

Appendix 3.1

Details of irregularities noticed in enlistment of contractors at E-in-C/CE/SE/EE level

(Reference: Paragraph no. 3.3)

Sl. No.	Issue	Item	E-in-C	CE	SE	EE	Total
1	Security	Short security accepted			2		2
		Security furnished by Contractor not verified from issuing authorities		7	8	159	174
		Security furnished by Contractor not pledged in favour of concerned authorities	1	1	2		4
2	Solvency certificate	No seal and stamp of DM office on verification of Solvency certificates	3	6			9
		Verification of solvency certificate not carried out from the issuing authorities			3		3
		Verification of solvency certificate not ensured				185	185
3	Character certificate	No seal and stamp of DM office on verification of character certificates		4			4
		Verification of character certificate not ensured				162	162
		Character certificate of all partners not furnished			1		1
4	Experience certificate	Experience certificate attached belonged to other contractor		10			10
		Verification of experience certificate not done		14	2		16
		Experience certificate not furnished				225	225
		Experience certificate of previous five works not enclosed			3		3
5	PAN	Furnishing of PAN in the name of firm not ensured		6			6
		PAN not attached				21	21
6	Clearance/TIN	TIN not attached				20	20
		Clearance certificate from Trade Tax department was not attached		20	5		25
7	Balance Sheet	Contractors' did not furnish copies of balance sheet of last five years with their applications	3	9	5		17
8	Partnership/Power of attorney	Partnership deeds were not furnished		3			3
		Power of attorney not enclosed		3	5		8
9	Time limit	CE failed to forward cases to E-in-C in stipulated one month time		4			4

Appendix 4.1**Advance payment to Indian Oil Corporation
(Direct debit to works)***(Reference: Paragraph no. 4.1.1)***(₹ in crore)**

Sl. No	Name of Division	Period	Amount
1	PD, Basti	09/2014 to 03/2016	15.64
2	CD(B), Gorakhpur	03/2016	2.00
3	CD-3, Gorakhpur	03/2015 and 03/2016	6.94
4	CD, Mainpuri	03/2012, 03/2013, 03/2014, and 03/2015	20.17
5	PD, Moradabad	03/2016	5.08
6	PD, Unnao	03/2015	0.96
7	CD-1 Basti	03/2014	1.50
8	PD, Gazipur	10/2014, 02/2015, 10/2015	13.14
9	PD, Hardoi	03/2015 and 03/2016	2.30
10	PD, Gonda	03/2012, 03/2013, 03/2014, 03/2015, 03/2016	20.17
11	PD, Lucknow	03/2012	1.96
12	CD-1, Lucknow	03/2012, 03/2013, 03/2014, 03/2015, 03/2016	18.24
13	CD-2, Lucknow	03/2012, 03/2013, 03/2014, 03/2015, 03/2016	23.15
14	CD-2, Mirzapur	03/2012, 03/2013, 03/2014, 03/2015, 03/2016	25.41
15	CD, Saharanpur	03/2015 and 03/2016	2.85
16	PD, Saharanpur	03/2016	8.72
17	CD-3, Saharanpur	03/2016	11.60
Total			179.83

Appendix 4.2

Details of labour cess deducted

(Reference: Paragraph no. 4.2)

(₹ in lakh)

Division	Added and deducted from bill				Deducted from bill of contractor				Deemed to be direct credited			
	No. of CBs	Cost of CBs	Value of work done	Labour cess	No. of CBs	Cost of CBs	Value of work done	Labour cess	No. of CBs	Cost of CBs	Value of work done	Labour cess
CD-1, Lucknow	-	-	-	-	5	4,218.82	3,517.88	35.18	-	-	-	-
CD-2, Lucknow	-	-	-	-	5	26,771.61	5,161.98	51.62	-	-	-	-
CD-2, Mirzapur	-	-	-	-	-	-	-	-	6	13,936.01	11,179.99	163.09
CD-3, Jhansi	-	-	-	-	1	2,140.62	2,133.31	21.33				
CD-3 Mainpuri	-	-	-	-					4	25,276.51	27,322.44	273.22
CD, Mainpuri	-	-	-	-					5	7,210.73	6,334.16	63.34
CD, Saharanpur	-	-	-	-	2	1,771.09	1,714.81	17.15	2	3,238.82	3,082.33	30.83
CD, Budaun	-	-	-	-					6	18,586.35	16,815.46	168.15
CD-1, Moradabad	-	-	-	-	5	10,615.55	10,234.37	102.35				
CD-1, Agra	1	311.99	105.26	0.90	-	-	-	-	5	5,401.85	9,884.83	98.84
CD-1, Basti	4	6,846.27	5,905.31	29.02	-	-	-	-	3	4,139.92	2,696.97	24.01
CD-1, Siddharth Nagar	-	-	-	-	-	-	-	-	5	10,906.66	8,780.65	87.82
CD-1, Unnao	4	4019.39	4,254.94	41.19	2	1,827.34	1,614.75	16.14	-	-	-	-
CD-2, Agra	5	14068.39	8,457.63	72.43	-	-	-	-	-	-	-	-
CD-3, Gorakhpur	3	1765.64	1,717.79	17.18	-	-	-	-	1	364.11	424.04	4.24
CD-3, Jhansi	-	-	-	-	3	4,352.87	4,260.11	42.60				
CD-3, Saharanpur	-	-	-	-	2	1,884.53	2,363.97	23.64	5	4,884.38	4,816.50	48.16
CD (Building), Gorakhpur	1	1,611.28	1,653.17	16.53	-	-	-	-	3	4,835.32	4,240.62	42.41
PD, Agra	5	16,882.16	19,964.16	199.65	-	-	-	-				
PD, Basti	5	12,729.53	8,545.86	85.46	-	-	-	-				
PD, Budaun	-	-	-	-	-	-	-	-	5	17,202.11	15,238.51	152.39
PD, Ghazipur	-	-	-	-	-	-	-	-	5	6,472.96	3,587.44	35.87
PD, Hardoi	1	435.30	403.76	4.49	5	7,167.26	6,658.95	66.59	-	-	-	-
PD, Lucknow	-	-	-	-	6	13,143.95	11,472.96	114.74	-	-	-	-
PD, Mirzapur	-	-	-	-	4	836.40	585.82	5.85	-	-	-	-
PD, Moradabad	-	-	-	-	5	9,196.06	9,045.97	90.47	-	-	-	-
PD, Saharanpur	-	-	-	-	1	946.06	286.15	2.86	4	2,538.59	3,823.27	38.23
PD, Unnao	1	2,484.20	2,388.58	23.89	4	15,799.08	12,412.69	124.13	-	-	-	-
PD, Gonda	3	9,849.97	3,222.87	31.43	2	595.56	523.08	5.23	-	-	-	-
PD, Gorakhpur	-	-	-	-	-	-	-	-	9	17,162.47	9,926.14	99.29
PD, Hapur	-	-	-	-	4	7,276.65	7,020.61	70.20	1	872.44	841.43	8.41
PD, Jhansi	-	-	-	-	6	14,060.13	12,772.74	127.72	-	-	-	-
PD, Mainpuri	-	-	-	-	-	-	-	-	6	12,559.38	12,396.34	123.97
PD, Sambhal	-	-	-	-	4	11,618.71	10,653.18	106.54	2	2,650.28	2,747.64	27.47
Grand Total	33	71,004.12	56,619.33	522.17	66	1,34,222.29	1,02,433.33	1,024.34	77	1,58,238.89	1,44,138.76	1,489.74

Appendix 4.3**Different rates for same item in Schedule of Rates***(Reference: Paragraph no. 4.3.1)***2011-12****(in ₹)**

Name of Material	Name of District (Rate per cum)	
	Agra	Mainpuri
Stone ballast (Ghata Bakoli Quarry Hand broken) 45-90 mm gauge	300	200
Crushed Stone ballast (at Khera Thakur) 45-63 mm gauge	500	415
Crushed Stone ballast (at Khera Thakur) 22.4-53 mm gauge	600	500
Crushed Stone dust 2.36 mm and below	400	320

2012-13**(in ₹)**

Name of Material	Name of District (Rate per cum)	
	Bareilly	Mainpuri
Crushed Stone Ballast and Grit (At Crusher in km. 93 of Bareilly Bageshwar Road:		
45-90mm gauge Stone Ballast	735	520
45-63mm gauge Stone Ballast	735	555
22.4-53mm gauge Stone Ballast	735	585
All size stone grit	800	700
Crushed Stone Dust 2.36 mm and below	960	700
Stone Boulder 5-20 kg in weight	440	450

2014-15**(in ₹)**

Name of Material	Name of District (Rate per cum)	
	Agra	Mainpuri
Stone Ballast (From Khera Thakur Quarry) 45-90 mm gauge	525	400
Crushed Stone Ballast (from Ghatri Quarry) 45-63 mm gauge	600	500
22.4-53 mm gauge	700	600
40mm gauge stone ballast	850	750
Crushed Stone Dust 2.36mm and below	600	500
Crushed Stone Grit (from Ghatri Quarry)		
For Non bituminous work		
13.20mm gauge	825	725
11.20mm gauge	815	715
6.7mm gauge and below	800	700
Stone Boulders (from Khera Thakur Quarry)		
25-40 kg.	450	325
40-60 kg.	470	340
Stone Bricks Dressed	5 each	4.25 each

2015-16

(in ₹)

Name of Material	Name of District (Rate per cum)	
	Agra	Mainpuri
Crushed Stone Ballast (from Ghatri quarry)		
45-63 mm gauge stone ballast	625	600
22.4-53mm gauge stone ballast	725	700
40mm gauge stone ballast	875	850
Crushed Stone Dust 2.36mm and below	625	600
Crushed Stone Grit (from Ghatri quarry)		
Non bituminous work		
13.20mm gauge	850	825
11.20mm gauge	840	815
6.7mm gauge and below	825	800

(in ₹)

Name of Material (Haridwar Quarry)	Name of District (Rate per cum)	
	Bulandshahr	Sambhal/ Moradabad
Crushed Stone Ballast 45-90mm	559	650
Crushed Stone Ballast 45-63mm	607	700
Crushed Stone Ballast 22.4-53mm	655	750
Crushed Stone Ballast 20-40mm	559	750
All size Stone Grit	847	900
Crushed Stone Dust 2.36 mm and below	847	900

Appendix 5.1**Inadequate traffic census***(Reference: Paragraph no. 5.1.2)*

Sl. No.	Division	Year	Name of work	AA_Date	AA Cost (₹ in lakh)	TS_Date	TS Cost (₹ in lakh)	Census in number of days
1	PD, Gonda	2012-13	W/s of Babaganj Rehra road	4-Jan-13	237.62	23-Feb-13	237.62	3
2	PD, Gorakhpur	2011-12	Widening and strengthening of Shri Ram Janki Marg NH-72 km. 136 to 151	23-May-11	2891.98	05-Sep-11	2891.98	3
3	PD, Hapur	2012-13	Strengthening of Masoori Dhaulana Gulawati road in Km 1 to 27.200	12-Oct-12	3712.92	22-Oct-12	3712.92	5
4	PD, Jhansi	2013-14	Widening/strengthening of Arech-Gursarai-Mauranipur (MDR-31) km. 01 to 71 (180)	10-Jan-14	10220	28-Jan-14	10220	3
5	PD, Jhansi	2015-16	Widening and strengthening work (ODR) of partial portion of main Urban Marg Shivpuri Bypass to Divisional Commandant Homeguard office via Badhwa Petrol Pump in Jhansi	25-Aug-15	1879.54	16-Sep-15	1879.54	3
6	PD, Sambhal	2013-14	W/S of Moradabad Sambhal road to connect district headquarter of Sambhal under four lane connectivity of district headquarters scheme, length 35.71 km	4-Jul-13	13632.92	08-Aug-13	13632.9	3
7	CD-1, Unnao	2015-16	Construction of Approach, Additional approach and Protection work on Ganga river bridge near Bithoor-Pariyar-Chakalwansi road	30-Jun-15	2136.12	13-Aug-15	2136.12	4
8	CD-1 Moradabad	2013-14	W/s of MBD-Sambhal (MDR-69W) (13-14)	04.07.2013	7666.66	08-Aug-13	7666.66	3
9	PD Unnao	2012-13	W/S of Kalukheda-Kantha-Musanna (12-13)	07.02.2013	3096.31	13-Mar-13	3096.31	3
10	PD Unnao	2012-13	W/S of Vikrampur-Unchgaon (ODR) Road (12-13)	29.03.2013	3528.82	18-May-13	3528.82	3
11	PD Unnao	2014-15	Construction of Cycle track/service road and 4 laning of Unnao-Kanpur (SH-58) (14-15)	24.03.2015	10269.92	27-Mar-15	10269.92	3
12	PD Unnao	2015-16	W/S of Bihar-Bhagwantnagar-Buxar (BBB)(MDR-60) (15-16)	18.03.2016	4028.28	22-Mar-16	4028.28	3

Appendix 5.2

Excess provision against IRC norms

(Reference: Paragraph no. 5.2.1)

1. The Government declared (December 2003) the policy for widening of roads and ordered that roads having PCU less than 5,000 would be of single lane. E-in-C also instructed (October 2007) that roads having PCU of 5,000 to 10,000 would be widened to intermediate lane (5.50 metre).

Scrutiny of records of PD, Hapur revealed that a village road¹ was widened from three metre to 5.50 metre through contract bond no 29/SE/15-16 for ₹ 4.39 crore. We observed that the PCU of this road was only 2675. As such, this road was eligible for widening up to 3.75 metre only. Thus, due to irregular sanction of widening work against the orders of the Government and E-in-C, division incurred avoidable expenditure of ₹ 74.45 lakh as of April 2016 which would increase further with the progress of work.

2. Scrutiny of records in CD-1 (TTZ), Agra revealed that the Government accorded (December 2012) administrative approval and financial sanction of ₹ 44.01 crore for widening and strengthening of Dakshini bypass road connecting SH-2 to SH-3 (24.100 km). Non-bituminous crust thickness of the road was 38 cm. A contract bond² for ₹ 36.94 crore was constituted for this work.

As per IRC:37-2012, for the roads having CBR of six and msa of 50, provision of 26 cm GSB, 25 cm WMM, 11 cm DBM and 4 cm BC was admissible. We observed that CBR and msa of this road was 5.4 and 35.2 respectively. But, the division proposed provision of laying 15 cm GSB, 23 cm WMM, 10 cm BM, 15 cm DBM and 4 cm BC which was approved by the Government. It was executed also by the division. Thus, unwarranted provision and execution of GSB, WMM, BM, DBM and BC against IRC specifications resulted in avoidable excess expenditure of ₹ 2.36 crore as detailed below:

Item	Execution (cum)	Rate (₹)	Amount (₹)	Provision as per IRC 37				Rate (₹)	Amount (₹)
				L	B	H	Total (Cum)		
GSB	3,508.99	1,800	63,16,182.00	3,215	3.3	0.26	2,758.47	1,800	49,65,246
WMM	4,112.22	1,950	80,18,829.00	3,215	3.3	0.25	2,652.37	1,950	51,72,131.25
BM	1,733.50	6,500	1,12,67,750.00	0	0	0	0	0	0
DBM 3,215*3*0.15	1,446.75	7,700	1,11,39,975.00	3,215	3	0.11	1,060.95	7,700	81,69,315
BC 3,215*3*.04	385.80	8,800	33,95,040.00	3,215	3	0.04	385.80	8,800	33,95,040
			4,01,37,776.00 (A)						2,17,01,732.25 (B)
									(A)-(B) = ₹ 1,84,36,043.75 Add 27.8% premium + ₹ 51,25,220.16 = ₹ 2,35,61,263.91 Say ₹ 2.36 crore

3. During test-check of records of PD, Budaun it was noticed that the Government accorded (June 2013) administrative approval and financial sanction of ₹ 54.71 crore for widening and strengthening of Pilibhit-Bareilly-Budaun-Bharatpur road (SH-33) (length: 38.800 km).

¹ Pilkhua to Shamli road.

² Contract bond no 15/SE/12-13 with M/S Santosh Kumar Sharma.

Audit observed that, out of total length of 38.800 km, 36 km length was seven metre wide and the remaining portion of 2.800 km (*Ujhani kasba*) was only 3.70 metre wide which was to be widened to seven metre and strengthening was to be carried out in the entire length. Existing crust of the road was 360 mm with SDBC layer except in *Ujhani kasba* where it was 200 mm only. Sanctioned provision included increasing the crust thickness to 500 mm by laying 100 mm DBM and 40 mm BC in 36 km length. This provision was not consistent with the IRC-37 specifications as none of the crust composition suggested by IRC-37 recommend laying of 200 mm thick bituminous layer over 300 mm thick granular crust. Secondly, BBDT test report attached with the estimate was not authentic as the frequency of test at 10 m interval was not possible because the initial, intermediate and final readings required minimum 11.7 m. Further, number of tests claimed to have been carried out was not possible in a single day. Besides, no authentic traffic census report was attached to authenticate the msa, key factor to ascertain the required overlay.

It was also observed that in the 2.800 km length of the road, provision of 200 mm granular crust in existing portion and 400 mm in widened portion, 50 mm DBM and 40 mm BC was included. Thus, in this portion 90 mm bituminous crust was provided over 400 mm granular crust. Thus, had the division proposed the option of providing sufficient granular crust by laying 150 mm WMM after scrapping the existing bituminous surface followed by laying of 60 mm DBM and 40 mm BC, total pavement designed crust could have been achieved consistent with IRC specifications. In addition, the department would have saved ₹ 2.97 crore as detailed below:

Details of execution

Item	Executed Qty	Rate	Amount (in ₹)
Scarifying the existing surface	9,250 sqm	3.80	35,150.00
DBM 100 mm	27,497.72 cum	9,658.20	26,55,78,479.30
BC 40 mm	11,188.38 cum	11,784.50	13,18,49,464.11
		Total	39,74,63,093.41
		Premium 1.09 %	43,32,347.71
		Grand Total (A)	40,17,95,441.12

Details of suggested execution

Item	Required Qty	Rate	Amount (in ₹)
Scrapping the existing surface	$36,000*7 = 2,52,000$ sqm	19.00	47,88,000.00
WMM 150 mm	$36,000*7*0.150 = 37,800$ cum	2,368.40	8,95,25,520.00
10 % undulation	3,780 cum	2,368.40	89,52,552.00
DBM 60 mm	$36,000*7*0.06 = 15,120$ cum	9,658.20	14,60,31,984.00
BC 40 mm	$36,000*7*0.04 = 10,080$ cum	11,784.50	11,87,87,760.00
		Total	36,80,85,816.00
		Premium 1.09 %	40,12,135.39
		Grand Total (B)	37,20,97,951.39
Avoidable Expenditure		(A-B)	2,96,97,489.72
Say			296.97 lakh

4. Engineer-in-Chief directed (October 2007) that widening of the different category of roads as per their existing ply of Passenger Car Unit (PCU). Accordingly, the intermediate lane (5.5 m) roads were to be widened in two lanes (7 m) if the PCU of the road was more than 10000.

Scrutiny of the records (April 2016) of PD, Moradabad revealed that the Government accorded (January 2013) administrative and financial sanction for widening and strengthening of Doraha-Dilari-Karanpur-Surjannagar-Jaspur road categorised as Other District Road (ODR) in district Moradabad at a cost of ₹ 17.70 crore. Chief Engineer, Moradabad Zone accorded (January 2013) technical sanction for the same amount. Superintending Engineer, Moradabad Circle executed a contract bond³ to execute the work.

³ M/s Royal Const & developers, Moradabad, CB No. 14/SE-MBD Circle/12-13 dated 12.2.2013 at a cost of ₹ 161355185.16 with premium @ 11.10 per cent with DOS 12.2.2013 and SDOC as 11.2.2014.

Audit observed that the total length of the road was 40.500 kms and the road was to be widened in two lanes (7 m) from km 0.000 to 17 km. However, it was observed that no specific reason was recorded in detailed estimate regarding selection of length only up to 17 km as compared to the total length of 40.500 km. Further, no traffic census was conducted which was a mandatory pre-requisite for decision of widening of the road up to two lanes. Therefore, the decision of widening of the road up to two lanes and that too only in a stretch of 17 km, was against the directives of E-in-C and thus was not justified. Further, execution of strengthening work on this section of the road was also not justified as no authentic data regarding calculation of msa⁴, a key component to ascertain the required overlay, was attached with the detailed estimate.

Thus, in absence of required data regarding traffic census and msa, sanction of widening and strengthening work on this road was against norms and therefore was unjustified. The contract bond was finalised⁵ (March 2016) after incurring an unjustified expenditure of ₹ 15.76 crore on the widening and strengthening of road.

5. Scrutiny of records (May 2016) of Construction Division-1 and Construction Division-2 Agra revealed that the Administrative Approval and Financial Sanction for Widening of Agra-Shamshabad in four lane was accorded by the Government (March 2013) for ₹ 103.27 crore. Chief Engineer, Agra Zone, Agra accorded Technical Sanction for the same amount in March 2013. Superintending Engineer, Agra Circle entered into a contract (51SE 30-03-2013) amounting to ₹ 89.30 crore with M/s PNC Infratech Ltd Agra. It was observed that the existing crust of the road was 63 cm. As per curst design (IRC-37-2001) total required crust of the road was 71.04 cm. According to the sanctioned estimate, proposed crust was to be achieved by laying 25 cm of GSB, 30 cm of WMM and 7.50 cm of BM in widening portion and 7.5 cm of DBM and 4 cm of BC in strengthening of the road.

Further, scrutiny revealed that the total required crust of the road was 71.04 cm and existing crust of the road was 63 cm. Thus, the required crust of 71.04 cm in strengthening could have been achieved by laying only 5 cm of DBM and 4 cm of BC over the existing crust of 63 cm. Thus, excess provision of laying of DBM in 2.5 cm was included in the detailed estimate and work was executed accordingly which led to excess expenditure of ₹ 8.40 crore as detailed below:

Part-A : Provision of DBM made in chainage 4.650 to 17.000

In strengthening - $2 \times 11650 \times 7 \times 0.075 = 12232.50$ cum
 Add 1.5% for improvement of curves & junctions – 183.49 cum
 Total – $12232.50 + 183.49$ cum = 12415.99 cum

Part-B : Provision DBM made in chainage 17.000 to 30.250

In strengthening - $2 \times 12,600 \times 7 \times 0.075 = 13,230$ cum
 Add 1.5% for improvement of curves & junctions – 198.45 cum
 Total – $13,230 + 198.45$ cum = 13,428.45 cum

I) As per Detailed Estimate Total Quantity of DBM (A+B) = $12,415.99 + 13,428.45 = 25,844.44$ cum

II) As per Contract Total Quantity of DBM = 25844 cum

Executed quantity in part-A (Construction Division-1): 13,190.238 cum

Executed quantity in Part-B (Construction Division-2): 12,262.555 cum

III) Total executed quantity = $13,190.238 + 12,262.555 = 25,452.793$ cum (7.5 cm of DBM)

IV) Excess quantity executed = $25,452.793/3 = 8,484.26$ cum (2.5 cm of DBM)

V) Excess expenditure = $8,484.26$ cum x ₹ 8,720 = ₹ 7,39,82,747.00

Add premium 13.60 % above = ₹ 1,00,61,654.00

Total excess expenditure = ₹ 7,39,82,747 + ₹ 1,00,61,654 = ₹ 8,40,44,401.00 say ₹ 8.40 crore

6. Scrutiny of records (July 2016) of Construction Division-I, Unnao revealed that the Administrative Approval and Financial Sanction for re-construction of Sandila-Rasoolabad-Chakalwansi (MDR-31) in Km 20 to 30 was accorded (August 2010) by the Government for ₹ 18.67 crore. Chief Engineer, Central Zone, Lucknow accorded the technical sanction for the same amount in September 2010. Superintending Engineer, Unnao Circle entered into a contract (56SE 03-02-2011) amounting to ₹ 16.15 crore with M/s Arun Construction, Unnao.

⁴ Million Standard axle

⁵ 15th /F bill paid vide voucher No. 311 dated 31.3.2016.

It was observed that the existing width of the road was 3.75 m with a crust of 7.5 cm on which PCU and CVPD were 18889 and 3290 respectively. Total required crust of 70.50 cm was designed as per IRC-37 on the basis of CBR value of 3.9 and the required crust of 70.50 cm was proposed to be achieved by laying of first layer of GSB in 15 cm thickness in 9 m width (7.50 cm thick layer where 7.50 cm crust exists), second layer of GSB in 18 cm thickness in 7 meter width and WMM, DBM and BC in 26 cm, 7.5 cm and 4 cm respectively.

Further, scrutiny revealed that as per Marg Palilekh (Road History Register) the existing crust of road was between 16 and 20 cm whereas the crust was proposed and laid on the basis of existing crust of 7.5 cm. It was also observed that the first layer of GSB was laid in 9 m width which was to be provided in 7.30 m width on 7 m wide road. Thus, the design and laying of crust by taking deficient existing crust and laying in excess width resulted in excess and doubtful expenditure of ₹ 1.23 crore as detailed below:

Excess expenditure of ₹ 1.23 crore due to consideration of less crust than actual existing crust

A) Quantity of GSB as per Detailed Estimate – 24,332 cum
B) Quantity of GSB as per execution – 23,873.33 cum
C) Quantity of GSB to be laid by taking existing crust of 15 cm:
In widened portion : $10,000 \times 2 \times 1.80 \times 0.15 = 5400$ cum
In whole width of road : $10,000 \times 7 \times 0.18 = 12600$ cum
Total : $5,400 + 12,600 = 18,000$ cum
Excess Quantity (B-C) $23,873.33 - 18,000 = 5,873.33$ cum
D) Excess expenditure – $5,873.33 \text{ cum} \times 2,152 = ₹ 1,26,38,696.00$
E) Less premium of contract 2.4% below= ₹ 3,03,328.70
F) Net excess expenditure= ₹ 1,23,35,367 say ₹ 1.23 crore

7. Scrutiny of records (July 2016) of Executive Engineer, Construction Division-I, Unnao revealed that the Government accorded (June 2011) administrative and financial sanction of ₹ 21.22 crore for widening and strengthening of Sandila-Bangarmau road (ODR) from Km 20 to 35(600). Chief Engineer, Central Zone, Lucknow accorded technical sanction (TS) for the same amount in June 2011. Superintending Engineer, Unnao Circle entered into a contract⁶ with M/s Mahakaleshwar Construction in June 2011.

As per detailed estimate, the existing width of the road was 3.20 meter and average crust 10 cm. On the basis of PCU of 10332, 653 CVPD and 4 per cent CBR, the required crust of 48 cm was designed as per IRC-37, which was proposed to achieve with 10 cm WBM-I, 15 Cm WBM-II, 15 cm WBM-III, 5 cm BM and 2.5 cm SDBC.

Scrutiny revealed that as per Marg Palilekh Register the existing average crust of the road was 21 cm. However, the crust was proposed and laid on the basis of existing crust of 10 cm. Thus, consideration of less crust than actual existing crust led to excess and doubtful expenditure of ₹ 2.50 crore as detailed below:

Excess expenditure of ₹ 2.50 crore due to consideration of less crust than actual existing crust

Quantity of WBM as per Detailed Estimate – 10,920 cum
Quantity of WBM as per execution – 10,920 cum
Excess expenditure – $10,920 \text{ cum} \times 2,261 = ₹ 2,46,90,120.00$ +premium 1.25%= ₹ 2,49,98,746.50 say ₹ 2.50 crore.

8. Similarly, in CD-1, Basti, existing crust of Pilibhit-Bahraich-Basti road (SH-26) was 37 cm as per road history register while it was taken as 25 cm in detailed estimate and accordingly provision of 54 cm crust was made. This resulted in avoidable excess expenditure of ₹ 1.25 crore as below:

⁶ 53/SE/2011-12 dated 27.06.2011 for ₹ 196864361/-.

Excess expenditure due to taking deficient existing crust : ₹ 1.25 crore

Name of work – W/s of Pilibhit-Bahraich-Basti road (SH-26) in km 415 to 424.700 and Strengthening in chainage 390 to 395

AA/FS – 09-12-2011, ₹ 14.14 crore

TS – 30-03-2012

Contract – 25/SE/23-12-2011, ₹ 8.97 crore, M/s Saket Nirman, Lucknow

Existing crust as per Marg Parilekh Register – 37 cm

Crust taken in design crust – 25 cm

Total crust required as per design – 54 cm

Provisions to achieve design crust – Widening: G-1: 10 cm, G-2: 7.5 cm, G-3: 7.5 cm (25 cm)

Strengthening : WMM 22.50 cm, BM 5 cm, SDBC 2.50 cm

Excess provision and laying of WMM in strengthening – $9,000 \times 7 \times 0.12 = 7,560 \text{ cum} @ 2,521.70 = 1,90,64,052$

Deduct less provision and laying in widening portion of GSB – $7,900 \times 2 \times 1.80 \times 0.10 = 2,844 \text{ cum} @ 2,521.70 = 71,71,715$

Excess provision amount – $1,90,64,052 - 71,71,715 = 1,18,92,337.00 + 4.90 \% \text{ premium } 5,82,725 = 1,24,75,062$ say ₹ 1.25 crore.

9. Scrutiny of records (June 2016) of Executive Engineer, Provincial Division, Gorakhpur revealed that the Administrative approval and Financial sanction for widening and strengthening of Gorakhpur-Khajni-Sikariganj was accorded by the Government (October 2011) for ₹ 23 crore. CE, Gorakhpur zone accorded technical sanction for the same amount in December 2011. SE, Gorakhpur Circle entered into a contract (106/SE/10-11) for ₹ 17.65 crore with M/s Kandarp Construction, Lucknow at 18 per cent below the departmental rates.

It was observed that due to delay in allotment of fund, the contractor refused to execute the work. As such, the contract was terminated and the contractor was paid (November 2015) ₹ 12.73 crore for work executed for the cost of ₹ 15.52 crore. Further, for completion of left over work of ₹ 4.92 crore⁷, a contract bond (71/SE/15-16) amounting to ₹ 6.61 crore was executed with M/s Prabha Construction company, Gorakhpur at the premium of 0.50 per cent below the departmental rates.

Thus, the department had to incur excess expenditure of ₹ 1.69 crore to complete the left over work due to delay in allotment of fund by the Government. The work was still in progress even after more than five years of sanction.

10. Scrutiny of records of Construction Division-I, Basti revealed that the Administrative approval and Financial sanction for widening and strengthening of Pilibhit-Bahraich-Basti (chainage 395 to 405 km) road in 10 km length was accorded by the Government (March 2010) for ₹ 11.13 crore. Chief Engineer, Gorakhpur zone had accorded the technical sanction for the same amount in March 2010.

Superintending Engineer, entered into a contract⁸ amounting ₹ 8.46 crore with M/s Saket Nirman, Lucknow.

It was observed that as Nepal quarry was closed and BOQ rates were based on Badhni/Butwal quarries, SE sanctioned higher rates for items given in the contract in the form of extra items on 28 April 2010 on the basis of rates of Shankargarh/Dala quarry.

Sanction of higher rates was not justified because Badhni/Butwal quarries were closed at the time of tender. As such, contractor tendered rates keeping this in view. Thus, there was no justification for sanction of higher rates. Thus, sanction of higher rates resulted in excess expenditure of ₹ 1.40 crore and undue aid to the contractor.

Details of excess payment on the basis of extra item on the basis of hiding of facts

Item of Work	Rate in CB (in ₹)	Rate in Extra item (in ₹)	Difference in rate (in ₹)	Quantity of work in Cum.	Extra Payment (in ₹)
GSB	1,407.10	2,100.00	692.90	2,891.48	20,03,506.49
Collection of 45-63	1,074.30	1,450.00	375.70	2,626.12	9,86,633.28
Collection of 22.4-53	1,129.30	1,500.00	370.70	2,629.60	9,74,792.72

⁷ ₹ 17.65 crore - ₹ 12.73 crore = ₹ 4.92 crore.

⁸ CB No. 14/SE dated 30.03.2010.

Screening Material	1,409.30	1,490.00	80.70	1,032.68	83,337.28
WMM	2,071.40	2,500.00	428.60	10,756.95	46,10,428.77
WMM	2,071.40	2,700.00	628.60	5,237.19	32,92,097.63
BM	3,202.00	3,728.00	526.00	3,552.83	18,68,788.58
SDBC	3,196.30	3,599.00	402.70	1,789.52	7,20,639.70
Total					1,40,35,721.89 Say ₹ 1.40 crore

11. The Government sanctioned (July 2013) widening and strengthening of Moradabad-Sambhal Road (MDR-69 W) length 35.710 km at a cost of ₹ 136.33 crore. CE, Moradabad Zone, accorded (August 2013) technical sanction for the same amount. SE, Moradabad Circle, executed two contract bonds⁹ for execution of work.

Audit scrutiny (April-May 2016) of CD-1, Moradabad and PD, Sambhal revealed that Km 0.000 to 1.520 of the road was city portion of NH-24 while Km 1.520 to 5.820 was portion of Moradabad-Farrukhabad (SH-43) road and Mordabad-Sambhal road (MDR-69W) originated from km 5.340 of SH-43. Thus, in the total length of 36.750 km, length of MDR was 31.410 km. The carriageway width in km 0.000 to 4.450 was 12 metre. Strengthening in km 2.100 to 4.450 and widening up to four lanes and strengthening in rest kms up to 36.750 was proposed in this estimate. The existing crust was 400 mm in km 2.100 to 3.100 (SH-43 portion), 475 mm in km 3.100 to 5.820 (SH- 43 portion) and 525 mm in km 5.340 to 36.750 (MDR portion) which were to be strengthened as 540 mm, 615 mm and 665 mm, respectively by laying 50 mm BM, 50 mm DBM and 40 mm BC.

Further, scrutiny revealed that as per traffic census data attached with detailed estimate, three day count¹⁰ was taken into account for design purpose without assigning any reason for not counting seven-day-twenty-four hour traffic data. Besides, BBDT test was conducted in September 2011 in km 3-4 of the road and the characteristic deflection was measured as 1.463 mm and accordingly 164 mm of BM overlay was proposed. The recommendation and adoption of uniform 164 mm BM overlay in the entire stretch of the road based on BBDT test conducted in only one km of the road was against the IRC norms and thus was not acceptable. Further, scrutiny also revealed that renewal works were executed in the stretch of 11.600 km, out of 16.630 km stretch in Moradabad district after incurring an expenditure of ₹ 1.87 crore¹¹ in the year 2011-12 and 2012-13 and ₹ 39.89 lakh in Sambhal portion in the year 2012-13. As such, characteristic deflection of 1.463 mm on the basis of test conducted in km 3-4 in September 2011 was against the IRC norms and adoption of 164 mm BM overlay was not be justified. In fact, divisions should have explored the actual requirement of overlay after a fresh BBDT in accordance with IRC guidelines on the existing surface after taking cognizance of renewal works executed in recent past. Moreover, by uniform laying of 50 mm BM, 50 mm DBM and 40 mm BC, the crust was achieved as 540 mm in km 2.100 to 3.100 (SH-43 portion), 615 mm in km 3.100 to 5.820 (SH- 43 portion) and 665 mm in km 5.340 to 36.750 (MDR portion). The actual ply of traffic volume up to km 5.340 of SH-43, from where the MDR originates could not be considered less than the ply of traffic in the portion of MDR. Hence, the laying of 665 mm crust in the MDR portion as compared to 540 mm and 615mm in the SH portion was not justified.

Thus, in absence of necessarily recent and authentic BBDT test, a pre-requisite to ascertain the actual required overlay on the road according to the present condition of the road and in view of achieved crust thickness in portion of SH-43 after the strengthening work, i.e., 615 mm, the expenditure of ₹ 20.03 crore¹², incurred on laying of 50 mm BM in the MDR portion of the road could have been avoided.

⁹ M/s Kasna Builders Pvt Ltd Noida, CB No 57/SE dated 30.8.2013 at a cost of ₹ 631666853.30 @ 0.08 per cent below for km 1.520 to 21.000 total 20.960 km (CD-1 MBD Portion) and M/s Manisha Projects Pvt. Ltd. Ghaziabad, CB No 56/SE dated 30.8.2013 at a cost of ₹ 46,64,62,248.00 @ 0.12 per cent below for km 22.000 to 36.750, total length 14.750 km (PD Sambhal Portion) 20.03.2013 to 22.03.2013 at Km 25.

¹⁰ 2011-12 ₹ 64.76 lakh Km 6(600), 7, 8 14, 15 and ₹ 122.13 lakh km 16-22 Total 11.600 Kms.

¹² CB No 57 (CD-1 MBD) 14,668.20*7,675 = ₹ 11,25,78,435 below 0.08% 90,062.74= ₹ 11,24,88,372.25+ CB No 56 (PD Sambhal) 11,449.294*7,680 = ₹ 8,79,30,577.92 below 0.12 % 1,05,516.69 = ₹ 8,78,25,061.22 = Total ₹ 20,03,13,433.47.

Appendix 5.3

Deficient/wrong provisions against the IRC norms

(Reference: Paragraph no. 5.2.2; page 39)

1. IRC-37-2001¹³ provided that from drainage considerations the granular sub-base should be extended over the entire formation width in case the sub-grade soil is of relatively low permeability. The thickness of sub-base should not be less than 150 mm for design traffic less than 10 msa and 200 mm for design traffic of 10 msa and above.

Test-check of records of PD and CD-3, Jhansi revealed that the Government sanctioned (January 2014) ₹ 142.25 crore for widening and strengthening of *Airach-Gursarai-Mauranipur* road. CE, Jhansi zone issued technical sanction for this work in January 2014 for ₹ 142.25 crore. Two contract bonds¹⁴ were executed by SE, Jhansi circle in February 2014. We observed that the design traffic of this road was 102 msa. As such, 200 mm thick drainage layer was required to be laid. But, it was noticed that the estimate included the provision of laying of drainage layer (Granular Sub Base) of 150 mm thickness only and accordingly contract bond also included laying of 150 mm thick drainage layer and the same was executed by the contractors. This resulted in execution of sub-standard work.

Thus, infructuous expenditure of ₹ 11.44 crore was incurred on laying of drainage layer of 150 mm thickness as detailed below:

Details of calculation of quantity of work (Airach-Gursarai-Mauranipur) executed against IRC Norms

Details of work executed chainage km. 01 to 20

Name of Division	Bond details	Chainages	Width	As per estimate Quantity in cum	Ad-missible Quantity in cum	Excess quantity cum	Rate per cum (in ₹)	Premium	Cost of excess quantity (in ₹)
CD-3 Jhansi	74/SE/ 13-14 dt. 3.02.14	Km-04 to 08=05 km; Km 10 to 20=11 km; Total 15.200 km	3.70 m	15.20x2x100x5.08x0.15=23,164.80	15.20x2x1.80x1000x0.15=8,208	1,49,56.80	1,650	11.25%	2,81,33,740.80
	Rishiraj construction	Km 01 to 03=03 km; Km 09 =01km Total 04 km	5.50 m	4x2x1,000x4.18x0.15=5,016	4x2x1,000x0.90x0.15=1080	3,936	1,650	11.25%	72,25,020.00
Grand Total									3,53,58,760.80

Details of work executed chainage km. 21 to 71 (180)

Name of Division	Bond details	Chainages	Width	As per estimate (Quantity) cum	Admissible Quantity (cum)	Excess quantity cum	Rate per cum (in ₹)	Premium	Cost of excess quantity (in ₹)
PD Jhansi	76/SE/ 13-14 dt.12.2.14	Km-21 to 27 =07 km; Km 31 to 52 =22 km; Km 55-56 =03 km; Km 59-62= 4 km; Km 64-66= 03 km. Total 38 km	3.70 m	38x5.15x2x1,000x0.15=5,8710	38x1.82x2x1,000x0.15=20,748	37,962	1,647	14%	7,12,76,691.96

¹³ Paragraph 4.2.1.3 and 4.2.1. 4.

¹⁴ Contract bond no 74/SE/13-14 dated 03.02.2014 for ₹ 35.64 crore with M/S Rishiraj Construction by CD-3, Jhansi and 76/SE/13-14 dated 12.02.2014 for ₹ 91.93 crore with M/S Varigate Project Pvt Ltd by PD, Jhansi.

Verigate project Pvt. Ltd. Hyderabad	Km 54	3.70 m	01x2x1000 x5.15x0.15 =1,545	01x2x1000 x1.80x0.15 =540	1,005	1,647	14%	18,86,967.90
	Km 29 (280); km 30; Km 69, 70, 71 (180)= 3.46 km	5.70 m	3.46x4.15x 2x1000x0. 15=4307.7 0	3.46x0.80x 2x1000x0. 15=830.40	3,477.30	1,647	14%	65,28,908.934
Grand Total								7,96,92,568.79

Total excess/infructuous expenditure-₹3,53,58,760.80+₹ 7,96,92,568.79=₹ 11,43,72,664.70 or say; **₹1,143.73 lakh.**

2. The Government accorded (August 2015) administrative and financial sanction of ₹ 18.80 crore for widening and strengthening of partial part of main city road in district Jhansi (old NH 25) from Shivpuri bypass to Divisional Commandant Home Guard Office via Vadhwa Petrol Pump (length 3.050 km) in district Agra. Technical sanction (TS) of the same amount was accorded (September 2015) by the Chief Engineer, Jhansi zone. Contract bond No.35/SE/15-16 was executed with M/s Ajay Prakash Associates for ₹ 13.05 crore.

Scrutiny of the records of EE, PD, Jhansi revealed that bituminous crust of 20.50 cm (7.5 cm BM, 9 cm DBM and 4 cm BC) was provided on widened portion on insufficient non-bituminous crust of only 32.5 cm (20 cm GSB and 12.50 WMM). As per IRC norms, 40 cm non-bituminous crust was required to be achieved before laying of BM, DBM and BC. Thus, laying of BM was not required and could have been replaced with WMM.

Thus, laying of BM, DBM and BC on non-bituminous crust of only 32.5 cm was not only against IRC norms but also led to avoidable excess expenditure of **₹ 1.04 crore** as detailed below:

Provision of BM as per estimate = 2,214.34 cum
Execution of BM as per 9 th RB = 1,909.68 cum
Rate of BM = ₹ 7,279 per cum
Rate of WMM = ₹ 1,685 per cum
Avoidable excess expenditure = (1,909.68*7,279) – 1,909.68*1,685) = ₹ 1,06,82,749.92
Less 2.80% as per agreement = ₹ 1,03,83,632.92 or ₹ 1.04 crore

3. Scrutiny of records of PD, Agra revealed that the Government accorded (November 2011) administrative approval and financial sanction of ₹ 8.60 crore for widening of Agra-Bah-Kachuraghat (SH-62) in 35.600 km length.

Audit observed (May 2016) that the existing 5.50 m width of the road was proposed to be widened up to seven metre in entire length. Detailed estimate included the provision of laying of 100 mm WBM Grade-I, 150 mm Grade-II, 150 mm Grade-III with P-1 and 25 mm SDBC. IRC specifications provide laying 25 mm SDBC only after laying of 50 mm BM as binder course. Thus, against the specific provision of IRC, division executed 25 mm SDBC over P-1. Consequently, the road got damaged and within two years the crust thickness was reduced to 350 mm. A new proposal was sanctioned in February 2014 by the Government for widening and strengthening of this road.

Thus, wrong provision and implementation¹⁵ of SDBC over P-1 surface resulted in infructuous expenditure of ₹ 2.60 crore.

4. Para 205 of Budget Manual stipulates that every public officer is expected to exercise the same vigilance in respect of expenditure incurred from public moneys as a person of ordinary prudence would exercise in respect of expenditure of his own money. Further, Engineer-in-Chief directed (September 2008) for adoption of MoRTH specifications in preparation of estimates.

Scrutiny of records (April 2016) of PD, Moradabad revealed that the Government accorded (July 2013) administrative and financial sanction for widening and strengthening of Moradabad-Haridwar-Dehradun (SH-49) from km 5.800 to 22.500 (total length 16.700 km) at a cost of ₹ 3,271.00 lakh. Chief Engineer, Moradabad Zone, PWD accorded (August 2013) technical sanction for the same amount. Superintending Engineer, Moradabad Circle, PWD, executed a contract bond¹⁶ to execute the work.

¹⁵ Contract bond numbers 26/SE/11-12 and 28/SE/11-12.

¹⁶ M/s JSP Projects Pvt Ltd., Ghaziabad, CB No. 53/SE-MBD Circle/13-14 dated 24.8.2013 at a cost of ₹ 280081035.00 with below @ 0.09 per cent with DOS 24.8.2013 and SDOC as 23.8.2014.

Audit observed that the width of the road in km 0.000 to 5.800 was 12 to 14 metres while in rest of the length it was 7 metre. The existing crust of the road was 600 mm including 75 mm as bituminous layer. Accordingly, 300 mm GSB, 225 mm WBM, 75 mm DBM in widening portion and laying of 40 mm BC over entire 12 metre carriageway was proposed. Thus, total 640 mm crust was to be achieved in 12 metres of carriageway. Scrutiny revealed that four months after the commencement of work, Chief Engineer sanctioned (December 2013) an extra-item of 20 mm thick Open Graded Premix Carpet with tack coat and Seal Coat type C for ₹ 91.22 lakh due to damaged condition of existing surface layer which made the execution of Bituminous Concrete (BC) impossible before executing PC Seal Coat work. The justification for sanction of PC with Seal Coat prior to laying of wearing course of BC was not acceptable as the commencement date of work was August 2013 and the work was actually completed in March 2015¹⁷. Further, there was no provision of this item in detailed estimate and execution of BC work was ultimate item to be executed. Moreover, thickness of existing bituminous layer was 75 mm as was provisioned in widening portion as DBM. Thus, it was clear that from the thickness of existing bituminous surface that it was not of PC with seal Coat. As such, laying of PC with Seal Coat on different bituminous layer and prior to BC was inconsistent to IRC specification and thus not required.

Thus, sanction of laying of PC with Seal Coat¹⁸ as extra item prior to executing it and inconsistent to the IRC specification led to infructuous expenditure of ₹ 91.36 lakh.

5. As per Conditions of contract under Section 4 of Model Bid Document (T 2) adopted by the Public Works Department, Contractor shall procure Bitumen and Modified Bitumen from Indian Oil Corporation, Hindustan Petroleum and shall produce the original CRC issued by the company at the time of claiming the payment for bitumen or Modified Bitumen along the with the bill.

Scrutiny of records (July 2016) of Executive Engineer (EE), Construction Division-I, Unnao revealed that the Administrative Approval and Financial Sanction for re-construction of Sandila-Rasoolabad-Chakalwansi (MDR-31) road was accorded by the Government (August 2010) for ₹ 18.67 crore. Chief Engineer, Central Zone, Lucknow had accorded the Technical Sanction (TS) for the same amount in September 2010. Superintending Engineer, Unnao Circle entered into a contract (56SE 03-02-2011) amounting to ₹ 16.15 crore with M/s Arun Construction, Unnao.

Further, scrutiny revealed that against the provision of MBD, EE added condition in schedule 'C' for supply of bitumen from departmental store to the contractor on the work with the condition that if Bulk bitumen BG-10 or Emulsion, BG-30, CRMB-55, MS grade was not available in central store, contractor would arrange it from local market with written permission of Engineer-in-Charge and payment on current CRC rate would be made. It was observed that the division did not issue bitumen from the central store and it was arranged by the contractor. As a result, contractor claimed ₹ 1.02 crore for difference in rate of bitumen mentioned in schedule-C and current purchase rate which was paid to the contractor. Thus, due to addition of unwarranted condition in schedule-C against the provision of model bid document, undue aid of ₹ 1.02 crore was provided to the contractor.

6. Public Works Department, Uttar Pradesh, adopted¹⁹ (October 2007) policy for widening of State Highways. Accordingly, four-lane divided highways were to be widened/constructed in the roads having 20000-30000 Passenger Car Units in both directions. Further, Para 205 of Budget Manual stipulates that every public officer is expected to exercise the same vigilance in respect of expenditure incurred from public moneys as a person of ordinary prudence would exercise in respect of expenditure of his own money.

Scrutiny of records (June 2016) of Executive Engineer (EE), Construction Division-3 (CD-3), Public Works department (PWD) Mainpuri revealed that the Etawah-Mainpuri road (SH-83) originates from National Highway-2 in Etawah city and terminates in km 240 of National Highway-91 in *Kuraoli Kasba* via Mainpuri-Kuraoli Road (SH-84A) in district Mainpuri. Audit further observed that the Government accorded (February 2013) administrative and financial sanction of ₹ 22,634.98 lakh for widening and strengthening of Etawah-Mainpuri-Kuraoli road (SH-83 and SH-84A) (length 52.000 km) under State Sector. Chief Engineer (CE), Agra Zone, PWD accorded (March 2013) technical sanction for the same amount for 49.800 kms. Superintending Engineer (SE), Mainpuri Circle executed a contract bond²⁰ for execution of work. Further, Government accorded (May 2014)

¹⁷ 14th/F bill paid vide voucher no. 08/18.5.2015.

¹⁸ 40,463.250 sqm * 226.00/Sqm = ₹ 91,44,694.50 – 0.09% (below rate) = ₹ 91,36,464.27.

¹⁹ Engineer-in-Chief's Circular No 7114 MT/60 MT/2007 dated 17.10.2007.

²⁰ M/s Valecha Engineering Ltd, Mumbai CB No 32 SE/12-13 dated 29.03.2013 at a cost of ₹ 1,95,73,77,745.14 with DOS and SDOC as 29.03.2013 and 28.03.2015, respectively.

revised administrative and financial sanction of ₹ 40291.37 lakh, on account of inclusion of proposed construction of 14 km²¹ long *Saifai-Karhal* bypass originating from the right flank of the existing SH-83 in district Etawah and was to terminate in Km 29 of the same in district Mainpuri, with other allied²² works. Chief Engineer (CE), Agra Zone, PWD accorded (March 2013) revised technical sanction for the same amount for 60.000 kms²³ including 8.000 km portion of bypass in Mainpuri portion. Superintending Engineer (SE), Mainpuri Circle executed a separate contract bond²⁴ for execution of 8.00 km long bypass work. Both the Contract bonds were in progress till June 2016.

Audit scrutiny revealed that in the alignment of the existing State highway (SH-83), a bypass was already in existence in the left flank of the road in *karhal Kasba* which already serves the purpose of diversion of traffic. Further, the entire section of existing road did not have the enough PCU²⁵ to be widened as four lanes. Consequently, the standard norm fixed for four laning of the road as per policy adopted previously, was relaxed²⁶ by the Government before the issuance of original administrative and financial sanction of the work, which, *inter-alia*, included the widening and strengthening of *karhal kasba* bypass portion of the road into four lanes.

As such, the sanction of 14 km long bypass which was to originate from right flank of SH-83 before *Saifai kasba* (Km 23) in district Etawah and to terminate in the same road after *Karhal Kasba* (Km 29) in district Mainpuri, involving habitation of neighbouring villages in its alignment could not be justified.

Thus, the expenditure of ₹ 6,427.57 lakh²⁷ incurred on construction of 8.00 km long bypass of Etawah-Mainpuri road (SH-83) in district Mainpuri was avoidable.

7. Government adopted (January 2007) Model Bidding Document (T-2) comprising detailed terms and conditions for execution of works in Public Works Department for the works costing more than ₹ 40 lakh. Section 4 of conditions of contract, *ibid*, states that Contractor shall procure bitumen and modified bitumen from Indian Oil Corporation, Hindustan Petroleum and shall produce the original Consignee Receipt Certificate (CRC) issued by the company at the time of claiming the payment for bitumen or modified bitumen along with the bill. Further, Para 205 of Budget Manual stipulates that every public officer is expected to exercise the same vigilance in respect of expenditure incurred from public moneys as a person of ordinary prudence would exercise in respect of expenditure of his own money.

Scrutiny of records (September 2016) of Executive Engineer (EE), Provincial Division (PD), Ghazipur revealed that the Government accorded (June 2011) administrative and financial sanction of ₹ 1033.73 lakh for widening and strengthening of Saidpur-Devchandpur-Dharwan to Chochakpur (length 19.750 km) under State Sector. Chief Engineer (CE), Varanasi Zone, PWD accorded (June 2012) technical sanction for the same amount. Superintending Engineer (SE), Varanasi Circle executed a contract bond²⁸ for execution of work. The contract bond was finalised²⁹ in November 2013.

Audit scrutiny revealed that the contract bond was executed with inclusive rate of emulsion and bitumen for items of primer coat, tack coat, premix carpeting and seal coat. Therefore, the responsibility of procurement of emulsion and bitumen required for execution of these items lies upon the contractor. However, at the time of execution of contract bond the department attached schedule C with contract bond, according to which, the emulsion and bitumen were to be charged at the rates of ₹ 40,734 and 47,585, respectively, if issued from the departmental store on the condition of availability.

Further scrutiny revealed that the division issued 85.200 MT of emulsion and 262.905MT of Bulk bitumen from the departmental store during March 2013 to August 2013 at the then prevailing issue rates for the execution of bituminous items. The total quantity of emulsion and bitumen issued, included 38.000 MT of emulsion, 132.120 MT of bulk bitumen at the issue rate of 51,000 per MT, 52,770 per MT and 47.200 MT of emulsion, 130.785 MT of

²¹ 6.000 kms in district Etawah and 8.000 kms in district Mainpuri.

²² Construction of bridges, shifting of electric cables and polls, hand pumps, fee for compensatory forestation etc.

²³ 52.000 km +8.000 km long bypass in district Mainpuri portion.

²⁴ M/s JSP Projects Pvt. Ltd, Ghaziabad CB No 27 SE/14-15 dated 27.11.2014 at a cost of ₹ 49,51,28,007.37 with DOS and SDOC as 27.11.2014 and 26.05.2016, respectively.

²⁵ 14,029 PCU as per traffic census report attached with detailed estimate.

²⁶ Vide GO No 260/E/23-11-1446(1)/2012 TC dated 10.02.2014.

²⁷ ₹ 39,67,16,358.00 paid vide Voucher no 01 dated 27.04.2016 against 11/R bill and ₹ 24,60,40,989.00 on land acquisition.

²⁸ M/s Raj Brothers, Varanasi CB No 39 SE/11-12 dated 24.12.2011 at a cost of ₹ 9,39,07,526.96 with DOS and SDOC as 24.12.2011 and 23.12.2012, respectively.

²⁹ 19/F bill paid vide voucher no 96/30.11.2013 with value of work done executed as 8,97,74,883.00

bulk bitumen at the issue rate 51,430 per MT, 56,965 per MT, respectively and charged on the work during the period of March 2013 to August 2013. But, against the provision contained in budget manual and fundamental financial rules, division deducted the cost of only 32.84 MT³⁰ of emulsion and 74.74 MT³¹ of Bulk bitumen at the rates of 40,734 and 47,585 as mentioned in schedule C from the contractors' bill. Moreover, the cost of 52.36 MT³² of emulsion and 188.165 MTs³³ of Bulk bitumen were not recovered from the contractors' bill though being issued from the departmental store and charged on the work. Thus, issue of emulsion and bulk bitumen against the conditions prescribed in model bidding document and less³⁴/non-recovery³⁵ thereof led to undue aid to contractor to the tune of ₹ 138.93³⁶ lakh.

8 Proposal for widening and strengthening of Basti-Menhdawal-Captanganj-Tamkuhi road (SH-64) costing ₹ 16.99 crore from km 06 to 14 was sent to the Government for sanction by CD-1, Basti. Existing non-bituminous crust thickness of this road was 30 cm and the bituminous layer was badly damaged. The proposal contained provision of widening of road from 3.70 m to 07 m and laying of 30 cm GSB in widened portion and strengthening by laying of 16.5 cm WMM in entire width of the road after scrapping of old bituminous surface, 5 cm DBM and 2.5 cm BC. However, the Government sanctioned (February 2016) only widening of the road for ₹ 7.78 crore.

Audit observed that improvement of surface work (BM and SDBC) in km 7 and 8 was carried out in 2014-15 for ₹ 82.18 lakh while renewal with repair work was carried out in km 9 to 14 in 2014-15 for ₹ 74.06 lakh. It was important to note that the next year widening and strengthening work was proposed in entire length of eight km on the ground that the road was badly damaged due to heavy traffic of trucks. This indicated that either strengthening and renewal works executed in 2014-15 were sub-standard which led to damaged condition of road within a year or the earlier proposal was not as per requirement. During physical verification of this road also, it was noticed that the condition of the road was very poor. Due to sanction of only widening work, the condition of this State Highway would deteriorate further which would make the movement of traffic on this road very difficult.

Audit found that other portions of this road (km 0.000 to km 6 and km 14 to km 57 were already 7 m wide. As such, in place of sending proposal for strengthening and renewal works in 2014-15, the division should have sent proposal for widening and strengthening of entire reach which would have saved ₹ 1.56 crore spent earlier and would have provided better riding experience to the public. This road is an example of faulty planning in PWD.

³⁰ 32.84 MT emulsion @ 40,734 = 13,37,704.56 from 19/F bill paid vide voucher No 96/30.11.2013.

³¹ 74.74 MT bulk bitumen @ 47,585 = 35,76,906.92 total ₹ 49,14,611.48 from 19/F bill paid vide voucher No 96/30.11.2013.

³² 38.00 MT @ 51,000 = 19,38,000 + 14.36 MT (85.20 - 32.84 = 52.36 - 38.00) @ 51,430 = 7,38,534.8 Total = 26,76,534.80

³³ 132.12 MT @ 52,770 = 69,71,972.40 + 56.045 MT (262.905 - 74.74 = 188.165 - 132.12) @ 56,965 = 31,92,603.43 Total = 1,01,64,575.83

³⁴ 74.74 MT (56,965 - 47,585) = 9,380 * 74.74 = 7,01,061.20 + 32.84 MT (51,430 - 40,734) = 10,696 * 32.84 = 3,51,256.64 total = 7,01,061.20 + 3,51,256.64 = 10,52,317.84.

³⁵ 1,01,64,575.83 + 26,76,534.80 = 1,28,41,110.63

³⁶ 1,28,41,110.63 + 10,52,317.84 = ₹ 1,38,93,428.47

Appendix 5.4**Irregular technical sanctions by EEs***(Reference: Paragraph no. 5.4)*

Sl. No.	Division	Total no. of works of more than ₹ 40.00 lakh	Total cost (₹ in crore)
1	PD, Gazipur	5	5.42
2	CD(B), Gorakhpur	29	25.99
3	PD, Hardoi	17	17.75
4	CD-3, Jhansi	5	4.67
5	CD, Mainpuri	11	13.14
6	CD-3, Mainpuri	3	1.75
7	PD, Unnao	8	6.78
8	CD-1 Basti	5	6.00
9	CD, Budaun	17	16.23
10	PD, Gonda	14	11.32
11	PD, Hapur	2	1.61
12	PD, Mainpuri	9	5.77
13	CD-1 Siddharthnagar	3	3.10
14	CD-1 Unnao	24	27.46
15	CD-1 Lucknow	10	7.99
16	EE, CD-2 Lucknow	2	1.71
17	CD-2 Mirzapur	6	4.20
18	PD, Mirzapur	6	5.15
19	PD, Saharanpur	15	18.08
20	CD, Saharanpur	6	8.60
21	CD-3, Saharanpur	18	24.51
Total		215	217.23

Appendix 5.5 (A)**Delayed TS (Zone-wise details of delay in issue of TS by CEs)***(Reference: Paragraph no. 5.5)*

Zone	Delay upto 90 days		Delay between 91 to 180 days		Delay of more than 180 days		Total cases of delay in issue of TS	Cost (₹ in crore)
	Cases of delay in issue of TS	Cost (₹ in lakh)	Cases of delay in issue of TS	Cost (₹ in lakh)	Cases of delay in issue of TS	Cost (₹ in lakh)		
CE, Agra	62	31,394.13	22	23,548.53	24	14,145.48	108	690.88
CE, Bareilly	25	92,32.31	3	589.29	0	0.00	28	98.22
CE, Gorakhpur	0	0.00	13	4,272.49	58	20,335.43	71	246.08
CE, Jhansi	23	3,803.05	22	9,089.45	20	6,389.97	65	192.82
CE, Meerut	41	12,177.43	20	9,538.71	7	1,760.48	68	234.77
CE, Moradabad	82	19,163.51	32	39,294.60	18	5,226.58	132	636.85
CE, Varanasi	2	379.02	10	23,689.57	14	3,800.68	26	278.69
Grand Total	235	76,149.45	122	1,10,022.64	141	51,658.62	498	2,378.31

Appendix 5.5 (B)**Delayed TS (Circle-wise details of delay in issue of TS by SEs)***(Reference: Paragraph no. 5.5)*

Circle	Delay upto 90 days		Delay between 91 to 180 days		Delay of more than 180 days		Total cases of delay in issue of TS	Cost (₹ in crore)
	Cases of delay in issue of TS	Cost (₹ in lakh)	Cases of delay in issue of TS	Cost (₹ in lakh)	Cases of delay in issue of TS	Cost (₹ in lakh)		
SE, Bulandshahr	99	4,695.92	6	329.49	4	221.85	109	52.47
SE, Gorakhpur	120	7,525.97	109	7,023.10	81	5,255.67	310	198.05
SE, Agra	147	7,194.37	31	1,304.73	12	663.26	190	91.62
SE, Badaun-Pilibhit	308	10,177.79	29	1,493.76	13	796.04	350	124.68
SE, Basti	97	6,472.74	104	6,572.65	71	4,309.87	272	173.55
SE, Mainpuri	38	1,750.82	8	388.29	5	305.14	51	24.44
SE, Moradabad	32	2,099.14	16	542.23	2	90.73	50	27.32
SE, Unnao	177	11,246.99	12	888.25	6	496.05	195	126.31
SE, Varanasi	16	748.30	26	1,338.18	18	769.03	60	28.56
Grand Total	1,034	51,912.04	341	19,880.68	212	12,907.64	1,587	847.00

Appendix 5.5 (C)**Delayed TS (District-wise details of delay in issue of TS by EEs)***(Reference: Paragraph no. 5.5)*

Division	Delay upto 90 days		Delay between 91 to 180 days		Delay of more than 180 days		Total cases of delay in issue of TS	Cost (₹ in crore)
	Cases of delay in issue of TS	Cost (₹ in lakh)	Cases of delay in issue of TS	Cost (₹ in lakh)	Cases of delay in issue of TS	Cost (₹ in lakh)		
Agra	155	2,942.73	19	288.30	4	70.32	178	33.01
Basti	123	3,281.01	44	1,235.96	29	693.63	196	52.11
Budaun	47	1,385.70	1	0.83	0	0.00	48	13.87
Ghazipur	35	716.66	21	767.63	21	318.30	77	18.03
Gonda	94	2,965.74	1	16.15	1	27.61	96	30.10
Gorakhpur	100	3,373.50	72	1,921.79	38	991.94	210	62.87
Hapur	34	446.82	2	18.89	0	0.00	36	4.66
Hardoi	27	1,214.47	11	212.71	13	508.13	51	19.35
Jhansi	18	437.52	11	147.39	3	55.97	32	6.41
Mainpuri	362	5,372.76	20	396.59	9	204.30	391	59.74
Moradabad	78	1,126.17	3	52.62	10	60.99	91	12.40
Sambhal	23	345.46	0	0.00	0	0.00	23	3.45
Siddharth Nagar	54	2,285.39	20	430.03	6	135.79	80	28.51
Unnao	55	1,247.10	2	121.94	14	379.98	71	17.49
Lucknow	60	1,343.05	19	220.36	5	113.42	84	16.77
Mirzapur	116	2,797.30	25	645.27	24	698.76	165	41.41
Saharanpur	103	3,064.03	7	129.99	3	100.38	113	32.94
Grand Total	1,484	34,345.41	278	6,606.45	180	4,359.52	1,942	453.11

Appendix 6.1

Ineligible contractors allowed to bid

(Reference: Paragraph no. 6.1.1)

Sl. No.	Division	NIT	No. of Works	Cost of Work (₹ in Lakh)	Category of Work	Category of Contractor invited
1	CD-1, Basti	530 02.02.16	1	650.00	A	A, B
2	CD-1, Basti	1516 30.04.15	2	634.15	A	A, B
4	CD-1, Unnao	226 13.01.15	1	1,081.00	A	A, B
5	CD-1, Unnao	4868 06.12.14	1	833.26	A	A, B
6	CD-1, Agra	780 05.02.14	1	210.00	A	A, B, C
7	CD-1, Basti	5564 25.10.11	2	2,198.00	A	A, B, C
8	PD, Hapur	3132 03.04.13	1	350.00	A	A, B, C
9	CD-2, Agra	1439 21.03.15	2	225.00	B	A
10	PD, Hapur	4667 10.06.13	3	365.00	B	A
11	PD, Jhansi	287 10.04.15	1	189.00	B	A
12	CD-1, Unnao	878 24.11.15	1	153.77	B	A
13	CD-1, Agra	780 05.02.14	3	364.00	B	A, B, C
14	PD, Hapur	3132 03.04.13	3	320.00	B	A, B, C
15	CD-1, Basti	552 06.02.13	2	276.00	B Approach road	A, B (Bridge)
16	CD-1, Basti	552 06.02.13	25	1,400.32	C	A, B
17	PD, Jhansi	283 18.04.12	2	118.06	C	A, B
18	CD-1, Basti	552 06.02.13	3	120.00	D	A, B
Total			54	9487.56		

Appendix 6.2

Different machinery mentioned in bid documents by the divisions

(Reference: Paragraph no. 6.1.1)

Sl. No.	Name of Machinery	PD, Budaun 56 SE/ 15-16 CB cost ₹ 23.32 crore	CD-3, Jhansi 34SE/ 12-13 CB cost ₹ 21.78 crore	CD, Mainpuri 36SE/ 15-16 CB cost ₹ 23.30 crore	CD-1, Moradabad 11SE/ 13-14 CB cost ₹ 19.72 crore
1.	Tar Boiler	2	0	0	0
2.	Mixture	0	0	0	1
3.	Concrete Mixture	2	0	0	1
4.	Water Tanker	2	0	1	5
5.	Diesel Road Roller (8-10 ton capacity)	3	0	2	2
6.	Vibratory Roller	1	0	1	1
7.	Tractor	2	0	2	2
8.	Truck	1	0	0	0
9.	Hot Mix Plant with sensor paver	2	0	1	1
10.	Air Compressor	2	0	1	1
11.	Mechnical Broom	2	0	1	1
12.	Bitumen Distributor/ machnical sprayer	2	0	1	1
13.	Tipper	6	0	8	5
14.	JCB	1	0	2	1
15.	Pocklank	1	0	0	0
16.	Generator 250 KV	0	0	0	0
17.	Wet Mix Plant	1	0	1	0
18.	Motor Grader	0	0		0
19.	Tandem Roller 6-8 ton	1	0	1	0
20.	Soil Compactor	0	0	1	0
21.	Concrete Vibrator Niddle Type	2	0	0	0
22.	Concrete Vibrator Surface Type	0	0	0	0
23.	Concrete Pump	0	0	1	0
24.	Prestressing Jack with Pump	0	0	0	0
25.	Gouting Pump with Agitator	0	0	0	0
26.	Field Density test apparatus - core cutter & other QA/QC field Appratus	0	0	0	0
27.	Front end loader	1	0	1	0
28.	batch mix plant	0	0	1	0
29.	Paver Finisher	1	0	1	0
30.	Dumper	0	0	0	0
31.	Grader	1	0	1	0
32.	Hydra	0	0	0	0
33.	Excavator	0	0	0	0
34.	Bar bending machine	0	0	0	0
35.	Bar cutting machine	0	0	0	0
36.	crane with cab	0	0	0	0
37.	Rotavator	0	0	0	0

Appendix 6.3**NIT before AA/FS (SE/EE level)***(Reference: Paragraph no. 6.2.1)***(₹ in crore)**

Division	SE level			EE level		
	No. of Contract Bonds	Cost of Contract Bonds	Number of days NITs invited before AA/FS	No. of Contract Bonds	Cost of Contract Bonds	Number of days NITs invited before AA/FS
CD, Mainpuri	2	26.77	67 to 146	1	0.16	Upto 45
CD, Saharanpur	5	93.88	9 to 114	0	0.00	-
CD, Budaun	5	215.61	5 to 66	0	0.00	-
CD-1, Lucknow	2	23.62	58 to 94	0	0.00	-
CD-1, Moradabad	4	121.89	49 to 132	0	0.00	-
CD-1, Agra	3	151.93	14 to 48	4	1.51	Upto 16
CD-1, Basti	4	79.02	1 to 101	1	0.34	Upto 20
CD-1, Siddharth Nagar	2	32.42	25 to 65	5	1.39	Upto 92
CD-1, Unnao	3	61.25	5 to 206	4	1.29	Upto 149
CD-2, Lucknow	3	273.24	14 to 139	4	1.24	Upto 104
CD-2, Agra	2	31.25	114 to 139	1	0.37	Upto 247
CD-3, Gorakhpur	1	7.34	197 to 197	5	1.24	Upto 203
CD-3, Jhansi	1	40.05	174 to 174	3	0.72	Upto 88
CD-3, Saharanpur	5	67.37	3 to 114	0	0.00	-
CD (Building), Gorakhpur	4	76.62	38 to 200	0	0.00	-
PD, Agra	5	198.80	16 to 565	0	0.00	-
PD, Basti	2	117.72	37 to 39	3	0.98	Upto 157
PD, Budaun	5	263.92	8 to 113	0	0.00	-
PD, Ghazipur	1	39.24	5 to 5	3	0.87	Upto 23
PD, Hardoi	2	5.94	165 to 205	4	1.22	Upto 217
PD, Lucknow	3	129.73	84 to 191	0	0.00	-
PD, Moradabad	5	108.30	11 to 178	0	0.00	-
PD, Saharanpur	2	34.36	12 to 24	2	0.66	Upto 139
PD, Unnao	3	173.95	3 to 67	2	0.75	Upto 59
PD, Gonda	3	114.09	7 to 85	4	1.45	Upto 84
PD, Gorakhpur	2	40.55	19 to 194	3	1.12	Upto 40
PD, Hapur	3	86.33	27 to 136	0	0.00	-
PD, Jhansi	4	151.36	62 to 251	7	1.78	Upto 420
PD, Mainpuri	4	130.93	7 to 79	0	0.00	-
PD, Sambhal	6	173.97	29 to 72	6	1.92	Upto 153
CD-2, Mirzapur	0	0.00	-	4	1.06	Upto 88
Grand Total	96	3,071.45		66	20.07	

Appendix 6.4**NIT before Technical Sanction (SE/EE level)***(Reference: paragraph no. 6.2.1)***(₹ in crore)**

Division	SE level			EE level		
	No. of works	Cost of work	NIT invited before TS (in days)	No. of works	Cost of work	NIT invited before TS (in days)
CD-2, Mirzapur	4	64.27	28 – 108	10	2.36	Upto 213
CD-3, Jhansi	1	32.89	71 – 71	0	0.00	-
CD-3, Mainpuri	3	235.45	42 – 52	1	0.39	Upto 26
CD, Mainpuri	5	87.76	49 – 154	2	0.27	Upto 54
CD, Saharanpur	5	93.88	41 – 148	0	0.00	-
CD, Budaun	5	215.61	48 – 75	0	0.00	-
CD-1, Lucknow	4	40.87	25 – 112	0	0.00	-
CD-1, Moradabad	5	130.03	30 – 158	0	0.00	-
CD-1, Agra	6	215.89	7 – 145	4	1.51	Upto 90
CD-1, Basti	7	127.07	39 – 872	4	1.33	Upto 292
CD-1, Siddharth Nagar	4	118.27	26 – 193	7	1.78	Upto 195
CD-1, Unnao	6	78.84	22 – 250	6	2.01	Upto 154
CD-2, Lucknow	5	325.34	34 – 162	4	1.24	Upto 107
CD-2, Agra	4	56.51	18 – 176	1	0.37	Upto 277
CD-3, Gorakhpur	4	39.65	2 – 132	14	4.14	Upto 520
CD-3, Jhansi	2	43.95	23 – 192	3	0.88	Upto 102
CD-3, Saharanpur	6	84.75	26 – 148	0	0.00	-
CD (Building), Gorakhpur	4	76.62	87 – 310	0	0.00	-
PD, Agra	5	198.80	80 – 601	3	0.44	Upto 43
PD, Basti	5	140.17	57 – 288	0	0.00	-
PD, Budaun	5	263.92	47 – 116	0	0.00	-
PD, Ghazipur	5	74.15	32 – 294	4	1.13	Upto 153
PD, Hardoi	5	57.52	31 – 219	6	1.74	Upto 310
PD, Lucknow	3	81.03	12 – 110	0	0.00	-
PD, Mirzapur	3	13.14	46 – 70	0	0.00	-
PD, Moradabad	5	108.30	28 – 181	0	0.00	-
PD, Saharanpur	3	47.56	11 – 32	2	0.66	Upto 140
PD, Unnao	5	237.02	17 – 70	4	1.41	Upto 59
PD, Gonda	4	119.80	51 – 300	5	1.73	Upto 145
PD, Gorakhpur	6	191.81	6 – 350	4	1.46	Upto 188
PD, Hapur	5	95.88	2 – 135	0	0.00	-
PD, Jhansi	6	163.59	41 – 269	9	2.58	Upto 431
PD, Mainpuri	5	150.43	19 – 92	4	4.47	Upto 170
PD, Sambhal	6	173.97	32 – 97	6	1.96	Upto 60
Total	156	4,184.74		103	33.86	

Appendix 6.5**Opening of financial bids before TS (SE level)***(Reference: paragraph no. 6.2.2)*

Division	No. of Contract bonds	Cost of CBs (₹ in crore)	Financial Bid opened before TS (range in days)
CD-2, Mirzapur	5	154.94	1 to 68
CD-3, Jhansi	1	32.89	30 to 30
CD-3, Mainpuri	2	234.23	1 to 2
CD, Mainpuri	2	26.77	2 to 40
CD, Saharanpur	5	93.88	2 to 69
CD, Budaun	4	207.52	6 to 17
CD-1, Lucknow	2	16.00	30 to 72
CD-1, Moradabad	1	26.27	20 to 20
CD-1, Agra	4	168.43	1 to 103
CD-1, Basti	7	127.07	3 to 823
CD-1, Siddharth Nagar	4	118.27	1 to 136
CD-1, Unnao	5	75.91	4 to 35
CD-2, Lucknow	5	325.34	6 to 131
CD-2, Agra	3	48.27	33 to 70
CD-3, Gorakhpur	3	29.24	20 to 39
CD-3, Jhansi	1	40.05	12 to 12
CD-3, Saharanpur	5	67.37	2 to 43
PD, Agra	3	185.41	5 to 173
PD, Basti	1	115.55	242 to 242
PD, Budaun	4	209.20	1 to 66
PD, Ghazipur	3	33.13	17 to 232
PD, Hardoi	3	10.63	8 to 139
PD, Lucknow	3	129.73	35 to 201
PD, Mirzapur	2	8.77	8 to 20
PD, Moradabad	1	24.19	upto 40
PD, Saharanpur	2	34.36	2 to 10
PD, Unnao	4	201.73	1 to 7
PD, Gonda	4	119.80	10 to 273
PD, Gorakhpur	3	116.67	2 to 230
PD, Hapur	1	10.46	upto 6
PD, Jhansi	6	163.59	10 to 106
PD, Mainpuri	4	146.85	6 to 33
PD, Sambhal	2	31.09	1 to 9
Total	105	3,333.61	

Appendix 6.6**Contractors deprived due to revision of cost of work***(Reference: Paragraph no. 6.2.3)*

Sl. No.	Division	Contract Bond No.	CB Date	CB Cost (₹ in lakh)	Reference of NIT	Estimated Cost (₹ in lakh)	Cost of work as per NIT (₹ in lakh)	Category of Contractor/ Work invited in NIT	Eligible Category of Contractor after revised cost of work
1	CD, Budaun	16SE	25.07.13	177.89	01.03.13	177.89	208.00	A	B
2	PD, Sambhal	51SE	17.03.15	72.05	09.02.15	74.44	83.00	B	C
3	CD-1, Agra	17SE	16.07.15	260.57	05.02.14	263.2	85.00	B	A
4	CD-1, Agra	10SE	31.05.14	314.36	05.02.14	318.98	180.00	B	A
5	CD-2, Agra	18SE	04.01.13	170.82	30.10.12	171.87	210.00	A	B
6	PD, Jhansi	08SE	25.05.12	59.57	01.11.11	72.64	81.25	B	C
7	CD-1, Unnao	82SE	21.03.15	176.01	29.12.14	178.70	215.00	A	B
8	CD-1, Siddharth Nagar	115SE	29.01.14	206.28	01.11.13	206.80	190.00	B	A
9	PD, Gonda	159SE	20.02.14	38.71	26.11.13	38.82	50.00	C	D
10	PD, Gonda	22SE	21.03.13	170.02	28.12.12	200.73	115.00	B	A
11	CD-3 Saharanpur	06SE	11.03.13	44.91	17.11.12	59.97	90.75	B	C
			11			1,764.04	1508.00		

Appendix 6.7**Details of NITs directly sent to press***(Reference: Paragraph no. 6.2.4)*

Sl. No.	Name of division	CB No.	Estimated cost (in ₹)	Cost of contract bond (in ₹)	Date of sending letter to director
1	CD, Budaun	112/EE13-14	18,62,250.00	12,06,738.00	30.11.13
2	CD-2, Agra	44/EE11-12	49,69,585.00	38,89,823.90	19.10.11
3	CD-2, Agra	94/EE14-15	37,00,958.00	36,36,639.00	19.03.15
4	CD-2, Agra	95/EE14-15	39,38,780.60	38,58,353.30	19.03.15
5	CD-2, Agra	85/EE15-16	39,48,085.00	38,93,520.00	10.03.16
6	PD, Gorakhpur	89/EE11-12	1,01,014.50	68,477.33	25.10.11
7	PD, Gorakhpur	98/EE11-12	3,46,547.00	1,00,498.00	25.10.11
8	PD, Gorakhpur	67/EE12-13	1,50,105.29	1,32,843.19	24.02.13
9	PD, Gorakhpur	68/EE12-13	1,50,026.17	1,32,773.17	08.02.13
10	PD, Gorakhpur	49/EE13-14	1,58,636.25	1,57,049.89	18.04.13
11	PD, Gorakhpur	52/EE13-14	1,58,636.25	1,57,049.89	18.04.13
12	PD, Gorakhpur	66/EE14-15	33,63,278.30	33,59,915.00	14.01.15
13	PD, Gorakhpur	17/EE15-16	1,75,576.36	1,75,400.79	06.04.15
14	PD, Gorakhpur	20/EE15-16	1,31,887.94	1,29,263.77	06.04.15
15	PD, Agra	45/EE14-15	4,15,192.00	4,15,192.00	07.02.15
16	PD, Ghazipur	05/EE13-14	17,23,009.00	17,22,147.00	16.03.13
17	PD, Ghazipur	11/EE12-13	27,51,900.00	24,24,424.00	19.12.11
18	CD-3, Jhansi	76/EE14-15	32,26,480.00	27,42,508.00	30.12.14
19	CD-3, Jhansi	22/EE15-16	31,45,559.00	3,62,380.00	03.08.15
20	CD, Mainpuri	42/EE14-15	8,98,900.00	8,98,720.00	02.06.14
21	CD, Mainpuri	45/EE15-16	3,24,885.00	3,24,885.00	11.03.16
22	CD-3, Mainpuri	60/EE11-12	5,16,600.00	4,28,778.00	15.10.11
23	PD, Mirzapur	92/EE15-16	51,94,267.00	39,47,643.00	25.08.15
Total			4,13,52,158.66	3,41,65,022.23	

Appendix 6.8**District-wise details of contract bonds executed
on short term tender basis (SE/EE level)***(Reference: Paragraph no. 6.2.5)*

Name of Division	SE level			EE level		
	No. of Contract Bonds	Cost of Contract Bonds (₹ in crore)	Short term NiT (range in days)	No. of Contract Bonds	Cost of Contract Bonds (₹ in crore)	Short term NiT (range in days)
CD (Building), Gorakhpur	3	42.16	7 to 18	5	0.52	09 to 27
CD-2, Mirzapur	4	137.71	7 to 26	7	1.71	15 to 25
CD, Saharanpur	7	91.09	10 to 21	4	1.41	12 to 27
CD, Budaun	12	191.42	9 to 27	8	1.08	12 to 26
CD-1, Lucknow	6	56.94	7 to 29	7	1.84	02 to 28
CD-1, Moradabad	4	35.60	8 to 23	5	1.36	06 to 12
CD-1, Agra	17	177.28	2 to 29	8	2.79	06 to 25
CD-1, Basti	12	119.07	8 to 29	5	1.68	13 to 17
CD-1, Siddharth Nagar	6	126.20	8 to 22	9	2.19	07 to 28
CD-1, Unnao	13	65.50	4 to 29	11	3.48	08 to 26
CD-2 Lucknow	8	299.77	6 to 20	6	1.96	09 to 29
CD-2, Agra	8	55.72	7 to 19	8	3.04	02 to 25
CD-3, Gorakhpur	4	21.30	8 to 28	9	2.23	08 to 18
CD-3, Jhansi	4	32.12	8 to 22	9	1.67	08 to 29
CD-3, Mainpuri	1	6.87	18 to 18	7	1.93	0 to 25
CD-3, Saharanpur	7	67.69	8 to 22	4	1.27	14 to 27
CD, Mainpuri	4	71.56	5 to 19	4	0.80	05 to 20
PD, Agra	4	63.11	6 to 22	8	1.02	03 to 28
PD, Basti	5	155.78	7 to 12	15	4.30	05 to 27
PD, Budaun	5	172.02	9 to 22	3	0.69	06 to 09
PD, Ghazipur	6	46.79	1 to 14	7	1.83	0 to 28
PD, Hardoi	4	34.48	12 to 27	6	1.66	11 to 29
PD, Lucknow	11	190.80	9 to 21	8	1.62	09 to 28
PD, Mirzapur	7	91.46	10 to 19	3	1.19	03 to 12
PD, Moradabad	4	60.38	6 to 27	9	1.73	08 to 19
PD, Saharanpur	7	77.44	6 to 22	1	0.31	Upto 26
PD, Unnao	4	88.48	9 to 28	10	3.27	04 to 12
PD, Gonda	6	104.84	7 to 26	5	1.87	09 to 18
PD, Gorakhpur	11	53.06	9 to 23	16	3.44	07 to 27
PD, Hapur	19	98.35	4 to 27	5	1.59	06 to 29
PD, Jhansi	14	130.98	11 to 29	8	2.32	01 to 27
PD, Mainpuri	24	222.88	11 to 25	2	0.68	17 to 19
PD, Sambhal	21	142.11	9 to 29	8	2.93	06 to 23
Total	272	3,330.96		230	61.41	

Appendix 7.1**No. of bids received***(Reference: Paragraph no. 7.1)***(₹ in crore)**

District	Single Bid				Two Bids				Three and above bids			
	SE		EE		SE		EE		SE		EE	
	No. of CBs	Cost of CBs	No. of CBs	Cost of CBs	No. of CBs	Cost of CBs	No. of CBs	Cost of CBs	No. of CBs	Cost of CBs	No. of CBs	Cost of CBs
Agra	0	0	1	0.37	22	269.89	61	7.13	11	151.55	9	1.57
Basti	6	18.26	17	2.90	7	236.59	12	1.10	5	36.05	11	2.73
Budaun	0	0	5	0.41	14	182.58	7	0.80	3	180.86	6	0.62
Ghazipur	3	26.20	1	0.20	2	35.61	4	0.94	2	19.18	5	1.51
Gonda	3	6.34	1	0.40	4	159.21	7	1.75	1	1.70	2	0.38
Gorakhpur	5	45.46	8	2.49	14	144.25	18	2.58	7	73.31	10	1.60
Hapur	0	0	4	0.04	17	102.80	21	1.77	5	47.31	2	0.66
Hardoi	1	4.35	0	0	5	71.67	4	1.17	0	0	4	1.07
Jhansi	0	0	2	0.36	18	314.20	23	1.14	5	34.39	15	3.40
Lucknow	0	0	1	0.28	17	252.34	9	2.85	8	295.16	21	4.81
Mainpuri	5	52.71	11	3.25	26	331.47	23	2.04	5	199.59	11	1.89
Mirzapur	5	90.43	11	2.91	6	138.75	6	0.83	2	84.61	3	0.85
Moradabad	0	0	6	1.18	7	152.68	8	1.31	11	145.24	4	0.75
Saharanpur	0	0	7	2.17	7	87.34	17	2.75	15	172.98	6	0.29
Sambhal	0	0	1	0.01	24	177.11	20	3.38	1	0.49	1	0.36
Siddharth Nagar	2	30.07	3	0.99	3	92.82	6	0.47	1	3.30	3	0.75
Unnao	1	11.86	0	0	18	209.63	31	6.20	7	87.15	2	0.67
Total	31	285.68	79	17.96	211	2,958.94	277	38.21	89	1,532.87	115	23.91

Appendix 7.2**Details of bids received and negotiation held***(Reference: Paragraph no. 7.2)***(₹ in crore)**

Division	Total No. of Contract Bonds	Cost of total contract Bonds	No. of contract bonds Negotiation held	Cost of negotiated contract bonds
CD (Building), Gorakhpur	7	68.46	3	42.51
CD, Saharanpur	7	91.09	6	90.69
CD, Budaun	12	191.42	8	187.78
CD-1, Lucknow	6	56.94	6	50.94
CD-1, Moradabad	7	130.25	6	110.86
CD-1, Agra	17	177.28	16	176.87
CD-1, Basti	12	119.07	7	109.86
CD-1, Siddharth Nagar	6	126.20	4	120.83
CD-1, Unnao	18	95.32	15	86.47
CD-2, Lucknow	8	299.77	8	299.77
CD-2, Mirzapur	5	138.89	1	80.43
CD-2, Agra	10	73.73	10	73.73
CD-3, Gorakhpur	4	21.30	3	17.66
CD-3, Jhansi	5	67.76	4	64.91
CD-3, Mainpuri	5	254.24	3	57.78
CD-3, Saharanpur	7	67.69	5	66.96
CD, Mainpuri	5	72.14	1	41.75
PD, Agra	6	170.44	5	166.33
PD, Basti	6	171.83	3	153.08
PD, Budaun	5	172.02	5	172.02
PD, Ghazipur	7	80.98	5	75.07
PD, Hardoi	6	76.03	4	69.93
PD, Lucknow	11	190.80	11	190.80
PD, Mirzapur	8	174.90	2	4.50
PD, Moradabad	11	167.66	2	49.70
PD, Saharanpur	8	101.54	5	60.84
PD, Unnao	8	213.32	6	136.45
PD, Gonda	8	167.25	6	164.17
PD, Gorakhpur	15	173.26	13	155.29
PD, Hapur	22	150.12	19	145.14
PD, Jhansi	18	280.82	9	260.13
PD, Mainpuri	26	257.39	13	231.59
PD, Sambhal	25	177.60	20	172.03
Total	331	4,777.51	234	3,886.87

Appendix 7.3**Cartel formation by the bidders***(Reference: Paragraph no. 7.5)*

Sl. No.	Name of division	Contract Number and date	Estimated cost ₹in lakh	Bonded cost ₹in lakh	Name of bidders	Comment
1	CD, Badaun	22/SE 26-07-13	98.15	98.15	1- Mohd Saleem	Mohd Saleem was also partner in M/s K K Builders
					2- M/s K K Builders	
2	CD, Badaun	17/SE 21-01-13	1,406.62	1643.78	1- M/s A B Infracore P Ltd	Smt Sazida Khan W/o Sri Arshad Ali and Smt Nuzhar Parveen W/o of Sri Mussarraff Ali were partners in both firms
					2- M/s Ankul Builders	
3	CD, Badaun	12/SE 01-07-15	46.18	46.14	1- M/s Sri Sai Construction	Sri Viresh Kumar Gupta S/o Sri Ram Bharose Lal was partner in both Firm
					2- M/s Gaur Builders	
4	PD, Sambhal	78/SE 28-10-13	50.48	49.54	1- M/s B P Construction	Partners of M/s B P Construction (Sri Bhupendra Singh and Smt Pushpa Devi) was son and wife of other bidder
					2- Sri Shri Pal Singh	
5	PD, Sambhal	79/SE 28-10-13	252.17	248.1	1- M/s B P Construction	Partners of M/s B P Construction (Sri Bhupendra Singh and Smt Pushpa Devi) was son and wife of other bidder
					2- Sri Shri Pal Singh	
6	PD, Sambhal	20/SE 20-09-14	840.83	794.68	1- M/s B P Construction	Partners of M/s B P Construction (Sri Bhupendra Singh and Smt Pushpa Devi) was son and wife of other bidder (Sri Shri Pal Singh)
					2- Sri Shri Pal Singh	
7	PD, Sambhal	55/SE 24-03-15	74.91	72.35	1- M/S Om Construction	Partner of M/s Om Construction (Sri Satyapal Singh) was father of other bidder (Prop Sri Amreesh Kumar of M/s SDS Construction)
					2- M/S SDS Construction	
8	PD, Sambhal	47/SE 17-03-15	42.55	41.21	1- M/S Om Construction	Partner of M/s Om Construction (Sri Satyapal Singh) was father of other bidder (Prop Sri Amreesh Kumar of M/s SDS Construction)
					2- M/S SDS Construction	
9	PD, Sambhal	98/SE 08-01-16	168.86	162.29	1- M/S Om Construction	Partner of M/s Om Construction (Sri Satyapal Singh) was father of other bidder (Prop Sri Amreesh Kumar of M/s SDS Construction)
					2- M/S SDS Construction	
10	CD-1, Agra	23/SE 18-11-11	98.15	41.00	1- TVK Company	Sri Sunil Kumar Garg was partner in M/s TVK Company and M/s Shriram Construction and his son Sri Tarun Garg was partner in M/s Mahashakti Enterprises
					2- M/s Mahashakti Enterprises	
					3- M/s Shriram Construction	
11	CD-2, Agra	19/SE 29-07-11	1,615.71	1,609.36	1- M/s Ideal Buildtech P Ltd	Sri Chakresh Kumar Jain was partner in both firm and Sri Abhinandan Jain was son of partner in other firm (Sri Pradeep Kumar Jain)
					2- M/s PNC Company	
12	CD-2, Agra	23/SE 25-08-15	1,079.11	1,076.19	1- M/s Dauji Construction	Sri Ram Sanehi Verma S/o Sri Chote Lal was pantner in M/s Dauni Construction
					2- Sri Ram Sanehi Verma	

Appendix

13	PD, Mainpuri	126/SE 24-12-13	1,091.21	1,090.67	1- M/s Om Construction	Sri Omveer Singh was partner in both firm and wife (Smt Chanchal Chaudhary) of other partner Sri Mukesh Chaudhari was partner in other firm
					2- M/s Motrth Infrastructure	
14	PD, Mainpuri	01/SE 13-04-15	2,044.16	2,032.01	1- M/s Morth Infrastructure	Sri Omveer Singh was partner in both firm and husband (Sri Mukesh Chaudhary) of other partner Smt Chanchal Chaudhari was partner in other firm
					2- M/s Om Construction	
15	PD, Mainpuri	21/SE 04-10-14	344.06	340.27	1- M/s Rishiraj Construction	Smt Vandana Yadav was partner in both firm
					2- M/s AV Developers	
16	PD, Mainpuri	40/SE 21-07-15	45.39	45.37	1- M/s Vinod Kumar	Sri Ram Lal S/o Sri Diwari Lal was partner in both firm
					2- M/s Ram Lal	
17	PD, Jhansi	35/SE 18-09-15	1,304.95	1,342.54	1- M/s Ajai Prakash Associates	Power of Attorney given to same person Sri Brijesh Singh Yadav S/o Sri Chandan Singh
					2- M/s Bihari Construction	
18	CD-1, Basti	25/SE 23-12-11	1,423.06	897.05	1- M/s Satet Nirman	Son and wife of Sri Ajant Kumar Agrawal (Abhydaya Housing & Const) is pantner in M/s Saket Nirman And both firms were working in Joint Venture
					2- M/s Abhyudaya Housing & Construction	
19	CD-1, Basti	24/SE 14.03.11	823.76	822.11	1- M/s Satet Nirman	Son and wife of Sri Ajant Kumar Agrawal (Abhydaya Housing & Const) is pantner in M/s Saket Nirman And both firms were working in Joint Venture
					2- M/s Abhyudaya Housing & Construction	
					3- M/s G S Express	
20	CD-1, Basti	14/SE 30.03.10	846.27	846.27	1- M/s Satet Nirman	Son and wife of Sri Ajant Kumar Agrawal (Abhydaya Housing & Const) is pantner in M/s Saket Nirman And both firms were working in Joint Venture
					2- M/s Abhyudaya Housing & Construction	
21	CD-3, Saharanpur	27/SE 04.11.11	895.82	863.82	1- M/s Ravi Construction	Sri Ravindra Singh S/o Sri Ram Mehar Singh propriter of M/s Ravi Construction is partner in M/s Vishal Construction
					2- M/s Vishal Construction	
22	CD, Saharanpur	51/SE 27.03.15	1402.55	1387.12	1- M/s Ravi Construction	Sri Ravindra Singh S/o Sri Ram Mehar Singh propriter of M/s Ravi Construction is partner in M/s Vishal Construction
					2-M/s Vishal Construction	
Total			₹15,550.02 lakh say ₹ 155.50 crore			

Appendix 8.1**Short stamp on Bank Guarantee***(Reference: Paragraph no. 8.2)*

Sl. No.	Year	Division	CB No.	Date of Contract	CB Cost in lakh	Security (in ₹)	Required Stamp on BG (in ₹)	Stamp limited to ₹10,000	Stamp for BG (in ₹)	Less Stamp on BG (in ₹)
1	2012-13	CD, Budaun	15/SE	19-Jan-13	1,678.55	85,92,800	42,965	10,000	100	9,900
2	2012-13	CD, Budaun	16/SE	21-Jan-13	4,513.02	2,27,77,000	113,885	10,000	100	9,900
3	2012-13	PD, Hapur	04/SE	5-Dec-12	3,307.99	1,83,94,000	91,970	10,000	100	9,900
4	2013-14	PD, Hapur	20/SE	17-Jul-13	88.15	9,20,000	4,600	4,600	100	4,500
5	2013-14	PD, Hapur	18/SE	3-Jul-13	363.11	23,31,600	11,660	10,000	100	9,900
6	2012-13	PD, Hapur	20/SE	13-Feb-13	942.06	49,20,250	24,600	10,000	100	9,900
7	2013-14	PD, Hapur	27/SE	26-Sep-13	1,077.04	73,62,500	36,815	10,000	100	9,900
8	2014-15	CD-2, Agra	28/SE	18-Mar-15	722.11	38,50,000	19,250	10,000	100	9,900
9	2014-15	PD, Mainpuri	24/SE	18-Nov-14	2,512.72	1,28,00,000	64,000	10,000	100	9,900
10	2013-14	PD, Mainpuri	125/SE	24-Dec-13	3,016.57	1,52,85,000	76,425	10,000	100	9,900
11	2015-16	PD, Mainpuri	41/SE	27-Jul-15	187.18	11,50,000	5,750	5,750	100	5,650
12	2015-16	PD, Mainpuri	42/SE	27-Jul-15	233.23	13,70,000	6,850	6,850	100	6,750
13	2013-14	PD, Mainpuri	65/SE	2-Aug-13	53.25	7,33,000	3,665	3,665	100	3,565
14	2013-14	PD, Mainpuri	66/SE	2-Aug-13	48.64	6,87,000	3,435	3,435	100	3,335
15	2013-14	PD, Jhansi	63/SE	10-Dec-13	1309	80,00,000	40,000	10,000	100	9,900
16	2012-13	PD, Jhansi	28/SE	24-Jan-13	2,145.19	1,09,00,000	54,500	10,000	100	9,900
17	2014-15	CD-1, Unnao	58/SE	24-Feb-15	702.68	37,15,000	18,575	10,000	100	9,900
18	2011-12	CD-1, Unnao	123/SE	22-Dec-11	723.57	40,00,000	20,000	10,000	100	9,900
19	2011-12	CD-1, Unnao	56/SE	3-Feb-11	1,614.92	83,00,000	41,500	10,000	100	9,900
20	2014-15	CD-1, Unnao	82/SE	21-Mar-15	176.01	12,50,000	6,250	6,250	100	6,150
21	2014-15	CD-1, Unnao	57/SE	24-Feb-15	66.24	6,50,000	3,250	3,250	150	3,100
22	2014-15	CD-1, Unnao	83/SE	21-Mar-15	207.32	14,46,000	7,230	7,230	100	7,130
23	2014-15	CD-1, Unnao	55/SE	21-Feb-15	59.1	4,96,000	2,480	2,480	100	2,380
24	2014-15	CD-1, Unnao	61/SE	10-Mar-15	42.89	4,15,000	2,075	2,075	100	1,975
25	2014-15	CD-1, Unnao	12/SE	29-May-14	187.56	11,50,000	5,750	5,750	100	5,650
26	2014-15	CD-1, Unnao	05/SE	16-May-14	171.13	10,60,000	5,300	5,300	100	5,200
27	2013-14	CD-1, Unnao	199/SE	24-Feb-14	94.8	6,74,000	3,370	3,370	100	3,270
28	2015-16	CD-1, Siddharth Nagar	52/SE	3-Nov-15	2,800.92	1,42,10,000	71,050	10,000	100	9,900
29	2011-12	PD, Mirzapur	43/SE	23-Dec-11	231.08	13,60,000	6,800	6,800	5,000	1,800
Total										2,08,955

Appendix 8.2
Splitting of works less than ₹ 40 lakh
(Reference: Paragraph no. 8.6)

(₹ in crore)

Sl. No.	Divisions	No of works	No. of contract bonds	Sum of estimated cost	Sum of bonded cost
1	EE, CD-2, Agra	2	4	1.64	1.52
2	EE, CD-1, Basti	1	2	0.56	0.55
3	EE, PD, Basti	35	72	7.20	6.96
4	EE, PD, Budaun	7	18	1.73	1.72
5	EE, PD, Gazipur	98	257	8.60	9.60
6	EE, PD, Gonda	3	7	0.43	0.43
7	EE, CD (Building), Gorakhpur	16	37	5.42	5.09
8	EE, PD, Gorakhpur	2	4	0.06	0.06
9	EE, PD, Hardoi	24	54	4.34	2.96
10	EE, CD-3, Jhansi	8	26	1.26	1.23
11	EE CD-I, Lucknow	40	79	6.00	5.82
12	EE CD-II, Lucknow	19	43	3.03	2.70
13	EE, PD, Lucknow	104	273	17.46	16.77
14	EE CD-II, Mirzapur	30	70	4.34	3.94
15	EE, PD, Unnao	8	21	1.74	1.80
Total		397	967	63.81	61.15

Appendix 8.3**Works executed without sanction and allotment of funds***(Reference: Paragraph no. 8.9)*

Sl. No.	Name of Div.	Item No. of Miscelenous Advance	Month from which transaction done	Amount (₹ in lakh)
1.	EE, PD, PWD, Budaun	24/48	07/1995, 10/1996, 11/1998 12/1998	30.59
2.	EE, CD, PWD, Budaun	-	06/1997 to 01/2007	33.46
3.	EE, PD, PWD, Moradabad	59/70	09/1998	18.73
4.	EE, CD-1, PWD, Moradabad	134	01/2004	4.61
5.	EE, CD-1, Agra	-	03/2004	6.06
6.	EE, CD, PWD, Mainpuri	2-Feb	11/2004 to 01/2014	41.07
7.	EE, CD-3, PWD, Mainpuri	1	09/2006	4.21
8.	EE, PD, Mainpuri	-	03/2000 to 03/2013	47.76
9.	EE, CD(B), PWD, Gorakhpur	88/88	03/1997 to 03/2015	112.93
10.	EE, PD, Gorakhpur	-	12/2001 to 11/2015 and 12/2015	130.07
11.	EE, PD, PWD, Basti	N/A	N/A	15.86
12.	EE, CD-1, Basti	-	8/2001 and 03/2015	157.15
13.	EE, CD-3, PWD, Jhansi	1,4 and 8	10/04, 03/08 and 06/14	20.97
14.	EE,PD, Jhansi	-	09/1987	97.87
15.	EE, PD, PWD, Unnao	52,113,129, 144 and 163	03/1989, 02/1989, 02/2002, 06/2004, 03/2013, 12/2013, 03/2014	47.3
16.	EE, CD-1, Unnao	-	12/2002 & 0/2003 and 02/2011 & 03/2011	44.17
17.	EE, PD, Hapur	-	07/2011	9.76
18.	EE, PD, Sambhal	-	04/2011	9.85
19.	EE, PD, PWD, Gazipur	156/157	05/2016	117.68
20.	EE, PD, PWD, Hardoi	159,208,230	11/1995,04/2014, 11/2015	11.6
21.	EE, CD-1, PWD, Siddharth Nagar	3	07/2007	9.13
22.	PD, Gonda	-	01/1993	49.33
23.	PD, Lucknow	157/266, 182/394, 185/403	2/2001, 3/2007, 6/2007	13.01
24.	EE, CD-2, PWD, Lucknow	56/65, 57/66, 58/67, 59/68, 60/69, 61/70	12/96, 03/97, 11/98, 11/98, 11/98, 10/03	9.19
25.	EE, PD, Saharanpur	-	10/90, 01/91, 05/91, 08/92, 93/93, 07/93, 12/93, 02/94, 02/95, 09/95, 10/95, 06/96, 07/96, 08/96, 12/96, 05/97, 08/97, 09/97, 11/97, 12/97, 3/98, 8/98, 12/98, 08/99, 09/99, 11/99, 12/99, 08/2000, 05/2001, 07/2001, 06/2003, 03/2005, 09/2006, 10/2006, 02/2008, 03/2014, 03/2016	50.33
Total				1,092.69

Appendix 8.4**Insurance not carried out by the contractor***(Reference: Paragraph no. 8.11)*

Sl. No.	District	No. of CBs	Cost of CBs (₹ in lakh)	Insurance Premium due (₹ in lakh)
1	Agra	171	57,916.90	13.23
2	Basti	256	48,108.23	10.99
3	Budaun	174	77,226.83	17.63
4	Ghazipur	146	23,872.69	5.45
5	Gonda	85	23,680.39	5.41
6	Gorakhpur	314	46,864.12	10.7
7	Hapur	61	18,372.53	4.2
8	Hardoi	118	18,975.24	4.33
9	Jhansi	85	26,948.04	6.15
10	Lucknow	307	10,5629.7	24.12
11	Mainpuri	227	80,554.46	18.39
12	Mirzapur	185	26,616.51	6.08
13	Moradabad	122	46,755.91	10.68
14	Saharanpur	167	3,8884.6	8.88
15	Sambhal	120	26,648.28	6.09
16	Siddharth Nagar	102	19,735.76	4.51
17	Unnao	312	62,121.64	14.19
Total		2,952		171.03 Say ₹ 1.71 crore

Appendix 8.5**Non-use of T3 for purchase of material***(Reference: Paragraph no. 8.12)*

Sl. No.	Name of division	Payment of month	No. of Voucher	Name of material	Amount (₹ in lakh)
1	CD (Building), Gorakhpur	03/2014	10	Grit	9.77
		03/2016	10	Grit/Stone dust	9.90
2	CD (Building), Gorakhpur	03/2015	10	Grit	9.89
		03/2016	10	Grit	9.81
3	CD-3, Jhansi	03/2013	02	Grit/Stone dust	1.82
		03/2014	09	Grit/Stone dust	8.87
		03/2015	11	Grit/Stone dust	10.96
		03/2016	08	Grit/Stone dust	7.93
4	CD-3, Mainpuri	03/2014	10	Grit/Stone dust	9.77
5	CD, Mainpuri	03/2012	09	Grit/Stone dust	3.06
		03/2013	10	Grit/Stone dust	8.83
		03/2014	12	Grit/Stone dust	11.64
		03/2016	10	Grit/Stone dust	9.75
6	PD, Unnao	03/2014	04	Grit/Stone dust	3.97
		03/2015	10	Grit/Stone dust	9.97
		03/2016	10	Grit/Stone dust	9.83
7	CD-1 Agra	03/2016	51	Grit/Stone dust	49.16
	PD, Gazipur	03/2012	10	Grit/Dala dust	9.69
		03/2013	10	Grit/Dala dust	9.71
		03/2014	09	Grit/Dala dust	8.77
		03/2015	10	Grit/Dala dust	9.58
		03/2016	07	Grit/Dala dust	6.91
8	PD, Hardoi	03/2012	09	Grit/ Stone dust/Balast	8.36
		03/2013	10	Grit/Stone dust	9.72
		03/2014	03	Grit/Stone dust	2.95
		03/2016	10	Grit/Stone dust	9.24
Total			274		259.86 or say ₹ 2.60 crore

Appendix 9.1**Secured advance paid to contractors***(Reference: Paragraph no. 9.1)*

Sl. No.	District	Name of Division	CB No.	CB Date	Cost of Contract (₹ in crore)	Voucher No. & date	Secured Advance (₹ in lakh)
1	Agra	CD-2, Agra	51/SE	30.03.2013	89.30	63, 31.10.15	275.00
2	Agra	CD-2, Agra	37/SE	07.10.2013	17.28	135, 31.03.14	20.00
3	Budaun	CD, Budaun	16/SE	21.01.2013	45.13	363, 31.03.13	163.00
4	Budaun	CD, Budaun	16/SE	21.01.2013	-do-	94, 30.09.13	68.36
5	Budaun	CD, Budaun	16/SE	21.01.2013	-do-	279, 30.03.14	137.00
6	Budaun	CD, Budaun	16/SE	21.01.2013	-do-	113, 31.12.14	228.00
7	Budaun	CD, Budaun	15/SE	19.01.2013	16.79	23, 12.09.13	110.40
8	Gorakhpur	PD, Gorakhpur	95/SE	19.12.2013	63.17	247, 26.5.14	349.86
9	Sambhal	PD, Sambhal	26/SE	22.12.2011	25.43	NA	40.50
10	Budaun	PD, Budaun	11/SE	14.01.2013	24.11	92, 28.1.13	118.55
11	Moradabad	PD, Moradabad	25/SE	21.12.2011	20.67	14, 10.7.12	123.50
12	Moradabad	CD-1, Moradabad	11/SE	11.05.2013	19.39	NA	191.54
13	Agra	PD, Agra	26/SE & 28/SE	15.12.2011	6.31	132, 28.12.11 142, 28.1.12	100.00
14	Agra	PD, Agra	12/SE	22.10.2012	3.01	112, 30.10.12	74.41
15	Agra	PD, Agra	38/SE	15.12.2015	51.12	207, 30.3.16 03, 25.4.16	291.00
16	Mainpuri	CD, Mainpuri	06/SE	04.11.2011	0.86	12, 5.6.12	2.39
17	Mainpuri	CD, Mainpuri	41/SE	26.03.2015	0.59	231, 31.3.15	14.60
18	Mainpuri	CD, Mainpuri	36/SE	21.07.2015	22.60	69, 30.7.15	100.00
19	Hardoi	PD, Hardoi	16/SE	21.01.2013	37.19	135, 26.03.13	502.43
20	Saharanpur	CD-3, Saharanpur	54/SE	29.09.2011	25.75	111, 29.08.13	48.37
21	Saharanpur	CD-3, Saharanpur	54/SE	29.09.2011	-do-	51, 30.01.14	61
22	Saharanpur	CD-3, Saharanpur	06/SE	11.03.2013	0.45	140, 31.03.13	4.68
23	Saharanpur	CD-3, Saharanpur	04/SE	15.06.2015	10.21	81, 29.06.15	40
24	Saharanpur	CD, Saharanpur	55/SE	29.09.2011	24.36	47, 29.10.14	209.86
25	Saharanpur	CD, Saharanpur	55/SE	29.09.2011	-do-	71, 30.09.15	190
26	Saharanpur	CD, Saharanpur	51/SE	27.03.2015	13.81	258, 31.03.15	31.31
27	Saharanpur	CD, Saharanpur	51/SE	27.03.2015	-do-	17, 21.08.15	8.65
28	Lucknow	CD-1, Lucknow	60/SE	17.12.2011	12.02	55, 27.01.12	110.00
Total							3,614.41

Appendix 9.2**Un-authorised advances paid to contractors***(Reference: Paragraph no. 9.2)*

Sl. No.	Name of Division	CB No.	CB Date	Cost of Contract (₹in crore)	Voucher No. & date	Advance Payment (₹in lakh)
1	CD-2, Agra	19/SE	29.07.2011	16.09	NA	80.37
2	PD, Hapur	04/SE	05.12.2012	33.08	04, 07.02.13	111.31
3	PD, Hapur	04/SE	05.12.2012	-do-	01, 07.05.13	519.00
4	PD, Mainpuri	13/SE	12.06.2013	16.57	31, 20.01.14 &78, 26.02.14	410.53
5	PD Unnao	98/SE	30.03.2015	66.98	02, 10/9/15	856.75
6	CD Mainpuri	29/SE	25.03.2013	41.75	NA	304.63
7	CD- 3 Mainpuri	32/SE	29.03.2013	195.74	10, 13-03/16	1636.72
8	CD- 3 Mainpuri	27/SE	27.11.2014	49.51	44, 24.02.16	605.00
9	PD Gorakhpur	95/SE	19.12.2013	63.17	86, 20.08.14	302.01
10	PD Gorakhpur	95/SE	19.12.2013	63.17	20, 26.09.14	418.65
11	CD-I Basti	35/SE	03.08.2015	4.06	407, 31.03.16	30.26
12	PD Saharanpur	65/SE	17.12.2011	23.01	02, 09.07.13	149.15
12	PD Saharanpur	65/SE	17.12.2011	-do-	210, 31.03.14	23.99
12	PD Saharanpur	65/SE	17.12.2011	-do-	48, 17.06.14	101.00
13	PD Saharanpur	50/SE	27.03.2015	2.38	11, 15.05.15	110.00
14	CD-3 Saharanpur	54/SE	29.09.2011	25.75	51, 30.01.14	119.67
14	CD-3 Saharanpur	54/SE	29.09.2011	-do-	125, 31.03.14	116.82
15	CD-3 Saharanpur	29/SE	21.10.2013	8.34	25, 22.10.13	83.30
16	CD-3 Saharanpur	04/SE	15.06.2015	10.21	13, 07.11.15	200.00
16	CD-3 Saharanpur	04/SE	15.06.2015	-do-	04, 28.04.16	82.37
17	CD-3 Saharanpur	27/SE	04.11.2015	8.64	73, 29.07.16	70.00
17	CD-3 Saharanpur	27/SE	04.11.2015	-do-	10, 07.12.15	50.00
18	CD Saharanpur	55/SE	29.09.2011	24.36	56, 30.12.14	38.56
18	CD Saharanpur	55/SE	29.09.2011	-do-	29, 13.03.15	47.75
18	CD Saharanpur	55/SE	29.09.2011	-do-	141, 30.03.15	87.23
19	CD Saharanpur	51/SE	27.03.2015	13.81	07, 20.05.15	52.47
19	CD Saharanpur	51/SE	27.03.2015	-do-	06, 14.07.15	5.97
19	CD Saharanpur	51/SE	27.03.2015	-do-	02, 04.09.15	96.85
Total						6,710.36

Appendix 9.3 (A)**Details of MM-11 provided other than district of execution***(Reference: Paragraph no. 9.7.2)*

Name of division	Name of road	Total No. of MM-11 provided	MM-11 of other destination	Percentage of MM-11 provided other destination
CD, Badaun	Strengthening of Meerut Badaun road, SH-18 in Km 163 to 208.955	1022	677	66
PD, Hapur	W/S of Delhi-Bareilly-Lucknow road, ODR (old SH-24)	342	210	61
PD, Sambhal	W/S of Moradabad Sambhal road to connect district headquarter of Sambhal under four lane connectivity of district headquarters scheme, length 35.71 km	362	125	35
CD-1, Unnao	Widening and strengthening work of Sandila-Rasoolabad-Chakalvanshi (MDR-31) km. 14 to 20	310	290	94
PD, Gorakhpur	Widening and strengthening of Shri Ram Janki Marg NH-72 km. 136 to 151	95	25	26
PD, Mainpuri	Widening and strengthening of Lakhaura Occha Marg	548	326	59
PD, Hardoi	Strengthening of HPC Road Ch 1.105 to 25.40 (MDR-43)	99	00	00
PD, Unnao	Unnao Kanpur Marg (SH-58) four lane and cycle track/Service lane	438	366	84
PD, Ghazipur	W/S of Saidpur Deochanpur Dharwa to Chochakpur road	148	80	54
CD (Building), Gorakhpur	W/S of city portion of NH-28 (13-14) Kalesar to Nausad	98	30	31
CD-3, Gorakhpur	Strengthening of Gorakhpur-Deoria Upmarg (ODR) (13-14)	143	22	15
CD-1, Lucknow	Widening and strengthening of Malbharawan Road	133	03	02
CD-II, Lucknow	Widening and strengthening of Lucknow Nagram Nighoha	320	27	08
PD, Saharanpur	Strengthening of Fatehpur Muzaffarabad Kalasia Road km. 27 to 27	310	32	10
CD, Saharanpur	Strengthening and improvement of Nanauta-Devband-Manglore Road km. 01 to 38 (chinage 0 to 26.50)	380	251	66
PD, Mirzapur	Lumbni Duddhi Marg	94	00	00
Total		4,842	2,464	51

Appendix 9.3 (B)**Royalty calculation due to non-availability of MM-11***(Reference: Paragraph no. 9.7.3)*

Name of road	Name of division	Details of material used in the construction of roads and due royalty due to non-availability of MM-11										
		Stone ballast (cum.)	MM-11 Provided	Due royalty of stone ballast @68 per cum (₹ in lakh)	Grit (cum.)	MM-11 provided (cum.)	Quantity of grit for which MM-11 was not provided (cum.)	Due royalty of grit @ 72 per cum (₹ in lakh)	Sand and stone dust (cum.)	MM-11 provided (cum.)	Sand and stone dust for which MM-11 was not provided (cum.)	Due royalty of sand/stone dust @ 33 per cum (₹ in lakh)
Strengthening of Meerut Badaun road, SH-18 in Km 163 to 208.955	CD,Badaun	22,059	0	15.00	66,307	85,451	(-)19,144	(-)13.78	22,781	3482	19,299	6.37
W/S of Delhi Bareilly Lucknow Hapur road, ODR (old SH-24)	PD, Hapur	8,166	0	5.55	42,514	572	41,942	30.20	7,000	192	6,808	2.25
W/S of Moradabad Sambhal road to connect district headquarter of Sambhal under four lane connectivity of district headquarters scheme, length 35.71 km	PD, Sambhal	25,304	0	17.21	78,335	5,666	72,669	52.32	20,273	1281	18,992	6.27
Widening and strengthening work of Sandila-Rasoolabad-Chakalvanshi (MDR-31) km. 14 to 20	CD-1, Unnao	8,271	0	5.62	13,796	1,296	12,500	9.00	6,280	1071	5,209	1.72
Widening and Strengthening of Shri Ram Janki Marg NH-72 km. 136 to 151	PD, Gorakhpur	28,463	0	19.36	34,815	2,223	32,592	23.47	13,737	00	13,737	4.53
Widening and strengthening of Lakhaura Occha Marg	PD, Mainpuri	14,104	0	9.59	30,787	8,801	21,986	15.83	11,668	42	11,626	3.84
Unnaokanpurmarg (SH-58) four lane and cycle track/ Service lane	PD, Unnao	44,962	0	30.57	72,686	2,733	69,953	50.37	29,653	222	29,431	9.71
Strengthening of HPC Road Ch 1.105 to 25.40 (MDR-43)	PD, Hardoi	12409	0	8.44	38,120	848	37,272	26.84	12,832	336	12,496	4.12
W/S of Saidpur Deochanpur Dharwa to Chochakpur road	PD, Ghazipur	40,148	0	27.30	6,654	1,251	5,403	3.89	9,042	00	9,042	2.98
W/S of city portion of NH-28 (13-14) Kalesar to Nausad	CD (Building), Gorakhpur	11,946	0	8.12	31,457	1,429	30,028	21.62	9,767	14	9,753	3.22
Strengthening of Gorakhpur-Deoria Upmarg (ODR) (13-14)	CD-3, Gorakhpur	3,360	0	2.29	9,323	2,664	6,659	4.79	3,394	00	3,394	1.12

Appendix

Strengthening and improvement of Nanauta-Devband-Manglore Road km. 01 to 38	CD, Saharanpur	755	0	0.51	38,747	4,290	34,457	24.81	1,491	830	661	0.22
Strengthening of Fatehpur Muzaffarabad Kalasia Road km. 27 to 47	PD, Saharanpur	17,376	0	11.82	57,682	1,648	56,034	40.34	14,078	44	14034	4.63
Widening and strengthening of Malbharawan Road	CD-1, Lucknow	9,465	0	6.44	22,106	1,285	20,821	14.99	8,156	00	8156	2.69
Widening and strengthening of Lucknow Nagrawa Nigotha	CD-2, Lucknow	12,643	0	8.60	24,939	2,268	22,671	16.32	10,619	306	10313	3.40
Lumbni Duddhi Marg	PD, Mirzapur	7,242	0	4.92	6,677	2,044	4,633	3.34	1,544	00	1544	0.51
Total		2,66,673	0	181.34	5,74,945	1,24,469	4,69,620	324.35	1,82,315	7,820	1,74,495	57.58
Grand Total	₹ 563.27 lakh or say ₹ 5.63 crore											
Amount of royalty with penalty (five times of royalty)	₹ 2816.35 lakh or say ₹ 28.16 crore.											

Appendix 9.3 (C)**Details of Calculation of cartage***(Reference: Paragraph no. 9.7.5)*

Sl. No.	Details of work	Total quantity executed (in cum)	Ratio of loose quantity to compacted quantity	Cartage of compacted value of work (₹ in crore)	Cartage of loose quantity (₹ in lakh)
1	GSB	16,01,367		136.49	
	Stone ballast 53 mm to 26.5 mm 134.4/300		384/300		174.71
	26mm to 4.75 mm 172.80/300				
	2.36 mm and below 76.80/300				
2	WMM	22,27,385		193.99	
	22.4 mm to 45 mm 89.10/225		297/225		256.07
	22.4 mm to 2.36 mm 118.80/225				
	2.36 mm to 75 micron 89.10/225				
3	BM	3,49,599		29.12	
	25 mm to 37.5 mm 43.51/205		333.61/205		47.39
	25 mm to 10 mm 116.04/205				
	10 mm to 05 mm 116.04/205				
	05 mm & below 58.02/205				
4	DBM	7,03,942		67.33	
	25 mm to 10 mm 86.16/195		281.49/195		97.20
	10 mm to 05 mm 80.43/195				
	05 mm & below 114.9/195				
	filler 0.028 cum				
5	SDBC	3,49,755		15.28	
	9.5 mm to 4.75 mm 162.45/195		279.30/195		21.89
	4.75 mm & below 116.85/195				
	Filler 0.028 per cum				
6	BC	2,81,437		26.02	
	13.2 mm to 10mm 85.5/191		279.30/191		38.05
	10 mm to 05 mm 71.25/191				
	05 mm & Below 122.55/191				
	filler 0.029 per cum				
7	WBM-I	32,468		2.73	
	90 mm to 45 mm 435.60/360		536.4/360		4.06
	Coarse sand 100.80/360				
8	WBM-II	1,32,203		9.60	
	63 mm to 45 mm 435.60/360		511.4/360		13.64
	Coarse sand 75.80/360				
9	WBM-III	1,62,278		12.59	
	53 mm to 22.4 mm 435.60/360		526.80/360		18.42
	Coarse sand 91.20/360				
10	Pre-mix Carpet	8,14,352			
	Crused stone 13.2 mm to 5.66 mm 0.27 cum per 10 sqm				1.91
11	Seal-Coat	5,75,140			
	6.77 mm 0.09 cum per 10 sqm				0.57
				Total	673.91

Appendix 9.4**Non-crediting of deducted security to 'Public Works Deposit'***(Reference: Paragraph no. 9.8)***(Amount in ₹)**

Sl. No.	District	Division	2011-12		2012-13		2013-14		2014-15		2015-16	
			Credit during the Month	Debit during the Month	Credit during the Month	Debit during the Month	Credit during the Month	Debit during the Month	Credit during the Month	Debit during the Month	Credit during the Month	Debit during the Month
1	Budaun	CD	54,00,540	19,58,400	21,02,100	66,94,847	64,20,274	62,49,341	62,99,963	11,24,342	26,97,400	68,20,014
2	Hapur	PD	2,05,000	0	0	2,05,000	0	0	92,42,485	95,124	1,29,78,003	1,06,12,848
3	Sambhal	PD	8,30,472	3,25,000	22,56,569	3,12,748	1,37,52,451	1,46,26,827	4,58,84,282	3,67,21,738	1,89,36,148	1,78,06,491
4	Agra	CD-1	26,08,460	21,71,953	4,74,258	5,22,072	65,76,109	19,68,243	56,65,348	36,97,420	2,67,44,964	1,79,85,373
5	Agra	CD-2	0	4,41,000	41,800	0	0	0	0	,0	2,46,11,709	2,19,92,781
6	Mainpuri	PD	0	0	0	0	0	0	8,05,95,369	7,96,59,832	6,08,90,884	4,84,11,036
7	Gorkhpur	PD	5,95,16,089	1,76,96,810	40,19,697	2,64,97,652	1,03,36,965	2556,858	90,76,334	99,77,687	3,95,14,038	1,50,33,004
8	Basti	CD-1	5,95,16,089	1,76,96,810	40,19,697	2,64,97,652	1,03,36,965	25,56,858	90,76,334	99,77,687	3,95,14,038	1,50,33,004
9	Jhansi	PD	7,27,620	8,83,040	3,49,675	2,28,717	56,20,921	41,19,335	2,48,32,501	2,45,42,389	2,43,70,116	2,70,02,603
10	Unnao	CD-1	1,17,38,570	1,20,64,895	0	7,69,443	0	36,300	2,16,000	1,59,300	,0	10,000
11	Siddharth Nagar	C.D-1	63,73,489	17,18,791	13,18,422	52,06,927	2,58,61,662	91,31,412	1,67,95,141	1,07,65,059	1,40,41,543	2,83,74,338
12	Gonda	P.D	15,13,874	1,77,47,891	13,04,04,245	2,63,85,380	6,32,55,050	8,92,07,829	18,30,611	2,66,60,704	28,30,840	30,39,520
13	Saharanpur	PD	38,67,807	46,85,135	73,31,505	88,89,893	1,09,29,882	1,19,76,113	1,40,39,633	1,08,48,399	84,39,303	77,56,828
	Saharanpur	CD-3	1,13,57,887	1,33,56,025	99,99,748	1,12,22,829	1,21,74,588	1,07,77,996	1,01,27,862	1,23,99,325	73,01,779	34,66,879
	Saharanpur	CD	39,47,532	29,09,155	28,09,947	33,68,807	1,08,76,475	1,02,26,428	69,62,472	74,12,941	1,15,50,573	87,03,529
14	Mirzapur	PD	1,01,78,597	12,30,230	91,61,188	71,86,145	1,28,70,414	1,25,24,639	81,50,629	95,83,267	39,42,382	83,50,324
Total			17,77,82,026	9,48,85,135	17,42,88,851	12,39,88,112	18,90,11,756	17,59,58,179	24,87,94,964	24,36,25,214	29,83,63,720	24,03,98,572
Total Credit is ₹ 108.82 crore and Total Debit is ₹ 87.88 crore												

Appendix 10.1**JEs supervised by an AE***(Reference: Paragraph no. 10.3)*

Sl. No.	District	Division	Average workload during 2011-16 (₹ in crore)	Available average manpower (PIP) during 2011-16		Average work load (₹ in crore)		Average JE per AE
				AE	JE	AE	JE	
1	Budaun	PD	109.61	2	18	54.81	6.09	9
		CD	84.93	3	20	28.31	4.25	6
2	Moradabad	PD	85.45	4	25	21.36	3.42	6
		CD-1	46.30	4	18	11.58	2.57	5
3	Hapur	PD	49.36	4	24	12.34	2.06	6
4	Sambhal	PD	94.47	5	17	18.89	5.56	3
5	Agra	PD	70.90	5	24	14.18	2.95	5
		CD-1	45.78	4	19	11.45	2.41	5
		CD-2	50.41	3	15	16.8	3.36	5
6	Mainpuri	PD	73.53	4	16	18.38	4.60	4
		CD	44.23	3	13	14.74	3.40	4
		CD-3	75.46	2	18	37.73	4.19	9
7	Gorakhpur	PD	55.15	3	20	18.38	2.76	7
		CD (Building)	51.51	NA	NA	NA	NA	NA
		CD-3	28.26	3	12	9.42	2.36	4
8	Basti	PD	76.58	2	18	38.29	4.25	9
		CD-1	46.51	4	11	11.63	4.23	3
9	Jhansi	PD	40.75	3	18	13.58	2.26	6
		CD-3	34.54	3	13	11.51	2.66	4
10	Unnao	PD	81.46	4	21	20.37	3.88	5
		CD-1	51.60	4	23	12.9	2.24	6
11	Ghazipur	PD	46.55	2	11	23.28	4.23	6
12	Hardoi	PD	41.76	3	16	13.92	2.61	5
13	Siddharthnagar	CD-1	40.48	2	11	20.24	3.68	6
14	Gonda	PD	37.63	3	13	12.54	2.89	4
15	Saharanpur	PD	29.18	3	15	9.73	1.95	5
		CD	24.22	3	17	8.07	1.42	6
		CD-3	49.85	4	18	12.46	2.77	5
16	Mirzapur	PD	34.69	3	24	11.56	1.45	8
		CD-2	49.08	4	21	12.27	2.34	5
17	Lucknow	PD	108.31	8	29	13.54	3.73	4
		CD-1	67.63	5	19	13.53	3.56	4
		CD-2	61.75	6	17	10.29	3.63	3

Appendix 11.1**Sanction of time-extension on inadmissible ground***(Reference: Paragraph no. 11.1.1)*

Sl. No.	District	Name of Unit	Total no of CBs	No. of cases of inadmissible grounds		Delay completion of work (in days)		Sanctioned By	Penalty dues (₹ in crore)	Penalty imposed (₹ in lakh)	Penalty (LD) to be deducted (₹ in crore)
				No. of CBs	Bonded cost (₹ in crore)	From	To				
1	Agra	CE	23	19	36.48	110	726	CE	3.65	1.48	3.63
		SE	11	6	20.73	31	310	SE	2.07	0.00	2.07
2	Budaun	SE	49	42	17.46	22	665	CE/SE	0.95	0.56	0.95
3	Bareilly	CE	18	10	33.50	96	450	CE	3.35	1.22	3.34
4	Gorakhpur	CE	22	18	18.08	51	527	CE	1.78	2.90	1.75
		SE	21	16	13.49	21	545	SE/CE	1.31	2.21	1.28
5	Jhansi	CE	50	44	72.76	27	782	CE	7.17	2.44	7.14
		SE	10	10	2.17	77	498	SE	0.22	0.19	0.21
6	Moradabad	CE	37	31	147.75	38	1,221	CE	13.89	2.74	13.87
		SE	9	0	0.00	-	-	CE/SE	0.00	0.00	0.00
7	Mainpuri	SE	8	6	1.44	77	578	SE	0.14	0.00	0.14
8	Meerut	CE	34	24	66.73	29	545	CE	6.59	5.41	6.54
9	Mirzapur	SE	34	32	54.64	86	744	CE/SE	5.46	2.15	5.44
10	Unnao	SE	15	9	4.20	21	488	CE/SE	0.36	1.02	0.35
		SE.	45	35	15.40	26	456	SE	1.43	0.92	1.42
11	Varanasi	CE	35	35	33.13	31	1,928	CE	3.26	10.13	3.16
		SE	21	18	9.76	36	574	CE/SE	0.95	0.48	0.95
Total			442	355	547.72	21	1,928		52.58	33.85	52.24

Appendix 11.2**Delay in sanction of time-extension after schedule completion of work***(Reference: Paragraph no. 11.1.2)*

Sl. No.	District	Name of Unit	No. of Bonds	Bonded cost (₹ In crore)	Delay completion of work (in days)		Diary of applications of contractor for time extension	Sanctioned By	Delay in sanction			
					From	To			No. of cases sanction after schedule completion of work	Bonded cost (₹ in crore)	Delay in days	
											From	To
1	Agra	CE	23	59.33	110	801	16	CE	23	59.33	228	1,770
		SE	11	22.19	31	503	0	SE	9	21.72	233	1,111
2	Budaun	SE	49	70.43	22	699	24	CE/SE	49	70.43	126	2,459
3	Bareilly	CE	18	189.27	120	720	2	CE	18	189.27	365	1,952
4	Gorakhpur	CE	22	64.13	51	626	0	CE	22	64.13	44	1,227
		SE	21	14.61	21	605	0	SE/CE	21	14.61	108	1,230
5	Jhansi	CE	50	24.42	61	848	17	CE	50	24.42	99	1,980
		SE	10	2.17	90	498	0	SE	10	2.17	138	1,065
6	Mainpuri	SE	8	1.82	77	578	0	SE	8	1.82	499	951
7	Meerut	CE	34	135.63	63	730	0	CE	34	135.63	140	1,287
8	Moradabad	CE	37	177.36	38	1,221	0	CE	37	177.36	186	1,333
		SE	9	9.99	48	365	0	CE/SE	9	9.99	139	632
9	Mirzapur	SE	34	55.34	86	744	0	CE/SE	34	55.34	202	1,365
10	Unnao	SE	15	8.00	21	488	15	CE/SE	15	8.00	80	889
		SE.	45	27.15	26	657	0	SE	45	27.15	99	2,650
11	Varanasi	CE	35	33.13	83	1,928	0	CE	34	31.95	150	2,272
		SE	21	10.24	36	846	3	SE	20	10.09	107	1,336
Total/ Range			442	905.21	21	1,928	77		438	903.41	44	2,650

Appendix 11.3**Imposition of insignificant penalties***(Reference: Paragraph no. 11.1.3)*

Sl. No.	Name of District	Name of Unit	No. of CBs	Bonded cost (₹ in crore)	Delay completion of work (in days)		No. of cases sanction in which insignificant penalty						No. of cases sanction in which penalty not imposed (without penalty)			
					From	To	No. of CBs	Bonded cost (₹ in crore)	From (in per cent)	To (in per cent)	Penalty dues (₹ in crore)	Penalty imposed (₹ in lakh)	Penalty (LD) to be deducted (₹ in crore)	No. of CBs	Bonded cost (₹ in crore)	Penalty (LD) to be deducted (₹ in crore)
1	Agra	SE	11	22.19	31	503	0	0.00	0.00	0.00	0.00	0.00	0.00	11	22.19	2.21
		CE	23	59.33	110	801	7	4.51	0.10	0.50	0.45	1.48	0.44	16	54.82	5.48
2	Budaun	SE	49	70.43	22	699	22	1.45	0.10	1.00	0.14	0.57	0.13	27	68.97	6.13
3	Bareilly	CE	18	189.27	120	720	4	19.43	0.02	0.62	1.94	1.23	1.93	14	169.84	16.98
4	Gorakhpur	SE	21	14.61	21	605	18	13.34	0.10	1.00	1.29	2.47	1.27	3	1.28	0.13
		CE	22	64.13	51	626	14	11.62	0.05	1.00	1.15	3.17	1.12	8	52.51	5.22
5	Jhansi	CE	50	24.42	61	848	13	35.90	0.10	1.00	3.59	29.20	3.30	37	53.09	5.31
		SE	10	2.17	90	498	5	0.60	0.01	2.00	0.06	0.28	0.06	5	1.57	0.16
6	Mainpuri	SE	8	1.82	77	578	0	0.00	0.00	0.00	0.00	0.00	0.00	8	1.82	0.18
7	Meerut	CE	34	135.63	63	730	20	123.61	0.008	1.00	12.36	7.02	12.29	14	12.02	1.20
8	Moradabad	CE	37	177.36	38	1,221	13	17.55	0.01	0.20	1.75	1.93	1.74	24	159.81	15.98
		SE	9	9.99	48	365	4	4.15	0.10	0.20	0.41	0.54	0.41	5	5.84	0.58
9	Mirzapur	SE	34	55.34	86	744	24	4.25	0.25	1.00	0.43	2.15	0.40	10	51.09	5.11
10	Unnao	SE	15	8.00	21	488	11	3.48	0.15	0.50	0.35	1.42	0.33	4	4.52	0.44
		SE.	45	27.15	26	657	16	2.94	0.01	2.00	0.29	1.01	0.28	29	24.21	2.42
11	Varanasi	CE	35	33.13	83	1,928	29	26.46	0.10	1.00	2.65	10.13	2.54	6	6.67	0.67
		SE	21	10.24	36	846	5	3.13	0.05	0.50	0.30	0.55	0.30	16	7.11	0.71
Total/Range			442	905.21	21	1,928	205	272.42	0.01	2.00	27.16	63.15 say ₹0.63 crore	26.54	237	697.36	68.91

Appendix 11.4**Sanction of time-extension on non-availability of funds***(Reference: Paragraph no. 11.1.4)*

Sl. No.	District	Name of Unit	Total no. of Bonds	No. of cases in which non-availability of funds (no of CBs)	Bonded cost (₹ in crore)	Delay completion of work (in days)		Sanctioned by
						From	To	
1	Agra	CE	23	9	30.28	46	728	CE
		SE	11	4	1.71	265	503	SE
2	Budaun	SE	49	8	53.64	102	699	CE/SE
3	Bareilly	CE	18	12	168.68	62	582	CE
4	Gorakhpur	CE	22	5	46.55	59	562	CE
		SE	21	6	9.97	179	558	SE/CE
5	Jhansi	CE	50	14	22.44	14	686	CE
		SE	10	1	0.38	104	104	SE
6	Moradabad	CE	37	8	57.03	108	761	CE
		SE	9	0	0.00	0	0	CE/SE
7	Mainpuri	SE	8	2	0.46	93	146	SE
8	Meerut	CE	34	21	101.65	52	582	CE
9	Mirzapur	SE	34	3	49.19	365	438	CE/SE
10	Unnao	SE	15	6	3.80	90	457	CE/SE
		SE.	45	10	13.63	173	659	SE
11	Varanasi	CE	35	4	2.94	158	620	CE
		SE	21	6	2.32	94	365	CE/SE
Total			442	119	564.67	14	761	

Appendix 11.5**Irregularities in sanction of variations***(Reference: Paragraph no. 11.2)***(₹ in crore)**

Sl. No.	Name of District	Name of Zone/ Circle	No. of CBs	No. of items of work	Bonded cost of items	Executed Cost of items	Excess amount	Variation in per cent (in range)	Sanctioned by	Range of variation 15% to 50%	Range of variation 50% to 100%	Range of variation 100% to 500%	Range of variation 500% and above	Average Variation (in per cent)
1	Agra	CE	10	51	15.48	21.26	7.45	17.18 to 2519.00	CE	15	11	19	6	56
2	Budaun	SE	5	10	0.28	0.52	0.25	20.18 to 203.20	SE	3	3	4	0	89
3	Basti	SE	3	3	0.14	0.20	0.06	31.4 to 322.44	SE	1	1	1	0	45
4	Gorakhpur	SE	9	42	1.16	2.26	1.09	21.94 to 576.88	SE/CE	23	12	7	1	95
5	Jhansi	SE	14	49	2.54	5.03	2.49	16 to 1467.07	SE	21	6	16	6	98
6		CE	5	22	0.98	1.30	0.32	20.53 to 438.76	CE	11	4	7	0	33
7	Mainpuri	SE	10	32	0.45	1.09	0.64	22.22 to 1581.15	SE	9	9	11	3	144
8	Meerut	CE	6	19	4.00	6.76	2.76	18.85 to 1944.8	CE/SE	8	4	5	2	69
9	Moradabad	SE	8	24	0.81	1.25	0.44	27.63 to 347.33	CE/SE	12	5	7	0	55
10	Mirzapur	SE	11	74	3.69	5.47	1.78	20.88 to 658.61	CE/SE	34	21	17	2	48
10	Unnao	SE	9	25	1.35	1.43	0.78	19.50 to 715.79	SE	9	4	10	2	58
11	Varanasi	CE	8	20	4.63	6.15	1.96	23.00 to 290.57	CE	14	2	4	0	42
12		SE	7	26	0.10	0.22	0.12	26.46 to 497.11	SE	5	3	18	0	126
Districts(11)/Total			105	397	35.61	52.94	20.14	16.00 to 2519.00		165	85	126	22	

Appendix 11.6**Extra-items not provisioned in bond but items provisioned in estimates***(Reference: Paragraph no. 11.3.1)***(₹ in crore)**

Sl. No.	District	Name of Units	No. of bonds	Estimated cost	Bonded cost	Amount of extra items
1	Agra	CE	8	245.19	241.21	12.62
2		SE	4	213.16	121.31	2.56
3	Budaun	SE	14	1.97	120.18	6.69
4	Basti	SE	5	2.93	2.99	1.69
5	Bulandshahar	SE	1	7.38	8.72	0.06
6	Gorakhpur	CE	5	6.66	4.87	1.27
7	Jhansi	SE	4	3.71	3.27	0.54
8	Mainpuri	PD	5	0.78	0.78	0.32
9	Moradabad	SE	4	0.11	0.10	1.04
10	Mirzapur	SE	10	13.63	10.55	1.84
11	Sambhal	PD	7	1.22	1.04	0.31
12	Unnao	SE	14	38.28	38.25	2.10
13	Varanasi	CE	7	0.00	0.00	3.70
14		SE	4	0.00	0.00	0.92
Total			92	535.02	553.27	35.66

Appendix 11.7**Extra-items are not related to this work (other works)***(Reference: Paragraph no. 11.3.2)***(₹ in crore)**

Sl. No.	District	Name of Units	No. of bonds	Estimated cost	Bonded cost	Amount of extra items
1.	Agra	CE	1	2.35	2.35	0.44
2.		SE	2	6.25	6.23	0.78
3.	Gorakhpur	SE	1	0.56	0.56	0.26
4.	Jhansi	SE	8	7.95	7.78	1.90
5.	Mainpuri	PD	10	1.03	1.03	1.51
6.	Mirzapur	SE	4	2.65	2.42	1.10
7.	Unnao	SE	1	9.41	9.27	0.54
Total			27	30.20	29.64	6.53

Appendix 11.8**Extra-items/extra-payment for shifting of stone ballast/material***(Reference: Paragraph no. 11.3.3)***(₹ in crore)**

Sl. No.	District	Name of Units	No. of bonds	Estimated cost	Bonded cost	Amount of extra items
1	Agra	CE	2	1.97	1.95	0.09
2	Basti	SE	23	16.83	16.79	0.80
3	Gorakhpur	CE	8	14.27	14.08	3.91
4		SE	17	11.06	10.22	0.80
5	Moradabad	SE	1	0.00	0.00	0.11
6	Mirzapur	SE	1	1.29	0.74	0.03
7	Unnao	SE	1	0.59	0.59	0.07
Total			53	46.01	44.37	5.81

Appendix 11.9

Payment of extra-item without sanction

(Reference: Paragraph no. 11.3.4)

Sl. No.	Division	Year	No. of CBs	Amount of Extra items executed (in ₹ crore)	Ranging of percent with respect CBs
1	PD, Agra	2011-12	12	1.77	3.28% to 506.65%
		2012-13	16	3.40	1.46% to 553.13%
		2013-14	17	3.60	18.35% to 531.50%
		2014-15	10	1.43	3.50% to 817.51%
		2015-16	16	2.64	9.12% to 1035.94%
2	PD, Basti	2011-12	10	1.18	7.30% to 460.36%
		2012-13	1	0.05	195.33%
		2013-14	17	2.94	4.82% to 4056.22%
		2014-15	14	2.19	2.09% to 444.97%
		2015-16	14	0.87	6.50% to 159.17%
3	PD, Budaun	2011-12	6	0.44	19.64% to 1867.79%
		2012-13	22	0.78	2.95% to 1315.59%
		2013-14	14	1.10	107.53% to 1147.38%
		2014-15	15	2.29	119.16% to 1123.13%
		2015-16	9	2.02	132.05% to 2264.62%
4	PD, Ghazipur	2011-12	10	0.51	149.88% to 150.48%
		2012-13	66	2.77	19.64% to 2685.15%
		2013-14	7	0.27	24.44% to 352.16%
		2014-15	11	0.91	9.45% to 72.12%
		2015-16	6	0.16	0.31% to 176.65%
5	CD-3, Gorakhpur	2011-12	11	1.24	17.47%
		2012-13	10	0.44	50.68% to 669.50%
		2015-16	2	0.13	50.68%
	CD (Building), Gorakhpur	2011-12	12	1.38	6.69% to 1148.39%
		2012-13	5	0.35	2.32% to 106.87%
		2013-14	6	0.25	8.67% to 38.35%
		2014-15	7	0.38	3.43% to 104.45%
		2015-16	20	1.85	2.79% to 134.91%
6	PD, Hardoi	2011-12	11	1.47	3.10% to 576.39%
		2012-13	8	0.75	3.19% to 478.34%
		2013-14	1	0.17	40.56%
		2014-15	3	0.26	6.87% to 14.77%
		2015-16	2	0.26	2.28% to 6.99%
7	CD-3, Jhansi	2013-14	4	0.12	5.33% to 14.22%
		2014-15	6	0.41	2.78% to 35.72%
		2015-16	12	0.96	7.43% to 241.95%
8	PD, Lucknow	2011-12	7	0.85	10.61% to 208.61%
		2012-13	7	0.56	1.61% to 156.06%
		2013-14	10	6.51	0.47% to 72.72%
		2014-15	9	1.43	2.17% to 232.97%
		2015-16	14	4.35	10.79% to 323.51%

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	CD-1, Lucknow	2011-12	7	1.10	5.69% to 880.12
		2012-13	8	0.48	15.82% to 170.00%
		2013-14	8	0.29	8.03% to 121.58%
		2014-15	12	0.85	1.24% to 282.81%
		2015-16	34	4.20	10.04% to 624.74%
	CD-2, Lucknow	2011-12	5	0.28	4.20% to 226.45%
		2012-13	7	0.31	5.01% to 147.47%
		2013-14	1	0.04	21.18%
		2014-15	7	0.57	1.96% to 295.66%
		2015-16	17	2.06	0.20% to 827.35%
9	CD, Mainpuri	2011-12	6	0.24	15.43% to 100.91%
		2012-13	9	0.39	4.77% to 504.53%
		2013-14	4	15.79	1.20% to 34.82%
		2014-15	22	1.97	5.18% to 599.95%
		2015-16	13	2.35	9.16% to 1036.73%
	CD-3, Mainpuri	2011-12	4	0.20	5.94% to 17.20%
		2013-14	4	0.54	28.25% to 277.54%
10	PD, Mirzapur	2013-14	9	0.02	19.39% to 3753.53%
		2014-15	3	0.61	51.24% to 1994.59%
		2015-16	10	1.50	24.98% to 5280.65%
	CD-2, Mirzapur	2011-12	10	0.94	21.98% to 1105.84%
		2012-13	2	0.03	7.59% to 53.44%
		2013-14	2	0.11	23.64% to 494.96%
		2014-15	4	0.09	5.08% to 24.85%
		2015-16	25	2.94	2.47% to 4842.99%
11	PD, Moradabad	2011-12	1	0.06	22.12%
		2012-13	4	0.18	20.11% to 913.59%
		2013-14	4	0.29	4.15% to 101.88%
		2014-15	18	1.85	0.33% to 290.06%
		2015-16	6	0.21	1.43% to 338.50%
	CD, Moradabad	2011-12	3	0.04	1.17% to 101.78%
		2012-13	2	0.09	21.42% to 149.32%
		2014-15	4	3.07	24.70% to 67.33%
		2015-16	7	0.50	13.34% to 97.13%
12	PD, Saharanpur	2014-15	2	0.54	133.16% to 172.41%
		2015-16	15	4.23	4.00% to 4065.26%
	CD-3, Saharanpur	2011-12	3	7.96	2.6% to 19.42%
		2012-13	1	0.01	1.56%
		2014-15	2	0.32	1.55% to 3279.79%
		2015-16	6	8.07	25.67% to 566.49%
13	PD, Unnao	2011-12	19	1.62	1.31% to 2408.40%
		2012-13	13	0.89	5.86% to 1913.41%
		2013-14	7	0.38	4.58% to 76.57%
		2014-15	13	3.66	2.20% to 1409.64%
		2015-16	23	1.32	7.58% to 200.44%
20 divisions		Total	846	128.63	0.20% to 5280.65%