Annexures

Annexure-1.1

(Referred to in paragraphs 1.1 and 1.15)

Statement showing summarised financial position and working results of Government companies and Statutory corporations as per their latest finalised financial statements/ accounts

(Figures in columns (5) to (12) are ₹ in crore)

Sl. No.	Sector /Name of the Company	Period of accounts	Year in which accounts finalised	Paid-up capital	Loans outstanding at the end of the year	Accumulated Profit (+)/ Loss(-)	Turnover	Net Profit(+) / Loss (-)	Net Impact of Audit Comments	Capital employed@	Return on capital employed	Percentage of return on capital employed	Manpower
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)
A. WORKING GOVERNMENT COMPANIES													
AGRICULTURE AND ALLIED													
1	Uttar Pradesh (Madhya) Ganna Beej EvamVikas Nigam Limited	2015-16	2016-17	0.25	2.48	-0.82	0.17	0.03	No Impact	1.91	0.03	1.57	9
2	Uttar Pradesh (Paschim) Ganna Beej EvamVikas Nigam Limited	2013-14	2014-15	0.64	0.00	0.00	0.00	-0.12	-	1.32	-0.12	-9.09	7
3	Uttar Pradesh Beej Vikas Nigam Limited	2012-13	2015-16	6.92	0.00	113.37	272.59	3.51	(DP) 0.86	120.29	6.36	5.29	357
4	Uttar Pradesh Bhumi Sudhar Nigam	2010-11	2015-16	1.50	0.00	26.02	0.14	0.07	under process	27.52	0.07	0.25	863
5	Uttar Pradesh MatsyaVikas Nigam Limited	2008-09	2013-14	1.07	0.00	0.55	2.76	0.63	under process	6.25	0.63	10.08	-
6	U.P. Projects Corporation Limited	2013-14	2015-16	6.40	0.00	51.44	504.43	1.15	(DP) 31.59	57.84	1.2	2.07	555
7	Uttar Pradesh State Agro Industrial Corporation Limited	2009-10	2014-15	40.00	5.00	-26.35	951.95	20.74	(DP) 3.95	40.01	25.77	64.41	648
Sector Wise Total				**56.78**	**7.48**	**164.21**	**1732.04**	**26.01**	**0.00**	**255.14**	**33.94**	**13.30**	**2439**
FINANCE													
8	The Pradeshiya Industrial and Investment Corporation of UP Limited	2013-14	2015-16	135.58	0.00	-317.25	2.16	7.57	(DP)1.87	-64.24	12.05	-18.76	186
9	Uttar Pradesh AlpsankhyakVittyaAvamVikas Nigam Limited	1997-98	2015-16	21.53	7.53	-0.59	2.15	-0.21	under process	20.94	-0.21	-1.00	85
10	Uttar Pradesh PichharaVargVittaEvamVikas Nigam Limited	2011-12	2014-15	8.10	54.12	7.17	2.94	-0.01	(IL) 23.75	62.71	2.41	3.84	14
11	Uttar Pradesh Scheduled Castes Finance and Development Corporation Limited	2011-12	2014-15	216.99	52.82	92.71	31.29	12.49	(DP) 15.67	322.91	14.40	4.46	318
12	Uttar Pradesh State Industrial Development Corporation Limited	2011-12	2015-16	24.07	1.98	434.43	108.09	92.63	(DP) 5.46	458.50	92.63	20.20	604
Sector Wise Total				**406.27**	**116.45**	**216.47**	**146.63**	**112.47**	**0.00**	**800.82**	**121.28**	**15.14**	**1207**
INFRASTRUCTURE													
13	Uttar Pradesh Police Avas Nigam Limited	2014-15	2015-16	3.00	-	14.71	127.66	7.09	(DP) 0.96	17.71	7.09	40.05	151
14	Uttar Pradesh RajkiyaNirman Nigam Limited	2011-12	2015-16	1.00	0.00	702.47	3794.14	207.19	(DP) 76.18	703.47	208.41	29.63	2929

Sl. No.	Sector /Name of the Company	Period of accounts	Year in which accounts finalised	Paid-up capital	Loans outstanding at the end of the year	Accumulated Profit (+)/ Loss(-)	Turnover	Net Profit(+) / Loss (-)	Net Impact of Audit Comments	Capital employed@	Return on capital employed	Percentage of return on capital employed	Manpower
15	Uttar Pradesh State Construction & Infrastructure Development Corporation Limited(formely known asUttar Pradesh SamajKalyanNirman Nigam Limited)	2014-15	2015-16	0.15	0.00	59.96	425.04	-2.72	(IL) 21.01	60.11	-2.7	-4.49	532
16	Uttar Pradesh State Bridge Corporation Limited	2013-14	2015-16	15.00	0.00	164.08	1076.79	37.19	(DP)20.56	179.08	37.19	20.77	4945
17	Lucknow Metro Rail Corporation Limited	2014-15	2015-16	80.05	213.32	185.78	0.00	-2.28	No Impact	300.83	-2.28	-0.76	122
18	Noida Metro Rail Corporation Limited	2015-16	2016-17	300.05	-	525.61	0.00	3.04	under process	825.66	3.04	0.37	2
Sector Wise Total				**399.25**	**213.32**	**1652.61**	**5423.63**	**249.51**	**0.00**	**2086.86**	**250.75**	**12.02**	**8681**
MANUFACTURE													
19	Almora Magnesite Limited (139 (5) & (7) Company)	2015-16	2016-17	2.00	0.00	2.54	28.71	1.90	under process	4.54	1.97	43.39	352
20	Shreetron India Limited (Subsidiary of Uttar Pradesh Electronics Corporation Limited)	2014-15	2015-16	7.22	2.63	4.45	12.60	0.27	under process	14.30	0.27	1.89	7
21	Uptron India Limited (Subsidiary of Uttar Pradesh Electronics Corporation Limited)	1995-96	1997-98	53.16	9.70	-196.73	97.15	-32.12	-	52.06	-4.06	-7.80	
22	UptronPowertronics Ltd. (subsidiary of Uttar Pradesh Electronics Corporation)	2014-15	2015-16	4.07	4.63	-3.22	30.2	1.45	under process	7.07	1.45	20.51	26
23	Uttar Pradesh Drugs and Pharmaceuticals Limited	2009-10	2012-13	1.10	0.00	-26.59	0.33	-8.53	-	-14.02	-8.27	58.99	191
24	Uttar Pradesh Electronics Corporation Limited.	2014-15	2015-16	91.54	113.16	4.33	33.58	2.46	(DP) 72.75	209.04	2.46	1.18	24
25	Uttar Pradesh RajyaChiniAvamGannaVikas Nigam Limited	2012-13	2015-16	880.13	0.00	-796.76	0.04	-4.21	(IL) 9.81	86.49	-4.20	-4.86	14
26	Uttar Pradesh Small Industries Corporation Limited	2005-06	2015-16	5.96	10.24	2.96	68.98	0.63	(DP) 11.07	8.92	0.74	8.30	-
27	Uttar Pradesh State Handloom Corporation Limited	1997-98	2014-15	47.07	123.28	-57.33	27.12	-9.50	-	47.56	-8.19	-17.22	211
28	Uttar Pradesh State Leather Development and Marketing Corporation Limited	2000-01	2002-03	573.94	1.91	-6.85	3.60	0.26	-	4.81	0.31	6.44	1
29	Uttar Pradesh State Spinning Company Limited	2014-15	2015-16	93.24	115.84	-237.52	21.39	-12.86	(IL)6.07	24.94	-12.86	-51.56	890
30	Uttar Pradesh State Sugar Corporation Limited	2012-13	2016-17	1648.31	26.40	-73.29	0.21	7.88	under process	1605.02	12.5	0.78	125
31	Uttar Pradesh State Yarn Company Limited (Subsidiary of Uttar Pradesh State Textile Corporation Limited)	2014-15	2015-16	53.67	61.82	-191.69	0.00	-4.70	(IL) 5.36	-18.59	-1.38	7.42	3
Sector Wise Total				**3461.41**	**469.61**	**-1575.70**	**323.91**	**-57.07**	**0.00**	**2032.14**	**-19.26**	**-0.95**	**1844**
POWER													
32	DakshinanchalVidyutVitaran Nigam Limited (Subsidiary of Uttar Pradesh Power Corporation Limited)	2013-14	2015-16	1946.38	1134.33	-19183.16	4843.73	-5521.00	(IL) 33.08	3537.27	-3994.07	-112.91	5243

Sl. No.	Sector /Name of the Company	Period of accounts	Year in which accounts finalised	Paid-up capital	Loans outstanding at the end of the year	Accumulated Profit (+)/ Loss(-)	Turnover	Net Profit(+) / Loss (-)	Net Impact of Audit Comments	Capital employed@	Return on capital employed	Percentage of return on capital employed	Manpower
33	Kanpur Electricity Supply Company Limited	2013-14	2015-16	163.15	1522.22	-3320.86	1545.24	-674.00	-	-90.80	-379.66	418.13	1674
34	Madhyanchal VidyutVitaran Nigam Limited (Subsidiary of Uttar Pradesh Power Corporation Limited)	2013-14	2015-16	2780.44	10531.41	-11733.15	4495.74	-3262.77	(DL) 33.78	3575.40	-2440.12	-68.25	6961
35	PaschimanchalVidyutVitaran Nigam Limited (Subsidiary of Uttar Pradesh Power Corporation Limited)	2013-14	2015-16	2478.2	9564.76	-10754.43	8926.72	-3171.51	(IL) 0.39	3434.15	-2190.59	-63.79	5708
36	PurvanchalVidyutVitaran Nigam Limited (Subsidiary of Uttar Pradesh Power Corporation Limited)	2013-14	2015-16	3086.12	625.47	-15110.38	4960.65	-4094.62	-	2547.86	-2856.51	-112.11	7786
37	Sonebhadra Power Generation Company Limited	2011-12	2015-16	0.07	0.00	-3.68	0.04	-0.71	-	-3.61	-0.71	19.67	-
38	UCM Coal Company Limited	2014-15	2016-17	0.16	0.50	0.08	0.00	0.00	-	0.74	0.00	0.00	-
39	UPSIDC Power Company Limited (Subsidiary of Uttar Pradesh State Industrial Development Corporation Limited)	2012-13	2014-15	0.05	0.00	-0.24	0.00	-0.02	-	-0.19	-0.02	10.53	0
40	Uttar Pradesh Jal Vidyut Nigam Limited	2013-14	2015-16	434.53	149.86	-308.28	103.32	10.38	(DP) 0.67	278.33	32.91	11.82	543
41	Uttar Pradesh Power Corporation Limited	2013-14	2014-15	35690.22	30378.80	-34679.69	36521.05	-1489.77	(IL) 18.76	55529.32	-1338.84	-2.41	1685
42	Uttar Pradesh Power Transmission Corporation Limited	2014-15	2016-17	8641.2	8397.65	-388.49	1304.91	-71.87	under process	14692.10	324.87	2.21	6094
43	Uttar Pradesh RajyaVidyutUtpadan Nigam Limited	2014-15	2015-16	8043.05	11223.47	908.23	8251.26	98.71	(DP) 2.35	18797.19	871.06	4.63	8425
44	JawaharVidyutUtpadan Nigam Limited	2013-14	2015-16	0.05	0.00	-0.76	-	0.00	-	-0.71	0.00	0.00	-
45	Yamuna Power Generation Corporation Limited (Incorporated w.e.f. 20-04-10)	2010-11	2015-16	0.05	0.00	0.00	0.00	-1.21	under process	0.05	-1.21	-2420.00	0
Sector Wise Total				**63263.67**	**73528.47**	**-94574.80**	**70952.66**	**-18178.39**	**0.00**	**102297.10**	**-11972.89**	**-11.70**	**44119**
SERVICE													
46	Uttar Pradesh Development Systems Corporation Limited	2014-15	2015-16	1.00	0.00	5.18	7.78	2.66	(DP) 0.24	6.18	2.66	43.04	75
47	Uttar Pradesh Handicraft & Marketing Development Corporation Limited(Formerly Uttar Pradesh Export Corporation Limited)	2006-07	2014-15	7.24	7.44	21.92	7.48	-0.70	-	7.51	-0.70	-9.32	70
48	Uttar Pradesh Food and Essential Commodities Corporation Limited	2007-08	2015-16	5.50	11.88	23.61	877.4	4.17	(DP) 0.25	105.87	4.87	4.60	661
49	Uttar Pradesh State Tourism Development Corporation Limited	2013-14	2015-16	18.60	0.96	-14.22	33.09	-0.45	(IL)0.33	5.70	-0.43	-7.54	490
Sector Wise Total				**32.34**	**20.28**	**36.49**	**925.75**	**5.68**	**0.00**	**125.26**	**6.40**	**5.11**	**1296**
MISCELLENEOUS													

Sl. No.	Sector /Name of the Company	Period of accounts	Year in which accounts finalised	Paid-up capital	Loans outstanding at the end of the year	Accumulated Profit (+)/ Loss(-)	Turnover	Net Profit(+) / Loss (-)	Net Impact of Audit Comments	Capital employed@	Return on capital employed	Percentage of return on capital employed	Manpower
50	Uttar Pradesh MahilaKalyan Nigam Limited	2013-14	2014-15	5.19	-	2.07	0.60	0.36	under process	8.52	0.36	4.23	24
51	Uttar Pradesh PurvaSainikKalyan Nigam Limited	2013-14	2015-16	0.43	0.00	120.98	185.41	22.50	(IP) 0.19	121.41	22.50	18.53	157
52	Uttar Pradesh WaqfVikas Nigam Limited	2002-03	2016-17	4.63	-	0.46	0.41	0.09	0.00	5.09	0.09	1.77	24
53	Lucknow City Transport Services Limited (Incorporated w.e.f. 01-02-10)	Accounts not finalised			-							-	-
54	Meerut City Transport Services Limited	2010-11	2012-13	0.05	-	0.00	0.00	0.00	(IL) 0.09	0.40	0.00	-	448
55	Allahabad City Transport Services Limited	2011-12	2015-16	0.05	11.64	0.00	0.00	0.00	0.00	0.00	0.00	0.00	456
56	Agra Mathura City Transport Services Limited(Incorporated w.e.f. 08-07-10)	Accounts not finalised			8.05								699
57	Kanpur City Transport Services Limited (Incorporated w.e.f. 28-04-10)	Accounts not finalised											
58	Varanasi City Transport Services Limited (Incorporated w.e.f.15-06-10)	Accounts not finalised											
Sector Wise Total				**10.35**	**19.69**	**123.51**	**186.42**	**22.95**	**0.00**	**135.42**	**22.95**	**22.76**	**1808**
Total A (All sector wise working Government companies)				**67630.07**	**74375.30**	**-93957.21**	**79691.04**	**-17818.84**	**0.00**	**107732.74**	**-11556.83**	**-**	**61394**
B. Statutory corporations													
AGRICULTURE & ALLIED													
1	Uttar Pradesh State Warehousing Corporation	2013-14	2015-16	13.37	0.00	414.61	279.11	66.15	(DP)2.54	427.98	66.15	15.46	1235
Sector Wise Total				**13.37**	**0.00**	**414.61**	**279.11**	**66.15**	**0.00**	**427.98**	**66.15**	**15.46**	**1235**
FINANCE													
2	Uttar Pradesh Financial Corporation	2012-13	2015-16	179.28	648.02	-898.38	22.22	17.38	under process	864.41	17.40	2.01	697
Sector Wise Total				**179.28**	**648.02**	**-898.38**	**22.22**	**17.38**	**0.00**	**864.41**	**17.40**	**2.01**	**697**
INFRASTRUCTURE													
3	Uttar Pradesh AvasEvamVikasParishad	2014-15	2015-16	0.00	-	4696.58	498.59	32.71	under process	4696.58	32.71	0.70	3955
4	Uttar Pradesh Jal Nigam	2010-11	2012-13	0.00	270.03	-63.52	655.51	20.10	-	9741.13	59.80	0.61	16357
Sector Wise Total				**0.00**	**270.03**	**4633.06**	**1154.10**	**52.81**	**0.00**	**14437.71**	**92.51**	**0.64**	**20312**
SERVICE													
5	Uttar Pradesh State Road Transport Corporation	2013-14	2014-15	418.07	292.86	-1319.25	2934.63	-131.54	(IL) 10.00	-438.60	-100.99	23.03	27172
6	Uttar Pradesh Government Employees Welfare Corporation	2012-13	2014-15	0.00	9.51	2	748.77	23.12	under process	36.00	27.01	75.03	889
Sector Wise Total				**418.07**	**302.37**	**-1317.25**	**3683.40**	**-108.42**	**0.00**	**-402.60**	**-73.98**	**18.38**	**28061**
MISCELLANEOUS													

Sl. No.	Sector /Name of the Company	Period of accounts	Year in which accounts finalised	Paid-up capital	Loans outstanding at the end of the year	Accumulated Profit (+)/ Loss(-)	Turnover	Net Profit(+) / Loss (-)	Net Impact of Audit Comments	Capital employed@	Return on capital employed	Percentage of return on capital employed	Manpower
7	Uttar Pradesh Forest Corporation*	2014-15	2015-16	0	0.00	1408.32	451.66	1.01	(DP)1.12	1425.32	1.01	0.07	2273
Sector Wise Total				**0.00**	**0.00**	**1408.32**	**451.66**	**1.01**	**0.00**	**1425.32**	**1.01**	**0.07**	**2273**
Total B (All sector wise working Statutory corporations)				**610.72**	**1220.42**	**4240.36**	**5590.49**	**28.93**	**0.00**	**16752.82**	**103.09**	**0.62**	**52578**
Grand Total (A + B)				**68240.79**	**75595.72**	**-89716.85**	**85281.53**	**-17789.91**	**0.00**	**124485.56**	**-11453.74**	**-9.20**	**113972**
C. Not working Government companies													
AGRICULTURE AND ALLIED													
1	Command Area Poultry Development Corporation Limited (139 (5) & (7) company)	1994-95	-	0.24	0.00	-	0.96	0.01	-	-	0.01	-	
2	Uttar Pradesh (Poorva) Ganna Beej EvamVikas Nigam Limited	2002-03 (UL from 01-07-03)	2004-05	0.31	1.69	-0.55	0.04	-0.18	-	1.53	-0.14	-	19
3	Uttar Pradesh (RohilkhandTarai) Ganna Beej EvamVikash Nigam Limited	2006-07 (UL from 01-07-03)	2008-09	0.71	6.55	-8.01	0.11	-1.05	-	3.31	0.05	1.51	-
4	Uttar Pradesh PashudhanUdyog Nigam Limited	2011-12	2016-17	2.73	0.71	-5.23	0	0.25	under process	4.10	0.36	8.78	0
5	Uttar Pradesh Poultry and Livestock Specialties Limited	2009-10	2014-15	2.94	1.10	-4.00	0.015	-0.17	(IL) 0.31	0.04	-0.01	-25.00	0
6	Uttar Pradesh State Horticultural Produce Marketing & Processing Corporation Limited	1984-85	1994-95	1.90	1.22	-2.55	0.27	-0.67	-	80.72	-0.52	-	330
Sector Wise Total				**8.83**	**11.27**	**-20.34**	**1.40**	**-1.81**	**0.00**	**89.70**	**-0.25**	**-0.28**	**349**
FINANCE													
7	Uplease Financial Services Limited (Subsidiary of Uttar Pradesh Electronics Corporation Limited)	1997-98	1998-99	1.05	4.15	-0.40	1.29	-0.40	-	5.34	0.14	2.62	-
8	Uttar Pradesh Panchayati Raj VittaEvamVikas Nigam Limited	1995-96	2012-13	1.46	-	-0.36	0.45	-0.16	under process	1.50	-0.16	-10.67	52
Sector Wise Total				**2.51**	**4.15**	**-0.76**	**1.74**	**-0.56**	**0.00**	**6.84**	**-0.02**	**-0.29**	**52**
INFRASTRUCTURE													
9	Uttar Pradesh Cement Corporation Limited	1995-96 (UL from 08-02-1999)	1996-97	68.28	124.77	-425.99	113.01	-47.75	-	-239.80	-22.91	-	
10	Uttar Pradesh State Mineral Development Corporation Limited	2011-12	2013-14	59.43	19.74	-77.36	1.76	-0.27	-	-0.09	1.28	-	
11	Vindhyachal Abrasives Limited (Subsidiary of Uttar Pradesh State Mineral Development Corporation Limited)	1987-88 (UL from 28-11-2002)	1995-96	-	0.84	-0.11	-	-0.12	-	0.01	-0.11	-	-
Sector Wise Total				**127.71**	**145.35**	**-503.46**	**114.77**	**-48.14**	**0.00**	**-239.88**	**-21.74**		**0**

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MANUFACTURE													
12	Auto Tractors Limited	1991-92 (UL from 14-02-2003)	1995-96	7.50	0.38	-	6.31	0.11	-	11.14	0.37	3.32	-
13	BhadohiWoollens Limited (Subsidiary of Uttar Pradesh State Textile Corporation Ltd.)	1994-95 (UL from 20-02-96)	-	3.76	0.00	-11.95	0.27	-1.66	-	-0.49	0.85	-173.47	-
14	Chhata Sugar Company Limited (Subsidiary of Uttar Pradesh State Sugar Corporation Limited)	2013-14	2015-16	81.38	0.23	-105.41	0.00	-3.28	(IL)0.10	11.19	-1.19	-10.63	7
15	Continental Float Glass Limited	1997-98 (UL from 01-04-2002)	2002-03	46.24	138.85	-	-	-	-	83.87	Company went into Liquidation (since inception)		-
16	Electronics and Computers (India) Limited (139 (5) & (7) Company)	(UL from (14-07-1981)	-	-	0.00	-	-	-	-	-	-		-
17	Ghatampur Sugar Company Limited (Subsidiary of Uttar Pradesh State Sugar Corporation Limited	2014-15	2015-16	147.71	2.16	-155.56	0.00	0.31	(DP)0.37	147.80	0.31	0.21	11
18	Kanpur Components Limited (Subsidiary of Uttar Pradesh Electronics Corporation Limited)	(UL from 10-06-1996)	-	-	0.00	-	0.05	-	-	-	-		-
19	Nandganj-Sihori Sugar Company Limited (Subsidiary of Uttar Pradesh State Sugar Corporation Limited)	2012-13	2015-16	256.80	7.69	-250.31	0.00	-3.43	(DL)1.67	256.84	-2.94	-1.14	80
20	The Indian Turpentine and Rosin Company Limited	2010-11	2012-13	0.22	7.21	-32.93	0.03	-0.60	-	-25.54	-0.50	-	-
21	Uttar Pradesh Abscott Private Limited (Subsidiary of Uttar Pradesh Small Industries Corporation Limited)	1975-76 (UL from 19-04-1996)		0.05	0.00	-	-	-0.02	-	0.12	-0.01	-	-
22	Uttar Pradesh Carbide and Chemicals Limited (Subsidiary of Uttar Pradesh State Mineral Development Corporation Limited)	1992-93 (UL from 19-02-94)	-	6.58	11.02	-35.32	2.26	-6.18	-	-18.45	-0.51	-	
23	Uttar Pradesh Instruments Limited (Subsidiary of Uttar Pradesh State Industrial Development Corporation Limited)	2001-02	2005-06	1.93	17.04	-38.75	0.16	-0.29	-	0.35	-0.27	-	259
24	Uttar Pradesh Plant Protection Appliances (Private) Limited (Subsidiary of Uttar Pradesh Small Industries Corporation Limited)	1974-75 (UL from 11/2003)	1984-85	0.01	0.00	0.01	0.04	-0.01	-	-0.34	-0.01	-	-
25	Uttar Pradesh State Brassware Corporation Limited	1997-98	2007-08	5.38	1.94	-6.04	0.53	2.39	-	3.59	2.51	69.92	
26	Uttar Pradesh State Textile Corporation Limited	2014-15	2015-16	160.79	0.00	-503.03	0.00	-8.48	(DL) 7.7	-342.24	-1.62	0.47	0
Sector Wise Total				**718.35**	**186.52**	**-1139.29**	**9.65**	**-21.14**	**0.00**	**127.84**	**-3.01**	**-**	**357**

Sl. No.	Sector /Name of the Company	Period of accounts	Year in which accounts finalised	Paid-up capital	Loans outstanding at the end of the year	Accumulated Profit (+)/ Loss(-)	Turnover	Net Profit(+) / Loss (-)	Net Impact of Audit Comments	Capital employed@	Return on capital employed	Percentage of return on capital employed	Manpower
SERVICE													
27	Agra Mandal Vikas Nigam Limited	1988-89	2007-08	1.00	0.05	-0.35	3.91	-0.09	-	0.92	-0.09	-	
28	Allahabad Mandal Vikas Nigam Limited	1983-84	1992-93	0.55	0.66	-0.11	2.74	-0.11	-	0.99	-0.10	-	-
29	Bareilly Mandal Vikas Nigam Limited	1988-89	2011-12	1.00	0.00	-1.52	3.33	-0.39	-	4.63	-0.27	-	-
30	Gorakhpur Mandal Vikas Nigam Limited	1988-89	2013-14	1.26	0.92	-1.59	0.25	-0.07	-	0.59	-0.07	-	0
31	Lucknow MandaliyaVikas Nigam Limited	1981-82	1992-93	0.50	0.86	1.49	1.70	0.01	-	0.61	0.01	1.64	-
32	Meerut Mandal Vikas Nigam Limited	2008-09	2010-11	1.00	0.00	-1.50	-	-0.03	-	-0.01	-0.03		-
33	Moradabad Mandal Vikas Nigam Limited	1991-92	2011-12	0.25	0.65	-0.78	0.85	-0.19	-	0.12	-0.08		
34	TaraiAnusuchitJanjatiVikas Nigam Limited	1982-83	1990-91	0.25	1.25	-	0.01	-0.04	-	0.70	-0.04		
35	Uttar Pradesh BundelkhandVikas Nigam Limited	2010-11	2016-17	1.23	0.05	0.01	0.00	0.09	(DP)0.01	1.29	0.09	6.98	1
36	Uttar Pradesh Chalchitra Nigam Limited	2009-10	2011-12	8.18	2.47	-14.80	0.12	-0.38	(IL) 0.14	-4.14	0.02	-	0
37	Uttar Pradesh PoorvanchalVikas Nigam Limited	1987-88	1994-95	1.15	0.35	-1.08	1.30	-0.14	-	0.19	-0.14	-	-
38	Varanasi Mandal Vikas Nigam Limited	1987-88	1993-94	0.70	0.00	-0.26	1.47	-0.03	-	0.88	-0.03	-	-
Sector Wise Total				**17.07**	**7.26**	**-20.49**	**15.68**	**-1.37**	**0.00**	**6.77**	**-0.73**	**-10.78**	**1**
Total C (All sector wise not working Government Companies)				**874.47**	**354.55**	**-1684.34**	**143.24**	**-73.02**	**0.00**	**-8.73**	**-25.75**	**-**	**759**
Grand Total (A + B + C)				**69115.26**	**75950.27**	**-91401.19**	**85424.76**	**-17862.93**	**0.00**	**124476.83**	**-11479.49**	**-**	**114731**

Source: Information furnished by the PSUs

Note 1: Above includes Companies under Section 139 (5) and 139 (7) of the Companies Act, 2013 at Sl. no. A-19, C-1 and C-16.
Note 2: Paid up capital includes share application money.
Note 3: IL indicates increase in loss, DL indicates decrease in loss, IP indicates increase in profit and DP indicates decrease in profit.
Note 4: Net Impact of audit comments includes the net impact of commentsof Statutory Auditor and CAG.
Note 5: Return on capital employed has been worked out by adding profit and interest charged to profit and loss account.
Note 6: Loans outstanding at the end of year represents long term loans only.
Note 7: UL indicates under liquidation.
@ Capital employed represents Shareholders funds and long term borrowings.
*** The audit of Accounts for the period 1999-2000 to 2007-08 was conducted by Local Audit and Audit for the year 2008-09 was entrusted to this Office as per order of the Forest Corporation dated 31 July 2010 after doing necessary amendments in the U. P. Forest Corporation Act, 1974.**

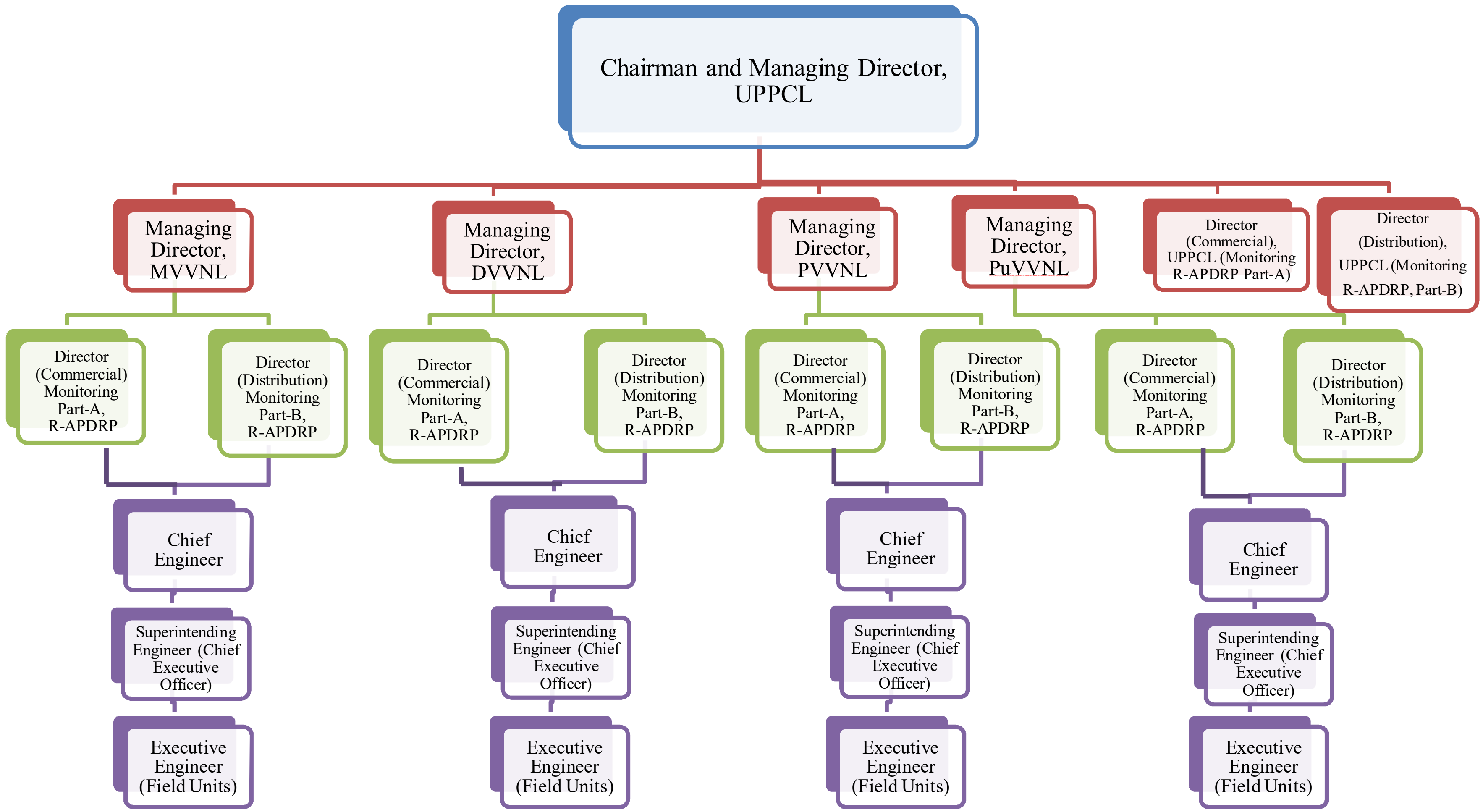
Annexure-1.2
(Referred to in paragraph 1.11)
Statement showing investments made by the State Government in PSUs whose accounts are in arrears

(Figures in columns 4 & 6 to 9 are ₹ in crore)

Sl. No.	Name of the Public Sector Undertaking	Year up to which accounts finalised	Paid up capital	Period of accounts pending finalisation	Investment made by State Government during the year for which accounts are in arrears			
					Equity	Loans	Grants	Subsidies
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
A.	**Working Government Companies**							
1	Uttar Pradesh Scheduled Castes Finance and Development Corporation Limited	2011-12	216.99	2012-13 to 2015-16	0.00	0.00	0.00	59.17
2	Uttar Pradesh Electronics Corporation Limited.	2014-15	91.54	2015-16	0.00	0.00	20.93	0.00
3	Uttar Pradesh State Yarn Company Limited (Subsidiary of Uttar Pradesh State Textile Corporation Limited)	2014-15	53.67	2015-16	0.00	0.85	0.00	0.00
4	Uttar Pradesh State Tourism Development Corporation Limited	2013-14	18.60	2014-15 to 2015-16	14.00	0.00	0.00	0.00
5	Lucknow Metro Rail Corporation	2014-15	80.05	2015-16	450.00	150.00	300.00	0.00
6	Uttar Pradesh Food & Essential Commodities Corporation Limited	2007-08	5.50	2008-09 to 2015-16	5.50	11.88	0.00	0.00
7	UP RajyaVidyutUtapadan Nigam Limited	2014-15	8043.05	2015-16	832.91	0.00	0.00	0.00
8	Uttar Pradesh Power Transmission Corporation Limited (Subsidiary of Uttar Pradesh Power Corporation Limited)	2014-15	8641.20	2015-16	1450.00	0.00	0.00	0.00
9	Uttar Pradesh Power Corporation Limited	2013-14	35690.22	2014-15 to 2015-16	16498.92	0.00	0.00	0.00
	Total A (Working Government Companies)		**52840.82**		**19251.33**	**162.73**	**320.93**	**59.17**
B.	**Working Statutory Corporations**				**NIL**			
C.	**Not Working Companies**				**NIL**			
	Grand Total (A+B+C)		**52840.82**		**19251.33**	**162.73**	**320.93**	**59.17**

Source: Information furnished by the PSUs

Annexure-2.1.1
(Referred to in paragraph 2.1.3)
Organisational Chart



Annexure-2.1.2
(Referred to in paragraph2.1.6)
Statement showing test checked towns

Part-A		Part-B		SCADA Town	
Sl. No.	Name of Town	Sl. No.	Name of Town	Sl. No.	Name of Town
DakshinanchalVidyutVitran Nigam Limited					
1	Firozabad	1	Firozabad	1	Aligarh
2	Jhansi	2	Jhansi	2	Firozabad
3	Aligarh	3	Aligarh	3	Jhansi
4	Etawah	4	Etawah		
5	Lalitpur	5	Lalitpur		
6	Kasganj	6	Kasganj		
7	Gursahaiganj	7	Gursahaiganj		
8	Kannauj	8	Kannauj		
9	Kaimganj	9	Kaimganj		
10	Mathura	10	Mathura		
PurvanchalVidyutVitran Nigam Limited					
11	Allahabad	11	Allahabad	4	Allahabad
12	Azamgarh	12	Azamgarh	5	Gorakhpur
13	Gorakhpur	13	Gorakhpur	6	Varanasi
14	Jaunpur	14	Jaunpur		
15	Mubarakpur	15	Mubarakpur		
16	Renukoot	16	Renukoot		
17	Robertsganj	17	Robertsganj		
18	Varanasi	18	Varanasi		
PaschimanchalVidyutVitran Nigam Limited					
19	Debai	19	Debai	7	Ghaziabad
20	Hasanpur	20	Hasanpur	8	Meerut
21	Kairana	21	Kairana	9	Moradabad
22	Baghpat	22	Baghpat	10	Saharanpur
23	Baraut	23	Baraut		
24	Hapur	24	Hapur		
25	Bijnore	25	Bijnore		
26	Najibabad	26	Najibabad		
27	Sambhal	27	Sambhal		
28	Noida				
29	Ghaziabad	28	Ghaziabad		
30	Meerut	29	Meerut		
31	Moradabad	30	Moradabad		
32	Saharanpur	31	Saharanpur		
Madhyanchal VidyutVitran Nigam Limited					
33	Akbarpur	32	Akbarpur	11	Bareily
34	Balrampur	33	Balrampur	12	Lucknow
35	Bangarmau	34	Bangarmau		
36	Bareilly	35	Bareilly		
36	Faizabad	36	Faizabad		
38	Hardoi	37	Hardoi		
39	Lucknow	38	Lucknow		
40	Mohammadi	39	Mohammadi		
41	Shahabad	40	Shahabad		
42	Sultanpur	41	Sultanpur		
43	Unnao	42	Unnao		

Source: Sampling done by Audit

Annexure-2.1.3

(Referred to in paragraphs 2.1.7 and 2.1.27)

(A) Statement showing overall financial progress of R-APDRP as on 31 March 2016

(₹ in crore)

R-APDRP	DVVNL		MVVNL		PVVNL		PuVVNL		Total	
	Receipt	Expenditure	Receipt	Expenditure	Receipt	Expenditure	Receipt	Expenditure	Receipt	Expenditure
Part-A (i)	54.39	86.90	186.23	186.23	161.57	153.87	72.31	81.01	474.50	508.01
Part-A (ii) SCADA	13.91	2.88	9.94	1.74	33.88	7.11	22.23	5.86	79.96	17.60
Part-B	1752.59	1568.17	714.50	680.46	585.27	540.89	503.88	449.60	3556.24	3239.12
Total	**1820.89**	**1657.95**	**910.67**	**868.43**	**780.72**	**701.87**	**598.42**	**536.47**	**4110.70**	**3764.73**

Source: Information furnished by DISCOMs

(B) Statement showing financial progress of test checked towns as on 31 March 2016

(₹ in crore)

R-APDRP	DVVNL		MVVNL		PVVNL		PuVVNL		Total	
	Receipt	Expenditure	Receipt	Expenditure	Receipt	Expenditure	Receipt	Expenditure	Receipt	Expenditure
Part-A (i)	27.61	23.54	169.07	182.13	109.34	93.08	42.67	37.51	348.69	336.26
Part-A (ii) SCADA	13.91	2.88	9.94	1.75	33.88	7.11	22.23	5.86	79.96	17.60
Part-B	672.42	628.64	620.25	620.25	260.87	211.93	304.10	299.37	1857.64	1760.19
Total	**713.94**	**655.06**	**799.26**	**804.13**	**404.09**	**312.12**	**369.00**	**342.74**	**2286.29**	**2114.05**

Source: Information furnished by DISCOMs

Annexure-2.1.4

(Referred to in paragraphs 2.1.7 and2.1.27)

(A) Statement showing overall physical progress of Part-B (R-APDRP)

DISCOM	Main Items														
	33/11 KV S/s			11/0.4 KV s/s			11 KV line			ABC Cable			Meter		
	Target	Achievement	*Per cent*	Target	Achievement	*Per cent*	Target	Achievement	*Per cent*	Target	Achievement	*Per cent*	Target	Achievement	*Per cent*
DVVNL	7	2	28.57	4373	3610	82.55	1019.74	803.84	78.83	4371.28	3512.00	80.34	162689	91372	56.16
MVVNL	16	6	37.50	3466	2459	70.95	875.91	565.59	64.57	4617.96	2772.20	60.03	171340	40796	23.81
PVVNL	31	20	64.52	7680	4549	59.23	1575.72	938.53	59.56	3527.40	1889.75	53.57	1953	250	13.11
PuVVNL	18	6	33.33	2062	1209	58.63	803.21	448.96	55.90	2455.12	1521.71	61.98	86196	34370	39.87
	72	34	**47.22**	**17581**	**11827**	**67.27**	**4274.58**	**2756.92**	**64.50**	**14971.76**	**9695.66**	**64.76**	**422178**	**166788**	**39.50**
Overall Physical Progress(in *percent*)															**56.65**

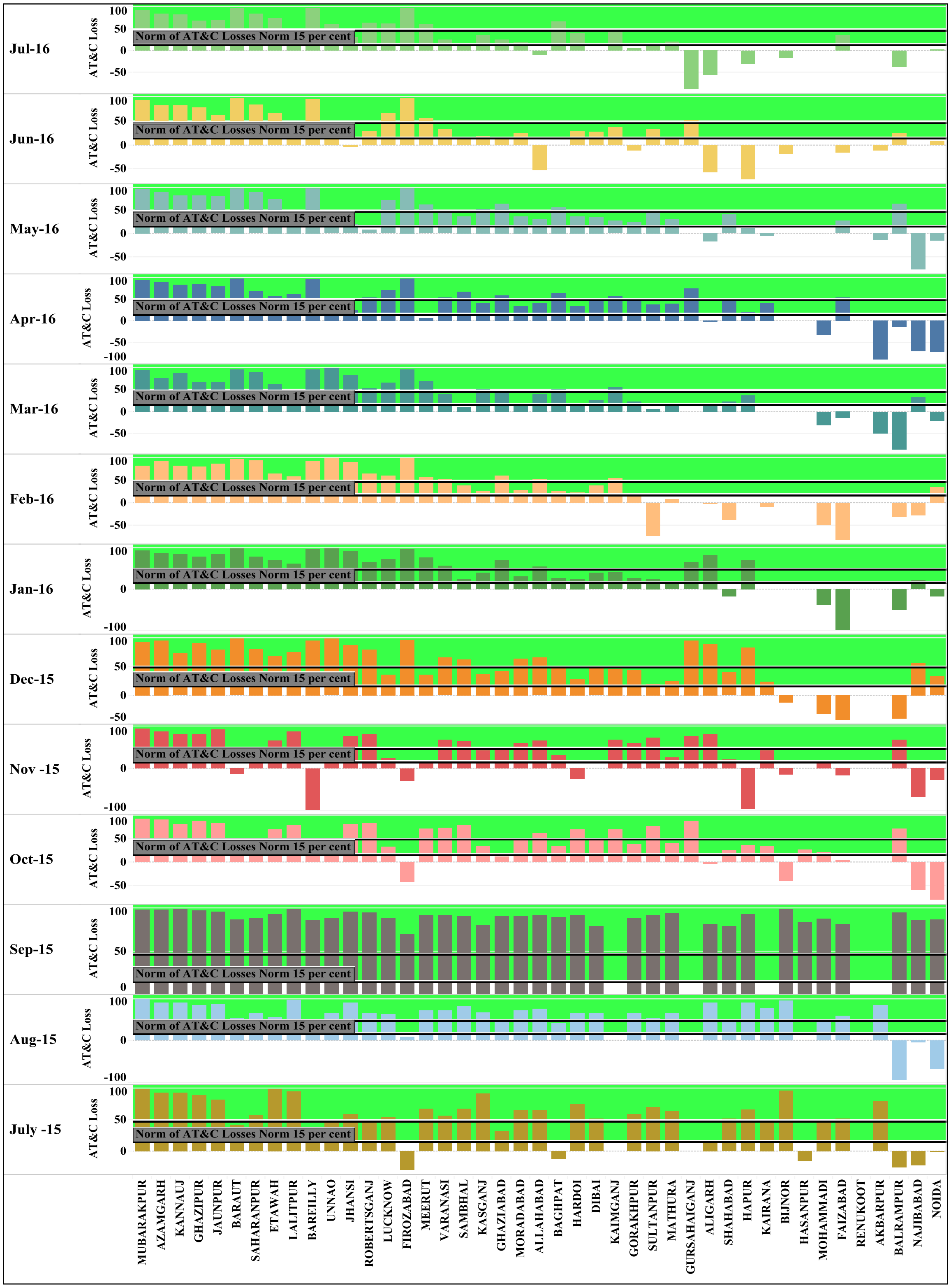
Source: Information furnished by DISCOMs

(B) Statement showing physical progress (test checked town) of Part-B (R-APDRP)

DISCOM	Main Items														
	33/11 KV S/s			11/0.4 KV s/s			11 KV line			ABC Cable			Meter		
	Target	Achievement	*Per cent*	Target	Achievement	*Per cent*	Target	Achievement	*Per cent*	Target	Achievement	*Per cent*	Target	Achievement	*Per cent*
DVVNL	6	1	16.67	2199	1635	74.35	500	392.51	78.50	2275.06	1557.59	68.46	73119	41156	56.29
MVVNL	13	3	23.08	1516	1063	70.12	453.45	359.19	79.21	2672.89	1478.26	55.31	69434	15567	22.42
PVVNL	13	4	30.77	2762	1235	44.71	526.78	217.80	41.35	1956.87	547.06	27.96	1953	250	13.11
PuVVNL	12	6	50.00	1019	560	54.96	399.29	188.05	47.10	599.49	399.37	66.62	57340	11398	19.88
Total	44	14	**31.82**	**7496**	**4493**	**59.94**	**1879.52**	**1157.55**	**61.59**	**7504.31**	**3982.28**	**53.07**	**201846**	**683771**	**33.87**
Physical Progress of Sample Town (in *percent*)															**48.06**

Source: Information furnished by DISCOMs

Annexure-2.1.5
(Referred to in paragraph 2.1.12)
Chart showing town-wise AT&C losses



Source: Information provided by UPPCL

Annexure-2.1.6
(Referred to in paragraph 2.1.16)
Statement showing module-wise recommendations to address the deficiencies noticed in UAT

Sl. No.	Module-wise recommendations
1.	**New Connection Module**
	• New connection module: Idle session time of a user should be increased to twenty minutes. • Load enhancement process transactions are taking relatively longer time for execution, the same needs to be checked and rectified. • Load correction case: Enclosure documents state should be removed. • Load change process needs to be shortened. • Meter cost calculation in meter change scenario for load change case when voltage change evolve, needs to be automated. • System line charges should be renamed to 'System line charges/meter cost'. • Data correction case should not be used for COT (Informative Point for Field Experts). • Security update/correction option needs to be made available on production environment through a proper case/process. • Temple/Mosque supply type needs to be updated to 10 (LMV-1) which as per current data is wrongly migrated as supply type 40 (LMV-4). • For new connection case TFR (site inspection) feedback a mandatory option 'whether multi-storey building? Yes/No' needs to be added. • For new connection case physical form receiving authority should be as per load sanction hierarchy. • Load sanction hierarchy for SDO needs to be updated from present 7.5 KW to 10 KW. • JE allocation for TFR (other than LMV-1 up to 4 KW) for new connection will first be forwarded by user (in accordance with load sanction hierarchy) to SDO and then from SDO to concerned JE. • For dues found case where the status needs to be changed to dues not found an additional option 'Dues Transferred to inoperative Account' needs to be added. • New connection with augmentation-point to be re-tested on production in integrated manner with NA, WAM and GIS.
2.	**Disconnection and Dismantling Module**
	• Provision for transfer of all amounts from all service agreements to inoperative service agreement should be build upon; presently option is available with user to transfer these one by one. • Disconnection cases should be made more user friendly. • Once the meter is removed from the site and returned to stock location, the custodian of the stock location should get intimation about the same. • A provision should be made in system to generate, in batch mode, and monitor Section 3 and Section 5 notices. • Provision to print bill on pre printed stationary should be incorporated. • Data provided by vendors for inoperative accounts needs to be checked as post migration the security deposit is being reflected separately. • There is no option for PD of consumers having no material at site. • Ability for PD: Not being done by ID of billing clerk. • Consumers remain operative even after completion of field activities. • After reducing fictitious arrears through Adj (+) after transferring consumers to inoperative, full amount is shown all the time of total payment.

Sl. No.	Module-wise recommendations
3.	**Network Analysis Module**
	• User should be able to use the standard 33/11 kV substation in case of new substation proposal. • Preparation of Cost data book as per equipment used in the MVVNL. HCL requested for one Utility engineer for providing and reviewing the cost. • Add satellite image with GIS shape file in the background of electrical network. • Sometime technical feasibility report does not fetch on NA web application in case of new connection without augmentation. • On web, we can do load flow, short circuit analysis and technical feasibility of not augmented case and providing all analysis related to electrical distribution system on desk top application. • The frequency of GIS data extraction for network analysis will be decided mutually with discom by HCL. • KW and KVA values are sum of A, B, C phase. • Breakeven loading of conductor and cable is not available. • UAT should have been conducted on test environment. • UAT was conducted on partially available Aligarh data for NA module.
4.	**Customer Care Centre**
	• There was no provision of total summary of number of complaints circle wise/ division wise/ SDO wise. • Some modifications are to be done to reduce the time taken for registering a complaint in Toll free number
5.	**Web Self Service**
	• Information regarding consumer registration online on www.uppclonline.com should be printed on the bill. • 17 percent charge is being levied on amount paid through credit cards; so high value consumers do not find this facility attractive.
6.	**Billing**
	• System need to be made more users friendly. • Load should be displayed to two decimal places. • The field name for "Check whether shunt Capacitor installed and working". • The field name for "PF Penalty" should be replaced with "Capacitor Surcharge". • Excess contracted Demand Penalty should be multiplied with number of month change. • Excess charging for consumer having HT load and metering at LT for KVAh consumption should be charged at the rate of 3% as per UAT committee instead of 3.34%. • The UAT committee suggested that the tariff order of all the previous years should be configured in the system (for any previous years' calculation). However, as per the core committee direction, only the current tariff order is to be maintained in the system. • In addition to existing Bill Register format a new template to be designed in the excel format.
7.	**Assets Management**
	• Assets could not be found according to the type *e.g.* PCC poles, STP poles etc. • Backlog and production manager are not available in the provision of multiple responsibility codes function. • Authorisation required on audit log. • Reporting port not available.
8.	**Maintenance Management**
	• UAT of integrated system for all 17 modules should be conducted separately at a centre location so that proper integrated functionality could be tested. • Locally purchased items (materials) cost should be available in materials list. • The maintenance management module should be made hire only after actual work.

Source: Information furnished by DISCOMs

Annexure-2.1.7
(Referred to in paragraph2.1.22)
Statement showing milestone based payment to IT consultant

Sl. No.	Particular	Percentage of Contract Value
1	**A report giving clear picture on:-** • Existing IT Infrastructure in the Utility. • Identification of IT Infrastructure requirements of utility and gaps that need to be addressed. • Recommendation on total expenditure required for putting IT infrastructure with assessment of quantum that can be funded through R-APDRP. • Project area identified for implementation of IT infrastructure • Recommendation on phasing of project area for IT implementation based on readiness on towns for the same. • Assist in populating and submission of DPRs.	3
2	**A report stating :-** • Legacy systems that can be integrated with the solutions proposed ITIA. • Cost Benefit and Performance impact analysis of integrating the legacy systems to adapting other solutions which may be available. • Feasibility of proposed solutions to integrate with upcoming solutions like SCADA, DMS etc. • Costing for the above work. • Certification for suitability and viability of the final DPR within the framework of SRS document and R-APDRP guidelines.	7
3	• Release of customized RFP document for ITIA appointment. • Finalisation of contract with selected ITIA bidder.	10
4	• On receipt and installation of all the necessary software, hardware/network equipments at the Data Centre.	5
5	• On successful commissioning of at least half of the total number of towns to be covered.	10
6	• On successful commissioning of all towns under the scope of towns to be covered.	15
7	**Go-Live of Towns:** • The amount to be paid on proportional terms based on the population of the town and population of all the towns covered under the programme. Payment shall be made after the Go-Live of each town.	20
8	• On successful completion of all responsibilities and obligations under the contract.	20

Source: Information furnished by DISCOMs

Annexure-2.1.8
(Referred to in paragraph 2.1.36)
Statement showing delay in award of work of Part-B from date of sanction of projects

Sl. No.	Town	Date of Appointment of consultant for DPR preparation	Date of approval of Part-A projects	Date on which Original DPR was approved by Steering Committee	Date of award of work	Date of Agreement	Delay in award of work to TKC (Excluding six months from the date of sanction of Part-A projects) (in Months)
1	2	3	4	5	6	7	8 (6-(4+180 Days))/30
DakshinanchalVidyutVitran Nigam Limited							
1	Firozabad	March 2009	30-Jun-09	15-Jun-11	1-Mar-14	14-Mar-14	51
2	Jhansi		30-Jun-09	15-Jun-11	4-Mar-14	14-Mar-14	51
3	Aligarh		30-Jun-09	15-Jun-11	4-Mar-14	19-Mar-14	51
4	Etawah		30-Jun-09	16-Aug-10	28-Aug-12	12-Sep-12	33
5	Lalitpur		30-Jun-09	16-Aug-10	28-Aug-12	12-Sep-12	33
6	Gursahaiganj		30-Jun-09	16-Aug-10	28-Aug-12	12-Sep-12	33
7	Kannauj		30-Jun-09	16-Aug-10	28-Aug-12	12-Sep-12	33
8	Kaimganj		30-Jun-09	16-Aug-10	28-Aug-12	12-Sep-12	33
9	Kasganj		30-Jun-09	16-Aug-10	28-Aug-12	12-Sep-12	33
10	Mathura		30-Jun-09	16-Aug-10	3-Jan-14	14-Feb-14	49
PurvanchalVidyutVitran Nigam Limited							
11	Allahabad	September 2009	30-Jun-09	6-Aug-13	19-Jan-15	18-Feb-15	62
12	Azamgarh		30-Jun-09	16-Aug-10	8-Aug-14	12-Aug-14	56
13	Gorakhpur		30-Jun-09	6-Aug-13	9-Mar-15	20-Mar-15	63
14	Jaunpur		30-Jun-09	16-Aug-10	15-Jan-13	15-Feb-13	37
15	Mubarakpur		30-Jun-09	16-Aug-10	15-Jan-13	18-Feb-13	37
16	Renukoot		30-Jun-09	16-Aug-10	18-Dec-12	22-Jan-13	36
17	Robertsganj		30-Jun-09	16-Aug-10	18-Dec-12	28-Jan-13	36
18	Varanasi		30-Jun-09	6-Aug-13	19-Jan-15	18-Feb-15	62
PaschimanchalVidyutVitran Nigam Limited							
19	Debai	November 2009	30-Jun-09	8-Dec-10	1-Sep-12	18-Sep-12	33
20	Hasanpur		30-Jun-09	8-Dec-10	1-Sep-12	1-Oct-12	33
21	Kairana		30-Jun-09	8-Dec-10	1-Sep-12	19-Sep-12	33
22	Baghpat		30-Jun-09	8-Dec-10	22-Nov-12	5-Dec-12	35
23	Baraut		30-Jun-09	8-Dec-10	22-Nov-12	5-Dec-12	35
24	Hapur		30-Jun-09	8-Dec-10	1-Sep-12	18-Sep-12	33
25	Bijnore		30-Jun-09	8-Dec-10	28-Oct-14	21-Apr-15	59
26	Najibabad		30-Jun-09	8-Dec-10	28-Oct-14	21-Apr-15	59
27	Sambhal		30-Jun-09	8-Dec-10	28-Oct-14	5-Dec-14	59
28	Ghaziabad		30-Jun-09	18-Feb-13	16-Feb-15	4-Jun-15	63
29	Meerut		30-Jun-09	18-Feb-13	16-Feb-15	4-Jun-15	63
30	Moradabad		30-Jun-09	18-Oct-11	16-Feb-15	4-Jun-15	63
31	Saharanpur		30-Jun-09	18-Oct-11	16-Feb-15	4-Jun-15	63
Madhyanchal VidyutVitran Nigam Limited							
32	Akbarpur	September 2009	30-Jun-09	16-Aug-10	19-Oct-13	4-Mar-14	46
33	Balrampur		30-Jun-09	16-Aug-10	10-Sep-12	19-Sep-12	33
34	Bangarmau		30-Jun-09	16-Aug-10	10-Sep-12	19-Sep-12	33
35	Bareilly		30-Jun-09	18-Feb-13	30-Sep-14	5-Nov-14	58
36	Faizabad		30-Jun-09	16-Aug-10	19-Oct-13	4-Mar-14	46
37	Hardoi		30-Jun-09	16-Aug-10	10-Sep-12	19-Sep-12	33
38	Lucknow		30-Jun-09	18-Oct-11	20-Oct-14	15-Dec-14	59
39	Mohammadi		30-Jun-09	16-Aug-10	10-Sep-12	19-Sep-12	33
40	Shahabad		30-Jun-09	16-Aug-10	10-Sep-12	19-Sep-12	33
41	Sultanpur		30-Jun-09	16-Aug-10	10-Dec-12	19-Sep-12	36
42	Unnao		30-Jun-09	16-Aug-10	10-Sep-12	19-Sep-12	33

Source: Information furnished by DISCOMs

Annexure-2.1.9
(Referred to in paragraph 2.1.36)

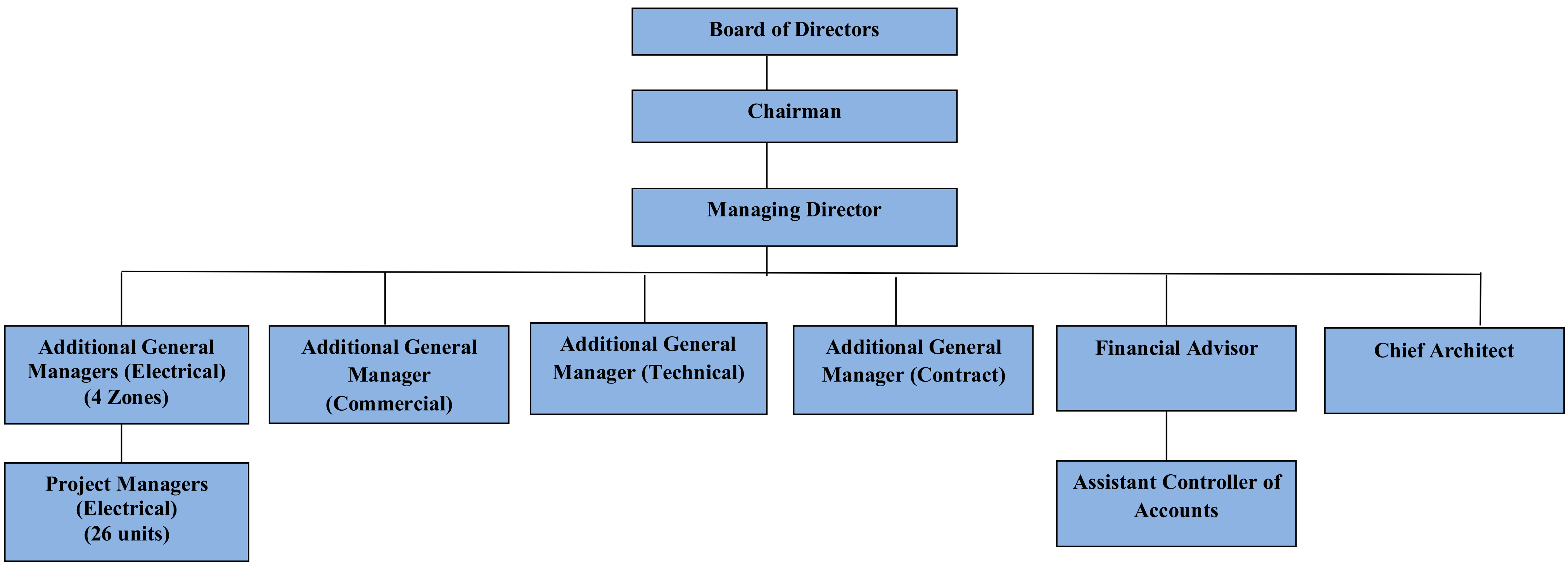
Statement showing delay in award of work of Part-B from date of sanction of DPRs and cost overrun due to time overrun

Sl. No.	Town	Date of Appointment of consultant for DPR preparation	Date on which Original DPR was approved by Steering Committee	Original DPR sanctioned cost (in crore)	Date on which Revised DPR was approved by Steering Committee	Revised DPR sanctioned cost (in crore)	Date of award of work to TKC	Delay in award of work to TKC (Excluding three months from the date of sanction of DPRs) (in Months)
1	2	3	4	5	6	7	8	9 (8-(4+90 Days))/30 Days
DakshinanchalVidyutVitran Nigam Limited								
1	Firozabad	March 2009	15-Jun-11	120.31	28-Feb-14	169.26	1-Mar-14	30
2	Jhansi		15-Jun-11	161.93	28-Feb-14	227.36	4-Mar-14	30
3	Aligarh		15-Jun-11	233.94	28-Feb-14	325.00	4-Mar-14	30
4	Etawah		16-Aug-10	33.66	9-Jul-14	38.63	28-Aug-12	22
5	Lalitpur		16-Aug-10	15.64	9-Jul-14	18.01	28-Aug-12	22
6	Gursahaiganj		16-Aug-10	4.51	9-Jul-14	6.00	28-Aug-12	22
7	Kannauj		16-Aug-10	12.21	9-Jul-14	15.50	28-Aug-12	22
8	Kaimganj		16-Aug-10	8.32	9-Jul-14	10.66	28-Aug-12	22
	Sub Total			**590.52**		**810.42**		
PurvanchalVidyutVitran Nigam Limited								
9	Azamgarh	September-09	16-Aug-10	26.77	9-Jul-14	32.33	8-Aug-14	45
10	Jaunpur		16-Aug-10	20.94	9-Jul-14	24.26	15-Jan-13	26
11	Mubarakpur		16-Aug-10	7.02	9-Jul-14	8.25	15-Jan-13	26
12	Renukoot		16-Aug-10	1.58	9-Jul-14	2.21	18-Dec-12	26
13	Robertsganj		16-Aug-10	5.30	9-Jul-14	6.66	18-Dec-12	26
	Sub Total			**61.61**		**73.71**		
PaschimanchalVidyutVitran Nigam Limited								
14	Debai	November 2009	8-Dec-10	7.29	9-Jul-14	12.22	1-Sep-12	18
15	Hasanpur		8-Dec-10	4.57	9-Jul-14	6.30	1-Sep-12	18
16	Kairana		8-Dec-10	3.87	9-Jul-14	6.34	1-Sep-12	18
17	Baghpat		8-Dec-10	4.63	9-Jul-14	7.84	22-Nov-12	21
18	Baraut		8-Dec-10	8.11	9-Jul-14	13.85	22-Nov-12	21
19	Hapur		8-Dec-10	24.58	9-Jul-14	38.09	1-Sep-12	18
20	Bijnore		8-Dec-10	11.76	28-Feb-14	18.04	28-Oct-14	44
21	Najibabad		8-Dec-10	10.96	28-Feb-14	15.88	28-Oct-14	44
22	Sambhal		8-Dec-10	16.01	28-Feb-14	22.78	28-Oct-14	44
23	Moradabad		18-Oct-11	201.25	28-Feb-14	242.58	16-Feb-15	38
24	Saharanpur		18-Oct-11	139.48	28-Feb-14	178.10	16-Feb-15	38
	Sub Total			**432.51**		**562.02**		
Madhyanchal VidyutVitran Nigam Limited								
25	Balrampur	September 2009	16-Aug-10	10.56	9-Jul-14	11.77	10-Sep-12	22
26	Bangarmau		16-Aug-10	4.96	9-Jul-14	6.50	10-Sep-12	22
27	Faizabad		16-Aug-10	31.85	9-Jul-14	32.81	19-Oct-13	36
28	Hardoi		16-Aug-10	17.44	9-Jul-14	21.27	10-Sep-12	22
29	Lucknow		18-Oct-11	594.98	9-Jul-14	954.29	20-Oct-14	34
30	Mohammadi		16-Aug-10	3.70	9-Jul-14	4.52	10-Sep-12	22
31	Shahabad		16-Aug-10	4.03	9-Jul-14	4.56	10-Sep-12	22
32	Sultanpur		16-Aug-10	19.82	9-Jul-14	23.23	10-Dec-12	25
33	Unnao		16-Aug-10	18.70	9-Jul-14	23.46	10-Sep-12	22
	Sub Total			**706.04**		**1082.41**		
	Grand Total			**1790.68**		**2528.56**		
Difference of revised sanctioned cost and original sanctioned cost				**₹737.88 crore (₹2528.56 crore-₹1790.68 crore)**				

Source: Information furnished by DISCOMs

Annexure-2.2.1
(Referred to in paragraph 2.2.2)

Organisational Chart of Electrical Wing of UPRNN



Annexure-2.2.2
(Referred to in paragraph 2.2.6)
Statement showing year-wise physical and financial progress of the electrical works executed by 26 Electrical Units and eight selected units

(A) Physical and financial status of electrical works executed by 26 Electrical Units

(₹in crore)

Year	Total works executed during the year				Works completed during the year		Works under progress at the end of the year	
	Number of works			Value of work done during the year	No.	Value of work done	No.	Value of work done during the year
	Work in progress at the beginning of the year	New works taken up during the year	Total no. of works executed during the year					
1	2	3	4 (2+3)	5	6	7	8 (4-6)	9 (5-7)
2011-12	281	143	424	786.44	150	50.20	274	736.24
2012-13	274	100	374	692.36	76	62.62	298	629.74
2013-14	298	162	460	763.05	60	241.18	400	521.87
2014-15	400	166	566	799.43	106	387.81	460	411.62
2015-16	460	105	565	965.55	62	314.23	503	651.32
Total		**676**	**957***	**4006.83**	**454**	**1056.04**	**503**	**2950.79**

Source: Information furnished by the Electrical Units
*Note *: Since execution of a work is continued for more than one year*

(B) Physical and financial status of electrical works executed by eight Units

(₹in crore)

Year	Total works executed during the year				Works completed during the year		Works under progress at the end of the year	
	Number of works			Value of work done during the year	No.	Value of work done	No.	Value of work done during the year
	Work in progress at the beginning of the year	New works taken up during the year	Total no. of works executed during the year					
1	2	3	4 (2+3)	5	6	7	8 (4-6)	9 (5-7)
2011-12	140	105	245	427.57	83	14.22	162	413.35
2012-13	162	64	226	466.68	54	27.75	172	438.93
2013-14	172	69	241	464.91	38	166.32	203	298.59
2014-15	203	91	294	471.00	58	294.78	236	176.22
2015-16	236	12	248	473.79	40	301.49	208	172.30
Total		**341**	**481***	**2303.95**	**273**	**804.56**	**208**	**1499.39**

Source: Information furnished by the Electrical Units
*Note *: Since execution of a work is continued for more than one year*

Annexure-2.2.3
(Referred to in paragraph 2.2.9)
Statement showing year-wise financial target and achievement of 26 Electrical Units and eight selected units

(A) Year-wise financial target and achievement of 26 electrical Units

(₹in crore)

Year	Target		Achievement	Shortfall	Percentage of shortfall
	Overall for Civil and Electrical works	Only for Electrical works			
1	2	3	4	5 (3-4)	6(5/3*100)
2011-12	4000	655	786.44	-	-
2012-13	4000	820[1]	692.36	127.64	15.57
2013-14	4000	740	763.05	-	-
2014-15	4150[2]	885[3]	799.43	85.57	9.67
2015-16	4200	920	965.55	-	-
Total	**20350**	**4020**	**4006.83**	**213.21**	-

Source: Board minutes, agenda and information furnished by Units

(B) Year-wise financial target and achievement of eight selected electrical Units

(₹in crore)

Year	Target	Achievement	Shortfall	Percentage of shortfall
1	2	3	4 (2-3)	5 (4/ 2*100)
2011-12	299.50	427.57	-128.07	-42.76
2012-13	407.00	466.68	-59.68	-14.66
2013-14	310.00	464.91	-154.91	-49.97
2014-15	347.00	471.00	-124.00	-35.73
2015-16	356.00	473.79	-117.79	-33.09
Total	**1719.50**	**2303.95**	**-584.45**	**-33.99**

Source: Information furnished by Units

[1] 25.19 *per cent* (820-655)*100/655.
[2] 3.75 *per cent* (4150-4000)*100/4000.
[3] 19.59 *per cent* (885-740)*100/740.

Annexure-2.2.4
(Referred to in paragraph 2.2.10)
Statement showing technical staff[4] required as per turnover, actual staff deployed and shortage of staff

Year	Required as per turnover	Actual staff	Shortage
2011-12	541	76	465
2012-13	421	74	347
2013-14	388	76	312
2014-15	407	74	333
2015-16	463	80	383

Source: Manual of the Company and Information furnished by Units

Annexure-2.2.5
(Referred to in paragraph 2.2.10)
Statement showing the required Unit Head and actual Unit Head posted during 2015-16

Criteria of turnover as per Manual[5]	No. of units	Actual Turnover in 2015-16	Required Unit Head as per Manual	Actual Unit Head/(with number)	Unit under additional charge
Above₹18.64 crore	6	₹22.62 crore to₹121.21 crore	CPM	APM (5)	1
	10	₹20.55 crore to ₹87.44 crore		RE (8)	2
₹9.32 crore to ₹18.64 crore	3	₹11.18 crore to ₹15.49 crore	PM	APM (3)	-
	3	₹10.59 crore to ₹15.69 crore		RE (3)	
₹3.73 crore to ₹9.32 crore	1	₹5.71 crore	APM	APM	1
Below ₹3.73 crore	1	₹2.68 crore	RE	APM (1)	-
	2	₹2.61 crore to ₹2.97 crore	RE	RE	2
Total	**26**			**20**	**6**

Source: As per working manual and information furnished by Units

4 Resident Engineer, Assistant Resident Engineer and Sub-Engineer
5 As per updated price index of 2015-16 against base year of 1983.

Annexure-2.3.1
(Referred to in paragraph 2.3.1)

Statement showing roles of headquarters and field units of DVVNL in Metering System

Sl. No.	Name of wing/units	Role
1	MM Wing at headquarters	Assessment of annual requirement plan by obtaining information from Chief Engineer (Distribution), Obtaining approval from the Board of Directors for procurement of meters, invitation of open tenders and finalisation of the same with the approval of Corporate Stores Purchase Committee of the Company and issue of letter of intents to the firms.
2	Store Divisions	Receiving supply of meters from the firms finalised by MM wing, storage of meters and issuance of the same to test divisions for installation and replacement of meters.
3	Distribution Circles	Over all monitoring of test divisions and distribution divisions under its jurisdiction.
4	Test Divisions	Obtaining meters from store divisions, installation, replacement and periodical inspection and monitoring of meters.
5.	Distribution Divisions	Taking meter reading and generation of bills. Raising of bills to the consumers and revenue realisation.

Source: Information furnished by the Management

Annexure-2.3.2

(Referred to in paragraph 2.3.5)

Statement showing the details of short procurement of meters

Year	Metered consumers	Total consumers in the beginning of the year	Total consumers at the end of the year	New connections	Defective /DR1111 meters*	Increase in defective meters/DR1 111 cases	Requirem ent against current year	Cumulative requirement	Procured/ obtained	Short procurement against current requirement	Short procurement against cumulative requirement
(1)	**(2)**	**(3)**	**(4)**	**(5)=(4-3)**	**(6)**	**(7)**	**(8)= (5+6)**	**(9)= (5+7+12)**	**(10)**	**(11)=(8-10)**	**(12)=(9-10)**
2011-12	1306022	1967431	2190960	223529	430987		654516	1315925**	355204	299312	960721
2012-13	1454437	2190960	2335173	144213	479964	48977	624177	1153911	222568	401609	931343
2013-14	1601526	2335173	2472238	137065	528504	48540	665569	1116948	200235	465334	916713
2014-15	1726561	2472238	2999228	526990	569765	41261	1096755	1484964	442214	654541	1042750
2015-16	2336688	2999228	3127092	127864	771107	201342	898971	1371956	561326	337645	810630

Source: Information furnished by the Management, commercial statements andworking done by Audit

* The numbers of defective/DR1111 meters have been calculated at the rate of 33 *per cent* of total metered consumers (taking the lowest percentage of defective/DR1111 meters during the period).

**The above figure includes numbers of new connections, defective/DR1111 meters and 661409 unmetered consumers as on 31 March 2011.

Annexure-2.3.3
(Referred to in paragraph 2.3.6)
Statement showing the details of delay in finalisation of tenders

Year of requirement	Tender No.	Particulars	Tendered quantity	Date of inviting tender	Date of re-inviting tender	Date of opening of Part I	Date of opening of Part II	Approval of MD/CSPC
2013-14	1106-2013	Single Phase Meter	150000	14.8.13	16.9.13	15.10.13	22.11.13	27.11.13
	1107-2013	Three Phase Meter	2500	14.8.13	16.9.13	15.10.13	22.11.13	27.11.13
	1108-2013	Three Phase Meter	8000	14.8.13	16.9.13	15.10.13	22.11.13	04.12.13
2014-15	1318-2014	Single Phase Meter	200000	3.7.14	7.8.14	13.8.14	9.9.14	26.9.14
	1319-2014	Three Phase Meter	20000	3.7.14	7.8.14	13.8.14	9.9.14	22.9.14
2015-16	1386-2015	Single Phase Meter	250000	2.2.15	NA	19.2.15	26.5.15	28.5.15
	1387-2015	Three Phase Meter	25000	2.2.15	NA	19.2.15	24.3.15	1.4.15
	1512-2015	Single Phase Meter	300000	8.8.15	NA	1.9.15	11.9.15	16.10.15

Source: Information furnished by the Management

Annexure-2.3.4
(Referred to in paragraph 2.3.8)
Statement showing the details of the meters got defective due to "No Display"

Name of the Test Division	Period	No Display	
		Single Phase	Three Phase
Electricity Test Division, Agra	2007-08* to 2011-12	4808	317
Electricity Test Division, Kanpur	2007-08* to 2011-12	1302	0
Electricity Test Division, Mainpuri	2009-10* to 2013-14	2151	221
Electricity Test Division, Etawah	2009-10* to 2013-14	12264	2394
		20525	**2932**

Source: Information furnished by the Management

*** The year denotes the first year of installation of electronic meters.**

Annexure-2.3.5
(Referred to in paragraph 2.3.16)
Statement showing the details of periodical inspection of meters

Name of the Test Division	Period	Single phase LT meters		Three phase LT meters		HT meters	
		No. of meters to be checked during the year	Checking done during the year	No. of meters to be checked during the year	Checking done during the year	No. of meters to be checked during the year	Checking done during the year
ETD AGRA	2011-12 to 2015-16	75333	**0**	11280	0	2208	0
ETD KANPUR	2011-12 to 2015-16	106055	841	3729	148	1638	52
ETD MAINPURI	2011-12 to 2015-16	26284	0	1316	0	225	225
ETD ETAWAH	2011-12 to 2015-16	114695	0	20344	296	1174	1174
Total		**322367**	**841**	**36669**	**444**	**5245**	**1451**

Source: Information furnished by the Management and working done by Audit

Annexure-2.3.6
(Referred to in paragraph 2.3.19)
Statement showing the position of ad-hoc billing

Year end	Category	Total no. of the metered consumers as per commercial statements	Total no. of the consumers where OK bill generated	Percentage of OK Bills to total metered consumers	No. of consumers whose bill generated as DR111 or any other code	Percentage of DR1111 Bills to total metered consumers	Actual metered consumers *i.e.* Total metered consumers - DR 1111 billed consumers	No. of consumers whose bill generated as IDF/ADF/RDF (excluding the nos. of DR 111 code etc.)	Percentage of IDF/ADF/RDF to actual metered consumers	Percentage of IDF/ADF/RDF to Total metered consumers	No. of consumers whose bill generated as NA/NR	Percentage of NA/ NR to actual metered consumers
Mar-12	LMV-1	258341	111853	43.30	63573	24.61	194768	34150	17.53	13.22	47150	24.21
	LMV-2	31895	17850	55.96	3487	10.93	28408	3086	10.86	9.68	7453	26.24
	LMV-6	10002	7954	79.52	855	8.55	9147	564	6.17	5.64	599	6.55
	Total of LMV 1,2,6	**300238**	**137657**	**45.85**	**67915**	**22.62**	**232323**	**37800**	**16.27**	**12.59**	**55202**	**23.76**
Mar-13	LMV-1	279463	123269	44.11	69705	24.94	209758	38837	18.52	13.90	45931	21.90
	LMV-2	34676	19984	57.63	3599	10.38	31077	3329	10.71	9.60	7759	24.97
	LMV-6	9153	7206	78.73	688	7.52	8465	577	6.82	6.30	608	7.18
	Total of LMV 1,2,6	**323292**	**150459**	**46.54**	**73992**	**22.89**	**249300**	**42743**	**17.15**	**13.22**	**54298**	**21.78**
Mar-14	LMV-1	369729	160176	43.32	88954	24.06	280775	46861	16.69	12.67	72730	25.90
	LMV-2	36161	21115	58.39	3653	10.10	32508	3460	10.64	9.57	8192	25.20
	LMV-6	8713	7055	80.97	570	6.54	8143	494	6.07	5.67	520	6.39
	Total of LMV 1,2,6	**414603**	**188346**	**45.43**	**93177**	**22.47**	**321426**	**50815**	**15.81**	**12.26**	**81442**	**25.34**
Mar-15	LMV-1	507033	196783	38.81	116918	23.06	390115	60579	15.53	11.95	132131	33.87
	LMV-2	39833	22806	57.25	3796	9.53	36037	3631	10.08	9.12	9850	27.33
	LMV-6	8798	7167	81.46	589	6.69	8209	467	5.69	5.31	488	5.94
	Total of LMV 1,2,6	**555664**	**226756**	**40.81**	**121303**	**21.83**	**434361**	**64677**	**14.89**	**11.64**	**142469**	**32.80**
Mar-16	LMV-1	516756	206579	39.98	119483	23.12	397273	73213	18.43	14.17	118927	29.94
	LMV-2	42211	25218	59.74	3874	9.18	38337	3938	10.27	9.33	9270	24.18
	LMV-6	8688	7117	81.92	595	6.85	8093	416	5.14	4.79	534	6.60
	Total of LMV 1,2,6	**567655**	**238914**	**42.09**	**123952**	**21.84**	**443703**	**77567**	**17.48**	**13.66**	**128731**	**29.01**

Source: Information furnished by the Management

Annexure-2.3.7
(Referred to in paragraph 2.3.21)
Statement showing the details of excess payment made to the firm engaged in work of taking meter reading and bill generation

(Amount in ₹)

Name of the Distribution Divisions	Payment made to the company		Payment should have been made to the company				Total Payment should have been made	Excess Payment made	Excess Payment made (including service tax
	Total No. of billed consumers as per OK meter reading		Total No. of billed consumers as per OK meter reading		Total No. of Billed consumers as per IDF/ADF/provisional units				
	No. of consumers	Amount	No. of consumers	Amount	No. of consumers	Amount			
Electricity Distribution Division, Akabarpur	739536	5176752	186235	1303645	553301	1936553.5	3240199	1936553.5	2175912
Electricity Distribution Division, Chaubepur	574556	4021892	74172	519204	500384	1751344	2270548	1751344	1980835
Electricity Distribution Division II, Etawah	1498214	9333873	220015	1370693	1278199	3981590	5352283	3981590	4495158
Electricity Distribution Division, Auraiya	1371397	8543803	282567	1760392	1088830	3391706	5152098	3391705	3823333
Electricity Distribution Division, Mainpuri I	744907	4789752	422613	2717402	322294	1036175	3753577	1036175	1168554
Electricity Distribution Division, Mainpuri II	482618	3103234	154126	991030	328492	1056102	2047132	1056102	1186636
Total	**5411228**	**34969306**	**1339728**	**8662366**	**4071500**	**13153470**	**21815837**	**13153470**	**14830428**

Source: Information furnished by the Management and working done by Audit

Annexure-2.3.8
(Referred to in paragraph 2.3.23)
Statement showing the loss of revenue due to not charging rates as per urban schedule to PTW consumers

EDD-I, Mainpuri

(Amount in ₹)

Month	EDD I Mainpuri		Rate for metered category in urban schedule	Rate for unmetered category in rural schedule	Difference in rate/BHP	Loss of revenue
	No. of consumers	Load in BHP				
Apr-13	2250	17902	130	75	55	984610
May-13	2250	17902	130	75	55	984610
Jun-13	2250	17902	130	75	55	984610
Jul-13	2250	17902	140	100	40	716080
Aug-13	2250	17902	140	100	40	716080
Sep-13	2310	18186	140	100	40	727440
Oct-13	2310	18186	140	100	40	727440
Nov-13	2310	18186	140	100	40	727440
Dec-13	2310	18186	140	100	40	727440
Jan-14	2310	18186	140	100	40	727440
Feb-14	2310	18186	140	100	40	727440
Mar-14	2310	18186	140	100	40	727440
Apr-14	2390	18580	140	100	40	743200
May-14	2390	18580	140	100	40	743200
Jun-14	2390	18580	140	100	40	743200
Jul-14	2390	18580	140	100	40	743200
Aug-14	2390	18580	140	100	40	743200
Sep-14	2412	18672	140	100	40	746880
Oct-14	2412	18672	220	100	120	2240640
Nov-14	2412	18672	220	100	120	2240640
Dec-14	2412	18672	220	100	120	2240640
Jan-15	2412	18672	220	100	120	2240640
Feb-15	2412	18672	220	100	120	2240640
Mar-15	2412	18672	220	100	120	2240640
Apr-15	2558	19845	220	100	120	2381400
May-15	2558	19845	220	100	120	2381400
Jun-15	2558	19845	220	100	120	2381400
Jul-15	2558	19845	160	100	60	1190700
Aug-15	2558	19845	160	100	60	1190700
Sep-15	2775	21719	160	100	60	1303140
Oct-15	2775	21719	160	100	60	1303140
Nov-15	2775	21719	160	100	60	1303140
Dec-15	2775	21719	160	100	60	1303140
Jan-16	2775	21719	160	100	60	1303140
Feb-16	2775	21719	160	100	60	1303140
Mar-16	2775	21719	160	100	60	1303140
Total short charge of revenue						**46032370**

Source: Information furnished by the Management and working done by Audit

EDD-II, Mainpuri

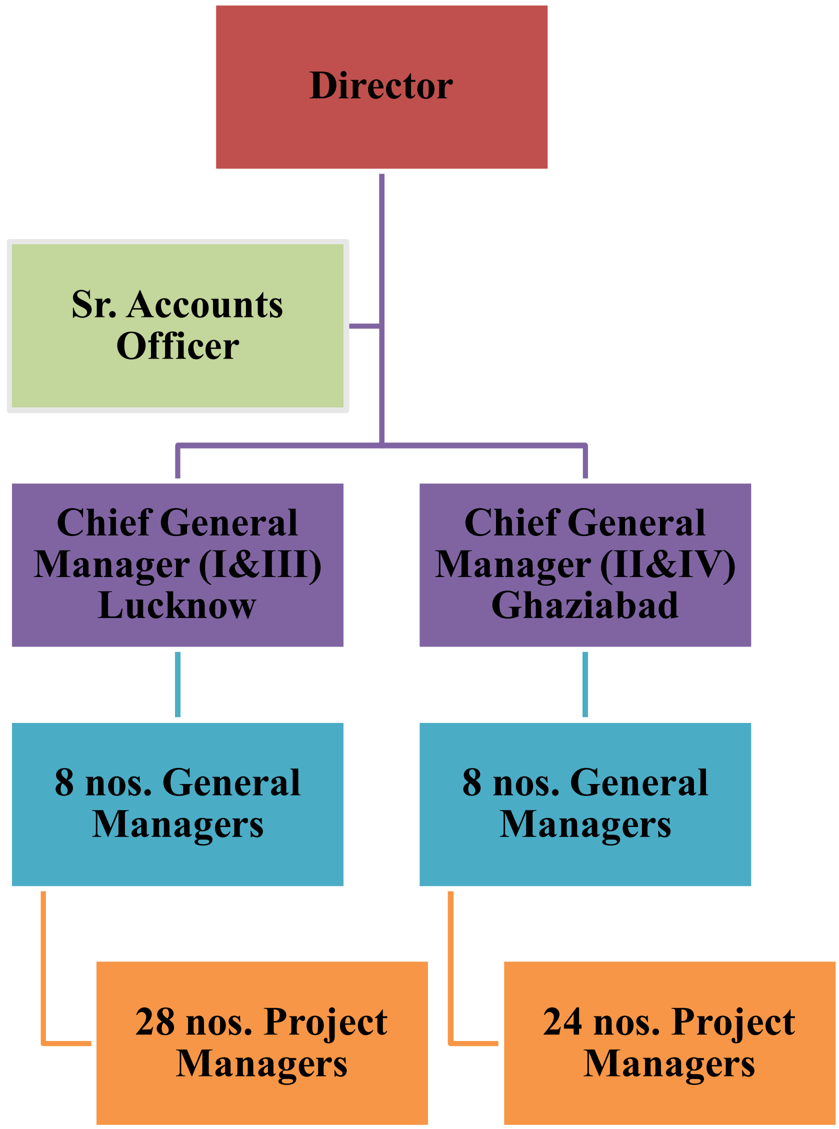
(Amount in ₹)

Month	EDD II Mainpuri		Rate for metered category in urban schedule	Rate for unmetered category in rural schedule	Difference in rate/BHP	Loss of revenue
	No. of consumers	Load in BHP				
Apr-13	6212	54899	130	75	55	3019445
May-13	6212	54899	130	75	55	3019445
Jun-13	6212	54899	130	100	30	1646970
Jul-13	6212	54899	140	100	40	2195960
Aug-13	6212	54899	140	100	40	2195960
Sep-13	6212	54899	140	100	40	2195960
Oct-13	6212	54899	140	100	40	2195960
Nov-13	6212	54899	140	100	40	2195960
Dec-13	6212	54899	140	100	40	2195960
Jan-14	6212	54899	140	100	40	2195960
Feb-14	6212	54899	140	100	40	2195960
Mar-14	6212	54899	140	100	40	2195960
Apr-14	6342	55550	140	100	40	2222000
May-14	6342	55550	140	100	40	2222000
Jun-14	6342	55550	140	100	40	2222000
Jul-14	6342	55550	140	100	40	2222000
Aug-14	6342	55550	140	100	40	2222000
Sep-14	6342	55550	140	100	40	2222000
Oct-14	6342	55550	220	100	120	6666000
Nov-14	6342	55550	220	100	120	6666000
Dec-14	6342	55550	220	100	120	6666000
Jan-15	6342	55550	220	100	120	6666000
Feb-15	6342	55550	220	100	120	6666000
Mar-15	6342	55550	220	100	120	6666000
Apr-15	6526	56949	220	100	120	6833880
May-15	6526	56949	220	100	120	6833880
Jun-15	6526	56949	220	100	120	6833880
Jul-15	6526	56949	160	100	60	3416940
Aug-15	6526	56949	160	100	60	3416940
Sep-15	6526	56949	160	100	60	3416940
Oct-15	6526	56949	160	100	60	3416940
Nov-15	6526	56949	160	100	60	3416940
Dec-15	6526	56949	160	100	60	3416940
Jan-16	6526	56949	160	100	60	3416940
Feb-16	6526	56949	160	100	60	3416940
Mar-16	6526	56949	160	100	60	3416940
Total short charge of revenue						**132031600**

Source: Information furnished by the Management and working done by Audit

Grand Total of short charge of revenue = ₹ 46032370 + ₹ 132031600 = ₹ 178063970 = ₹ 17.81 crore

Annexure-2.4.1
(Referred to in paragraph 2.4.1)
Organisational chart of Construction and Design Services Wing



Annexure-2.4.2
(Referred to in paragraph 2.4.1)
Statement showing role of various agencies involved in execution of the projects

Sl. No.	Name of the Agency	Role
1.	Government of India	• Sanction of projects under UIG and UIDSST and approval of projects sanctioned by GoUP under UIDSSMT. • Release of its share in the sanctioned cost of the projects.
2.	Government of Uttar Pradesh	• Sanction of projects under UIDSSMT. • Release of its share in the sanctioned cost of the projects. • Initial in-principle approval for selection of consultant and developer for implementation of the projects on PPP model. • Final approval for selection of developer for implementation of the projects on PPP model.
3.	Urban Local Body	• To provide project site. • Release of its share in the sanctioned cost of the projects. • Release of funds to the C&DS for construction of project facilities. • Supervision and monitoring of operation and maintenance activities of the MSWM projects after completion of construction activities and payment of due tipping fee to the developers.
4.	C&DS	• To select consultant for assistance in selection of developer for implementation of the projects. • To invite private sector participation/bids for implementing the projects. • To procure vehicles/equipment proposed in the Detailed Project Report. • To review/oversee the design and supervise construction/ procurement of project facilities until six months after the commercial operations date. • To process claims and release capital grant to the selected developers. • To receive performance security from the selected developer and to ensure that the same is kept valid by the developer for a period of six months after the commercial operations date.
5.	Developer	• To procure the applicable permits and be in compliance thereof at all times. • To make all such financing arrangements as would be necessary to implement the project and meet all of its obligations under the agreement in a timely manner. • To prepare necessary drawings. • To undertake construction works and adhere to the construction requirements and achieve commercial operations date on or before scheduled project completion date. • To procure/ provide vehicles/equipment in accordance with the development plan and construction requirements. • To carry out all necessary and periodical tests to determine the

Sl. No.	Name of the Agency	Role
		vehicles/equipment purchased and construction works are being undertaken in accordance with the construction requirements. • To operate and maintain the project facilities and vehicles/equipment during the operations period in accordance with the O&M requirements.
6.	Empowered Committee	• The proposal for appointment of consultant send by employer (C&DS) was to be approved by the Empowered Committee formed under the chairmanship of the Industrial Development Commissioner for consultancies estimated to cost below ₹ 50 lakh and under the chairmanship of Chief Secretary under for consultancies estimated to cost above ₹ 50 lakh.
7.	PPP Bid Evaluation Committee	• There shall be a PPP Bid Evaluation Committee chaired by the Industrial Development Commissioner and consisting of principal secretaries/ secretaries of Law, Finance, Urban Development, Infrastructure Development with an option to co-opt one or more relevant departments. • The Committee shall have the power to examine all aspects and stages of the developer selection i.e. issuance of expression of Interest (EOI), evaluation of EOI, short-listing of developers, deciding Terms of Reference (TOR), issuance of Request for Proposal (RFP), evaluation of technical and financial proposals, negotiations and final selection of developer.
8.	PPP Monitoring Committee	• There shall be a PPP Monitoring Committee consisting of all or any of the member of PPP Bid Evaluation Committee. The Department of Infrastructure Development, Urban Development and Finance shall necessarily be members of the PPP Monitoring Committee. • The Committee shall be responsible to monitor the progress of the project, to oversee that the project is carried out as per agreed TOR and contractual conditions, to assess the quality of the deliverables, to accept/reject any part of assignment, to levy appropriate liquidated damages or penalty if the project is not carried out as per the agreement and for any such deficiency related to the completion of the project.

Source: JNNURM Guidelines issued by the GoI, PPP Guidelines issued by the GoUP and agreements executed by C&DS with developers for execution of the MSWM projects

Annexure-2.4.3
(Referred to in paragraph 2.4.3)
Statement showing details of sanctioned cost, funds received, expenditure incurred and physical progress of projects as on 31 March 2016

(₹in crore)

Sl. No.	Name of the project	Date of sanction	Scheduled date of completion	Sanctioned cost	Funds received	Expenditure incurred	Physical Progress (in *per cent*)	Date of completion
(A) Urban Infrastructure and Governance (UIG)								
1.	Agra	12.03.2007	11.03.2008	30.84	30.84	22.34	90	
2.	Allahabad	13.12.2007	12.12.2008	30.41	30.41	29.51	90	
3.	Kanpur	12.03.2007	11.02.2008	56.24	56.24	56.24	100	12.11.2011
4.	Lucknow	12.03.2007	11.02.2008	42.92	42.92	39.38	90	
5.	Mathura	25.01.2007	24.01.2008	9.92	9.92	9.90	100	31.07.2012
6.	Meerut	23.01.2007	22.01.2008	22.59	16.95	10.97	18	
7.	Varanasi	26.10.2007	25.10.2008	48.68	40.16	35.15	80	
Total (A) – 7 Projects				**241.60**	**227.44**	**203.49**		
(B) Urban Infrastructure Development Scheme for Small and Medium Town (UIDSSMT)								
8.	Aligarh	08.09.2006	07.09.2007	16.07	16.00	14.17	100	31.07.2013
9.	Badaun	08.09.2006	07.09.2007	5.78	5.78	4.51	70	
10.	Ballia	08.09.2006	07.09.2007	6.82	6.48	4.09	70	
11.	Barabanki	16.07.2007	15.07.2008	5.37	5.24	5.24	100	30.09.2012
12.	Basti	08.09.2006	07.09.2007	5.86	2.93	0.49	5	
13.	Etawah	10.11.2006	09.11.2007	5.82	5.78	5.34	100	31.10.2012
14.	Fatehpur	16.07.2007	15.07.2008	9.38	9.38	9.38	100	31.07.2013
15.	Firozabad	10.11.2006	09.11.2007	7.14	3.05	1.53	15	
16.	Gorakhpur	10.11.2006	09.11.2007	15.64	7.82	2.83	3	
17.	Jaunpur	16.07.2007	15.07.2008	12.20	6.10	1.34	20	
18.	Jhansi	08.09.2006	07.09.2007	12.16	10.19	6.08	62	
19.	Kannauj	08.09.2006	07.09.2007	4.62	4.61	4.57	100	30.04.2011
20.	Loni	16.07.2007	15.07.2008	11.81	5.91	1.21	10	
21.	Mainpuri	10.11.2006	09.11.2007	4.28	4.22	3.74	100	30.06.2012
22.	Mirzapur	16.07.2007	15.07.2008	11.01	6.99	6.46	70	
23.	Moradabad	10.11.2006	09.11.2007	13.16	13.12	12.24	100	31.07.2013
24.	Muzaffarnagar	10.11.2006	09.11.2007	6.58	6.56	5.80	100	15.10.2011
25.	Raebareli	10.11.2006	09.11.2007	8.78	8.14	7.38	100	31.07.2011
26.	Sambhal	08.09.2006	07.09.2007	6.55	4.15	3.22	45	
Total (B) – 19 Projects				**169.03**	**132.45**	**99.62**		
(C) Urban Infrastructure Development Scheme in Satellite Towns (UIDSMT)								
27.	Pilakhua	07.01.2011	06.01.2012	8.98	4.49	4.46	60	
Total (C) – 1 Project				**8.98**	**4.49**	**4.46**		
Grand Total (A+B+C)				**419.61**	**364.38**	**307.57**		

Source: *Progress Report of the MSWM projects for the month of March 2016*

Annexure-2.4.4
(Referred to in paragraph 2.4.6)

Statement showing details of projects wherein project cost is same but capital grant is not at par

Sl. No.	Name of the projects	Total project cost (₹ in lakh)	Capital grant (₹ in lakh)
1.	Kannauj	900.33	336.00
2.	Mainpuri	900.33	294.00
3.	Raebareli	1100.76	640.00
4.	Etawah	1100.76	394.00
5.	Fatehpur	1222.75	731.31
6.	Badaun	1222.75	498.00
7.	Sambhal	1222.75	517.60
8.	Jaunpur	1222.75	1057.15
9.	Varanasi	4644.75	2773.27
10.	Meerut	4644.75	1332.70

Source: Agreements executed by C&DS with developers for execution of the MSWM projects

Annexure-2.4.5
(Referred to in paragraph2.4.8)
Statement showing detailed reasons for delay in execution of selected MSWM projects

Sl. No.	Main reasons for delay
1.	**MSWM project, Kanpur – Completed** **Completion of the project was delayed by 44 months reasons for which are discussed below:** 1. **Delay in nomination of executing agency:** Project was sanctioned in March 2007 but UPJN was nominated as executing agency in December 2007 which in turn decided that MSWM projects would be executed by its C&DS wing in March 2008. 2. **Delay in finalisation of tender:** Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 08.04.2008 but agreement could be executed on 04.08.2008. 3. **Delay in finalisation of modalities:** It was decided (October 2008) to revise the framework for implementation of the projects and to include collection and transportation activities in the scope of developer. The revised framework was finalised during November 2008 to February 2010. Thereafter, proposals and counter proposals were invited (March 2010 to May 2010) and agreement for development of collection and transportation facilities was executed with the developer on 16.10.2010. 4. **Slackness on the part of developer in executing the works**: The date of start as per agreement executed for construction of MSW processing and disposal facilities was 07.08.2008 and the time allowed for completion of construction works was eight months. Thus, the work was to be completed by 06.04.2009. The work, however, could be completed on 12.11.2011. Similarly the date of start as per agreement executed for development of collection and transportation facilities was 16.10.2010 and the time allowed for completion of works was eight months. Thus, the work was to be completed by 15.06.2011. The work, however, was completed by the developer on 12.11.2011.
2.	**MSWM project, Aligarh - Completed** **Completion of the project was delayed by 70 months reasons for which are discussed below:** 1. **Delay in nomination of executing agency**: Project was sanctioned in September 2006 but UPJN was nominated as executing agency in December 2007 which in turn decided that MSWM projects would be executed by its C&DS wing in March 2008. 2. **Bids not responded**: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 08.04.2008 and 11.07.2008 but the same did notmaterialise ultimately. 3. **Delay in finalisation of modalities**: It was decided (October 2008) to revise the framework for implementation of the projects and to include collection and transportation activities in the scope of developer. The revised framework was finalised during November 2008 to May 2009. 4. **Delay in finalisation of tender**: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 25.08.2009 but agreement could be executed on 07.04.2010. 5. **Delay in providing project site**: The project site was made available by the ULB on 30.09.2010. 6. **Slackness on the part of developer in executing the works**: As per agreement the time allowed for completion of construction works was eight months. Thus, considering that the project site was made available by 30.09.2010, the work should have been completed latest by 29.05.2011. The work, however, was completed by the developer on 31.07.2013.
3.	**MSWM project, Moradabad – Completed** **Completion of the project was delayed by 68 months reasons for which are discussed below:** 1. **Delay in nomination of executing agency**: Project was sanctioned in November 2006 but UPJN was nominated as executing agency in December 2007 which in turn decided that MSWM projects would be executed by its C&DS wing in March 2008. 2. **Bids not responded**: Bids for construction of MSW processing and disposal facilities were

Sl. No.	Main reasons for delay
	invited vide NIT dated 08.04.2008 and 11.07.2008 but the same did not materialise ultimately. **3. Delay in finalisation of modalities**: It was decided (October 2008) to revise the framework for implementation of the projects and to include collection and transportation activities in the scope of developer. The revised framework was finalised during November 2008 to May 2009. **4. Delay in finalisation of tender**: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 25.08.2009 but agreement could be executed on 28.04.2010. **5. Slackness on the part of developer in executing the works**: The date of start as per agreement was 01.05.2010 and the time allowed for completion of construction works was eight months. Thus, the work should have been completed latest by 31.12.2010. The work, however, was completed by the developer on 31.07.2013.
4.	**MSWM project, Raebareli - Completed** **Completion of the project was delayed by 44 months reasons for which are discussed below:** 1. **Delay in nomination of executing agency**: Project was sanctioned in November 2006 but UPJN was nominated as executing agency in December 2007 which in turn decided that MSWM projects would be executed by its C&DS wing in March 2008. 2. **Delay in finalisation of tender**: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 08.04.2008 but agreement could be executed on 01.10.2008. 3. **Delay in providing project site**: The project site was made available by the ULB on 03.06.2009. 4. **Slackness on the part of developer in executing the works**: As per agreement the time allowed for completion of construction works was eight months. Thus, considering that the project site was made available by 03.06.2009, the work should have been completed latest by 02.02.2010. The work, however, was completed by the developer on 31.07.2011.
5.	**MSWM project, Muzaffarnagar - Completed** **Completion of the project was delayed by 47 months reasons for which are discussed below:** **1. Delay in nomination of executing agency:**Project was sanctioned in November 2006 but UPJN was nominated as executing agency in December 2007 which in turn decided that MSWM projects would be executed by its C&DS wing in March 2008. **2. Bids not responded**: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 08.04.2008 but the same did not materialise ultimately. **3. Delay in finalisation of tender**: Bids for construction of MSW processing and disposal facilities were again invited vide NIT dated 11.07.2008 but agreement could be executed on 16.06.2009. **4. Slackness on the part of developer in executing the works**: The date of start as per agreement was 25.06.2009 and the time allowed for completion of construction works was eight months. Thus, the work was to be completed by 24.02.2010. The work, however, was completed by the developer on 15.10.2011.
6.	**MSWM project, Fatehpur - Completed** **Completion of the project was delayed by 60 months reasons for which are discussed below:** **1. Delay in nomination of executing agency**: Project was sanctioned in July 2007 but UPJN was nominated as executing agency in June 2009. **2. Delay in inviting tender**: UPJN was nominated as executing agency in June 2009 but bids were invited vide NIT dated 03.02.2010. **3. Delay in finalisation of tender**: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 03.02.2010 but agreement could be executed on 18.01.2011. **4. Slackness on the part of developer in executing the works**: The date of start as per agreement was 25.01.2011 and the time allowed for completion of construction works was eight months. Thus, the work was to be completed by 24.09.2011. The work, however, was completed by the

<table>
<tr><th>Sl. No.</th><th>Main reasons for delay</th></tr>
<tr><td></td><td>developer on 31.07.2013.</td></tr>
<tr><td>7.</td><td>MSWM project, Barabanki - Completed
Completion of the project was delayed by 50 months reasons for which are discussed below:
1. Delay in nomination of executing agency: Project was sanctioned in July 2007 but UPJN was nominated as executing agency in June 2009.
2. Delay in inviting tender: UPJN was nominated as executing agency in June 2009 but bids were invited vide NIT dated 03.02.2010.
3. Bids not responded: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 03.02.2010 but the same did not materialise ultimately.
4. Delay in finalisation of tender: Bids for construction of MSW processing and disposal facilities were again invited vide NIT dated 28.10.2010 but agreement could be executed on 07.05.2011.
5. Slackness on the part of developer in executing the works: The date of start as per agreement was 25.04.2011 and the time allowed for completion of construction works was eight months. Thus, the work was to be completed by 24.12.2011. The work, however, was completed by the developer on 30.09.2012.</td></tr>
<tr><td>8.</td><td>MSWM project, Etawah – Completed
Completion of the project was delayed by 59 months reasons for which are discussed below:
1. Delay in nomination of executing agency: Project was sanctioned in November 2006 but UPJN was nominated as executing agency in December 2007 which in turn decided that MSWM projects would be executed by its C&DS wing in March 2008.
2. Delay in finalisation of tender: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 08.04.2008 but agreement could be executed on 01.10.2008.
3. Delay in providing project site: The project site was made available by the ULB on 29.03.2010.
4. Slackness on the part of developer in executing the works:The revised date of start as per agreement was 11.08.2010 and the time allowed for completion of construction works was eight months. Thus, the work was to be completed by 10.04.2011. The work, however, was completed by the developer on 31.10.2012.</td></tr>
<tr><td>9.</td><td>MSWM project, Lucknow – Incomplete and work-in-progress
Completion of the project was delayed by 96 months reasons for which are discussed below:
1. Delay in nomination of executing agency: Project was sanctioned in March 2007 but UPJN was nominated as executing agency in December 2007 which in turn decided that MSWM projects would be executed by its C&DS wing in March 2008.
2. Bids not responded: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 11.07.2008 but the same did not materialise ultimately.
3. Delay in finalisation of modalities: It was decided (October 2008) to revise the framework for implementation of the projects and to include collection and transportation activities in the scope of developer. The revised framework was finalised during November 2008 to May 2009.
4. Delay in finalisation of tender: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 25.08.2009 but agreement could be executed on 23.10.2010.
5. Delay in providing project site: The project site was made available during 08.04.2011 to 13.06.2013.
6. Slackness on the part of developer in executing the works: As per agreement the time allowed for completion of construction works was eight months. Thus, considering that the project site was made available by 13.06.2013 the work should have been completed latest by 12.02.2014. The work, however, was still under progress and the same was lying incomplete.</td></tr>
</table>

Sl. No.	Main reasons for delay
10.	**MSWM project, Pilkhuwa–Incomplete and work-in-progress** **Completion of the project was delayed by 50 months reasons for which are discussed below:** 1. **Delay in inviting tender**: Project was sanctioned in January 2011 but bids invited vide NIT dated 26.06.2013. 2. **Delay in finalisation of tender**: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 26.06.2013 but agreement could be executed on 10.12.2013. 3. **Delay in providing project site**: The project site was made available during June 2013 to August 2015.
11.	**MSWM project, Agra – Incomplete and abandoned** **Completion of the project was delayed by 96 months reasons for which are discussed below:** 1. **Delay in nomination of executing agency**: Project was sanctioned in March 2007 but UPJN was nominated as executing agency in December 2007 which in turn decided that MSWM projects would be executed by its C&DS wing in March 2008. 2. **Bids not responded**: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 08.04.2008 but the same did not materialise ultimately. 3. **Delay in finalisation of tender**: Bids for construction of MSW processing and disposal facilities were again invited vide NIT dated 11.07.2008 but agreement could be executed on 17.11.2008. 4. **Delay in finalisation of modalities**: It was decided (October 2008) to revise the framework for implementation of the projects and to include collection and transportation activities in the scope of developer. The revised framework was finalised during November 2008 to February 2010. Thereafter, proposals and counter proposals were invited (March 2010 to May 2010) and agreement for development of collection and transportation facilities was executed with the developer on 27.12.2010.
	5. **Delay in providing project site**: Out of the 75 acre land required for the project, 57 acre land was made available in April 2008 itself. However, balance 18 acre land was made available by 03.06.2013. 6. **Slackness on the part of developer in executing the works**: As per agreement the time allowed for completion of construction works was eight months. Thus, considering that 18 acre land was made available by03.06.2013 the work should have been completed latest by 02.02.2014. The work, however, was stopped by the developer in October 2013 without completing the same. Similarly the date of start as per agreement executed for development of collection and transportation facilities was 27.12.2010 and the time allowed for completion of works was eight months. Thus, the work was to be completed by 26.08.2011. The work, however, was stopped by the developer in October 2012 without completing the same.
12.	**MSWM project, Allahabad - Incomplete and abandoned** **Completion of the project was delayed by 87 months reasons for which are discussed below:** 1. **Delay in nomination of executing agency**: Project was sanctioned in December 2007 but UPJN was nominated as executing agency in August 2008. 2. **Delay in finalisation of modalities**: It was decided (October 2008) to revise the framework for implementation of the projects and to include collection and transportation activities in the scope of developer. The revised framework was finalised during November 2008 to May 2009. 3. **Delay in finalisation of tender**: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 25.08.2009 but agreement could be executed on 29.03.2010. 4. **Delay in providing project site**: The project site was made available by the ULB on 15.05.2010. 5. **Slackness on the part of developer in executing the works**: As per agreement the time allowed for completion of construction works was eight months. Thus, considering that the project site was made available on 15.05.2010 the work should have been completed latest by

Sl. No.	Main reasons for delay
	14.01.2011. The work, however, was stopped by the developer in August 2013 without completing the same.
13.	**MSWM project, Jhansi - Incomplete and abandoned** **Completion of the project was delayed by 102 months reasons for which are discussed below:** **1. Delay in nomination of executing agency:** Project was sanctioned in September 2006 but UPJN was nominated as executing agency in December 2007 which in turn decided that MSWM projects would be executed by its C&DS wing in March 2008. **2. Bids not responded**: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 11.07.2008 but the same did not materialise ultimately. **3. Delay in finalisation of modalities**: It was decided (October 2008) to revise the framework for implementation of the projects and to include collection and transportation activities in the scope of developer. The revised framework was finalised during November 2008 to May 2009. **4. Delay in finalisation of tender**: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 25.08.2009 but agreement could be executed on 05.04.2010. **5. Slackness on the part of developer in executing the works**: The date of start as per agreement was 12.04.2010 and the time allowed for completion of construction works was eight months. Thus, the work should have been completed latest by 11.12.2010. The work, however, was stopped by the developer in December 2012 without completing the same.
14.	**MSWM project, Varanasi- Incomplete and abandoned** **Completion of the project was delayed by 89 months reasons for which are discussed below:** **1. Delay in nomination of executing agency**: Project was sanctioned in October 2007 but UPJN was nominated as executing agency in August 2008. **2. Delay in finalisation of modalities**: It was decided (October 2008) to revise the framework for implementation of the projects and to include collection and transportation activities in the scope of developer. The revised framework was finalised during November 2008 to May 2009. **3. Delay in finalisation of tender**: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 25.08.2009 but agreement could be executed on 17.04.2010. **4. Delay in providing project site**: The project site was made available by the ULB on 25.07.2010. **5. Slackness on the part of developer in executing the works**: As per agreement the time allowed for completion of construction works was eight months. Thus, considering that the project site was made available on 25.07.2010 the work should have been completed latest by 24.03.2011. The work, however, was stopped by the developer in January 2014 without completing the same.
15.	**MSWM project, Mirzapur - Incomplete and abandoned** **Completion of the project was delayed by 92 months reasons for which are discussed below:** **1. Delay in nomination of executing agency**: Project was sanctioned in July 2007 but UPJN was nominated as executing agency in June 2009. **2. Delay in finalisation of tender**: Bids for construction of MSW processing and disposal facilities were invited vide NIT dated 03.02.2010 but agreement could be executed on 11.02.2011. **3. Delay in providing project site**: The project site was made available by the ULB in June 2011. **4. Slackness on the part of developer in executing the works**: As per agreement the time allowed for completion of construction works was eight months. Thus, considering that the project site was made available in June 2011 the work should have been completed latest by February 2012. The work, however, was stopped by the developer in July 2012 without completing the same.

Source: Correspondence files relating to the MSWM projects and Progress Report of the MSWM projects for the month of March 2016

Annexure-2.4.6
(Referred to in paragraph 2.4.16)
Statement showing irregular release of capital grant and loss of interest thereon

Date of payment	Gross Amount of running bill	Security to be deducted	Cumulative security to be deducted	Security deducted	Cumulative security deducted	Security released	Cumulative security released	Cumulative security short deducted	Interest calculated at the rate of 12 *per cent* per annum
Varanasi									
08/03/2011	69733467	6973347	6973347		0		0	6973347	0
08/03/2011	10814404	1081440	8054787		0		0	8054787	757371
19/12/2011	38130463	3813046	11867833		0		0	11867833	0
19/12/2011	67719188	6771919	18639752		0		0	18639752	453482
02/03/2012	24634849	2463485	21103237		0		0	21103237	763186
20/06/2012	29195895	2919590	24022827		0		0	24022827	3664633
27/09/2013	25046370	2504637	26527464		0		0	26527464	87214
07/10/2013	10229429	1022943	27550407		0		0	27550407	226442
01/11/2013	17742102	1774210	29324617		0		0	29324617	453126
18/12/2013	5757403	575740	29900357		0		0	29900357	19661
20/12/2013	9977985	997799	30898156		0		0	30898156	995513
28/03/2014	43296240	4329624	35227780		0		0	35227780	8500994
Total	**352277796**								**15921622**
Jhansi									
05/02/2011	9739000	973900	973900	973900	973900		0	0	0
13/05/2011	10391688	1039169	2013069		973900		0	1039169	16057
29/06/2011			2013069		973900	973900	973900	2013069	59565
27/09/2011	14255337	1425534	3438603		973900		973900	3438603	137921
27/01/2012	10334408	1033441	4472044		973900		973900	4472044	130853
25/04/2012	10179757	1017976	5490020	3559424	4533324		973900	1930596	468421
03/05/2014	4575000	457500	5947520		4533324		973900	2388096	0
03/05/2014			5947520	1033440	5566764		973900	1354656	0
03/05/2014			5947520		5566764	4592864	5566764	5947520	1364834
Total	**59475190**								**2177651**
Allahabad									
14/03/2011	35826000	3582600	3582600		0		0	3582600	123673

Date of payment	Gross Amount of running bill	Security to be deducted	Cumulative security to be deducted	Security deducted	Cumulative security deducted	Security released	Cumulative security released	Cumulative security short deducted	Interest calculated at the rate of 12 *per cent* per annum
27/06/2011	91785000	9178500	12761100		0		0	12761100	297876
06/09/2011	59731000	5973100	18734200		0		0	18734200	954674
08/02/2012	19424000	1942400	20676600		0		0	20676600	2086920
11/12/2012	50664000	5066400	25743000	25743000	25743000		0	0	0
15/03/2013	15246000	1524600	27267600	1524600	27267600		0	0	0
04/06/2013	8836000	883600	28151200		27267600		0	883600	7262
29/06/2013		0	28151200		27267600	5000000	5000000	5883600	524205
27/03/2014		0	28151200		27267600	1797961	6797961	7681561	671768
18/12/2014	13635000	1363500	29514700	2922261	30189861		6797961	6122800	944085
Total	**295147000**								**5610463**
				Mirzapur					
31/12/2011	11315000	1131500	1131500		0		0	1131500	37944
11/04/2012	13462500	1346250	2477750	673125	673125		0	1804625	98488
24/09/2012	26110000	2611000	5088750	1305500	1978625		0	3110125	443768
02/12/2013	5140595	514060	5602810	257030	2235655		0	3367155	940958
Total	**56028095**								**1521158**
				Agra (P&D)					
21/02/2009	250000	12500	12500	0	0		0	12500	107
19/03/2009	385300	19265	31765	0	0		0	31765	3237
23/01/2010	7057760	352888	384653	0	0		0	384653	126
24/01/2010	6577878	328894	713547	350000	350000		0	363547	598
29/01/2010	738012	36901	750448	0	350000		0	400448	15404
26/05/2010	13107520	655376	1405824	0	350000		0	1055824	4513
08/06/2010	6651600	332580	1738404	1388403	1738403		0	1	0
03/08/2010	11564300	578215	2316619	578215	2316618		0	1	0
19/08/2010	9298230	464912	2781531	464912	2781530		0	1	0
29/10/2010	10153850	507693	3289224	507692	3289222		0	2	0
04/01/2011	7246000	362300	3651524	362300	3651522		0	2	0
09/02/2011	9000000	450000	4101524	450000	4101522		0	2	0

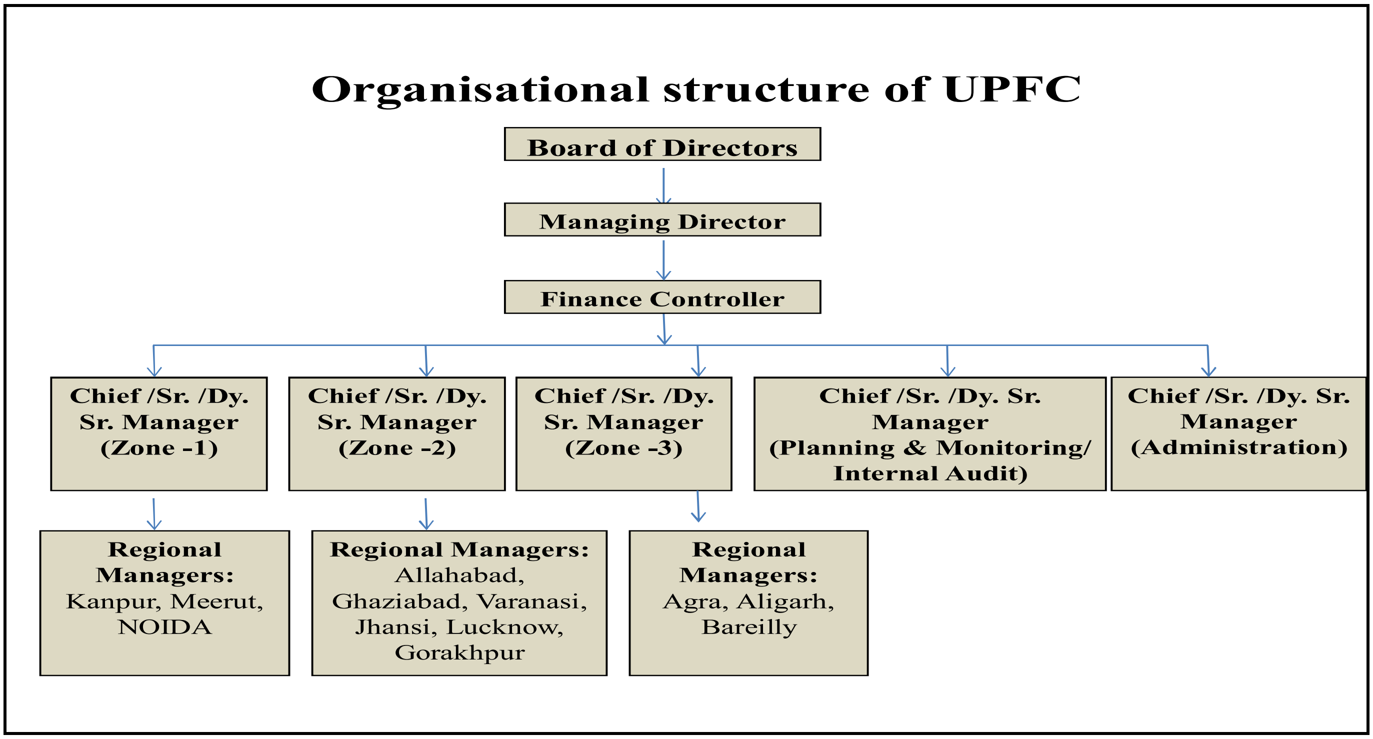
Date of payment	Gross Amount of running bill	Security to be deducted	Cumulative security to be deducted	Security deducted	Cumulative security deducted	Security released	Cumulative security released	Cumulative security short deducted	Interest calculated at the rate of 12 *per cent* per annum
07/06/2011	3080000	154000	4255524	154000	4255522		0	2	0
21/07/2011	4500000	225000	4480524	225000	4480522		0	2	0
20/12/2011	6750000	337500	4818024	337500	4818022		0	2	0
13/03/2012	5000500	250025	5068049	250025	5068047		0	2	0
04/07/2012	6329335	316467	5384516	316467	5384514		0	2	0
04/09/2012	3006000	150300	5534816	150300	5534814		0	2	0
11/09/2012		0	5534816	0	5534814	5384514	5384514	5384516	104445
09/11/2012	5529000	276450	5811266	276450	5811264		5384514	5384516	2191572
Total	**116225285**								**2320002**
Agra (C&T)									
11/11/2011	1804167	180417	180417	180417	180417		0	0	0
31/12/2011	4136063	413606	594023	413606	594023		0	0	0
31/01/2012	3993030	399303	993326	399303	993326		0	0	0
03/03/2012	3750000	375000	1368326	375000	1368326		0	0	0
20/03/2012	4042709	404271	1772597	404271	1772597		0	0	0
12/05/2012	4166667	416667	2189264	416667	2189264		0	0	0
17/05/2012	4157371	415737	2605001	415737	2605001		0	0	0
18/05/2012	1577682	157768	2762769	157768	2762769		0	0	0
23/06/2012	836984	83698	2846467	83698	2846467		0	0	0
28/08/2012	1233333	123333	2969800	123333	2969800		0	0	0
27/09/2012	4476810	447681	3417481	447681	3417481		0	0	0
15/07/2014	7134659	713466	4130947		3417481	3417481	3417481	4130947	848825
Total	**41309475**								**848825**
Grand Total								**60180718**	**28399721**

Source: Payment vouchers of the MSWM projects.

Annexure-2.5.1

(Referred to in paragraphs 2.5.1 and 2.5.6)

Organisationalchart and role of officers at headquarters, zonal offices and regional offices of UPFC



Officers of the Corporation and their Role

Managing Director at Head Office: Approval of One Time Settlements (OTS) and sale proposals in case where disbursed amount is more than ₹ 25 lakh, fixation of recovery targets, general supervision, monitoring of working of Regional offices and implementation of Government schemes.

Zonal Managers at Zonal Office: The Zone offices are situated at headquarters office. The role of Zonal Managers is to approve OTS and sale proposals in case where disbursed amount is more than ₹ 10 lakh and ₹ 5 lakh respectively but not more than ₹ 25 lakh and monitoring of working of Regional offices.

Regional Managers at Regional Office: Approval of OTS and sale proposals in case where disbursed amount is up to ₹ 10 lakh and ₹ 5 lakh respectively, examination of OTS and sale proposals with higher disbursed amount and send them to head office for approval, achievement of targets of recovery fixed by Head office and monitoring of borrowers.

Annexure-2.5.2

(Referred to in paragraph 2.5.7)
Statement showing delay in issue of demand notice

Sl. No.	Name of Regional office	Name of borrower	OSP (in crore)	OSI (in crore)	Date of first default	Date of last payment	Date of issue of demand notice	Delay in months in issue of notice[6]
1	Noida	RK Cable Industries	0.02	4.18	20.03.1986	24.12.1985	15.10.1986	2
2	Varanasi	Jaunpur Textiles Pvt. Ltd	0.58	37.17	15.04.1997	31.01.1997	15.12.1997	4
3	Varanasi	Adarsh Rolling Mills Pvt. Ltd	0.50	53.56	15.01.1998	29.11.1997	14.10.1998	5
4	Noida	Priya Cable (P) Ltd	1.36	132.88	15.10.1997	31.08.1997	14.07.1998	5
5	Varanasi	Om Rice Mill	0.00	14.89	20.06.1992	31.03.1997	31.3.1998	8
6	Kanpur	Narendra Rolling Mills Pvt. Ltd.	0.52	19.98	30-06-1989	19.08.1989	1991	12
7	Kanpur	Indu Milk Products Pvt. Ltd.	0.08	7.73	30-06-1988	21.01.1995	1997	19
8	Varanasi	Vindhyavasini Steels Pvt. Ltd	0.00	27.79	15.04.1998	21.12.1998	11.09.2001	28
9	Varanasi	Tirupati Tubes Pvt. Ltd.	2.19	87.18	15.10.1998	20.03.1999	22.12.2007	89
10	Varanasi	Mishra Silk Mill	0.00	0.09	16.01.1981	06.01.1982	03.02.2007	296 (24 years)
		Total	**5.25**	**385.45**				

Source: Information furnished by the Corporation

[6] Calculated from date of last payment or date of first default whichever is later excluding 4 months.

Annexure-2.5.3

(Referred to in paragraph 2.5.7)
Statement showing delay in issue of notice under Section 29 of SFCs Act

Sl. No.	Name of Regional office	Name of borrower	OSP (in crore)	OSI (in crore)	Date of last payment by borrower	Date of issue of notice u/s29	Delay in months in issue of notice excluding 9 months
1	Varanasi	KP & Sons	0.05	0.05	06.08.2010	14.03.2012	7
2	Noida	KBS Polycraft	0	0.32	09.01.1985	01.07.1986	8
3	Noida	United Rubber Industries	0	2.93	1983	20.01.1986	15
4	Kanpur	SonuUdhyog Ltd	1.88	117.01	20.08.1998	25.09.2000	16
5	Kanpur	Gemini Electro Chemical	2.05	72.39	30.03.1997	1.06.1999	17
6	Kanpur	Bala Ram	0.3	84.19	03.07.1996	28.11.1998	19
7	Kanpur	Jainpur Straw Board	0.85	63.82	31.03.1997	29.10.1999	21
8	Kanpur	Taj Bone Mill	0	2.3	30.06.1986	10.04.1989	24
9	Varanasi	Vindhyavasini Steels	0	27.79	21.12.1998	02.11.2001	25
10	Varanasi	Canon Ceremics	2.24	65.34	26.12.2001	12.12.2004	27
11	Bareilly	Khanna Bottling Co.	0.01	1.79	24.06.1987	14.09.1990	29
12	Noida	Par Udyog	0	1.62	20.03.1991	19.08.1995	43
13	Noida	Bharat Lubricants	0.69	28.73	21.07.1992	06.02.1997	45
14	Bareilly	India Wires Nails Ind.	0.13	14.24	20.09.1991	20.05.1996	47
15	Kanpur	Narendra Rolling Mills	0.52	19.98	13.03.1989	15.11.1995	71
16	Kanpur	Naramau Cold Storage	0.05	116.79	30.09.1988	28.08.1995	73
17	Bareilly	Saxena Industries	0.01	10.72	30.09.1997	08.03.2006	92
18	Noida	Roshan Ice& Cold storage	0.18	5.8	31.01.1991	28.09.1999	94
19	Varanasi	Tirupati Tubes	2.19	87.18	20.03.1999	22.12.2007	96
20	Kanpur	Indu Milk Products	0.08	7.73	31.12.1987	24.09.1997	98
21	Noida	Arjun Cattle Feed Ind.	0.04	5.07	10.12.1987	22.06.1999	129
22	Noida	RK Cable Industries	0.02	4.18	24.12.1985	23.09.1999	155
23	Bareilly	SaraswatiWollen Mill	0.3	82.61	30.06.1981	10.10.1996	174
24	Varanasi	Shri Baba Kishan Cold Storage	0.6	26.53	15.05.1990	13.04.2007	193
25	Varanasi	Mishra silk Mill	0	0.09	06.01.1982	10.10.2007	299 (24 years)
		Total	**12.19**	**849.20**			

Source: Information furnished by the Corporation

Annexure-2.5.4
(Referred to in Paragraph 2.5.17)
Statement showing cases in which OTS was done below value of mortgaged assets

(₹in crore)

Sl. No.	Regions	Name of Borrower	Amount outstanding (OSP+OSI)	Value of mortgaged assets	Amount of OTS	Difference {(4) or (5) (whichever is lower)*minus* (6)}
(1)	**(2)**	**(3)**	**(4)**	**(5)**	**(6)**	**(7)**
1	Kanpur	H.R. Polymers,	1.46	4.77	1	0.46
2	Kanpur	Rahul Traders,	0.25	0.46	0.19	0.06
3	Kanpur	Kushwaha Palace	1.03	2.31	0.6	0.43
4	Noida	Bright Rubber Industries	1.05	3.26	0.30	0.75
5	Noida	Vidhata cables	0.09	0.56	0.07	0.02
		Total (1)	**3.88**	**11.36**	**2.16**	**1.72**
1	Kanpur	Bhola Ram Ispat	42.59	1.61	1.1	0.51
2	Meerut	Sameer Ispat,	15.74	5.06	4.77	0.29
3	Meerut	Simran Chemicals	0.97	0.86	0.70	0.16
		Total (2)	**59.3**	**7.53**	**6.57**	**0.96**
	Total	**Grand Total (1+2)**	**63.18**	**18.89**	**8.73**	**2.68**

Source: Information furnished by the Regional offices

Annexure-2.6.1
(Referred to in paragraph 2.6.5)
Statement showing bills sent to Departments but not verified as on31 March 2016

Name of Regional Manager	Name of Department	Amount in ₹
R. M. Ghaziabad, UPSRTC	Police	6554547.23
	Protocol	48037.00
R. M. Agra, UPSRTC	Police	1005644.00
	Protocol	177175.00
R. M. Moradabad, UPSRTC	Police	3778199.00
	Protocol	19838.00
R. M. Azamgarh UPSRTC	Police	6749732.00
	Protocol	404946.00
R. M. Varanasi, UPSRTC	Police	1,2093766.00
	Protocol	6532781.00
Total		**37364665.23**

Source: Information furnished by the Corporation

Annexure-3.1
(Referred to in paragraph 3.1)
Statement showing loss of revenue

Sl. No.	Month	Opening Balance of Banked Energy	100 % of Import for Banking (KVAh)	Banking Charges (12.5%) (Unit in KVAh)	Net Banked Energy (Unit in KVAh)	Banked Energy allowed for adjustment (75%) (Unit in KVAh)	Supply from UPPCL (Unit in KVAh)	Unadjusted Banked Energy (Closing Balance) (KVAh)	Unused Banked Energy, including banking charges, to be treated as Sale to UPPCL as per CNCE Regulation (Unit in KVAh)	Sale of Energy to UPPCL at the rate specified by the UPERC	Excess Energy supplied by UPPCL/ Company	Amount as per Tariff to be billed (Energy charges @ ₹ 5.40 per kVAh *plus* ED @ 7.5 % of EC *plus* RS @ 3.71% of EC)
1	2	3	4	5 (4*12.5%)	6 (4-5)	7 (6*75%)	8	9	10 (UBE *100/87.50*100)	11 {(10*0.9) *Rate}	12	13
	2010-11	**76,072,346**										
1	Apr-11	76072346	14225667	1778208	12447459	9335594	2263333	83144607				
2	May-11	83144607	9095000	1136875	7958125	5968594	7639000	81474201				
3	Jun-11	81474201	5134667	641833	4492834	3369625	5247667	79596159				
4	Jul-11	79596159	6631000	828875	5802125	4351594	2618667	81329086				
5	Aug-11	81329086	4428000	553500	3874500	2905875	26535000	57699961				
6	Sep-11	57699961	15010333	1876292	13134041	9850531	3720333	63830159				
7	Oct-11	63830159	10074000	1259250	8814750	6611063	7008667	63432554				
8	Nov-11	63432554	20034333	2504292	17530041	13147531	3573000	73007085				
9	Dec-11	73007085	17719667	2214958	15504709	11628531	2603667	82031950				
10	Jan-12	82031950	16716000	2089500	14626500	10969875	2358667	90643158				
11	Feb-12	90643158	13023667	1627958	11395709	8546781	7058667	92131272				
12	Mar-12	92131272	22477333	2809667	19667666	14750750	4322000	102560022				
						101436344	**74948668**					
Unused Banked Energy of 2010-11 to be treated as sale to UPPCL @ ₹ 2.02 per KWh								**1123678**	**1284203**	**2334682**		
Unused Banked Energy of 2011-12 allowed to be carried forward								**101436344**				
	2011-12	**101436344**										
1	Apr-12	101436344	9670000	1208750	8461250	6345938	7663667	100118614				
2	May-12	100118614	6530667	816333	5714334	4285750	14025333	90379032				
3	Jun-12	90379032	2995667	374458	2621209	1965906	11375333	80969605				
4	Jul-12	80969605	37871000	4733875	33137125	24852844	1218000	104604449				
5	Aug-12	104604449	25551667	3193958	22357709	16768281	6372333	115000397				
6	Sep-12	115000397	29381000	3672625	25708375	19281281	2116667	132165012				
7	Oct-12	132165012	13096000	1637000	11459000	8594250	5545333	135213929				
8	Nov-12	135213929	16314333	2039292	14275041	10706281	6560667	139359543				
9	Dec-12	139359543	11657333	1457167	10200166	7650125	9313667	137696000				
10	Jan-13	137696000	9504000	1188000	8316000	6237000	4272333	139660667				

Sl. No.	Month	Opening Balance of Banked Energy	100 % of Import for Banking (KVAh)	Banking Charges (12.5%) (Unit in KVAh)	Net Banked Energy (Unit in KVAh)	Banked Energy allowed for adjustment (75%) (Unit in KVAh)	Supply from UPPCL (Unit in KVAh)	Unadjusted Banked Energy (Closing Balance) (KVAh)	Unused Banked Energy, including banking charges, to be treated as Sale to UPPCL as per CNCE Regulation (Unit in KVAh)	Sale of Energy to UPPCL at the rate specified by the UPERC	Excess Energy supplied by UPPCL/ Company	Amount as per Tariff to be billed (Energy charges @ ₹ 5.40 per kVAh *plus* ED @ 7.5 % of EC *plus* RS @ 3.71% of EC)
1	2	3	4	5 (4*12.5%)	6 (4-5)	7 (6*75%)	8	9	10 (UBE *100/87.50*100)	11 {(10*0.9) *Rate}	12	13
11	Feb-13	139660667	8444333	1055542	7388791	5541594	7387667	137814594				
12	Mar-13	137814594	10214667	1276833	8937834	6703375	14416667	130101302				
						118932625	**90267667**					
Unused Banked Energy of 2011-12 to be treated as sale to UPPCL @ ₹ 2.11 per KWh								**11168677**	**12764202**	**24239220**		
Unused Banked Energy of 2012-13 allowed to be carried forward								**118932625**				
	2012-13	**118932625**										
1	Apr-13	118932625	10980333	1372542	9607791	7205844	5871667	120266802				
2	May-13	120266802	19165333	2395667	16769666	12577250	1348000	131496052				
3	Jun-13	131496052	12053667	1506708	10546959	7910219	5503667	133902604				
4	Jul-13	133902604	1664000	208000	1456000	1092000	14765000	120229604				
5	Aug-13	120229604	19406000	2425750	16980250	12735188	287667	132677124				
6	Sep-13	132677124	8755667	1094458	7661209	5745906	6685333	131737697				
7	Oct-13	131737697	7462000	932750	6529250	4896938	9651667	126982968				
8	Nov-13	126982968	10870333	1358792	9511541	7133656	13357667	120758957				
9	Dec-13	120758957	5333	667	4666	3500	25519000	95243457				
10	Jan-14	95243457	359667	44958	314709	236031	30369333	65110155				
11	Feb-14	65110155	1082000	135250	946750	710063	20969000	44851218				
12	Mar-14	44851218	140333	17542	122791	92094	27669333	17273978				
						60338687	**161997334**					
Unused Banked Energy of 2012-13 to be treated as sale to UPPCL								**Nil**				
Unused Banked Energy of 2013-14 allowed to be carried forward								**17273978**				
	2013-14	17273978										
1	Apr-14	17273978	322667	40333	282334	211750	22449667	(4963939)			4963939	29810138.43
2	May-14	-	22000	2750	19250	14438	18593666	(18579229)			18579229	111574584.08
3	Jun-14	-	567667	70958	496709	372531	18789333	(18416802)			18416802	110599154.91
4	Jul-14	-	5869667	733708	5135959	3851969	3561667	290302				
5	Aug-14	290302	4173667	521708	3651959	2738969	7055667	(4026396)			4026396	24179877.33
6	Sep-14	-	28715333	3589417	25125916	18844437	3657000	15187437				
7	Oct-14	15187437	11140667	1392583	9748084	7311063	12703000	9795500				
8	Nov-14	9795500	8395667	1049458	7346209	5509656	1190733	14114423				
9	Dec-14	14114423	5949333	743667	5205666	3904250	14987667	3031006				
10	Jan-15	3031006	23758667	2969833	20788834	15591625	6818667	11803964				

Sl. No.	Month	Opening Balance of Banked Energy	100 % of Import for Banking (KVAh)	Banking Charges (12.5%) (Unit in KVAh)	Net Banked Energy (Unit in KVAh)	Banked Energy allowed for adjustment (75%) (Unit in KVAh)	Supply from UPPCL (Unit in KVAh)	Unadjusted Banked Energy (Closing Balance) (KVAh)	Unused Banked Energy, including banking charges, to be treated as Sale to UPPCL as per CNCE Regulation (Unit in KVAh)	Sale of Energy to UPPCL at the rate specified by the UPERC	Excess Energy supplied by UPPCL/ Company	Amount as per Tariff to be billed (Energy charges @ ₹ 5.40 per kVAh *plus* ED @ 7.5 % of EC *plus* RS @ 3.71% of EC)
1	**2**	**3**	**4**	**5 (4*12.5%)**	**6 (4-5)**	**7 (6*75%)**	**8**	**9**	**10 (UBE *100/87.50*100)**	**11 {(10*0.9) *Rate}**	**12**	**13**
11	Feb-15	11803964	28079000	3509875	24569125	18426844	148000	30082808				
12	Mar-15	30082808	23013333	2876667	20136666	15102500	5332000	39853308				
						91880032	**115287067**					
Unused Banked Energy of 2014-15 allowed to be carried forward								**39853308**				
Total unused banked energy treated as sale to UPPCL									**14048406**			
Total									**14048406**	**26,573902**	**45986365**	**276163755**

Details of undue benefit to consumer

Sl. No.	Unit to be billed as per tariff	Amount to be charged as per tariff (2014-15)	Amount of sale of unused banked energy (2011-12 and 2012-13)	Net Undue Benefit
1	14048406	84365454	26573902	57791553
2	31937959	191798300	-	191798300
	45986365	**276163755**	**26573902**	**249589853**

Source: Information furnished by the Division and working done by Audit