

A. General Data			
Sl.No.	Particulars		Figures
1	Area		2,40,928 sq. km.
2	Population		
	a.	As per 2001 Census.	16.62 crore
	b.	2010-11	19.96 crore
3	a.	Density of Population (as per 2001 Census) (All India Density = 325 persons per sq. Km)	690 person per sq. km.
	b.	Density of Population (as per 2011 Census) (All India Density = 382 persons per sq. Km)	828 person per sq. km.
4	Population below poverty line (BPL) (All India Average = 27.5 per cent)		32.8 per cent
5	a.	Literacy (as per 2001 Census) (All India Average = 64.8 per cent)	56.27 per cent
	b.	Literacy (as per 2011 Census) (All India Average = 74.04 per cent)	69.72 per cent
6	Infant mortality (per 1000 live births) (All India Average = 50 per 1000 live births)		63
7	Life Expectancy at birth (All India Average = 63.5 years)		60 years
8	Gini Coefficient ¹		
	a.	Rural. (All India = 0.30)	0.29
	b.	Urban. (All India = 0.37)	0.37
9	Gross State Domestic Product (GSDP) 2010-11 at current prices		₹ 5,88,467 crore
10	Per capita GSDP CAGR (2001-02 to 2010-11)	Uttar Pradesh	9.92 per cent
		General Category States	11.32 per cent
11	GSDP CAGR (2001-02 to 2010-11)	Uttar Pradesh	13.35 per cent
		General Category States	14.68 per cent
12	Population Growth (2001 to 2011)	Uttar Pradesh	20.09 per cent
		General Category States	17.56 per cent

A. Financial Data				
Sl. No.	Particulars		Figures (in per cent)	
13	CAGR		2001-02 to 2009-10	
			General Category States	Uttar Pradesh
			2001-02 to 2010-11	
			Uttar Pradesh	
	a.	of Revenue Receipts.	15.20	18.03
	b.	of Own Tax Revenue.	14.53	16.00
	c.	of Non Tax Revenue.	13.87	28.88
	d.	of Total Expenditure.	13.53	15.73
	e.	of Capital Expenditure.	22.61	27.67
	f.	of Revenue Expenditure on Education.	12.73	13.10
	g.	of Revenue Expenditure on Health.	11.97	17.05
	h.	of Salary and Wages ² .	11.45	14.56
	i.	of Pension.	14.09	21.12

Source: Financial data is based on figures in Finance Accounts. BPL (Planning Commission & NSSO data, 61st Round), Gini Coefficient (Unofficial estimates of Planning Commission & NSSO data, 61 Round 2004-05 MRP), Life Expectancy of birth (Office of the Registrar General of India, Ministry of Home Affairs) Economic Review, 2010-11, Infant mortality rate (SRS Bulletin January 2011).

¹Gini-coefficient is a measure of inequality of income among the population. Value rate is from zero to one, closer to zero inequality is less, closer to one inequality is higher..

²For the period 2001-02 to 2009-10 or 2010-11 as the case may be.

Structure and form of Government Accounts and Layout of Finance Accounts

(Reference: Paragraph 1.1; Page 1)

Part A : Structure and form of Government Accounts

Structure of Government Accounts: The accounts of the State Government are kept in three parts: (i) Consolidated Fund, (ii) Contingency Fund and (iii) Public Account.

Part I: Consolidated Fund : All revenues received by the State Government, all loans raised by issue of treasury bills, internal and external loans and all moneys received by the Government in repayment of loans form one consolidated fund titled 'The Consolidated Fund of State' established under Article 266 (1) of the Constitution of India.

Part II: Contingency Fund: Contingency Fund of the State, established under Article 267 (2) of the Constitution, is in the nature of an imprest placed at the disposal of the Governor to enable him to make advances to meet urgent unforeseen expenditure, pending authorisation by the Legislature. Approval of the Legislature for such expenditure and for withdrawal of an equivalent amount from the Consolidated Fund is subsequently obtained, whereupon the advances from the Contingency Fund are recouped to the Fund.

Part III: Public Account: Receipts and disbursements in respect of certain transactions such as small savings, provident funds, reserve funds, deposits, suspense, remittances, etc., which do not form part of the Consolidated Fund, are kept in the Public Account, set up under Article 266 (2) of the Constitution and are not subject to vote by the State legislature.

Part B : Layout of Finance Accounts

Statement No	Layout
The Finance Accounts have been divided into two volumes. Volume 1 presents the Financial Statements of the Government in the form of commonly understood summarised form while the details are presented in Volume II. Volume I contains the certificates of the Comptroller and Auditor General of India, four summary statements as given below and notes to accounts including accounting policy.	

Volume I

1	Statement of financial position depicting cumulative figures of assets and liabilities at the end of the financial year.
2	Statement of receipts and disbursements depicting receipts and disbursements in all the three parts.
3	Statement of receipts in Consolidated Fund comprising revenue and capital receipts and receipts from borrowings.
4	Statement of expenditure in Consolidated Fund depicting expenditure by function and nature.
Appendix 1	Cash balances and investment of cash balances

Volume II	
Part I	
5	Statement of progressive capital expenditure detailing progressive capital expenditure the aggregate of which is depicted in Statement No. 1.
6	Statement of borrowings and other liabilities depicting market loans raised by it and Loans and Advances received from the Government Of India.
7	Statement of loans and advances given by the Government of Uttar Pradesh together with recoveries.
8	Statement of Grants-in-aid given by the Government of Uttar Pradesh.
9	Statement of guarantees given by the Government for repayments of loans, etc., raised by Statutory Corporations, Government companies, Local Bodies and other Institutions during the financial year.
10	Statement of Voted and Charged expenditure presenting details of Voted and Charged expenditure.
Part II	
11	Detailed Statement of revenue and capital receipts of the Government by minor heads.
12	Detailed Statement of revenue expenditure of the Government by minor heads.
13	Detailed Statement of capital expenditure by minor heads including Plan and Non Plan figures.
14	Detailed Statement of investments of the Government depicting investments in the share capital, debentures of different concerns including types of shares held, face value, dividend received etc.
15	Detailed Statement of borrowings and other liabilities including maturity and repayment profile of all loans.
16	Detailed Statement on loans and advances given by the Government presenting changes in loan balances, loans written off, interests received on loans etc.
17	Detailed Statement on sources and application of funds for expenditure other than revenue account.
18	Detailed Statement of Contingency Fund and other Public Account transactions.
19	Detailed Statement on investments of earmarked funds.
Part III (Appendices)	
Appendix 2	Comparative expenditure on salary.
Appendix 3	Comparative expenditure on subsidy.
Appendix 4	Grants-in-aid given by the State Government (Institution and Schemewise).
Appendix 5	Details of Externally Aided Projects.
Appendix 6	Plan Scheme expenditure.
Appendix 7	Direct transfers of Central scheme funds to implementing agencies that is funds routed outside the Budget.
Appendix 8	Summary of Balances under Consolidated Fund, Contingency Fund and Public Account.
Appendix 9	Financial results of Irrigation Works.
Appendix 10	Statement of Commitments on incomplete Public Works Contracts.
Appendix 11	Statement of items for which allocation of balances due to reorganization of State has not been finalized.
Appendix 12	Statement on maintenance of expenditure of the State.

The Government enacted the Fiscal Responsibility and Budget Management Act, 2004 to ensure fiscal stability and sustainability, and to enhance the scope for improving social and physical infrastructure and human development by achieving sufficient revenue surplus, reducing fiscal deficit and removing impediments to the effective conduct of fiscal policy and prudent debt management through limits on borrowings, government guarantees, debt and deficits, greater transparency in fiscal operations and use of a medium term fiscal frame work and for matters connected therewith or incidental thereto. The Government was also made responsible to lay Medium Term Fiscal Restructuring Policy along with the annual budget in the House, setting forth five year rolling targets for fiscal indicators and make rules for carrying out the provisions of the Act. The Fiscal Responsibility and Budget Management Rules were notified in October 2006. The following fiscal targets were set therein for the State Government to give effect to the principles of fiscal management as laid down in the Act.

- Reduce revenue deficit to nil within a period of five financial years beginning from 1st day of April 2004 and ending on 31st day of March 2009.
- Reduce fiscal deficit to not more than three *per cent* of estimated Gross State Domestic Product. However, considering overall slowdown in the economy, the Government of India had allowed the States to increase their fiscal deficit as much as to four *per cent* of their Gross State Domestic Product.
- Ensure within a period of 14 financial years beginning from the initial financial year on 1st day of April 2004 and ending on the 31 March 2018, that the total liabilities at the end of last financial year do not exceed 25 *per cent* of the estimated Gross State Domestic Product for that year.
- Ensure not to give guarantee for any amount exceeding the limit stipulated under any rule or law of the State Government existing at the time of the coming into force of the Act or any rules or law to be made by the State Government subsequent to coming into force of this Act.
- Further, the revenue deficit and fiscal deficit may not exceed the limits specified in the Act except on the ground(s) of unforeseen demands arising out of internal disturbances or natural calamities subject to the condition that the excess does not exceed the actual fiscal cost attributed to the calamities.

In light of the recommendations of the Thirteenth Finance Commission the Government amended its FRBM Act, named as Uttar Pradesh Fiscal Responsibility and Budget Management (Second Amendment) Act, 2011 and developed its **own fiscal consolidation path for the year 2011-12 to 2014-15 to reduce the fiscal deficit and total liabilities.** (Appendix 1.3-B)

**Appendix
1.3** **(B) Fiscal Consolidation Path**
(Reference: Paragraph 1.1 Page)

Authority	Year	Fiscal Deficit	Total Liability
FRBM (Second Amendment) Act, 2011	2011-12	Not more than 3 <i>per cent</i> of GSDP	46.9 percent
FRBM (Second Amendment) Act, 2011	2012-13	Not more than 3 <i>per cent</i> of GSDP	45.1 percent
FRBM (Second Amendment) Act, 2011	2013-14	Not more than 3 <i>per cent</i> of GSDP	43.4 percent
FRBM (Second Amendment) Act, 2011	2014-15	Not more than 3 <i>per cent</i> of GSDP	41.9 percent

Appendix 1.4

(A) Own Tax Revenue during 2006 -11

(Reference: Paragraph 1.5 Page 11)

(₹ in crore)

Heads	2006-07	2007-08	2008-09	2009-10	2010-11	
					Budget Estimate	Actuals
Taxes on sales, Trade etc.	13,279	15,023	17,482	20,825	26,978	24,837
State Excise	3,551	3,948	4,720	5,666	6,763	6,723
Taxes on Vehicles	1,018	1,146	1,125	1,404	1,170	1,817
Stamp and Registration Fees	4,514	3,977	4,138	4,562	5,737	5,975
Land Revenue	188	393	549	663	205	1,134
Taxes on goods and passenger	109	110	266	271	920	242
Other taxes	339	362	379	487	533	382
Total	22,998	24,959	28,659	33,878	42,306	41,110

Source : - Finance Accounts

(B) Non-Tax Revenue during 2006-11

(Reference to paragraph 1.5 page 12-13)

(₹ in crore)

Heads	2006-07	2007-08	2008-09	2009-10	2010-11	
					Budget Estimate	Actuals
Interest Receipts, Dividend and Profits	838	1,258	1,013	631	1,229	716
General Services	2,662	1,511	2,120	8,482	7,682	5,807
Social Services	963	1,451	1,829	2,622	3,322	3,019
Economic Services	2,070	1,596	1,805	1,866	2,752	1,634
Total	6,533	5,816	6,767	13,601	14,985	11,176

Source : - Finance Accounts

Appendix 1.5

Abstract of receipts and disbursements for the year 2010- 11

(Reference: Paragraph 1.2 Page 2)

(₹ in crore)

Receipts				Disbursements					
2009-10			2010-11	2009-10			Non-Plan	Plan	Total 2010-11
Part-A									
96,420.95	I	Revenue receipts	1,11,183.76	89,373.61	I	Revenue expenditure	86,636.08	21,039.53	1,07,675.61
33,877.60		Tax revenue	41,109.85	40,641.30		General services	47,031.83	987.34	48,019.17
				32,064.28		Social Services	23,737.14	15,829.56	39,566.70
13,601.09		-Non-tax revenue	11,176.21	16,181.68		-Education, Sports, Art and Culture	16,271.54	4,682.70	20,954.24
				4,779.46		-Health and Family Welfare	4,101.45	1,342.75	5,444.20
31,796.67		-State's share of Union Taxes	43,464.05	1,647.74		-Water Supply, Sanitation, Housing and Urban Development	337.68	1,377.95	1,715.63
				42.50		-Information and Broadcasting	78.79	0.68	79.47
3,947.97		-Non-Plan grants	3,092.99	2,826.40		-Welfare of Scheduled Castes, Scheduled Tribes and Other Backward Classes	1,194.35	1,750.72	2,945.07
5,624.01		-Grants for State Plan Schemes	6,772.07	266.75		-Labour and labour Welfare	246.09	117.70	363.79
				6,272.96		-Social Welfare and Nutrition	1,446.83	6,557.06	8,003.89
7,569.25		-Grants for Central and Centrally sponsored Plan Schemes	5,568.59	46.79		-Others	60.41	Nil	60.41
4.36		External Grants Assistance	Nil	13,308.00		Economic Services-	11,502.40	4,222.63	15,725.03
				2,860.23		-Agriculture and Allied Activities	2,025.92	1,544.02	3,569.94
				3,590.90		-Rural Development	2,026.25	1,976.83	4,003.08
				79.31		-Special Areas Programme	0.31	80.52	80.83
				2,822.62		-Irrigation and Flood control	3,137.48	472.77	3,610.25

				1,896.45		-Energy	2,150.43	23.75	2,174.18
				339.73		-Industry and Minerals	201.90	97.14	299.04
				1,520.24		-Transport	1,736.86	5.59	1,742.45
				30.26		-Science, Technology and Environment	12.19	18.93	31.12
				168.26		-General Economic Services	211.06	3.08	214.14
				3,360.03		Grants-in-aid & Contributions	4,364.71	Nil	4,364.71
		Total	1,11,183.76	89,373.61		Total	86,636.08	21,039.53	1,07,675.61
	II	Revenue deficit carried over to Section B	Nil	7,047.34	II	Revenue Surplus carried over to Section B	--	—	3,508.15
96,420.95		Total	1,11,183.76	96,420.95		Total			1,11,183.76
Part B									
9,067.14	III	Opening Cash balance including Permanent Advances & Cash Balance Investment	3,405.36		III	Opening Overdraft from Reserve Bank of India	-	-	-
—	IV	Miscellaneous Capital receipts	—	25,091.23	IV	Capital Outlay-	691.72	19,581.08	20,272.80
				610.97		General Services-	851.75	150.30	1,002.05
				4,702.02		Social Services-	59.14	4,736.33	4,795.47
				526.68		-Education, Sports, Art and Culture	0.79	709.25	710.04
				1,263.75		-Health and Family Welfare	12.27	1,019.95	1,032.22
				2,573.82		-Water Supply, Sanitation, Housing and Urban Development	23.01	2,454.22	2,477.23
				--		-Information and Broadcasting	Nil	Nil	Nil
				83.21		-Welfare of Scheduled Castes, Scheduled Tribes and Other Backward Classes	Nil	65.28	65.28
				185.19		-Social Welfare and Nutrition	21.83	373.00	394.83
				69.36		-Others	1.24	114.63	115.87

				19,778.24		Economic Services-	(-) 219.16	14,694.44	14,475.28
				4,355.47		-Agriculture and Allied Activities	(-) 1267.44	429.87	(-)837.57
				2,394.41		-Rural Development	(-)3.75	2,736.03	2,732.28
				1,046.97		-Special Areas Programmes	(-)0.37	1,193.17	1,192.80
				2,311.02		-Irrigation and Flood Control	0.35	2,549.53	2,549.88
				5,092.37		-Energy	1,044.00	3,055.52	4,099.52
				180.80		-Industry and Minerals	9.19	(-)1.40	7.79
				4,219.06		-Transport	(-) 1.14	4,634.88	4,633.74
				177.99		-General Economic Services	Nil	96.84	96.84
				0.15		Science Technology and Environment	Nil	Nil	Nil
293.08	V	Recoveries of Loans and Advances	485.17	941.85	V	Loans and Advances disbursed-	350.94	617.28	968.22
		-From Power Projects	100.00	--		-For Power Projects	-	-	-
52.25		-From Govt. Servants	61.36	95.53		-To Government Servants	108.05	-	108.05
240.83		-From Others	323.81	846.32		-To Others	242.89	617.28	860.17
7,047.34	VI	Revenue Surplus brought down	3,508.15		VI	Revenue Deficit brought down	-	-	-
22,489.07	VII	Public debt receipts-	21,394.08	7,668.59	VII	Repayment of Public debt-	-	-	7,383.08
-		-External debt		-		-External debt	-	-	-
22,206.41		-Internal debt other than Ways and Means Advances and overdrafts	20,316.84	6,468.73		-Internal debt other than Ways and Means Advances and Overdrafts	-	-	5,368.83
-		- Net transactions under Ways and Means Advances	713.88	-		- Net transactions under Ways and Means Advances	-	-	713.88
-		- Net transactions under overdraft	-	-		- Net transactions under overdraft	-	-	-
282.65		-Loans and Advances from Central Government	363.36	1,199.86		-Repayment of Loans and Advances to Central Government	-	-	1,300.37

-	VIII	Appropriation to Contingency Fund	-	-	VIII	Appropriation to Contingency Fund	-	-	-
82.82	IX	Amount transferred to Contingency Fund	Nil	-	IX	Expenditure from Contingency Fund	-	-	39.90
99,907.88	X	Public Account receipts	1,27,649.22	1,01,780.30	X	Public Account disbursements-			1,17,472.99
8,155.67		-Small Savings & Provident Funds	9,857.02	4,285.56		-Small Savings & Provident Funds			4,986.05
5,824.56		-Reserve Funds	8,576.84	10,298.81		-Reserve Funds			6,238.19
40,084.48		-Suspense & Miscellaneous	75,906.97	41,449.44		-Suspense and Miscellaneous			75,149.69
28,582.82		-Remittance	17,747.96	28,579.38		-Remittances			17,381.23
17,260.35		-Deposits & Advances	15,560.43	17,167.11		-Deposits and Advances			13,717.83
	XI	Closing Overdraft from RBI		3,405.36	XI	Cash Balance at end-			10,304.99
				14.19		-Cash in Treasuries and Local Remittances			#
				184.04		-Deposits with Reserve Bank			414.63
				12.54		-Departmental Cash Balance including permanent Advances			12.55
				3,194.59		-Cash Balance Investment Account			9,877.81
1,38,887.33		Total	1,56,441.98	1,38,887.33		Total			1,56,441.98

(#) – 'Amount is less than ₹ 1.00 lakh'

Appendix 1.6

Actual, vis-à-vis, Budget Estimates for 2010-11

(Reference: Paragraph 1.3 Page 4)

(₹ in crore)

Particulars	Budget Estimates	Actuals	Increase/ Decrease (-)	Increase/ Decrease (-) in per cent
1	2	3	4 (3-2)	5
Revenue Receipts of which	1,11,620.61	1,11,183.76	(-) 436.85	(-) 0.39
Own Tax Revenue	42,305.87	41,109.85	(-) 1,196.02	(-) 2.83
<i>Taxes on Sales, Trade etc.</i>	26,978.34	24,836.52	(-) 2,141.82	(-) 7.94
<i>State excise</i>	6,763.23	6,723.49	(-) 39.74	(-) 0.59
<i>Taxes on vehicles</i>	1,170.21	1,816.89	646.68	55.26
<i>Stamps and Registration fees</i>	5,736.99	5,974.66	237.67	4.14
<i>Taxes on Goods and Passenger</i>	919.69	241.68	(-) 678.01	(-) 73.72
<i>Land Revenue</i>	204.89	1,134.16	929.27	453.55
<i>Other taxes</i>	532.52	382.45	(-) 150.07	(-) 28.18
Non Tax Revenue	14,985.48	11,176.21	(-) 3,809.27	(-) 25.42
<i>Interest Receipts</i>	1,229.49	689.32	(-) 540.17	(-) 43.93
<i>Miscellaneous General Services</i>	7,118.06	5,120.66	(-) 1,997.40	(-) 28.06
<i>Non-ferrous Mining and Metallurgical Industries</i>	838.97	653.39	(-) 185.58	(-) 22.12
<i>Other Non-Tax Revenue</i>	5,798.96	4,712.84	(-) 1,086.12	(-) 18.73
Share of Union Taxes and Duties	35,517.22	43,464.05	7,946.83	22.37
Grants-in-aid from GOI	18,812.04	15,433.65	(-) 3,378.39	(-) 17.96
Revenue Expenditure of which	1,11,066.21	1,07,675.61	(-) 3,390.60	(-) 3.05
General Services	48,363.47	48,019.17	(-) 344.30	(-) 0.71
<i>Administrative services</i>	10,202.39	9,607.87	(-) 594.52	(-) 5.83
<i>Pension and Miscellaneous General Services</i>	12,901.70	12,652.62	(-) 249.08	(-) 1.93
<i>Interest Payments & Servicing of Debt</i>	20,928.78	21,538.26	609.48	2.91
<i>Fiscal Services</i>	3,018.40	3,025.60	7.20	0.24
<i>Organs of State</i>	1,312.20	1,194.82	(-) 117.38	(-) 8.95
Social Services	42,120.28	39,566.70	(-) 2,553.58	(-) 6.06
<i>Education, Sports, Art and Culture</i>	21,909.65	20,954.24	(-) 955.41	(-) 4.36
<i>Social Welfare and Nutrition</i>	8,317.80	8,003.89	(-) 313.91	(-) 3.77
<i>Welfare of Scheduled Castes, Scheduled Tribes and Other Backward Classes</i>	2,821.11	2,945.07	123.96	4.39
<i>Health and Family Welfare</i>	5,943.19	5,444.20	(-) 498.99	(-) 8.40
<i>Water Supply, Sanitation, Housing and Urban Development</i>	2,443.17	1,715.63	(-)727.54	(-) 29.78
<i>Information and Broadcasting</i>	148.58	79.47	(-) 69.11	(-) 46.51
<i>Labour and Labour Welfare</i>	471.46	363.79	(-) 107.67	(-) 22.84
<i>Others</i>	65.32	60.41	(-) 4.91	(-) 7.52

Economic Services	16,147.57	15,725.03	(-) 422.54	(-) 2.62
<i>Agriculture and Allied Services</i>	3,601.94	3,569.94	(-) 32.00	(-) 0.89
<i>Rural Development</i>	3,873.29	4,003.08	129.79	3.35
<i>Special Area Programme</i>	186.45	80.83	(-) 105.62	(-) 56.65
<i>Irrigation & Flood Control</i>	3,862.98	3,610.25	(-) 252.73	(-) 6.54
<i>Energy</i>	2,137.02	2,174.18	37.16	1.74
<i>Industry & Minerals</i>	593.05	299.04	(-) 294.01	(-) 49.58
<i>Transport</i>	1,623.66	1,742.45	118.79	7.32
<i>Science, Technology and Environment</i>	38.16	31.12	(-) 7.04	(-) 18.45
<i>General Economic Services</i>	231.02	214.14	(-) 16.88	(-) 7.31
Grants-in-aid and Contributions	4,434.89	4,364.71	(-) 70.18	(-) 1.58
Capital expenditure of which	22,942.96	20,272.80	(-) 2,670.16	(-) 11.64
General Services	1,302.68	1,002.05	(-) 300.63	(-) 23.08
Social Services	5,112.54	4,795.47	(-) 317.07	(-) 6.20
<i>Education, Sports, Art and Culture</i>	521.50	710.04	188.54	36.15
<i>Health and Family Welfare</i>	814.20	1,032.22	218.02	26.78
<i>Water Supply, Sanitation, Housing and Urban Development</i>	3,179.57	2,477.23	(-) 702.34	(-) 22.09
<i>Welfare of Scheduled Caste, Scheduled Tribe and Other Backward Classes</i>	103.51	65.28	(-) 38.23	(-) 36.93
<i>Social Welfare & Nutrition</i>	387.42	394.83	7.41	1.91
<i>Other Social Services</i>	106.34	115.87	9.53	8.96
Economic Services	16,527.74	14,475.28	(-) 2,052.46	(-) 12.42
<i>Agriculture and Allied Services</i>	(-) 665.66	(-) 837.57	(-) 171.91	25.83
<i>Rural Development</i>	2,510.30	2,732.28	221.98	8.84
<i>Special Area programme</i>	1,995.83	1,192.80	(-) 803.03	(-) 40.24
<i>Irrigation & Flood Control</i>	4,140.00	2,549.88	(-) 1,590.12	(-) 38.41
<i>Energy</i>	4,631.00	4,099.52	(-) 531.48	(-) 11.48
<i>Industries and Minerals</i>	10.45	7.79	(-) 2.66	(-) 25.45
<i>Transport</i>	3,971.24	4,633.74	662.50	16.68
<i>Science, Technology and Environment</i>	--	--	--	--
<i>General Economic Services</i>	(-) 65.42	96.84	162.26	(-) 248.03
Revenue surplus (+)/ deficits (-)	554	(+) 3,508	2954	533.21
Fiscal Deficits (-)	(-) 22,742	(-) 17,248	5,494	24.16
Primary surplus (+)/ deficits (-)	(-) 9,250	(-) 3,032	6,218	67.22

Appendix 1.7

Time series data on the State Government Finances (Reference: Paragraph 1.5 Page 8-12)

(₹ in crore)

	2006-07	2007-08	2008-09	2009-10	2010-11
Part A. Receipts					
1. Revenue Receipts	60,600	68,672	77,831	96,421	1,11,184
(i) Own Tax Revenue	<i>22,998 (38)</i>	<i>24,959 (36)</i>	<i>28,659 (37)</i>	<i>33,878 (35)</i>	<i>41,110 (37)</i>
Taxes on Sales, Trade, etc.	<i>13,279 (58)</i>	<i>15,023 (60)</i>	<i>17,482 (61)</i>	<i>20,825 (62)</i>	<i>24,837 (60)</i>
State Excise	<i>3,551 (15)</i>	<i>3,948 (16)</i>	<i>4,720 (17)</i>	<i>5,666 (17)</i>	<i>6,723 (16)</i>
Taxes on Vehicles	<i>1,018 (4)</i>	<i>1,146 (05)</i>	<i>1,125 (4)</i>	<i>1,404 (4)</i>	<i>1,817 (4)</i>
Stamps and Registration fees	<i>4,514 (20)</i>	<i>3,977 (16)</i>	<i>4,138 (14)</i>	<i>4,562 (13)</i>	<i>5,975 (15)</i>
Land Revenue	<i>188 (1)</i>	<i>393 (2)</i>	<i>549 (2)</i>	<i>663 (2)</i>	<i>1,134 (3)</i>
Taxes on Goods and Passengers	<i>109</i>	<i>110</i>	<i>266 (1)</i>	<i>271 (1)</i>	<i>242 (1)</i>
Other Taxes	<i>339 (2)</i>	<i>362 (1)</i>	<i>379 (1)</i>	<i>487 (1)</i>	<i>382 (1)</i>
(ii) Non Tax Revenue	<i>6,533 (11)</i>	<i>5,816 (08)</i>	<i>6,767 (8)</i>	<i>13,601 (14)</i>	<i>11,176 (10)</i>
(iii) State's share of Union taxes and duties	<i>23,218 (38)</i>	<i>29,288 (43)</i>	<i>30,906 (40)</i>	<i>31,797 (33)</i>	<i>43,464 (39)</i>
(iv) Grants in aid from GoI	<i>7,851 (13)</i>	<i>8,609 (13)</i>	<i>11,499 (15)</i>	<i>17,146 (18)</i>	<i>15,434 (14)</i>
2. Miscellaneous Capital Receipts	-	-	-	-	-
3. Recoveries of Loans and Advances	356	449	778	293	485
4. Total Revenue and Non debt Capital Receipts (1+2+3)	60,956	69,121	78,609	96,714	1,11,669
5. Public Debt Receipts	11,711	9,079	16,760	22,489	21,394
Internal Debt (excluding Ways and Means Advances and Overdrafts)	<i>11,332 (97)</i>	<i>8,710 (96)</i>	<i>16,339 (97)</i>	<i>22,206 (99)</i>	<i>20,317 (95)</i>
Net transactions under Ways and Means Advances and Overdrafts	-	-	-	-	<i>714 (3)</i>
Loans and Advances from GoI	<i>379 (3)</i>	<i>369 (04)</i>	<i>421 (3)</i>	<i>283 (1)</i>	<i>363 (2)</i>
6. Total Receipts in the Consolidated Fund (4+5)	72,667	78,200	95,369	1,19,203	1,33,063
7. Contingency Fund Receipts	645	604	171	83	Nil
8. Public Account Receipts	63,075	77,870	1,04,252	99,908	1,27,649
9. Total Receipts of the State (6+7+8)	1,36,387	1,56,674	1,99,792	2,19,194	2,60,712
Part B. Expenditure/Disbursement					
10. Revenue Expenditure	55,699 (79)	65,223 (79)	75,969 (77)	89,374 (77)	1,07,676 (83)
Plan	<i>9,699 (17)</i>	<i>11,744 (18)</i>	<i>17,291 (23)</i>	<i>15,701 (18)</i>	<i>21,040 (20)</i>
Non Plan	<i>46,000 (83)</i>	<i>53,479 (82)</i>	<i>58,678 (77)</i>	<i>73,673 (82)</i>	<i>86,636 (80)</i>
General Services (including interest payments)	<i>24,300 (44)</i>	<i>26,551 (41)</i>	<i>29,769 (39)</i>	<i>40,641 (45)</i>	<i>48,019 (45)</i>
Social Services	<i>19,248 (35)</i>	<i>23,086 (35)</i>	<i>28,546 (37)</i>	<i>32,064 (36)</i>	<i>39,567 (37)</i>
Economic Services	<i>9,409 (17)</i>	<i>12,037 (18)</i>	<i>14,150 (19)</i>	<i>13,308 (15)</i>	<i>15,725 (15)</i>
Grants-in-aid and contributions	<i>2,742 (5)</i>	<i>3,549 (6)</i>	<i>3,504 (5)</i>	<i>3,360 (4)</i>	<i>4,365 (4)</i>
11. Capital Expenditure	13,984 (20)	16,950 (20)	22,346 (22)	25,091 (22)	20,273 (16)

	2006-07	2007-08	2008-09	2009-10	2010-11
Plan	13,312 (95)	13,720 (81)	18,088 (81)	19,224 (77)	19,581 (97)
Non Plan	672 (5)	3,230 (19)	4,258 (19)	5,867 (23)	692 (3)
General Services	654 (5)	575 (3)	841 (4)	611 (2)	1,002 (5)
Social Services	2,180 (15)	2,113 (13)	2,946 (13)	4,702 (19)	4,796 (24)
Economic Services	11,150 (80)	14,262 (84)	18,559 (83)	19,778 (79)	14,475 (71)
12. Disbursement of Loans and Advances	888 (1)	742 (1)	807 (1)	942 (1)	968 (1)
13. Total (10+11+12)	70,571	82,915	99,122	1,15,407	1,28,917
14. Repayments of Public Debt	5,912	5,369	6,776	7,669	7,383
Internal Debt (excluding Ways and Means Advances and Overdrafts)	3,738 (63)	4,179 (78)	5,577 (82)	6,469 (84)	5,369 (73)
Net transactions under Ways and Means Advances and Overdraft	-	-	-	-	714(10)
Loans and Advances from Government of India	2,174 (37)	1,190 (22)	1,199 (18)	1,200 (16)	1,300 (17)
15. Appropriation to Contingency Fund	-	-	-	-	-
16. Total disbursement out of Consolidated Fund (Total Expenditure) (13+14+15)	76,483	88,284	1,05,898	1,23,076	1,36,300
17. Contingency Fund disbursements	10	117	-	-	40
18. Public Account disbursements	52,901	68,560	1,00,027	1,01,780	1,17,473
19. Total disbursement by the State (16+17+18)	1,29,394	1,56,961	2,05,925	2,24,856	2,53,813
Part C. Deficits					
20. Revenue Deficit(-)/Revenue Surplus(+) (1-10)	(+) 4,901	(+) 3,449	(+)1,862	(+) 7,047	(+) 3,508
21. Fiscal Deficit (-)/Fiscal Surplus (+) (4-13)	(-) 9,615	(-) 13,794	(-) 20,513	(-) 18,693	(-) 17,248
22. Primary Deficit (21+23)	(+) 862	(-) 2,974	(-) 9,138	(-) 6,705	(-) 3,032
Part D. Other data					
23. Interest Payments (included in revenue expenditure)	10,477	10,820	11,375	11,988	14,216
24. Financial Assistance to local bodies, etc.	12,484	15,360	15,822	18,120	30,683
25. Ways and Means Advances/Overdraft availed (days)					
Ways and Means Advances availed (days)	-	-	-	-	4
Overdraft availed (days)	-	-	-	-	4
26. Interest on Ways and Means Advances/ Overdraft	-	-	-	-	-
27 Gross State Domestic Product (GSDP)^③	3,12,627	3,57,557³	4,12,151⁴	4,91,302⁵	5,88,467⁶
28 Outstanding Fiscal liabilities (year end)	1,62,156	1,74,248	1,87,411	2,01,720	2,24,785

³Figure of GSDP for 2007-08 is provisional.

⁴Figures of GSDP for 2008-09 is quick

⁵Figures of GSDP for 2009-10 is advance.

⁶Figures of GSDP for 2010-11 is quick

	2006-07	2007-08	2008-09	2009-10	2010-11
29. Outstanding guarantees (year end) (including interest)	11,056	12,736	16,084	20,038	20,162
30. Maximum amount guaranteed (year end)	12,235	18,144	27,892	29,311	29,778
31. Number of incomplete projects	58	53	98	126	119
32. Capital blocked in incomplete projects	5,407	5,863	4,598	880.85	2,735
Part E. Fiscal Health Indicators					
I Resource Mobilisation					
Own Tax revenue/GSDP	7.36	6.98	6.95	6.90	6.99
Own Non-Tax Revenue/GSDP	2.09	1.63	1.64	2.77	1.90
Central Transfers/GSDP	7.43	8.19	7.50	6.47	7.39
II Expenditure Management					
Total Expenditure/GSDP	22.57	23.19	24.05	23.49	21.91
Total Expenditure/Revenue Receipts	116.45	120.74	127.36	119.69	115.95
Revenue Expenditure/Total Expenditure	78.93	78.66	76.64	77.44	83.52
Expenditure on Social Services/Total Expenditure	30	30	32	32	34
Expenditure on Economic Services/Total Expenditure	29	32	33	29	23
Capital Expenditure/Total Expenditure	20	20	23	22	16
Capital Expenditure on Social and Economic Services/Total Expenditure.	19	20	22	21	15
III Management of Fiscal Imbalances					
Revenue deficit (surplus)/GSDP	-	-	-	-	-
Fiscal deficit/GSDP	(-) 3.08	(-) 3.86	(-) 4.98	(-) 3.80	(-) 2.93
Primary Deficit (surplus) /GSDP	-	(-) 0.83	(-) 2.22	(-) 1.36	(-) 0.52
Revenue Deficit/Fiscal Deficit	--	--	--	--	--
Primary Revenue Balance/GSDP	(-) 1.78	(-) 2.06	(-) 2.31	(-) 1.01	(-) 1.82
IV Management of Fiscal Liabilities					
Fiscal Liabilities/GSDP	52	49	45	41	38
Fiscal Liabilities/RR	268	254	241	209	202
Primary deficit vis-à-vis quantum spread	(+) 8,424	(+) 4,664	(+) 8,426	(+) 17,733	(+) 23,413
Debt Redemption (Principal +Interest)/ Total Debt Receipts	92	97	96	96	84
V Other Fiscal Health Indicators					
Return on Investment (₹ in crore)	0.85	1.05	1.26	0.84	26.81
Balance from Current Revenue(₹ in crore)	12,314	12,536	13,960	14,422	19,530
Financial Assets/Liabilities	0.58	0.63	0.66	0.72	0.77

Figures in brackets represent percentages (rounded) to total of each sub-heading

@ GSDP figures communicated by the Government adopted.

Appendix 1.8

Summarised financial position of the Government as on 31 March 2011

(Reference: Paragraph 1.9 Page 30-31)

(₹ in crore)

As on 31.03.2010	Liabilities		As on 31.03.2011
1,13,076.97	Internal Debt -		1,28,024.97
	Market Loans bearing interest	65,003.77	
	Market Loans not bearing interest	2.86	
	Loans from Life Insurance Corporation of India	24.55	
	Loans from other Institutions	63,024.48	
	Ways and Means Advances	(-)30.69	
	Overdrafts from Reserve Bank of India	Nil	
19,446.83	Loans and Advances from Central Government -		18,509.83
	Pre 1984-85 Loans	9.96	
	Non-Plan Loans	108.88	
	Loans for State Plan Schemes	18,170.44	
	Loans for Central Plan Schemes	0.84	
	Loans for Centrally Sponsored Plan Schemes	218.28	
	Ways and Means Advances	1.43	
600.00	Contingency Fund (Corpus)		600.00
29,229.01	Small Savings, Provident Funds, etc.		34,099.98
16,209.79	Deposits		18,054.02
23,757.79	Reserve Funds		26,096.44
275.52	Remittance Balances		642.25
2,02,595.91	Total		2,26,027.49
	Assets		
1,36,592.58	Gross Capital Outlay on Fixed Assets -		1,56,865.38
	Investments in shares of Companies, Corporations, etc.	38,272.54	
	Other Capital Outlay	1,18,592.84	
	Contingency Fund (unrecouped)		39.90
9,662.53	Loans and Advances -		10,145.58
	Loans for Power Projects	2,681.49	
	Other Development Loans	7,333.30	
	Loans to Government servants and Miscellaneous loans	130.79	
45.20	Reserve Fund Investments		45.20
7.31	Advances		8.94
(-) 3,189.71	Suspense and Miscellaneous Balances		(-) 3,946.99
3,405.36	Cash -		10,304.99
	Cash in Treasuries and Local Remittances	-	
	Deposits with Reserve Bank	414.63	
	Departmental Cash Balance	12.13	
	Permanent Advances	0.42	
	Cash Balance Investments	9877.81	
56,072.64	Deficit on Government Account -		52,564.49
	(i) Accumulated deficit at the beginning of the year	56,072.64	
	(ii) Less: Revenue Surplus of the current year	3,508.15	
2,02,595.91	Total		2,26,027.49

Explanatory Notes for Appendices 1.5 and 1.8

The abridged accounts in the foregoing statements have to be read with comments and explanations in the Finance Accounts. Government accounts being mainly on cash basis, the deficit on Government account, as shown in **Appendix 1.8**, indicates the position on cash basis, as opposed to accrual basis in commercial accounting. Consequently, items payable or receivable or items like depreciation or variation in stock figures, etc., do not figure in the accounts. Suspense and Miscellaneous balances include cheques issued but not paid, payments made on behalf of the State and other pending settlements, etc. There was a difference of **₹ 165.95 crore (Net debit)** between the figures reflected in the Accounts and that intimated by the Reserve Bank of India under "Deposits with Reserve Bank".

Appendix 1.9

Funds Transferred by the GoI directly to State Implementing Agencies

(Reference: Paragraph 1.4.2 Page 7-8)

(₹ in crore)

Sl. No.	Programme/Scheme	Implementing Agency in the State	Amount
1	National Rural Employment Guarantee Scheme (NREGA) (90:10)	Commissioner Rural Development	5,266.59
2	Pradhan Mantri Gram Sadak Yojna (PMGSY) (100:00)	Uttar Pradesh Rural Road Development Agency Lucknow	1,278.83
3	Sarva Siksha Abhiyan (SSA) (65:35)	Director UP Education For All Project Board Lucknow	3,104.63
4	National Rural Health Mission Normal (NRHM) (85:15)	Director Health and Family Welfare	1,691.21
5	Rural Housing Indira Awas Yojna (IAY) (75:25)	Commissioner Rural Development Lucknow	1,151.00
6	Accelerated Rural Water Supply Scheme (75:25)	Managing Director UP Jal Nigam Lucknow	421.60
7	Swarn Jayanti Gram Swarojgar Yojna (SGSY) (75:25)	Commissioner Rural Development Lucknow	222.33
8	MPs Local Area Development Scheme (MPLADS)	District Magistrate	207.00
9	Integrated Water Shed Management Programme (IWMP)	District Rural Development Agencies	151.73
10	Integrated Child Development Services (ICDS) (90:10)	Director Women and Child Development Lucknow	0.00
11	Total Sanitary Campaign (TSC)	Director Panchayati Raj Institutions Lucknow	225.94
12	Swarn Jayanti Shahari Rojgar Yojna (SJSRY)	State Urban Development Agencies Uttar Pradesh	73.24
13	District Rural Development Agency Administration (DRDA Admn.)	Commissioner Rural Development Lucknow	43.18
14	Handlooms	Director Handloom and Textiles UPSG (PSU's)	0.61
15	Research and Development Support SERC	Different Statutory Bodies etc. e.g. IIT Kanpur, Banaras Hindu University	477.54
16	Handicraft	Different Registered Societies (NGO's)	0.00
17	Skill Development Initiative	Different Societies (NGO's) as Baba Saheb Ambedkar Technical Education Societies	0.00
18	Integrated Oil Seeds, Oil Palm, Pulses, Maize Development (ISOPOM)	Different Government Autonomous Bodies	5.17
19	Medicinal Plants	Government Autonomous Bodies	5.08
20	Science and Technology Programme for Socio-Economic Development	Voluntary Institute for Community Applied Science	5.60
21	National Mission on Nano Science and Nano Technology	University of Allahabad	15.34
22	Setting up of Technology Up gradation Establishment of Food	Private Sectors as Apsara Food Industries Pvt. Ltd.	0.00
23	Technology Development Programme	National Research Centre for Agro Forestry	0.47
24	International Cooperation S&T	Central and State Statutory Bodies PSU's etc.	0.37
25	Assistance to Panchyati Raj Institutions Voluntary Organisation Self-Help	Different NGO's As Saheed Memorial Societies	0.98
		Total	14,348.44

**Appendix
2.1**

Statement of grants/appropriations where saving was more than ₹ 10 crore in each grant/appropriation or more than 20 percent of the total provision
(Reference: Paragraph 2:3:1; Page 41)

Sl. No.	Grant No.	Name of the Grant/Department	Total Grant/ Appropriation	Savings	Percentage
Revenue - Voted					
1.	5	Industries Department (Handloom & Village Industries)	123.52	76.88	62.24
2.	6	Industries Department (Handloom Industries)	37.48	8.12	21.67
3.	7	Industries Department (Heavy & Medium Industries)	265.03	228.42	86.19
4.	9	Power Department	3,013.64	266.53	8.84
5.	10	Agriculture & Other Allied Department (Horticulture & Sericulture Development)	144.55	12.08	8.36
6.	11	Agriculture & Other Allied Department (Agriculture)	2,391.35	217.67	9.10
7.	12	Agriculture & Other Allied Department (Land Development & Water Resources)	266.24	93.05	34.95
8.	13	Agriculture & Other Allied Department (Rural Development)	2,018.53	148.94	7.38
9.	14	Agriculture & Other Allied Department (Panchayati Raj)	2,115.82	226.92	10.73
10.	15	Agriculture & Other Allied Department (Animal Husbandry)	422.83	20.15	4.77
11.	16	Agriculture & Other Allied Department (Dairy Development)	41.40	9.98	24.11
12.	17	Agriculture & Other Allied Department (Fisheries)	58.01	12.25	21.12
13.	18	Agriculture & Other Allied Department (Co-operative)	198.06	20.35	10.27
14.	19	Personal Department (Training & Other Expenditure)	7.60	2.88	37.83
15.	23	Cane Development Department (Cane)	149.32	27.78	18.60
16.	26	Home Department (Police)	6,829.59	149.67	2.19
17.	27	Home Department (Civil Defence)	367.53	10.31	2.81
18.	31	Medical Department (Medical Education & Training)	837.18	14.99	1.79
19.	32	Medical Department (Allopathy)	2,431.27	203.62	8.38
20.	33	Medical Department (Ayurvedic & Unani)	380.44	31.12	8.18
21.	35	Medical Department (Family welfare)	1,408.72	38.78	2.75
22.	36	Medical Department (Public Health)	586.84	195.36	33.29

23.	37	Urban Development Department	1,328.30	711.79	53.59
24.	40	Planning Department	358.02	183.71	51.31
25.	42	Judicial Department	1,009.42	230.59	22.84
26.	44	Tourism Department	21.13	5.00	23.66
27.	45	Environment Department	9.66	6.55	67.81
28.	47	Technical Department	344.40	42.53	12.35
29.	48	Minorities Department	811.50	272.00	33.52
30.	49	Women & Child Welfare Department	3,522.55	180.62	5.13
31.	50	Revenue Department (District Administration)	491.20	32.95	6.71
32.	52	Revenue Department (Board of Revenue & Other Expenditure)	1,576.82	104.39	6.62
33.	53	National Integration Department	1.08	0.26	24.07
34.	54	Public Work Department (Establishment)	1,121.43	396.56	35.36
35.	61	Finance Department (Debt Services & Other Expenditure)	5,306.57	77.26	1.46
36.	62	Finance Department (Superannuation allowance & Pension)	9,974.60	68.97	0.69
37.	63	Finance Department (Treasury & Accounts Administration)	156.54	24.06	15.37
38.	65	Finance Department (Audit, Small Saving etc.)	158.07	14.40	9.11
39.	72	Education Department (Secondary Education)	6,543.94	785.84	12.01
40.	73	Education Department (Higher Education)	1,896.25	571.89	30.16
41.	75	Education Department (State Council of Education Research & Training)	98.17	14.43	14.69
42.	78	Secretariat Administration Department	398.51	21.62	5.43
43.	79	Social Welfare Department (Welfare of Handicapped & Backward Castes)	1,365.40	15.94	1.17
44.	80	Social Welfare Department (Social welfare & Welfare Scheduled Caste)	3,172.76	148.00	4.66
45.	81	Social Welfare Department (Tribal Welfare)	42.32	15.27	36.09
46.	83	Social Welfare Department (Special Component Plan For Scheduled Castes)	5,402.02	110.33	2.04
47.	84	General Administration Department	291.12	69.30	23.80
48.	86	Information Department	147.91	69.36	46.89
49.	94	Irrigation Department (Works)	1,414.90	152.37	10.77
50.	95	Irrigation Department (Establishment)	1,983.80	14.71	0.74
Total			73,043.34	6,356.55	983.6

Revenue - Charged					
51.	3	Industries Department (Small & Export Promotion)	0.04	0.04	98.75
52.	11	Agriculture & Other Allied Department (Agriculture)	0.15	0.12	80
53.	13	Agriculture & Other Allied Department (Rural Development)	0.14	0.04	25.86
54.	25	Home Department(Jails)	0.10	0.10	100.00
55.	26	Home Department(Police)	0.75	0.71	94.88
56.	32	Medical Department (Allopathy)	0.20	0.19	94.30
57.	35	Medical Department (Family Welfare)	0.15	0.15	96.67
58.	36	Medical Department (Public Health)	0.01	0.01	100.00
59.	42	Judicial Department	167.13	22.75	13.61
60.	47	Technical Department	0.01	0.01	100.00
61.	48	Minorities Department	0.02	0.01	26.83
62.	49	Women & Child Welfare Department	0.10	0.10	100.00
63.	50	Revenue Department (District Administration.)	0.18	0.16	93.39
64.	52	Revenue Department(Board of Revenue & Other Expenditure)	0.70	0.44	62.67
65.	58	Public Works Department (Communication-Roads)	0.05	0.05	100.00
66.	60	Forest Department	0.14	0.12	88.32
67.	67	Legislative Council Secretariat	0.47	0.18	38.62
68.	68	Legislative Assembly Secretariat	0.66	0.25	37.36
69.	72	Education Deptt (Secondary Education)	0.03	0.03	100.00
70.	73	Education Department (Higher Education)	0.01	0.01	100.00
71.	95	Irrigation Department (Establishment)	0.50	0.42	84.56
Total			171.54	25.89	1,635.82
Capital - Voted					
72.	7	Industries Department (Heavy & Medium Industries)	217.53	60.87	27.98
73.	9	Power Department	4,895.00	631.48	12.90
74.	11	Agriculture & Other Allied Department (Agriculture)	617.70	50.30	8.14
75.	12	Agriculture & Other Allied Department (Land Development & Water Resources)	75.00	74.99	99.99
76.	13	Agriculture & Other Allied Department (Rural Development)	1,256.40	48.63	3.87

77.	15	Agriculture & Other Allied Department (Animal Husbandry)	17.51	9.10	52.00
78.	21	Food Department	10,624.22	3,963.00	37.30
79.	25	Home Department (Jails)	648.17	124.20	19.16
80.	26	Home Department (Police)	614.38	356.13	57.96
81.	27	Home Department (Civil Defence)	10.22	8.82	86.35
82.	28	Home Department (Political Pension & Other Expenditure)	0.30	0.30	100.00
83.	31	Medical Department (Medical Education & Training)	498.90	34.98	7.01
84.	32	Medical Department (Allopathy)	303.47	39.30	12.95
85.	34	Medical Department (Homeopathy)	0.86	0.86	100.00
86.	35	Medical Department (Family Welfare)	5.58	3.75	67.26
87.	37	Urban Development Department	2,060.14	687.12	33.35
88.	40	Planning Department	1,168.46	901.64	77.16
89.	42	Judicial Department	1,168.46	880.76	75.38
90.	44	Tourism Department	145.00	44.01	30.35
91.	46	Administrative Reforms Department	15.05	15.00	99.64
92.	47	Technical Department	228.63	24.11	10.54
93.	48	Minorities Department	427.50	165.56	38.73
94.	49	Women & Child Welfare Department	1.29	1.29	100.00
95.	51	Revenue Department (Relief on Account of Natural Calamities)	25.00	20.00	80.00
96.	52	Revenue Department (Board of Revenue & Other Expenditure)	25.09	24.17	96.34
97.	53	National Integration Department	0.01	0.01	100.00
98.	60	Forest Department	125.74	43.63	34.70
99.	61	Finance Department (Debt Services & Other Expenditure)	519.01	153.04	29.49
100.	63	Finance Department (Treasury & Accounts Administration)	8.80	3.38	38.45
101.	67	Legislative Council Secretariat	0.06	0.06	100.00
102.	71	Education Department (Primary Education)	0.74	0.65	87.40
103.	73	Education Department (Higher Education)	253.71	27.27	10.75
104.	78	Secretariat Administration Department	47.00	46.21	98.31
105.	79	Social Welfare Department (Welfare of Handicapped & Backward Caste)	205.26	70.54	34.37

106.	81	Social Welfare Department (Tribal Welfare)	39.19	26.41	67.40
107.	82	Vigilance Department	12.32	9.07	73.62
108.	83	Social Welfare Department (Special Component Plan for Scheduled Castes)	3,964.68	103.62	2.61
109.	94	Irrigation Department (Works)	4,180.56	1,086.27	25.98
Total			34,406.94	9,740.53	2,037.44
Capital - Charged					
110.	21	Food Department	2,862.04	1,509.32	52.74
111.	52	Revenue Department (Board of Revenue & Other Expenditure)	0.10	0.10	100.00
112.	55	Public Works Department (Building)	0.83	0.20	24.49
113.	58	Public Works Department (Communication-Road)	5.06	3.70	73.05
114.	61	Finance Department (Debt Services & Other Expenditure)	15,645.36	9,288.06	59.37
115.	94	Irrigation Department (Works)	18.40	5.58	30.35
Total			18,531.79	10,806.96	340.00
Grand Total			1,26,153.61	26,929.93	4,996.86

**Appendix
2.2**

Statement of grants/appropriations where excess expenditure was more than ₹ 10 crore in each grant/appropriation or more than 20 per cent of total provision

(Reference: Paragraph 2.3.3; Page 42)

Sl. No.	Grant No.	Name of the Department	Total Grant/ Appropriation	Expenditure	Percentage of excess expenditure
			₹ in crore		
Revenue Voted					
1	30	Confidential Department (Revenue Intelligence Directorate & Other Exp.)	2.79	3.68	32
2	51	Revenue Department (Relief on Account of Natural Calamities)	748.46	922.81	23
3	58	Public Works Department (Communication-Road)	1,481.38	1,602.75	8
4	71	Education Department (Primary Education)	14,451.17	14,476.61	0.17
Total			16,683.8	17,005.85	
Revenue Charged					
5	61	Finance Deptt (Debt Services & Other Expenditure)	20,662.83	21,278.34	3
Total			20,662.83	21,278.34	
Capital Voted					
6	2	Housing Department	1,302.62	1,358.98	4
7	14	Agriculture & Other Allied Department (Panchayati Raj)	572.66	583.50	2
8	55	Public Works Department (Building)	21.78	165.98	662
9	58	Public Works Department (Communication-Road)	3,217.82	4,369.96	36
Total			5,114.88	6,478.42	
Grant Total			42,461.51	44,762.61	

Appendix 2.3

Excess over provision of previous years requiring regularisation

(Reference: Paragraph 2.3.4; Page 44)

Year	Number of grants/ appropriations	Grant/appropriation numbers	Amount of excess (₹ in crore)
2005-06	25- Grants 4-Appropriations	Revenue- Voted 8, 12, 19, 53, 55, 57, 58, 72 Capital- Voted 15, 16, 18, 23, 24, 33, 34, 37, 38, 40, 55, 56, 57, 58, 73, 75, 96 Revenue- Charged 1, 52 Capital- Charged 52, 55	1,026.78
2006-07	18- Grants 6-Appropriations	Revenue- Voted 9, 13, 55, 58, 61, 62, 73, 91, 95 Capital- Voted 3, 16, 31, 37, 55, , 57, 58, 89, 96, Revenue- Charged 2, 3, 10, 52, 62, 89	2,484.47
2007-08	12- Grants 2-Appropriations	Revenue –voted 51,55,57,58,62 Capital voted 13,16,55,58,63,83,96 Revenue charged 51,66	3,610.65
2008-09	5-Grants 1-Appropriation	Revenue Voted 62,96 Capital voted- 55,58,96 Revenue Charged- 52	3,399.42
2009-10	6-Grants 4-Appropriations	Revenue Voted- 58 Capital voted- 1,16, 55, 58, 59 Revenue Charged- 3, 10, 16, 48, 52, 66	1,250.16
Total			11,771.48

Appendix 2.4

Cases where supplementary provision (₹ 50 lakh or more in each case) proved unnecessary

(Reference: Paragraph 2.3.6; Page 46)

(₹ in crore)

Sl. No.	Grant No.	Name of the Department	Original Provision	Actual Expenditure	Supplementary Provision	Saving out of Original Provision
Revenue - Voted						
1	3	Industries Department (Small & Export Promotion)	105.49	102.12	0.56	3.37
2	7	Industries Department (Heavy & Medium Industries)	264.53	36.61	0.5	227.92
3	9	Power Department	3,005.09	2,747.1	8.55	257.99
4	10	Agriculture & Allied Deptt (Hort. & Sericulture Development)	142.05	132.46	2.5	9.59
5	12	Agriculture & Allied Deptt (Land Development & Water Resources)	215.24	173.19	51	42.05
6	15	Agriculture & Other Allied Department (Animal Husbandry)	420.91	402.68	1.92	18.23
7	22	Sports Department	42.19	40.07	1.25	2.12
8	26	Home Department (Police)	6,739.09	6,679.92	90.5	59.17
9	27	Home Department (Civil Defence)	365.29	357.22	2.24	8.07
10	31	Medical Department (Medical Education & Training)	836.49	822.19	0.7	14.3
11	35	Medical Department (Family Welfare)	1,393.72	1,369.93	15	23.79
12	37	Urban Development Department	1,045.06	616.51	283.24	428.55
13	40	Planning Department	223.81	174.31	134.21	49.5
14	42	Judicial Department	882.36	778.83	127.05	103.53
15	47	Technical Department	341.89	301.87	2.52	40.02
16	48	Minorities Welfare Department	714.99	539.5	96.51	175.49

17	50	Revenue Department (District Administration)	476.49	458.25	14.71	18.24
18	52	Revenue Department (Board of Revenue & Other Expenditure)	1,573.86	1,472.42	2.96	101.44
19	62	Finance Department (Superannuation Allowance & Pension)	9,973.8	9,905.64	0.8	68.16
20	63	Finance Department (Treasury & Accounts Administration)	152.92	132.48	3.62	20.44
21	65	Finance Department (Audit, Small Saving etc.)	157.44	143.66	0.63	13.78
22	72	Education Department (Secondary Education)	6,302.82	5,758.09	241.12	544.73
23	73	Education Department (Higher Education)	1,871.25	1,324.36	25	546.89
24	80	Social Welfare Department (Social Welfare & Welfare of Scheduled Castes)	3,082.76	3,024.76	90	58
25	81	Social Welfare Department (Tribal Welfare)	41.82	27.05	0.5	14.77
26	87	Soldiers Welfare Department	45.15	40.59	1.45	4.56
27	95	Irrigation Department (Establishment)	1,972.4	1,969.1	11.4	3.3
Total			42,388.91	39,530.91	1,210.44	2,858.00
Capital - Voted						
28	7	Industries Department (Heavy & Medium Industries)	183.53	156.66	34	26.87
29	9	Power Department	4795	4,263.52	100	531.48
30	11	Agriculture & Other Allied Department (Agriculture)	593.07	567.40	24.63	25.67
31	15	Agriculture & Other Allied Department (Animal Husbandry)	11.9	8.40	5.61	3.5
32	21	Food Department	10,622.97	6,661.22	1.24	3,961.75

33	26	Home Department (Police)	495.56	258.26	118.82	237.3
34	27	Home Department (Civil Defence)	9.62	1.39	0.6	8.23
35	37	Urban Development Department	2,040.14	1,373.02	20	667.12
36	40	Planning Department	1,150.26	287.71	18.21	862.55
37	42	Judicial Department	156.05	65.30	5.34	90.75
38	47	Technical Department	216.63	204.52	12	12.11
39	48	Minorities	327.5	261.94	100	65.56
40	60	Forest Department	122.97	82.10	2.77	40.87
41	63	Finance Department (Treasury & Accounts Administration)	8.3	5.42	0.5	2.88
42	83	Social Welfare Department (Special Component Plan For Scheduled Castes)	3,884.88	3,861.06	79.8	23.82
43	94	Irrigation Department (Works)	3,988.1	3,094.30	192.46	893.8
Total			28,606.48	21,152.22	715.98	7,454.26
Revenue - Charged						
44	42	Judicial Department	166.52	0.61	144.38	165.91
Total			166.52	0.61	144.38	165.91
Grand Total			71,161.91	60,683.74	2,070.80	10,478.17

Appendix 2.5

Statement of Grant/appropriation where supplementary provision proved insufficient by more than ₹ two crore in each grant/appropriation.

(Reference: Paragraph 2.3.6; Page 46)

Sl. No.	Grant Number	Name of the Grant/Appropriation	Original Provision	Supplementary provision	Total	Expenditure	Excess
Revenue - Voted							
1	51	Revenue Department (Relief on Account of Natural Calamities)	690.82	57.64	748.46	922.81	174.35
2	71	Education Department (Primary Education)	14,436.12	15.05	14,451.17	14,476.61	25.44
3	91	Institutional Finance Department (Stamp & Registration)	109.97	35.72	145.69	147.89	2.20
Total			15,236.91	108.41	15,345.32	15,547.31	201.99
Capital - Voted							
4	2	Housing Department	811.69	490.93	1,302.62	1,358.98	56.36
5	55	Public Works Department (Building)	17.28	4.50	21.78	165.98	144.20
6	57	Public Works Department (Communication- Bridges)	595.70	210.00	805.70	809.96	4.26
7	58	Public Works Department (Communication-Road)	2,787.82	430.00	3,217.82	4,369.96	1,152.14
Total			4,212.49	1,135.43	5,347.92	6,704.88	1,356.96
Grand Total			19,449.40	1,243.84	20,693.24	22,252.19	1,558.95

Appendix 2.6

Excess/unnecessary/insufficient re-appropriation of Funds (Reference: Paragraph 2:3:7; Page 46)

(₹ in Lakh)

Sl. No.	Grant No.	Name of the Grant	Head of Account	Re-appropriation	Excess	Saving
1.	3	Industries Department	2851-102-19	9.43	4.01	0
2.		(Small & Export Promotion)	2852-80-001-03	189.98	0.69	0
3.	4	Industries Department	2853-02-004-03	7.72	26.63	0
4.		(Mines & Mineral)	2853-02-001-03	46.71	0	55.23
5.	6	Industries Department (Handloom Industries)	2851-001-03	17.92	0	15.60
6.	7	Industries Department (Heavy & Medium Industries)	2852-80-800-06	15.00	0	1.44
7.	9	Power Department	2045-103-03	166.94	6.77	0
8.	10	Agriculture & Other Allied Department (Horticulture & Sericulture Development)	2406-02-112-03	69.00	0	40.00
9.			2415-80-004	16.00	0	1.16
10.	11	Agriculture & Other Allied Department (Agriculture)	2435-01-101-04	1.69	0.94	0
11.			2402-102-05	710.00	0	232.51
12.			2435-01-101-03	50.66	0.06	0
13.	13	Agriculture & Other Allied Department (Rural Development)	2505-01-702-01	70.14	0	5,510.85
14.			2515-001-03	15.00	98.17	0
15.			2515-102-06	400.00	0	75.66
16.			2515-800-01	1,500.00	0.26	0
17.	14	Agriculture & Other Allied Department	2204-104-01	947.10	0	23.43
18.			2515-101-04	13.60	168.39	0
19.			2515-101-800-08	10.00	140.93	0
20.	15	Agriculture & Other Allied Department (Animal Husbandry)	2403-103-800-06	150.00	6.00	0
21.	23	Cane Development Department (Cane)	2401-800-03	298.30	0	44.59
22.	25	Home Department (Jails)	2056-001-03	11.30	31.90	0
23.			4070-800-09	10,745.70	0	357.70
24.	26	Home Department (Police)	2055-101-03	416.61	0	535.22
25.			2055-104-06	147.54	0	77.71
26.			2055-109-07	150.00	0	93.93
27.			2055-111-03	88.89	15.01	0
28.			2055-113-03-116-03	6.67	41.08	0
29.			2055-800-13	7,207.00	0	970.60
30.			2070-108-03	344.50	0	21.04
31.			2055-001-03	216.01	0	5.82
32.			2055-001-101-04	1,707.08	370.78	0
33.			2055-001-104-03	4,512.87	378.53	0
34.			2055-001-108-03	27.00	306.93	0
35.			2055-001-109-03	9,719.03	2,061.24	0

36.			2055-001-109-04	2,852.88	0	650.32
37.			2055-001-109-05	2,046.00	375.42	0
38.			2055-001-113-04	122.05	45.66	0
39.			2055-001-114-03	54.80	0	13.58
40.			2055-001-115-03	304.18	4.16	0
41.			2055-001-800-03	40.43	44.66	0
42.			2235-200-10	150.00	0	8.61
43.			2251-90-03	41.50	0.15	0
44.			4055-207-06	362.43	0	2,386.87
45.			4055-211-10	899.89	184.35	0
46.			4055-211-11	2,250.52	944.69	0
47.	27	Home Department (Civil Defence)	2070-107-04	1,922.10	0	1.56
48.	28	Home Department(Political Pension & Other Expenditure)	3055-190-04	42.54	0	42.54
49.			3055-190-03	45.51	42.53	0
50.	29	Confidential Department (Governors Secretariat)	2012-03-108-03	10.00	2.62	0
51.	31	Medical Department (Medical Education & Training)	4210-105-52	1.10	38.28	0
52.	32	Medical Department (Allopathy)	2210-03-110-10	6,428.00	0	48.48
53.			4210-02-103-04	1,225.82	320.70	0
54.			4210-02-104-03	99.82	416.68	0
55.	33	Medical Department (Ayurvedic & Unani)	2210-02-101-06	411.81	0	33.70
56.			2210-02-103-03	89.00	83.21	0
57.	35	Medical Department (Family Welfare)	2211-101-01	5,500.98	0	925.02
58.			2211-200-04	1,750.02	0	965.33
59.	36	Medical Department (Public Health)	2210-06-001-03	110.40	0	0.27
60.	38	Civil Aviation Department	5053-02-800-20	849.87	0	437.18
61.	39	Language Department	2070-003-03	3.36	0	.02
62.	40	Panning Department	2402-103-04	13.21	0	0.30
63.			2515-004-03	63.05	1.29	0
64.			4515-800-05	40.00	16.91	0
65.			4575-02-800-04	41,070.15	0	27,514.39
66.	41	Election Department	2015-103-03	300.00	5.35	0
67.			2015-106-03	3.79	0.37	0
68.			2015-106-05	3.99	15.26	0
69.	42	Judicial Department	2014-108-03	3.81	0	61.28
70.			2014-114-04	2,324.42	0	13.74
71.			2052-091-03	12.10	0	0.02
72.			4059-01-051-01	500.00	0	553.24
73.			4059-01-051-04	57.00	535.39	0
74.			4070-800-03	445.36	0	211.79
75.	43	Transport Department	3055-001-03	284.00	104.75	0
76.			3055-800-03	92.42	25.44	0
77.	44	Tourism Department	3452-80-800-04	30.00	0	2.62

78.	47	Technical Department	2203-001-04	15.55	2.80	0
79.			2203-001-05	26.37	0	2.84
80.			2203-800-03	11.82	11.04	0
81.	49	Women & Child Welfare Department	2235-02-103-15	110.36	0	379.74
82.	51	Revenue Department (Relief on Account of Natural Calamities)	2245-05-800-03	19,597.00	0	3,286.48
83.			2245-80-800-08	90.02	0	90.02
84.	52	Revenue Department (Board of Revenue & Other Expenditure)	2052-800-03	58.00	0	79.97
85.			2052-99-03	23.00	187.80	0
86.	54	Public Works Department (Establishment)	2059-80-001-04	78.71	3,749.85	0
87.			2059-80-001-05	1,280.21	191.37	0
88.	55	Public Works Department (Building)	4059-60-21	21.04	44.37	0
89.	58	Public Works Department (Communication-Road)	3054-04-337-04	275.00	11,883.12	0
90.			3054-04-800-07	324.65	35.75	0
91.			5054-0337-13	1,732.67	9,284.29	0
92.			5054-0337-74	14.40	51.23	0
93.			5054-0337-76	127.67	582.74	0
94.	59	Public Works Department (Estate Directorate)	2052-90-03	78.00	101.84	0
95.			2059-01-053-09	99.16	0	8.61
96.			2059-01-053-05	5.50	0	3.00
97.	60	Forest Department	4406-01-800-01	35.92	19.16	0
98.	61	Finance Department (Debt Services & Other Expenditure)	2049-01-123-04	5,804.82	1,440.52	0
99.	63	Finance Department (Treasury & Accounts Administration)	4070-052-03	25.00	20.13	0
100.	65	Finance Department (Audit, Small Saving etc.)	2054-800-04	2.00	104.12	0
101.			2054-098-03	82.00	0	1.53
102.	71	Education Department (Primary Education)	2202-01-001-03	365.24	45.67	0
103.			2202-102-07	55,400.00	9,699.04	0
104.			2202-102-23	1,159.99	0	61.83
105.			2202-104-03	240.00	302.70	0
106.			2202-800-07	70,220.00	0	10,553.58
107.	72	Education Department (Secondary Education)	2202-02-109-03	577.98	138.64	0
108.			2202-02-001-03	133.82	2.71	0
109.			2202-02-800-18	20,000.00	0	501.20
110.	73	Education Department (Higher Education)	2202-03-001-03	27.00	6.80	0
111.			2202-03-001-04	25.00	0	9.04
112.			2202-03-103-03	871.00	319.46	0
113.			2202-03-103-04	60.00	0	12.95
114.			2204-102-01	12.60	38.00	0
115.			4202-01-203-05	1,020.60	378.42	0
116.	75	Education Department (State Council of Education Research & Training)	2202-80--003-20	37.70	0	15.51
117.			2202-80-004-03	19.65	0	13.67

118.	76	Labour Department (Labour Welfare)	2230-01-101-04	74.29	57.07	0
119.			2230-01-103-05	0.30	17.20	0
120.			2230-01-800-03	0.20	6.40	0
121.	77	Labour Department (Employment)	2230-02-800-05	57.36	21.53	0
122.	78	Secretariat Administration Department	2013-104-03	40.00	65.99	0
123.			2052-090-03	965.00	934.93	0
124.	86	Information Department	2220-60-110-03	1,224.00	0.51	0
125.	87	Soldiers Welfare Department	2075-104-10	149.00	0	13.00
126.			2235-60-200-03	270.00	0	136.81
127.	89	Institutional Finance Department (Commercial Tax)	2040-800--06	8.85	5.42	0
128.	92	Culture Department	2205-103-03	23.70	3.97	0
129.	94	Irrigation Department (Works)	4700-08-051-11	2,496.50	0	1,384.29
130.			4701-80-005-10	477.00	0	74.49
131.			4711-01-103-03	133.61	115.06	0
132.			4711-01-103-07	105.55	0	0.84
133.			4711-01-103-08	1,536.25	0	69.87
134.			4711-01-103-25	100.00	0	0.35
Total				3,00,614.76	46,735.84	58,632.97

Substantial Surrenders made during 2010-11
(Reference: Paragraph 2.3:8; Page 46)

(₹ in Lakh)

Sl. No.	Grant No.	Name of Grant/ Department	Name of Scheme (Head of Account)	Provision	Amount surrendered	Surrender (in Per cent)
1.	3	Industries Department (Small & Export Promotion)	4851-800-04 Establishment of General Facilities	45.00	45.00	100
2.	5	Industries Department (Handloom & Village Industries)	2851-105-04 Khadi & Village Industries Rebate on Sale on Khadi	8,000.00	7,200.00	90
3.			2851-105-800-03 Payment Of Arrear	472.36	462.76	98
4.	7	Industries Department (Heavy & Medium Industries)	2852-800-04 Express Way Schemes With Corporation of Private Sector	1,500.00	1,500.00	100
5.			2852-80-800-10 Incentive to Industrial Units under Heavy Industries Investment Policy	18,000.00	17,985.00	100
6.			4885-800-01 Centrally Sponsored Schemes	200.00	200.00	100
7.			6885-01-60-190-03 Interest free Loan to Incentive To Industrial Unit Under Heavy Industry Investment Plan	5,000.00	5,000.00	100
8.	9	Power Department	4801-190-03 Capital Outlay On Power Project Investment In Share Capital	30,000.00	20,147.90	67
9.	11	Agriculture & Other Allied Department (Agriculture)	2401-111-04 study & Designing of Computerization In Agriculture Department	534.81	523.04	98
10.			2401-111-05 Data Bank Crops Production & Statistics of Production	456.80	262.30	57
11.			2401-800-01 Centrally Sponsored Schemes	344.00	344.00	100
12.			2415-120-23 Research Programme In Agriculture & technological universities	300.00	300.00	100
13.			2415-120-26 Strengthening Of Agricultural Research facilities in U.P. Agricultural Research council	200.00	200.00	100

14.			2415-120-27 Establishment Of Agriculture University, Banda	216.70	132.52	61
15.			2402-102-01 Centrally Sponsored Schemes	192.00	192.00	100
16.			4401-102-01 Centrally Sponsored Schemes	200.00	200.00	100
17.			4401-107-04 Control Of Insect/Disease trough different environmental resources	400.60	262.00	65
18.			4415-277-03 Fisheries degree college, Etawah	200.00	200.00	100
19.	12	Agriculture & Other Allied Department (Land Development & Water Recourses)	4515-800-03 repair, renewal & renovation of water works bodies	7,500.00	7,500.00	100
20.	13	Agriculture & Other Allied Department (Rural Development)	2515-102-08 Ambedkar employment scheme	1,600.00	850.95	53
21.			2702-800-01 minor irrigation other expenditure centrally sponsored schemes	251.18	163.25	65
22.			4515-102-03 Capital Outlay on Other Rural Development Program	1,000.00	946.19	95
23.			5054-04-337-03 Capital Outlay Road & Bridges (Construction of Road Under P.M.G.S.)	80.00	56.00	70
24.			5054-04-337-04 Capital Outlay Road & Bridges (Centage Charges Under PMGS)	20.00	20.00	100
25.	14	Agriculture & Other Allied Department (Panchyati Raj)	2575-02-800-03 Other Special Area Programmes (Programmes Financed by backward areas Grant Fund)	6,309.68	6,309.68	100
26.			2515-101-01 other Rural Development Programe (Panchyati raj – central plan)	10,000.00	5,050.02	51
27.			2515-101-08 other Rural Development Programme (Construction of Clean Toilet Under Rural Cleanliness Drive)	4,410.00	2,667.90	60
28.			4070-800-03 Capital Outlay on Other Admn. Services (Construction on Rural Stadiums)	18.00	9.00	50
29.			2403-104-01 central plan	23.25	23.25	100

30.	15	Agriculture & Other Allied Department (Animal Husbandry)	2403-107-01 central plan	550.00	496.00	90
31.			2403-107-04 Fodder & Feed Development Schemes (District Plan)	16.00	16.00	100
32.			4403-101-08 Construction of Veterinary Hospital -R.I.D.F. (Dist. Plan)	800.00	800.00	100
33.			4403-107-01 Central plan	100.00	100.00	100
34.	17	Agriculture & Other Allied Department (Fisheries)	2405-109-01 Central plan	194.65	194.65	100
35.			2405-800-01 01 central plan	1,158.66	629.50	54
36.			2070-800-04 Other Administrative Services Center for good Governance	57.90	44.33	77
37.	22	Sports Department	4202-03-800-29 provision of flood light & renovation of K.D. Singh Babu Stadium	80.00	80.00	100
38.			4202-03-800-34 Construction of residential buildings of type III & IV & tube well in mayo hall Allahabad	25.00	15.00	60
39.			4202-03-800-37 Construction of multipurpose sport hall in Sant Kabirnagar	150.00	100.00	67
40.			4202-800-38 Construction of swimming pool in Bulandshahar	100.00	52.65	53
41.	23	Cane Development Department (Cane)	2401-109-01 Central Programme	680.00	680.00	100
42.	26	Home Department (Police)	2055-800-10 expenditure on Security work in Naxal affected Districts	727.70	532.73	73
43.			2055-800-14 Police Expenditure of Traffic Administration fund for Uttar Pradesh police	1,088.00	903.00	83
44.			2070-108-01 Police Central Plan	250.00	141.00	56
45.			2070-800-05 U.P. State Advisory Council (U.P.S.A.C.)	53.84	51.57	96
46.			2235-200-11 Financial assistance to victim of affright	1,200.00	695.33	58

47.			2235-800-03 Terrorism, fire-accidents etc. affecting public arrangement	1,000.00	812.95	81
48.			4055-207-04 Moderation of Police Department	9,155.00	9,067.73	99
49.			4055-207-05 Construction of non-residential building	6,000.00	3,370.78	56
50.			4055-207-07 Construction of Police building	4,750.00	4,750.00	100
51.			4055-207-08 Construction of Kamando Center of STF	7,000.00	5,870.95	84
52.			4055-207-09 Building of STF Head Quarter	1,275.00	1,275.00	100
53.			4055-211-05 Construction of Residential Building under modernization of police department	6,400.00	4,844.19	76
54.			4055-800-01 Capital outlay on police (Central Schemes)	200.00	200.00	100
55.			4070-800-05 Central Schemes	500.00	271.38	54
56.	27	Home Department (Civil Defence)	4070-800-05 Construction of Residential Building under home guards department modernization scheme	885.00	830.65	94
57.			4070-800-06 modernization scheme of home guards department (central 60/State 40 C+S)	76.81	51.70	67
58.	28	Home Department (Political Pension & Other Expenditure)	2251-800-03 Payment of arrears	16.13	11.47	71
59.			4250-800-03 Subsidiary grant to Swatantrata Sangram Senani Sansthan for birth centenary & construction of monuments/ Relics of Freedom Fight	30.00	30.00	100
60.	32	Medical Department (Allopathy)	2210-01-97 Externally aided Project	3,500.00	3,147.99	90
61.			2210-01-110-14 Establishment of Primary Health Centers (District Plan)	511.02	511.02	100
62.			2210-01-03 Direction	20.00	16.24	81
63.			4210-800-03 Mental Health Institution & Hospital Agra)	1,977.99	1,577.99	80

64.			4210-110-09 Construction of 100 bedded joint hospital in Tarwan Azamgarh	50.00	27.16	54
65.	37	Urban Development Department	4215-01-101-97 Externally Aided Schemes	30,000.00	15,000.00	50
66.			4217-800-01 Central Plan	80,000.00	43,345.83	54
67.	40	Planning Department	2402-103-01 Central Plan	30.00	17.54	58
68.			2575-800-04 Lump- sum provision for training & estimation)	40.00	36.59	91
69.	42	Judicial Department	2014-105-10 Implementation of Recommendations of 13th finance Commission)	8,608.00	6,252.70	73
70.			2014-114-06 Arrangement for Strengthening of library of Advocate General of Uttar Pradesh at Allahabad & Lucknow & purchase of law books magazines/journals & annual donations & binding of books	20.00	14.95	75
71.			2014-800-10 Implementation of Recommendations of 13th finance Commission)	3,218.41	2,942.47	91
72.			2235-200-10 Implementation of Recommendations of 13th finance Commission	818.00	818.00	100
73.			2014-102-04 Implementation of Recommendations of 13th finance Commission)	61.00	61.00	100
74.			2014-800-05 Provision for maintains of department building	15.00	15.00	100
75.			4059-C01-051-01 Central Plan	11,800.01	8,702.98	74
76.			4059-60-051-10 Implementation of Recommendations of 13th finance Commission	210.59	163.09	77
77.	44	Tourism Department	3452-104-01 Central Plan	50.00	50.00	100
78.			3452-104-09 Operation of Shilpgram Agra for whole year	246.00	171.55	70

79.			3452-800-97 Externally Aided Schemes	100.00	100.00	100
80.			5452-800-01 Central Plan	6,110.65	3389.19	55
81.			5452-800-97 Externally Aided Schemes	1,000.00	1,000.00	100
82.	46	Administrative Reforms Department	4059-051-01 Central Plan	1,500.00	1,500.00	100
83.	47	Technical Education Department	2203-105-18 Establishment of New Polytechnic (men/women) In Bundelkhand region	27.50	15.53	56
84.			2203-112-17 Vocational Courses run by education department	31.68	24.15	76
85.			2203-800-04 Savitri Bai Phoole Girls Welfare Scheme	251.00	243.98	97
86.	48	Minorities Welfare Department	2202-800-01 Central Plan	6,200.00	3,282.35	53
87.			2202-800-11 Savitri Bai Phoole Girls Welfare Scheme	1,800.00	1,800.00	100
88.			4202-800-01 Central Plan	2,750.00	2,725.00	99
89.	50	Revenue Department (District Admn.)	2053-093-03 Collectorate Establishment	15.54	13.06	84
90.	51	Revenue Department (Relief on Account of Natural Calamities)	2245-800-06 Management Authority	1,161.87	641.12	55
91.			2245-800-07 District Calamity Management Authority	300.00	300.00	100
92.			4250-101-04 Preparation before Calamities, minimization of natural calamities & capital work/long term repair/ construction/ re-construction in unavoidable circumstances	1,000.00	1,000.00	100
93.			4250-101-05 Expenditure from State Disaster Mitigation Fund	500.00	500.00	100
94.			4250-101-06 Expenditure from District Disaster Mitigation Fund	500.00	500.00	100
95.	52	Revenue Department (Board of Revenue & Other Expenditure)	2216-700-04 Minor Construction work in residential building of Board of revenue	81.95	76.49	93

96.			2235-110-01 Central Plan	4,000.00	3,448.74	86
97.			2235-110-03 payment for premium of personal accidental insurance scheme	6,000.00	3,456.25	58
98.			4059-01-800-10 Minor Construction work in non-residential building of Board of revenue	95.45	81.66	86
99.	54	Public Works Department (Establishment)	2059-001-97 Externally Aided Schemes	101.03	59.49	59
100.	57	Public Works Department (Communication-Bridges)	5054--101-36 Construction of new bridges on different category of road in the state (Financed by NABARD)	15,180.00	11,236.70	74
101.	58	Public Works Department (Communication-Road)	5054-04-337-97 externally aided schemes	20,838.00	15,325.73	74
102.			5054-04-337-800-05 Lump-sum provision for management & planning work of information technology	174.80	164.80	94
103.			5054-80-800-03 other expenditure	506.00	353.05	70
104.	59	Public Works Department (Estate Directorate)	2216-01-700-09 Allotted to MLA's residences	845.55	595.55	70
105.	61	Finance Department (Debt Services & Other Expenditure)	2070-105-06 4 th state finance commission committee (Panchayati Raj & Local Bodies)	100.50	100.50	100
106.			2075-190-03 Grant for re-habitation to Govt. Public Sector/ corporations/autonomous institutions & cooperative institution	500.00	500.00	100
107.			6075-190-03 Loans for rehabilitation of State Govt. public sector/corporation/ autonomous bodies & co-operative societies.	4,000.00	3,298.63	82
108.	62	Finance Department (Superannuation & Pension)	2071-01-106-03 Contribution to Pensions & Gratuities	150.00	150.00	100
109.	67	Legislative Council Secretariat	2235-60-200 Lump-sum financial Assistance to dependents of deceased members of legislature council during the period of membership.	10.00	10.00	100

110.	68	Legislative Assembly Secretariat	2235-60-200-05 Lump-sum financial Assistance to the dependents of deceased members of legislature assembly died during the period of membership.	25.00	20.00	80
111.			6075-800-03 Interest Free Loans Revolving fund of SGPGI constituted for treatment of officers/staff of legislature assembly secretariat.	10.00	10.00	100
112.	71	Education Department (Primary Education)	2202-800-06 Digital photography of student & school in primary board & higher primary school	200.00	200.00	100
113.			(2071-104-109-04) Ability Scholarship for three year @ ₹15 per month per students of class 6 to 8 in every District (District plan)	40.00	40.00	100
114.	72	Education Department (Secondary Education)	2202-02-001-05) establishment of Professional Cell in Directorate of Education under professional education scheme	20.99	20.99	100
115.			2202-02-001-11 General Education (National Scholarship to Genius Students of Rural Areas of Secondary (Class 9-10) level	24.00	19.27	80
116.			2202-02-001-13 Increase in the rate of Scholarship of high school	40.00	29.90	75
117.			2202-02-001-18 Qualification Scholarships for three year@ ₹15 per month for class 6 to 8 in the plain area of the state	45.00	45.00	100
118.			2202-109-06 Opening of New Section & Inclusion of new subject in Govt. Hr. secondary school (District Plan)	53.99	27.81	52
119.			2202-02-109-08 upgradation of Government high school up to inter level (District plan)	7,045.31	3,728.76	53

120.			2202-02-109-26 Establishment of Govt. High School at Block Level in Asevit areas & up gradation of Govt. Girls Junior High School to High School level	94.62	47.85	51
121.			2202-110-06 General Education Up gradation of Kasturba Gandhi Girls School at High School Level	2,000.00	1,422.02	71
122.			2202-110-08 Agreement for payment of Honorarium to Subject specialist in non-Government Higher Secondary School	50.00	50.00	100
123.			4202-01-202-01 Central Plan	200.00	200.00	100
124.			4202-01-202-06 Construction of education offices & residential building at district level)	137.80	94.80	69
125.			2202-03-102-42 Grant to Sampurnan & Sanskrit University for publication of available handwritten script	100.00	100.00	100
126.			2202-03-102-23 organisation of monitoring cell in internal quality assurance cell & U.P. State Higher Education Council	50.00	50.00	100
127.	73	Education Department (Higher Education)	2202-03-102-50 Increase in Block- Grant for State University	2,500.00	2,500.00	100
128.			2202-103-800-05 Payment of Arrears	80,069.83	54,342.95	68
129.			2202-03-104-05 Panchheel degree college Agra	99.00	99.00	100
130.			2204-203-15 Provision for Basic Facilities in Government Degree College	400.00	300.00	75
131.			2204-203-22 Incentive grant to State University	300.00	300.00	100
132.			2052-090-04 Dev. & Extension of Secretariat Script Center & library	20.00	19.07	95
133.	78	Secretariat Administration Department	2052-090-11 Purchase of Computer, Laptop & Related equipment under e-Governance Scheme	500.00	471.32	94
134.			4059-80-800-04 Establishment of CCTV/Camera & Related equipment)	4,700.00	4,620.64	98

135.	84	General Administration Department	2070-800-04 Uttar Pradesh Civil Council	11.53	10.15	88
136.	86	Information Department	2220-01-800-07 Establishment of Film Development Fund	50.00	50.00	100
137.	92	Culture Department	4202-106-09 Construction of statue of Great Person	30.00	29.19	97
138.			4202-800-03 Construction of Auditorium	50.00	50.00	100
139.			4202-800-17 Construction of Cultural ground at Lok Evam Janjati & Cultural Institute	60.00	60.00	100
Total				4,57,928.68	3,23,394.11	

**Surrenders in excess of actual saving
(₹ 50 lakh or more)**

(Reference: Paragraph 2:3:9; Page 46)

(₹ in crore)

Sl. No.	Grant No.	Department	Total Grant	Saving	Amount surrendered	Amount surrendered in excess
Revenue - Voted						
1.	6	Industries Department (Handloom Industries)	37.48	8.12	9.31	1.19
2.	14	Agriculture & Other Allied Department (Panchayati Raj)	2,115.82	226.92	241.51	14.59
3.	28	Home Department (Political Pension & Other Exp.)	103.19	6.94	12.14	5.20
4.	32	Medical Department (Allopathy)	2,431.27	203.62	205.15	1.53
5.	43	Transport Department	90.78	4.43	5.73	1.30
6.	59	Public Works Department (Estate Directorate)	98.17	1.64	6.26	4.62
7.	60	Forest Department	356.68	5.32	6.23	0.91
8.	62	Finance Department (Superannuation & Pension)	9,974.60	68.97	130.96	61.99
9.	63	Finance Department (Treasury & Accounts Administration)	156.54	24.06	24.79	0.73
10.	65	Finance Department (Audit, Small Saving etc.)	158.07	14.40	14.93	0.53
11.	72	Education Department (Secondary Education)	6,543.94	785.84	834.22	48.38
12.	73	Education Department (Higher Education)	1,896.25	571.89	583.73	11.84
13.	76	Labour Department (Labour Welfare)	172.50	1.67	2.67	1.00
14.	89	Institutional Finance Department (Commercial Tax)	408.88	0.83	3.34	2.51
Total			24,544.17	1,924.65	2,080.97	156.32
Capital - Voted						
15.	13	Agriculture & Other Allied Department (Rural Development)	1256.40	48.63	49.70	1.07
16.	73	Education Department (Higher Education)	253.71	27.27	28.71	1.44
Total			1 510.11	75.9	78.41	2.51
Grand Total			26,054.28	2,000.55	2,159.38	158.83

**Statement of grants/appropriations in which savings occurred
but no part of which was surrendered**

(Reference: Paragraph 2:3:10; Page 46)

Sl. No.	Grant No.	Name of the Grant/Appropriation	Savings (₹ in Crore)	
			Revenue	Capital
I - Grants				
1.	4	Industries Department (Mines & Mineral)	0.41	0.81
2.	25	Home Department (Jails)	0	124.1985
3.	31	Medical Department (Medical Education & Training)	14.99	34.98
4.	34	Medical Department (Homeopathy)	3.81	0.86
5.	35	Medical Department (Family Welfare)	38.78	3.75
6.	41	Election Department	8.45	0
7.	49	Women & Child Welfare Department	180.62	1.29
8.	71	Education Department (Primary Education)	0	0.65
9.	79	Social Welfare Department (Welfare of Handicapped & Backward Class)	15.94	70.54
10.	80	Social Welfare Department (Social Welfare & Welfare of Scheduled Castes)	148.00	0
11.	81	Social Welfare Department (Tribal Welfare)	15.27	26.41
12.	83	Social Welfare Department (Special Component Plan for Scheduled Castes)	0	103.62
13.	87	Soldiers Welfare Department	0	0.004
14.	94	Irrigation Department (Works)	152.37	1,086.27
15.	95	Irrigation Department (Establishment)	14.71	0
Total			593.35	1,453.383
II - Appropriations				
16.	25	Home Department (Jails)	0.10	0
17.	35	Medical Department (Family Welfare)	0.15	0
18.	47	Technical Department	0.01	0
19.	49	Women & Child Welfare Department	0.10	0
20.	52	Revenue Department (Board of Revenue & Other Expenditure)	0	0.10
21.	54	Public Works Department (Establishment)	0.005	0
22.	73	Education Department (Higher Education)	0.01	0
23.	81	Social Welfare Department (Tribal Welfare)	0.001	0
24.	87	Soldiers Welfare Department	0.001	0
25.	94	Irrigation Department (Works)	0	5.58
26.	95	Irrigation Department (Establishment)	0.42	0
Total			0.797	5.68
Grand Total			594.147	1,459.063
Total of Revenue & Capital			2,053.21	

Appendix 2.10

Details of saving of ₹ one crore and above not surrendered (Reference: Paragraph 2:3:10; Page 46)

(₹ in crore)

Sl. No.	Grant No.	Name of Grants/Appropriation	Savings	Surrenders	Savings which remain to be surrendered
Revenue - Voted					
1	2	Housing Department	6.12	4.20	1.92
2	7	Industries Department (Heavy & Medium Industries)	228.42	194.94	33.48
3	9	Power Department	266.53	0.32	266.21
4	11	Agriculture & Other Allied Department (Agriculture)	217.67	148.26	69.41
5	13	Agriculture & Other Allied Department (Rural Development)	148.94	95.98	52.96
6	26	Home Department (Police)	149.67	115.16	34.51
7	27	Home Department (Civil Defence)	10.31	6.56	3.75
8	31	Medical Department (Medical Education & Training)	14.99	0	14.99
9	34	Medical Department (Homeopathy)	3.81	0	3.81
10	35	Medical Department (Family Welfare)	38.78	0	38.78
11	36	Medical Department (Public Health)	195.36	191.35	4.01
12	37	Urban Development Department	711.79	173.58	538.21
13	40	Planning Department	183.71	34.01	149.70
14	41	Election Department	8.45	0	8.45
15	42	Judicial Department	230.59	222.09	8.50
16	45	Environment Department	6.55	0.28	6.27
17	47	Technical Department	42.53	4.29	38.24
18	48	Minorities Welfare Department	272.00	173.86	98.14
19	49	Women & Child Welfare Department	180.62	0	180.62
20	50	Revenue Department (District Admin.)	32.95	31.01	1.94
21	52	Revenue Department (Board of Revenue & Other Expenditure)	104.39	93.53	10.86
22	54	Public Works Department (Establishment)	396.56	0.92	395.64
23	61	Finance Department (Debt Services & Other Expenditure)	77.26	57.60	19.66

24	70	Science & Technology Department	5.00	1.54	3.46
25	75	Education Department (State Council of Education Research & Training)	14.43	1.05	13.38
26	79	Social Welfare Department (Welfare of Handicapped & Backward Classes)	15.94	0	15.94
27	80	Social Welfare Department (Social welfare & Welfare of Scheduled Castes)	148.00	0	148.00
28	81	Social Welfare Department (Tribal Welfare)	15.27	0	15.27
29	83	Social Welfare Department (Special Component Plan for Scheduled Castes)	110.33	0	110.33
30	84	General Administration Department	69.30	61.60	7.70
31	86	Information Department	69.36	8.35	61.01
32	87	Soldiers Welfare Department	6.01	0	6.01
33	94	Irrigation Department (Works)	152.37	0	152.37
34	95	Irrigation Department (Establishment)	14.71	0	14.71
Total			4,148.72	1,620.48	2,528.24
Capital - Voted					
1	11	Agriculture & Other Allied Department (Agriculture)	50.30	40.37	9.93
2	21	Food Department	3,963.00	21.88	3,941.12
3	26	Home Department (Police)	356.13	332.30	23.83
4	32	Medical Department (Allopathy)	39.30	38.31	0.99
5	37	Urban Development Department	687.12	679.83	7.29
6	42	Judicial Department	96.09	93.68	2.41
7	47	Technical Department	24.11	9.52	14.59
8	61	Finance Department (Debt Services & Other Expenditure)	153.04	97.09	55.95
Total			5,369.09	1,312.98	4,056.11
Capital - Charged					
1	21	Food Department	1,509.32	0.03	1,509.29
2	94	Irrigation Department (Works)	5.58	0	5.58
Total			1,514.9	0.03	1,514.87
Grand Total			11,032.71	2,933.49	8,099.22

**Cases of surrender of funds in excess of ₹ 10 crore
on 31 march 2011**

(Reference: Paragraph 2.3.10; Page 46)

Sl. No.	Grant No.	Name of the Grant/Appropriation	Amount of surrender (₹ in crore)	Total provision (in Per cent)
Revenue - Voted				
1.	5	Industries Department (Handloom & Village Industries)	76.63	62
2.	7	Industries Department (Heavy & Medium Industries)	194.94	74
3.	10	Agriculture & Other Allied Department (Horticulture & Sericulture Development)	11.55	8
4.	12	Agriculture & Other Allied Department (Land Development & Water Resources)	93.04	35
5.	15	Agriculture & Other Allied Department (Animal Husbandry)	19.84	5
6.	26	Home Department (Police)	115.16	2
7.	36	Medical Department (Public Health)	191.35	33
8.	37	Urban Development Department	173.58	13
9.	40	Planning Department	34.01	9
10.	42	Judicial Department	222.09	22
11.	48	Minorities Welfare Department	173.86	21
12.	50	Revenue Department (District Administration)	31.01	6
13.	52	Revenue Department (Board of Revenue & Other Expenditure)	93.53	6
14.	62	Finance Department (Superannuation & Pension)	130.96	1
15.	63	Finance Department (Treasury & Accounts Administration)	24.79	16
16.	65	Finance Department (Audit, Small Saving etc.)	14.93	9
17.	72	Education Department (Secondary Education)	834.22	13
18.	73	Education Department (Higher Education)	583.73	31
19.	84	General Administration Department	61.60	21
Total			3,080.82	
Revenue - Charged				
20.	42	Judicial Department	22.39	13
Total			22.39	

Capital - Voted				
21.	7	Industries Department (Heavy & Medium Industries)	60.87	28
22.	9	Power Department	631.48	13
23.	11	Agriculture & Other Allied Department (Agriculture)	40.37	7
24.	12	Agriculture & Other Allied Department (Land Development & Water Recourses)	75.00	100
25.	13	Agriculture & Other Allied Department (Rural Development)	49.70	4
26.	21	Food Department	21.88	0.21
27.	26	Home Department (Police)	332.30	54
28.	32	Medical Department (Allopathy)	38.31	13
29.	37	Urban Development Department	679.83	33
30.	42	Judicial Department	93.68	58
31.	44	Tourism Department	44.01	30
32.	46	Administrative Reforms Department	15	100
33.	48	Minorities Welfare Department	165.56	39
34.	51	Revenue Department (Relief on Account of Natural Calamities)	20	80
35.	57	Public Works Department (Communication- Bridges)	144.13	18
36.	58	Public Works Department (Communication-Road)	248.54	8
37.	60	Forest Department	43.63	35
38.	61	Finance Department (Debt Services & Other Expenditure)	97.09	19
39.	73	Education Department (Higher Education)	28.71	11
40.	78	Secretariat Administration Department	46.21	98
		Total	2,876.3	
Capital - Charged				
41.	61	Finance Department (Debt Services & Other Expenditure)	9,287.64	59
		Total	9,287.64	
		Grand Total	15,267.15	

Appendix 3.1

Utilisation Certificate Ourstanding as on 31 march 2011

(Reference: Paragraph 3.1; Page 49)

(₹ in lakh)

Sl. No.	Department	Year of Payment of Grant	Total Grant paid		Utilisation Certificate				Reasons for UCs remaining outstanding
			No.	Amount	Received		Outstanding		
					No.	Amount	No.	Amount	
1	Department of Dairy Development	2007-08	881	1,17,51.94	325	4,58.66	556	1,12,93.28	Reasons not furnished
		2008-09	812	83,85.29	242	27,48.90	570	56,36.39	
		2009-10	552	10,82.07	98	2,68.59	454	8,13.48	
2	Department of Agriculture & Other Allied Activities (Nibandhak Cooperative Societies)	2009-10	9	84,94.97	6	81,59.10	3	3,35.87	Reasons not furnished
3	Department of Tourism	2005-06	NA	30.00	NA	9.50	NA	20.50	Reasons not furnished
		2006-07	NA	45.00	NA	11.50	NA	33.50	
		2007-08	NA	45.00	NA	21.00	NA	24.00	
		2008-09	NA	22.50	NA	15.28	NA	7.22	
		2009-10	NA	45.00	NA	43.50	NA	1.50	
4	Department of Industries (Handicrafts)	2005-06	542	11,49.80	304	6,56.65	238	4,93.15	Reasons not furnished
		2006-07	482	11,01.60	163	3,53.06	319	7,48.54	
		2007-08	368	3,80.68	100	5.18	268	3,75.50	
		2008-09	112	36,50.34	110	36,16.45	2	33.89	
		2009-10	110	4,00.78	107	3,53.93	3	46.85	
5	Department of Karmik (Training and Other Expenditure)	2008-09	NA	5,81.84	NA	4,28.32 ¹	NA	1,53.52	Reasons not furnished
6	Department of Environment	2006-07	1	2.00	Nil	0.00	1	2.00	Reasons not furnished
		2009-10	2	84.34	Nil	0.00	2	84.34	
7	Department of Technical Education	2007-08	2	15,00.00	1	7,00.00	1	8,00.00	Reasons not furnished
		2008-09	3	21,43.55	3	16,43.55	NA	5,00.00	
		2009-10	3	30,00.00	1	7,50.00 ²	2	22,50.00	
8	Department of Languages	2008-09	NA	3,99.67	NA	3,93.53 ³	NA	6.14	Reasons not furnished
		2009-10	NA	5,52.88	NA	5,43.37	NA	9.51	
9	Department of Justice	2005-06	NA	10.40	NA	7.93	NA	2.47	Reasons not furnished
		2006-07	NA	14.43	NA	11.39	NA	3.04	

¹ Surrendered Amount included ₹ 57.15 lakh

² Order has been issued for depositing ₹ 750 lakh in treasury.

³ Surrendered amount included ₹ 14.15 lakh

		2007-08	NA	3.47	NA	1.04	NA	2.43	
		2008-09	NA	2,92.77	NA	1,46.19	NA	1,46.58	
		2009-10	NA	2,59.04	NA	1,76.14	NA	82.90	
10	Department of Political Pension & Other Expenditure	2008-09	72	8.00	32	3.42	40	4.58	Reasons not furnished
		2009-10	72	8.00	Nil	0.00	72	8.00	
11	Department of Industries (Laghu Udyog)	2005-06	29	56,08.41	28	55,58.41	1	50.00	Reasons not furnished
		2007-08	11	12,60.99	9	11,35.99	2	1,25.00	
		2008-09	16	15,32.54	14	14,92.59	2	39.95	
		2009-10	17	10,04.99	16	9,20.99	1	84.00	
12	Department of Minority	2006-07	3	1,86.35	2	1,71.35	1	15.00	Reasons not furnished
		2009-10	3	5,59.27	2	2,94.27	1	2,65.00	
13	Department of Social Welfare	2008-09	7	3,13.15	2	60.35 ⁴	5	2,52.80	Reasons not furnished
		2009-10	295	17,39,10.44	20	4,06,55.67 ⁵	275	13,32,54.77 ⁶	
14	Forest Department (Social and Agricultural Forestry)	2006-07	01	7,00.00	Nil	0.00	01	7,00.00	Reasons not furnished
15	Social Welfare Department (Backward Class Welfare)	2007-08	NA	10,00.00	NA	9,97.05	NA	2.95	Reasons not furnished
		2008-09	NA	30,00.00	NA	29,99.99	NA	0.01	
16	Social Welfare Department (ST Development)	2006-07	50	1,22.69	26	99.02	24	23.67	Reasons not furnished
		2007-08	60	8,71.30	9	2,97.32	51	5,73.98	
		2008-09	50	8,59.85	7	7.28	43	8,52.57	
		2009-10	47	5,92.16	7	3,62.98	40	2,29.18	
17	Department of Science and Technology	2007-08	12	15,96.23	10	15,73.02	2	23.21	Reasons not furnished
18	Agriculture & other allied Department (Punchayati Raj)	2009-10	142	1,12,02.61	12	9,89.81	130	1,02,12.80	Reasons not furnished
19	Director Information & Public Relation Department	2005-06	7	51.00	2	25.00	5	26.00	Reasons not furnished
		2006-07	18	1,94.86	12	1,18.86	6	76.00	
Total							3121	17,07,26.07	

Note: The department has not furnished the complete information in these cases.

⁴ Surrendered amount included ₹ 60.35 lakh

⁵ Surrendered amount included ₹ 12.53 lakh

⁶ 6563.06 Lakh outstanding utilisation certificate given by State Urban Development Agency for which Grant wise details have not been given.

Appendix 3.2

Statement showing performance of the Autonomous Bodies

(Reference: Paragraph 3.3; Page 52)

Sl. No.	Name of Body	Period of entrustment	Year upto which accounts were rendered	Period upto which SAR is issued	Placement of SAR in the Legislature	Delay in submission of accounts	Period of delay
1	2	3	4	5	6	7	8
1	Jal Sansthan, Kanpur	2001-10	2009-10	2009-10	These are not placed before the Legislature.	-	2 month
2	Jal Sansthan, Chitrakoot Dham Mandal , Banda	2001-10	2009-10	2009-10		-	2 month
3	Jal Sansthan, Allahabad	2001-10	2009-10	Under process		-	2 month
4	Jal Sansthan, Lucknow	2001-10	2009-10	2009-10		-	2 month
5	Jal Sansthan, Varanasi	2001-10	2008-09	2008-09		2009-10	14 month accounts not received
6	Jal Sansthan, Jhansi	2001-10	2009-10	Under process		-	2 month
7	Jal Sansthan, Agra	2001-10	2009-10	Under process		-	2 months
8	UP Khadi Gramodyog Board Lucknow	2004-14	2008-09	Under process	placement of SAR ending 2004-05 and 2005-06 is in process	2009-10 & 2010-11	2-14 months
9	UP State Legal Services Authority, Lucknow	As per Act Provision	2006-07 2007-08 2008-09	2006-09	placement of SAR ending 2006-07, 2007-08 and 2008-09 is in process	2009-10 & 2010-11	2-14 months

Statement of finalisation of accounts and investment in departmentally managed commercial and quasi-commercial undertakings.

(Reference: Paragraph 3.4; Page 53)

Sl. No.	Name of the Undertaking	Accounts finalised up to	Investment as per the last accounts finalised (₹ in crore)
Irrigation Department			
1	IWD, Meerut	2010-11	0.46
2	IWD, Jhansi	2010-11	0.52
3	IWD, Bareilly	2010-11	2.43
4	IWD, Kanpur	2010-11	0.24
5	IWD, Allahabad	2010-11	4.53
6	IWD, Gorakhpur	2010-11	1.54
Animal Husbandry Department			
7	State Live Stock Cum Agriculture Farm	2009-10	17.03
Food and Civil Supplies Department			
8	Scheme for Public Distribution System of Food grain	2008-09	2,132.69
Health Department			
9	State Pharmacy of Ayurvedic and Unani Medicines	1987-88	0.09
Samaj Kalyan Department			
10	Criminal Tribes Settlement Tailoring Factory (Kanpur)	1979-80	0.04
Total			2,159.57

Appendix 3.4

Departmentwise/durationwise break-up of the cases of misappropriation, defalcation, etc., (cases where final action was pending at the end of March 2011) (Reference: Paragraph 3.5; Page 53)

(Figures in bracket indicate ₹ in lakh)

Sl. No.	Department	Up to 5 years	5 to 10 years	10 to 15 years	15 to 20 years	20 to 25 years	Above 25 years	Total no. of cases
1	Agriculture	-	4 (9.09)	-	-	1 (0.16)	-	5 (9.25)
2	Animal Husbandry	-	2 (3.46)	5 (0.88)	4 (1.55)	4 (0.64)	1 (0.02)	16 (6.55)
3	Co-operative	-	-	1 (1.28)	1 (0.17)	-	-	2 (1.45)
4	Education	4 (111.34)	-	1 (5.00)	-	-	-	5 (116.34)
5	Fisheries	-	-	-	3 (2.07)	-	-	3 (2.07)
6	Food and Supplies	-	1 (3.06)	-	2 (4.16)	4 (19.53)	2 (2.03)	9 (28.78)
7	Irrigation	17 (58.50)	10 (0.52)	23 (4.58)	3 (5.33)	-	-	53 (68.93)
8	Judiciary	1 (4.44)	-	-	-	1 (0.66)	-	2 (5.10)
9	Land Acquisition	-	-	-	-	-	3 (331.78)	3 (331.78)
10	Medical & Health and Family Welfare	-	-	1 (1.53)	4 (5.79)	10 (11.09)	-	15 (18.41)
11	Police	1 (4.00)	-	-	1 (1.21)	1 (0.60)	3 (2.94)	6 (8.75)
12	PAC	-	-	1 (47.48)	-	1 (0.51)	-	2 (47.99)
13	PWD	8 (132.97)	4 (21.56)	-	-	-	-	12 (154.53)
14	Revenue	-	-	1 (1.72)	-	1 (0.33)	3 (6.09)	5 (8.14)
15	Rural Development	-	-	-	3 (1.65)	5 (1.48)	4 (0.71)	12 (3.84)
16	Social Welfare	-	-	1 (0.25)	-	-	2 (0.70)	3 (0.95)
17	Technical Education	-	1 (11.59)	-	-	-	-	1 (11.59)
18	Weight and Measurement	-	-	-	-	1 (1.01)	-	1 (1.01)
19	Horticulture	1 (3.59)	-	-	-	-	-	1 (3.59)
20	Finance	-	-	-	-	1 (0.67)	-	1 (0.67)
	Total	32 (314.84)	22 (49.28)	34 (62.72)	21 (21.93)	30 (36.68)	18 (344.27)	157 (829.72)

Appendix 3.5

Department/categorywise details in respect of cases of loss to the Government due to theft, misappropriation/loss of the Government material

(Reference: Paragraph 3.5; Page 53)

(₹ in lakh)

Name of the Department	Theft cases		Misappropriation/ Loss of Government Material		Total	
	Number of Cases	Amount	Number of Cases	Amount	Number of Cases	Amount
Agriculture	2	1.63	3	7.62	5	9.25
Animal Husbandry	11	1.78	5	4.77	16	6.55
Co-operative	1	1.28	1	0.17	2	1.45
Education	1	5.00	4	111.34	5	116.34
Fisheries	-	-	3	2.07	3	2.07
Food and Supplies	-	-	9	28.78	9	28.78
Irrigation	45	2.61	8	66.32	53	68.93
Judiciary	-	-	2	5.1	2	5.1
Land Acquisition	-	-	3	331.78	3	331.78
Medical & Health	12	14.43	3	3.98	15	18.41
Police	-	-	6	8.75	6	8.75
PAC	-	-	2	47.99	2	47.99
PWD	3	1.63	9	152.90	12	154.53
Revenue	-	-	5	8.14	5	8.14
Rural Development	5	1.34	7	2.5	12	3.84
Social Welfare	-	-	3	0.95	3	0.95
Technical Education	-	-	1	11.59	1	11.59
Weights and Measurement	1	1.01	-	-	1	1.01
Horticulture	-	-	1	3.59	1	3.59
Finance	-	-	1	0.67	1	0.67
Total					157	829.72

Appendix 3.6

Departmentwise details of cases of settled/written off during 2010-11

(Reference: Paragraph 3.5; Page 53)

(₹ in lakh)

Sl. No.	Name of Department	Authority	Brief Particulars	No. of cases	Amount
1	Fisheries	Government of Uttar Pradesh	Theft of jeep on dated 23-12-84 from assistant Director Fisheries, Sitapur	One	0.50
2	Fisheries	Government of Uttar Pradesh	Theft of jeep No. UPG-1627 from assistant Director Fisheries, Meerut	One	0.50
3	Fisheries	Government of Uttar Pradesh	Loss by fire of jeep No. UTO-3618 in the office of Officer-in-charge Fisheries Development, Jaunpur	One	0.10
4	Fisheries	Government of Uttar Pradesh	Loss of fish from Poison in Fisheries Form Nawabganj, Unnao	One	0.02
Total					1.12

Basis of calculation

Terms	Basis of calculation
Buoyancy of a parameter	Rate of Growth of the parameter/GSDP Growth Rate
Buoyancy of a parameter (X) With respect to another parameter (Y)	Rate of Growth of parameter (X)/ Rate of Growth of parameter (Y)
Rate of Growth (ROG)	$[(\text{Current year Amount} / \text{Previous year Amount}) - 1] * 100$
Development Expenditure	Social Services + Economic Services
Average interest paid by the State	Interest payment / $[(\text{Amount of previous year's Fiscal Liabilities} + \text{Current year's Fiscal Liabilities}) / 2] * 100$
Interest spread	GSDP growth – Average Interest Rate
Quantum spread	Debt stock * Interest spread
Interest received as <i>per cent</i> to Loans Outstanding	Interest Received $[(\text{Opening balance} + \text{Closing balance of Loans and Advances}) / 2] * 100$
Revenue Deficit	Revenue Receipt – Revenue Expenditure
Fiscal Deficit	Revenue Expenditure + Capital Expenditure + Net Loans and Advances – Revenue Receipts – Miscellaneous Capital Receipts
Primary Deficit	Fiscal Deficit – Interest payments
Balance from Current Revenue (BCR)	Revenue Receipts minus all Plan Grants and Non-Plan Revenue Expenditure excluding expenditure recorded under the major head 2048 – Appropriation for reduction of Avoidance of debt.

Explanation of terms

Terms	Explanation
Buoyancy ratio	Buoyancy ratio indicates the elasticity or degree of responsiveness of a fiscal variable with respect to a given change in the base variable. For instance, for 2008-09, revenue buoyancy at 0.8 implies that revenue receipts tend to increase by 0.8 percentage points, if the GSDP increases by one <i>per cent</i> .
Core public goods and merit goods	Core public goods are which all citizens enjoy in common in the sense that each individual's consumption of such a good leads to no subtractions from any other individual's consumption of that good, e.g. enforcement of law and order, security and protection of our rights; pollution free air and other environmental goods and road infrastructure etc. Merit goods are commodities that the public sector provides free or at subsidised rates because an individual or society should have them on the basis of some concept of need, rather than ability and willingness to pay the government and therefore wishes to encourage their consumption. Examples of such goods include the provision of free or subsidised food for the poor to support nutrition, delivery of health services to improve quality of life and reduce morbidity, providing basic education to all, drinking water and sanitation etc
Development expenditure	The analysis of expenditure data is disaggregated into development and non-development expenditure. All expenditure relating to Revenue Account, Capital Outlay and Loans and Advances is categorised into social services, economic services and general services. Broadly, the social and economic services constitute development expenditure, while expenditure on general services is treated as non-development expenditure.
Debt sustainability	The Debt sustainability is defined as the ability of the State to maintain a constant debt-GSDP ratio over a period of time and also embodies the concern about the ability to service its debt. Sustainability of debt therefore also refers to sufficiency of liquid assets to meet current or committed obligations and the capacity to keep balance between costs of additional borrowings with returns from such borrowings. It means that rise in fiscal deficit should match with the increase in capacity to service the debt.
Debt stabilisation	A necessary condition for stability states that if the rate of growth of economy exceeds the interest rate or cost of public borrowings, the debt-GSDP ratio is likely to be stable provided primary balances are either zero or positive or are moderately negative. Given the rate spread (GSDP growth rate – interest rate) and quantum spread (Debt*rate spread), debt sustainability condition states that if quantum spread together with primary deficit is zero, debt-GSDP ratio would be constant or debt would stabilise eventually. On the other hand, if primary deficit together with quantum spread turns out to be negative, debt-GSDP ratio would be rising and in case it is positive, debt-GSDP ratio would eventually be falling.
Sufficiency of non-debt receipts	Adequacy of incremental non-debt receipts of the State to cover the incremental interest liabilities and incremental primary expenditure. Debt sustainability could be significantly facilitated if the incremental non-debt receipts could meet the incremental interest burden and the incremental primary expenditure.
Net availability of borrowed funds	Defined as the ratio of the debt redemption (Principal + Interest Payments) to total debt receipts and indicates the extent to which the debt receipts are used in debt redemption indicating the net availability of borrowed funds.

Appropriation Accounts	Appropriation Accounts present the total amount of funds (Original and Supplementary) authorised by the Legislative Assembly in the budget grants under each voted grants and charged appropriation vis-à-vis the actual expenditure incurred against each and the unspent provisions or excess under each grant or appropriation. Any expenditure in excess of the grants requires regularisation by the Legislature.
Autonomous Bodies	Autonomous Bodies (usually registered Societies or Statutory Corporations) are set up whenever it is felt that certain functions need to be discharged outside the governmental set up with some amount of independence and flexibility without day-to-day interference of the Governmental machinery.
Committed expenditure	The committed expenditure of the State Government on revenue account mainly consists of interest payments, expenditure on salaries and wages, pensions and subsidies on which the present executive has limited control.
State Implementing Agency	State Implementing Agency includes any Organisation/Institution including Non-Governmental Organisation which is authorised by the State Government to receive the funds from the Government of India for implementing specific programmes in the State, e.g. State Health Mission for National Rural Health Mission and UP Rural Roads Development Agency for Pradhanmantri Gram Sadak Yojna, etc.
Contingent liability	Contingent liabilities may or may not be incurred by an entity depending on the outcome of a future event such as a court case.
Sinking Fund	A Fund into which the government sets aside money over time, in order to retire its debt.
Guarantee Redemption Fund	Guarantees are liabilities contingent on the Consolidated Fund of the State in case of default by the borrower for whom the guarantee has been extended. As per the terms of the Guarantee Redemption Fund, the State Government was required to contribute an amount equal to atleast 1/5 th of the outstanding invoked guarantees plus an amount likely to be invoked as a result of the incremental guarantees during the year
Internal Debt	Internal Debt comprises regular loans from the public in India, also termed 'Debt raised in India'. It is confined to loans credited to the Consolidated Fund.
Primary revenue expenditure	Primary revenue expenditure means revenue expenditure excluding interest payments.
Re-appropriation	Means the transfer of funds from one Primary unit of appropriation to another such unit.
Public Accounts Committee	A Committee constituted by the Legislative Assembly for the examination of the reports of the Comptroller and Auditor General of India relating to the appropriation accounts of the State, the annual financial accounts of the State or such other accounts or financial matters as are laid before it or which the Committee deems necessary to scrutinise.

Acronyms

Acronyms	Full form
AC Bill	Abstract Contingency Bill
AE	Aggregate Expenditure
BE	Budget Estimates
CAG	Comptroller and Auditor General of India
CE	Capital Expenditure
DCC Bill	Detailed Countersigned Contingency Bill
DCRF	Debt Consolidation and Relief Facility
DE	Development Expenditure
FCP	Fiscal Correction Path
FRBM	Fiscal Responsibility and Budget Management Act
GOI	Government of India
GSDP	Gross State Domestic Product
IP	Interest Payment
MTRPS	Medium Term Fiscal Restructuring Policy Statement
NPPE	Non Plan Revenue Expenditure
O&M	Operation and Maintenance
PAC	Public Accounts Committee
PRIs	Panchayati Raj Institutions
RE	Revenue Expenditure
RR	Revenue Receipts
S&W	Salaries and Wages
SAR	Separate Audit Report
SSE	Social Sector Expenditure
TE	Total Expenditure
TFC	Thirteenth Finance Commission
UC	Utilisation Certificate
ULBs	Urban Local Bodies