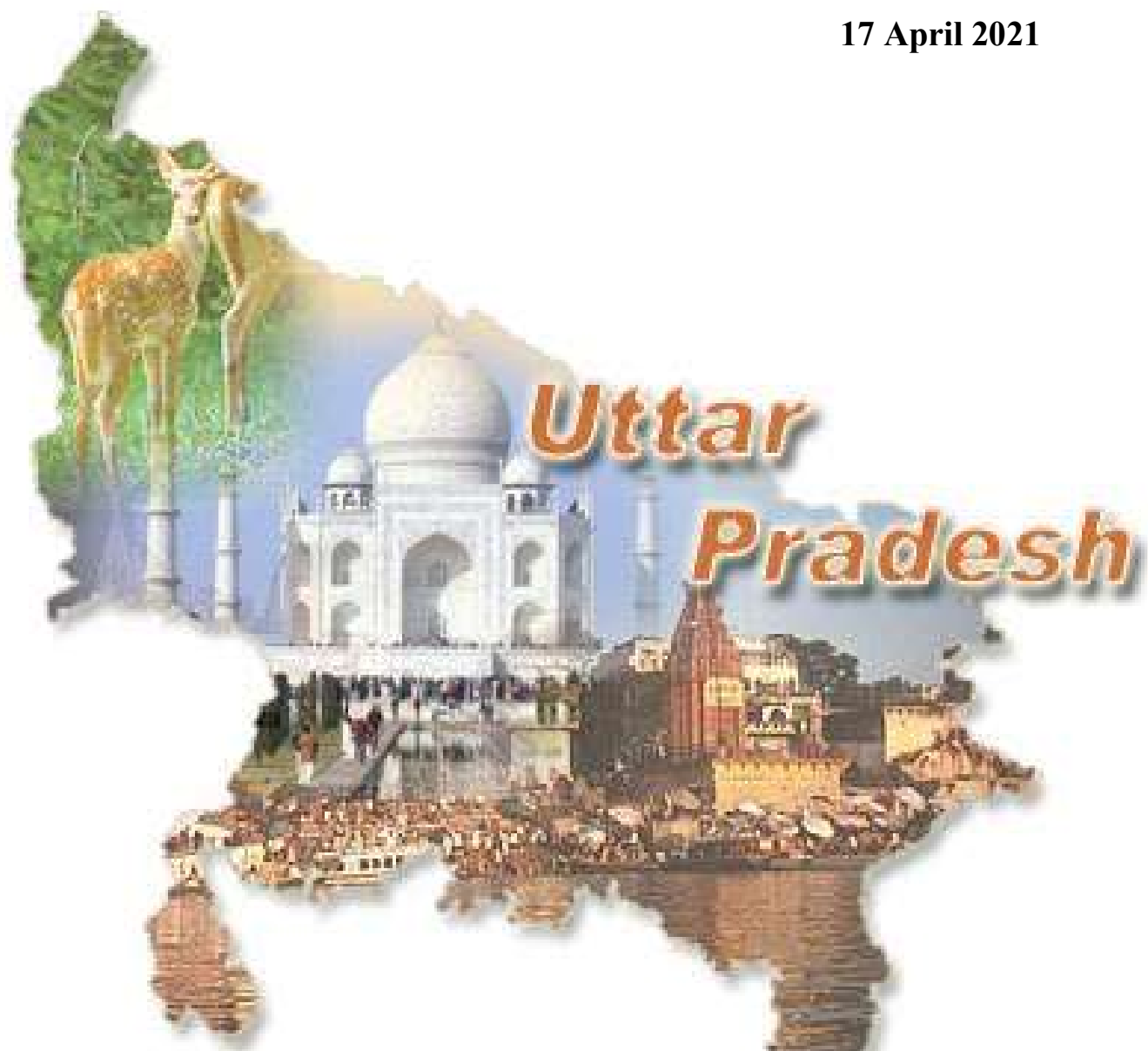


17 April 2021



**Report on the Evaluation of
Backward Regions Grant Fund (BRGF) in the State of
Uttar Pradesh**

Submitted to
The Ministry of Panchayati Raj (MoPR), Government of India

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Report on the Evaluation of Backward Regions Grant Fund (BRGF) in the State of Uttar Pradesh

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Executive Summary

The Ministry of Panchayati Raj (MoPR), Government of India, New Delhi has assigned the responsibility for the evaluation of the BRGF programme in the 28 states to the Centre for Rural Management (CRM), Kottayam, Kerala. This is the exclusive report for the state of Uttar Pradesh.

Backward Regions Grant Fund (BRGF) Programme was launched in the Month of February 2007 to address the regional imbalances in development through providing financial assistance to meet the critical gaps in development and convergence of existing flagship programmes. It also aimed in the strengthening of the planning capacity of the Panchayati Raj Institutions (PRIs), reducing the overall backwardness of the region, poverty reduction, improved livelihood, facilitating participatory planning reflecting the local felt needs, implementation and monitoring. The BRGF programme has been discontinued in 2015-16. There are 35 BRGF districts in the State. The total allocation to the state under BRGF is Rs. 5299.03 Crore.

Objectives

The basic objectives of the evaluation of BRGF are

1. Assessment of whether the various BRGF schemes:
 - a) Strengthened Panchayat and Municipality level Governance with appropriate capacities built: and,
 - b) Facilitated participatory planning, decision making, implementation and monitoring that reflected local needs.
2. Assessment of professional support provided to local bodies towards BRGF planning, implementation and monitoring.
3. Assessment of whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which were not being adequately addressed through existing inflows

4. Assessment of whether BRGF contributed to:
 - a) The improvement in performance and delivery of critical functions assigned to Panchayats /Municipality and,
 - b) Counter possible efficiency and equity losses owing to inadequate local capacity.

Methodology

Both primary and secondary data were collected. The methodology for completing the assignment was collection of data, interaction with the elected functionaries, discussions with officials of PRIs, implementing officers of the line departments, focus group discussions with beneficiaries and physical verification of assets created under the scheme..

Sample

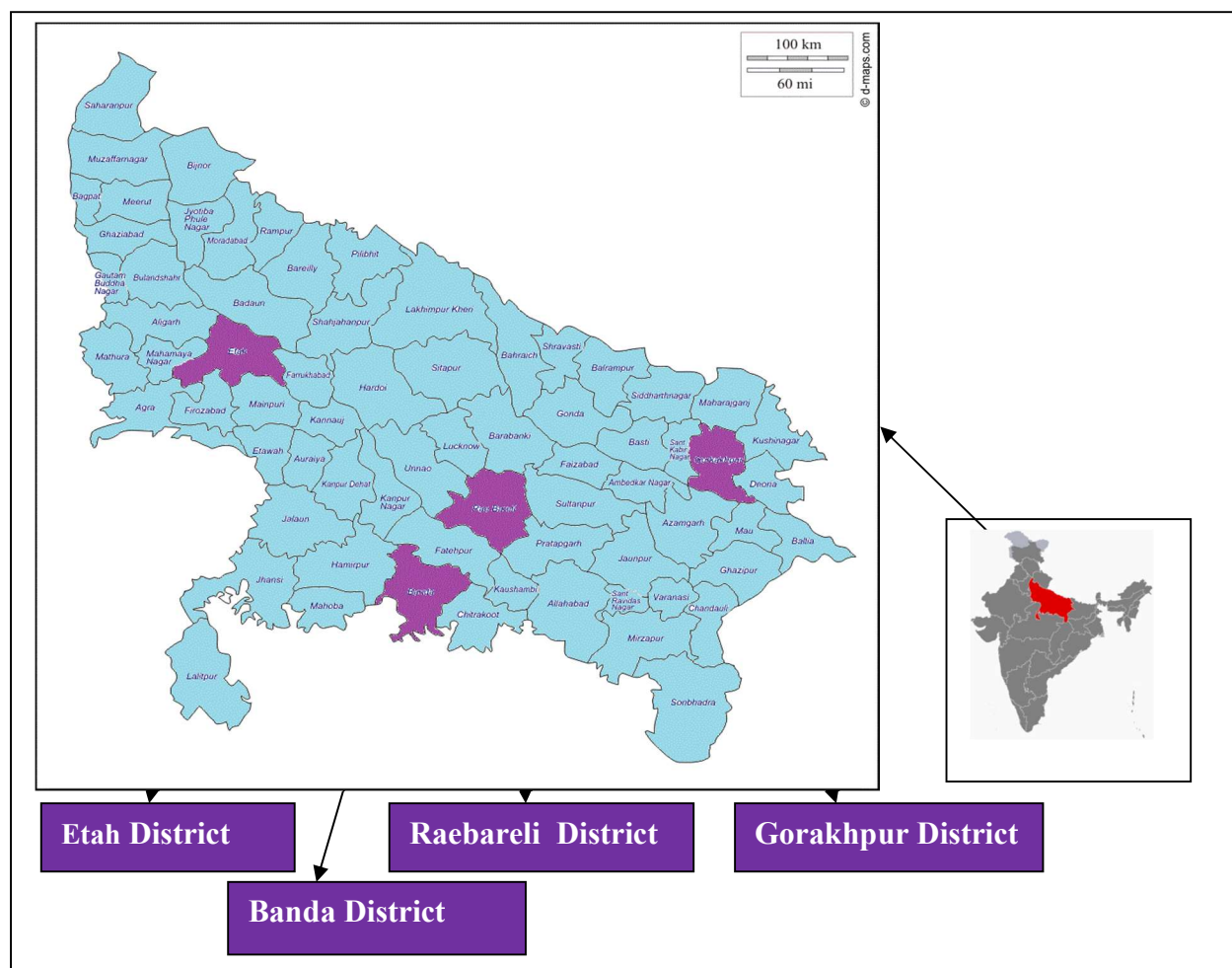
The number of BRGF district in Uttar Pradesh is 35. As per the Terms of Reference 4 districts are selected for the states having more than 30 BRGF district. Therefore four districts (two best performing and two least performing districts) are selected from the state of Uttar Pradesh. From each district, three blocks were selected. A best performing Block, a least performing one and a medium performing block were selected. Two Urban Local Bodies (ULBs) from each district were also selected randomly. Further, from each Block, four Gram Panchayats were selected randomly for data collection. In each Gram Panchayat, five selected assets developed under BRGF, were physically verified and 2 twostakeholders from each asset interviewed. One FGD was conducted for each Panchayat /ULBs.

Table No. E.1: Selected Districts, Blocks, Gram Panchayats and ULBs in Uttar Pradesh

District	Kshetra Panchayats	Gram Panchayats	Urban Local Bodies
1.Gorakhpur	1.Bhramapur	1.Tendua Khurd 2.Belwa 3.Rampura 4.Jungle Rasulpur	1.Golabazar 2.Barhal Ganj
	2.Jungle Kaudia	5.Jungle Kaudia 6.Kurwa 7.Doharia 8.Bharoya	
	3.Bhatghat	9.HafijNagar 10.Parsouna 11. Phoolwaria 12.Pokhar Bhinda	
2.Etah	4.Sitapur	13.Barthar 14.Jirasmi 15.Neorai 16.Wajidpur	3.Etah 4.Jalesar
	5.Nidhouli Kaula	17.Sihori 18.Sirav 19.Samant Kheda 20.Himmatpur	
	6.Awagarh	21.Jalukheda 22.Rohina Mirjapur 23.Khatauta 24.Nuhkhas	
3.Banda	7.Badokhar Khurd	25.Chahithara 26.Hathaira 27.Duredi 28.Tindwara	5.Banda 6.Attra
	8.Naraini	29.Lahuretta 30.Pukari 31.Parsahar 32.Khalari	
	9.Tindwari	33.Piparhari 34.Mahuyi 35.Sandi 36.Khoda	
4.Raibareilly	10.Sataon	37.Nakunaha 38.Khushrupur 39.Jaithypur 40.Gujari	7.Raibareily 8.Lalganj
	11.Lalganj	41.Rangaon 42.Alampur 43.Mitapur 44.Galgasur	
	12.Harchandrapur	45.Datauli 46.Para 48.Gulupur 48.Ajmatullah Ganj	

Source: Field Data

Diagram E. 1: Selected Districts of Uttar Pradesh



Source: Field Data

Tools

Separate questionnaires were prepared to collect BRGF data from:

- 1) State Headquarters
- 2) District Planning Committees(DPC),
- 3) Zilla Parishads ,
- 4) Intermediate Panchayats,
- 5) Municipalities and Gram Panchayats.

In each Gram Panchayat, five selected assets developed under BRGF, were physically verified and two stakeholders from each asset interviewed. One FGD was conducted for each Panchayat /ULB.

Table No. E.2: Details of Questionnaires Covered in the Study

Sl. No	Category	Number
1.	State	1
2.	Zilla Parishads	4
3.	DPC	4
4.	Intermediate Panchayat	12
5.	Municipalities	8
6.	Gram Panchayats	48
7.	Assets	280*
8.	Stakeholders	560*

* The number of assets in the selected PRIs/ULBs is less than the required number for sample
Source: Field Data

Methodology for Assessing the Extent (on the scale of 0-10 for each state) to which Objective of BRGF including the Implementation of Decentralized Planning

As per the terms of reference for the study a Composite BRGF Index is to be prepared. To arrive at a cumulative measure from the analysis of four parameters, an overall value was assigned to each parameter and the value assigned is 2.5. To arrive at this overall value, questions from the PRI Schedule, Assets Schedule, Stakeholder Schedule and community schedule (FGD format) were assigned to each parameter. Questions were assigned to each parameter and classified therein as indicators, based on the specific aspect of the parameter that a question represented. Each question was then assigned a mark scale so as to analyze the performance of each PRI and Municipality.

Data from the field visits were used to mark the performance of every PRI and Municipality. However, the marks secured by a State for a particular parameter was

calculated by dividing the marks obtained by that State for that parameter with the maximum marks that can be scored in that parameter and then multiplying the result with the overall value of 2.5. The overall score of a state was determined as the aggregate of the scores obtained in all the four parameters.

Parameter 1: Assessment of Whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which are not being adequately addressed through existing inflows

Seven indicators are assessed and 27 questions are asked. Maximum and minimum marks that can be scored are 71 and 0, respectively. The State's score is calculated by dividing the marks obtained with the Maximum Mark (71) and then multiplying it with 2.5. (Refer Table No. A1.1 in Annexure 1)

Parameter 2: Assessment of whether the BRGF schemes strengthened Panchayat and Municipality level governance with appropriate capacity building and facilitated participatory planning, decision making implementation and monitoring that reflected local needs.

Six indicators are assessed and 19 questions are asked. Maximum and minimum marks that can be scored are 100 and 0 respectively. The score of a State is calculated by dividing the marks obtained with the Maximum Mark (100) and then multiplying the result with 2.5. (Refer Table No. A1.2 in Annexure 1)

Parameter 3: Assessment of professional support provided to local bodies towards, planning, implementation and monitoring under BRGF

Three indicators are assessed and 9 questions are asked. The maximum and minimum marks that can be scored are 33 and 0, respectively. State's score is calculated by dividing the marks obtained with the Maximum Mark (33) and then multiplying the result with 2.5. (Refer Table No. A1.3 in Annexure 1)

Parameter 4: Assessment of the improvement in performance and delivery of critical functions assigned to Panchayats and municipalities and counter possible efficiency and equity losses on account of inadequate local capacity.

Six indicators are assessed and 21 questions are asked. Maximum marks and minimum marks that can be scored are 105 and 0, respectively. The score of a State is calculated by dividing the marks obtained with Maximum Mark (105) and then multiplying the result with 2.5. (Refer Table No. A1.4 in Annexure 1)

Design of the Study

In addition to the executive summary, there are four chapters in the report. Chapter One deals with introduction. The major findings are included in chapter two. Chapter three elaborates calculation of performance index of BRGF whereas chapter four gives gaps, recommendations and conclusions.

Experience from the Field

Four districts from which three *Kshetra* Panchayats (Intermediate), Two Municipalities and 12 Gram Panchayats were selected from each district for survey and assets verification. The districts selected were 1. Gorakhpur, 2. Etah, 3. Banda and 4. Raibareilly.

1. Gorakhpur District

The total allocation received by the district is Rs.172.54 crores and the expenditure incurred is Rs.100.18 crores. The number of projects initiated in the district is 2095 and out of that 2019 projects are completed. Three Kshetra Panchayats (Intermediate) selected in the district are (1) Bhramapur (2) Bhatgat and (3) Jungle Kaudia. The total fund allocation to the selected Kshetra Panchayats under the scheme is Rs. 297.08 lakhs and the expenditure is Rs. 287.52 lakhs. The total fund allocated to 12 selected Gram Panchayats is Rs. 74.77 lakhs and the expenditure is Rs. 66.46 lakhs. Total fund allocated to the two selected Nagar Palikas (ULBs) is Rs. 367.66 lakhs and the full

amount is utilized. The average fund allocated per Kshetra Panchayat is Rs. 99.03 lakhs, per Gram Panchayat it is Rs. 6.23 lakhs and that of Nagar Palikas is Rs. 183.83 lakhs.

2. Etah District

The total allocation received by the district is Rs.169.63 crores and the expenditure is Rs. 110.86 crores. The total number of projects taken in the district is 1202. Three Kshetra Panchayats selected in the districts are 1. Nidhaulikaula, 2.Sitapur, and 3. Awagarh. The total fund allocation to the selected Kshetra Panchayat is Rs. 131.29 lakhs and the expenditure incurred is 129.19 lakhs. The total fund allocated to 12 selected Gram Panchayat is Rs. 153.95 lakhs and the expenditure incurred is Rs. 149.46 lakhs. The fund allocated two selected Nagar Palikas is Rs. 348.79 lakhs and the expenditure is Rs. 395.26 (excess amount is met from the interest and development fund). The average fund allocated per Kshetra Panchayat is Rs.43.76 lakhs and that of Gram Panchayat is Rs. 12.83. lakhs. The average fund allocated per Nagarpalika is Rs. 174.39 lakhs.

3. Raibareilly District

The total fund allocated under BRGF in the district is Rs. 162.77 crores and the utilization is Rs. 80.96 crores. The total number of works in the district is 790. Harchandpur, Lalganj and Sataon are the selected three Kshetra Panchayats. The fund allocated to the Kshetra Panchayat is Rs.83.3 lakhs and the utilization is Rs. 80.17 lakhs. The total fund allocated to the selected 12 Gram Panchayats is Rs. 135.59 lakhs and the utilization is Rs. 127.22 lakhs. Fund allocated to the two selected Nagar Palikas is Rs. 1043.69 lakhs and the expenditure is Rs. 1061.79 lakhs(the excess amount is met from the interest & development fund). The average fund allocated per Kshetra Panchayat is Rs. 27.77 lakhs and that of Gram Panchayat is Rs. 11.30 lakhs. The average fund allocated per Nagar Palika is Rs. 521.85 lakhs.

4. Banda District

Total allocation under BRGF in the district is Rs. 158.95 crores and the expenditure is Rs.60.45 crores. The total number of works in the districts is 411. Three Kshetra Panchayats selected are (i) Naraini, (ii) Tindwari and (iii) Badokharkhurd. The fund allocated to the selected Kshetra Panchayats is Rs. 148.15 lakhs and the utilization is Rs.144.24 lakhs. The fund allocated to 12 selected Gram Panchayats is Rs. 145.00 lakhs and the expenditure is Rs. 144.85 lakhs. The fund allocated to the two selected Nagar Palika in the district is Rs. 226.00 lakhs and the full amount is utilized. The average fund allocated per Kshetra Panchayat is Rs. 74.08 lakhs and that of Gram Panchayat is Rs. 12.08 lakhs. The average fund allocated per Nagar Palikas is Rs. 113.00 lakhs.

Major Findings

1. Involvement of Grass Root Level Governments in Planning

Guidelines for the implementation of the scheme were not followed strictly. The overall percentage of the felt needs assessment at the PRIs and ULBs level is 39.58 per cent and 87.50 per cent respectively. The base line survey prescribed for the need assessment was not seen done in a majority of PRIs and ULBs. Only 16.66 per cent of the selected Gram Panchayats and 50 per cent of the selected Nagar Palikas have prioritized the scheme in Gram Sabha/Ward Sabha. Technical assistance for the preparation of Gram Panchayat plans were provided by the Engineering Wing of the Kshetra Panchayat. The percentage of PRIs and ULBs having action plans approved in the Gram/Ward Sabha is 81.25 and 75.00 respectively. Action Plans of Gram Panchayats compiled by the Kshetra Panchayats are forwarded to the District Planning Committee (DPC) through the District Panchayat. After having approved in the DPC, funds are released by the *Appar Mukhya Adhikari* (AMA) on the Administrative Sanction (AS) issued by the District Magistrate (District Collector). Work plans and estimates are prepared by the Rural Engineering Service (RES) of the District Panchayat and Kshetra Panchayats. The social audit is conducted only in 4.16 per cent of the PRIs and 25 per cent of the Nagar Palikas. Tools

for participatory planning were not given emphasis so as to strengthen the local governments in the planning exercise. (Refer Section 2.1)

2. District Plans

Promoting decentralized planning at the grassroots level was one among the objectives of the scheme. The plans prepared by the PRIs and ULBs were to be consolidated to a District Plan by the District Planning Committee (DPC). None of the selected districts has made attempts to consolidate the plans prepared by the PRIs and ULBs within their jurisdiction. Absence of an effective module relating to the preparation of the district perspective plan and the absence of the TSIs for providing assistance are seen in the selected districts. The annual plan document prepared was nothing but a compilation of proposals from the lower tiers. Moreover, the integration of resources available ensuring convergence with the other flagship programmes was not materialized. The District Planning Committee (DPC) was acting only for the approval of annual action plans. (Refer Section 2.2)

3. Institutional Structure

Allocation and release of funds from the State to the districts, from the districts to the lower tiers, monitoring the implementation of projects etc. were entrusted with the Programme Management Unit (PMU) constituted at the State, District and Intermediate Panchayat level. The general co-ordination of the programme at the State level was vested with the High Power Committee (HPC) constituted at the State level. These institutions had played a decisive factor in strengthening the planning capacity of the PRIs and ULBs. The HPC chaired by the Chief Secretary was powerful to send back the proposals with directions for improvisation and re -submission. The Principal Secretary (Panchayati Raj) was the Chairman of the State Programme Management Unit (SPMU) and District Magistrate (District Collector) was the Chairman of the District Programme Management Unit (DPMU). (Refer Section 2.3).

4. Administrative and Technical Capabilities

No separate posts were created for the implementation of the scheme. None of the districts verified has appointed Technical Supporting Institutions (TSIs). The assistance of the CBOs /NGOs was not availed at any stage of the implementation. Provisions for appointing *bare foot engineers* and other staff were equally ignored. The entire process was attended by the existing staff available with the PRIs and ULBs. However, both the administrative and technical staff available with the PRIs and ULBs has proved their capability in the implementation of the scheme. (Refer Section 2.4)

5. Mitigation of Backwardness

The main objective of BRGF was to redress the regional imbalances in development and reducing the overall backwardness by providing improved means of social and physical infrastructure. The general scenario of the four districts selected for verification has provided almost similar patterns of projects implemented under the scheme. By and large the majority of the projects were designed to address the backwardness of the districts in physical infrastructure. Out of the 109 works verified in the PRIs and ULBs of four Districts, 80 are related to the improvement of rural connectivity (73.39 %) including CC roads, culverts (*puliya, rapta*), bricks soling etc. Construction for civic amenities including marriage halls, cremation sheds resource centres, Panchayat offices are listed in the remaining 29 works (26.61%). (Refer Section 2.5)

6. Convergence

The absence of a perspective plan with a vision document in observed in the four districts verified. The possibility of convergence with the flagship programmes of the Central / State Sector Schemes are not seen utilized in a majority of cases. Out of 109 projects verified in the PRIs and ULBs from the four selected districts, 95.42 percent projects are stand alone. (Refer Section 2.6).

7. Capacity Building under BRGF

Financial assistance to the BRGF districts was provided through (i) Developmental Grants and (ii) Capacity Building Grants. The State Institute of Rural Development (SIRD) and 17 selected agencies have given training to the Master Trainers who in turn imparted training at all levels of PRIs. The SIRD who was expected to lead the programme in a pivotal role has not seen taken the issue seriously. Training was in participatory mode and tools like flip chart, white board, projector, role play and motivation movies were included. The elected functionaries and officials interacted have shared that the training programmes have provided some idea in local planning and the implementation of schemes. (Refer Section 2.7)

8. Time Frame

The execution of any developmental projects may be delayed due to administrative reasons, delay in the release of funds, local disputes and other unexpected complexities. Out of the 109 assets verified in the state 83.49 per cent of the works are completed within 8 months. While tracking the process and procedure of the fund flow from the district to the PRIs and ULBs, it was observed that the fund flow was quite adequate and therefore no delay was observed in the project implementation. No projects were also seen abandoned after listing or starting the work. (Refer Section 2.8)

9. Fund Flow

The scheme was implemented through the PRIs and Nagar Palikas. The *Appar Mukhya Adhikari* (AMA) of every district was nominated the Nodal Officer of the scheme and funds were transferred to him for the distribution among the different levels of implementation. The criterion of division of funds was fixed on the ration of 56:16:8:20 among the Gram Panchayats , Kshetra Panchayats and Zilla Parishads and ULBs . During the earlier years fund transfer was done through cheques which was subsequently replaced by RTGS. Release of funds for the projects up to Rs.10.00 lakhs was done by the State Government. Immediately after the approval of projects in the DPC,

administrative sanction was issued by the District Collector. Out of the four districts selected for verification, two districts Banda and Raibareilly are having unspent balance of Rs.17.79 crores and Rs.20.65 crores respectively by the end of 2014-15. Gorakhpur district is having the maximum share of funds among the four districts with Rs.118.73 crores and Banda is at the lowest rate with Rs.78.24 crores. (Refer Section 2.9)

10. Quality of Assets

‘Good quality’ grading is seen in major share of the assets created under the scheme. Out of the 109 assets verified, all the assets except two are rated ‘good’. The proximity of the asset, nature of assets created and the involvement of the local community are reasons for the good rating. Majority of the assets are the direct manifestations of the long cherishing demands of the local community and therefore it has infused high level of participation of the local citizenry which in turn has moved towards high quality of the assets. (Refer Section 2.10)

11. Usage of Assets

The usage of the assets and their value in the local socio economic structure is the determining factor of the sustainability of the assets created under the scheme. Out of the 109 assets verified 105 are seen functional. The functional assets are seen serving the purpose for which they are designed and constructed. Since 73.40 per cent of the assets created are promoting rural connectivity, they are seen in full usage and utility. However, programmes for the economic prosperity of the common people were not seen given priority. (Refer Section 2.11)

12. Capacity of PRIs to Maintain the Assets

Maintenance of the assets is an essential component for providing sustainable service and its durable usage. Out of the total assets verified, only less than 50 per cent of them were seen documented in the Assets Register. All the ULBs verified are maintaining assets register under BRGF. Verification of the assets revealed that majority of them do not

require maintenance at present and 24.77 per cent need immediate maintenance. However, no provision was seen to maintain these assets. ‘No source of revenue’ and ‘no separate allocation for maintenance’ were listed as the major reasons for the poor maintenance. It is revealed that the intermediate Panchayat (Kshetra Panchayats) and the Zilla Parishads have certain degree of the capacity to maintain the assets created under BRGF and their support can be extended to Gram Panchayats to maintain the assets. Community participation may be another suggestion for maintaining the assets created under BRGF. (Refer Section 2.12)

13. Social Audit

Social Audit can be transformed to an effective system for monitoring where the level of vigilance among the local community is higher. Out of the 48 Gram Panchayats and eight Nagar Palikas verified in the four districts selected, only two units in Raibareilly District has claimed to have conducted social audit. During the interactions with the stakeholders, a majority has no idea of social audit on BRGF. No reports on social audit and action taken reports (ATR) on the schemes were made available for verification. Only conventional audit by the department and chartered accountants are seen made and the Action Taken Reports (ATRs) are submitted. (Refer Section 2.13)

An Assessment of the Extent to which the Objectives of BRGF have been fulfilled

Here, an assessment for measuring the extent to which the objectives of BRGF have been made. The Cumulative Performance Index is the summation of the following four parameters of the fulfilled objectives of BRGF according to the respective weightage for each parameter. They are (i) Assessment of whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which are not being adequately addressed through existing inflows, (ii) Assessment of whether the BRGF schemes strengthened Panchayat and Municipality level governance with appropriate capacity building and facilitated participatory planning, decision making implementation and monitoring that reflected local needs, (iii) Assessment of professional support

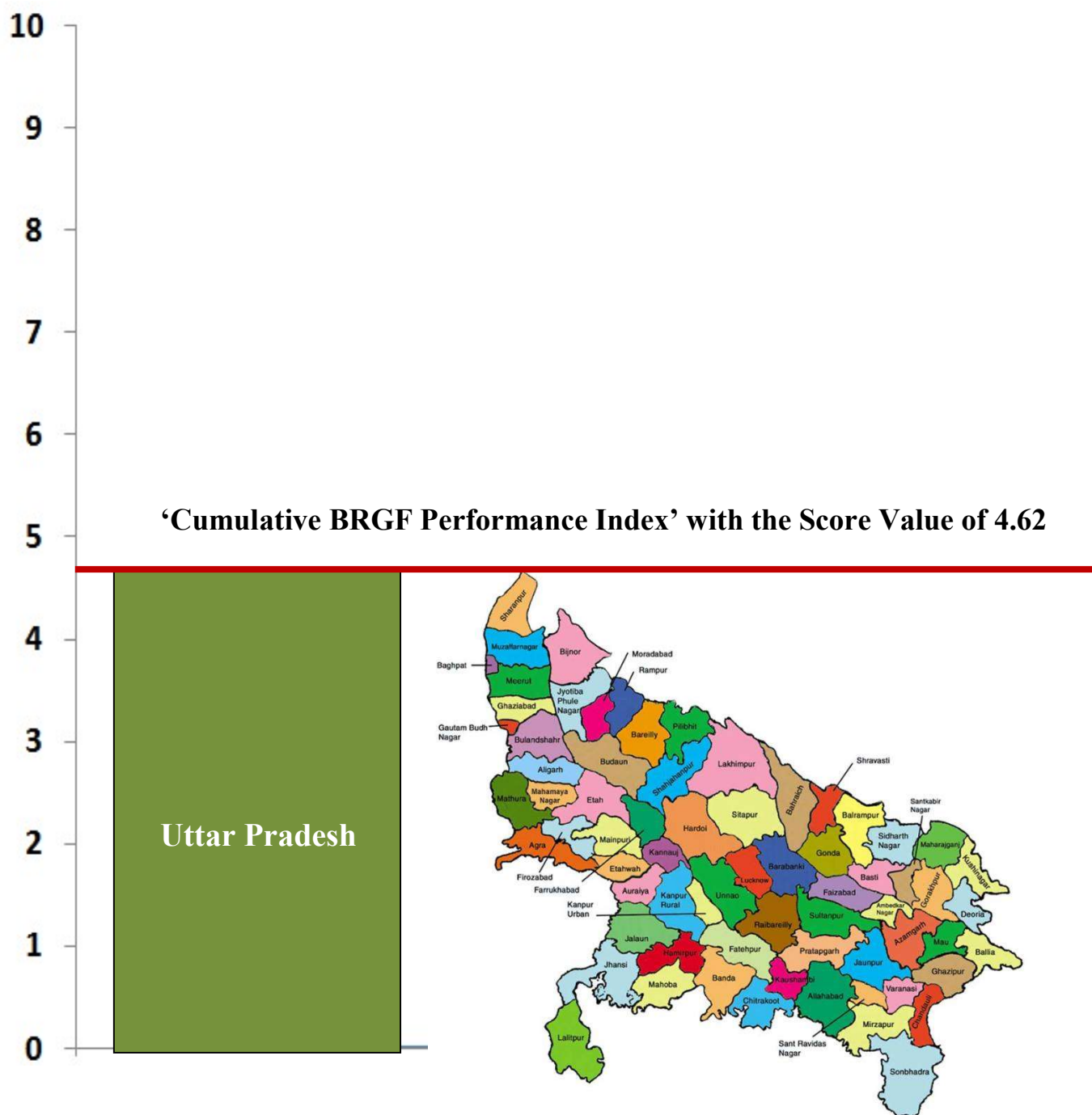
provided to local bodies towards, planning, implementation and monitoring under BRGF, and (iv) Assessment of the improvement in performance and delivery of critical functions assigned to Panchayats and Municipalities and counter possible efficiency and equity losses an account of inadequate local capacity. As per the methodology adopted and its measurement the ‘Cumulative BRGF Performance Index’ of Uttar Pradesh State is with a score value of 4.62 (on the scale of 0-10). It may be noted that score is less than half of the maximum value. The overall performance of Uttar Pradesh is rated below five.

Table No.E.3: Consolidation Sheet to Assess the Extent of Fulfillment of the Objectives of BRGF

Sl No	Parameters	Weightage (Marks) Scored	Total Weightage (Marks)
1	Assessment of whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which are not being adequately addressed through existing inflows	1.48	2.5
2	Assessment of whether the BRGF schemes strengthened Panchayat and Municipality level governance with appropriate capacity building and facilitated participatory planning, decision making implementation and monitoring that reflected local needs.	1.38	2.5
3	Assessment of professional support provided to local bodies towards, planning, implementation and monitoring under BRGF	0.76	2.5
4	Assessment of the improvement in performance and delivery of critical functions assigned to Panchayats and municipalities and counter possible efficiency and equity losses an account of inadequate local capacity.	1.00	2.5
	Aggregate Weightage Scored	4.62	10

Source: Calculated from Table Nos. 3.1, 3.2, 3.3 and 3.4

Diagram E.2: Cumulative BRGF Performance Index'



Source: Table No.E.3

Gaps and Recommendations

Sl No	Area	Gap	Recommendations
i	Extent of involvement of grassroots level local governments in planning	<ol style="list-style-type: none"> 1. Base line survey for need assessment was not properly done. 2. Only annual action plans were prepared. No perspective plans were prepared. 3. No active participation of the stakeholders in the identification and prioritization of felt needs and preparation of plans. 4. Percentages of allocation among the PRIs were not followed strictly. 5. The concept of social audit was not institutionalized. 	<ol style="list-style-type: none"> 1. A Baseline Survey in a participatory manner leading to a rich database may be stipulated in similar programmes. 2. Keeping the 'Principle of Subsidiarity' in letter and spirit, perspective plans at the Gram/Intermediate/District Panchayat levels may be prepared. 3. Launching of the programme in a campaign mode may lead to increased participation of the stakeholders of every socio-economic setting in Gram/Ward/Mahila Sabhas and surveys. The desirable prerequisites of participatory planning will be addressed properly 4. The percentage of allocation fixed may be followed strictly which will lead to the desired out puts of the scheme. 5. The concept of social audit may be incorporated with the implementation of schemes developed under participatory planning
ii	The quality of district plans	<ol style="list-style-type: none"> 1. Absence of an effective module for the preparation of perspective plan. 2. Provisions for the appointment of Technical Supporting Institutions TSIs were not properly utilized. 3. The ERs of the District Panchayats, and ULBs, 	<ol style="list-style-type: none"> 1. A vision document for the equitable development of backward region within the district with provisions for intervention even outside the orbit of activity mapping 2. Appointment of a Technical Supporting Institutions

		<p>Members of the DPC and representatives from TSIs, NGOs and CBOs were not given any training under the scheme.</p> <ol style="list-style-type: none"> 4. The democratic content of the participatory planning process was curtailed 5. Convergence with the other flagship programmes was not materialized. 6. No Comprehensive district plans were prepared. 	<p>(TSIs) by outsourcing or a nodal agency from government/ quasi government may lead to a better level of implementation.</p> <ol style="list-style-type: none"> 3. Universal coverage of training programmes for the ERs, officials, TSIs/Nodal agencies, CBOs and NGOs, members of the DPC may be ensured. 4. Suggestions for ensuring increased involvement of the stakeholders in the process of participatory planning may be followed strictly. 5. District Plans incorporating all sub plans addressing developmental issues and socio –economic prosperity may be prepared while implementing similar schemes.
iii	Institutional structures and quality of programme management	<ol style="list-style-type: none"> 1. Proceedings of the meetings of the high power committee were not provided for verification. Hence, the frequency of the meetings, attendance of members, decisions taken etc. are not known. 2. Absence of a well knitted review system is observed 	<ol style="list-style-type: none"> 1. Systematic documentation of functions at all levels may be done. 2. Review on the implementation at regular intervals.
iv	Administrative and technical capabilities of the agencies towards planning and executing various activities	<ol style="list-style-type: none"> 1. Panchayat Secretaries who were given full additional charge of five to seven Panchayats were to attend the scheme in addition to their normal duties. 2. CBOs/NGOs are seen placed outside the orbit of the scheme. 3. Appointment of <i>Barefoot</i> 	<p>Implementation through a campaign mode would have brought better track records. Support from the stakeholders, CBOs, NGOs, TSIs, <i>Barefoot Engineers</i>, social audit team is recommended in future schemes.</p>

		<p><i>Engineers / TSIs were not done</i></p> <p>4. No mechanism for the quality management was formulated at any level.</p>	
v	Mitigation backwardness of	<ol style="list-style-type: none"> 1. Majority of the projects implemented under the scheme was for the development of rural connectivity. 2. Projects for the overall development of an area were not implemented. 3. Investments for the economic development of the community were not seen made. 	Projects for mitigating the overall backwardness of a selected area and economic prosperity the stakeholders may be identified under future schemes.
vi	Convergence synergic mode and	<ol style="list-style-type: none"> 1. Majority of the projects are implemented under stand alone mode 2. Projects were not designed within the frame work of convergence synergistic mode 	Possibilities of convergence may be explored in detail. The percentage of standalone projects may be minimized.
vii	Training component under Capacity Building	<ol style="list-style-type: none"> 1. The funds released under capacity building was not utilized in full 2. ERs of the ULRs, members of the DPC, representatives of TSIs, NGOs were given no training. 3. Role clarity in the implementation of the programmes was not given to the trainees. 4. Absence of a Nodal agency for importing training under capacity building. 	Capacity building programmes as per the basic principles of the National Capacity Building Frame Work (NCBF) may be extended to all ERs and officials of the PRIs and ULBs, CBOs, NGOs and members of DPC.

viii	Time taken in completion of activity / work	Allocation of funds to the basic units of implementation was comparatively low. Hence, the implementing entities have suits the allocation. Big projects like irrigation canals beneficial for neighboring Panchayats were not initiated at any levels.	Opportunities for the implementation of multi sectoral projects which may lead to the mitigation of backwardness of a specific area may utilized in full.
ix	Fund allocation	Allocations to the lower tiers were comparatively low. Majority of the projects were utilized for rural connectivity. Identification of the critical gaps was not properly done and the possibilities of convergence were not applied properly.	Possibilities of convergence with the flagship programmes may be explored in detail. Investments on big projects with multi sectoral dimensions may be shared among the different tiers of PRIs/ULBs.
x	Quality of assets	<ol style="list-style-type: none"> 1. Investments for the creation of productive assets were comparatively low. 2. Quality of construction in certain cases are seen very poor which make the Assets defunct. 	An effective system of monitoring and quality management mechanism may be developed in the implementation of similar schemes in future.
xi	Usage of assets	<ol style="list-style-type: none"> 1. No priority is seen given for the construction of productive assets 2. No system for quality management is seen developed. Hence, some of the assets are left defunct. 	Special care may be given for providing a fixed percentage of allocation for the creation of productive assets. Quality assurance guarantee for fixed time may be incorporated in the agreement of work with the contractors.
xii	Capacity to maintain assets	<ol style="list-style-type: none"> 1. Assets Registers are not properly maintained and updated. 2. Limitation of own sources are absence of separate allocation prevents the PRIs/ ULBs for the Maintenance of assets created under BRGF. 	Special allocation for the maintenance of assets created under the scheme may be provided to the PRIs and ULBs.
xiii	Social audit	Absence of an effective system of social audit of the schemes is observed.	An effective system for the social audit may be developed and applied to all levels of PRIs/ULBs.

Conclusion

In the State of Uttar Pradesh, the major four objectives of BRGF are seen fulfilled partially. The guidelines for the implementation of the scheme were not followed strictly. Most of the parameters such as mitigation of backwardness, capacity building, utility and quality of the assets are fulfilled only to a certain extent. Less investments for the creation of productive assets and the absence of an efficient quality management system has adversely affected the objectives of the scheme. Promotion of activities leading to the local economic development and the sustainability of the assets created were not fully realized. The tendency for 'standalone' projects has uprooted 'convergence and synergic mode' the core concept of the scheme. Participatory planning and social audit was not materialized at a desirable level which could not make a potential impact. The parameters like planning, social audit and convergence are not implemented in a proper manner. The State has secured a score value of 4.62 in the Cumulative BRGF Performance Index. The overall performance of Uttar Pradesh is rated at a point less than half of the maximum marks.

CHAPTER 1

Introduction

The Backward Regions Grants Fund (BRGF) was launched by the Prime Minister during the month of February 2007. It was designed to address the regional imbalances through financial assistance to meet the critical gaps in development and strengthening of participatory development process through decentralized planning and implementation. Selection of 250 backward districts from among 27 States was done during 2006-07. Providing financial assistance and provisions for convergence with existing flagship programmes were also done. The BRGF programme has been discontinued in 2015-16. The Ministry of Panchayati Raj (MoPR), Government of India, New Delhi has assigned the responsibility for the evaluation of the BRGF programme in the 28 states to the Centre for Rural Management (CRM), Kottayam , Kerala. This is the exclusive report for the state of Uttar Pradesh

Uttar Pradesh is the largest State in the country with a geographical area of 240928 sq kilometers. The population of the State is 19.98 crore (2011 census) with 10.45 crore male and 9.53 crore female. The population of SC is 4.14 crore with 2.17 crore male and 1.97 crore female while the ST population is 0.11crore with 5.81lakhs male and 5.53 lakhs female. There are 75 Zilla Panchayats, 816 Intermediate Panchayats (*Kshetra Panchayats*) and 59162 Gram Panchayats in the State. The number of Corporations (*Nagar Nigam*) is 13, Municipalities (*Nagar Palika*) 195 and Nagar Panchayats 421. Out of the 75 districts of the State 35 were identified to be backward for the implementation of the scheme. Projects under the scheme have been implementing in the State since 2007-08.

Objectives

The basic objectives of the evaluation of BRGF are

1. Assessment of whether the various BRGF schemes:
 - c) Strengthened Panchayat and Municipality level Governance with appropriate capacities built: and,
 - d) Facilitated participatory planning, decision making, implementation and monitoring that reflected local needs.
2. Assessment of professional support provided to local bodies towards BRGF planning, implementation and monitoring.
3. Assessment of whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which were not being adequately addressed through existing inflows
4. Assessment of whether BRGF contributed to:
 - c) The improvement in performance and delivery of critical functions assigned to Panchayats /Municipality and,
 - d) Counter possible efficiency and equity losses owing to inadequate local capacity.

Methodology

Both primary and secondary data were collected. The methodology for completing the assignment was collection of data, interaction with the elected functionaries, discussions with officials of PRIs, implementing officers of the line departments, focus group discussions with beneficiaries and physical verification of assets created under the scheme.

Sample

The number of BRGF district in Uttar Pradesh is 35. As per the Terms of Reference four districts are selected for the states having more than 30 BRGF district. Therefore four districts (two best performing and two least performing districts) are selected from the state of Uttar Pradesh. From each district, three blocks were selected. A best performing

Block, a least performing one and a medium performing block were selected. Two Urban Local Bodies (ULBs) from each district were also selected randomly. Further, from each Block, four Gram Panchayats were selected randomly for data collection. In each Gram Panchayat, five selected assets developed under BRGF, were physically verified and two stakeholders from each asset interviewed. One Focus Group Discussion (FGD) was conducted for each Panchayat /ULBs. Details of verification of PRIs and Municipalities are furnished in Table Nos.1 & 2.

Table No. 1: Details of PRIs Verified (BRGF) from the State of UP

SL. No	Name of Districts	Name of Blocks (Kshetra Panchayats)	Name of Gram Panchayats
I	Gorakhpur	(i) Bhramapur	1. Tendua Khurd 2. Belwa 3. Rampura 4. Jungle Rasulpur
		(ii) Jungle Kaudia	1. Jungle Kaudia 2. Kurwa 3. Doharia 4. Bharoya
		(iii) Bhatghat	1. HafijNagar 2. Parsouna 3. Phoolwaria 4. Pokhar Bhinda
II	Etah	(i) Sital Pur	1. Barthar 2. Jirasmi 3. Neorai 4. Wajidpur
		(ii) Nidhouli Kaula	1. Sihori 2. Sirav 3. Samant Kheda 4. Himmatpur
		(iii) Awagarh	1. Jalukheda 2. Rohina Mirjapur 3. Khatauta 4. Nuhkhas
III	Banda	(i) Badokhar Khurd	1. Chahithara 2. Hathaira 3. Duredi 4. Tindwara
		(ii) Naraini	1. Lahuretta 2. Pukari

			3. Parsahar 4. Khalari
		(iii)Tindwari	1. Piparhari 2. Mahuyi 3. Sandi 4. Khoda
IV	Raibareily	(i)Sataon	1. Nakunaha 2. Khushrupur 3. Jaitipur 4. Gujari
		(ii)Lalganj	1. Rangaon 2. Alampur 3. Mitapur 4. Galgasur
		(iii)Harchandrapur	1. Datauli 2. Para 3. Gulupur 4. Ajmatullah Ganj

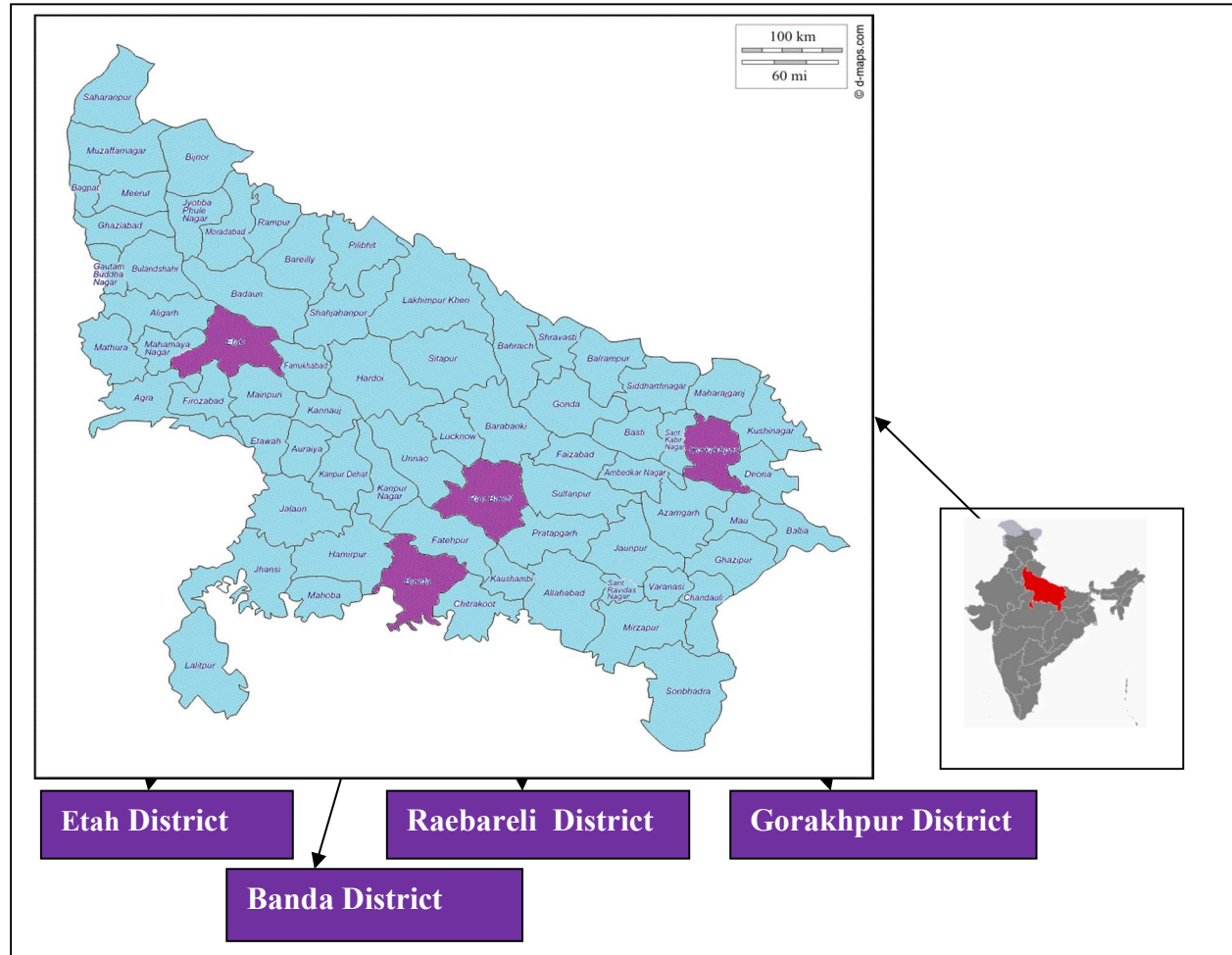
Source: Field Survey

Table No. 2: Details of Name of Municipalities (*Nagar Palikas*) Verified (BRGF) from the State of UP

SL. No	Name of District	Name of Municipality (Nagar Palika)
I	Gorakhpur	1.Golabazar 2.Barhal Ganj
II	Etah	1.Etah 2.Jalesar
III	Banda	1.Banda 2.Attra
IV	Raibareily	1.Raibareily 2.Lalganj

Source: Field Survey

Diagram No.1: Selected Districts of Uttar Pradesh



Source: Field Data

Tools

Separate questionnaires were prepared to collect BRGF data from:

- 1) State Headquarters
- 2) District Planning Committees(DPC),
- 3) Zilla Parishads ,
- 4) Intermediate Panchayats,
- 5) Municipalities and Gram Panchayats.

In each Gram Panchayat, five selected assets developed under BRGF, were physically verified and two stakeholders from each asset interviewed. One FGD was conducted for each Panchayat /ULB.

Table No. 3: Details of Questionnaires Covered in the Study

Sl. No	Category	Number
1.	State	1
2.	Zilla Parishads	4
3.	DPC	4
4.	Intermediate Panchayat	12
5.	Municipalities	8
6.	Gram Panchayats	48
7.	Assets	280*
8.	Stakeholders	560*

* The number of assets in the selected PRIs/ULBs is less than the required number for sample

Source: Field Data

Methodology for assessing the extent (on the scale of 0-10 for each state) to which objective of BRGF including the implementation of Decentralized Planning

As per the terms of reference for the study a composite BRGF index is to be prepared. To arrive at a cumulative measure from the analysis of four parameters, an overall value was assigned to each parameter and the value assigned is 2.5. To arrive at this overall value, questions from the PRI Schedule, Assets Schedule, Stakeholder Schedule and community schedule (FGD format) were assigned to each parameter. Questions were assigned to each parameter and classified therein as indicators, based on the specific aspect of the parameter that a question represented. Each question was then assigned a mark scale so as to analyze the performance of each PRI and Municipality (ULBs).

Data from the field visits were used to mark the performance of every PRI and Municipality. However, the marks secured by a State for a particular parameter was calculated by dividing the marks obtained by that State for that parameter with the

maximum marks that can be scored in that parameter and then multiplying the result with the overall value of 2.5. The overall score of a state was determined as the aggregate of the scores obtained in all the four parameters.

The District wise allocation and release of funds under BRGF (both development and capacity building) are shown in Table No.4.

Table No. 4: District Wise Allocation and Release of Funds (Rs. In Crores)

Sl. No	Name of Districts	2006-07 Allocation	2006-07 Release	2007-08 Allocation	2007-08 Release	2008-09 Allocation	2008-09 Release	2009-10 Allocation	2009-10 Release	2010-11 Allocation	2010-11 Release	2011-12 Allocation	2011-12 Release	2012-13 Allocation	2012-13 Release	2013-2014 Allocation	2013-14 Release
1	Ambedkar Nagar	13.2	-	16.14	0.1	16.14	14.52	16.14	6.27	16.14	26.01	17.39	17.39	-	21.33	10.7	4.29
2	Azamgarh	16	-	21.51	0.1	21.51	19.36	21.51	21.51	23.84	11.16	23.84	11.16	23.84	11.83	29.23	18.07
3	Badanu	15.42	-	20.42	0.1	20.42	18.38	20.42	20.42	20.42	20.42	22.52	16.89	22.52	12.12	27.62	20.61
4	Bahraich	14.32	-	18.3	0.1	18.3	16.47	18.3	18.3	18.3	18.3	19.98	19.98	19.98	0	24.5	-
5	Balrampur	13.15	-	16.06	0.1	16.06	14.45	16.06	16.06	16.06	16.06	17.28	14.42	17.28	10.12	21.19	14.09
6	Banda	13.39	-	16.53	0.1	16.53	14.88	16.53	11.35	16.53	21.71	17.84	4.91	17.84	8.57	21.88	-
7	Barahanki	14.68	-	19	0.1	19	17.1	19	13.66	19	24.34	20.82	18.44	20.82	10.45	25.54	-
8	Basti	13.42	-	16.57	0.1	16.57	14.91	16.57	16.57	16.57	16.57	17.79	14.73	17.9	-	21.95	-
9	Chandanli	12.82	-	15.42	0.1	15.42	13.87	15.42	15.42	15.42	15.42	16.57	16.52	16.52	5.9	20.25	-
10	Chithrakoot	11.97	-	13.81	0.1	13.81	12.43	13.81	11.06	13.81	16.56	14.58	8.38	14.58	-	17.89	13.53
11	Etah	14.83	-	19.29	0.1	13.81	12.43	13.81	11.06	13.81	16.56	14.58	8.38	14.58	-	17.89	13.58
12	Farukhabad	12.61	-	15.02	0.1	15.02	13.52	15.02	15.02	15.02	15.02	16.03	10.05	16.03	5.98	19.66	-
13	Fateh pur	14.16	-	18	0.1	18	16.2	18	18	18	18	15.62	17.45	19.62	5.01	24.05	11.13
14	Gonda	14.65	-	18.94	0.1	18.94	17.04	18.94	18.94	18.94	18.94	20.74	20.74	20.74	9.39	25.44	18.04
15	Gorakhpur	15.06	-	20.75	0.1	20.75	18.67	20.75	20.75	20.75	20.75	22.92	20.63	22.92	19.28	28.1	-
16	Hamirpur	12.71	-	15.23	0.1	15.23	13.7	15.23	15.23	15.23	15.23	16.29	4.6	16.29	-	19.97	-
17	Hardoi	16.09	-	21.71	0.1	21.71	19.54	12.81	21.71	12.81	21.71	26.06	24.07	24.07	7.79	29.53	-
18	Jalaun	13.3	-	16.36	0.1	16.36	14.72	16.36	11.59	16.36	21.13	17.64	17.64	17.64	-	21.63	16.18
19	Jaunpur	16.01	-	21.54	0.1	21.54	19.38	21.54	21.54	21.54	21.54	23.87	18.06	23.87	-	29.26	-
20	Kashgang	-	-	-	-	-	-	-	-	-	-	-	-	15.96	10.49	19.57	-
21	Kaushambi	12.22	-	14.27	0.1	14.27	12.84	14.27	14.27	14.27	14.27	15.13	15.13	15.13	4.28	18.56	-
22	Kushi Nagar	14.41	-	18.47	0.1	18.47	16.62	18.47	18.47	18.47	18.47	20.18	20.18	20.18	-	30.59	23.36
23	Lakhim Purkhiri	16.45	-	22.43	0.1	22.43	20.19	22.43	22.43	22.43	22.43	24.94	24.94	24.94	7.6	24.75	19.15
24	Lalitpur	12.9	-	15.6	0.1	15.6	14.04	15.6	13.88	15.6	17.32	16.74	16.74	16.74	8.97	20.53	-
25	Maharaj Ganj	13.58	-	16.88	0.1	16.88	15.12	16.88	16.88	16.88	16.88	18.27	7.79	18.27	13.19	22.4	12.76

26	Maboba	11.83	-	13.53	0.1	13.53	12.17	13.53	9.58	13.53	17.48	14.24	1.52	14.24	-	17.46	14.2
27	Mirzapur	14.06	-	17.81	0.1	17.81	16.03	17.81	17.81	17.81	17.81	19.39	9.48	19.39	9.91	23.78	18.79
28	Pratapgarh	14.51	-	18.66	0.1	18.66	16.79	18.66	18.66	18.66	18.66	20.41	14.56	20.41	-	25.03	10
29	Raibareilly	14.98	-	19.59	0.1	19.59	17.63	19.59	19.59	19.59	19.59	21.52	18.9	21.52	6.52	26.39	-
30	Sant Kabir Nagar	12.23	-	14.29	0.1	14.29	12.86	14.29	14.29	14.29	14.29	15.16	8.95	15.16	-	18.58	11.52
31	Shrawasti	12.26	-	14.34	0.1	14.34	12.9	14.34	14.34	14.34	14.34	15.22	15.22	15.22	7.94	18.67	5.78
32	Siddartha Nagar	13.39	-	16.51	0.1	16.51	14.86	16.51	14.86	22.07	19.86	22.07	22.07	22.07	24.51	21.51	-
33	Sitapur	16.28	-	22.07	0.12	2.07	19.86	22.07	22.07	22.07	22.07	24.51	21.72	24.51	15.49	30.06	-
34	Son Bhadra	14.08	-	17.87	0.1	17.87	16.08	17.87	17.87	17.87	17.87	19.47	19.47	19.47	-	23.88	18.4
35	Unao	14.77	-	19.17	0.1	19.17	17.25	19.17	19.17	19.17	19.17	21.02	21.02	21.02	16.82	25.78	-
	Total	476.28	-	602.09	3.4	602.09	541.74	602.09	559.61	602.09	640.02	655.05	528.6	667.17	207.65	818.17	273.35
	Capacity Building	34	-	34	25.3	34	-	34	20.26	34	28.07	34	12.21	35	-	35	-
	Grand Total	510.28		636.09	28.7	636.09	541.74	636.09	579.87	636.09	668.09	689.05	540.81	702.17	207.65	853.17	273.35

Source: Information Provided by SPMU (BRGF), Government of UP

Training programmes for the implementation of the scheme have been conducted in all the districts except Kashgang , which was incorporated in the BRGF list only in 2012-2013. Training programmes were conducted during the period from 2009-10 to 2011-12. The participation of training programmes are given in Table No.5.

Table No.5: Details of Training Imparted under BRGF.

Financial Year	ERs of Village Panchayat (Nos)	ERs of Kshetra Panchayat (Nos)	ERs of Zilla Parishad (Nos)	ERs of ULBs (Nos)	Members of DPC (Nos)	Officials of PRIs & ULBs (Nos)	TSIs	Members of Vulnerable Groups (Nos)	NGOs
2009-10	-	33431	1359	-	-	656	-	61051	-
2010-11	11904	-	-	-	-	1125	-	49233	-
2011-12	218784	-	-	-	-	1378	-	109457	-

Source: Information Provided by the SPMU (BRGF), Government of UP

The State Institute of Rural Development (SIRD) and 17 selected agencies had given training to the Master Trainers (MTs) who in turn imparted training at all levels of PRIs. Training module was prepared by the Sahbhaji Sikshan Kendra, Luknow in consultation with the SIRD. Panchayati Raj Act and Rules, Decentralized Planning, Role of PRIs in the scheme implementation, Software including *PRIA soft* and *Plan Plus*, Personality Development, Communication Skills, Development Plans, Centrally Sponsored Schemes (CSSs) etc. were the main subjects included in the training programme. Proposals for training the Elected Functionaries of ULBs, members of DPCs, members of TSIs, and voluntary groups were not materialized (Table No.5). Trainings were given in a participatory method. The tools included flip chart, white boards, power point, role plays and movies for motivation. The agencies entrusted with training are given in Table No. 6. Release, allocation and expenditure incurred for capacity building under BRGF are given in Table No.7.

Tables No. 6: Name of Agencies Entrusted for Training under BRGF

Sl No	Financial Year	Name of Agency	Places Allotted
1	2010-11	Datamation Consultants, New Delhi	Eta, Hardoi, Unao & Lakshimpur
2	2010-11	National Association for Voluntary Initiatives & Co operation, Jannpur	Prathapghar, Agmagad & Jaunpur
3	2010-11	Institute of Enterprise Science Engineering and Management, Lucknow	Ambedkar Nagar, Balrampur, Gondal and Maharajganj

4	2010-11	IL& FS Education and Technology Services, New Delhi	Banda, Farookhabad and Lalitpur
5	2011-12	Swajan Sikshan Samsthan, Lucknow	Balram, Sonabhadra, Chitrakoot, Banda, Hamirpur and Maboba
6	2011-12	Society for Computer Education and Development in Rural Area, Lucknow	Gonda
7	2011-12	Centre of Technology and Entrepreneurship Development, Maharaj Nagar	Maharaj Nagar and Ambedkar Nagar
8	2011-12	Datamotion Consultants, New Delhi	Unao and Raibareilly
9	2011-12	P C Training Institute, New Delhi	Sant Kabir Nagar, Sidhardh Nagar and Basti
10	2011-12	Welfare and Illustration of Need Gramin Society, Gorakhpur	Azangarh, Gorakhpur and Sitapur
11	2011-12	Kin Klan Advertising, Lucknow	Prathapghar, Fatepur, Kasumbi and Jaunpur
12	2011-12	Krushyith Maryadid Nigam Lucknow	Badarya
13	2011-12	Santhi Samaj Seva Samithi, Farokhabad	Farokhabad and Mirjapur
14	2011-12	Prema Gramya Vikas Samsthan, Raibareilly	Sravasthi, Chundanli, Jalain and Lalitpur
15	2011-12	Mahamaya Welfare Society, Lucknow	Barahanki and Hardoi
16	2011-12	Sri. Sahaj E-village Ltd. Lucknow	Kusinagar and Maharajganj
17	2011-12	Society for Information Technology Development Lucknow	Etah

Source: Information Provided by the SPMU (BRGF), Government of UP

Table No.7: Details of Allocation, Release and Expenditure under Capacity Building & Training (Rs.in crores)

Item	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16	Remarks
Allocation	-	25.30	20.26	28.07	12.21	-	-	-	-	-	Nil
Release	-	25.30	20.26	28.07	12.21	-	-	-	-	-	Nil
Expenditure	-	-	21.39	22.78	15.32	-	-	-	-	-	Nil

Source: Information Provided by the SPMU (BRGF), Government of UP

The scheme was implemented through the PRIs and Nagar Palikas. The *Appar Mukhya Adhikari* (AMA) of every district was nominated to be the Nodal Officer of the scheme and funds were transferred to his office for the distribution among the different levels of implementation. The criteria of division of funds were fixed @56 per cent (GP), 8 per cent (Kshetra Panchayats) 16 per cent (Zilla Parishads) and 20 per cent Nagar Palikas. During the earlier years fund transfer was done through cheques which was subsequently replaced by RTGS. Approval of projects up to an estimate cost of Rs.10.00 lakhs was given by the AMA and projects for above Rs.10.00 lakhs were forwarded to the State for approval. Guidelines for the preparation of perspective plan were not seen followed strictly. The Village

Panchayats have prepared annual action plans which were consolidated at higher levels. It is observed that none of such plans formed the part of the State Plan. Major percentage of expenditure is seen incurred for rural connectivity, including roads and bridges. Certain districts like Etah have given the second priority for the construction of Panchayat buildings and school buildings.

Observation of the four districts verified are furnished below:-

Gorakhpur

Gorakhpur district is having an area of 3321 sq km with 3319 villages of which 382 are uninhabited. The population of the district is 44.41 lakhs with 22.78 lakhs male and 21.63 lakhs female. The SC population is 9.36 lakhs with 4.81 lakhs male and 4.55 lakhs female. The ST population is 0.18 lakhs with 0.09 lakhs male and 0.09 lakhs female. The literacy rate of the district is 70.83 per cent with 81.80 per cent male and 59.36 per cent female. Schemes under BRGF have been initiated in the district from 2008-2009. The District Programme Management Unit (DPMU) has monitored the implementation. The details of allocation, release and utilization of funds under BRGF are shown in the Table No.8.

Table No.8: Allocation, Release and Utilization of Funds (BRGF), Gorakhpur District

Sl.No	Financial Year	Allocation (Rs. In Crores)	Release (Rs. In Crores)	Utilization (Rs. In Crores)
1	2006-07	15.60	0.00	0.00
2	2007-08	20.75	0.10	0.10
3	2008-09	20.75	18.67	18.67
4	2009-10	20.75	20.75	20.75
5	2010-11	20.75	20.75	20.75
6	2011-12	22.92	20.63	20.63
7	2012-13	22.92	19.28	19.28
8	2013-14	28.10	0.00	0.00
	Total	172.54	100.18	100.18

Source: Information Provided by DPMU, Gorakhpur District

Training programmes for the Elected Representatives (ERs) and officials were conducted for the effective implementation of the scheme. State Institute of Rural Development (SIRD) and M/s Welfare and Illustration of Needy Gramin Society (WINGS), Gorakhpur had imparted the training. The details of training are furnished in Table No.9.

Table No. 9: Details of Training Imparted under BRGF, Gorakhpur District

Sl. No	Target Group	Month & Year	Duration	No of Training	Subject	Participants								Grand Total	Agency Training Imparted
						SC		OBC		Others		Total			
						M	F	M	F	M	F	M	F		
1	ERs of District Panchayat	April 2013	Two Days	1	BRGF	7	5	16	10	4	2	27	17	44	SIRD, U.P
2	ERs of Kshetra Panchayat	August2011 to Oct 2011	One Day	19	BRGF	216	176	470	261	120	78	806	515	1321	SIRD, U.P
3	Gram Panchayat Presidents and Chairmen of three Standing Committees	February 2011	One Day	18	BRGF	1157	615	1616	611	300	142	3073	1368	4441	Welfare and Illustration of Needy Gramin Society (WINGS), Gorakhpur
4	Gram Panchayat Presidents and Chairmen of Three Standing Committees	October 2009	One Day	19	BRGF	798	388	1228	548	520	204	2546	1140	3686	Welfare and Illustration of Needy Gramin Society(WINGS), Gorakhpur

Source: Information Provided by the District Panchayat, Gorakhpur

The District Panchayat had initiated 2095 projects under BRGF from which 2019 had been completed. Year wise details are given in Table No.10. It is worthwhile to comment that out of the total initiated projects, more than 96 per cent of activities were completed (Table No.10) . The share of ‘not completed projects’ (pending projects) are only very negligible which works out to 3.63 per cent which are to be completed only after getting clearance from stay orders / stop memos issued by authorities for various reasons.

Table No.10: Projects Initiated & Completed under BRGF by the District Panchayat, Gorakhpur

Description	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
Projects Initiated (Total Nos.2095)	-	-	261	344	476	327	310	25	352
Projects Completed (Total Nos.2019)	-	-	261	342	455	307	302	21	331
Projects Not Completed (Total Nos.76)	-	-	-	2	21	20	8	4	21

Source: Data Provided by the DPMU, Gorakhpur,

Majority of the projects are seen initiated for the improvement of rural connectivity. Out of the 2019 projects completed under BRGF by the District Panchayat, 1128 are roads and 353 are bridges which work out to 55.86 per cent and 17.48 per cent respectively. Number of boundary walls is 194 and drainage schemes 106 .Construction of Panchayat buildings is also given priority. Total number of Panchayat Bhavans constructed under the scheme is 84. Category wise details of the projects under BRGF are given Table No.11.

**Table No.11:Category Wise Works Completed under BRGF by the District Panchayat,
Gorakhpur (In Nos)**

Sl. No	Category of work	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total	Percentage (%)
1	Roads	-	-	85	177	255	201	144	18	248	1128	55.86
2	Bridges	-	-	83	108	39	69	28	2	24	353	17.48
3	Ponds	-	-	-	-	-	-	-	-	1	1	0.04
4	Anganwadi	-	-	-	-	5	1	-	-	-	6	0.29
5	Panchayat Building	-	-	46	35	1	2	-	-	-	84	4.16
6	Approach Roads	-	-	1	-	1	-	-	-	-	2	0.09
7	Resource Centre	-	-	18	-	1	-	-	-	-	19	0.94
8	Dam	-	-	1	-	-	-	-	-	-	1	0.04
9	Maintenance	-	-	16	-	-	-	-	-	-	16	0.79
10	Drainage	-	-	11	15	18	10	17	-	35	106	5.27
11	Public Toilets	-	-	-	-	-	-	5	1	1	7	0.35
12	Boundary Wall	-	-	-	3	128	24	17	-	22	194	9.60
13	Veterinary Hospital	-	-	-	1	-	-	-	-	-	1	0.04
14	Community Centre	-	-	-	1	-	-	-	-	-	1	0.04
15	Solar Light	-	-	-	2	7	-	91	-	-	100	4.95
Total		-	-	261	342	455	307	302	21	331	2019	100

Source: Information Provided by the District Panchayat, Gorakhpur

Field verification was done in three Kshetra Panchayats (Intermediate) viz (1) Bhramapur (2) Bhatgat and (3) Jungle Kaudia. The details of receipts and expenditure under BRGF are shown in the Table No. 12. There were wide variation on the receipts among the three Kshetra Panchayats and the highest amount of receipt was Rs. 110.64 lakhs (Bhatgat Kshetra Panchayat) whereas lowest was Rs.85.76 lakhs (Bhramapur Kshetra Panchayat). The average size of the receipt per Kshetra Panchayat was worked as Rs, 99.03 lakhs for the entire period of the scheme implementation (Table No. 12). Details of receipts and expenditure in the selected Gram Panchayats of Gorakhpur District are shown in Table No.13. It is noticed that the funds received by the Gram Panchayats are comparatively small. The average amount received per Gram Panchayats works out to be Rs 6.21 lakhs

with wide variation. Among the sample Gram Panchayats the highest amount was Rs.27.67 lakhs whereas Rs.2.60 lakhs the lowest.

Table No. 12: Details of Receipts and Expenditure under BRGF in the Three Selected Kshetra Panchayats of the Gorakhpur District Verified (Rs.in Lakhs)

Name of Kshetra Panchayat	Receipts & Expenditure	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16
Brahmapur	Receipts (Total Rs.85.76 lakhs)	-	-	-	7.76	56.40	10.80	-	-	10.80	-
	Expenditure (Total Rs.76.71 lakhs)	-	-	-	6.37	34.84	18.21	7.25	5.77	-	4.27
Bhatgat	Receipts (Total Rs.110.64 lakhs)	-	-	-	8.38	29.65	44.90	6.21	-	18.80	2.70
	Expenditure (Total Rs.110.13 lakhs)	-	-	-	9.15	29.52	49.96	8.00	-	13.50	-
Jungle Kaudia	Receipts (Total Rs.100.68 lakhs)	-	-	-	7.60	21.74	13.50	-	8.00	-	49.84
	Expenditure (Total Rs.100.68 lakhs)	-	-	-	7.60	21.74	13.50	-	8.00	-	49.84

Source: Information Provided by the Khetra Panchayats of Bhramapur, Bhatgat and Jungle Kaudia, Gorakhpur District

Table No.13: Details of Receipts and Expenditure of the Selected 12 Gram Panchayats for the period from 2009 2010 to 2015 -2016 under BRGF in Gorakhpur District

District	Kshetra Panchayat	Name of G.P	Funds Received(Rs. In lakhs)	Expenditure (Rs. In lakhs)
Gorakhpur	(i)Brahmapur	1. Belwa	15.00	15.00
		2. Rampura	3.25	2.92
		3. Tendua Khurd	3.25	3.02
		4. Jungle Rasulpur	23.67	17.07
	(ii)Bhatgat	1.Phoolwariya	8.00	7.86
		2. Parsauna	2.70	2.43
		3. Hafij Nagar	3.30	3.29
		4. Pokhar Binda	4.00	4.00
	(iii)Jungle Kaudia	1. Jungle Kaudiya	3.00	2.99
		2. Kurwa	3.00	2.40
		3. Dohariya	3.00	2.99
		4. Bharoya	2.60	2.49

Source: Information Provided by the Selected 12 Gram Panchayats from the Three Kshetra Panchayats of Bhramapur, Bhatgat and Jungle Kaudia in Gorakhpur District

1. Brahmapur Kshetra Panchayat

Bhrahmapur Kshetra Panchayat is having 63 Gram Panchayats with 121 villages. Projects under BRGF were implemented during 2009-10 to 2014-15. The details of schemes implemented are given in Table No.14. Total 23 projects were implemented by the Bhrahmapur Kshetra Panchayat by spending an amount of Rs. 76.71 lakhs against the total receipt of Rs.85.76 lakhs. The average cost per work is worked and it is Rs. 3.34 lakhs. Among the works, priority was given to connectivity (roads, culverts and roads with interlocking). It is worthwhile to mention that six anganwadis and one resource centre were constructed. It is reported that six schools and anganwadis were protected by the boundary walls constructed under the scheme.

Table No. 14: Details of Projects Implemented under BRGF in the Brahmapur Khetra Panchayat, Gorakhpur District

Sl.No	Name of Project	Nos.	Expenditure (Rs. In Lakhs)
1	C.C Road	5	31.60
2	Boundary Wall	7	20.50
3	Anganwadi	6	13.95
4	Resource Centre	1	2.50
5	Culvert	1	4.30
6	Interlock	3	3.86
	Total	23	76.71

Source: Information Provided by Bramapur Kshetra Panchayat, Gorakhpur District

The verification team had selected and visited the four Gram Panchayats of (i) Tendua Khurd, (ii) Balwa, (iii) Jungle Rasulpur and (iv) Rampura from of Bramapur Kshetra Panchayat. The details of assets created in each Panchayat under BRGF are shown in Table No.15. Total 10 assets were verified and all were seen completed. `

Table No. 15: Details of Assets Created by the Selected Four GPs from the Brahmapur Kshetra Panchayat, Gorakhpur District

No of GPs	Name of GP	Name of Asset	Nos.	Status	Estimated Amount (Rs. In Lakhs)	Expenditure (Rs. In Lakhs)
1	Thendua Khurd	Anganwadi	1	Completed	3.25	3.02
2	Belwa	CC Road	3	Completed	15.00	15.00
3	Jungle Rasulpur	(i) Resource Centre	1	Completed	5.41	2.53
		(ii) C.C Road	2	Completed	8.87	8.82
		(iii) Interlocking	1	Completed	12.00	8.24
4	Rampura	Anganwadi	1	Completed	3.25	2.92

Source: Information Provided by the four Gram Panchayats from Brahmapur, Kshetra Panchayat, Gorakhpur District

All the schemes are seen explained in the Gram Sabha meetings. No perspective plans are prepared. Convergence is seen seldom applied. No entries are made in the Assets Register of the Kshetra Panchayat. It was locally explained that the assets related under the scheme are transferred to the Gram Panchayats and entries are to be made by them in

their respective registers. Two trainings were arranged for the ERs and officials in connection with the implementation of the scheme. No technical supporting institution (TSI) was appointed under the scheme. No separate staff was also appointed. No social audit was done for the schemes implemented. Thendua Khurd Gram Panchayat had constructed one Anganwadi building during 2011-12 under BRGF. The cost of construction was Rs.3.02 Lakhs. During the field verification it is observed that the construction has been completed and the asset is functional. During the focus group discussions (FGDs) held on 1st July 2017, Smt. Ritu Yadav w/o Sobbnal Yadav has expressed the satisfaction and pointed out that the construction of a toilet and electrification is still pending. Provisions of convergence are seen utilized in the construction of a resource centre at Jungle Rasulpur Gram Panchayat. The cost of project was Rs.5.41 Lakhs for which Rs.2.61 Lakhs was only available from State government fund. The remaining Rs.2.80 lakhs was met from the provision under BRGF. Rampura Gram Panchayat has constructed one Anganwadi building under BRGF during 2008-09 with an expenditure of Rs.2.92 Lakhs. Smt.Barsati w/o Ramsevak has pointed out that the basic amenities- water connection, toilets etc. are not provided. No provisions for the upgradation or maintenance of assets related under BRGF are available with the Gram Panchayat. Belwa Gram Panchayat has constructed three C.C roads during 2014-15 with cost of Rs.15 Lakhs. Sri.Sandeep Prasad s/o Munna Prasad , Sankar Prasad s/o Ram Harak, Lalji Yadav s/o Jainath Yadav, Dinesh Kumar Parwan s/o Harilal Prawan have expressed their satisfaction on the improvements of rural connectivity through BRGF.

2. Bhatgat Kshetra Panchayat

As per the official records, 34 projects were implemented by the Kshetra Panchayat by spending an amount of Rs.110. 13 lakhs .The total amount received by the Panchayat under the scheme was Rs. 110.64 lakhs .The average cost per project works out to Rs. 3.24 lakhs. It is seen that priority was given to connectivity. No anganwadi construction was seen in the list and the same is the case with other basic amenities such as water

supply schemes and toilets. However, one community hall was seen provided under the scheme.

Table No.16: Details of Projects Implemented under BRGF in Bhatgat Kshetra Panchayat, Gorakhpur District

Sl.No	Name of Project	Nos.	Expenditure (Rs. In Lakhs)
1.	C.C Road	3	14.20
2.	Boundary Wall	5	16.30
3.	Resource Centre	1	1.35
4.	Culvert	2	9.00
5.	Community Hall	1	2.80
6.	RCC <i>Pulia</i>	7	30.72
7.	Gutter line	1	5.12
8.	Interlocking	11	14.22
9.	Nala	3	16.42
	Total	34	110.13

Source: Information Provided by the Bhatgat Kshetra Panchayat, Gorakhpur District

Field verification had been done in the four selected Gram Panchayats of (i) Phoolwaria, (ii) Parsona, (iii) Hafig Nagar and (iv) Pokhar Binda. The details of assets verified are provided in Table No 17. The Puliya constructed are reported to be beneficial in the improvement of rural connectivity. The Puliya at Pokharbinda Gram Panchayat is an example for convergence. Rs. 2.98 lakhs was added to the BRGF funds for the completion of the project. Shri. Rema Kant Singh S/O Ram Prasad Singh shared that the Puliya at Pokharbinda Gram Panchayat is help full to 3000 persons residing at Pokharbinda, Sandar Khurd and Ghoradeur Villages to enter the main road. Shri. Amit Kumar Nishad S/O Ramji Nishad, a postgraduate of the village has expressed the satisfaction of the villagers in the construction of a boundary wall for the safety of 60 children studying in the village Panchayat School.

Table No: 17: Details of Assets Created by the Selected Four Gram Panchayats from Bhatgat Kshetra Panchayat, Gorakhpur District

SL.No	Name of GPs	Name of Asset	Nos.	Status	Estimated Amount (Rs. In Lakhs)	Expenditure (Rs. In Lakhs)
1	Phoolwariya	Puliya	1	Completed	8.00	7.86
2	Parsona	Puliya (R.C.C)	1	completed	2.70	2.43
3	Hafig Nagar	Boundary Wall	1	Completed	3.30	3.29
4	Pokhar Binda	<i>Puliya</i>	1	Completed	6.98	6.98(4+2.98)

Source: - Information Provided by the Four Gram Panchayats from Bhatgat Kshetra Panchayat, Gorakhpur District.

3. Jungle Kaudia

Jungle Kaudia Kshethra Panchayat in Gorakhpur District is having an area of 201.84 sq km with a population of 2.35 lakhs with 1.22 lakhs male and 1.13 lakhs female. The details of schemes implemented are given in Table No.18. Under the scheme 23 projects were implemented by the Jungle Kaudia Kshetra Panchayat by spending an amount of Rs.100. 68 lakhs .The average cost per project is worked and it is Rs. 4.38 lakhs which is the highest among the selected three Kaudia Kshetra Panchayats in the district . It is seen that priority was given to connectivity. No social infrastructure projects such as community hall, water tank community sanitary complex and anganwadi were provided. However, one resource centre was seen completed.

Table No.18: Details of Projects Implemented under BRGF by the Jungle Kaudia Kshetra Panchayat , Gorakhpur District

Sl.No	Name of Project	Nos.	Expenditure (Rs. In Lakhs)
1.	C.C Road	2	15.60
2.	Resource Centre	1	6.22
3.	Culvert	6	35.24
4.	RCC Pulia	2	8.52
5.	Gutterline	3	12.84
6.	Interlock	9	22.26
	Total	23	100.68

Source: Information Provided by Jungle Kaudia Kshetra Panchayat, Gorakhpur District

Jungle Kaudiya, Kurwa, Dohariya and Bharoya are the Gram Panchayats selected for verification. Details of assets created in the selected Gram Panchayats are shown in Table No.19. Though the funds received by the Gram Panchayats are comparatively low the quality of assets created under the scheme is good. The Boundary wall constructed at the Primary School of Kurwa Gram Panchayat is seen damaged due to natural calamity. Shri. Ram Gulam S/O Radha , Kameshwar Misra S/O Avaneendra Misra have shared that the Gram Panchayat is having no funds to repair the damaged wall. Shri. Bijay Singh S/O Nav Tappi Singh, Bansilal Gupta S/O Kishun Gupta and Smt. Khushbu Nisha W/O Tahirali have expressed their satisfaction on the construction of C.C. road which have improved the rural connectivity. The resource centre constructed near the Kshetra Panchayat office with a cost of Rs. 6.22 lakhs is functional and in good condition.

Table No. 19: Details of Assets Created in the Selected Four Village Panchayats from Jungle Kaudiya Kshetra Panchayat , Gorakhpur District

Sl. No	Name of GP	Name of Asset	No	Status	Estimated Amount (Rs. In Lakhs)	Expenditure (Rs. In Lakhs)
1	Jungle Kaudiya	C.C. Road	1	Completed	3.00	2.99
2	Kurwa	Boundary Wall	1	Completed	3.00	2.40
3	Dohariya	C.C. Road	1	Completed	3.00	2.99
4	Bharoya	Boundary Wall	1	Completed	3.00	2.49

Source: Information Provided by the Four Gram Panchayats from Jungle Kaudiya Kshetra Panchayat, Gorakhpur District.

5. Gola Bazar Nagar Panchayat, Gorakhpur District

Gola Bazar Nagar Panchayat has an area of 5 Sq.km with a population of 0.13 lakhs of which 0.07 lakhs are Male and 0.06 lakhs are Female. Scheduled caste population is 2630 and Scheduled Tribe population is 3. There are 11 wards and 1966 households in the Nagar Panchayat.

The Nagar Panchayat had received BRGF fund of Rs.108.50 lakhs and the same amount had been utilized. The Gola Bazar Nagar Panchayat had taken up 7 project and implemented all the projects. Year wise details of funds received and expenditure incurred are given in Table No 20. Category wise list of projects and its expenditure are given in Table No.21. The verification team had seen five assets implemented by the Nagar Panchayat. Details are given in Table No.22. The Assets seen are in good condition. As per the opinion of the community the assets are useful.

Table No: 20: Receipts & Expenditure of BRGF in Gola Bazar Nagar Panchayat, Gorakhpur

Item	2012-13	2013-14	2014-15	2014-15
Received (Rs. in lakhs)	18.00	62.50	28.00	-
Expenditure(Rs. in lakhs)	18.00	62.50	28.00	-
No. of Projects	Two	Three	Two	-

Source: Information Provided by Gola Bazar Nagar Panchayat, Gorakhpur District

Table No: 21: Category Wise List of Projects and Expenditure in Gola Bazar Nagar Panchayat, Gorakhpur

Category	No	Expenditure (Rs. in Lakhs)
Roads	5	83.00
Drainage	2	25.50

Source: Information Provided by Gola Bazar Nagar Panchayat, Gorakhpur District

Table No: 22: Details of Assets Created in Gola Bazar Nagar Panchayat, Gorakhpur District

Sl.No	Name of Assets	Estimated Amount (Rs. in Lakhs)	Expenditure (Rs. in Lakhs)	Year of Completion
1	CC Road at Ward 6	8.12	8.12	2014
2	Brick soling of Road at Ward 4	9.50	9.50	2015
3	CC Road at Ward 2	12.50	12.50	2013
4	Brick Soling at Ward 10	14.00	13.95	2015
5	CC Drainage	8.00	8.00	2015

Source: Information Provided by Gola Bazar Nagar Panchayat, Gorakhpur District

5.Barhalganj Nagar Panchayat, Gorakhpur District

Barhalganj Nagar Panchayat has an area of 6sq.km with a population of 0.21 lakhs of which 0.11 lakhs are Male and 0.10 lakhs are Female. The Nagar Panchayat has 15 divisions and 3755 households.

The Nagar Panchayat had received an amount of Rs.259.16 lakhs under BRGF. They had taken up 10 projects. Details of fund received and expenditure are shown in Table No.23. Out of the 10 projects 8 are roads and 2 are drainages. Category wise list of projects and expenditure are shown in Table No.24. The verification team had seen five assets constructed by the Nagar Panchayat Barhalganj. Details of the asset seen are given in Table No 25. All the assets seen are in good condition and are useful for the people.

Table No: 23: Receipts and Expenditure of BRGF in the Barhalganj Nagar Panchayat, Gorakhpur

Item	2012-13	2013-14	2014-15
Received(Rs. in lakhs)	82.52	91.68	84.96
Expenditure(Rs. in lakhs)	82.52	91.68	84.96
No. of Projects	Three	Two	Five

Source: Information Provided by Barhalganj Nagar Panchayat , Gorakhpur District

Table No: 24: Category wise list of Projects and Expenditure of Barhalganj Nagar Panchayat, Gorakhpur

Item	No. of Works	Estimated Amount (Rs. in Lakhs)	Actual Expenditure (Rs. in lakhs)
Roads	8	243.31	243.31
Drainage	2	15.85	15.85

Source: Information Provided by Barhalganj Nagar Panchayat, Gorakhpur District

Table No: 25: Details of Assets Verified in Barhalganj Nagar Panchayat, Gorakhpur

Sl.No	Name of Asset	Expenditure (Rs. in Lakhs)	Year of Completion
1	Brick Soling of Road at Ward 2	29.29	2014
2	Brick Soling of Road at Ward 4	24.33	2013
3	CC Road	16.50	2015
4	CC Road	17.24	2014
5	CC Drain	8.15	2014

Source: Information Provided by Barhalganj Nagar Panchayat, Gorakhpur District

Etah District

Etah District is having an area of 2431 sq.km with 882 villages of which 29 are uninhabited. There are 8 Block Panchayats (Kshetra Panchayat and 509 Gram Panchayats) in the District. The population of the District is 17.74 lakhs with 9.47 lakhs male and 8.27 lakhs female in 2.89 lakhs households. The Scheduled Caste population is 2.81 lakhs with 1.51 lakhs male and 1.30 lakhs female. The literacy rate of the District is 70.05 per cent.

Projects under BRGF have been initiated in the District from 2008-09. Though funds were released during the year 2007-08, no expenditure had been made during the period. The District Programme Management Unit (DPMU) has monitored the implementation. The details of allocation and utilization of funds under BRGF are shown in Table No.26

Table No.26: Allocation, Release and Utilization of Funds (BRGF), Etah District

Sl.No	Financial year	Allocation (Rs.in Crores)	Release (Rs.Crores)	Utilization (Rs.Crores)
1	2006-07	14.83	0.00	0.00
2	2007-08	19.29	0.10	0.10
3	2008-09	19.29	17.36	17.36
4	2009-10	19.29	19.29	19.29
5	2010-11	19.29	19.29	19.29
6	2011-12	21.17	21.17	21.17
7	2012-13	17.33	0.00	0.00
8	2013-14	21.25	17.69	17.69
9	2014-15	17.89	15.96	15.96
	Total	169.63	110.86	110.86

*Inclusive of Interest Amount also added to the Total

Source: Information Provided by DPMU, Etah District

Training programmes for the elected representatives and officials were conducted for the effective implementation of the scheme. M/s Babu Ulfat Singh Seva Sanstha, Etah had conducted training during the year 2010. The details of training are given Table No.27.

Table No.27: Details of Training Conducted under BRGF, Etah District

Sl No.	Details	Responses
1	Name of Agency with Address	Babu Ulfat Singh Seva Sanstha, 64, Shanti Nagar Etah, Contact No: 9451990471
2	Year of Training	2010
3	Subject Taught	BRGF, Panchayati Raj, Forestry, Health, Revenue, P.D.S, Development, Education etc
4	Number of Participants	2119
5	Nature of Training	Lectures at Block Head Quarters

Source: Information Provided by DPMU, Etah District.

The District has initiated and completed 1202 projects. Year wise details are given in Table No 28.

Table No.28: Year Wise Details of Projects under BRGF, Etah District

	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
Projects Initiated (Total Number 1202)	-	-	225	160	240	81	111	211	174
Projects Completed (Total Number 1202)	-	-	225	160	240	81	111	211	174

Source: Information Provided by DPMU, Etah District

Majority of the project (69.47 per cent) are seen initiated for the improvement of rural connectivity (roads and bridges). Construction of Panchayat building is also given priority. Category wise details of the projects under BRGF are shown in Table No.29. The District had prepared sub plans for Scheduled Caste during 2013-14 and 2014-15. Details of the projects are given in Table No.30.

Table No.29: Category Wise Details of Projects under BRGF in Etah District

Sl No	Category of Work	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total	%
1	Roads	73	133	128	36	98	193	164	825	68.64
2	Bridges	10	2	6	3	3	1	2	27	2.25
3	School Building & Boundary Wall	4	1	5	-	3	5	3	21	1.75

4	Panchayat Building	86	19	68	42	-	-	-	215	17.88
5	Resource Centre	15	-	-	-	-	1	-	16	1.33
6	Veterinary Hospital	1	-	-	-	-	-		1	0.08
7	Resource Centre	15	-	-	-	-	-		15	1.25
8	Drinking Water	11	1	9	-	1	-		22	1.83
9	Sanitation	2	1	9	-	1			13	1.08
10	Check Dam	6	-	-	-	-			6	0.50
11	Drainage	1	3	5	-	3	5		17	1.41
12	Street Light	-	-	6	-	1	2		9	0.75
13	Gate to the Buildings	-	-	3	-	-			3	0.25
14	Others	1	-	1	-	1	4	5	12	1.00
	Total	225	160	240	81	111	211	174	1202	100

Source: Information Provided by DPMU, Etah District

Table No.30: SC Sub Plan under BRGF, Etah District

Sl No		2013-14	2014-15
1	Projects Initiated (Total Number 51)	28	23
2	Projects Completed (Total Number 51)	28	23

Source: Information Provided by DPMU, Etah District

Field verification was done in Kshetra Panchayats of 1. Nidhaulikaula, 2.Sitapur, and 3. Awagarh and the Nagar Palikas (ULBs)of 1. Etah and 2.Jalesar.

Table No. 31: The Details of Receipts and Expenditure of the Selected Gram Panchayats under BRGF from the Selected Kshetra Panchayats of Etah District

District	Kshetra Panchayat	Name of Gram Panchayat	Funds Received (Rs. In lakhs)	Expenditure (Rs. In lakhs)
3)Etah	(i) Nidhaulikaula	1. Sirav	18.04	17.17
		2. Samant kheda	8.20	8.18
		3. Himmatpur	14.20	14.16
		4. Sihori	5.33	5.31
	(ii)Sitapur	1. Barthar	8.20	8.18
		2. Jirasmi	8.20	8.17
		3. Neorai	14.35	14.22
		4. Wajidpur	16.57	14.69
	(iii)Awagarh	1. Jalukheda	11.02	10.68
		2. Rohina Mirjapur	11.90	11.88
		3. Khatauta	9.70	8.73
		4. Nuhkhas	28.24	28.09

Source : Information Provided by the Selected Gram Panchayats , Etah District

1. Nidhoulikaula Kshetra Panchayat

Nidhoulikaula Kshetra Panchayat has an area of 341.62 sq.km with a population of 1.94 lakhs in 0.32 lakh households. There is 71 Gram Panchayats in the Kshetra Panchayat area. The Kshetra Panchayat has received Rs.48.69 lakh under BRGF. The average amount of a project had been worked out which is Rs. 4.00 lakhs. Details are given in Table No.32. Only Twelve projects are seen implemented under BRGF by the Nidhoulikaula Kshetra Panchayat. Only three categories of projects are seen constructed and they are roads, bridges and resource centre. All together 10 CC Roads are constructed by spending an amount of Rs.35.66 lakhs .One Bridge and one Resource Centre were also constructed .the expenditure was Rs.7.26 lakhs and Rs.5.42 lakhs respectively.

Table No.32: Details of Receipt and Expenditure under BRGF Nidhoulikaula Kshetra Panchayat, Etah District (Rs. in lakhs)

Item	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
Receipt <i>(Total 48.69 lakhs)</i>	-	-	10.19	-	-	-	22.00	16.50	-
Expenditure <i>(Total 48.34 lakhs)</i>	-	-	-	9.65	-	-	22.00	16.69	-

Source: Information Provided by Nidhoulikaula Kshetra Panchayat, Etah District

Table No.33: Category Wise list of Projects undertaken by Nidhoulikaula Kshetra Panchayat, Etah District

Category of work	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Roads		1	-	-	2	5	2	10 <i>(Rs. 35.66 lakhs)</i>
Bridge		1	-	-	-	-	-	1 <i>(Rs.7.26 lakhs)</i>
Resource centre		1	-	-	-	-	-	1 <i>(Rs.5.42 lakhs)</i>

Expenditure has been shown in brackets

Source: Information Provided by Nidhoulikaula Kshetra Panchayat, Etah District

The four Gram Panchayats selected from the Nidhoulikalan Kshetra Panchayat are (i.)Sira, (ii.)Samant Kheda, (iii.)Himmatpur and (iv.)Sihori. The Details of receipts and expenditure of the Gram Panchayats are given in Table No.34. Wide variation was seen

in the receipt of the four selected Panchayats .Siraon Gram Panchayat had received the highest amount of Rs. 18.04 lakhs whereas another selected Gram Panchayat of Sihori from the same Kshetra Panchayat had received only Rs. 5.33 lakhs. The average amount per Panchayat is worked out as Rs.10.62 lakhs. All of them had constructed only CC Roads. Himmatpur Gram Panchayat had constructed two CC Roads whereas all other three had concentrated on one road each. The average cost per CC Road is estimated as Rs.9.15 lakhs. The assets seen are in good condition and fully utilized by the people.

Table No.34: Details of Estimate and Expenditure of the of the Projects implemented in the selected Gram Panchayats from Nidhoulikaula Kshetra Panchayat, Etah District

Name of GPs	Year	Name of Project /Assets	Estimated Amount (Rs.in lakhs)	Expenditure (Rs. in lakhs)
Siraon	2014-15	CC Road	18.04	17.17
Samant Kheda	2014-15	CC Road	8.20	8.18
Himmatpur	2010-11	CC Road	6.00	6.00
	2014-15	CC Road	8.20	8.17
Sihori	2014-15	CC Road	5.33	5.31

Source: Information Provided by the Four Gram Panchayats from Nidhoulikaula Kshetra Panchayat, Etah District

2. Sitapur Kshetra Panchayat

Sitalpur Kshetra Panchayat has an area of 312.05 sq.km with a population of 2.40 lakhs of which 1.27 lakhs are male and 1.12 lakhs are female. Number of households in the Panchayat is 40131. There is 83 Gram Panchayats under its jurisdiction. The amount under BRGF was allotted to the Sitapur Kshetra Panchayat only for three years (for the period from 2013-14 to 2015-16). The Panchayat had received an amount of Rs 21.62 lakhs. It was reported that the Panchayat had constructed three CC roads under BRGF and utilized Rs.21.49 lakhs.

Table No.35: Details of Receipts and Expenditure under BRGF Sitalpur Kshetra Panchayat, Etah District (Rs. in lakhs)

Item	2013-14	2014-15	2015-16
Receipt (Total 21.62 lakhs)	1.62	14.00	6.00
Expenditure (Total 21.49 lakhs)	1.62	13.87	6.00

Source: Information Provided by Sitalpur Kshetra Panchayat, Etah District

Gram Panchayats (i.Barthar,ii. Jirasmi, iii. Neorai and iv.Wajidpur) were selected and visited from the Sitapur Kshetra Panchayat. Details of the amount received under BRGF by the four Gram Panchayat are given in Table No.36 Among the four selected Panchayats, the average amount per Panchayat is worked out as Rs.11.83 lakhs. The highest amount was received by the Wajidpur Gram Panchayat and which is followed by Neorai Gram Panchayat and the remaining two have received Rs.8.20 lakhs each. All the assets seen are in good condition except the Panchayat Building constructed by Wajidpur Gram Panchayat. The quality of construction is very poor and during rainy season leakage floods the rooms. Plastering of walls have almost slipped off due to the poor quality work.

Table No.36: Details of Receipt & Expenditure under BRGF in the selected four Gram Panchayats in Sitapur Kshetra Panchayat, Etah District

Name of Gram Panchayats	Year	Estimated Amount (Rs. In lakhs)	Expenditure (Rs. In lakhs)	Category of work
Barthar	2015-16	8.20	8.18	CC Road (1)
Jirasmi	2015-16	8.20	8.17	CC Road (1)
Neorai	2015-16	14.35	14.22	CC Road (1)
Wajidpur	2012-13 to 2015-16	16.57	14.69	Panchayat Building (1)

Source: Information Provided by Gram Panchayats from Sitalpur Kshetra Panchayat, Etah District

3.Awagarh Kshetra Panchayat

Awagarh Kshetra Panchayat has an area of 289 sq.km with a population of 1.53 lakhs of which 0.82 lakhs are male and 0.71 lakhs female. The SC population is 0.36 lakhs of which 0.19 lakhs are male and 0.17 are female. There are 0.25 lakhs households and 54

Gram Panchayats under the jurisdiction of the Kshetra Panchayat. Year wise details of receipts and expenditure of the Awagarh Kshetra Panchayat is shown in Table No.37. The expenditure was Rs. 59.36 lakhs against the receipt of Rs. 60.98 lakhs. It works out 97.34 per cent of utilization .The Awagarh Kshetra Panchayat had taken up 7 projects under BRGF. The average cost of construction per work is estimated as Rs.8.48 lakhs. The details of which are given in Table No.38. From the category of works it is clear that all the works except one are for improving rural connectivity. The Kshetra Panchayat also constructed a Block Resource Centre & Additional Room under the scheme. The quality of construction is seen well.

Table No.37: Details of Receipts and Expenditure under BRGF Awagarh Kshetra Panchayat, Etah District

Sl No	Year	Receipt (Rs. In lakhs)	Expenditure (Rs. In lakhs)
1.	2008-09	8.08	7.74
2.	2009-10	-	-
3.	2010-11	-	-
4.	2011-12	-	-
5.	2012-13	15.00	14.69
6.	2013-14	12.25	11.76
7.	2014-15	25.65	25.17
	Grant Total	60.98	59.36

Source: Information Provided by Awagarh Kshetra Panchayat Etah District

Table No.38: Category wise details of Allocation & Expenditure under BRGF Awagarh Kshetra Panchayat Etah District

Sl.No	Year	Details of Works	No. of Works	Allocation (Rs. In lakhs)	Expenditure (Rs.in lakhs)
1	2008-09	Block Resource Centre & Additional Room	1	8.08	7.74
2	2012-13	Culverts & Bricks Soling	1	15.00	14.69
3	2013-14	CC Road & Drainage	2	12.25	11.76
4	2014-15	CC Roads & Drainage	1	16.00	15.61
5	2014-15	CC Road & Culvert	2	9.65	9.56
	Total		7	60.98	59.36

Source: Information Provided by Awagarh Kshetra Panchayat, Etah District

Four Gram Panchayats of Awagarh Kshetra Panchayat have been selected and visited viz (i.) Jalukheda, (ii.)Rohina Mirjapur, (iii.)Khatauta and (iv.) Nukhhas. All the four Gram Panchayats have received BRGF funds. Details of receipt and expenditure by the four

Gram Panchayats are given in Table No.39. Large variations in the receipts of funds among the Panchayats are seen. The highest amount (Rs.28.24 lakhs) was received by Nukhhas Gram Panchayat whereas the smallest amount (Rs.9.70 lakhs) by the Khatauta Gram Panchayat .The average receipt per Panchayat is worked out as Rs.15.22 lakhs. The Panchayat Building constructed at Jalukheda is handed over to the Gram Panchayat. The Panchayat Building at Rohina Mirjapur is functional. The CC Road at Khatauta is very useful for the villagers. The marriage hall is in a good condition.

Table No.39: Details of Receipts & Expenditure incurred by four Gram Panchayats from Awagarh Kshetra Panchayat , Etah District

Sl No	Name of Gram Panchayat	Year	Details of Project	Receipt (Rs. In lakhs)	Expenditure (Rs. In lakhs)
1.	Jalukhera	2008-09	Panchayat Building	11.02	10.68
2.	Rohina Mirjapur	2008-09	Panchayat Building	11.90	11.88
3.	Khatauta	2014-15	CC Road	9.70	8.73
4.	Nukhhas	2015-16	Marriage Hall	28.24	28.09
	Grant Total			60.86	59.38

Source: Information Provided by the Four Gram Panchayats from Awagarh Kshetra Panchayat, Etah District

4.Etah Nagar Palika Parishad (Municipality), Etah District

Etah Nagar Palika Parishad has an area of 13.49 sq km. with 25 wards and population of 1.19 lakhs of which 0.63 lakhs are male 0.56 lakhs are female. Schedule Caste population is 0.12 lakhs of which 6,129 are male and 5,657 are female. Number of households in the Nagar Palika is 0.17 lakhs. The Nagar Palika received funds under BRGF for three years viz 2012-13, 2013-14 and 2014-15. A total fund received by Etah Nagar Palika Parishad is Rs. 242.79 lakhs with they had taken up 22 projects and completed it. Details BRGF funds received by the Nagar Palika and its expenditure are given in Table No.40. Category wise number of projects is given in Table No.41. The verification team had verified 7 assets created with BRGF funds. Details of the assets verified in Table No.41 are given .All works are in good condition and useful to the people.

Table No. 40: Details of Receipts & Expenditure under BRGF in Etah Nagar Palika, Etah District

Item	2012-13	2013-14	2014-15	2015-16	Total
Receipt (Rs. In lakhs)	55.53	116.99	70.27		242.79
Expenditure (Rs. In lakhs)	55.53	66.47	111.21	56.05.	289.26 (<i>Excess met from interest and development funds</i>)
No. of Projects	10	8	4		

Source: Information Provided by the Etah Nagar Palika Etah District

Table No.41: Category Wise Number of Projects taken up by Nagar Palika Parishad Etah District

Category	2012-13	2013-14	2014-15
Road with Interlocking	9	8	3
Boundary Wall for Govt. Inter College	1	-	-
Durga Temple Beautification	-	-	1
Total	10	8	4

Source: Information Provided by Etah Nagar Palika, Etah District

Table No.42: Details of Assets Verified in the Etah Nagar Palika Etah District

Sl.No	Name of Assets	Estimated Cost (Rs. In lakhs)	Actual Expenditure (Rs. In lakhs)
1	Boundary Wall for Govt. Inter College	4.84	4.78
2	Police Control Room Road (Interlocking & Drainage)	2.39	2.90
3	Cremation Ground Interlocking & Building	10.00	10.00
4	Aruna Nagar Road Interlocking	15.80	13.90
5	CC Road	29.50	38.80
6	Railway Road Tarring	14.60	17.60
7	Durga temple Beautification	13.60	12.50

Source: Information Provided by the Etah Nagar Palika Etah District &Field Survey

5.Nagar Palika Parishad Jalesar, Etah District

Jalesar Nagar Palika in Etah District is having an area of 4 sq.km and with a population of 0.38 lakhs of which 0.21 lakhs are male and 0.18 lakhs are female. There are 25 wards and 6,846 households in the Nagar Palika. Scheduled Caste population is 6,035 of which 3,205 are male and 2,830 are female. Scheduled Tribe population is only 41. Literacy rate is 69.62 per cent of which male are 74.92per cent and 63.68 per cent female.

Under the scheme of BRGF, Rs. 106 lakhs were allotted to the Jalesar Nagar Palika and 13 projects were completed. The average cost per work is estimated as Rs.8.15 lakhs. Year wise details of BRGF funds released and expenditure with number of works taken up are given in Table No.43. With the BRGF funds, the Nagar Palika had taken up the construction of roads and drainage .Category wise numbers of projects taken up are given in Table No.44. The verification team had visited 5 assets of the Nagar Palika and the details are given in Table No.45. The works are seen in high quality and the people using it are satisfied with the work.

Table No.43: Details of Receipt & Expenditure under BRGF in Jalesar Nagar Palika, Etah District

Item	2012-13	2013-14	2014-15	Total
Receipt (Rs. In lakhs)	56.00	28.00	22.00	106.00
Expenditure (Rs. In lakhs)	56.00	28.00	22.00	106.00
No. of Projects	6	4	3	13

Source: Information Provided by the Jalesar Nagar Palika Etah District

Table No.44: Category Wise Number of Projects taken up by Jalesar Nagar Palika, Etah District

Category	2012-13	2013-14	2014-15	Total
Roads	4	3	2	9
Drainage	2	1	1	4

Source: Information Provided by Jalesar Nagar Palika Etah District

Table No.45: Details of Assets Verified in the Jalesar Nagar Palika, Etah District

Name of Assets	Estimated Cost (in Lakhs)	Actual Expenditure(In Lakhs)
Drainage at Ward 18	8.10	8.05
Drainage at Ward 4	4.00	3.77
CC Road at Ward 8	10.00	9.25
CC Roads at Ward 14	11.00	9.75
CC Road Ward 10	14.00	12.23

Source: Information Provided by Jalesar Nagar Palika, Etah District & Field Survey

Raibareilly

Raibareilly district is having an area of 4609 Sq.Kms with 965 Gram Panchyats and 1773 villages of which 40 villages are uninhabited. The population of the District is 34.05 lakhs with 17.52 lakhs male and 16.53 lakhs female in 6.17 lakhs households. The Scheduled Caste population is 10.30 lakhs with 5.27 lakhs male and 5.03 lakhs female. The Scheduled Tribe Population is 1756 with 876 male and 880 female. The literacy rate of the district is 67.25 per cent with male 77.63 per cent and female 56.29 percent.

Schemes under BRGF have been initiated in the district during 2008-09. The District Programme Management Unit (DPMU) has monitored the implementation. The details of allocation and utilization of funds under BRGF are shown in Table No.46

Table No.46: Allocation, Release and Utilization of Amount under BRGF, Raibareilly District.

Sl No	Financial year	Allocation (Rs. In Crores)	Release (Rs. In Crores)	Utilization (Rs. In Crores)
1.	2006-07	14.98	0.00	0.00
2.	2007-08	19.59	0.10	0.10
3.	2008-09	19.59	17.63	17.63
4.	2009-10	19.59	19.59	19.59
5.	2010-11	19.59	19.59	19.59
6.	2011-12	21.52	18.90	18.90
7.	2012-13	21.52	6.52	5.15
8.	2013-14	26.39	0.00	0.00
9.	2014-15	-	19.28	0.00
	Total	162.77	101.61	80.96

Source: Information Provided by DPMU, Raibareilly District.

Training programmes for the Elected Representatives (ERs) and Officials were conducted for the effective implementation of the scheme. State Institute of Rural Development (SIRD) and Datamation Consultants Private Limited, New Delhi, have conducted the training. The details of training are furnished in Table No. 47. The District has initiated 790 projects under BRGF and all have been completed. Year wise details are given in Table No.48.

Table No. 47 : Details of Training Imparted under BRGF in Raibareilly District.

S.No.	Year	Target Group	Subject	Training period	No. of Participants
1	2009-10	Gram Panchayat Pradhan and the Members of the 3 Standing Committees	BRGF	3 Days	3860
2	2010-11	President and Members of the District Panchayat & Kshetra Panchayats	BRGF	2 Days	525
3	2011-12	Members of the Gram Panchayats	BRGF	3 Days	5966
Total					10351

Source: Information Provided by DPMU, Raibareilly District.

Table No. 48: Details of Projects Initiated and Completed under BRGF in Raibareilly District

Description	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
Projects Initiated (790 projects)	-	-	552	44	38	118	11	-	27
Projects Completed (790 projects)	-	-	552	44	38	118	11	-	27

Source: Data Provided by DPMU, Raibareilly District.

Table No. 49 :Details of Receipts and Expenditure of Panchayat under BRGF, Raibareilly District.

District	Kshetra Panchayat	Name of G.P	Funds Received (Rs. In lakhs)	Expenditure (Rs. In lakhs)
(4)Raibareilly	(i)Sataon	1. Khushrupur	7.51	7.51
		2. Jaithypur	6.71	6.71
		3.Nakunaha	29.72	29.72
		4.Gujari	23.52	20.28
	(ii)Lalganj	1. Mitapur Badiya	17.68	13.50
		2.Alampur	9.97	9.97
		3. Rangaon	9.90	9.60
		4.Gangasur	14.70	14.22
	(iii)Harchandrapur	1. Datauli	4.08	4.04
		2. Gulupur	4.00	3.97
		3. Ajmattullah Ganj	4.00	4.00
		4.Para	3.80	3.70

Source: Information Provided by the Selected Gram Panchayats, Raibareilly District

Majority of the projects are seen initiated for the improvement of drinking water and Rural Connectivity. Construction of Panchayat Building is also given priority. Category wise details of the projects under BRGF are shown in Table No.50

Table No. 50: Category Wise Details of Works Completed under BRGF in Raibareilly District

S. No.	Category of work	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total	%
1	Roads	-	-	29	44	9	49	11	Nil	18	160	20.25
2	Bridges	-	-	2	-	1	-	-	-	-	3	0.38
3	School Building & Boundary Wall	-	-	32	-	-	2	-	-	-	34	4.30
4	Anganwadi Building	-	-	-	-	2	1	-	-	-	3	0.38
5.	Panchayat Building	-	-	-	-	26	24	-	-	-	50	6.33
6	Hand Pump	-	-	489	-	-	-	-	-	-	489	61.90
7.	Solar Light	-	-	-	-	-	40	-	-	-	40	5.06
8.	Drainage	-	-	-	-	-	2	-	-	-	2	0.25
9.	Solar Dual Pump	-	-	-	-	-	-	-	-	9	9	1.14
	Total	-	-	552	44	38	118	11	Nil	27	790	100

Source: Data Provided by District DPMU, Raibareilly District.

Three Kshetra Panchayats from Raibareilly District Viz: (1) Sataon, (2) Lalganj (3) Harchandpur had been selected for Field verification.

1. Sataon Kshetra Panchayat

Sataon Kshetra Panchayat is having 50 Gram Panchayats with 0.32 lakhs households and a total population of 1.66 lakhs. Three projects were implemented under BRGF during 2008-09 to 2014-15 and the expenditure was Rs.21.53 lakhs against the receipt of Rs. 23.52 lakhs. It works out 91.54 per cent of utilization. The average cost of construction per work is estimated as Rs.67.18 lakhs. Out of the three projects, except one all the other two are very small in size. Out of this, two projects had been completed with less than the estimated amount. The details of schemes implemented under BRGF are given in Table No.51.

Table No.51 : Details of Receipt and Expenditure under BRGF, Sataon Kshetra Panchayat, Raibareilly District (Rs. in lakhs)

Item	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
Receipt <i>(Total 23.52 lakhs)</i>	-	-	3.75	-	-14.00	-			5.77
Expenditure <i>(Total 21.51 lakhs)</i>	-	-	3.75		12.53	-			5.23

Source: Information Provided by Sataon Kshetra Panchayat, Raibareilly District

Table No.52: Details of Projects Implemented under BRGF by the Sataon Kshetra Panchayat, Raibareilly District.

S.No.	Year	Name of Project	Nos	Estimated Amount (Rs. In Lakhs)	Expenditure (Rs. In Lakhs)
1	2008-09	Road (Interlocking)	1	5.77	3.75
2	2010-11	Panchayat Building	1	14.00	12.53
3	2014-15	Resource Centre	1	5.75	5.23
Total			3	25.52	21.51

Source: Data Provided by the Sataon Kshetra Panchayat, Raibareilly District.

The verification team had selected and visited four the Gram Panchayats from the Sataon Kshetra Panchayat and they are (i) Kharsupur, (ii) Jaitipur (iii) Nakulaha, (iv) and Gujar. The details of assets created in each Gram Panchayat under BRGF are provided in Table No.53.

Table No.53: Details of Assets Created by the Selected Four Gram Panchayats from the Sataon Kshetra Panchayat, Raibareilly District

Number of GPs	Name of GPs.	Year	Name of asset	No	Status	Estimate (Rs. In Lakhs)	Expenditure (Rs. In Lakhs)
1	Khusrupur	2014-15	CC Road	1	Completed	7.51	7.51
2	Jayathipur	2016-17	CC Road	1	Completed	6.71	6.71
3	Nakulaha	2015-16	CC Road	1	Completed	29.72	29.72
4	Gujari	2010-11	CC Road	1	Completed	12.53	12.53
5	Gujari	2008-09	Interlocking	1	Completed	5.77	4.23
6	Gujari	2010-11	Panchayat Building	1	Completed	14.00	12.30
7	Gujari	2010-11 to 2013-14	Resource Centre	1	Completed	3.75	3.75

Source: Information Collected from the Four Selected Gram Panchayats & Field Survey

It is reported that the schemes are explained in the Gram Sabha meetings. Annual action plans are prepared. Entries of some works are there in the Gram Panchayat Asset Register. The Gram Panchayats had not been provided any technical support from anywhere. No separate staff was also appointed. No social audit was done for the schemes implemented.

At Nakulaha Gram Panchayat, one CC Road worth of Rs. 29.72 lakhs was constructed. However, as per the official records the work is listed as 10 projects by 10 tenders for 10 segments and that is why it was recorded as 10 projects. This was planned such a way to get free from the official complexities and procedures of construction protocol. The road is of only 878 meter long. As per the official records, no amount had been released to Gujari Gram Panchayat. Sri Lakshmi Shanker and Sri Avdesh Kumar from the village community had expressed some concern during the FGDs about the cost of the work. However they are satisfied with the quality and utility of work. At the Khusrupur Gram Panchayat a CC Road was constructed at Nirasapur village. The villagers are happy about the quality of the work. Mr. Lokesh Mishra and Mr. Shubradan Singh who are retired teachers expressed their satisfaction on the work. At the Jayathipur Gram Panchayat CC road constructed under the BRGF is in good condition. It is an SC Project where majority of the beneficiaries belongs to Scheduled Caste category.

2.Lalganj Kshetra Panchayat

Lalganj Kshetra Panchayat in Raibareilly district is having an area of 223 Sq. Kms with a population of 1.63 lakhs with 0.84 lakhs males and 0.79 lakhs females in 2,990 households. The Scheduled Caste Population is 0.49 lakhs with 0.25 lakhs males and 0.24 lakhs females. There is 56 Gram Panchayats in the jurisdictional area of the Kshetra Panchayat. The details of receipts and expenditure of the Kshetra Panchayat are given in Table No.54. Three projects were implemented under BRGF during 2010-11 to 2015-16 as detailed in Table No.55. The expenditure was Rs.29.00 lakhs. As per the official records the receipt was Rs. 29.95 lakhs. More than 96.82 per cent of utilization was reported. The average cost of construction per work is less than Rs.10.00 lakhs. Out of

the three projects, except one all the other two are medium in size. All the three projects had been completed by less than the estimated amount.

Table No.54: Details of Receipt and Expenditure under BRGF, Lalganj Kshetra Panchayat, Raibareilly District (Rs. in lakhs)

Item	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16
Receipt (Total 29.95 lakhs)	-	-		1.95	14.00	-			-14.00
Expenditure (Total 29.00 lakhs)	-	-		1.75	13.45	-			13.80

Source: Information Provided by Lalganj Kshetra Panchayat, Raibareilly District

Table No.55. :Details of Projects Implemented under BRGF by the Lalganj Kshetra Panchayat, Raibareilly District

S.No.	Year	Name of Project	No	Status	Estimate Amount (Rs. in lakhs)	Expenditure (Rs. in lakhs)
1	2010-11	Resource Centre	1	Completed	1.95	1.75
2	2011-12	Panchayat Bhavan	1	Completed	14.00	13.45
3	2015-16	Interlocking at the Block Compound	1	Completed	14.00	13.80
Total			3		29.95	29.00

Source: Data Collected from the Lalganj Kshetra Panchayat, Raibareilly District

The verification team had visited four Gram Panchayats for intensive field work namely (i). Alampur (ii). Rangaon, (iii). Mitapur, and (iv). Gagasur. The schemes implemented by each Panchayat are given in Table No.56.

Table No. 56 :Details of Assets Created by the Selected Four Gram Panchayats from the Lalganj Kshetra Panchayat ,Raibareilly District

Number of GPs.	Name of Gram Panchayats	Year	Name of Assets	No.	Status	Estimate (Rs. In Lakhs)	Expenditure (Rs. In Lakhs)
1.	Rangaon	2016-17	CC Road	1	Completed	9.90	9.60
		2016-17	Interlocking of Block office Compound	1	Completed	14.00	13.80

		2011-13	Resource Centre	1	Completed	1.95	1.75
2	Mitapur	2014-15 to 2015-16	Marriage House	1	Completed	10.00	9.60
3	Gagasur	2014-15 to 2015-16	CC Road	1	Completed	14.70	14.23
4	Alampur	2016-17 (ongoing)	CC Road	1	Not completed	9.98	-

Source: Information Collected from the Four Selected Gram Panchayats from Lalganj Kshetra Panchayat, Raibareilly District

The Alampur Gram Panchayat had received an amount of Rs. 9.98 lakhs under BRGF during 2016-17. The Panchayat started the work recently and at the time of verification the work is seen pending due to rain. Rangaon Gram Panchayat had taken up one project of CC Road during the year 2015-16 and completed by the year 2016-17. The Panchayat had made 295 meters of CC Road at a cost Rs.9.60 lakhs. The work looks in good quality. Mitapur Gram Panchayat had constructed a *Baraat Khar* (Marriage hall) near the Scheduled Caste Colony at a cost of Rs.9.60 lakhs. There is a toilet and bathing room attached to it. The villagers are of very good opinion about the *Baraat Khar* and they are using it. The CC road in Alampur Gram Panchayat is of an estimated cost of Rs.9.98 lakhs. They have already spent half of the amount. There was an interruption from a local resident regarding land acquisition and it is reported that the issue has been solved by the Panchayat. The work is expected to restart shortly. Gagasur Gram Panchayat had one project of CC Road of 425 meters for Rs.14.23 lakhs and the road is of good quality.

3. Harchandpur Kshetra Panchayat

Harchandpur Kshetra Panchayat in Raibareilly district is having area of 212.31 sq.kms with a population of 1.40 lakhs with 0.73 lakhs males and 0.67 lakhs females. There are 0.26 lakhs households in the Kshetra Panchayat. There are 0.49 lakhs Scheduled Caste population with 0.25 lakhs males and 0.24 lakhs females. Under BRGF the Harchandpur Kshetra Panchayat had completed five works at a cost of Rs 30.46 lakhs against the

receipt of Rs.31.87 lakhs. The Panchayat could utilize more than 95 per cent of fund. The works are very small in size. The average cost per project is worked out as Rs. 6.00 lakhs .The Details of projects implemented under BRGF are given in Table No.57.

Table No.57: Details of Receipt and Expenditure under BRGF, Harchandpur Kshetra Panchayat, Raibareilly District (Rs. in lakhs)

Item	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16
Receipt (Total Rs.29.83 lakhs)	-	-	13.00			-		9.20	7.63
Expenditure (Total Rs.29.66 lakhs)	-	-	13.00					9.11	7.55

Source: Information Provided by Harchandpur Kshetra Panchayat, Raibareilly District

Table No. 58 : Details of Projects implemented under BRGF , Harchandpur Kshetra Panchayat, Raibareilly District

Sl.No.	Year	Name of Project	No	Status	Estimate Amount (Rs. In Lakhs)	Expenditure (Rs. In Lakhs)
1	2009-10	Interlocking of Road	1	Completed	8.13	7.91
2	2009-10	Resource Centre	1	Completed	6.91	5.09
3	2014-15	Culvert	2	Completed	9.20	9.11
4	2015-16	CC Road	1	Completed	7.63	7.55
		Total	5		31.87	29.66

Source: Information Provided by Harchandpur Kshetra Panchayat, Raibareilly District

The Resource Centre constructed is in the Kshetra Panchayat compound. The work is an example of convergence. The Kshetra Panchayat spent Rs. 5,89,460/- for the Resource Centre out of which Rs.5,08,692/- is from BRGF fund. The balance was met from other grants released to Kshetra Panchayat. The asset created is used by the ADO (Panchayat).The Engineers attached to the Kshetra Panchayat level are meeting the contractors and other people in the same building. The interlocking of road work, the CC road, and the culvert built are seen in good condition. The culvert will be functional only after concreting the approach road on one side.

Datauli, Ajmatullah Ganj, Gulupur and Para are the four Gram Panchayats selected and visited by the verification team. Details of projects implemented by these Panchayats are given in Table No.59.

Table No.59: Details of Assets Created by the Selected Four Gram Panchayats from the Harchandpur Kshetra Panchayat, Raibareilly District

Number of GPs	Name of Gram Panchayats	Year	Name of Asset	No	Status	Estimate (Rs. in Lakhs)	Expenditure (Rs. in Lakhs)
1	Datauli	2015-16	Interlocking of Road	1	Completed	4.04	4.04
	Datauli	2010-11 & 2015-16	CC Road	2	Completed	16.00	15.48
	Datauli	2009-10	Resource Center	1	Completed	6.91	5.82
	Datauli	2015-16	Culverts	1	Completed	4.52	4.52
2	Gulupur	2016-17	Interlocking of Road	1	Completed	3.98	3.97
3	Para	2016-17	CC Road	1	Completed	3.70	3.70
4	Ajmattulla Ganj	2015-16	Interlocking of Road	1	Completed	4.08	4.08

Source: Information Provided by the Gram Panchayats from Harchandpur Kshetra Panchayat, Raibareilly District.

In Datauli the interlocking of road is for Rs.4.04 lakhs. The amount demarcated from the BRGF is for Rs. 4.00 lakhs. Balance amount was met from the other grants of the Panchayat. Similarly at Ajmatullah Ganj the expenditure of the work is Rs.4.08 lakhs. The major share is from BRGF and it is Rs. 4.00 lakhs. Balance was met from the envelope of ‘other grants received from State Government’. At least these two Panchayats had made to meet other source of funds, may be a step for converge in the future developmental activities. At Datauli Gram Panchayat the road is of 115 meters and at Ajmatullah Ganj it is of 113 meters length. The interlocking of road at Gulupur is 124 meters and the cost is Rs. 3.97 lakhs. At Para the CC road is of 120 meters long and the cost is Rs.3.70 lakhs. Both roads are in good condition and beneficial for the villagers. All these roads have potential to mitigate the backwardness of the region particularly in the domain of connectivity.

4.Nagar Palika Parishad, Raibareilly

Raibareilly Nagar Palika has an area of 50.12sq.km, with 1.99 lakhs population of which 1.00 lakhs are male and 0.99 lakhs are female. There are 31 wards and 0.35 lakhs households. The scheduled caste population is 0.28 lakhs of which 0.15 lakhs are male and 0.13 lakhs are female. Scheduled tribe population is 234 of which 113 are male and 121 female. The literacy rate is 81.23 percent.

Under BRGF, the Nagar Palika had received an amount of Rs.923.85 lakhs with which they had taken up 42 projects. The projects are medium in size and the average cost per project works out to be Rs. 22.00 lakhs .Year wise details of receipt and expenditure are given in Table No 60. The excess amount incurred was met from the provisions under own funds. The Nagar Palika Parishad has taken up 42 projects. Details of which are given in Table No.61. Out of the 42 projects completed 32 are roads and 10 drainages as detailed in Table No.62. The average cost per road work is higher than that of drainage. The respective figures are Rs.24.19 lakhs and Rs.16.78 lakhs. The verification team has seen six assets constructed by Nagar Palika Parishad. The details are given in Table No.63. The assets are seen all in good condition and useful to the people of Nagar Palika Parishad.

Table.No.60: Receipt and Expenditure under BRGF by the Raibareilly Nagar Palika, Raibareilly District (Rs in lakhs)

Item	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16
Receipts (Rs. 923.85 lakhs)	207.28	467.19	26.89	-	123.17	-	99.32
Expenditure(Rs.941.95 lakhs)	164.42	75.31	296.49	183.75	-	122.66	99.32

Source: Information Provided by Raibareilly Nagar Palika, Raibareilly District

Table.No:61: Year Wise Number of Projects taken up by the Raibareilly Nagar Palika Parishad, Raibareilly District

Item	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16
Projects Initiated (Total Number 42)	24	7	2	1	1	1	3	3
Projects Completed(Total Number 42)	24	7	2	1	1	1	3	3

Source: Information Provided by Raibareilly Nagar Palika, Raibareilly District

Table.No.62: Details of Projects undertaken by the Raibareilly Nagar Palika, Raibareilly District (Rs. in lakhs)

Sl No.	Category of Work	Number of Works	Expenditure
1	C C Road	32	774.16
2	Drainage	10	167.79
	Total	42	941.95

Source: Information Provided by Raibareilly Nagar Palika, Raibareilly District

Table No. 63: Details of Assets Verified in the Raibareilly Nagar Palika, Raibareilly District

Sl. No	Name of Work	Expenditure(Rs. in Lakhs)
1	Interlocking of Road	23.31
2	Interlocking of Road	23.30
3	Interlocking of Road	12.24
4	Interlocking of Road	12.24
5	Interlocking of Road	31.50
6	RCC Pipe Drainage	58.53

Source: Information Provided by Raibareilly Nagar Palika, Raibareilly District & Field Survey

5. Lalganj Nagar Palika, Raibareilly District

Lalganj Nagar Palika has an area of 4.12 sq.km with a population of 0.23 lakhs of which 0.12 lakhs are male and 0.11 are female .The Scheduled caste population is 3417 of which 1813 are male and 1604 are female. There are 15 wards and 3996 households in the Nagar Palika.

Lalganj Nagar Palika had received Rs.119.84 lakhs from BRGF and the same was utilized. Year wise details of fund received and its expenditure are given in Table No.64. It is seen that 6 projects taken up were completed the details are provided in Table No.65. The projects are in medium in size and the average cost per project works out to be Rs. 19.97 lakhs. The average cost per road work and drainage is not having much higher difference. The verification team has seen six assets constructed by Nagar Palika Parishad. The details are given in Table No.66. The assets are seen all in good condition and useful to the people of Nagar Palika Parishad. All the six projects are directly and indirectly can be categorized under the infrastructure projects and very specific projects under connectivity.

Table.No:64: Receipt and Expenditure under BRGF by the Lalganj Nagar Palika, Raibareilly District (Rs. in lakhs)

Item	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16
Receipt (Rs.119.84 in lakhs)	37.03	-	62.81	20.00	-	-	-	-
Expenditure (Rs.119.84 in lakhs)	37.03	-	62.81	20.00	-	-	-	-
Number of Projects (Total Number 6)	2	-	3	1	-	-	-	-

Source: Information Provided by Lalganj Nagar Palika . Raibareilly District

Table.No.65: Details of Projects undertaken by the Lalganj Nagar Palika, Raibareilly District (Rs. in lakhs)

Sl No.	Category of Work	Number of Works	Expenditure
1	C C Road	5	99.84
2	Drainage	1	20.00
	Total	6	119 .84

Source: Information Provided by Lalganj Nagar Palika, Raibareilly District

Table.No.66: Details of Assets Verified in Lalganj Nagar Palika, Raibareilly District

Sl.No	Name of Asset	Estimate (Rs. in lakhs)	Expenditure(Rs. in lakhs)	Year of Completion
1	Drainage (at Ward Number 11)	20 .00	20.00	2010
2	CC Road (at Ward Number 10)	20.00	20.00	2012
3	Interlocking of Road (at Ward Number 5)	20.18	20.18	2011
4	Interlocking of Road (at Ward Number 7)	17.03	17.03	2009
5	CC Road (at Ward Number 11)	20.10	20.00	2009

Source: Information Provided by Lalganj Nagar Palika . Raibareilly District &Field Survey

Banda

Banda district is having an area of 4408 sq. kms with 694 villages of which 37 are uninhabited. The population of the district is 17.99 lakhs with 9.66 lakhs males and 8.33 lakhs female in 3.19 lakhs households. The Scheduled Caste population is 3.88 lakhs with 22.08 lakhs male and 1.80 lakhs female. The literacy rate of the district is 66.70 per cent with male 77.78 per cent and female 53.67 per cent. Schemes under BRGF have been initiated in the district from 2008-09. The District Programme Management Unit (DPMU) has monitored the implementation of schemes. The details of allocation and utilization of funds under BRGF are shown in Table No.67. Details of receipts and expenditure of the 12 Gram Panchayats selected are given in Table No.68

Table No.67 : Allocation, Release and Utilization of Funds under BRGF in Banda District

Sl. No	Financial Year	Allocation(Rs. in Crores)	Release (Rs. in Crores)	Utilization (Rs. in Crores)
1.	2006-07	13.39	0.00	0.00
2.	2007-08	16.53	0.10	0.10
3.	2008-09	16.53	14.88	14.88
4.	2009-10	16.53	11.35	11.35
5.	2010-11	16.53	21.71	21.71
6.	2011-12	17.84	4.91	4.91
7.	2012-13	17.84	8.57	7.50
8.	2013-14	21.88	0.00	0.00
9.	2014-15	21.88	16.72	0.00
	Total	158.95	78.24	60.45

Source: Information Provided by the DPMU, Banda District

Table No.68: Details of Receipts and Expenditure of Selected 12 Gram Panchayats under BRGF, Banda District

District	Kshetra Panchayat	Name of G.P	Funds Received (Rs. In lakhs)	Expenditure (Rs. In lakhs)
Banda	(i) Naraini	1. Parsahar	10.00	9.87
		2. Pukari	7.00	6.98
		3. Lahuretta	8.00	8.00
		4. Khalari	15.00	15.00
	(ii) Tindwari	1. Mahuyi	16.00	16.00
		2. Sadi	4.00	4.00
		3. Khoda	18.00	18.00
		4. Piparhari	15.00	15.00
	(iii) Badokha	1. Chathihara	15.00	15.00
		2. Hathaira	15.00	15.00
		3. Duredi	7.00	7.00
		4. Tindwari	15.00	15.00

Source : Information Provided by the Selected Gram Panchayats , Banda District

Training programmes for elected representatives and officials were conducted for the effective implementation of the scheme. IL& FS Education & Technological Services, New Delhi and Institute for Enterprise Science, Engineering & Management, Lucknow have conducted trainings in Banda. The details of training imparted are given in Table No.69

Table No.69: Details of Training Imparted under BRGF in Banda District

Sl. No	Target Group	Year of Training	Duration of Training	Number of Participants	Agency conducted Training
1	Pradhans & three standing committee members	2010-11	2 Days	1356	IL& FA, Education & Technological Services, New Delhi.
2	ERs and Pramukhs of Kshetra Panchayats	2011-12	2 Days	221	Institute for Enterprise Science, Engineering & Management, Lucknow

Source: Information Provided by DPMU, Banda District

The district has initiated 411 projects under BRGF and all have been completed. Year wise details are given in Table No.70.

Table No.70: Details of Projects Initiated and Completed under BRGF- Banda District

Description	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total
Project Initiated	-	-	-	137	155	29	90	-	-	411
Project Completed	-	-	-	137	155	29	90	-	-	411

Source: Information Provided by DPMU, Banda District

Category wise details of the projects implemented are given in Table No.70

Table No.71: Category Wise Details of the Projects Implemented under BRGF, Banda District.

Sl. No	Category	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Total	Percentage
1.	Roads	68	46	-	33	-	-	147	35.77
2.	Bridges	-	-	-	54	-	-	54	13.14
3.	School Building	1	-	-	-	-	-	1	0.24
4.	Panchayat Buildings	63	109	29	-	-	-	201	48.91
5.	Barat Khar	1	-	-	-	-	-	1	0.24
6.	Drainage	2	-	-	3	-	-	5	1.22
7.	Community Toilet	2	-	-	-	-	-	2	0.48
	Total	137	155	29	90			411	100%

Source: Information Provided by DPMU, Banda District

Majority of the projects are seen initiated for constructing Panchayat Buildings. The construction work was taken up by an agency named Pack Pad. A case is still pending against the said agency. Next priority was given for connectivity and 147 projects are taken up under this sector. Three Kshetra Panchayats are selected for detailed field work viz (i) Naraini, (ii) Tindwari and (iii) Badokharkhurd.

The Kshetra Panchayat has received Rs.40.62 lakhs under BRGF from which Rs.38.03 was the expenditure.

1. Naraini Kshetra Panchayat

The Panchayat has spent the amount for one road, one resource centre and given assistance to the repair of 36 houses and two bridges Details of receipts and expenditure under BRGF of the three Kshetra Panchayat are given in Table No. 72. Category wise details of projects initiated are given in Table No.73.

Table No.72: Details of Funds Received and the Expenditure, Naraini Kshetra Panchayat, Banda District

Year	Receipt (Rs.in lakhs)	Expenditure(Rs.in lakhs)
2009-10	12.00	10.95
2010-11	0.35	0.49
2011-12	23.29	17.38
2012-13	0.03	-
2013-14	4.95	9.21
2014-15	-	-
Total	40.62	38.03

Source: Information Provided by Naraini Kshetra Panchayat, Banda District.

Table No.73 : Category wise Projects Implemented by the Naraini Kshetra Panchayat, Banda District

Category of Works	Number of Works	Expenditure(Rs.in lakhs)
CC Road	1	3.86
Resource Centre	1	10.94
Bridges	2	2.22
Assistances to House repair	36	21.01
Total	40	38.03

Source: Information Provided by Naraini Kshetra Panchayat, Banda District.

Year wise funds received by the 4 Gram Panchayats from Naraini Kshetra Panchayat are given in Table No.74. In Gram Panchayats of Parsahar, Pukari and Lahureta have constructed one CC Road each. Khalari Gram Panchayat have constructed a 'rapta' (bridge) with the BRGF fund. Details of projects implemented by the Gram Panchayats selected are given in Table No.75.

Table No. 74: Receipt & Expenditure by the Four Gram Panchayats under Naraini (Rs. in Lakhs)

Year	Parshar	Pukari	Lahureta	Khalari
Receipt on 2008-09	10.00			
Receipt on 2009-10				
Receipt on 2010-11				
Receipt on 2011-12				
Receipt on 2012-13		7.00	8.00	15.00
Receipt on 2013-14				
Receipt on 2014-15				
Total Receipt	10.00	7.00	8.00	15.00
Total Expenditure	9.87	6.99	8.00	15.00

Source: Information Provided by Gram Panchayat from Naraini Kshetra Panchayat, Banda District

Table No.75: Category Wise Details on Projects Implemented by Selected Gram Panchayats from Naraini Kshetra Panchayat, Banda District

Name of the Gram Panchayats	Category of Work	Number of works	Expenditure (Rs. in lakhs)	
Parsahar	CC Road	1	9.87	
Pukari	CC Road	1	6.99	
Lahureta	CC Road	1	8.00	
Khalari	Bridge	1	15.00	

Source: Information Provided by Gram Panchayats from Naraini Kshetra Panchayat, Banda District

2. Tindwari Kshetra Panchayat

Tindwari Kshetra Panchayat has received funds under BRGF for two years only. Details are given in Table No. 76. The Panchayat had received an amount of Rs.19.66 lakhs and as per the official records, full amount was utilized. One Resource Centre at a cost of Rs. 6.86 lakhs has been constructed. Additional assistance of Rs. 3.80 lakhs for IAY houses was given. One drainage and at a cost of Rs. 9.00 lakhs has been constructed. Category wise details of the projects implemented are given in Table No.77.

Table No.76: Funds Receipt by and Expenditure under BRGF, Tindwari Kshetra Panchayat, Banda District

Year	Receipt (Rs. in Lakhs)	Expenditure (Rs. in Lakhs)
2009-10	10.66	10.66
2013-14	9.00	9.00
Total	19.66	19.66

Source: Information Provided by Tindwari Kshetra Panchayat, Banda District

Table No. 77: Category wise Projects Implemented by the Tindwari Kshetra Panchayat, Banda District

Category of Works	Number of Works	Expenditure(Rs.in lakhs)
CC Road		
Resource Centre	1	6.86
Bridges		
Assistances to House		3.80
Drainage	1	9.00
	-	
Total	2	19.66

Source: Information Provided by Tindwari Kshetra Panchayat, Banda District.

As per the sample procedure, four Gram Panchayats were selected from the Tindwari Kshetra Panchayat and the team had made visit in these Panchayats for detailed verifications. The Panchayats are (i.)Mahuyi, (ii.) Sadi, (iii.) Khoda and (iv.)Piparhari. Funds received and expenditure made by the four Gram Panchayats are given in Table No.78.

Table No.78: Receipt and Expenditure under BRGF in the Four Selected Gram Panchayats from Tindwari Kshetra Panchayat, Banda District

Name of the Gram Panchayat	Year	Name of Assets	Funds Received (Rs. in lakhs)	Expenditure (Rs. in lakhs)
Mahuyi	2013-14	Culverts	16.00	16.00
Mahuyi	2009-10	Resource centre	7.00	6.86
Sadi	2013-14	CC Road	4.00	4.00
Khoda	2014-15	Culverts	18.00	18.00
Piparhari	2013-14	Metaling Road & Culverts	15.00	15.00

Source: Information Provided by Four Selected Gram Panchayats from Tindwari Kshetra Panchayat, Banda District

Mahuyi Panchayat constructed a “Raptas” (Bridge) at a cost of Rs. 16.00 lakhs. Sadi Gram Panchayat constructed a CC Road for Rs. 4.00 lakhs, Khoda GP constructed a Rapta for Rs. 18 lakhs. In Piparhari Gram Panchayat a CC Road for Rs. 7.00 lakhs and a bridge for Rs. 8.00 lakhs were constructed. Category wise details of projects implemented are shown in Table No.80.

3. Badokhar Khurd Kshetra Panchayat

Badokhar Khurd Kshetra Panchayat has received and amount of Rs. 87.87 lakhs and the expenditure is Rs. 86.55 lakhs. It shows out that 98.50 per cent of the amount has been utilized. The details of funds received and expenditure are given in Table No.79. With the BRGF funds the Panchayat has constructed 7 roads, one bridge, one Panchayat Bhawan and provided additional assistance for 32 IAY houses.

Table No.79: Details of Receipt & Expenditure under BRGF by Badokhar Khurd Kshetra Panchayat, Banda District

Year	Receipt(Rs. in lakhs)	Expenditure(Rs. in lakhs)
2009-10	14.65	13.62
2010-11	-	0.14
2011-12	15.50	15.25
2012-13	38.00	14.64
2013-14	19.72	31.42
2014-15	-	8.62
2015-16	-	2.86
Total	87.87	86.55

Source: Information Furnished by Badokhar Khurd Kshetra Panchayat, Banda District

Table No. 80: Category wise Projects Implemented in the Badokhar Khurd Kshetra Panchayat, Banda District

Category of Works	Number of Works	Expenditure(Rs.in lakhs)
CC Road	7	57.00
Resource Centre		
Bridges	1	15.25
Assistances to IAY Houses	32	11.30
Panchayat Bhavan	1	3.00
Total	41	86.55

Source: Information Provided by Badokhar Khurd Kshetra Panchayat, Banda District.

In Badokhar Khurd Kshetra Panchayat, four Gram Panchayats, (i.)Chathihara, (ii,) Hathaira, (iii)Duredi, and.(iv.) Tindwari has been selected for detailed field verification. Funds received by the four Gram Panchayats and its expenditure are given in Table No.81

Table No. 81: Receipt and Expenditure of four Gram Panchayat at Badokhar Khurd Kshetra Panchayat, Banda District

Name of the GP	Year	Receipt (Rs. in lakhs)	Expenditure (Rs. in lakhs)
Chatihara	2012-13	15.00	15.00
Hathaira	2012-13	15.00	15.00
Duredi	2012-13	3.00	3.00
Tindwari	2012-13	15.00	15.00

Source: Information Provided by the four Selected Gram Panchayats from Badokhar Khurd Kshetra Panchayat, Banda District

Chatihara Gram Panchayat has constructed one bridge at a cost of Rs. 15.00 lakhs .Hathaira Gram Panchayat constructed one retaining wall for a road by spending Rs. 15.00 lakhs. Three lakhs was spent by Duredi Gram Panchayat towards the construction of a CC Road. Tinduwari Gram Panchayat has constructed drain and culvert with an amount of Rs. 15.00 lakhs. All the assets seen are in good condition and are fully utilized by the people.

4. Nagar Palika Parishad, Banda

Banda Nagar Palika Parishad has an area of 20sq.km with a population of 1.60 lakhs of which 0.85 lakhs are male and 0.75 lakhs are female. Scheduled Caste population is 0.19 lakhs of which 0.10 lakhs are male and 0.09 lakhs are female. There are 28 wards and 0.29 lakhs households in the Nagar Palika. The general population has a literacy rate of 72.49 per cent of which 77.71 per cent are male and 66.56 per cent are female.

Banda Nagar Palika had received an amount of Rs.118.2 lakhs during the year 2008-09. It had constructed two drainage systems in the Nagar Palika area and utilized the full amount. Both the projects are medium in size and the average cost per project is seen as Rs.59.10 lakhs. Details of fund received and expenditure are given in Table No.82. Though the project is of 2008-09 and 2012-13 both the work had started in the year 2014. One work was completed in June 2014 and the other in January 2015. The drainage is covered with concrete slab and transportation is possible at road interceptions. The work had helped people from mosquitoes and foul smell of the drainage. The Drainage is with sufficient width (1.5 meters) so that water is flowing freely. Category wise projects implemented are provided in Table No.83.

Table No: 82: Receipt and Expenditure of Funds under BRGF, Banda Nagar Palika , Banda District.

Year	Project Name	Receipt (Rs. in lakhs)	Actual Expenditure (Rs. in lakhs)	Status of the Work
2008-09	Swaraj Colony Chilla Road to Jail Road Drainage Construction	52.50	52.50	Completed
2012-13	From Kyotra Junction in Mahoba Road Highway Bridge Drainage Work	65.70	65.70	Completed
	Total	118.20	118.20	

Source: Information Provided by Banda Nagar Palika, Banda District

Table No. 83: Category wise Projects Implemented by Banda Nagar Palika Banda District

Category of Works	Number of Works	Expenditure(Rs.in lakhs)
CC Road	1	52.50
Drainage	1	65.70
Total	2	118.20

Source: Information Provided by Banda Nagar Palika , Banda District.

5. Attra Nagar Palika, Banda District

Nagar Palika Parishad, Attra has an area of 10sq.km with a total population of 0.47 lakhs of which 0.25 lakhs are Male and 0.22 lakhs are Female. Scheduled Caste population is 0.10 lakhs of which 5,471 are male and 4,974 are female. Scheduled Tribe population is 80 of which 42 are male and 38 are female. The Nagar Palika Parishad has 25 divisions and 8618 households.

Nagar Palika of Attra had received Rs.215.81 lakhs under BRGF. The Attra Nagar Palika had taken up and completed 11 projects and utilized the full amount. The average cost per project is 19.62 lakhs. Details of fund receipt and expenditure is in Table No.84, year details of projects completed in Table No.85 and category wise projects are provided in Table No.86

The verification team has seen 5 assets completed under BRGF. Details of which are given in Table No.87. The assets are seen in good quality condition and are useful for

mitigating the backwardness in the respective areas. It was reflected by the community in the FGDs.

Table No.84: Details of Amount(Receipt & Expenditure) under BRGF in Attra Nagar Palika , Banda (Rs. In lakhs)

Item	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
Receipt (Rs.107.80 lakhs)	-	41.94	12.90	-	-	38.98	13.98
Expenditure(Rs.107.80 lakhs)	-	41.94	12.90	-	-	38.98	13.98

Source: Information Provided by the Attra Nagar Palika, Banda District

Table No.85: Year Wise List of Projects under taken by Attra Nagar Palika, Banda District

Category	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
Roads (Total Number 9)	-	5	-	-	4	-	-
Drainage(Total Number 1)	-	-	-	-	1	-	-
Cremation Shed (Total Number 1)	-	-	-	-	1	-	-

Source: Information Provided by the Attra Nagar Palika, Banda District

Table No. 86: Category wise Projects Implemented by Attra Nagar Palika Banda District

Category of Works	Number of Works	Expenditure(Rs.in lakhs)
CC Road	1	52.50
Drainage	1	42.10
Cremation	1	11.92
Total	3	106.52

Source: Information Provided by Attra Nagar Palika, Banda District.

Table No. 87: Assets Verified in Attra Nagar Palika, Banda District

Sl.No	Asset Details	Estimate(Rs. in lakhs)	Actual Expenditure(Rs. in lakhs)
1	CC Road (Ward No.5)	6.24	6.24
2	CC Road (Ward No.16)	5.50	5.50
3	Cremation Shed and Approach Road (Ward No.10)	11.92	11.92
4	CC Road (Ward No.15)	21.92	21.13
5	Road (Brick Soling)	11.46	11.46

Source: Information Provided by the Attra Nagar Palika, Banda District & Field Survey

CHAPTER 2

Major Findings

Here, thirteen thematic areas have been discussed in detail. Since thematic areas are different in its objectives, methodology and data, separate attention for each one is given.

2.1. Involvement of Grassroots Level local Governments in Planning

2.1.1. Introduction

Redressal of regional imbalances in development through adequate financial and technical assistance and the utilization of the possibilities of convergence with existing flagship programmes was the aim of the BRGF. Strengthening participatory development planning process through the involvement of Local Governments at the grass roots level was another objective. A programme for capacity buildings to the elected functionaries and the implementing officials was another component for strengthening the PRIs and ULBs in the process of decentralized planning.

2.1.2. Objectives

To evaluate the extent of involvement of grassroots level Local Governments in planning

2.1.3. Methodology

Separate sets of questionnaire approved by the MoPR were used to collect information from the PRIs and ULBs. Interactions with the elected functionaries and implementing officers were made to extract information on the steps followed in local planning with reference to the implementation of BRGF. Verification of plan documents, Panchayat/ULBs records, project files and audit reports were done. Focus Group Discussions (FGDs) with the stakeholders, often a cross section of society, was another tool applied to collect data and to substantiate the information from the elected functionaries and implementing officers.

2.1.4. Presentation and Discussion of Data

The Parameters Observed in the Process of Planning are Detailed in Table No.2.1.1.

Table No. 2.1.1: Details of the Involvement of Gram/ Ward Sabha in the Planning and Implementation of Schemes under BRGF in the Four Districts Verified.

Sl. No	Parameters	Gorakhpur				Etah				Banda				Raibareilly				Grand Total	%	Grand Total	%
		No of GPs (N=12)	%	No of Nagar Palika (N=2)	%	No of GPs (N=12)	%	No of Nagar Palika (N=2)	%	No of GPs (N=12)	%	No of Nagar Palika (N=2)	%	No of GPs (N=12)	%	No of Nagar Palika (N=2)	%	GP	%	ULB	%
1	Identification of Felt Needs in the Gram/ Ward Sabha	5	41.66	2	100	4	33.33	1	50	6	50	2	100	4	33.33	2	100	19	39.58	7	87.5
2	Prioritization of Schemes by Gram/ Ward Sabha	2	16.66	1	50	1	8.33	1	50	2	16.66	1	50	3	25	1	50	8	16.66	4	50
3	Approval of Action Plan in the Gram/Ward Sabha	11	91.66	1	50	4	33.33	1	50	12	100	2	50	12	100	2	100	39	81.25	6	75
4	Conducted Baseline Surveys for the Preparation of Plans under BRGF	0	0	0	0	0	0	0	0	0	0	0	0	9	75	0	0	9	18.75	0	0
5	Consolidation of data collected in the Baseline	0	0	0	0	0	0	0	0	0	0	0	0	9	75	0	0	9	18.75	0	0

	Survey																				
6	Convened Special Gram/Ward Sabha for the implementation of BRGF	1	8.33	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	2.08	0	0
7	Social audit of BRGF	0	0	0	0	0	0	0	0	0	0	0	0	2	16.66	2	100	2	4.16	2	25
8	Gram Panchayat/ Nagar Palika having Ward/Mahila Sabha	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Source: Information Collected from Gram Panchayats & Nagar Palikas

Table No.2.1.2. Reflection from the FGDs on Planning in the 4 Selected Districts.

Sl.No	Parameters		Gorakhpur		Etah		Banda		Raibareilly	
		Response	No of Participants (N=56)	Percentage	No of Participants (N=69)	Percentage	No of Participants (N=48)	Percentage	No of Participants (N=64)	Percentage
1	Suggested Works in Gram Sabha	Yes	22	39.29	50	72.46	37	77.08	30	46.87
		No	34	60.71	19	27.54	11	22.92	34	53.12
2	Associated with preparation of Action Plans	Yes	0	0	2	2.90	6	12.50	6	9.37
		No	565	100	67	97.10	42	87.50	58	90.62
3	Social Audit conducted	Yes	0	0	6	8.70	3	6.25	7	10.93
		No	56	100	63	91.30	45	93.75	57	89.06

*One asset is not completed, work is progress

Source: Information Collected from the Focus Group Discussions (FGDs).

Table No. 2.1.3. Details of Release of Funds and Utilization Report (BRGF)

SI No	District	2006-07		2007-08		2008-09		2009-10		2010-11	
		Funds released (In crores)	Utilization Reported	Funds Released (In crores)	Utilization Reported (In crores)	Funds Released (In crores)	Utilization Reported (In crores)	Funds Released (In crores)	Utilization Reported (In crores)	Funds Released (In crores)	Utilization Reported (In crores)
1.	Ambedkar Nagar	0.00	0.00	0.10	0.10	14.52	14.52	6.27	6.27	26.01	26.01
2.	Azamgarh	0.00	0.00	0.10	0.10	19.36	19.36	21.51	21.51	21.51	21.51
3.	Badaun	0.00	0.00	0.10	0.10	18.38	18.38	20.42	20.42	20.42	20.42
4.	Bahraich	0.00	0.00	0.10	0.10	16.47	16.47	18.30	18.30	18.30	18.30
5.	Balrampur	0.00	0.00	0.10	0.10	14.45	14.45	16.06	16.06	16.06	16.06
6.	Banda	0.00	0.00	0.10	0.10	14.88	14.88	11.35	11.35	21.71	21.71
7.	Barakanki	0.00	0.00	0.10	0.10	17.10	17.10	13.66	13.66	24.34	24.34
8.	Basti	0.00	0.00	0.10	0.10	14.91	14.91	16.57	16.57	16.57	16.57
9.	Chandauli	0.00	0.00	0.10	0.10	13.87	13.87	15.42	15.42	15.42	15.42
10.	Chitrakoot	0.00	0.00	0.10	0.10	12.43	12.43	11.06	11.06	16.56	16.56
11.	Etah	0.00	0.00	0.10	0.10	17.36	17.36	19.29	19.29	19.29	19.29
12.	Farukhabad	0.00	0.00	0.10	0.10	13.52	13.52	15.02	15.02	15.02	15.02
13.	Fatehpur	0.00	0.00	0.10	0.10	16.20	16.20	18.00	18.00	18.00	18.00
14.	Gonda	0.00	0.00	0.10	0.10	17.04	17.04	18.94	18.94	18.94	18.94
15.	Gorakhpur	0.00	0.00	0.10	0.10	18.67	18.67	20.75	20.75	20.75	20.75
16.	Hamirpur	0.00	0.00	0.10	0.10	13.70	13.70	15.23	15.23	15.23	15.23
17.	Hardoi	0.00	0.00	0.10	0.10	19.54	19.54	12.81	12.81	26.06	26.06
18.	Jalaun	0.00	0.00	0.10	0.10	14.72	14.72	11.59	11.59	21.13	21.13
19.	Jaunpur	0.00	0.00	0.10	0.10	19.38	19.38	21.54	21.54	21.54	21.54
20.	Kashganj	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
21.	Kaushambi	0.00	0.00	0.10	0.10	12.84	12.84	14.27	14.27	14.27	14.27
22.	Kushinagar	0.00	0.00	0.10	0.10	16.62	16.62	18.47	18.47	18.47	18.47
23.	Lakhimpurkhiri	0.00	0.00	0.10	0.10	20.19	20.19	22.43	22.43	22.43	22.43
24.	Lalitpur	0.00	0.00	0.10	0.10	14.04	14.04	13.88	13.88	17.32	17.32
25.	Maharajganj	0.00	0.00	0.10	0.10	15.12	15.12	16.88	16.88	16.88	16.88
26.	Mahoba	0.00	0.00	0.10	0.10	12.17	12.17	9.58	9.58	17.48	17.48
27.	Mirzapur	0.00	0.00	0.10	0.10	16.03	16.03	17.81	17.81	17.81	17.81
28.	Pratapgarh	0.00	0.00	0.10	0.10	16.79	16.79	18.66	18.66	18.66	18.66
29.	Raibareilly	0.00	0.00	0.10	0.10	17.63	17.63	19.59	19.59	19.59	19.59
30.	Sant Kabir Nagar	0.00	0.00	0.10	0.10	12.86	12.86	14.29	14.29	14.29	14.29

1.	Shrawasti	0.00	0.00	0.10	0.10	12.90	12.90	14.34	14.34	14.34	14.34
2.	Sidharth Nagar	0.00	0.00	0.10	0.10	14.86	14.86	16.51	16.51	16.51	16.51
3.	Sitapur	0.00	0.00	0.10	0.10	19.86	19.86	22.07	22.07	22.07	22.07
4.	Sonbhadra	0.00	0.00	0.10	0.10	16.08	16.08	17.87	17.87	17.87	17.87
5.	Unnao	0.00	0.00	0.10	0.10	17.25	17.25	19.17	19.17	19.17	19.17
Total Development Grant (DG)		0.00	0.00	3.40	3.40	541.74	541.74	559.61	559.61	640.02	640.02
Capacity Building(CB)		0.00	0.00	25.30	25.30	0.00	0.00	20.26	20.26	28.07	19.80
Grand Total (DG+CB)		0.00	0.00	28.70	28.70	541.74	541.74	579.87	579.87	668.09	659.82

Source: Information Provided by SPMU (BRGF), Government of UP

Table No. 2.1.4. Details of Release of Funds and Utilization Report (BRGF)

Sl. No	District	2011-12		2012-13		2013-14		2014-15		Total		
		Funds Released (In crores)	Utilization Reported (In crores)	Funds Released (In crores)	Utilization Reported (In crores)	Funds Released (In crores)	Utilization Reported (In crores)	Funds Released (In crores)	Utilization Reported (In crores)	Funds Released (In crores)	Utilization Reported (In crores)	Unspent Balance (In crores)
1.	Ambedkar Nagar	17.39	17.39	0.00	0.00	10.00	10.00	0.00	0.00	74.29	74.29	0.00
2.	Azamgarh	11.16	11.16	11.83	11.83	18.07	18.07	18.51	10.83	122.05	114.37	7.68
3.	Badaun	16.89	16.89	12.12	12.12	20.61	20.61	20.19	20.19	129.13	129.13	0.00
4.	Bahraich	19.98	19.98	0.00	0.00	0.00	0.00	0.00	0.00	73.15	73.15	0.00
5.	Balrampur	14.42	14.42	10.12	10.12	14.09	14.09	0.00	0.00	85.30	85.30	0.00
6.	Banda	4.91	4.91	8.57	7.50	0.00	0.00	16.72	0.00	78.24	60.45	17.79
7.	Barakanki	18.44	18.44	10.45	10.45	0.00	0.00	17.70	16.25	101.79	100.34	1.45
8.	Basti	14.73	14.73	0.00	0.00	0.00	0.00	16.70	16.70	79.58	79.58	0.00
9.	Chandauli	16.52	16.52	5.90	5.90	0.00	0.00	16.05	16.05	83.28	83.28	0.00
10.	Chitrakoot	8.38	8.38	0.00	0.00	13.58	13.58	0.00	0.00	62.11	62.11	0.00
11.	Etah	21.17	21.17	0.00	0.00	17.69	17.69	15.96	15.96	110.86	110.86	0.00
12.	Farukhabad	10.05	10.05	5.98	5.98	0.00	0.00	15.97	15.97	75.66	75.66	0.00
13.	Fatehpur	17.45	17.45	5.01	5.01	11.13	7.43	0.00	0.00	85.89	82.19	3.70
14.	Gonda	20.74	20.74	9.39	9.39	18.04	18.04	19.02	19.02	122.21	122.21	0.00
15.	Gorakhpur	20.63	20.63	19.28	19.28	0.00	0.00	18.55	18.55	118.73	118.73	0.00
16.	Hamirpur	4.60	4.60	0.00	0.00	0.00	0.00	0.00	0.00	48.86	48.86	0.00
17.	Hardoi	24.07	24.07	7.79	7.79	0.00	0.00	0.00	0.00	90.37	90.37	0.00
18.	Jalaun	17.64	17.64	0.00	0.00	16.18	16.18	15.62	15.62	96.98	96.98	0.00

19.	Jaunpur	18.06	17.36	0.00	0.00	0.00	0.00	22.90	0.00	103.52	79.92	23.60
20.	Kashganj	0.00	0.00	10.49	10.49	0.00	0.00	14.36	12.83	24.85	23.32	1.53
21.	Kaushambi	15.13	15.13	4.28	0.73	0.00	0.00	0.00	0.00	60.89	57.34	3.55
22.	Kushinagar	20.18	20.18	0.00	0.00	23.36	20.03	0.00	0.00	97.20	93.87	3.33
23.	Lakhimpurkhiri	24.94	24.94	7.60	7.60	19.15	12.78	0.00	0.00	116.84	110.47	6.37
24.	Lalitpur	16.74	16.74	8.97	4.15	0.00	0.00	0.00	0.00	71.05	66.23	4.82
25.	Maharajganj	7.79	7.79	13.19	13.19	12.76	12.76	14.99	14.99	97.71	97.71	0.00
26.	Mahoba	1.52	1.52	0.00	0.00	14.20	14.20	0.00	0.00	55.05	55.05	0.00
27.	Mirzapur	9.48	9.48	9.91	9.91	18.79	18.79	18.11	17.03	108.04	106.96	1.08
28.	Pratapgarh	14.56	14.56	0.00	0.00	10.00	3.36	0.00	0.00	78.77	72.13	6.64
29.	Raibareilly	18.90	18.90	6.52	5.15	0.00	0.00	19.28	0.00	101.61	80.96	20.65
30.	Sant Kabir Nagar	8.95	8.95	0.00	0.00	11.52	5.50	0.00	0.00	62.01	55.99	6.02
31.	Shrawasti	15.22	15.22	7.94	7.94	5.78	5.78	10.83	3.57	81.45	74.19	7.26
32.	Sidharth Nagar	15.75	15.75	0.00	0.00	0.00	0.00	17.72	17.72	81.45	81.45	0.00
33.	Sitapur	21.72	21.72	15.49	15.49	0.00	0.00	0.00	0.00	101.31	101.31	0.00
34.	Sonbhadra	19.47	19.47	0.00	0.00	18.40	18.40	18.08	18.08	107.87	107.87	0.00
35.	Unnao	21.02	21.02	16.82	16.82	0.00	0.00	19.60	19.60	113.13	113.13	0.00
Total Development Grant (DG)		528.60	527.90	207.65	196.84	273.35	247.29	346.86	268.96	3101.23	2985.76	115.47
Capacity Building(CB)		12.21	0.00	0.00	0.00	0.00	0.00	0.00	0.00	85.84	65.36	20.48
Grand Total (DG+CB)		540.81	527.90	207.65	196.84	273.35	247.29	346.86	268.96	3187.07	3051.12	135.95

Source: Information Provided by SPMU (BRGF), Government of UP

(i) Identification of Felt Needs

Creation of environment for the implementation of the scheme and the situation analysis was done at the official level. It is observed that the size of Gram Panchayat of the State is comparatively small. Hence, none of them is having Ward Sabha/Mahila Sabha below the general Gram Sabha convened at the Panchayat level. Out of the 48 Gram Panchayats and eight Nagar Palikas verified 19 Gram Panchayats and seven Nagar Palikas have claimed to have identified the felt needs in the Gram/Ward Sabha meeting. The overall percentage of the felt needs assessment at the PRIs and ULBs level workout to 39.58 per cent and 87.5 per cent each respectively (Table No.2.1.1). Out of the 237 stakeholders participated in the focus group discussions 139 have agreed that they have made suggestions for development works in the Gram/Ward Sabha (Table No.2.1.2)

The base line survey prescribed for the need assessment was not seen done in a majority of PRIs and ULBs. Only nine Gram Panchayat in Raibareilly District have claimed to have conducted the survey and consolidated the data collected. Hence the percentage of survey and consolidation of data works out only up to 18.75 per cent (Table No.2.1.1)

(ii) Prioritization of Scheme in Gram/Ward Sabha

Out of 48 Gram Panchayats eight have claimed to have prioritized the scheme in Gram Sabha and four out of eight Nagar Palikas have also prioritized the scheme in Ward Sabha. The percentage of participation works out to 16.66 and 50.00 each respectively (Table No.2.1.1). However, the proceedings of the discussion were not made available for verification.

(iii) Preparation and Approval of Plans

Technical assistance for the preparation of Gram Panchayat plans were provided by the Engineering Wing of the Kshetra Panchayat. During the field work, 39 Gram Panchayats and 6 Nagar Palikas have claimed that the annual action plans were presented in the Gram/Ward Sabha (Table No.2.1.1). It is observed that no perspective plans were prepared. The percentage of PRIs and ULBs having action plans approved in the

Gram/Ward Sabha works out to 81.25 and 75.00 each respectively (Table No.2.1.1). Only 14 out of 237 stakeholders have associated with the preparation of action plan (Table No.2.1.2). Action Plans of Gram Panchayats compiled by the Kshetra Panchayats are forwarded to the District Planning Committee (DPC) through the District Panchayat. After having approved in the DPC, funds are released by the *Appar Mukhya Adhikari* (AMA) on the Administrative Sanction (AS) issued by the District Magistrate (District Collector). Work plans and estimates are prepared by the Rural Engineering Service (RES) of the District Panchayat and Kshetra Panchayats. Further actions on the projects are left to the implementing agencies.

During the interaction with the elected functionaries and officials it was revealed that joint meetings of the Kshetra Panchayat and Village Pradhans were convened for the identification of felt needs. DPC members and District Panchayat members representing the area are also invited to the joint sittings. Proposals raised in such meeting were compiled by the '*Vikas Khand Adhikari*' (BDO) and forwarded to the District Planning Committee through the District Panchayat.

Central financial assistance under BRGF against the plans prepared by the District against general and SC/ST components are released from the provisions under (i) Development Grant and (ii) Capacity Building Funds.

It is observed that out of Rs.3101.23 crores allocated under Development Grant Rs.2985.76 crores was utilized with an unspent balance of Rs.115.47 crores. An amount of Rs.65.36 crores has been incurred under capacity building from the allocation of Rs.85.84 crores leaving a balance of Rs.20.48 crores (Table No.2.1.4).

Funds are transferred to the PRIs, Nagar Palikas and other implementing entities of the programme within 15 days. Funds are transferred to the joint accounts maintained by the AMA and the Accountant of District Panchayat. After passing the projects by the District Planning Committee (DPC), the District Magistrate (DM) issues Administrative Sanction (AS) and AMA transfers funds to the joint accounts maintained by the PRIs and

ULBs. The Districts were given freedom to appoint Technical Supporting Institutions (TSIs) for decentralized planning exercise. A limited number of Districts are seen appointed TSIs in the State. The services of TSIs were not availed in the four selected districts. Release of funds was made subject to the allocation among the three tiers of the PRIs and ULBs are given in Table No.2.1.5.

Table No.2.1.5: Percentage of Funds Allotted to PRIs & ULBs

SI No	ULBs and Tier of the PRIs	% of Allocation
1	PRIs	80
	Gram Panchayat	56
	Kshetra Panchayat	8
	District Panchayat	16
2	Nagar Panchayat /Nagar Palika	20
	Total	100

Source : Information Provided by State Officials

Hence, Panchayats are aware of the resource envelope and plans and prioritization were made accordingly. But the percentage in the distribution fixed for each tier is not seen followed strictly. District Panchayats having 16 per cent and the Kshetra Panchayats having 8 per cent of the allocation have implemented the major share of works. Gram Panchayat Pradhans having power and influence have bagged more schemes while some other GPs were left without any projects.

(iv) Social Audit

Out of the 48 Gram Panchayats verified, only two have claimed to have conducted social audit. Two Nagar Palikas in Raibareilly district have claimed to have conducted social audit of the scheme. Hence, the percentage of social audit works out to 4.16 per cent in the PRIs and 25 per cent in Nagar Palikas (Table No.2.1.1).

2.1.5. Conclusion

It is observed that the guidelines for the implementation of the scheme were not followed strictly. Tools for participatory planning were not given emphasis so as to strengthen the local governments in the planning exercise. However, attempts are seen made in few places to initiate decentralized planning. The concept of social audit was not institutionalized in the implementation of the schemes. Awareness generation among the elected functionaries and officials is seen done effectively. Assessment of felt needs, prioritization etc. is familiar to them through the implementation of the scheme.

2.2. District Plans

2.2.1. Introduction

Promoting decentralized planning at the grassroots level was one among the objectives of the scheme. Identification of local needs, prioritization, implementation and monitoring was to be undertaken as per provisions contained in Article 243 G of the Constitution. The plans prepared by the PRIs and ULBs were to be consolidated to a 'District Plan' by the District Planning Committee (DPC). Provisions were incorporated in the guidelines for appointing Technical Supporting Institutions (TSIs) at the district level. The aim of drafting a district plan was to integrate all the resources available for addressing the development gaps identified.

2.2.2. Objectives

To assess the quality of district plans w.r.t BRGF guidelines, reasons for short comings / deficiencies assess efforts made towards capacity building, planning processes and role of TSIs etc.

2.2.3. Methodology

Detailed questionnaire was distributed among the PRIs and ULBs for providing information relating to the preparation of District Plans, attempts made for capacity building and the process of Planning under the scheme. A separate set of questions were

placed before the DPC for capturing the role of the institution in the formulation of the district plan. Interactions with the elected functionaries of the PRIs, ULBs and the implementing officers were also done. Discussions with stakeholders regarding the steps and the process adopted for the formulation of the district plan were also scheduled.

2.2.4. Presentation and Discussion of Data

The status of districts on the preparation of the district plans under the scheme is shown in Table No 2.2.1. Out of the four districts selected for verification it is observed that none of them has made attempts to consolidate the plans prepared by the PRIs and ULBs within the their jurisdiction .Only ‘Annual Action Plans’ are seen prepared on the demands from the lower tiers .Moreover, perspective plans under the scheme are not seen formulated in any of the districts verified (Table No.2.2.1). The interactions with the elected functionaries and the implementing officers have revealed that none of them has internalized the concept of perspective plans. The compiled action plans presented for the verification was claimed to be the perspective plan of the district concerned. Absence of an effective module relating to the preparation of the district perspective plan and the absence of the TSIs for providing assistance lead to the present scenario. The DPC is seen given little attention in the preparation of the district plan as visualized in the scheme guidelines.

Table No 2.2.1: Status of Districts Prepared District Plans under BRGF in the 4 Districts Verified

Sl No	Name of the Districts	Whether the District has Perspective Plan	Whether the District has Annual Plan	Whether the District has Consolidated Plans of PRIs/ ULBs
1	Gorakhpur	Nil	Yes	No
2	Etah	Nil	Yes	No
3	Banda	Nil	Yes	No
4	Raibareilly	Nil	Yes	No

Source: Questionnaire and Field Data.

Attempts for Capacity Building are seen observed in the State. The State Institute of Rural Development (SIRD) and institutions selected have imparted training to the elected

functionaries and officials. The details of training imparted are shown in Table No.2.2.2. It is observed that only the elected functionaries and the officials of the Village Panchayats and Kshetra Panchayats were provided training under the programme. The elected functionaries and the officials of the District Panchayats, ULBs, DPCs, TSIs and NGOs / CBOs were not covered in the programmes meant for capacity building. The contributions from the trained representatives of the vulnerable groups was practically nil in the preparation of the district plans. The composition of the groups trained under the scheme give an inference that the potential groups were placed out of the orbits of the training. It also gives an impression that the training programmes were designed only for the implementation of the projects at the grassroots level. The institutions selected for imparting training are seen sidelined the SIRD in the process of capacity building.

Table No.2.2.2. Details of Training Imparted under BRGF

Financial Year	ERs of the Village Panchayat (Nos)	ERs of the Kshetra Panchayat (Nos)	ERs of the Zilla Parishad (Nos)	ERs of ULRs (Nos)	Members of DPC (Nos)	Officials of PRIs & ULRs (Nos)	TSIs	Members of vulnerable Groups (Nos)	NGOs /CBOs (Nos)
2009-10	33431	1359	-	-	-	656	-	61051	-
2010-11	11904	-	-	-	-	1125	-	49233	-
2011-12	21874	-	-	-	-	1378	-	109457	-

Source: Information Provided by the SPMU (BRGF), Govt. of U.P

2.2.5. Conclusion

It is observed that certain level of attempts were made for the creation of environment , situation analysis, assessment and prioritization of felt needs , preparation of annual action plans etc. However, in majority of cases, the entire process was done in the joint sittings of the members of the Kshetra Panchayats, Pradhans of the Gram Panchayats and the members of the District Panchayat representing the area. Elected functionaries of the Gram Panchayats claimed that the regular contact with the local citizen enables them to identify the felt needs of each area. The democratic content for the participatory planning process was openly curtailed by the vested interest of certain equations. Instead of preparing the perspective plans for a period of five years, only annual action plans are

seen prepared at each level. Provisions for engaging Technical Supporting Institutions (TSIs) were not utilized. Hence a baseline survey for identifying the indicators measuring the level of backwardness at each area was not done. The annual plan document prepared was nothing but a compilation of proposals from the lower tiers. Moreover, the integration of resources available ensuring convergence with the other flagship programmes was not materialized. The District Planning Committee (DPCs) was acting only for the approval of annual action plans. Absence of a comprehensive district plan was visible in the four selected districts.

2.3. Institutional Structure

2.3.1. Introduction

Institutional structures are vital for the adequacy of the monitoring mechanism. A well knitted monitoring and review system is the basis for the successful implementation of any programme .Since the very inception of the scheme, the Ministry of Panchayati Raj (MoPR) had envisaged the importance of institutional structures. It was evident from the provisions of the guidelines of the scheme, directions, orders and letters from the MoPR. Institutional structure is a critical factor to strengthen the planning capacity of the PRIs and ULBs. Planning under BRGF is a multilevel exercise and therefore institutional structures and its support is a prerequisite at all the levels of the planning units. Two different set of institutional structures (mandated by of the provisions Constitution and parastatal) are placed to maintain the quality of programme management including review systems at State and sub State levels. Here, an attempt is made to review the institutional structure and its efficacy in the domain of the programme management.

2.3.2. Objectives

(i)To review the institutional structure and quality of programme management including review systems at State and District levels and adequacy of the monitoring mechanism.

2.3.3. Methodology

Questions relating to the formation , powers, the role in the implementation process and the staff support of different institutional structures were included in the check list and interview format (both formal and informal) for the collection of data. Interactions with the elected functionaries and officials were conducted to understand the operational dynamics of the institutional structures .Verification of records relating to the Higher Power Committee (HPC), Programme Management Units (PMUs) at the State, District and Intermediate levels were done.

2.3.4. Presentation and Discussion of Data

a. High Power Committee (HPC)

Execution of the programme in the State was monitored by committees and programme management units constituted at the State and district levels. Allocation and release of funds from the State to the districts, from the districts to the lower tiers, monitoring the implementation of projects etc. were entrusted with the Programme Management Unit (PMU) constituted at the State, District and Intermediate Panchayat level. The general co-ordination of the programme at the State level was vested with the High Power Committee (HPC) constituted at the State level. The structure of the HPC is given in Table No. 2.3.1.

Table No.2.3.1: Structure of the High Power Committee (HPC) for BRGF

SL.No	Designation	Position
1	Chief Secretary	Chairman
2	Agricultural Production Commissioner	Vice Chairman
3	Principal Secretary (Panchayati Raj)	Member Secretary
4	Principal Secretary (Planning)	Member
5	Principal Secretary (Finance)	Member
6	Principal Secretary (Rural Development)	Member
7	Principal Secretary (Urban Development)	Member
8	Director, Panchayati Raj	Member
9	Director, Accounts (Panchayati Raj)	Member
10	Project Director	Member

Source: Information Provided by the SPMU, Government of UP.

The High Power Committee chaired by the Chief Secretary was the final authority for the approval of the project proposals forwarded by the District Planning Committees (DPCs). It was also powerful to send back the proposals with directions for improvisation and re submission. Appointment of implementing agencies, periodical reviews on work progress were also done by the HPC. During the initial years, the approval of plans forwarded by the DPCs and appointment of working agencies were also done by the HPC. The process of approval by the HPC was found time consuming and often resulted in the delay for implementation. However, it was revealed that the projects forwarded by Gorakhpur, Etah, Banda and Raibareilly were not delayed at the HPC level.

b. State Programme Management Unit (SPMU)

State Programme Management Unit (SPMU) was another State level body constituted to monitor the projects implemented under the scheme. The structure of the State Programme Management unit (SPMU) is given in Table No.2.3.2.

Table No.2.3.2: Structure of the State Programme Management Unit (SPMU)

Sl.No	Designation	Position/Appointment
1	Principal Secretary (Panchayati Raj)	Chairman
2	Project Director	Director, Panchayati Raj
3	Treasurer	Director of Accounts,(Panchayati Raj)
4	Deputy Project Director(1)	Full Additional Charge
5	Deputy Project Director(2)	Full Additional Charge
6	Clerk	Out Sourcing
7	M.E. Consultant	Out Sourcing
8	Accounts Officer	Out Sourcing
9	Computer Operator	Out Sourcing
10	Group ‘ D’ staff	Out Sourcing

Source: Information Provided by the SPMU, Government of UP.

The Principal Secretary (Panchayati Raj) who was also the Member Secretary of the High Power Committee was the Chairman of the State Programme Management Unit (SPMU). The SPMU was co-ordinating the implementation of BRGF including capacity building and implementation of projects at the different levels of PRIs and ULBs. The projects

implemented under BRGF in the four Districts were monitored by the SPMU. The SPMU of the State had been functional up to 30 June 2017. “The request for extension is pending with the Government”, shared Sri. B.K Singh Chouhan, Deputy Project Director during the field work. The extension is requested for the settlement and closing of accounts pending with some districts.

c. District Programme Management Unit (DPMU)

District Programme Management Unit (DPMU) was constituted in the 35 BRGF Districts. The structure of a District Programme Management Unit (DPMU) is shown in Table No.2.3.3.

Table No. 2.3.3: Structure of District Programme Management Unit (DPMU) under BRGF

Sl.No	Designation	Position
1	District Magistrate	Chairman
2	Chief Development Officer	Vice – Chairman
3	AMA – Zilla Panchayat	Member Secretary
4	Accountant, Zilla Panchayat	Member
5	VPD , Zilla Panchayat	Member
6	Engineer , Zilla Panchayat	Member
7	Executive Engineer (PWD)	Member
8	Executive Engineer (RES)	Member
9	Executive Engineer (<i>Jal Nigam</i>)	Member
10	Member of Working Agency	Member

Source: Information Provided by SPMU, Government of UP.

The District Magistrate (District Collector) was the Chairman of the DPMU and the *Appar Mukhya Adhikari* (AMA), the Member Secretary. Senior Districts level officers, Executive Engineer from all branches and one representative from the working agencies constituted the DPMU. No regular appointments were made for the implementation of the scheme. One Senior Clerk from the regular service and one Computer Operator on contract basis were attending to the file works relating to the scheme. Release and allocation of funds were made through the joint account of the AMA and the Accountant. By the time of field verification, the DPMU had been dissolved. However, all senior

officials on regular appointment were available for interaction in the districts of Gorakhpur, Etah, Banda and Raibareilly. At the Kshetra Panchayat level the BDO, Accountant, members of the PMU at the block level were available for discussion. All contract employees were terminated and regular employees were relieved off their duties with the Programme Management Unit (PMU) at all levels.

No Technical Supporting Institution (TSI) is seen engaged for the implementation of BRGF. Technical assistance including the preparation of plans and estimate and supervision of work was provided by the Rural Engineering Service (RES) associated with the District and Kshetra Panchayats. The Block Development Officers (BDOs) were entrusted with the co-ordination of scheme at the intermediate and Gram Panchayat levels. Allocation for the scheme was credited to the joint bank account of the Panchayat and BDOs through RTGS. The District Planning Committees (DPCs) and the District Rural Development Agencies (DRDAs) have also seen associated with the implementation of the scheme. Technical support to the Gram Panchayat was provided by the engineering wing of the Kshetra Panchayat. The Pradhan and *Sachiv* of the Gram Panchayat trained in the implementation of the scheme played a pivotal role in the basic unit of the institutional structure.

2.3.5. Conclusion

As per the programme guidelines, all the mandatory institutional structures such as HPC, SPMU and DPMUs were placed and serious attention was made for the proper functions of the institutions. These institutions had played a decisive factor in strengthening the planning capacity of the PRIs and ULBs. Planning under BRGF was a multi level exercise and therefore institutional structures and its facilitating role had reinforced the planning units at all the levels. It is also observed that the institutional structures, mandated by the provisions of the Constitution (DPC) and parastatal had created an enabling environment to maintain the quality of programme management including

review systems at State and sub State levels. The institutional structures had succeeded to sustain the efficacy in the domain of the programme management.

2.4. Administrative and Technical Capabilities

2.4.1 Introduction

In order to plan and implement the activities under BRGF, programme management units were constituted at the State, district and Intermediate Panchayat levels. Apart from the programme management units, separate cells were constituted at the district level by deputing one clerk from the regular service and utilizing the service of the computer operator appointed on contract basis.

2.4.2. Objectives

To assess the administrative and technical capabilities of the agencies towards planning and executing various activities

2.4.3. Presentation and Discussion of Data

Table No 2.4.1: Staff Designated for BRGF --District Panchayat

SL No	Name of Post	Sanctioned Strength	Regular/ Contract
1	<i>Appar Mukhya Adhikari (AMA)</i>	1	Regular
2	Ex. Engineer (RES)	1	Regular
3	Junior Engineer (RES)	4	Regular
4	Accountant	1	Regular
5	Administrative Officer (AO)	1	Regular
6	Clerk	4	Regular
7	Computer Operator	1	Contract
8	Peon/ Cleaner	4	Contract
9	Driver	1	Regular

Source: Data Provided by the District Panchayats

Table No2.4.2: Staff Designated for BRGF– Kshetra Panchayat

SL No	Name of Post	Sanctioned Strength	Regular /Contract
1	<i>Vikas Khand Adhikari</i> (BDO)	1	Regular
2	Assistant Development Officer	4	Regular
3	Junior/ Asst. Engineer	2	Regular
4	Technical Assistant	7	Contract
5	<i>Gram Vikas Adhikari</i>	10	Regular
6	<i>Gram Panchayat Adhikari</i>	7	Regular
7	Accountant	1	Regular
8	Clerk	2	Regular
9	<i>Rozgar Sahayaks</i>	30	Contract
10	Accountant MGNREGS	1	Contract
11	Computer Operator	1	Contract
12	Tax Collector	2	Contract
13	Driver	1	Regular
14	Peon/ Cleaner	4	Regular

Source: Data Provided by the Kshetra Panchayats

Table No 2.4.3: Staff Position – Gram Panchayat

SL No	Name of Post	Sanctioned Strength	Regular /Contract
1	Panchayat Secretary	1	Regular
2	Cleaner	1	Contract
3	<i>Rozgar Sahayak</i>	1	Contract

Source : Data Provided by the Gram Panchayats

The members of the staff designated for the implementation of the scheme (AMA, Ex. Engineer /Junior Engineer, Accountant, AO and Driver) have also to attend their regular duties. Only the clerical staff (6) placed on working arrangement, computer operator (1) and peon/.cleaner (4) appointed on contract basis were exclusively available for the running of the programme at the district level (Table No.2.4.1). At the Kshetra Panchayat level , the BDO (1), ADO (4), Junior/ Asst. Engineer (2), *Gram Vikas Adhikari* (10),Gram Panchayat Adhikari (7), Accountant (1), Clerk (2) Driver (1) and Peon / Cleaner (4) are the members of the staff in the regular stream. Technical Assistant (7) *Rozgar Sahayak*(30) Accountant MGNREGS (1),Computer Operator (1), appointed on contract basis are also the members of the staff of the Kshetra Panchayat. The services of one

Accountant (1), Clerks(2), Computer Operator (1)and Peon(1) were available for the ministerial assistance for the implementation of the programme at the at the Kshetra Panchayat (Table No.2.4.2). Technical assistance was provided by RES Wing of the Kshetra Panchayat, including junior /Assist Engineer (2) and Technical Assistants (7). Administrative supervision of the programme was done by the *Vikas Khand Adhikari* (BDO) at the Block level. Gram Vikas Adhikari/ Gram Panchayat Adhikari officiating as Panchayat Secretaries had to supervise the implementation at the GP level in five to seven Gram Panchayats . Since the size of the Panchayat of the of the State is comparatively small each Panchayat Secretary was given full additional charge of five to seven Gram Panchayats (Table No.2.4.3). The steps of the decentralized participatory planning was not seen followed in an effective manner .The functioning of the Gram Panchayats is based on the principle of peer group responsibility with the higher tiers rather than the principle of subsidiarity. However, the administrative and technical support provided by the intermediate level, the implementation of the programme at the grassroots level is seen not affected, adversely.The *Appar Mukhya Adhikari* (AMA) is generally the Nodal Officer for the implementation of the scheme. Immediately after the approval of the Action Plan in the DPC, the District Magistrate issues the Administrative Sanction (AS). The Rural Engineering Service (RES) prepares the estimate on which the technical officer (AMA) transfers funds to the joint accounts of (i)BDO and Pramukh (ii) EO and Chairman and (III) *Sachiv* and Pradhan of the Kshetra Panchayats, Nagar Palikas and Gram Panchayats each respectively. Transfer of funds was by way of cheques up to 2012-13 which is being continued by RTGS. The administrative set up for the implementation of the scheme was interlinked through the District Magistrate, *Appar Mukhya Adhikari*, *Vikas Khand Adhikari* (BDO) and the Panchayat Secretary. Members of the District Planning committee (DPC), Zilla Parishad, Kshetra Panchayat and Gram Panchayat are supplementing the administrative side of the programme. The Rural Engineering Service (RES) of the District and Kshetra Panchayats are capable of attending the technical side for the implementation.

2.4.4. Conclusion

No separate posts were created for the implementation of the scheme. Technical Supporting Institutions (TSIs) were engaged in a limited number of other districts earlier. None of the districts verified has appointed Technical Supporting Institutions. The assistance of the CBOs /NGOs was not availed at any stage of the implementation. Provisions for appointing *bare foot engineers* and other staff were equally ignored. The entire process was attended by the existing staff available with the PRIs and ULBs. However, both the administrative and technical staff available with the PRIs and ULBs has proved their capability in the implementation of the scheme, to certain extent.

2.5. Mitigation of Backwardness

2.5.1. Introduction

The main objective of BRGF was to redress the regional imbalances in development and reducing the overall backwardness by providing improved means of social and physical infrastructure. An investment for the creation of valuable and productive assets which promotes the economic activities of the area leads to the mitigation of backwardness. The construction of check dams, tube wells, roads and bridges directly mitigate the backwardness and indirectly promote the economic development whereas the construction of marriage halls, Panchayat Bhawans and resource centres also may be able to address the under development and enhance the welfare of the local community. In this context the projects implemented in the State under BRGF were expected to achieve physical entitlements. The official document of the State claims that the activities taken up in the annual plans by the PRIs and ULBs under the scheme had the potential to mitigate backwardness. Therefore, it would be important to investigate the activities taken up in the annual plans and to see whether the activities are capable to address the backwardness of the project area.

2.5.2. Objectives

To assess whether the activities taken up in the annual plans by the Panchayats/ULBs helped in the mitigation of backwardness

2.5.3. Methodology

The tools used for collecting information were focusing on the nature of scheme, details of assets created, issues addressed, current status and reflections of the local community. Verification of assets, action plans, work files, interaction with the elected functionaries and officials, focus group discussions with the stakeholders were done.

2.5.4. Presentation of Data and Discussion

Table No.2.5.1: Category Wise Details of Works Completed under BRGF- Gorakhpur District (2006-2007 to 2014-2015)

Sl. No	Category of work	Total	Percentage
1	Roads	1128	55.86
2	Bridges	353	17.48
3	Ponds	1	0.04
4	Anganwadi	6	0.29
5	Panchayat Building	84	4.16
6	Approach roads	2	0.09
7	Resource centre	19	0.94
8	Dam	1	0.04
9	Maintenance	16	0.79
10	Drainage	106	5.27
11	Public toilets	7	0.35
12	Boundary wall	194	9.60
13	Veterinary hospital	1	0.04
14	Community centre	1	0.04
15	Solar light	100	4.95
Total		2019	100

Source: Data Provided by the DPMU, Gorakhpur District

**Table. 2.5.2: Category Wise Details of Works Completed under BRGF – Etah District
(2006-2007 to 2014-2015)**

Sl.No	Name of Work	Total	Percentage
1	C.C. Road / Approach Road	823	68.64
2	Culverts / Bridges	27	2.25
3	Panchayat Bhawan	215	17.93
4	Resource Centre	15	1.25
5	Dam/ Check dam	6	0.005
6	Drainage	17	1.41
7	Boundary Wall	21	1.75
8	Veterinary Hospital	1	0
9	Solar light	9	0.75
10	Barat Khar (Marriage Hall)	7	0.58
11	Hand Pump	22	1.83
12	Retaining Wall	1	-
13	Gate	3	0.25
14	Beautification	3	0.25
15	Burial House	16	1.33
16	Cleaning Programme	13	1.08
	Total	1199	100

Source: Data Provided by the DPMU, Etah District

Table No. 2.5.3: Category Wise Details of Works Completed under BRGF –Raibareilly District (2006-2007 to 2014- 2015)

S. No.	Category of work	Total	Percentage
1	Roads	160	20.75
2	Bridges	3	0.38
3	School building & Boundary wall	34	4.30
4	Anganwadi Building	3	0.38
5.	Panchayat Building	50	6.33
6	Hand Pump	489	61.90
7.	Solar Light	40	5.06
8.	Drainage	2	0.25
9.	Solar Dual Pump	9	1.14
	Total	790	100

Source: Data Provided by the DPMU, Raibareilly District

Table No.2.5.4: Category Wise Details of Works Completed under BRGF --Banda District (2006-2007 to 2014- 2015)

Sl. No	Category	Total	Percentage
8.	Roads	147	35.77
9.	Bridges	54	13.14
10.	School Building	1	0.24
11.	Panchayat Buildings	201	48.91
12.	Barat Khar	1	0.24
13.	Drainage	5	1.22
14.	Community Toilet	2	0.48
	Total	411	100

Source: Information Provided by the DPMU, Banda District

Category wise details of the assets created under BRGF since the inception in the four districts selected for verification are shown in Table Nos.2.5.1,2.5.2, 2.5.3 and 2.5.4 . Out of the 2019 works completed under BRGF in Gorakhpur District, 1128 are roads (55.86%) and 353 bridges (17.485) for rural connectivity. Installation of solar light is 100 in number (4.95%) while drainage (5.27%) works out to 106 (Table No.2.5.1). Out of 1199 works completed in Etah district, 823 are roads (68.64%). The District has constructed 215 Panchayat Bhavans (17.93%) under the scheme (Table No.2.5.2). Out of the 790 works completed in Raibareilly District, 489 works are for the installation of hand pumps (61.90%), 160 CC roads (20.75%), 40 solar lights (5.06%), 34 school boundary walls (4.30%) and 50(6.33%) Panchayat Bhavans (Table No.2.5.3). Out of the 411 works completed in Banda District, 147 are roads (35.77%), 54 bridges (13.14%) and 201(48.91%) Panchayat buildings (Table No.2.5.4).

The general scenario of the four districts selected for verification has provided almost similar patterns of projects implemented under the scheme. By and large the majority of the projects were designed to address the backwardness of the districts in physical infrastructure. The tools applied for the participatory planning techniques were capable to identify the factors caused for under development and to projectize the issues to be addressed. The implementation of the annual plans of the PRIs and ULBs from the very inception of the scheme has resulted in mitigating the backwardness of the area.

Table No.2.5.5: Details of Assets Verified in the PRIs and ULBs from the Selected Districts

Sl No	Name of Assets	Gorakhpur (Nos)	Etah (Nos)	Banda (Nos)	Raibareilly (Nos)	Total
1	Anganwadi	2	-	-	-	2
2	Boundary Wall	3	1	-	-	4
3	Bricks Soling	5		1	12	18
4	CC Road	12	17	8	12*	49
5	Cremation Sheds		1	1		2
6	Culverts	3		6	1	10
7	Drains	2	2	2	2	8
8	Marriage Hall	-	1	-	1	2
9	Metaling Road	-	1	1	-	2
10	Panchayat Bhavan	-	3	-	1	4
11	Road with Drain	-	1	-	-	1
12	Resource Centre	1	-	1	3	5
13	Retaining Wall	-	-	1	-	1
14	Temple Beautification	-	1	-	-	1
	Grand Total	28	28	21	32	109

*Note: One asset is not completed which is process.

Source: Information Compiled from the Asset Questionnaire

Out of the 109 works verified in the PRIs and ULBs of four Districts, 80 are related to the improvement of rural connectivity (73.39 %) including CC roads, culverts (*puliya, rapta*), bricks soling etc (Table No.2.5.5). Construction for civic amenities including marriage halls, cremation sheds resource centres, Panchayat offices are listed in the remaining 29 works (26.61%). During the focus group discussions it was revealed that the improvements in connectivity have reflections in providing easy access to hospitals, markets and educational institutions. Demand for more projects was raised in the discussions. Construction of resource centre, marriage halls, and burial houses have contributed for the improvement of the social status of the stakeholders. Anganwadi buildings, boundary walls to primary schools, resource centres constructed under the scheme are promoting education. During the field work, it was observed that majority of

the works under BRGF were designed in such a way to address backwardness in specific sectors in the respective PRIs and ULBs. A well designed project, irrespective of its size has the potential to mitigate some amount of backwardness of the area. One *puliya* (culvert) with a span of less than 5m constructed in Pokhar Bhinda Gram Panchayat of Bhat Ghat Kshetra Panchayat in Gorakhpur district with a cost of Rs. 6.74 lakhs during 2012-13 is seen beneficial to the local community of 3000 persons residing in Pokhar Bhinda, Sandar Khurd and Ghora Deur villages .The *puliya* made access to the main road. The backwardness of the villages has been mitigated by the project. All the 109 assets verified have similar narratives in addressing under development.

2.5.5. Conclusion

It is observed that majority of the projects designed are the reflections of the felt needs of the community. Every suggestion for a project was aimed to a particular target for mitigating the backwardness of the sector related. The annual action plans prepared by the PRIs and ULBs were focusing on the socio economic development of the project area. Every step taken for the socio economic development of a particular area is addressing the issue of backwardness .The majority of the projects verified in the four districts have addressed different issues of under development in the respective areas. The project intervention has achieved in attaining to a great extent in the mitigation of backwardness.

2.6. Convergence

2.6.1. Introduction

Any developmental scheme can be designed either as a standalone project model or convergence model .The scheme is expected to make use of all the possibilities of the convergence of allocation from BRGF with the existing developmental inflows relating to the Central/ State Sponsored Programmes. The scheme guidelines have clearly suggested convergence and synergistic mode with Central /State sector schemes. Since

the allocation of funds for the projects under BRGF are supposed to be used for gap filling within limits, convergence and synergistic mode is the possible operational strategy. Moreover, economic rationality is more close to the convergence and synergistic mode of operation rather than standalone projects. However, in the field one can expect many administrative and political pressures to opt for standalone projects. There may be possibilities of dominance of political expediency over economic rationality. Therefore, it is meaningful to see the nature of activities undertaken under BRGF and to classify them under the two modes of projects (convergence and standalone).

2.6.2. Objectives

To assess whether activities being implemented under BRGF are in convergence and synergetic mode with other Central / State sector schemes or are being implemented on standalone basis.

2.6.3. Methodology

Separate items were included in the questionnaire to capture the dynamics of project implementation and very specifically to know whether the projects are being implemented under convergence and synergetic mode, or standalone mode. The field investigators were trained to ask these questions in a type of discussion mode and confirm the answer after further probing. The project details were examined. The annual action plans were examined in detail to understand the source of finance and the percentage of its share between BRGF and other sources of funding.

2.6.4. Presentation of Data and Discussion

Table No.2.6.1: The Works Compiled in Convergence with BRGF and Central / State Sector Schemes.

Sl No	Name of Districts	Name of Panchayats	Name of Works	Expenditure (Rs. in Lakhs)	Allocation from BRGF (Rs. in Lakhs)	Allocation from Other Source (Rs. in Lakhs)
1	Gorakhpur	Jungle Rasulpur	Resource Centre	5.41	2.80	2.61
2	Gorakhpur	Pokhar Binda	Culvert(<i>Puliya</i>)	6.89	4.00	2.89
3	Gorakhpur	Bhramapur (KP)	Resource Centre	5.40	2.80	2.60
4	Raibareily	Dathauli	Interlocking Bricks on Roads	4.04	4.00	0.04
5	Raibareily	Ajmattullah Ganj	Interlocking Bricks on Roads	4.08	4.00	0.08

Source: Information Compiled from the PRIs / ULBs Questionnaire

It is observed that out of 109 projects verified in the PRIs and ULBs from the four selected districts, 104 are implemented under the stand alone mode which works out 95.42 per cent (Table No.2.6.1). Only five projects (4.58 per cent) are constructed under convergence and synergistic mode with central /state sector schemes. One Block Resource Centre (BRC) constructed in Junge Rasulpur Gram Panchayat in Gorakhpur district with an expenditure Rs.5.41 lakhs has been provided Rs.2.80 lakhs from BRGF and the remaining amount of Rs.2.61 lakhs from other source. Another Block Resource Centre (BRC) constructed at the Campus Bhramapur Kshetra Panchayat in Gorakhpur district with a cost of Rs.5.40 lakhs was provided Rs.2.80 lakhs from BRGF and the remaining from own funds. Pokharbinda Gram Panchayat of Gorakhpur district has utilized Rs.4.00 lakhs from BRGF for constructing a culvert (*puliya*) of Rs.6.89 lakhs. The remaining amount of Rs.2.89 lakhs was mobilized from other source. Brick interlocking on roads in Dathauli and Ajmattullah Gang Gram Panchayats of Raibareily district have shared the project cost by providing Rs .4.00 lakhs each from BRGF where

the balance was met from other sources. In both the cases very little amount was drawn from sources other than BRGF.

There is a serious question on whether the above projects can be classified as projects of convergence and synergetic mode or stand alone mode. It is seen that these projects were not internalized and designed within the framework of convergence and synergetic mode. While discussing with the elected representatives and functionaries of the PRIs and ULBs, it was revealed that the concept of ‘convergence’ and synergetic mode’ seems to be totally alien to majority of them. The BRGF was also conceived as any another potential scheme for developmental activities. It was seldom properly explained and translated to the grassroots level functionaries how and why the scheme was different from other schemes. It was also revealed that ‘convergence and synergetic mode of project operation’ is a serious exercise in a tough terrain whereas ‘standalone mode of project operation’ is relatively a soft exercise which needs only comfort platform. It is quite often, in normal circumstances one may follow the stand alone project mode .Only when there is any issue related to the scarcity of resources, other sources of finance may be looked in to. The above projects are visualized as standalone projects but when there were confronted with fund gap, it was addressed by the other available sources of revenue.

2.6.5. Conclusion

The absence of a perspective plan with a vision document in observed in the four districts verified. Even though the annual action plans are seen prepared, the same was solely basing on the allocation under development grants. The possibility of convergence with the flagship programmes of the Central / State Sector Schemes are not seen utilized in a majority of cases. Hence, majority of the projects implemented under the scheme are stand alone projects, except a few cases. The few projects which appeared to be non stand alone may not be classified as a category of projects under the ‘convergence and synergetic mode’. These projects have made attempts to address fund gaps from different

financial sources. This may be a step towards convergence. But on the other side there may not be a correct proposition to conclude that the projects are worked under the convergence and synergetic mode. In short, convergence and synergetic mode of project operation is alien in the programme implementation in the PRIs and ULBs under BRGF.

2.7. Capacity Building

2.7.1. Introduction

Financial assistance to the BRGF districts was provided through (i) Developmental Grants and (ii) Capacity Building Grants. Developmental Grants were to address the issues in local development and the capacity building grant was to increase the capacity of the PRIs and ULBs in the delivery of services. The elected functionaries and officials were given training for the implementation of the scheme. The overall strengthening of the PRIs and ULBs was expected to strengthen the process of decentralized planning, implementation, monitoring and social audit of the scheme.

2.7.2. Objectives

To assess the extent to which ERs and PFs have been trained under the component “Capacity Building” of the programme.

2.7.3. Presentation and Discussion of Data

Training Programmes for the elected functionaries and officials of the PRIs and ULBs have been conducting in the State for years. The achievement of the State in training nearly 2.19 lakhs persons for the implementation of BRGF is commendable. The Director, Project Management Unit (PMU) of the State was the designated Nodal Officer for the training under the scheme. The State Institute of Rural Development (SIRD) was entrusted to co ordinate the programmes for training. Training programmes were conducted during the years 2009-10, 2010-11 and 2011-12 at the State, District and Intermediate Panchayat level. Preparation of modules and training the master trainers were entrusted with Sabhaji Sikshan Kendra, Lucknow. The faculty members of the

SIRD, Master Trainers and faculty members of different NGOs have contributed for the timely completion of the programme.

The subjects covered in the training include, (i) The process of decentralization (2) Role of three tier Panchayats, (3) the 73rd and 74th Amendments, Panchayati Raj Act and Rules (4)Panchayat Committee (5)Financial Management (6) Panchayat software including *Plan Plus*, *PRIA soft* etc. (7)communication skills, personality development and office management (8) main development schemes and (9)Backward Regions Grant Fund (BRGF). Training was in participatory mode and tools like flip chart, white board, projector, role play and motivation movies were included. Training programmes for the implementation of the scheme have been conducted in all the BRGF districts during the period from 2009-2010 to 2011-2012. The participation in training programmes is shown in Table No 2.7.1.

Table No.2.7.1: Details of Training Imparted under BRGF.

Financial Year	ERs of VP	ERs of Kshetra Panchayat	ERs of Zilla Parishad	ERs of ULBs	Members DPC	Officials	TSI	Vulnerable Groups	NGOs
2009-10	Nil	33431	1359	Nil	Nil	656	Nil	61051	Nil
2010-11	11904	Nil	Nil	Nil	Nil	1125	Nil	49233	Nil
2011-12	218784	Nil	Nil	Nil	Nil	1378	Nil	109457	Nil

Source: Information Provided by the PMU (BRGF), Govt. of UP

The State Institute of Rural Development (SIRD) and 17 selected agencies have given training to the Master Trainers who in turn imparted training at all levels of PRIs. Proposals for training the ERs of ULBs, members of DPC, representatives of TSIs, and voluntary groups were not materialized. The following are the agencies entrusted with training. The details of agencies entrusted with training are given in Table No.2.7.2

Table No. 2.7.2: Name of Agencies Entrusted for Training under BRGF

Sl No	Financial Year	Name of Agency	Places Allotted
1	2010-11	Data Motion Consultants, New Delhi	Etah, Hardoi, Unav & Lakshimpur
2	2010-11	National Association for Voluntary Initiatives & Co operation, Jannpur	Prathaghar, Agmagad & Jaunpur
3	2010-11	Institute of Enterprise Science Engineering and Management, Lucknow	Ambedkar Nagar, Balrampur, Gondal and Maharajganj
4	2010-11	IL& FA Education and Technology Services, New Delhi	Banda, Farookhabad and Lalitpur
5	2011-12	Swajan Sikshan Samsthan, Lucknow	Balram, Sonabhadra, Chitrakoot, Banda, Hamirpur and Maboba
6	2011-12	Society for Computer Education and Development in Rural Area, Lucknow	Gonda
7	2011-12	Centre of Technology and Entrepreneurship Development, Maharaj Nagar	Maharaj Nagar and Ambedkar Nagar
8	2011-12	Data Motion Consultants, New Delhi	Unav and Raibareily
9	2011-12	P C Training Institute, New Delhi	Sant kabir nagar, Sidhardh nagar and Basti
10	2011-12	Welfare and Illustration of Need Gramin Society, Gorakhpur	Anganghar, Gorakhpur and Sitapur
11	2011-12	Kin Klan Advertising, Lucknow	Prathapghar, Fatepur, Kansumbi and Janupur
12	2011-12	Krushyvith Maryadid Nigam Lucknow	Badarya
13	2011-12	Santhi Samaj Seva Samithi, Farokhabad	Farokhabad and Mirjapur
14	2011-12	Prema Gramya Vikas Samsthan, Raibareily	Sravasthi, Chundanli, Jalain and Lalitpur
15	2011-12	Mahamaya Welfare Society, Lucknow	Barabangi and Hardoi
16	2011-12	Sri. Sahaj e-village Ltd. Lucknow	Kusinagar and Maharajganj
17	2011-12	Society for Information Technology Development Lucknow	Etah
		Grand Total	50

Source: Information Provided by the PMU (BRGF) ,Govt .of UP

Table No.2.7.3: Details of Allocation, Release and Expenditure under Capacity Building (Rs.in crores)

Item	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16	Remarks
Allocation	-	25.30	20.26	28.07	12.21	-	-	-	-	-	Nil
Release	-	25.30	20.26	28.07	12.21	-	-	-	-	-	Nil
Expenditure	-	-	21.39	22.78	15.32	-	-	-	-	-	Nil

Source: Information Provided by the PMU (BRGF).Govt. of UP

It is observed that training programmes under the scheme were organized in three years from 2009-2010 to 2011-2012. The elected functionaries of the Village Panchayats were given training during 2010-2011 and 2011-2012 while the elected representatives of the other two tiers were given training only in 2009-2010. Training for the officers and representatives for vulnerable groups were imparted in three years (Table No.2.7.1). Elected representatives of the ULBs, members of the DPC, representatives from TSIs and NGOs were not covered under the programme. The role of the SIRD in the implementation of the training programme was very little. Training programmes were organized at 50 centres in the BRGF districts (Table No. 2.7.2). During the interactions with the elected functionaries and officials it was revealed that they felt no difference in the content and presentation of the training under BRGF with the regular trainings provided by the SIRD in relation with Panchayati Raj and implementation of other centrally sponsored programmes. It may be presumed that the majority of the agencies appointed for providing training were not having any clarity in presenting the programme in a mission mode. Hence no seriousness on the benefit of the programme was implanted to the trainees. Allocation, release, allocation and expenditure incurred for capacity building is shown in Table No.2.7.3. An amount of Rs .85.84 crores was released under capacity building for the BRGF districts from which Rs.59.49 crores was incurred leaving a balance of Rs.26.35 crores. The percentage of expenditure under capacity building works out to 69.30 per cent. Effective fund utilization would have brought a better percentage in the physical progress under capacity building.

2.7.4.Conclusion

Capacity building under BRGF was visualized as a special component for which separate allocations and release of funds were done. The SIRD who was expected to lead the programme in a pivotal role has not seen taken the issue seriously. It was explained that the SIRD was not entrusted with the role of a nodal agency for imparting training programmes. The crowding number of private agencies selected for training have developed the tools in a conventional mode. The rationale of the Programme was neither

internalized by the trainers nor communicated to the trainees .Hence the BRGF was just taken as any other centrally sponsored programme to be implemented in a lethargic mode .However, the elected functionaries and officials interacted have shared that the training programmes have provided some idea in local planning and the implementation of schemes.

2.8. Time Taken for the Completion of a Work after Initial Funding

2.8.1. Introduction

The execution of any developmental projects may be delayed due to administrative reasons, delay in the release of funds, local disputes and other unexpected complexities. In such cases the time frame for the completion of work may extend which may be resulting in the revised cost of estimate. Chances for abandoning the project on the half way due to various reasons can also be expected. The pattern of fund flow in centrally sponsored schemes may have certain impact in the programme implementation .The funds allocated under a scheme for an activity in a particular financial year may be inadequate and therefore the implementing entities have to wait for funds in the subsequent years for the completion of works . As a corollary, one can anticipate inordinate delay in the programme implementation. Hence, the time taken for the completion of a work may be verified in detail with the reasons thereof. A detailed verification on the time taken for the completion of a work may be valuable information in the domain of policy suggestions under BRGF and other similar schemes.

2.8.2. Objectives

To assess the time taken in completion of an activity /work after initial funding was made to the implementing entities (IEs).

2.8.3. Methodology

Since the major objective is to understand whether funds allocated under the plan for an activity in a particular financial year were adequate or not, the process and procedure of fund flow were tracked in detail. The time frame for the completion of the each work after initial funding was calculated and the reasons thereof were examined by keeping the possibilities of delay in completion. The major focus was to see whether the work was delayed due to the inadequate fund flow. It was also looked into whether the implementing entities were strained to wait for funds in the subsequent years for the completion of works. Questions were framed and included in the schedules in such a way to capture the ground realities on the time taken for the completion of the work. The field investigators were properly explained and trained to look into different issues related to the time taken for the completion of a work and document in the appropriate places. Files connected to the implementation of schemes were verified, interactions with the administrative, technical officers and stakeholders were also done.

2.8.4. Presentation and Discussion of Data

It is worthwhile to understand the process and procedures of the fund flow before assessing whether funds allocated for an activity in a particular year were adequate . The scheme was implemented through the PRIs and Nagar Palikas. The *Appar Mukhya Adhikari* (AMA) of every district was nominated the Nodal Officer of the scheme and funds were transferred to him for the distribution among the different levels of implementation. The criterion of division of funds was fixed on the ration of 56:16:8:20 among the Gram Panchayats, Kshetra Panchayats and Zilla Parishads and ULBs. During the earlier years fund transfer was done through cheques which was subsequently replaced by RTGS. Approval of projects up to an estimate cost of Rs.10 lakhs was given by the AMA and projects for above 10 lakhs were forwarded to the higher levels.

Release and allocation of funds were made through the joint account of the AMA and the Accountant of the District Panchayat .Transfer of funds from districts to the Panchayats

and ULBs are seen done without delay. Funds placed at the disposal of the AMA are transferred to the joint accounts of the BDO and *Pramukh* in Kshetra Panchayat, and *Pradhan* and *Sachiv* in Gram Panchayats and Executive Officer and Chairman in ULBs. Special attention was given during the field work to assess the time frame taken for the completion of projects after the initial funding. Files connected to the implementation of schemes were verified, interaction with the administrative and technical officers and discussions with the stakeholders were done. The time frame taken for the completion of work is given in Table No 2.8.1:

Table No.2.8.1: Time frame for the Completion of Works after Initial Funding (BRGF)

Sl.No	Duration of work	Gorakhpur	Etah	Banda	Raibareilly	Total
1	Less than One Month	3	2	2	7	14
2	More than One Month and less than Two Months	3	11	9	8	31
3	More than Two Months and less than Four Months	14	6	5	5	30
4	More than Four Months and less than Eight Months	6	6	2	2	16
5	More than Eight Months and Less than One Year	-	1	3	4	8
6	More than One Year	2	2	-	6	10
	Total	28	28	21	32	109

Source: Information Provided by the Panchayats and ULBS.

It is worthwhile to comment that majority of works were completed within a short span of time .It is seen that only less than 10 per cent of works had been taken more than one year to complete its operations (Table No.2.8.1). It gives an impression that the funds allocated under the plan for an activity in a particular financial year were adequate for completion. No case is recorded pending ‘for want of funds in subsequent years for completion. Despite the technical delay in the transfer of funds to the lower tiers , execution of the projects are seen done without interruption except in one or two cases due to cases of complaints, stay orders etc. The following are a few works which had

taken ‘relatively long time span’ for completing the activities. The official records and the discussions with the implementing entities revealed that the convoluted procedure of the building construction caused the time span rather than the delay in transfer of funds.

- (i) Construction of a Panchayat Bhavan with a cost of Rs.12.53 lakhs for the Gujari Gram Panchayat of Sataon Kshetra Panchayat of Raibareilly district was started on March 2010 and completed on March 2011.
- (ii) The construction of a Barat Khar (Marriage Hall) at the Gram Panchayat Nughkhas in Awagarh Kshetra Panchayat, Etah district was started on 18th June 2015 and completed on 17 September 2016.
- (iii) One Panchayat Bhavan for Gram Panchayat Mirjapur of the same Kshetra Panchayat was started on 8 September 2008 and completed on 6 December 2009.
- (iv) One *Puliya* in Phoolwaria Gram Panchayat of Bhatgat Kshetra Panchayat of Gorakhpur district was started on 11 November 2014 and completed on 27 February 2016.
- (v) Another *Puliya* in the Pokharbinda Gram Panchayat of the same Kshetra Panchayat was started on 8 September 2012 and completed on 12 February 2014.

2.8.5. Conclusion

All the records connected to the implementation of schemes were verified. Interaction with the administrative and technical officers and discussions with the local community were also done. While tracking the process and procedure of the fund flow from the district to the PRIs and ULBs, it was observed that the fund flow was quite adequate and therefore no delay was observed in the project implementation. No case was reported in which the implementing entities had waited for funds in subsequent years for completing the activities related to the projects. None of the projects were found pending for want of funds. No projects were also seen abandoned after listing or starting the work.

2.9. Fund Allocated

2.9.1. Introduction

Allocation and release of funds under the programme were done through streams viz. (i) Development fund and (ii) Capacity building fund.

Apart from the minimum amount of Rs.10.00 crores fixed for each district selected, the remaining was distributed on the basis of population. The states were to design a normative formula for the allocation funds among the PRIs and ULBS. An attempt is made to examine the allocation, release and fund sufficiency of funds for the completion of works in time.

2.9.2. Objectives

To assess whether funds allocated under the plan by the Zilla Panchayat for an activity in a particular financial year were adequate or they needed to wait for funds in subsequent years for completing the works.

2.9.3. Methodology

The tools developed for the collection of data include the details allocation, release and expenditure under the scheme. Nature of scheme, details of assets created including estimate, actual expenditure, date of starting, date of completion, date of handing over, current status etc. were also verified. Interaction with the ERs, officials- both administrative and technical – and stakeholders were also done.

2.9.4. Presentation and Discussion of Data

It is observed that no funds were released during 2006-07 under the scheme. No funds were released to the district of Etah during 2012-13, Gorakhpur and Raibareilly during 2013-14. Out of the four districts selected for verification, two districts Banda and Raibareilly are having unspent balance of Rs.17.79 crores and Rs.20.65 crores by the end of 2014-15. Gorakhpur district is having the maximum share of funds among the four districts with Rs.118.73 crores and Banda is at the lowest rate with Rs.78.24 crores. The

details of release and expenditure of funds under BRGF to the four districts selected are given in Table No.2.9.1.

Table 2.9.1 Details of Release and Expenditure of funds under BRGF in the four Districts selected (Rs. in Crores)

Sl. No	Name of District	2007 -08	2008 -09	2009 -10	2010 -11	2011 -12	2012 -13	2013-14	2014 -15	Total	Unspent Balance
Release											
1	Gorakhpur	0.10	18.67	20.75	20.75	20.63	19.28		18.55	118.73	
2	Etab	0.10	17.36	19.29	19.29	21.17		17.69	15.96	110.86	
3	Banda	0.10	14.88	11.35	21.71	4.91	8.57		16.72	78.24	
4	Raibareilly	0.10	17.63	19.59	19.59	18.90	6.52		19.28	101.61	
Expenditure											
1	Gorakhpur	0.10	18.67	20.75	20.75	20.63	19.28		18.55	118.73	NIL
2	Etab	0.10	17.36	19.29	19.29	21.17		17.69	15.96	110.86	NIL
3	Banda	0.10	14.88	11.35	21.71	4.91	7.50			60.45	17.79
4	Raibareilly	0.10	17.63	19.59	19.59	18.90	5.15		19.28	80.96	20.65

Source: Information Provided by the SPMU, U.P

It is observed that, priority was given to small investments on connectivity and building for Panchayat office, Anganwadi, schools, marriage halls and resource centres. The creation of the community assets lead to the overall welfare of the society as a whole. All works verified during the field visit are seen completed in the same financial year. The Panchayat bhawans constructed at Rohina Mirjapur and Jalukheda of Awagarh Kshetra Panchayat during 2008-09 and 2009-10 respectively have been allotted the amount in full and the works were not discontinued for want of funds. The construction of Puliya in Pokharbinda and Phoolwaria Gram Panchayats of Bhatghat Kshetra Panchayat of Gorakhpur district was also completed within six months from the allocation of funds. The CC road in Sadi Gram Panchayat of Tindwari Kshetra Panchayat in Banda district was completed within two months in the same financial year. The Barat Khar (Marriage house) constructed in Nuhkhas Gram Panchayat of Awagarh in Etah and Meetapur Gram Panchayat in Lalgunj of Raibareilly has also seen completed with the full installment in lump. The details of assets created, allocation of funds, dates of starting and completion are shown in Table No. 2.9.2

Table No.2.9.2. Table Showing the Details Assets, Fund Allocation and Completion

Sl No	District	Intermediate Panchayat	Gram Panchayat	Name of Work	Year	Estimate (Rs.in lakhs)	Actual (Rs.in lakhs)	Date of Starting	Date of Completed
1	Etah	Awagarh	Rohina Mirjapur	Construction of Panchayat Bhawan	2008-09	11.90	11.88	8-9-2008	6-2-2009
2	Etah	Awagarh	Jalukheda	Construction of Panchayat Bhawan	2009-10	11.02	10.68	13-2-2009	12-5-2009
3	Gorakhpur	Bhatghat	Pokhar Binda	Construction of Puliya	2012-13	4.00	4.00	8-9-2012	13-2-2013
4	Gorakhpur	Bhatghat	Phoolwaria	Construction of Puliya	2014-15	8.00	7.85	11-11-2014	27-2-2015
5	Banda	Tindwari	Sadi	Construction of CC Road	2013-14	4.00	4.00	12-12-2013	5-1-2014
6	Etah	Awagarh	Nukhas	Construction of Barat Khar	2015-16	10.00	9.90	18-6-2015	17-9-2015
7	Raibareilly	Lal Ganj	Meetapur	Construction of Barat Khar	2014-15	10.00	9.60	1-7-2014	8-4-2015

Source: Information Provided by the GPs and Field Data

2.9.5. Conclusion

Allocation for the implementation of schemes is transferred to the joint account operated by the AMA and the Accounts Officer of the district Panchayat. Release of funds for the projects up to Rs.10.00 lakhs was done by the State Government. Immediately after the approval of projects in the DPC, administrative sanction was issued by the District Collector. Allocation was made for the amount estimated, and instances for wanting for subsequent releases were not reported. The general trend for the selection of projects with small investments was in a way helpful for the release of the estimated amount and timely completion of the work.

2.10. Quality of Assets Created

2.10.1. Introduction

BRGF was designed to fill the critical development gaps in the backward regions through the creation of assets. Apart from filling the critical gaps in infrastructure it was also aiming to strengthen the capacity in service delivery of the local governments. In other words, the assets created should have the quality to perform the assigned tasks. In this context, the quality of the assets created under the scheme is very critical and often fulfills the objective of a scheme.

2.10.2. Objectives:

To assess the quality of various assets created

2.10.3. Methodology

Queries related to the quality of the assets were included in the questionnaire designed to capture the details on assets created under BRGF. The response towards the quality of the assets from the stakeholders and the local community was captured and documented during the FGDs. The physical verification of the assets along with the discussions the local community and the Elected Representatives of the PRIs/ULBs also had been used

as a method to verify/assess the quality of the assets. Secondly, the field investigators were asked to make a rough estimate of the cost of construction of the asset and make an overall assessment on the quality of the assets based on physical verification. Finally, the quality of the assets had been assessed by the cumulative responses of the stakeholders, the local community and the field investigators. Of course, the physical verification and appearance of the assets also made as a tool for the assessment of the quality.

2.10.4. Presentation and Discussion of Data

The quality of the assets was appraised mainly by different methods. One, the opinion on the very quality of the assets from the local community was captured during the physical verification of the assets. The quality and its usage was one of the focal points of the FGDs. Since the FGDs were conducted in and around the location of the assets in many cases the local community could appraise the assets by seeing the physical structure. In many cases, the FGDs had been turned in to social audit process, by default. Secondly, the field investigators had made an overall assessment on the quality of the assets based on physical verification. Moreover, the investigators also made a comparison of the expenditure between the amount as per the official document and rough estimate based on physical verification of the assets. Of course, lack of technical competency of the investigators also had taken in to account before making any hasty conclusion. It is also important to note with caution that process of construction was not appraised since the assets are not under ‘new category’. Based on the above assessment, the quality of the major assets including roads, brick soling, *raptas*, *puliya*, boundary wall etc. are seen good. The involvement of the local community is one of the reasons for the good quality of the assets. A major share of the investment is seen made for the improvements in rural connectivity including CC roads, mettle roads, brick soling, culverts (*raptas* & *puliya*) and drainage. It is observed that 80 out of 109 works verified in the four districts are related to rural connectivity (Table No.2.10.1). The number of CC roads constructed is 49 which work out to 44.95 per cent of the total works. Brick soling of the roads and construction of Puliya are 16.51 per cent and 9.17 per cent, each, respectively.

Construction of five resource centres, four Panchayat offices, two anganwadi buildings, two marriage halls and two cremation sheds are the other major assets created under the scheme among the selected assets /works.

A major share of investment is seen made for the construction of infrastructure which directly or indirectly strengthens the capacity in service delivery of the local governments (PRIs and ULBs). It was asserted by the local citizen during the focus group discussions that these assets are essential for the comfort and welfare of the community. It is argued that the investment has accelerated the growth of income, facilities for the improvement of education, health and mobility of rural people. It is observed that the percentage of investment in the creation of productive assets was comparatively less among the verified list of the assets which also reflects the nature of the assets created under BRGF in the State.

The quality of two Sachivalayas' (Panchayat Office) is seen poor which make them defunct. The Sachivalayas with poor quality are at Etah and Raibareilly districts (Table No.2.10.1). Poor quality of construction of one 'Sachivalaya' (Panchayat Office) in the Vajidpur Gram Panchayat of Sitalpur in Etah district was verified. Shri. Devendra Kumar S/o Anwar Singh, 27 years has commented in the FGDs that the quality of construction under BRGF was very poor and his comments were fully endorsed by others who attended the FGDs. The investigator had also shared the concern of the local community who expressed their opinion in the discussion. Construction of work was entrusted with the "Uttar Pradesh Rajya Nirman Sahakari Sangh" (UPRNSS). The estimate of the building was Rs.16.57 lakhs and the actual expenditure Rs.14.69 lakhs. The building was handed over to the Panchayat on 10 June 2015. The office has not yet started functioning in the new building due to the leakage of roof, cracks on the walls and floors, water logging inside the rooms. The second Sachivalaya' constructed for Gujari Gram Panchayat of Sathaon Kshetra Panchayat in Raibareilly district with an area of 180 m² and a cost of Rs.12.53 lakhs is also found defunct. The building was completed in March

2011. It is reported that the accumulated causes of poor quality is reflected in construction deficit.

Table No.2.10.1: Details of Assets Verified in the PRIs & ULBs of 4 Selected Districts

Sl No	Nature of the Assets	Gorakhpur		Etah		Banda		Raibareilly		Total
		Number	Quality	Number	Quality	Number	Quality	Number	Quality	
1.	Culverts (Rapta /Puliya)	3	Good	-		6	Good	1	Good	10
2.	Retaining Wall	3	Good	1	Good	1	Good	-		5
3.	CC Road	12	Good	17	Good	8	Good	12	Good	48
4.	Mettle Road	-		1	Good	1	Good	-		2
5.	Resource Centre	1	Good	-		1	Good	3	Good	5
6.	Drainage	2	Good	2	Good	2	Good	2	Good	8
7.	Brick Soling	5	Good	-		1	Good	12	Good	18
8.	Cremation Shed	-		1	Good	1	Good	-		2
9.	Panchayat Office	-		3	Good (2) Poor (1)	-		1	Poor	4
10.	Marriage Hall	-		1	Good	-		1	Good	2
11.	Temple Beautification	-		1	Good	-		-		1
12.	Road with Drainage	-		1	Good	-		-		1
13.	Anganwadi	2	Good	-		-		-		2
	Grand Total	28		28		21		32		109

Source: Information Provided by the PRIs and ULBs from the Selected Four Districts of UP

2.10.5. Conclusion

‘Good quality’ grading is seen in major share of the assets created under the scheme. There was a question in the asset schedule towards the quality of the asset. All the assets except two are rated ‘good’ which could score full marks. The proximity of the asset, nature of assets created and the involvement of the local community are reasons for the good rating. Majority of the assets are the direct manifestations of the long cherishing demands of the local community and therefore it has infused high level of participation of

the local citizenry which in turn has moved towards high quality of the assets. The number of assets created in poor quality is quite negligible.

2.11 Usages of the Assets Created under BRGF

2.11.1. Introduction

One among the objectives of the scheme was to reduce the overall backwardness and providing improved conditions of infrastructure. An investment on productive community assets in convergence with the existing flagship programmes was also expected to reflect in the long term economic benefits to the society. As a corollary to the objectives, the usefulness and usage of the assets created under the scheme is imperative. These assets are expected to be managed by the local community. The usage of the assets and their value in the local socio economic structure is the determining factor of the sustainability of the assets created under the scheme. The construction of productive and community welfare assets and its sustainable usage show the success in the implementation of the scheme. Therefore, it is worthwhile to discuss the overall usage of the assets created under BRGF and the focus is how the assets are being used and managed by the community and the role of assets as a catalyst in the local economic growth .

2.11.2. Objectives

- (i) To assess the usage of assets created for the purpose for which they were /are created

2.11.3. Methodology

Queries relating to the usage of assets were included in the questionnaire administered by the field investigators. Field verification was done to assess whether the assets created under the scheme are functional with reference to action plans, work files, and interactions with the elected functionaries, officials and local community.

2.11.4. Presentation of Data and Discussion

The details on the usage of assets verified in the four districts are shown in Table No. 2.11.1.

Table No.2.11.1: Status of Assets Verified Under BRGF in the Four Districts of UP

Sl No	Category of Assets	Number of Assets	Status of Usage of Assets		Reasons for being Defunct
			Functional	Defunct	
1	Culverts	10	10	Nil	NA
2	Retaining Walls	5	5	Nil	NA
3	CC Roads	49	48	1	Work is delayed and not serviceable
4.	Mettle Roads	2	2	Nil	NA
5	Resource Centres	5	5	Nil	NA
6	Drainage	8	8	Nil	NA
7	Brick Soling	18	18	Nil	NA
8	Cremation Sheds	2	2	Nil	NA
9	Panchayat Office	4	1	3	Water Leakage on Roof, Stolen Widows, Doors & Electrical Fittings and Lack of Furniture.
10	Marriage Hall	2	2	Nil	NA
11	Road with Drainage	1	1	Nil	NA
12	Anganwadi Building	2	2	Nil	NA
13	Durga Temple Beautification	1	1	Nil	NA
	Total	109	105 (96.33%)	4(3.66%)	

Source: Information Provided by the GPs & Nagar Palikas from the Selected Four Districts of UP

Out of the 109 assets verified 105 are seen functional. The functional assets are seen serving the purpose for which they are designed and constructed. It is observed that priority was given to the improvements in rural connectivity by constructing village roads and culverts. Construction of retaining walls, Anganwadi buildings, resource centres, marriage halls, burial houses and Panchayat offices are also seen. Nagar Palikas are seen concentrated on the improvement of roads and the construction of drainage. The benefit

of rural connectivity is widely appreciated by the rural people during the FGDs. Since 73.40 per cent of the assets created are promoting rural connectivity, they are seen in full usage and utility. However, programmes for the economic prosperity of the common people were not seen given priority.

Out of the four '*Sachivalayas*' (Panchayat Bhavens), verified only one is found functional, the remaining are fully dysfunctional. Leakage from the RCC roof, poor plastering and theft of doors, windows and electrical fittings are the reasons for the present situation. Lack of furniture was also stated to be another reason. The details of the dysfunctional assets are given .One Sachivalaya' (Panchayat Office) with a cost of Rs.14.69 lakh was constructed at Vajidpur Gram Panchayat in Sitalpur Kshetra Panchayat of Etah district during 2012-13. The population of the Panchyat is 1332 with 725 men and 607 women. The Panchayat Secretary is holding full additional charge of five Gram Panchayats. The construction was entrusted with the Uttar Pradesh Rashtra Nirman Sahakari Sang (UPRNSS) which was completed and handed over on 10 June 2015. The building is having a plinth area of 143.01 m² with separate rooms for the Pradhan, Secretary, record keeping, one meeting hall and separate toilets for men and women. The quality of construction seemed to be very poor. Leakage of the RCC roof, water logging in the rooms, damaged plastering and flooring make the asset defunct. Moreover, the doors, window panes and electric fitting are stated to be stolen. Water logging around the building prevents the entry also. Moreover, the office has no access to the main road. Shri. Narendra Kumar Maurya, Asst. Engineer has explained that the culvert and approach road to the building was not attached to the Building Plan. The investment for the creation of asset remains wastage of money.

Another Sachivalaya' constructed with an expenditure of Rs. 13.00lakhs for Jalukheda Gram Panchayat of Awagahr Kshetra Panchayat in Etah district is also seen defunct. The building having an area of 136.77 m² was completed and handed over on 6 June 2011. The construction of boundary wall and gate was done from the Panchayat fund. The building is still left defunct for want of furniture. The third Sachivalaya' constructed for

Gujari Gram Panchayat of Sathaon Kshetra Panchayat in Raibareilly district with an area of 180m², completed in March 2011 is also found defunct. The expenditure of the construction was Rs.12.53 lakhs.

Out of the verified assets, five are partially functional/ used and it is distributed among the three districts, one each in Etah and Banda and three are in Raibareilly district (Table No. 2.11.2).

Table No. 2.11.2: Status of Usage of Assets Verified Under BRGF in the Four Districts of UP

Sl No	Usage of Assets	Gorakhpur	Etah	Banda	Raibareilly	Total
1	Fully used	28	26	20	27	101
2	Partially used		1	1	3	5
3	Not in use		1		2	3
	Total (103)	28	28	21	32	109

Source: Information provided by the GPs & Nagar Palika from the Selected Four Districts of UP

The details of the partially functional assets as are follows. (i) One culvert with a measurement of 5×2.5m constructed by Harchandrapur Kshetra Panchayat of Raibareilly district with a cost of Rs. 4.51 lakhs was completed on 20 February 2016. The asset is not fully functional for want of the completion of approach road on one side. (ii) The CC road constructed by Harchandrapur Kshetra Panchayat of Raibareilly district from Purijagammeri Datauli to Hanuman Mandir (240m) with a cost of Rs.7.55 lakhs was completed on 2 February 2016. Since it was not connected to the main habitation the asset is not fully functional. (iii) The work of one Block Resource Centre at the Lalgung Kshetra Panchayat, Raibareilly district was started on 2 February 2012 and completed on 1 July 2013. The expenditure of this 20m² building was Rs.1.75 lakhs. The asset is not functional for want of finishing works. (iv) One C.C Road with a length of 200 mts from the house of Sri Bhramanad to the house of Sri Surajpal was constructed with an expenditure of Rs. 8.18 lakhs. The project initiated by the District Panchayat of Etah was completed on 25.8.2015. The quality of construction was good and was helpful for the improvement of rural connectivity. The asset is not in full use for want of extension to the main road.

2.11.5. Conclusion

A major percentage of the assets created under the scheme are seen in full usage and utility for which they were constructed. Since the nature of assets created has directly answered the aspirations of the local community, the usage and impact seems to be sustainable. The dysfunctional assets and partially functional/used assets which work out only to a negligible percentage are expected to be functional through corrective measures.

2.12. Capacity of the PRIs to Maintain the Assets

2.12.1. Introduction

Since the major objective of the scheme was to bridge critical gaps in local infrastructure, the thrust was on asset building. Large quantities of local assets of different variety were constructed at different levels. These assets were constructed under a long process of grassroots level planning starting from ‘felt need identification’ to ‘implementation.’ Maintenance of the assets is an essential component for providing sustainable service and its durable usage. Here, an attempt has been made to examine the capacity of PRIs and ULBs to maintain the assets created under BRGF. Capacity is explained in terms of financial prudence, technical competency and managerial skills of the PRIs and ULBs. As part of this exercise, the planning process at the grassroots level had been revisited to understand whether the step /process of ‘maintenance’ had been placed in the appropriate level.

2.12.2. Objective:

To assess the capacity of the PRIs and ULBs to maintain the assets created under BRGF.

2.12.3. Methodology:

The selected assets created under BRGF had been identified and verified. The status of the assets had been examined in detail and it was documented. The assets which need immediate maintenance and maintenance in future had been listed. Capacity of financial

prudence, technical /engineering competency and managerial skills of the PRIs and ULBs towards the maintenance of the assets had been discussed with the elected Representatives, officials and the local community. In the FGDs, the issue of management of the assets was also one of the focal points. The planning process under the BRGF was closely examined to see whether the asset maintenance was grafted as a step in the exercise.

2.12.4. Presentation and Discussion of Data

The number of assets to be verified from among the four districts in Uttar Pradesh was 280. But the number of works undertaken by the PRIs in the selected 12 Gram Panchayats was less than the required number to be verified. All the assets created under the scheme in the selected 48 Gram Panchayats and 8 ULBs were only 109 (Table No.2.12.1). Opening and maintenance of 'BRGF Assets Register under' by the respective PRIs and ULBs was considered as the first step towards the maintenance of the assets. Therefore, attention was made to know whether there was any official record on the assets created under the BRGF in the Panchayats /ULBs. If the answer is affirmative, there were further enquires to know whether it was updated. Out of the total assets, only less than 50 per cent of them were seen documented in the Assets Register (Table No.2.12.2). Only less than half of the assets created under BRGF were registered in the record, locally known as the 'BRGF Asset Register'. It works out 42.20 per cent. While keeping the official records on the assets, the performance of the ULBs was far better than the PRIs. It is observed that all the ULBs verified are maintaining assets register under BRGF (Table No.2.12.2). None of them was able to claim that the record was updated. The Anganwadi buildings had been transferred to Women and Child Welfare Department, Government of Uttar Pradesh. The Block Resource Centers are the assets which are created and retained by the Kshetra Panchayats and they have the capacity including resources and personnel to maintain them.

Table No.2.12.1: Number of Assets Maintained by PRIs and ULBs

SI No	Total number of Assets	Assets Created by the GP	Assets Created by the Kshetra Panchayats	Assets Created by the Zilla Parashids	Assets Created by the ULBs
1	109	61	5	4	39

Source: Information Compiled from the Questionnaire of PRIs & ULBs

Table No. 2.12.2: Number of Assets Documented in the Asset Register and Number of PRIs and ULBs Maintained Assets Register

SI No	Total number of Assets Verified	Number of Assets Documented in the Asset Register (N=109)	Total Number of Assets Register Maintained by the PRIs (N =48)	Total Number of Assets Register Maintained by the ULBs (N=8)
1	109	46	15	8

Source: Information Compiled from the Responses of PRIs & ULBs

Table No. 2.12.3: Status of the Maintenance of Assets Verified Under BRGF

SI No	Category of Assets	Number of Assets	Status (Assets Need Immediate Maintenance)	Status of Maintenance	Reasons
1	Culverts	10	2 (20%)	Nil	No Source of Revenue /No Separate Allocation for Maintenance
2	Retaining Walls	5	0	NA	NA
3	CC Roads	49	13(32.56%)	Nil	No Source of Revenue/No Separate Allocation for Maintenance
4.	Mettle Roads	2	0	NA	NA
5	Resource Centres	5	2 (40%)	Nil	No Source of Revenue /No Separate Allocation for Maintenance
6	Drainage	8	2 (25%)	Nil	No Source of Revenue/ No Separate Allocation for Maintenance
7	Brick Soling of Roads	18	4 (22.22%)	Nil	No Source of Revenue /No Separate

					Allocation for Maintenance
8	Cremation Sheds	2	0	NA	NA
9	Panchayat Office	4	2(50%)	Nil	No Source of Revenue/ No Separate Allocation for Maintenance
10	Marriage Hall	2	1(50%)	Nil	No Source of Revenue / No Separate Allocation for Maintenance
11	Road with Drainage	1	0	NA	NA
12	Anganwadi Building	2	1(50%)	Nil	No Source of Revenue/ No Separate Allocation for Maintenance
13	Durga Beautification	1	0	NA	NA
	Total	109	27(24.77%)		

Source: Information Compiled from the Asset Questionnaire

Projects for the improvement of rural connectivity are seen given priority under BRGF in all the four selected districts of UP. Construction of CC roads, soling and brick interlocking on roads(brick soling), culverts, drainage and retaining walls had improved the mobility of local people, transportation of goods, better access to schools, hospitals and market. Out of the total assets verified, majority were related with rural connectivity. Construction of Block Resource Centre (BRCs), Anganwadi, Panchayat Bhavan, cremation sheds, marriage halls are also implemented under the scheme. Majority of the assets were reported to be completed within the time frame and it had played a positive role in keeping them in good condition. Verification of the assets revealed that majority of them do not require maintenance at present, but all the assets need proper maintenance in the near future. It was also revealed that nearly one fourth (24.77 per cent) of the verified assets need immediate maintenance (Table No.2.12.3). However, no provisions were seen to maintain these assets. ‘No source of revenue’ and ‘no separate allocation for maintenance’ were listed as the major reasons for the poor maintenance. The major sources of income of the Gram Panchayats are the development grant on the recommendations of the finance commissions (SFC and NFC). The income from auction of common land, license fee etc. mobilize only a small amount under own source. No

fund was allocated for the maintenance of assets created under BRGF in any of the selected Panchayats and ULBs. Lack of required functionaries, inadequate technical /engineering capability and lack of managerial skill of the Gram Panchayats were also stated as reasons for not keeping the assets in good condition. *Gram Vikas Adhikari* (Panchayat Secretary) is the only regular official in Gram Panchayat. In many cases he/she is holding full additional charge of four to seven Panchayats. The other members of staff attached to the Gram Panchayat are two or three Sweepers appointed on contract basis. No engineering staff is available with the Gram Panchayat. The technical assistance for the Gram Panchayat is provided by the Junior Engineer from Rural Engineering Service (RES) or the Junior Engineer from the Minor Irrigation Department (MID). The capacity assessment of the Kshetra Panchayats and Zilla Parishads had revealed that there is ‘ some amount potential’ in terms of resource, personnel, technical knowhow and managerial skills to maintain the assets created by them and to extend support to the Gram Panchayats in keeping the assets intact. For example, a Kshetra Panchayat is having around 40 to 50 incumbents under 18 to 20 categories, including the Secretaries of the Panchayats. One Senior Clerk/Accountant was deputed with one Computer Operator appointed on contract basis for the implementation of the scheme. (Their service was terminated during the field work was in progress). The same is the case with the ULBs. A detailed discussion with the Elected Representatives, officials and the stakeholders including the local community, it was observed that the issue of maintaining the assets was not reflected in any of the policy decisions of the PRIs and ULBs. Therefore, no allocation was made for the purpose of maintaining the assets .The issue of maintenance was not internalized or considered as a step in the process of planning.

2.12.5. Conclusion

While assessing the capacity of the selected PRIs and ULBs to maintain the assets created under BRGF it is revealed that there are major structural deficit. And financial resource is the critical issue. The Elected Representatives and functionaries of the PRIs and ULBs

had reported that ‘no source of revenue’ and ‘no separate allocation for maintenance’ were the reasons for the status of the poor maintenance of the assets. The comparatively better position of resource base of the ULBs may be the possible explanation of the better status of the assets created by them. Poor technical competency, staff strength and managerial skills of the PRIs and ULBs are the other factors which creates impediments in maintaining the assets created under BRGF. However, it can be overcome by a package of policy suggestions and its implementations. The issue of maintenance should be internalized or considered as a step in the planning process itself. It is revealed that the intermediate Panchayat (Kshetra Panchayats) and the Zilla Parishads have certain degree of the capacity to maintain the assets created under BRGF and their support can be extended to Gram Panchayats to maintain the assets. Community participation may be another suggestion for maintaining the assets created under BRGF.

2.13.Social Audit

2.13.1. Introduction

Social Audit can be transformed to an effective system for monitoring where the level of vigilance among the local community is higher. The level of awareness of the programme was expected to be raised through the process of participatory planning. The power and role of Gram Sabha in decentralized planning was also to be strengthened by the implementation of the scheme. Social audit of the projects implemented was directed for increasing people’s participation and to ensure transparency and accountability in the process.

2.13.2. Objectives

To assess the extent to which social audit has been conducted and its effectiveness as a monitoring system

2.13.3. Methodology

The methodology adopted in the field work was designed to ascertain the level of vigilance attained by the local citizen in the implementation of projects under BRGF at the grassroots level. Detailed questions for analyzing the process of social audit were incorporated in the questionnaire designed to collect data from Elected Representatives, officials and stakeholders. Focus group discussions with a cross section of the society were also conducted. Documents relating to Gram Sabha meetings were verified.

2.13.4. Presentation of Data

The details of social audit on BRGF as revealed by the PRIs and ULBs and the information provided by the stakeholders are given in Table No.2.13.1

Table No 2.13.1: Details of Social Audit Conducted in the PRIs & ULBs Selected for Verification in 4 Districts

Sl No			Gorakhpur		Etah		Banda		Raibareilly	
	Variable	Response	No of PRIs/ULBs Stakeholders	Percentage	No of PRIs/ULBs Stakeholders	Percentage	No of PRIs/ULBs Stakeholders	Percentage	No of PRIs/ULBs Stakeholders	Percentage
1	Percentage of PRIs /ULBs conducted Social Audit for BRGF as per the Questionnaire (GP/ULBs)	Yes	Nil	Nil	Nil	Nil	Nil	Nil	2	14.29
		No	12+2	0	12+2	0	12+2	0	12	85.71
		Total	12+2	0	12+2	0	12+2	0	12+2	100
2	Percentage of PRIs/ULBs conducted Social Audit for BRGF as revealed by Stakeholders	Yes			6	8.70	3	6.25	7	10.94
		No	52	92.86	8	11.59	8	16.67	23	35.94
		No Idea	4	7.14	55	79.71	37	77.08	34	53.12
		Total	56	100	69	100	48	100	64	100

Source: Information Provided by the PRIs & Local Community

Out of the 48 Gram Panchayats and eight Nagar Palikas verified in the four districts selected, only two units in Raibareilly District has claimed to have conducted social audit. Hence, the percentage of PRIs/UIBs conducted social audit under BRGF works out to 3.57 percent in total and 14.29 percent for Raibareilly. During the interactions with the stakeholders, a majority has no idea of social audit on BRGF. The number responded positively on the question are 7,6,3 and 7 from Gorakhpur, Etah, Banda and Raibareilly districts each respectively. It was admitted that the details of works undertaken under the scheme was explained in the Gram Sabha meetings, which are seen, interpreted as social audit by the stakeholders responded positively. No reports on social audit and action taken reports (ATR) on the schemes were made available for verification.

2.13.5. Conclusion

The PRIs and ULBs are responsible for the maintenance of accounts on the funds released to them under the scheme. The expenditure incurred is to be incorporated in the annual statement of receipt and expenditure. Audit of the accounts is to be done in regular intervals by the auditors from the local funds audit using or by the chartered accountants accredited by the government. Moreover, the states were directed to issue guidelines for the social audit on the scheme implemented under BRGF by the Gram Sabas and Ward Sabhas of the Gram Panchayats and Nagar Palikas respectively. Conventional audit by the department and chartered accountants are seen made and the Action Taken Reports (ATRs) are submitted. However, the social audit, in letter and spirit for the awareness generation on the programmes or a vigilant monitoring is not seen followed. The message given through the guidelines are not seen internalized by the implementing entities.

CHAPTER 3

Calculation of Performance Index

As per the terms of reference for the study a composite BRGF index is to be prepared. To arrive at a cumulative measure from the analysis of four parameters, an overall value was assigned to each parameter and the value assigned is 2.5. To arrive at this overall value, questions from the PRI Schedule, Assets Schedule, Stakeholder Schedule and community schedule (FGD format) were assigned to each parameter. Questions were assigned to each parameter and classified therein as indicators, based on the specific aspect of the parameter that a question represented. Each question was then assigned a marking scale so as to analyze the performance of each PRI and Municipality/ULBs (Refer Annexure 1 for detailed methodology).

Data from the field visits were used to mark the performance of every PRI and Municipality. However, the marks secured by a State for a particular parameter was calculated by dividing the marks obtained by that State for that parameter with the maximum marks that can be scored in that parameter and then multiplying the result with the overall value of 2.5. The overall score of a State was determined as the aggregate of the scores obtained in all the four parameters.

An Assessment of the Extent to which the Objectives of BRGF have been fulfilled

Calculation to Assess the Extent on the Scale of 0-10 for the State of Uttar Pradesh to which objectives of BRGF (including implementation of decentralized planning) have been fulfilled

Table No 3.1: Assessment of whether BRGF has helped to bridge critical gaps in local infrastructure and other development requirements which were not being adequately addressed through existing inflows. (Refer Table No A1.1 in Annexure for detailed methodology for calculation)

S. No.	Variable	Status of the State	Marks Scored	Maximum Marks
1.	Percentage of PRIs & Municipalities where felt needs was identified in the Gram Sabha/ Ward Sabha. 75-100%- 5 Marks 50-74% - 4 Marks 25-49% - 3 Marks ✓ 10-24% - 2 Marks 1-10% - 1 Mark Nil - 0 Mark	26/56*100=46.42	3	5
2.	Percentage of PRIs where schemes were prioritized in the Gram Sabhas. 75-100%- 5 Marks 50-74% - 4 Marks 25-49% - 3 Marks 10-24% - 2 Marks✓ 1-10% - 1 Mark Nil - 0 Mark	12/56*100=21.42	2	5
3.	Percentage of PRIs where plans were prepared to bridge the gaps identified. 75-100%-5 Marks 50-74% -4 Marks 25-49% -3 Marks 10-24% -2 Marks✓ 1-10% -1 Mark Nil -0 Mark	7/56*100=12.50	2	5
4.	Percentage of PRIs where plans were prepared to meet the Millennium Development Goals 75-100%- 5 Marks 50-74% - 4 Marks 25-49% - 3 Marks 10-24% - 2 Marks✓ 1-10% - 1 Mark Nil - 0 Mark	7/56*100=12.5	2	5
5.	Percentage of works completed in relation to works initiated. 75-100%-5 Marks ✓	210/215*100=97.67		

	50-74% -4 Marks 25-49% -3 Marks 10-24% -2 Marks 1-10% -1 Mark Nil -0 Mark		5	5
6.	Percentage of works abandoned Nil- 5 Marks Below 1%- 4 Marks ✓ 2-3%- 3 Marks 4-5%- 2 Marks 5-10%- 1 Mark Above 10%-0 Mark	1/2015*100=0.47	4	5
7.	Percentage of projects under SCP/TSP in relation to total projects. Nil- 0 Mark 1 to 5%- 1 Mark ✓ 2-10%- 2 Marks 11-20%- 3 Marks 21-25%- 4 Marks Above 25%-5 Marks	3/215*100=1.40	1	5
8.	Percentage of projects under WCP. (Exclusively for Women) Nil- 0 Mark ✓ 0 to 5%- 1 Mark 6-10%- 2 Marks 11-20%- 3 Marks 21-25% - 4 Marks Above 25%- 5 marks	0/215*100=0	0	5
9.	Percentage of utility of assets verified. 75-100%- 5 Marks ✓ 50-74% - 4 Marks 25-49% - 3 Marks 10-24% - 2 Marks 1-10% - 1 Mark Nil - 0 Mark	231/237*100=97.46	5	5

10.	Good Quality of Assets. Nil- 0 Mark 1-5%- 1 Mark 6-10%- 2 Marks 11-15%- 3 Marks 16-20%- 4 Marks More than 20%- 5 Marks ✓	107/109*100=98.17	5	5
11.	Percentage of projects converged with other funds. Nil- 0 Mark 1-5%- 1 Mark✓ 6-20%- 2 Marks 21-30% - 3 Marks 31-50%- 4 Marks More than 50% -5 Marks	5/109*100=4.59	1	5
12.	Connectivity Projects (Roads and Culverts) Yes- 1 Mark ✓ No - 0 Mark	Yes	1	1
13.	Anganwadi Projects Yes- 1 Mark✓ No- 0 Mark	Yes	1	1
14.	Streetlight Projects Yes-1 Mark ✓ No- 0 Mark	Yes	1	1
15.	School Building Projects Yes- 1 Mark✓ No- 0 Mark	Yes	1	1
16.	Drinking Water Projects Yes- 1 Mark ✓ No- 0 Mark	Yes	1	1
17.	Heath Centre Projects Yes- 1 Mark ✓ No- 0 Mark	Yes	1	1
18.	PDS Projects Yes-1 Mark No- 0 Mark ✓	No	0	1
19.	Panchayat Bhavan Projects Yes- 1 Mark✓ No- 0 Mark	Yes	1	1
20.	Drainage Project Yes- 1 Mark ✓ No- 0 Mark	Yes	1	1
21.	Market related Projects Yes- 1 Mark No- 0 Mark✓	No	0	1
22.	Irrigation Projects	Yes		

	Yes-1 Mark✓ No- 0 Mark		1	1
23.	Community Purpose Projects Yes-1 Mark✓ No- 0 Mark	Yes	1	1
24.	Fisheries Projects Yes-1 Mark No- 0 Mark✓	No	0	1
25.	Garbage Disposal Projects Yes- 1 Mark No- 0 Mark ✓	No	0	1
26.	Toilet Projects Yes-1 Mark ✓ No -0 Mark	Yes	1	1
27.	Hostel Projects Yes-1 Mark ✓ No- 0 Mark	Yes	1	1
	Total		42	71

Source: Annexure 2 (Data was computed by using the different set of questionnaire /checklists interviewed and canvassed during the field work in the selected district of **Uttar Pradesh.**)

The State of Uttar Pradesh has scored 42 Marks out of 71. The overall value provided for this parameter is 2.5. The State's score is calculated by dividing the Marks Obtained (42) with the Maximum Mark (71) and then multiplying it with 2.5.

Marks scored = 42

Maximum Marks = 71

Overall Value (Weightage) =2.5

Marks Scored

Calculation = _____ X Weightage

Maximum Marks

$$= \frac{42}{71} \times 2.5 = \underline{\underline{1.48}}$$

Table No 3.2: Calculation Sheet for the assessment of whether the various BRGF schemes:

- a) Strengthened Panchayat and Municipality level Governance with appropriate Capacity Building: and,
b) Facilitated Participatory Planning, Decision Making, Implementation and Monitoring that reflected Local Needs. (Refer Table No A1.2 in Annexure for detailed methodology for calculation)

S. No.	Variable	Status of the State	Marks Scored	Maximum Marks
1.	Years in which capacity building conducted 1 Year - 1 Mark 2 Years- 2 Marks 3 Years- 3 Marks ✓ 4 years - 4 Marks 5 Years- 5 Marks 6 Years- 6 Marks 7 Years- 7 Marks 8 Years- 8 Marks 9 Years- 9 Marks	3	3	9
2.	Number of Subjects Trained. No Subject Trained- 0 Mark Only One Subject- 1 Mark 02-03 Subjects - 2 Marks 04-05 Subjects - 3 Marks 05-07 Subjects - 4 Marks 08-10 Subject 5 Marks ✓ >10 Subject 6 Marks	8	5	6
3.	Percentage of GPS &ULBs where felt needs identified in the Gram Sabhas / Ward Sabhas. 75-100 %- 5 Marks 25-49 % - 3 Marks ✓ 10-24 % - 2 Marks 01-10 % 1 Mark Nil - 0 Mark	26/56*100=46.43	3	5
4.	Percentage of Project Selection/ Project Location /Stakeholder /Beneficiary Selection were made in the Gram Sabha /Ward Sabha 75-100 %- 5 Marks ✓ 50-74 % 4 Marks 25-49 % - 3 Marks	48/56*100=85.71	5	5

	10-24 % - 2 Marks 01-10 % - 1 Mark Nil - 0 Mark			
5.	Percentage of GPs &ULBs where schemes were Prioritized by the Gram Sabha / Ward Sabha 75-100%- 5 Marks 50-74 % - 4 Marks 25-49 % - 3 Marks 10-24 % - 2 Marks ✓ 01-10 % - 1 Mark Nil - 0 Mark	12/56*100=21.43	2	5
6.	Percentage of GPs &ULBs where Action Plans were Approved by Gram Sabha/Ward Sabha 75-100 %- 5 Marks ✓ 50-74 % - 4 Marks 25-49 % - 3 Marks 10-24 % - 2 Marks 01-10 % - 1 Mark Nil - 0 Mark	45/56*100=80.36	5	5
7.	Percentage of GPs&ULBs where Social Audit was conducted in the Gram Sabha/ Ward Sabhas 75-100 %- 5 Marks 50-74 % - 4 Marks 25-49 % - 3 Marks 11-24 % - 2 Marks 01-10 % 1 Mark ✓ Nil - 0 Mark	4/56*100=7.14	1	5
8.	Percentage of GPs &ULBs have convened Sub Gram Sabhas such as Ward Sabhas/ Mahila Sabhas 75-100 %- 5 Mark 50-74 % - 4 Mark 25-49 % - 3 Mark 10-24 % - 2 Mark 01-10 % - 1 Mark Nil - 0 Mark ✓	0/56*100=0	0	5
9.	Percentage GPs &ULBs have conducted Baseline Survey	9/56*100=16.07		

	75-100 %- 5 Marks 50-74 %- 4 Marks 25-49 %- 3 Marks 10-24 %- 2 Marks ✓ 01-10 %- 1 Mark Nil- 0 Mark		2	5
10.	Percentage of GPs& ULBs have consolidated the Baseline Surveys. 75-100 %- 5 Marks 50-74 %- 4 Marks 25-49 %- 3 Marks 10-24 %- 2 Marks ✓ 01-10 %- 1 Mark Nil- 0 Mark	9/56*100=16.07	2	5
11.	Percentage of PRIs &ULBS that have prepared Projects to Bridge Gaps identified. 75-100%- 5 Marks 50-74%- 4 Marks 25-49%- 3 Marks 10-24%- 2 Marks ✓ 1-10%- 1 Mark NIL- 0 Mark	7/56*100=12.50	2	5
12.	Percentage of PRIs &ULBs have Prepared Plans relating to Millennium Development Goals. 75-100 %- 5 Marks 50-74 %- 4 Marks 25-49 %- 3 Marks 10-24 % 2 Marks ✓ 01-10 %- 1 Mark Nil- 0 Mark	7/56*100=12.5	2	5
13.	Percentage of GPs &LBS having appointed Volunteers for Community Mobilization. 75-100 %- 5 Marks 50-74 %- 4 Marks 25-49 %- 3 Marks 10-24 %- 2 Marks 01-10 %- 1 Mark Nil- 0 Mark ✓	0/56*100=0	0	5
14.	Percentage of PRIs &ULBs	23/56*100=41.07	3	

	maintaining an Asset Register 75-100 %- 5 Marks 50-74 %- 4 Marks 25-49 %- 3 Marks ✓ 10-24 %- 2 Marks 01-10 %- 1 Mark Nil- 0 Mark			5
15.	Percentage of people who suggested works In the Gram Sabha/Ward Sabha 75-100 % - 5 Marks 50-74 % - 4 Marks ✓ 25-49 % - 3 Marks 10-24 % - 2 Marks 01-10 % - 1 Mark Nil - 0 Mark	139/237*100=58.65	4	5
16.	Percentage of Stakeholders/Community Members who have participated in Plan Preparation >25 % - 5Marks 10-25 % - 4 Marks 05-09 % - 3 Marks ✓ 02-04 % - 2 Marks 01 % - 1 Mark Nil - 0 Mark	14/237*100=5.91	3	5
17.	Percentage of works completed within two months. (out of the 109 Verified Assets/Works) 01-10 % - 1 Mark 11-20 %- 2 Marks 21-30 %- 3 Marks 31-50 %- 4 Marks ✓ >50 % - 5 Marks	45/109*100=41.28	4	5
18.	Percentage of works completed between 2 Months and 8 Months. (out of the 109 Verified Assets/Works) 1-10%-- 1 Mark 11-20%- 2 Marks 21-30%- 3 Marks 31-50% - 4 Marks ✓ More than 50%- 5 Marks	46/109*100=42.20	4	5

19.	Percentage of works completed between 8 months and a year 100%- 0 Mark 80-99%- 1 Mark 60-78%- 2 Marks 50-59%- 3 Marks 25-50%- 4 Marks Less than 25% -5 Marks ✓	8/109*100=7.34		
			5	5
	Total		55	100

Source: Annexure 2 (Data was computed by using the different set of questionnaire /checklists interviewed and canvassed during the field work in the selected district of **Uttar Pradesh**)

The State of Uttar Pradesh has scored 55 Marks out of 100. The overall value provided for this parameter is 2.5. The State's score is calculated by dividing the Marks Obtained (55) with the Maximum Mark (100) and then multiplying it with 2.5.

Marks Scored = 55

Maximum Marks = 100

Overall Value (Weightage) =2.5

Marks Scored

Calculation = ————— X Weightage
Maximum Marks

= 55/100*2.5 = 1.38

Table No.3.3: Calculation Sheet for the Assessment of Professional Support Provided to Local Bodies towards Planning, Implementation and Monitoring under BRGF (Refer Table No A1.3 in Annexure for detailed methodology for calculation)

Sl. No.	Variables	Status of the State	Marks Scored	Maximum Marks
1..	Whether Technical Support Institutions (TSIs) were appointed? <i>For all the Districts – 5Marks</i> <i>For 99% to 75 % Districts – 4Marks</i> <i>For 75 % Districts – 3Marks</i> <i>For 50% Districts – 2Marks</i> <i>For 25% Districts – 1Mark</i> <i>No 0Mark ✓</i>	0/4*100 = 0	0	5
2..	Percentage of PRIs &ULBs had received Technical Support for conducting Baseline Survey. <i>75 – 100 % - 5 Marks</i> <i>50 – 74 %- 4 Marks</i> <i>25 – 49 %- 3 Marks</i> <i>10 – 24 %- 2 Marks ✓</i> <i>01 – 09 % - 1 Mark</i> <i>Nil 0 Mark</i>	8/56*100=14.29	2	5
3.	Percentage of PRIs &ULBs which had Appointed Additional Staff for BRGF. <i>75 – 100 % - 5Marks</i> <i>50 – 74 %- 4Marks</i> <i>25 – 49 %- 3Marks</i> <i>10 – 24 %- 2Marks</i> <i>01 – 09 % - 1Mark</i> <i>Nil 0Mark ✓</i>	0/56*100=0	0	5
4.	Percentage of PRIs had Appointed Volunteers for Community Mobilization. <i>75 – 100 % - 5Marks</i> <i>50 – 74 %- 4Marks</i> <i>25 – 49 %- 3Marks</i> <i>10 – 24 %- 2Marks</i>	0/56*100=0	0	5

	01 – 09 % - 1Mark Nil 0Mark✓			
5.	Percentage of PRIs had Appointed Bare- Foot Engineers. 75 – 100 % - 5Marks 50 – 74 % - 4Marks 25 – 49 % - 3Marks 10 – 24 % - 2Marks 01 – 09 % - 1Mark Nil 0Mark✓	0/56*100=0	0	5
6.	Percentage of PRIs had uploaded their Action Plans in Plan Plus. 75 – 100 % - 5Marks ✓ 50 – 74 % - 4Marks 25 – 49 % - 3Marks 10 – 24 % - 2Marks 01 – 09 % - 1Mark Nil 0Mark	56/56*100=100	5	5
7.	Whether Block Resource Centres (BRCs) established? Yes – 1Mark ✓ No – 0Mark	Yes	1	1
8.	Whether Intermediate Panchayats Provided Technical Support to Gram Panchayats. Yes – 1Mark✓ No-- 0Mark	Yes	1	1
9.	Whether Zilla Parishad provided Technical Support to PRIs Yes – 1Mark✓ No – 0Mark	Yes	1	1
	Total		10	33

Source: Annexure 2 (Data was computed by using the different set of questionnaire /checklists interviewed and canvassed during the field work in the selected district of **Uttar Pradesh**)

The State of Uttar Pradesh has scored 10 Marks out of 33. The overall value provided for this parameter is 2.5. The State's score is calculated by dividing the Marks Obtained (10) with the Maximum Mark (33) and then multiplying it with 2.5.

Marks Scored = 10

Maximum Marks = 33

Overall Value (Weightage) = 2.5

Marks Scored

Calculation = _____ X Weightage

Maximum Marks

= 10/33*2.5 = 0.76

Table No.3.4: Calculation sheet for the Assessment of the improvement in performance and delivery of critical functions assigned to Panchayats & Municipalities and counter possible efficiency and equity losses on account of inadequate local capacity (Refer Table No A1.4 in Annexure for detailed methodology for calculation)

Sl. No	Variables	Position of the state	Marks Scored	Maximum Marks
1	Percentage of PRIs and Municipalities where felt needs were identified in the Gram Sabha 75 -100 % 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks ✓ 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	26/56*100=46.42	3	5
2	Percentage of PRIs where action plan was approved in the Gram Sabha 75 -100 % 5 Marks ✓ 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	45/56*100=80.36	5	5
3	Percentage of PRIs where prioritization of schemes done in Gram Sabha 75 -100 %- 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks ✓ 1 – 10 % - 1 Mark Nil – 0 Mark	12/56*100=21.42	2	5
4	Percentage of PRI s having conducted baseline survey for the preparation of BRGF plan 75 -100 %- 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks ✓ 1 – 10 % - 1 Mark Nil – 0 Mark	9/56*100=16.07	2	5
5	Percentage of PRI s where conducted baseline survey has been considered 75 -100 % -5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks ✓ 1 – 10 % - 1 Mark Nil – 0 Mark	9/56*100=16.07	2	5
6	Percentage of PRIs which have prepared plans to	7/56*100=12.50	2	

	bridge the gaps identified 75 -100 %- 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks ✓ 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark			5
7	Percentage of PRIs which have made plans relating to millennium development goals 75 -100 % -5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks ✓ 1 – 10 % - 1 Mark Nil – 0 Mark	7/56*100=12.5	2	5
8	Percentage of Gram Panchayats which have maintained asset register. 75 -100 %- 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks ✓ 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	23/56*100=41.07	3	5
9	Record Keeping Very Good/Good. 75 -100 % -5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks ✓ 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	25/56*100=44.64	3	5
10	Percentage of PRIs having improved in their planning capacity as a result of BRGF. 75 -100 %- 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks ✓ 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	15/56*100=26.78	3	5
11	Percentage Drinking Water Projects. 75 -100 % - 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks ✓ 1 – 10 % - 1 Mark Nil – 0 Mark	7/56*100=12.5	2	5
12	Percentage of Streetlight Projects. 75 -100 % -5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks	2/56*100=3.57	1	5

	10 – 24 – 2 Marks 1 – 10 % - 1 Mark✓ Nil – 0 Mark			
13	Percentage of Drainage Projects. 75 -100 % -5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark✓ Nil – 0 Mark	2/56*100=3.57	1	5
14	Percentage Panchayat Bhawan Projects. 75 -100 % -5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks✓ 1 – 10 % - 1 Mark Nil – 0 Mark	4/56*100=10.71	2	5
15	Percentage of Garbage Disposal Projects. 75 -100 % -5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark ✓	0/56*100=0	0	5
16	Percentage of Public Toilet / Toilet Projects. 75 -100 % - 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 0.01 – 10 % - 1 Mark✓ Nil – 0 Mark	1/56*100=1.79	1	5
17	Percentage of Health Projects. 75 -100 % 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 0.01 – 10 % - 1 Marks✓ Nil – 0 Mark	1/56*100=1.79	1	5
18	Percentage of projects for Anganwadis, Women & Child Welfare. 75 -100 % - 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 0.01 – 10 % - 1 Mark✓ Nil – 0 Mark	2/56*100=3.57	1	5
19	Percentage of Burial Projects. 75 -100 %- 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks	1/56*100=1.79	1	5

	10 – 24 – 2 Marks 0.01 – 10 % - 1 Mark✓ Nil – 0 Mark			
20	Percentage of projects for Roads 75 -100 % -5 Marks 50 – 74 – 4 Marks✓ 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	36/56*100=64.29	4	5
21	Percentage of School Projects for school building 75 -100 %- 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark✓ Nil – 0 Mark	1/56*100=1.79	1	5
Total			42	105

Source: Annexure 2 (Data was computed by using the different set of questionnaire /checklists interviewed and canvassed during the field work in the selected district of **Uttar Pradesh**)

The State of Uttar Pradesh has scored 42 Marks out of 105. The overall value provided for this parameter is 2.5. The State's score is calculated by dividing the Marks Obtained (42) with the Maximum Mark (105) and then multiplying it with 2.5.

Marks scored = 42

Maximum mark =105

Overall Value (Weightage) = 2.5

Marks Scored

Calculation = _____ X Weightage
Maximum Marks

$$=42/105*2.5 = \underline{\underline{1.00}}$$

Cumulative BRGF Performance Index

The Cumulative Performance Index is the summation of the following four parameters of the fulfilled objectives of BRGF according to the respective weightage for each parameter. They are (i) Assessment of whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which are not being adequately addressed through existing inflows, (ii) Assessment of whether the BRGF schemes strengthened Panchayat and Municipality level governance with appropriate capacity building and facilitated participatory planning, decision making implementation and monitoring that reflected local needs, (iii) Assessment of professional support provided to local bodies towards, planning, implementation and monitoring under BRGF, and (iv) Assessment of the improvement in performance and delivery of critical functions assigned to Panchayats and Municipalities and counter possible efficiency and equity losses on account of inadequate local capacity. As per the methodology adopted and its measurement the State of Uttar Pradesh reaches the position in the 'Cumulative BRGF Performance Index' with the score value of 4.62 (on the scale of 0-10). It may be noted that score is less than half of the maximum value.

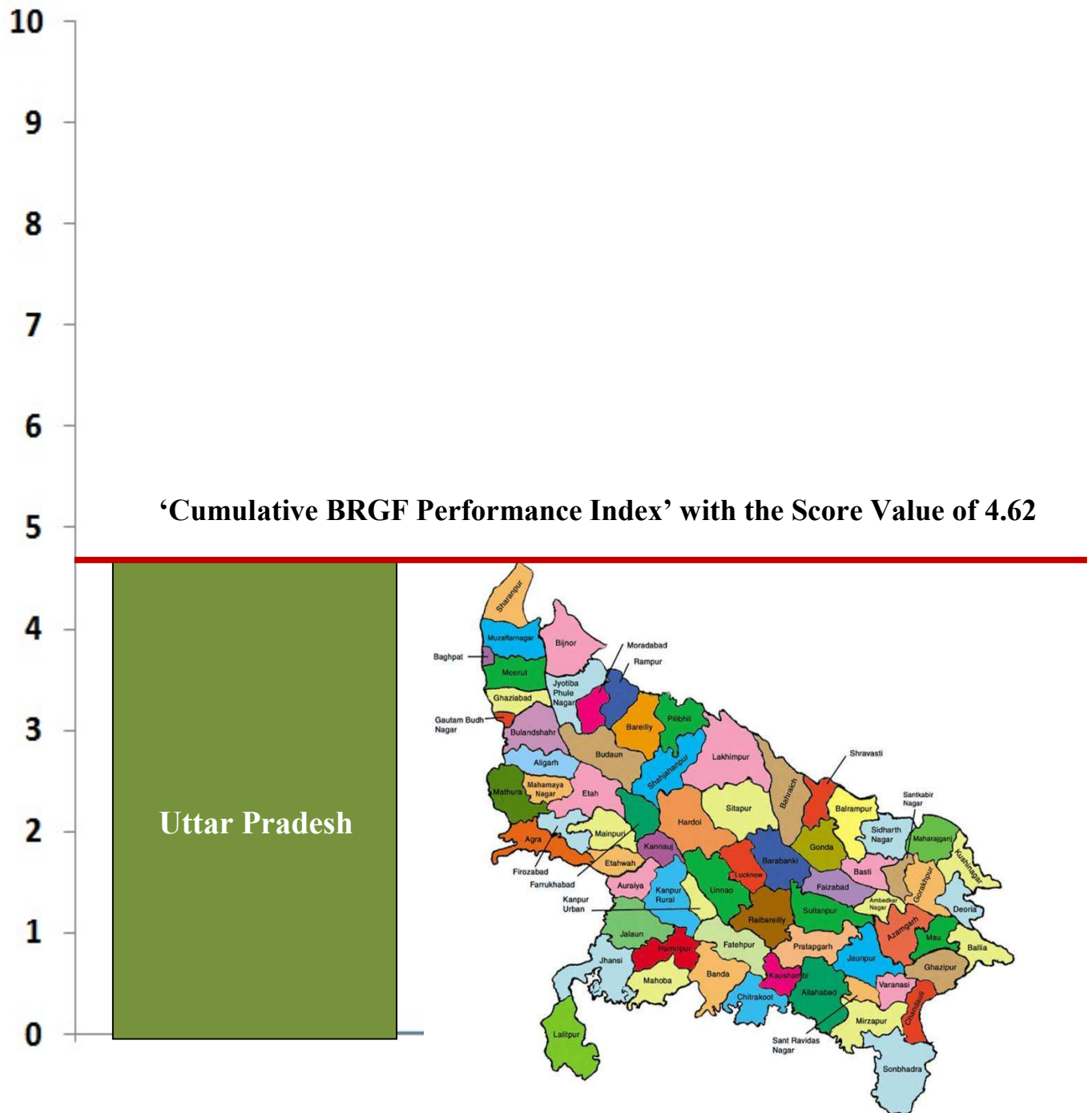
Table No. 3.5: Cumulative Performance Index

Sl No	Parameters	Weightage (Marks) Scored	Total Weightage (Marks)
1	Assessment of Whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which are not being adequately addressed through existing inflows	1.48	2.5
2	Assessment of whether the BRGF schemes strengthened Panchayat and Municipality level governance with appropriate capacity building and facilitated participatory planning, decision	1.38	2.5

	making implementation and monitoring that reflected local needs.		
3	Assessment of professional support provided to local bodies towards, planning, implementation and monitoring under BRGF	0.76	2.5
4	Assessment of the improvement in performance and delivery of critical functions assigned to Panchayats and municipalities and counter possible efficiency and equity losses an account of inadequate local capacity.	1.00	2.5
	Aggregate Weightage Scored	4.62	10

Source: Calculated from Table No. 3.1 to Table No. 3.4

Diagram No.3.2: Cumulative BRGF Performance Index'



Source: Table No.3.5

CHAPTER 4

Gaps, Recommendations and Conclusions

This chapter deals with gaps, recommendations and conclusion of BRGF

Sl No	Area	Gap	Recommendations
i	Extent of involvement of grassroots level local governments in planning	<ol style="list-style-type: none"> 1. Base line survey for need assessment was not properly done. 2. Only annual action plans were prepared. No perspective plans were prepared. 3. No active participation of the stake holders in the identification and prioritization of felt needs and preparation of plans. 4. Percentages of allocation among the PRIs were not followed strictly. 5. The concept of social audit was not institutionalized. 	<ol style="list-style-type: none"> 1. A citizen /Baseline Survey in a participatory manner leading to a rich database may be stipulated in similar programmes. 2. Keeping the principle of subsidiarity in letter and spirit, perspective plans at the Gram/ Intermediate/District Panchayat levels may be prepared. 3. Launching of the programme in a campaign mode may lead to increased participation of the stakeholders of every socio-economic settings in Gram/Ward/Mahila Sabhas and surveys. The desirable prerequisites of participatory planning will be addressed properly 4. The percentage of allocation fixed may be followed strictly which will lead to the desired out puts of the scheme. 5. The concept of social audit may be incorporated with the implementation of schemes developed under participatory planning
ii	The quality of district plans	<ol style="list-style-type: none"> 1. Absence of an effective module for the preparation of 	<ol style="list-style-type: none"> 1. A vision document for the equitable development of

		<p>perspective plan.</p> <ol style="list-style-type: none"> Provisions for the appointment of TSIs were not properly utilized. The ERs of the District Panchayats, and ULBs, Members of the DPC and representatives from TSIs, NGOs and CBOs were not given any training under the scheme. The democratic content of the participatory planning process was curtailed Convergence with the other flagship programmes was not materialized. No Comprehensive district plans were prepared. 	<p>backward region within the district with provisions for intervention even outside the orbit of activity mapping</p> <ol style="list-style-type: none"> Appointment of a Technical Supporting institution by outsourcing or a nodal agency from government// quasi government may lead to a better level of implementation. Universal coverage of training programmes for the ERs, officials, TSIs/Nodal agencies, CBOs and NGOs, members of the DPC may be ensured. Suggestions for ensuring increased involvement of the stakeholders in the process of participatory planning may be followed strictly. District Plans incorporating all sub plans addressing developmental issues and socio –economic prosperity may be prepared while implementing similar schemes.
iii	Institutional structures and quality of programme management	<ol style="list-style-type: none"> Proceedings of the meetings of the High Power Committee were not provided for verification. Hence, the frequency of the meetings, attendance of members, decisions taken etc. are not known. Absence of a well knitted review system is observed 	<ol style="list-style-type: none"> Systematic documentation of functions at all levels may be done. Review on the implementation at regular intervals.
iv	Administrative and technical capabilities of the agencies towards planning and executing various activities	<ol style="list-style-type: none"> Panchayat secretaries who were given full additional charge of five to seven Panchayats were to attend the scheme in addition to their 	<p>Implementation through a campaign mode would have brought better track records. Support from the stakeholders, CBOs, NGOs, TSIs, barefoot</p>

		<p>normal duties.</p> <ol style="list-style-type: none"> 2. CBOs/NGOs are seen placed outside the orbit of the scheme. 3. Appointment of barefoot enquiries/ TSIs were not done 4. No mechanism for the quality management was formulated at any level. 	<p>engineers, social audit team is recommended in future schemes.</p>
v	Mitigation of backwardness	<ol style="list-style-type: none"> 1. Majority of the projects implemented under the scheme was for the development of rural connectivity. 2. Projects for the overall development of an area were not implemented. 3. Investments for the economic development of the community were not seen made. 	<p>Projects for mitigating the overall backwardness of a selected area and economic prosperity the stakeholders may be identified under future schemes.</p>
vi	Convergence and synergic mode	<ol style="list-style-type: none"> 1. Majority of the projects are implemented under stand alone mode 2. Projects were not designed within the frame work of convergence synergistic mode 	<p>Possibilities of convergence may be explored in detail. The percentage of standalone projects may be minimized.</p>
vii	Training component under Capacity Building	<ol style="list-style-type: none"> 1. The funds released under capacity building was not utilized in full 2. ERs of the ULRs, members of the DPC, representatives of TSIs, NGOs were given no training. 3. Role clarity in the implementation of the programmes was not given to the trainees. 4. Absence of a Nodal agency for importing training under capacity building. 	<p>Capacity building programmes as per the basic principles of the National Capacity Building Frame Work (NCBF) may be extended to all ERs and officials of the PRIs and ULBs, CBOs, NGOs and members of DPC.</p>

viii	Time taken in completion of activity / work	Allocation of funds to the basic units of implementation was comparatively low. Hence, the implementing entities have suits the allocation. Big projects like irrigation canals beneficial for neighboring Panchayats were not initiated at any levels.	Opportunities for the implementation of multi sectoral projects which may lead to the mitigation of backwardness of a specific area may utilized in full.
ix	Fund allocation	Allocations to the lower tiers were comparatively low. Majority of the projects were utilized for rural connectivity. Identification of the critical gaps was not properly done and the possibilities of convergence were not applied properly.	Possibilities of convergence with the flagship programmes may be explored in detail. Investments on big projects with multi sectoral dimensions may be shared among the different tiers of PRIs/ULBs.
x	Quality of assets	<ol style="list-style-type: none"> 1. Investments for the creation of productive assets were comparatively low. 2. Quality of construction in certain cases are seen very poor which make the Assets defunct. 	An effective system of monitoring and quality management mechanism may be developed in the implementation of similar schemes in future.
xi	Usage of assets	<ol style="list-style-type: none"> 1. No priority is seen given for the construction of productive assets 2. No system for quality management is seen developed. Hence, some of the assets are left defunct. 	Special care may be given for providing a fixed percentage of allocation for the creation of productive assets. Quality assurance guarantee for fixed time may be incorporated in the agreement of work with the contractors.
xii	Capacity to maintain assets	<ol style="list-style-type: none"> 1. Assets registers are not properly maintained and updated. 2. limitation of own sources are absence of separate allocation prevents the PRIs/ ULBs for the Maintenance of assets created under BRGF. 	Special allocation for the maintenance of assets created under the scheme may be provided to the PRIs and ULBs.
xiii	Social audit	Absence of an effective system of social audit of the schemes is observed.	An effective system for the social audit may be developed and applied to all levels of PRIs/ULBs.

Conclusion

In the State of Uttar Pradesh, the major four objectives of BRGF are seen fulfilled partially. The guidelines for the implementation of the scheme were not followed strictly. Most of the parameters such as mitigation of backwardness, capacity building, utility and quality of the assets are fulfilled only to a certain extent. Less investments for the creation of productive assets and the absence of an efficient quality management system has adversely affected the objectives of the scheme. Promotion of activities leading to the local economic development and the sustainability of the assets created were not fully realized. The tendency for 'standalone' projects has uprooted 'convergence and synergic mode' the core concept of the scheme. Participatory planning and social audit was not materialized at a desirable level which could not make a potential impact. The parameters like planning, social audit and convergence are not implemented in a proper manner. The State has secured a score value of 4.62 in the Cumulative BRGF Performance Index. The overall performance of Uttar Pradesh is rated at a point less than half of the maximum marks.

Centre for Rural Management



The Centre for Rural Management is an autonomous multifaceted research organisation located at Perumpaikadu village, Kottayam, Kerala. Established in 1990 under the Charitable Societies Act, the Centre has been concentrating on research, project evaluation, training, consultancy and social action. The Centre has been assigned projects by Ford Foundation, Institute of Development Studies (Sussex, U.K), Department of Planning (Lakshadweep Administration), Government of Kerala, Ministry of Rural Development, Ministry of Panchayati Raj (Govt. of India), Rajiv Gandhi Foundation, CEVA, India Eco Development Project-Periyar Tiger Reserve, CapDecK, and Arghyam among others. The Centre has published a number of manuscripts. The Director of the Centre, Dr. Jos Chathukulam, is a researcher and national level consultant in Panchayati Raj and Local Level Planning. A Board of Directors representing both academic and activist streams manages the Centre. Dr. M S John, Senior Professor, Central University of Kerala, Kasargod is the Chairman. CRM works jointly with other think tanks and civil society groups as well as universities, research institutions and Panchayats. The Centre for Rural Management has established an e-group which is known as Decentralization Watch decwatch@googlegroups.com

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