

FIDUCIARY MANUAL OF ATAL BHUJAL YOJANA (ATAL JAL) FOR THE STATE OF UTTAR PRADESH

August 2023

Ground Water Department, Uttar Pradesh

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ABBREVIATIONS AND ACRONYMS

| | |
|-------------|--------------------------------------|
| BSR | Basic Schedule of Rates |
| DPMU | District Project Management Unit |
| FHB | Financial Hand Book |
| GeM | Government e Marketplace |
| GFR | General Financial Rules |
| GP | Gram Panchayat |
| NGO | Non-Governmental Organization |
| PIA | Program Implementing Agency |
| REOI | Request for Expression of Interest |
| SLSC | State Level Steering Committee |
| SO | Support Organization |
| SOR | Schedule of Rates |
| SPMU | State Project Management Unit |
| VWSC | Village Water & Sanitation Committee |
| WMC | Water Management Committee |
| WUA | Water User Association |
| WRD | Water Resources Department |
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I. PURPOSE OF FIDUCIARY MANUAL

1. This Program Fiduciary Manual of State of Uttar Pradesh is based on the Government Order of Atal Bhujal Yojna (Atal Jal) issued by Department of Water Resources, River Development & Ganga Rejuvenation, Ministry of Jal Shakti, Government of India vide its order no. **T-40012/1/2018-GW Section (Pt.2) dated 09/01/2020 (Annex-1)** the Program Guidelines and National Fiduciary Manual, which provides the detailed guidance regarding the state-specific processes, procedures or rules that will be followed by all Executing agencies (Line Department) under Atal Jal in the State of Uttar Pradesh.
2. This Manual has been agreed between Principal Secretary, Ground Water Department, Namami Gange representing the SPMU, Uttar Pradesh, NPMU and the World Bank. No change to the manual shall be made by the State without prior concurrence of NPMU and World Bank. In case of any difference between the National and the State Manual, the National Manual will prevail or as approved by the NPMU in consultation with the Bank.
3. The objective of this manual is to establish an open, transparent and competitive procurement and financial management system and provide guidance on applicable procedures and processes for Works, Goods, Non- Consultancy and Consultancy services to bring out efficiency, economy and a fair opportunity for all potential project implementation partners – i.e. contractors, NGOs, consultants, CBOs, etc. under the Program. The Manual will ensure compliance and consistency in the procurement process, robust documentation, which will help ensure transparency and avoid Procurement delays.

II. PRINCIPLES FOR FINANCIAL MANAGEMNET AND PROCUREMENT:

Include the principles of financial management and procurement from the State's General Financial Rules/State procurement legislation or framework. The manual has been prepared on the basis of Financial Handbooks Vol. I to Vol. VI (as amended up-to-date), GoUP, Uttar Pradesh Procurement Manual (Procurement of Goods)- 2016, and FRs issued by Government of Uttar Pradesh time to time. All implementing agencies should follow the procedures contemplated in this manual. In case of any discrepancy between the manual and the Government of Uttar Pradesh regulations / circulars issued, the government orders / circulars will prevail. All Executing agencies (line Department) should follow the procedures contemplated in this manual.

a) INSTITUTIONAL ARRANGEMENTS FOR FINANCIAL MANAGEMNET AND PROCUREMENT

Stakeholders

The key Stakeholders identified for the program are:

- (i) Ground Water Department (GWD)-----The Ground Water Department, Uttar Pradesh is

the Nodal Department for the execution and monitoring of Atal Bhujal Yojna and responsible for implementing the scheme in the state, vested with overall technical and fiduciary responsibilities and in accordance with the MOU signed with the Government of India. The Nodal Department for the State shall follow the Project Program for Results envisaged in the Program Guidelines version 1.1 issued by Department of Water Resources, River Development & Ganga Rejuvenation, Ministry of Jal Shakti, Government of India.

- (ii) State Program Management Unit (SPMU)-----The SPMU has been established at the State Level as envisaged in the Project Guidelines version 1.1, issued by Government Of India, and shall have overall responsibility for execution, procurement management, financial management and monitoring of the Project as per approved Project Implementation Plan (PIP), Annual Work Plan (AWP) and Procurement Plan (PP). The SPMU will report on monthly /quarterly/annual basis as per activity wise requirement to Project Co-ordinator/NPMU.
- (iii) District Project Management Unit (DPMU): The DPMU has been established at the District Level as envisaged in the Project Guidelines version 1.1, issued by Government Of India, and shall have overall responsibility for execution, procurement management, financial management and monitoring of the Project at the district level, as per approved Project Implementation Plan (PIP), Annual Work Plan (AWP) and Procurement Plan (PP). The DPMU shall be responsible for submission of reports on collection of demographic data and beneficiary census for each GP, development of GP level water budgets, GP level Water Security Plans(WSP) and its consolidation. The DPMU will report on monthly /quarterly/annual basis as per activity wise requirement to Project Co-ordinator/SPMU. The DPMU shall also be responsible for preparation and submission of Final Program Implementation Report and GP level Impact Assessment Report.
- (iv) Water Resource Department (WRD), UP: The WRD/Irrigation Department, Uttar Pradesh shall assist, ensure use of participatory processes, data collection for preparation/ updating of WSPs with the assistance of persons/agencies engaged with the GPs/ DPMU/SPMU. The Nodal Executive Engineer of WRD/Irrigation Department in each of the six districts(Banda, Chitrakoot, Hamirpur, Jhansi, Lalitpur and Mahoba) in Bundelkhand Region of UP and four districts in western Uttar Pradesh (Baghpat, Meerut, Muzaffarnagar and Shamli) shall be responsible for assisting and participating in the project activities. The main activities of the department at district and state level shall be geo-tagged collection, compilation and analysis of secondary and primary data of canals, dams, drainage system, tubewells or any other water bodies in their jurisdiction GP wise. The department will assist in identification/selection and convergence of central/state government schemes to achieve pre-defined results as a measure for optimal water usage and consequent improvement in ground water scenario in consultation with DPMU/SPMU
- (v) Minor Irrigation Department, UP: The Department shall assist, ensure use of participatory processes for preparation/ updating of WSPs with the assistance of persons/agencies engaged with the GPs/ DPMU/SPMU. The main activities of the department at district and

state level shall be geo-tagged collection, compilation and analysis of secondary and primary data of check dams, bundis, tubewells or any other water bodies in their jurisdiction GP wise. The department will also assist in ground water management through micro-irrigation (drip & sprinkler, sensitization and awareness of local community for efficient use of water. Identification/selection and convergence of central/state government schemes to achieve pre-defined results as a measure for optimal water usage and consequent improvement in ground water scenario in consultation with DPMU/SPMU.

- (vi) Water Shed Development and Soil conservation Department, UP: The Department, Uttar Pradesh shall assist, ensure use of participatory processes for preparation/ updating of WSPs with the assistance of persons/agencies engaged with the GPs/ DPMU/SPMU.
- (vii) Agriculture Department UP: The Agriculture Department, Uttar Pradesh shall assist, ensure use of participatory processes for preparation/ updating of WSPs with the assistance of persons/agencies engaged with the GPs/ DPMU/SPMU. Training for DPMU staff, engineers and data collectors. The District Agriculture Officer of the concerned districts shall participate and assist the GPs/ DPMU to achieve the project objectives.
- (viii) Horticulture Department, UP: The Horticulture Department, Uttar Pradesh shall assist, ensure use of participatory processes for preparation/ updating of WSPs with the assistance of persons/agencies engaged with the GPs/ DPMU/SPMU. Training for DPMU staff, engineers and data collectors. The District Horticulture Officer of the concerned districts shall participate and assist the GPs/ DPMU to achieve the project objectives
- (ix) Panchayati Raj & Rural Development, UP: The district level officer of the concerned department shall assist, ensure use of participatory processes for preparation/ updating of WSPs with the assistance of persons/agencies engaged with the GPs/ DPMU/SPMU. Training for DPMU staff, engineers and data collectors.
- (x) Forest Department, UP-The District Forest Officer of the department shall assist, ensure use of participatory processes for preparation/ updating of WSPs with the assistance of persons/agencies engaged with the GPs/ DPMU/SPMU. Training for DPMU staff, engineers and data collectors
- (xi) UP Jal Nigam: The district level officer of the concerned department shall assist, ensure use of participatory processes for preparation/ updating of WSPs with the assistance of persons/agencies engaged with the GPs/ DPMU/SPMU. Training for DPMU staff, engineers and data collectors
- (xii) The concerned beneficiary Gram Panchayats (GPs).. The Gram panchayat level activities will broadly include-**
 - Create/ Build/strengthen the standing committee on Water and Sanitation Management Committee (WSMC)and Water User associations (WUAs)/ Community Based Organisations (CBOs) in the GPs with members to support preparation, planning, budgeting, management, and implementation of Water Security Plans (WSPs).

- Convene Gram Sabha for review/ discussion of water budget/ WSP and passage of resolution approving the WSP.
- Awareness creation and sensitization of the local communities ensuring community participation in planning sustainable management of ground water.
- Undertake data collection and entry in MIS developed by NPMU, Atal Bhujal Yojna, Government of India by identifying the Volunteers from GPs and to train them in data collection related to ground water levels, rainfall, water quality etc.
- Conduct trainings and communication programs for all stakeholders to enhance beneficiary community engagement in the Program activities
- Drawing support of the Program Implementing Agency (PIA), Central Ground Water Board (CGWB) and District Program Management Unit (DPMU), conduct community consultations at village levels for preparation of WSPs and water budgeting and submit to Gram Sabha for discussing WSPs and passage of resolution approving the WSP
- Development of GP level water budgets, it will be updated on a regular basis (at least once every year).
- Coordinate with DPMU, block- and district-level administration for assistance, in monitoring implementation, community communications, and behaviour change initiatives
- Assist State Program Management Unit (SPMU)/ DPMU for inclusion of program activities into the AWP based on the activities and budgets approved in the WSP for the district/division for approval of PIA
- Guide/support Program partners and experts/agencies like, Gram Panchayats (GPs), different water user groups and field units of the state line departments of Agriculture, Horticulture, Sericulture, Minor Irrigation (MI), Irrigation and Water Resource Department (IWRD), Animal Husbandry, GWD, , Taluk Office, etc., in development and implementation of WSPs
- Ensure that activities implemented comply with environment and social norms, as detailed in the approved WSPs.
- Collection, compilation and analysis of secondary and primary data related to both surface and groundwater sources, availability, quality, utilization, & irrigation approaches being followed and prepare baseline prior to organizing the water budgets, estimates, and workshops at Gram Panchayat level.

- Support the GPs in exploring and developing options for innovative measures for achieving water security by improving and maintaining the water sources and increasing storage capacity to deal with increasing seasonal variability in the availability.
- Building capacities of the GP Members and community in the villages, by organizing water budgeting workshops on supply and demand sides of water resources, water quality, sustainability, water security including maintenance of the assets created under various schemes and programs for water resources conservation, development and management.

xiii) **State Institute of Rural Development (SIRD):**

b) **Institutional Arrangements**

- A State Level Inter Departmental Steering Committee (SLSC) has been established in the State of Uttar Pradesh vide **GR/GO no 325/76-3-2020-07 GW/2017, Dated 21/05/2020 (Annex-2)**, to provide policy direction to the entire program, monitor physical and financial performance of executing agencies, recommend measures for the effective implementation / functioning, overall administration, management and co-ordination of activities under Atal Bhujal Yojana in the State.
- The Ground Water Department (GWD) Uttar Pradesh is the Project Implementing Agency for execution of activities of Atal Jal in Uttar Pradesh, and the Principal Secretary, Namame Gange and Rural Water Supply Department, Government of Uttar Pradesh, is the **Project Co-ordinator and Director, GWD, Uttar Pradesh as Project Director for this program.**
- The Government of Uttar Pradesh vide its GR/GO no. 325/76-3-2020-07 GW/2017, Dated 21/05/2020 (Annex-2) has authorized Ground Water Department (GWD) as the nodal department for execution of activities of Atal Jal in the State for participating districts, Blocks, Gram Panchayats and villages thereof.
- The Government of Uttar Pradesh vide its **GR/GO no. 326/76-3-2020-07 GW/2017, Dated 21/05/2020 (Annex-3)** has constituted the State Program Management Unit (SPMU) and that it would be headed by the Director, Ground Water Department, Uttar Pradesh, designated as Project Director of SPMU.
- The composition of specialists and staff of SPMU are also approved in the above said GO.
- The Government of Uttar Pradesh vide its **GR/GO no. 327/76-3-2020-07 GW/2017, Dated 21/05/2020 (Annex-4)** has authorized constitution of District Program Management Unit (DPMU) along with deployment of staff and experts to support implementation. The DPMU have been established at all the ten project districts of Banda, Chitrakoot, Hamirpur, Jhansi, Lalitpur, Mahoba, Baghpat, Saharanpur, Meerut and Shamli.

c) Fiduciary roles and responsibilities

The fiduciary roles and responsibilities for SPMU and DPMUs are detailed in Table 1 & 2 below

Table :1 – Fiduciary Responsibilities at the State Level by SPMU

| Function | Activity | Time Lines |
|-------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Procurement | <ul style="list-style-type: none"> a. The Executive Engineer, (Atal Jal) Ground Water Department, (GWD) Lucknow, Uttar Pradesh- will work as the Procurement Officer. All procurement related activities for ATAL JAL YOJANA will be done by Director, GWD, UP, Lucknow. SPMU is housed as a separate unit with the office of Director, Ground Water Department, UP Lucknow. Procurement will be made through Procurement Committee duly constituted by the Government of Uttar Pradesh. The e-procurement portal for all procurements under the project shall be https://etender.up.nic.in b. All the Executing Agencies (line departments/ GP) and DPMU will also follow the procurement framework provided in this manual. c. Hire experts for SPMU/DPMU - recruit subject experts, consultants, staff, and other procurement d. Hire District Implementation Partners e. Prepare and submit to NPMU for prior approval the Annual Work Plan (AWP) for activities to be taken up under the program. f. Update and maintain Procurement Plan of concerned Executing Agencies. g. Maintain all procurement records for review. h. Feed procurement data into the Program MIS i. Consolidate annual procurement plans received from districts and include the same in the consolidated AWP prepared for the state and submit to SISC for approval and thereafter to NPMU for Concurrence j. Ensure that auditors' ToR for GPs-, DPMU, all Executing Agencies and SPMU level activities include procurement performance review and compliance to the Program Guideline and submit the report to NPMU k. Ensure records of all procurement and contracts, payments, extensions to be kept in an indexed manner for annual procurement review/audit. l. Ensure annual independent procurement review/audits are | <ul style="list-style-type: none"> a. The Procurement Officer/Committee for Atal Jal will be appointed By March 2021 b. Continuous c. By March 2021 d. By March 2021 e. AWP approved for Year 2020-21. Subsequent years by Dec 15. f. PP approved for year 2020-21. Subsequent years by Jan15. g. Continuous h. Continuous. i. Annually, by Dec 31 every year. j. Annually, by Dec 31 every year k. Continuous. l. Continuous. |

| Function | Activity | Time Lines |
|----------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <p>undertaken—according to the guidance of the DoWR, RD & GR.</p> <p>m. All procurement more than Rs 10.00 lacs (Rs Ten lacs only) will be done through e-procurement only using https://etender.up.nic.in platform (Annex- 5 GO No 256/78-2-2018/42-IT/2017 TC dated 24 April 2018) and सं. ११-१०/२०१८/४८९/७८-२-२०१८-४२ IT/२०१७/७८ dated २६.७.२०१८ (Annex-6)</p> | m. Continuous. |
| Financial management | <p>(a) At the State level, where a Ground Water Department, Uttar Pradesh is the Program Implementing Agencies (PIA), it will establish a State Program Management Unit (SPMU) which shall follow prevalent fiduciary arrangements applicable for Central Sector Schemes and other relevant GFRs and amendments thereof issued from time to time will be adopted for implementation of the Scheme. As per revised procedure for flow of funds under Centre Sector under Atal Bhujal Yojana, the State department (PIA)/ State Program Management Unit (SPMU) are to be designated as Central Nodal Agency (CNA) effective from 1st April 2022. In this document, reference to SPMU would be deemed to be reference to CNA. Atal Bhujal Yojana (Code 3282), a Central Sector Scheme marked as CNA on 07.10.2022 in PFMS.</p> <p>(b) Open dedicated bank account in a Public Sector bank as authorized by the Ministry of Finance, Government of India vide its OM no. S-11012/3(1)/Bank/Ref. Case/2010/GBA/1351-1454 dated 21/8/2019. (Annex-7). The Saving Bank Account for operation of Atal Bhujal Yojna has been opened in Canara Bank, Sapru Road Branch, Lucknow. The joint two signatories for operation of the bank account are Director, Ground Water Department, Lucknow and Senior Finance and Accounts Officer, Minor Irrigation Department, Lucknow. GO no 150/76-3-2020-21 GW/2018 dated 20-2-2020 (Annex-8) and (Director Letter no 908/ GWD/WBP/Atal Bhujal Yojna dated March 02, 2020)- Annex-9</p> <p>(c) Designate authorized signatories to operate the bank account.</p> <p>(d) Consolidate annual budget requirements.</p> <p>(e) Consolidate Program expenditure statements and submit to SISC for approval and further submission to NPMU. Prior in principle approval for incurring the expenditure would be required.</p> <p>(f) Prepare annual budget requirements, reconciliation, and inclusion of same in AWP and submit it to NPMU for approval and release of funds: Nodal Officer & Accounts-in-Charge.</p> <p>(g) Make timely payments to GPs/, contractors, and so on : PD/Nodal officer.</p> <p>(h) Ensure all monthly expenditure, advances, transfers, interests received are entered in the PFMS and supporting documentation is submitted to SPMU.</p> | <p>(a) Done.</p> <p>(b) Done</p> <p>(c) Done</p> <p>(d) By Dec 15 each year</p> <p>(e) Submission of AWP and budgets by Nov 15 each financial year</p> <p>(f) Continuous</p> <p>(g) Continuous</p> <p>(h) Continuous</p> <p>(i) Monthly</p> <p>(j) Audit reports for the preceding financial year to be submitted within 2nd quarter of each financial year</p> <p>(k) Annually and/or as required from time to time</p> <p>(l) As required from time to time</p> <p>(m) Continuous</p> <p>(n) Continuous</p> <p>(o) Monthly</p> <p>(p) Annually</p> |

| Function | Activity | Time Lines |
|------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <p>(i) Track fund releases to subordinate offices and verify utilization certificates submitted by them: Accounts-in-charge and Nodal Officer. The sub-ordinate offices are:</p> <ol style="list-style-type: none"> The Executive Engineer, GWD, Chitrakoot Dham, Banda Division, Banda. Senior Geophysicist, Jhansi Division, GWD, Jhansi. Senior Geophysicist, Meerut Division, GWD, Meerut. The Executive Engineer, Saharanpur Division, GWD, Saharanpur. <p>(j) Prepare monthly statement of accounts and reconciliation with bank statements – Accounts-in-charge</p> <p>(k) Submit consolidated Audited Financial Statements (AFSs) and annual procurement plans received from districts to SISC for approval : PD, Nodal Officer & Accounts-in-charge</p> <p>(l) Allocate Program funds between departments for activities identified in state AWP : PD & Accounts in Charge</p> <p>(m) Allocate and disburse Program funds for districts/ Executing Agencies for GPs for partial funding of activities identified through participatory process and monitor performance/results : Nodal Officer & Accounts-in-charge. Partial payments are allowed.</p> <p>(n) Oversee timely release of funds to different line departments/ GP : PD & Accounts-in-charge</p> <p>(o) Follow approved delegation of powers for incurring expenditure – Accounts-in-charge.</p> <p>(p) Upload monthly statement of accounts and Annual Financial Statements on the website for public viewing: Nodal Officer</p> <p>(q) Prepare FM report/summary for SISC – Nodal Officer</p> <p>(r) Submit audit reports to NPMU – Nodal Officer & Accounts-in-charge</p> | <p>(q) By October each year</p> |
| Citizen's feedback, Grievance Redressal System | <p>(a) Operationalize Citizen's Feedback Systems and guidelines carrying out social audits – Nodal officer</p> <p>(b) Conduct training and capacity building of staff and other executing agencies to facilitate implementation : Nodal Officer</p> <p>(c) Establish the Grievance Redressal System (preferably IT based for ease of operation). Monthly meetings will be conducted for proper monitoring of the system : PD</p> <p>(d) Conduct social audit of activities</p> <p>(e) Redress grievances received within the required time limits</p> <p>(f) Consolidate and analyze grievances received and resolved at district and GP levels to take initiatives to avoid repetition of the same</p> <p>(g) Record citizen's feedback, consolidate, and compile into a report for public dissemination. An effective Grievances Redressal Mechanism is existent in the State. Details of officers for Grievance Redressal</p> | <p>(a) First year</p> <p>(b) Continuous</p> <p>(c) First Year</p> <p>(d) Annually</p> <p>(e) Continuous</p> <p>(f) Quarterly</p> <p>(g) Annually</p> |

| Function | Activity | Time Lines |
|--------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|
| | for Atal Jal, UP. (Annex-10) | |
| Reporting, documentation | (a) Submit consolidated Implementation progress report to SISC and subject to SISC's approval, submit the same to NPMU (b) Submit compliance report to NPMU | (a) Semiannually (b) Annually |

Table :2 – Fiduciary Responsibilities at the District Level by DPMU/ Sub Agency

| Functions | Activity | Time Lines |
|-----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Procurement | (a) Ensure all procurement follows the Program fiduciary guidelines prepared for Atal Bhujal Yojana (b) Include annual procurement plans in AWP (c) Feed procurement data into the program MIS (d) Conduct sample procurement audits as per TOR agreed with NPMU and World Bank. (e) Maintain documentation of all procurements by DPMUs and GPs for annual reviews and audits. (f) Ensure procurement procedures followed are in compliance with Financial Hand Book Vol I to Vol VI, UP Procurement Manual for Procurement of Goods and those detailed in this manual. (g) Ensure procurements by GPs does not include items from the negative list given in the Program Guidelines (h) Ensure adequate staffing and capacity building of the selected staff (i) small procurement less than Rs.10000/--- (j) Ensure appropriate records (asset register) are maintained for asset created (k) Ensure receipt of goods and material / execution of works/ services in quality manner as per bid specifications/ToR (l) Maintain records for procurements and ensure proper entry of the stocks/Works/Reports for annual reviews and audits. (m) All procurement as per the SOP of state. | (a) Continuous (b) Annually (c) Continuous (d) Continuous. (e) Continuous (f) Continuous (g) Continuous (h) Continuous (i) Continuous (j) Continuous (k) Continuous. (l) Continuous. (m) Continuous |
| Financial arrangement | (a) The SAs will use the CNA's accounts with clearly defined drawing limits set for that account However, depending upon operational requirements, zero balance subsidiary accounts for each scheme may also be opened by the SAs | (a) As required /applicable (b) Annually |

| Functions | Activity | Time Lines |
|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <ul style="list-style-type: none"> (b) Consolidate, review district-level WSPs, and accordingly prepare district-level Action Plan & budgets. (c) Ensure submission of recommendation, budgets and cost estimates to SPMU for approval, allocation, and disbursement by SPMU. (d) Submit monthly expenditure statements with supporting documentation to SPMU. (e) Follow approved delegation of powers for incurring expenditure (f) Ensure timely payments. (g) Ensure timely preparation and submission of Utilization Certificates (UCs) and Completion Certificates (CCs). (h) Ensure timely reconciliation of expenditure with Bank Account at least once in a month (i) Maintain record and documents to check the expenditure and payment as per availability of budget for particular activity and for auditing | <ul style="list-style-type: none"> (c) Annually (d) Monthly. (e) At least Annually (f) As required /applicable (g) Continuous (h) Monthly (i) Continuous |
| Reporting | <ul style="list-style-type: none"> (a) Prepare implementation progress reports and other such reports, as desired by SPMU. (b) Ensure timely reporting of the execution of supply, contracts and services in their areas along with submission of financial & physical progress (c) Ensure timely resolving and reporting of the grievances registered online offline for the Project | <ul style="list-style-type: none"> (a) Quarterly or as solicited by SPMU (b) Continuous (c) Continuous |

Detailed Procurement management arrangements for Atal-Jal is detailed in Section IV below.

All Executing Agencies (Line Departments and Gram Panchayats), that are awarded incentive component, for upon achievement of DLIs, shall ensure that standard applicable procedures in accordance with and its subsequent amendments thereof, or GOs/GRs/ program guidelines/Circulars/Orders issued** from time to time shall be complied with for all procurement (if any) and financial transactions including utilization of funds drawn from other ongoing and or new schemes announced by the State of Uttar Pradesh and/or Government of India.

III) FINANCIAL MANAGEMENT

a) Fund Flow and Banking

1. **Fund flow:** The Ground Water Department, Uttar Pradesh, being the SPMU of the Implementing Agencies under Atal Bhujal Yojana are designated as Central Nodal Agency (CNA) under the Central Sector Scheme “Atal Bhujal Yojana (Atal Jal)”. As per revised fund flow guidelines for Central Sector Schemes

| S. No. | Agency/State | Central Nodal Agency (CNA) |
|--------|---------------|------------------------------------------------------------------------------------------------------|
| 1 | Uttar Pradesh | State Program Management Unit, Atal Bhujal Yojana, Ground Water Directorate, Govt. of Uttar Pradesh. |

District Program Management Units (DPMUs) & respective State Government Line Departments, below the level of CNA are designated as the Sub-Agency under the Central Sector Scheme “Atal Bhujal Yojana (Atal Jal)”.

The SPMU/CNA shall submit its request for release of funds to NPMU for disbursement of funds for implementation of Institutional Strengthening & Capacity Building activities detailed in the Annual Work Plan (AWP) approved by the competent authority each year. NPMU after review, shall submit it to DoWR, RD&GR with recommendations for release of funds. DoWR, RD&GR will release funds to SPMU in two tranches annually into the Program specific dedicated bank account.

2. DoWR, RD&GR will release funds to SPMUs against approved AWP/Budgets. Funds to the participating States for the Institutional Strengthening and Capacity Building Component and Incentive Fund would be released in tranches, through direct transfers into the dedicated bank accounts (Central Nodal Account) of the SPMUs through PFMS based on the report of the Third-Party Government Verification Agency (in case of Incentive Fund) and availability of funds under the relevant Budget Head.

~~Funds in respect of the Incentive component would be released annually through direct transfers into the dedicated Scheme bank account and will be replenished in the subsequent years based on the utilization of funds and performance on achievement of each Disbursement Linked Indicators (DLIs) in the preceding year.~~

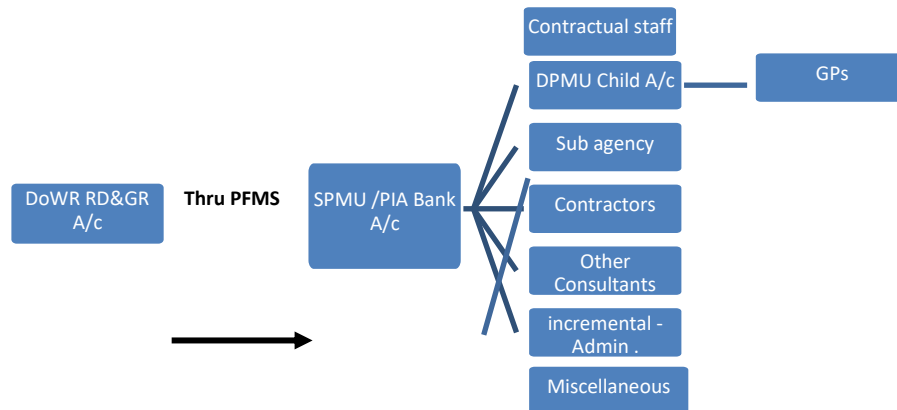
Any fund release beyond the 1st year of implementation, will be subjected to submission of annual audit reports, utilization certificates, approved AWP by SPMU as per established GoI procedures for central sector schemes.

The funds from DoWR will be routed through the Public Financial Management System (PFMS) as is being done in other central sector schemes.

3. **DoWR shall release the funds to the CNAs as far as possible in ‘Just-In-Time’ manner keeping the float in CNAs’ account to the minimum possible. Each disbursement /transfer of funds by the DoWR to the SPMUs shall not exceed 25% of the approved AWP for the respective state in each financial year. Additional funds (not more than 25% at a time) will be released only upon**

utilization of at least 75% of the funds released earlier and in compliance with the conditions of previous sanction. However, there is no limit in the number of fund transfers as the same is subjected to utilization of funds transferred in the preceding disbursements by NPMU to the respective SPMU.

Fund Flow Chart



Bank Account : SPMU, UP GWD will maintain a dedicated scheme specific Bank¹(CNA) A/c, account no. 2186101061773 having the name and title “Nideshak Bhugarbh Jal Vibhag, Uttar Pradesh, Lucknow (Atal Bhujal Yojana)” for Atal Bhujal Yojana. Funds from DoWR, RD&GR to UP GWD will be affected through PFMS vide PFMS account no> UPLU00012571 using Electronic Clearing Services (ECS) - PFMS to this account. This bank account maintained by UP GWD shall adhere to the following conditions:

- a) Open Account with a Scheduled Commercial Bank (SCB) authorized to do Government business, for each scheme under which it receives grant.
- b) There would be only one account for the program per SPMU/CNA;
- c) Separate bank account (Holding account-non-interest-bearing account) shall be opened by the CNA and SAs in the same commercial bank in which the CNA account is held to facilitate tax/statutory deductions
- d) The SAs will use the CNA's accounts with clearly defined drawing limits set for that account However, depending upon operational requirements, zero balance subsidiary accounts for each scheme may also be opened by the SAs
- e) All zero balance subsidiary accounts will have allocated drawing limits to be decided by the CNA concerned from time to time and will draw on real time basis from the Central Nodal Account of the scheme as and when payments are to be made to beneficiaries, vendors etc. The available drawing limit will get reduced by the extent of utilization.
- f) CNA account and all zero balance subsidiary accounts should be maintained with the same bank.
- g) Only banks having a robust IT system and adequate branch network should be chosen for opening Central Nodal Account and the zero balance accounts of SAs of each Central Sector Scheme. The bank chosen should have the facility to open the required number

¹ Note: Project bank account should be opened in a Public Sector Bank only.

- of subsidiary zero balance accounts and a robust MIS for handling accounting and reconciliation at each level. The bank should also provide necessary reports and a user-friendly dashboard to officers at various levels to monitor utilization of funds by SAs
- h) The accounting bank's software system should be able to monitor the drawing limits of the SAs to monitor and report funds drawn by SAs on real time basis from the CNA's account, as and when payments are effected. The selected bank should ensure proper training and capacity building of branch managers and other staff for smooth operation of these accounts.
 - i) The project account should be savings bank account and the interest accrued shall be reflected in the utilization certificate and monthly Bank reconciliation statements will be submitted for internal and external auditors. The interest accrued from the project account will be deposited in BHARATKOSH as given in GFR 2017 Rule no. 230(8) by Government of India.
 - j) The bank account will be operated by the designated officers with minimum two signatories (**Joint A/c of Nideshak, Bhugarbh Jal Vibhag, Uttar Pradesh, Lucknow and Vitta evam Lekhadhikari, Ladhu Sinchai Vibhag, Lucknow**) and or as directed/approved by the GoUP.
 - k) The accounting centers in each state shall be limited to SPMU and DPMU/ Sub agency levels only which includes participating GPs receiving incentive funds from the Program.
 - l) All payments to contractors for goods and Services, civil works, consulting and non-consulting services, and remuneration for contractual staff, shall be effected centrally by SPMU upon submission of bills duly approved by the DPMU/SPMU and or by the designated authority of the respective approved implementing agency.
 - m) Gram Panchayats will receive incentive funds from SPMU based on the completion of activities assigned to them, by the DPMUs and or SPMUs, and accomplishment of DLIs verified annually by TPGVA, as applicable. The expenditure statements for the funds received will be submitted to DPMU for verification on a quarterly basis (or through PFMS as applicable), while the annual audit report of the Local Fund Audit will be submitted to SPMU by October 31 of each calendar year. SPMU bank account will be mapped in PFMS by NPMU
 - n) SPMU will effect payments from the aforesaid Project dedicated Bank account to contractors, consultants, individuals etc. only using the PFMS platform.
 - o) SPMUs shall submit UCs to NPMUs after utilization of the funds from the Central Nodal Account.
 - p) Cash withdrawals for petty cash expenses and or travel advances or any such small payments is permitted subject to a limit of Rs.10000/ as approved by the SISC/Department of Finance of Govt of UP.
 - q) SPMUs shall ensure that the Program specific dedicated bank accounts are reconciled at least on a half-yearly basis.

Banking arrangements at the DPMUs

- a) The SPMU will, upon approval of SISC/Department of Finance, authorize each District Project Management Unit (DPMU) to open a dedicated Scheme specific zero-balance bank Account (child account) linked to the Parent account in the Bank of_____ (preferably) to facilitate drawing limit of funds to meet the requirements of DPMU.

- b) SPMU will issue authorization limit of Rs. 10,000 (or as amended from time to time by competent authority) to the DPMUs and payment instructions to the Canara Bank for drawing down of funds from the Parent account electronically to the Child Bank account for effecting payments at the district level through PFMS. The child accounts will be mapped in PFMS.
- c) DPMUs will issue payment instructions for contractors and or other service providers/cash withdrawals – as the case may be, to its project bank (child bank) account. Funds will be released by the Bank based on the authorized limits of withdrawals, by drawing the same from the ‘parent’ account through electronic transfers.
- d) At any given time, the balance in the child account should be “Zero”.
- e) A total no of 10 child bank accounts are to be opened based upon the number of DPMUs in the participating districts. Any additional child accounts shall be opened only upon approval of additional districts under the Program by SISC and NPMU.
- f) Separate bank account (Holding account-non-interest bearing account) shall be opened by the SAs (Sub agencies) in the same commercial bank in which the CNA account is held to facilitate tax/statutory deductions.

Banking arrangements at the Gram Panchayats

- a) Executing Agencies (DPMUs) will receive f allocation in their accounts from SPMUs based on the completion of activities (DLIs) under incentive component assigned to them, and duly verified by the TPGVA.
- b) All approved expenditure of the GPs using Incentive grants will be entered in the PFMS based on the cashbook and other payment related documentation maintained by the GP.
- c) Wherever GPs are familiar with PFMS operation, their Bank accounts may be opened and shall be mapped to PFMS by the SPMU and those GPs shall maintain their cashbook in the PFMS.

Fund release and authorization of expenditure

Funds from the DoWR, RD & GR for Institutional Strengthening & Capacity Building will be provided to UP GWD SPMU in their dedicated Program bank account opened (C N A) following the Expenditure-Advance-Transfer (EAT) module in the Public Financial Management System (PFMS), to be replenished based upon the utilization of funds for the approved Annual Work Plans (AWPs).

- i) Funds provided as incentive for achievement of DLIs will be released in a tranches following the aforesaid procedures to the SPMUs through the PFMS..
- ii) Incentive funds will be disbursed to the SPMUs by DoWR, RD&GR, through PFMS for onward allocation to qualifying Districts/GPs and shall be based on the findings and reports of Third Party Government Verification Agency (TPGVA). Upon approval of the

report by the NISC, a GO will be issued detailing the incentive award for achievement of each DLI by the participating states.

- iii) Upon receipt of incentive grants from DoWR, RD&GR, SPMUs may carryout onward allocation as detailed in the Program Guidelines issued by DoWR, RD & GR, for use of these incentive grants. The allocation to the Executing Agencies (Line Department/GP) will be made through a GO issued by competent authority in Govt. of Uttar Pradesh listing out the name of the Line Department/GPs
- iv) All funds under the Program will be fully mapped in real-time through the PFMS to ensure just-in-time further releases.
- v) All receipts and withdrawals from the bank accounts and unutilized balances will be available for viewing by the DPMUs, SPMU/PIA and NPMU in the DoWR, RD&GR.
- vi) Interest earned from the funds in any of the aforesaid accounts shall be deposited in BHARATKOSH.

b) Accounting Framework

The Project Director, named for Atal Bhujal Yojna, by the Government of Uttar Pradesh, shall have the primary responsibility for the financial management and disbursement in accordance to the policies and procedures currently practiced in the State of Uttar Pradesh and as detailed in the Financial Handbooks Vol I to Vol VI and its amendment thereof for all financial allocations and expenditure to support the identified and approved activities under the AWP and those listed in the approved Procurement Plan. The policies and procedures as detailed in Program Guidelines for Atal-Jal and the Fiduciary manual of NPMU shall be complied by the SPMU, DPMU, GPs and contractors/individuals and or other such partners engaged in the program. Further -

- (i) The expenditure under the Program would be reported through the Expenditure, Advance and Transfer (EAT) Module of PFMS. There should not be any overdue audit reports, at the SPMU/DPMUs/GPs, beyond the preceding year.
- (ii) To ensure uniformity of bookkeeping at all levels, the Account Codes developed for the Atal-Jal Program (as given in Annex- xx), shall be adopted. The Chart of Accounts will be as provided by NPMU in the National Fiduciary Manual (as amended from time to time). The Chart of Accounts is designed to guide executing agencies/partners under the Program to capture and record financial details of various transactions to facilitate effective management of their project components.
- (iii) Accounts-in- charge at accounting centers shall :
 - Exercise adequate control over all the expenditures and assets acquired
 - Ensure the protection and proper use of assets
 - Ensure the correct recording of financial transactions in the appropriate books and records
 - Safeguard assets against wastage, fraud and misappropriation ensuring accuracy and reliability in the records maintained
- (iv) All accounting for the program will be centralized at the SPMU (Accounts Incharge). All payments including withdrawals for petty cash expenses will be drawn from the PFMS and also reconciled with the Bank account on a monthly basis.

- (v) Accounting for the program will be consolidated at SPMU level and SPMU/DPMUs will be audited by the Program Internal Auditor appointed by the NPMU (details are provided in the National Fiduciary Manual) on a half yearly basis and external statutory auditor on an annual basis.
- (vi) The DDOs designated for Atal-Jal will effect payments using PFMS upon receipt of bills approved by the Project Director, SPMU.
- (vii) All financial transactions/payments to contractors/consultants/ service providers etc. shall be made through PFMS only. Miscellaneous expenses incurred drawing cash from petty cash withdrawn from the Bank account shall be recorded in the cash book/ledgers maintained by SPMU & DPMUs.
- (viii) Accounts-in-charge in the SPMU shall confirm the budget balance of the concerned Head of Account before effecting any payment from the Program's Bank account
- (ix) All payments must be supported by documents such as bills, receipts and cash memos. Vouchers shall be prepared based on the bills, receipts and cash memos.
- (x) On receipt of the supporting documents for a payment, the Accounts-in-charge shall prepare a Payment Voucher. She/He shall sign the form; obtain necessary approvals of the competent authority before effecting payments online.
- (xi) When disbursing payments, the Accounts-in-charge shall ensure that the recipient acknowledges receipt of payment against the specific bills either through email or other written communication, which will be kept together with the payment voucher approved by the competent authority as proof of disbursement.
- (xii) Wherever cash payment is paid to an individual/firm from petty cash maintained by the SPMU, an official stamped receipt shall be obtained and attached with the payment voucher.
- (xiii) The payment to DIPs, consultants and or other such approved agencies for services rendered shall be as per the terms and conditions in the contract entered into with them.
- (xiv) Wherever advances are paid, if any, to the agencies mentioned in xiii above, the same will be adjusted at close of every financial year and or on a pro-rata basis and be completed before 80% of contract value is paid to the recipient on satisfactory completion/ deliveries of agreed activities. Advance payment will be made only after prior approval of the Project Director.
- (xv) The assets created and acquired out of scheme funds shall be accounted at cost
- (xvi) All materials purchased for implementation of approved activities under the Program shall be charged to the relevant scheme expenditure at the time of purchase itself.
- (xvii) Maintain cash books and other relevant ledgers for the Program separately for the ease of accounting, auditing, and reporting along with the statements of the dedicated bank account. A cash book will be maintained by DPMUs for recording expenditures permitted under their thresholds.
- (xviii) Compile monthly accounts and submit the same through PFMS established for Atal Jal .
- (xix) SPMUs shall consolidate the financial reports of utilization of incentive grants, complied by DPMU for the recipient GPs under their jurisdiction, which will be submitted with the QPRs uploaded in the MIS by SPMU.
- (xx) All books of accounts maintained for the Program will be audited by the State AG while the accounts maintained by the GPs will be carried out by Local Fund Auditor in the State.

- (xxi) The Utilization certificates for the funds received from DoWR, RD&GR will be submitted online through Program MIS to NPMU and DoWR, RD&GR for consolidation.
- (xxii) Books to be maintained at SPMUs: Cash Book, Fixed asset Register. Tender Register Contractors ledger and payment register- vouchers in the PFMS; while Bank statement and Bank Reconciliation Statements – separately in the SPMU. The existing provisions in the PFMS will be used for reconciling Bank statements with that of the expenditure statement in the PFMS.
- (xxiii) A Project Ledger shall be maintained, wherein all transactions (receipts/ payments) are to be posted as and when incurred. A ledger folio shall be opened according to the Account Codes under each head of account as detailed in Annex-xx.. Posting to the Program Ledger shall be made from the voucher, quoting the date, particulars, Voucher number and amount.
- (xxiv) Every month-end, summary ledger sheets shall be balanced to facilitate preparation of financial reports.
- (xxv) Every month-end, a Bank Statement shall be obtained from the bank with respect to the account maintained by the UP GWD for the program
- (xxvi) On receipt of the Bank Statement, the balance appearing therein shall be reconciled with that shown in the Bank/Cash Book by preparing the Bank Reconciliation Statement.
- (xxvii) All debits charged by bank for bank charges or commissions and all credits for the interest and other that appear in the monthly bank statement shall be scrutinized carefully before accepting them and before recording those debit/ credits in the Cash Book
- (xxviii) Books to be maintained at DPMUs: 1.. Cash Book, Contractors ledger and payment register- vouchers in the PFMS; while Bank statement and Bank Reconciliation Statements – separately in the DPMU
Books to be maintained by GPs: 1. Separate Cash book for Atal Jal; 2. Bank Statement; and 3. Expenditure vouchers. Recipient GPs that are familiar on use of PFMS may book their expenditure in the PFMS itself and no separate cash book needs to be maintained.

c) Financial Reporting

The Project Director, SPMU will compile and prepare financial progress reports for the Scheme in the State on a quarterly basis and submit the same as part of the Quarterly Progress Reports (QPRs) to NPMU, for the preceding quarter. These QPRs will be submitted to NPMU within one month of completion of each quarter i.e April 30, July 31st, October 31st, January 31st, each year.

Further, SPMU will submit Monthly Expenditure progress to GWD of Government of Uttar Pradesh by 15th of the following month, which will be drawn from PFMS only as eligible expenditures shall only be those that are registered in the PFMS with the following documents:

- i) Receipt and Payment of Funds - A consolidated monthly receipt and payment of funds shall be prepared by SPMU, on the basis of entries in the PFMS, and monthly consolidated reports drawn from the PFMS.

The financial progress reports shall include expenditures incurred and consolidated by SPMU, Bank reconciliation statements and summary of utilization certificates.

SPMU will prepare the Annual Financial Statement (AFS), as drawn from the PFMS and submit the same to NPMU, for its review. This AFS will consist of a Statement of Sources and use of Program Funds and a Statement of Program Expenditure in the AFS format shared by NPMU in the latter's Fiduciary Manual. The AFS shall be placed before the SISC for their consideration and adoption

d) Internal Audit

The internal Auditor appointed by the NPMU (which may include private audit firm) shall carry out internal audit of SPMU and DPMUs on a half-yearly basis and submit its report to SPMU with a copy to NPMU. SPMU shall ensure that any audit observations cited in the internal audit report is adequately explained and remedial actions if any required is undertaken within 30 days from the receipt of the audit report. The audit reports and the compliance thereon shall be placed before the SISC. Upon completion of the remedial measures, the Internal audit report along with action taken report will be submitted to SISC for its review, approval and guidance. The internal audits of SPMU, DPMU and or other partner agencies of this Program shall be guided by the Internal Audit Manual prepared by the office of the Controller General of Accounts (CGA), Government of India.

Internal Controls: Internal control framework and the MIS developed for the Program at the state level will follow Government of Uttar Pradesh Financial Handbook Vol I to Vol VI as amended up-to-date, Uttar Pradesh Procurement Manual (Procurement of Goods)-2016, FRs; and, Delegation of financial powers at the state level will follow the directions by the State of Uttar Pradesh, from time to time.

e) External Audit:

AG's office in Uttar Pradesh shall conduct audit of the operations of the SPMU, GWD (HQ), DPMUs, and review the LFAD's audit reports on participating GPs. The Project Director, SPMU will be responsible for coordinating the audit. The AG shall provide a consolidated certificate of expenditures and an audit opinion by way of a management letter, in line with the TORs shared by the NPMU. The audit will be conducted in accordance with the terms of reference agreed by the C&AG for externally aided projects. In case external audit is to be conducted by a private audit firm of Chartered Accountants, prior approval of the NPMU/Bank will be obtained on the terms of reference and the audit firm selected.

The annual audited financial statements will consist of (i) audit opinion, giving an assurance that Program funds have been spent for the purposes intended; (ii) annual financial statements (iii) comments on economy, efficiency and effectiveness of utilization of Program funds, and (iv)

management letter highlighting significant issues to be reported to the management. The audited financial statements will be made public on the website of UP GWD and Atal Jal.

The audit will be completed and AFS along with the audit report will be submitted to SISC for its concurrence before formally uploading the same through MIS for submission to DoWR RD &GR, by November 30 each year (or such other time as communicated by NPMU) along with remedial measures taken to address the audit observations, if any, by the AG/external auditors. Any instance of non-compliance and major irregularities in the project implementation shall be immediately reported to the higher authorities for necessary course of action. The annual audited financial statements shall be placed for the SISC for their consideration.

IV) PROCUREMENT MANAGEMENT

a) Guidance on Procurement planning, approval, Monitoring and updating plan:

Procurement is an important administrative and financial function and process that allow a project to obtain optimal value for financial resources expended on goods, works and services. The effective and efficient use of financial resources in a competitive and transparent manner through a sound procurement process contributes to the achievement of the operational and strategic goals of a program

This section of the Fiduciary Manual deals with procurement issues and provides comprehensive guidelines for procurement to be carried out under the project by Executing agencies (Line Department) of Atal- Jal in Uttar Pradesh. The key features in the section include but are not limited to processes and procedures for procurement of Goods, Works and Services (consulting and non-consulting services) with due consideration for value for money (economy, effectiveness and efficiency) and without regard to other non-economic factors, in order to obtain the best value for money spent.

The process and procedures detailed here are the simplified version of the U.P. Govt. Financial Handbooks Vol I to Vol VI as amended up-to-date (<http://budget.up.nic.in/finhando.htm>) , U.P. [Procurement Manual \(Procurement of Goods\) 2016](#), and FRs issued by Government of Uttar Pradesh time to time hereof being followed by the state departments for implementing various central and state schemes. Should there be clarifications to any text in part or full in any of the sub sections below, the FRs and its amendments issued by the Government of Uttar Pradesh from time to time be referred to in conjunction with this fiduciary manual and Program Guidelines for Atal-Jal and the fiduciary guidelines as issued by NPMU . For any future amendment which is not in conjunction with the stated rules and regulations shall be done in concurrence with NPMU and the Bank .

The **procurement plan** shall be prepared prior to taking up the procurement by the executing agency and duly cleared as per State delegation. It will specify estimated cost and activities (works, goods and services) required to be procured during the year and include the level at which it will be procured. The plan shall be consistent with budgetary allocations, technical and administrative approved estimates, agreed methods for procurement, award of contract and

contract completion period and aligned to the annual work plans. It will be updated annually or as needed throughout the duration of the project. **Sample Format of the Procurement Plan is included at Annex 13.**

Record keeping

Procurement records include all documents relevant to the pre-tendering, during tendering and after tendering i.e. Contract administration phases. It should be possible to reconstruct the entire procurement and contract administration processes from these records. Every event in the procurement process must be recorded and all records appropriately filed. This is important in order to maintain an audit trail of the requirement from the initial receipt of the procurement requisition to the closing out of the contract. The procuring entity, through his subordinate staff, is responsible for maintaining the procurement and contract records of each requirement. The procuring entity develops the filing system and maintains a complete record on the entire procurement and contract administration processes for each requirement in such a way that it should be available at any time for verification and Audit. The files of the concerned work/contract shall be maintained with the following documents: -

- Confirmation of the activity being in the approved Procurement plan
- Technical Sanction and Admin Approval
- Advertise/ published (as per the process requirement)
- Copies of all Bids/Quotations received
- evaluation report of the Bids /Comparative Statement of Quotations
- Minutes of Proceedings /Acceptance of tender
- Letter of Acceptance of tender
- Copies of Earnest Money and Security Deposit receipts (as applicable)
- Contract Agreement copy
- Work Order
- Information on complaints and resolution (if any).
- Any other relevant documents which forms the part of contract

Planning of Work: The time table for demand of the schemes by the executing agencies/Gram panchayats and implementation of the works will be as per the following schedule

| Phase | Implementation | Prescribed time limit |
|----------|------------------------------------------------|-----------------------|
| Planning | Demand of the scheme and Technical examination | 30 days |

| | | |
|-----------------------|------------------------------------------------------------------------------------|--------------------|
| | Schemes approved in principle and inclusion in the Action Plan of the current year | 15 days |
| | Technical and Administrative Sanction from state level | 30 days |
| Implementation | Completion of tendering process for the scheme | 60 days |
| | Completion of Source work | As per requirement |
| Closure /Exit | | As per requirement |

The Procurement procedure to be followed in making public procurement shall conform to the following yardsticks:

- (i) the specifications in terms of quality, type etc., as also quantity of goods to be procured, should be clearly spelt out keeping in view the specific needs of the procuring organizations.
- (ii) offers shall be invited following a fair, transparent and reasonable procedure;
- (iii) the procuring authority should be satisfied that the selected offer adequately meets the requirement in all respects;
- (iv) the procuring authority should satisfy itself that the price of the selected offer is reasonable and consistent with the quality required;
- v) at each stage of procurement, the concerned procuring authority shall place on record, in precise terms, the considerations which weighed with it while taking the procurement decision.

b) E-PROCUREMENT:

For inviting bids for Goods/Services/ Works of value above Rs.10,00,000 (Rs Ten lacs only) NIC e-tender portal of UP Govt to be used.(GO- attached, Annexure- IV)

E – Procurement

The threshold limit for e-procurement is defined in and notified by the State Govt under shall be procured through e-procurement presently, vide GO No -6/2018/256/78-2-2018-42 IT/2017 TC dated 24th April 2018 (Annex-5 and Annex-6) vide which all procurements for Goods, Services and Works estimated to cost Rs 10,00000/ and above shall be procured through e-procurement.

Web Portal <https://etender.up.nic.in> will be used for e-procurement. The procedure of e-procurement shall be as specified on the State Public Procurement Portal.

E-procurement means purchase of goods through electronic mode of interface with bidders and IT enabled management of the entire procurement process i.e. notice inviting bids, supply of bid documents, receipt of bids, evaluation of bids, award of contract, and execution of contract through systematic enforcement of its various clauses and tracking of claims, counter-claims

and payments. In order to cut down transaction costs and improve efficiency and transparency, the Government of Uttar Pradesh made it mandatory for all the Ministries/Departments to conduct all their procurement electronically as per threshold limit decided by FD, GoUP.

The following is necessary for e- bidding: -

- i) Registration: - Registration of contractors, Bidders, Labor Cooperative Societies, and Qualified Unemployed Engineers, those who are desirous of participating in bids will be required to register in e-bidding system on e-bidding portal used in the State.
- ii) E- signature of all the above participants and the Officers who are authorized for opening e-bidding is necessary
- iii) Digital Certificate (Class III) to contractors and bidders is necessary while participating in e-bidding to establish their identity in online bid submission process. Digital certificate is issued by the Issuing Authority on receipt of required documents and due verification process. It shall be the sole responsibility of the participating bidder to obtain, protect and maintain validity of the Class III Digital Certificate and the bidder will not be able to participate in the e-tendering process in absence of appropriate class III Digital Certificate.

To participate in e-bidding system each bidder will be required to arrange his own secured computer facility having necessary hardware and software including Operating system, Internet connectivity, etc.

The detail description of the work, time schedule, conditions and the tender bid documents for e-tender bidding shall be made available only on the e-tendering E-bidding system on e-tendering E-bidding portal. A unique Tender Bid Number will be generated by e-tendering E-bidding system that shall be used for publishing the brief tender bid notice in the newspapers. The officer preparing and authorizing the uploading of the tender bid documents shall be solely responsible for correctness of the tender bid documents and the tender bid notice.

The bid documents for e- bidding will be sold only online and shall be available for purchase after online release of bid notice and up to the schedule date and time.

c) **Procurement of Goods /Works:**

Government e-Marketplace (GeM):

Use of GEM set-up by Ministry of Commerce, the Government of India may be used for Request for Quotations (RFQ) /competitive bidding / Reverse Auction (RA) as defined on GeM Portal (gem.gov.in). The use of GeM is to be done as per Circular issued by the Chief Secretary Government of Uttar Pradesh vide No. , GO no-11/2017/523/18-2-2017-97(ल०उ०)/2016 dated 23.8.2017 (**Annex-11**). A GeM Manual is available on the web gem.gov.in which may be used to proceeding for the purchase through GeM. However, some of the important key points to use the GeM are as under:

- Registration of HoD as a Primary user is mandatory for use of GeM. The primary use will not be purchaser/ consignee/ paying officer in any case as per GeM policy and T&C.
- Secondary user will be registered through Primary user and their role as purchase officer / Consignee/ Paying officer will have to be defined by the primary user from his login id. The Purchase officer may be consignee or vice a versa but he cannot be paying officer.
- Paying officer cannot be a consignee or Purchase officer.
- Before proceeding to the purchase through GeM it is essential to keep in hand (Readily available)–
- Registration of Secondary user with a role of purchase officer, paying officer and consignee for the subject purchase is mandatory for all the officers proposed to be involved in the subject purchase.
- Administrative and Financial Sanction of the subject Purchase.
- Detailed Technical Specifications of the subject purchase and authorized for minor change in the specification in view of availability of product upon GeM.
- Estimated Required consignee wise Qty. & Delivery Period.
- Bid validity period & Bid Cycle.
- Applicability of Bid and Performance Security and exemptions for the same as per GeM terms and conditions and policies.
- 3rd Party inspection/testing through labs inspecting agencies defined on the GeM portal.
- Requirement of additional quantity. There is a provision for purchase of 25% additional quantity in addition to the original bided quantity against the same Bid/ RA.
- Splitting the quantity on L-1 rate. There is provision of splitting the quantity of purchase among the bidders to meet out the emergency and urgent requirement

and the ratio of the splitting in terms of percentage is to be defined by the purchaser at the time of generating the bid.

- All the documents are generated through portal which includes, Bid Summary, Price Comparative Chart, e-PBG, Contract, Sanction (purchase order) etc. with unique id / number with bar code. Hence there is no need of placement of orders and execution of contracts etc.
- As the Contracts and Sanctions are automatically generated upon GeM portal as per bid, accordingly there should be no compromise in deviation of technical specification for even a single parameter to avoid further complicity.
- There is a provision of extension of validity and also extension of bid cycle.
- On receipt of material it is to be accepted / rejected within the prescribed time and the consignee has to generate Consignee Receipt and Acceptance Certificate (CRAC) online on GeM portal through his login.
- For any type of delay or mis-procurement online reported by the seller or by the buyer an incidence automatically generates upon GeM for corresponding buyer / seller which should be resolved immediately to avoid further disciplinary action by the GeM or categorizing the seller/ buyer under poor performance.
- For any type of confusion Help Centre and toll free numbers are useful to resolve the problems.
- Bid summary, for Purchase through GeM, is also to be uploaded upon SPPP under single source procurement as per FD, GoUP direction.

Applicable Basic Schedule of Rate (Financial Handbook Vol- VI, Para 405)

A Basic Schedule of Rates (BSR) of each kind of work commonly executed in each District shall be prepared on the basis of the bided rates obtained in the District during the previous year for the works executed under average conditions by different executing agencies/ GPs. In cases where there are no bid rates for the particular items, the market rates of material and labor prevailing in such locality should be taken as basis.

Groundwater Department, UP (UP GWD) is responsible for ground water assessment, ground water based source identification, certification, strengthening and sustainability of the source and preparation of plans for source development.

A latest BSR sanctioned by the executing agency / GP from time-to-time shall be used for preparation of estimates, however, BSR of Ground water Department U.P., SoR of UP Irrigation Dept, SoR of UP PWD of respective district as applicable shall always be taken into account while preparing the plans and estimates for works. The BSR shall be issued periodically, and the rates shall not be higher than the rates laid down by the State

Government for similar items of works or development schemes in the locality. Copies of such schedules shall be supplied to all the Executing Agencies. Schedule of rates currently available with the executing agencies/ GPs shall be used for preparing the estimates for works.

When there is no rate for a particular item in the BSR but the item is required to be executed, the rate for such item, supported by the analysis, shall be got approved by the competent authority before adopting it for preparation of estimates or extra item of rate list. A schedule of rates shall be reviewed/updated every year by the executing agencies.

Preparation of Estimate: - (Financial Handbook Vol- VI, Para 316)

The papers to be submitted with the program/project for a work /scheme will consist of report, a specification, a detailed statement of measurements, quantities and rate, with an abstract showing the total estimated cost of each item. The sanctioning authority shall also issue a memo against each estimate showing the name of Work/Services/Goods with approved cost and shall displaying PIP Item Code/ AWP Code with approved allocation These documents together form what is called the "estimate". In the case of project consisting of several components the report may be a single document for all the components and likewise the specification, but details of measurement and abstracts may, conveniently, be prepared for each sub component and accompanied by a general abstract bringing the whole together. Estimate should always be prepared in sufficient detail to ensure that the responsible officer has given proper consideration to the requirement of the work.

The detailed estimate for the works to be executed by respective executing agencies / GPs shall be prepared by the competent authority of the executing agency. The estimate shall be prepared in the prescribed forms used in State Govt/ Line Department. The estimate shall provide for the complete works and not on piece meal work. The cost of the work shall be calculated at the rates given in basic schedule of rate of the current year. All identical and incidental expenditure (including execution of work in phased manner) which can be foreseen shall be provided and considered while preparing the estimate.

Revised Estimate (Financial Handbook Vol- VI, Para 316{2})

When original estimate likely to be exceeded by more than 10 % or when there is change in design or plan is necessary, a revise estimate shall be prepared as soon as necessity arises and before completion of work. The revise estimate shall be supported by a full report of the circumstances which rendered it necessary. The final bill for the work shall not be paid unless and until the revise estimate is sanctioned.

7. Fresh Estimate (Financial Handbook Vol- VI, Para 397)

If a work is abandoned after partial execution and is propose to be taken again, a fresh estimate shall be prepared before the work is restarted.

No material alteration in any sanctioned / standard design shall be made without approval by **the** competent authority as prescribed in Rules.

8. Technical Sanction (Financial Handbook Vol- VI, Para 318)

For every work proposed to be carried out, a detail estimate must be prepared for sanction of the Competent Engineering Authority. This sanction is known as “Technical Sanction” to the estimate. Before Technical Sanction is accorded, plans and estimate should be prepared and scrutinized in the technical branch of the Works department.

9. Administrative Approval (Financial Handbook Vol- VI, Para 316)

For every work connected with the requirements of other departments, it shall be necessary to obtain the concurrence of that department before technical sanction is accorded by the Works Department. This formal concurrence is called Administrative Approval of the work and is in the nature of an order to the works department to execute a certain work at a stated cost to meet the administrative needs of the department.

As regards to the procedure for GP, an application for Administrative Approval and procurement of the same shall be submitted to the DPMU for executing the same. The request shall be accompanied with a preliminary report by an approximate estimate and preliminary plans. Information as to the site and other details as may be necessary fully to elucidate the proposals and the reasons, therefore. The approximate estimate and plans shall be obtained from the Works Department of the ZP.

10. Revised Administrative Approval (Financial Handbook Vol- VI, Para 316{2})

The above procedure shall also apply for obtaining revised administrative approval in the case of:-

- (a) Modifications of the proposals originally approved, if likely to necessitate eventual submission of a revised estimate
- (b) Deviations from the original proposals, even though the cost of the same may possibly covered by savings on other item, and
- (c) detailed estimates, which exceeds the administratively approved amount by more than 10% or Rs. 1 Crore, whichever is less.

11. Delegation of Powers

To understand easily the powers delegated to the various authorities as regards to the Technical Sanction, Administrative Approval, Implementation, Technical Quality Control and O & M are explained in the table below: -

| Value of works | Technical Sanction | Administrative Approval | Implementation | Technical Quality control |
|--------------------|--------------------|-------------------------|-----------------------------------------|---------------------------|
| Up to Rs. 40 Lakhs | Chairperson, DPMU | Project Director, SPMU | Implementing Departments at DPMUs level | DPMU |

| | | | | |
|------------------------|------------------|------------------------|-----------------------------------------|------|
| Rs. 40 Lakhs And Above | Project Director | State Government Level | Implementing Departments at DPMUs level | DPMU |
|------------------------|------------------|------------------------|-----------------------------------------|------|

| Value of Goods/ Services | Technical Sanction | Administrative Approval | Implementation | Technical Quality control |
|--------------------------------------|--------------------|-------------------------|-----------------------------------------|---------------------------|
| Up to Rs 200000/ (Rs Two Lakhs Only) | Chairperson, DPMU | Project Director, SPMU | Implementing Departments at DPMUs level | DPMU |
| Rs. 200000/ and Above | Project Director | State Government Level | Implementing Departments at DPMUs level | DPMU |

12. Commencement of work (Financial Handbook Vol- VI, Para 375-378)

No work shall be commenced unless

- a proper design and detailed estimate have been sanctioned;
- Administrative approval obtained from the competent authority
- allotment of funds made and
- Work order for its beginning issued by the competent authority.

d) Selection of Consultant:

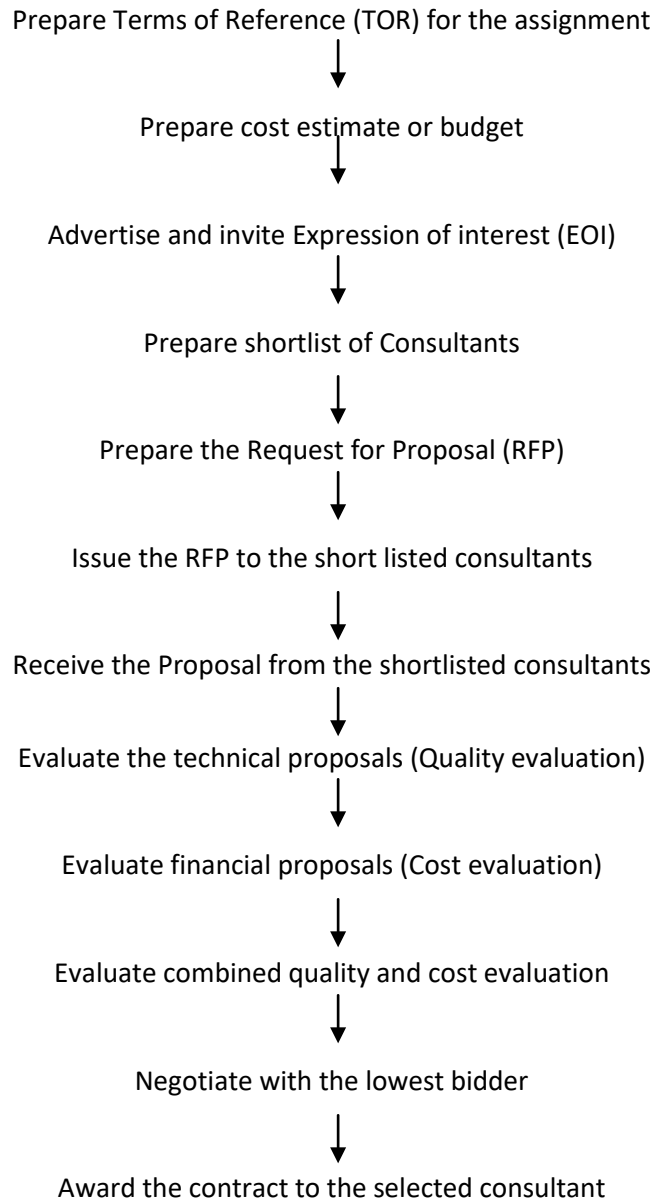
Methods for selection of consultants: The procurements for all consultancy services shall be made in accordance with the provisions envisaged in “[Manual for Procurement of Consultancy and Other Services 2017 Government of India, Ministry of Finance, Department of Expenditure.](#)”

Given below is a snapshot of the key processes to be followed by and large for selection of consultants:

- Issue of Expression Interest (EoI) with a brief of the services to be provided to invite firms for shortlisting.
- Concurrently the following has to be prepared:
 - Preparation of Terms of Reference (TOR);
 - Preparation of Cost estimate and the budget
 - Approval of ToR and Budgets
- Evaluation of EoIs and submission of report for approval to the competent authority
- Preparation and issuance of the Request for Proposals (RFP)
- Pre-bid meeting; if necessary
- Receipt and public opening of technical proposals

- vii) Evaluation of technical proposals
- viii) Approval of technical proposals and invitation to technically shortlisted firms to attend financial bid opening.
- ix) Public opening of financial proposal
- x) Evaluation of financial proposal.
- xi) Selection of the winning proposal.
- xii) Negotiations with the selected firm, if required
- xiii) Award of contract to the selected firm

Flow Chart for procurement of Consultant Services



e) Selection and Empanelment of District Implementation Partners (DIPs) to Support Implementation of Atal Bhujal Yojana (Atal Jal), in GP Clusters of select Districts of Uttar Pradesh

The objective of this consultancy is to provide technical and management support to the Gram Panchayats / Panchayati Raj institutions / District Program Management Unit in selected clusters of water stressed GPs / Blocks / Taluks to support implementation of various activities envisaged under the Program to achieve the goals and deliverables set under Atal Bhujal Yojana. The procurement of DIPs shall be done in accordance with the procedure followed in the State duly approved by the GoUP. The following procedure for selection/empanelment of agencies/ shall be adopted:

- Web Portal <https://etender.up.nic.in> will be used for e-procurement. The procedure of e-procurement shall be as specified on the State Public Procurement Portal.
- One Stage one envelope bid is envisaged.
- **REQUEST FOR EXPRESSION OF INTEREST (REoI) CUM REQUEST FOR PROPOSAL (Lumpsum Contract) is floated. An abridged version of the REoI cum RFP is simultaneously published in the leading national newspaper.**

Selection Process

- The BoQ of this RFP documents invites rates for **one GP**.
- Based on the rates quoted by the all eligible bidders fulfilling essential qualifications criteria as described in REoI cum RFP, evaluation committee shall calculate average rate against one GP.
- Such bidders whose quoted rate found below 50% of the average quoted rates as described above shall not be considered further.
- The evaluation committee constituted by Govt. of U.P., Namami Gange and Rural Water Supply Department, shall evaluate the proposals based on information provided by agencies. Proposal shall be reviewed on the basis of evaluation criteria specified above. The Evaluation committee shall approve the rate for one GPs based on the financial proposals submitted by the bidders eligible for technical evaluation for awarding marks.
- Only those agencies fulfilling all the mandatory qualifications and agreed to do assignment on approved rate will be empaneled by SPMU.
- The empaneled Consultants/Agencies may be asked to work on the approved rates in Cluster of GPs, to be announced at the time of award of contract, covered in any of the Districts fully or partly.
- The empaneled agencies will be asked to submit the choice of clusters in order of their preference. Clusters shall be allotted on the basis of technical scores.
- The assignments/works regarding Implementation will be allotted by State Project Management Unit (SPMU) as well as agreement will have to be executed between SPMU and Empaneled agency.

V) DECENTRALIZED ARRANGEMENTS:

Procurements by Executing Line Department / GPs is limited to the grants under the Incentive component of Atal-Jal credited to Bank Accounts Executing Line Departments/ GPs by the SPMUs towards achievement of DLIs. No funds under the institutional strengthening component will be disbursed to the Executing Line Department/GPs, and therefore no procurement under Atal-Jal is carried out directly by the participating Executing Agency (IA)/ GPs. The participating Executing Line Department / GPs will follow all prevalent operational procedures applicable and/or those amended from time to time by the Government of Uttar Pradesh for utilization of incentive grants.

However, Executing Line Department /GPs may converge/utilize funds from other ongoing and or new development schemes announced by the Govt of Uttar Pradesh and or Government of India, from time to time, to achieve the DLIs. In such cases, procurement processes applicable for such schemes will be followed by the Executing Agency/ GPs.

The Executing Line Department /GPs receiving incentive Scheme funds will be subject to internal and external annual audit following the existing auditing arrangements (local fund audits/AG audits—as applicable) which shall also include procurement reviews for a sample of activities across the spectrum of activities undertaken by the Executing Line Department/ GP under various schemes from which funds have been converged for implementing approved activities under Atal-Jal.

a) Program Financial Management in Gram Panchayats

- **Funds Flow and Banking** - Detail eligibility and process of how the funds to be provided to GPs will be determined based on their achievement of the DLIs (see Disbursement Guidelines in the PG). Detailed process for opening of Program Bank accounts, authorized signatories, registration on PFMS and responsibility of period bank reconciliation will be the responsibility of the Secretary and accounting staff assigned to each participating GP in Uttar Pradesh.
- **Accounting** – Transactions/payments for activities undertaken using funds under the incentive component will be recorded in a separate Atal Bhujal Yojana cashbook. Supporting documentation for expenditures should include detailed contract documents for reference during audits. The cash books maintained by the Gram Panchayats including expenditure filing will be done in the EAT Module of PFMS.
- **Financial Reporting** - Establish the process of reporting Program Expenditure by other implementing agencies and Gram Panchayats in case they are not entering the expenditure directly in EAT of PFMS. Include format of the annual financial statement to be prepared by the GPs.
External Audit: Prevalent local fund audit or AG audit , shall carryout audit on compliance of procurement processes and procedures on utilization of Incentive Scheme funds

utilized by Executing Agency for various sector related activities. The audit report should also include confirmation of compliance to approved procurement processes, and observations if any.

VI) FIDUCIARY INTERNAL CONTROLS

- i) All procurement Plans and documents related procurement will be entered in the Program MIS
- ii) Internal controls as detailed in the GFRs that will be applicable to the Program including reconciliation of bank accounts and inter-unit fund transfer, physical verification of assets created under the Program, verification of bills and review of Program Expenditure by the nodal agency.
- iii) State will identify internally or hire from the market Procurement expert at the SPIU level and assign a procurement point person at the DPMU and below level. The procurement expert at SPMU shall have experience with public procurement under Government projects and shall carry out trainings for SPMU and below procurement point persons
- iv) Record keeping of all documents /contracts. Procurement records include all documents relevant to the pre-bidding, during bidding and after bidding i.e. Contract administration phases. It should be possible to reconstruct the entire procurement and contract administration processes from these records. The SPMU, through its subordinate staff and DPMUs, shall maintain the procurement and contract records of each requirement. Although all records are maintained by the SPMU, wherever DPMU have to carry out contract administration a copy of the contract will be shared with them for contract management. Otherwise, all, SPMU shall be responsible for contract administration. Copies of the contract and amendments thereof for each contract, and other related documentation pertaining to each contract will be uploaded in the Project MIS, while forwarding the same to the relevant authorities as detailed in the respective State FRs. All procurement records shall be stored carefully in such a way that it should be available at any time for verification and Audit. The files of the concerned work/contract shall be maintained with the following documents: - Detailed of approved activity
 - *Procurement plan /Estimate*
 - *Technical Sanction and Admin Approval*
 - *Advertise published in Newspaper and copies of all Bids received*
 - *Comparative Statement of Bids and Minutes of committees and Proceedings.*
 - *Letter of Acceptance of bid and Copies of Earnest Money and Security Deposit receipts*
 - *Contract Agreement copy /Work Order*
 - *Any other relevant documents which forms the part of contract*

v) **Complaint Redressal Mechanism**

All complaints/grievances and action taken by the SPMU/DPMU/GPs and or other such authorized/mandated agencies in the state, shall be maintained in a systematic order in the respective offices for audit/inspection. Copies of the documentation will be uploaded in the Program MIS as and when it is made operational. Subsequently, all grievances and redressal measures undertaken shall be entered in the Program MIS regularly. The Grievances Redressal Mechanism is attached as **Annex-12a**.

vi) **Oversight and procurement Review to ensure consistency and compliance.**

Procurement review refers to review of files and documents relating to the procurement of Goods, Works and Services. The procurement of Goods, works and Services under the program will be undertaken as per the laid down guidelines for Atal Jal and shall follow the procedures detailed in the Uttar Pradesh FR and amendments issued thereof. The broad objective of the review is to evaluate the procurement process towards utilization of public funds, safeguards undertaken, system effectiveness and efficiency, and conformity to rules and regulations. It also helps in determining willful negligence including likely fraud/corruption evidence, if any. The report and observations of procurement review carried out by the internal auditor shall also serve as a guide to undertake timely corrective steps that may need to be initiated for taking remedial measures to streamline and improve the procurement system. The SPMU shall keep records of all documents for annual procurement reviews.

vii) **Compliance mechanism for ensuring mitigation measures are put in place.**

The observations on procurement review by both internal auditors and external auditors shall be rectified and or remedial measures as advised in the review report and or as accorded in the **Financial Handbooks/ Manual of Goods/FRs and** the prevalent laws governing procurement in the state of Uttar Pradesh. On completion of the remedial measures, a report will be submitted to the SISC for its review and approval. Upon receipt of approval of the SISC, a copy of the report will be submitted to NPMU for its information and also uploaded in the MIS.

VII) INTERNAL AUDIT & PROCUREMENT REVIEW

The internal auditor of the NPMU will carryout internal audit of the SPMUs and DPMUs in each participating District in Uttar Pradesh. A sample of 15% of the contracts will be reviewed by the internal auditor for all procurement of Goods / works / Services and the Contracts concluded will be obtained / collected online through MIS and Monthly/Quarterly Reports submitted by the SPMUs. The internal audit will be done in accordance with the terms of reference provided in the National Fiduciary Manual. The annual procurement review shall broadly include but is not limited to the following aspects:

- a) Whether the procurement/Annual plan was prepared?
- b) Whether the procurement was made as per the Annual action plan/procurement plan?
- c) Whether the method adopted for procurement was as per the delegation of powers and threshold limits relevant for the State.
- d) Whether the Procurement process was aligned with the norms prevalent in the State?
- e) Whether the necessary approval was taken from appropriate authority wherever required?
- f) Whether the procurement sub-committee is in place and involved in the procurement procedure?
- g) Have the procurement focal point person/s in the SPMU/DPMU/GP been identified and trained.
- h) Is the procurement focal point person fully aware of the requirements set out for the program?
- i) Whether the overall procurement was done within a reasonable time? If not, then what is the avoidable delay and how it is proposed to be addressed.
- j) Whether proper and adequate documents relating to procurement were maintained?
- k) Whether the selection was competitive and transparent?
- l) Whether the selection provided equal opportunity to all interested bidders?
- m) Was technical and financial evaluation done properly and in a fair manner?
- n) Was the contract aligned to the Invitation for Quotation (IFQ) in terms of specifications and quantity?
- o) Are all the contracts and related records kept properly?

- p) Is the asset verification register maintained and are the assets verified periodically?
- q) Whether the contracted firm, supplied the goods or executed the work as per the quality, quantity and price agreed upon and contract executed in accordance with the contractual terms.
- r) Was the quality (and quantity) of goods received or the works executed certified by the nominated official/designated authority.
- s) Are there procurement complaints? If yes, then have they been resolved and closed.
- t) Are there any delays in contract completion?
- u) Are there any payment delays?
- v) Are there contracts that have gone into arbitration?

Are there any findings related to Fraud and corruption as defined in the World Bank Anti-corruption guideline?

Reporting:

The internal auditors will provide an audit report for the units audited during the quarter, containing findings and recommendations to enable SPMU/DPMU to take timely action. The report should be discussed and agreed with the auditee and should be structured in a manner giving the observations, the implications of the observations, the suggested recommendation, and the management comments/ agreed actions. In addition, the internal auditor shall provide an Executive Summary highlighting the critical issues which require the attention of the management and the status of actions on the previous recommendations. The audit observations should be supported by instances and quantified, as far as practicable. The audit reports shall be submitted to SPMU and to auditee within 30 days from the end of the audit. The communication shall contain Management Letter which will inter-alia include:

- a. Comments and observations on the financial management records, systems and controls that were examined during the course of the review.
- b. Comments and observations on the Procurement and contract management compliance to the applicable processes and procedures for Goods, works and consultancies, availability of records, systems, controls and gaps that were examined during the review.
- c. Deficiencies and areas of weaknesses in systems and controls and recommendation for their improvement.
- d. Compliance with covenants in the financing agreement and comments, if any, on internal and external matters affecting such compliance.
- e. Matters that have come to attention during the review and might have a significant impact on the implementation of the Project.
- f. Any special review procedures required of a compliance nature (for example, compliance of the procurement procedures, procedure for selection of consultants etc. recommended by the World Bank).
- g. Any other matters that the auditor considers pertinent.

The Executive Summary should normally cover the following items

- a. Objectives of the audit;
- b. Methodology of the audit;
- c. The status of implementation of the financial management system;
- d. The status of compliance of the previous audit reports, including major audit observations pending compliance.
- e. The key areas of weaknesses that need improvement; classified into following areas

- i. Disallowance of expenditure as per bank rules
- ii. Procedural Lapse
- iii. Accounting Lapse
- iv. Accounting books & records not maintained.
- v. Difference between cash drawn and expenditure reported.
- vi. Recommendations for improvements.

VIII) EXTERNAL AUDIT & PROCUREMENT REVIEW

The annual statutory audit report shall include confirmation of compliance to FHB/circulars/orders/guidelines /Manuals /extant procurement rules and regulation for procurements under the Scheme carried out by the SPMU, DPMUs and / or other executing agencies in Uttar Pradesh. The statutory audit of the Program will be conducted by the **Office of Accountant General**, Uttar Pradesh every year as per their schedules. During the audit/review the team will audit the Contracts and Procurement procedures adopted and give a report to the SISC and the SPMU for information and necessary action.

IX) SOCIAL AUDIT-

The GPs will present the Water Security Plan, Annual Work Plan and Annual Financial Statements before the Gram Sabha and disclose these and expenditure details on the notice board/other prominent places/their own website or that of the State Department of Rural Development and Panchayati Raj and Atal Jal website.

X) Annex: Procurement Formats

- [Format for Procurement Plan for Goods /works and consultancy](#)
- [Format for Quotation for Goods.](#)
- **Format of Work Orders for value of Works upto Rs 20000/**
- [Format of Bid document for Goods.](#)
- [Format for Bid document for Works.](#)
- [Format for Abridged Version of Notice Inviting Bids.](#)
- [Form for seeking of extension of time by the contractor](#)
- [Bid evaluation report for Goods](#)
- [REOI Cum RFP for Empanelment of DIPs](#)
- [Draft Contract for DIPs](#)
- [Format ---Declaration on Notary Affidavit](#)
- [TOR for Internal Audit including procurement review .- as provided in the National Fiduciary Manual](#)

List of Annexures

| Annex | GO no | Subject |
|--------------------------------|----------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|
| <u>Annex-1</u> | <u>T-40012/1/2018-GW Section (Pt.2) dated 09/01/2020</u> | Approval of Cabinet for Atal Jal by GOI. |
| <u>Annex-2</u> | GR/GO no 325/76-3-2020-07 GW/2017, Dated 21/05/2020 | Constitution of State level Inter-Departmental Steering Committee issued by GoUP. |
| <u>Annex-3</u> | GR/GO no. 326/76-3-2020-07 GW/2017, Dated 21/05/2020 | Constitution of State Program Management Unit (SPMU) issued by GoUP. |
| <u>Annex-4</u> | GR/GO no. 327/76-3-2020-07 GW/2017, Dated 21/05/2020 | Constitution of District Program Management Unit (DPMU) issued by GoUP. |
| <u>Annex-5</u> | GR/GO no-6/2018/256/78-2-2018-42(IT)/2017/TC dated 24.4.2018 | Regarding E-Tendering in UP issued by GoUP |
| <u>Annex-6</u> | संईया-10/2018/489/78-2-2018-42 IT/2017/TC dated 26.7.2018 | Regarding E-Tendering in UP issued by GoUP |
| <u>Annex-7</u> | OM no. S-11012/3(1)/Bank/Ref. Case/2010/GBA/1351-1454 dated 21/8/2019. | Banking arrangements of State/District level Implementing Agencies handling Central Sector Schemes of Various ministries/departments of GOI. |
| <u>Annex-8</u> | GO no 150/76-3-2020-21 GW/2018 dated 20-2- | GoUP permission to open SB account in Nationalized Bank |

| | | |
|---------------------------|------------------------------------------------------------------------|---------------------------------------------------------------------------------|
| | 2020 | |
| Annex-9 | Director Letter no 908/ GWD/WBP/Atal Bhujal Yojna dated March 02, 2020 | Director letter to GoUP regarding opening of bank account for Atal Jal. |
| Annex-10 | Details of officers for Grievance Redressal for Atal Jal, UP. | Grievance Redressal for Atal Jal |
| Annex-11 | संई या-11/2017/523/18-2-2017-97(ल0उ0)/2016 | Regarding E-GEM by सूईम, लघु एवं मईयम उईम अनुभाग-2 लखनऊ: ईदनांक: 23 अगई त, 2017 |
| Annex-12 | संईया-7/2020/151/18-2-2020-63(ल0उ0)/2012 19-3-2020 | GoUP order regarding Policy-2020 for MSME. |
| Annex-12a | | Checklist for Assessment of GRM system |

<http://budget.up.nic.in/finhando.htm> ---- Link to access the UP Government Financial Handbooks

F. No. T-40012/1/2018-GW Section (pt. 2)
Government of India
Ministry of Jal Shakti
Department of Water Resources, RD & GR

Shram Shakti Bhawan, Rafi Marg, New Delhi,
Dated: 09 January, 2020

To,

1. The Chief Secretaries of Govt. of
(Gujarat, Haryana, Karnataka, Maharashtra, Madhya Pradesh, Rajasthan & Uttar Pradesh)
2. Principal Secretaries of the implementing agencies of the concerned States

Sub: Approval of the Cabinet for implementation of Atal Bhujal Yojana (ATAL JAL).

I am directed to convey the approval of the Government of India for implementation of Atal Bhujal Yojana (ATAL JAL) under the Ministry of Jal Shakti, Department of Water Resources, River Development and Ganga Rejuvenation (DoWR, RD&GR), as a Central Sector Scheme, with an outlay of Rs. 6000.00 crore (Rupees Six thousand crore). Fifty percent of the outlay will be raised as World Bank loan and the remaining fifty percent will be provided as budgetary supports from Government of India. The Scheme will be implemented over a period of five years from 2020-21 to 2024-25 in seven identified States viz. Gujarat, Haryana, Karnataka, Maharashtra, Madhya Pradesh, Rajasthan & Uttar Pradesh.

2. Budget allocation:

2.1 The Scheme envisages an outlay of Rs. 6000.00 crore for Institutional Strengthening & Capacity Building component and Incentive Component. The component-wise details are given below:

| S.No. | Component | Outlay (Rs. in crore) |
|-------|-------------------------------------------------|-----------------------|
| 1. | Institutional Strengthening & Capacity Building | 1400.00 |
| 2. | Incentive | 4600.00 |

2.2 Detailed component and State-wise financial outlays are given in Annexure I.

2.3 As the Atal Bhujal Yojana (ATAL JAL) is financed under Programme for Results (PforR) instrument of the World Bank, the Allocations under Incentive Component may change based on progress achieved and funds utilized by the participating States during the course of implementation of the Scheme.

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3. Implementation Plan:

3.1 All the identified States under the Scheme would be known as the Project Implementing Agencies (PIAs).

3.2 The PIAs will be required to submit their Project Implementation Plan (PIP) for the entire project as per the approved outlay, Annual Work Plans (AWP) & Annual Procurement Plans (APP) for the year 2020-21 latest by 31.03.2020. The AWP and APPs for subsequent years are required to be submitted by 31st December of the preceding year.

3.3 The PIAs may initiate activities related to institutional strengthening and capacity building, preparation of Bid documents, floating of bids for procurement of equipments, construction of piezometers and development of Management Information system etc. at the earliest to ensure that the funds allocated are utilized within the stipulated time frame.

4. Creation of NPMU / SPMUs:

4.1 The National Programme Management Unit (NPMU) will be created in the Ministry of Jal Shakti, DoWR, RD & GR, and would be supported by suitable experts from technical and other relevant fields who will also provide support to all the PIAs for effective implementation of the scheme.

4.2 All the identified participating States would be required to constitute a State Level Inter-Departmental Steering Committee (SLISC) headed by the Chief Secretary to monitor the progress of the Scheme and coordinate implementation activities. This committee shall consist of representatives from the implementation partners such as Departments/Organisations of Finance, Rural Development, Agriculture and Power of the concerned State etc. Further, States would also be required to establish State Programme Management Units (SPMU), District Programme Implementation Units (DPIU) and a dedicated Project Monitoring Unit (PMU) within the PIAs. The constitution of the same along with their contact details may be furnished to NPMU latest by 31.01.2020.

5. MIS/Reporting System:

As the progress of actions to implement the decision of the Cabinet has to be included in Department's Monthly summary, the States are advised to submit their Monthly physical and financial progress reports along with supporting documents through the MIS, being developed for ATAL JAL. Till the time, the MIS is in place such progress reports may be sent to NPMU in the DoWR, RD&GR every month.

6. Fund Flow Mechanism:

The fund flow mechanism for the ATAL JAL will be informed separately. In the meantime, as the grants to the States cannot be transferred to the States' Treasury, the Implementing Agencies are required to open a separate Savings Bank Account in a Public Sector Bank for the ATAL JAL and intimate the same to NPMU, DoWR, RD & GR on the E-mail ID ATAL-JAL@NIC.IN, Tel No. 011-23716747 at the earliest.



7. Procurement Procedure:

The Scheme is being implemented under the Programme for Result (PforR) instrument of the World Bank. This essentially means that the procedures being followed by the Central Government/State Governments shall be adhered to for all tendering and procurements under the Scheme as per the programme guidelines and no World Bank approvals will be required for the same.

8. The programme guidelines for the implementation of the scheme are being finalized by the DoWR, RD & GR and will be separately intimated.

9. This issues with the concurrence of the Integrated Finance Division, Ministry of Jal Shakti, DoWR, RD & GR conveyed vide Diary No. 735/IFD/2019-20 dated 09.01.2020.


(Ashish Kumar)
Director

Tele No. 011-2371 6747

Copy to:

- 1) Chairman, Central Ground Water Board, NH-IV, Faridabad
- 2) Joint Secretary, Cabinet Secretariat, Rashtrapathi Bhawan, New Delhi w.r.t. No. 40/CM/2019(i) dated 30 Dec 2019.
- 3) Joint Secretary, PMO, South Block, New Delhi
- 4) Joint Secretary (PFII), Department of Expenditure, New Delhi.
- 5) Joint Secretary (Personnel), Department of Expenditure, New Delhi.
- 6) Principal Advisor (WR), NITI Aayog, New Delhi.
- 7) Director (Finance), MoWR, New Delhi.
- 8) Chief Controller of Accounts, MoWR, Shastri Bhawan, New Delhi.
- 9) Pay & Accounts Officer (Sectt.), MoWR, Shastri Bhawan, New Delhi.
- 10) Finance Desk/D&T/GA Section, MoWR/ Guard file.

Copy also to:

- 1) Sr. PPS to Secretary (WR), MoWR.
- 2) PPS to AS (WR), MoWR.
- 3) PPS to JS (Admn), MoWR
- 4) PPS to JS&FA, MoWR

ANNEXURE - I

Detailed component and State-wise financial outlays under Atal Bhujal Yojana (Atal Jal)

| S. No. | Component | | NPMU (DoWR, RD&GR, Ministry of Jal Shakti) | Haryana | Gujarat | Karnataka | Maharashtra | Rajasthan | Uttar Pradesh | Madhya Pradesh | TOTAL |
|--------|------------------------------------------------------------------------------------------------------|-----|--------------------------------------------|---------|---------|-----------|-------------|-----------|---------------|----------------|-------|
| A | Institutional Strengthening and Capacity Building | | 159.33 | 252.67 | 217.65 | 194.51 | 188.26 | 164.68 | 119.28 | 103.62 | 1400 |
| B | Incentive: | % | | | | | | | | | |
| | DLI#1: Public disclosure of ground water data/ information and reports | 10 | - | 45.94 | 54.01 | 100.83 | 73.83 | 102.94 | 61.17 | 21.28 | 460 |
| | DLI#2: Preparation of Community-led Water Security Plans | 15 | - | 68.92 | 81.02 | 151.23 | 110.74 | 154.40 | 91.76 | 31.93 | 690 |
| | DLI#3: Public financing of approved Water Security Plans through convergence of ongoing/ new schemes | 20 | - | 91.89 | 108.03 | 201.65 | 147.64 | 205.88 | 122.34 | 42.57 | 920 |
| | DLI#4: Adoption of practices for efficient water use | 40 | - | 183.77 | 216.05 | 403.30 | 295.30 | 411.75 | 244.69 | 85.14 | 1840 |
| | DLI#5: Improvement in the rate of decline of ground water levels | 15 | - | 80.00 | 80.00 | 150.00 | 110.00 | 150.00 | 90.00 | 30.00 | 690 |
| | Component B Total | 100 | - | 470.52 | 539.11 | 1007.01 | 737.51 | 1024.97 | 609.96 | 210.92 | 4600 |
| | TOTAL | | 159.33 | 723.19 | 756.76 | 1201.52 | 925.77 | 1189.65 | 729.24 | 314.54 | 6000 |

2

उत्तर प्रदेश शासन
नमामि गंगे तथा ग्रामीण जलापूर्ति अनुभाग-3
संख्या: 295/76-3-2020-07जी0डब्ल्यू/2017
लखनऊ: दिनांक 21 मई, 2020

कार्यालय झाप

जल संसाधन, नदी विकास एवं गंगा पुनरोद्धार विभाग, जल शक्ति मंत्रालय, भारत सरकार द्वारा उत्तर प्रदेश सहित राजस्थान, गुजरात, महाराष्ट्र, हरियाणा, कर्नाटक एवं मध्य प्रदेश में भूगर्भ जल संकट से प्रभावित कुछ विकास खण्डों में भूगर्भ जल की स्थिति में प्रभावी सुधार लाये जाने एवं प्रबन्धन उपायों को समेकित ढंग से क्रियान्वित किये जाने के उद्देश्य से अटल भूजल योजना लागू की गयी है। इस योजना के अन्तर्गत प्रदेश में बुन्देलखण्ड क्षेत्र के महोबा, झाँसी, बाँदा, चित्रकूट, हमीरपुर तथा ललितपुर जनपद के 20 विकास खण्ड तथा पश्चिमी उत्तर प्रदेश के मुजफ्फरनगर, शामली, बागपत, मेरठ जनपद के 06 विकास खण्ड इस प्रकार कुल 26 विकास खण्ड चयनित किये गये हैं, जिसमें उक्त योजना को क्रियान्वित किया जाना है।

इस संबंध में जल संसाधन, नदी विकास एवं गंगा पुनरोद्धार विभाग, जल शक्ति मंत्रालय भारत सरकार द्वारा अटल भूजल योजना हेतु निर्गत प्रोग्राम गाइडलाइन्स मार्च, 2020 वर्जन 1.1 में दिये गये मार्गनिर्देशों के अन्तर्गत प्रस्तर 4.2.1 के बिन्दु-12 में किए गए प्राविधानुसार इस परियोजना के अन्तर्गत प्रदेश के चयनित क्षेत्रों में उक्त योजना/कार्यक्रम की प्रगति के अनुश्रवण व समीक्षा तथा क्रियान्वित की जाने वाली गतिविधियों के समन्वय हेतु राज्य स्तरीय अन्तर्विभागीय संचालन समिति (State Level Inter-Departmental Steering Committee-SISC) का गठन निम्नानुसार किया जाता है—

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| 1. मुख्य सचिव, उ0प्र0 शासन | —अध्यक्ष |
| 2. कृषि उत्पादन आयुक्त, उ0प्र0 शासन | —सदस्य |
| 3. अपर मुख्य सचिव/प्रमुख सचिव/सचिव, नमामि गंगे तथाग्रामीण जलापूर्ति विभाग | —सदस्य सचिव |
| 4. अपर मुख्य सचिव/प्रमुख सचिव/सचिव, ग्राम्य विकास विभाग | —सदस्य |
| 5. अपर मुख्य सचिव/प्रमुख सचिव/सचिव, पर्यावरण, वन एवं जलवायु परिवर्तन विभाग | —सदस्य |
| 6. अपर मुख्य सचिव/प्रमुख सचिव/सचिव, सिंचाई एवं जल संसाधन विभाग | —सदस्य |
| 7. अपर मुख्य सचिव/प्रमुख सचिव/सचिव, कृषि विभाग | —सदस्य |
| 8. अपर मुख्य सचिव/प्रमुख सचिव/सचिव, वित्त विभाग | —सदस्य |
| 9. अपर मुख्य सचिव/प्रमुख सचिव/सचिव, पंचायती राज विभाग | —सदस्य |
| 10. अपर मुख्य सचिव/प्रमुख सचिव/सचिव, राजस्व विभाग | —सदस्य |
| 11. अपर मुख्य सचिव/प्रमुख सचिव/सचिव, ऊर्जा विभाग | —सदस्य |
| 12. अपर मुख्य सचिव/प्रमुख सचिव/सचिव, नियोजन विभाग | —सदस्य |
| 13. अपर मुख्य सचिव/प्रमुख सचिव/सचिव, उद्यान एवं खाद्य प्रसंस्करण विभाग | —सदस्य |
| 14. मुख्य अभियन्ता/निदेशक, केन्द्रीय जल आयोग, लखनऊ | —सदस्य |
| 15. क्षेत्रीय निदेशक, केन्द्रीय भूमि जल बोर्ड (उ0क्षे0), लखनऊ | —सदस्य |

ABR/12

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| 16.प्रबन्धक निदेशक, उ०प्र० जल निगम, लखनऊ | —सदस्य |
| 17.अधिसासी निदेशक, पेयजल एवं स्वच्छता मिशन, उ०प्र० लखनऊ | —सदस्य |
| 18.मुख्य अभियन्ता, लघु सिंचाई विभाग, उ०प्र० लखनऊ | —सदस्य |
| 19.निदेशक, भूगर्भ जल विभाग, उ०प्र० लखनऊ | —सदस्य |

उपरोक्त योजना के क्रियान्वयन हेतु प्रमुख सचिव, नमामि गंगे एवं ग्रामीण जलापूर्ति विभाग, प्रोजेक्ट कोऑर्डिनेटर (Project Co-ordinator) होंगे एवं भूगर्भ जल विभाग, नोडल विभाग (Nodal Department) के रूप में कार्य करेगा।

2. इस समिति के मुख्य कार्य एवं उत्तरदायित्व निम्नवत् होंगे:-

1. राज्य स्तरीय वार्षिक कार्य योजना अनुमोदित करना और उसके क्रियान्वयन एवं प्रगति की समीक्षा करना।
2. बजट के निकासी, आवंटन तथा पुनरावंटन के लिए विभिन्न कार्यदायी विभागों से समन्वय स्थापित करना।
3. केन्द्र/राज्य सरकार द्वारा वर्तमान में संचालित की जा रही योजनाओं (Ongoing Schemes) से फंड के संमिलन (Convergence) को सुनिश्चित करना।
4. वार्षिक बजट व्यय तथा आडिट रिपोर्ट को अनुमोदित करना।
5. कार्यक्रम क्रियान्वयन की स्थिति तथा वार्षिक प्रगति रिपोर्ट की समीक्षा करना।
6. कार्यक्रम के क्रियान्वयन हेतु मार्ग दर्शन/निर्देश देना।
7. कार्यक्रम क्रियान्वयन हेतु मानव संसाधन की आवश्यकता का अनुश्रवण एवं अनुमोदन करना।
8. कार्यक्रम क्रियान्वयन की स्थिति की समीक्षा कर अनुमोदन प्रदान करते हुये तथा संस्तुत रिपोर्ट को नेशनल प्रोग्राम मॉनिटरिंग यूनिट (एन.पी.एम.यू) को प्रेषित करना।

राज्य स्तरीय अन्तर्विभागीय संचालन समिति के कार्यदायित्व का विस्तृत विवरण जल संसाधन, नदी विकास एवं गंगा पुनरोद्धार विभाग, जल शक्ति मंत्रालय, भारत सरकार द्वारा निर्गत प्रोग्राम गाइडलाइन्स, मार्च, 2020 वर्जन 1.1 में दिये गये मार्ग निर्देशों के अन्तर्गत तालिका 3.3 में अंकित कार्यों(activities) के विवरण के अनुसार होगा

अनुराग श्रीवास्तव
प्रमुख सचिव

संख्या: 325 / 76-3-2020, तददिनांक

- प्रतिलिपि निम्नलिखित को सूचनार्थ एवम् आवश्यक कार्यवाही हेतु प्रेषित है:-
1. संयुक्त सचिव, जल संसाधन, नदी विकास एवं गंगा पुनरोद्धार, भारत सरकार, नई दिल्ली।

उत्तर प्रदेश शासन
नमामि गंगे तथा ग्रामीण जलापूर्ति अनुभाग-3
संख्या: 226/76-3-2020-07जी0डबलू/2017
लखनऊ: दिनांक 21 मई, 2020

कार्यालय ज्ञाप

जल संसाधन, नदी विकास एवं गंगा पुनरोद्धार विभाग, जल शक्ति मंत्रालय, भारत सरकार द्वारा उत्तर प्रदेश सहित राजस्थान, गुजरात, महाराष्ट्र, हरियाणा, कर्नाटक एवं मध्य प्रदेश में भूगर्भ जल संकट से प्रभावित विकास खण्डों में भूगर्भ जल की स्थिति में प्रभावी सुधार लाये जाने एवं प्रबन्धन उपायों को समेकित ढंग से क्रियान्वित किये जाने के उद्देश्य से अटल भूजल योजना लागू की गयी है। इस योजना के अन्तर्गत प्रदेश में बुन्देलखण्ड क्षेत्र के महोबा, झाँसी, बाँदा, चित्रकूट, हमीरपुर तथा ललितपुर जनपद के 20 विकास खण्ड तथा पश्चिमी उत्तर प्रदेश के मुजफ्फरनगर, शामली, बागपत, मेरठ जनपद के 06 विकास खण्ड इस प्रकार कुल 26 विकास खण्ड चयनित किये गये हैं, जिसमें उक्त योजना को क्रियान्वित किया जाना है।

इस संबंध में भारत सरकार द्वारा निर्गत प्रोग्राम गाइडलाइन्स मार्च, 2020 वर्जन 1.1 में दिये गये मार्गनिर्देशों के अन्तर्गत प्रस्तर 4.2.3 के बिन्दु 18 में में किए गए प्राविधानानुसार प्रदेश में उक्त योजना/कार्यक्रमों के अन्तर्गत चयनित 10 जनपदों के 26 विकास खण्डों को भूजल प्रबन्धन संबंधी विभिन्न कार्यों के नियोजन, क्रियान्वयन, अनुश्रवण व समीक्षा तथा क्रियान्वित की जाने वाली गतिविधियों के समन्वय हेतु स्टेट प्रोग्राम मैनेजमेन्ट यूनिट (State Program Management Unit-SPMU) का गठन निम्नानुसार किया जाता है—

| क्र० सं० | SPMU के अन्तर्गत पद | पदों की संख्या | नामित विभागीय अधिकारी/संविदा के आधार पर |
|----------|-------------------------------------------------------------------------------------------------------|----------------|---------------------------------------------------------------|
| 1. | परियोजना निदेशक | 01 | निदेशक, भूगर्भ जल विभाग |
| 2. | तकनीकी अधिकारी | 02 | अधिशासी अभियन्ता/सैनियर हाइड्रोलॉजियोलॉजिस्ट, भूगर्भ जल विभाग |
| 3. | सहायक तकनीकी अधिकारी, बाँदा, चित्रकूट, महोबा, झाँसी, हमीरपुर, ललितपुर, बागपत, शामली, मुजफ्फरनगर, मेरठ | 10 | सहायक अभियन्ता/हाइड्रोलॉजिस्ट, भूगर्भ जल विभाग |
| 4. | वित्त एवं लेखाधिकारी | 01 | वित्त एवम् लेखाधिकारी, भूगर्भ जल विभाग |
| 5. | ग्राउण्ड वाटर एक्सपर्ट | 01 | संविदा(Contractual hiring)/प्रतिनियुक्ति के आधार पर |
| 6. | प्रोक्योरमेन्ट विशेषज्ञ | 01 | |
| 7. | IT/MIS/GIS एक्सपर्ट | 01 | |
| 8. | IEC/कम्युनिकेशन एक्सपर्ट | 01 | |
| 9. | इनवायरन्मेन्टल एक्सपर्ट | 01 | |

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|-----|-------------------------|----|-----------------------------------------------------|
| 10. | सोशल डेवलपमेंट एक्सपर्ट | 01 | संविदा(Contractual hiring)/प्रतिनियुक्ति के आधार पर |
| 11. | डाटा एन्ट्री ऑपरेटर | 03 | |

2. SPMU के मुख्य कार्य एवं उत्तरदायित्व निम्नवत् होंगे:-

1. कार्यक्रम क्रियान्वयन एवं प्रबन्धन किया जाना।
2. परियोजना से संबंधित प्रोक्योरमेंट के कार्य।
3. परियोजना हेतु वित्तीय प्रबन्धन।
4. परियोजना के संस्थात्मक सृद्धीकरण तथा क्षमता सुधार के कार्य।
5. नागरिकों के फीडबैक प्राप्त किया जाना तथा शिकायत निवारण प्रणाली की स्थापना का कार्य।
6. कार्यक्रम क्रियान्वयन अभिकरण (PIA) द्वारा वांछित क्रियान्वयन रिपोर्ट तैयार करना।
7. राज्य स्तरीय अर्न्तविभागीय संचालन समिति को समेकित क्रियान्वयन प्रगति रिपोर्ट को अनुमोदन हेतु प्रेषित करना तथा अनुमोदनोपरांत उसे राष्ट्रीय कार्यक्रम प्रबन्धन इकाई (NPMU) को प्रेषित करना।

क्रम संख्या 01 से 07 के मध्य वर्णित कार्यों का विस्तृत विवरण भारत सरकार द्वारा निर्गत प्रोग्राम गाइडलाइन्स मार्च, 2020 वर्जन 1.1 में दिये गये मार्गनिर्देशों के अन्तर्गत तालिका 3.3 के अनुसार होगा।

अनुराग श्रीवास्तव
प्रमुख सचिव

संख्या: 296/76-3-2020, तददिनांक

प्रतिलिपि निम्नलिखित को सूचनार्थ एवम् आवश्यक कार्यवाही हेतु प्रेषित है:-

1. स्टाफ ऑफिसर, मुख्य सचिव, उत्तर प्रदेश शासन।
2. संयुक्त सचिव, जल संसाधन, नदी विकास एवं गंगा पुनरोद्धार विभाग, जल शक्ति मंत्रालय, भारत सरकार, नई दिल्ली।
3. जिलाधिकारी, बांदा, चित्रकूट, महोबा, हमीरपुर, ललितपुर, झांसी, मेरठ, बागपत, शामली, मुजफ्फरनगर।
- ✓ 4. निदेशक, भूगर्भ जल विभाग, उत्तर प्रदेश।
5. मुख्य अभियन्ता, लघु सिंचाई विभाग, उत्तर प्रदेश।
6. प्रमुख अभियन्ता, सिंचाई एवं जल संसाधन, उत्तर प्रदेश।
7. प्रमुख वन संरक्षक, उत्तर प्रदेश।
8. प्रबन्ध निदेशक, उत्तर प्रदेश जल निगम, लखनऊ।
9. क्षेत्रीय निदेशक, केन्द्रीय भूमि जल बोर्ड (उ0क्ष0) लखनऊ।
10. अधिशासी निदेशक, पेयजल एवं स्वच्छता मिशन, उत्तर प्रदेश, लखनऊ।
11. सम्बन्धित अधिशासी अभियन्ता/सीनियर हाइड्रोजियोलॉजिस्ट/सीनियर जियोफिसिस्ट, भूगर्भ जल विभाग, उत्तर प्रदेश।
12. गार्ड फाइल।

आज्ञा से
(विभाकर द्विवेदी)
अनु सचिव

उत्तर प्रदेश शासन
नमामि गंगे तथा ग्रामीण जलापूर्ति अनुभाग-3
संख्या: 327/76-3-2020-07जी0डबल/2017
लखनऊ: दिनांक 21 मई, 2020
कार्यालय झाप

जल संसाधन, नदी विकास एवं गंगा पुनरोद्धार विभाग, जल शक्ति मंत्रालय, भारत सरकार द्वारा उत्तर प्रदेश सहित राजस्थान, गुजरात, महाराष्ट्र, हरियाणा, कर्नाटक एवं मध्य प्रदेश में भूगर्भ जल संकट से प्रभावित विकास खण्डों में भूगर्भ जल की स्थिति में प्रभावी सुधार लाये जाने एवं प्रबन्धन उपायों को समेकित ढंग से क्रियान्वित किये जाने के उद्देश्य से अटल भूजल योजना लागू की गयी है। इस योजना के अन्तर्गत प्रदेश में बुन्देलखण्ड क्षेत्र के महोबा, झाँसी, बाँदा, चित्रकूट, हमीरपुर तथा ललितपुर जनपद के 20 विकास खण्ड तथा पश्चिमी उत्तर प्रदेश के मुजफ्फरनगर, शामली, बागपत, मेरठ जनपद के 06 विकास खण्ड इस प्रकार कुल 26 विकास खण्ड चयनित किये गये हैं, जिसमें उक्त योजना को क्रियान्वित किया जाना है।

इस संबंध में जल संसाधन, नदी विकास एवं गंगा पुनरोद्धार विभाग, जल शक्ति मंत्रालय भारत सरकार द्वारा अटल भूजल योजना हेतु निर्गत प्रोग्राम गाइडलाइन्स मार्च, 2020 वर्जन 1.1 में दिये गये मार्गनिर्देशों के अन्तर्गत प्रस्तर 4.3.1 के बिन्दु 19 में किए गए प्राविधानानुसार प्रदेश में उक्त योजना/कार्यक्रमों के अन्तर्गत चयनित 10 जनपदों के 26 विकास खण्डों को भूजल प्रबन्धन संबंधी विभिन्न कार्यों के नियोजन, क्रियान्वयन, अनुश्रवण व समीक्षा तथा क्रियान्वित की जाने वाली गतिविधियों के समन्वय हेतु जनपद स्तरीय कार्यक्रम इकाई (District Program Management Unit-DPMU) का गठन निम्नानुसार किया जाता है—

| क्र० सं० | डीपीएमयू के अन्तर्गत पद | नामित विभागीय अधिकारी /संविदा के आधार पर |
|----------|-------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | अध्यक्ष | जिलाधिकारी |
| 2 | तकनीकी अधिकारी | 1. जिला कृषि अधिकारी 2. अधिशासी अभियन्ता, सिंचाई विभाग 3. जिला उद्यान अधिकारी 4. प्रभागीय वनाधिकारी 5. अधिशासी अभियन्ता, उ०प्र० जल निगम 6. जिला पंचायत राज अधिकारी 7. परियोजना से संबंधित खण्ड विकास अधिकारी 8. परियोजना से संबंधित ग्राम पंचायत अधिकारी 9. क्षेत्रीय निदेशक, केन्द्रीय भूमि जल बोर्ड द्वारा नामित प्रतिनिधि |
| 3 | नोडल अधिकारी | कार्यक्रम क्रियान्वयन अभिकरण(PIA) द्वारा नामित अधिकारी |
| 4 | आई.ई.सी./कम्यूनिकेशन एक्सपर्ट | संविदा(Contractual hiring) द्वारा |
| 5 | डाटा एन्ट्री ऑपरेटर (2 पद) | संविदा(Contractual hiring) द्वारा |

2. जनपद स्तरीय कार्यक्रम इकाई के मुख्य कार्य एवं उत्तरदायित्व निम्नवत् होंगे:-

1. ग्राम्य पंचायत वाटर सिक्योरिटी प्लान का जनपद स्तर पर एकत्रीकरण तथा वैलिडेशन करते हुए बजट आवंटन हेतु पी0आई0ए0 को प्रस्तुत करना।
 2. वाटर सिक्योरिटी प्लान में वर्तमान में चल रही शासकीय योजनाओं(यथा-MGNREGS, PMKSY, अन्य सेन्ट्रल/स्टेट सेक्टर की योजनाएं) के इन्टरवेंशन के कन्वरजेन्स को सुनिश्चित करना।
 3. योजना के अन्तर्गत निवेश के द्वारा होने वाले वांछित प्रभावों को सुनिश्चित करने के लिए आवश्यक उपायों का मूल्यांकन और पहचान। (उदाहरण के लिए, ड्रिप इरीगेशन में निवेश निवेश के लिए सिंचित क्षेत्र पर प्रतिबन्ध)।
 4. जनपद स्तरीय समग्र प्लान में विभिन्न स्रोतों से बजट का आवंटन।
- उपरोक्त कार्यों के अतिरिक्त अन्य कार्य जल संसाधन, नदी विकास एवं गंगा पुनरोद्धार विभाग, जल शक्ति मंत्रालय, भारत सरकार द्वारा अटल भूजल योजना हेतु निर्गत प्रोग्राम गाइडलाइन्स, मार्च, 2020 वर्जन 1.1 में वर्णित तालिका 3.2 के अनुसार होंगे।

अनुराग श्रीवास्तव
प्रमुख सचिव

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संख्या: /76-3-2020, तददिनांक

प्रतिलिपि निम्नलिखित को सूचनार्थ एवम् आवश्यक कार्यवाही हेतु प्रेषित है:-

1. स्टाफ ऑफिसर, मुख्य सचिव, उत्तर प्रदेश शासन।
2. संयुक्त सचिव, जल संसाधन, नदी विकास एवं गंगा पुनरोद्धार, भारत सरकार, नई दिल्ली।
3. आयुक्त ग्राम्य विकास, उत्तर प्रदेश।
4. निदेशक, कृषि विभाग/उद्यान एवम् खाद्य प्रसंस्करण/पंचायती राज विभाग, उ0 प्र0।
5. जिलाधिकारी, बांदा, चित्रकूट, महोबा, हमीरपुर, ललितपुर, झांसी, मेरठ, बागपत, शामली, मुज़फ्फरनगर।
6. निदेशक, भूगर्भ जल विभाग, उत्तर प्रदेश।
7. मुख्य अभियन्ता, लघु सिंचाई विभाग, उत्तर प्रदेश।
8. प्रमुख अभियन्ता, सिंचाई एवम् जल संसाधन, उत्तर प्रदेश।
9. प्रमुख वन संरक्षक, उत्तर प्रदेश।
10. प्रबन्ध निदेशक, उत्तर प्रदेश जल निगम, लखनऊ।
11. क्षेत्रीय निदेशक, केन्द्रीय भूजल बोर्ड (उ0क्ष0) लखनऊ।
12. अधिशासी निदेशक, पेयजल एवम् स्वच्छता मिशन, उत्तर प्रदेश, लखनऊ।
13. सम्बन्धित खण्ड विकास अधिकारी।
14. गार्ड फाइल।

आज्ञा से,
(विभाकर द्विवेदी)
अनुसचिव