

Appendices

Appendix 2.1.1

Details showing major interventions under SSA

(Reference: Paragraph no. 2.1.1)

Sl. No.	Particular of interventions
1.	Preparatory activities for micro-planning, household surveys, studies, community mobilisation, school-based activities, training and orientation at all levels
2.	Appointment of teachers;
3.	Opening of new primary, alternative schooling facilities like Education Guarantee Scheme (EGS)/Alternative and Innovative Education (AIE) centres
4.	Opening of new upper primary schools
5.	Construction of additional classrooms, schools and other facilities.
6.	Maintenance and repair of school buildings
7.	Provision of free textbooks to all girls and SC/ST boys
8.	Provision of school uniform
9.	Provision of teaching/learning equipment for primary schools, on upgradation of EGS to regular schools or in setting up of a new Primary School.
10.	TLE for upper primary schools
11.	Provision for disabled children
12.	Interventions for out of school children
13.	Innovative activities for girls education, early childhood care and education, interventions for children belonging to SC/ST community
14.	Computer education for upper primary level
15.	School grant
16.	Teachers grant
17.	Management cost
18.	Teachers training
19.	Training of community leaders
20.	Setting up Block Resource Centres (BRCs)/Cluster Resource Centres (CRCs)
21.	Research, Evaluation, Monitoring and Supervision
22.	Establishment of State Institute of Educational Management and Training

Appendix 2.1.2

Timeline for completion of various activities under RTE Act

(Reference: Paragraph no. 2.1.1)

Activities	Timeframe
Establishment of neighbourhood school	3 Years (31 March 2013)
Provision of school <i>infra-structure</i> , all weather school buildings, one-classroom-one-teacher, office cum-store-cum-head teacher's room, toilets and drinking water, barrier free access, library, playground, fencing/boundary wall	3 years (31 March 2013)
Provision of teacher as per prescribed PTR	3 years (31 March 2013)
Training of untrained teachers	5 years (31 March 2015)
All quality interventions and other provisions	With immediate effect

(Source: RTE Act and SSA framework)

Appendix 2.1.3

Statement showing audit criteria for Performance Audit on RTE

(Reference: Paragraph no. 2.1.4)

Sl. No.	Criteria used for Performance Audit
1.	The Right of Children to Free and Compulsory Education Act, 2009
2.	U P Right of Children to Free and Compulsory Education Rules 2011
3.	Persons with Disabilities (Equal Opportunities, Protection of Rights & Full Participation) Act, 1995 (PwD Act, 1995)
4.	Manual for Planning and Implementation of Inclusive Education in SSA for education of Children With Special Needs (CWSN)
5.	SSA Framework for implementation strategies based on Right of Children to Free and Compulsory Education Act, 2009 (Revised Framework 2011)
6.	SSA Manual on Financial Management and Procurement.
7.	AWP&B approved by Project Approval Board, Ministry of Human Resource Development (MHRD), GoI
8.	Guidelines u/s 35 (1) regarding deployment of teachers for elections u/s 27 of the RTE Act
9.	Guidelines u/s 35 (1) of the Act regarding implementation of Section 25 (1)
10.	Guidelines on safety and security of children
11.	Advisory on implementation of Sections 31 and 32 of RTE Act
12.	Advisory under Section 35(1) of RTE Act, 2009 for elimination of Corporal Punishment in schools
13.	RTE Rules/Guidelines/Notification as available on MHRD website
14.	Agenda/minutes of meetings of Executive Committee of UPEFAPB
15.	Directives and instructions issued by the UPEFAPB for implementation
16.	District Information System for Education
17.	Evaluation reports of SSA
18.	State Financial Rules

Appendix 2.1.4

Statement showing difference in DISE data and data found in joint physical inspection of test-checked schools in Gorakhpur, Kanpur Dehat, Pilibhit, Rampur and Sonbhadra districts

(Reference: Paragraph no. 2.1.6.2)

Particulars	As per DISE	As verified by audit	Difference in per cent
Number of children enrolled	17,729	15,999	10
Number of teachers deployed	494	539	-9
Number of boundary wall available	92	87	5
Number of toilets available	131	130	1
Number of Separate toilets for boys and girls	129	115	11
Number of toilets in use	131	117	11
Availability of Water facility in schools	122	123	-1
Availability of playground in schools ¹	90	87	3
Availability of wiring/electricity connection	67	60	10
Availability of kitchen-cum-store	69	71	-3
Number of CWSN enrolled	68	51	25
Availability of library	98	50	49
Number of classrooms available	668	601	10
Whether joint bank account of SMC was operated	84	81	4

(Source: DISE data and Joint Physical Verification of Schools)

Appendix 2.1.5

Comparison of two sets of data - UDISE and AWP&B –number of schools

(Reference: Paragraph no. 2.1.6.2)

Year	In terms of Number of Schools			In terms of Enrolment		
	As per AWP&B	As per DISE	Difference	As per HHS	As per DISE	Variation
2010-11	1,59,443	2,01,475	-42,032	NA	NA	NA
2011-12	2,18,854	2,21,653	-2,799	3,87,23,343	3,54,04,745	33,18,598
2012-13	2,28,488	2,39,817	-11,329	3,92,75,777	3,70,98,290	21,77,487
2013-14	2,34,021	2,40,332	-6,311	3,85,78,870	3,67,26,500	18,52,370
2014-15	2,46,867	2,43,014	3,853	3,79,76,795	3,68,38,720	11,38,075
2015-16	2,46,013	2,45,919	94	3,82,16,571	3,64,25,633	17,90,938

¹ In test checked schools of district Sonbhadra and Gorakhpur, we found 10-10 playgrounds in each district whereas DISE data showed 18 and 2 playgrounds in both the districts respectively.

Appendix 2.1.6

Statement showing difference in figures of expenditure reported in UCs and Annual Financial Statements

(Reference: Paragraph no. 2.1.7.2)

(₹ in crore)

Year	Actual expenditure as per Annual Audited Financial Statements	Expenditure shown in Utilisation Certificate	Difference
	(A)	(B)	(B-A)
2010-11	4,888.63	5,202.08	313.45
2011-12	5,151.51	5,482.35	330.84
2012-13	6,871.21	7,181.45	310.24
2013-14	8,697.04	8,830.97	133.93
2014-15	7,642.84	8,020.00	377.16
2015-16	12,545.82	12,686.39	140.57
Total	45,797.05	47,403.24	1,606.19

(Source: Annual Financial Statements and UCs)

Appendix 2.1.7

Year-wise position of funds in transit for SSA, NPEGEL and KGBVs

(Reference: Paragraph no. 2.1.7.3)

Year	SPO to district level implementing units		District level implementing units to SPO	
	No. of Items	Amount (in ₹)	No. of Items	Amount (in ₹)
2002-03	2	15,37,800.00		
2003-04	7	53,50,440.00		
2004-05	5	21,58,970.00		
2005-06	2	11,74,650.00		
2006-07	3	4,06,380.00		
2007-08	8	56,06,317.00		
2008-09	2	16,37,800.00		
2009-10	1	1,00,000.00		
2010-11	1	1,90,000.00		
Unreconciled for more than five years (A)		1,81,62,357.00		
2011-12	2	23,400.00		
2012-13	16	2,77,63,239.00	10	16,71,918.00
2013-14	13	13,16,75,930.00	6	7,53,75,459.00
2014-15	0	0	0	0
2015-16	7	11,82,10,333.00	2	2,51,500.00
Sub Total (B)	69	29,58,35,259.00	18	7,72,98,877.00
Money in transit under reconciliation (C)		30,18,707.35		1,42,41,187.49
Total (A+B+C)		29,88,53,966.35 (D)		9,15,40,064.49 (E)
Grand Total (D+E)				39,03,94,030.84 Say 39.03 crore

(Source: Annual Financial Statement of SPO)

Appendix 2.1.8

Statement showing operation of multiple bank accounts under SSA

(Reference: Paragraph no. 2.1.7.3)

Sl. No.	Name of the Bank	Account No.	Component to which relate	Joint or single operation	Date of opening of account	Date of last transaction	Balance as on 31.3.2016 (in ₹)
1	B.O.B., Narahi Branch	08700100018403	Capital	Joint	9.10.2014	31.03.2016	6,81,87,653
2	B.O.B., Narahi Branch	08700100016693	General	Joint	13.03.2014	31.03.2016	39,54,27,156
3	Canara Bank, Hazratganj	0363101028088	NPEGEL	Joint	22.07.2005	31.03.2016	1,36,09,250
4	Canara Bank, Hazratganj	0363101556543	Capital	Joint	20.04.2011	31.03.2016	36,04,28,500
5	Canara Bank, Hazratganj	0363101027801	KGBV	Joint	09.02.2005	29.02.2016	1,19,77,055
6	Canara Bank, Hazratganj	0363101022825	General	Joint	02.02.1999	31.03.2016	3,56,72,31,409
7	Allahabad Bank	50257868143	General	Joint	08.01.2015	31.03.2016	12,94,90,841
Sub Total							4,54,63,51,864 Say ₹ 454.64 crore
8	B.O.B., Narahi Branch	08700100016851	KGBV	Joint	14.07.2014	31.12.2015	5,41,915
9	I.O.B., Main Branch, Lucknow	020701000049052	General	Joint	19.02.2001	28.02.2016	202056
10	I.O.B., Raj Bhawan, Lucknow	192201000010001	General	Joint	12.12.2012	28.02.2016	422933
Sub Total							11,66,904 Say ₹ 0.11 crore
Grand Total							45,47,518,768 Say ₹ 454.75 crore

(Source: Bank Statements provided by SPO)

Appendix 2.1.9

Details showing suspected misappropriation of funds received for construction of school building

(Reference: Paragraph no. 2.1.7.3)

Block	School	Year	Utilisation of funds (₹ in lakh)	Funds withdrawn (₹ in lakh)	Status
Funds withdrawn but no construction					
Sultanpur					
Kurebhar	UPS Arwal Kiri Karwat	2011-12	9.01	45.10	No schools constructed
Dhanpatganj	UPS Dharmdaspur	2011-12	9.01		
Dostpur	UPS Madhavpur	2011-12	9.01		
	PS Katat Purshottam	2008-09	4.53		
Jaysinghpur	UPS Katat Gudbad	2011-12	9.01		
Kadipur	PS Husunpur	2008-09	4.53		
Total (A)			45.10	45.10	
Sonbhadra					
Nagavan	UPS Dubeypur	2008-09	₹ 5.40 lakh withdrawn	5.40	School not constructed as funds withdrawn by unidentified person
Total (B)				5.40	
Total (A+B)				50.50	
Maharajganj					
Mithaura	PS Parshachak Gobrahi	2012-13	2.01	2.01	No ACR constructed
Funds withdrawn but schools partially constructed					
Sonbhadra					
Myorepur	UPS Belhatti	2003-04	A teacher, whose appointment was found fake, was made construction in charge of these works who embezzled ₹ 4.22 lakh.	2.05	8 ft walls constructed
	UPS Khadpathar	2003-04		2.34	1 ft walls constructed
Chatra	UPS Raghunathpur	2003-04		2.73	6ft wall constructed
	PS Hirankhuri	2003-04		1.32	1 ft wall constructed
Nagwan	PS Barvatola	2003-04	Another teacher, whose appointment was found fake, was made construction in charge of these works who embezzled ₹ 10.81 lakh.	2.41	7 ft wall constructed
	UPS Baijnath	2003-04		2.80	8 ft wall constructed
	UPS Markundi	2003-04		2.80	6 ft wall constructed
	UPS Chervi	2003-04		2.80	6 ft wall constructed
Total				19.25	

(Source: Records provided by DPO)

Appendix 2.1.10

Details showing incomplete construction of school buildings and ACRs in district Sultanpur found during joint physical inspection

(Reference: Paragraph no. 2.1.8.1)

(₹ in lakh)

Block	School	Year	Funds drawn	Status
Lambua	UPS Dhariyama	2008-09	5.15	Constructed upto foundation level
	PS, Kaharbujahi	2012-13	3.00	Incomplete
	PS Sutanpur	2011-12	3.83	Semi-constructed
Total			11.98	

(Source: Joint Physical Verification of schools)

Appendix 2.1.11

Statement showing short enrolment of children in Upper Primary Schools

(Reference: Paragraph no. 2.1.8.2)

Year	Identified as per HHS			Enrolment as per DISE			Children not covered		
	Boys	Girls	Total	Boys	Girls	Total	Boys	Girls	Total
2011-12	79,36,278	71,68,979	1,51,05,257	45,72,356	46,43,586	92,15,942	33,63,922	25,25,393	58,89,315
2012-13	79,50,677	72,12,126	1,51,62,803	51,51,707	52,75,380	1,04,27,087	27,98,970	19,36,746	47,35,716
2013-14	77,44,328	70,14,092	1,47,58,420	53,82,427	54,02,487	1,07,84,914	23,61,901	16,11,605	39,73,506
2014-15	75,61,053	68,13,253	1,43,74,306	55,17,106	55,14,685	1,10,31,791	20,43,947	12,98,568	33,42,515
2015-16	75,19,497	67,71,943	1,42,91,440	55,94,629	55,60,656	1,11,55,285	19,24,868	12,11,287	31,36,155
Total			7,36,92,226			5,26,15,019			2,10,77,207

(Source: HHS data provided by SPO and District Information System for Education)

Appendix 2.1.12

Statement showing excess enrolment of children in Primary Schools

(Reference: Paragraph no. 2.1.8.2)

Year	Identified as per HHS			Enrolment as per DISE			Excess enrolment in comparison to children identified
	Boys	Girls	Total	Boys	Girls	Total	
2011-12	1,26,09,144	1,11,17,317	2,37,26,461	1,34,30,576	1,27,58,227	2,61,88,803	24,62,342
2012-13	1,28,24,059	1,13,53,355	2,41,77,414	1,36,58,006	1,30,13,197	2,66,71,203	24,93,789
2013-14	1,26,86,162	1,12,12,387	2,38,98,549	1,33,36,608	1,26,04,978	2,59,41,586	20,43,037
2014-15	1,24,89,281	1,11,53,713	2,36,42,994	1,32,19,384	1,25,87,545	2,58,06,929	21,63,935
2015-16	1,22,97,660	1,10,41,282	2,33,38,942	1,29,35,607	1,23,34,741	2,52,70,348	19,31,406
Total			11,87,84,360			12,98,78,869	1,10,94,509

(Source: HHS data provided by SPO and District Information System for Education)

Appendix 2.1.13

Details showing Identification and enrolment of children in test-checked Districts

(Reference: Paragraph no. 2.1.8.2)

Period	District	Identification		Enrolment		Difference	
		PS	UPS	PS	UPS	PS	UPS
2011-16	Bahraich	22,61,040	13,88,994	23,17,159	7,24,910	-56,119	6,64,084
2011-16	Farrukhabad	11,27,653	6,87,649	13,03,207	5,54,418	-1,75,554	1,33,231
2011-16	Ferozabad	12,25,217	7,99,292	15,14,736	5,98,607	-2,89,519	2,00,685
2011-16	Ghaziabad	16,21,399	9,13,605	17,05,644	6,70,037	-84,245	2,43,568
2011-16	Ghazipur	24,91,384	15,09,649	28,02,166	12,59,500	-3,10,782	2,50,149
2011-16	Gorakhpur	26,69,326	15,48,379	23,53,913	10,26,810	3,15,413	5,21,569
2011-16	Jhansi	10,84,129	6,51,063	11,63,754	5,99,924	-79,625	51,139
2011-16	Kanpur Dehat	8,90,882	6,18,898	7,85,493	3,83,345	1,05,389	2,35,553
2011-16	Lakhimpur Kheri	25,92,328	16,07,018	26,76,391	10,16,112	-84,083	5,90,906
2011-16	Maharajganj	19,16,338	10,81,433	18,46,281	6,35,855	70,057	4,45,578
2011-16	Mau	13,07,799	7,48,021	13,83,277	6,43,752	-75,478	1,04,269
2011-16	Pilibhit	11,22,117	7,50,264	12,11,032	5,62,562	-88,915	1,87,702
2011-16	Rampur	13,47,198	8,31,509	20,53,822	5,10,400	-7,06,624	3,21,109
2011-16	Sonbhadra	11,06,530	6,81,752	13,06,205	5,52,801	-1,99,675	1,28,951
2011-16	Sultanpur	14,44,129	9,37,037	15,46,946	7,52,456	-1,02,817	1,84,581
2011-16	Unnao	16,86,585	10,68,563	18,21,409	6,24,063	-1,34,824	4,44,500
Total		2,58,94,054	1,58,23,126	2,77,91,435	1,11,15,552		

(Source: HHS data provided by SPO and DISE)

Appendix 2.1.14

Details showing reasons for children remaining out of school

(Reference: Paragraph no. 2.1.8.2)

Sl. No.	Year	2011-12		2012-13		2013-14		2014-15		2015-16	
		Total Boys	Total Girls	Total Boys	Total Girls	Total Boys	Total Girls	Total Boys	Total Girls	Total Boys	Total Girls
1	Involvement in domestic work	20,397	22,380	12,012	12,748	13,150	12,463	5,896	5,833	3,195	3,065
2	Rag-pickers	819	761	637	460	555	373	494	344	275	184
3	Domestic help	576	730	656	662	462	323	267	140	114	138
4	Working in mines/brick kilns	1,427	1,008	653	306	995	657	476	342	345	222
5	Working in garrage/factory	844	110	554	56	501	99	311	108	234	71
6	Agriculture	3,122	1,264	1,907	786	1,233	451	982	243	458	185
7	Traditional handicraft	1,258	865	988	776	641	447	676	641	358	249
8	Working in small hotels/dhabas	696	313	434	321	328	393	293	175	171	98
9	Looking after brothers and sisters	6,646	9,674	3,276	5,549	3675	6,050	2,051	2,825	1,128	1,510
10	Distance from the school	2,370	2,685	1,037	1,259	1,353	1,336	1,273	1,111	700	721
11	Excess children in classroom	74	57	41	113	32	30	45	175	2	16
12	Improper behaviour of teachers	80	54	34	36	23	19	19	42	4	8
13	Difficulty in learning due to teachers not being available	1,148	849	419	344	464	274	419	250	293	251
14	Without reasons	149	241	94	139	117	110	43	48	13	9
15	Nomadic family	1,472	1,297	813	672	704	590	733	606	430	300
16	Poverty	3,288	2,097	1,951	1,215	2,178	1,677	1,476	957	868	570
17	Severe disability	0	0	0	0	0	0	1,842	1,297	2,377	1,317
18	Others	12,360	8,566	8,301	5,193	14,920	11,476	4,941	3,131	2,396	1,636
Total		56,726	52,951	33,807	30,635	41,331	36,768	22,237	18,268	13,361	10,550

(Source: HHS data provided by SPO)

Appendix 2.1.15

Details showing OSC identified and enrolled during 2011-16

(Reference: Paragraph no. 2.1.8.2)

Year	OSC identified	OSC covered	Percentage of coverage
2011-12	1,09,677	1,07,888	98.37
2012-13	64,442	64,202	99.63
2013-14	78,099	77,756	99.56
2014-15	40,505	40,491	99.96
2015-16	23,911	NA	-
Total	3,16,634	2,90,337	

(Source: Information provided by SPO)

Appendix 2.1.16

Statement showing enrolment of children above 14 years during 2010-16

(Reference: Paragraph no. 2.1.8.2)

Year	PS	UPS	Total
2010-11	10,39,047	2,01,800	12,40,847
2011-12	10,41,405	9,08,575	19,49,980
2012-13	11,64,764	3,08,600	14,73,364
2013-14	11,64,212	3,88,383	15,52,595
2014-15	11,11,990	3,57,015	14,69,005
2015-16	10,75,229	3,55,924	14,31,153

(Source: Annual Work Plan & Budget 2016-17)

Appendix 2.1.17

Statement showing increase/decrease in enrolment in private and Government schools

(Reference: Paragraph no. 2.1.8.2)

Year	Enrolment in Government/ Government aided schools			Enrolment in Private/ unaided schools		
	PS	UPS	Total	PS	UPS	Total
2010-11	1,54,30,350	42,59,229	1,96,89,579	85,34,809	37,02,551	1,22,37,360
2011-12	1,50,49,324	44,94,100	1,95,43,424	1,08,82,447	46,58,110	1,55,40,557
2012-13	14,159,320	44,60,533	1,86,19,853	1,19,37,930	58,64,099	1,78,02,029
2013-14	1,35,23,506	41,88,647	1,77,12,153	1,16,94,774	63,65,946	1,80,60,720
2014-15	1,30,70,057	40,26,868	1,70,96,925	1,19,92,756	68,47,725	1,88,40,481
2015-16	1,27,44,955	38,57,774	1,66,02,729	1,13,49,123	53,57,716	1,67,06,839
	Decline in enrolment (%)		18.59	Increase in enrolment (%)		36.52

(Source: District Information System for Education)

Appendix 2.1.18

Statement showing target for attendance and achievement thereagainst during 2010-16

(Reference: Paragraph no. 2.1.8.2)

Year	Target (Per cent)		Achievement (Per cent)	
	PS	UPS	PS	UPS
2010-11	95	95	90	91
2011-12	95	95	91	90
2012-13	75	75	62	54
2013-14	95	95	63	60
2014-15	70	85	61	64 ²
2015-16	80	85	68	72

{Source: AWP&B (2010-15) and information provided by Director Basic Education (2015-16)}

Appendix 2.1.19

Statement showing names of printers with whom agreements were executed during 2015-16 who were found using substandard papers and defective printing during 2010-11

(Reference: Paragraph no. 2.1.8.2)

Sl. No.	Name of Publishers	Name of Publishers
	2010-11	2015-16
1.	M/s Mudran Mahal, Agra	M/s Mudran Mahal, Agra
2.	M/s Singhal Agency, Lucknow	M/s Singhal Agency, Lucknow
3.	M/s Mahesh Pustkalaya, Mathura	M/s Mahesh Pustkalaya, Mathura
4.	M/s National Printers, Ranchi	M/s National Printers, Ranchi
5.	M/s Ramraja Printers and Publishers, Jhansi	M/s Ramraja Printers and Publishers, Jhansi
6.	M/s Saraswati Press, Mathura	M/s Saraswati Press, Mathura
7.	M/s PratibhaPrintrig Press, Mathura	M/s PratibhaPrintrig Press, Mathura
8.	M/s Bhagwat Printing Press, Mathura	M/s Bhagwat Printing Press, Mathura
9.	M/s RawatPrakashanMandir, Hathras	M/s RawatPrakashanMandir, Hathras
10.	M/s Upkar Printers and Publishers, Agra	M/s Upkar Printers and Publishers, Agra
11.	M/s Veer Bundelkhand Press, Jhansi	M/s Veer Bundelkhand Press, Jhansi
12.	M/s Kazmi Associates, Allahabad	M/s Kazmi Associates, Allahabad
13.	M/s Pioneer Printers, Agra	M/s Pioneer Printers, Agra
14.	M/s Sheel Printers, Mathura	M/s Sheel Printers, Mathura

(Source: Information provided by Director, Basic Education)

² Director, Basic Education, however, reported 60 and 61 per cent attendance in PSs and UPSs during 2014-15.

Appendix 2.1.20

Statement showing excess procurement of text books during 2012-16

(Reference: Paragraph no. 2.1.8.2)

(in ₹)

Name of District	No. of children enrolled	No. of Free text books required	No. of Free Text Books purchased	No. of excess FTBs purchased	Total cost of books	Average cost of one books {(6)/(4)}	Total cost of excess books {(5)*(7)}
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
Maharajganj	12,15,525	74,23,281	83,60,376	9,37,095	9,21,31,662	11.02	1,03,26,787
Ferozabad	8,38,285	52,38,037	62,33,866	9,95,829	7,28,77,156	11.69	1,16,41,241
Ghazipur	15,17,174	96,46,156	1,04,11,095	7,64,939	12,81,34,165	12.31	94,16,399
Sonbhadra	10,51,638	64,24,066	71,94,699	7,70,633	10,17,37,557	14.14	1,08,96,751
Grand Total				34,68,496		4,22,81,178	
				Say 34.68 lakh		Say ₹ 4.23 crore	

(Source: Information provided by concerned DPOs)

Appendix 2.1.21

Details showing transportation of books in test-checked districts

(Reference: Paragraph no. 2.1.8.2)

Name of the district	Procedure adopted for cartage of books	Expenditure on transportation during 2011-16 (In Rupees)	Minimum and maximum Expenditure (In Rupees)	Per cent increase in maximum expenditure during 2011-16, as compared to lowest in any year	Reduction in procurement of books
(1)	(2)	(3)	(4)	(5)	(6)
Bahraich	During 2011-12 on the basis of rates approved in earlier years; during 2012-13 on the basis of rates approved by DM, thereafter on the basis of tendering process	2011-12: 99,000 2012-13: 2,19,700 2013-14: 21,05,890 2014-15: 13,08,450 ³ 2015-16: 10,50,000	Minimum (2011-12): ₹ 99,000 Maximum (2013-14): ₹ 21,05,890	Total expenditure of ₹ 21.06 lakh was incurred during 2013-14 on transportation of books from district to blocks and block to schools against expenditure of ₹ 0.99 lakh incurred in 2011-12. Thus, there was 2027 per cent increase during 2013-14, as compared to expenditure incurred during 2011-12.	2011-12: 30,86,208 2012-13: 33,25,435 2013-14: 32,24,393 2014-15: 33,19,660 2015-16: 33,52,892 Percent increase (2011-14): 6.72
Farrukhabad	2011-13: paid through residual amount of purchase of FTB. 2013-15: Paid through tendering process 2015-16: DM directed transport department for the same.	2011-12: 2,30,550 2012-13: 1,97,892 2013-14: 4,36,312 2014-15: 4,62,502 2015-16: 1,33,436	Minimum (2015-16): ₹ 1,97,892; Maximum (2014-15): ₹ 4,62,502	The expenditure incurred on transportation of books during 2014-15 was 246 per cent of the expenditure ⁴ incurred on transportation of books during 2015-16.	2011-12: 18,44,416 2012-13: 14,54,029 2013-14: 14,00,626 2014-15: 14,46,994 2015-16: 13,40,126 Percent decrease (2014-16): 7.38
Firozabad	During 2011-12, BEO's carried books upto schools with help of NPRC's/teachers through available own resources. During 2012-13 books carried out upto NPRC's through vehicles hired at the rate approved by DM. During 2013-16 books made available upto school level through vehicles hired at the rate approved by DM.	2011-12: NIL 2012-13: 1,55,384 2013-14: 5,13,216 2014-15: 6,13,605 2015-16: 5,98,520	Minimum (2012-13): ₹ 1,55,384 Maximum (2014-15): ₹ 6,13,605	There was 294 per cent increase in transportation cost of books during 2014-15, as compared to expenditure incurred during 2012-13.	2011-12: 16,35,013 2012-13: 16,13,208 2013-14: 18,77,640 2014-15: 13,52,675 2015-16: 13,90,343 Percent decrease (2012-15): 16.15

³ Payment of ₹13.08 lakh only was made during 2014-15 against bill of ₹15.30 lakh. Further, excess expenditure of ₹ 1.75 lakh was incurred in district during 2015-16 against the ceiling of 4 per cent of the cost of books fixed by SPO for incurring expenditure on transportation of books.

⁴ Due to ceiling of 4 per cent of the cost of books fixed by SPO for transportation of books, the expenditure on transportation of books decreased during 2015-16.

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Ghazipur	2011-13: Carried out through BRC personnel through available own recourses. 2013-14: through open tender but no one participated in tender. Hence the committee under the chairmanship of DM decided to transport the books on the basis of rates as approved for Election-2012.	2011-12: Nil 2012-13: Nil 2013-14: 4,11,034 2014-15: 8,04,151 2015-16: 8,50,116	Minimum (2013-14): ₹ 4,11,034 Maximum (2015-16): ₹ 8,50,116;	There was 107 <i>per cent</i> increase in transportation cost of books during 2015-16, as compared to expenditure incurred during 2013-14).	2011-12: 32,54,364 2012-13: 29,03,167 2013-14: 27,20,689 2014-15: 25,28,984 2015-16: 22,58,255 <i>Percent decrease (2013-16): 17</i>
Ghaziabad	Information/records not provided				
Gorakhpur	On the basis of fuel consumption and daily rental without following tendering process.	2011-12: 2,31,585 2012-13: 2,26,384 2013-14: 2,52,575 2014-15: 40,94,52 2015-16: 7,72,000	Minimum (2012-13): ₹ 2,26,384 Maximum (2015-16): ₹ 7,72,000.	There was 241 <i>per cent</i> increase in transportation cost of books during 2015-16, as compared to the expenditure incurred during 2012-13.	2011-12: 30,93,472 2012-13: 25,29,373 2013-14: 38,53,884 2014-15: 30,75,809 2015-16: 22,98,657 <i>Percent decrease (2012-16): 9.12</i>
Jhansi	Neither tenders were invited nor rates for transportation of books were approved by a committee constituted under the chairmanship of DM. Instead, work orders to different transportations agencies were given on the basis of rates obtained from Regional Transportation Officer.	2011-12: 1,94,904 2012-13: 1,75,310 2013-14: 1,37,340 2014-15: 2,13,260 2015-16: 3,48,630	Minimum (2013-14): ₹ 1,37,340; Maximum (2015-16): ₹ 3,48,630	There was 154 <i>per cent</i> increase in transportation cost of books during 2015-16, as compared to the expenditure incurred during 2013-14.	2011-12: 16,48,089 2012-13: 13,86,945 2013-14: 14,89,707 2014-15: 13,58,996 2015-16: 12,58,869 <i>Percent decrease (2013-16): 15.50</i>
Kanpur Dehat	2011-12: Paid through residual amount of purchase of FTB and School development fund. 2012-14: Paid through residual amount of purchase of FTB. 2014-15: by open tender, rate as approved by the DM. 2015-16: Approved rate of transport department/DM on the basis of Election 2014.	2011-12: Nil 2012-13: Nil 2013-14: 1,62,000 2014-15: 8,79,765 2015-16: 1,37,397	Minimum (2015-16): ₹1,37,397; Maximum (2014-15): ₹ 8,79,765	The expenditure incurred on transportation of books during 2014-15 was 540 <i>per cent</i> of the expenditure ⁵ incurred on transportation of books during 2015-16.	2011-12: 14,30,725 2012-13: 11,78,310 2013-14: 15,01,123 2014-15: 11,96,238 2015-16: 11,31,104 <i>Percent decrease (2014-16): 5.44</i>

⁵ Due to ceiling of 4 *per cent* of the cost of books fixed by SPO for incurring expenditure on transportation of books, the expenditure on transportation of books decreased during 2015-16.

Lakhimpur Kheri	2011-12: Carried out through BRC personnel 2012-14: transportation carried out as per approved rates for Election 2012, payment was done from residual amount of purchase of FTB. 2014-16: Through BRC again.	2011-12: Nil 2012-13: 3,91,130 2013-14: 6,94,620 2014-15: Nil 2015-16: Nil ⁶	Minimum (2012-13): ₹.3,91,130; Maximum (2013-14): ₹ 6,94,620	There was 78 per cent increase in transportation cost of books during 2013-14, as compared to the expenditure incurred during 2012-13.	2011-12: 33,25,779 2012-13: 32,35,971 2013-14: 31,55,426 2014-15: 29,05,794 2015-16: 29,37,081 <i>Percent decrease (2012-14): 2.49</i>
Maharajganj	Carried out through BRC during 2011-12. No expenditure was incurred by DPO. In other years through quotation/tender.	2011-12: Nil 2012-13: 33,252 2013-14: 1,54,050 2014-15: 36,000 2015-16: 2,44,915	Minimum (2014-15): ₹ 36,000; Maximum (2015-16): ₹ 2,44,915	There was 636 per cent increase in transportation cost of books during 2015-16, as compared to the expenditure incurred during 2014-15.	2011-12: 23,23,383 2012-13: 19,99,236 2013-14: 21,16,676 2014-15: 21,04,069 2015-16: 20,40,398 <i>Per cent increase (2014-16) : 3.03</i>
Mau	Tendering	2011-12: 1,14,410 2012-13: 1,48,643 2013-14: 1,54,099 2014-15: 2,00,000 2015-16: 2,12,948	Minimum (2011-12): ₹ 1,14,410; Maximum (2015-16): ₹ 2,11,948	There was 85 per cent increase in transportation cost of books during 2015-16, as compared to the expenditure incurred during 2011-12.	2011-12: 19,97,470 2012-13: 19,10,473 2013-14: 17,26,948 2014-15: 16,45,947 2015-16: 16,16,481 <i>Per cent decrease (2011-16): 19</i>
Pilibhit	Records not put up				
Rampur	During 2012-16, on the basis of rates approved for transportation by DM during Elections; During 2011-12 it was done on the basis of tendering process.	2011-12: 1,52,110 2012-13: 2,94,403 2013-14: 3,68,110 2014-15: 3,92,400 2015-16: 3,87,716	Minimum (2011-12): ₹ 1,52,110 Maximum (2014-15): ₹ 3,92,400	There was 158 per cent increase in transportation cost of books during 2015-16, as compared to the expenditure incurred during 2011-12.	2011-12: 18,54,680 2012-13: 16,16,215 2013-14: 14,71,352 2014-15: 13,05,196 2015-16: 12,86,561 <i>Per cent decrease (2011-15): 29.63</i>
Sonbhadra	By providing fuel to the vehicle arranged by Regional Transport Officer and payment of	2011-12: 89,902 2012-13:	Minimum (2013-14): ₹ 81,651;	There was 436 per cent increase in transportation cost of books during 2015-16, as compared to the	2011-12: 18,63,506 2012-13:

⁶ Due to not commencing of district committee meeting, payment was not done

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	remuneration to the driver of the vehicle	1,12,668 2013-14: 81,651 2014-15: 90,000 2015-16: 4,37,499	Maximum (2015-16): ₹ 4,37,499	expenditure incurred during 2013-14.	19,06,490 2013-14: 17,36,518 2014-15: 17,50,797 2015-16: 18,00,894 <i>Per cent increase</i> (2013-16): 3.71
Sultanpur	Providing diesel and labour charges for loading and unloading of the books ⁷ . (The transporters claimed different rates for consumption of fuel in different years, loading-unloading charges for different kind of vehicles were varying to a large extent and total expenditure during 2014-15 and 2015-16 increased manifold without any justification)	2011-12: 5,21,343 2012-13: 4,99,560 2013-14: 5,75,103 2014-15: 15,17,178 ⁸ 2015-16: 13,46,758	Minimum (2012-13): ₹ 4,99,560; Maximum (2014-15): ₹ 15,17,178	There was 204 <i>per cent</i> increase in transportation cost of books during 2014-15, as compared to the expenditure incurred during 2012-13.	2011-12: 25,84,997 2012-13: 21,99,148 2013-14: 19,08,959 2014-15: 20,81,858 2015-16: 18,80,734 <i>Per cent decrease</i> (2012-15): 5.33
Unnao	Per trip rate upto block level fixed by DM. Payment made on the basis of 3 trips to each block.	2011-12: 1,46,997 2012-13: 1,38,661 2013-14: 1,91,547 2014-15: 2,13,432 2015-16: 2,99,130	Minimum (2011-12): ₹ 1,38,661; Maximum (2015-16): ₹ 2,99,130	There was 116 <i>per cent</i> increase in 2015-16 as compared to expenditure incurred in 2012-13.	2011-12: 23,54,829 2012-13: 22,66,603 2013-14: 20,08,436 2014-15: 18,73,904 2015-16: 18,70,278 <i>Per cent decrease</i> (2010-16):20.58

(Source: Information provided by concerned DPOs)

⁷ (a) While inviting tenders, few components like consumption of diesel and mobil oil, which could have been made constant were left on the decision of the transporters. As a result, different transporters in different years quoted consumption of diesel for TATA truck ranging between 3 to 4 Kms/litre; for Eicher 407 ranging between 1.5 and 10 Kms/litre; for TATA 307 ranging between 6 and 12 Kms/litre and for TATA magic half ranging between 10 and 13 kms/ litre. Similarly, the consumption rate of mobil oil in different years for TATA truck was ranging between 25 and 20000 Km/litre; for Eicher 407 ranging between 300 and 25000 Kms./litre For TATA 307 ranging between 500 and 25000 Kms./litre and for TATA magic half ranging between 800 and 25000 Kms./liter, which were paid accordingly. The wide gap between the consumption rate of diesel and mobil oil was not justifiable.

(b) The loading and unloading charges were fluctuating; which was for TATA truck ranging between ₹ 1080 and ₹ 2400; for Eicher 407 ranging between ₹ 540 and ₹.2400; for TATA 307 ranging between ₹.540 and ₹ 1800 and for TATA magic half ranging between ₹ 540 and ₹1200.

(c) Transportation cost of ₹ 499560 and ₹575103 was paid for transportation of books during 2011-12 and 2012-13 respectively, the average of which was ₹ 5.37 lakh per year. Scrutiny of records, however revealed that the expenditure during the year 2014-15 was increased to ₹ 15.17 lakh which was 2.85 times of the expenditure incurred in previous years and was 8.8 *per cent* of the cost of books (₹2.11 crore), which was almost two times of the state average of transportation cost of books. Similarly, the expenditure incurred on transportation of books during 2015-16 was ₹ 13.47 lakh, which was 7.19 *per cent* of the cost of books (₹ 1.88 crore) whereas state average of previous year was 3.28 *per cent*. It was observed that justification for the rates quoted by transporters during 2014-15 and 2015-16 were not made on the basis of the rates approved during 2013-14. Analysis revealed that the consumption of diesel quoted by lowest bidders (transporters) during 2014-15 and 2015-16 was higher ranging between 8 to 60 *per cent* and 8 to 40 *per cent*, as compared to the consumption rate quoted during 2013-14. Similarly, loading and unloading charges were increased ranging between 77.5 *per cent* and 233 *per cent* during 2014-15 and 2015-16 respectively, as compared to the rates quoted during 2013-14, which was approved without any analysis. This resulted in excess expenditure of ₹ 12.04 lakh and ₹ 8.15 lakh during 2014-15 and 2015-16 respectively, as compared to the expenditure incurred in previous year.

⁸ Consequent upon decision of SPO for special audit of districts incurring expenditure of more than 6 *per cent* of cost of books on payment of transportation cost, payment was limited to ₹ 15.17 lakh against the bill of ₹17.36 lakh during 2014-15

Appendix 2.1.22

Delays at various levels in procurement and distribution of Free Text Books during 2010-16

(Reference: Paragraph no. 2.1.8.2)

Name of the district	Delay in placing supply order (in days)	Date of start of supply of books by printers to districts						No. of FTBs received (SSA+GoUP)	No. of FTBs distributed after the month of July
		2010-11	2011-12	2012-13	2013-14	2014-15	2015-16		
Bahraich	0-16	23.07.2010	10.09.2011	18.09.2012	18.09.2013	30.05.2014	08.08.2015	1,93,29,940	1,09,42,311
Farrukhabad	2-23	15.06.2010	19.06.2011	20.06.2012	22.05.2013	15.06.2014	28.07.2015	89,30,234	26,79,059
Ferozabad	0-20	02.06.2010	06.07.2011	09.06.2012	30.05.2013	25.06.2014	02.06.2015	95,87,201	29,56,583
Ghaziabad	1-15	25.07.2016	28.08.2011	18.07.2012	28.10.2013	11.07.2014	22.07.2015	52,08,146	14,04,681
Ghazipur	1-18	12.06.2010	14.07.2011	09.06.2012	29.05.2013	09.06.2014	08.06.2015	1,69,37,390	77,03,058
Gorakhpur	0-16	30.06.2010	21.07.2011	02.07.2012	19.06.2013	17.06.2013	10.06.2015	1,82,82,467	73,12,988
Jhansi	0-23	18.06.2010	16.07.2011	08.06.2012	10.05.2013	09.06.2014	09.06.2015	86,77,175	36,18,722
Kanpur Dehat	1-12	14.06.2010	12.07.2011	26.07.2012	04.06.2013	05.06.2014	19.06.2015	73,37,761	28,31,771
Lakhimpur Kheri	0-10	06.2010	06.2011	05.2012	06.2013	05.2014	06.2015	1,80,26,972	21,39,387
Maharajganj	2-18	01.07.2010	05.07.2011	04.07.2012	25.06.2013	29.06.2014	06.07.2015	1,25,22,824	4,46,584
Mau	0-27	02.07.2010	14.07.2011	02.06.2012	24.06.2013	23.06.2014	24.06.2015	1,09,58,404	24,05,165
Pilibhit	Records/information not provided								
Rampur	0-16	29.05.2010	03.07.2011	04.06.2012	02.06.2013	31.05.2014	09.06.2015	95,83,039	31,33,838
Sonbhadra	0-18	15.05.2010	18.07.2011	07.06.2012	10.05.2013	03.06.2014	08.06.2015	1,10,64,487	43,10,518
Sultanpur	0-103	30.05.2010	01.07.2011	06.06.2012	08.05.2013	28.05.2014	12.06.2015	1,43,25,588	51,02,857
Unnao	0-2	11.07.2010	10.08.2011	10.07.2012	17.07.2013	27.06.2014	17.08.2015	1,27,71,233	21,21,670
Total								18,35,42,861	5,91,09,192

(Source: Information provided by concerned DPOs)

Appendix 2.1.23

Statement showing allotment, expenditure and coverage of children under Free Text Books component

(Reference: Paragraph no. 2.1.8.2)

Year	Allotment	Expenditure	Balance	Target	Actual enrolment	Actual coverage
2010-11	114.81	82.21	32.60	1,47,84,400	NA	1,43,40,731
2011-12	114.98	97.95	17.03	1,43,38,431	NA	1,41,99,371
Sub total (A)	229.79	180.16	49.63	2,91,22,831		2,85,40,102
2012-13	129.65	103.39	26.26	1,41,62,630	1,44,73,717	1,41,58,397
2013-14	252.02	126.30	125.72	1,40,12,396	1,40,10,725	1,39,34,258
2014-15	199.60	129.35	70.25	1,38,31,943	1,36,77,895	1,35,34,304
2015-16	186.41	152.30	34.11	1,32,94,158	1,32,39,443	1,31,53,093
Sub total (B)	767.68	511.34	256.34	5,53,01,127	5,54,01,780	5,47,80,052
Grand total	997.47	691.50	305.97	8,44,23,958	5,54,01,780	8,33,20,154

(Source: Information provided by SPO, SSA; enrolment as per DISE)

Appendix 2.1.24

Statement showing belated supply of uniforms to students (State as a whole)

(Reference: Paragraph no. 2.1.8.2)

Sl. No.	Year	Targeted date for distribution of uniforms	Status of distribution of uniforms upto targeted date	Delay in providing uniforms to children
1	2011-12	11.11.11	Only one set of uniform was provided to children	
2.	2013-14	30.11.13	21 districts failed to distribute uniforms upto 10.12.2013. The other districts distributed uniforms ranging between 1 and 71 <i>per cent</i> ⁹ upto the targeted date.	Due to delayed transfer of funds on 26.8.2013 (75 <i>per cent</i>) and 7.1.2014 (25 <i>per cent</i>), timely distribution of uniforms was not possible.
3	2014-15	30.9.14	No uniform was distributed in 46 districts upto the 30 October 2014 and only 50 to 74 <i>per cent</i> uniforms were distributed in remaining districts upto that date.	The funds for distribution of uniforms were transferred in two installments of 75 <i>per cent</i> and 25 <i>per cent</i> on 15.9.14 and 25.2.15 respectively.
4.	2015-16	20.8.15	No uniforms were distributed timely	Session started in April 2015. Funds for distribution of uniforms were transferred in two installments on 28.7.2015 (75 <i>per cent</i>) and 27.1.2016 (25 <i>per cent</i>).

(Source: Information provided by SPO)

⁹ 9, 20, 5 and 18 districts distributed uniforms ranging between 1 to 30 *per cent*, 31 to 60 *per cent*, 61 to 70 *per cent* and 71 *per cent* respectively upto the targeted date.

Appendix 2.1.25

Statement showing delay in distribution of uniforms to children (in test-checked districts)

(Reference: Paragraph no. 2.1.8.2)

Sl. No.	Name of District	Period	No. of Student	Delay in days
1	Bahraich	2012-16	38,894	39 to 199
2	Ferozabad	2011-16	44,336	31 to 168
3	Farrukhabad	2012-13	6,560	61
4	Ghaziabad	Information/records not provided		
5	Ghazipur	2011-16	1,44,418	67 to 230
6	Gorakhpur	2012-15	33,732	58 to 221
7	Jhansi	2011-13, 2015-16	15,573	34 to 130
8	Kanpur Dehat	2011-16	00	Timely distributed
9	LakhipurKheri	2011-16	86,004	61 to 107
10	Maharajgan	2011-16	1,18,866	39 to 138
11	Mau	2011-16	3,09,733	33 to 209
12	Pilibhit	2011-16	00	Timely distributed
13	Rampur	2011-16	28,077	20 to 145
14	Sonbhadra	2012-13, 2014-15	36,507	59 to 121
15	Sultanpur	2011-13, 2014-16	1,00,719	32 to 111
16	Unnao	2012-16	42,572	32 to 174
Total			10,05,991	

(Source: Information provided by concerned DPOs)

Appendix 2.1.26

Statement showing year-wise position of construction of Primary and Upper Primary Schools

(Reference: Paragraph no. 2.1.8.3)

Year	Primary school (PS) ¹⁰					Upper Primary school (UPS) ¹¹				
	Sanctioned	Balance school of the last year	Constructed	Under construction	Not started	Sanctioned	Balance school of the last year	Constructed	Under construction	Not started
2010-11	0	703	670	33	0	1,126	918	1943	101	0
2011-12	10,364	33	714	6,762	2,921	1,052	101	87	648	418
2012-13	0	9,683	5,709	3,491	483	0	1,066	617	364	85
2013-14	0	3,974	3,044	560	370	0	449	217	190	42
2014-15	0	930	367	102	461	0	229	115	37	77
2015-16	0	563	17	77	469	0	114	19	22	73
Total	10,364		10,521			2,178		2,998		

(Source: Information provided by SPO)

¹⁰ There was opening balance of 703 PSs (not constructed) of previous years as on 1 April 2010. After adding the total 10364 PSs sanctioned during 2010-16, the total number of schools to be constructed during 2010-16 was 11067 PSs.

¹¹ There was opening balance of 918 UPSs (not constructed) of previous years as on 1 April 2010. After adding the total 2178 U PSs sanctioned during 2010-16 and deduction of 3 UPSs surrendered during 2014-15, the total number of schools to be constructed during 2010-16 was 3093 UPSs.

Appendix 2.1.27

Statement showing reasons for schools not constructed

(Reference: Paragraph no. 2.1.8.3)

Name of the District	Insufficient cost for construction of schools
Sultanpur	Funds for construction of 344 new PSs (at the rate of ₹ 6.73 lakh per PS) and 12 UPSs (at the rate of ₹ 9.01 lakh per UPS) were provided during 2011-12. Though construction cost of these PSs and UPSs were transferred to respective SMCs, construction work of 48 PSs were not started even after the lapse of more than four years for want of additional funds by the construction incharges to meet the escalation in cost. Out of these schools not constructed, funds totalling ₹ 29.64 lakh was not returned by 12 SMCs, though directed to be returned upto December 2014
Land dispute	
18 districts ¹²	Funds of ₹280.60 lakh was provided during 2011-12 for construction of 35 PSs and five UPS in 18 districts. Due to land dispute, these PSs and UPS were not constructed despite lapse of four years from release of funds.
Selection of disputed site	
Gorakhpur	Construction of UPS Amaiya, block khorabar (sanctioned in 2002-03) was started without having clear title of the land. At partially constructed stage, a person claiming the title of the land stopped construction of the school. During joint physical inspection, it was found that the school was running in five ACRs, sanctioned subsequently.
Gorakhpur	Construction of PS Payasi, block khorabar (sanctioned in 2007-08) was started without having clear title of land. At a semi constructed stage (about 95 percent), the school building was occupied by a person claiming to be the owner of the land. During physical verification it was found that animals and straw for feeding of animals was kept in the rooms of the school and PS Payasi was running in the building of UPS Payasi.
Sanction of schools against the norms	
Unnao	13 UPSs, sanctioned against the norms were surrendered in January 2013 but funds totaling ₹ 1.18 crore was not transferred to SPO.
Gorakhpur	47 PSs and 3 UPSs, selected against the prescribed norms, were replaced with other schools.

(Source: Records of SPO and concerned DPOs)

¹²Aligarh, Azamgarh, Ballia, Balrampur, Chitrakoot, Etah, Faizabad, Gonda, Hathras, Jaunpur, Kannauj, Kasganj, Mainpuri, Mathura, Pratapgarh, Sant Ravidas Nagar (Bhadohi), Sitapur and Shravasti.

Appendix 2.1.28

Details showing schools running without building, in rented building and in dilapidated building

(Reference: Paragraph no. 2.1.8.3)

District	No of schools running without building	No of schools running in rented building ¹³	No of schools running in dilapidated building
Bahraich	21 ¹⁴	10	7
Farrukhabad	0	34	3
Ferozabad	0	39	14
Ghazipur	0	1	0
Ghaziabad	0	15	1
Gorakhpur	0	15	4
Jhansi	0	12	32
Kanpur Dehat	1	7	12
LakhimpurKheri	8	6	6
Maharajganj	0	3	4
Mau	0	3	5
Pilibhit	0	10	0
Rampur	0	12	0
Sonbhadra	0	0	0
Sultanpur	0	0	4
Unnao	0	1	2
Total	30	168	94

(Source: Records of concerned DPOs and DISE data)

¹³ In physical verification of schools, one aided school and one UPS in districts Unnao and Maharajganj respectively was found in dilapidated condition without any education activities.

¹⁴ 8 schools in PS Mahasi was running without building for 6 to 11 years, one school in block Mihipurva was running in grass thatch for 10 years, 3 schools in block Mahasi and 2 Schools in block Payagpur were running in ACRs; 7 schools in block Balaha was running in ACRs as the school building was demolished in flood.

Appendix 2.1.29

Details showing multiple schools running in single building

(Reference: Paragraph no. 2.1.8.3)

Name of the district	Number of schools running in single building	Number of such buildings	Total number of schools accommodated in these buildings
Bahraich	2 to 3	5	11
Ferozabad	2 to 3	26	55
Gorakhpur	2	7	14
Jhansi	2	10	20
Pilibhit	2 to 3	10	25
Sultanpur	2 to 3	5	12
Unnao	2 to 3	9	23
Total		72	160

(Source: Records of concerned DPOs)

Appendix 2.1.30

Statement showing status of construction of composite schools in test-checked districts

(Reference: Paragraph no. 2.1.8.3)

Name of the district	No of schools Sanctioned	Sanctioned cost (₹ in lakh)	Scheduled date of completion	Status of construction	Remarks
Sultanpur	1 (October 2011)	41.04	March 2012	Civil work completed (2013)	Not operational as doors/ windows and electrical work not completed
Gorakhpur	2 (January 2010)	71.24	June 2010	Completed (July 2011)	Not operational, a KGBV was running in one school
	1 (October 2011)	41.04	March 2012	Incomplete	Additional funds demanded by construction agency, not provided
Lakhimpur Kheri	2 (October 2011)	82.08	March 2012	Incomplete/ not transferred	One schools was incomplete and the other was not transferred
Total		235.40		Say ₹ 2.35 crore	

(Source: Records of concerned DPOs)

Appendix 2.1.31

Details showing irregularities in construction of ACRs in violation of norms

(Reference: Paragraph no. 2.1.8.3)

(₹ in lakh)

Name of the district	Year	Violating RTE ¹⁵ Norms		Without ensuring RTE norms		Constructed without availability of land		Given without demand	
		No.	Amount	No.	Amount	No.	Amount	No.	Amount
Farrukhabad	2011-12	193	387.93	0	0	45	90.45	34	68.34
Ferozabad	2010-11	117	235.17	0	0	0	0	0	0
	2011-12	0	0	0	0	11	22.11	10	20.10
	2012-13	73	146.73	0	0	8	16.08	10	20.10
Gorakhpur	2010-11	29	58.29	0	0	0	0	0	0
	2011-12	162	325.62	0	0	0	0	0	0
	2012-13	67	134.67	139 ¹⁶	279.39	0	0	0	0
	2014-15	0	0	46	158.70	0	0	0	0
Ghazipur	2010-11	3	6.03	0	0	4	8.04	181	363.81
	2012-13	11	22.11	0	0	5	10.05	51	102.51
	2014-15	105	362.25	0	0	0	0	77	265.65
Jhansi	2010-11	51	104.55	0	0	0	0	0	0
	2014-15	14	48.3	68 ¹⁷	234.60	0	0	0	0
Kanpur Dehat	2010-11	30	60.30	0	0	1	2.01	4	8.04
	2011-12	3	6.03	0	0	0	0	0	0
	2014-15	22	75.90	0	0	0	0	0	0
Maharajganj	2010-11	214	430.14	0	0	91	182.91	0	0
	2011-12	9	18.09	0	0	0	0	0	0
	2012-13	0	0	0	0	0	0	53	106.53
Pilibhit	2010-11	13	26.13	0	0	0	0	0	0
	2011-12	43	86.43	0	0	0	0	0	0
	2012-13	3	6.03	0	0	0	0	0	0
	2014-15	5	17.25	0	0	0	0	0	0
Rampur	2011-12	298	598.98	0	0	30	60.30	45	90.45
Sonbhadra ¹⁸	2010-11	38	76.38	133 ¹⁹	294.69	0	0	0	0
	2011-12	54	108.54			0	0	0	0
	2012-13	75	150.75			0	0	0	0
	2014-15	4	13.80			0	0	0	0
Total		1,636	3,506.4	386	967.38	195	391.95	465	1,045.53
Grand total (No. of ACRs)		2,682							
Grand Total (Value)		₹ 5,911.26 lakh			Say	₹ 59.11 crore			

(Source: Records of concerned DPOs)

¹⁵ Allotted in excess of classrooms required for the children enrolled, considering RTE norms.

¹⁶ ACRs sanctioned to PSs/UPSs were transferred to other PSs/UPSs without ensuring enrolment of children in transferee schools.

¹⁷ DISE data is compiled for 30th of September whereas 99 ACRs were sanctioned during 2014-15 on 31 March 2015. 75 schools to whom ACRs were sanctioned during 2014-15 were already having 267 ACRs. With the objective to receive further ACRs, these 75 schools showed only 162 ACRs. Thus, 35 School obtained 57 ACRs (total cost: ₹ 1.97 crore) without requirement by providing incorrect information. Out of these schools, physical verification of one school (PS Paleeda, Block Babina, Jhansi) was physically inspected on 7.6.2016 and found that the school was having an old building with one head-teachers room. The teacher available at the time of inspection informed that the building was being used for teaching. Further, two ACRs (constructed in 2006-07) was also available in school. Yet, one more ACR was obtained by reporting availability of only one classroom in the school.

¹⁸ Remarks given in the list - Security forces (7 ACRs), under the possession of jungle men (1 ACR), Naxal (21 ACRs).

¹⁹ By declaring the schools as dilapidated without any technical report.

Appendix 2.1.32

Details showing blockade of funds in test-checked districts

(Reference: Paragraph no. 2.1.8.3)

(₹ in crore)

Sl. No.	Details of blockade of funds	Amount blocked
Construction of schools		
1.	In district Unnao, 13 UPSs sanctioned against the norms were surrendered in January 2013 but funds totaling ₹ 1.18 crore was not transferred to SPO	1.18
Hand pumps		
2.	Against 429 hand-pumps sanctioned in Sultanpur during 2011-15, only 340 hand-pumps were installed by UP Small Scale Industries Corporation, Kanpur resulting in non- utilisation of ₹ 34.60 lakh	0.35
3.	In district Jhansi, 35 hand-pumps sanctioned alongwith PSs and UPSs during 2011-12 were not installed due to schools being in dry areas. The funds totaling ₹ 18.62 lakh, however, was not refunded to SPO.	0.19
4.	Despite release of ₹1.60 lakh to UP Agro for installation of five hand-pumps, sanctioned (2010-11) for five schools in Kanpur Dehat, no hand-pump has been installed.	0.20
Construction of BRCs		
5.	In test checked district Sultanpur, construction work of one BRC (Karaundi Kala), sanctioned in September 2010 at a construction cost of ₹ 8.00 lakh, was provided to Rural Engineering Services (RES). Construction of the building, however, was not started due to demand of additional construction cost leading to blockade of ₹ 8.00 lakh with RES.	0.08
6.	In test checked district Bahraich, construction of 15 BRC's training hall and one resource room was sanctioned (2011-12) at a total construction cost of ₹80.00 lakh (₹ 5.00 lakh each). It was found that only 50 percent of the construction cost was provided to construction agency (C&DS). As a result, the buildings were not be completed leading to blockade of ₹ 40 lakh	0.40
7.	In test checked district Gorakhpur, construction of 20 BRC's training hall was sanctioned (May 2011) at a total construction cost of ₹ 100 lakh (₹ 5.00 lakh each). It was found that only ₹73.28 lakh was provided to the construction agency (UPSKNN). As a result, the buildings could not be completed leading to blockade of ₹ 73.28 lakh	0.73
Total		3.13

(Source: Records provided by DPO)

Appendix 2.1.33

Statement showing Pupil-Teacher Ratio in government/government aided and private schools during 2010-16

Reference: Paragraph no. 2.1.8.4)

Year	Government/Government aided School		Private School	
	PSs	UPSs	PSs	UPSs
2010-11	40	38	55	41
2011-12	39	36	57	42
2012-13	35	32	56	40
2013-14	36	29	52	38
2014-15	34	28	49	35
2015-16	36	24	46	35

(Source: District Information System for Education)

Appendix 2.1.34

Statement showing excess deployment of teachers in schools

(Reference: Paragraph no. 2.1.8.4)

Primary schools					
Enrolment	3 teachers	4 teachers	5 teachers	More than 5 teachers	Total
Less than 20	469	202	39	10	720
25-50	4,101	1,853	451	139	6,544
Total	4,570	2,055	490	149	7,264
Upper Primary Schools					
Less than 20		182	39	19	240
25-50		1,452	443	242	2,137
Total		1,634	482	261	2,377

(Source: District Information System for Education)

Appendix 2.1.35

Statement showing short deployment of teachers in schools

(Reference: Paragraph no. 2.1.8.4)

Primary Schools					
Enrolment	1 teacher	2 teachers	3 teachers	4 teachers	Total
150-200	845	2,532	4,011	3,332	10,720
More than 200	510	1,613	2,594	2,295	7,012
Total	1,355	4,145	6,605	5,627	17,732
Upper Primary Schools					
150-200	76	181	257	394	908
More than 200	31	64	130	216	441
Total	107	245	387	610	1,349

(Source: District Information System for Education)

Appendix 2.1.36

Statement showing instructional days achieved during 2010-16

(Reference: Paragraph no. 2.1.8.4)

Year	Primary School		Upper Primary School		Total
	Less than 175	175 to 200	Less than 175	175 to 200	
2010-11	1,03,444	0	42,650	0	1,46,094
2011-12	1,02,079	0	44,027	0	1,46,106
2012-13	1,07,649	0	45,331	0	1,52,980
2013-14	772	1,017	245	126	2,160
2014-15	42	700	10	313	1,065
2015-16	00	00	26	40328	40,354

(Source: District Information System for Education)

Appendix 2.1.37

Statement showing availability and utilization of computers in test-checked districts

(Reference: Paragraph no. 2.1.8.4)

Particulars	Bahraich	Farrukhabad	Ferozabab	Ghaziabad ²⁰	Ghazipur	Gorakhpur ²¹	Jhansi	Kanpur Dehat	Lakhimpur Kheri	Maharaj Ganj	Mau	Rampur	Pili-bhit	Sonbhadra	Sultanpur ²²	Unnao	Total
	1	2	3	4	5	6	7	9	9	10	11	12	13	14	15	16	
Total computers ²³ procured by the district	123	91	107	70	115	0	116	84	124	90	94	86	89	115	103	112	1519
Computers available in schools	82	61	87	40	83	0	98	79	114	81	82	70	71	114	80	77	1219
Computers installed at places other than schools	40	28	16	26	28	0	15	01	8	3	8	15	17	0	20	33 ²⁴	258
Computers available but not functional	34	3	33	30	10	0	24	31	28	4	6	16	6	50	0	6	281
Computers stolen	1	2	4	4	4	0	3	04	2	6	4	1	1	1	3	2	42
Computer available but no instructor	42	61	71	35	35	0	66	52	4	67	38	60	27	62	65	77	762
Instructor available but computer not available	15	2	0	3	3	0	24	2	1	16	12	2	7	5	3	0	95

(Source: Information provided by concerned DPOs)

²⁰ Four computers procured during 2011-12 were neither available in stock nor issued to UPSs.

²¹ Did not furnish records/information despite repeated written and verbal requests.

²² The total number includes 20 computers with 17" monitors and 5 computers with 40" monitors procured during 2010-11. The vendor (Sreetron India Limited), instead of supplying HCL make monitors, supplied N Cola make monitors and the supplied items were defective. The supplies were not accepted unless the vendor accorded its written consent through letter dated 4.3.15 on forfeiture of 10 per cent amount retained for release after verification of satisfactory supply; though Chief Treasury Officer, Sultanpur cautioned that the settlement was not in the interest of the Government. The computer education, not provided to the children during 2011-14, was not taken into consideration while settling the issue. Further, out of the 20 computers with 17" monitors, 18 computers were diverted for election work and not received back; and 2 defective computers remained dumped. The 5 computers with 40" monitors valuing ₹ 5.08 lakh were not reported in the information sent to Government of UP and physical verification of one of the five schools where it was sent, the computer was not available.

²³ During the year 2010-11, 5 computers with 40" monitors were provided to each of the 71 districts for establishing model computer assisted learning centres at block level UPSs without describing as to what was meant by model computer assisted leaning centre and how it would be different from other UPSs being supplied computers with 17"/18.5" monitors. This led to avoidable expenditure of ₹. 28,500 per computer.

²⁴ Purchased in 2011-12, utilised in social and economic survey. DRDA Unnao returned 32 computers in March and September 2014 which were not in working condition. The remaining 2 computers not returned.

Appendix 2.1.38

Details showing enrolment of girls against the seats available in KGBVs

(Reference: Paragraph no.2.1.9.1)

KGBVs Operational ²⁵			Girls enrollment (Class 6 to 8)						
Year	Total	Total seats available	SC	ST	OBC	BPL	Minority	Total	Shortfall (per cent)
2010-11	454	44,800	17,530	647	15,433	4,545	4,363	42,547	2,253 (5%)
2011-12	746	74,000	29,617	670	23,718	7,066	5,664	66,735	726 (10%)
2012-13	746	74,000	29,617	670	23,718	7,066	5,664	66,735	7,265 (10%)
2013-14	746	74,000	31,528	923	27,270	6,261	5,961	71,953	2,047 (3%)
2014-15	746	74,000	29,238	945	24,798	4,948	11,069	70,998	3,002 (4%)
2015-16	746	74,000	29,788	894	24,922	4,672	12,493	72,769	1,231 (2%)
Total		4,14,800						3,91,737	

(Source: Information provided by SPO)

Appendix 2.1.39

Statement showing avoidable expenditure on CWSN

(Reference: Paragraph no. 2.1.9.2)

Year	CWSN identified/ projected in AWP&B	Funds approved in AWP&B including spill over (₹ In lakh)	Unit rate (₹)	No of CWSN enrolled	Total Expenditure (₹ in lakh)	Expenditure per CWSN (₹)	No. of CWSN without Disability Certificate	Avoidable expenditure (7x8) (₹ In crore)
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
2010-11	4,14,554	7,254.18	1,750	3,63,438	4,386.56	1,206.96	315,639	38.10
2011-12	3,97,511	8,739.17	2,200	3,75,319	6,382.27	1,700.49	331,726	56.41
2012-13	4,10,888	9,514.26 ²⁶	2,280	3,70,413	5,941.50	1,604.02	342,350	54.91
2013-14	1,14,668 ²⁷	3,440.04	3,000	2,15,400	3,284.83	1,524.99	177,855	27.12
2014-15	2,89,642	4,923.87	1,700	2,88,395	4,101.77	1,422.28	252,737	35.95
2015-16	2,88,395	5,767.90	2,200	2,62,879	4,691.83	1,784.79	246,547	44.00
Total	18,76,544	39,639.42		18,75,844	28,788.76		16,66,854	256.49

(Source: Information provided by State Project Office)

²⁵ 442 model I and 12 model II from 2010-11 and 734 model I and 12 model II from 2011-12 onwards.

²⁶ Including spill over of ₹146 crore.

²⁷ 347896 CWSN recommended as per DISE data

Appendix 2.1.40

Details showing implementation of programme for strengthening of madarsas (Reference: Paragraph No. 2.1.9.2)

Under Programme (2010-11) for strengthening of madarsas, 3-4 hours of formal education was to be provided to children in addition to the syllabus prescribed by Arabic and Parsian Madarsa Board. Further, all the children enrolled were to be provided books prescribed for government aided schools. For teaching of children, Anudeshaks were to be deployed on honorarium basis for ten months at the rate of Rs 2000/- per month. The shortcomings/irregularities found in implementation of the programme in test-checked districts are summarized below:

Name of the District	Approved		Actual Coverage		Remark	Unutilised Balance (₹ In lakh)
	Old	New	Old	New		
2010-11 ²⁸						
Bahraich	16	63	16	56	Madarsas of new coverage were provided honorarium to Anudeshaks for 7 months only. Thus, Anudeshaks provided learning support to children for 7 months only against the norm of 10 months.	27.93 <u>-20.61</u> 7.32
Ferozabad	7	9	5	6	Against the allotment of ₹ 5.49 lakh. ₹ 3.55 lakh was utilised and ₹. 1.94 lakh remained unutilised leaving 2 old and 3 new madarsas uncovered.	5.49 <u>-3.55</u> 1.94
Gorakhpur	0	41	0	39	One Madarsa provided learning assistance for 6 months only.	14.00 <u>-12.22</u> 1.78
Jhansi	0	43	0	43	2 Madarsas were provided training support for 6½ months only.	13.67 <u>-12.90</u> 0.77
Kanpur Dehat	7	14	7	14	Related files were not made available to audit.	6.93 <u>-6.25</u> 0.68
Pilibhit	14	16	14	16	Entire funds were not utilised.	9.77 <u>-9.17</u> 0.60
Rampur	8	0	8	0	Madarsas of old coverage were provided honorarium to Anudeshaks for 9 months only. Thus, Anudeshaks provided learning support to children for 9 months only against the norm of 10 months.	2.54 <u>-2.54</u> 0.00
Sonbhadra	4	8	4	8	Entire funds were not utilized	4.17 <u>-3.77</u> 0.40
Sultanpur	20	36	18	36	36 Madarsas of new coverage were provided honorarium to Anudeshaks for 7 months only. Thus, Anudeshaks provided learning support to children for 7 months only against the norm of 10 months.	19.41 <u>-15.66</u> 3.75
	76	230	72	218		

²⁸ Farrukhabad, Ghaziabad, Ghazipur, Lakhimpur Kheri, Maharajganj, Mau, and Unnao did not furnish the desired information/records.

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2011-12 ²⁹						
Bahraich	67	29	62	23	Madarsas of new coverage were provided honorarium to Anudeshaks for 7 months only. Thus, Anudeshaks provided learning support to children for 7 months only against the norm of 10 months. 10 Madarsas covered in 2010-11 were not covered in 2011-12.	<u>30.50</u> <u>25.53</u> 5.03
Ferozabad	11	2	11	0	2 newly approved madarsas remained uncovered under the scheme despite of availability of funds.	4.23 <u>-3.16</u> <u>1.07</u>
Gorakhpur	40	98	40	98	Concerned file/actual coverage of Madarsa not provided	<u>45.77</u> <u>28.75</u> 17.02
Jhansi	43	74	43	74	₹5.28 lakh remained unspent. Further, ₹ 1.91 lakh, which was to be provided to DIET was not provided.	41.64 <u>-31.90</u> 9.74
Kanpur Dehat	19	6	19	4	Out of 6 newly approved madarsas only 4 were covered and 2 left uncovered under the scheme despite availability of funds.	7.89 <u>-7.21</u> <u>0.68</u>
Lakhimpur Kheri	50	20	50	0	Against allotment of ₹37.68 lakh only ₹26.48 lakh were utilised and ₹ 11.20 lakh remained unutilised leaving 20 newly approved madarsas uncovered under the scheme despite availability of funds.	37.68 <u>-26.48</u> <u>11.20</u>
Pilibhit	30	51	30	51	Aanudeshaks of 81 old and new madarsas were paid honorarium for 09 months only against 10 months. As a result against allotment of ₹ 26.64 lakh only ₹ 23.58 lakh were utilised and ₹ 3.06 lakh remained unutilised.	26.64 <u>-23.58</u> <u>3.06</u>
Rampur	8	40	8	28	Against allotment of ₹ 16.12 lakh only ₹ 9.99 lakh were utilised and ₹ 6.13 lakh remained unutilised leaving 12 newly approved madarsas uncovered under the scheme despite availability of funds. Moreover Anudeshaks provided learning support to children in new Madarsas for 4 to 7 months only against the norm of 10 months.	16.12 <u>-9.99</u> <u>6.13</u>
Sonbhadra	12	4	12	4	Entire funds were not utilized	<u>5.19</u> <u>5.06</u> 0.13
Sultanpur	35	30	34	3	20 Madarsas covered during 2010-11 were not covered in 2011-12. Against the approval of 35 Madarsas, only 34 madarsas covered.	<u>11.78</u> <u>11.65</u> 0.13
	315	354	309	285		

(Source: Records provided by concerned DPOs)

²⁹ Farrukhabad, Ghaziabad, Ghazipur, Maharajganj, Mau and Unnao did not furnish the desired information..

Appendix 2.1.41

Statement showing improper implementation of RAA-PBBB scheme

(Reference: Paragraph no. 2.1.9.2)

With the objective to develop understanding of Mathematics and Science and also to develop environment for teaching-learning transactions, GoI started (2015-16) Rashtriya Avishkar Abhiyan/Padhe Bharat-Badhe Bharat scheme for SCs/STs, Minority Communities and urban deprived children respectively and provided ₹ 5 lakh under each of the two interventions during 2015-16 for each district. Under the scheme, 5 schools selected under each category, i.e. SC/ST, Minority Community, Urban deprived children and girls (total 20 schools) were provided assistance at the rate of Rs. 13000 per category (total Rs. 65000) for procurement of science and mathematics kits. The order was, however, subsequently modified for procurement of only 2 mathematics kits per school for 7 school under each category at the rate of Rs. 888 per kit.

The irregularities noticed in implementation of the programme in test checked districts are discussed below:

Sl. No.	Name of the District	Funds received (₹in lakh)	Funds utilised (₹in lakh)	Balance funds (₹in lakh)	Remark
Padhe Bharat-Badhe Bharat³⁰					
1.	Bahraich	5.00	0.00	5.00	Reasons was not available on records
2.	Ferozabad	5.00	3.80	1.20	Reasons was not available on records
3.	Gorakhpur	5.00	5.00	0.00	Funds were to be utilised during 2015-16 but entire funds transferred on 31.3.2016 evidently for utilisation during 2016-17.
4.	Jhansi	5.00	0.00	5.00	Funds not utilised due to clarification not received for establishment of library.
5.	Pilibhit	5.00	3.60	1.40	Due to belated receipt, funds were not utilised completely.
6.	Rampur	5.00	3.28	1.72	Various components of the scheme was partially implemented
7.	Sonbhadra	5.00	0.00	5.00	Reasons was not available on records
8.	Sultanpur	5.00	5.00	0.00	Funds were to be utilised during 2015-16 but entire funds was transferred on 31.3.2016 evidently for utilisation during 2016-17.
9.	Unnao	5.00	2.30	2.70	Various components of the scheme was not/partially implemented
		45	22.98	22.02	
RashtriyaAvishkarAbhiyan³¹					
1.	Bahraich	5.00	0.00	5.00	Reasons was not available on records
2.	Ferozabad	5.00	2.73	2.27	Reasons was not available on records
3.	Gorakhpur	5.00	5.00	0.00	Funds were to be utilised during 2015-16 but entire funds was transferred on 31.3.2016 evidently for utilisation during 2016-17.
4.	Jhansi	5.00	0.00	5.00	Due to clarification not received from SPO on rate of mathematics kit.
5.	Pilibhit	5.00	3.35	1.65	Due to ambiguity in order issued by SPO, funds for purchase of mathematics kits were not utilised.
6.	Rampur	5.00	2.71	2.29	Various components of the scheme was partially implemented
7.	Sonbhadra	5.00	0.00	5.00	Reasons was not available on records
8.	Sultanpur	5.00	2.90	2.10	Due to ambiguity in order issued by SPO, funds for purchase of mathematics kits were not utilised completely. funds transferred on 31.3.2016
9.	Unnao	5.00	3.62	1.38	Due to ambiguity in order issued by SPO, funds for purchase of maths kits were not utilised completely.
	Total	45.00	20.31	24.69	

(Source: Records provided by concerned DPOs)

³⁰ Farrukhabad, Ghaziabad, Ghazipur, Kanpur Dehat, Lakhimpur Kheri, Maharajganj and Mau did not furnish the desired information/records.

³¹ Farrukhabad, Ghaziabad, Ghazipur, Kanpur Dehat, Lakhimpur Kheri, Maharajganj, Mau, and Unnao did not furnish the desired information/records.

Appendix 2.1.42

Statement showing monitoring of implementation of child rights by Basic Shiksha Parishad

(Reference: Paragraph no. 2.1.10)

Monitoring Agency	Audit Observation
Rule 25(2) of RTE Rules provides that any complaint regarding child rights shall be made to Village/Ward Education Committees through its Member Secretary (head teacher), appeal of which shall be made to block level ABSAs/Nagar Shiksha Adhikaris ³² . Monitoring of these complaints was to be done by UP Basic Shiksha Parishad through online monitoring mechanism.	Audit of 428 test-checked schools revealed that complaint register was not maintained by teachers in 359 schools. In other schools where it was maintained, no complaint was found registered ³³ . No evidence regarding setting up of online monitoring mechanism for these complaints in Basic Shiksha Parishad was made available to Audit.

(Source: Audit of test checked schools; Secretary, Basic Shiksha Parishad)

Appendix 2.1.43

Statement showing actual number of meeting of Executive Committee of Education for all Project board held during 2010-16 against the prescribed norm of holding meetings, as per paragraph 7.11 of SSA framework

(Reference: Paragraph no. 2.1.10)

Year	Number of meeting to be held as per norms	Number of meetings actually held	Short-falls	Percentage of Short falls
2010-11	4	2	2	50
2011-12	4	1	3	75
2012-13	4	3	1	25
2013-14	4	2	2	50
2014-15	4	2	2	50
2015-16	4	01	3	75
Total	24	11	13	54

(Source: Information provided by concerned SPO)

³² Second appeal in respect of rural and urban areas shall be made to Zila Panchayat/Municipality respectively.

³³ Except in case of aided MS Lari Islamia JHS, Maharajganj (27 complaints), Seth Pooranmal Jaipuria JHS, Anand Nagar, Maharajganj (30 complaints) and Sri Chandra Gupta Maurya IC, Madhupur, Sonbhadra (60 complaints).

Appendix 2.1.44

Important decisions not implemented by the Executive Committee

(Reference: Paragraph no. 2.1.10)

23.3.2011	Agenda Point 3: Construction of remaining KGBVs should be completed on priority basis. The committee was informed that construction work of few KGBVs was allotted to UPCD at the level of District Magistrates, contrary to the instructions issued for getting the construction done from a Government Agency. The Construction work of 64 KGBVs were allotted to UPCD at the level of Districts Magistrates of various districts, against which 19 Buildings have been completed and 45 buildings are incomplete. Instructions were issued to the Agency for completion of buildings but to no avail. In this regard committee directed to clarify district-wise position of work allotted to UPCD, upto date progress and present condition of construction work; and submit files for taking action against the agency and the officers responsible.
01.11.12	Agenda Point 13: Committee decided for submission of a well-thought proposal for consideration of the Government for getting the works of incomplete KGBVs done from UPCD. Appropriate decision would be taken after scrutiny of proposal on file.
05.03.13	Agenda Point 2: Factual information regarding incomplete KGBVs left by UPCD may be collected from districts and decision be obtained from Government by sending proposal on case to case basis.
	Agenda Point 4: As per information received from districts, there was a requirement of 2010 PSs and 288 UPS. On the basis of availability of land, 1497 PS and 237 UPS were proposed in AWP&B. The committee desired that actual requirement of new schools be assessed in those habitations which fulfill criteria but new schools were not proposed due to land not being available. Proposal may be sent to Government after considering alternative arrangement of land for establishment of schools in those habitation
23.8.2013	Agenda Point 2: Regarding construction of KGBVs left incomplete by UPCD, honourable committee decided that it is necessary to complete the construction of 41 incomplete KGBVs. Therefore, a proposal for requirement of funds should be submitted to Finance Department through Education Department. Apart from this, it also directed that a report be submitted to government stating circumstances under which construction of KGBV's was allotted to UPCD and submit a report on officers responsible for nomination of the agency.
01.03.2014	Agenda Point 5: Proposed agenda regarding Audit Report was discussed before hon'ble committee. It was observed in Audit Report that in Pratapgarh a withdrawal of ₹. 69816358.50 was made; in respect of which neither any record was put- up at district level nor any clarification is being given. On being pointed out by the committee, it was submitted that such serious irregularities, in annual audit report, were not found in any other districts except Pratapgarh. After discussion in this regard, committee issued following directives: 1. Details of action taken so far regarding financial irregularities mentioned in audit report of district Pratapgarh, should be put up by Secretary, Basic Education on file within 3 days.
	Agenda point 8: Grievances Redressal System - On agenda proposal regarding development of Web-based helpline, Committee opined that more technical advice and consultation is required in this regard. Committee unanimously authorised the Chief Secretary, GoUP/Chairman, Executive Committee for taking decision in this regard and directed to submit file to Chief Secretary, GoUP accordingly

(Source: Minutes of the meetings of Executive Committee of UPEFAPB)

Appendix 2.1.45

Statement showing research studies undertaken during 2010-15 but not put up to Executive Committee

(Reference: Paragraph no. 2.1.10)

(₹ in lakh)

Sl. No.	Title of Research/Study Reports	Sanctioned Budget
2011-12		
1	Impact study of workbooks on learning achievement of children for class 3-5	5.85
2	A study of the role and functions of Assistant Basic Shiksha Adhikari and their effectiveness in monitoring and supervision	6.86
3	Documentation of best practices of District Institutes of Education and Trainings	7.45
4	An evaluation study of Reading and Numeric Skill Development Programme for Children of Class 1 and 2 under the Learning Enhancement Programme	5.36
5	An Impact study of Life Skill Camps organized for adolescent girls of UPSs	6.00
6	A survey of learning achievement of children in Maths in class IV and Science in Class VII in Parishadiya Schools of Uttar Pradesh	7.18
7	Comparative study of the school facilities and educational environment in primary and Upper primary Government and Private Schools	13.50
2012-13		
1	Evaluation of uniform distribution scheme and its impact on enrollment and attendance of students.	8.14
2	A study on drop-out rate of school children using data from schools records, HHS of concerned habitation and EMIS data at Primary and Upper Primary Level.	9.95
3	Study of the status of Computer Aided Learning in Upper Primary Schools	8.50
2013-14		
1	A study of enrollment trends and affecting factor in Government and Private schools.	6.00
2	A study on enrollment, transition, retention, and dropout rate of minority girls and boys in Minority Concentrated Districts	7.70
3	Sample Study of House Hold Survey 2012-13.	6.98
2014-15		
1	A study of the Effectiveness of CCE launched in districts Raibareilly, Balrampur, Ghaziabad, Lalitpur and Varanasi and suggestions for improvements.	7.30
2	A study on evaluation of Pre integration camp, Mainstreaming & Retention of CWSN in Primary/Upper Primary Schools	3.62
3	Evaluation of KGBVs, run by Government and other organisations covering Administrative, Security Hygiene and Academic aspect	9.90
4	Evaluation of functioning of school Management Committee.	5.85
5	A study on dropout rate of children of class 1-8: Gender wise, caste wise, minority, class wise, Primary, Upper Primary and Elementary level and reasons thereof.	8.25
Total		134.39

(Source: Information provided by SPO)

Appendix 2.1.46
**Statement showing monitoring by Block and lower level
functionaries against the prescribed norms**

(Reference: Paragraph no. 2.1.10)

Year	Total No of schools of education department in state	No of schools never inspected by ABRC		No of schools never inspected by NPRC		No of schools Never inspected by ABRC or NPRC	
		No.	Per cent	No.	Per cent	No.	Per cent
2010-11	1,47,521	88,706	60	72,492	49	68,836	47
2011-12	1,50,766	1,00,326	67	84,382	56	81,052	54
2012-13	1,58,402	57,131	36	48,508	31	40,917	26
2013-14	1,58,013	38,437	24	30,022	19	23,019	14
2014-15	1,61,038	44,996	28	33,765	21	27,789	17
2015-16	1,61,562	71,549	44	60,091	37	55,837	35

(Source: District information system for education)

Appendix 2.2.1
Head-wise funds approved by GoI, funds allotted
and expenditure incurred by GoUP
(Reference Paragraph no. 2.2.8.3)

(₹ In lakh)

Sl. No.	Head	Funds approved by GoI	Funds allocated by GoUP (2013-16)	Total expenditure
1	Data Center Infrastructure	125.00	0.00	0
2	State HQ, Food and Civil Supply Office (F& CS)	6.23	3.74	3.74
3	District F&CS offices	272.63	384.85	268.55
4	Block F& CS offices	1,622.20	1,689.81	1,135.40
5	State Godowns	1,096.55	863.00	510.43
6	Project Management Unit	136.80	45.60	45.60
7	Training	116.50	124.55	17.29
8	Technical Support in F & CS Offices	2,500.50	1,514.47	1,316.45
9	Application support	114.00	49.18	49.18
10	STQC Audit	10.00	0.98	0.98
11	SMS cost	78.67	0.00	0.00
12	Awareness cost	187.17	42.20	9.72
13	Toll free call center	57.25	62.68	40.21
14	Portal	20.00	0.00	0.00
15	Assessment	6.00	0.00	0.00
16	Digitisation	3,528.85	4,105.35	1,764.72
17	Annual Maintenance Contract	974.52	752.57	237.77
Total		10,852.87	9,638.98	5,400.04
		Say ₹ 108.53 Crore	Say ₹ 96.39 Crore	Say ₹ 54 Crore

(Source: Information provided by the State Government).

Appendix 2.2.2
District-wise funds allotted and expenditure incurred
with percentage expenditure
(Reference Paragraph no. 2.2.8.3)

(₹ in lakh)

Sl. No.	Name of district	Total allotment	Total expenditure	Percentage expenditure
Percentage expenditure less than 60 per cent				
1	Shahjahanpur	139.46	28.88	20.71
2	Kanpur Nagar	209.02	70.75	33.85
3	Banda	94.64	34.41	36.36
4	Mau	125.62	49.65	39.52
5	Gorakhpur	147.48	58.68	39.79
6	Allahabad	326.70	130.64	39.99
7	Kanpur Dehat	120.83	49.96	41.35
8	Ghazipur	228.44	95.22	41.68
9	Auriya	86.20	37.59	43.61
10	Shamli	69.30	31.25	45.09
11	Raibareli	202.58	91.40	45.12
12	Kasganj	90.50	41.11	45.43
13	Etawah	91.60	41.75	45.58
14	Sitapur	250.93	114.64	45.69
15	Chandoli	132.83	60.85	45.81
16	Balrampur	103.75	47.86	46.13
17	Faizabad	141.93	66.61	46.93
18	Jaunpur	266.28	126.56	47.53
19	Bahraich	137.68	66.67	48.42
20	Saharanpur	208.17	101.42	48.72
21	Azamgarh	201.07	99.68	49.57
22	Sambhal	77.35	38.54	49.83
23	Lucknow	144.77	73.58	50.83
24	Varanasi	180.48	91.89	50.91
25	Mahraj Ganj	136.50	69.55	50.95
26	Sultanpur	154.81	78.94	50.99
27	Devaria	177.67	90.94	51.18
28	Baghpat	82.20	42.44	51.63
29	Rampur	106.16	54.90	51.71
30	Badaun	179.97	93.32	51.85
31	Firozabad	140.63	75.55	53.72
32	Kaushambi	106.10	57.15	53.86
33	Hathras	89.32	48.28	54.05
34	Mathura	120.19	65.53	54.52
35	Pilibhit	112.61	61.39	54.52
36	Sonbhadra	98.85	54.11	54.74
37	Gonda	156.81	88.92	56.71
38	Unnao	152.71	86.80	56.84
39	Lalitpur	61.98	35.69	57.58

40	Bijnore	151.72	88.69	58.46
41	Ghaziabad	92.95	54.86	59.02
42	Farrukhabad	70.20	41.46	59.06
43	Moradabad	100.32	59.35	59.16
44	Chitrakoot	47.28	28.17	59.58
45	Agra	192.50	114.74	59.61
46	Barabanki	151.81	90.83	59.83
47	Bhadohi	80.21	48.00	59.84
Total		6,541.11	3,179.20	48.60

Fund surrendered under Digitisation Head during 2013-16

Sl. No	District	Allotment during 2013-16	Expenditure during 2013-16	Savings	Percentage expenditure
1	Bahraich	59.44	5.10	54.34	8.58
2	Azamgarh	82.79	9.15	73.64	11.05
3	Shahjahanpur	58.12	7.14	50.98	12.28
4	Mau	47.53	7.00	40.53	14.73
5	Kanpur Nagar	103.21	21.00	82.21	20.35
6	Shamli	39.13	8.13	31.00	20.78
7	Kanpur Dehat	29.54	6.17	23.37	20.89
8	Auriya	25.39	5.50	19.89	21.66
9	Gorakhpur	70.65	15.53	55.12	21.98
10	Banda	32.54	8.00	24.54	24.59
11	Sonbhadra	47.00	12.33	34.67	26.23
12	Ghazipur	105.19	28.36	76.83	26.96
13	Farrukhabad	32.61	9.50	23.11	29.13
14	Sitapur	95.13	28.46	66.67	29.92
15	Barabanki	68.57	20.84	47.73	30.39
16	Khiri	89.95	27.84	62.11	30.95
17	Fatehpur	49.55	15.34	34.21	30.96
18	Kasganj	31.76	9.93	21.83	31.27
19	Ballia	68.20	21.81	46.39	31.98
20	Gonda	70.94	22.90	48.04	32.28
21	Lalitpur	24.66	8.09	16.57	32.81
22	Jaunpur	95.25	31.87	63.38	33.46
23	Faizabad	51.32	17.45	33.87	34.00
24	Allahabad	191.32	66.80	124.52	34.92
25	Sidharth Nagar	31.14	11.00	20.14	35.32
26	Balrampur	35.71	12.64	23.07	35.40
27	Kannauj	23.52	8.50	15.02	36.14
28	Rampur	65.93	24.07	41.86	36.51
29	Hathras	36.28	13.54	22.74	37.32
30	Etawah	29.21	10.94	18.27	37.45
31	Bhadohi	45.22	17.03	28.19	37.66
32	Agra	106.74	40.97	65.77	38.38
33	Sultanpur	38.62	14.97	23.65	38.76
34	Aligarh	76.88	30.80	46.08	40.06
35	Mainpuri	43.04	17.28	25.76	40.15

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36	Kushi Nagar	64.60	25.98	38.62	40.22
37	Jhansi	50.40	20.35	30.05	40.37
38	Mirzapur	47.18	19.07	28.11	40.42
39	Chandoli	53.58	22.31	31.27	41.64
40	Chitrkoot	21.49	8.96	12.53	41.69
41	Mathura	73.89	31.02	42.87	41.99
42	Devaria	58.74	25.71	33.03	43.77
43	Bijnore	86.39	38.41	47.98	44.46
44	Firozabad	57.87	26.13	31.74	45.15
45	Hapur	30.49	13.79	16.70	45.23
46	Varanasi	106.08	49.03	57.05	46.22
47	Bulandshahar	78.92	36.54	42.38	46.30
48	Mahraj Ganj	36.70	17.27	19.43	47.06
49	Baghpat	27.81	13.13	14.68	47.21
50	Ghaziabad	63.69	30.39	33.30	47.72
51	Saharanpur	97.08	47.96	49.12	49.40
52	Shravasti	18.17	9.06	9.11	49.86
53	Lucknow	72.24	36.15	36.09	50.04
54	Bareilly	93.41	47.19	46.22	50.52
55	Pilibhit	47.81	25.13	22.68	52.56
56	Badaun	64.09	33.78	30.31	52.71
57	Moradabad	46.07	24.62	21.45	53.44
58	Ambedkar Nagar	38.82	21.74	17.08	56.00
59	Raibareilly	59.32	33.66	25.66	56.74
60	Kaushambi	38.63	22.32	16.31	57.78
61	Mahoba	19.93	11.81	8.12	59.26
62	Amethi	36.30	23.19	13.11	63.89
63	GB Nagar	28.03	18.28	9.75	65.22
64	Sant Kabir Nagar	28.12	19.33	8.79	68.74
65	Meerut	56.25	42.35	13.90	75.29
66	Basti	43.12	32.90	10.22	76.30
67	Jalaun/Orai	29.29	23.24	6.05	79.34
68	Hardoi	47.67	38.78	8.89	81.35
69	Amroha	26.01	21.63	4.38	83.16
70	Etah	20.14	16.78	3.36	83.32
71	Sambhal	34.36	29.90	4.46	87.02
72	Muzaffar Nagar	52.38	45.61	6.77	87.08
73	Unnao	66.85	62.05	4.80	92.82
74	Hamirpur	13.82	13.91	-0.09	100.65
75	Pratapgarh	67.53	69.26	-1.73	102.56
Total		4,105.35	1,764.70	2,340.65	42.99

(Source: Information provided by the State Government)

Appendix 2.2.3

Excess procurement of hardware/software items

(Reference Paragraph no. 2.2.8.7)

SL. No.	District	Item	Required Quantity as per guidelines	Procured Quantity	Excess Quantity	Unit rate with taxes (in ₹)	Excess Payment (in ₹)
1	Allahabad	Laptop	22	24	02	46926.08	93,852.16
		Laser/Dotmatrix Printer	45	47	02	13300.00	26,600.00
2	Mirzapur	Laser/Dotmatrix Printer	27	39	12	15200.00	1,82,400.00
3	Kanpur Nagar	Laser/Dotmatrix Printer	26	36	10	11979.00	1,19,790.00
4	Lucknow	Desktop	21	26	05	30082.50	1,50,412.50
		Laptop	10	11	01	35175.00	35,175.00
		Laser/Dotmatrix Printer	21	33	12	8925.00	1,07,100.00
		MS Office License	31	37	06	11340.00	68,040.00
Total							7,83,369.66
Say ₹ 7.83 Lakh							

(Source: Information provided by DSO in the test checked districts)

Appendix 2.2.4

Delay in distribution of hardware items in Districts, Blocks and Godowns

(Reference Paragraph no. 2.2.8.7)

Sl. No.	District	Supply order Date	Supply Date	Delay in supply (in days)	Date of Distribution to Block	Delay up to (in months)	Date of Distribution to Godown	Delay up to (in months)
1	Allahabad	21/03/15	21/03/15	-	17/12/15 to 06/01/16	9	04/01/16 to 07/05/16	13
2	Varanasi	17/03/15	14/05/15 to 18/05/15	50	04/06/15 to 22/04/16	11	16/05/15	
3	Mirzapur	20/03/15	30/03/15	-	14/07/15 to 28/07/15	3	10/02/16	10
4	Kanpur Nagar	25/03/15	04/06/15 to 10/07/15	95	Not Distributed		Not Distributed	
5	Aligarh	11/03/15	17/04/15 to 02/06/15	71	Not Distributed		Not Distributed	
6	Chitrakoot	30/03/15	16/04/15	7	Not Distributed		Not Distributed	
7	Ghaziabad	11/03/15	17/04/15 to 06/05/15	45	08/06/15 to 18/08/15	3	09/06/15	1
8	Lucknow	26/03/15	01/09/15 and 14/10/15	188	Not Distributed		Not Distributed	

(Source: Information provided by DSO in the test checked districts)

Appendix 2.2.5

Difference in allocation from district level against State allocation in test-checked districts

(Reference: Paragraph no. 2.2.9.3)

(In MT)

S. No.	Name of district	Allocated Quantity of Food grain at state level	Allocation from district level	Difference
Short allocation				
1	Mirzapur	10,108.17	10,068.79	39.38
2	Lucknow	14,016.94	13,907.28	109.66
3	Varanasi	14,081.55	13,885.11	196.44
4	Aligarh	13,729.05	13,708.16	20.89
5	Allahabad	22,787.54	22,673.76	113.78
6	Kanpur City	16,706.05	16,611.29	94.76
Total		91,429.30	90,854.39	574.91
Excess allocation				
7	Chitrakoot	4,393.24	4,396.31	-3.07
8	Ghaziabad	9,641.21	9,641.27	-0.06
Total		14,034.45	14,037.58	-3.13

(Source: Information provided by the State Government and retrieved from the web-portal)

Appendix 2.2.6

Mobile SMS alerts to beneficiaries

(Reference Paragraph no. 2.2.9.4)

(In numbers)

Sl. No.	District	Month of report	Request received for SMS alert	Mobile numbers captured in application software	SMS alerts sent
1	Allahabad	09/2015	1,52,599	44,709	6,051
2	Chitrakoot	02/2016	11,545	8,166	3,020
3	Ghaziabad	02/2016	1,99,680	58,332	58,332
4	Kanpur city	02/2016	3,13,911	1,61,967	0
5	Lucknow	02/2016	56,204	53,389	0
6	Varanasi	01/2016	5,07,049	28,882	13,903
Total			12,40,988 Say 12.41 lakh	3,55,445 Say 3.55 lakh	81,306 Say 0.81 lakh

(Source: Information provided by DSO in the test checked districts)

Appendix 3.1.1

Complete Information in Form-B not submitted in sampled districts

(Reference: Paragraph no. 3.1.3.2)

Sl. No.	Name FBOs	License No.	Date of Issue
1.	Shree Rice Mills, Saihari, Lakhimpur Kheri	12714068000219	10.08.14
2.	Smt. Seema Gupta, Lakhimpur Kheri	12714068000183	29.07.14
3.	Kawal Sahani, Lakhimpur Kheri	12714068000116	06.07.14
4.	Anubhav Gupta, Lakhimpur Kheri	12714068000065	18.06.14
5.	M/S Shiv Parwati, Lakhimpur Kheri	12714068000285	26.09.14
6.	Naresh Kumar sahani, Lakhimpur Kheri	12714068000274	19.09.14
7.	M/S Ashok Sugar Mill, Lakhimpur Kheri	12714068000288	26.09.14
8.	Smt. Sarika Gupta, Lakhimpur Kheri	12714068000144	18.07.14
9.	Pawan Kumar Jaiswal, Hathras	12714057000063	31.03.14
10.	Shyam Gattani, Hathras	12714057000076	31.03.14
11.	Radhe Shyam Talwar, Hathras	12714057000077	31.03.14
12.	Pawan Kumar Talwar, Hathras	12714057000069	31.03.14
13.	Girraj Kishor, Hathras	12714057000068	31.03.14
14.	Pramod Kumar, Hathras	12714057000066	31.03.14
15.	Vishnu Swaroop, Hathras	12714057000067	31.03.14
16.	Gaurav Bansal, Hathras	12714057000068	31.03.14
17.	Adityendra Kumar, Hathras	12714057000001	25.01.14
18.	Satya Shiv sai Food Pvt. Ltd., Hathras	12714057000022	03.02.14

(Source: DOs Lakhimpur Kheri and Hathras)

Appendix 3.1.2

No. of failed samples in unregistered FBOs out of test-checked cases in sampled districts

(Reference: Paragraph no. 3.1.3.4)

Sl. No.	Name of District	No. of unregistered FBOs	Failed sample from unregistered FBOs
1	Budaun	70	25
2	Chandauli	08	08
3	G.B.Nagar	74	69
4	Hathras	70	68
5	Lakhimpur Kheri	113	113
Total		335	283

(Source: DOs of the concerned districts)

Appendix 3.1.3

License for molasses by central licensee sugar units

(Reference: Paragraph no. 3.1.3.4)

Sl. No.	Name of FBOs (sugar units)	License No.	Date of Issue
1	DSCL SUGAR Ajbapur, Lakhimpur Kheri	10012051000184	01.04.2012
2	Kumbhi Chini Mills, Lakhimpur Kheri	10012051000216	01.04.2012
3	Bajaj Hindustan Sugar Ltd, Lakhimpur Kheri	10012051000189	01.04.2012
4	Bajaj Hindustan Sugar Ltd, Palia kala Lakhimpur Kheri	10012051000190	01.04.2012
5	Saksaria Biswan, Sitapur	10012051000346	01.04.2012
6	Dalmia Chini Mill and Distillery, Jawaharpur, Ramkot, Sitapur	10014051001219	01.04.2012
7	Oudh Sugar Mill Ltd, Hargaon, Sitapur	10012051000301	01.04.2012
8	Dalmia Chini Mill, Ramgarh, Sitapur	10012051001258	01.04.2012
9	Dalmia Chini Mill, Jawaharpur, Sitapur	10012051000261	01.04.2012

(Source: DOs of the concerned districts)

Appendix 3.1.4

Year-wise Periodical Inspection of Registration and licenses issued in Test-Checked 10 Districts

(Reference: Paragraph no. 3.1.4.1)

Year	Registration				License			
	Total no. of registered FBOs	No. of registered FBOs inspected during the year	No. of registered FBOs not inspected during the year	Percentage (not inspected)	Total no. of Licensed FBOs	No. of Licensed FBOs inspected during the year	No. of Licensed FBOs not inspected during the year	Percentage (not inspected)
2011-12	00	00	00	00	94	60	34	36
2012-13	11,118	4,584	6,534	59	4,126	2,854	1,272	31
2013-14	27,190	13,986	13,204	49	3,037	1,853	1,184	39
2014-15	32,092	6,050	26,042	81	4,481	2,148	2,333	52
2015-16	27,249	8,418	18,831	69	5,651	3,067	2,584	46
Total	97,649	33,038	64,611	66	17,389	9,982	7,407	43

(Source: DOs of the concerned districts)

Year wise Registration issued and periodical inspection carried out in ten selected districts

Year	Name of Districts	Total number of Registered FBOs	Number of such FBOs Inspected during the year	Total number of FBOs which were NOT inspected during the year
2012-13	Budaun	1,068	446	622
2012-13	Chandauli	164	164	0
2012-13	GB Nagar	427	252	175
2012-13	Raebareli	1,532	845	687
2012-13	Varanasi	2,105	210	1,895
2012-13	Agra	1,295	0	1,295
2012-13	Hathras	1,060	1,060	0
2012-13	Kanpur Nagar	0	0	0
2012-13	Lakhimpur Kheri	1,812	1,607	205
2012-13	Sitapur	1,655	0	1,655
Total		11,118	4,584	6,534
2013-14	Budaun	1,495	507	988
2013-14	Chandauli	3,011	3,011	0
2013-14	GB Nagar	738	362	376
2013-14	Raebareli	1,391	942	449
2013-14	Varanasi	494	48	446
2013-14	Agra	6,075	6,075	0
2013-14	Hathras	1,497	1,497	0
2013-14	Kanpur Nagar	8,941	0	8,941
2013-14	Lakhimpur Kheri	1,644	1,544	100
2013-14	Sitapur	1,904	0	1,904
Total		27,190	13,986	13,204

2014-15	Budaun	1,693	618	1075
2014-15	Chandauli	1,409	1,409	0
2014-15	GB Nagar	2,262	1,174	1,088
2014-15	Raebareli	175	105	70
2014-15	Varanasi	204	25	179
2014-15	Agra	4,202	190	4,012
2014-15	Hathras	1,573	1,573	0
2014-15	Kanpur Nagar	15,277	0	15,277
2014-15	Lakhimpur Kheri	2,660	956	1,704
2014-15	Sitapur	2,637	0	2,637
Total		32,092	6,050	26,042
2015-16	Budaun	1,367	585	782
2015-16	Chandauli	1,143	1,143	0
2015-16	GB Nagar	2,537	1,241	1,296
2015-16	Raebareli	2,440	2,398	42
2015-16	Varanasi	4,186	425	3,761
2015-16	Agra	2,915	102	2,813
2015-16	Hathras	1,349	1,349	0
2015-16	Kanpur Nagar	6,083	0	6,083
2015-16	Lakhimpur Kheri	2,949	1,175	1,774
2015-16	Sitapur	2,280	0	2,280
Total		27,249	8,418	18,831

Year wise License issued and periodical inspection carried out in ten selected districts

Year	Name of Districts			
2011-12	Budaun	0	0	0
2011-12	Chandauli	21	0	21
2011-12	GB Nagar	11	11	0
2011-12	Raebareli	55	49	6
2011-12	Varanasi	7	0	7
2011-12	Agra	0	0	0
2011-12	Hathras	0	0	0
2011-12	Kanpur Nagar	0	0	0
2011-12	Lakhimpur Kheri	0	0	0
2011-12	Sitapur	0	0	0
Total		94	60	34
2012-13	Budaun	230	117	113
2012-13	Chandauli	134	0	134
2012-13	GB Nagar	488	488	0
2012-13	Raebareli	47	38	9
2012-13	Varanasi	1,073	510	563
2012-13	Agra	1,303	1,303	0
2012-13	Hathras	336	336	0
2012-13	Kanpur Nagar	0	0	0

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2012-13	Lakhimpur Kheri	204	62	142
2012-13	Sitapur	311	0	311
Total		4,126	2,854	1,272
2013-14	Budaun	134	76	58
2013-14	Chandauli	69	0	69
2013-14	GB Nagar	625	625	0
2013-14	Raebareli	45	36	9
2013-14	Varanasi	307	157	150
2013-14	Agra	315	315	0
2013-14	Hathras	401	401	0
2013-14	Kanpur Nagar	534	0	534
2013-14	Lakhimpur Kheri	293	243	50
2013-14	Sitapur	314	0	314
Total		3,037	1,853	1,184
2014-15	Budaun	71	45	26
2014-15	Chandauli	99	0	99
2014-15	GB Nagar	1,056	567	489
2014-15	Raebareli	152	144	8
2014-15	Varanasi	108	55	53
2014-15	Agra	1,386	915	471
2014-15	Hathras	343	343	0
2014-15	Kanpur Nagar	604	0	604
2014-15	Lakhimpur Kheri	318	78	240
2014-15	Sitapur	344	1	343
Total		4,481	2,148	2,333
2015-16	Budaun	82	47	35
2015-16	Chandauli	96	15	81
2015-16	GB Nagar	1,192	1,192	0
2015-16	Raebareli	128	119	9
2015-16	Varanasi	939	470	469
2015-16	Agra	1,224	876	348
2015-16	Hathras	234	234	0
2015-16	Kanpur Nagar	1,008	0	1,008
2015-16	Lakhimpur Kheri	384	106	278
2015-16	Sitapur	364	8	356
Total		5,651	3,067	2,584

Appendix 3.1.5

Details of District wise samples collected for analysis

(Reference: Paragraph no. 3.1.4.2)

Sl. No.	District	Year-2012-13		Year-2013-14		Year-2014-15		Year-2015-16		Total 4 years	
		Total FBOs (R+L)	Samples collected	Total FBOs (R+L)	Samples collected	Total FBOs (R+L)	Samples collected	Total FBOs (R+L)	Samples collected	Total FBOs (R+L)	Samples collected
1.	Agra	2,598	188	6,390	261	5,588	294	4,139	499	18,715	1,242
2.	Budaun	1,298	196	1,629	186	1,764	197	1,449	223	6,140	802
3.	Chandauli	298	79	3,080	61	1,508	113	1,239	124	6,146	377
4.	GB Nagar	915	255	1,363	208	3,318	367	3,729	420	9,336	1,250
5.	Hathras	1,396	111	1,898	107	1,916	167	1,583	199	6,793	584
6.	Kanpur Nagar	0	221	9,475	169	15,881	406	7,091	508	32,447	1,304
7.	Lakhimpur Kheri	2,016	146	1,937	178	2,978	170	3,333	208	10,264	702
8.	Raebareli	1,579	131	1,436	166	327	164	2,568	205	5,965	666
9.	Sitapur	1,966	163	2,218	202	2,981	157	2,644	144	9,809	666
10.	Varanasi	3,178	116	801	191	312	217	5,125	302	9,423	826
Total		15,244	1,606	30,227	1,729	36,573	2,252	32,900	2,832	1,15,038	8,419
In per cent			13%		6%		6%		9%		7%

(Source: DOs of the concerned districts) (R: Registered, L: License)

Appendix 3.1.6

Details of short charging of fee

(Reference: Paragraph no. 3.1.4.4)

(in ₹)

Name of Lab.	Sample of Railway			Sample of others			Total Short. charged (4+7)-(3+6)
	No. of samples	Amount Charged @ ₹ 100/sample	Amount chargeable @ ₹ 1000/sample	No. of samples	Amount Charged @ ₹ 200/sample	Amount chargeable @ ₹ 1000/sample	
1	2	3	4	5	6	7	8
Lucknow	272	27,200	2,72,000	1,006	2,01,200	10,06,000	10,49,600
Agra	Nil	Nil	Nil	64	12,800	64,000	51,200
Varanasi	28	2800	28,000	69	13,800	69,000	80,400
Total	300	30,000	3,00,000	1,139	2,27,800	11,39,000	11,81,200
₹ in lakh							11.81
₹ in crore							0.12

(Source: State laboratories)

Appendix 3.1.7

Details of shortages of equipment in test-checked State laboratories

(Reference: Paragraph no. 3.1.5.3)

Name of State laboratory	Sl. No.	Name of equipment	Name of State laboratory	Sl. No.	Name of equipment
Varanasi	1	Digital centrifuge machine	Lucknow	1	Digital centrifuge machine
	2	UV Spectrophotometer		2	UV Spectrophotometer
	3	Atomic Absorption Spectrophotometer		3	Atomic Absorption Spectrophotometer
	4	High Performance Liquid Chromatograph		4	High Performance Liquid Chromatograph
	5	Gas Liquid chromatography		5	Digest Unit Chamber
	6	Ion exchange chromatography		6	Dean Stark Apparatus
	7	Digital BR Machine		7	All microbiological instruments
	8	Water purifying system		8	Moisture balance
	9	Moisture balance		9	Digital hygrometer
	10	Deep freezer		10	Flash point apparatus
	11	Digital hygrometer		11	Auto titrator
				12	Conductivity meter
				13	Multiple digestion and titrator unit
				14	Ultra sonicator
				15	Digital microscope with computer
				16	Melting point apparatus
				17	Electronic balance
				18	Rotatory shaker
				19	Refrigerator
				20	Lab grinding mill
				21	HPTLC
				22	ICPMS
				23	GCMS
				24	TDS METER
				25	Apparatus for volatile oil
				26	Multiple sochlet appratus

(Source: Food Analyst laboratory Varanasi and Lucknow)

Appendix 3.1.8

Cases Sent to Referral Lab Kolkata but report not received

(Reference: Paragraph no. 3.1.6.3)

Sl. No.	Code No.	Name of FBOs	Sample Material	Date of dispatch to RFL	Report not received up to 27.06.2016
Agra					
1	Ag-0353/FSSAI-2015	Suresh Chand Bansal, Bansal traders	Mirch Powder	23.01.2016	156
2	Ag-164/FSSAI-2015-16	Jitendra kumar, Devyani international ltd.	Hot & Spicy Marinade	07.01.2016	172
3	Ag-0415/FSSAI-2015/RC-45	Mukesh Chand Kushwaha	Kati MoongFali	01.02.2016	147
4	Ag-218/FSSAI-2015-16/MFSO-20	Manoj Agarwal	Vegetable Sauce (Anmol Brand)	29.02.2016	119
5	Ag-212/FSSAI-2015-16/MFSO-19	Manoj Agarwal	Vegetable Sauce	29.02.2016	119
6	AG-313/FSSAI-2015-16/MS-37	Bhimsen	Mixed Milk	08.03.2016	111
7	Central Mobile Squad/AG-380/FSSAI-2015-16	Sanjeev Mishra, Sunrise food pvt. Ltd	Sunrise Subzi Masala	08.03.2016	111
8	AG-307/FSSAI-2015-16/MFSO-29	Love kumar	Komal Lolypop	14.03.2016	105
9	AG-427/FSSAI-2015-16/MS-46	Nitin Agarwal	Dhania Powder	22.03.2016	97

(Source: DO of Agra)

Appendix 3.1.9
Details of Goods Seized by DOs
(Reference: Paragraph no. 3.1.7.1)

Sl. No.	Name of District	Year of Seizure	Name of product	Quantity of Food Item	Cost of Food Item
1	Hathras	2013-14	Glucose Powder	275kg.	8,250
2			S.M.P	100kg.	17,500
3			Chemical Oil	665Litre	1,13,000
4			Detergent Powder	24kg.	1,440
5			Poster Colour	15kg.	900
6			Palm Carnell Oil	1000kg.	60,000
7			Palm Oil	60kg.	3,600
8			W.P.P	1440kg.	2,52,000
9			S.M.P	2725kg.	15,26,875
10			Glucose Powder	32250kg.	9,67,500
11			Chemical Oil	1800Litre	3,60,000
12		2014-15	Vegetable Sauce	540Lt.	6,450
13			Soya Sauce	200kg.	3,600
14			Continental Sauce	18Peti	5,400
15			Starch	200kg.	5,400
16			Soya Sauce	85kg.	2,125
17			Vegetable Sauce	87kg.	1,218
18			Glucose Powder	7500kg.	13,12,500
19			Meg Starch	7500kg.	3,75,000
20			Liquid Glucose	23100kg.	9,24,000
21			S.M.P	165kg.	28,775
22	Lakhimpur	2014-15	Mustard Oil	60 Tin	90,000
Total					60,65,533
(₹ in Lakh)					60.66

(Source: DOs, Hathras & Lakhimpur Kheri)

Appendix 3.1.10
Advisory Committee Meeting in selected districts
(Reference: Paragraph no. 3.1.8.1)

Sl. No.	Name of District	Whether committee was framed	No. of meeting held	Date of meetings
1	Agra	Yes	Nil	Meeting not held
2	Budaun	Yes	Nil	Meeting not held
3	Kanpur Nagar	No	Not applicable	Not applicable
4	Sitapur	No	Not applicable	Not applicable
5	GB Nagar	Yes	Nil	Meeting not held
6	Lakhimpur kheri	Yes	Nil	Meeting not held
7	Raebareli	Yes	01	16.01.2014
8	Hathras	No	Not applicable	Not applicable
9	Chandauli	Yes	Nil	Meeting not held
10	Varanasi	Yes	10	04.05.2011, 11.11.2011, 13.03.2012, 17.07.2012, 15.11.2012, 16.05.2013, 20.10.2013, 20.04.2014, 12.10.2014, 29.02.2015

(Source: Commissioner Office and DOs of selected districts)

Appendix 3.2.1

Details showing releases of funds without ensuring physical progress

(Reference: Paragraph no. 3.2.2.3)

Sl. No.	Name of work	Subsequent installments (Rs. in crore)	Month of subsequent installments	Month of start of work	Physical progress
1.	Construction of 14 courtrooms at Ballia	5.24	1/2015	11/2014	Nil
2.	Construction of 04 Courtrooms building at Ballia	2.54	1/2015	11/2014	Nil
3.	Construction of 17 Court building at Gautam Budh Nagar	3.60	3/2008 to 3/2009	02/2010	Nil
Total		11.38			

(Source: Information furnished by the sampled districts)

Appendix 3.2.2

Details showing accrued interest not credited in the Government revenue

(Reference: Paragraph no. 3.2.2.3)

(₹ in lakh)

Year	District	Name of work	Executive agency	Name of Bank	Bank Account no.	Interest accrued	Interest deposited	Balance
2012-13	Allahabad	24 court rooms	UPRNN	BOM & IDBI	60113242617 & 1029104000030524	4.37	0	4.37
2013-14	Allahabad	24 court rooms	UPRNN	BOM & IDBI	60113242617 & 1029104000030524	9.29	0	9.29
2014-15	Allahabad	24 court rooms	UPRNN	BOM & IDBI	60113242617 & 1029104000030524	14.48	0	14.48
2015-16	Allahabad	24 court rooms	UPRNN	BOM & IDBI	60113242617 & 1029104000030524	10.11	0	10.11
2013-14	Allahabad	25 court rooms	UPAEVP	UBI	519702010008514	5.41	0	5.41
2014-15	Allahabad	25 court rooms	UPAEVP	UBI	519702010008514	14.37	0	14.37
2015-16	Allahabad	25 court rooms	UPAEVP	UBI	519702010008514	17.89	0	17.89
2014-15	Chitrakoot	Type-V, 10 residence	UPAEVP	Union Bank of India & Allahabad Bank	51970201000997 & 50268196802	2.56	0	2.56
2015-16	Chitrakoot	Type-V, 10 residence	UPAEVP	Union Bank of India & Allahabad Bank	51970201000997 & 50268196802	2.57	0	2.57
2011-12	Lakhimpur-Kheri	Type-IV, 2 residence at Mohammadi	UPRNN	OBC	1592151005144	0.01	0	0.01
2012-13	Lakhimpur-Kheri	Type-IV, 2 residence at Mohammadi	UPRNN	OBC	1592151005144	0.006	0	0.006
2013-14	Lakhimpur-Kheri	Type-IV, 2 residence at Mohammadi	UPRNN	OBC	1592151005144	0.0002	0	0.0002
2011-12	Lakhimpur-Kheri	2 court rooms at Mohammadi	UPRNN	OBC	1592151005151	0.03	0	0.03
2012-13	Lakhimpur-Kheri	2 court rooms at Mohammadi	UPRNN	OBC	1592151005151	0.07	0	0.07
2013-14	Lakhimpur-Kheri	2 court rooms at Mohammadi	UPRNN	OBC	1592151005151	0.005	0	0.005
2012-13	Lakhimpur-Kheri	2 court rooms, allied building and development work at Mohammadi	UPRNN	Allahabad Bank	50103801810	2.45	0	2.45
2013-14	Lakhimpur-Kheri	2 court rooms, allied building and development work at Mohammadi	UPRNN	Allahabad Bank	50103801810	0.66	0	0.66

2014-15	Lakhimpur-Kheri	2 court rooms, allied building and development work at Mohammadi	UPRNN	Allahabad Bank	50206454029	0.4	0	0.4
2015-16	Lakhimpur-Kheri	2 court rooms, allied building and development work at Mohammadi	UPRNN	Allahabad Bank	50206454029	0.39	0	0.39
2013-14	Lakhimpur-Kheri	construction of two blocks of 12 court rooms	C&DS	Indian Overseas Bank	142201000005668	12.88	0	12.88
2014-15	Lakhimpur-Kheri	construction of two blocks of 12 court rooms	C&DS	Indian Overseas Bank	142201000005668	0.63	0	0.63
2015-16	Lakhimpur-Kheri	construction of two blocks of 12 court rooms	C&DS	Indian Overseas Bank	142201000005668	3.09	0	3.09
2013-14	Lakhimpur-Kheri	8 residences for Judicial officer	C&DS	Axis Bank	911010052302044	2.17	0	2.17
2014-15	Lakhimpur-Kheri	8 residences for Judicial officer	C&DS	Axis Bank	911010052302044	0.25	0	0.25
2015-16	Lakhimpur-Kheri	8 residences for Judicial officer	C&DS	Axis Bank	911010052302044	1.35	0	1.35
2015-16	Lakhimpur-Kheri	Rain water harvesting system at District Court	C&DS	IDBI	314104000091048	0.01	0	0.01
2013-14	Jaunpur	Over head tank in civil court premises	C&DS	OBC	3412040000050	0.06	0	0.06
2014-15	Jaunpur	Over head tank in civil Court premises	C&DS	OBC	3412040000050	0.42	0	0.42
2015-16	Jaunpur	Over head tank in civil court premises	C&DS	OBC	3412040000050	0.42	0	0.42
2014-15	Ballia	Family court	C&DS	PNB	504000100249803	4.45	4.45	0
2014-15	Ballia	14 no. court room	C&DS	PNB	504000100249797	20.5	20.5	0
2014-15	Ballia	16 no. type-5 residence	C&DS	PNB	504000100249788	17.64	17.64	0
2011-12	GB Nagar	17 court room	UPRNN	The Nainital Bank Noida	702000000000696	17.99	0	17.99
2012-13	GB Nagar	17 court room	UPRNN	The Nainital Bank Noida	702000000000696	9.61	0	9.61
2013-14	GB Nagar	17 court room	UPRNN	The Nainital Bank Noida	702000000000696	6.42	0	6.42
2014-15	GB Nagar	17 court room	UPRNN	The Nainital Bank Noida	702000000000696	3.04	0	3.04

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2015-16	GB Nagar	17 court room	UPRNN	The Nainital Bank Noida	702000000000696	4.43	0	4.43
2015-16	GB Nagar	Boundary wall in court campus	UPRNN	Kotak Mahindra Bank Ghaziabad	508010272720	1.11	0	1.11
2011-12	GB Nagar	Hawalat Building	UPRNN	The Nainital Bank Noida	702000000001408	0.15	0	0.15
2012-13	GB Nagar	Hawalat Building	UPRNN	The Nainital Bank Noida	702000000001408	0.5	0	0.5
2013-14	GB Nagar	Hawalat Building	UPRNN	The Nainital Bank Noida	702000000001408	0.27	0	0.27
2014-15	GB Nagar	Hawalat Building	UPRNN	The Nainital Bank Noida	702000000001408	0.15	0	0.15
2015-16	GB Nagar	Hawalat Building	UPRNN	The Nainital Bank Noida	702000000001408	0.083	0	0.083
2015-16	GB Nagar	DJ residence	C&DS	HDFC	50100103586000	0.51	0	0.51
2015-16	Baghpat	DJ residence	C&DS	IOB Ghaziabad	45701000022520	2.97	0	2.97
2015-16	GB Nagar	Type-5 16 residence	C&DS	BOI	711610310001374	14.65	0	14.65
2012-13	GB Nagar	Building (other than residential) Jewar	C&DS	Indian Bank Noida	6064151577	3.38	0	3.38
2014-15	GB Nagar	Building (other than residential) Jewar	C&DS	Indian Bank Noida	6064151577	15.14	0	15.14
2015-16	GB Nagar	Building (other than residential) Jewar	C&DS	Indian Bank Noida	6064151577	2.68	0	2.68
2011-12	Baghpat	17 court room	C&DS	Indian Bank Ghaziabad	929166531	0.24	0	0.24
2014-15	Baghpat	17 court room	C&DS	Indian Bank Ghaziabad	929166531	30.1	0	30.1
2015-16	Baghpat	17 court room	C&DS	Indian Bank Ghaziabad	929166531	9.51	0	9.51
2012-13	GB Nagar	Residential building in out laying court Jewar	C&DS	Indian Bank Noida	6064154840	2.02	0	2.02

2014-15	GB Nagar	Residential building in out laying court Jewar	C&DS	Indian Bank Noida	6064154840	6.27	0	6.27
2015-16	GB Nagar	Residential building in out laying court Jewar	C&DS	Indian Bank Noida	6064154840	1.32	0	1.32
2014-15	Baghpat	Transit hostel (G+1st+IIInd)	C&DS	Axis Bank Noida	912010006653098	5.78	0	5.78
2015-16	Baghpat	Transit hostel (G+1st+IIInd)	C&DS	Axis Bank Noida	912010006653098	0.83	0	0.83
2014-15	Baghpat	14 residences for judicial officer	C&DS	PNB Ghaziabad	180000103090549	3.47	0	3.47
2015-16	Baghpat	14 residences for judicial officer	C&DS	PNB Ghaziabad	180000103090549	12.02	0	12.02
2015-16	GB Nagar	Elevation of boundary wall of Civil Judge (Jr. Div.) Court campus in the Outlying Court-Jewar at G.B. Nagar	C&DS	PNB Ghaziabad	2051000100439740	1.42	0	1.42
2015-16	Kasganj	18 court building	UPRNN	OBC Kasganj	15702191026860	7.12	0	7.12
2014-15	Kasganj	Boundary wall in court campus Kasganj	UPRNN	OBC Kasganj	15702191022336	0.48	0	0.48
2015-16	Kasganj	Boundary wall in court campus Kasganj	UPRNN	OBC Kasganj	15702191022336	4.25	0	4.25
2015-16	Chitrakoot	11 (G+2) court room	C&DS	BOB Banda	24920100015250	0.02	0	0.02
Total						316.8742 Say ₹ 3.17 crore	42.59 Say ₹ 0.43 crore	274.2842 Say ₹ 2.74 crore

(Source: Information furnished by the executing agencies)

Appendix 3.2.3

Cost over-run in works in sampled districts

(Reference: Paragraph no. 3.2.3.3)

(₹ in crore)

Sl. No.	Name of agencies	No. of works	Original cost	No. of works in which cost was revised	Original cost of works mentioned in col. 5	Revised cost of works mentioned in col. 5
1	2	3	4	5	6	7
1	Construction & Design Services (C&DS), U P Jal Nigam	14	70.15	08	42.97	70.89
2	Uttar Pradesh Rajkiya Nirman Nigam (UPRNN)	11	55.54	04	20.81	47.64
3	Public Works Department (PWD)	08	2.79	02	0.31	0.77
4	Uttar Pradesh Processing and Construction Co-operative Federation Limited (PACCFED)	02	0.99	02	0.99	2.51
5	Uttar Pradesh Avas Evam Vikas Parishad (UPAEVP)	01	9.96	00	0.00	0.00
Total		36	139.43	16	65.08	121.81

(Source: Information furnished by sampled districts)

Appendix 3.2.4

Details of reasons for revision in costs

(Reference: Paragraph no. 3.2.3.3)

Sl. No.	District	Name of work	Estimated cost (₹ in Lakh)	Revised cost (₹ in lakh)	Increase in cost	Name of Agency	Reason
1	Allahabad	Construction of boundary wall of civil court premises	16.43	40.83	24.4	PWD	Obstructions not removed.
2	Baghpat	Construction of 17 Courtrooms building.	1989.52	3553.36	1563.84	C & D S UP Jal Nigam	Revision of SOR and other extra work.
3	Baghpat	Construction of second floor on the Transit Hostel at Baghpat.	191.49	207.4	15.91	C.&D.S.Jal Nigam	Revision of SOR.
4	Baghpat	Construction of Ground Floor & First Floor of Transit Hostel for Judicial Officers.	395.87	445.17	49.3	C & DS Jal Nigam	Changes in specification and revision of SOR.
5	Ballia	Construction of Family court	46.95	109.09	62.14	C & DS Jal Nigam	Clear site not available and revision of SOR.
6	Chitrakoot	Construction of office room in District Judge's residence	13.9	36.54	22.64	PWD	Revision of SOR.
7	G.B. Nagar	Construction of 17 Court building.	1806.74	4261.65	2454.91	U.P.R.N.N. Ltd	Revision of SOR.
8	G.B. Nagar	Construction of building (other than residential) at Outlying Court Jewar.	379.05	498.92	119.87	C & DS UP Jal Nigam	Changes in specification.
9	G.B. Nagar	Construction of residential building of out-lying Court Jewar.	300.54	496.18	195.64	Jal Nigam	Changes in specification.
10	Lakhimpur-Kheri	Construction of two blocks of 12 Courtrooms building	845.58	1396.06	548.48	UP JAL NIGAM	Change in scope of work and revision in SoR
11	Lakhimpur-Kheri	Construction of 08 Type-V residences.	147.95	382.49	234.54	C & DS UP Jal Nigam	Changes in specification.
12	Lakhimpur-Kheri	Construction of 2-Courtroom building at outlying court Mohammadi, Lakhimpur-Kheri	33.88	74.73	40.85	UPRNN	Changes in specification.
13	Lakhimpur-Kheri	Construction of 2-Type-IV residences at outlying court Mohammadi, Lakhimpur-Kheri	24.87	48.49	23.62	UPRNN	Changes in specification.
14	Lakhimpur-Kheri	Construction of one courtroom at outlying court Nighasan	69.21	207.34	138.13	PACCFED	Changes in specification.

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15	Lakhimpur-Kheri	Construction of one Type V residence at outlying court Nighasan	30.26	43.76	13.5	PACCFED	Changes in specification.
16	Lakhimpur-Kheri	Construction of 2 Courtrooms building, and its allied offices at out-lying Court Mohammadi.	215.93	379.47	163.54	U.P.R.N.N.	NA
Total			6,508.17 Say ₹ 65.08 crore	12,181.48 Say ₹ 121.81 crore			

(Source: Information furnished by the sampled districts)

Appendix 3.2.5

Cases of inadequate surveys in test-checked districts

(Reference: Paragraph no. 3.2.3.4)

(₹ in crore)

Sl. No.	District	Name of work	Original Cost	Revised cost	Executing agency	Audit observation
1	Chitrakoot	Construction of two Type-V residences at outlying court, Mau	0.97	1.99	UPPCL	The Government sanctioned (November, 2014) construction of two Type-V residences at outlying court, Mau. The work was to be completed by July, 2016. However, without conducting a proper survey, work on construction of two Type-V residences was started. Due to high tension electric line passing over the site, the work was stopped on a portion of the construction site and the electricity department was paid ₹ 8.84 lakh in August, 2015 for shifting of the high tension line. The work could be restarted in May, 2016 only after a gap of 10 months from shifting of high tension line. Further, the cost had to be revised to ₹ 1.99 crore due to added site development work which was not incorporated in the original estimate. Work is still in progress.
2	Chitrakoot	Construction of residences (10 Type-V and one Type-VI)	5.34	5.34 (Cost not revised)	UPAEVP	The Government sanctioned (September, 2014) ₹ 4.56 crore and ₹ 0.78 crore for construction of residences (10 Type-V and one Type-VI) respectively. The construction was taken up at a distance of 60 feet from the centre of the road against the norm of 82 feet (25 meters) and without raising the plinth. Hon'ble Administrative Judge observed (February, 2016) that road was proposed to be developed as Chitrakoot-Satna highway and raising of road height would leave the residential complex water logged as height of plinth cannot be raised. Work is still in progress.
3	Lakhimpur Kheri	Construction of eight residences	1.48	2.38	C&DS (UP Jal Nigam)	The Government sanctioned (May, 2011) construction of eight Type-IV residences for the judicial officers and accordingly, executing agency prepared estimate for construction of eight residences in four blocks without conducting a proper survey. Later, it was found that site for only four residences in two blocks was available. Further, the specification of the residences was also changed from Type-IV to Type-V. Eventually, by raising the height of two blocks, only six residences of Type-V were constructed. As a result, the work was completed at an enhanced cost of ₹ 2.38 crore and two residences could not be constructed.
4	Lakhimpur Kheri	Construction of 28 residences	0.63	0.83	UPRNN	The buildings could not be put to use for last 10 years due to severe water logging as these were constructed on a kiln land, the level of which was required to be raised before taking up construction work.
Total			8.42	10.54		

(Source: Records of sampled districts)

Appendix 3.2.6

Cases of unavailability of clear site in test-checked districts

(Reference: Paragraph no. 3.2.3.4)

(₹ in crore)

Sl. No.	District	Name of work	Original cost of work	Revised cost	Executing agency	Audit observation
1	Allahabad	Construction of 24 court rooms	24.55	24.55 (Cost not revised)	UPRNN	The work was sanctioned by the Government in March, 2012 with the condition to complete it by March, 2013. However, as measurement of the site was not carried out and trees were not removed from the site, work actually started in April, 2013, after the scheduled date of completion. The work was rescheduled to be completed by December, 2015, which however, could not be achieved and the work was still in progress as of November 2016.
2	Allahabad	Construction of 25 courtrooms	9.96	9.96 (Cost not revised)	UPAEVP	Construction of 25 courtrooms amounting to ₹ 9.96 crore was taken up by the executing agency in October 2013. The work was to be completed by March, 2015. The executing agency (UPAEVP) reported hindrances in the free movement of construction machineries as unauthorised constructions came up in the way of transportation and repeatedly requested for their removal. The work was still in progress as of November 2016.
3	Allahabad	Construction of lock-up and boundary wall	0.53	0.53 (cost not revised)	PWD	Construction of lock-up and 562 metres of boundary wall was taken up by the executing agency in July, 2011. The construction of lock-up was completed but work of boundary wall was stopped in May, 2013, after constructing 472 metres of boundary wall. The construction of left over work of boundary wall had not been started as on April, 2016.
4	Ballia	Construction of 16 Type IV residences	3.59	13.56	C&DS (UP Jal Nigam)	The Government sanctioned construction of 16 Type-IV residences in November, 2011. The work was scheduled to be completed by September, 2012 but due to not removing the old building and vegetation, work order to the executing agency was issued in March, 2013 only. Besides, the cost was revised from ₹ 3.59 crore to ₹ 13.56 crore due to change in specification from Type-IV to Type-V and escalation in cost of material owing to delay. The work was in progress.
5	Ballia	Construction of family court.	0.47	1.09	C&DS (UP Jal Nigam)	The work was scheduled to be completed by March, 2013 but due to not removing the old building and vegetation, work order to the executing agency was issued in April, 2013 only. The cost was revised from ₹ 0.47 crore to ₹ 1.09 crore and completed with a delay of 36 months in March, 2016.
Total			39.10	49.69		

(Source: Records of sampled districts)

Appendix 3.2.7

Cases of delayed approval of maps in test-checked districts

(Reference: Paragraph no. 3.2.3.4)

(₹ in crore)

Sl. No.	District	Name of work	Original cost of work	Revised cost	Executing agency	Audit observation
1	Ballia	Construction of 18 court rooms (12+6)	7.41	23.19	C&DS (UP Jal Nigam)	The work was sanctioned in November, 2011 and construction agency submitted the maps for approval in April, 2012. However, due to revision in norms (October, 2012) the revised maps were approved in March, 2013. As a result land fell short for six court rooms. It was decided (March, 2014) that one building consisting of two floors having two courts on each floors (total four courts) and another building consisting of seven floors having two court rooms on each floor (total 14 court) would be constructed. The revised maps submitted to the Government in May, 2014 were approved in November, 2014. The cost was revised to ₹ 23.19 crore and up to July, 2016 progress of work was below 10 per cent.
2	Chitrakoot	Construction of camp office at the existing District Judge's residence	0.14	0.37	PWD	The work was sanctioned in October, 2011, but the work was actually started in March, 2013 due to delayed approval of maps and agreement not being executed. Only 40 per cent physical progress was achieved and work had to be stopped in August, 2014. Revised estimate of ₹ 0.37 crore was pending for approval at the Government level as of October 2016.
3	Gautam Budh Nagar	Construction of 17 court rooms	18.07	42.62	UPRNN	The work sanctioned in November, 2007 was actually taken up in February, 2010 since executing agency submitted the maps to NOIDA Authority for approval after twelve months of sanctioning of projects, which were approved in November, 2009. The cost was revised to ₹ 42.62 crore due to time over-run and additional works.
Total			25.62	66.18		

(Source: Records of sampled districts)

Appendix- 3.2.8

Details showing works taken up during 2011-16 in sampled districts

(Reference: Paragraph no. 3.2.3.5)

Sl. No.	District	Name of work	Estimated cost (₹ in lakh)	Name of Agency
1	Allahabad	Construction of 24 courtrooms	2,455.42	UPRNN
2	Allahabad	Construction of 25 Courtrooms & Offices (Second phase) at Allahabad.	995.86	U.P. Avas Evam Vikas Parishad
3	Allahabad	Construction of boundary wall of civil court premises	16.43	P.W.D.
4	Baghpat	Construction of 14 Type-V residences.	657.39	C & D S UP Jal Nigam
5	Baghpat	Construction of 17 Courtrooms building.	1,989.52	C & D S UP Jal Nigam
6	Baghpat	Construction of District Judge residence.	82.52	C & D S UP Jal Nigam
7	Baghpat	Construction of second floor on the Transit Hostel at Baghpat.	191.49	C & D S UP Jal Nigam
8	Baghpat	Construction of Ground Floor & First Floor of Transit Hostel for Judicial Officers.	395.87	C & D S UP Jal Nigam
9	Ballia	Construction of 16 Type IV residences	359.11	C & D S UP Jal Nigam
10	Ballia	Construction of boundary wall of civil court premises	69.48	P.W.D.
11	Ballia	Construction of 14 courtrooms at Ballia	741.16	C & D S UP Jal Nigam
12	Ballia	Construction of 04 Courtrooms building at Ballia	508.69	C & D S UP Jal Nigam
13	Ballia	Construction of boundary of Judges Colony	40.13	P.W.D.
14	Ballia	Construction of Family court	46.95	C & D S UP Jal Nigam
15	Ballia	Construction of boundary wall of old Munsifi building.	25.56	P.W.D.
16	Chitrakoot	Construction of office room in District Judge's residence	13.90	P.W.D.
17	Chitrakoot	Construction of 10 Type-V residences at Chitrakoot	456.26	U.P. Avas Evam Vikas Parishad
18	Chitrakoot	Construction of 02 Courtrooms and its allied building at outlying Court Mau.	419.77	U.P. Project Corporation Ltd.
19	Chitrakoot	Construction of building (other than residential) at Chitrakoot	2,574.93	C & D S UP Jal Nigam
20	Chitrakoot	Construction of 02 Type-V residences at outlying Court Mau.	96.64	U.P. Project Corporation Ltd.
21	Chitrakoot	Construction of boundary wall of civil court premises	8.50	P.W.D.
22	Chitrakoot	Construction of 1 Type-VI residence at Chitrakoot	77.89	U.P. Avas Evam Vikas Parishad
23	G.B. Nagar	Construction of Portico on five entrance gates in the Civil Court premises at G.B Nagar.	165.14	UPRNN
24	G.B. Nagar	Construction of M.S. Shed of the Staff & General parking area in the Civil Court premises at G.B Nagar.	382.65	UPRNN
25	G.B. Nagar	Construction of 16 Type-V residences at G.B. Nagar.	915.18	C & D S UP Jal Nigam
26	G.B. Nagar	Elevation of boundary wall of Civil Court premises at G.B. Nagar.	111.12	UPRNN
27	G.B. Nagar	Construction of 17 Court building.	1,806.74	UPRNN
28	G.B. Nagar	Purchase of furniture for the newly constructed 17 courtrooms building	116.86	UPRNN

29	G.B. Nagar	Construction of building (other than residential) at Outlying Court Jewar.	379.05	C &D S UP Jal Nigam
30	G.B. Nagar	Construction of 1 Type-VI (for Dist. Judge) residences at G.B. Nagar.	86.64	C &D S UP Jal Nigam
31	G.B. Nagar	Construction of residential building of out-lying Court Jewar.	300.54	C &D S UP Jal Nigam
32	G.B. Nagar	Elevation of boundary wall of Civil Judge (Jr. Div.) Court campus in the Outlying Court-Jewar at G.B. Nagar	84.82	C &D S UP Jal Nigam
33	Jaunpur	Construction of boundary wall and lawn beside Server Room and Registry Office, Jaunpur	19.98	P.W.D.
34	Jaunpur	Construction of Over Head Tank in the Civil Court premises, Jaunpur	19.35	C &D S UP Jal Nigam
35	Jaunpur	Installation of Fire Fighting system	83.20	P.W.D.
36	Jaunpur	Construction of Over Head Tank at Judges colony	16.91	C &D S UP Jal Nigam
37	Kasganj	Construction of 18 Courtroom (G11, F07) building of Kanshiram Nagar Judgeship	4,604.88	UPRNN
38	Kasganj	Residence of DJ	84.92	UPRNN
39	Kasganj	Construction of boundary wall of Kanshiram Nagar Judgeship	329.00	UPRNN
40	Kasganj	Officer Residence, Mamo Type-V : 13	618.53	UPRNN
41	Lakhimpur-Kheri	Construction of two blocks of 12 Courtrooms building	845.58	C &D S UP Jal Nigam
42	Lakhimpur-Kheri	Construction of two servant quarters at outlying Court Mohammadi	8.82	UPRNN
43	Lakhimpur-Kheri	Establishment of Rain water harvesting system at new court building and FTC building of Lakhimpur-Kheri Judgeship	12.14	C &D S UP Jal Nigam
44	Lakhimpur-Kheri	Construction of 08 Type-V residences.	147.95	C &D S UP Jal Nigam
45	Lakhimpur-Kheri	Construction of mini tube well and its allied works at Lakhimpur-Kheri	7.78	C &D S UP Jal Nigam
46	Lakhimpur-Kheri	Construction of 2-Courtroom building at outlying court Mohammadi, Lakhimpur-Kheri	33.88	UPRNN
47	Lakhimpur-Kheri	Construction of 2-Type-IV residences at outlying court Mohammadi, Lakhimpur-Kheri	24.87	UPRNN
48	Lakhimpur-Kheri	Construction of one courtroom at outlying court Nighasan.	69.21	PACCFED
49	Lakhimpur-Kheri	Construction of one Type V residence at outlying court Nighasan.	30.26	PACCFED
50	Lakhimpur-Kheri	Installation of furniture at newly constructed 2-courtroom building at outlying court, Mohammadi.	14.29	UPRNN
51	Lakhimpur-Kheri	Construction of 2 Courtrooms building, and its allied offices at out-lying Court Mohammadi.	215.93	UPRNN
Total			23,759.69 Say ₹ 237.60 crore	

(Source: Information furnished by the Hon'ble High Court, Allahabad and sampled districts)

Appendix 3.2.9

Details showing works awarded to PSUs without agreements/MoUs during 2011-16 in sampled districts

(Reference: Paragraph no. 3.2.3.5)

Sl. No.	District	Name of work	Estimated cost (₹ in lakh)	Name of Agency
1	Allahabad	Construction of 24 courtrooms	2,455.42	UPRNN
2	Allahabad	Construction of 25 Courtrooms & Offices (Second phase) at Allahabad.	995.86	U.P. Avas Evam Vikas Parishad
3	Baghpat	Construction of 14 Type-V residences.	657.39	C &D S UP Jal Nigam
4	Baghpat	Construction of 17 Courtrooms building.	1,989.52	C &D S UP Jal Nigam
5	Baghpat	Construction of District Judge residence.	82.52	C &D S UP Jal Nigam
6	Baghpat	Construction of second floor on the Transit Hostel at Baghpat.	191.49	C &D S UP Jal Nigam
7	Baghpat	Construction of Ground Floor & First Floor of Transit Hostel for Judicial Officers.	395.87	C &D S UP Jal Nigam
8	Ballia	Construction of 16 Type IV residences	359.11	C &D S UP Jal Nigam
9	Ballia	Construction of 14 courtrooms at Ballia	741.16	C &D S UP Jal Nigam
10	Ballia	Construction of 04 Courtrooms building at Ballia	508.69	C &D S UP Jal Nigam
11	Ballia	Construction of Family court	46.95	C &D S UP Jal Nigam
12	Chitrakoot	Construction of 10 Type-V residences at Chitrakoot	456.26	U.P. Avas Evam Vikas Parishad
13	Chitrakoot	Construction of 02 Courtrooms and its allied building at outlying Court Mau.	419.77	U.P. Project Corporation Ltd.
14	Chitrakoot	Construction of building (other than residential) at Chitrakoot	2,574.93	C &D S UP Jal Nigam
15	Chitrakoot	Construction of 02 Type-V residences at outlying Court Mau.	96.64	U.P. Project Corporation Ltd.
16	Chitrakoot	Construction of 1 Type-VI residence at Chitrakoot	77.89	U.P. Avas Evam Vikas Parishad
17	G.B. Nagar	Construction of Portico on five entrance gates in the Civil Court premises at G.B Nagar.	165.14	UPRNN
18	G.B. Nagar	Construction of M.S. Shed of the Staff & General parking area in the Civil Court premises at G.B Nagar.	382.65	UPRNN
19	G.B. Nagar	Construction of 16 Type-V residences at G.B. Nagar.	915.18	C &D S UP Jal Nigam
20	G.B. Nagar	Elevation of boundary wall of Civil Court premises at G.B. Nagar.	111.12	UPRNN
21	G.B. Nagar	Construction of 17 Court building.	1,806.74	UPRNN
22	G.B. Nagar	Purchase of furniture for the newly constructed 17 courtrooms building	116.86	UPRNN

23	G.B. Nagar	Construction of building (other than residential) at Outlying Court Jewar.	379.05	C &D S UP Jal Nigam
24	G.B. Nagar	Construction of 1 Type-VI (for Dist. Judge) residences at G.B. Nagar.	86.64	C &D S UP Jal Nigam
25	G.B. Nagar	Construction of residential building of out-lying Court Jewar.	300.54	C &D S UP Jal Nigam
26	G.B. Nagar	Elevation of boundary wall of Civil Judge (Jr. Div.) Court campus in the Outlying Court-Jewar at G.B. Nagar	84.82	C &D S UP Jal Nigam
27	Jaunpur	Construction of Over Head Tank in the Civil Court premises, Jaunpur	19.35	C &D S UP Jal Nigam
28	Jaunpur	Construction of Over Head Tank at Judges colony	16.91	C &D S UP Jal Nigam
29	Kasganj	Construction of 18 Courtroom (G11, F07) building of Kanshiram Nagar Judgeship	4,604.88	UPRNN
30	Kasganj	Residence of DJ	84.92	UPRNN
31	Kasganj	Construction of boundary wall of Kanshiram Nagar Judgeship	329.00	UPRNN
32	Kasganj	Officer Residence, Mamo Type-V : 13	618.53	UPRNN
33	Lakhimpur-Kheri	Construction of two blocks of 12 Courtrooms building	845.58	C &D S UP Jal Nigam
34	Lakhimpur-Kheri	Construction of two servant quarters at outlying Court Mohammadi	8.82	UPRNN
35	Lakhimpur-Kheri	Establishment of Rain water harvesting system at new court building and FTC building of Lakhimpur-Kheri Judgeship	12.14	C &D S UP Jal Nigam
36	Lakhimpur-Kheri	Construction of 08 Type-V residences.	147.95	C &D S UP Jal Nigam
37	Lakhimpur-Kheri	Construction of mini tube well and its allied works at Lakhimpur-Kheri	7.78	C &D S UP Jal Nigam
38	Lakhimpur-Kheri	Construction of 2-Courtroom building at outlying court Mohammadi, Lakhimpur-Kheri	33.88	UPRNN
39	Lakhimpur-Kheri	Construction of 2-Type-IV residences at outlying court Mohammadi, Lakhimpur-Kheri	24.87	UPRNN
40	Lakhimpur-Kheri	Construction of one courtroom at outlying court Nighasan.	69.21	PACCFED
41	Lakhimpur-Kheri	Construction of one Type V residence at outlying court Nighasan.	30.26	PACCFED
42	Lakhimpur-Kheri	Installation of furniture at newly constructed 2-courtroom building at outlying court, Mohammadi.	14.29	UPRNN
43	Lakhimpur-Kheri	Construction of 2 Courtrooms building, and its allied offices at out-lying Court Mohammadi.	215.93	UPRNN
Total			23,482.51 say ₹ 234.83 crore	

(Source: Information furnished by the Hon'ble High Court, Allahabad and sampled districts)

Appendix 3.2.10

Details showing cases of time over-run in sampled districts

(Reference: Paragraph no. 3.2.3.5)

Sl. No.	District	Name of work	Estimated cost (Rs. in Lakh)	Name of Agency	Scheduled date of start	Scheduled date of completion	Actual date of start of work	Actual date of completion	Time over run
1	Gautam Budh Nagar	Construction of Portico on five entrance gates in the Civil Court premises at G.B Nagar.	165.14	UP R.N.N. Ltd.	30.4.2015	31.03.16	30.04.15	Pending	Not completed after scheduled date of completion (2 month)
2	Gautam Budh Nagar	Construction of M.S. Shed of the Staff & General parking area in the Civil Court premises at G.B Nagar.	382.65	U.P. R.N.N. Ltd.	30.4.2015	31.3.16	30.4.15	Pending	Not completed after scheduled date of completion (2 month)
3	Gautam Budh Nagar	Construction of building (other than residential) at Outlying Court Jewar.	379.05	C&DS UP Jal Nigam	26.12.2011	25.12.12	26.12.11	30.9.15	33 months
4	Gautam Budh Nagar	Construction of residential building of out-lying Court Jewar.	300.54	C&DS UP Jal Nigam	27.12.2011	26.12.2012	27.12.2011	30.9.15	33 months
5	Baghpat	Construction of 17 Courtrooms building.	1989.52	C & D S UP Jal Nigam	03/11	31.5.12	03/2011	22.03.2014	24 month
6	Baghpat	Construction of second floor on the Transit Hostel at Baghpat.	191.49	C.&D.S. Jal Nigam	17.02.12	30.6.12	17.2.12	31.03.2015	33 month
7	Baghpat	Construction of Ground Floor & First Floor of Transit Hostel for Judicial Officers.	395.87	C & DS Jal Nigam	15.12.12	31.05.13	15.12.12	31.3.2015	22 month

8	Allahabad	Construction of 24 courtrooms	2455.42	U.P.R.N. N.Ltd	Apr-13	Dec-15	Apr-13	work in progress	Not completed after scheduled date of completion (6 month)
9	Allahabad	Construction of 25 Courtrooms & Offices (Second phase) at Allahabad.	995.86	U.P. Awas Evam Vikas Parishad.	Oct-13	Mar-15	Oct-13	work in progress	Not completed after scheduled date of completion (15 month)
10	Ballia	Construction of Family court	46.95	C&DS UP Jal Nigam	NA	Mar-13	Feb-13	Mar-16	36 Month
11	Ballia	Construction of boundary wall of old Munsifi building.	25.56	U.P.P.W .D.	NA	Mar-13	Aug-12	May-13	2 month
Total			7,328.05						
			Say ₹ 73.28 crore						
Details of works remained incomplete beyond scheduled dates of completion									
1	Allahabad	Construction of boundary wall of civil court premises	16.43	U.P.P.W .D.	Oct-11	Apr-12	Dec-11	work in progress	Not completed after scheduled date of completion (50 month)
2	Chitrakoot	Construction of office room in District Judge's residence	13.9	U.P.P.W .D.	Dec-11	31.03.2012	Mar-13	work in progress	Not completed after scheduled date of completion (51 month)
Total			30.33 say						
			Say ₹ 0.30 crore						

(Source: Information furnished by the sampled districts)

Appendix 3.3.1

Shortage of teaching equipment in clinical departments

(Reference: Paragraph no. 3.3.3.1)

(in numbers)

Sl. No.	Name of Clinical department	Quantity required as per MCI norms	Quantity available	Shortfall	Percentage of shortfall
LLRM Medical College, Meerut					
1	Medicine	373	236	137	36.73
2	Paediatrics	609	39	570	93.60
3	TB and Chest	22	8	14	63.64
4	Psychiatry	25	5	20	80.00
5	Surgery	238	88	150	63.03
6	Ophthalmology	122	122	0	0.00
7	ENT	157	140	17	10.83
8	Obstetrics and Gynaecology	904	345	559	61.84
9	Anaesthesiology	33	15	18	54.55
10	Radio diagnosis	18	8	10	55.56
11	Orthopaedics	34	12	22	64.71
Total		2,535	1,018	1,517	59.84
BRD Medical College, Gorakhpur					
1	TB and Chest	22	4	18	81.82
2	Paediatrics	114	106	8	7.02
3	Surgery	239	203	36	15.06
4	Orthopaedics	25	6	19	76.00
5	Ophthalmology	122	38	84	68.85
6	Psychiatry	20	8	12	60.00
7	ENT	155	91	64	41.29
8	Anaesthesiology	30	14	16	53.33
9	Radio Diagnosis	20	9	11	55.00
10	Obstetrics and Gynaecology	628	499	129	20.54
11	Medicine	308	247	61	19.81
Total		1,683	1,225	458	27.21
MLB Medical College, Jhansi					
1	General Medicine	308	178	130	42.21
2	Paediatrics	114	114	0	0.00
3	TB and Chest	22	12	10	45.45
4	Psychiatry	20	17	3	15.00
5	Surgery	239	61	178	74.48
6	Orthopaedics	25	23	2	8.00
7	Ophthalmology	122	36	86	70.49
8	ENT	155	155	0	0.00
9	Obstetrics & Gynaecology	628	454	174	27.71
10	Anaesthesiology	30	19	11	36.67
11	Radio diagnosis	20	10	10	50.00
12	Radiotherapy	31	2	29	93.55
Total		1,714	1,081	633	36.93

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King George Medical University					
1	General Medicine	627	251	376	59.97
2	Paediatrics	101	76	25	24.75
3	Psychiatry	35	35	0	0.00
4	General Surgery	330	156	174	52.73
5	Paediatric Surgery	104	75	29	27.88
6	Orthopaedics	41	39	2	4.88
7	Ophthalmology	102	66	36	35.29
8	ENT	191	185	6	3.14
9	Obstetrics and Gynaecology	1,325	770	555	41.89
10	Radio diagnosis	24	14	10	41.67
11	Radio therapy	36	31	5	13.89
Total		2,916	1,698	1,218	41.77

(Source: Respective GMCs)

Appendix 3.3.2

Department wise shortage of teaching equipment (other than clinical)

(Reference: Paragraph no. 3.3.3.2)

(in numbers)

Sl. No.	Name of department	Quantity required as per MCI norms	Quantity available	Shortfall	Percentage of shortfall
LLRM Medical College, Meerut					
1	Anatomy	313	260	53	16.93
2	Physiology	621	372	249	40.10
3	Biochemistry	245	126	119	48.57
4	Pathology	860	482	378	43.95
5	Microbiology	1,378	119	1259	91.36
6	Pharmacology	2,351	759	1592	67.72
7	Forensic Medicine	186	61	125	67.20
8	Community Medicine	83	61	22	26.51
Total		6,037	2,240	3,797	62.90
BRD Medical College, Gorakhpur					
1	Anatomy	235	206	29	12.34
2	Physiology	445	365	80	17.98
3	Biochemistry	244	41	203	83.20
4	Pathology	603	243	360	59.70
5	Microbiology	951	394	557	58.57
6	Pharmacology	1,761	621	1,140	64.74
7	Forensic Medicine	167	33	134	80.24
8	Social & Preventive Medicine (Community medicine)	71	52	19	26.76
Total		4,477	1,955	2,522	56.33
MLB Medical College, Jhansi					
1	Anatomy	235	181	54	22.98
2	Physiology	445	170	275	61.80
3	Biochemistry	244	92	152	62.30
4	Pathology	603	603	0	0.00
5	Microbiology	951	383	568	59.73
6	Pharmacology	1,761	660	1101	62.52
7	Forensic medicine	167	91	76	45.51
8	Community medicine	71	56	15	21.13
Total		4,477	2,236	2,241	50.06
King George Medical University, Lucknow					
1	Anatomy	471	450	21	4.46
2	Physiology	1,008	431	577	57.24
3	Biochemistry	328	44	284	86.59
4	Pathology	1,115	384	731	65.56
5	Microbiology	724	39	685	94.61
6	Pharmacology	3,471	590	2,881	83.00
7	Forensic Medicine	193	82	111	57.51
Total		7,310	2,020	5,290	72.37

(Source: Respective GMCs)

Appendix 3.4

Details of loss of interest on Centage charges to the government

(Reference: Paragraph no. 3.11)

Sl. No.	Amount received (₹ in Lakh)	Date of Receipt	Due Centage Charge @ 12.5% (₹ in Lakh)	Period		Month	Borrowing rate of interest (in per cent)	Interest on Centage Charge (₹ in Lakh)
1.	500	31-Mar-08	62.5	Apr-08	Mar-09	12	6.29	3.93
				Apr-09	Mar-10	12	6.16	3.85
				Apr-10	Mar-11	12	6.67	4.17
				Apr-11	Mar-12	12	6.62	4.14
				Apr-12	Mar-13	12	6.73	4.21
				Apr-13	Mar-14	12	6.43	4.02
				Apr-14	Mar-15	12	6.40	4.00
Total Interest							28.31	
2.	400	01-Sep-08	50	Oct-08	Mar-09	6	6.29	1.57
				Apr-09	Mar-10	12	6.16	3.08
				Apr-10	Mar-11	12	6.67	3.34
				Apr-11	Mar-12	12	6.62	3.31
				Apr-12	Mar-13	12	6.73	3.37
				Apr-13	Mar-14	12	6.43	3.22
				Apr-14	Mar-15	12	6.40	3.20
Total Interest							21.08	
3.	100	17-Feb-09	12.5	Mar-09	Mar-09	1	6.29	0.07
				Apr-09	Mar-10	12	6.16	0.77
				Apr-10	Mar-11	12	6.67	0.83
				Apr-11	Mar-12	12	6.62	0.83
				Apr-12	Mar-13	12	6.73	0.84
				Apr-13	Mar-14	12	6.43	0.80
				Apr-14	Mar-15	12	6.40	0.80
Total Interest							4.94	
4.	500	16-Feb-10	62.5	Mar-10	Mar-10	1	6.16	0.32
				Apr-10	Mar-11	12	6.67	4.17
				Apr-11	Mar-12	12	6.62	4.14
				Apr-12	Mar-13	12	6.73	4.21
				Apr-13	Mar-14	12	6.43	4.02
				Apr-14	Mar-15	12	6.40	4.00
Total Interest							20.85	
5.	50	16-Jun-11	6.25	Jul-11	Mar-12	9	6.62	0.31
				Apr-12	Mar-13	12	6.73	0.42
				Apr-13	Mar-14	12	6.43	0.40
				Apr-14	Mar-15	12	6.40	0.40
Total Interest							1.53	
6.	75	31-Jan-12	9.375	Feb-12	Mar-12	2	6.62	0.10
				Apr-12	Mar-13	12	6.73	0.63
				Apr-13	Mar-14	12	6.43	0.60
				Apr-14	Mar-15	12	6.40	0.60
Total Interest							1.94	
7.	75	26-Feb-13	9.375	Mar-13	Mar-13	1	6.43	0.05
				Apr-13	Aug-13	5	6.40	0.25
				Total Interest				0.30
	1700		212.50	Grand Total				78.95 Say 0.79 crore

Appendix 3.5

Details of Tube wells constructed in Over-exploited/Critical zone after prohibited by the Government in October 2014

(Reference: Paragraph no. 3.13)

Period	Name of the Scheme	Tubewell Number	Name of the Block	District	Category of the Block	Month of Construction	Cost (₹in lakh)	Date of energisation	Cost of energisation (₹in lakh)	Date of start	Date of Sanction of work	Date of contract	
1	2	3	4	5	6	7	8	9	10	11	12	13	
November 2014 to March 2015	Dr. Ram Manohar Lohia 3000 New Tubewell Scheme (G) Year 2014-15	330 Shi. bad	Shikohabad	Firozabad	Over-exploited	12/14	13.77	07/15	2.51	07/15	16.06.14	24.07.14	
		338 Shi. bad	Shikohabad	Firozabad	Over-exploited	11/14	14.93	03/15	2.52	05/15	11.09.14	08.11.14	
		108EK	Khair	Aligarh	Over-exploited	11/14	9.23	06/15	2.15	03/16	17.09.14	27.10.14	
		258 EG	Nidhauri Kalan	Etah	Critical	12/14	13.33	10/15	2.65	10/15	11.12.14	29.12.14	
	Dr. Ram Manohar Lohia 3000 New Tubewell Scheme (SCP) Year 2014-15	294KG	Sahavar	Kasganj	Over-exploited	12/14	5.46	03/16	2.52	03/16	15.09.14	17.03.15	
		340 Shi. bad	Shikohabad	Firozabad	Over-exploited	12/14	14.85	06/15	2.95	07/15	11.09.14	10.11.14	
		339 Shi. bad	Shikohabad	Firozabad	Over-exploited	12/14	14.30	03/15	2.34	07/15	11.09.14	10.11.14	
	Dr. Ram Manohar Lohia 1054 Tubewell Modernisation Scheme Year 2014-15	259 EG	Nidhauri Kalan	Etah	Critical	01/15	10.29	06/15	2.19	06/15	11.12.14	14.01.15	
		133 SKB	Shikohabad	Firozabad	Over-exploited	02/15	10.98	07/15	1.21	10/15	18.01.15	13.11.14	
		147 SKB	Shikohabad	Firozabad	Over-exploited	02/15	11.36	07/15	2.15	09/15	18.01.15	13.11.14	
		50 SKB	Shikohabad	Firozabad	Over-exploited	11/14	13.81	07/15	2.12	09/15	14.09.14	17.07.14	
		39 SKB	Shikohabad	Firozabad	Over-exploited	01/15	12.51	03/15	1.99	06/15	18.10.14	13.11.14	
		107 SKB	Shikohabad	Firozabad	Over-exploited	11/14	12.13	08/15	2.45	10/15	18.01.15	13.11.14	
		131SKB	Shikohabad	Firozabad	Over-exploited	02/15	11.69	07/15	1.35	09/15	04.01.15	13.11.14	
		148 SKB	Shikohabad	Firozabad	Over-exploited	11/14	13.61	03/15	1.18	06/15	04.01.15	17.07.14	
		37WK	Khair	Aligarh	Over-exploited	01/15	8.52	07/15	1.00	07/15	03.01.15	06.01.15	
	68EK	Khair	Aligarh	Over-exploited	01/15	8.01	06/15	0.39	06/15	28.06.14	22.01.15		
Total							198.78		33.67				
2015-16	Dr. Ram Manohar Lohia 1054 Tubewell Modernisation Scheme Year 2015-16	99HG	Sasni	Hathras	Over-exploited	09/15	7.31	03/16	0.50	03/16	25.06.15	28.08.15	
		7HG	Sasni	Hathras	Over-exploited	01/16	6.13	03/16	2.35	03/16	18.09.15	06.11.15	
		77HG	Mursaan	Hathras	Over-exploited	01/16	5.48	03/16	0.10	03/16	18.09.15	17.12.15	
		63WK	Khair	Aligarh	Over-exploited	07/15	7.21	03/16	1.94	03/16	25.06.15	06.08.15	
		18WK	Khair	Aligarh	Over-exploited	08/15	2.53	03/16	0.84	03/16	25.06.15	07.08.15	
		24WK	Khair	Aligarh	Over-exploited	09/15	7.21	03/16	0.96	03/16	25.06.15	21.08.15	
		32WK	Chandaus	Aligarh	Critical	01/16	5.98	03/16	0.98	03/16	29.09.15	02.01.16	
		71WK	Chandaus	Aligarh	Critical	01/16	6.00	03/16	Adjusted	03/16	29.09.15	19.12.15	
		68WK	Chandaus	Aligarh	Critical	12/15	5.99	03/16	0.83	03/16	29.09.15	17.12.15	
		52EG	Nidhauri Kalan	Etah	Critical	09/15	9.92	-	1.13	-	08/2015	11.09.15	
		150KG	Sahavar	Kasganj	Over-exploited	07/15	6.12	-	0.80	-	11.05.15	02.05.15	
Total							69.88		10.43				
Grand Total							268.66		44.10				
Total of Construction and Energisation (Col. 8+10)							312.76						
								Say ₹ 3.13 crore					

Appendix 3.6

Details of excess payment due to provisioning of higher rate for carriage in schedule of rates

(Reference: Paragraph no. 3.14)

Sl. No.	Chainage of road (Km.)	Agreement No.	Quantity of Grit used (CuM)	Rate of carriage as per Irrigation SoR (₹ per CuM)	Rate of carriage as per PWD SoR (₹ per CuM)	Excess payment of Carriage per CuM (₹ per CuM)	Total Excess payment of carriage (₹)
(1)	(2)	(3)	(4)	(5)	(6)	(7= col 5 - col 6)	(8= col 4 x col 7)
1	44.700 to 66.400	20/SE/2013-14	27374	1729.72	1271.00	458.72	1,25,57,001.28
2	66.400 to 70.600 and 79.900 to 104.600	21/SE/2013-14	33880	1558.45	1173.50	384.95	1,30,42,106.00
Total							2,55,99,107.28 Say ₹ 2.56 crore

Appendix 3.7

Computation for excess payment due to extra carriage, loading, unloading, stacking and wrong conversion rate

(Reference: Paragraph no. 3.15)

Sl. No.	Name of work	Details of approval/ technical sanction by Chief Engineer	Agreement no. and date	Item of work	Details of rate of work (₹)				Difference in rate (Col. 9-col. 8) (₹)	Quantity executed so far (Cum)	Excess payment (Col. 10 x col. 11) (₹)	Total Payment on the Item (Col. 9 x col. 11) (₹)
					As per estimate (₹)	Contracted rate (₹)	Computed rate (₹)	Rate of Payment (₹)				
1	2	3	4	5	6	7	8	9	10	11	12	13
1	Flood Protection work between km 7.300 and 8.600 on VD bundh	32 of 2013-14) dated 20.1.14 Rs. 1210.56 lakh	4/SE/ 2013-14 dated: 24.12.13	S/L of stone boulder in slope pitching	3,297.50	3,297.50	3,063.17	3,100.00	36.83	932.538	34,345.37	28,90,867.80
2	Flood protection work VD bundh Km 10.750 to km 10.925	34 of 2013-14) dated 20.1.14 Rs. 515.09 lakh	06/SE/ 2013-14 dated: 24.12.13	S/L of stone boulder in making slope of spurs	3,297.50	3,297.50	3,063.17	3,150.00	86.83	678.970	58,954.97	21,38,755.50
3	Restoration of Spur no. 22 B, Km 12.86; Dampner no. 23 B, Km 13.025, 24 B Km 13.160, 26 B Km 13.44 and 27 B Km 13.50	28 of 2013-14) dated 20.1.14 Rs. 964.61 lakh	07/SE/ 2013-14 dated: 24.12.13	S/L of stone boulder in making spur and launching apron	3,267.30	3,245.35	2,905.23	3,100.00	194.77	13,353.700	26,00,900.15	4,13,96,470.00
4	Flood Protection works between Km 4.010 to 4.320 of KashipurDubaulia embankment	25 of 2013-14) dated 20.1.14 Rs. 740.58 lakh	08/SE/ 2013-14 dated: 24.12.13	S/L of stone boulder in launching apron	3,294.96	3,253.45	2,931.76	3,100.00	168.24	7,552.917	12,70,702.76	2,34,14,042.70
				S/L of stone boulder in slope pitching	3,503.65	3,503.80	2,832.76	3,200.00	367.24	1,014.378	3,72,520.18	32,46,009.60
5	Flood Protection works between Km 0.660 to 2.350 of KashipurDubaulia embankment	26 of 2013-14) dated 20.1.14 Rs. 288.20 lakh	09/SE/ 2013-14 dated: 24.12.13	S/L of stone boulder in launching apron	3,267.30	3,222.00	2,905.23	3,040.00	134.77	741.240	99,896.91	22,53,369.60
6	Flood Protection works between Km 0.390 to 2.382 of KatariaChandpur embankment	29 of 2013-14) dated 20.1.14 Rs. 1160.24 lakh	10/SE/ 2013-14 dated: 24.12.13	S/L of stone boulder in launching apron	3,304.15	3,280.20	2,905.23	3,000.00	94.77	14,257.320	13,51,166.22	4,27,71,960.00
				S/L of stone boulder in slope pitching	3,513.35	3,513.35	2,806.23	3,400.00	593.77	2,316.350	13,75,379.14	78,75,590.00

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7	Construction of Spur at Km 3.300 and widening of embankment between km 3.300 an 4.700 of GauraSaifabad embankment	30 of 2013-14) dated 20.1.14 Rs. 591.91 lakh	11/SE/ 2013-13 dated: 24.12.13	S/L of stone boulder for making spur	3,368.90	3,332.50	2,910.68	3,200.00	289.32	7,963.49 0	23,03,996.93	2,54,83,168.00
				S/L of stone boulder for pitching on slope of shank of spur	3,574.20	3,574.20	2,954.68	3,400.00	445.32	1,216.89 0	5,41,905.45	41,37,426.00
8	Construction of Spurs at Km 1.240 and 1.780 on KashipurDubaulia embankment	27 of 2013-14) dated 20.1.14 Rs. 574.41 lakh	13/SE/ 2013-14	S/L of stone boulder in launching apron	3,267.30	3,233.30	2,905.23	3,040.00	134.77	1,476.58 0	1,98,998.69	44,88,803.20
9	Flood protection work On KashipurDubauliyaemb ankmennt Km 2.300 and Km 2.750	15 of 2015-16) dated 29.4.15 Rs. 1144.43 lakh	03/SE/ 2015-16 dated: 01.05.15	Supplying and laying of stone boulder in launching apron	3,289.53	2,800.00	2,863.53	3,285.00	421.47	6,413.25 0	27,02,992.48	2,10,67,526.25
				Supplying and laying of stone boulder in slope pitching	3,354.63	-	2,907.53	3,350.00	442.47	1,071.72 0	4,74,203.95	35,90,262.00
10	Kataria- Chandpur km 4.400 to km 5.400 Anti erosion work	50 of 2015-16) dated 10.6.15 Rs. 1536.70 lakh	11/SE/ 2015-16 Dated: 10.06.15	Dumping laying of MS boulder n hank packed including cost of all material labour etc.	3,974.11	3,800.00	3,478.79	3,950.00	471.21	20,783.0 20	97,93,166.85	8,20,92,929.00
				Pitching with MS stone boulder	4,242.44	4,250.00	3,558.79	4,220.00	661.21	3,909.09 0	25,84,729.40	1,64,96,359.80
11	ChandpurGaura Km 0.00 to Km 1.00 Anti erosion work	18 of 2015-16) dated 29.4.15 Rs. 2442.64 lakh	12/SE/ 2015-016 dated: 10.06.15	Dumping and laying of MS stone boulder and hand packed inclusive of all material and labour etc.	3,974.11	3,565.00	3,478.79	3,960.00	481.21	35,541.5 37	1,71,02,943.02	14,07,44,486.52
				Supply and laying of MS boulder in wire crate	4,883.11	4,750.00	4,204.79	4,870.00	665.21	1,460.32 0	9,71,419.47	71,11,758.40
				Stone boulder pitching	4,242.44	3,815.31	3,558.79	4,235.00	676.21	5,298.32 0	35,82,776.97	2,24,38,385.20
Total											4,74,20,998.89	45,36,38,169.57
Say ₹											4.74 crore	45.36 crore

Appendix 3.8

Details of avoidable payment due to failure in revising the demand

(Reference: Paragraph no. 3.18)

Month	Rate (per KVA in Rs)	Sanctioned load in KVA	Fixed charged in KVA, as per bill (Col 3*0.75)	Amount paid as fixed/demand charges (Col 2* Col 4)	Actual consumed load	Requested electricity load in KVA	Fixed charged in KVA, as per requested load (Col 7*0.75)	Fixed charges to be paid, as per requested load (Col 2*col 8)	Fixed charged in KVA, paid in excess (Col 4-Col 8)	Avoidable Payment
1	2	3	4	5	6	7	8	9	10	11
Jun-13	240	6,298	4,724	11,33,760	1,800	3,333	2,500	6,00,000	2,224	5,33,760
Jul-13	240	6,298	4,724	11,33,760	2,016	3,333	2,500	6,00,000	2,224	5,33,760
Aug-13	240	6,298	4,724	11,33,760	2,016	3,333	2,500	6,00,000	2,224	5,33,760
Sep-13	240	6,298	4,724	11,33,760	2,100	3,333	2,500	6,00,000	2,224	5,33,760
Oct-13	240	6,298	4,724	11,33,760	1,443	3,333	2,500	6,00,000	2,224	5,33,760
Nov-13	240	6,298	4,724	11,33,760	1,500	3,333	2,500	6,00,000	2,224	5,33,760
Dec-13	240	6,298	4,724	11,33,760	1,260	3,333	2,500	6,00,000	2,224	5,33,760
Jan-14	240	6,298	4,724	11,33,760	1,200	3,333	2,500	6,00,000	2,224	5,33,760
Feb-14	240	6,298	4,724	11,33,760	1,380	3,333	2,500	6,00,000	2,224	5,33,760
Mar-14	240	6,298	4,724	11,33,760	1,200	3,333	2,500	6,00,000	2,224	5,33,760
Apr-14	240	6,298	4,724	11,33,760	1,297.8	3,333	2,500	6,00,000	2,224	5,33,760
May-14	240	6,298	4,724	11,33,760	1,464	3,333	2,500	6,00,000	2,224	5,33,760
Jun-14	240	6,298	4,724	11,33,760	1,860.6	3,333	2,500	6,00,000	2,224	5,33,760
Jul-14	240	6,298	4,724	11,33,760	2,100	3,333	2,500	6,00,000	2,224	5,33,760
Aug-14	240	6,298	4,724	11,33,760	2,059.8	3,333	2,500	6,00,000	2,224	5,33,760
Sep-14	240	6,298	4,724	11,33,760	2,040	3,333	2,500	6,00,000	2,224	5,33,760
Oct-14	240	6,298	4,724	11,33,760	1,800	3,333	2,500	6,00,000	2,224	5,33,760
Nov-14	240	6,298	4,724	11,33,760	1,500	3,333	2,500	6,00,000	2,224	5,33,760
Dec-14	240	6,298	4,724	11,33,760	1,260	3,333	2,500	6,00,000	2,224	5,33,760
Jan-15	240	6,298	4,724	11,33,760	1,330.8	3,333	2,500	6,00,000	2,224	5,33,760
Feb-15	240	6,298	4,724	11,33,760	1,346.4	3,333	2,500	6,00,000	2,224	5,33,760

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Mar-15	240	6,298	4,724	11,33,760	1,260.8	3,333	2,500	6,00,000	2,224	5,33,760
Apr-15	240	6,298	4,724	11,33,760	1,371.6	3,333	2,500	6,00,000	2,224	5,33,760
May-15	240	6,298	4,724	11,33,760	1,467.6	3,333	2,500	6,00,000	2,224	5,33,760
Jun-15	240	6,298	4,724	11,33,760	2,011.2	3,333	2,500	6,00,000	2,224	5,33,760
Jul-15	240	6,298	4,724	11,33,760	2,103	3,333	2,500	6,00,000	2,224	5,33,760
Aug-15	240	6,298	4,724	11,33,760	2,027.4	3,333	2,500	6,00,000	2,224	5,33,760
Sep-15	240	6,298	4,724	11,33,760	2,195.4	3,333	2,500	6,00,000	2,224	5,33,760
Oct-15	240	6,298	4,724	11,33,760	2,257.8	3,333	2,500	6,00,000	2,224	5,33,760
Nov-15	240	6,298	4,724	11,33,760	1,775.4	3,333	2,500	6,00,000	2,224	5,33,760
Dec-15	240	6,298	4,724	11,33,760	1,408.2	3,333	2,500	6,00,000	2,224	5,33,760
Jan-16	240	6,298	4,724	11,33,760	1,260	3,333	2,500	6,00,000	2,224	5,33,760
Feb-16	240	6,298	4,724	11,33,760	1,425	3,333	2,500	6,00,000	2,224	5,33,760
Mar-16	240	6,298	4,724	11,33,760	1,332	3,333	2,500	6,00,000	2,224	5,33,760
Total				3,85,47,840				2,04,00,000		1,81,47,840

Appendix 3.9
Details of loss due to execution of contracts on higher rate
by rejecting lower bids
(Reference: Paragraph no. 3.19)

Sl. No.	Name of Village	Estimated Cost	Agreement No.	Agreement amount	Agreement cost	Per centage below of agreement cost w.r.t. estimate	Amount paid	Total Amount paid	Lowest of 1st tender	Excess Payment
1	Asui	18,99,000	16/2012-13	16,25,215	16,25,215	14.42	16,13,334	16,13,334	12,49,890	3,63,444
2	Atra	33,02,000	21/2012-13	14,42,267	27,98,988	15.23	14,42,036	27,98,283	21,67,130	6,31,153
			35/2012-13	13,56,721			13,56,247			
3	Atraiya	25,14,000	34/2012-13	12,02,696	21,65,272	13.87	12,06,185	21,65,041	16,84,126	4,80,915
			42/2012-13	9,62,576			9,58,856			
4	Bajehata	24,44,000	6/2012-13	19,28,585	19,28,585	21.09	19,28,621	19,28,621	14,28,277	5,00,344
5	Bandhur Khurd	25,07,000	23/2012-13	8,19,147	21,46,362	14.39	8,17,397	21,43,229	16,27,532	5,15,697
			37/2012-13	13,27,215			13,25,832			
6	Barehara	39,37,000	38/2012-13	19,51,285	33,63,704	14.56	19,47,730	33,56,137	26,26,116	7,30,021
			26/2012-13	14,12,419			14,08,407			
7	Bilauta	18,81,500	5/2012-13	15,56,203	15,56,203	17.29	15,55,784	15,55,784	13,55,177	2,00,607
8	Dhagawa	21,89,000	12/2012-13	18,60,899	18,60,899	14.99	19,33,213	19,33,213	13,84,138	5,49,075
9	Gundela	21,72,000	11/2012-13	18,60,755	18,60,755	14.33	18,69,335	18,69,335	11,90,470	6,78,865
10	Ghurouli	23,24,000	19/2012-13	19,38,706	19,38,706	16.58	19,77,106	19,77,106	14,90,644	4,86,462
11	Gurdaha	18,31,000	04/2012-13	15,64,127	15,64,127	14.58	15,44,081	15,44,081	11,03,102	4,40,979
12	Husaina	26,37,000	27/2012-13	8,62,971	22,46,531	14.81	8,62,683	22,46,653	17,49,912	4,96,741
			39/2012-13	13,83,560			13,83,970			
13	Indalpara	28,98,000	25/2012-13	11,55,839	24,94,399	13.93	11,10,174	24,41,774	19,78,005	4,63,769
			40/2012-13	13,38,560			13,31,600			
14	Beri Indrapuri	21,63,000	07/2012-13	14,81,201	14,81,201	31.52	14,79,958	14,79,958	14,08,306	71,652
15	Ingohata	20,68,000	08/2012-13	17,03,486	17,03,486	17.63	16,54,858	16,54,858	14,01,504	2,53,354
16	Jigani	27,75,000	22/2012-13	10,04,698	23,74,425	14.44	10,04,701	23,74,337	17,84,530	5,89,807
			36/2012-13	13,69,727			13,69,636			
17	Kandholi	23,40,000	14/2012-13	19,93,284	19,93,284	14.82	19,86,107	19,86,107	12,15,222	7,70,885
18	Khedashilajit	20,23,000	15/2012-13	17,28,789	17,28,789	14.54	17,28,120	17,28,120	13,91,922	3,36,198
19	Patara	19,30,000	10/2012-13	16,45,453	16,45,453	14.74	16,32,376	16,32,376	12,03,096	4,29,280
20	Rajamau	27,41,000	18/2012-13	19,07,930	19,07,930	30.39	18,97,947	18,97,947	16,08,722	2,89,225
21	Ruripara	24,13,000	03/2012-13	19,97,461	19,97,461	17.22	20,05,895	20,05,895	14,69,811	5,36,084
22	Sersenda	22,17,000	09/2012-13	19,01,985	19,01,985	14.21	19,01,486	19,01,486	13,32,954	5,68,532
Total										1,03,83,089
Say ₹ in Crore										1.04

Appendix 3.10

Details of payment made to the contractor for excess use of bitumen

(Reference: Paragraph no. 3.22)

Name of the work (Unit = cum)		Case-II: MohanSarai-Cantt Road, Varanasi			Case-I: Alinagar-Indara-Majhwara-Madhuban Road, Mau					
					Km 0.00 to 12.00			Km12.00 to 23.400		
Materials-Taking output = 195 cum (450 tonnes)	Unit	Quantity	Rate	Total	Quantity	Rate	Total	Quantity	Rate	Total
Bitumen @ 4.50% of weight of mix Aggregate	tonne	20.250	58,870.00	11,92,117.50	20.250	49320.00	9,98,730.00	20.250	49,320.00	9,98,730.00
Total weight of mix = 450 tonnes										
Weight of bitumen = 20.25 tonnes										
Weight of aggregate = 450 -20.25 = 429.75 tonnes										
<i>Taking density of aggregate = 1.5 ton/cum</i>										
Volume of aggregate = 286.50 cum										
Grading – II 19 mm (Nominal Size)										
25 - 10 mm 30 per cent	cum	280.77	1,345.00	3,77,635.65	286.50	1772.50	5,07,821.25	286.50	1,793.00	5,13,694.50
10 - 5 mm 28 per cent	cum									
5 mm and below 40 per cent	cum									
Filler @ 2 per cent of weight of aggregates.	tonne	5.73	985.00	5,644.05						
				15,75,397.20			15,06,551.25			15,12,424.50
Rate per cum =Total/195 (For Grading-II) materials				8,078.95			7,725.90			7,756.02
Bitumen @ 4.00 % of weight of mix Aggregate	tonne	18.00	58,870.00	10,59,660.00	18.00	49320.00	8,87,760.00	18.00	49,320.00	8,87,760.00
Total weight of mix = 450 tonnes										
Weight of bitumen = 18.00 tonnes										
For Grading – I 40 mm (Nominal Size)										
37.5 - 25 mm 22 per cent	cum	282.24	1,345.00	3,79,612.00	288.00	1772.50	5,10,480.00	288.00	1,793.00	5,16,384.00
25 - 10 mm 13 per cent	cum									
10 -4.75 mm 19 per cent	cum									
4.75 mm and below 44 per cent	cum									
Filler @ 2 per cent of weight of aggregates.	tonne	5.76	985.00	5,673.60						
				14,44,946.40			13,98,240.00			14,04,144.00
Rate/ cum = Total/195 (For Grading-I) materials				7,409.98			7170.46			7200.74

Difference in rate per cum	₹ 8,078.95 – ₹ 7,409.98 = ₹ 668.97 per cum	₹ 7,725.90 – ₹ 7,170.46 = ₹ 555.44 per cum	₹ 7,756.02 – ₹ 7,200.74 = ₹ 555.28 per cum
Total work executed of DBM	19,135.67 cum X ₹ 668.97 per cum = ₹ 1,28,01,189.15	6142.50 cum X ₹ 555.44 per cum = ₹ 34,11,790.20	5,769.10 cum X ₹ 555.28 per cum = ₹ 32,03,465.85
Applied of Over Head Charges @ 10 per cent (in ₹)	12,80,118.92	3,41,179.02	3,20,346.59
Total Amount (in ₹)	1,40,81,308.07	37,52,969.22	35,23,812.44
Applied of Contractors Profit @ 10 per cent (in ₹)	14,08,130.81	3,75,296.92	3,52,381.24
Net excess paid amount in execution work of DBM (in ₹)	1,54,89,438.87	41,28,266.14	38,76,193.68
			80,04,459.82
	Say ₹ 1.55 crore		Say ₹0.80 crore

Appendix 3.11

Details of widening & strengthening Arch Gursarai Mau Marg km 1 to 71(180) calculation of excess GSB

(Reference: Paragraph no. 3.24)

Sl. No.	Length of the road	Length of the road in meter	Existing width	Required width in widening portion for GSB (7.3-D)	Required crust of GSB in widening portion	Required quantity of GSB	Excess quantity of GSB = (14-7.3)* length of the road *0.15
(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)
1	KM 1 TO 3 & 9	4,000	5.5	1.8	0.25	1,800	4,020
2	KM 4 TO 08 & 10 to 20	15,200	3.7	3.6	0.25	13,680	15,276
3	KM 21 TO 27=7 KM KM 31 TO 52= 22KM KM 54 TO 56= 3 KM KM 59 TO 62 = 4 KM KM 64 TO 66 = 3 KM KM 67 (500)=0.50 KM KM 68(500)=0.50 KM	40,000	3.7	3.6	0.29	41,760	40,200
4	KM 29(280)=0.28 KM KM 30 =1.00 KM KM69,70,71(180)=2.18KM	3,460	5.7	1.6	0.29	1,605.44	3,477.30
5	KM 58 =1.00 KM	1,000	6.5	0.8	0.29	232	1,005
6	KM 53 = 1.00 KM, KM 57= 1.00 KM, KM 63 = 1.00 KM KM 67(500) = 0.50 KM, KM 68(500)= 0.50 KM	4,000	7	0	0	0	4,200
7	KM 28= 1.00 KM KM 29(720) = 0.72KM	1,720	10			0	0
						59,077.44	68,178.3
	REQUIRED QYANTITY OF GSB FOR WIDENING OF 7 M ROAD					59,077.44	
	EXCESS QUANTITY OF GSB FOR WIDENING OF 7 M ROAD					68,178.30	
	TOTAL					127,255.70	
	AS PER ESTIMATE REQUIRED QYANTITY OF GSB FOR WIDENING OF 7M ROAD					37,049	
	AS PER ESTIMATE EXCESS QUANTITY OF GSB FOR WIDENING OF 7 M ROAD					90,225	
	TOTAL					1,27,274	
Sl. No.	Name of Division	Excess Quantity (cum)	Rate (cum)	Total	After taking higher rate	% of contract above departmental rates	
1	EE, CD-III, PWD, Jhansi	19,296	1,650	3,18,38,400	3,54,20,220	11.25 % above the tender rate	
2	EE, PD, PWD, Jhansi	48,882.30	1,647	8,05,09,148	9,17,80,429	14% above the tender rate	
	Total	68,178.30			12,72,00,649		
					Say ₹ 12.72 crore		

Appendix 3.12

Details of overlay in terms of BM for both chainages against the requirement

(Reference: Paragraph no. 3.25)

Length of road	Maximum Deflection	Standard Deviation 2 times as per arterial road	MSA	Characteristic deflection as per IRC-81	Characteristic deflection as per report	Recommended Overlay as per report	Overlay required as per IRC
6.300 km	2.6820	0.1770X2=0.3540	5	(2.682+0.3540) =3.0360 Say 3.0	4.2	220	190 (83.33 mm WMM+71.43 mm DBM+35.71 mm SDBC)
11.200 km	2.6820	0.1887x2 =0.3774	5	(2.682+0.3540) =3.0594 say 3.0	4.8	240	190 (83.33 mm WMM+71.43 mm DBM+35.71 mm SDBC)

Overlay thickness was taken in terms of BM as per IRC-81-1997 as per para 7.4.

Appendix 3.13

Details of adoption of higher specifications coupled with wrong calculation of characteristic deflection

(Reference: Paragraph no. 3.25)

Particulars	Length (in metre) (i)	Width (in metre) (ii)	Provisioned as per detailed estimate		Required as per IRC	
			Depth (in metre) (iii)	Quantity (in cum) (i)x(ii)x(iii)	Depth (in metre) (iv)	Quantity (in cum) (i)x(ii)x(iv)
WMM for 6.300 km	6300	7.00	0.175	7,717.50	0.125 M (125/1.5=83.33mm in terms of BM)	5,512.50 (6,300 x 7.00 x 0.125)
WMM for 11.200 km	11200	7.00	0.200	15,680.00	0.125 M (125/1.5=83.33mm in terms of BM)	9,800.00 (11,200 x 7.00 x 0.125)
Total				24,255.88		16,170.88
Excess Provision of WMM = 8,085 cum (24,255.88 cum – 16,170.88 cum)						
Cost of Excess Provision of WMM= 8085.00 M ³ X ₹ 3242.00 = ₹ 2,62,11,570.00						
Net amount after Less premium rate (@ below 0.01 per cent) = ₹ 2,62,08,948.84 (₹ 2,62,11,570.00 - ₹ 2,621.16)						

