution of organic fertiliser resulted in wasteful expenditure of ₹ 23.26 lakh.

- DHO, Kushinagar incurred (February 2007) an expenditure of ₹ 23.26 lakh on purchase of organic fertiliser from UP State Agro Industrial Corporation Limited, Lucknow. It was noticed that the organic fertiliser was not distributed to the beneficiary farmers and was kept dumped (February 2007) in the premises of Government Cold Storage, Kasia, resulting in wasteful expenditure and non-utilisation of available material by beneficiaries; and

- Physical verification of Vermi units in five test checked districts (Jaunpur, Jhansi, Mahoba, Mathura and Saharanpur) revealed that production of vermi compost was being done only at Saharanpur and in the remaining districts either the vermi units were not constructed (Jhansi, Mahoba and Mathura) or were non-functional (Jaunpur).



Vermi compost unit in Jaunpur



Vermi compost unit in Jhansi

The Government, while accepting the facts mentioned above, stated (February 2012) that inquiry would be conducted in the concerned districts.

4.1.10.2 Rashtriya Krishi Vikas Yojna (*RKVY*)

With a view to achieve four *per cent* annual growth in horticulture and agriculture sector during the eleventh plan period, GoI launched (May 2007) *RKVY*, a centrally sponsored scheme (100 *per cent*), to enhance agricultural/horticultural production by providing qualitative seeds and planting material, agricultural equipment, assistance to State Seed Farms and organising study tours for the farmers.

Objectives of the Scheme

The main objectives of the scheme were to increase the availability of improved seeds and elite planting material, expansion of area under high value vegetables, improving horticultural technology, establishing convergence and synergy among multiple programmes, enhancing and strengthening the technical knowledge of the farmers and to create opportunities for employment for skilled and unskilled youth.

Financial Management

Agriculture Department was the nodal agency for *RKVY* and was also responsible for preparing State Agriculture Plans (SAP), which *inter alia* included horticulture development. The utilisation certificates and quarterly physical & financial progress reports were to be furnished to the Department of Agriculture and Cooperation, Government of India.

Allocation and expenditure

The scheme was divided into two streams. In Stream -I, 75 *per cent* of the total allocation under the *RKVY* was earmarked for activities relating to enhancement of horticultural production and under Stream - II, remaining 25 *per cent* allocation was to be utilised for strengthening of the existing State sector schemes and filling the resource gaps. The funds were provided by the Agriculture Department for implementation of the schemes as mentioned in **Table-7**.

Table 7: Details of Allotment and Expenditure under *RKVY* during 2008-11

(₹ in crore)

Year	Opening balance	Releases by State/ Agriculture Department	Expenditure	Balance/Surrendered
2008-09	-	4.00	3.97	0.03 (Surrendered)
	-	39.85	-	39.85 (Kept in bank)
2009-10	39.85	11.60	43.46	7.99 (Surrendered)
2010-11	-	30.00	22.77	7.23 (Surrendered)
	-	0.58	-	0.58 (Refunded to Agriculture Department)
Total	**-**	**86.03**	**70.20**	

(Source: Directorate records**)**

It is evident from the above that:

- During 2008-11, the Horticulture Department utilised only ₹ 70.20 crore (82 *per cent*) of the allocation and the balance was surrendered/ kept in bank;
- During 2010-11, Agriculture Department provided (July 2010) ₹ 0.58 crore through cheque for strengthening of the Government nurseries and gardens. The Horticulture Department did not utilise the

amount and it was refunded (March 2011) to the Agriculture Department.

No reply to the above was furnished by the Government (March 2012).

Production of high value vegetable crops in low-tunnel

Stream - I:

To improve the quality and productivity of the vegetables and to encourage the beneficiaries and also disseminate the technology, low-tunnels (with polythene cover and agro net), improved hybrid vegetable seeds and inputs were to be provided as project assistance in vegetable area expansion programme.

Scrutiny of the records of the test checked districts revealed that:

Excess expenditure of ₹ 1.11 crore was incurred on purchase of Low tunnel poly house.

(i) During 2009-10, the Department did not finalise rate for procurement of poly houses required under the scheme. As such, DHOs purchased 34378 low tunnel poly houses for ₹ 3.35 crore at various rates ranging from ₹ 652 (Varanasi) to ₹ 1000 (Jaunpur)[15] per poly house (***Appendix-4.15***), which resulted in excess expenditure of ₹ 1.11 crore[16].

(ii) Scrutiny of records of the Directorate revealed that during 2010-11, 7238 ha area was targeted for providing financial assistance of ₹ 30 crore for arranging hybrid vegetable seeds, fertiliser, other planting materials and low tunnel poly houses. The Department incurred expenditure of ₹ 22.77 crore during 2010-11 for providing above inputs except poly houses. Procurement of poly houses was not finalised by the Department during 2010-11. Scrutiny of the records of the test checked districts also revealed that due to ban imposed (August 2010) by the Directorate, financial assistance was not given to the beneficiaries on this account.

In reply, concerned DHOs (April-September 2011) stated that due to not providing of low tunnel poly houses, the production of vegetable was low.

Thus, due to non-finalisation of rates, neither low tunnel poly house was procured (2010-11) in the districts nor centralised purchase was made by the Department, which defeated the objective of the scheme to improve the production of vegetable even after incurring an expenditure of ₹ 22.77 crore.

The Government accepted the facts and stated (February 2012) that explanation had been sought from the concerned authorities and necessary action would be taken.

Stream -II:

Under the programme, strengthening of State Seeds Farms/Nurseries was to be done, training and seminars were to be organized and publicity through print and electronic media was to be done.

[15] DHO Jaunpur and Varanasi were under the control of same Deputy Director.
[16] Avoidable expenditure : ₹ 3.35crore – ₹ 2.24 crore (Cost of low tunnel poly house : 34378 x ₹ 652 = ₹ 2.24 crore)

(i) Publicity:

For effective implementation of the programme, Flexi Charts / Roll Up Stands were to be displayed at important public places where the farmers generally visits.

Irregular expenditure of ₹ 1.53 crore was incurred on printing and publicity material.

Scrutiny of the records of the Directorate revealed that without obtaining the necessary approval of the Director, Printing and Stationery as provided in Paragraph 260 (Appendix-18) of FHB Volume V (Part I), the State Government approved (March 2009) an amount of ₹ 1.53 crore (₹ 1.27 crore and ₹ 0.26 crore) for the printing of Flexi Charts on 51 subjects (Number: 150705) and Roll Up Stands (Number: 684) respectively.

Scrutiny of Flexi Charts revealed that out of 51 subjects only 9 subjects were related to *RKVY* and remaining 42 subjects were related to SHM, Micro Irrigation and other schemes. Therefore, cost of only nine subjects amounting to ₹ 0.22 crore was to be met out of the RKVY funds and the remaining ₹ 1.05 crore was to be debited to respective schemes.

Scrutiny of records of test checked districts revealed that seven districts[17] did not receive any Flexi Chart from the Directorate and in 12 districts[18] though Flexi Charts were made available, the same were dumped in store room.

Thus, the Department, besides, irregularly printing the publicity material, debited an expenditure of ₹ 1.05 crore related to other schemes to *RKVY* and by non-displaying the publicity material at public places, the objective of ensuring publicity was defeated.

The Government accepted the facts and stated (February 2012) that Flexi Charts, which were not displayed, would be displayed in respective districts. No reply regarding irregular debiting and printing of Flexi Chart/ Roll Up Stand under *RKVY* scheme was given by the Government.

(ii) Incomplete works:

Under the scheme, funds were sanctioned for the strengthening of the Government Seed Farms, nurseries, Government parks and gardens.

Idle expenditure of ₹ 2.06 crore was incurred on incomplete works.

Scrutiny of the records of the test checked districts revealed that an amount of ₹ 2.06 crore was provided to the implementing agencies in nine test checked districts for strengthening the works sanctioned under scheme. But the construction works were incomplete (***Appendix-4.16)*** even after a lapse of 14 to 35 months.

The Government accepted the facts and stated (February 2012) that a meeting would be conducted under the chairmanship of Agriculture Production

[17]Bahraich, Barabanki, Basti, Fatchpur, Gorakhpur, Mathura and Varanasi.
[18]Bijnor, Bulandshahr, Jaunpur, Jhansi, Kushinagar, Lakhimpur Kheri, Mahoba, Meerut, Moradabad, Saharanpur, Siddharthnagar and Sultanpur.

Commissioner and necessary action would be taken against the erring implementing agencies.

4.1.10.3 Micro-Irrigation (MI)

GoI launched (January 2006) Micro-Irrigation (MI) project, for harnessing maximum benefits from available water resources and to enhance crop productivity without affecting soil health.

Objectives of MI

The main objectives of MI were to increase the productivity of crops and farmers' income through improved technologies and to enhance the water use efficiency.

Funding pattern

The expenditure on subsidy assistance was to be shared among GoI and State Government in the ratio of 80:20. Funds to the tune of 50 *per cent* were to be released directly to the State/Department on the basis of AAP. The remaining amount was to be released subsequently on the basis of progress report and the utilisation certificates submitted by the State/Department.

Financial Management

During 2005-06 to 2010-11 the GoI and State Government released ₹ 22.04 crore and ₹ 8.03 crore respectively for the scheme. According to norms of funding, the State Government should have released ₹ 5.51 crore but released ₹ 2.52 crore in excess of its share. The Department utilised ₹ 17.07 crore as GoI share leaving a balance of ₹ 4.97 crore in the bank accounts of Directorate and DHOs. In case of State Government share, the Department utilised only ₹ 4.40 crore and remaining ₹ 3.63 crore was surrendered during 2006-11.

Thus, the Department blocked GoI funds and surrendered its own fund thereby showing skewed financial management.

During the Exit Conference, the Government accepted the fact (February 2012).

Drip and Sprinkler Irrigation

Drip irrigation technology involves irrigating plants at root zone through emitters fitted on a network of pipes (mains, sub-mains and laterals). Water requirement, age of plant, plant to plant spacing, soil type, water quality and availability decides the choice of emitting system.

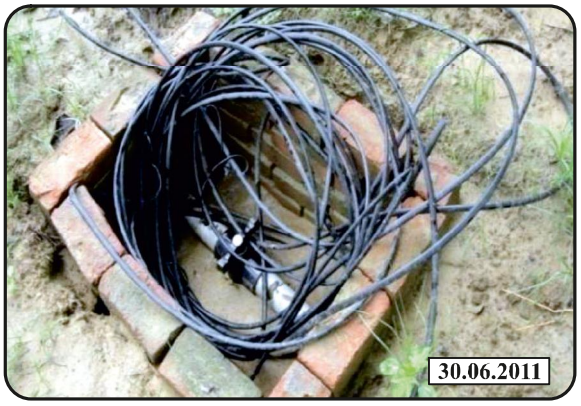
Sprinkler system is suitable for irrigating crops where the plant density is very high, like cereals, pulses, seed spices and other field crops. In sprinkler system, water is discharged under pressure in the air through a set of nozzles

attached to a network of High Density Polythene Pipes (HDPE), simulating rainfall.

Photographs of Sprinkler and Drip system used for irrigation purposes



Sprinkler in Sultanpur



Drip system in Jaunpur

During 2005-11, GoI/Directorate fixed the targets for all 71 districts for coverage of MI. The achievements against the targets are mentioned in the Table-8 below:

Table 8: Physical target and achievement under Micro Irrigation during 2005-11

Year	Physical target (in hectare)					
	Drip irrigation		Sprinkler irrigation		Demonstration	
	Target	Achievement	Target	Achievement	Target	Achievement
2005-06	8510	-	400	-	-	-
2006-07	-	1632.60	-	231	-	-
2007-08	-	4334.80	-	324.20	-	-
2008-09	271	921.48	1107	366.00	100	-
2009-10	-	1004.35	-	2294.50	-	101.17
2010-11	1400	632.30	4017	2369.10	173	96.50
Total	**10181**	**8525.53**	**5524**	**5584.80**	**273**	**197.67**

(**Source:** Directorate records)

It is evident from the above that:

Targets of Drip Irrigation were not achieved.

- The Department took six years to achieve the targets of Drip Irrigation fixed for 2005-06 despite availability of funds; and
- Physical target for demonstration of drip and sprinkler was fixed only in 2008-09 and 2010-11 and overall achievement theiragainst was 72 *per cent*.

Physical verification of eight Drip and six Sprinkler Irrigation Systems in 13 districts[19] revealed the following:

[19] **Drip**: Bahraich, Gorakhpur, Jhansi, Kushinagar, Lakhimpur Kheri, Mahoba, Meerut, and Varanasi
Sprinkler: Fatehpur, Jaunpur, Kushinagar, Siddharthnagar and Sultanpur

- Training to operate the System was not imparted to the beneficiaries by the supplier firms;
- Beneficiary farmers were not utilising the sprinkler system for irrigation purposes;



Sprinkler in Kushinagar

- Drip system was operational in only two of the 8 physically verified beneficiaries; and
- In Lakhimpur Kheri, Drip irrigation system was provided to beneficiary who was cultivating sugarcane and paddy crop.



Drip in Lakhimpur Kheri



Drip in Lakhimpur Kheri

It is, thus, evident from the above that the drip and sprinkler systems provided for the beneficiary farmer were not being utilised optimally.

The Government accepted the fact and stated (February 2012) that the scheme activities would be initiated on priority in the districts where there was scarcity of water.

4.1.10.4 National Mission on Medicinal Plants

GoI launched (March 2009) National Mission on Medicinal Plants (NMMP) a Centrally sponsored scheme (100 *per cent*) during Eleventh Plan for promotion of the medicinal plants in compact areas of the State to promote cultivation of species critical to *AYUSH* systems of medicines in 41 districts (***Appendix-4.17***) of the State. The major components of the NMMP were establishment of nursery, capacity building of the farmer, post-harvest management and creation of marketing infrastructure.

A State Level Steering Committee under the chairmanship of the APC of the State was responsible for implementation of the scheme activities.

Objectives of NMMP

The main objectives of the scheme were to support cultivation of medicinal plants; promote standardisation and quality assurance by adopting good agricultural and collection practices; support setting up of processing zones/clusters through convergence of cultivation, warehousing, value addition and marketing; development of infrastructure for implementation and certification mechanism for ensuring quality standards.

Financial Management

GoI guidelines stipulated that release of GoI was to be made only after submission of utilisation of releases of previous years.

Table-9: Details of GoI releases and utilisation of funds

(₹ in crore)

Year	Amount as per AAP	Opening Balance	Releases from GoI	Total	Expenditure	Closing Balance
2008-09	0.31	-	0.23	0.23	-	0.23
2009-10	15.24	0.23	7.60	7.83	3.82	4.01
2010-11	34.12	4.01	0.25	4.26	-	4.26
Total	**49.67**		**8.08**		**3.82**	

(**Source:** Directorate records)

Non-utilisation of GoI releases resulted in non-release of balance grant in succeeding years.

It is evident from the above table that against approved outlay of ₹ 49.67 crore for State Mission on Medicinal Plants (SMMP) during 2008-11, GoI releases were ₹ 8.08 crore. of ₹ 8.08 crore, the Department could utilise only ₹ 3.82 crore and ₹ 4.26 crore (53 *per cent*) remained parked in the bank. Failure of the Department to utilise the original allotment resulted in non-release of balance grant of approved outlays by GoI in the subsequent years, retarding the progress in the horticulture sector.

In the Exit Conference, the Government accepted the fact (February 2012).

Establishment of Nurseries

To meet the requirement of quality planting material, financial assistance was to be provided for establishment of new nurseries (public as well as private sector) under the scheme.

Scrutiny of the records of the Directorate and the test checked districts revealed that though provision for establishment of new nurseries was made in the AAPs (2009-11) furnished by the DHOs and funds to the tune of ₹ 4.01 crore were also available with the Department, but were not disbursed to the concerned DHOs for providing financial assistance to beneficiaries for establishing nurseries.

In the Exit Conference, the Government accepted the fact (February 2012).

Cultivation of Medicinal Plants

To produce and develop quality medicinal plants, assistance was to be provided to the identified beneficiaries.

Scrutiny of the records of the test checked districts revealed the following:

- As per guidelines, intercropping of medicinal plants was only permissible in plantation of Bael. But financial assistance of ₹ 0.67 lakh for intercropping by plantation of tomato seeds in Bael plantation was made in Muzaffarnagar.

In reply, concerned DHO stated that intercropping by tomato seeds was allowed as it has medicinal value. The reply was not acceptable as tomato was not included in the list of medicinal plants.

- During 2009-10, DHO, Barabanki provided financial assistance of ₹ 31.25 lakh for plantation of Stevia in 50 hectare land. Physical verification (April 2010) of six hectare by the DHO found only 50 to 60 *per cent* survival of plants. The DHO directed the concerned farmers for replacing the dead plants.

On being pointed out in audit, DHO stated that due to lack of proper care by the farmers, the longevity of crop fell down.

- Scrutiny of the records of DHO, Fatehpur revealed that an amount of ₹ 12.51 lakh was refunded to the Directorate due to non-availability of Medicinal planting material in the identified[20] institutions of the State.

In the Exit Conference, the Government accepted the fact (February 2012).

Post Harvest Management

Non-creation of post harvest facilities inspite of availability of funds.

Scrutiny of AAPs for the years 2009-11 revealed that under Post Harvest Management component, physical and financial provisions for providing assistance for the establishment of Drying Sheds and Storage Godowns, an amount of ₹ 6.07 crore (2009-10: ₹ 3.32 crore and 2010-11: ₹ 2.75 crore) was provisioned.

Scrutiny of the records of the Directorate revealed that against the targets for 2009-10 there was no achievement inspite of the availability of funds (₹ 4.01 crore). The GoI released no funds for 2010-11 due to non-utilisation of previous year's funds.

In the Exit Conference, the Government accepted the fact (February 2012).

Establishment of Processing and Market Infrastructure

Scrutiny of AAPs for the years 2009-11 revealed that under Processing and Market infrastructure component, physical and financial provisions for providing assistance for the establishment of Processing Unit and Marketing Infrastructure, ₹ 14.84 crore (2009-10: ₹ 2.72 crore and 2010-11: ₹ 12.12 crore) was provisioned.

Scrutiny of the records of the Directorate revealed that against the targets for 2009-10 there was no achievement inspite of the availability of funds (₹ 4.01 crore). The GoI released no funds for 2010-11 due to non-utilisation of previous year's funds.

For cultivation of *Satavar,* seed (4-5 years crop) was provided to the beneficiary farmers by DHO, Bahraich (2008-09) and Superintendent Garden, Jhansi (2009-10). During physical inspection (August/September 2011) it was noticed that due to non-creation of marketing infrastructure for *Satavar* the

[20]CEMAP, Lucknow; CSA University of Agriculture, Kanpur; Deemed University, Allahabad and Deemed University, Agra.

beneficiary farmers were deprived of the competitive rate for their produce. Thus, the impact of non-development of marketing infrastructure resulted into non-harvesting of the crop by the beneficiaries.

The Government accepted the fact and stated (February 2012) that the scheme would be implemented in only those districts where marketing infrastructure was available.

4.1.10.5 Food Processing Industrial Development Training (FPIDT)

Large quantity of horticultural produce perishes in the State due to inadequate processing facilities. To ensure the availability of fruits and vegetables throughout the year and also ensuring that farmers get appropriate rates, the horticultural produce was to be processed using scientific methods and for this adequate training need to be provided to the Departmental officers and staff.

The State Government established (1992-93) one Government Food Processing Industrial Institute at Lucknow, 10 Government Food Scientific Training Centres and 101 Government Community Food Processing and Training Centres in the State for imparting training to the farmers, unemployed youths and women.

During 2006-11, ₹ 4.54 crore was released for 'Food Processing, Industrial Development Training' and an expenditure of ₹ 4.50 crore was incurred.

Organising training programmes

With a view to create awareness and provide training to rural farmers, unemployed youth and women, 101 Government Community Food Processing Training Institutes were initially set up in the State. Targets and achievements of the training programmes in the Centres during 2006-11 is given in **Table 10**.

Table 10: Targets and achievements of the training programmes during 2006-11

Year	No. of Centres	Fifteen days Training		Hundred days training		Processing demonstration	
		Target	Achievement	Target	Achievement	Target	Achievement
2006	101	34300	33525	130	131	623	631
2007	101	34200	31219	130	125	623	614
2008	74	24450	23480	146	138	438	429
2009	74	24700	24935	148	145	444	342
2010	74	24700	16737	148	70	-	-

(**Source:** Directorate records)

It is evident from the **Table -10** that there was a decreasing trend in fixing of the targets for training as mentioned underneath:

- During 2008-09, the number of Government Community Food Processing Training Institutes decreased from 101 to 74,
- During 2006-11, targets for 15 days training were decreased,

- During 2008-11, number of training institutes, training (15 days) and processing demonstration (fruits and vegetables) decreased gradually but budget allocation and expenditure remained unchanged; and
- During 2006-10, targets given for processing demonstration (fruits and vegetables) decreased gradually and no targets were fixed for the year 2010-11.

Thus, due to decreasing trend in training, demonstration related to food processing and preservation, the desired objectives were not achieved by the Department whereas horticultural activities were on an increase through various schemes.

The Government accepted the fact and stated (February 2012) that due to policy decision of keeping one centre at each district headquarter, the number of training institutes were reduced. However, no document was produced to Audit in support of this contention.

4.1.10.6 Professional Horticultural Development of Intensified Area (PHDIA)

To accelerate the horticultural development in 28 districts of the State, which were not covered under SHM, the State Government launched (2006-07) the scheme of "Professional Horticultural Development of Intensified Area" on the pattern of SHM. During 2010-11, the Directorate did not prepare any AAP, nor any target was fixed for programme implementation and thereafter (March 2010) the scheme was discontinued. Out of 28 districts covered under the scheme, audit scrutiny was conducted in six[21] sampled districts.

Financial Management

Scrutiny of records of the Directorate revealed that during 2006-07 to 2009-10, the State Government made budget provision of ₹ 171.19 crore against which ₹ 163.12 crore was released. The Department incurred an expenditure of ₹ 152.38 crore and the balance amount of ₹ 10.74 crore was surrendered to the Government.

Despite closure of the scheme ₹ 16.94 lakh was drawn and parked in bank.

The scheme was discontinued in March 2010. However scrutiny of records of the test checked districts revealed that in Lakhimpur Kheri ₹ 16.94 lakh was drawn between 2007 and 2009 from the Treasury and kept in the bank account till July 2011, despite closure of scheme in March 2010.

In the Exit Conference, the Government accepted (February 2012) the facts.

Establishment of Nurseries

Scrutiny of the records of DHO, Bahraich and physical verification (September 2011) revealed that during 2007-10, the financial assistance of ₹ Nine lakh was provided (2007-08) to the beneficiary for establishing a

[21] Azamgarh, Bahraich, Bijnor, Fatehpur, Kanshiram Nagar and Lakhimpur Kheri

Model Nursery (Litchi), which was already in existence. Further, it was also noticed that only 20,000 plants per year were being produced in the nursery against the norms of 50,000 plants.

Thus, the proper norms were not followed in the identification of the beneficiary farmer which resulted in non-achievement of the objective.

The Government accepted the fact and stated (February 2012) that an inquiry would be conducted in the matter and results intimated to Audit.

Establishment of new Gardens

One of the major objectives of the scheme was to expand areas under cultivation through establishment of new gardens to enhance production and productivity of horticulture crops. The programme 'Establishment of New Gardens' envisaged assistance for bringing new areas under perennial fruit crops.

The quantum of assistance was fixed as 75 *per cent* of the cost for perennial fruits (maximum ₹ 22, 500 per ha). The assistance of cultivation was normally for one crop and was to be spread over a period of three years.

Non-provision of subsequent instalments for plantation resulted in unfruitful expenditure of ₹ 2.10 crore.

Scrutiny of the records of the test checked districts revealed (***Appendix-4.18)*** that, financial assistance of ₹ 2.10 crore in the plantation year (2007-10) was provided to the beneficiary farmers of six test checked districts. All the concerned DHOs stated that due to non-release of funds and closure of scheme from 2010-11, second and third instalments of assistance were not released. DHO, Lakhimpur Kheri stated that second and third year maintenance assistance was not provided because of low survival of plants.

Thus, due to lack of effective follow up action after providing assistance to the beneficiaries and coordination between district units and the Directorate in planning and monitoring of the scheme, the objective could not be fulfilled thereby resulting in unfruitful expenditure of ₹ 2.10 crore.

The Government accepted the fact and stated (February 2012) that the residual works would be completed by preparing projects under *RKVY*.

Strengthening of infrastructure

Idle expenditure of ₹ 37.77 lakh was incurred on incomplete works.

For providing basic amenities to the trainee farmers, the State Government sanctioned (February 2010) ₹ 43.88 lakh for renovation of hostel rooms of farmers, link road, kitchen-cum dining hall and library cum-training building and the construction of boundary wall at Horticultural Research and Training Centre (HRTC), Basti. The work of construction was awarded to UP *Samaj Kalyan Nirman Nigam*, Lucknow (Nigam) and a Memorandum of Understanding (MoU) was signed (March 2010) between Nigam and the Joint Director, HRTC. An amount of ₹ 37.77 lakh was provided (May-December 2010) to Nigam.

Scrutiny of the records of HRTC revealed that only after partial completion, the renovation and construction work was stopped (August 2010) and the balance work had not re-commenced (January 2012).

The Government accepted the fact and stated (February 2012) that incomplete work of *Samaj Kalyan Department* would be reviewed in the meeting of APC.

4.1.10.7 Non-functioning of Post Harvest Training Dissemination Centres

With a view to enhance and strengthen the technology base and post harvest techniques, post harvest training dissemination centres (Three Horticulture Technology Dissemination Centres, Eight Horticulture Post Harvest Technology Centres and Eight Horticulture Post Harvest Technology Sub Centres) were established (Year: 2003) at a cost of ₹ 6.96 crore in 18 districts with the assistance of World Bank through Uttar Pradesh Diversified Agriculture Support Project (UPDASP). In the centres, all the beneficiaries were to be provided training in processing and preservation of the horticultural produce to reduce wastage. Further, during 2007-11, the Department incurred an expenditure of ₹ 0.35 crore for operationalising the centres.

Scrutiny of the records of the Directorate revealed that the centres were not made functional due to non-operation of purchased machinery and equipment (Cost: ₹ 3.45 crore). An enquiry, conducted (June 2009) by the Directorate, revealed that payment was released to the supplier firm of machinery and equipment before its operationalisation and imparting of training to the operators.

Scrutiny of the records and physical verification of eight[22] out of 18 test checked districts revealed that the centres were non- functional and machinery and equipment were lying idle which was also evident from the photographs.





Dissemination centre in Basti (Dated: 20.7.11)

[22] Basti, Gorakhpur, Jaunpur, Jhansi, Meerut, Muzaffarnagar, Saharanpur and Varanasi.

In reply, the concerned DHOs stated that due to non-deployment of operators and non-availability of raw materials, the machinery and equipment were lying idle.

Wasteful expenditure of ₹ 7.31 crore on Post-harvest training dissemination centres.

Thus, the post-harvest training dissemination centres were not made operational even after a lapse of eight years of their establishment and incurring an expenditure of ₹ 7.31 crore (Machinery and equipment: ₹ 3.45 crore, Establishing of Centres: ₹ 3.51 crore and Operationalisation: ₹ 0.35 crore), rendering the entire expenditure wasteful.

The Government accepted the fact and stated (February 2012) that due to non-availability of running cost, the centres were non- functional. It was further informed that recurring budget would be demanded for making the machines operational.

The reply was not acceptable as the machinery and equipment were lying idle for more than eight years and the Department made no effort to provide budget to meet the running cost of the centres and deployment of operators for operating the system resulting in wasteful expenditure of ₹ 7.31 crore.

4.1.11 Conclusion

Horticulture and Food Processing, an important component of the State's economy was not given due importance by the State Government. Annual Action Plans were prepared without basic data and proper evaluation. The targets given to district units were not based on the priorities, potential and climatic conditions of the districts. Consequently, the targets were not achieved and unviable[23] schemes were included in successive plans.

The short release of funds against the approved planned budget provision and non-utilisation of even available funds adversely affected implementation of programmes/schemes. The shortage of manpower at various levels resulted in non-monitoring of the scheme activities affecting the quality achievements of the schemes and programmes.

Non-adherence to financial rules and lackadaisical approach of the Department led to avoidable expenditure on purchase of Garlic seeds and Low tunnel poly house. Effective steps to establish nurseries for producing qualitative planting materials and seeds were not taken. Model/small nurseries were sanctioned without proper examination or evaluation of projects.

Post-harvest management, which was essential for improving marketability of horticultural produce, was not given due attention despite adequate provision and availability of funds. The existing monitoring and evaluation system was inadequate, resulting in poor execution of projects.

[23] Horticulture Crop Insurance and Horticulture Data Base Management.

4.1.12 Recommendations

- *Perspective Plan should be prepared. Annual Action Plans should be prepared after due assessment of viable horticultural crops in the State and after ascertaining field level requirements;*
- *Proposed schemes/programmes should be based on actual requirements and the capacity to execute them;*
- *SHM should take proactive action to ensure timely utilisation of funds released to implementing agencies;*
- *Rural marketing facilities should be established and extended to all the Blocks/Panchayats to enthuse farmers; and*
- *Implementation of the Programme/schemes needs to be closely monitored and evaluated.*

(MUKESH P SINGH)
Principal Accountant General (Civil Audit)
Uttar Pradesh

ALLAHABAD
THE 21 MAY 2012

COUNTERSIGNED

(VINOD RAI)
Comptroller and Auditor General of India

NEW DELHI
THE 22 MAY 2012

Appendix 2.1.1

Number of STWs where field channel not constructed

(Reference : Paragraph no. 2.1.9.3; Page-23)

Sl. No.	Name of district	Number of STWs constructed	Number of STWs test-checked	Number of STWs where field channels were not constructed	Amount (₹ in lakh)
1.	Agra	40	04	40	9.06
2.	Aligarh	58	06	29	6.46
3.	Ambedkarnagar	50	05	50	11.15
4.	Banda	80	09	80	17.01
5.	Bareilly	50	05	50	11.14
6.	Budaun	100	10	0	0.00
7.	Faizabad	100	10	100	22.41
8.	Ghazipur	46	06	46	10.22
9.	Gorakhpur	50	06	50	11.14
10.	Hamirpur	50	05	50	11.06
11.	Hardoi	24	03	24	5.31
12.	Jalaun	38	05	0	0.00
13.	Kanpur	37	04	37	8.26
14.	Lucknow	30	02	30	6.71
15.	Mainpuri	56	08	56	12.51
16.	Muzaffarnagar	48	05	48	10.65
17.	Sant Ravidas Nagar	34	03	34	7.64
18.	Varanasi	74	04	74	16.66
Total		**965**	**100**	**798**	**177.39**

Appendix 2.1.2

Details of STWs which have specific yield less than the prescribed norms

(Reference : Paragraph no. 2.1.9.4; Page-25)

Name of Division	STWs No.	Specific Yield (gallons per hours per feet)			Expenditure (₹ in lakh)
		2008-09	2009-10	2010-11	
TWD, Faizabad	319BG	1538.06	946.50	1118.59	1.42
	390BG	1230.45	994.04	994.04	1.42
TWD-II, GHAZIPUR	78GG	862.48	905.60	1006.22	1.52
	83GG	NA	905.60	1230.45	1.52
	139GG	953.26	953.26	1493.21	1.52
	177GG	980.00	980.00	980.00	1.52
	12SG	266.64	266.64	266.64	1.52
	16SG	1230.45	878.89	1474.05	1.52
	39SG	905.60	905.60	905.60	1.52
	76SG	705.07	890.91	1006.22	1.52
	136SG	1249.10	883.51	883.51	2.60
	185SG	1025.38	961.45	1182.13	1.52
	200SG	1225.00	724.48	1293.71	1.52
	225SG	905.60	905.60	953.26	1.52
TWD, MUZAFFARNAGAR	68MG	984.36	984.36	984.36	2.03
	69MG	784.00	784.00	784.00	2.03
	25SL	956.25	956.25	1065.41	2.03
TWD, KANPUR	19GG	480.73	NA	NA	2.37
	34KG	945.70	NA	724.48	2.37
	56KG	NA	1207.47	603.73	2.37
TWD, HARDOI	44 Bilgram	813.54	813.54	813.54	1.30
	90 Bilgram	846.08	846.08	846.08	1.30
	101 Bilgram	813.54	813.54	813.54	1.30
	08 Bilgram	846.08	846.08	846.08	1.30
	38 Bilgram	612.00	612.00	724.38	1.35
TWD-II, BUDAUN	13SG	NA	NA	788.38	1.42
TWD-1, GORAKHPUR	12 SNG	1113.26	881.33	1007.24	1.41
	207 GG	881.33	653.23	914.52	1.41
	283 GG	846.08	846.08	813.54	1.41
TWD, AGRA	43 BAH	1510.86	705.07	729.38	2.78
	61 AITMADPUR	878.89	911.44	911.44	2.78
	105 BAH	746.61	984.36	820.30	2.78
	109 FTBD	615.23	452.80	452.80	2.78
	115 BAH	984.36	846.08	813.54	2.78

TWD, AGRA	118 BAH	1289.59	1118.59	961.45	2.78
	124 BAH	1134.84	705.07	705.07	2.78
	170 BAH	566.00	661.00	604.34	2.78
	190 BAH	NW	NW	700.00	2.78
	202 BAH	762.10	984.36	994.04	2.78
	211 BAH	846.08	846.08	846.08	2.78
	214 BAH	724.48	424.53	603.73	2.78
	241 BAH	880.64	984.36	813.54	2.78
	275 BAH	784.00	724.62	846.08	2.78
	411 EEC	661.00	615.23	703.11	2.78
	507 EEC	846.08	984.36	815.19	2.78
	520 EEC	1050.78	984.36	813.54	2.78
	603 EEC	378.60	285.45	351.74	2.78
	620 EEC	NW	439.67	492.18	2.78
	806 EEC	783.41	946.50	705.07	2.78
TWD-I, ORAI	32 KALPI	815.41	815.41	957.22	2.03
	34 KALPI	1351.21	917.33	1134.84	2.03
	101 KALPI	567.86	567.86	530.00	2.03
	106 KALPI	917.33	917.33	917.33	2.03
	121 KALPI	1351.21	917.33	1182.13	2.03
	25 ORAI	1621.45	946.50	1468.78	2.03
Total	**55 STWs**				**115.34 Say ₹ 1.15 crore**

Appendix 2.1.3

Statement showing number of STWs having discharge of water more than 70 *per cent* of design discharge of 33655 gallon per hour

(Reference : Paragraph no. 2.1.9.4; Page-26)

Year of Replacement	Tubewell No.		Discharge (in gallon per hour)			Irrigated Area (in hectare)			Rate (₹ in lakh)
			2008-09	2009-10	2010-11	2008-09	2009-10	2010-11	
TWD-II, Ghazipur (38 STWs)									
2009-10	134	GG	24609	24609	24609	94	81	84	1.61
2009-10	165	GG	21152	24609	24609	32	32	26	1.61
2009-10	179	GG	28371	24609	24609	13	37	36	1.61
2009-10	38	SG	24609	24609	24609	71	81	20	1.61
2009-10	40	SG	24609	24609	24609	54	75	21	1.61
2009-10	171	SG	24609	24609	24609	46	50	15	1.61
2009-10	198	SG	26438	28371	32429	27	18	42	1.61
Total	**07**					**48**	**53**	**35**	**11.27**
TWD, Hardoi (71 STWs)									
2009-10	59	Hardoi	34587	34587	34587	13	8	4	1.54
2009-10	190	Shahabad	32429	28371	32429	6	0	5	1.54
2009-10	143	Hardoi	28371	28371	28371	64	49	5	1.54
2009-10	144	Hardoi	28371	28371	28371	64	49	51	1.54
2009-10	41	Hardoi	34587	35698	35698	83	53	63	1.54
2009-10	107	Hardoi	36813	36813	36813	32	21	20	1.54
2009-10	192	Shahabad	32429	32429	32429	11	11	4	1.54
2009-10	11	Shahabad	24609	24609	26438	16	15	15	1.54
2009-10	19	Shahabad	28371	28371	30367	96	79	94	1.54
2009-10	116	Shahabad	28371	28371	28371	21	15	9	1.54
2009-10	3	Shahabad	30367	30367	30367	7	11	6	1.54
2009-10	15	Bilgram	28371	28371	28371	34	4	14	1.54
2009-10	25	Bilgram	24609	24609	24609	31	34	30	1.54
2009-10	95	Bilgram	24609	24609	24609	23	17	8	1.54
2009-10	29	Sandila	28371	28371	28371	3	2	1	1.54
2009-10	33	Sandila	28371	28371	28371	13	8	9	1.54
2009-10	145	Hardoi	23429	28371	28371	11	18	6	1.54
2009-10	40	Sandila	28371	28371	28371	15	12	13	1.54
2009-10	46	Bilgram	24609	24609	24609	106	47	53	1.54
2009-10	84	Bilgram	28371	28371	28371	51	53	42	1.54
Total	**20**					**35**	**25**	**23**	**30.8**
TWD, Muzaffarnagar (53 STWs)									
2009-10	7	JG	27404	27404	24609	0	9	20	2.03
2009-10	68	JG	28371	28371	28371	6	10	13	2.03
2009-10	75	JG	24609	24609	24609	12	15	17	2.03

2009-10	2	Kak	28371	24609	22863	10	11	13	2.03
2009-10	77	KG	15300	28371	18112	3	10	20	2.03
2009-10	25	MG	24609	24609	24609	9	10	19	2.03
2009-10	28	MG	26438	26438	21152	6	6	17	2.03
2009-10	36	MG	26438	28371	28371	11	13	23	2.03
2009-10	40	MG	28371	24609	24609	11	14	22	2.03
2009-10	58	MG	24609	24609	24609	9	8	18	2.03
2009-10	63	MG	24609	24609	24609	7	7	16	2.03
2009-10	77	MG	28371	28371	28371	10	13	16	2.03
2009-10	79	MG	26438	26438	24609	8	13	19	2.03
2009-10	92	NL	24609	24609	26438	10	14	25	2.03
2009-10	105	NL	24609	24609	24609	3	4	7	2.03
Total	**15**					**8**	**10**	**18**	**30.45**
TWD-I, Orai (45 STWs)									
2009-10	32	Jalaun	28371	30367	30367	2	9	38	2.03
2009-10	39	Jalaun	32429	30367	36813	21	33	55	2.03
2009-10	47	Jalaun	36813	30367	30367	47	20	1	2.03
2009-10	52	Jalaun	32429	30367	36813	15	22	39	2.03
2009-10	58	Jalaun	36813	36813	32429	23	53	30	2.03
2009-10	122	Jalaun	30367	32429	32429	34	43	6	2.03
2009-10	135	Jalaun	36813	36813	36813	49	57	74	2.03
2009-10	136	Jalaun	32429	30367	36813	19	17	26	2.03
2009-10	155	Jalaun	30367	32429	30367	28	75	36	2.03
2009-10	6	Kalpi	29354	29354	29354	3	10	29	2.03
2009-10	23	Kalpi	32429	32429	31403	31	27	52	2.03
2009-10	26	Kalpi	32429	32429	30367	25	32	39	2.03
2009-10	59	Kalpi	32429	32429	32429	18	32	35	2.03
2009-10	89	Kalpi	32429	32429	31403	19	1	39	2.03
2009-10	120	Kalpi	28371	28371	28371	14	15	28	2.03
2009-10	122	Kalpi	34587	34587	34587	9	23	30	2.03
2009-10	129	Kalpi	30367	32429	26438	26	53	73	2.03
2009-10	133	Kalpi	26430	28371	21152	45	55	68	2.03
2009-10	136	Kalpi	26438	28371	28371	11	18	45	2.03
2009-10	139	Kalpi	28371	28371	28371	49	43	30	2.03
2009-10	152	Kalpi	29354	29354	29354	22	25	25	2.03
2009-10	159	Kalpi	32429	32429	28371	78	53	72	2.03
2009-10	160	Kalpi	28371	28371	28371	6	17	16	2.03
2009-10	162	Kalpi	32429	32429	32429	47	73	88	2.03
2009-10	171	Kalpi	32429	32429	32429	31	40	43	2.03
2009-10	176	Kalpi	28371	28371	28371	26	19	27	2.03
2009-10	178	Kalpi	34587	36813	36813	32	31	43	2.03
2009-10	222	Kalpi	36813	28371	28371	61	62	56	2.03

2009-10	227	Kalpi	28371	28371	28371	34	28	45	2.03
2009-10	13	Konch	34587	28371	24609	43	24	39	2.03
2009-10	24	Konch	32429	28371	28371	38	16	33	2.03
2009-10	27	Konch	28371	28371	28371	71	24	28	2.03
2009-10	31	Konch	32429	28371	28371	54	31	39	2.03
2009-10	75	Konch	30367	28371	24609	19	21	44	2.03
2009-10	18	Konch	32429	32429	28371	28	30	45	2.03
2009-10	41	Orai	32429	24609	28371	68	52	53	2.03
2009-10	68	Orai	32429	32429	30367	53	44	91	2.03
Total	**37**					**32**	**33**	**42**	**75.11**
TWD-I, Kanpur (26 STWs)									
2009-10	10	BG	32429	36813	36813	57	70	68	2.37
2009-10	15	GG	28371	28371	28371	23	19	40	2.37
2009-10	30	BG	36813	36813	36813	32	38	44	2.37
2009-10	63	GG	25520	32429	32429	14	13	36	2.37
2009-10	74	GG	32429	32429	32429	36	28	58	2.37
2009-10	79	GG	36813	36813	36813	32	46	54	2.37
2009-10	86	GG	36813	36813	36813	24	30	46	2.37
2009-10	96	GG	28371	28371	28371	11	0	11	2.37
2009-10	103	GG	24371	32429	25520	39	37	41	2.37
2009-10	118	GG	32429	36813	32429	9	10	12	2.37
2009-10	126	GG	28371	28371	28371	17	37	21	2.37
2009-10	132	GG	30367	30367	28371	29	19	48	2.37
2009-10	169	GG	32429	28371	28371	2	8	25	2.37
2009-10	190	GG	28371	28371	28371	21	24	25	2.37
2009-10	202	GG	36813	32429	32429	58	57	59	2.37
2009-10	203	GG	32429	32429	32429	38	49	65	2.37
2009-10	223	GG	30367	30367	36813	8	13	26	2.37
2009-10	229	GG	30367	30367	36813	37	1	5	2.37
Total	**18**					**27**	**28**	**38**	**42.66**
TWD, Faizabad (37 STWs)									
2009-10	16	BG	28371	28371	28371	5	6	4	1.42
2009-10	41	FG	24609	24609	24609	8	11	3	1.42
2009-10	43	BG	24609	24609	24609	8	11	2	1.42
2009-10	57	FG	24609	24609	24609	26	26	25	1.42
2009-10	71	FG	28371	28371	28364	2	2	2	1.42
2009-10	112	BG	24609	24609	24609	23	4	6	1.42
2009-10	113	BG	24609	24609	24609	6	2	2	1.42
2009-10	141	BG	24609	24609	24609	34	21	17	1.42
2009-10	151	BG	28361	28361	28367	26	31	4	1.42
2009-10	208	BG	24609	24609	24609	14	4	1	1.42
2009-10	211	BG	30367	30367	30367	10	2	7	1.42

2009-10	216	BG	24609	24609	24609	25	13	15	1.42
2009-10	229	BG	24609	24609	24609	8	6	0	1.42
2009-10	246	BG	24609	24609	28371	40	32	26	1.42
2009-10	266	BG	24609	24609	24609	6	15	18	1.42
2009-10	307	BG	25520	24609	24609	19	17	10	1.42
2009-10	322	BG	24609	24609	24609	2	2	4	1.42
2009-10	336	BG	28371	24609	22863	25	6	7	1.42
2009-10	369	BG	24609	24609	24609	3	3	4	1.42
Total	**19**					**15**	**11**	**8**	**26.98**
TWD-I, Gorakhpur (36 STWs)									
2009-10	6	SNG	24609	24609	24609	12	15	9	1.41
2009-10	9	NGG	28371	32429	32429	1	9	9	1.41
2009-10	10	NGG	24609	24609	34587	NA	2	9	1.41
2009-10	11	SNG	28371	28371	30367	25	25	8	1.41
2009-10	12	GG	32429	34587	34587	7	10	14	1.41
2009-10	13	GG	24609	28371	28371	17	18	19	1.41
2009-10	14	GG	32429	34587	34587	11	28	22	1.41
2009-10	17	SNG	24609	28371	28371	7	10	4	1.41
2009-10	23	SNG	28371	28371	21152	30	37	9	1.41
2009-10	26	GG	28371	32429	28371	14	13	6	1.41
2009-10	46	GG	22863	28391	26438	9	16	11	1.41
2009-10	48	SNG	28371	28371	24609	28	30	12	1.41
2009-10	51	GG	34587	34587	34587	37	28	25	1.41
2009-10	56	GG	28371	28371	28321	12	21	4	1.41
2009-10	68	GG	24609	26438	26438	16	22	24	1.41
2009-10	99	GG	30367	36813	36813	36	42	10	1.41
2009-10	124	GG	24629	32429	32429	4	4	7	1.41
2009-10	126	GG	28371	30367	30367	2	1	7	1.41
2009-10	137	GG	24609	26438	26438	1	6	8	1.41
2009-10	154	GG	28371	34587	34587	8	9	10	1.41
2009-10	162	GG	30367	34587	34587	1	1	2	1.41
2009-10	182	GG	28371	30367	30367	3	8	8	1.41
2009-10	267	GG	34587	34587	34587	11	23	11	1.41
2009-10	277	GG	31403	32429	32429	23	31	34	1.41
2009-10	279	GG	32429	32429	32429	13	16	26	1.41
2009-10	292	GG	30367	32429	32429	2	26	24	1.41
2009-10	295	GG	32429	34587	34587	2	13	7	1.41
2009-10	305	GG	32429	34589	34589	9	12	1	1.41
2009-10	311	GG	26438	34587	34587	1	1	1	1.41
Total	**29**					**12**	**16**	**12**	**40.89**
Grand Total	**145**								**258.16 say ₹ 2.58 crore**

Appendix 2.1.4

Statement showing number of STWs on which no increase in discharge of water

(Reference: Paragraph no. 2.1.9.4; page-26)

Year of Replacement	Tubewell No.		Discharge (In gallon per hour)			Rate (₹ in lakh)
			2008-09	2009-10	2010-11	
TWD-II, Ghazipur (38 STWs)						
2009-10	77	GG	18112	18112	18112	1.61
2009-10	126	GG	18112	18112	18112	1.61
2009-10	36	SG	21152	21152	21152	1.61
2009-10	91	SG	21152	21152	18112	1.61
2009-10	97	SG	18112	18112	18112	1.61
2009-10	221	SG	21152	21152	21152	1.61
2009-10	241	SG	21152	21152	NA	1.61
2009-10	251	SG	18112	18112	18112	1.61
2009-10	301	SG	19600	18112	18112	1.61
Total	**09**		**19628**	**19463**	**18872**	**14.49**
TWD, Muzaffarnagar (53 STWs)						
2009-10	22	JG	18112	21152	21152	2.03
2009-10	40	JG	21152	21152	21152	2.03
2009-10	72	JG	11812	15300	18112	2.03
2009-10	7	Kak	24609	22863	21152	2.03
2009-10	16	Kak	18112	19600	19600	2.03
2009-10	59	KG	22863	18112	18112	2.03
2009-10	108	KG	18112	15300	18112	2.03
2009-10	23	MG	21152	22863	22863	2.03
2009-10	9	NL	18112	18112	19600	2.03
2009-10	44	NL	19600	18112	19600	2.03
2009-10	50	NL	21152	15300	19600	2.03
2009-10	77	NL	18112	15300	16675	2.03
2009-10	88	NL	24609	21152	19600	2.03
2009-10	103	NL	24609	21152	21152	2.03
2009-10	109	NL	19600	21152	19600	2.03
2009-10	2	SL	16675	21152	21152	2.03
2009-10	44	SL	19600	21152	18112	2.03
2009-10	55	SL	15300	21152	18112	2.03
Total	**18**		**19627**	**19449**	**19637**	**36.54**
TWD, Orai (45 STWs)						
2009-10	31	Kalpi	22016	22016	22016	2.03
2009-10	112	Kalpi	28371	22016	28371	2.03
2009-10	33	Konch	28371	22863	20367	2.03
Total	**03**		**26253**	**22298**	**23585**	**6.09**
TWD, Kanpur (26 STWs)						
2009-10	134	GG	24080	0	24080	2.37
2009-10	162	GG	28371	0	28371	2.37
Total	**02**		**26226**	**0**	**26226**	**4.74**

TWD, Faizabad (37 STWs)						
2009-10	20	BG	21152	21152	21152	1.42
2009-10	30	FG	22863	22863	21152	1.42
2009-10	43	FG	28371	21152	21152	1.42
2009-10	52	FG	21152	21152	21152	1.42
2009-10	62	FG	21152	21152	21152	1.42
2009-10	76	FG	21152	21152	21152	1.42
2009-10	127	BG	22863	22863	22863	1.42
2009-10	130	BG	21152	21152	21152	1.42
2009-10	138	BG	21152	21152	21152	1.42
2009-10	184	BG	22863	22863	22863	1.42
2009-10	235	BG	21152	21152	21152	1.42
2009-10	268	BG	21152	21152	21152	1.42
2009-10	326	BG	21152	21152	21152	1.42
Total	**13**		**22102**	**21547**	**21415**	**18.46**
TWD-I, Gorakhpur (36 STWs)						
2009-10	15	GG	21152	21152	21152	1.41
Total	**01**		**21152**	**21152**	**21152**	**1.41**
Grand Total	**46**					**81.73** **Say ₹ 0.82 crore**

Appendix 2.1.5

Details of closing of stock accounts as of 31 March 2011

(Reference: Paragraph no. 2.1.12.2; page-32)

Sl. No.	TWD	Last closing of stock	Delay in No. of half yearly closing	Delay in Month	Unverified Amount (₹ in lakh)
1.	Aligarh-I	3/10	1	3	71.77
2.	Ambedkarnagar	3/10	1	3	49.36
3.	Badaun-I	9/09	2	7	90.71
4.	BANDA	3/08	5	27	71.47
5.	Bareilly-I	3/09	3	15	78.02
6.	Bareilly-II	9/09	2	7	41.46
7.	Gazipur-I	9/08	4	19	270.08
8.	Gazipur-II	3/09	3	15	-7.63
9.	Gorakhpur-I	3/10	1	3	131.84
10.	Gorakhpur-II	9/08	4	19	-51.09
11.	Hamirpur	9/07	6	31	231.17
12.	Kanpur	3/09	3	15	5253.32
13.	Lucknow	3/06	8	45	603.95
14.	Mainpuri	3/09	3	15	0.00
15.	Muzaffar Nagar	3/09	3	15	13.60
16.	Orai, Jalaun	9/09	2	7	104.58
17.	SantRavidas Nagar	3/08	5	27	28.51
18.	Varanasi	3/06	8	45	61.92
Sl. No.	**TWCD**	**Last closing of stock**	**Delay in No. of half yearly closing**	**Delay in Month**	**Unverified Amount (₹ in lakh)**
1.	Agra	3/10	1	3	42.51
2.	Faizabad	9/08	4	19	-29.73
3.	Gorakhpur	3/09	3	15	69.40
4.	Lucknow	3/10	1	3	-12.05
5.	Orai, Jalaun	9/08	4	19	146.68
6.	Varanasi	9/09	2	7	116.02
Total					**7375.87 Say ₹ 73.76 crore**

Appendix 2.1.6

Statement showing non-disposal of surplus/unserviceable/scrap items

(Reference: Paragraph no. 2.1.12.3; page-32)

(Quantity in MT and ₹ in lakh)

Zone	Heavy Machinery		Machinery		Surplus store		Worn-out supper enameled copper wire		Worn-out pvc coated copper wire		Steel/cost iron/aluminum scrape	
	Nos	Amt	Nos	Amt	Nos	Amt	Qty	Amt	Qty	Amt	Qty	Amt
Central zone	13	1.95	1339	36.88	11891	45.88	18.66	34.13	81.32	162.92	70.95	21.32
West zone	14	6.39	115	3.27	7970	123.08	17.25	34.45	60.19	124.69	123.41	25.39
East zone	22	4.39	113	10.10	2093	79.66	17.92	33.63	22.20	44.63	23.28	5.68
Varanasi zone	27	9.37	3914	143.65	181842	272.48	25.49	64.91	65.21	127.34	85.18	12.56
CESPO	0	0.00	0	0.00	11	0.38	0.00	0.00	0.00	0.00	134.17	13.41
Total	**76**	**22.10**	**5481**	**193.90**	**203807**	**521.48**	**79.32**	**167.12**	**228.92**	**459.58**	**436.99**	**78.36**
Total Nos/Qty						**209364**						**745.23**
Amount						**737.48 say ₹7.37 crore**						**705.06 say ₹7.05 crore**

Appendix 2.3.1 (a)

Status of infrastructure/basic facilities in sample selected PS of Ghazipur as on May 2011

(Reference: Paragraph no. 2.3.4.1, 2.3.4.3, 2.3.5.2, 2.3.5.3; page-56,58,60,61)

Sl. No.	Name of Block	Name of School	Toilet	Separate Toilet for girls	Drinking Water	Boundary Wall	Play Ground	Sports Items	Sani-tation	Tat-Patty	Kitchen room	Kitchen Utensil
1	Barachawar	Siuri Amhat	0	0	1	0	0	1	1	1	1	1
2	Barachawar	Maura	0	0	0	1	0	0	1	1	1	1
3	Barachawar	Barachawar 1	1	1	1	1	0	0	1	1	1	1
4	Barachawar	Barachawar 2	1	1	1	0	0	0	1	1	1	1
5	Barachawar	Nasirpur Gandhapa	1	1	1	0	0	0	1	1	1	1
6	Barachawar	Bandhai	1	1	1	0	1	0	1	1	1	1
7	Barachawar	Semaur	1	0	1	1	1	0	1	1	1	1
8	Barachawar	Sayed Khanpur	0	0	0	1	0	0	0	1	1	0
9	Barachawar	NarayanPur	1	0	1	1	0	0	1	1	1	1
10	Barachawar	Muhabbatpur	1	0	1	1	0	0	1	1	1	0
11	Barachawar	Shakkarpur	1	0	1	0	0	1	1	1	1	1
12	Barachawar	Mishrapura	1	0	1	1	0	0	1	1	1	1
13	Barachawar	Bibipur	1	0	1	0	0	0	0	1	1	1
14	Bhadaura	Bhataura	1	0	1	0	0	1	0	1	1	1
15	Bhadaura	Bhakshi	1	0	1	1	1	1	0	1	1	1
16	Bhadaura	Gahmar south	1	0	1	0	1	0	1	1	0	1
17	Bhadaura	Palhanpur	1	1	1	0	1	1	1	1	1	1
18	Bhadaura	Sherpur	1	0	1	0	0	1	0	1	1	1
19	Bhadaura	Shatramganj	1	0	1	0	0	0	0	1	1	1
20	Bhadaura	Saraila	1	0	0	0	0	1	0	1	0	1
21	Bhadaura	Dildarnagar Bazar	1	1	1	0	1	1	0	1	1	1
22	Bhawarkol	Araji Budhaila	0	0	1	1	1	1	1	1	1	1
23	Bhawarkol	Devchandpur	1	1	0	1	0	1	0	1	1	1
24	Bhawarkol	Aamghat	1	0	0	0	0	1	1	1	0	1
25	Bhawarkol	Bhushula	1	0	1	0	1	1	1	0	0	1
26	Bhawarkol	Belasari	1	0	0	0	0	1	1	1	0	1
27	Bhawarkol	Murtujipur	1	1	1	0	1	1	1	1	1	1
28	Bhawarkol	Narsinghpur	0	0	1	0	0	0	1	1	1	1
29	Bhawarkol	Shahpur	1	0	1	0	0	1	1	1	0	1
30	Birno	Araje odasan	1	0	1	1	1	0	1	1	1	1
31	Birno	Kahotari	1	0	1	0	0	0	1	1	1	1
32	Birno	Sathipur	1	0	1	0	0	0	1	1	1	1
33	Birno	Parmanandpur	0	0	1	0	1	1	1	1	1	1
34	Birno	Bhojapur-II	0	0	1	0	0	0	1	1	1	1
35	Birno	Bogana-I	0	0	1	1	1	0	1	1	1	1
36	Birno	Mithapara	1	1	1	0	0	0	0	1	1	1
37	Birno	Nakhatpur	1	0	1	0	1	0	1	1	1	1
38	Birno	Lahurapur Harijan Basti	1	0	1	1	0	0	0	1	1	1
39	Deokali	Barahpur-1	1	0	1	1	1	0	0	1	1	1
40	Deokali	Bilasi	0	0	1	0	1	0	0	1	0	1
41	Deokali	Piyari	1	1	1	0	1	0	1	1	1	1

42	Deokali	Rajapur-2	1	0	1	0	0	0	0	1	1	1
43	Deokali	Devchandrpur-2	1	1	1	0	0	0	0	1	1	1
44	Deokali	Deokali-2	1	0	1	1	1	0	1	1	1	1
45	Deokali	Chekri Uparwar	1	0	0	0	0	0	1	1	1	1
46	Deokali	Sarauli	0	0	1	0	0	0	1	1	1	0
47	Deokali	Rasulpur Khirwari	1	0	1	1	1	0	0	1	1	1
48	Deokali	P.S.Dandapur	1	1	1	0	0	1	1	1	1	1
49	Deokali	Kurban Sarai	1	1	1	0	1	0	1	1	1	1
50	Ghazipur Sadar	Biraich	0	0	1	0	1	1	1	1	1	1
51	Ghazipur Sadar	DeoKali	0	0	1	0	0	0	0	1	1	1
52	Ghazipur Sadar	Khidirabad	1	1	1	0	0	0	1	1	1	1
53	Ghazipur Sadar	Gadawa Chaukiya	1	0	0	0	0	0	0	1	1	1
54	Ghazipur Sadar	Diliya	1	1	1	1	1	1	1	1	1	1
55	Ghazipur Sadar	Talawal 2	1	0	1	0	0	1	1	1	1	1
56	Ghazipur Sadar	Ragunathpur	1	0	1	1	0	1	1	1	1	1
57	Ghazipur Sadar	Gopalpur Jaldi	1	0	1	1	0	1	0	1	1	1
58	Ghazipur Sadar	Chakdallan	0	0	1	0	0	0	1	1	1	1
59	Ghazipur Sadar	Babedi 2	1	0	1	1	1	1	0	1	1	1
60	Ghazipur Sadar	Chakwakar	0	0	1	0	0	0	1	1	1	0
61	Karanda	Mehrauli	1	0	1	0	0	0	1	1	1	1
62	Karanda	Nakul Ka Pura	0	0	1	0	0	0	0	1	1	1
63	Karanda	Dharammarpur	1	0	1	1	0	0	1	1	1	1
64	Karanda	Kusumhi kala	1	1	1	0	0	0	1	1	1	0
65	Karanda	Sansar Chak Khilwa	0	0	0	1	0	1	0	1	1	1
66	Karanda	Mainpur 1	1	1	1	1	1	1	0	1	1	1
67	Karanda	Mainpur 2	1	0	1	0	1	1	0	1	1	1
68	Karanda	Bindpura	1	0	1	1	1	0	1	1	1	1
69	Karanda	Mudhwal	1	1	1	0	0	1	1	1	1	1
70	Karanda	Brahaman pura	1	0	1	1	0	0	1	1	1	1
71	Karanda	Mudkatani	1	0	1	0	0	0	1	1	1	1
72	Karanda	Sitapatti	1	1	1	0	0	0	1	1	1	1
73	Kasimabad	Khajuha	1	1	1	0	0	0	0	1	1	1
74	Kasimabad	Nagwa	1	0	1	1	0	0	0	1	1	0
75	Kasimabad	Siaura Bhartoli	0	0	1	0	0	0	0	1	1	1
76	Kasimabad	Fatehpur	1	0	1	1	0	0	0	1	1	1
77	Kasimabad	Mubarakpur khedu	0	0	1	0	0	1	1	1	0	1
78	Kasimabad	Nasopur	1	1	1	1	0	0	1	1	1	1
79	Manihari	Guraini	1	1	1	0	0	0	1	1	1	1
80	Manihari	Rampur Jivan	1	1	1	0	0	1	1	1	1	1
81	Manihari	Sarai Govind	0	0	1	0	0	0	1	1	1	1
82	Manihari	Sultanpur Bairisal 2	1	0	0	0	0	1	1	1	1	1

83	Manihari	Basewa	1	1	1	0	0	0	0	1	1	1
84	Manihari	Maudhiya	1	1	1	1	0	0	0	1	1	1
85	Manihari	Tilesara Harijan Basti	0	0	1	0	0	0	1	1	1	1
86	Manihari	Jangipur	1	0	1	0	0	0	1	1	1	1
87	Manihari	ChakDaud	1	1	1	0	1	0	1	1	1	1
88	Manihari	Kukuda	1	0	0	0	0	0	1	1	1	1
89	Manihari	Surhurpur	1	1	1	0	0	0	0	1	1	1
90	Mardah	Churamanpur	1	1	1	1	0	0	1	1	1	1
91	Mardah	Bihara	1	1	1	1	0	0	1	1	1	1
92	Mardah	Matehun	1	0	1	1	1	0	0	1	1	1
93	Mardah	Mardah	0	0	1	1	0	0	0	1	1	1
94	Mardah	Nasaratpur	1	1	0	1	0	0	0	1	1	1
95	Mardah	Bauri	1	1	1	0	1	0	0	1	1	1
96	Mardah	Dodasar	0	0	1	0	0	0	0	1	1	1
97	Mardah	Govindpur-2	1	0	1	0	0	1	0	1	1	1
98	Mohmdabad	Chhcchhawa	0	0	1	0	1	1	0	1	1	1
99	Mohmdabad	Khempur	0	0	1	0	0	1	0	1	1	1
100	Mohmdabad	Padarainiya	1	0	1	1	0	0	0	1	1	1
101	Mohmdabad	Fakarabad	1	1	1	1	0	0	0	1	1	1
106	Mohmdabad	Firojpur	1	1	1	1	1	1	0	1	1	1
102	Mohmdabad	Kundesher -I	1	1	1	1	1	1	1	1	1	1
103	Mohmdabad	Chakfarid	1	0	1	0	0	1	1	1	1	1
104	Mohmdabad	Charwakar Rajela	0	0	1	0	0	1	1	1	1	1
105	Mohmdabad	Bhala	0	0	0	0	1	1	1	1	1	1
107	Mohmdabad	Sherpur kala-2	1	0	1	0	0	1	0	1	1	1
108	Mohmdabad	Gouspur-I	1	1	1	1	0	0	1	1	1	1
109	Mohmdabad	Gouspur-II	0	0	0	1	0	0	0	1	1	0
110	Mohmdabad	Harihar pur -I	1	1	1	0	1	0	1	1	1	1
111	Mohmdabad	Bensagar	1	1	1	0	1	0	0	1	1	1
112	Nagar Kshetra	Hathi Khana	1	0	1	0	0	1	0	1	1	1
113	Nagar Kshetra	Muftipura	0	0	0	0	0	0	0	1	1	1
114	Nagar Kshetra	Rai ganj 2	0	0	1	1	0	1	0	1	1	1
115	Nagar Kshetra	Urdu Bazar	0	0	0	0	0	1	0	1	0	1
116	Reotipur	Pakadi	1	0	1	0	0	0	1	1	1	1
117	Reotipur	Daswantpur	1	1	1	0	0	1	1	1	1	1
118	Reotipur	Dohala	1	1	1	0	1	0	1	1	1	1
119	Reotipur	Nauli-2	1	1	1	0	1	1	0	1	1	1
120	Reotipur	Kalyanpur	1	0	1	0	0	0	0	0	1	0
121	Reotipur	Narayanpur	1	1	1	0	1	1	0	1	1	1
122	Reotipur	Reotipur west 2	1	0	1	1	1	1	1	1	1	1
123	Reotipur	Suhwal East-1	1	1	1	0	0	0	1	1	1	0
124	Reotipur	Sujanpur	0	0	1	0	0	0	0	1	1	1
125	Sadat	Mubarakpur Haratara	1	1	1	0	0	0	1	1	1	1
126	Sadat	Sasana	1	1	1	0	0	0	0	1	1	1
127	Sadat	Mahpur	0	0	1	0	0	0	0	1	1	1

128	Sadat	Barahapar Nashratpur	1	1	1	1	0	0	0	1	0	1
129	Sadat	Mai-2	1	1	1	1	0	0	0	1	1	1
130	Sadat	Gahani	1	0	1	0	1	0	1	1	1	1
131	Sadat	Bharatpur	1	0	1	0	1	0	1	1	1	1
132	Sadat	Khajura-I	1	1	1	0	0	0	0	1	1	1
133	Sadat	Dhada wal-2	1	0	1	0	0	0	1	1	1	1
134	Sadat	Sadat-2	1	0	1	1	0	0	0	1	1	1
135	Siadpur	Kodari	0	0	1	1	0	0	1	1	1	1
136	Siadpur	Bhujadi	1	1	1	0	0	1	1	1	1	1
137	Siadpur	Hasanpur	1	0	1	0	0	1	1	1	1	1
138	Siadpur	Istamrar	1	1	0	0	1	1	1	1	1	1
139	Siadpur	Jabranpur	0	0	1	1	0	1	1	1	1	1
140	Siadpur	Dahan	1	0	1	1	1	1	1	1	1	1
141	Siadpur	Ishapur	1	0	1	0	0	0	1	1	1	0
142	Saidpur	Mahrumpur	1	0	1	0	1	0	0	1	1	0
143	Saidpur	Sauna	1	0	0	1	0	1	0	1	1	1
144	Saidpur	Babhnauli Khurd	1	1	1	0	0	1	0	1	1	1
145	Saidpur	Amuvara	1	1	1	0	0	1	1	1	1	1
146	Saidpur	Singhpur	0	0	1	0	0	0	0	1	1	1
147	Zakhania	Chhatma	0	0	1	0	1	1	1	1	1	1
148	Zakhania	Ghatari	1	0	0	0	0	0	1	1	1	0
149	Zakhania	Chak Fatma	1	1	1	0	0	0	1	1	1	1
150	Zakhania	Manjhanpur	1	1	1	0	0	1	1	1	1	1
151	Zakhania	Bahlolpur	1	1	1	0	1	0	1	1	1	1
152	Zakhania	Kanuan	1	1	1	0	0	0	0	1	1	1
153	Zakhania	Lediha	0	0	1	0	1	0	0	1	1	1
154	Zakhania	Belhara	0	0	0	0	0	1	1	1	1	1
155	Zakhania	Padumpur	1	0	1	0	0	0	1	1	1	0
156	Zakhania	Dhamupur 1	1	0	1	1	0	0	0	1	1	1
157	Zakhania	Matakpur	1	0	1	1	0	1	1	1	1	1
158	Zamania	Gayghat	0	0	0	0	0	0	1	1	1	1
159	Zamania	Budha deeh	1	1	1	1	1	0	1	1	1	1
160	Zamania	Hamidpur Mandir	0	0	1	0	1	1	1	1	1	1
161	Zamania	Hetihampur	0	0	1	0	1	0	1	1	1	1
162	Zamania	Baresar	1	0	1	1	0	0	0	1	1	1
163	Zamania	Manjhariya	1	0	1	1	0	0	0	1	1	1
164	Zamania	Deoria Khas	0	0	1	0	0	0	0	1	1	1
165	Zamania	Udharanpur	1	1	1	0	0	0	0	0	1	0
166	Zamania	Kishunipur	1	1	1	0	0	0	0	1	1	1
167	Zamania	Nariyaw No.2	1	1	1	1	0	1	1	1	1	1
168	Zamania	Chakmedani-1	1	1	1	0	0	0	0	1	1	1
169	Zamania	Machharmara	1	0	1	0	0	0	0	1	0	1
170	Zamania	SariMuradali	1	1	1	1	1	0	1	1	1	1
171	Zamania	Tiyari	1	0	1	1	1	1	0	0	1	1
172	Zamania	Zamania No.2	1	0	1	1	0	0	0	1	1	1
		Yes	**130**	**61**	**151**	**58**	**51**	**61**	**97**	**168**	**161**	**158**
		No	**42**	**111**	**21**	**114**	**121**	**111**	**75**	**4**	**11**	**14**

Note: 1 for Yes and 0 for NO

Appendix 2.3.1 (b)

Status of infrastructure/basic facilities in sample selected UPS of Ghazipur as on May 2011

(Reference: Paragraph no. 2.3.4.1, 2.3.4.3, 2.3.5.2, 2.3.5.3; page- 56,58,60,61)

Sl. No.	Name of Block	Name of School	Toilet	Separate Toilet	Drinking Water	Boundary Wall	Play Ground	Sports Items	Sanita-tion	Desk-Bench	No. of computer provided	Computer Installed	Kitchen room	Kitchen Utensils
1	Barachawar	Amwa Askaran	1	1	1	0	0	0	1	1	0	0	0	1
2	Barachawar	Barachawar	1	1	1	0	0	0	0	1	0	0	1	1
3	Barachawar	Vishwambharpur	0	0	1	0	0	1	0	1	0	0	0	1
4	Barachawar	Chakia	0	0	1	0	1	1	0	1	0	0	0	1
5	Barachawar	Gonha	0	0	1	0	0	0	1	0	0	0	0	1
6	Barachawar	Chak Fatma	1	1	1	0	0	0	0	0	0	0	1	1
7	Bhadaura	Amaura	0	0	0	0	0	0	0	0	0	0	0	1
8	Bhadaura	Dildarnagar	1	0	1	1	1	1	1	1	0	0	0	1
9	Bhadaura	Bhadaura	0	0	0	0	0	0	0	0	0	0	0	0
10	Bhadaura	Sevrai	1	1	1	1	1	1	0	0	1	0	1	1
11	Bhawarkol	Awathahi	0	0	1	1	0	1	0	1	1	0	1	1
12	Bhawarkol	Joga	0	0	0	0	0	0	0	0	0	0	0	0
13	Bhawarkol	Jagdishpur	0	0	0	0	1	0	1	0	0	0	0	0
14	Birno	Champaran Patti	1	1	1	0	1	0	1	1	0	0	1	0
15	Birno	Jayanti Daspur	1	0	1	0	0	0	0	1	0	0	0	1
16	Birno	Mushtafabad	1	0	1	1	1	0	0	1	0	0	1	1
17	Birno	Birno	1	1	1	1	1	1	0	1	1	0	1	1
18	Birno	Turkvalia	1	1	1	0	0	1	0	1	0	0	0	0
19	Birno	Pipnar	0	0	1	0	0	0	0	0	0	0	0	1
20	Deokali	Rampur Bantara	0	0	0	0	0	0	1	1	0	0	0	0
21	Deokali	Bikachak	0	0	0	0	0	0	0	0	0	0	0	0
22	Deokali	Chitaura	0	0	0	0	0	0	1	0	0	0	0	1
23	Deokali	Pachrasi	0	0	0	0	0	0	0	0	0	0	1	1
24	Deokali	Devchandpur	1	0	1	0	1	0	0	0	0	0	1	1

25	Deokali	Kudhachawar	1	0	0	0	0	0	0	0	0	0	0	0
26	Ghazipur Sadar	Nagwa Kataila	1	0	1	0	0	1	0	1	0	0	1	1
27	Ghazipur Sadar	Banjari pur	1	0	1	0	0	1	1	1	0	0	1	1
28	Karanda	Lilapur	1	1	0	0	0	1	0	1	0	0	0	1
29	Karanda	Sikandarpur	1	0	0	0	0	0	1	1	0	0	0	0
30	Karanda	Kusumi Kala	1	0	0	0	1	0	1	1	0	0	0	0
31	Karanda	Kanya Mainpur	1	1	1	1	1	1	0	0	0	0	1	0
32	Karanda	Mainpur	0	0	0	0	1	1	0	1	1	1	0	1
33	Karanda	Shriganj	0	0	0	0	0	1	1	1	0	0	0	1
34	Kasimabad	Dewli	1	1	0	1	0	0	0	1	0	0	1	0
35	Kasimabad	Kaghzipur	1	0	1	0	0	0	0	1	0	0	1	1
36	Kasimabad	Mahuwari	0	0	0	0	1	0	0	0	0	0	0	0
37	Kasimabad	Ramgarh	0	0	0	0	0	0	0	1	0	0	0	0
38	Kasimabad	Mohiuddinpur	0	0	1	0	0	0	0	1	0	0	1	1
39	Manihari	Rampur Jeevan	1	0	1	0	0	0	0	0	0	0	0	1
40	Manihari	Khatirpur	1	1	0	0	1	1	1	1	0	0	1	0
41	Manihari	Sonbarsa	0	0	0	0	0	1	1	1	0	0	0	1
42	Manihari	Hariharpur	1	0	0	0	1	0	0	0	0	0	0	0
43	Manihari	Yusufpur	0	0	1	0	0	0	1	0	1	1	1	1
44	Mardah	Kastua	0	0	1	0	1	0	1	1	0	0	1	1
45	Mardah	Mardah	0	0	1	1	1	0	0	1	1	0	1	1
46	Mardah	Rasulabad	0	0	0	0	1	0	0	0	0	0	0	0
47	Mohmdabad	Keshavpur	0	0	0	0	0	1	0	0	0	0	1	1
48	Mohmdabad	Kundesar	1	0	1	1	1	1	0	0	0	0	1	1
49	Mohmdabad	Devnainia	1	0	1	0	0	1	0	1	0	0	0	1
50	Mohmdabad	Hussepur Kothia	1	0	0	0	1	1	1	1	0	0	0	1
51	Nagar Kshetra	Raiganj	1	1	1	1	0	1	0	1	0	0	0	1
52	Reotipur	Pakadi	1	1	1	0	0	0	1	1	1	0	0	1

53	Reotipur	Bemua	0	0	0	0	1	0	1	1	0	0	0	1
54	Reotipur	Kalyanpur	0	0	0	0	0	1	0	0	0	0	0	1
55	Reotipur	Patkhauliya	0	0	0	0	0	1	0	1	0	0	0	0
56	Sadat	Daulat Nagar	0	0	0	0	0	0	1	0	0	0	0	0
57	Sadat	Mahpur	1	0	1	0	0	1	0	0	0	0	1	1
58	Sadat	Barahpar Nasaratpur	1	1	1	0	0	0	0	1	0	0	0	1
59	Sadat	Fauladpur	1	1	0	0	0	0	0	1	0	0	1	0
60	Sadat	Pinpnar P.M.V Pipnar	1	1	0	0	0	1	1	1	0	0	1	1
61	Sadat	Sadat	1	0	1	0	1	0	0	1	1	0	1	1
62	Saidpur	Jamin Sandal	1	0	0	0	1	0	1	0	0	0	0	1
63	Saidpur	Gauri	1	1	0	0	0	1	1	1	0	0	0	1
64	Saidpur	Khanpur	1	1	1	1	0	1	0	1	1	1	0	1
65	Saidpur	Mahrumpur	0	0	0	0	0	1	0	1	0	0	1	1
66	Saidpur	Saidpur-1	1	0	1	1	1	0	0	0	1	0	0	1
67	Zakhaniya	Zafarpur	0	0	1	0	0	0	0	1	0	0	1	1
68	Zakhaniya	Manjhanpur	1	0	0	0	1	1	0	1	0	0	1	1
69	Zakhaniya	Khetab pur	1	0	0	1	0	0	1	1	0	0	1	0
70	Zakhaniya	Meerpur	1	0	1	0	1	0	0	1	0	0	0	1
71	Zakhaniya	Dhamupur	1	0	0	1	0	0	0	0	0	0	0	1
72	Zamania	Bareshar	1	0	0	1	0	0	0	1	0	0	1	0
73	Zamania	Pachokhar	1	1	1	0	1	1	0	0	0	0	0	1
74	Zamania	Muhmamdpur	1	1	1	0	1	1	0	0	0	0	1	1
75	Zamania	Raipur	1	1	1	0	0	0	0	0	0	0	0	1
Yes			**45**	**21**	**39**	**15**	**27**	**30**	**23**	**45**	**10**	**3**	**31**	**53**
No			**30**	**54**	**36**	**60**	**48**	**45**	**52**	**30**	**65**	**72**	**44**	**22**

Note: 1 for Yes and 0 for No

Appendix 2.3.2 (a)

Status of infrastructure/basic facilities in sample selected PS of G.B. Nagar as on May 2011

(Reference: Paragraph no. 2.3.4.1, 2.3.4.3, 2.3.5.2, 2.3.5.3; page-56,58,60,61)

Sl. No.	Name of Block	Name of school	Toilet	Separate Toilet	Drinking Water	Boundary Wall	Play Ground	Sports Items	Sanitation	Tat-Patty	Kitchen room	Kitchen Utensil
1	Bisrakh	Khedi 2	1	1	0	1	0	1	0	1	0	1
2	Bisrakh	Khodna khurd 1	0	0	1	1	1	0	0	1	1	1
3	Bisrakh	Haraula	1	1	1	1	0	0	1	1	0	0
4	Bisrakh	Bisrakh 2	1	1	1	1	1	1	0	1	0	1
5	Bisrakh	Achheja 1	1	1	1	1	1	1	0	1	1	1
6	Bisrakh	Baadalpur 2	1	1	1	1	0	0	1	1	0	1
7	Bisrakh	Deola	1	1	1	1	0	0	0	1	1	0
8	Bisrakh	Tilpata 1	1	1	1	1	1	1	1	1	1	1
9	Bisrakh	Bhangel	1	1	0	1	1	0	1	1	1	1
10	Bisrakh	Thaapkheda	1	1	1	1	1	1	1	1	1	1
11	Bisrakh	Vajidpur	1	1	1	1	1	1	0	1	0	0
12	Dadari	Dadari-iii kidvai nagar	0	0	1	1	1	1	0	1	0	0
13	Dadari	Garhi dadari	0	0	0	0	0	1	0	1	0	0
14	Dadari	Khurshaidpura	1	1	1	1	1	1	0	1	0	0
15	Dadari	Dhoom manikpur	1	1	1	1	1	1	0	1	1	0
16	Dadari	Chak sainpur ki madaiya	1	1	1	0	1	0	1	1	0	0
17	Dadari	Bambavad-i	1	1	1	1	0	0	0	1	1	0
18	Dadari	Sadopur -i	1	1	1	1	1	1	1	1	1	1
19	Dadari	Mahawar	1	1	1	1	1	1	0	1	1	1
20	Dadari	Deri skeenar	1	1	1	1	0	1	0	1	0	0
21	Dadari	Kailashpur-i	1	1	1	1	1	1	1	1	1	0
22	Dadari	Chitehra -ii	1	1	0	0	0	0	0	1	1	0
23	Dankaur	Navada-i	1	1	1	0	1	0	0	1	1	1

24	Dankaur	Hajipur	1	1	1	1	1	1	1	1	1	1
25	Dankaur	Bironda	0	0	1	1	0	1	0	1	1	1
26	Dankaur	Bilaspur no. 2	1	1	1	1	0	0	1	1	0	0
27	Dankaur	Junedpur	1	1	1	1	1	1	1	1	1	1
28	Dankaur	Balla ki madhaiya	1	1	1	1	0	1	0	1	1	0
29	Dankaur	Sirsa	1	1	1	1	1	1	0	1	1	0
30	Dankaur	Gharbara-i	1	1	1	1	1	0	1	1	0	0
31	Dankaur	Gharbara-ii	1	1	1	1	1	0	1	1	1	0
32	Dankaur	Bilaspur	1	1	1	1	0	1	0	1	0	1
33	Dankaur	Chuharpur khadar	0	0	1	0	0	1	0	1	0	0
34	Dankaur	Panchaytan	1	1	1	1	1	0	1	1	1	0
35	Dankaur	Larpura	1	1	1	1	1	1	1	1	1	0
36	Jever	Marhara	1	1	1	1	1	1	0	1	1	1
37	Jever	Pachokara	1	1	1	0	0	1	0	1	0	0
38	Jever	Mehedipur kala	0	0	1	1	1	0	0	1	0	1
39	Jever	Zafergarh	1	1	1	1	1	0	0	1	1	1
40	Jever	Bhoyara (smile nager)	1	1	1	0	1	1	0	1	1	0
41	Jever	Bhayokara	1	1	1	1	0	1	1	1	1	0
42	Jever	Machipur(banger)	1	1	1	1	1	0	1	1	1	0
43	Jever	Chaurauli ii	1	1	1	1	1	1	0	1	0	0
44	Jever	Chaurauli	1	1	1	1	1	0	0	1	1	0
45	Jever	Neemika i	1	1	1	1	1	0	0	1	1	0
46	Jever	Khwajpur	1	1	1	0	1	1	1	1	1	0
Yes			**40**	**40**	**42**	**38**	**31**	**28**	**18**	**46**	**29**	**18**
No			**6**	**6**	**4**	**8**	**15**	**18**	**28**	**0**	**17**	**28**

Note: 1 for Yes and 0 for No

Appendix 2.3.2 (b)

Status of infrastructure/basic facilities in sample selected UPS of G. B. Nagar as on May 2011

(Reference: Paragraph no. 2.3.4.1, 2.3.4.3, 2.3.5.1, 2.3.5.2, 2.3.5.3; page-56,58,60,61)

Sl. No.	Name of block	Name of School	Toilet	Separate Toilet	Drinking Water	Boundary Wall	Play Ground	Sports Items	Sanitation	Desk-Bench	No. of computer provided	Computer Installed	Kitchen room	Kitchen Utensils
1	Bisrakh	Haraula	1	1	1	1	1	1	0	1	1	1	0	0
2	Bisrakh	Dharm Pura	1	1	1	1	1	1	0	0	0	0	0	1
3	Bisrakh	Achheja	1	1	1	1	1	1	0	0	0	0	1	1
4	Bisrakh	Sultanpur	1	1	1	1	1	1	0	1	1	1	0	0
5	Bisrakh	Hushiyar pur	1	1	1	1	1	0	0	1	1	1	1	1
6	Dadari	Rajat Pur	1	1	1	1	1	1	1	0	1	1	0	1
7	Dadari	Bil Akbarpur	1	1	1	0	1	1	1	1	0	0	0	1
8	Dadari	R.Latifpur	1	1	1	1	0	1	0	1	1	0	0	0
9	Dadari	Bodaki	0	0	1	1	1	0	1	0	0	0	1	0
10	Dadari	Luharli	1	1	1	1	1	1	0	1	1	0	0	0
11	Dankaur	Gridharpur	0	0	1	1	1	1	0	0	1	0	0	0
12	Dankaur	Fazayalpur	1	1	1	1	1	0	1	1	0	0	0	0
13	Dankaur	Navada	1	1	1	1	1	0	0	1	0	0	0	0
14	Dankaur	Yakootpur	0	0	1	1	1	0	0	0	0	0	0	0
15	Dankaur	Gharbara	1	1	1	1	1	0	1	1	0	0	0	0
16	Dankaur	Tugalpur	1	1	1	1	1	0	0	0	0	0	0	0
17	Zever	Pachokara	1	1	1	1	1	1	0	0	0	0	0	1
18	Zever	Neemika	1	1	0	1	1	0	0	1	1	1	0	0
19	Zever	Khajpur	1	1	1	1	1	0	1	1	0	0	0	0
20	Zever	Chanchali	1	1	1	1	1	0	1	1	0	0	1	1
21	Zever	Chaurauli	1	1	1	1	1	1	1	1	0	0	0	0
Yes			**18**	**18**	**20**	**20**	**20**	**11**	**8**	**13**	**8**	**5**	**4**	**7**
No			**3**	**3**	**1**	**1**	**1**	**10**	**13**	**8**	**13**	**16**	**17**	**14**

Note: 1 for Yes and 0 for No

Appendix 2.3.3 (a)

Status of Text book, dress & enrolment in sample selected PS of Ghazipur during 2010-11.

(Reference: Paragraph no. 2.3.4.2, 2.3.5.4, 2.3.5.5, 2.3.6.2; page-58,61,62,63)

Sl. No.	Name of Block	Name of School	Class-I students enrolled in 2006-07	Class-V students enrolled in 2010-11	*Dress	*Text Book	*Library	*Electrification	*Electrified	Remarks
1	Barachawar	Siuri Amhat	100	58	1	1	1	1	0	
2	Barachawar	Maura	62	30	1	1	0	1	0	
3	Barachawar	Barachawar 1	94	37	1	1	0	0	0	
4	Barachawar	Barachawar 2	34	16	1	1	1	1	1	
5	Barachawar	Nasirpur Gandhapa	19	14	1	1	0	0	0	
6	Barachawar	Bandhai	71	46	1	1	0	0	0	
7	Barachawar	Semaur	15	2	1	1	1	0	0	
8	Barachawar	Sayed Khanpur	0	0	1	1	0	0	0	
9	Barachawar	NarayanPur	91	39	1	1	1	1	0	
10	Barachawar	Muhabbatpur	30	35	1	1	0	1	0	
11	Barachawar	Shakkarpur	33	35	1	1	0	0	0	
12	Barachawar	Mishrapura	0	3	1	1	0	1	0	
13	Barachawar	Bibipur	39	7	1	1	0	0	0	
14	Bhadaura	Bhataura	88	40	0	1	0	0	0	
15	Bhadaura	Bhakshi	0	39	0	1	0	0	0	
16	Bhadaura	Gahmar south	61	47	0	1	0	1	0	
17	Bhadaura	Palhanpur	23	13	0	0	0	0	0	
18	Bhadaura	Sherpur	76	19	1	1	0	1	0	
19	Bhadaura	Shatramganj	61	22	1	1	0	0	0	
20	Bhadaura	Saraila	96	29	0	0	0	1	0	
21	Bhadaura	Dildarnagar Bazar	72	42	1	1	1	0	0	
22	Bhawarkol	Araji Budhaila	27	36	1	1	0	1	0	
23	Bhawarkol	Devchandpur	0	0	0	1	0	0	0	
24	Bhawarkol	Aamghat	21	9	0	0	0	0	0	

25	Bhawarkol	Bhushula	24	14	1	0	1	1	0	
26	Bhawarkol	Belasari	40	10	1	1	0	0	0	
27	Bhawarkol	Murtujipur	31	31	1	1	0	0	0	
28	Bhawarkol	Narsinghpur	26	8	1	1	0	0	0	
29	Bhawarkol	Shahpur	40	30	1	1	0	1	0	
30	Birno	Araje odasan	27	16	1	1	0	1	1	Uncertain time
31	Birno	Kahotari	57	33	1	1	0	0	0	
32	Birno	Sathipur	36	20	1	1	0	0	0	
33	Birno	Parmanandpur	23	10	1	1	0	0	0	
34	Birno	Bhojapur-II	27	17	1	1	0	0	0	
35	Birno	Bogana-I	0	24	1	1	0	0	0	
36	Birno	Mithapara	56	23	1	1	0	0	0	
37	Birno	Nakhatpur	223	22	1	1	0	1	0	
38	Birno	Lahurapur Harijan Basti	0	0	1	1	0	1	0	
39	Deokali	Barahpur-1	71	57	1	1	1	1	0	
40	Deokali	Bilasi	48	19	1	1	0	0	0	
41	Deokali	Piyari	85	75	1	1	1	1	1	
42	Deokali	Rajapur-2	73	23	1	1	1	1	0	
43	Deokali	Devchandrapur-2	27	22	1	1	1	0	0	
44	Deokali	Deokali-2	25	23	1	1	0	0	0	
45	Deokali	Chekri Uparwar	0	7	1	0	0	0	0	
46	Deokali	Sarauli	32	31	1	0	1	1	0	
47	Deokali	Rasulpur Khirwari	54	10	1	1	0	1	0	
48	Deokali	P.S.Dandapur	28	23	1	1	1	0	0	
49	Deokali	Kurban Sarai	90	25	1	0	1	1	0	
50	Ghazipur Sadar	Biraich	65	60	1	1	1	1	0	
51	Ghazipur Sadar	DeoKali	36	28	1	1	0	1	0	

52	Ghazipur Sadar	Khidirabad	71	30	1	1	0	0	0	
53	Ghazipur Sadar	Gadawa Chaukiya	168	27	1	1	0	1	1	
54	Ghazipur Sadar	Diliya	86	65	1	1	1	1	1	Uncertain time
55	Ghazipur Sadar	Talawal 2	20	17	1	1	1	0	0	
56	Ghazipur Sadar	Ragunathpur	0	0	1	1	0	0	0	
57	Ghazipur Sadar	Gopalpur Jaldi	46	26	1	1	0	0	0	
58	Ghazipur Sadar	Chakdallan	28	12	1	1	0	1	1	
59	Ghazipur Sadar	Babedi 2	75	26	1	1	1	1	0	
60	Ghazipur Sadar	Chakwakar	0	29	0	1	0	0	0	
61	Karanda	Mehrauli	37	11	0	1	1	1	0	
62	Karanda	Nakul Ka Pura	44	9	1	1	0	0	0	
63	Karanda	Dharammarpur	142	26	0	1	1	1	1	Uncertain time
64	Karanda	Kusumhi kala	0	48	0	1	1	1	1	
65	Karanda	Sansar Chak Khilwa	0	0	0	1	0	0	0	Uncertain time
66	Karanda	Mainpur 1	64	25	0	1	1	0	0	
67	Karanda	Mainpur 2	15	9	0	1	1	0	0	
68	Karanda	Bindpura	82	47	0	0	1	0	0	
69	Karanda	Mudhwal	49	32	0	1	1	1	0	
70	Karanda	Brahaman pura	38	30	1	0	1	0	0	
71	Karanda	Mudkatani	83	15	0	1	0	1	0	
72	Karanda	Sitapatti	49	10	0	1	0	0	0	
73	kasimabad	Khajuha	49	30	1	1	0	1	0	
74	kasimabad	Nagwa	56	10	1	1	0	0	0	
75	kasimabad	Siaura Bhartoli	69	65	1	1	0	1	1	
76	kasimabad	Fatehpur	72	26	1	1	0	1	0	
77	kasimabad	Mubarakpurkhedu	60	54	1	0	1	0	0	

78	kasimabad	Nasopur	0	0	1	1	0	0	0	
79	Manihari	Guraini	95	15	1	1	1	0	0	
80	Manihari	Rampur jivan	73	32	1	1	1	1	0	
81	Manihari	Sarai Govind	93	93	1	0	0	0	0	
82	Manihari	Sultanpur Bairisal 2	0	42	1	1	0	0	0	
83	Manihari	Basewa	66	68	1	1	0	1	0	Uncertain time
84	Manihari	Maudhiya	81	53	1	1	0	0	0	
85	Manihari	Tilesara Harijan Basti	0	0	1	1	0	0	0	
86	Manihari	Jangipur	110	49	1	1	0	1	1	Night only
87	Manihari	ChakDaud	76	36	1	1	1	0	0	
88	Manihari	Kukuda	119	98	1	0	1	1	1	
89	Manihari	Surhurpur	48	26	1	1	1	0	0	
90	Mardah	Churamanpur	63	10	1	1	0	0	0	
91	Mardah	Bihara	76	32	1	1	0	1	1	
92	Mardah	Matehun	136	37	1	1	1	1	1	
93	Mardah	Mardah	58	56	1	1	1	1	1	Uncertain time
94	Mardah	Nasaratpur	78	45	1	1	1	1	0	
95	Mardah	Bauri	100	20	1	1	1	1	1	
96	Mardah	Dodasar	44	23	1	1	1	1	1	Uncertain time
97	Mardah	Govindpur-2	61	15	1	1	1	0	0	
98	Mohmdabad	Chhechhawa	25	22	1	1	1	0	0	
99	Mohmdabad	Khempur	40	20	1	0	1	0	0	
100	Mohmdabad	Padarainiya	52	28	1	0	0	1	0	
101	Mohmdabad	Fakarabad	56	39	1	1	1	1	0	
106	Mohmdabad	Firojpur	55	32	1	1	1	0	0	
102	Mohmdabad	Kundesher -I	97	34	1	1	0	1	0	

103	Mohmdabad	Chakfarid	45	29	1	0	1	1	0	
104	Mohmdabad	Charwakar Rajela	25	17	1	1	0	1	0	
105	Mohmdabad	Bhala	57	39	1	1	1	0	0	
107	Mohmdabad	Sherpur kala-2	31	20	1	0	0	1	0	
108	Mohmdabad	Gouspur-I	0	28	1	1	1	1	1	Uncertain time
109	Mohmdabad	Gouspur-II	0	82	1	1	0	1	1	
110	Mohmdabad	Harihar pur -I	110	53	1	1	1	1	1	Uncertain time
111	Mohmdabad	Bensagar	53	33	1	1	0	1	1	7 PM To 8 AM
112	Nagar Kshetra	Hathi Khana	34	12	1	0	0	0	0	
113	Nagar Kshetra	Muftipura	36	11	1	1	0	0	0	
114	Nagar Kshetra	Rai ganj 2	61	22	1	1	0	0	0	
115	Nagar Kshetra	Urdu Bazar	37	11	1	1	1	1	0	
116	Reotipur	Pakadi	105	103	1	1	0	1	0	
117	Reotipur	Daswantpur	19	14	1	1	1	0	0	
118	Reotipur	Dohala	0	2	1	1	0	1	0	
119	Reotipur	Nauli-2	34	31	1	1	0	1	0	
120	Reotipur	Kalyanpur	91	23	0	0	0	0	0	
121	Reotipur	Narayanpur	41	8	1	1	0	1	0	
122	Reotipur	Reotipur west 2	51	41	1	1	0	0	0	
123	Reotipur	Suhwal East-1	85	31	1	1	0	1	1	
124	Reotipur	Sujanpur	57	15	1	1	0	1	1	
125	Sadat	Mubarakpur Haratara	0	17	1	1	1	0	0	
126	Sadat	Sasana	26	8	1	1	1	1	0	
127	Sadat	Mahpur	31	23	1	1	0	1	0	
128	Sadat	Barahapar Nashratpur	46	40	1	1	1	1	1	
129	Sadat	Mai-2	40	28	1	1	0	1	1	

130	Sadat	Gahani	83	30	1	1	0	1	0	
131	Sadat	Bharatpur	80	31	1	1	0	0	0	
132	Sadat	Khajura-I	32	19	1	1	1	1	0	
133	Sadat	Dhada wal-2	19	19	1	1	0	1	0	
134	Sadat	Sadat-2	127	25	1	1	1	1	1	Uncertain time
135	Siadpur	Kodari	57	41	1	0	0	1	0	
136	Siadpur	Bhujadi	50	17	1	1	0	1	1	
137	Siadpur	Hasanpur	57	69	1	1	1	1	1	
138	Siadpur	Istamrar	109	31	1	1	0	0	0	
139	Siadpur	Jabranpur	54	30	1	1	0	0	0	
140	Siadpur	Dahan	33	28	1	1	1	1	0	
141	Siadpur	Ishapur	79	28	1	1	1	0	0	
142	Saidpur	Mahrumpur	38	36	1	1	0	1	1	Uncertain time
143	Saidpur	Sauna	95	45	1	1	1	0	0	
144	Saidpur	Babhnauli Khurd	39	21	1	1	1	0	0	
145	Saidpur	Amuvara	98	31	1	1	0	0	0	
146	Saidpur	Singhpur	27	18	1	1	1	0	0	
147	Zakhania	Chhatma	62	30	1	1	1	0	0	
148	Zakhania	Ghatari	60	38	1	1	0	0	0	
149	Zakhania	Chak Fatma	58	25	1	1	1	1	0	
150	Zakhania	Manjhanpur	128	61	1	1	1	1	1	
151	Zakhania	Bahlolpur	0	0	1	1	0	0	0	
152	Zakhania	Kanuan	96	20	1	1	0	1	1	Uncertain time
153	Zakhania	Lediha	70	34	1	1	1	0	0	
154	Zakhania	Belhara	48	51	1	1	1	0	0	
155	Zakhania	Padumpur	70	31	1	0	1	0	0	

156	Zakhania	Dhamupur 1	61	32	1	0	1	1	0	
157	Zakhania	Matakpur	29	27	1	1	1	0	0	
158	Zamania	Gayghat	79	53	1	1	0	1	0	
159	Zamania	Budha deeh	124	20	1	1	1	1	0	
160	Zamania	Hamidpur Mandir	60	58	1	1	1	0	0	
161	Zamania	Hetihampur	438	118	1	1	1	1	0	
162	Zamania	Baresar	85	60	1	1	0	1	0	
163	Zamania	Manjhariya	66	23	1	1	0	1	0	
164	Zamania	Deoria Khas	48	31	1	1	0	0	0	
165	Zamania	Udharanpur	53	28	1	0	0	0	0	
166	Zamania	Kishunipur	25	13	1	1	0	0	0	
167	Zamania	Nariyaw No.2	45	21	1	1	1	0	0	
168	Zamania	Chakmedani-1	64	4	1	1	0	0	0	
169	Zamania	Machharmara	51	39	1	1	0	1	1	Uncertain time
170	Zamania	SariMuradali	38	30	1	1	0	1	1	
171	Zamania	Tiyari	81	61	1	1	0	1	0	
172	Zamania	Zamania No.2	55	28	1	1	0	0	0	
Total			**9648**	**5079**	**153**	**150**	**70**	**87**	**32**	
Yes			***NA***	***NA***	***153***	***150***	***70***	***87***	***32***	
No			**NA**	**NA**	**19**	**22**	**102**	**85**	**55**	

Note: 1 for yes and 0 for No

Appendix 2.3.3 (b)

Status of infrastructure/basic facilities in sample selected UPS of Ghazipur during 2010-11

(Reference: Paragraph no. 2.3.4.2, 2.3.5.4, 2.3.5.5, 2.3.6.2; page-58,61,62,63)

Sl. No.	Name of Block	Name of School	Class-VI students enrolled in 2008-09	Class-VIII students enrolled in 2010-11	*Text Book	* Library	*Electrifi-cation	*Electrified	Remarks
1	Barachawar	Amwa Askaran	42	50	1	0	0	0	
2	Barachawar	Barachawar	0	0	1	0	1	0	
3	Barachawar	Vishwambharpur	9	10	1	0	1	0	Uncertain Time
4	Barachawar	Chakia	44	38	1	1	1	0	
5	Barachawar	Gonha	0	0	1	0	0	0	
6	Barachawar	Chak Fatma	66	69	1	0	1	0	
7	Bhadaura	Amaura	0	0	1	0	0	0	
8	Bhadaura	Dildarnagar	84	95	1	1	1	0	
9	Bhadaura	Bhadaura	25	29	1	0	1	0	
10	Bhadaura	Sevrai	141	118	1	0	1	0	
11	Bhawarkol	Awathahi	148	132	1	1	0	0	
12	Bhawarkol	Joga	0	0	1	0	0	0	
13	Bhawarkol	Jagdishpur	0	0	0	0	0	0	
14	Birno	Champaran Patti	0	0	1	0	0	0	
15	Birno	Jayanti Daspur	16	10	1	0	0	0	
16	Birno	Mushtafabad	51	56	1	0	1	1	
17	Birno	Birno	99	74	1	0	1	0	6 Hours in day & night
18	Birno	Turkvalia	9	5	0	0	1	0	
19	Birno	Pipnar	27	23	1	0	1	0	

20	Deokali	Rampur Bantara	3	0	1	0	0	0	
21	Deokali	Bikachak	0	0	0	0	0	0	
22	Deokali	Chitaura	5	5	0	0	0	0	
23	Deokali	Pachrasi	54	45	1	0	1	1	8 Hours in day & night
24	Deokali	Devchandpur	33	37	1	0	0	0	
25	Deokali	Kudhachawar	0	0	1	0	0	0	
26	Ghazipur Sadar	Nagwa Kataila	55	39	1	0	1	0	
27	Ghazipur Sadar	Banjari pur	26	19	1	0	0	0	
28	Karanda	Lilapur	16	16	1	0	0	0	
29	Karanda	Sikandarpur	0	0	0	0	1	0	
30	Karanda	Kusumi Kala	46	25	1	0	1	0	
31	Karanda	Kanya Mainpur	16	15	1	1	1	0	
32	Karanda	Mainpur	20	21	1	1	1	0	
33	Karanda	Shriganj	0	0	0	0	0	0	
34	Kasimabad	Dewli	17	6	1	0	0	0	
35	Kasimabad	Kaghzipur	9	0	1	0	0	0	
36	Kasimabad	Mahuwari	0	0	0	0	0	0	
37	Kasimabad	Ramgarh	27	11	1	0	1	0	
38	Kasimabad	Mohiuddinpur	0	0	1	0	1	0	
39	Manihari	Rampur Jeevan	0	0	1	0	0	0	
40	Manihari	Khatirpur	29	24	1	0	0	0	
41	Manihari	Sonbarsa	42	0	0	0	0	0	
42	Manihari	Hariharpur	94	80	1	0	1	0	
43	Manihari	Yusufpur	283	280	1	0	1	0	

44	Mardah	Kastua	17	16	0	0	1	0	
45	Mardah	Mardah	116	97	1	1	1	0	
46	Mardah	Rasulabad	3	0	1	0	0	0	
47	Mohmdabad	Keshavpur	60	64	1	0	1	0	
48	Mohmdabad	Kundesar	35	24	1	0	1	0	
49	Mohmdabad	Devnainia	12	9	1	0	1	0	
50	Mohmdabad	Hussepur Kothia	20	15	0	0	1	1	10:00PM to 8:00 AM
51	Nagar Kshetra	Raiganj	24	17	1	0	1	0	
52	Reotipur	Pakadi	140	66	1	0	0	0	
53	Reotipur	Bemua	52	43	1	0	0	0	
54	Reotipur	Kalyanpur	15	11	0	0	0	0	
55	Reotipur	Patkhauliya	12	11	0	0	0	0	
56	Sadat	Daulat Nagar	146	127	1	0	0	0	
57	Sadat	Mahpur	203	191	1	1	1	0	
58	Sadat	Barahpar Nasaratpur	18	22	1	0	0	0	
59	Sadat	Fauladpur	36	35	1	0	0	0	
60	Sadat	Pinpnar P.M.V Pipnar	100	92	1	1	1	0	
61	Sadat	Sadat	239	205	1	1	1	0	
62	Saidpur	Jamin Sandal	40	42	1	0	0	0	
63	Saidpur	Gauri	8	8	1	0	0	0	
64	Saidpur	Khanpur	95	81	1	1	1	1	Uncertain Time
65	Saidpur	Mahrumpur	0	0	1	1	0	0	
66	Saidpur	Saidpur-1	63	51	0	1	1	1	
67	Zakhaniya	Zafarpur	134	135	1	0	1	1	

68	Zakhaniya	Manjhanpur	45	40	1	0	0	0	
69	Zakhaniya	Khetab pur	61	56	1	0	1	1	Uncertain Time
70	Zakhaniya	Meerpur	49	6	1	0	1	0	
71	Zakhaniya	Dhamupur	50	47	0	1	1	1	
72	Zamania	Bareshar	38	32	1	0	0	0	
73	Zamania	Pachokhar	116	111	1	0	1	0	
74	Zamania	Muhmamdpur	65	50	1	1	1	0	
75	Zamania	Raipur	47	20	1	0	0	0	
Total			**3595**	**3056**	**61**	**14**	**39**	**8**	
Yes			NA	NA	**61**	**14**	**39**	**8**	
No			NA	NA	**14**	**61**	**36**	**31**	

Note: 1 for Yes and 0 for No

Appendix 2.3.4 (a)

Status of infrastructure/basic facilities in sample selected PS of G.B. Nagar during 2010-11

(Reference: Paragraph no. 2.3.4.2, 2.3.5.4, 2.3.5.5, 2.3.6.2; page-58,61,62,63)

Sl. No.	Name of Block	Name of School	Class-III students enrolled in 2008-09	Class-V students enrolled in 2010-11	*Dress	*Text Book	*Library	*Electrification	*Electrified	Remarks
1	Bisrakh	Khedi 2	5	5	0	1	0	1	1	No time
2	Bisrakh	Khodna Khurd 1	42	7	0	1	0	1	0	
3	Bisrakh	Haraula	294	208	0	1	1	1	1	
4	Bisrakh	Bisrakh 2	20	15	0	1	1	1	1	No time
5	Bisrakh	Achheja 1	15	8	0	1	1	1	1	No time
6	Bisrakh	Baadalpur 2	28	12	0	1	1	1	1	
7	Bisrakh	Deola	33	16	0	1	1	1	1	No supply during schools hour
8	Bisrakh	Tilpata 1	32	20	0	0	1	1	1	No supply during schools hour
9	Bisrakh	Bhangel	71	41	0	0	0	1	0	
10	Bisrakh	Thaapkheda	17	9	1	0	1	1	1	No supply during schools hour
11	Bisrakh	Vajidpur	30	20	0	1	1	1	1	14 fans damaged
12	Dadari	Dadari-Iii Kidvai Nagar	0	11	0	0	1	0	0	
13	Dadari	Garhi Dadari	25	12	0	1	1	0	0	
14	Dadari	Khurshaidpura	13	20	0	0	0	1	1	
15	Dadari	Bhood Mazra Dhoom	0	0	0	0	1	1	1	No certain time
16	Dadari	Chak Sainpur Ki Madaiya	10	9	0	0	1	1	1	
17	Dadari	Bambavad-I	31	23	0	0	1	1	1	
18	Dadari	Sadopur -I	20	8	0	1	1	1	1	
19	Dadari	Mahawar	17	12	0	1	1	1	1	No certain time
20	Dadari	Deri Skeenar	20	16	0	1	1	1	1	No certain time
21	Dadari	Kailashpur-I	16	4	0	1	1	1	1	No certain time

22	Dadari	Chitehra -II	0	0	0	0	0	1	1	No certain time
23	Dankaur	Navada-I	17	4	1	1	1	1	1	No certain time
24	Dankaur	Hajipur	7	3	1	0	1	1	1	No certain time
25	Dankaur	Bironda	31	20	1	1	1	1	1	No certain time
26	Dankaur	Bilaspur No. 2	70	28	1	1	0	1	1	No supply during schools hour
27	Dankaur	Junedpur	30	17	1	1	1	1	1	No supply during schools hour
28	Dankaur	Balla Ki Madhaiya	25	13	1	1	1	1	1	No certain time
29	Dankaur	Sirsa	28	12	1	1	1	1	1	No certain time
30	Dankaur	Gharbara-I	14	12	1	1	0	1	1	No certain time
31	Dankaur	Gharbara-II	16	12	1	1	0	1	1	No certain time
32	Dankaur	Bilaspur	21	10	1	1	1	1	1	No certain time
33	Dankaur	Chuharpur Khadar	8	1	1	1	0	0	0	
34	Dankaur	Panchaytan	32	32	1	1	1	1	1	No supply during schools hour
35	Dankaur	Larpura	49	26	1	0	1	1	1	No certain time
36	Jever	Marhara	13	14	1	1	1	1	1	No certain time
37	Jever	Pachokara	12	7	1	1	1	1	1	No certain time
38	Jever	Mehedipur Kala	44	14	1	1	1	1	1	No certain time
39	Jever	Zafergarh	11	12	1	1	1	1	1	No supply during schools hour
40	Jever	Bhoyara (Smile Nager)	12	12	1	1	1	1	1	No certain time
41	Jever	Bhayokara	13	10	1	1	1	1	0	
42	Jever	Machipur(Banger)	4	3	1	1	1	1	1	No certain time
43	Jever	Chaurauli II	27	27	1	1	1	1	1	No certain time
44	Jever	Chaurauli	35	20	1	1	1	0	0	
45	Jever	Neemika I	21	19	1	1	1	1	1	No certain time
46	Jever	Khwajpur	26	20	1	1	1	1	1	
Total			**1305**	**824**	**25**	**35**	**37**	**42**	**39**	
Yes			NA	NA	***25***	***35***	***37***	***42***	***39***	
No			NA	NA	**21**	**11**	**9**	**4**	**7**	

Note: 1 for Yes and 0 for No

(2) 4PSs (Dadri-III Kidwai Nager, Garhi Dadri, Panchaytan, Chaurrauli) out of 46 PSs did not have electric wiring.

(3) 3PSs (Khodna Khurd-1, Bhangel, Bhayokara) out of 46 PSs having electric wiring, did not have electric supply.

Appendix 2.3.4 (b)

Status of infrastructure/basic facilities in sample selected UPS of G.B. Nagar during 2010-11

(Reference: Paragraph no. 2.3.4.2, 2.3.5.4, 2.3.5.5, 2.3.6.2; page-58,61,62,63)

Sl. No.	Name of Block	Name of School	Class-VI students enrolled in 2008-09	Class-VIII students enrolled in 2010-11	*Text Book	* Library	*Electri-fication	*Electrified	Remarks
1	Bisrakh	Haraula	169	116	1	1	1	1	Fans & wiring dilapidated
2	Bisrakh	Dharm Pura	11	4	1	0	1	0	No time of electric supply
3	Bisrakh	Achheja	17	12	0	1	1	1	No time of electric supply
4	Bisrakh	Sultanpur	10	7	1	0	1	1	Time of electric supply 7am to 9.30am
5	Bisrakh	Hushiyar pur	62	50	0	1	1	1	
6	Dadari	Rajat Pur	1	1	1	1	1	1	No supply during school time
7	Dadari	Bil Akbarpur	20	11	1	1	1	1	
8	Dadari	Ranauli Latifpur	24	10	1	0	1	1	Electric supply not avaible in school hours
9	Dadari	Bodaki	15	9	1	1	1	0	No fan no tube light/bulb
10	Dadari	Luharli	13	3	1	1	1	1	No time of electric supply
11	Dankaur	Gridharpur	16	9	1	1	1	1	No time of electric supply
12	Dankaur	Fazayalpur	24	16	1	1	1	1	only 15 days in month
13	Dankaur	Navada	9	5	1	1	1	1	during the night
14	Dankaur	Yakootpur	0	6	1	1	0	0	
15	Dankaur	Gharbara	6	7	1	0	1	1	No certain time
16	Dankaur	Tugalpur	13	16	1	0	1	1	
17	Zever	Pachokara	8	7	1	1	1	1	
18	Zever	Neemika	50	25	1	1	0	0	No reply
19	Zever	Khajpur	24	15	1	1	1	1	No reply
20	Zever	Chanchali	66	46	1	1	1	1	No reply
21	Zever	Chaurauli	21	26	1	0	1	1	No reply
		Total	**579**	**401**	**19**	**15**	**19**	**17**	
		Yes	***NA***	***NA***	***19***	***15***	***19***	***17***	
		No	***NA***	***NA***	**2**	**6**	**2**	**4**	

Note: 1 for Yes and 0 for No

(2) 2UPSs (Yakootpor, Neemika) out of 21 UPSs did not have electric wiring.

(3) 2UPSs (Dharmpura, Bodaki) out of 21 UPSs having electric wiring, did not have electric supply.

Appendix 2.3.5 (a)

Status of enrollment, teaching rooms in sample selected PS of Ghazipur

(Reference: Paragraph no. 2.3.6.1; page-63,)

Sl. No.	Name of Block	Name of School	Enrolment		Teaching Rooms	
			2006-07	2010-11		
			Class-I	Class-I	2006-07	2010-11
1	Barachawar	Siuri Amhat	100	32	7	10
2	Barachawar	Maura	62	29	5	5
3	Barachawar	Barachawar 1	94	41	7	7
4	Barachawar	Barachawar 2	34	37	3	3
5	Barachawar	Nasirpur Gandhapa	19	18	3	3
6	Barachawar	Bandhai	71	33	2	10
7	Barachawar	Semaur	15	18	2	4
8	Barachawar	Sayed Khanpur	0	9	0	2
9	Barachawar	NarayanPur	91	40	5	5
10	Barachawar	Muhabbatpur	30	38	3	5
11	Barachawar	Shakkarpur	33	20	4	5
12	Barachawar	Mishrapura	0	6	0	2
13	Barachawar	Bibipur	39	28	3	5
14	Bhadaura	Bhataura	88	21	4	5
15	Bhadaura	Bhakshi	0	53	0	6
16	Bhadaura	Gahmar south	61	27	5	5
17	Bhadaura	Palhanpur	23	14	3	3
18	Bhadaura	Sherpur	76	18	3	4
19	Bhadaura	Shatramganj	61	39	5	5
20	Bhadaura	Saraila	96	76	5	6
21	Bhadaura	Dildarnagar Bazar	72	54	5	7
22	Bhawarkol	Araji Budhaila	27	27	2	4
23	Bhawarkol	Devchandpur	0	22	0	2
24	Bhawarkol	Aamghat	21	14	2	2
25	Bhawarkol	Bhushula	24	9	2	0
26	Bhawarkol	Belasari	40	16	1	1
27	Bhawarkol	Murtujipur	31	20	3	4
28	Bhawarkol	Narsinghpur	26	4	2	2
29	Bhawarkol	Shahpur	40	20	2	5
30	Birno	Araje odasan	27	21	2	5
31	Birno	Kahotari	57	67	4	5
32	Birno	Sathipur	36	17	2	6
33	Birno	Parmanandpur	23	23	5	6
34	Birno	Bhojapur-II	27	23	2	2
35	Birno	Bogana-I	0	30	5	5
36	Birno	Mithapara	56	40	2	3
37	Birno	Nakhatpur	223	32	4	5
38	Birno	Lahurapur Harijan Basti	0	40	0	2

39	Deokali	Barahpur-1	71	76	2	6
40	Deokali	Bilasi	48	36	4	5
41	Deokali	Piyari	85	60	3	3
42	Deokali	Rajapur-2	73	20	5	8
43	Deokali	Devchandrapur-2	27	20	2	3
44	Deokali	Deokali-2	25	14	0	3
45	Deokali	Chekri Uparwar	0	26	4	6
46	Deokali	Sarauli	32	31	2	5
47	Deokali	Rasulpur Khirwari	54	17	6	6
48	Deokali	P.S.Dandapur	28	31	3	4
49	Deokali	Kurban Sarai	90	76	3	4
50	Ghazipur Sadar	Biraich	65	39	4	4
51	Ghazipur Sadar	DeoKali	36	30	5	5
52	Ghazipur Sadar	Khidirabad	71	50	4	5
53	Ghazipur Sadar	Gadawa Chaukiya	168	17	6	6
54	Ghazipur Sadar	Diliya	86	62	5	5
55	Ghazipur Sadar	Talawal 2	20	41	5	5
56	Ghazipur Sadar	Ragunathpur	0	15	5	6
57	Ghazipur Sadar	Gopalpur Jaldi	46	21	11	11
58	Ghazipur Sadar	Chakdallan	28	21	3	4
59	Ghazipur Sadar	Babedi 2	75	25	4	4
60	Ghazipur Sadar	Chakwakar	0	21	2	4
61	Karanda	Mehrauli	37	8	4	5
62	Karanda	Nakul Ka Pura	44	45	2	3
63	Karanda	Dharammarpur	142	29	4	4
64	Karanda	Kusumhi kala	0	49	5	8
65	Karanda	Sansar Chak Khilwa	0	11	0	2
66	Karanda	Mainpur 1	64	27	5	7
67	Karanda	Mainpur 2	15	23	3	5
68	Karanda	Bindpura	82	27	4	5
69	Karanda	Mudhwal	49	39	5	8
70	Karanda	Brahaman pura	38	24	4	5
71	Karanda	Mudkatani	83	32	2	4
72	Karanda	Sitapatti	49	21	4	4
73	kasimabad	Khajuha	49	49	2	4
74	kasimabad	Nagwa	56	27	3	6
75	kasimabad	Siaura Bhartoli	69	37	5	5
76	kasimabad	Fatehpur	72	23	4	6
77	kasimabad	Mubarakpurkhedu	60	48	4	4
78	kasimabad	Nasopur	0	11	0	2
79	Manihari	Guraini	95	29	4	5
80	Manihari	Rampur jivan	73	36	5	7
81	Manihari	Sarai Govind	93	40	3	8
82	Manihari	Sultanpur Bairisal 2	0	38	0	5
83	Manihari	Basewa	66	60	6	8

84	Manihari	Maudhiya	81	43	5	6
85	Manihari	Tilesara Harijan Basti	0	19	3	3
86	Manihari	Jangipur	110	32	5	6
87	Manihari	ChakDaud	76	16	4	6
88	Manihari	Kukuda	119	21	7	7
89	Manihari	Surhurpur	48	27	2	4
90	Mardah	Churamanpur	63	9	2	2
91	Mardah	Bihara	76	27	3	4
92	Mardah	Matehun	136	26	3	6
93	Mardah	Mardah	58	50	10	10
94	Mardah	Nasaratpur	78	22	4	5
95	Mardah	Bauri	100	54	4	6
96	Mardah	Dodasar	44	43	2	3
97	Mardah	Govindpur-2	61	25	2	5
98	Mohmdabad	Chhechhawa	25	6	3	3
99	Mohmdabad	Khempur	40	15	2	3
100	Mohmdabad	Padarainiya	52	42	5	5
101	Mohmdabad	Fakarabad	56	13	5	7
106	Mohmdabad	Firojpur	55	66	3	7
102	Mohmdabad	Kundesher -I	97	31	5	7
103	Mohmdabad	Chakfarid	45	24	3	7
104	Mohmdabad	Charwakar Rajela	25	21	3	4
105	Mohmdabad	Bhala	57	53	3	6
107	Mohmdabad	Sherpur kala-2	31	12	3	3
108	Mohmdabad	Gouspur-I	0	51	9	10
109	Mohmdabad	Gouspur-II	0	34	0	4
110	Mohmdabad	Harihar pur -I	110	87	3	5
111	Mohmdabad	Bensagar	53	36	2	4
112	Nagar Kshetra	Hathi Khana	34	29	3	5
113	Nagar Kshetra	Muftipura	36	28	2	2
114	Nagar Kshetra	Rai ganj 2	61	26	2	2
115	Nagar Kshetra	Urdu Bazar	37	14	3	3
116	Reotipur	Pakadi	105	56	4	8
117	Reotipur	Daswantpur	19	23	4	5
118	Reotipur	Dohala	0	5	0	3
119	Reotipur	Nauli-2	34	29	2	5
120	Reotipur	Kalyanpur	91	32	2	5
121	Reotipur	Narayanpur	41	28	5	5
122	Reotipur	Reotipur E 2	51	81	6	8
123	Reotipur	Suhwal East-2	85	43	6	6
124	Reotipur	Sujanpur	57	9	5	5
125	Sadat	Mubarakpur Haratara	0	37	0	6
126	Sadat	Sasana	26	10	1	1
127	Sadat	Mahpur	31	32	4	4
128	Sadat	Barahapar Nashratpur	46	31	3	4

129	Sadat	Mai-2	40	22	3	3
130	Sadat	Gahani	83	49	2	5
131	Sadat	Bharatpur	80	32	5	7
132	Sadat	Khajura-I	32	21	4	4
133	Sadat	Dhada wal-2	19	39	2	3
134	Sadat	Sadat-2	127	19	5	5
135	Siadpur	Kodari	57	21	3	4
136	Siadpur	Bhujadi	50	27	4	4
137	Siadpur	Hasanpur	57	37	5	5
138	Siadpur	Istamrar	109	20	4	5
139	Siadpur	Jabranpur	54	15	6	6
140	Siadpur	Dahan	33	32	5	5
141	Siadpur	Ishapur	79	38	5	5
142	Saidpur	Mahrumpur	38	33	5	6
143	Saidpur	Sauna	95	20	11	11
144	Saidpur	Babhnauli Khurd	39	16	3	4
145	Saidpur	Amuvara	98	38	4	4
146	Saidpur	Singhpur	27	34	2	4
147	Zakhania	Chhatma	62	30	4	7
148	Zakhania	Ghatari	60	52	4	4
149	Zakhania	Chak Fatma	58	28	2	4
150	Zakhania	Manjhanpur	128	44	3	7
151	Zakhania	Bahlolpur	0	48	0	2
152	Zakhania	Kanuan	96	23	4	5
153	Zakhania	Lediha	70	38	3	5
154	Zakhania	Belhara	48	31	4	5
155	Zakhania	Padumpur	70	67	3	4
156	Zakhania	Dhamupur 1	61	36	4	6
157	Zakhania	Matakpur	29	24	2	4
158	Zamania	Gayghat	79	31	4	5
159	Zamania	Budha deeh	124	22	3	6
160	Zamania	Hamidpur Mandir	60	24	3	4
161	Zamania	Hetihampur	438	80	5	8
162	Zamania	Baresar	85	29	5	5
163	Zamania	Manjhariya	66	25	5	5
164	Zamania	Deoria Khas	48	25	4	5
165	Zamania	Udharanpur	53	59	4	7
166	Zamania	Kishunipur	25	14	2	3
167	Zamania	Nariyaw No.2	45	31	4	4
168	Zamania	Chakmedani-1	64	15	2	3
169	Zamania	Machharmara	51	40	4	4
170	Zamania	SariMuradali	38	25	3	5
171	Zamania	Tiyari	81	53	4	6
172	Zamania	Zamania No.2	55	33	4	4
		Total	**9648**	**5416**	**604**	**840**

Appendix 2.3.5 (b)

Status of enrolment in sample selected PS of G.B. Nagar

(Reference: Paragraph no. 2.3.6.1; page-63)

Sl. No.	Sl. No. Accord. to list	Name of School	2008-09			2010-11			Teaching Rooms	
			Class-1			Class-1				
			Enrolment			Enrolment				
			Boys	Girls	Total	Boys	Girls	Total	2008-09	2010-11
1	10	Khedi 2	4	8	12	3	4	7	2	2
2	20	Khodna khurd 1	22	15	37	10	13	23	3	3
3	30	Haraula	396	343	739	262	223	485	22	22
4	40	Bisrakh 2	13	23	36	8	2	10	4	4
5	50	Achheja 1	10	8	18	12	11	23	6	6
6	60	Baadalpur 2	17	11	28	8	15	23	6	6
7	70	Deola	50	44	94	35	33	68	3	4
8	80	Tilpata 1	17	9	26	3	3	6	5	5
9	90	Bhangel	38	44	82	40	40	80	8	8
10	100	Thaapkheda	15	24	39	16	11	27	7	7
11	110	Vajidpur	21	28	49	38	45	83	8	8
12	120	Dadari-III Kidvai Nagar	0	0	0	34	56	90	2	3
13	130	Garhi Dadari	12	10	22	15	16	31	0	0
14	140	Khurshaidpura	8	7	15	8	8	16	2	2
15	150	Bhur Majara Dhoom Manikpur	9	9	18	7	5	12	2	2
16	160	Chak Sainpur ki Madaiya	5	7	12	2	3	5	2	2
17	170	Bambavad-I	11	15	26	7	9	16	5	5
18	180	Sadopur -I	8	10	18	7	9	16	4	4
19	190	PS Mahawar	13	21	34	6	8	14	4	4
20	200	Deri Skeenar	12	7	19	3	6	9	5	5
21	210	Kailashpur-I	6	2	8	4	5	9	4	4
22	220	Chitehra -II	4	14	18	7	9	16	2	2
23	230	Navada-I	16	17	33	3	6	9	4	4
24	240	Hazipur	6	5	11	3	3	6	2	2
25	250	Bironda	20	21	41	15	9	24	3	3
26	260	Bilaspur No. 2	28	20	48	47	34	81	4	4
27	270	Junedpur	14	25	39	9	15	24	5	5
28	280	Balla ki Madhaiya	20	11	31	24	16	40	3	3
29	290	Sirsa	5	12	17	11	10	21	5	5
30	300	P.S.Gharbara-I	11	17	28	12	17	29	2	2
31	310	Gharbara-II	12	18	30	18	16	34	3	3

32	320	Bilaspur	17	22	39	17	18	35	4	4
33	330	Chuharpur khadar	17	22	39	18	16	34	2	2
34	340	Panchaytan	12	10	22	18	6	24	4	4
35	350	Larpura	21	20	41	15	22	37	7	7
36	360	Marhara	7	9	16	5	8	13	3	3
37	370	Pachokara	12	12	24	6	13	19	5	5
38	380	Mehedipur Kala	42	102	144	32	48	80	6	6
39	390	Zafergarh	10	10	20	15	12	27	2	2
40	400	Bhoyara (Ismile Nager)	6	4	10	7	7	14	2	3
41	410	Bhayokara	7	11	18	6	6	12	3	3
42	420	Sirsa Machipur	13	28	41	5	2	7	5	5
43	430	Chaurauli II	11	17	28	15	11	26	6	6
44	440	Chaurauli	6	13	19	19	11	30	3	3
45	450	Neemika I	14	14	28	14	16	30	6	6
46	460	Khwajpur	15	17	32	7	15	22	8	8
		Total	**1033**	**1116**	**2149**	**2149**	**871**	**1747**	**203**	**206**

Appendix 2.3.6 (a)

Status of enrolment of class V in sample selected PS of Ghazipur

(Reference: Paragraph no. 2.3.6.3; page-64)

Sl. No.	Name of Block/Rural or Urban	Name of School	Enrolment				
			Class V				
			2006-07	2007-08	2008-09	2009-10	2010-11
1	Barachawar	Siuri Amhat	58	73	52	97	58
2	Barachawar	Maura	96	71	110	40	30
3	Barachawar	Barachawar 1	72	53	45	48	37
4	Barachawar	Barachawar 2	27	21	24	18	16
5	Barachawar	Nasirpur Gandhapa	17	33	29	11	14
6	Barachawar	Bandhai	48	45	52	54	46
7	Barachawar	Semaur	3	2	4	2	2
8	Barachawar	Sayed Khanpur	0	0	0	0	0
9	Barachawar	NarayanPur	39	30	25	26	39
10	Barachawar	Muhabbatpur	48	30	20	56	35
11	Barachawar	Shakkapur	51	39	24	34	35
12	Barachawar	Mishrapura	0	0	0	0	3
13	Barachawar	Bibipur	4	8	13	20	7
14	Bhadaura	Bhataura	51	32	37	38	40
15	Bhadaura	Bhakshi	0	52	24	38	39
16	Bhadaura	Gahmar south	27	38	30	35	47
17	Bhadaura	Palhanpur	10	7	7	7	13
18	Bhadaura	Sherpur	23	27	12	14	19
19	Bhadaura	Shatramganj	35	31	27	29	22
20	Bhadaura	Saraila	55	74	99	43	29
21	Bhadaura	Dildarnagar Bazar	32	34	45	51	42
22	Bhawarkol	Araji Budhaila	11	25	11	13	36
23	Bhawarkol	Devchandpur	0	0	0	0	0
24	Bhawarkol	Aamghat	10	6	4	10	9
25	Bhawarkol	Bhushula	20	13	7	6	14
26	Bhawarkol	Belasari	40	24	28	28	10
27	Bhawarkol	Mustujipur	16	24	29	21	31
28	Bhawarkol	Narsinghpur	31	12	24	11	8
29	Bhawarkol	Shahpur	22	30	38	40	30
30	Birno	Araje odasan	0	17	13	28	16
31	Birno	Kahotari	36	46	65	49	33
32	Birno	Sathipur	37	23	36	22	20
33	Birno	Parmanandpur	20	25	29	27	10
34	Birno	Bhojapur-II	15	17	12	13	17
35	Birno	Bogana-I	0	0	0	0	24
36	Birno	Mithapara	55	17	27	25	23
37	Birno	Nakhatpur	51	38	30	30	22
38	Birno	Lahurapur Harijan Basti	0	0	0	0	0
39	Deokali	Barahpur-1	73	73	70	73	57

40	Deokali	Bilasi	23	21	22	21	19
41	Deokali	Piyari	76	65	62	95	75
42	Deokali	Rajapur-2	17	15	18	20	23
43	Deokali	Devchandrapur-2	22	18	8	17	22
44	Deokali	Deokali-2	26	18	18	19	23
45	Deokali	Chekri Uparwar	0	16	5	3	7
46	Deokali	Saurali	20	25	22	28	31
47	Deokali	Rasulpur Khirwari	13	17	24	10	10
48	Deokali	P.S.Dandapur	16	16	16	20	23
49	Deokali	Kurban Sarai	38	27	30	31	25
50	Ghazipur Sadar	Biraich	45	26	40	44	60
51	Ghazipur Sadar	DeoKali	34	25	26	26	28
52	Ghazipur Sadar	Khidirabad	98	71	55	28	30
53	Ghazipur Sadar	Gadawa Chaukiya	10	4	9	7	27
54	Ghazipur Sadar	Diliya	68	68	97	85	65
55	Ghazipur Sadar	Talawal 2	11	7	14	10	17
56	Ghazipur Sadar	Ragunathpur	0	0	0	0	0
57	Ghazipur Sadar	Gopalpur Jaldi	10	41	29	50	26
58	Ghazipur Sadar	Chakdallan	11	15	5	23	12
59	Ghazipur Sadar	Babedi 2	36	21	34	20	26
60	Ghazipur Sadar	Chakwakar	0	32	26	30	29
61	Karanda	Mehrauli	24	30	21	13	11
62	Karanda	Nakul Ka Pura	17	17	14	13	9
63	Karanda	Dharammarpur	37	54	27	20	26
64	Karanda	Kusumhi kala	0	0	90	55	48
65	Karanda	Sansar Chak Khilwa	0	0	0	0	0
66	Karanda	Mainpur 1	81	48	42	24	25
67	Karanda	Mainpur 2	26	18	12	7	9
68	Karanda	Bindpura	25	21	26	27	47
69	Karanda	Mudhwal	57	57	62	63	32
70	Karanda	Brahaman pura	35	32	42	34	30
71	Karanda	Mudkatani	0	0	12	17	15
72	Karanda	Sitapatti	35	30	27	24	10
73	kasimabad	Khajuha	21	36	51	28	30
74	kasimabad	Nagwa	13	16	9	10	10
75	kasimabad	Siaura Bhartoli	22	21	39	64	65
76	kasimabad	Fatehpur	27	27	26	27	26
77	kasimabad	Mubarakpurkhedu	49	50	50	48	54
78	kasimabad	Nasopur	0	0	0	0	0
79	Manihari	Guraini	32	25	22	22	15
80	Manihari	Rampur Jivan	33	40	52	44	32
81	Manihari	Sarai Govind	29	40	71	62	93
82	Manihari	Sultanpur Bairisal 2	0	0	0	0	42
83	Manihari	Basewa	61	85	60	81	68
84	Manihari	Maudhiya	38	44	38	44	53

85	Manihari	Tilesara Harijan Basti	0	0	0	0	0
86	Manihari	Jangipur	24	26	28	44	49
87	Manihari	ChakDaud	22	52	49	40	36
88	Manihari	Kukuda	58	54	50	53	98
89	Manihari	Surhurpur	52	35	43	36	26
90	Mardah	Churamanpur	6	5	11	14	10
91	Mardah	Bihara	12	23	28	19	32
92	Mardah	Matehun	68	46	87	46	37
93	Mardah	Mardah	75	77	63	40	56
94	Mardah	Nasaratpur	21	26	31	40	45
95	Mardah	Bauri	27	28	20	22	20
96	Mardah	Dodasar	10	15	12	3	23
97	Mardah	Govindpur-2	38	30	42	25	15
98	Mohmdabad	Chvehhawa	0	7	12	23	22
99	Mohmdabad	Khempur	13	13	9	15	20
100	Mohmdabad	Padarainiya	52	52	60	61	28
101	Mohmdabad	Fakarabad	39	54	35	50	39
106	Mohmdabad	Firojpur	36	31	20	28	32
102	Mohmdabad	Kundesher -I	48	41	49	41	34
103	Mohmdabad	Chakfarid	40	20	26	24	29
104	Mohmdabad	Charwakar Rajela	19	21	22	23	17
105	Mohmdabad	Bhala	27	24	24	37	39
107	Mohmdabad	Sherpur kala-2	23	17	5	8	20
108	Mohmdabad	Bensagar	20	20	21	30	28
109	Mohmdabad	Gouspur-I	0	0	85	54	82
110	Mohmdabad	Harihar pur -I	64	91	39	35	53
111	Mohmdabad	Gouspur-II	0	0	26	26	33
112	Nagar Kshetra	Hathi Khana	6	10	12	18	12
113	Nagar Kshetra	Muftipura	17	18	14	17	11
114	Nagar Kshetra	Rai ganj 2	14	35	35	27	22
115	Nagar Kshetra	Urdu Bazar	26	23	21	6	11
116	Reotipur	Pakadi	164	99	111	117	103
117	Reotipur	Daswantpur	29	23	40	12	14
118	Reotipur	Dohala	0	0	0	0	2
119	Reotipur	Nauli-2	28	25	22	25	31
120	Reotipur	Kalyanpur	22	34	14	23	23
121	Reotipur	Narayanpur	10	10	10	17	8
122	Reotipur	Reotipur 2	36	46	59	35	41
123	Reotipur	Suhwal East-1	86	58	34	40	31
124	Reotipur	Sujanpur	21	22	18	10	15
125	Sadat	Mubarakpur Haratara	0	0	0	13	17
126	Sadat	Sasana	6	13	15	15	8
127	Sadat	Mahpur	34	30	30	20	23
128	Sadat	Brhapar Nashratpur	35	42	47	37	40
129	Sadat	Mai-2	19	17	43	36	28

130	Sadat	Gahani	25	32	31	38	30
131	Sadat	Bharatpur	64	47	42	30	31
132	Sadat	Khajura-I	31	29	39	27	19
133	Sadat	Dhada wal-2	36	21	28	23	19
134	Sadat	Sadat-2	63	59	41	47	25
135	Siadpur	Kodari	14	30	27	28	41
136	Siadpur	Bhujadi	20	21	22	14	17
137	Siadpur	Hasanpur	65	62	67	64	69
138	Siadpur	Istamrar	0	23	19	27	31
139	Siadpur	Jabranpur	26	11	24	21	30
140	Siadpur	Dahan	50	36	36	30	28
141	Siadpur	Ishapur	44	50	48	32	28
142	Saidpur	Mahrumpur	40	52	62	55	36
143	Saidpur	Sauna	69	52	43	45	45
144	Saidpur	Babhnauli Khurd	26	25	13	19	21
145	Saidpur	Amuvara	46	41	51	29	31
146	Saidpur	Singhpur	9	9	12	19	18
147	Zakhania	Chhatma	38	42	33	33	30
148	Zakhania	Ghatari	30	31	31	31	38
149	Zakhania	Chak Fatma	29	35	40	35	25
150	Zakhania	Manjhanpur	37	61	51	48	61
151	Zakhania	Bahlolpur	0	0	0	0	0
152	Zakhania	Kanuan	92	37	40	38	20
153	Zakhania	Lediha	47	44	36	30	34
154	Zakhania	Belhara	53	38	47	40	51
155	Zakhania	Padumpur	26	20	17	29	31
156	Zakhania	Dhamupur 1	36	56	35	36	32
157	Zakhania	Matakpur	12	22	20	27	27
158	Zamania	Gayghat	44	47	36	40	53
159	Zamania	Budha deeh	52	49	38	35	20
160	Zamania	Hamidpur shivm-II	27	23	44	63	58
161	Zamania	Hetihampur	86	65	88	93	118
162	Zamania	Baresar	33	42	34	43	60
163	Zamania	Manjhariya	60	35	44	30	23
164	Zamania	Deoria Khas	45	40	38	30	31
165	Zamania	Udharanpur	22	47	40	25	28
166	Zamania	Kishunipur	16	16	12	8	13
167	Zamania	Nariyaw No.2	26	25	29	18	21
168	Zamania	Chakmedani-1	11	12	9	10	4
169	Zamania	Machharmara	39	50	75	54	39
170	Zamania	SariMuradali	34	19	21	27	30
171	Zamania	Tiyari	59	63	77	79	61
172	Zamania	Zamania No.2	40	30	28	36	28
		Total	**5338**	**5191**	**4732**	**5162**	**5079**

Appendix 2.3.6 (b)

Status of enrolment of class VI in sample selected UPS of Ghazipur

(Reference: Paragraph no. 2.3.6.3; page-64)

Sl. No.	Name of Block/Rural or Urban	Name of School (UPS)	Enrolment				
			Class-VI				
			2006-07	2007-08	2008-09	2009-10	2010-11
1	Barachawar	Amwa Askaran	0	0	42	38	17
2	Barachawar	Barachawar	0	0	0	0	31
3	Barachawar	Vishwambharpur	29	9	9	9	13
4	Barachawar	Chakia	21	38	44	46	34
5	Barachawar	Gonha	0	0	0	0	5
6	Barachawar	Chak Fatma	53	66	66	55	40
7	Bhadaura	Amaura	0	0	0	0	24
8	Bhadaura	Dildarnagar	96	72	84	110	139
9	Bhadaura	Bhadaura	47	58	25	24	22
10	Bhadaura	Sevrai	227	170	141	125	127
11	Bhawarkol	Awathahi	138	160	148	152	157
12	Bhawarkol	Jaga U.P.s.	0	0	0	7	5
13	Bhawarkol	Jagdishpur	0	0	0	17	29
14	Birno	Champaran Patti	0	0	0	0	2
15	Birno	Jayanti Daspur	19	28	16	15	7
16	Birno	Mushtafabad	47	75	51	39	37
17	Birno	Birno	114	112	99	129	87
18	Birno	Turkvalia	0	20	9	17	7
19	Birno	Pipnar	27	35	27	34	46
20	Deokali	Rampur Bantara	0	0	3	38	35
21	Deokali	Bikachak	0	0	0	14	16
22	Deokali	Chitaura	0	0	5	30	16
23	Deokali	Pachrasi	63	64	54	46	46
24	Deokali	Devchandpur	40	11	33	15	21
25	Deokali	Kudhachawr	0	0	0	0	8
26	Ghazipur Sadar	Nagwa Kataila	59	73	55	48	23
27	Ghazipur Sadar	Banjari pur	0	43	26	37	43
28	Karanda	Lilapur	0	0	16	13	11
29	Karanda	Sikandarpur	0	0	0	10	18
30	Karanda	Kusumi Kala	33	54	46	51	53
31	Karanda	Kanya Mainpur	22	34	16	18	8
32	Karanda	Mainpur	55	45	20	21	17
33	Karanda	Shriganj	0	0	0	18	35
34	Kasimabad	Dewli	0	0	17	24	20
35	Kasimabad	Kaghzipur	18	8	9	9	30
36	Kasimabad	Mahuwari	0	0	0	0	0

37	Kasimabad	Ramgarh	0	0	27	12	4
38	Kasimabad	Mohiuddinpur	0	9	0	0	4
39	Manihari	Rampur Jeevan	0	0	0	22	22
40	Manihari	Khatirpur	0	32	29	24	23
41	Manihari	Sonbarsa	0	46	42	27	0
42	Manihari	Hariharpur	0	0	94	108	95
43	Manihari	Yusufpur	279	336	283	289	286
44	Mardah	Kastua	0	0	17	3	0
45	Mardah	Mardah	163	138	116	71	60
46	Mardah	Rasulabad	0	0	3	6	1
47	Mohmdabad	Keshavpur	0	30	60	100	100
48	Mohmdabad	Kundesar	44	45	35	36	33
49	Mohmdabad	Devnainia	11	11	12	14	9
50	Mohmdabad	Hussepur Kothia	0	0	20	13	18
51	Nagar Kshetra	Raiganj	25	25	24	23	22
52	Reotipur	Pakadi	108	124	140	104	75
53	Reotipur	Bemua	0	0	52	56	53
54	Reotipur	Kalyanpur	0	26	15	11	24
55	Reotipur	Patkhauliya	0	0	12	34	60
56	Sadat	Daulat Nagar	0	0	146	81	76
57	Sadat	Mahpur	190	259	203	173	164
58	Sadat	Barahpar Nasaratpur	0	0	18	26	20
59	Sadat	Fauladpur	0	20	36	28	41
60	Sadat	Pinpnar P.M.V Pipnar	145	143	100	122	96
61	Sadat	Sadat	207	213	239	224	220
62	Saidpur	Jamin Sandal	36	45	40	23	22
63	Saidpur	Gauri	11	16	8	12	13
64	Saidpur	Khanpur	133	96	95	76	49
65	Saidpur	Mahrumpur	0	0	0	57	32
66	Saidpur	Saidpur-1	78	78	63	52	55
67	Zakhaniya	Zafarpur	95	99	134	108	109
68	Zakhaniya	Manjhanpur	70	39	45	44	34
69	Zakhaniya	Khetab pur	48	61	61	52	67
70	Zakhaniya	Meerpur	0	0	49	20	9
71	Zakhaniya	Dhamupur	35	31	50	45	36
72	Zamania	Bareshar	0	0	38	36	37
73	Zamania	Pachokhar	151	145	116	93	104
74	Zamania	Muhmamdpur	76	77	65	45	43
75	Zamania	Raipur	36	39	47	23	14
		Total	**3049**	**3358**	**3595**	**3502**	**3359**

Appendix 2.3.7 (a)

Status of enrolment in sample selected PS of G B Nagar

(Reference: Paragraph no. 2.3.6.3; page-64)

Sl No.	Name of Block/Rural or Urban	Name of School	Enrolment				
			Class V				
			2006-07	2007-08	2008-09	2009-10	2010-11
1	Bisrakh	Khedi 2	4	3	4	5	5
2	Bisrakh	Khodna khurd 1	14	22	22	22	7
3	Bisrakh	Haraula	270	343	249	225	208
4	Bisrakh	Bisrakh 2	12	10	8	11	15
5	Bisrakh	Achheja 1	20	25	15	12	8
6	Bisrakh	Baadalpur 2	4	10	8	12	12
7	Bisrakh	Deola	13	13	11	18	16
8	Bisrakh	Tilpata 1	30	19	21	19	20
9	Bisrakh	Bhangel	45	51	33	40	41
10	Bisrakh	Thaapkheda	3	9	6	6	9
11	Bisrakh	Vajidpur	28	25	20	19	20
12	Dadari	Dadari-III Kidvai Nagar	0	0	0	8	11
13	Dadari	Garhi Dadari	6	6	9	4	12
14	Dadari	Khurshaidpura	13	18	14	13	20
15	Dadari	Bhur Majara Dhoom Manikpur	0	0	0	5	0
16	Dadari	Chak Sainpur ki madaiya	0	0	0	6	9
17	Dadari	Bambavad-I	43	7	18	10	23
18	Dadari	Sadopur -I	17	16	20	24	8
19	Dadari	PS Mahawar	19	19	16	12	12
20	Dadari	Deri Skeenar	26	17	16	20	16
21	Dadari	Kailashpur-I	18	14	14	11	4
22	Dadari	Chitehra -II	0	0	0	0	0
23	Dankaur	P.S. Navada-I	21	15	7	9	4
24	Dankaur	Hazipur	0	0	2	7	3
25	Dankaur	P.S. Bironda	10	10	14	20	20
26	Dankaur	P.S. Bilaspur No. 2	31	33	33	34	28
27	Dankaur	P.S. Junedpur	36	28	24	28	17
28	Dankaur	Balla ki Madhaiya	1	3	5	11	13
29	Dankaur	P.S. Sirsa	25	35	22	27	12
30	Dankaur	P.S.Gharbara-I	23	5	11	14	12
31	Dankaur	P.S.Gharbara-II	0	12	12	12	12
32	Dankaur	P.S. Bilaspur	7	13	13	9	10

33	Dankaur	P.S. Chuharpur khadar	11	7	8	7	1
34	Dankaur	P.S. Panchaytan	12	21	17	14	32
35	Dankaur	P.S. Larpura	30	34	41	19	26
36	Jever	P.S.Marhara	14	13	10	11	14
37	Jever	P.S.Pachokara	18	24	14	14	7
38	Jever	P.S.Mehedipur Kala	26	18	10	10	14
39	Jever	P.S. Zafergarh	8	11	12	12	12
40	Jever	P.S. Bhoyara (Smile Nager)	0	0	8	18	12
41	Jever	P.S.Bhayokara	9	9	18	6	10
42	Jever	P.SA.Sirsa Machipur	6	20	0	0	3
43	Jever	P.S.Chaurauli II	28	20	20	22	27
44	Jever	P.S.Chaurauli	21	22	20	23	20
45	Jever	P.S.Neemika I	15	15	23	19	19
46	Jever	P.S.Khwajpur	56	31	26	35	20
		Total	**993**	**1026**	**874**	**883**	**824**

Appendix 2.3.7 (b)

Status of enrolment in sample selected UPS of G.B. Nagar

(Reference: Paragraph no. 2.3.6.3; page-64)

Sl. No.	Name of Block/ Rural or Urban	Name of School	Enrolment				
			Class VI				
			2006-07	2007-08	2008-09	2009-10	2010-11
1	Bisrakh	Haraula	180	168	169	126	128
2	Bisrakh	Dharm Pura	0	16	11	9	7
3	Bisrakh	Achheja	12	17	17	10	14
4	Bisrakh	Sultanpur	5	7	10	10	8
5	Bisrakh	Hushiyar pur	53	57	62	72	54
6	Dadari	Rajat Pur	0	0	1	7	3
7	Dadari	Bil Akbarpur	30	24	20	12	12
8	Dadari	Ranauli Latifpur	0	21	24	24	20
9	Dadari	Bodaki	23	20	15	12	9
10	Dadari	Luharli	7	11	13	9	9
11	Dankaur	Gridharpur	8	15	16	14	4
12	Dankaur	Fazayalpur	15	13	24	14	16
13	Dankaur	Navada	27	24	9	9	6
14	Dankaur	Yakootpur	0	0	0	5	6
15	Dankaur	Gharbara	0	0	6	16	15
16	Dankaur	Tugalpur	0	14	13	16	18
17	Zever	UPS Pachokara	17	20	8	10	1
18	Zever	UPS Neemika	42	61	50	66	27
19	Zever	Khajpur	31	33	24	18	25
20	Zever	Chanchali	64	41	66	31	38
21	Zever	Chaurauli	22	30	21	26	39
		Total	**536**	**592**	**579**	**516**	**459**

Appendix 2.3.8 (a)

Status of enrolled children & posted teachers in sample selected PS of Ghazipur as of May 2011

(Reference: Paragraph no. 2.3.7.2; page-65)

Sl. No.	Name of Block/Rural or Urban	Name of School	Total no. of children enrolled in 2010-11	Required no. of teachers as per norms	Actually posted (no. of teachers)	Shortage (no. of teachers)
1	Barachawar	Siuri Amhat	252	8	3	5
2	Barachawar	Maura	192	6	3	3
3	Barachawar	Barachawar 1	219	7	3	4
4	Barachawar	Barachawar 2	150	5	3	2
5	Barachawar	Nasirpur Gandhapa	79	3	4	-1
6	Barachawar	Bandhai	220	7	3	4
7	Barachawar	Semaur	66	2	5	-3
8	Barachawar	Sayed Khanpur	44	2	1	1
9	Barachawar	NarayanPur	170	6	3	3
10	Barachawar	Muhabbatpur	211	7	3	4
11	Barachawar	Shakkapur	203	7	3	4
12	Barachawar	Mishrapura	88	3	2	1
13	Barachawar	Bibipur	111	4	3	1
14	Bhadaura	Bhataura	147	5	3	2
15	Bhadaura	Bhakshi	240	8	4	4
16	Bhadaura	Gahmar south	179	6	4	2
17	Bhadaura	Palhanpur	60	2	3	-1
18	Bhadaura	Sherpur	81	3	2	1
19	Bhadaura	Shatramganj	143	5	3	2
20	Bhadaura	Saraila	241	8	4	4
21	Bhadaura	Dildarnagar Bazar	272	9	4	5
22	Bhawarkol	Araji Budhaila	125	4	3	1
23	Bhawarkol	Devchandpur	39	2	2	0
24	Bhawarkol	Aamghat	60	2	3	-1
25	Bhawarkol	Bhushula	50	2	3	-1
26	Bhawarkol	Belasari	67	2	3	-1
27	Bhawarkol	Mustujipur	118	4	4	0
28	Bhawarkol	Narsinghpur	50	2	2	0
29	Bhawarkol	Shahpur	151	5	3	2
30	Birno	Araje odasan	124	4	3	1
31	Birno	Kahotari	283	9	5	4
32	Birno	Sathipur	93	3	3	0
33	Birno	Parmanandpur	94	3	5	-2
34	Birno	Bhojapur-II	109	4	3	1
35	Birno	Bogana-I	151	5	3	2
36	Birno	Mithapara	150	5	5	0
37	Birno	Nakhatpur	189	6	5	1

38	Birno	Lahurapur Harijan Basti	62	2	2	0
39	Deokali	Barahpur-1	326	11	4	7
40	Deokali	Bilasi	119	4	4	0
41	Deokali	Piyari	339	11	4	7
42	Deokali	Rajapur-2	166	6	5	1
43	Deokali	Devchandrapur-2	108	4	3	1
44	Deokali	Deokali-2	109	4	3	1
45	Deokali	Chekri Uparwar	79	3	3	0
46	Deokali	Saurali	120	4	3	1
47	Deokali	Rasulpur Khirwari	82	3	3	0
48	Deokali	P.S.Dandapur	135	5	1	4
49	Deokali	Kurban Sarai	235	8	3	5
50	Ghazipur Sadar	Biraich	301	10	5	5
51	Ghazipur Sadar	DeoKali	146	5	3	2
52	Ghazipur Sadar	Khidirabad	207	7	6	1
53	Ghazipur Sadar	Gadawa Chaukiya	149	5	4	1
54	Ghazipur Sadar	Diliya	430	14	4	10
55	Ghazipur Sadar	Talawal 2	115	4	3	1
56	Ghazipur Sadar	Ragunathpur	79	3	3	0
57	Ghazipur Sadar	Gopalpur Jaldi	134	4	4	0
58	Ghazipur Sadar	Chakdallan	104	3	4	-1
59	Ghazipur Sadar	Babedi 2	140	5	6	-1
60	Ghazipur Sadar	Chakwakar	154	5	2	3
61	Karanda	Mehrauli	67	2	3	-1
62	Karanda	Nakul Ka Pura	114	4	5	-1
63	Karanda	Dharammarpur	110	4	3	1
64	Karanda	Kusumhi kala	203	7	6	1
65	Karanda	Sansar Chak Khilwa	53	2	2	0
66	Karanda	Mainpur 1	162	5	5	0
67	Karanda	Mainpur 2	81	3	3	0
68	Karanda	Bindpura	154	5	4	1
69	Karanda	Mudhwal	169	6	6	0
70	Karanda	Brahaman pura	118	4	6	-2
71	Karanda	Mudkatani	124	4	3	1
72	Karanda	Sitapatti	104	3	3	0
73	kasimabad	Khajuha	193	6	3	3
74	kasimabad	Nagwa	77	3	3	0
75	kasimabad	Siaura Bhartoli	244	8	3	5
76	kasimabad	Fatehpur	153	5	4	1
77	kasimabad	Mubarakpurkhedu	275	9	3	6
78	kasimabad	Nasopur	78	3	1	2
79	Manihari	Guraini	159	5	3	2
80	Manihari	Rampur Jivan	250	8	5	3
81	Manihari	Sarai Govind	313	10	4	6
82	Manihari	Sultanpur Bairisal 2	248	8	3	5

83	Manihari	Basewa	323	11	2	9
84	Manihari	Maudhiya	236	8	3	5
85	Manihari	Tilesara Harijan Basti	21	2	3	-1
86	Manihari	Jangipur	220	7	3	4
87	Manihari	ChakDaud	165	6	4	2
88	Manihari	Kukuda	298	10	3	7
89	Manihari	Surhurpur	137	5	3	2
90	Mardah	Churamanpur	53	2	4	-2
91	Mardah	Bihara	154	5	1	4
92	Mardah	Matehun	170	6	4	2
93	Mardah	Mardah	309	10	4	6
94	Mardah	Nasaratpur	225	8	4	4
95	Mardah	Bauri	241	8	2	6
96	Mardah	Dodasar	156	5	3	2
97	Mardah	Govindpur-2	104	3	3	0
98	Mohmdabad	Chvehhawa	50	2	3	-1
99	Mohmdabad	Khempur	69	2	1	1
100	Mohmdabad	Padarainiya	212	7	6	1
101	Mohmdabad	Fakarabad	154	5	3	2
106	Mohmdabad	Firojpur	231	8	5	3
102	Mohmdabad	Kundesher -I	204	7	4	3
103	Mohmdabad	Chakfarid	148	5	6	-1
104	Mohmdabad	Charwakar Rajela	111	4	5	-1
105	Mohmdabad	Bhala	250	8	3	5
107	Mohmdabad	Sherpur kala-2	104	3	4	-1
108	Mohmdabad	Bensagar	229	8	9	-1
109	Mohmdabad	Gouspur-I	296	10	4	6
110	Mohmdabad	Harihar pur -I	322	11	5	6
111	Mohmdabad	Gouspur-II	196	7	4	3
112	Nagar Kshetra	Hathi Khana	103	3	3	0
113	Nagar Kshetra	Muftipura	116	4	3	1
114	Nagar Kshetra	Rai ganj 2	146	5	2	3
115	Nagar Kshetra	Urdu Bazar	61	2	3	-1
116	Reotipur	Pakadi	391	13	4	9
117	Reotipur	Daswantpur	100	3	6	-3
118	Reotipur	Dohala	27	2	1	1
119	Reotipur	Nauli-2	163	5	2	3
120	Reotipur	Kalyanpur	155	5	4	1
121	Reotipur	Narayanpur	66	2	3	-1
122	Reotipur	Reotipur 2	274	9	2	7
123	Reotipur	Suhwal East-1	219	7	5	2
124	Reotipur	Sujanpur	82	3	3	0
125	Sadat	Mubarakpur Haratara	128	4	3	1
126	Sadat	Sasana	61	2	4	-2
127	Sadat	Mahpur	136	5	3	2

128	Sadat	Brhapar Nashratpur	187	6	4	2
129	Sadat	Mai-2	140	5	3	2
130	Sadat	Gahani	190	6	4	2
131	Sadat	Bharatpur	174	6	3	3
132	Sadat	Khajura-I	112	4	3	1
133	Sadat	Dhada wal-2	160	5	3	2
134	Sadat	Sadat-2	182	6	7	-1
135	Siadpur	Kodari	142	5	3	2
136	Siadpur	Bhujadi	95	3	3	0
137	Siadpur	Hasanpur	268	9	5	4
138	Siadpur	Istamrar	127	4	2	2
139	Siadpur	Jabranpur	105	4	3	1
140	Siadpur	Dahan	162	5	4	1
141	Siadpur	Ishapur	130	4	6	-2
142	Saidpur	Mahrumpur	217	7	4	3
143	Saidpur	Sauna	203	7	2	5
144	Saidpur	Babhnauli Khurd	120	4	4	0
145	Saidpur	Amuvara	194	6	3	3
146	Saidpur	Singhpur	108	4	4	0
147	Zakhania	Chhatma	176	6	4	2
148	Zakhania	Ghatari	232	8	3	5
149	Zakhania	Chak Fatma	130	4	4	0
150	Zakhania	Manjhanpur	271	9	6	3
151	Zakhania	Bahlolpur	78	3	2	1
152	Zakhania	Kanuan	121	4	4	0
153	Zakhania	Lediha	155	5	4	1
154	Zakhania	Belhara	207	7	4	3
155	Zakhania	Padumpur	201	7	5	2
156	Zakhania	Dhamupur 1	204	7	7	0
157	Zakhania	Matakpur	136	5	4	1
158	Zamania	Gayghat	205	7	6	1
159	Zamania	Budha deeh	201	7	5	2
160	Zamania	Hamidpur shivm-II	212	7	3	4
161	Zamania	Hetihampur	417	14	6	8
162	Zamania	Baresar	248	8	4	4
163	Zamania	Manjhariya	122	4	4	0
164	Zamania	Deoria Khas	152	5	3	2
165	Zamania	Udharanpur	240	8	6	2
166	Zamania	Kishunipur	55	2	3	-1
167	Zamania	Nariyaw No.2	122	4	3	1
168	Zamania	Chakmedani-1	66	2	3	-1
169	Zamania	Machharmara	192	6	3	3
170	Zamania	SariMuradali	158	5	4	1
171	Zamania	Tiyari	310	10	4	6
172	Zamania	Zamania No.2	185	6	7	-1
		Total	**27937**	**935**	**624**	**311**

Appendix 2.3.8 (b)

Status of enrolled children & posted teachers in sample selected UPS of Ghazipur as of May 2011

(Reference: Paragraph 2.3.7.2; page-65)

Sl. No.	Name of Block/Rural or Urban	Name of School (UPS)	Total enrolment in 2006-07	Total enrolment in 2010-11	Required teachers in 2010-11	No. of teachers posted in 2010-11	Shortage of teachers
1	Barachawar	Amwa Askaran	0	113	4	2	2
2	Barachawar	Barachawar	0	31	3	1	2
3	Barachawar	Vishwambharpur	34	33	3	1	2
4	Barachawar	Chakia	21	116	4	2	2
5	Barachawar	Gonha	0	5	3	1	2
6	Barachawar	Chak Fatma	137	165	5	1	4
7	Bhadaura	Amaura	0	24	3	1	2
8	Bhadaura	Dildarnagar	262	338	10	9	1
9	Bhadaura	Bhadaura	108	73	3	2	1
10	Bhadaura	Sevrai	617	370	11	3	8
11	Bhawarkol	Awathahi	476	440	13	3	10
12	Bhawarkol	Jaga U.P.s.	0	11	3	1	2
13	Bhawarkol	Jagdishpur	0	52	3	1	2
14	Birno	Champaran Patti	0	2	3	1	2
15	Birno	Jayanti Daspur	19	33	3	2	1
16	Birno	Mushtafabad	188	145	5	3	2
17	Birno	Birno	332	267	8	4	4
18	Birno	Turkvalia	0	25	3	1	2
19	Birno	Pipnar	27	106	4	1	3
20	Deokali	Rampur Bantara	0	72	3	3	0
21	Deokali	Bikachak	0	31	3	3	0
22	Deokali	Chitaura	0	47	3	4	-1
23	Deokali	Pachrasi	187	129	4	5	-1
24	Deokali	Devchandpur	129	81	3	5	-2
25	Deokali	Kudhachawr	0	8	3	1	2
26	Ghazipur Sadar	Nagwa Kataila	174	102	4	6	-2
27	Ghazipur Sadar	Banjari pur	0	94	3	4	-1
28	Karanda	Lilapur	0	36	3	1	2
29	Karanda	Sikandarpur	0	30	3	2	1
30	Karanda	Kusumi Kala	33	123	4	3	1
31	Karanda	Kanya Mainpur	84	39	3	2	1
32	Karanda	Mainpur	176	59	3	3	0
33	Karanda	Shriganj	0	52	3	4	-1
34	Kasimabad	Dewli	0	44	3	2	1
35	Kasimabad	Kaghzipur	36	33	3	2	1
36	Kasimabad	Mahuwari	0	0	3	0	3
37	Kasimabad	Ramgarh	0	15	3	1	2

38	Kasimabad	Mohiuddinpur	0	4	3	2	1
39	Manihari	Rampur Jeevan	0	36	3	2	1
40	Manihari	Khatirpur	0	72	3	3	0
41	Manihari	Sonbarsa	0	0	3	3	0
42	Manihari	Hariharpur	0	276	8	3	5
43	Manihari	Yusufpur	906	843	25	12	13
44	Mardah	Kastua	0	19	3	0	3
45	Mardah	Mardah	425	229	7	6	1
46	Mardah	Rasulabad	0	1	3	2	1
47	Mohmdabad	Keshavpur	0	261	7	4	3
48	Mohmdabad	Kundesar	125	83	3	2	1
49	Mohmdabad	Devnainia	30	30	3	1	2
50	Mohmdabad	Hussepur Kothia	0	43	3	2	1
51	Nagar Kshetra	Raiganj	62	65	3	3	0
52	Reotipur	Pakadi	289	218	7	5	2
53	Reotipur	Bemua	0	144	5	1	4
54	Reotipur	Kalyanpur	0	45	3	3	0
55	Reotipur	Patkhauliya	0	95	3	3	0
56	Sadat	Daulat Nagar	0	286	9	3	6
57	Sadat	Mahpur	536	526	16	10	6
58	Sadat	Barahpar Nasaratpur	0	69	3	2	1
59	Sadat	Fauladpur	0	107	4	4	0
60	Sadat	Pinpnar P.M.V Pipnar	322	296	9	7	2
61	Sadat	Sadat	628	631	19	12	7
62	Saidpur	Jamin Sandal	88	90	3	3	0
63	Saidpur	Gauri	24	33	3	3	0
64	Saidpur	Khanpur	387	201	6	3	3
65	Saidpur	Mahrumpur	0	80	3	3	0
66	Saidpur	Saidpur-1	254	155	5	6	-1
67	Zakhaniya	Zafarpur	166	358	11	6	5
68	Zakhaniya	Manjhanpur	95	121	4	3	1
69	Zakhaniya	Khetab pur	127	179	6	5	1
70	Zakhaniya	Meerpur	0	31	3	2	1
71	Zakhaniya	Dhamupur	97	125	4	3	1
72	Zamania	Bareshar	0	101	4	3	1
73	Zamania	Pachokhar	411	320	10	2	8
74	Zamania	Muhmamdpur	**232**	134	4	2	2
75	Zamania	Raipur	36	48	3	1	2
		Total	**8280**	**9699**	**370**	**231**	**139**

Appendix 2.3.9 (a)

Status of enrolled children & posted teachers in sample selected PS of G B Nagar as of May 2011

(Reference: Paragraph no. 2.3.7.2; page-65)

Sl. No.	Name of Block/Rural or Urban	Name of School	Total no. of children enrolled in 2010-11	Required no. of teachers as per norms	Actually posted (no. of teachers)	Shortage (no. of teachers)
1	Bisrakh	Khedi 2	30	2	1	-1
2	Bisrakh	khodna khurd 1	103	3	4	1
3	Bisrakh	Haraula	1660	55	19	-36
4	Bisrakh	Bisrakh 2	92	3	4	1
5	Bisrakh	Achheja 1	85	2	3	1
6	Bisrakh	baadalpur 2	83	2	5	3
7	Bisrakh	deola	246	8	4	-4
8	Bisrakh	Tilpata 1	72	2	4	2
9	Bisrakh	Bhangel	305	10	8	-2
10	Bisrakh	Thaapkheda	74	2	2	0
11	Bisrakh	Vajidpur	189	6	3	-3
12	Dadari	Dadari-III Kidvai Nagar	229	7	3	-4
13	Dadari	Garhi Dadari	124	4	4	0
14	Dadari	Khurshaidpura	83	2	1	-1
15	Dadari	Bhur Majara Dhoom	34	2	3	1
16	Dadari	Chak Sainpur ki madaiya	49	2	3	1
17	Dadari	Bambavad-I	94	3	2	-1
18	Dadari	Sadopur -I	62	2	2	0
19	Dadari	PS Mahawar	60	2	4	2
20	Dadari	Deri Skeenar	57	2	2	0
21	Dadari	Kailashpur-I	39	2	1	-1
22	Dadari	Chitehra -II	48	2	3	1
23	Dankaur	Navada-I	54	2	3	1
24	Dankaur	Hazipur	20	2	3	1
25	Dankaur	Bironda	95	3	4	1
26	Dankaur	Bilaspur No. 2	248	8	6	-2
27	Dankaur	Junedpur	120	4	3	-1
28	Dankaur	Balla ki Madhaiya	138	4	4	0
29	Dankaur	Sirsa	66	2	4	2
30	Dankaur	P.S.Gharbara-I	110	3	3	0
31	Dankaur	Gharbara-II	113	3	4	1
32	Dankaur	Bilaspur	115	3	2	-1
33	Dankaur	Chuharpur khadar	69	2	4	2
34	Dankaur	Panchaytan	117	3	4	1

35	Dankaur	Larpura	184	6	5	-1
36	Jever	Marhara	61	2	2	0
37	Jever	Pachokara	54	2	3	1
38	Jever	Mehedipur Kala	223	7	3	-4
39	Jever	Zafergarh	93	3	3	0
40	Jever	Bhoyara (Ismile Nagar)	53	2	6	4
41	Jever	Bhayokara	55	2	3	1
42	Jever	Sirsa Machipur	40	2	2	0
43	Jever	Chaurauli II	123	4	3	-1
44	Jever	Chaurauli	120	2	3	1
45	Jever	Neemika I	114	3	3	0
46	Jever	Khwajpur	129	4	4	0
		Total	**6332**	**203**	**169**	**-34**

Appendix 2.3.9 (b)

Status of enrolled children & posted teachers in sample selected UPS of G B Nagar as of May 2011

(Reference: Paragraph no. 2.3.7.2; page-65)

Sl. No.	Name of Block/Rural or Urban	Name of School (UPS)	Total enrolment in 2010-11	Posted teachers in 2010-11	No. of teachers required in 2010-11	Shortage of teachers
1	Bisrakh	Haraula	360	4	11	-7
2	Bisrakh	Dharm Pura	15	2	3	-1
3	Bisrakh	Achheja	35	4	3	1
4	Bisrakh	Sultanpur	23	2	3	-1
5	Bisrakh	Hushiyar pur	168	2	5	-3
6	Dadari	Rajat Pur	10	1	3	-2
7	Dadari	Bil Akbarpur	30	1	3	-2
8	Dadari	Ranauli Latifpur	46	1	3	-2
9	Dadari	Bodaki	28	1	3	-2
10	Dadari	Luharli	19	1	3	-2
11	Dankaur	Gridharpur	21	3	3	0
12	Dankaur	Fazayalpur	48	2	3	-1
13	Dankaur	Navada	19	3	3	0
14	Dankaur	Yakootpur	15	2	3	-1
15	Dankaur	Gharbara	34	1	3	-2
16	Dankaur	Tugalpur	46	3	3	0
17	Zever	UPS Pachokara	17	2	3	-1
18	Zever	UPS Neemika	78	1	3	-2
19	Zever	Khajpur	58	2	3	-1
20	Zever	UPS Chanchali	113	2	3	-1
21	Zever	UPS Chaurauli	100	2	3	-1
		Total	**1283**	**42**	**73**	**-31**

Appendix 2.4.1

Equipments not available as of March 2011

(Reference: Paragraph no.2.4.7; page-78)

Hospitals	Equipment required as per norms of 1994	Equipment not available as of March 2011
DH (Male), Ghazipur (150 beds)	Calorimeter, centrifuge machine/ table, hot air oven, water box, incubator, refrigerator, ESR & PCV reader, Hemoglobin & hemocyto-meter, microscope, VDRL set, spectrometer semi-analyser sterilizer, generator and ambulance	The stock register was not available with the CMS of the hospital. The clerk had been placed under suspension and the matter was under investigation.
DH (Female), Ghazipur[1] (81 beds)	Calorimeter, centrifuge machine/ table, hot air oven, water box, incubator, refrigerator, ESR & PCV reader, Hemoglobin & hemocyto-meter, microscope, VDRL set, sterilizer, generator and ambulance	Calorimeter, centrifuge machine/ table, hot air oven, water box, incubator, ESR & PCV reader, Hemoglobin & hemocyto-meter, microscope and VDRL set.
DJH, GB Nagar (100 beds)	Calorimeter, centrifuge machine/ table, hot air oven, water box, incubator, refrigerator, ESR & PCV reader, Hemoglobin & hemocyto-meter, microscope, VDRL set, sterilizer, generator and ambulance	Hemocyto-meter.
Test-checked four CHCs[2]	Calorimeter, centrifuge machine/ table, hot air oven, water box, incubator, refrigerator, ESR & PCV reader, Hemoglobin & hemocyto-meter, microscope, VDRL set, sterilizer, generator and ambulance	**Ghazipur: CHC, Muhammadabad-**Hot air oven, incubator, centrifuge table, ESR & PCV reader, sterilizer, VDRL set, generator and ambulance **CHC, Saidpur**-hot air oven, centrifuge table, ESR & PCV reader, VDRL set, generator and ambulance **CHC, Khanpur**- centrifuge machine/table, hot air oven, incubator, ESR & PCV reader, hemocyto-meter, VDRL set, sterilizer, generator and ambulance **GB Nagar: CHC, Badalpur**-centrifuge machine/table, incubator, refrigerator, Hemoglobin meter, PCV reader and microscope,

(Source: Test checked hospitals/centres)

[1] Includes labour, operation theatre/ surgical, anesthesia
[2] Test checked CHC at Bhangel in GB Nagar district was established in July 2008

Appendix 2.4.2

Position of DHs, CHCs, PHCs and Sub-centres *vis-à-vis* IPHS

(Reference: Paragraph no. 2.4.7; page-79)

Shortfalls in DHs			
District's name & total population	**Requirement as per IPHS**	**Existing as of March 2011**	**Shortfall**
Ghazipur: 30.38 lakh (2001 census)	DH of 500 beds	DH of 231 beds	269 beds
GB Nagar: 12.02 lakh (2001 census)	DH of 200 beds	DH of 100 beds	100 beds

Shortfalls in CHCs, PHCs and Sub-centres in rural areas				
District's name & rural population	**Centres**	**Requirement as per IPHS**	**Existing as of March 2011**	**Shortfall (per centage)**
Ghazipur: 28.04 lakh as per 2001 census	CHCs	23	6	17 (*74*)
	PHCs	93	66	27 (*29*)
	Sub-centres	561	393	168 (30)
GB Nagar: 7.53 lakh as per 2001 census	CHCs	6	3	3 (*50*)
	PHCs	25	21	4 (*16*)
	Sub-centres	151	128	23 (*15*)

(Source: CMOs Ghazipur and Gautam Buddha Nagar)

Appendix 2.4.3

Status of equipments available *vis-à-vis* IPHS

(Reference: Paragraph no. 2.4.7; page-79)

Status of equipment available *vis-à-vis* IPHS Hospitals test checked	Equipment, apparatus as per IPHS			
	Required	Available	Not available	Significant medical devices not available
DH (Male), Ghazipur	422	233	189	60 MA mobile and dental X-Ray machine MA mobile and dental X-Ray machine ECG computerized machine, cardiac monitor with defibrillator, operating microscope, blood collection monitor, blood gas monitor, physiotherapy and endoscopy medical devices etc.
DH (Female), Ghazipur[3]	232	80	152	60 MA mobile and dental X-Ray machine emergency resuscitation kit-baby, cardiac monitor, vacuum extractor metal, silastic vacuum extractor, OT ordinary (peadiatric) etc.
DJH, Gautam Buddha Nagar	464	390	74	Emergency resuscitation kit-baby, cardiac monitor, vacuum extractor metal, silastic vacuum extractor tracheotomy, physiotherapy and endoscopy etc.
Five CHCs	479 each CHC	between 53 and 472	between 426 and 7	Neo-natal devices, dressing drum, shadow less lamp, weighing machine (baby), Hydraulic OT etc.
15 PHCs	143	Between 3 and 131	between 140 and 12	-

(Source: Test checked hospitals/centres**)**

[3] Includes labour, operation theatre/ surgical, anesthesia

Appendix 2.4.4

Detail of bed occupancy in test-checked hospitals

(Reference: Paragraph no. 2.4.7; page-79)

Average bed occupancy (2006-11) ranging	Name of the hospitals	
	Ghazipur[4]	Gautam Buddha Nagar
0-25 *per cent*	CHCs, at Muhammadabad, Saidpur, Khanpur and PHCs at Subhakarpur, Karanda, Abisan Kusimikala, Zamania and Betawar	CHC at Bhangel and PHCs at Bisrakh, Barola, and Sector 22
26-50 *per cent*	PHC at Barachwar, Asawar,	CHC at Badalpur
51-100 *per cent*	DH (Male), DH (Female) and PHC at Mardaha	District Joint Hospital
Above 100 *per cent*	Nil	PHC at Dankaur

(Source: Test checked hospitals**)**

[4] Data in respect of PHCs at Reotipur and Bhadaura, Ghazipur district are not available

Appendix 3.1

Details of CC Roads

(Reference: Paragraph no. 3.1.3; page-84)

Division	Name of Villages	Sanctioned Cost (₹ in lakh)	Executed quantity of lean concrete (M^3)	Rate with stone ballast (₹)	Expenditure of lean concrete (col 4 x col 5) (₹)	Percentage of Above/ Below to tender rate	Actual Payment (₹)	Rate with brick ballast (₹)	Total cost of lean concrete (col 4 x col 9) (₹)	Excess Expenditure (col 8-col 10) (₹)
1	2	3	4	5	6	7	8	9	10	11
PD Deoria	Dhatura Khas	93.13	563.89	2178	1228152.42	4.25 above	1280348.90	1525	859932.25	420417
	Bharia	68.17	618.56	2261	1398564.16	3.65 above	1449611.75	1525	943304.00	506308
	Tanhui	75.92	703.54	2178	1532310.12	3.75 above	1589771.75	1525	1072898.50	516873
	Patharhat	113.47	1004.24	2233	2242467.92	3.50 above	2320954.30	1525	1531466.00	789488
	Sarosa	156.48	1488.42	2100	3125682.00	6.50 above	3328851.33	1525	2269840.50	1059011
	Mundera Tiwari	44.22	237.37	2218	526486.66	4.75 above	551494.78	1525	361989.25	189506
	Karkatthi	64.51	638.32	2233	1425368.56	1.10 below	1409689.51	1525	973438.00	436252
	Khamper	63.47	436.70	2100	917070.00	4.75 above	960630.83	1525	665967.50	294663
	Chakmadho	22.78	171.40	2100	359940.00	5.00 below	341943.00	1525	261385.00	80558
	Sakarapar	48.63	338.95	2200	745690.00	4.10 above	776263.29	1525	516898.75	259365
	Madanpur Sabdalpur	107.58	475.56	2100	998676.00	4.00 above	1038623.04	1525	725229.00	313394
	Baradin	32.31	247.05	2100	518805.00	5.16 above	545575.34	1525	376751.25	168824
	Parsia Dewar	144.50	1204.01	2100	2528421.00	6.10 above	2682654.68	1525	1836115.25	846538
	Belwababu	40.21	416.32	2255	938801.60	3.95 above	975884.26	1525	634888.00	340996
	Bhudwar	45.89	267.68	2100	562128.00	5.25 above	591639.72	1525	408212.00	183428
									Total	**6405621**

CD Deoria	Badhpurwa	84.70	490.11	2200	1078242.00	3.70 above	1118136.95	1525	747417.75	370719
	Khukhundu	183.62	1411.41	2200	3105102.00	4.15 above	3233963.73	1525	2152400.25	1081563
	Mainpur	27.98	307.47	2200	676434.00	4.30 above	705520.66	1525	468891.75	236629
	Bahadurpur	31.25	340.44	2200	748968.00	2.67 below	728970.55	1525	519171.00	209800
	Veerpur misra	38.64	357.38	2200	786236.00	8.50 below	719405.94	1525	545004.50	174401
	Bandipur	28.67	310.92	2200	684024.00	4.20 above	712753.01	1525	474153.00	238600
	Chakarwabhargav	21.75	260.93	2200	574046.00	4.20 above	598155.93	1525	397918.25	200238
	Kanauli	32.42	148.10	2200	325820.00	4.55 above	340644.81	1525	225852.50	114792
	Nagwakhas	45.94	441.29	2200	970838.00	4.40 above	1013554.87	1525	672967.25	340588
	Mathamauna	28.75	272.30	2200	599060.00	0.10 below	593069.40	1525	415257.50	177812
	Babhnauli	5.61	18.73	2200	41206.00	4.39 above	43014.94	1525	28563.25	14452
	Amaunamisra	23.87	201.66	2200	443652.00	4.41 above	463217.05	1525	307531.50	155686
	Mahrauna	75.32	635.65	2200	1398430.00	4.43 above	1460380.45	1525	969366.25	491014
	Dumri	67.98	652.47	2200	1435434.00	4.30 above	1497157.66	1525	995016.75	502141
	Pindri	98.73	824.26	2200	1813372.00	4.45 above	1894067.05	1525	1256996.50	637071
	Banjaria	151.13	989.78	2200	2177516.00	4.90 above	2284214.28	1525	1509414.50	774800
	Godoli	165.40	866.71	2200	1906762.00	4.80 above	1998286.58	1525	1321732.75	676554
	Pakdi	14.58	77.22	2800	216216.00	10.00 above	237837.60	1525	117760.50	120077
	Sarbauli	35.51	128.85	2800	360780.00	11.00 below	321094.20	1525	196496.25	124597
	Chakarwa aasredas	31.00	151.61	2800	424508.00	12.90 below	369746.47	1525	231205.25	138541
									Total	**6780075**
									Grand Total	**13185696 Say ₹ 1.32 crore**

(Source: Paid vouchers of Executive Engineers, CD & PD Deoria)

Appendix 3.2

Details of Covered Drains

(Reference: Paragraph no. 3.1.3; page-84)

Division	Name of Villages	Excuted Quantity of RCC (taking thickness 7.5 cm) (M^3)	Rate (₹)	Steel actually used in RCC cover (Qtl)	Rate (₹)	Admissible quantity of RCC cover taking thickness of 5.0cm (col3 x 5 ÷ 7.5) (M^3)	Steel required at 5.0cm thickness (col7 x 1% x 78.5) (Qtl)	Excess quantity of RCC used due to excess thickness (col3 - col7)(M^3)	Excess quantity of steel used due to excess thickness [col5 - col8](Qtl)	Excess expenditure on RCC (col.9 x col.4) (₹)	Excess expenditure on steel (col.10 x col.6) (₹)	Excess expenditure on RCC and Steel (col.11 + col.12) (₹)	Percentage of Above/Below was per tender Rate	Total excess expenditure (taking weightage as per col14) (₹)
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
PD Deoria	Dhatura khas	106.42	4344	87.17	4062	70.947	55.693	35.473	31.477	154095	127860	281955	4.25 above	293937
	Bharia	117.08	4344	105.38	4062	78.053	61.272	39.027	44.108	169533	179167	348700	3.65 above	361428
	Tanhui	106.33	4344	77.04	4062	70.887	55.646	35.443	21.394	153964	86902	240866	3.75 above	249899
	Patharhat	273.33	4344	208.02	4062	182.220	143.043	91.110	64.977	395782	263937	659719	3.50 above	682809
	Saraya	142.24	4344	108.56	4062	94.827	74.439	47.413	34.121	205962	138600	344562	6.50 above	366958
	Mundera Tiwari	41.17	4344	31.65	4062	27.447	21.546	13.723	10.104	59613	41042	100655	4.75 above	105436
	Karkathi	151.60	4344	127.20	4062	101.067	79.338	50.533	47.862	219515	194415	413930	1.10 below	409378
	Khampar	95.98	4344	85.44	4062	63.987	50.230	31.993	35.210	138978	143023	282001	4.75 above	295396
	Chakmadho	26.18	4344	18.44	4062	17.453	13.701	8.727	4.739	37910	19250	57160	5.00 below	54302
	Sakarapar	50.20	4344	34.96	4062	33.467	26.272	16.733	8.688	72688	35291	107979	4.10 above	112406
	Madanpur Sabdalpur	71.86	4344	52.20	4062	47.907	37.607	23.953	14.593	104052	59277	163329	4.00 above	169862
	Baradih	32.12	4344	22.62	4062	21.413	16.809	10.707	5.811	46511	23604	70115	5.16 above	73733
	Parsia Dewar	120.40	4344	94.52	4062	80.267	63.010	40.133	31.510	174338	127994	302332	6.10 above	320773
	Belwababu	39.95	4344	29.03	4062	26.633	20.907	13.317	8.123	57849	32996	90845	3.95 above	94433
	Bhudwar	17.88	4344	13.05	4062	11.920	9.357	5.960	3.693	25890	15001	40891	5.25 above	43038
											Total			**3633788**

CD Deoria	Badhpurwa	80.21	4344	70.14	4062	53.473	41.976	26.737	28.164	116146	114402	230548	3.70 above	239078
	Khukhundu	205.23	4344	190.00	4062	136.820	107.404	68.410	82.596	297173	335505	632678	4.15 above	658934
	Mainpur	35.85	4344	30.19	4062	23.900	18.762	11.950	11.428	51911	46421	98332	4.30 above	102559
	Bahadurpur	38.63	4344	32.00	4062	25.753	20.216	12.877	11.784	55938	47867	103805	2.67 below	101033
	Veerpur misra	47.33	4344	37.00	4062	31.553	24.769	15.777	12.231	68535	49682	118217	8.50 below	108169
	Bandipur	13.5	4344	9.18	4062	9.000	7.065	4.500	2.115	19548	8591	28139	4.20 above	29321
	Chakar wabhargava	20.26	4344	18.00	4062	13.507	10.603	6.753	7.397	29335	30047	59382	4.20 above	61876
	Kanauli	28.71	4344	52.45	4062	19.140	15.025	9.570	37.425	41572	152020	193592	4.55 above	202401
	Nagwakhas	23.72	4344	17.51	4062	15.813	12.413	7.907	5.097	34348	20704	55052	4.40 above	57474
	Mathamauna	29.72	4344	22.29	4062	19.813	15.553	9.907	6.737	43036	27366	70402	0.10 below	69698
	Amaunamisra	4.18	4344	3.14	4062	2.787	2.188	1.393	0.952	6051	3867	9918	4.41 above	10356
	Mahrauna	92.25	4344	64.40	4062	61.500	48.278	30.750	16.122	133578	65488	199066	4.43 above	207884
	Dumri	138.48	4344	122.85	4062	92.320	72.471	46.160	50.379	200519	204639	405158	4.30 above	422580
	Pindri	170.28	4344	140.00	4062	113.520	89.113	56.760	50.887	246565	206703	453268	4.45 above	473439
	Banjaria	108.75	4344	86.12	4062	72.500	56.913	36.250	29.207	157470	118639	276109	4.90 above	289638
	Godoli	109.12	4344	85.79	4062	72.747	57.106	36.373	28.684	158004	116514	274518	4.80 above	287696
											Total			**3322136**
											Grand Total			**6955924** **Say ₹ 0.70 crore**

(**Source**: Paid vouchers of Executive Engineers, CD & PD Deoria)

Appendix 3.3

Details of expenditure on Utraulla-Faizabad-Allahabad Road (SH-9) in which brick soling was provided

(Reference: Paragraph no. 3.1.4; page-85)

Sl. No.	Item of work done	Expenditure incurred in ₹				
		km 4	km 7	km 11	km 15	km 17
1	2	3	4	5	6	7
1	Soling	34272	34272	34272	31212	36295
2	Laying of 45-90	172948	395971	386729	327898	367702
3	Laying of 45-63 (1st Coat)	229344	382441	375652	317035	374111
4	Laying of 45-63 (2nd Coat)	229345	382441	376160	316943	374111
5	Scraping of road	26363	30685	30853	27366	25160
6	Repair of existing crust	33854	49672	48404	85080	41355
7	Laying of 45-63	592445	1174710	1156354	999380	1157940
8	Laying of 22.4-53 (1st Coat)	444728	881867	868044	750212	869243
9	Laying of 22.4-53 (2nd coat)	121239	925612	912291	789538	915442
10	Brick on edge (BOE)	0.00	28693	28728	28368	28800
11	Laying of P1	113025	713039	714668	702125	718200
12	Laying of P2	273195	414428	415248	408260	417200
		2270758	**5413831**	**5347403**	**4783417**	**5325559**
	Add 8% above tender rates of contractor	181660	433107	427793	382674	426044
	TOTAL	**2452418**	**5846938**	**5775196**	**5166091**	**5751603**
	Gross Total (sum of total of col. 3 to 7)					**2,49,92,246 Say ₹ 2.50 crore**

(Source- Estimate, Bond and Paid Vouchers of EE PD Balrampur**)**

Appendix 3.4

Details of expenditure on PC and Seal Coat during the year 2009-10

(Reference: Paragraph 3.1.4; page-85)

Sl. No.	Name of Road	Voucher No. and date	Area of PC	Rate Per Sq. M.	Expenditure (₹)	Area of Seal Coat	Rate Per Sq. M.	Expenditure (₹)
1	Achakanpur Faridpur Link road	220/23.3.2010	2400 3000	65.00 73.00	156000 219000	2400 3000	14.20 16.00	34080 48000
2	B S road to Bharatha Link road	42/23.9.2009	11340 6000	69.20 69.00	784728 414000	11340 6000	10.20 10.20	115668 61200
3	B S road to Basantapur Link road	53/15.06.09	11340	69.20	784728	11340	10.20	115668
4	Gaduasa Link road	06/5.12.09	2880 10500	66.30 64.90	190944 681450	2880 10500	11.10 11.50	31968 120750
5	Sultanpur to Makhubehar Link road	57/21.06.10	6600	66.50	438900	6600	11.10	73260
6	Laskarpur Link road	01/1.09.09	3102	66.50	206283	3102	12.60	39085
7	Chandi Bhanpur Link Road	38/11.2.2010	3300 3000	64.50 75.00	212850 225000	3300 3000	16.85 17.50	55605 52500
8	Biswa Khurda Link Road	221/23.3.10	6000	67.00	402000	6000	13.40	80400
9	Ratanganj Kasipur Mallapur Link road	38/11.02.10	2175 3000	17.50 75.00	38063 225000	2175 3000	16.85 17.50	36649 52500
10	Navaapur Link road	25/9.02.10	900	65.00	58500	900	13.70	12330
11	Nibauri Link road	27/09.03.10	4500 3000	66.00 66.40	297000 199200	4500 3000	11.00 13.70	49500 41100
12	Jatpurva Link road	221/23.3.10	3600	68.30	245880	3600	13.50	48600
13	Chatela Link road	155/20.3.10	26175	65.00	1701375	26175	15.70	410948
14	Kalayanpur Link road	39/8.10.09	2442	66.00	161172	2442	18.00	43956
15	Kusepa Link road	277/26.3.10	13149	73.30	963822	13149	16.00	210384
16	Patti Dehli Link road	224/25.3.10	7200	65.00	468000	7200	15.60	112320
17	Ruknapur Link road	38/8.10.09	6000	66.00	396000	6000	18.70	112200
18	B S Road Km 64 to Chandan Mahmoodpur Nahar Patari	71/30.11.09	4048	61.00	246928	4048	15.00	60720
19	Kakarkuee Link Road	130/27.7.09	3684	67.60	249038	3684	10.70	39419
20	Angrasi to Barchhata Link road	11/5.12.09	5400	66.70	360180	5400	11.40	61560
21	Bhagat Sikrohar Link Road	222/25.3.10	1512	74.00	111888	1512	15.00	22680
22	Golokgodar to Basantapur Link Road	218/23.3.10	3000	74.00	222000	3000	15.00	45000
23	Khurlia Kishorganj Link Road	34/9.12.09	6000	76.80	460800	6000	15.50	93000
24	Kauva Khera Link Road	/5.11.09	8184	67.60	553238	8184	10.70	87569

25	Seepathpur Link Road	43/23.9.09	3705 4602	63.00 78.70	233415 362177	3705 4602	11.50 13.00	42608 59826
26	Bariapur Link Road	245/26.3.10	13708 12485	80.00 78.00	1096940 973830	13708 12485	12.20 12.20	167238 152317
27	Chanduali Chekhari Dhandhar Link Road	21/9.2.10	12000	79.45	953400	12000	11.95	143400
28	Thaura Link Road	174/20.3.10	1860	78.80	146568	1860	20.60	38316
29	Khanewa Mithaura Link Road	--/--	1800 11563 1050	68.10 60.55 78.00	122580 700140 81900	1800 11563 1050	10.40 9.80 12.00	18720 113317 12600
30	Rampur Mathura Chhenauti Link Road	245/26.03.10	13648	89.45	1220814	13648	11.00	150128
31	Basatipur to Gairuha Link Road	39/11.02.10	13900	65.00	903500	13900	17.70	246030
32	Umri Ganeshpur Link Road	198/26.2.10	750 5481	61.00 70.10	45750 384218	750 5481	15.00 10.00	11250 54810
33	Karsa Link Road	117/28.10.09	7539	69.00	520191	7539	10.00	75390
33	Madhana Gari Link Road	12/5.09.09	1574	66.70	104986	1574	17.20	27073
34	Ragava Link Road	156/20.3.1	4500 3000 1080	66.00 65.40 73.50	297000 196200 79380	4500 3000 1080	11.00 13.70 13.00	49500 41100 14040
Total			**287676 sqm**		**20096956**	**287676 sqm**		**3786282**

(Source: Paid Vouchers of EE,PWD Sitapur)

Cost of PC/Seal Coat excluding bitumin (₹ 20096956+ ₹ 3786282)	= ₹ 23883238
Cost of bitumen used in PC (287676 sqm X ₹ 52.66[1])	= ₹ 15149018
Cost of bitumen used in Seal Coat (287676 sqm X ₹ 20.94[2])	= ₹ 6023935
Total Expenditure incurred in PC/Seal Coat	= ₹ 45056191
Cost of P2 (287676 sqm X ₹ 58.50)	= ₹ 16829046
Difference in PC/Seal Coat and P2	= ₹ 28227145
	Say ₹ 2.82 crore

[1] Issue rate of bitumen in PC.
[2] Issue rate of bitumen in Seal Coat.

Appendix 3.5

Details of recoveries proposed against the test checked works on account of Transit Fee

(Reference: Paragraph no. 3.1.5; page-86)

Sl. No.	Name of work	Date of Technical Sanction & Scheme	Agreement No, Division	WBM G-1 (45 -90mm) in Cum	WBM G-2 (45 -63mm) in Cum	WBM G-3 (22.4 -53mm) in Cum	WMM in Cum	BM in Cum	SDBC in Cum	Amount to be recovered in ₹
1	Widening & Strengthening of B P Road (Km 30 to 69)	11.05.10 (State Plan)	SE-46/Alld Circle/10-11 dt 12-5-10/ P.D. Alld	15135.60	15925.50	-	100070.21	13134.03	6567	1604308
2	Laltara Palpatti Khairiya Road on Tons River Approach road/Add Approach Rd.	20.05.10 (RIDF - 14)	(i) E-82/Alld Circle/09-10 dt 30-11-09 (ii) EE-88/Alld Circle/09-10 dt 30-11-09 (P.D. Alld)	-	63519.00	860.06	-	-	-	35381
3	Widening & Strengthening of B P Road (Km 1 to Km 29 & Km 70 to Km 100.600)	18.12.10 (SRF)	SE -54/Alld Circle/10-11 dt 24-12-10 (P.D. Alld)	-	-	-	169680	91815	10605	14342853
4	Construction of Road(SH-102) from Km 42 of BP road to House of Pradhan of Marjadpur Right side of PMGSY Road	13.01.11 (RIDF-16)	SE -63/Alld Circle/10-11 dt 24.01.11 (P.D. Allahabad)	1320	900	900	-	-	-	37894
5	Construction of Road from km 16th of KDD. Road (MDR-146) to Newariya Pal Kolan Basti to Pal Basti of Right side of PMGSY Road and construction of 24 meter span RCC Puliya on Tudiyari Nala	24.01.11 (RIDF-16)	SE-64/Alld circle 10-11 dt. 24.01.11 (PD Allahabad)	990	675	675	-	-	-	28420
6	Constuction of Road (SH-102) from Km 42 of BP road to 4 Km of Barokhar Road to Hardiphar pakai road vai house of Harsh Narayan Coal	31.01.11 (RIDF-16)	SE-65/Alld Circle10-11/31-1-11 (PD Allahabad)	1650	1125	1125	-	-	-	47367
7	Widening & strengthening of Rampur Bawali to Birshahpur via Raopur Kaithola Road in Pratapgarh district.	06.05.10 (CRF)	SE-02/10-11/ Pratapgarh cicle/dated 19-5-10 Vr. No. 57 dt 25-2-11 (CD-1 Pratapgarh)	-	-	-	17946.40	3945.500	1972.880	1016671

8	W/S of Sangamganj to Pitchaura Road Via Mothin Khardua Harnahar Darupur Belha, Medhawa Godawa Road	18.06.10 (CRF)	SE-04/10-11 Pratapgarh circle/Dt. 25.6.10 14th Running bill/Dt. 26.3.11 (CD-1 Pratapgarh)	-	-	-	38249.77	8813.470	4350.265	1616483
9	W/S of Sangramgarh to Arro Raniganj Road Via Dhanati kriya, Noudhiya in District Pratapgarh (CD-1 Pratapgarh)	18.06.10 (CRF)	SE-05/Pratapgarh Circle/10-11 dt 30.6.10 Vr. No.77 Dt. 16-3-11 (CD-I,Pratapgarh)	-	-	-	12924.51	-	-	210184
Amount of Transit fee (Dalla Grit)										**18939561**
Say ₹ 1.89 crore										

(**Source-** SOR & Paid Vouchers of EE PD Allahabad and Paid Vouchers of EE CD-I PWD Pratapgarh)

Appendix 3.6

Details of payment of secured advance to contractors

(Reference: Paragraph no. 3.1.6; page-87)

Sl. No.	CB No and date	Vr. No	Date	Amount of secured advance (in ₹)	Adjustment Bill	Vr. No.	Date	Adjustment Amount (in ₹)	Period (Months)	Interest (@7.53% p.a) in ₹
Executive Engineer, CD-I PWD Lucknow										
1.	04/SE/Lko Circle/10-11Dt. 04.06.10	53	28.07.10	70009196	III-R	42	20.12.10	70009196	4	1757231
2.	04/SE/Lko Circle/10-11Dt. 04.06.10	4	08.06.10	60384948	III-R	42	20.12.10	60384948	6	2273493
3.	05/SE/Lko Circle/10-11Dt. 09.06.08	25	08.09.09	1011005	III-R	70	25.11.09	1011005	1	6344
4.	02/SE/LkoCircle/10-11Dt. 15.09.09	37	23.09.09	20426175	II-R	6	05.11.09	20426175	1	128174
5.	09/SE/Lko Circle/09-10 Dt. 31.12.09	33	18.01.10	6021193	II-R	239	31.03.10	6021193	2	75566
6.	28/SE/07-08 Dt. 27.01.08	28	17.05.10	11277937	IX-R	18	12.07.10	4000000	1	25100
					IX-R	43	21.09.10	7277937	3	137007
7.	19/SE/09-10 Dt. 29.03.10	13	09.08.10	15000000	V-R	41	21.09.10	15000000	1	94125
8.	22/SE/10-11 Dt. 13.09.10	62	27.09.10	5600000	I-R	56	23.12.10	5600000	2	70280
9.	14/SE/10-11 Dt.16.07.10	21	02.11.10	6469178	II-R	10	02.02.11	6469178	2	81188
10.	03/SE/09-10 Dt. 22.09.09	63	20.03.10	5467197	VI-R	20	06.05.10	5467197	1	34307
11.	28/SE/LkoCircle08-09 Dt.27.11.08	130	27.03.10	2200000	VIII-R	27	17.05.10	2200000	1	13805
12.	28/SE/LkoCircle08-09 Dt.27.11.08	184	28.03.09	5679577	III-R	55	20.07.09	5679577	3	106918
13.	28/SE/LkoCircle08-09 Dt.27.11.08	43	21.09.10	10190035	XI-R	66	25.10.10	10190035	1	63942
14.	09/SE/09-10 Dt.31.12.09	240	31.03.10	4925137	III-R	4	05.08.10	4925137	3	92716
15.	81/SE/08-09 Dt.26.02.09	56	31.01.10	23775863	IV-R	242	31.03.10	23775863	2	298387
16.	81/SE/08-09 Dt.26.02.09	14	06.01.11	3843749	VII-R	417	31.03.11	3843749	2	48239
17	202/EE/09-10 Dt. 25.03.10	29	17.05.10	125327	I-R	22	07.10.10	125327	4	3146
18	14/EE/LkoCircle/09-10 Dt. 25.05.10	35	21.06.10	342878	II-R	47	23.05.11	342878	10	21516
19	15/EE/09-10 Dt. 25.05.10	36	21.06.10	576341	II-R	74	30.08.10	576341	2	7233
20	20/EE/10-11 Dt. 02.06.10	53	30.07.10	573013	II-R	17	08.12.10	573013	4	14383

21	80/EE/AE-II/09-10 Dt.04.01.10	3	03.03.10	629338	II-R	2	08.06.10	629338	2	7898
22	131/EE/09-10 Dt.11.03.10	237	31.03.10	631000	II-F	54	29.07.10	631000	3	11879
23	157/EE/09-10 Dt.22.03.10	244	31.03.10	972944	II-R	5	05.08.10	700000	4	17570
					III-F	384	31.03.11	272944	12	20553
24	156/EE/09-10 Dt.22.03.10	245	31.03.10	980468	II-F	4	05.07.10	980468	4	24610
25	159/EE/09-10 Dt.22.03.10	246	31.03.10	987105	II-F	5	05.07.10	987105	3	18582
26	112/EE/AE-II/09-10 Dt.04.03.10	316	31.03.10	997805	II-R	8	08.07.10	997805	3	18784
27	07/EE/AE-IV/09-10Dt. 06.08.09	73	20.08.09	1000000	I-R	37	07.10.09	1000000	1	6275
28	148/EE/Lko Circle/08-09 Dt. 27.12.08	49	08.10.09	466214	II-R	47	16.11.09	466214	1	2925
29	114/EE/Lko Circle/09-10Dt. 16.03.10	233	31.03.10	1354000	II-R	55	29.07.10	1354000	4	33985
30	158/EE/09-10Dt. 22.03.10	247	31.03.10	988763	II-F	47	22.07.10	988763	3	18613
31	150/EE/09-10 Dt. 22.03.10	248	31.03.10	464183	II-F	48	23.05.11	464183	13	37866
32	146/EE/09-10 Dt. 19.03.10	250	31.03.10	558000	II-R	249	30.03.11	558000	12	42017
33	71/EE/09-10Dt. 26.12.09	460	31.03.10	265000	III-R	19	13.07.10	265000	3	4989
Executive Engineer, P D PWD Lucknow										
1	1/SE/2009-10/17.09.09	38	18.02.10	13219332	V-R	85	25.02.10	13219332	0	0
2	237/EE/25.03.10	358	31.03.10	379873	II-R	20	11.06.10	379873	2	4767
3	18/SE/26.03.10	363	31.03.10	9063000	II-R	3	04.05.10	4563000	1	28633
					III-R	15	15.07.10	4500000	4	112950
4	20/SE/31.03.10	364	31.03.10	25299601	II-R	4	28.04.10	25299601	1	158755
5	1/SE/22.05.10	2	03.06.10	14537499	II-R	25	05.08.10	10895732	2	136741
					III-R	110	25.10.10	3641767	4	91408
6	05/SE/05.06.10	18	10.06.10	12767925	II-R	2	01.09.10	12767925	2	160237
7	09/SE/14.06.10	41	23.06.10	2500410	II-R	49	17.08.10	2500410	1	15690
8	08/SE/04.06.10	40	23.06.10	4126359	II-R	50	17.08.10	4126359	1	25893
9	10/SE/15.06.10	48	24.06.10	2417195	II-R	59	24.09.10	2417195	2	30336
10	09/SE/14.06.10	8	08.07.10	4500000	II-R	49	17.08.10	4500000	1	28238

11	09/SE/14.06.10	128	29.07.10	2441274	II-R	49	17.08.10	2441274	1	15319
12	10/SE/24.06.10	9	08.07.10	4000000	II-R	59	24.09.10	4000000	1	25100
13	10/SE/24.06.10	127	29.07.10	1516739	II-R	59	24.09.10	1516739	1	9518
14	01/SE/10-11/22.05.10	2	03.06.10	7241767	II-R	25	05.08.10	3600000	2	45180
					III-R	110	25.10.10	3641767	4	91408
15	08/SE/14.06.10	10	08.07.10	7500000	II-R	50	17.08.10	7500000	1	47063
16	08/SE/14.06.10	126	29.07.10	3803207	II-R	50	17.08.10	3803207	1	23865
EE CD II PWD Lucknow										
1	72/SE/LKO/08-09/ dt. 31.1.09	55	23.02.10	11780000	IX-R	165	24.03.10	11780000	1	73920
2	35/SE/LKO/08-09/ dt. 31.1.08	38	16.03.10	4470000	XI-R	6	13.05.10	4470000	1	28049
3	15/SE/LKO/Circle/09-10/ dt 26.2.10	254	27.03.10	5520000	II-R	68	29.09.10	5520000	6	207828
4	72/SE/LKO/08-09/ dt. 31.1.09	305	30.03.10	10590000	XI-R	109	3.06.10	10590000	2	132905
5	35/SE/LKO/Circle/10-11/ dt 18.12.09	115	27.12.10	19800000	I-R	183	24.03.11	19800000	3	372735
6	36/SE/LKO/ Circle/ 10-11	140	30.12.10	4369000	I-R	1	07.02.11	4369000	1	27415
EE, CD-I, PWD Gorakhpur										
1	38/SE/08-09 dt. 31.10.08	134	27.12.08	1078000	I-R	92	18.06.09	1078000	6	40587
2	38/SE/08-09 dt. 31.10.09	112	16.01.09	1531000	I-R	92	18.06.10	1531000	5	48035
3	38/SE/08-09 dt. 31.10.08	6	02.03.09	1026000	I-R	92	18.06.09	1026000	3	19314
4	39/SE/08-09 dt. 31.10.08	7	02.03.09	1026000	I-F	132	31.12.09	1026000	10	64382
5	89/SE/08-09 dt. 12.01.09	161	16.01.09	2500000	I-R	161	11.05.09	2500000	3	47063
6	89/SE/08-09 dt. 12.01.09	30	02.03.09	1500000	I-R	2	11.05.09	1500000	2	18825
7	67/SE/08-09 dt. 19.11.08	70	12.12.08	1500000	I-R	4	11.05.09	1500000	4	37650
8	67/SE/08-09 dt. 19.11.08	57	09.01.09	1500000	I-R	4	11.05.09	1500000	3	28238
9	67/SE/08-09 dt. 19.11.08	198	16.01.09	400000	I-R	4	11.05.09	400000	3	7530
10	67/SE/08-09 dt. 19.11.08	40	06.03.09	700000	I-R	4	11.05.09	700000	2	8785
11	10/SE/08-09 dt. 13.05.08	72	07.03.09	706000	II-R	439	26.03.09	706000	0	0
12	47/SE/08-09 dt. 08.11.08	7	04.12.08	2500000	I-F	68	14.12.09	2500000	12	188250

13	47/SE/08-09 dt. 08.11.08	75	11.02.09	2000000	I-F	68	14.12.09	2000000	11	138050
14	47/SE/08-09 dt. 08.11.08	178	18.03.09	1000000	I-F	68	14.12.09	1000000	10	62750
15	48/SE/08-09 dt. 08.11.08	339	20.03.09	812000	I-F	190	29.07.10	812000	4	20381
16	49/SE/08-09 dt. 14.11.08	86	15.01.09	1068000	I-R	5	27.04.10	1068000	3	20105
17	54/SE/08-09 dt. 15.11.08	114	16.01.09	1443000	I-R	74	23.05.09	1443000	4	36219
18	10/SE/08-09 dt. 13.05.08	124	16.01.09	837000	II-R	439	26.03.09	837000	2	10504
19	82/SE/08-09 dt. 12.12.08	32	08.01.09	2459121	I-R	383	20.03.09	2459121	2	30862
20	82/SE/08-09 dt. 12.12.08	152	16.01.09	500000	I-R	383	20.03.09	500000	2	6275
21	83/SE/08-09 dt. 12.12.08	153	16.01.09	500000	I-R	477	28.03.09	500000	2	6275
22	78/SE/08-09 dt. 08.09.08	154	16.01.09	750000	I-F	4	01.10.09	750000	8	37650
EE, CD, PWD Deoria										
1	76/SE/08-09	57	8-10-11	9979650	VII-R	30	07.11.09	9979650	1	62622
2	76/SE/08-09	170	10-01-11	3834000	X-R	278	28.03.10	3834000	2	48117
3	76/SE/08-09	320	10-03-11	1665000	XI-R	8	07.05.10	1665000	1	10448
4	83/SE/08-09	321	10-Mar-11	1508580	VI-R	40	25.05.10	1508580	2	18933
5	77/SE/08-09	322	10-Mar-11	2423000	II-R	148	29.07.10	2423000	4	60817
EE, PD, PWD AGRA										
1	13/SE/09-10	91	Jan-10	1238460	II-R	78	24.02.10	1238460	1	7771
2	15/SE/09-10	92	Jan-10	1290462	II-R	79	24.02.10	1290462	1	8098
3	14/SE/09-10	119	Jan-10	1296498	II-R	230	30.03.10	1296498	3	24407
4	117/SE/09-10	3	Feb-10	513450	III-R	44	20.03.10	513450	1	3222
5	18/SE/09-10	14	Mar-10	1850000	XV-R	69	29.06.10	1790000	3	33697
					XVII-R	74	22.12.10	60000	8	3012
6	203/SE/09-10	254	Mar-10	451685				451685	14	39681
7	19/SE/09-10	261	Mar-10	3500000	IV-R	26	20.08.10	3500000	5	109813
8	21/SE/09-10	297	Mar-10	4000000	III-R	42	23.06.10	4000000	3	75300
9	20/SE/09-10	9	10.06.10	20323728	IV-R	69	22.07.10	20323728	1	127531

EE, CD-I, PWD (Taj Tripozium) AGRA										
1	16/SE/AC/2009-10 dt. 29.01.10	468	31.03.10	9649178	VI-R	6	30.04.10	4649178	1	29174
					VII-R	16	25.05.10	2500000	2	31375
					VIII-R	24	29.05.10	1000000	2	12550
					IX-R	28	08.07.10	1500000	3	28238
EE, PD, PWD Bulandshahar										
1	10/SE/BC/2009-10 dt. 21.01.10	112	26.03.10	17187222	III-R	28	15.06.10	17187222	2	215700
EE, P D PWD Lakhimpur Kheri										
1	09/SE/STP- LMP/2009-10 dated 27.10.09	201	31-3-10	16837997	X-R	4	03.08.10	16837997	4	422634
EE, PD PWD Fatehpur										
1	9/SE/P/F circle/10-11 dated 14.09.10	139	30.09.10	16132428	IV-R	66	28.03.11	16132428	6	607386
2	9/SE/P/F circle/10-11 dated 14.09.10	298	31.03.11	7002655				7002655	2	87883
EE, CD-2 PWD Fatehpur										
1	8/SE/P/F circle/10-11 dated 14.09.10	19	30.10.10	7021285	II-R	40	14.02.11	7021285	3	132176
2	8/SE/P/F circle/10-11 dated 14.09.10	9	05.03.11	3318029	IV-R	169	26.03.11	3318029	0	0
3	8/SE/P/F circle/10-11 dated 14.09.10	239	30.03.11	6091589				6091589	2	76449
4	10/SE/P/F circle/10-11 dated 14.09.10	48	30.10.10	2198500	II-R	32	13.01.11	2198500	2	27591
EE , CD-1 PWD Pilibhit										
1	17/SE/08-09 dated 20.01.09	18	06.03.09	4494000	II-R	19	28.05.09	4494000	2	56400
2	17/SE/08-09 dated 20.01.09	131	31.03.09	17000000	II-R	19	28.05.09	17000000	1	106675
3	17/SE/08-09 dated 20.01.09	20	28.01.10	8500000	IV-R	49	31.05.10	8500000	4	213350
4	17/SE/08-09 dated 20.01.09	144	31.03.10	12702000	IV-R	49	31.05.10	12702000	2	159410
5	21/SE/08-09 dated 27.02.09	132	31.03.09	2539000	I-R	2	08.12.09	2539000	8	127458
6	21/SE/08-09 dated 27.02.09	108	30.03.10	4680000	IV-R	29	21.05.10	4680000	1	29367
EE,PD PWD Jaunpur										
1	05/SE dated 19.12.09	217	29.03.10	5000000	I-R	1	01.01.11	5000000	9	282375

2	26/SE dated 28.02.09	77	22.09.09	4492435	I-R	164	22.12.09	4492435	2	56380
3	26/SE dated 28.02.09	80	29.05.10	5117582	II-R	92	28.06.10	5117582	1	32113
4	26/SE dated 28.02.09	69	28.09.10	7270000	VII-R	64	02.11.10	7270000	1	45619
5	23/SE dated 14.12.07	221	27.03.09	2000000	IV-R	81	15.02.10	2000000	10	125500
6	214/SE dated 26.02.10	145	19.03.10	766221	III-F	9	03.05.10	766221	2	9616
7	217/SE dated 26.02.10	151	22.03.10	945630	II-R	54	21.09.10	945630	6	35603
EE, CD-1 PWD Muzaffernagar										
1	11/SE/09-10 dated 25.08.09	14	05.12.09	300000	IV-F	30	24.02.10	300000	2	3765
2	01/EE/09-10 dated 03.06.09	15	05.12.09	250000	V-F	19	20.01.10	250000	1	1569
3	17/EE/09-10 dated 23.09.09	16	05.12.09	807035	IV-F	12	23.09.10	807035	9	45577
4	17/EE/09-10 dated 23.09.09	13	08.02.10	586025	IV-F	12	23.09.10	586025	8	29418
5	13/EE/09-10 dated 14.09.09	17	05.12.09	1671085	IV-F	17	27.09.10	1671085	9	94375
6	24/EE/09-10 dated 18.12.09	62	24.12.09	652000	II-R	32	24.02.10	652000	2	8183
7	03/SE/09-10 dated 07.01.10	42	28.01.10	5153250	VII-F	9	22.12.10	5153250	11	355703
8	03/SE/09-10 dated 07.01.10	83	31.03.10	4089500	VII-F	9	22.12.10	4089500	9	230955
9	03/SE/09-10 dated 07.01.10	35	29.05.10	2693500	VII-F	9	22.12.10	2693500	7	118312
10	25/EE/09-10 dated 22.01.10	3	06.03.10	975000	III-F	15	12.05.10	975000	2	12236
11	25/EE/09-10 dated 22.01.10	91	31.03.10	1200000	III-F	15	12.05.10	1200000	1	7530
12	8/SE-MZN/09-10 dated 11.03.10	26	20.03.10	5000000	IV-R	5	02.06.10	5000000	2	62750
13	9/SE-MZN/09-10 dated 30.03.10	33	27.03.10	1598690	VI-R	10	21.10.10	1598690	6	60191
14	13/SE-MZN/09-10 dated 30.03.10	88	31.03.10	4980765	VII-R	10	23.04.11	4980765	12	375052
15	13/SE-MZN/09-10 dated 30.03.10	29	24.05.10	2100000	VII-R	10	23.04.11	2100000	11	144953
16	55/SE-MZN/09-10 dated 29.03.08	89	31.03.10	20000000	XV-R	16	24.05.11	20000000	13	1631500
17	12/SE-MZN/09-10 dated 30.03.10	3	06.05.10	25000000	VII-R	77	31.03.11	25000000	10	1568750
18	12/SE-MZN/09-10 dated 30.03.10	28	30.12.10	12500000	VII-R	77	31.03.11	12500000	3	235313
19	11/SE-MZN/09-10 dated 30.03.10	4	06.05.10	9800000	V-F	55	28.03.11	9800000	11	676445
20	28/EE/09-10 dated 19.03.10	15	08.06.10	334253	IV-R	29	29.07.10	334253	1	2097
21	6/SE-MZN/10-11 dated 26.05.10	2	07.07.10	1191596	IV-F	4	18.04.11	1191596	9	67295

22	6/SE-MZN/10-11 dated 26.05.10	19	07.07.10	1472431	IV-F	4	18.04.11	1472431	9	83156
23	7/SE-MZN/10-11 dated 26.05.10	16	19.07.10	1158546	IV-F	24	31.05.11	1158546	10	72699
24	7/SE-MZN/10-11 dated 26.05.10	14	04.08.10	949963	IV-F	24	31.05.11	949963	9	53649
25	3/SE-MZN/10-11 dated 26.05.10	6	06.08.10	1298797	III-F	15	04.07.11	1298797	11	89649
26	3/SE-MZN/10-11 dated 26.05.10	6	03.11.10	1425954	III-F	15	04.07.11	1425954	8	71583
27	2/SE-MZN/10-11 dated 26.05.10	7	06.08.10	1472000	II-F	27	30.12.10	1472000	5	46184
28	1/SE-MZN/10-11 dated 26.05.10	18	16.08.10	2004550	II-F	35	12.07.11	2004550	10	125786
29	5/SE-MZN/10-11 dated 26.05.10	24	21.08.10	996383	II-F	11	23.05.11	996383	9	56271
30	13/SE-MZN/10-11 dated 13.09.10	11	23.09.10	18624000	V-R	17	24.05.11	18624000	8	934925
31	13/SE-MZN/10-11 dated 13.09.10	29	03.12.10	4000000	V-R	17	24.05.11	4000000	6	150600
32	1/EE/10-11 dated 21.04.10	6	20.12.10	1231258	IV-R	16	20.06.11	1231258	6	46357
33	19/SE-MZN/10-11 dated 23.12.10	15	04.01.11	4929211	III-R	7	07.06.11	4929211	5	154654
34	19/SE-MZN/10-11 dated 23.12.10	18	24.02.11	985316	III-R	7	07.06.11	985316	3	18549
35	29/SE-MZN/10-11 dated 30.12.10	16	04.01.11	3641640	VI-R	8	07.06.11	3641640	5	114256
36	29/SE-MZN/10-11 dated 30.12.10	46	27.01.11	5032161	VI-R	8	07.06.11	5032161	4	126307
37	29/SE-MZN/10-11 dated 30.12.10	8	15.02.11	4330945	VI-R	8	07.06.11	4330945	3	81530
38	29/SE-MZN/10-11 dated 30.12.10	9	07.03.11	4521069	VII-R	38	15.07.11	4521069	4	113479
39	29/SE-MZN/10-11 dated 30.12.10	80	31.03.11	3566611	VII-R	38	15.07.11	3566611	3	67141
40	27/SE-MZN/10-11 dated 30.12.10	18	06.01.11	2198424	IV-R	1	04.05.11	2198424	4	55180
41	27/SE-MZN/10-11 dated 30.12.10	49	27.01.11	3651400	V-R	32	11.07.11	3651400	5	114563
42	30/SE-MZN/10-11 dated 30.12.10	31	18.01.11	2198424	III-R	8	30.03.11	2198424	2	27590
43	30/SE-MZN/10-11 dated 30.12.10	2	03.03.11	2324442	III-R	8	30.03.11	2324442	0	0
44	28/SE-MZN/10-11 dated 30.12.10	32	18.01.11	3062916	II-R	13	14.06.11	3062916	4	76879
45	31/SE-MZN/10-11 dated 30.12.10	34	19.01.11	1121900	V-R	11	10.06.11	1121900	4	28160
46	31/SE-MZN/10-11 dated 30.12.10	4	02.02.11	4239563	V-R	11	10.06.11	4239563	4	106413
47	31/SE-MZN/10-11 dated 30.12.10	3	03.03.11	5173184	VI-R	39	15.07.11	5173184	4	129847
48	31/SE-MZN/10-11 dated 30.12.10	75	31.03.11	4762664	VI-R	39	15.07.11	4762664	3	89657
49	17/SE-MZN/10-11 dated 23.12.10	43	22.01.11	4650000	V-R	15	24.05.11	4650000	4	116715

50	17/SE-MZN/10-11 dated 23.12.10	38	17.03.11	1521000	V-R	15	24.05.11	1521000	2	19089
51	18/SE-MZN/10-11 dated 30.12.10	52	31.01.11	2058000	III-R	5	18.04.11	2058000	2	25828
52	18/SE-MZN/10-11 dated 30.12.10	20	25.02.11	4086600	III-R	5	18.04.11	4086600	1	25643
53	18/SE-MZN/10-11 dated 30.12.10	24	14.03.11	5444315	III-R	5	18.04.11	5444315	1	34163
54	7/EE/10-11 dated 24.11.10	21	25.02.11	518316	III-R	34	12.07.11	518316	4	13010
EE,CD(B&R) PWD Gorakhpur										
1	32/SE dated 27.10.08	2	12.11.08	3964200	II-R	21	13.03.09	3964200	4	99501
2	36/SE dated 31.10.08	11	17.11.08	1213200	I-F	14	07.12.09	1213200	12	91354
3	36/SE dated 31.10.08	18	16.12.08	1551650	I-F	14	07.12.09	1551650	12	116839
4	36/SE dated 31.10.08	49	28.01.09	1830250	I-F	14	07.12.09	1830250	10	114848
5	37/SE dated 31.10.08	15	19.11.08	3214500	III-R	28	23.12.08	3214500	1	20171
6	37/SE dated 31.10.08	28	23.12.08	2987134	II-R	25	21.02.09	2987134	2	37489
7	34/SE dated 27.10.08	16	19.11.08	745129	I-R	34	19.01.09	745129	2	9351
8	34/SE dated 27.10.08	45	16.12.08	1026704	I-R	34	19.01.09	1026704	1	6443
9	34/SE dated 27.10.08	43	28.01.09	1033533	II-R	28	27.02.09	1033533	1	6485
10	34/SE dated 27.10.08	11	05.02.09	981033	II-R	28	27.02.09	981033	0	0
11	33/SE dated 27.10.08	17	19.11.08	1734604	I-R	20	09.03.09	1734604	3	32654
12	33/SE dated 27.10.08	32	30.12.08	2130068	I-R	20	09.03.09	2130068	2	26732
13	33/SE dated 27.10.08	2	05.02.09	1028384	I-R	20	09.03.09	1028384	1	6453
14	45/SE dated 05.11.08	26	27.11.08	2910900	II-R	24	21.02.09	2910900	3	54798
15	45/SE dated 05.11.08	24	21.02.09	5122132	III-R	12	08.05.09	5122132	2	64283
16	44/SE dated 05.11.08	27	27.11.08	995852	I-R	11	11.02.09	995852	2	12498
17	44/SE dated 05.11.08	37	30.12.08	1744304	I-R	11	11.02.09	1744304	1	10946
18	44/SE dated 05.11.08	12	11.02.09	2027373	III-R	24	22.09.09	2027373	7	89052
19	19/SE dated 11.11.09	11	03.12.09	1721360	IV-F	20	20.02.10	1721360	2	21603
20	19/SE dated 11.11.09	43	22.12.09	1240476	IV-F	20	20.02.10	1240476	2	15568
21	19/SE dated 11.11.09	19	20.02.10	474364	I-R	20	19.02.11	474364	12	35720
22	19/SE dated 11.11.09	19	20.02.10	474364	I-R	20	19.02.11	474364	12	35720

23	34/EE dated 24.10.09	49	20.11.09	268329	I-R	20	08.12.09	268329	1	1684
24	21/EE dated 08.10.09	57	23.11.09	583691	I-R	2	04.01.10	583691	1	3663
25	79/EE dated 07.1109	58	23.11.09	696420	II-R	8	12.07.10	696420	7	30590
26	43/EE dated 13.10.09	59	23.11.09	467873	II-R	61	23.12.09	467873	12	35231
27	74/EE dated 01.11.09	60	23.11.09	376875	II-R	62	31.12.09	376875	12	28379
28	30/EE dated 08.10.09	61	23.11.09	875959	II-R	60	31.12.09	875959	12	65960
29	32/EE dated 08.10.09	66	30.11.09	755055	I-R	37	20.03.10	755055	4	18952
30	68/EE dated 07.11.09	4	03.12.09	696010	II-R	26	24.02.10	696010	3	13102
31	76/EE dated 07.11.09	5	03.12.09	820010	III-R	25	24.02.10	820010	3	15437
32	76/EE dated 07.11.09	45	24.12.09	901487	III-R	25	24.02.10	901487	2	11314
33	67/EE dated 07.11.09	6	03.12.09	656210	III-R	7	12.07.10	656210	7	28824
34	67/EE dated 07.11.09	1	04.01.10	809815	III-R	7	12.07.10	809815	6	30490
35	69/EE dated 07.11.09	7	03.12.09	787500	III-R	22	21.07.10	787500	7	34591
36	69/EE dated 07.11.09	12	11.01.10	355296	III-R	22	21.07.10	355296	6	13377
37	77/EE dated 07.11.09	8	03.12.09	776980	III-R	20	21.07.10	776980	7	34129
38	42/EE dated 13.10.09	15	07.12.09	1016569	II-R	9	08.02.10	1016569	2	12758
39	83/EE dated 13.11.09	16	07.12.09	710890	II-R	12	08.02.10	710890	2	8922
40	91/EE dated 02.12.09	7	08.02.10	235679	II-R	30	20.03.10	235679	1	1479
41	20/EE dated 16.06.10	41	28.06.10	157626	II-R	50	29.11.10	157626	5	4946
42	21/EE dated 16.06.10	43	30.06.10	73778	II-R	14	08.12.10	73778	5	2315
43	25/EE dated 28.06.10	13	15.07.10	187200	II-R	42	26.11.10	187200	5	5873
44	02/SE dated 04.05.10	6	05.02.11	1617319	III-R	71	25.03.11	700000	1	4393
					IV-R	20	14.07.11	917319	5	28781
Total Secured Advance				**941705902**	**Total Interest**					**22320990**
Say ₹ 2.23 crore										

(Source : Paid vouchers of Executive Engineers**)**

Appendix 3.7

Details of bulk milk coolers running capacity of milk (Meerut)

(Reference: Paragraph 3.2.2; page-91)

Sl. No.	Name of BMC Society	Capacity (lpd)	Availability of milk (lpd) (As on March 2011)	Milk chilled (lpd)
1	Alipur morna	2000	944	944
2	Bahadurpur	2000	1620	1620
3	Ferozpur	2000	2326	2000
4	Ganeshpur	2000	3320	2000
5	Jataula	2000	1062	1062
6	Kaul	2000	1878	1878
7	Latifpur	2000	2759	2000
8	M Sikhera	2000	1624	1624
9	Rahawati	2000	1192	1192
10	Tarapur Bagh	2000	1035	1035
11	Tigri	2000	2293	2000
	Total	**22,000**	**20,053**	**17,355**

(Source: DUSS Meerut**)**

Note: In Meerut district 17355 lpd milk was chilled against the availability of 20,053 lpd.

Appendix 3.8

Details of bulk milk coolers not running due to non-availability of milk

(Reference: Paragraph no. 3.2.2; page-91)

Sl. No.	Name of BMC Society	Capacity (lpd)	Availability of milk (lpd) (As on March 2011)	Milk chilled (lpd)
District Bulandshahar				
1	Amargarh	3000	0	0
2	Aurangabad	2000	89	89
3	Bhalai	2000	21	21
4	Charaura	2000	72	72
5	Chingrawati	2000	0	0
6	Chitsaun	2000	0	0
7	Daulatpur Khurd	2000	0	0
8	Dhakauli	2000	297	297
9	Dhakrauli	2000	0	0
10	Ghansurpur	2000	0	0
11	Gulabwati	2000	0	0
12	Jainpur	2000	0	0
13	Lohra	2000	68	68
14	Mahmudpur	2000	0	0
15	Moharsa	2000	61	61
16	Muradpur	2000	0	0
17	Naglalkat	2000	0	0
18	Nayaboss	2000	0	0
19	Saidpur	2000	140	140
20	Sarangpur	2000	317	317
	Total	**41,000**	**1,065**	**1,065**
District Meerut				
21	Jaisingpur	2000	0	0
22	Khatki	2000	0	0
23	Kunheira	2000	0	0
24	Meewa	2000	0	0
	Total	**8,000**	**0**	**0**

(Source: DUSS Meerut & DUSS Bulandshahar**)**

Note: 1,065 lpd milk was available in DUSS Bulandshahar against its capacity of 41,000 lpd (3 *per cent*) and 20,053 lpd was available in DUSS Meerut against its capacity of 30,000 lpd (67*per cent*).

Appendix 3.9

Details of schedule of Rates of Banda and Jhansi circle

(Reference: Paragraph no. 3.2.6; page-95)

Item of work		Rates in ₹ as per				Quantity executed (up to June 2011)	Excess Payment (₹) (col. 6x5)
		Estimate (adopting SoR of Banda Circle)	Agreement	Jhansi Circle	Difference (col.3-4)		
1		2	3	4	5	6	7
1.	Excavation of foundation in all type of strata excluding hard granite rock	225.50	225.00	191.51	33.49	85334.27 m^3	2857845
2.	Excavation of foundation in hard granite	598.00	598.00	516.19	81.81	341338.26 m^3	27924883
3.	De-watering	20.50	20.25	18.15	2.10	982390 HP Hour	2063019
4.	Excavation of cut off trench filter toe drain	163.60	163.50	135.89	27.61	36406.80 m^3	1005192
5.	Earth Work in filling cut off trench with clay soil	216.10	215.00	184.93	30.07	4315.94 m^3	129780
6.	Laying A 40 M 15 Cement Concrete by mechanical mixing	3693.80	3693.00	3576.91	116.09	2413.47 m^3	280181
7.	Laying A 40 M 20 Reinforcement Cement Concrete by mechanical mixing	4426.40	4426.00	4277.36	148.64	2074.996 m^3	308427
8.	Providing and fixing centering & shuttering for RCC work	444.30	444.00	416.10	27.90	4428.74 Sqm	123562
9.	Providing and laying steel for reinforcement including cost of steel	58504.20	58500.00	56679.16	1820.84	62.049 MT	112981
						Total	34805870 Say ₹ 3.48 crore

(Source: Records of EE ICD Mauranipur Jhansi**)**

Appendix 3.10

Details of construction of Jail Buildings

(Reference: Paragraph 3.2.9; page-99)

(₹ in crore)

Name of District/ Capacity of prisoners	Original Sanction		Date of		First Revision		Second Revision		Revised date of completion	Escalation in		Total release of funds			Total Expenditure as of March 2011	Physical progress as of March 2011
	Date	Amt.	Start	Comple-tion	Date	Amt.	Date	Amt.		Time In Months	Cost (%)	Upto original schedule of completion	After original schedule date of completion	Total upto March 2011		
Bagpat/660	May 2003	11.30	April 2004	March 2007	March 2006	17.77	Sept. 2010	20.57	March 2011	48	9.27 (82%)	15.20	5.37	20.57	17.46	89%
Balrampur/ 420	March 2006	15.58	March 2006	Nov. 2008	Sept. 2010	19.20	-	---	March 2011	28	3.62 (23%)	15.58	3.62	19.20	17.86	85%
Kannauj/660	Jan. 2005	17.28	Feb. 2005	March 2008	Dec. 2008	23.87	Feb. 2011	25.57	September 2011	42	8.28 (48%)	17.28	8.29	25.57	22.86	93%
Kaushambi20	March 2003	12.46	May 2003	March 2008	Aug. 2007	16.19	Nov. 2009	18.39	March 2010	24	5.93 (48%)	16.19	2.20	18.39	18.13	86%
Maharajganj/540	May 1998	9.93	May 1998	March 2007	Dec. 2006	21.78	Nov. 2009	24.29	March 2010	36	14.36 (145%)	14.60	9.69	24.29	24.18	95%
Sonbhadra/540	March 2003	11.88	March 2003	March 2007	June 2006	14.20	Oct. 2010	17.64	March 2011	48	5.77 (49%)	14.20	3.44	17.64	15.33	95%
3240		**78.43**								**24-48**	**47.23 (60%)**	**93.05**	**32.61**	**125.66**	**115.83**	

(Source: DG, Jail Administration & Reforms Services, UP, Lucknow**)**

Note: As intimated by Government (November 2011), two Jails (Kannauj and Maharajganj) have since been made functional. So, the expenditure of ₹ 68.79 crore (₹ 115.83 - 47.04 crore) incurred on four jails was rendered unfruitful.

Appendix 3.11

Details of consumption of stone ballast in SRC and SM roads

(Reference: Paragraph no. 3.2.11; page-101)

Sl. No.	Name of Road	WBM-I (45-90mm)				WBM-II (45-63mm)				WBM-III (22.4-53mm)				Total cost (in ₹)	Add 10.01% and 5% above departmental rates	Excess Amount (in ₹)
		Executed Qty in Cum	Excess Qty. @ 0.08 m of executed Qty in Cum	Average Rate per Cum	Amount (in ₹)	Executed Qty in Cum	Excess Qty. @ 0.08 m of executed Qty in Cum	Average Rate per Cum	Amount (in ₹)	Executed Qty in Cum	Excess Qty. @ 0.08 m of executed Qty in Cum	Average Rate per Cum	Amount (in ₹)			
1	**Sandila-Rasoolabad-Chakalvansi Road (SRC) (km 31-46)**	8757.47	700.60	1671.25	1170878	19733	1578.64	1664.19	2627157	16750	1340.00	1900.00	2546000	6344035	635038	**6979073**
2	**Sandila-Rasoolabad-Chakalvansi Road(SRC) (km 47-59)**	4290.00	343.20	1634.31	560895	14719	1177.52	1650.77	1943815	13556	1084.48	1886.00	2045329	4550039	227502	**4777541**
3	**Safipur-Miyaganj Road (SM) (km 0.00-15.35)**	4541.00	363.28	1688.90	613544	13013	1041.04	1702.73	1772610	12602	1008.16	1942.63	1958482	4344636	217232	**4561868**
													Total	**15238710**	**1079772**	**16318482 Say ₹ 1.63 crore**

(Source: EE, CD-I, PWD, Unnao, Bonds and Paid Vouchers**)**

Appendix 3.12

Details of works in which MNREGS Fund Utilised

(Reference: Paragraph no. 3.3.3; page-106)

Sl. No.	Name of work	Year of Payment	Amount (₹)
1	A Gap Bund	08-09	99,701
2	AE-II	08-09	9,69,555
3	B Gap Bund	08-09	2,87,930
4	Ballia Nala	08-09	49,233
5	Bandeiya Bund	08-09	1,62,565
6	Bandeiya Bund	09-10	70,387
7	Belsar Regauli Bund	08-09	17,16,760
8	Jhanwan Kot Bund	08-09	26,115
9	Jhanwan Kot Bund	09-10	2,48,000
10	Laxmipur bund	08-09	6,49,588
11	Link Bund	08-09	4,09,840
12	Link Bund	09-10	1,08,254
13	Laxmipur Aktahwa Yard	08-09	6,64,268
14	N C Bund	08-09	4,27,955
15	Nepal Bund	08-09	22,57,988
16	Nepal Bund	09-10	2,10,8942
17	Other misc. expenditure	08-10	8,59,000
18	Semri Regulator	08-09	19,966
19	Spur No.10A	08-09	1,73,664
20	Terhwa Bund	08-09	1,08,242
21	Z.P. Bund	08-09	12,49,848
22	Z.P. Bund	09-10	88,560
Total			**1,27,56,361 Say ₹ 1.28 crore**

(Source: Records of EE, ID-II, Mahrajganj**)**

Appendix 4.1

List of units selected for performance audit

(Reference: Paragraph no. 4.1.6; page-119)

Sl. No.	Name of Unit	Category
H-category (80 *per cent*)		
1	Director- Horticulture, Lucknow	H
2	Deputy Director Horticulture, Jhansi	H
3	District Horticulture Officer, Kanshiram Nagar	H
4	Deputy Director Horticulture, Meerut	H
5	Joint Director Horticulture, Saharanpur	H
6	Deputy Director Horticulture, Lucknow	H
7	District Horticulture Officer, Bulandsahar	H
8	Deputy Director Horticulture, Allahabad	H
9	District Horticulture Officer, Padrauna (Kushi Nagar)	H
10	Joint Director Horticulture, Basti	H
11	District Horticulture Officer, Siddharth Nagar	H
12	District Horticulture Officer, Muzaffarnagar	H
13	District Horticulture Officer, Bahraich	H
14	Deputy Director Horticulture, Varanasi	H
M-Category (40 *per cent* of 37 units)		
1	District Horticulture Officer, Kaushambi	M
2	Deputy Director Horticulture, Mirzapur	M
3	District Horticulture Officer, Mathura	M
4	District Horticulture Officer, Raebareli	M
5	Deputy Director Horticulture, Moradabad	M
6	Deputy Director Horticulture, Gorakhpur	M
7	District Horticulture Officer, Barabanki	M
8	Deputy Director Horticulture, Azamgarh	M
9	District Horticulture Officer, Sultanpur	M
10	District Horticulture Officer, Fatehpur	M
11	District Horticulture Officer, Mahoba	M
12	District Horticulture Officer, Sonbhadra	M
13	District Horticulture Officer, Lakhimpur Kheri	M
14	District Horticulture Officer, Jaunpur	M
L- category (20 *per cent* of 18 units)		
1	District Horticulture Officer, Sant Kabir Nagar	L
2	Citrus Specialist, Jhansi	L
3	District Horticulture Officer, Ghazipur	L
4	District Horticulture Officer, Bijnor	L
Total number of units- 32		

Appendix 4.2

Details of records not submitted to audit

(Reference: Paragraph no. 4.1.7; page-120)

1. Records related to "Professional Horticultural Development of Intensified Area" scheme,
2. Records related to "Food Preservation & Food Processing" scheme,
3. Records related to "Food Processing and Industrial Development Training "scheme,
4. Records related to production and distribution for the period 2006-08 of "Intensification and Seed Processing Centre" and revenue realized,
5. Tender files, agreements pertaining to supplies of seeds, planting material, pesticides, fertiliser, drip and sprinkler,
6. Records pertaining to utilization of the amount ₹ 42.87 crore against the amount ₹ 51.36 crore provided to other departments by SHM,
7. Records of Budget Section such as Budget estimates, sanction orders, Budget Allotment, Expenditure, Surrender and BM-8 (Xerox copy),
8. Records related to sending of Budget estimates to finance department,
9. Monthly Progress Reports (MPR) of State Sector Schemes,
10. Authenticated copies of MPR of all schemes,
11. Records related to vehicle of Departmental Pool such as log books and vouchers of maintenance expenditure,
12. Inspection reports pertaining internal audit,
13. Records of UPDASP-Horticulture sector,
14. Balance Sheets of Government Farms & Nurseries,
15. Records of license issued to cold storage,
16. SOE and Balance Sheets of Micro-Irrigation scheme pertaining to the period 2006-07, 2009-10, 2010-11,
17. Record pertaining to utilisation of the amount ₹ 52.18 lakh during 2006-07 in Kushinagar district.

Appendix 4.3

Data Base Management of Directorate

(Reference: Paragraph no. 4.1.8.1; page-121)

(Area in hectares and Production in MT)

Mango																
Year	2006-07				2007-08				2008-09				2009-10			
	District		Directorate		District		Directorate		District		Directorate		District		Directorate	
District	Area	Prod.	Area	Prod.	Area	Prod.	Area	Prod.	Area	Prod.	Area	Prod.	Area	Prod.	Area	Prod.
Lakhimpur Kheri	2320	25520	4473	35856	2380	27360	4334	53613	2410	28920	4273	61593	2470	30500	4275	66194
Mathura	380	7505	46	209	436	8633	35	226	491	9820	47	594	570	11685	47	638
Fatehpur	2650	25175	300	4391	2700	27000	289	4152	2800	33600	247	3392	2900	17400	247	3645
Mahoba	490	392	3	25	492	393	2	19	510	357	0	0	595	476	0	0
Kaushambi	90	378	749	10964	100	480	753	10820	180	882	751	10312	235	1163	751	11082
Sant Kabir Nagar	7800	624000	3814	47820	7850	188400	3718	33492	8000	712000	3711	47117	8050	201250	3713	50637
Bulandsahar	11180	176644	14097	136529	11410	181424	14036	142101	12550	202055	14026	209404	13660	229488	14033	225047
Ghazipur	10950	164250	2238	33357	11000	165000	2257	28571	11050	165750	2266	26361	11100	166500	2267	28330
Jaunpur	6445	106987	2316	34520	6540	111180	2262	19855	6644	119260	2265	34714	6945	130775	2266	37307
Sultanpur	6600	49500	13533	106220	6607	49552	13310	116947	6767	50752.5	12378	126148	6870	51525	12384	135572
Moradabad	9120	118740	3748	44601	9274	143715	3963	66047	9575	142200	4062	56176	9775	145300	4064	60372
Allahabad	540	7552	494	7231	620	8804	482	6926	625	8875	458	6289	627	8903	458	6759
Saharanpur	22150	11.50	28112	314348	22650	11	28350	396900	23900	11	28288	324922	24400	11.50	28301	349194
Jhansi	216	1540	11	103	240	1700	9	84	269	1975	2	17	300	2170	2	18
Siddharthnagar	94	918	10147	112835	190	-	2799	25213	135	-	2879	32918	120	-	2880	35377
Muzaffarnagar	3000	60000	7754	86705	5000	120000	7644	107016	5500	132000	7787	89443	7500	180000	7791	96125
Bijnor	13288	66438	4860	69551	13487	67434	5324	75606	13622	68109	5789	98534	13758	68790	5792	105895
Basti	50	600	3199	30160	80	960	3078	27727	100	1200	3288	32908	146	1752	3290	35366
Kanshiram Nagar	-	-	-	-	-	-	-	-	2450	21070	5148	38317	2490	23406	5150	41179
Raebareli	500	750	487	6768	250	NA	387	4203	300	NA	361	5226	100	NA	361	5616
Lucknow	24850	79520	26937	474980	25250	263357	27681	343863	25550	89425	26251	468029	25850	310200	26263	502992
Azamgarh	NA	NA	1249	11686	150	NA	1125	7963	200	NA	1094	10748	150	NA	1095	11551
Total	**122713**	**1516421**	**128567**	**1568859**	**126706**	**1365403**	**121838**	**1471344**	**133628**	**1788262**	**125371**	**1683162**	**138611**	**1581295**	**125430**	**1808896**

Guava																
Lakhimpur Kheri	30	121	30	557	32	128	22	270	31	824	24	293	50	205	25	309
Mathura	1760	19000	45	520	1810	19850	34	468	2005	22005	17	363	2220	25530	18	383
Fatehpur	1250	13750	81	632	1300	14300	83	955	1350	15120	70	1105	1400	15680	72	1166
Mahoba	1275	1048	9	112	1315	1048	3	50	1340	1052	0	0	1390	1315	0	0
Kaushambi	550	4730	519	13439	630	5796	519	19730	695	6950	508	8021	761	7990	523	8466
Sant Kabir Nagar	90	3000	2	9	150	5000	0	0	175	8100	1	5	190	10500	1	5
Bulandsahar	2220	25980	401	3401	2240	26432	407	2774	2320	27566	425	3845	2560	31232	438	4058
Ghazipur	7050	77550	117	2063	7100	78100	115	1152	7150	76650	116	903	7200	79200	120	953
Jaunpur	2090	33440	29	139	2134	35211	26	387	2234	37196	33	398	3234	54745	34	420
Sultanpur	618	5624	16	136	620	5642	21	257	620	5642	18	203	645	5869	19	214
Moradabad	1420	19200	648	12633	1437	15005	586	8069	1610	16400	597	12556	1850	18500	615	13252
Allahabad	1039	13299	138	3232	1149	15856	137	4707	1299	17926	75	1184	1399	19306	77	1250
Saharanpur	3050	18	277	4489	2950	19	290	2160	300	19	293	4129	3400	20	302	4358
Jhansi	5050	45010	30	226	5600	49500	18	137	6235	56115	22	139	6850	62200	23	147
Siddharthnagar	34	810	9	38	15	-	10	114	17	-	10	48	25	-	10	51
Muzaffarnagar	5000	105000	364	5899	6000	156000	386	2875	6000	156000	405	5707	8000	208000	417	6023
Bijnor	4429	27682	84	373	4473	27959	78	1202	4518	28239	68	1334	4563	28521	70	1408
Basti	10	100	41	175	10	100	32	366	10	100	32	154	47	470	33	163
Kanshiram Nagar	-	-	-	-	-	-	-	-	2640	25872	1098	16659	2850	33345	1131	17583
Varanasi	88	NA	75	1585	165	NA	90	1900	200	NA	85	2434	100	NA	88	2569
Raebareli	70	100	15	278	NA	NA	11	140	50	NA	12	147	50	NA	12	155
Lucknow	350	3249	173	2468	380	4180	181	₹1481	400	3912	168	1871	425	3612	173	1975
Azamgarh	NA	NA	28	278	150	NA	28	430	100	NA	39	616	50	NA	40	650
Total	**37473**	**398711**	**3131**	**52682**	**39660**	**460126**	**3077**	**48143**	**41299**	**505688**	**4116**	**62114**	**49259**	**606240**	**4241**	**65558**

Potato																
Lakhimpur Kheri	1705	34100	1247	21499	1710	34200	1258	25393	1705	34100	1325	22879	1710	34200	1811	41879
Mathura	8800	187440	10399	285349	9100	196560	12788	329956	9900	227500	12306	332176	10400	249600	13482	360374
Fatehpur	5000	112500	6248	90633	6000	150000	6829	155367	7000	175000	7316	135170	8000	200000	7625	185882
Mahoba	25	425	134	2953	30	510	216	4800	35	595	109	2239	40	680	109	2710
Kaushambi	1030	257500	3851	56394	1100	275000	3962	46577	1200	300000	3978	61194	1300	325000	4332	88893
Sant Kabir Nagar	2800	616000	1950	42978	2825	624325	1950	43327	2850	641250	1884	38709	2700	594000	1485	36926
Bulandsahar	7519	98947	7105	117538	7590	176080	7306	121696	7610	189505	6968	131493	8605	223460	7090	135291
Ghazipur	11110	222200	7583	192616	11310	226200	9985	165680	11410	228200	7886	108330	11510	230200	8559	195445
Jaunpur	13500	291255	10014	176417	13550	338520	7854	214368	13551	246475	9969	136944	10550	284900	11372	259680
Sultanpur	5550	99900	6720	76971	5560	100080	7053	92754	5560	100080	7154	92151	5570	1000260	7559	147983
Moradabad	10700	341000	11667	334108	11125	316200	11475	284041	11000	275000	11159	236560	13000	295300	8848	216245
Allahabad	5600	112000	11750	239688	6550	131000	11777	230111	8325	166500	11910	178995	11200	224000	12634	220830
Saharanpur	1000	22	542	11946	1020	18	516	11465	1010	23	481	9882	1100	23	602	14969
Jhansi	550	10450	421	9279	560	10920	322	7154	585	11407	438	8999	600	11700	361	8976
Siddharthnagar	NA	NA	2494	54968	NA	NA	2127	47260	NA	NA	1792	36818	NA	NA	1941	48265
Muzaffar Nagar	2500	78450	2317	51066	3350	87280	2019	44860	3050	92375	1996	41010	3125	80892	2507	62339
Bijnor	930	98	904	22974	950	104	734	16907	970	116.4	757	15810	1400	196	696	16299
Barabanki	10560	190000	11656	133508	13395	368000	13873	182444	13115	206000	14406	185564	12896	370000	15212	297805
Basti	NA	NA	2737	60323	NA	NA	2411	53570	NA	NA	2390	49105	5.25	105	2457	61096
Gorakhpur	5810	131900	4384	80797	6015	132240	4441	98675	5900	85500	4314	50426	5200	140400	4638	115328
Kanshiram Nagar	-	-	-	-	-	-	-	-	3950	75040	3873	103084	4590	93177	4236	120599
Raebareli	10	79	5484	85243	5	106	5826	78185	9	202	5346	83558	8	185	5370	81425
Lucknow	6100	109800	4797	78580	6500	213500	5076	109307	6200	124000	4637	81217	7000	119000	4811	93054
Azamgarh	6425	116500	4966	119547	6450	146200	5441	107563	6450	116100	5094	100296	5850	157950	5386	130282
Sonbhadra	950	17100	769	16949	975	17700	771	17131	980	17600	763	15676	990	17800	825	20514
Total	**108174**	**3027666**	**120139**	**2362324**	**115670**	**3544743**	**126010**	**2488591**	**122365**	**3312568**	**128251**	**2258285**	**127349**	**4653028**	**133948**	**2963089**

Lakhimpur Kheri	3623	61591	29	1170	4210	46315	40	1619	5394	99324	55	2227	5521	99378	59	2405
Tomato																
Mathura	2275	39494	321	12956	2500	57550	52	2088	2535	60739	31	1245	3635	85423	33	1326
Fatehpur	1600	57600	36	1498	1700	59500	38	1583	1800	68400	36	1500	1900	74100	39	160
Mahoba	1530	2142	2	83	1550	2170	NA	NA	1610	2254	19	805	1760	2464	21	890
Kaushambi	1375	268125	20	830	1400	273000	54	2321	1427	278965	58	2493	1440	280800	63	2692
Sant Kabir Nagar	1000	280000	15	373	1000	280000	7	190	1000	280000	NA	NA	1000	280000	NA	NA
Bulandsahar	7690	199940	185	7763	7750	201500	116	4765	7840	211680	415	17069	8400	235200	448	18435
Ghazipur	3150	119700	27	879	3200	128000	22	715	3300	132000	56	1811	3400	136000	60	1941
Jaunpur	NA	NA	34	1095	NA	NA	52	1675	NA	NA	55	1779	NA	NA	59	1921
Sultanpur	1355	30487	49	1934	1370	30825	51	2145	1397	31432	48	2020	1397	31433	52	2190
Moradabad	1375	23375	28	797	1400	23802	19	715	1455	25762	22	828	1620	29160	24	904
Allahabad	NA	NA	107	3024	NA	NA	102	2357	NA	NA	68	1575	NA	NA	73	1701
Saharanpur	250	22	19	778	310	22	17	696	265	22	16	655	259	22	17	697
Jhansi	3900	93600	7	281	3950	94800	5	201	3992	97804	14	563	4150	102090	15	608
Siddharth Nagar	NA	NA	-	-	NA	NA	15	409	NA	NA	-	-	NA	NA	-	-
Muzaffar Nagar	580	8700	15	423	900	45000	30	970	1200	60000	25	809	1400	70000	27	875
Kanshiram Nagar	-	-	-	-	-	-	-	-	1050	21525	94	3396	1250	27125	102	3688
Lucknow	310	889200	102	4046	400	104000	285	11290	530	159000	210	8320	550	170500	227	8986
Sonbhadra	1150	28700	2	59	1200	30500	135	4021	1210	33880	93	2770	1220	34200	100	2978
Total	**31163**	**2102676**	**998**	**37989**	**32840**	**1376984**	**1040**	**37760**	**36005**	**1562787**	**1315**	**49865**	**38902**	**1657895**	**1419**	**52397**

(**Source:** Directorate & DHOs records)

Appendix 4.4

Details of purchase of Garlic seeds

(Reference: Paragraph no. 4.1.9.1; page-127,128)

Sl. No.	Year	Name of the office	Name of the agency purchased from	Quantity purchased (kg)	Rate per kg	Amount paid (₹ in lakh)	Excess amount paid (₹ in lakh)
1	2008-09	DHO, Siddharthnagar	NAFED	5350	105	5.62	2.94
2		DHO, Varanasi	NAFED	2900	105	3.05	1.60
3		DHO, Barabanki	Biotech Corporation, Lucknow	9000	125	11.25	6.75
4		DHO, Raebareli	Biotech Corporation, Lucknow	11250	125	14.06	8.44
5		DHO, Mirzapur	UP Seeds Corporation Ltd., Lucknow	9450	95	8.98	4.25
6		DHO, Allahabad	NAFED	32142	105	33.75	17.68
7		DHO, Ghazipur	NAFED	25000	105	26.25	13.75
8		DHO, Jhansi	Natural seeds, Jhansi	8000	69.40	5.55	1.55
9		DHO, Kushinagar	NAFED	10700	105	11.24	5.89
10		DHO, Sultanpur	UP Khadi Board	21090	80	16.87	6.33
11		DHO, Jaunpur	NAFED	8560	105	8.99	4.71
12		DHO, Meerut	NHRDF	11120	50	5.56	-
13		DHO, Muzaffarnagar	NAFED	5356	105	5.62	2.94
14		DHO, Sonbhadra	UP Khadi Board	14000	80	11.20	4.20
			Total	**173918**		**167.99**	**81.03**
1	2009-10	DHO, Barabanki	NAFED	4280	105	4.49	2.35
2		DHO, Raebareli	Biotech Corporation, Lucknow	8650	65	5.62	1.30
3		DHO, Mirzapur	Biotech Corporation, Lucknow	4325	65	2.81	0.65
4		DHO, Allahabad	NAFED	3600	125	4.50	2.70
5		DHO, Ghazipur	Biotech Corporation, Lucknow	5865	65	3.81	0.88
6		DHO, Mathura	Biotech Corporation, Lucknow	6900	65	4.49	1.04
7		DHO, Bulandsahar	Horticulture Production Society	2675	105	2.81	1.47
			Government Horticulture farm, Zahidpur	2054	65	1.34	0.31
8		DHO, Jhansi	Horticulture Production Society	5625	120	6.75	3.94
9		DHO, Kushinagar	Biotech Corporation, Lucknow	4325	65	2.81	0.65
10		DHO, Siddharth Nagar	Biotech Corporation, Lucknow	4325	65	2.81	0.65
11		DHO, Sultanpur	UPPCF	6000	75	4.50	1.50
12		DHO, Jaunpur	NAFED	2675	105	2.81	1.47
13		DHO, Saharanpur	Biotech Corporation, Lucknow	8550	65	5.56	1.28

14		DHO, Moradabad	Cooperative Society, Kanpur	8789	64	5.62	1.23
15		DHO, Mahoba	NAFED	5350	105	5.62	2.94
16		DHO, Sant Kabir Nagar	HP Agro, Kanpur	4326	65	2.81	0.65
17		DHO, Muzaffarnagar	Indian National Cooperative Society, Kanpur	5250	64	3.36	0.74
18		DHO, Meerut	Himachal Agro	3400	65	2.21	0.51
19		DHO, Sonbhadra	Biotech Corporation, Lucknow	3460	65	2.25	0.52
Total				**100424**		**76.98**	**26.78**
1	**2010-11**	DHO, Varanasi	NHRDF, Nasik	6885	120	8.26	2.06
2		DHO, Barabanki	NHRDF	1916	120	2.30	0.58
3		DHO, Gorakhpur	NHRDF	1900	120	2.28	0.57
4		DHO, Raebareli	NHRDF	1920	120	2.30	0.57
5		DHO, Mirzapur	NHRDF	1040	120	1.25	0.31
6		DHO, Allahabad	NHRDF	2395	120	2.87	0.71
7		DHO, Ghazipur	NHRDF	1885	120	2.26	0.56
8		DHO, Kushinagar	NHRDF	1040	120	1.25	0.31
9		DHO, Siddharthnagar	NHRDF	2083	120	2.50	0.63
10		DHO, Sultanpur	NHRDF	1916	120	2.30	0.58
11		DHO, Jaunpur	NHRDF	3000	120	3.60	0.90
12		DHO, Sant Kabirnagar	NHRDF	2000	120	2.40	0.60
13		DHO, Meerut	NHRDF	2000	120	2.40	0.60
14		DHO, Muzaffarnagar	NHRDF	1041	120	1.25	0.31
15		DHO, Sonbhadra	NHRDF	1040	120	1.25	0.31
Total				**32061**		**38.47**	**9.60**
Grand Total				**306403**		**283.43**	**117.41 Say ₹ 1.17 crore**

(**Source:** DHOs records)

Appendix 4.5

Details of parking of funds

(Reference: Paragraph no. 4.1.9.1; page-128)

(₹ in crore)

Sl. No.	Name of the scheme	Amount deposited into PLA	Amount deposited in to revenue Head-0401
1	Establishment of Herbal Garden	0.06	-
2	Professional Horticultural Development in Intensified Areas	15.19	5.88
3	Aaam Phalpatti Yojna	0.34	0.34
4	Protection of Fruit Garden	3.83	-
5	Modernisation of Government Nurseries	3.02	-
6	District Plan	0.03	0.01
7	Strengthening of Plant Quarantine Facilities	0.07	-
8	State Horticulture Mission	9.94	7.21
9	Horticulture Crop Insurance	2.00	2.00
10	Horticulture Data Base Management	6.22	6.22
11	Manyavar Kanshi Ram SmarakYojna	2.00	2.00
12	Food Processing Industrial Development Training	0.55	-
13	Food Science Industrial Development Training	0.05	0.05
14	Intensification of Horticultural Produces	0.11	-
15	Scheme of Study Survey Scheme	0.05	0.05
16	Food Production Sale Centre	0.13	0.13
17	Quality Control and Hygiene related Awareness Training	0.01	0.01
	Total	**43.60**	**23.90**

(**Source:** Directorate records)

Appendix 4.6

District wise details of amount withdrawn from treasury and parked in Bank/PLA

(Reference: Paragraph no. 4.1.9.1; page-129)

Sl. No.	Name of District	Year	Name of the Scheme	Amount parked (₹ in lakh)	
				Bank	PLA
1	DHO, Muzaffarnagar	2007-08	SHM	8.82	-
		2008-09	SHM	42.88	-
		2009-10	SHM	21.04	-
2	Dy. Director, Meerut	2007-08	SHM	59.11	-
3	DHO, Moradabad	2008-09	SHM	17.65	-
4	CHS, Horticultural Research and Training Centre, Allahabad	2010-11	SHM	9.00	-
5	DHO, Sonbhadra	2006-11	Various schemes	112.82	-
6	DD, Gorakhpur	2007-08	SHM		5.36
7	DHO, Lakhimpur Kheri	2009-10	Professional Horticulture Development in Intensified Area	16.94	-
8	DHO, Firozabad	2006-07	-do-		63.09
9	Districts Level	2006-09	Micro-Irrigation	36.38	-
10	DHO, Agra	2007-08	SHM	18.17	-
11	DHO, Ballia	2007-08	SHM	20.53	-
12	DHO, Bareilly	2007-08	SHM	8.82	-
13	DHO, Bulandsahar	2007-08	SHM	5.90	-
14	DHO, Etawah	2007-08	SHM	8.25	-
15	DHO, Ghazipur	2007-08	SHM	18.91	-
16	DHO, Hathras	2007-08	SHM	4.45	-
17	DHO, Jhansi	2007-08	SHM	8.11	-
18	DHO, Kannauj	2007-08	SHM	7.31	-
19	DHO, Kanpur Nagar	2007-08	SHM	17.65	-
20	DHO, Mathura	2007-08	SHM	13.14	-
21	DHO, Siddharth Nagar	2007-08	SHM	7.57	-
			Total	**463.45 Say ₹ 4.63 crore**	**68.45 Say ₹ 0.68 crore**

(**Source:** DHOs records)

Appendix 4.7

Details of non -preparation of Bank Reconciliation Statement by the districts

(Reference: Paragraph no. 4.1.9.1; page-129)

(₹ in Lakh)

Sl. No.	Name of the District	Date of Balance	Cash book balance	Pass book balance	Difference
1	Varanasi	31.03.07	111.64	117.98	6.34
		31.03.08	116.03	151.61	35.58
		31.03.09	0.30	27.47	27.17
		31.03.10	12.40	59.63	47.23
		31.03.11	18.66	48.02	29.36
2	Basti	31.03.08	223.56	228.13	4.57
		31.03.09	55.08	94.09	39.01
		31.03.10	58.70	84.61	25.91
		31.03.11	16.81	65.90	49.09
3	Meerut	31.03.07	77.51	138.92	61.41
		31.03.08	183.07	183.90	0.83
		31.03.09	5.80	35.36	29.56
		31.03.10	0.49	19.83	19.34
4	Raebareli	31.03.07	42.30	38.18	4.12
		31.03.08	132.44	138.48	6.04
		31.03.09	26.49	80.05	53.56
		31.03.10	43.44	50.89	7.45
		31.03.11	3.79	30.74	26.95
5	Lucknow	31.03.07	150.99	155.08	4.09
		31.03.08 BOI	22.73	22.86	0.13
		31.03.08 SBI	51.12	138.09	86.97
		31.03.09	38.93	79.42	40.49
		31.03.10	34.10	81.76	47.66
		31.03.11	8.14	63.79	55.65
6	Muzaffarnagar	31.03.08	30.80	84.17	53.37
		31.03.09	14.26	113.34	99.08
		31.03.10	32.97	110.26	77.29
		31.03.11	13.30	88.15	74.85
7	Barabanki	31.03.08	45.09	72.25	27.16
		31.03.09	Nil	73.88	73.88
		31.03.10	55.46	93.22	37.76
		31.03.11	45.08	72.94	27.86
8	Gorakhpur	31.03.08	24.34	32.94	8.60
		31.03.09	5.14	47.60	42.46
		31.03.10	6.44	15.86	9.42
		31.03.11	38.73	59.56	20.83
9	Mahoba	31.03.10	50.56	42.04	8.52
		31.03.11	78.67	17.00	61.67
10	Kaushambi	31.03.07	21.66	25.69	4.03

		31.03.08	17.36	67.67	50.31
11	Ghazipur	31.03.07	51.35	54.79	3.44
		31.03.08	169.74	187.31	17.57
		31.03.09	58.85	60.67	1.82
		31.03.10	20.42	40.64	20.22
		31.03.11	26.20	48.80	22.60
12	Sultanpur	31.03.08	32.25	94.06	61.81
		31.03.09	48.40	76.61	28.21
		31.03.10	32.65	72.06	39.41
		31.03.11	38.63	50.39	11.76
13	Jaunpur	31.03.07)	57.94	61.38	3.44
		31.03.08	59.57	84.07	24.50
		31.03.09	20.59	44.92	24.33
		31.03.10	12.32	25.74	13.42
		31.03.11	20.72	39.42	18.70
14	Kushinagar	31.03.07	73.75	71.23	-2.52
		31.03.08	66.97	66.76	-0.21
		31.03.09	33.10	40.11	7.01
		31.03.10	3.64	73.60	69.96
		31.03.11	23.47	51.01	27.54
15	Jhansi	31.03.08	32.20	92.68	60.48
		31.03.09	11.15	111.67	100.52
		31.03.10	6.90	298.32	291.42
		31.03.11	5.23	139.58	134.35
16	Mathura	31.03.08	66.73	156.69	89.96
		31.03.09	4.78	15.37	10.59
		31.03.11	28.01	55.79	27.78
17	Saharanpur	31.03.07	39.59	398.94	359.35
		31.03.08	41.14	167.29	126.15
		31.03.09	28.35	63.53	35.18
		31.03.10	21.12	57.24	36.12
		31.03.11	4.07	86.99	82.92
18	Moradabad	31.03.08	23.29	32.91	9.62
		31.03.09	1.46	3.15	1.69
		31.03.10	4.03	22.51	18.48
		31.03.11	13.34	54.90	41.56
19	Bulandsahar	31.03.08	62.03	102.09	40.06
		31.03.09	0.06	17.87	17.81
		31.03.11	0.04	27.36	27.32

(**Source:** DHOs records)

Appendix 4.8

Details of GPF advance not deducted in Ledger and pass book of the employees

(Reference: Paragraph no. 4.1.9.1; page-130)

Sl. No.	Name of the district unit	Period	No. of employees	Amount of advance (₹ In lakh)
1	Chief Horticultural Specialist, Allahabad	2005-06	1	1.00
		2009-10	1	0.32
		2010-11	10	4.44
2	DHO, Mirzapur	2006-07	1	1.20
3	DHO, Jaunpur	2008-09	1	0.60
4	DHO, Azamgarh	2010-11	3	2.75
5	DHO, Kushinagar	2007-08	4	2.60
		2009-10	5	3.83
		2010-11	4	3.19
		Total	**30**	**19.93**

(**Source:** DHOs records)

Appendix 4.9

Details of ledger and GPF pass book not furnished to audit

(Reference: Paragraph no. 4.1.9.1; page-130)

Sl. No.	Name of the district unit	Year	No. of employees	Amount of advance (₹ in lakh)
1	Dy. Director, Mirzapur	2006-07	1	0.80
		2007-08	1	0.23
		2008-09	2	1.20
		2009-10	2	0.73
		2010-11	1	0.40
2	DHO, Jaunpur	2006-07	2	2.75
3	DHO, Lakhimpur Kheri	2007-08	2	1.60
4	DHO, Siddharthnagar	2007-08	1	0.26
		2008-09	3	10.20
		2009-10	2	2.30
		2010-11	1	1.00
5	Principal Government Food Science Training Centre Jhansi	2006-07	4	2.20
		2007-08	1	0.40
		2008-09	6	6.09
		2009-10	5	3.87
6	DHO, Moradabad	2006-07	9	3.49
		2007-08	7	2.65
		2008-09	4	3.58
		2009-10	6	4.25
		2010-11	3	1.41
7	Dy. Director, Moradabad	2006-07	2	2.09
8	DHO, Saharanpur	2006-07	4	1.83
		2007-08	4	8.54
		2008-09	2	0.45
		2009-10	4	6.48
		2010-11	2	1.90
		Total	**81**	**70.70**

(**Source:** DHOs records)

Appendix 4.10

Details of districts covered under State Horticulture Mission

(Reference: Paragraph no. 4.1.10.1; page-130)

SL. No.	Name of the District	SL. No.	Name of the District
1	Agra	24	Mainpuri
2	Allahabad	25	Mathura
3	Ballia	26	Meerut
4	Banda	27	Mirzapur
5	Barabanki	28	Moradabad
6	Bareilly	29	Muzaffarnagar
7	Basti	30	Pratapgarh
8	Bulandsahar	31	Raebareli
9	Etawah	32	Saharanpur
10	Faizabad	33	Siddharth Nagar
11	Farukhabad	34	Sitapur
12	Ghaziabad	35	Sonbhadra
13	Ghazipur	36	Sant Kabir Nagar
14	Gorakhpur	37	Sant Ravidas Nagar
15	Hathras	38	Sultanpur
16	Jaunpur	39	Unnao
17	Jhansi	40	Varanasi
18	Kannauj	41	Jalaun
19	Kanpur Nagar	42	Chitrakoot
20	Kaushambi	43	Lalitpur
21	Kushinagar	44	Hamirpur
22	Lucknow	45	Mahoba
23	Maharajganj		

(**Source:** SHM Guidelines)

Appendix 4.11

Details of State Horticulture Mission Funds released to the other departments

(Reference: Paragraph no. 4.1.10.1; page-132)

(₹ in lakh)

Sl. No.	Name of the agency	Year					
		2006-07	2007-08	2008-09	2009-10	2010-11	Total
1	Bhoomi Sudhar Nigam	-	146.76	25.90	-	-	172.66
2	Bioved Research, Allahabad	-	9.18	-	-	-	9.18
3	CPRI, Modipuram, Meerut	-	10.81	-	-	-	10.81
4	FFDC, Kannauj	-	9.18	-	-	8.82	18.00
5	IIVR, Varanasi	-	9.18	-	-	-	9.18
6	Mandi Parishad	-	525.92	-	741.62	371.88	1639.42
7	NAFED	186.33	1381.67	308.00	-	-	1876.00
8	UPCAR	204.66	872.03	194.76	-	-	1271.45
9	UP Seed Corporation, Lucknow	-	51.00	9.00	-	-	60.00
10	National Fertilisers Ltd., Barabanki	-	-	-	-	10.00	10.00
11	ND University of Agriculture, Faizabad	-	-	-	30.50	9.00	39.50
12	SPBV University of Agriculture, Meerut	-	-	-	10.00	-	10.00
13.	CSAUA&T, Kanpur	-	-	-	10.00	-	10.00
Total		**390.99**	**3015.73**	**537.66**	**792.12**	**399.70**	**5136.20 Say ₹ 51.36 crore**

(Source: Directorate records)

Appendix 4.12

Details of non-adoption of norms of financial assistance (Major Fruit Crops)

(Reference: Paragraph no. 4.1.10.1; page-133)

(Area in hectare and amount ₹ in lakh)

Component		2006-07	2007-08	2008-09	2009-10	2010-11	Total
Plantation	Area	3001.75	8127.49	8829.50	8769.90	5802.00	**34530.64**
	Assistance as per norms @ ₹11250/ha	337.70	914.34	993.32	986.61	584.17	**3816.14**
	Assistance given	266.36	1122.45	916.78	882.19	548.70	**3736.48**
	Excess (+) /Less (-) assistance given	(-) 71.34	(+) 208.11	(-) 76.54	(-)104.42	(-) 35.47	
Maintenance (1st year)	Area	780	5490.50	3422.25	6532.94	6417.00	**22642.69**
	Assistance as per norms @₹4500/ha	35.10	247.07	154.00	293.98	288.77	**1018.92**
	Assistance given	34.58	206.03	166.32	280.64	263.82	**951.39**
	Excess (+) /Less (-) assistance given	(-) 0.52	(-) 41.04	(+) 12.32	(-) 13.34	(-) 24.95	
Maintenance (2nd year)	Area	-	853.00	4634.60	4716.55	5687.00	**15891.15**
	Assistance as per norms @ ₹6750/ha	-	57.58	312.84	318.37	383.87	**1072.66**
	Assistance given	-	57.57	258.24	257.99	314.23	**888.03**
	Excess (+) /Less (-) assistance given	-	(-) 0.01	(-) 54.60	(-) 60.38	(-) 69.64	

(**Source:** Directorate records)

Appendix 4.13

Details of non-adoption of norms of financial assistance (Perennial Fruit Crops)

(Reference: Paragraph no. 4.1.10.1; page-134)

(Area in hectare and Amount ₹ in lakh)

Component		2006-07	2007-08	2008-09	2009-10	2010-11	Total
Plantation	Area	2147.10	4355.38	5615.25	5451.15	2969.00	**20537.88**
	Assistance as per norms @ ₹11250/ha	241.55	489.98	631.72	613.25	301.03	**2277.53**
	Assistance given	189.05	413.45	565.40	546.72	278.49	**1993.11**
	Excess (+) /Less (-) assistance given	(-) 52.50	(-) 76.53	(-) 66.32	(-) 66.53	(-) 22.54	
Maintenance (1st year)	Area	501.00	3788.39	2476.40	4375.10	4172.62	**15313.51**
	Assistance as per norms @₹4500/ha	22.54	170.48	111.44	196.88	187.77	**689.11**
	Assistance given	22.03	168.25	106.40	187.22	173.71	**657.61**
	Excess (+) /Less (-) assistance given	(-) 0.51	(-) 2.23	(-) 5.04	(-) 9.66	(-) 14.06	
Maintenance (2nd year)	Area	-	1051.00	3287.00	2976.05	4006.70	**11320.75**
	Assistance as per norms @ ₹6750/ha	-	70.94	221.87	200.88	270.45	**764.14**
	Assistance given		49.03	179.39	168.26	230.02	**626.70**
	Excess (+) /Less (-) assistance given		(-) 21.91	(-) 42.48	(-) 32.62	(-) 40.43	

(**Source:** DHOs records)

Appendix 4.14

Post Harvest Management under State Horticulture Mission

(Reference: Paragraph no. 4.1.10.1; page-135)

Sl. No.	Item	Directorate		Test-checked district	
		Physical Target(Number)	Physical Achievement (%)	Physical Target(Number)	Physical Achievement (%)
1	Pack House	381	143 (38)	164	28(17)
2	Cold storage	200	168 (84)	59	5(8)
3	Pre cooling unit	2	0	0	0
4	Mobile Pre cooling unit	8	0	3	0
5	Refer van	28	0	12	0
6	Mobile processing unit	67	1(1)	32	1(3)
7	Ripening chamber	5	2(40)	1	0
8	Low energy cool chamber	41	1 (2)	17	1(6)
9(a)	Preservation of new unit	85	7 (8)	38	3 (8)
(b)	Upgrading of old unit	55	5 (9)	21	4(19)
10	Functional infrastructure	149	24 (16)	54	4 (7)
11	Turmeric curing unit	52	19 (37)	35	11 (31)
12	Distillation unit	248	19 (8)	127	14 (11)
13	Rural market	80	1 (1)	33	0
14	Static/mobile wending cart platform with cool chamber	258	8 (3)	80	5(6)
15	Whole sale market	2	1 (50)	0	0
16	CA storage	2	0	0	0
17	Market for flower	2	0	0	0
18	Quality awareness	127	3 (2)	0	0
19	Garlic storage	8	2 (25)	0	0
20	Onion storage	1051	158 (15)	529	32(6)

(**Source:** Directorate &DHOs records)

Appendix 4.15

Purchases of low tunnel poly house under Rashtriya Krishi Vikas Yojana

(Reference: Paragraph no. 4.1.10.2; page-138)

Sl. No.	Name of the office	Quantity of low tunnel Rate	Rate	Expenditure incurred (₹ in lakh)
1	DHO, Meerut	1400	996.6	13.95
2	DHO, Muzaffarnagar	540	1000	5.40
		770	998	7.68
3	DHO,Azamgarh	1250	970	12.12
4	DHO,Basti	1300	1000	13.00
5	DHO,Baharich	1470	1000	14.70
6	**DHO,Varanasi**	**1350**	**652**	**8.80**
7	DHO,Kaushambi	1250	1000	12.50
8	DHO,Gorakhpur	1350	925	12.49
9	DHO,Bijnor	1050	1000	10.50
10	DHO,Mahoba	950	1000	9.50
11	DHO,Lucknow	1250	985	12.31
12	DHO,Kanshiram Nagar	500	998	4.99
13	DHO,Raebareli	1200	985	11.82
14	DHO,Ghazipur	1250	970	12.12
15	DHO,Bulandsahar	1245	998	12.43
16	DHO,Lakhimpur Kheri	1103	985	10.86
17	DHO,Jhansi	450	1000	4.50
		600	998	5.99
18	DHO,Kushinagar	450	925	4.16
		700	1000	7.00
19	DHO,Siddharthnagar	1050	925	9.71
20	DHO,Fatehpur	1200	1000	12.00
21	DHO,Saharanpur	1350	998	13.47
22	DHO,Moradabad	1350	1000	13.50
23	DHO,Sant Kabir Nagar	1050	1000	10.50
24	DHO,Mathura	1300	1000	13.00
25	DHO,Mirzapur	1100	970	10.67
26	DHO,Sonbhadra	800	970	7.76
27	DHO,Jaunpur	1350	1000	13.50
28	DHO,Sultanpur	1150	1000	11.50
29	DHO, Allahabad	1250	1000	12.50
	Total	**34378**		**334.93 Say ₹ 3.35 crore**

(**Source:** DHOs records)

Appendix 4.16

Details of incomplete works under Rashtriya Krishi Vikas Yojana

(Reference: Paragraph no. 4.1.10.2; page-139)

Sl. No.	Name of the office	Name of work	Name of the implementing agency	Period of providing funds	Amount of funds provided to the agency (₹ in lakh)	Remarks
1	DHO, Gorakhpur	Deep boring in Government garden	Executive Engineer, Minor Irrigation Division, Gorakhpur	March 2010	3.60	Non-commencement of work
2	DHO, Mahoba	Construction of pond, gul and boundary wall in park	Uttar Pradesh Processing & Construction Cooperative Federation, Hamirpur (PACCFED)	April-June 2010	33.36	Work was still incomplete
3	DHO, Barabanki	Construction of gul and barbed fencing in Government farm	Executive Engineer, Rural Engineering Service, Barabanki	December 2009	27.44	Work was still incomplete
		Repairing of gul, sale centre, godown and barbed fencing in Government nursery	PACCFED	March 2010 and December 2010	9.58	Not handed over by the implementing agency
4	DHO, Jhansi	Beautification and other works in Government garden	Rural Engineering Service, Jhansi	October-2009 March 2010	58.06	Not handed over by the implementing agency
5	DHO, Sonbhadra	Construction of Tubewell/borewell in nursery and farm	Rural Engineering Services, Sonbhadra	February-December 2010	4.78	Not yet constructed
6	DHO, Bijnor	Installation of submersible pump and barbed fencing in Government nursery	UP Small Scale Industries Corporation, Allahabad	March 2009	6.50	Not handed over by the implementing agency
		Construction of gul in Government nursery	DRDA, Bijnor	March 2009	3.00	Not handed over by the implementing agency
7	DHO, Fatehpur	Construction of gul in Government garden	Rural Engineering Services, Fatehpur	2009-10	4.87	Not handed over by the implementing agency
8	Chief Horticultural Specialist, Allahabad	Construction of Tubewell in nursery	PACCFED Lucknow	May-August 2010	13.22	Work was still incomplete
9	DHO, Bahraich	Barbed fencing in Government farm	Uttar Pradesh Project Corporation Ltd., Bahraich	December 2009	42.02	Work was still incomplete
				Total	**206.43 Say ₹ 2.06 crore**	

(**Source:** DHOs records)

Appendix 4.17

Details of implementation of National Mission on Medicinal Plants in districts

(Reference: Paragraph no. 4.1.10.4; page-143)

Sl. No.	Name of the District	Sl. No.	Name of the District
1	Agra	22	Jhansi
2	Aligarh	23	Kannauj
3	Allahabad	24	Kanpur Dehat
4	Ambedkar Nagar	25	Kanshiram Nagar
5	Balrampur	26	Kaushambi
6	Badayun	27	Lalitpur
7	Banda	28	Mahamaya Nagar
8	Barabanki	29	Mahoba
9	Bareilly	30	Mathura
10	Bijnor	31	Meerut
11	Bulandsahar	32	Mirzapur
12	Chandauli	33	Moradabad
13	Chitrakoot	34	Muzaffarnagar
14	Etawah	35	Pratapgarh
15	Etah	36	Saharanpur
16	Faizabad	37	Shahjahanpur
17	Fatehpur	38	Shrawasti
18	Ghazipur	39	Sitapur
19	Hamirpur	40	Sonbhadra
20	Jaunpur	41	Varanasi
21	Jalaun		

(**Source:** NMMP Guidelines)

Appendix 4.18

Details of establishment of new gardens under in Professional Horticultural Development of Intensified Area scheme

(Reference: Paragraph no. 4.1.10.6; page-148)

(Area in Hectare and Amount ₹ in lakh)

Sl. No.	District	Year	Plantation Year		1st year Maintenance		2nd year Maintenance	
			Area	Amount	Area	Amount	Area	Amount
1	Kanshiram Nagar	2009-10	100.00	10.71	0.00	0.00	-	-
2	Bahraich	2009-10	300.00	33.75	0.00	0.00	-	-
3	Bijnor	2009-10	200.00	22.50	0.00	0.00	-	-
4	Azamgarh	2009-10	200.00	22.50	0.00	0.00	-	-
5	Lakhimpur Kheri	2007-08	40.00	4.50	40.00	1.80	0.00	0.00
		2008-09	130.00	14.62	0.00	0.00	0.00	0.00
		2009-10	130.00	14.63	0.00	0.00	-	-
6	Fatehpur	2007-08	300.00	33.75	120.00	5.40	0.00	0.00
		2008-09	250.00	28.13	0.00	0.00	0.00	0.00
		2009-10	220.00	24.75	0.00	0.00	-	-
		Total	**1870.00**	**209.84**	**160.00**	**7.20**	**0.00**	**0.00**

(**Source:** DHOs records)