

CHAPTER-I

PERFORMANCE REVIEWS

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1. PERFORMANCE REVIEWS

Health and Family Welfare Department

1.1 National Rural Health Mission

The National Rural Health Mission was launched in the State in April 2005. A mid-term review of the implementation of the programme is aimed at reviewing the initiatives taken by the State Government to bridge the gaps in healthcare facilities and highlight areas of concern, which need to be addressed for successful achievement of the objectives of the Mission by the target date. The review revealed that interim goals/targets upto the end of 2008 for reducing Infant Mortality Rate, Maternal Mortality Rate, Babies with low birth weight were fully achieved. However, planning process was inadequate. The State is yet to carry out a household survey to identify the gaps in health care facilities. Upgradation of Community Health Centres, Primary Health Centres and Sub-Centres to the level of Indian Public Health Standards has not been achieved. Some significant audit findings are as under:

- *Perspective Plan and District Health Action Plans were not prepared during 2005-09 and community participation was not ensured in the planning process.*
(Paragraph 1.1.7)
- *Of the total available funds, 61 to 75 per cent remained unutilised with the Mission Director during 2005-09.*
(Paragraph 1.1.8.2)
- *Acute shortage of manpower in all the health institutions adversely affected the availability of health care services.*
(Paragraph 1.1.9.2)
- *Village Health and Sanitation Committees were not formed for ensuring community participation and implementation of the Mission at grass root level.*
(Paragraph 1.1.11)
- *Convergence of the Mission activities with Departments dealing with issues of safe drinking water, sanitation, nutrition, early childhood development and women's empowerment was not ensured.*
(Paragraph 1.1.14)

1.1.1 Introduction

The National Rural Health Mission (NRHM) was launched by the Government of India (GOI) on 12 April 2005 and was operationalised in Himachal Pradesh from this date. The main objectives of the Mission, to be met during the period 2005-2012 are as follows:

- *provide accessible, affordable, accountable, effective and reliable health care facilities in the rural areas, especially to the poor and vulnerable sections of the society;*
- *involve community in planning and monitoring;*
- *reduce infant mortality rate (IMR) maternal mortality rate (MMR) and total fertility rate (TFR) for population stabilisation; and*
- *prevent and control communicable and non-communicable diseases, including locally endemic diseases.*

The Mission aimed at an architectural correction in health care delivery system by converging various existing stand alone programmes viz., National Disease Control Programmes (NDCP), Reproductive and Child Health-II (RCH-II), Vector Borne Disease Control Programme, Tuberculosis, Leprosy, Blindness Control Programme and Integrated Disease Surveillance Project with the exception of National AIDS and Cancer Control Programmes.

The salient features of NRHM include bridging gaps in healthcare facilities, facilitating decentralised planning in the health sector and addressing the issue of health in the context of a sector-wise approach encompassing sanitation, hygiene, nutrition, etc., as basic determinants of good health and convergence with related social sector departments like Women and Child Development, Ayurveda, Yoga, Unani, Sidha and Homeopathy (AYUSH) and Panchayati Raj.

1.1.2 Organisational Set up

The organisational set up for implementation of NRHM activities in the State is as under:-



The organisational set up at the district level is given below:



Public health services in the rural areas are delivered through the Community Health Centres (CHCs), Primary Health Centres (PHCs) and Sub-Centres (SCs).

1.1.3 Scope of Audit

Performance audit of NRHM was conducted during April-July 2008 and February-May 2009 covering the implementation of the programme during 2005-09. Four¹ out of the 12 districts were selected for detailed review based on Probability Proportionate to Size With Replacement (PPSWR) method and records of the Mission Directorate, four District Health Societies (DHSs) and 12² out of 28 CHCs in the selected districts, 24³ out of 67 PHCs under the selected CHCs and 48⁴ out of 82 SCs under the selected PHCs were examined in detail. Out of a total expenditure of Rs 80.53 crore incurred on the activities of the Mission during the review period, Rs 55.59 crore (69 per cent) was covered in audit.

1.1.4 Audit Objectives

The objectives of performance audit were to assess whether:

- *planning, monitoring and evaluation procedures at the Village, Block, District and State levels achieved their principal objective of ensuring accessible, effective and reliable healthcare to rural population;*
- *public spending on health sector over the years 2005-09 increased to the desired level and assessment, release of funds in the decentralised set up, utilisation and accounting of funds was adequate;*
- *the level of community participation in planning, implementation and monitoring of the Mission was adequate and effective;*
- *convergence of the Mission activities with other departments, programmes and non-governmental stakeholders was ensured for achieving the broad objectives of the programme;*
- *the Mission achieved capacity building and strengthening of physical infrastructure and human resources at different levels as planned and targeted;*
- *procedures for procurement of equipment and drugs were cost effective and efficient; and*
- *the performance indicators and targets fixed specially in respect of reproductive and child healthcare, immunisation and disease control programmes were achieved.*

¹ Bilaspur, Hamirpur, Kangra and Kinnaur.

² Barsar, Berthin, Bhawarna, Bhoranj, Harlog, Indora, Jawalamukhi, Jhandutta, Nadaun, Nichar, Pooh and Sangla.

³ Bheri, Bhotia, Garhjamula, Gherwin, Haripur, Jaund, Kalol, Karohta, Kashmir, Katgaon, Khundian, Kuhmajwar, Kilba, Mair, Paral, Salauni, Sera, Spillo, Ribba, Rey, Talai, Talyana, Tangling and Tapri.

⁴ Aghar, Akpa, Badehar, Bharoli Kalan, Balchurani, Balrada, Balwani, Bani, Basaral, Bari Kalan, Barsand, Batsari, Bhogarwan, Bountga, Chander, Dhirwin, Duhak, Gathuttar, Gharana, Hareta, Karer, Karla, Karaur, Khrul, Kohla, Kanei, Kot, Kraba, Kulera, Kuthar, Malron, Mandhroli, Naghiar, Nanawan, Nesang, Pakhrol, Panvi, Ralli, Rispa, Rohin, Sahaura, Salwar, Sehorwala, Shong, Sprul, Tantha, Tranda and Yangpa.

1.1.5 Audit Criteria

Audit findings were benchmarked against the following criteria:

- *Guidelines issued by GOI for implementation of NRHM and instructions issued from time to time;*
- *State Programme Implementation Plan (PIP) approved by GOI;*
- *Memorandum of understanding between the GOI and the State Government; and*
- *Indian Public Health Standards (IPHS) for upgradation of CHCs and PHCs.*

1.1.6 Audit Methodology

The performance review commenced with an entry conference (March 2009) with the Principal Secretary (Health) and the State Mission Director wherein the audit objectives, audit criteria, scope and methodology were discussed.

Audit conclusions were drawn after a scrutiny of records relating to the implementation of various components of the Mission for the period 2005-09. The report was finalised after taking into account the views put forth by the Government during an exit conference held in October 2009 with the Principal Secretary (Health).

Audit Findings

1.1.7 Planning

NRHM envisaged a decentralised and participatory planning process with a bottom up approach from village level to ensure that need based and community owned Health Action Plans become the basis for interventions in the health sector. The plans were to be prepared on the basis of household and facility surveys at village, block and district levels based on Indian Public Health Standards (IPHS) norms. Fifty *per cent* of these surveys were required to be completed by 2007 and 100 *per cent* by 2008.

Scrutiny revealed that facility survey was carried out in the State during 2007-08. However, household survey was not conducted in any of the districts as of March 2009.

In the absence of a household survey, the Department did not have a complete database for a meaningful assessment of health care services and identify the gaps for future course of interventions on need analysis for formulation of the State Programme Implementation Plan (PIP) covering all the villages, blocks and districts of the State.

GOI released Rs 1.20 crore in April 2006 for preparation of a Perspective Plan for the entire Mission period (2005-12) and Annual Action Plans (AAPs) for 2005-09 but these have not been prepared and the entire amount remained unutilised with the State Health Society (SHS) as of March 2009.

The District Health Action Plan (DHAP) prepared by the DHS incorporating the block plans of all NRHM activities were to be submitted to the SHS for incorporation in the State Plan and onward submission to the National Programme Coordination Committee (NPCC) for appraisal.

Scrutiny of records revealed that during 2005-09 none of the districts had prepared DHAP due to which Perspective Plan for 2005-12 could not be prepared at the State level. PIP for the year 2005-06 was also not prepared and PIPs for the years 2006-09 were prepared without inputs from village, block and district levels. Hence, bottom up approach as envisaged in the guidelines was not adopted in preparation of PIPs for NRHM activities.

Community participation was also not ensured as the Village Health and Sanitation Committees (VHSCs) at village level, monitoring committees at village, block and district level were not formed.

1.1.8 Financial Management

1.1.8.1 Funding Pattern

GOI provided 100 per cent funds for implementation of the scheme through two separate channels i.e. through State Finance Department and directly to different programme implementing societies during 2005-07. From 2007-08 onwards, the contribution was to be in the ratio of 85:15 between the Centre and the State. Funds are released by GOI for the subsequent financial year taking into account utilised funds available with the State Government.

1.1.8.2 Financial Performance

The details of funds released by the GOI and utilisation thereagainst during 2005-09 were as under:

Table: 1.1.1

(Rupees in crore)

Year	OB	Funds received from		Interest accrued	Total availability of funds	Funds utilised during the year	Unutilised balance at the close of year
		GOI	State Govt.				
2005-06	2.42	19.14	--	0.18	21.74	5.49	16.25 (75)
2006-07	16.25	44.65	--	0.67	61.57	18.90	42.67 (69)
2007-08	42.67	18.63	--	1.16	62.46	19.86	42.60 (68)
2008-09	42.60	37.43	10.65	1.35	92.03	36.28	55.75 (61)
Total:		119.85	10.65	3.36		80.53*	

Source : Figures supplied by the State Mission Director. Figures in parenthesis indicate percentage. *Includes Rs 24.45 crore spent at Mission Headquarter.

The details of funds released by the Mission Director (MD) to the four test checked DHMs during 2005-09 and expenditure incurred there against was as given in table 1.1.2.

Table: 1.1.2

(Rupees in crore)

District	Year	OB	Receipt	Interest accrued	Total availability of funds	Funds utilised during the year
Bilaspur	2005-06	0.02	0.69	-	0.71	0.04 (6)
	2006-07	0.67	1.28	-	1.95	0.46 (24)
	2007-08	1.49	0.90	-	2.39	0.30 (13)
	2008-09	2.09	2.29	0.10	4.48	0.53 (12)
	Total:		5.16	0.10		1.33
Hamirpur	2005-06	0.07	1.04	0.01	1.12	0.32 (29)
	2006-07	0.80	1.43	0.02	2.25	0.84 (37)
	2007-08	1.41	1.20	0.04	2.65	0.77 (29)
	2008-09	1.88	3.52	0.05	5.45	2.25 (41)
	Total:		7.19	0.12		4.18
Kangra	2005-06	0.07	2.02	0.01	2.10	0.98 (47)
	2006-07	1.12	2.69	0.04	3.85	1.28 (33)
	2007-08	2.57	3.01	0.07	5.65	2.67 (47)
	2008-09	2.98	7.75	0.03	10.76	3.81 (35)
	Total:		15.47	0.15		8.74
Kinnaur	2005-06	-	0.38	-	0.38	0.11 (29)
	2006-07	0.27	0.77	-	1.04	0.40 (38)
	2007-08	0.64	0.68	-	1.32	0.63 (48)
	2008-09	0.69	0.91	0.05	1.65	0.86 (52)
	Total:		2.74	0.05		2.00

Source: Figures supplied by the District Health Missions. Figures in parenthesis indicate percentage

Audit scrutiny revealed the following:

➤ **Utilisation of Funds**

During 2005-09, funds ranging between Rs 16.25 crore and Rs 55.75 crore received from GOI (including State share of Rs 10.65 crore) were not utilised in the State. The percentage of non-utilisation of available funds during the aforesaid period ranged between 61 and 75. In the four test-checked DHMs, funds ranging between 48 and 94 per cent remained unutilised. Low utilisation of funds was due to non-provision of 24 hours healthcare facilities for the rural population by upgrading CHCs to First Referral Units (FRUs), Emergency Obstetric Care including surgical intervention, new born care, non-setting up of Medical Mobile Units (MMUs), non-posting of Accredited Social Health Activists (ASHAs) and non-utilisation of funds received for the purchase of equipment, etc. The Principal

Secretary in the exit conference (October 2009) stated that the funds could not be utilised in some of the activities as the ground work for carrying out these activities was yet to be undertaken. He also stated that a new formula with approval of GOI has been devised for utilisation of funds by the respective health institutions from the current year. The fact remains that the Department did not utilise the funds during the past four years and thereby deprived the general public of efficient and functional healthcare facilities.

➤ **Public Spending on Health Sector**

One of the mission goals is to increase public spending on health sector to two-three *per cent* of GSDP. Budget allocation under health sector during 2005-09 by the State and percentage of expenditure to the State GDP during 2005-06 to 2007-09 was as given below:

Table: 1.1.3

(Rupees in crore)

Year	Budget allocation on health sector	State GDP	Expenditure	Percentage
2005-06	360.13	25,471.00	393	1.54
2006-07	396.08	28,358.26	441	1.56
2007-08	431.10	31,974.17	471	1.47
2008-09	593.31	36,940.26	482	1.30

Source: Figures supplied by the Department

As can be seen from the above table though the State Government complied with the NRHM guidelines in terms of increasing its outlay on public health, it was unable to utilise the allocation on strengthening the health care infrastructure and delivery at the grass root level.

Thus, public spending on health sector remained almost constant during 2005-09 and the target to increase the same upto two to three *per cent* of GSDP remains to be achieved.

➤ **Transfer of Unutilised Funds under Reproductive and Child Health (RCH-I) to Main NRHM Accounts**

RCH-I was closed on 31 March 2005 and the unspent funds were required to be transferred to NRHM account at the district and State levels. Scrutiny of records revealed that an amount of Rs 1.20 crore (State level: Rs 0.69 crore and District level: Rs 0.51 crore) had not been transferred to the main NRHM account as of June 2009. The MD stated (June 2009) that after reconciliation of accounts of RCH-I at State and district level, the amount would be transferred to the NRHM account.

However, the fact remains that though a period of more than four years has elapsed, steps to reconcile and transfer the unspent funds to the NRHM for proper utilisation have not been taken.

1.1.9 Programme implementation

1.1.9.1 Infrastructure

As per NRHM norms one CHC, PHC and SC is to be set up for a population of 80,000, 20,000 and 3,000 respectively in hilly and tribal areas. The total population of Himachal Pradesh as per 2001 census is 60.78 lakh. Comparative position of requirement of these institutions on the basis of the prescribed norms and healthcare facilities actually set up in the State is detailed below:

Table: 1.1.4

(In numbers)

Name of health institution	Requirement as per norms	Actually created	Excess (+)/ Shortfall (-)
CHC	76	73	(-) 3 (04)
PHC	304	452	(+) 148 (49)
SC	2,026	2,069	(+) 43 (02)

Source: Census 2001. Figures in parenthesis indicate percentage

In the four test-checked districts also audit found deviation from the norms in the number of institutions as of March 2009 as shown below:

Table: 1.1.5

(In numbers)

District and Population	Requirement as per population			Position as on March 2009/Excess(+)/Shortfall(-)		
	CHC	PHC	SC	CHC	PHC	SC
Bilaspur 3.41 lakh	4	17	114	6 (+2)	30 (+13)	114 (-)
Hamirpur 4.13 lakh	5	21	138	5 (-)	25 (+04)	151 (+13)
Kangra 13.39 lakh	17	67	446	14 (-3)	77 (+10)	434 (-12)
Kinnaur 0.78 lakh	1	4	26	3 (+2)	21 (+17)	33 (+7)
Total	27	109	724	28 (+1)	153 (+44)	732 (+8)

Source: Figures supplied by SHS

Considering that Himachal Pradesh is a hilly State and habitations/people are scattered, the increase in the number of health centres over the norms would serve the purpose, only if these centres are adequately staffed. However, as brought out in paragraph 1.1.9.2, the health centres at all levels are understaffed and the minimum requirement of infrastructure was not available at most of the test-checked centres as detailed in table 1.1.6.

Table: 1.1.6

(In numbers)

Particulars	Centres where services were not available		
	CHCs	PHCs	SCs
Total number of Health Centres test-checked	12	24	48
Housed in Government building	--	5	18
Separate utility for men and women	8	21	45
Separate wards for male and female	5	18	NR
Emergency/Casualty Room	7	20	NR
Operation Theater	3	15	NR
Labour Room	--	14	44
Emergency obstetric care	11	NR	NR
Generator	11	22	NR
Blood storage	12	NR	NR
New born care	12	NR	NR
24 x 7 delivery service	--	16	48
X-ray facility	3	24	NR
In-patient service	--	10	NR
Ultrasound	9	NR	NR
ECG	7	NR	NR
Emergency services (24 hours)	--	16	NR
Family Planning (Tubectomy and Vasectomy)	8	24	NR
Intra-natal examination of gynaecological conditions	12	NR	NR
Pediatrics	11	NR	NR

Source: Data compiled by audit from information supplied by the test checked units

Note: NR: Not required

Thus, despite launching of NRHM and availability of sufficient funds accessibility to health services for the rural people did not improve. The physical status of some of the facilities at the test-checked health centres is given in photographs 1.1.1 to 1.1.6.

Photograph : 1.1.1



Photograph : 1.1.2



Lack of facilities in the operation theatre at CHCs Barsar and Bhota

Photograph : 1.1.3



Patients waiting for their turn outside OPD due to non-availability of waiting room at CHC Bhota

Photograph : 1.1.4



Primary Health Centre Bhota without boundary wall

Photograph : 1.1.5



Primary Health Centre Salauni housed in private at building without basic amenities

Photograph : 1.1.6



Dilapidated condition of residential facilities for staff CHC Bhota

Scrutiny of records revealed that for construction of two CHCs, 11 PHCs and 15 SCs in Hamirpur and Kangra districts selected for test check, Rs 3.96⁵ crore were released by the MD during December 2008-January 2009 without ensuring availability of land and getting the estimates prepared from the DHSs. The MD while admitting (June 2009) the facts stated that respective CMOs would complete all the codal formalities and get the works executed.

Thus, release of funds indicated lack of proper coordination between Mission Directorate and DHSs for ensuring timely creation of infrastructure facilities in the rural areas.

⁵ **Hamirpur:** Rs 1.21 crore for one CHC, four PHCs and 10 SCs; **Kangra:** Rs 2.75 crore for one CHC, seven PHCs and five SCs.

➤ **Cold Chain Management**

To support immunisation programme cold chain maintenance was to be ensured in all the CHCs and PHCs. As per information available with SHS, cold chain equipments were available in all the CHCs but the same were not available in 142 out of 452 PHCs in the State. The Mission Director had proposed (January 2009) to establish cold chain facilities in 81 PHCs.

The Principal Secretary in the exit conference stated (October 2009) that many of the institutions would not qualify for it after rationalisation and 130 equipments (65 sets each of Deep freezer and Ice Lined Refrigerator) are expected to be received shortly from GOI which would be sufficient to cater to the health facilities in all the health institutions.

The fact remains that in the absence of cold chain equipment in sizable number of institutions, the potency and effectiveness of vaccines administered is suspect.

➤ **Upgradation of CHCs to First Referral Units (FRUs)**

NRHM provides for upgradation of CHCs to FRUs with adequate facilities and manpower.

In three out of the four districts examined in audit, it was noticed that 10 CHCs⁶ were planned to be upgraded as FRUs during 2005-09 and Rs 3.00 crore (Bilaspur: Rs 1.20 crore, Hamirpur: Rs 0.80 crore and Kangra: Rs 1.00 crore) were released by the Mission Director for this purpose upto March 2009. Scrutiny of records revealed that although Rs 1.42 crore (Bilaspur: Rs 0.19 crore, Hamirpur: Rs 0.70 crore and Kangra: Rs 0.53 crore) had been utilised by the DHSs concerned for the purchase of machinery and equipment, none of the CHCs had been made functional as FRU as of May 2009. In Kinnaur district two CHCs were targeted to be upgraded as FRUs and both (Rekong Peo in 2005-06 and Bhabanagar in 2006-07) were upgraded.

The Chief Medical Officers (CMOs) of the concerned districts stated (February-May 2009) that due to non appointment of specialists and other requisite staff, these CHCs could not be made functional as FRUs.

1.1.9.2 Manpower

There was acute shortage of manpower in the health centres and none of the test-checked units (CHC: 12; PHC: 24 and SC: 48) was upgraded to Indian Public Health Standards (IPHS) as can be seen from the details given in table 1.1.7.

⁶ **Bilaspur:** Ghawandal and Ghumarwin; **Hamirpur:** Bhoranj, Nadaun and Sujanpur; **Kangra:** Chadhiar, Fatehpur, Nagrota Bagwan and Shahpur.

Table: 1.1.7

(In numbers)

Category of centre	Manpower required (as per IPHS) norms		Men in position		Shortage	
	Medical Specialists	Para- medical staff	Medical Officers/ Specialists	Para- medical staff	Medical Officers/ Specialists	Para- medical staff
CHC	72 (6 each for 12 CHCs)	132 (11 each for 12 CHCs)	4	92	68	40
PHC	48 (2 each for 24 PHCs)	192 (8 each for 24 PHCs)	27	58	21	134
SC	Nil	96 (2 each for 48 SCs)	-	63	-	33

Source: Information supplied by the DHS

Audit analysis further revealed that:

- None of the selected CHCs had a General Surgeon, an Obstetrician/Gynaecologist, an Anaesthetist and an Eye Surgeon. Shortage of staff nurses in 11⁷ CHCs out of 12 test-checked was 44 against the required strength of 77 (seven staff nurses per CHC).
- In 18⁸ out of 24 PHCs only one Medical Officer against the required strength of two was in position and 13⁹ PHCs were being run without any staff nurse against the requirement of three in each PHC.
- In 27¹⁰ SCs, against the requirement of two health workers (one male and one female), only one worker (either male or female) was posted. Thus, SCs at grass root level were not adequately manned.

The Principal Secretary in the exit conference stated (October 2009) that the Government has devised its own norms for staff, space, equipment, etc. Population and distance from health institutions would be the basic parameters. The new norms would be followed to provide adequate medical and paramedical staff in these institutions.

The fact remains that the health centres remained under staffed and no medical and para medical staff was recruited during the past four years of implementation of NRHM as required under the guidelines. In the absence of necessary medical support staff at health centres the delivery of essential health services suffered and the goal of providing reliable and quality health services in the rural areas was affected.

⁷ Barsar, Berthin, Bhawarna, Bhoranj, Harlog, Jawalamukhi, Jhandutta, Nadaun, Nichar, Pooch and Sangla.

⁸ Bheri, Garhjamula, Gerhwin, Kalol, Kashmir, Katgoan, Khundian, Kuhmajhwar, Kilba, Mair, Paral, Salauni, Sera, Spillow, Talai, Talyana, Tangling and Tapri.

⁹ Bheri, Jaing, Kashmir, Katgaon, Kilba, Kuhmajhwar, Mair, Paral, Ribba, Salauni, Sera, Talyana and Tangling.

¹⁰ Akpa, Bharoli Kalan, Banni, Barikalan, Batseri, Duhak, Gharana, Hareta, Karla, Khrul, Kohla, Kanei, Kot, Kraba, Kulera, Kuthar, Manthrol, Nanawan, Nesang, Pakhrol, Panvi, Ralli, Rispa, Sahaura, Salwar, Shong and Yangpa.

Photograph: 1.1.7



Patients queued up around Medical Officer at CHC Barsar

➤ **Training of Medical and Para Medical Staff**

To bring improvement in healthcare services and to upgrade the knowledge of their medical and non-medical staff during 2005-09, 111 modules of training activities for Medical Officers, staff nurses, health workers, supervisors, ANMs/LHVs and ASHAs had been proposed. As per comprehensive training plan prepared by the Mission Director for 2005-09, 25,584 personnel were to be imparted training during these years for which Rs 2.11 crore were allocated. The position of training actually imparted in the State is given below:

Table: 1.1.8

(In numbers)

Year	Activities on which training was to be imparted	Personnel of different categories targeted to be trained	Personnel actually trained	Shortfall
2005-06	19	5,209	395	4,814 (92)
2006-07	31	5,181	193	4,988 (96)
2007-08	31	12,643	201	12,442 (98)
2008-09	30	2,551	1,084	1,467 (58)
Total:	111	25,584	1,873	23,711

Source: Figures supplied by the Mission Director. Figures in parenthesis indicate percentage

The percentage of shortfall in imparting training to staff ranged between 58 and 98. Besides, the State Government could utilise only Rs 59.92 lakh against the total allocation of Rs 2.11 crore for training.

The Mission Director stated (May 2009) that due to shortage of medical and para-medical staff it was not possible to depute staff for training as it becomes difficult to tackle emergencies and outbreaks. He further stated that training modules were not available for most of the new training activities launched

under NRHM and master trainers under most of the new training activities were not trained in the State, hence training activities could not be carried out in full swing.

1.1.9.3 State Programme Management Support Unit (SPMU) and District Programme Management Support Units (DPMUs)

In order to ensure proper implementation of the Mission at State and District level, SPMU at State level and DPMU at District level were to be set up and professionals like Masters of Business Administration, Chartered Accountants and MIS specialists were to be recruited on contract basis for the posts of State Programme Manager, State Finance Manager and State Data Manager respectively. Similarly, for DPMU District Programme Manager, District Finance Manager and District Data Manager were also required to be recruited.

Scrutiny of records revealed that though SPMU was set up, staff except the State Finance Manager, was not provided as per norms. The job of State Programme Manager and State Data Manager was assigned to a doctor and a Deputy Director (statistics) respectively. In the four test-checked districts, one Accountant in each district was recruited for DPMU and no professional Managers were engaged. Similarly, in 12 test-checked blocks, only Block Accountants (one in each block) and five Block Programme Managers (Bhawarna, Bhoranj, Jawalamukhi, Jhandutta and Nadaun) were recruited.

The shortage of managerial staff indicates that the purpose of managing specialised jobs by experts in the relevant field remained unrealised. This would certainly affect the quality of management functions like accounting, MIS reporting, manpower management, etc.

1.1.9.4 Accredited Social Health Activist (ASHA)

To act as an interface between the community and public health system, a trained female community health worker ASHA was required to be provided in each village in the ratio of one per 1,000 population. For tribal, hilly and desert areas, the norm could be relaxed with provision of one ASHA per habitation depending upon the workload. The State Government, considering a population of 800 persons for a village, worked out the requirement of 7,750 ASHAs and selected 2,393 ASHAs upto March 2008. Rupees 31.77 lakh was spent on selection (Rs 8.97 lakh), purchase of kits (Rs 14.86 lakh), printing of booklets (Rs 7.42 lakh) for these workers and Information, Education and Communication (IEC) activities (Rs 0.52 lakh). However, none of these 2,393 ASHAs was deployed in the rural areas as envisaged.

The Principal Secretary admitted in the exit conference that the selected ASHAs have not been deployed during 2005-09 as some of the functions like immunisation and health checkups of pregnant women are already being done by the Anganwadi Workers (AWWs) under Integrated Child Development Project (ICDP). He further stated that the Planning Commission as well as GOI have approved assigning the task of ASHA to AWWs in the PIP for the year 2009-10 and assured that this will be implemented effectively from the current financial year.

1.1.9.5 Mobile Medical Units

As per NRHM guidelines, a Mobile Medical Unit (MMU) was to be provided in each district for ensuring outreach of healthcare services in medically unserved/underserved areas.

GOI released Rs 5.33 crore in October 2006 for this purpose but no MMU had been set up in any of the 12 districts in the State as of May 2009. While admitting the facts, the Principal Secretary stated (October 2009) that in place of MMUs, a new scheme viz., Emergency Medical Response and Transport is likely to be implemented as the strategy is to take the patient to the medical centre where medical facilities will be available rather than to an MMU without facilities. Thus, during the first four years of implementation of NRHM, the objective of providing healthcare at the door steps of the people in the unserved/underserved areas of the State was not achieved despite availability of funds.

1.1.9.6 Family Welfare Activities

Under NRHM, the interim goals/targets upto the end of 2008 for reducing Infant Mortality Rate (IMR), Total Fertility rate (TFR), Maternal Mortality Rate (MMR), Morbidity and Child Mortality Rate and increasing cure rate of different endemic diseases covered under various national programmes have been laid down. The targets and achievement thereagainst in this regard during 2005-09 in the State are as under:

Table: 1.1.9

(In numbers)

Sr. No	Indicators	Position as per SRS 2002	Target	Achievement as per SRS 2007
1	Infant mortality rate (IMR) (per 1000)	52	50	47 (SRS * 2007)
2	Crude death rate (per 1000)	7.5	7.0	7.10 (SRS 2007)
3	Child mortality rate (under 5 years) (Per 1000)	14.4	8	10 (SRS 2007)
4	Maternal mortality rate (MMR)	---	100/1,00,000	37
5	Life expectancy at birth (years)	65.9	67	66.70
6	Babies with low birth weight (<i>per cent</i>)	---	20	6.89
7	Crude birth rate	20.7	17	17.40 (SRS 2007)
8	Total fertility rate (TFR)	2.1	2	1.90 (SRS 2007)
9	Essential Ante-natal care (<i>per cent</i>)	---	90	62.60 (For three check-ups)
10	Deliveries by trained birth attendants (<i>per cent</i>)	---	100	41.70
11	Institutional deliveries (2008-09) (<i>per cent</i>)	---	45	53.31

Source: Data supplied by the Mission Director

*SRS = Sample Registration System

As can be seen from the table above the indicators showed positive trends. Separate targets/indicators for districts were not prescribed under the Mission. From the above details it would be seen that while the Department fully achieved the interim goals/targets under IMR, MMR and babies with low birth weight upto March 2008, the targets in respect of essential anti-natal care and deliveries by trained birth attendants had not been achieved. Further, achievement (53.31 *per cent*) in respect of institutional deliveries shown in 2008-09 was not correct as it was only 39 *per cent* up to the end of 2008-09 as brought out in paragraph 1.1.9.8.

1.1.9.7 Janani Suraksha Yojana and Referral Transport

Janani Suraksha Yojana (JSY) is a safe motherhood intervention under NRHM. The objective of JSY is to reduce maternal and neo-natal mortality by promoting institutional deliveries among the poor pregnant women.

Under NRHM, BPL, SC and ST pregnant women aged 19 years and above up to two live births are entitled for incentive of Rs 700 in case of delivery in a Government health centre or accredited private institution and Rs 500 in case of domiciliary delivery including referral transport cash assistance. The bottom line for the success of the scheme lies in making the cash assistance to these women at the time of delivery or within seven days from the date of delivery.

During 2005-09, Rs 1.80 crore were spent in the State on payment of cash assistance in 32,008 cases under JSY and Rs 25.46 lakh in 9,276 cases under referral transport.

In three CHCs of Kangra district and in District Hospital Bilaspur it was noticed that cash assistance of Rs 1.06 lakh was not disbursed to the beneficiaries within the prescribed time limit and delay involved in disbursement ranged between one and 20 months as detailed below:

Table: 1.1.10

(In Rupees)

Health centre	Period	Number of cases	Amount paid	Period of delay (In months)
DH, Bilaspur	November 2006 to October 2008	21	11,600	1 to 20
CHC, Bhawarna	November 2005 to December 2008	42	26,350	1 to 20
CHC, Jawalamukhi	November 2005 to January 2009	77	46,600	1 to 16
CHC, Indora	July 2006 to January 2009	42	21,700	1 to 13
Total:		182	1,06,250	

Source: Departmental figures

The CMOs/BMOs attributed (March-May 2009) the delay to difficulties in completing the required identification documents, cards, etc.

1.1.9.8 Institutional Delivery

NRHM provides for strengthening of maternal health services to ensure safe delivery by promoting institutional delivery. As per the interim goals/targets fixed by the State Government, 45 per cent deliveries were to be ensured in Government health centres or accredited private institutions by the end of 2008.

Audit scrutiny revealed that achievement in this regard during 2005-09 remained between 33 and 39 per cent as detailed in table 1.1.11.

Table: 1.1.11

(In numbers)

Year	Pregnant women registered	Institutional deliveries	Percentage of achievement
2005-06	1,58,480	52,117	33
2006-07	1,55,098	54,197	35
2007-08	1,51,921	57,625	38
2008-09	1,53,685	59,437	39

Source: Data supplied by the Mission Director

The status of institutional deliveries in the four test checked districts during 2005-09 was as under:

Table: 1.1.12

(In numbers)

District	Year	Pregnant women registered	Institutional deliveries	Percentage of Achievement
Bilaspur	2005-06	8,061	3,667	45
	2006-07	7,699	3,411	44
	2007-08	7,156	3,051	43
	2008-09	7,579	3,182	42
Hamirpur	2005-06	10,871	3,920	36
	2006-07	10,981	3,584	33
	2007-08	10,972	3,300	30
	2008-09	10,805	5,684	53
Kangra	2005-06	32,160	11,186	35
	2006-07	32,320	11,235	35
	2007-08	30,374	9,958	33
	2008-09	25,869	7,184	28
Kinnaur	2005-06	1,785	501	28
	2006-07	1,632	433	27
	2007-08	1,619	512	32
	2008-09	1,868	754	40

Source: Data supplied by the Mission Director and DHSs of the respective districts

From the above details it would be seen that under the intervention of JSY, the percentage of pregnant women opting for institutional facilities for delivery had not been achieved to the prescribed level of 45 *per cent* upto March 2009 except in Hamirpur district during the year 2008-09. In Bilaspur district, the prescribed level of 45 *per cent* was achieved during 2005-06 but subsequently decreased to 42 *per cent* during 2008-09. Shortfall in achievement was attributed

(June 2009) by the MD to difficult terrain/geographical conditions of the State and lack of specialist doctors/gynecologists and paramedical staff. The reply is not acceptable as the Department was unable to establish interface with the rural people due to non-appointment of ASHAs who were to create awareness among rural pregnant women and ensure they received adequate support during pregnancy and child birth.

1.1.9.9 Antenatal Checkups (ANCs)

The details of pregnant women in the State who had received three ANCs during 2005-09 were as under:

Table: 1.1.13

(In numbers)

Year	Pregnant women registered	Provided three ANCs	Percentage of Achievement
2005-06	1,58,480	1,20,661	76
2006-07	1,55,098	1,15,628	75
2007-08	1,51,921	1,15,053	76
2008-09	1,53,685	1,12,121	73

Source: Information supplied by the SHS

In the four test-checked districts, the percentage of achievement during 2005-09 was as under:

Table: 1.1.14

(In numbers)

District	Year	Registered pregnant women	Women provided ANC	Percentage of Achievement
Bilaspur	2005-06	8,061	6,361	79
	2006-07	7,699	5,963	77
	2007-08	7,156	5,812	81
	2008-09	7,579	6,274	83
Hamirpur	2005-06	10,871	8,402	77
	2006-07	10,981	8,466	77
	2007-08	10,972	9,015	82
	2008-09	10,805	8,477	78
Kangra	2005-06	32,160	26,205	81
	2006-07	32,320	25,524	79
	2007-08	30,374	24,174	80
	2008-09	25,869	19,748	76
Kinnaur	2005-06	1,785	1,006	56
	2006-07	1632	953	58
	2007-08	1619	962	59
	2008-09	1868	1,058	57

Source: Information supplied by the DHS of the respective districts

The above details show that the intervention of ANCs was not implemented effectively in the State as registered pregnant women were not covered fully to ensure effective healthcare.

While admitting the facts the MD stated (June 2009) that some beneficiaries migrate to other States after first/second ANC and as a result, all the registered pregnant women could not be given three ANCs.

1.1.9.10 Reproductive Tract Infection (RTI) and Sexually Transmitted Infection (STI) Clinics

Reproductive healthcare includes services to counter RTI, STI and facility for safe medical termination of pregnancy (MTP). The Mission envisaged establishment of RTI and STI clinics at every district hospital and CHCs and MTP facilities upto PHC level.

Scrutiny of records of SHS revealed that RTI/STI clinics and MTP centres had been established in all the 12 district hospitals. However, out of 73 CHCs in the State, these clinics/centres were established only in 42 and 37 CHCs respectively as of March 2009. The MTP centres were available only in 13 out of 452 PHCs in the State.

The existence of RTI/STI and MTP facilities were insignificant in the CHCs/PHCs of the test-checked districts as detailed below:

Table: 1.1.15

(In numbers)

District	Total health centres		RTI/STI clinics established		Availability of MTP centres	
	CHCs	PHCs	CHCs	PHCs	CHCs	PHCs
Bilaspur	6	30	2	NR	3	Nil
Hamirpur	5	25	4	NR	4	1
Kangra	14	77	8	NR	9	2
Kinnaur	3	21	2	NR	2	1

Source: Information supplied by SHS. Note: NR: Not required

The above details show that, the establishment of clinics in all the CHCs was not ensured as of March 2009 to counter the prevalence of RTI and STI especially among women. Besides, existence of MTP centres was also insignificant as these were available only in three *per cent* PHCs in the State and in four¹¹ PHCs of three test-checked districts. Further, out of 100 MTP kits purchased in May 2008 at a cost of Rs 2.43 lakh, 30 kits were supplied to Kamla Nehru Hospital, Shimla and 10 kits to DHS, Shimla. The remaining 60 kits were lying unutilized in the store of SHS as of May 2009.

The MD stated (June 2009) that the RTI/STI and MTP centres were not established in all the CHCs/PHCs due to shortage of specialists and other manpower.

¹¹ **Hamirpur:** PHC Bhota; **Kangra:** PHC Gopalpur and Tiara and **Kinnaur:** PHC Spillow.

1.1.9.11 Immunisation

➤ Immunisation against Preventable Diseases

Immunisation of children against six preventable diseases, viz., tuberculosis, diphtheria, pertussis, tetanus, polio and measles has been the cornerstone of routine immunisation under universal immunisation programme. The achievement against the targets set for routine immunisation in the State during 2005-09 is given below:

Table: 1.1.16

(In numbers)

Year	Target	Achievement (0 to 1 year age group)			
		BCG	Measles	DPT	OPV
2005-06	1,25,630	1,34,050 (107)	1,25,308 (100)	1,31,548 (105)	1,31,288 (105)
2006-07	1,26,712	1,33,212 (105)	1,26,284 (100)	1,29,173 (102)	1,29,140 (102)
2007-08	1,18,945	1,29,882 (109)	1,25,056 (105)	1,27,471 (107)	1,27,475 (107)
2008-09	1,26,255	1,34,334 (106)	1,22,206 (97)	1,30,842 (104)	1,30,839 (104)

Source: Information supplied by the Mission Director. Figures in parenthesis indicate percentage

Note: BCG: Bacilus Calamide Gurine, DPT: Diphtheria Pertussis Tetanus, OPV: Oral Polio Vaccine

Table: 1.1.17

(In numbers)

Year	DT (5 to 6 year age group)		TT (10 years)		TT (16 years)	
	Target	Achievement	Target	Achievement	Target	Achievement
2005-06	1,41,485	1,17,587 (83)	1,53,650	1,16,941 (76)	1,40,850	1,08,313 (77)
2006-07	1,29,360	1,15,229 (89)	1,29,360	1,21,725 (94)	1,09,956	1,07,088 (97)
2007-08	1,30,560	1,12,845 (86)	1,30,560	1,21,865 (93)	1,10,976	1,19,181 (107)
2008-09	1,32,760	1,10,470 (83)	1,32,760	1,17,255 (88)	1,12,646	96,164 (85)

Source: Information supplied by the Mission Director. Figures in parenthesis indicate percentage

Note: DT: Diphtheria Tetanus, TT: Tetanus Toxide

The overall achievement of full immunisation of children between zero to one year age group covering BCG, measles, DPT and OPV was 97 to 109 *per cent* during 2005-09. The achievement of targets in the secondary immunisation of children ranged between 83 and 89 *per cent* for DT, 76 to 94 *per cent* for TT (10 years age group) and 77 to 107 *per cent* for TT (16 years age group).

In the four test-checked districts the percentage of fully immunised children was between 83 and 107 (Bilaspur: 94 and 105; Hamirpur: 96 and 107; Kinnaur: 83 and 99 and Kangra: 93 and 106). Shortfall in achievement of targets in secondary immunisation of children in these districts remained between 0 and 31 *per cent* as indicated in Appendix-I.

➤ Pulse Polio Immunisation

The Pulse polio immunisation was launched under RCH-II to eradicate polio and ensure zero transmission by the end of 2008. The year-wise position of pulse polio targets set and achievements thereagainst in

the State during 2005-09 were as under:

Table: 1.1.18

(Number of children)

Year	Target	Achievement
2005-06	7,37,350	7,12,179 (97)
2006-07	7,44,192	7,17,545 (96)
2007-08	7,31,875	7,14,730 (98)
2008-09	7,24,171	7,12,227 (98)

Source: Data supplied by the Mission Director. Figures in parenthesis indicate percentage

The performance of pulse polio immunisation ranged between 96 and 98 *per cent* during 2005-09. Besides, in the State only one case of Polio was detected during 2006-07 and thereafter zero occurrence by the end of March 2009.

In the four test-checked districts, achievement of polio immunisation during the period 2005-09 was as follows:

Table: 1.1.19

(Number of children)

District	Year	Target	Achievement
Bilaspur	2005-06	39,782	39,782 (100)
	2006-07	39,966	38,472 (96)
	2007-08	38,319	38,925 (102)
	2008-09	38,584	39,204 (102)
Hamirpur	2005-06	44,200	45,202 (102)
	2006-07	50,065	44,040 (88)
	2007-08	43,348	41,299 (95)
	2008-09	44,866	41,536 (93)
Kangra	2005-06	No targets fixed	1,44,745
	2006-07	-do-	1,45,454
	2007-08	-do-	1,45,302
	2008-09	-do-	1,45,434
Kinnaur	2005-06	8,900	8,901 (100)
	2006-07	9,365	8,567 (91)
	2007-08	8,264	8,098 (98)
	2008-09	8,274	8,099 (98)

Source: Information supplied by the respective DHSs. Figures in parenthesis indicate percentage

From the above details it would be seen that in Bilaspur, Hamirpur and Kinnaur districts the performance was satisfactory whereas in Kangra district performance could not be evaluated due to non-availability of targets with the DHS. Besides, no case of polio was detected in these districts during 2005-09.

1.1.9.12 Disease Control Programmes

Six¹² National Disease Control Programmes were taken up for implementation under NRHM. The programme-wise performance of two programmes test checked in audit is discussed below:

➤ **National Programme for Control of Blindness (NPCB)**

The NPCB aimed at reducing the prevalence of blindness cases to 0.8 *per cent* by 2007 through increased cataract surgery, school eye screening and free distribution of spectacles, collection of donated eyes, creation of donation centres and eye bank, strengthening of infrastructure and training of eye surgeons and nurses.

➤ **Cataract Operations**

Year wise position of cataract operations performed in the State during 2005-09 was as under:

Table: 1.1.20

(In numbers)

Year	Target	Achievement
2005-06	16,000	20,367 (127)
2006-07	16,000	21,546 (135)
2007-08	20,000	22,511 (113)
2008-09	30,000	27,012 (90)

Source: Information supplied by the Mission Director. Figures in parenthesis indicate percentage

The achievement of cataract operations in the State against the targets exceeded by 13 to 35 *per cent* during 2005-08 whereas during 2008-09 the achievement fell short by 10 *per cent*.

In the test-checked districts, the status of cataract operations performed during 2005-09 was as under:

Table: 1.1.21

(In numbers)

District	Year	Target	Achievement	Percentage of Achievement
Bilaspur	2005-06	900	746	83
	2006-07	900	618	69
	2007-08	1,100	625	57
	2008-09	1,600	741	46

¹² 1. National Programme for Control of Blindness (NPCB), 2. National Leprosy Elimination Programme (NLEP), 3. National Vector Borne Disease Control Programme, 4. National Iodine Deficiency Disorder (NIDD) Control Programme, 5. Revised National Tuberculosis Control Programme (RNTCP) and 6. Integrated Disease Surveillance Project (IDSP).

Hamirpur	2005-06	1,100	1,658	151
	2006-07	1,100	1,453	132
	2007-08	1,300	1,463	113
	2008-09	2,000	1,609	80
Kangra	2005-06	3,500	7,239	207
	2006-07	3,500	8,759	250
	2007-08	4,500	8,852	197
	2008-09	5,800	6,562	113
Kinnaur	2005-06	200	157	79
	2006-07	200	136	68
	2007-08	200	159	80
	2008-09	300	158	53

Source: Information supplied by the respective DHSs

From the above details it would be seen that during 2005-09 performance of cataract operations in two districts (Hamirpur and Kangra) was also satisfactory as achievements exceeded by 13 to 150 *per cent* except for 2008-09 in respect of Hamirpur district. The remaining two districts Bilaspur and Kinnaur did not perform well as achievement of targets was between 46 and 83 *per cent*.

➤ **Refractive Errors and Distribution of Spectacles to School Children**

The programme envisaged screening of school children for refractive errors and distribution of spectacles to the students having refractive errors. The year wise position of detection of refractive errors and distribution of spectacles to the students having refractive errors was as under:

Table: 1.1.22

(In numbers)

Year	Children checked	Children found with refractive errors	Children provided with glasses		
			Target	Achievement	Shortfall
2005-06	1,04,667	6,059	3,119	1,353	1,766 (57)
2006-07	1,41,714	6,219	3,638	1,948	1,690 (46)
2007-08	1,50,385	6,668	3,638	1,369	2,269 (62)
2008-09	95,231	3,536	1,899	662	1,237 (65)
Total:	4,91,997	22,482	12,294	5,332	6,962

Source: Figures supplied by the Mission Director. Figures in parenthesis indicate percentage

It would be seen from the above table that there was shortfall ranging between 46 and 65 per cent in providing glasses to the targeted school children found with refractive errors during 2005-09.

While admitting the facts, Deputy Director NPCB stated (May 2009) that glasses were provided only to poor children whose parents could not afford to purchase from the market.

➤ **Facilities for Eye Donation**

Under NRHM the facility for eye donation and its preservation should be established in all the district hospitals and medical colleges in the State. Scrutiny of records of the SHS revealed that none of the district hospitals and medical colleges in the State were equipped with facility for eye donation and its preservation.

While admitting the facts the Deputy Director NPCB stated (May 2009) that an eye bank was sanctioned and is in the process of being setup in IGMC Hospital.

➤ **Procurement of Ophthalmic Equipment**

The GOI released (June 2006) Rs 1.23 crore for procurement of ophthalmic equipment in the State under NPCB during 2006-07.

Scrutiny of records of the SHS revealed that out of Rs 1.23 crore, an amount of Rs 0.45 crore was utilised for the procurement of ophthalmic equipment and balance Rs 0.78 crore remained unutilised with the three units¹³. This deprived the rural masses of the intended facilities.

The Deputy Director of Health (NPCB) stated (May 2009) that the funds lying with the State Blindness Control Society would be utilised shortly for the purchase of intra ocular lenses.

Besides, an amount of Rs 1.32 crore received from GOI in December 2008 for implementation of four new schemes viz., construction of Eye Wards and Eye Operation Theaters (Rs 0.75 crore), Mobile Ophthalmic Units with telenetwork (Rs 0.40 crore), salary of staff (Rs 0.02 crore) and maintenance of ophthalmic equipment (Rs 0.15 crore) also remained unutilised with the State Government as of May 2009.

1.1.10 Integrated Disease Surveillance Project (IDSP)

To establish a decentralised State based system of disease surveillance for communicable and non communicable diseases IDSP was launched in the State during April 2005. Under this project, activities like training for District Surveillance Officers and District Surveillance team, establishing data centres in all districts, upgradation of health laboratories up to PHC level were to be undertaken.

Scrutiny of records of the SHS revealed that an amount of Rs 45.20 lakh was released to all the districts between May 2005 and November 2005 for the renovation/repair of 12 District Surveillance Units (DSUs) (Rs 16.80 lakh) and strengthening of Surveillance laboratories at 12 Districts Hospitals (DHs) (Rs 16.80 lakh), 43 CHCs (Rs 8.60 lakh), 15 PHCs (Rs 3.00 lakh) respectively. Of these, 10 DSUs and eight District level laboratories were renovated. Two DSUs (Kullu and Solan) and four¹⁴ District level laboratories were not renovated/strengthened. Besides, 38 laboratories at CHCs level and 13 at PHCs

¹³ State Blindness Control Society: Rs 7.00 lakh; Dr. Rajendra Prasad Medical College, Kangra: Rs 35.50 lakh and Indira Gandhi Medical College, Shimla: Rs 35.50 lakh.

¹⁴ Kangra, Kullu, Lahaul & Spiti and Mandi.

were renovated. Five¹⁵ laboratories at CHCs level and two at PHCs (Gondhla and Sissu) level were not strengthened as of May 2009 and funds of Rs 9.80 lakh were lying unutilised with the concerned institutions.

The MD stated (June 2009) that the delay in completion of civil works was on the part of implementing agencies. The reply does not explain why the concerned institutions were not geared up for timely completion of these works.

1.1.11 Village Health and Sanitation Committees

A Village Health and Sanitation Committee (VHSC) was to be formed in each village to create public awareness on health, nutritional activities, maintenance of village health register, health information board/calendar indicating mandated services and services actually delivered and preparation of village health plan.

As per NRHM norms, every village with a population of upto 1,500 is entitled to get an annual untied grant of Rs 10,000 for creating revolving fund for providing referral transport facilities for emergency deliveries as well as to meet the immediate financial needs for hospitalisation in the rural areas.

Scrutiny of records revealed that as of May 2009, VHSCs had not been formed in the State. The Principal Secretary in the exit conference admitted (October 2009) the lack of community participation through VHSCs and stated that from 2009-10 committees at Gram Panchayat are to be formed and this proposal has been accepted by the GOI in the current year's PIP.

1.1.12 Rogi Kalyan Samitis (RKS)

The Rogi Kalyan Samitis (RKSs) were to be formed in each health centre to upgrade the SCs, PHCs and CHCs to IPHS to provide sustainable quality healthcare with people's participation and to make the community accountable and responsible for managing these rural health centres. As per NRHM guidelines, constitution of 50 *per cent* of RKSs was to be completed by 2007 and 100 per cent by 2009.

Scrutiny of records of the Mission Directorate revealed that against the target of 537 RKSs (District Hospitals: 12; CHCs: 73 and PHCs: 452) 521 RKSs (District Hospitals: 12; CHCs: 73 and PHCs: 436) were constituted as of March 2009 leaving 16 PHCs without RKSs. In the four test-checked districts RKSs were formed in all the above institutions except one PHC (Jaind) in Kangra district. The percentage of progress of formation of RKSs in the State was to the extent of 97 and was satisfactory.

1.1.12.1 Funding of Rogi Kalyan Samitis

As per the NRHM guidelines, specified funds are to be released to RKSs to enable them to carryout the functions devolved on them. The RKS at district hospital was to receive a corpus grant of Rs five lakh per year. At CHC and PHC level, the RKS was to receive annual corpus grant of Rs one lakh each, annual untied grant of Rs 50,000 and Rs 25,000 and annual maintenance grant of Rs one lakh and Rs 50,000 respectively.

¹⁵ Dharampur, Kaza, Manali, Shansha and Udaipur

During 2005-06, GOI did not release any grant to RKSs. In 2006-07 and 2008-09, GOI released Rs 7.51 crore (2006-07: Rs 1.02 crore; 2008-09: Rs 6.49 crore) for RKS in the State which was further released by the SHS as untied fund (Rs 0.64 crore), annual maintenance grant (Rs 1.27 crore) and corpus fund (Rs 5.60 crore) respectively to RKSs in all the 12 districts.

In the four test-checked districts, Rs 2.65 crore (Bilaspur: Rs 0.42 crore; Hamirpur: Rs 0.59 crore; Kangra: Rs 1.18 crore and Kinnaur: Rs 0.46 crore) were received by the DHSs of respective district for further release to RKSs formed at district, CHC and PHC level.

Scrutiny of records revealed that the DHSs, after release of the amount to RKSs showed it as final expenditure whereas Rs 32 lakh remained unspent with the RKSs of 21 health institutions of four test-checked districts.

While confirming the facts, the State Programme Officer (RKS) stated (May 2009) that grant transferred to RKSs would become a part of the overall corpus and utilisation thereof is to be done as per need of the concerned RKS. The reply does not explain why grant transferred to RKS was treated as final expenditure without getting utilisation certificates from the RKSs concerned.

1.1.12.2 Functioning of RKS

As per NRHM guidelines the RKSs were required to perform the following activities:

- To convene meetings of governing and executive body on quarterly and monthly basis to review the OPD and IPD services, performance of the hospital outreach work performed during the last quarter; review reports of the Monitoring Committee and status of utilisation of funds, equipment, drugs, etc;
- to develop citizen's charter;
- to institute a mechanism for redressal of complaints of the community;
- to collect patients' feedback and
- to constitute monitoring committees.

It was noticed in audit that none of the aforesaid activities was being carried out by RKSs. This indicated that the RKSs were not functioning satisfactorily and the objective of monitoring and grievances redressal mechanism remained unachieved.

1.1.12.3 Citizen's Charter

One of the objectives of Rogi Kalyan Samiti (RKS) is to develop a Citizen's Charter at all the health centres and ensure its display at appropriate places to make healthcare applicants aware of their health rights and facilities available there.

In the four test-checked districts Citizen's Charter had not been developed and displayed at appropriate places and a Grievances Redressal Mechanism at CHCs and PHCs level had not been operationalised as required.

1.1.13 Involvement of Non-Governmental Organisations (NGOs)

Scrutiny of records in the Mission Directorate revealed that nine¹⁶ NGOs were involved in implementation of NRHM in the State. These NGOs were providing services like maternal and child health family planning, adolescent reproductive health and prevention and management of RTI in unserved and under served areas of the respective districts. During 2005-09 grant-in-aid of Rs 3.74 crore¹⁷ was provided to them. In the four test-checked districts, four NGOs¹⁸ were carrying out the activities of NRHM and were provided grant-in-aid of Rs 1.10 crore during the above period. The grant-in-aid provided was required to be utilised fully in the respective financial years.

It was noticed in audit that grant-in-aid provided was not utilised fully for carrying out the Mission activities as Rs 87.10 lakh remained unutilised (including Rs 56.86 lakh of four NGOs of selected districts) with them as of March 2009. This shows that grant-in-aid was being released to the NGOs without assessing their capacity to utilise the funds.

Functioning of NGOs in the four test-checked districts was satisfactory. The fact was also confirmed by the external evaluation got conducted by the Department of Economic and Statistics Himachal Pradesh in 2007 in six districts (Bilaspur, Kangra, Mandi, Shimla, Solan and Una). Findings of evaluation showed an increase ranging between 20 and 49 *per cent* in Bilaspur district and 23 and 48 *per cent* in Kangra district in activities like complete antenatal checkups, institutional deliveries, spacing methods, etc.

1.1.14 Convergence with Other Departments

Health is as much a function of availability of safe drinking water, early childhood development, sanitation and women's empowerment as of hospitals and a reliable medical system. NRHM sought to adopt a convergent approach for intervention under the umbrella of the district plan.

It was noticed in audit that involvement of the representatives of the Departments dealing with the issues of safe drinking water, sanitation, nutrition, early childhood development and women's empowerment was not ensured for convergent action. The following points were noticed:

- Integrated Health Society (IHS) at State and District levels had not been constituted as of June 2009.
- The SHS was not getting feed back on implementation of plans/policies from other departments dealing with health issues.

The MD stated (June 2009) that formation of the IHS at State and district level was under process. He further stated that no feed back had been received from other departments dealing with health issues and no public dialogues/public hearings are being carried out. This indicated that disconcerted

¹⁶ 1. Himachal Pradesh Voluntary Health Association (HPVHA), 2. Society for upliftment through Rural Action (SUTRA), 3. Sir Nischal Singh Foundation (SNSF), 4. Friends Club, Rey, 5. Ankur Welfare Association, 6. Mahila Kalyan Parishad, 7. Society for Advancement of Village Economy (SAVE), 8. Society for Health and Social Transformation, Rehabilitation AID (SHASTRA) and 9. Social Action for Rural Development of Hilly Areas (SARDHA).

¹⁷ 2005-06: Rs 0.90 crore; 2006-07: Rs 0.50 crore; 2007-08: Rs 1.66 crore and 2008 09: Rs 0.68 crore.

¹⁸ 1. Ankur Welfare Association, 2. Mahila Kalyan Parishad, 3. Himachal Pradesh Voluntary Health Association and 4. Society for upliftment through Rural Action.

efforts were being made by various Departments working towards the goal of providing better health facilities.

1.1.15 Information, Education and Communication (IEC)

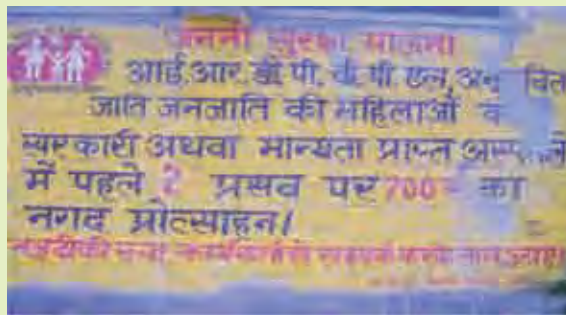
The IEC strategy under NRHM aims to facilitate awareness, dissemination of information regarding availability of and access to quality healthcare by the poor, women and children in rural areas.

It was noticed in audit that against the total availability of funds of Rs 1.45 crore under IEC, Rs 1.42 crore (State level: Rs 0.40 crore and District level: Rs 1.02 crore) were spent during 2005-09 on activities like Mahila Swasthya Sangh Meetings, Exhibitions, advertisements, Doordarshan Kendra, Electronic Media, Print Media, Health days and Bus Panels, etc., as can be seen from the photographs below:

Photograph : 1.1.8



Photograph : 1.1.9



Photographs showing IEC advertisements under NRHM at CHC Barsar and PHC Bhota

It was noticed that out of Rs 29.60 lakh released to the four test-checked districts, Rs 20.66 lakh were utilised by these districts during 2005-08 on IEC activities leaving an unspent balance of Rs 8.94 lakh as of March 2009. Rupees 8 lakh was released to two districts (Bilaspur and Kinnaur) in April 2007 for organising Health Mela, which was yet to be organised as of March 2009. The non-organisation of Health Mela was attributed by the CMOs of respective districts to vacant seat of Hamirpur Parliamentary Constituency and acute shortage of staff.

1.1.16 Procurement of Medicines and Equipment

As per NRHM guidelines, SHS was required to develop a procurement plan and policy consistent with the Department's long term goals and objectives to ensure cost effective, efficient and improved availability of services. The Society had not developed any documented plan keeping in view the long term goals for procuring medicines and equipment but followed the State Government guidelines i.e. medicines were being procured through the HP State Civil Supplies Corporation Ltd. (HPSCSC) and equipment from open market as per the procedure laid down in the State Financial Rules. It was noticed that the medicines were purchased as per requirement, buffer stocks for two months were available and expired or sub-standard medicines were not noticed in stock at any of the test-checked units.

➤ *Adjustment of Advances*

The GOI released Rs 16.84 crore during 2005-09 (2005-06:Rs 5.68 crore; 2007-08: Rs 4.32 crore and 2008-09: Rs 6.84 crore) for the purchase of medicines and equipment. It was noticed in audit that out of Rs 4.10 crore advanced to HPSCSC between December 2008 and March 2009 for the purchase of medicines, Rs 1.36 crore was yet to be adjusted as of June 2009. Similarly Rs 1.19 crore had been provided to the Director Dental, HP (Rs 1.16 crore) and Block Medical Officer (BMO) Mashobra (Rs 2.17 lakh) between January and March 2009 for the purchase of equipments which were also awaiting adjustment.

The MD stated (May 2009) that advances would be adjusted on receipt of verified bills from the field units and utilisation certificates would also be obtained from the Director, Dental, HP and BMO, Mashobra.

1.1.17 Monitoring and Supervision

NRHM envisages a five tier system of monitoring and supervision at State, District, Block, PHC and village level. At the State level, the SHS was to evolve a monitoring format indicating the process and quality indicators in order to ensure the quality of programme implementation through various activities. At the District level, the DHS is to contribute for development of District Health Plan based on an assessment of the situation and priorities of the District. Similarly, at Block, PHC and village level, all the committees were to move towards a community based monitoring that allows a continuous assessment of planning and implementation of the Mission. The main purpose of the monitoring framework at different levels was to provide accessible, affordable and quality health care to the rural people.

The Department had not set up any monitoring mechanism during 2005-09 for complying with the Mission guidelines and ensuring community participation.

The MD while admitting the facts stated (May 2009) that the constitution of Monitoring Committees was under consideration.

1.1.18 Internal Audit

There is no system of internal audit of accounts at district and State level. During 2005-09 only annual accounts i.e. Receipt and Payment, Income and Expenditure accounts and Balance Sheet were got prepared from the Chartered Accountants. The MD stated (June 2009) that the process for institution of internal audit mechanism was under finalisation.

1.1.19 Conclusion

The overall performance of the programme at mid course was not very satisfactory. The review underscored glaring gaps in planning, implementation and monitoring activities. Absence of a household survey and perspective plan and lack of inputs from the community at the grass root level in the annual plans rendered the planning process an exercise in futility. While the number of health centres exceeded the norm, these could not ensure reliable and accessible health care to the targeted beneficiaries due to inadequate infrastructure and insufficient manpower. Some of the key initiatives of NRHM like ASHA and village health and sanitation committees have not received the required attention and public spending on health sector also remained constant during the last four years.

1.1.20 Recommendations

- *Planning process needs to be strengthened with community involvement in planning, implementation and monitoring of the activities of the programme;*
- *Infrastructure needs to be improved at the health centres expeditiously and sanctioned posts of medical and para-medical staff should be filled up on priority;*
- *Maternal health programme needs to be monitored closely and pregnant women should be made aware of and encouraged to opt for institutional deliveries as a safe mode. Delays and irregularities in payment of compensation under JSY should be plugged;*
- *IEC activities should be given a fillip and the rural population should be made aware of their health rights and facilities available at various health centres;*
- *To achieve convergence of mission activities with other departments the State Government should ensure adequate focus on determinants of health like safe drinking water, sanitation, nutrition, early childhood development and women's empowerment; and*
- *Monitoring and supervision mechanism should be established immediately so that check on effective implementation of Mission activities is exercised at all levels.*

These findings were referred to the Government in July 2009; their reply had not been received (September 2009).

Home Department

1.2 Modernisation of Police Forces

For increasing the efficiency and effectiveness of the State Police Forces in the country, the scheme of Modernisation of Police was initially introduced by the Government of India (GOI) in 1969. In February 2001, the scheme was modified with enhanced Central assistance. The major components of the scheme are mobility, weaponry, communication system including computerisation, forensic science equipment and housing.

A performance review of the implementation of the scheme covering the period 2004-09 revealed that even after 40 years of its implementation, the objectives of the scheme to modernise the State Police Force remained largely unachieved. One noticeable achievement under the scheme, however, is the development of informative and useful web portal, which provides useful information to the public and tourists, including foreigners and facilitates registration of complaints in 88 out of 112 PSs in the State. Some significant audit findings are as under:

- *The objective of increasing the mobility of police force at cutting edge level was not fully achieved as 77 light vehicles received during 2004-09 were retained at the State and District Police Headquarters, India Reserve Battalions and State Forensic Science Laboratory.*
(Paragraph 1.2.9.1)
- *The Department failed to assess and procure weapons as per norms resulting in acute shortage (71 and 88 per cent) in two categories (7.62 mm SLR rifles: 6,416 numbers short; LM Guns: 285 numbers short) and excess (221 per cent) in one category (9 mm pistols: 869 numbers excess) which adversely affected the striking capability of the police force.*
(Paragraph 1.2.9.2)
- *Despite incurring an expenditure of Rs 1.47 crore, implementation of POLNET at Police Station level suffered due to technical drawbacks and unreliable performance of MART System.*
(Paragraph 1.2.9.3)
- *DNA Profiling Division sanctioned by the GOI for SFSL, Junga in May 2006 remained non-functional due to non-filling of posts. Consequently, equipment valued at Rs 69.38 lakh received from the MHA in September 2006 remained idle.*
(Paragraph 1.2.9.6)
- *The Department failed to provide housing facilities to upper and lower subordinates as per NPC norms and the satisfaction level attained during 2004-09 was only 13 to 17 per cent.*
(Paragraph 1.2.9.7)
- *The SLEC did not meet during 2004-09 to monitor the implementation of the scheme though it was required to meet once every three months.*
(Paragraph 1.2.11)

1.2.1 Introduction

The scheme “Modernisation of Police Forces” (MPF) was introduced by the GOI in 1969 initially for 10 years but has been extended periodically, the latest being in February 2001, for another 10 years up to 2010. The scheme aims at improving the efficiency of the State police force and enhancing their striking abilities for meeting the emerging challenges.

The main thrust of the scheme is to address the deficiencies in various aspects of police administration identified by the Bureau of Police Research and Development (BPR&D) and the Report of the Padmanabhaiah Committee on police reforms (October 2000). The scheme follows a bottom-up approach and concentrates on funding the requirement at the cutting-edge level i.e. the Police Stations (PSs) and Police Outposts (POs) and the men who man them.

The objectives of the scheme include *inter alia*, the following:

- *Meeting the identified deficiencies in basic police infrastructure;*
- *Improving the operational efficiency of the police force by providing it with better arms and ammunition and other equipment;*
- *Enhancing the mobility of the force by providing better and more secure transportation;*
- *Improving communication and information sharing among various field formations with adequate and sophisticated communication gadgets;*
- *Honing the investigative skills of the force through better training and equipment; and*
- *Reducing the dependence of the State Government on the Central Para Military Forces and Army to control internal security and law and order related problems.*

1.2.2 Organisational Set up

At the Government level, Principal Secretary (Home) is responsible for overseeing the implementation and monitoring of the scheme. There is a State Level Empowered Committee (SLEC) constituted under the Chairmanship of the Chief Secretary with Principal Secretary (Finance), Principal Secretary (Home), Director General of Police (DGP), Additional Directors General of Police (ADsGP) and Inspector General of Police (IGP) as Members to finalise the Annual Action Plans (AAPs) and monitor the implementation of the scheme. At the Department level, ADGP (Headquarters) is incharge of the scheme and ADGP (Armed Police and Training), Deputy Inspector General of Police (DIG) (Communication and Technical Services) and Director, State Forensic Science Laboratory (SFSL) are responsible for implementing different components of the scheme.

1.2.3 Scope of Audit

The implementation of the scheme for the period 2004-09 was reviewed in audit during March–May 2009 by a test-check of the records of the DGP, Director, SFSL, Junga; Superintendent of Police (SP),

Police Training College (PTC), Daroh; Deputy Inspector General (DIG), HP Institute of Police Studies, Dharamshala and other units in four¹ out of 12 districts. Three² out of five Armed/India Reserve Battalions (Bn) and 13³ out of 112 PSs of these districts were covered in audit.

1.2.4 Audit Objectives

The main objectives of the performance review were to assess whether:

- *The objectives of the scheme were achieved and whether the striking ability of the police force improved.*
- *Budgeting and Planning for implementation of the scheme was sound and adequate and the execution of various components of the scheme and utilisation of funds was as per the approved plan;*
- *The mobility, weaponry and equipment, etc., of the State police improved, to face the challenges to internal security;*
- *Creation of infrastructure was as per the approved norms and has resulted in better working environment;*
- *Training needs were adequately addressed to meet the State specific needs of the police force;*
- *The implementation was effectively monitored and evaluated.*

1.2.5 Audit Criteria

Audit findings were benchmarked against the following criteria:

- *Perspective Plan and Annual Action Plans;*
- *Guidelines issued by the Union Ministry of Home Affairs (MHA) from time to time;*
- *National Police Commission's recommendations relating to police housing.*
- *Norms prescribed by the Bureau of Police Research and Development (BPR&D);*
- *State Financial Rules, Codes and Manuals applicable for purchases and execution of works;*
- *Prescribed monitoring mechanism.*

1.2.6 Audit Methodology

The performance review commenced with an entry conference with the Principal Secretary (Home) and Inspector General of Police (Headquarters) on 4 March 2009 wherein the audit objectives, criteria and audit methodology were explained. Field units were selected on the basis of Probability Proportional to Size with Replacement (PPSWR) method. Data and information furnished by the Department were analysed to arrive at audit conclusions. Audit findings were discussed with the Principal Secretary (Home) in an exit conference on 5 October 2009 and their views have been incorporated in the review at appropriate places.

¹ Kangra, Mandi, Shimla and Una.

² Armed Battalion Junga, India Reserve Battalions Dharamshala and Pandoh.

³ Amb, Baijnath, Balh, Chirgaon, Dehra, Dhalli, Gohar, Haroli, Kumarsain, Mcleodganj, Palampur, Rampur and Sundernagar.

Audit Findings

1.2.7 Planning

The GOI prescribed (February 2001) formulation of a five year perspective plan for modernisation, starting from 2000-01 indicating the specific projects which were required to be implemented in each year. Although the State Government submitted (February 2001) a five year perspective plan covering the period 2001-05 to the GOI, it was yet to be approved (April 2009). The Department did not make any effort for obtaining approval and had also not submitted five year perspective plan for the period 2006-10. However, Annual Action Plans (AAPs) in respect of different components of the scheme were approved by the GOI and the requisite funds were sanctioned and released during 2004-09. The State Government stated (September 2009) that it was incumbent upon the GOI to approve/consider five year perspective plan for the period 2001-05 and annual plans were prepared on yearly basis as per the directions of the MHA.

The principal areas identified by the MHA included implementation of the recommendations of the Police Reforms Commission, filling up the vacancies of State police, creation of infrastructure like police stations, barracks, residential accommodation, increase in the number of women in police force, provision of modern weaponry and communication equipment including installation of police network (POLNET)/ Common Integrated Police Application (CIPA) and improvement of intelligence wing. However, some of these issues like implementation of recommendations for police reforms, filling up of vacancies in the police force, increase in the number of women in police force, creation of infrastructure viz., construction of sufficient number of houses for upper and lower subordinate staff were not fully reflected in the AAPs of the State. Scrutiny revealed that the implementation of the programme was not in conformity with the areas of priority identified by the MHA as discussed in the succeeding paragraphs.

The Principal Secretary assured (October 2009) in the exit conference that the above issues would be taken care of in future plans.

1.2.8 Financial management

1.2.8.1 Funding Pattern

The scheme was funded by the Central and the State Governments in the ratio of 50:50 till 2002-03 and the ratio changed to 60:40 from the year 2003-04. The funding pattern was modified based on the categorisation of the States with regard to the security parameters by the GOI in 2005. Himachal Pradesh was categorised as 'B' and is thus eligible for receiving central funding for the scheme upto 75 *per cent*. A maximum of five *per cent* of the total allocation was to be provided to the Home Guards from the year 2003-04 for incurring expenditure on all components, except housing. As per the arrangement, the GOI releases the funds to the State Government as grants-in-aid, which are subsequently transferred to the DGP for utilisation. Certificates of utilisation are sent to MHA by the State Government in the prescribed format.

1.2.8.2 Budget and Expenditure

The year-wise approved outlay, funds released by the GOI and the State Government and expenditure incurred thereagainst during 2004-09 is depicted in the following table.

Table: 1.2.1

(Rupees in crore)

Year	Central share	State share	Funds received			Total funds available	Expenditure	
			OB	Central	State		Central	State
2004-05	7.91	5.28	-	2.58	9.55	12.13	2.58	9.55
2005-06	9.57	3.19	-	7.69*	10.00	14.67	3.78	9.89
2006-07	3.00	1.00	3.91	7.07**	10.00	17.82	7.07	10.00
2007-08	8.00	2.67	3.91	10.27	10.00	24.18	10.41	8.31
2008-09	7.80	2.61	3.77	7.74	10.00	21.51	6.54	10.00
Total	36.28	14.75		35.35	49.55	90.31	30.38	47.75

Source: Figures compiled from expenditure statements and approved Annual Action Plans of the Department

Note:

1. OB means Opening Balance.
2. Figures in parenthesis indicate percentage.
3. In 2004-05 Central share was received in kind whereas during 2005-09 Central share was received in cash.
- 4*. Includes Rs 3.02 crore pertaining to 2002-03 released in 2005-06 and Rs 1.51 crore in kind.
- 5**. Includes Rs 3.16 crore pertaining to 2005-06 released in 2006-07.

Component-wise and year wise details of funds as projected in the AAP and releases thereagainst during 2004-09 are given in Appendix-II.

In this regard following was observed:

- During 2004-09, GOI released Rs 32.33 crore (excluding Rs 3.02 crore for 2002-03 released in 2005-06) against its due share of Rs 36.28 crore resulting in short release of Rs 3.95 crore (11 per cent). Reasons for short release of central share were not available with the Department. The State Government released Rs 49.55 crore from State plan funds inclusive of its due share of Rs 14.75 crore for MPF for police housing component and did not contribute for other components. Of this, the Department utilised only Rs 47.75 crore and Rs 1.80 crore lapsed due to late receipt of sanctions from the State Government.
- Central share ranging between Rs 3.77 crore and Rs 4.97 crore remained unutilised with the Department during 2005-09 in the form of bank drafts in the respective years.
- Funds amounting to Rs 54.93 crore (Central funds: Rs 7.18 crore and State funds: Rs 47.75 crore) for police housing were placed at the disposal of Himachal Pradesh Urban Development Authority (HIMUDA) and Public Works Department (PWD)⁴ for construction of residential quarters for upper and lower subordinates, Police Stations and office buildings. The amount was shown as fully spent but the details of expenditure actually incurred by the executing agencies were neither obtained nor furnished by them. In the absence of details of expenditure, its authenticity could not be verified in audit.

⁴ HIMUDA: Rs 6.33 crore for 55 works and PWD: Rs 48.60 crore for 435 works.

1.2.9 Programme implementation

1.2.9.1 Mobility

One of the thrust areas of the modernisation scheme is to increase the mobility of the State police force to face the challenges to internal security effectively. Provision of adequate number of vehicles is essential for improving the mobility of the police personnel, as it has a direct relation to the response time. As of March 2004, the Department had 381 vehicles (52 *per cent*) against the BPR&D norm of 727 vehicles, resulting in a shortfall of 346 vehicles. However, the requirement of only 195⁵ vehicles was projected in the Annual Plans for the period 2004-09 against which the State Police procured 141⁶ vehicles during 2004-09 at a total cost of Rs 5.52 crore.

Category-wise number of vehicles held by the State police over the last five years is detailed below:

Table: 1.2.2

(Vehicle in numbers)

Category of vehicle	Requirement as per norms of BPR&D	Holding as of April 2004	Procured during 2004-09	Holding as of March 2009	Shortage (-)/ surplus (+)/ (percentage)
Heavy vehicles	204	37	1	38	(-) 166 (81)
Medium vehicles	183	113	4	117	(-) 66 (36)
Light vehicles	340	231	136 [#]	367	(+) 27 (08)

Source: Departmental records

Includes thirty vehicles for which payment of Rs 1.16 crore was made in March 2009 but were yet (April 2009) to be received from suppliers as of April 2009

Besides, the fleet included 10 condemned vehicles (LMVs: 8 and MMVs: 2) which are yet to be disposed off.

Despite directions of the MHA to deploy the vehicles received under modernisation scheme to the principal focus areas i.e. PS and PO level, 77 out of 141 vehicles received during 2004-09 were retained at the State Police Headquarters (29 vehicles), District Police Headquarters (38 vehicles), IR Battalion (9 vehicles) and SFSL (one vehicle).

Further, as per BPR&D norms, two light vehicles and three motorcycles were required to be provided for all the PSs and two motorcycles for each of the POs. Scrutiny of records revealed that out of 46⁷ PSs in the four selected districts, one light vehicle and two motorcycles were provided in 42 PSs whereas in four⁸ PSs only two motorcycles were provided and no light vehicle was made available during 2004-09. While two motorcycles were provided at PO, Mandi Sadar, 56 motorcycles were provided in 57 POs in the test-checked districts with two POs of Dodra kwar and Khara Pathar without any motorcycles. This indicated poor attention to the mobility of the State Police at PS and PO level as 77 vehicles were

⁵ Heavy vehicle: 1; Medium vehicles: 11; Light vehicles: 183.

⁶ Heavy vehicles: 1; Medium vehicles: 4; Light vehicles: 136.

⁷ Kangra: 15; Mandi: 10; Shimla: 15 and Una: 6.

⁸ Dhalli, Jhakri, Padhar and Sundernagar.

diverted for use by other units. The Department did not furnish any reasons for non allocation of vehicles to PSs.

The Principal Secretary stated (October 2009) in the exit conference that to check the tendency of retaining the vehicles at State/district headquarters, specific model of vehicles (Bolero Camper) has been approved for the PSs and all of the PSs have now been provided vehicles during the current year. However, information in this regard was awaited as of October 2009.

➤ **Response Time**

Increase in mobility for field policing should result in reduction of response time⁹. It was, however, seen that the State Government had not fixed any norms for the response time nor did it give any instructions for recording the time of visit to the site of offence in the crime diary. During test-check of records of the 13 PSs in four selected districts, it was observed that the time relating to visit to the site of crime by the police personnel was not noted in the crime diary. As such it could not be ascertained whether there was any reduction in response time as a result of increase in mobility.

1.2.9.2 Weaponry

➤ **Projection of Requirement in the Annual Plans**

Increasing the striking capability of the police force by equipping them with modern and sophisticated weapons to combat insurgency and other challenges to internal security of the State is one of the key components of the modernisation programme. The requirement of weaponry is projected by the State Government through the Annual Plans to MHA. The weaponry is procured centrally by the MHA and subsequently issued to the State Government from time to time.

Scrutiny of records revealed that in the Annual Plans, the State Government projected a requirement of eight¹⁰ categories (798 numbers) of weapons alongwith their accessories and 2.78 lakh rounds of ammunition costing Rs 2.37 crore for procurement during 2004-09. The MHA, however, approved six¹¹ categories (605 numbers) of weapons worth Rs 1.34 crore but actually procured/supplied three¹² categories (408 number) of weapons valuing Rs 80.13 lakh, which constituted 51 *per cent* of the requirement of the weapons projected in the Annual Plans.

⁹ Total time taken from the time of receiving message/making First Information Report to the time of the Police actually reaching the crime/offence scenes.

¹⁰ Glock Pistol: 200; Pistol Auto: 380; Carbine MC 9mm: 60; 51 mm Mortar: 18; AK-47 Rifle: 60; MP-5 Guns: 10; SLR 7.62 mm Rifle: 60 and LMG-7.62: 10.

¹¹ Pistol Auto 9 mm: 405; Carbine MC 9mm: 60; AK-47 Rifle: 60; MP-5 Guns: 10; SLR 7.62 mm Rifle: 60 and LMG-7.62: 10.

¹² Pistol Auto 9 mm: 302; Carbine MC 9mm: 58 and SLR 7.62 mm Rifle: 48.

➤ **Shortage of Weapons**

BPR&D has prescribed the requirement of holding of three types of weapons by the State Police. The position of actual holding there against as of March 2009 was as under:

Table: 1.2.3

(In numbers)

Category of weapon	Requirement (as per BPR&D norms)	Holding	Shortfall (-)/Excess (+) (percentage)
7.62 mm SLR Rifle	9,074	2,658	(-) 6416 (71)
LM Gun	323	38	(-) 285 (88)
9 mm Pistol	394	1,163	(+) 869 ¹³ (221)

Source: Data supplied by the Department

From the above details it would be seen that there was acute shortfall of 71 and 88 per cent of weapons in respect of two categories, whereas holding and weapons ordered in respect of the third category of weapons exceeded by 221 *per cent*. Instead of procuring weapons which were less than the prescribed requirement, the Department procured 30 numbers of 9mm Pistols valued at Rs 52.59 lakh (March 2008: 27 numbers and December 2008: 275 numbers) and placed yet another order for 100 more (February 2009) even though they were available in excess of laid down norms. The 30 numbers already received are lying in stock of Central Armoury of HPAP, Junga in the absence of clearance from field units. The Government stated (September 2009) that the demand of weapons was being assessed by calling requirement from the field units according to the norms of GOI notified in November 1953 and projected in AAPs. It was admitted that BPR&D norms were not followed. They further stated that 9mm pistols would be distributed on receipt of the demand from the field units.

Audit noticed that whereas most of the police stations continued to depend on outdated and obsolete weapons like .303 rifles and .455 revolvers, sophisticated weapons such as INSAS rifles (250 numbers) and 9 mm pistols (769 numbers) procured under the scheme were either retained at headquarters or in the reserve armoury in the district units.

Thus, due to non-projection of requirement of weapons as per BPR&D norms in the AAPs, keeping of obsolete weapons and non-supply of sophisticated weapons to the PSs, the objective of improving the striking capability of the police force remained unachieved.

➤ **Holding of Obsolete Arms and Ammunition**

Scrutiny of records of Commandant, 1st Himachal Pradesh Armed Police (HPAP) Battalion, Junga, revealed that the Department had 487 obsolete weapons like Rifles MK-.303, Rifle Musket-410, Revolver-.38 S&W, Revolver-.455, etc., and 111 rounds of unserviceable ammunition as of April 2009. No action was taken for the disposal or replacement of these weapons by serviceable weapons. The Government stated (September 2009) that the Department has been directed to take up the matter with MHA.

¹³ Order placed in February 2009 with Ordnance Factory, Ishapore for 100 numbers.

➤ **Non-receipt of Arms**

Scrutiny of records revealed that Rs 19.53 lakh were deposited with Ordnance Factory, Ishapore in February 2009 for supply of 100 number of 9mm Pistols alongwith seven types of Complete Equipment Schedule¹⁴ items but the factory had not supplied the pistols as of August 2009. The Government stated (September 2009) that no timeframe has been fixed in this regard. However, the concerned factory has assured that supply would be ready for collection in September 2009.

➤ **Non-distribution of Arms**

Scrutiny of records of Central Armoury of HPAP, Junga revealed that 302 numbers of 9 mm Pistols valued at Rs 52.59 lakh were received in March 2008 (27 numbers) and December 2008 (275 numbers) respectively but were lying in the stock of armoury and had not been distributed. As already pointed out in Para supra, these weapons are in excess of requirement and are possibly lying undistributed for that reason. The Government stated (September 2009) these pistols would be distributed on receipt of demand from districts/units as per norms.

The Principal Secretary stated in the exit conference that the issue of distribution of arms would be resolved shortly. He also assured that detailed plan for phasing out outdated/obsolete weapons would be prepared on priority basis.

1.2.9.3 Surveillance and Communication

➤ **Implementation of the Police Communication Network (POLNET) Project**

One of the main operational strategies of the MPF scheme is improved communication system involving sophisticated gadgets including POLNET. The main objective of implementation of POLNET is to obtain criminal data through sharing/dissemination of information with other Police Organisations/ Central Para Military Forces (CPMF) inside and outside the State.

POLNET is a satellite based integrated network, which envisages installation of Very Small Aperture Terminals (V-SAT) and Multi Access Radio Terminals (MART) to link the national capital with all the State capitals. As per the orders of MHA, all the States were required to implement the project by 2005-06.

During 2003-09, GOI approved Rs 66.39 lakh (2003-04: Rs 17.37 lakh; 2004-05: Rs 38.62 lakh and 2005-06: Rs 10.40 lakh) for implementation of POLNET in the State. However, the MHA procured equipment costing Rs 1.07 crore (2003-04: Rs 0.56 crore; 2004-05: Rs 0.40 crore; 2005-06: Rs 0.09 crore and 2006-07: Rs 0.02 crore) and issued to the State. Other items such as batteries, mast, wooden chairs, steel tables, generator sets, etc., costing Rs 40 lakh were procured locally for preparation of sites, etc.

¹⁴ Order placed in February 2009 with Ordnance Factory, Ishapore for 100 numbers.

Scrutiny of the records of SP Communication and Technical Services (C&TS), Shimla revealed that MHA supplied the State police 13 V-SATs between 2003-04 and 2006-07 which were installed at all the 12 district headquarters and one at wireless headquarters, Shimla. Of these, three V-SATs installed at district headquarters of Shimla, Sirmour and Solan were out of order.

Further scrutiny of records revealed that 79 MARTs were sanctioned and supplied to State police during 2004-09 for installation in PSs. Of these, 47 MARTs were installed in PSs and the remaining 32 MARTs were not installed due to non-availability of line of sight (LOS) with District Police Headquarters due to obstacle/hindrance of hills or high buildings between two antennas. Owing to certain technical limitations and unreliable performance of the MART system, the SP, C&TS requested (February 2009) the DGP to take up the matter with the MHA to provide some alternative to MART system as these were not effective particularly in Hill States. The issue was yet to be resolved as of April 2009. This indicates that the POLNET project was not functioning effectively.

The Government stated (September 2009) that GOI has constituted a committee for the solution of this problem and necessary action would be taken as per the decision of the committee. The desired objective of sharing/disseminating information with other Police Organisations/CPMFs, thus, could not be achieved to the full extent despite incurring an expenditure of Rs 1.47 crore.

1.2.9.4 Implementation of Common Integrated Police Application

With the objective of introducing a computerised network system in the Police Stations, developing a database relating to various crimes occurring in the State the MHA took up (2005-06) a project viz., Common Integrated Police Application (CIPA).

Under the project 10 *per cent* of the PSs were to be covered in Phase-I (2005-06) and 30 *per cent* PSs in Phase-II (2006-07). Accordingly, the State Government selected 40 out of 112 PSs (including vigilance and CID PSs) for implementation of the project in Phase-I&II and proposed to cover the remaining 72 PSs under Phase III in 2007-08.

MHA selected the National Informatics Centre (NIC), New Delhi as the implementing agency for the project to supply hardware and software and also provide training and other support. During 2004-08 the MHA sanctioned Rs 3.38 crore for the implementation of the project in all the 112 PSs, of which Rs 2.97 crore were released directly to NIC and Rs 0.41 crore was released to the State Government for preparation of site and purchase of furniture in the selected PSs. NIC supplied 277 computers which were installed in 65 PSs during 2005-08 where site preparation was complete. These computers were being used for registration of FIRs/cases. Site preparation work had not been completed in the remaining 47 PSs and hardware received between November 2008 and March 2009 from NIC was lying unutilised with the respective PSs. Audit scrutiny revealed that the software provided by NIC was being used for general diary entry, registration of FIR but it was not being used for generating reports,

queries, sharing of information by all PSs regarding missing persons, stolen vehicles, unidentified dead bodies, criminal dossiers, etc. Thus, the objective of introducing computerised networks system in the PSs had not been achieved.

The Department stated (May 2009) that the process of installation of computers at 47 sites had been completed and further training and deployment of nodal officers was underway. The reply does not explain why timely operationalisation of the scheme was not ensured.

The Principal Secretary stated (October 2009) that trained manpower has been provided in all the PSs to run the system and the same has been made functional from the current year. However, details of training and operationalisation of the system in support of the reply are awaited as of October 2009.

The Government admitted (September 2009) the facts and stated that even subsequent patches (V 1.14 to V 1.17) released by NIC could not be implemented/made operational as these were creating more problems rather than providing solutions. Thus, due to non-installation of error free software additional features proposed to be included by the NIC could not be incorporated.

1.2.9.5 Equipment

Scrutiny of records revealed that the Department was holding 320 bullet proof jackets (BPJs) of three different models (BPJ-III, V-Model and L-III-A) as of April 2009. These BPJs were procured by MHA during 2004-09 (164) and earlier years (156) from Defence Research Development Organisation (DRDO) and supplied to the Department. Three units¹⁵ which had a holding of 16, 18 and 66 BPJs of three models, conducted tests on them during January-April 2009. During the testing carried out (January 2009) by SP Shimla from a distance of 50 and 15 yards using .303 rifle and .38 bore pistol respectively, the BPJ failed the tests as bullets pierced through them. The results of tests conducted by the Commandant, 3rd IRB Pandoh and State CID headquarters from a distance of 10 yards and 10 metres were not made available to audit. This indicates that the BPJs supplied by the DRDO were substandard and would not serve the purpose for which these were procured.

While admitting the facts in the exit conference, the Principal Secretary stated (October 2009) that these Jackets were not bullet proof but actually bullet resistant. The contention is not acceptable as BPJs were sub-standard and not fit for safeguarding lives of police personnel.

1.2.9.6 Forensic Science Laboratory (FSL)

A Forensic Science Laboratory (FSL) was established in the State in December 1988. During 2004-09, the Department procured various equipment at a cost of Rs 37.41 lakh to upgrade the infrastructure of the FSL for scientific and effective investigation of criminal cases. Analysis report of cases/samples

¹⁵ SP Shimla, 3rd IR Battalion, Pandoh and State CID Headquarters, Shimla.

received in the SFSL is required to be submitted within 30 to 45 days. It was noticed in audit that the number of cases pending for analysis increased by 145 *per cent* from 2004-05 (387 cases) to 2008-09 (950 cases) as can be seen from the details given below:

Table: 1.2.4

(In numbers)

Year	Cases pending upto the previous year	Cases reported/ received during the year	Total	Cases disposed off	Cases pending
2004-05	357	1,868	2,225	1,838	387
2005-06	387	1,979	2,366	1,915	451
2006-07	451	2,235	2,686	2,131	555
2007-08	555	3,149	3,704	3,472	232
2008-09	232	3,658	3,890	2,940	950

Source: Information supplied by the Department

The delay in settlement of cases as of April 2009 ranged between 12 and 218 days. Staff shortage was the main reason for delay/pendency as against the sanctioned strength of 32 technical posts¹⁶, 18 posts¹⁷ (56 *per cent*) were lying vacant as of April 2009. This made the functioning of the FSL at its optimum capacity and utilisation of facilities and infrastructure difficult.

The Government stated (September 2009) that receipt of new cases during the period has almost doubled while the examination staff remained almost the same. Besides, the staff of the laboratory also carry out teaching and training for the Police, Prosecution and Judiciary and added that the process of filling up of vacant posts are underway. However, the fact that delays in forensic investigation would have an adverse impact on prosecution of criminals has to be recognised and steps should be taken to minimise these delays.

Likewise, the State Government also sanctioned (May 2006) setting up of two Regional Forensic Science Laboratories (RFSLS) one each at Range Headquarters Dharamshala and Mandi under SFSL Junga. These laboratories were required to look after the work of three divisions¹⁸ and for running these laboratories 26 posts of technical staff (DDs: 2; ADs: 06; SOs: 6; SAs: 6 and LAs: 6) were also created. Although these laboratories were established in February 2008 and April 2008 respectively they could not provide the envisaged services in the field of Biology and Serology and Chemistry & Toxicology divisions due to non-filling up of posts of 17¹⁹ technical personnel as of April 2009.

Scrutiny of records of RFSL, Dharamshala further revealed that equipment and chemicals valued at Rs 8.62 lakh received from FSL, Junga between July 2008 and March 2009 also remained unutilised due to non-functioning of these two divisions.

¹⁶ Director: one; Deputy Director (DD): one; Assistant Director (AD): seven; Scientific Officer (SO): seven; Scientific Assistant (SA): six and Laboratory Assistant: ten.

¹⁷ DD: one; AD: three; SO: two; SA: three and LA: nine.

¹⁸ 1. Biology & Serology 2. Chemistry & Toxicology 3. Physics & Ballistics.

¹⁹ DD: 1; ADs: 03; SOs: 6; SA: 1 and LAs: 6

➤ **DNA Profiling Division**

The State Government sanctioned (May 2006) setting up of DNA profiling division in SFSL, Junga and created five posts (DD: 1; AD: 2 and SO: 2) of technical staff. These posts, required to be filled up during 2006-08, had not been filled up as of April 2009. Resultantly, the equipment valuing Rs 69.38 lakh (PCR System: Rs 4.11 lakh and Genetic Analyser: Rs 65.27 lakh) supplied in September 2006 by the MHA was lying idle.

The Principal Secretary stated (October 2009) that for DNA analysis, qualified staff is yet to be provided and recruitment process in this regard is underway.

1.2.9.7 Civil Works

➤ **Housing**

The National Police Commission (NPC) had recommended 100 *per cent* accommodation for all police personnel in the State. Increasing the availability of quarters for upper and lower subordinates was one of the priority areas of the modernisation plan.

Scrutiny of records revealed that even after expiry of eight years of the modernisation plan period (2001-2009), the satisfaction level of housing remained much below the targets fixed. The shortage of accommodation for upper and lower subordinates as of March 2009 and the overall percentage of satisfaction level is given below.

Table: 1.2.5

Category of personnel	Number of personnel	Number of personnel provided Housing	Percentage of satisfaction level
Upper Subordinates (ASI to Inspector)	2,000	268	13
Lower Subordinates (Constable and Head Constable)	13,924	2,380	17
Total	15,924	2,648	17

Source: Departmental records

The Department did not maintain any record of major and minor works indicating the names of the implementing agencies (IAs), funds placed at the disposal of IAs from time to time, names of works, up-to-date expenditure incurred and present status of works. This indicates lack of adequate monitoring by the Department over works required to be completed.

The Government stated (September 2009) that to achieve the satisfaction level, the Home Department is co-ordinating with the Finance Department to provide Rs 11.50 crore more for police housing during the current financial year. The fact remains that proper monitoring needs to be ensured.

➤ **Execution of Works**

During 2004-06 and 2007-09 the MHA approved 290 works relating to construction of residential quarters (260) and non-residential accommodation (PSs/PSs with Barracks: eight; POs/POs with Barracks:

18 Administrative Blocks: two, Central Armoury: one and Barracks at PTC: one) in the State at a total cost of Rs 19.04 crore and released Rs 7.18 crore (2005-06: Rs 3.02 crore revalidated for 2002-03; 2006-07: Rs 3.16 crore revalidated for 2005-06 and 2008-09: Rs 1.00 crore).

The year-wise position of works sanctioned under the scheme is tabulated below:-

Table: 1.2.6

(Rupees in crore)

Category of works	2004-05		2005-06		2006-07		2007-08		2008-09	
	No.	AC	No.	AC	No.	AC	No.	AC	No.	AC
Residential quarters Type I	--	--	--	--	--	--	8	0.40	--	--
Type-II	85	3.43	14	0.80	--	--	40	1.04	52	3.22
Type-III	--	--	38	1.24	--	--	23	0.93	--	--
Non Residential accomodation (Police Stations/Police Stations with Barracks)	8	2.00	--	--	--	--	--	--	--	--
Police Posts/Police Posts with Barracks	8	1.48	9	2.70	--	--	1	0.30	--	--
Administrative Blocks	--	--	2	0.70	--	--	--	--	--	--
Central Armoury	--	--	1	0.35	--	--	--	--	--	--
Barracks for PTC	--	--	--	--	--	--	--	--	1	0.45
Total	101	6.91	64	5.79	--	--	72	2.67	53	3.67

Source: Information compiled by audit from the files of the Department

Note: No: Number and AC: Approved cost

The Department showed utilisation of Central assistance of Rs 7.18 crore on construction of 101 works during the above period. Category-wise breakup of these works is given below:-

Table: 1.2.7

(Amount rupees in crore)

Category of accommodation	2004-05		2005-06		2006-07		2007-08		2008-09	
	No.	AS	No.	AS	No.	AS	No.	AS	No.	AS
I. Residential quarters Type I	--	--	37	1.94	12	0.23	--	--	16	1.00
Type-II	--	--	11	0.67	10	0.18	--	--	--	--
II. Non Residential accommodation										
1 Police Posts with Barracks	--	--	--	--	7	0.57	--	--	--	--
2 Administrative Blocks	--	--	--	--	2	1.33	--	--	--	--
3 Control Room	--	--	1	0.09	--	--	--	--	--	--
4 Officers' Mess in Hostel	--	--	1	0.20	--	--	--	--	--	--
5 Volley Ball and Basket Ball courts	--	--	2	0.02	--	--	--	--	--	--
6 Expansion work (FSL)	--	--	1	0.10	--	--	--	--	--	--
7 Central Armoury	-	--	--	--	1	0.84	--	--	--	--
Total	--	--	53	3.02	32	3.15	--	--	16	1.00

Source: Information compiled by audit from the files of the Department

Note: No.: Number and AS: Amount spent

From the details given in tables 1.2.6 and 1.2.7 it would be seen that the Department had constructed only seven POs with barracks against the approved number of 26 (PSs: eight and POs with barracks: 18) and Central assistance of Rs 0.41 crore was diverted for works such as control room; officers mess, Volley Ball and Basket Ball courts and expansion works of FSL not approved by the MHA in the Annual Plans of the respective years. Besides, details of amount spent out of State share were not kept separately in the absence of which actual expenditure incurred on works could not be verified in audit.

The State Government stated that funds are placed at the disposal of executing agencies from time to time and that information regarding upto date expenditure on works was not correctly available with the Department.

The Principal Secretary assured (October 2009) in the exit conference that an institutional mechanism would be setup shortly to monitor the execution of works.

➤ **Status of Police Stations**

As per BPR&D norms, minimum 3500 square feet (sqft) area was required for running a PS comprising basic amenities like boundary wall, reception room, interrogation room, computer room, wireless room, rest room for males and separate rest room and toilets for women police. The Department upgraded 11²⁰ POs as PSs during 2007-09 without providing the requisite infrastructure as above.

Test check of 13 selected PSs including two POs²¹ upgraded as PSs revealed that most of them did not have the basic infrastructure as tabulated below and seen in photographs 1.2.1 and 1.2.2.

Table: 1.2.8

(In numbers)

Name of amenity	Police Stations where not available
Total number of PSs audited	13
Boundary wall	13
Interrogation room	10
Wireless room	10
Rest rooms with toilets for women Police	12
Rest rooms for males	9
Reception room	8
Computer room	2
Armoury room	5

Source: Information supplied by test-checked PSs

²⁰ Bhawarna, Bhunter, Brow, Chintpurni, Drang, Mcleodganj, Nagrota Bagwan, New Shimla, Sangrah, Swarghat and Sundernagar.

²¹ Mcleodganj and Sundernagar.

Photograph : 1.2.1



Traffic, Tourist and Railway PS at Amb without basic amenities like parking, reception room, etc.

Photograph : 1.2.2



Rest room for males at PS Amb without any basic facilities like attached toilets, baths, cots, bedding, etc.

Further, as per BPR&D norms, housing space of 3500 sqft was to be made available at the PSs. In respect of PSs constructed 30 years back additional space of 800 sqft was also to be provided. In eight²² out of 13 selected PSs, housing space of 3500 sqft was not provided and seven²³ PSs constructed 30 years back were also not provided additional space of 800 sqft as ascertained in audit.

The Government stated (September 2009) that it is not possible to provide facilities as per BPR&D norms keeping in view the funds earmarked by MHA. The reply does not explain why the matter for more funds could not be taken up with MHA for providing facilities as per BPR&D norms.

➤ **Modernisation of Home Guards**

The GOI approved (December 2003) the inclusion of modernisation of Home Guards under the scheme with effect from 2003-04, and five *per cent* allocation could be earmarked for items such as training institutions, mobility, weaponry, communication, modern equipment, etc., but not housing.

Scrutiny of records revealed that requirement of funds under the aforesaid components (except for training institutions) were never demanded during 2004-09. Under training component, Rs 2.30 crore were demanded by the State Government during 2004-09 through AAPs submitted to GOI. Against this GOI released Rs 95.80 lakh during 2006-09 which was not utilised as of April 2009 as pointed out in the succeeding paragraph.

➤ **Training Infrastructure for Home Guards**

MHA approved construction of class rooms in training centres, armoury in battalion training centres, rescue towers, bath and toilets and provided Rs 95.80 lakh during 2006-09 (2006-07: Rs 15.80 lakh; 2007-08: Rs 40 lakh; and 2008-09: Rs: 40 lakh) to Home Guards Department. The amount was released to the executing agencies (PWD and HIMUDA) during 2006-09 for construction of eight works but none

²² Amb, Balh, Chirgaon, Dhalli, Haroli, Kumarsain, Rampur and Sundernagar.

²³ Amb, Balh, Dehra, Gohar, Kumarsain, Palampur and Rampur.

of the works had been taken up for execution as of April 2009 due to non-completion of formalities such as preparation of detailed estimates and tendering process by the executing agencies. Government admitted (September 2009) the facts.

The Principal Secretary stated (October 2009) that funds could not be utilised due to non-handing over of sites, designs of proposed works and non-issuance of administrative approval and expenditure sanction. He, however, assured that these aspects would be taken care in future.

1.2.9.8 Traffic, Tourist and Railway (TTR) Police

The road traffic management has become an area of prime concern due to growth of population, tourist inflow, rapid industrialisation and increasing number of vehicles. The TTR wing is functioning with 577 personnel of different ranks of Inspector to Constables in the State. The MHA did not provide any funds during 2004-08 although proposals for purchase of equipment required for checking over-speeding, drunken driving and smoke pollution, etc., were proposed by the State Government in the AAPs and projected a requirement of Rs 17.38 lakh for the purpose.

Audit scrutiny revealed that the MHA released Rs 21.28 lakh during 2008-09 for purchase of traffic equipment, of which, Rs 13.48 lakh had been utilised and the balance amount of Rs 7.80 lakh was lying unutilised/deposited in a bank account as supplies were awaited (May 2009). The TTR wing had only 12 speed radars, 13 alco-sensors, four smoke meters and five gas analysers which was not sufficient for the 112 PSs in the State. The Department has demanded (March 2009) 100 alco-sensors, 100 doppler radars, 200 reflective fluorescent traffic Jackets, 200 reflective batons, 10 bullet proof vests and three laser speed guns with camera (Day/Night mode optional) to be distributed to all PSs in the State under MPF scheme during 2009-12. For the present, due to shortage of equipment, the functioning of TTR police is restricted to checking/challaning of vehicles and thus the services of traffic wing personnel were not gainfully utilised.

The Government stated (September 2009) that no purchases have been made during 2004-08 under the scheme due to non-receipt of funds. It was also stated that sufficient number of traffic equipment for equipping all the PSs in the State have been demanded under modernisation scheme during 2009-12.

1.2.9.9 Training

The effectiveness of modernisation plan lies in effective utilisation of modern and sophisticated weapons and equipment provided to the force to increase its striking and communication capacity. The modernisation plan provides for comprehensive training on new weapons/equipment and systems to the personnel deployed at various locations throughout the State.

There are two training institutes viz., (1) Police Training College (PTC) at Daroh (2) Himachal Pradesh Institute of Police Studies, Dharamsala with its campuses at Daroh (Kangra District) and Jungleberi (Hamirpur District). PTC Daroh has training intake capacity of 550 personnel. The training institute at Dharamsala (created in June 2008) had not been made functional as of April 2009 due to non availability of building, equipment and adequate staff.

The number of police personnel imparted training during 2004-09 is indicated in the table below:-

Table: 1.2.9

(In numbers)

Year	Courses	Training within State				Training outside State	
		GOs	NGOs	ORs	Total	Courses	Officers/Officials trained
2004-05	154	26	793	3,103	3,922	82	588
2005-06	183	39	1,198	3,947	5,184	74	336
2006-07	206	30	1,252	3,520	4,802	76	366
2007-08	241	25	1,012	2,589	3,626	77	331
2008-09	251	38	1,103	2,695	3,836	64	280
Total	1,035	158	5,358	15,854	21,370	373	1,901

Source: Figures supplied by the Department

Note: GOs: Gazetted Officers; NGOs: Non-Gazetted Officers; ORs: Other ranks i.e., Constables/Head Constables

Of these, 220 training courses of different modules were organised by the PTC Daroh and were attended by 8,017 trainees. Training on modern weapons such as AK-47 rifle and INSAS series, etc. was imparted during the period but practical training of two inch Mortar could not be imparted due to non-availability of a firing range for the purpose.

The Government admitted (September 2009) the facts.

1.2.9.10 Human Resource Management

Acquisition of superior weapons, communication and other equipment would become meaningful only if the vacancies in various ranks are filled up and adequate training on use of modern gadgets is imparted. But non-filling up of vacancies and inadequate training on weapons acquired by the State police under MPF contributed to a great extent towards non-achievement of its objectives as would be evident from the following:

➤ **Vacancies in State Police**

The High Powered Committee of the MHA stressed (July 2006) the need for filling up vacancies in the ranks on priority basis so that the assistance made available under the MPF scheme could be optimally utilised. It was also suggested that 10 *per cent* representation of women in the police should be achieved in a time bound manner. The vacancy position in the State (January 2009) is as under:

Table: 1.2.10

(In numbers)

Category of personnel	Sanctioned strength	Men-in-position	Shortfall (percentage)
Inspector	258	232	26 (10)
Sub-Inspector	647	537	110 (17)
Assistant Sub-Inspector	1,095	992	103 (9)
Head Constable	2,699	2,206	493 (18)
Constable	11,755 [@]	8,870	2,885 (25)
Total	16,454	12,837	3,617 (22)

Source: Departmental records

@ Includes 530 posts held in abeyance by State Government since May 2007

It would be seen from the table 1.2.10 that as of March 2009, there were 3,617 vacancies in various ranks which constituted 22 *per cent* of the sanctioned strength. Further, representation of women in the force was only four *per cent* as there were only 100 sanctioned posts of women personnel in the police force. Reasons for non-creation of posts distinctly for these personnel were not on record.

Thus, the State Government did not take effective steps to fill up the vacancies and to reduce the gender gap as suggested by the MHA.

1.2.10 Incidence of Crime

Crime statistics are prepared by the Department each year. The incidence and the rate of crime is segregated into three categories viz., Indian Penal Code (IPC), Special and Local Laws (SLL) and Police Act.

The year-wise position of registration of crimes in the State during 2004-09 is given as under:

Table: 1.2.11

(Cases in numbers)

Particulars	2004-05	2005-06	2006-07	2007-08	2008-09
Crimes under IPC ²⁴	12,077	12,593	13,441	13,997	14,099
Special and local laws ²⁵	4,744	4,471	4,901	3,957	3,874
Police Act ²⁶	1,038	1,125	898	1,136	1,689
Total	17,859	18,189	19,240	19,090	19,662

Source: Information supplied by the Department

As can be seen from the above table the overall incidence of crime in the State increased from 17,859 cases in 2004-05 to 19,662 cases (10 *per cent*) in 2008-09. This is especially so in crimes under IPC, which are more serious.

The Department stated (April 2009) that the accused were equipped with arms and ammunition and have their own vehicle to flee the spot of crime easily, whereas, such facility to nab the culprits was not available with the Police. This is a shocking admission by the Department of poor mobility and striking capability at the cutting edge level which is exactly what the scheme of Modernisation of Police Force was meant to achieve. Observations made earlier regarding retention of vehicles meant for PSs at the State/District Police Headquarters and holding of insufficient weapons point towards poor implementation of the scheme.

²⁴ Murder, Dacoity, Theft, Kidnapping, Attempt to Murder, Robbery, Rape, Dowry Death, Molestation, Accident and Culpable Homicide, etc.

²⁵ ND&PS Act, SC/ST Act, PCR Act, Excise Act, Forest Act and Other Laws.

²⁶ Offence under Section 64: To comply with the reasonable and lawful direction given to a Police Officer in discharge of his duties under the Act; 109 and 110: Regulation of public assemblies and procession and violation of prescribed conditions; 111: To keep order on public road, streets thorough fare, ghats, landing places etc.; 112: Regulation of entries in public reserve places and 113: Regulation of the use of music and other sound systems in and near public places, etc.

To facilitate interaction between the public and the police, the HP Police web portal provides the facility of online registration of complaints in 88 out of 112 PSs. Besides, it includes useful information like guidelines and tips for general public, tourists including foreigners, and crime trends, information under RTI Act, list of most wanted and missing persons and the details of various community policing schemes.

1.2.11 Monitoring and Evaluation

A State level Empowered Committee (SLEC) headed by the Chief Secretary was constituted by the State Government in March 2001 to monitor the implementation of the modernisation programme as per the instructions of the MHA (February 2001). There was, however, no recorded evidence of obtaining reports/returns, etc., required for effective monitoring on a regular basis from the subordinate formations and implementing agencies. The Department admitted that monitoring of the scheme had not been done by the SLEC as during 2004-09 no meeting of SLEC was held even though it was required to meet once every three months. No evaluation of the scheme had been carried out by the Department to ascertain the impact of increased mobility and striking capabilities of the State police force.

The Principal Secretary assured (October 2009) in the exit conference that henceforth, the implementation of the programme will be monitored and evaluated periodically.

1.2.12 Conclusion

The objectives of the scheme to modernise the State police force to meet the emerging challenges remained largely unachieved. Even after 40 years of implementation of the scheme, provision of basic infrastructure like housing and provision of basic amenities at the Police Stations /Police Outposts was far from satisfactory. Implementation of the scheme was not in conformity with the areas of priority identified by the MHA. Sophisticated weapons procured were not supplied to the field units and they continued to depend on outdated weaponry. Forensic Science Laboratories were underutilised due to non-availability of technical staff. The benefits envisaged from POLNET and CIPA could not be derived, as these were either not operationalised or where operational, are not functioning at their optimum level. Monitoring mechanism was ineffective both at the Department and the Government level.

1.2.13 Recommendations

The State Government should prepare a road map for modernisation of its police force, taking into account the existing gaps *vis-à-vis* requirement, as per norms.

- *Five year perspective plan should be formulated and got approved from GOI in a timely manner and Annual Action Plans should flow out of the Perspective Plan.*
- *Financial management should be streamlined to ensure timely release of funds and their optimum utilisation in the same year for the intended purpose.*

- *Quantifiable targets and specific timelines should be fixed to fill the gaps in weaponry, mobility and communication.*
- *The pace of construction should be accelerated to ensure completion of the buildings in a time bound manner. Availability of sites should be ensured before release of funds to the executing agencies.*
- *Civil works, especially housing for the police personnel should be taken up on priority to ensure optimum satisfaction level.*
- *Implementation of CIPA to the desired level should be ensured at once to access instantaneous information electronically at all levels including the police stations.*
- *The Department needs to take effective steps to minimise delays in analysing samples at the State Forensic Science Laboratory to ensure timely prosecution of criminals in the courts.*
- *There is an urgent need to put in place a stringent monitoring mechanism both at the Department and the SLEC levels.*

Irrigation and Public Health Department

1.3 Implementation of Irrigation Projects

Accelerated Irrigation Benefits Programme (AIBP) was launched (1996-97) with the objective of accelerating the completion of ongoing major/medium irrigation projects on which substantial investment had been made and were beyond the resource capability of the State Governments. Subsequently, Minor Irrigation Projects were included for implementation under AIBP in 1999-2000. Of the two medium irrigation projects and 121 minor irrigation schemes reviewed in audit none of the medium irrigation project was completed whereas 37 minor schemes were completed. The execution of irrigation schemes under NABARD's loan assistance was also not satisfactory as out of 26 schemes only 13 schemes were completed within the stipulated period and remaining 13 schemes were still in progress.

Significant points noticed are as under:

- *The Department had not prepared any long term master plan for systematic harnessing of estimated irrigation potential.*
(Paragraph 1.3.7)
- *The Department failed to prepare a time bound strategy to achieve the target of creation of additional irrigation potential of 77,880 hectares under Bharat Nirman.*
(Paragraph 1.3.7.1)
- *Irrigation potential created under various schemes was not utilised optimally and shortfall in utilisation during 2004-09 ranged between 56 and 100 per cent.*
(Paragraph 1.3.11.4)

1.3.1 Introduction

To increase the crop production, the importance of irrigation is well established. A large number of irrigation projects had spilled over from Plan to Plan due to financial constraints of the State Governments. In order to ensure that the amount invested in these projects was not futile, the Government of India (GOI) launched Accelerated Irrigation Benefits Programme (AIBP) in 1996-97 with the objective of accelerating the completion of ongoing selected major¹ and medium² irrigation projects which were in an advanced stage of completion to yield bulk benefits by assisting the State Governments through Central Loan Assistance (CLA). Subsequently, in 1999-2000 minor irrigation projects with less than 2000 hectares of culturable command area (CCA) were also included within the ambit of AIBP. The State has been receiving funding under AIBP with effect from 1997-98.

Besides, the GOI is also extending loan assistance to the State Government through National Agriculture Bank for Rural Development (NABARD) for completion of ongoing schemes as well as new projects in

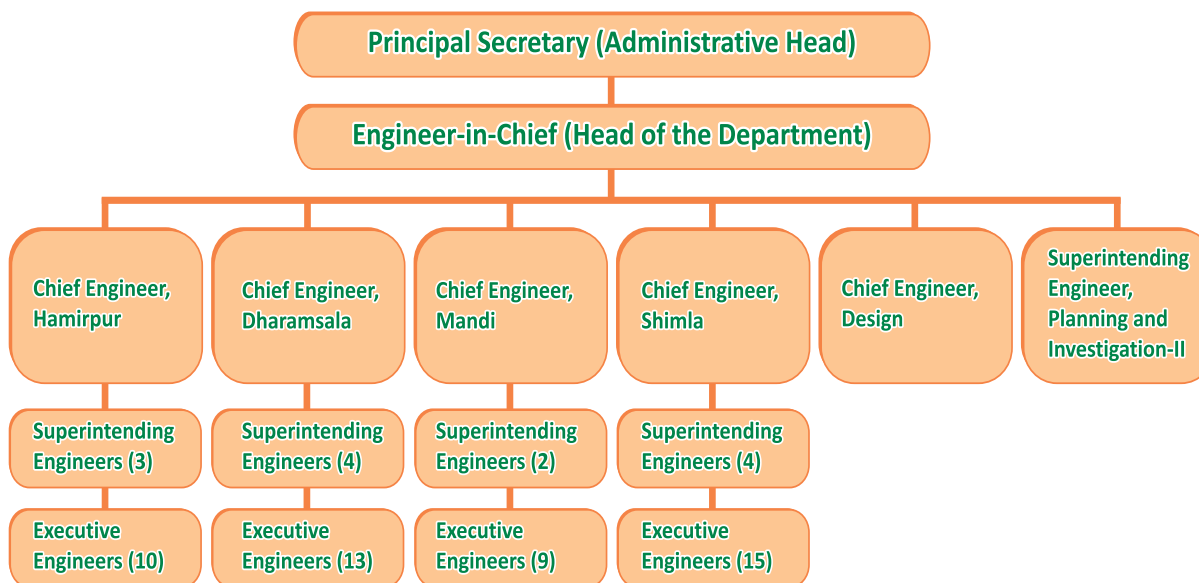
¹ Irrigation Projects with CCA of more than 10,000 hectares.

² Irrigation Projects with CCA of more than 2,000 hectares but less than 10,000 hectares.

the infrastructure sector from 1995-96. The State Government has been availing of the NABARD's loan assistance for construction of minor irrigation schemes since the date of introduction of the scheme.

1.3.2 Organisational Set up

The Irrigation and Public Health (I&PH) Department is responsible for construction and maintenance of irrigation schemes. The organisational set up of the Department is as under:



1.3.3 Scope of Audit

The performance audit covered implementation of both³ the medium irrigation projects and 205 (AIBP: 121 schemes and NABARD: 84 schemes) out of 451 (AIBP: 218 and NABARD: 233) minor irrigation schemes taken up during 2004-09. Records relating to the selection and execution of schemes during 2004-09 in 14⁴ out of 47 divisions were test-checked between June-September 2008 and March-May 2009. This was supplemented by the information received from the Superintending Engineer, Planning and Investigation-II Shimla and office of the Engineer-in-Chief (E-in-C). The sample check in terms of the divisions was, thus, 30 per cent covering 45 per cent of the irrigation projects/ schemes and 40 per cent of the total expenditure (Rs.522.84 crore) incurred during 2004-09.

1.3.4 Audit Objectives

The audit objectives were to assess whether:

- *the programme had achieved the objective of accelerating the completion of ongoing irrigation projects and creating adequate and targeted irrigation potential;*
- *adequate funds were released in time and have been utilised properly;*

³ Changer Area Medium Lift Irrigation Project, Bassi (Bilaspur district) and Sidhata Medium Irrigation Project, Jawali (Kangra district).

⁴ Anni, Baggi, Bassi, Bilaspur, Hamirpur, Jawali, Jubbal, Kullu-I, Padhar, Paonta Sahib, Sarkaghat, Solan, Thural and Una-I.

- *individual projects were executed in an economic, efficient and effective manner; and*
- *mechanism for monitoring and evaluation was adequate and effective.*

1.3.5 Audit Criteria

The audit findings were benchmarked against the following criteria:

- *AIBP guidelines.*
- *Detailed project reports of selected projects.*
- *Other circulars/instructions issued by the GOI, Ministry of Water Resources, Central Water Commission and State Government.*
- *Financial and Accounting rules and procedures and*
- *Monitoring mechanism instituted by the State Government.*

1.3.6 Audit Methodology

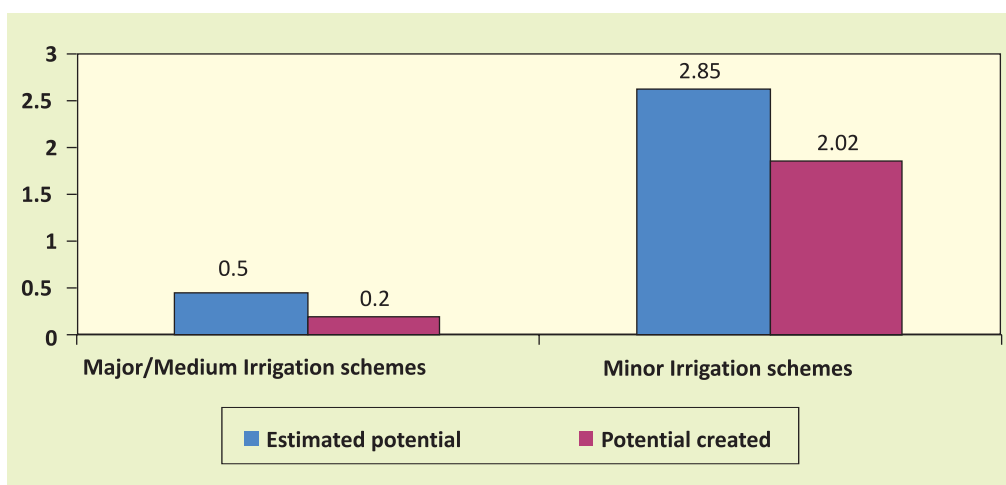
Before commencing the audit, the scope of audit, objectives and criteria were discussed (June 2008) with the Principal Secretary, Special Secretary and E-in-C in an entry conference. The selection of projects/ schemes, for audit examination was based on Simple Random Sampling Without Replacement (SRSWOR) method. Audit conclusions were drawn after scrutiny of records, analysis of available data by issuing audit memoranda/questionnaires and obtaining the response of departmental functionaries at various levels. Audit findings were discussed (October 2009) with the Principal Secretary of the Department in the exit conference and the views of the Department have been incorporated in the report at appropriate places.

Audit Findings

1.3.7 Planning

Out of the total geographical area of 55.67 lakh hectares of the State, only 5.83 lakh hectares is culturable/ sown area as per the Departmental records. The Department had not prepared any long term master plan for systematic harnessing of estimated irrigation potential and planning for irrigation is being done on demand of public either on individual project basis or in basin as a whole after ascertaining the availability of water sources. The position of total estimated potential in the State under Major/ Medium and Minor Irrigation projects vis-à-vis potential actually created as of March 2009 is shown in chart 1.3.1.

Chart-1.3.1
Total Estimated potential and potential created under
Major/Medium and Minor Irrigation schemes (In lakh hectares)



Source : Department figures

1.3.7.1 Creation of Additional Irrigation Potential under Bharat Nirman

Under the irrigation component of Bharat Nirman, the target of creation of additional irrigation potential of 77,880 hectares in four years (2005-06 to 2008-09) was to be met largely through expeditious completion of identified major, medium and minor irrigation projects in the State. As per records of the Department, irrigation potential created in four years was only 17,053 hectares resulting in shortfall of 60,827 hectares (78 per cent). This showed that the Department had not prepared any time bound strategy to achieve the goal of Bharat Nirman. The Special Secretary admitted (October 2009) that no long term master plan/time bound strategy to achieve the goal was made by the Department.

1.3.7.2 Preparation of DPRs

AIBP guidelines envisage that irrigation scheme should be prepared after a survey of water requirement and an assessment of hydrological, meteorological, environmental and ecological aspects of the project. A Detailed Project Report (DPR) is to be prepared for every scheme, identifying the source of water, seasonal discharge of water after factoring in the conjunctive use of surface water, need for environment and forest clearance, etc. Thereafter these were to be sent to the Ministry of Water Resources (MOWR) for getting investment clearance from the Planning Commission and approval for the projects from the GOI. It was noticed that in respect of 120 out of 121 selected schemes of AIBP, DPRs were not prepared for minor irrigation schemes sponsored to the GOI during 2004-09 for approval. Instead information like location, construction of head works and estimated cost of the schemes in the prescribed proforma was submitted. The GOI also sanctioned the schemes from time to time without obtaining the requisite DPRs. In exit conference the Special Secretary stated (October 2009) that the point is noted for implementation in future.

In the case of schemes funded by NABARD, DPRs were prepared by the State Government.

1.3.8 Financial Management

1.3.8.1 Funding Pattern

Under AIBP, 90 per cent of the project/scheme cost is provided as grant by the GOI and the remaining 10 per cent is contributed by the State Government from market borrowings. Irrigation projects financed by the NABARD are executed after drawal of loan by the State Finance Department. Funds in both the cases are provided to the Department through the normal budgetary process.

1.3.8.2 Financial outlay and expenditure

The position of allocation of funds for implementation of major, medium and minor irrigation schemes under AIBP, loan assistance of NABARD and expenditure incurred thereagainst during 2004-09 in the State was as under:-

Table: 1.3.1
Funding under AIBP

(Rupees in crore)

Year	Budget allotment	Central assistance admissible	State Share	Central assistance actually released	Expenditure incurred	Variation (+) Excess/ (-) Savings
2004-05	23.95	19.98	3.97	3.12	25.35	(+) 1.40
2005-06	41.29	37.16	4.13	30.08	41.59	(+) 0.30
2006-07	69.53	62.58	6.95	41.55	54.28	(-) 15.25
2007-08	112.51	101.26	11.25	76.43	110.90	(-) 1.61
2008-09	111.17	100.05	11.12	119.32	109.61	(-) 1.56
Total	358.45	321.03	37.42	270.50	341.73	

Source: Departmental figures

From the above details it would be seen that against admissible Central assistance of Rs 321.03 crore, grant/assistance released during 2004-09 by GOI was only Rs 270.50 crore. While there was no major excess or saving except for the year 2006-07 over the budget provided for construction of schemes under AIBP, there was overall savings of Rs 16.72 crore during 2004-09.

Reasons for short receipt of grant from GOI though called for (September 2009) were not furnished by the E-in-C.

Table: 1.3.2
Funding by NABARD

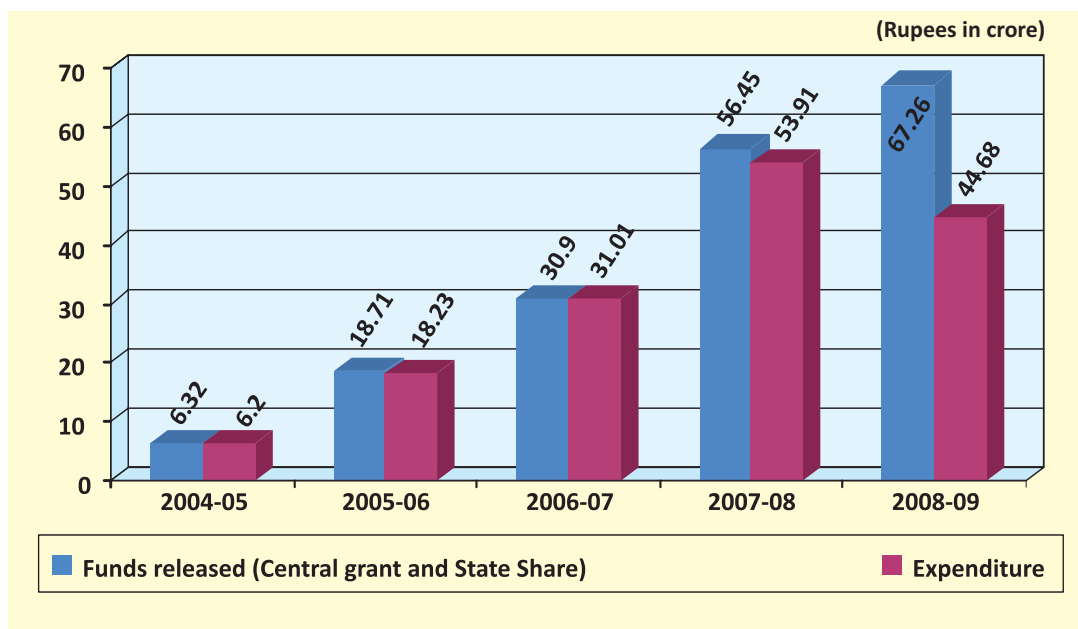
Year	Budget Allotment	Expenditure incurred	<i>(Rupees in crore)</i>
			Variation (+) Excess / (-) Savings
2004-05	21.37	22.59	(+) 1.22
2005-06	28.40	29.67	(+) 1.27
2006-07	37.43	36.99	(-) 0.44
2007-08	42.99	43.46	(+) 0.47
2008-09	45.38	48.40	(+) 3.02
Total	175.57	181.11	

Source: Departmental figures

As can be seen from the table above, the departmental expenditure exceeded the budget allocation every year except for the year 2006-07. The excess expenditure which was met from State budget has not yet been regularised.

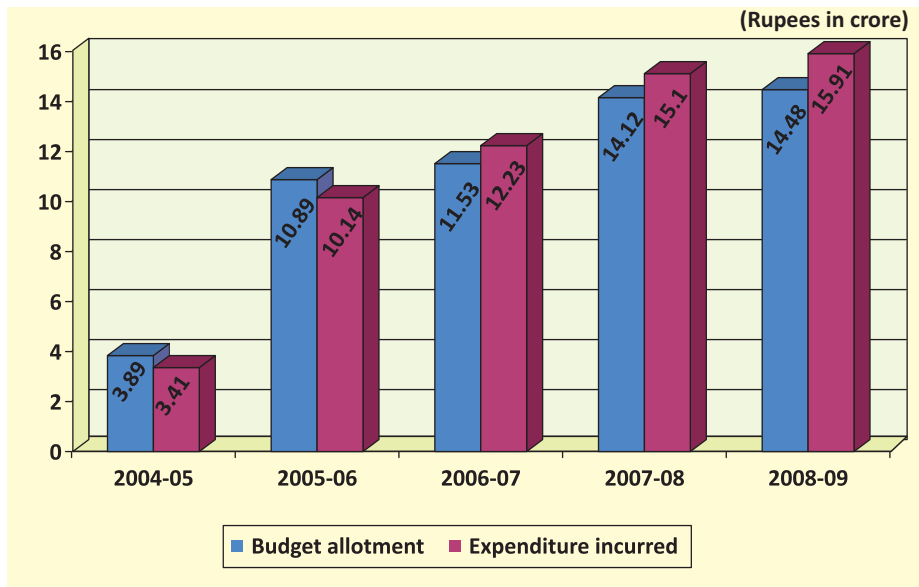
In the test-checked divisions, the position of funds released under AIBP and NABARD's loan assistance and expenditure incurred during 2004-09 is given below:

Chart-1.3.2
AIBP



While there were no major excess or saving in the budget provided for construction of schemes during 2004-08, saving of Rs 22.58 crore occurred in 2008-09 was mainly due to non-commencement of works on account of delay in according technical sanction and non-finalisation of tenders.

Chart-1.3.3
NABARD's Loan Assistance



1.3.8.3 Drawal of funds and booking of expenditure without actual expenditure

State Financial Rules stipulate that money should not be drawn from the treasury unless it is required for immediate disbursement.

Scrutiny of records of Sidhata Medium Irrigation Project division, Jawali revealed that funds aggregating Rs 2.45 crore were drawn during 2004-07 (2004-05: Rs 0.04 crore; 2005-06: Rs 0.64 crore and 2006-07: Rs 1.77 crore) towards payment of land compensation in anticipation of announcement of land acquisition awards by the Land Acquisition Officer (LAO), Fatehpur, (Kangra district). The amount after drawal was shown as final expenditure under the project without ensuring disbursement of compensation to land owners by LAO concerned as of May 2009.

Similarly in Kullu-I division, an amount of Rs 2.07 crore was drawn under AIBP at the end of March 2007 and debited to seven minor irrigation schemes without actual execution of work to avoid the lapse of budget grant. The entire amount was retained under transitory head "Public Works Deposits" for utilisation in the subsequent financial year. Of this, Rs 1.41 crore had been spent on the above works and the balance amount of Rs 0.66 crore was lying unutilised as of May 2009.

In Una-I division, Rs 1.52 crore drawn in March 2008 was remitted to Tubewell division, Gagret (Una district) for undertaking construction of 19 Tubewells under AIBP. It was noticed that in July 2008, an amount of Rs 0.54 crore was taken back and kept under the deposit head and the balance amount of Rs 0.98 crore remained unutilised with the Tubewell division as of March 2009. This action of the divisions resulted in incorrect depiction of expenditure in the accounts for the relevant year. Besides, money was kept unauthorisedly outside the normal budgetary process in contravention of financial rules.

Material such as galvanised iron pipes, Mild Steel Electricity Resistance Welded (MSERW) pipes, steel and interlink chains costing Rs 1.35 crore was booked between March 2004 and March 2008 by three⁵ divisions against 20 minor irrigation schemes. The cost of material was written back to stock in the succeeding financial years as the material was not required for consumption on these works. Thus, cost of material was debited to these schemes falsely merely to show utilisation of the available funds in contravention of rules. The Special Secretary admitted (October 2009) the facts.

1.3.8.4 Diversion of funds

- In three⁶ divisions grant of Rs 30.63 lakh released by the GOI for execution of five schemes under AIBP was utilised between March 2006 and March 2008 on seven irrigation schemes being executed out of State funds.
- In Una-I division, funds amounting to Rs 33.73 lakh provided under NABARD's allocation for execution of 12 minor irrigation schemes were utilised between March 2006 and March 2008 for construction/repair and maintenance of water supply schemes.

While admitting (March-April 2009) the facts the EEs stated that funds were diverted due to non-availability of funds (two cases) and erroneously/inadvertently (two cases) due to rush of work in the month of March in the respective years. The Special Secretary admitted (October 2009) the facts.

Programme Implementation

1.3.9 Physical Performance

1.3.9.1 Status of Projects

The status of Major, Medium and Minor Irrigation projects sanctioned/taken up for execution under AIBP during 2004-09 in the State is given in table 1.3.3.

⁵ Sarkaghat, Thural and Una-I.

⁶ Padhar: (Rs 6.41 lakh), Sidhata Medium Irrigation Project, Jawali: (Rs 21.18 lakh) and Solan: (Rs 3.04 lakh).

Table: 1.3.3

Project	Year of sanction	No. of Projects	Projected Irrigation Potential (In hectares)	Irrigation Potential created as of March 2009 (In hectares)	Irrigation potential utilised as of March 2009	Remarks
Major	Prior to 2004-05	1	15,287	7,755	1175	Shah Nehar Project is in Kangra district and the work is in progress. Stipulated date of completion is March 2012.
Medium	Prior to 2004-05	2	5,500	1,989	250	One Medium Irrigation Project at Sidhata in Kangra district was stipulated to be completed in March 2009 but is still in progress. Changer Area Medium Irrigation Project in Bilaspur district is in progress and the stipulated date of completion is March 2010.
Minor	2004-09	218	29,855	11,235	3,035	
	Total	221	50,642	20,979	4,460	

Source: Departmental figures

Note: During 2004-05, 2006-07 and 2008-09 no projects/schemes were sanctioned in the State

During the above period under NABARD's loan assistance, 233 minor irrigation schemes were sanctioned in the State but status of schemes actually completed and irrigation potential created was not available with the E-in-C.

As per the guidelines of AIBP, medium irrigation projects were to be completed within a period of four financial years and minor irrigation projects within two financial years from the year of sanction respectively.

In the 14 sampled divisions, the position of two medium irrigation projects and 205 minor irrigation schemes selected for test-check is given below:

Table: 1.3.4 (AIBP)
(In numbers)

Year	Projects/schemes sanctioned		Projects/schemes completed		Projects/schemes in progress as of May 2009		Project/schemes not started	
	Medium	Minor	Medium	Minor	Medium	Minor	Medium	Minor
Upto 2003-04	2	7	--	5	2	2	--	--
2004-05	--	--	--	--	--	--	--	--
2005-06	--	46	--	29	--	13	--	4
2006-07	--	--	--	--	--	--	--	--
2007-08	--	68	--	3	--	35	--	30
2008-09	--	--	--	--	--	--	--	--
Total	2	121		37	2	50	--	34

Source: Departmental figures

Table: 1.3.5 (NABARD)

(In numbers)

Year	Schemes sanctioned	Schemes completed	Schemes in progress as of May 2009	Schemes not started
Upto 2003-04	15	8	7	--
2004-05	11	5	6	--
2005-06	27	6	21	--
2006-07	5	--	5	--
2007-08	18	--	18	--
2008-09	8	--	5	3
Total	84	19	62	3

Source: Departmental figures

From the above details it would be seen that under AIBP, out of nine projects, four projects (two each medium and minor irrigation) taken up for execution prior to 2004-05 were still lying incomplete though as per guidelines of AIBP these should have been completed within a period of four/two financial years respectively.

In respect of minor irrigation schemes taken up for execution during 2004-09, audit scrutiny revealed the following:

- Under AIBP seven spilled over schemes and 46 schemes sanctioned during 2005-06 were required to be completed within a period of two financial years. As such completion of these schemes should have been ensured by the end of March 2008. It was noticed that out of 53 schemes, only 34 were completed as of May 2009. Delay in completion of schemes was mainly due to slow pace of execution of works by the contractor for which the Department had not taken appropriate action under the relevant clauses of the contract agreement.
- The execution of 50 schemes was in progress and work on 34 schemes had not started as of May 2009. Audit further observed that seven out of 34 schemes not taken up for execution, were subsequently found infeasible due to unsuitable sites (two schemes), inadequate discharge of water from source (four schemes) and submerging of command area in a hydel project being executed in that area (one scheme).
- Under NABARD, schemes were required to be completed within three to four years. As such, 53 schemes (including 15 spilled over schemes) taken up for execution upto the year 2005-06 should have been completed by the end of March 2008. However, the Department had completed only 19 (36 per cent) schemes as of May 2009.

Thus, the systematic implementation and timely completion of AIBP and NABARD assisted projects/schemes was not ensured for accrual of intended benefits to the people of the respective command areas.

1.3.10 AIBP Projects

In respect of the two Medium Irrigation Projects viz., Sidhata (Kangra district) and Changer Area (Bilaspur district), the DPRs were available with the executing divisions. Various components of the projects were technically sanctioned in piecemeal to avoid sanction by the competent authority. Project wise execution of various components is discussed below:

1.3.10.1 Sidhata Medium Irrigation Project

This project is situated at Jawali in Kangra district. The project was approved (February 2000) by the GOI for Rs 33.62 crore (subsequently revised to Rs 66.35 crore in July 2007) to create irrigation facilities in CCA of 3,150 hectares. The construction of the project was taken up in 1998-99 in anticipation of GOI's approval and was stipulated to be completed (as per revised sanction) by March 2009. The main components of the project comprised execution of head works, main canal system and branch canals.

The scope of work vis-à-vis progress achieved in respect of the main components is as follows:

- (i) **Head Works:** Diversion weir was completed in March 2007.
- (ii) **Water Conductor System (Main Canal):** Total length of the main canal is 13.77 kilometres (kms). This component of the project included construction of 2.04 kms long (km 0/0 to 2.04) cement concrete lined open channel, 9.43 kms long RCC boxes, 1.77 kms tunnel and 0.54 kms long 10 aquaducts at various locations on the main canal.

Scrutiny of records revealed that construction of open channel at the initial stretch of the main canal was completed in August 2008. Against 9.43 kms long RCC boxes, the construction in a length of 7.58 kms was completed leaving construction of 1.85 kms boxes incomplete as of April 2009. Scrutiny of records further revealed that construction of RCC boxes in a length of 535 metres could not be taken up due to involvement of Railway land whereas work of RCC boxes in a length of 1.31 kms was still incomplete due to slow pace of execution by the contractor.

Photograph: 1.3.1



Portion of RCC Box where the work has not been done

Audit also observed that the matter for transfer of land was taken up with the Railway Department in November 2004 i.e., after a lapse of more than four years since the date of approval of the Project by the GOI. This issue is yet to be resolved and the Department did not pursue it at Government level.

(iii) Aquaducts: Out of 10 aquaducts (length 538 metres) work of only four aquaducts (length 200 metres) had been completed whereas in respect of six aquaducts, the work could not be completed due to slow pace of execution of work (two cases) by the contractor, non-taking up of execution of work (three cases) by the contractor and involvement of Railway land (one case).

Photograph: 1.3.2



Aquaduct at kms 6.867 to 6.909 kms lying incomplete due to slow pace of work by the contractor

The Department had not taken any action against the contractor to levy compensation of Rs 4.93 lakh under clause-2 of the contract agreements.

(iv) Tunnel work: Construction of 1.772 kms long tunnel was awarded to a Hyderabad based firm⁷ in October 2006 for Rs 4.71 crore and was stipulated to be completed in 18 months (i.e. by April 2008).

The contractor failed to complete the work within the stipulated period and had executed excavation of tunnel in a portion of 700 metres (including shotcreting) valuing Rs 1.78 crore upto March 2009. Records further revealed that slow pace of execution of work was mainly due to lack of adequate expertise and skill and non-availability of the required machinery and equipment with the firm. For slow pace/delay in completion of work the Department levied a compensation of Rs 2.35 lakh in October 2007 against the required amount of Rs 47.10 lakh (10 *per cent* of the tendered cost of Rs 4.71 crore). Thus, compensation of Rs 44.75 lakh was short levied and on this being pointed out (July 2008) in audit, the Department levied further compensation of Rs 20.11 lakh in March 2009. Out of levied amount of Rs 22.46 lakh only Rs 13.49 lakh was recovered as of April 2009.

⁷ M/s Him Shakthi Power Ltd.

Photograph: 1.3.3



Tunnel work (inner side) in progress in Medium Irrigation Project, Sidhata

(v) Lift Irrigation Schemes: Out of CCA of 3150 hectares, to be covered under the Project 715 hectares was to be brought under irrigation by lifting water at six locations⁸ of the main canal and the remaining 2,435 hectares to be covered through gravity by laying of distribution system.

The work of lift irrigation schemes, stipulated to be completed within a period of two years, was taken up between May 1999 and December 2007. It was noticed in audit that as of March 2009, only two schemes⁹ were completed in March 2001 and March 2007 respectively at a cost of Rs 2.01 crore and the remaining four schemes were still in progress.

From the two completed schemes irrigation potential of 185 hectares created was also not utilised optimally as during eight crops in respect of one scheme (Kuther) the percentage of shortfall in utilisation of potential ranged between 65 and 96 *per cent*. In respect of the second scheme (Kaldoon), no irrigation was provided during 2007-08. Thus, the Department did not ensure full utilisation of created potential rendering the expenditure of Rs 2.01 crore unfruitful.

The EE intimated (April 2009) that the irrigation potential could not be utilised due to less demand of water from the farmers. The reply does not explain why demand for irrigation was not assessed properly before construction of these schemes at the initial stretch of the main canal.

Guidelines of AIBP stipulate that the project which is in an advanced stage of completion and could be completed in two financial years (subsequently revised to four years in December 2006) would be eligible for funding through AIBP. This project was initially stipulated to be completed in March 2004 but later on the GOI extended (June 2007) its due date of completion upto March 2009. Despite this the project had not been completed as of May 2009 and the main objectives of the programme to accelerate the completion of project and to realise the bulk benefits from completed project remained

⁸ Bagroor (RD 7.670 kms), Basantpur (RD 9.650 kms), Behmaskar (RD 7.690 kms), Harian (RD 6.300 kms), Kaldoon (RD 2.700 kms) and Kuther (RD 0/0 km).

⁹ Kaldoon (At kms 2.700 of main canal with potential of 40 hectares) and Kuther (at km 0/0 of the main canal with potential of 145 hectares).

unachieved. The Special Secretary stated (October 2009) that delay in completion of work was due to non-receipt of permission from Railways, dispute at site created by the villagers, etc., which resulted in a cost/time overrun. This indicates that the project was taken up under AIBP without ensuring the fulfillment of selection criteria and has resulted in non-provision of timely irrigation facilities to the people of the area despite incurring an expenditure of Rs 60.29 crore.

1.3.10.2 Changer Area Medium Irrigation Project

Changer Area Medium Lift Irrigation Project (Bilaspur district) with a CCA of 2,350 hectares was administratively approved (June 1999) by the State Government for Rs 28.37 crore and taken up for execution in the same month. Subsequently, in September 2000 this project was included for funding under AIBP.

Prior to inclusion of this project under AIBP, expenditure incurred by the Department was Rs 59.50 lakh, whereas no physical progress in terms of creation of irrigation potential was achieved. Scrutiny of records of Bassi division revealed as under:

- The work of construction of Pump House and Sump well for lifting water to six command areas¹⁰ of the project was completed between May 2003 and September 2006 at a cost of Rs 69.29 lakh (Pump House: Rs 52.33 lakh and Sump well: Rs 16.96 lakh).
- The construction of rising mains to six command areas was taken up between March 2005 and November 2007 and was stipulated to be completed within a period ranging from nine months to one year. It was noticed in audit that the work of only one rising main for one command area (Zone 1A) was completed for irrigation of CCA of 176 hectares area. In respect of two command areas (Zone 1B and Zone 1C) the work remained suspended upto January 2009 due to involvement of forest land in the alignment of rising mains.

Photograph: 1.3.4



The area where work remained suspended due to involvement of forest land

¹⁰ Zone 1A: 176 ha; Zone 1B: 295 ha; Zone 1C: 846 ha; Zone 1D : 320 ha; Zone 2A : 325 ha and Zone 2B : 388 ha.

Action to get the land transferred under the provision of Forest Conservation Act, 1980 was initiated in October 2008, after a lapse of eight years since the date of approval of the project by GOI. The requisite approval was yet to be received and further execution of rising main had been taken from February 2009 on verbal permission from the Forest Department as intimated (August 2009) by the Department.

- In case of two rising mains (Zones 1D and 2A) the work including distribution system was completed between April 2008 and February 2009 at a cost of Rs 10.31 crore but irrigation facilities in a command area of 645 hectares (Zone 1D: 320 ha, Zone 2A: 325 ha) could not be provided as of May 2009 due to non-supply of power by the Himachal Pradesh State Electricity Board (HPSEB). The Department should have synchronised the work of supply of power to energise the pumping machinery of these rising mains for providing timely irrigation facilities to the beneficiaries concerned.

Photograph: 1.3.5



Pumping machinery of zone 1D awaiting supply of power

- Rising main in respect of one command area (Zone 2B) was completed in April 2009 but only 50 per cent distribution system was laid upto May 2009. Besides, energisation of pumping machinery was also to be done. In this command area the work was started in November 2007 and was still in progress.

As per guidelines and MOU entered into with the GOI, the project was required to be completed within a period of four financial years. As such the project should have been completed by March 2005.

The GOI has, however, extended the date of completion upto March 2010 and approved revised cost for Rs 88.09 crore in April 2008. Thus escalation in the cost of the project as compared to the original estimated cost (Rs 28.37 crore) was to the extent of Rs 59.72 crore (200 per cent). The project could not progress due to involvement of forest land in two command areas, slow pace of execution of work by the contractors and non-pursuance of matter regarding supply of power to the rising mains as brought out in the preceding paragraphs. The Special Secretary admitted (October 2009) the facts.

1.3.11 Minor Irrigation Schemes (AIBP and NABARD)

Out of 451 (AIBP: 218 and NABARD: 233) minor irrigation schemes taken up for execution during 2004-09, 205 (AIBP: 121 and NABARD: 84) schemes including 22 spilled over schemes (AIBP:7 and NABARD: 15) were being executed in 12 test-checked divisions. Of these, 56 (AIBP: 37 and NABARD: 19) were only completed as of May 2009.

1.3.11.1 Incomplete schemes reported as complete

Five minor irrigation schemes with a CCA of 161.04 hectares were approved under AIBP by the GOI between 1999-2000 and 2005-06 for Rs 75.04 lakh. Scrutiny of records revealed that against the projected CCA to be brought under irrigation, irrigation potential created was only 95.29 hectares (59 per cent) and these schemes were incorrectly reported as completed. The scheme-wise details are given below:

Table: 1.3.6

Name of MI Scheme / (Division)	Year of approval by GOI	Sanctioned cost (Rs in lakh)	CCA to be created (In Hectares)	Month/year of reporting completion	CCA actually created (In Hectares)	Expenditure incurred (Rs in lakh)
FIS Dharkuhl (Baggi)	July 2000	31.89	76.11	March 2007	55.05	31.82
FIS Kuthera (Padhar)	October 2005	8.69	14.41	October 2007	10.50	33.76
FIS Main Bhorala (Padhar)	October 2005	21.00	30.00	January 2008	19.29	51.06
FIS Kardwan (Sarkaghat)	1999-2000	6.73	23.38	February 2007	5.05	6.01
FIS Tikri Nadgi (Sarkaghat)	October 2005	6.73	17.14	December 2006	5.40	9.47
	Total	75.04	161.04		95.29	132.12

Source: Departmental figures

As ascertained in audit, short creation of irrigation potential by 65.75 hectares was mainly due to non-execution of distribution system in the command areas as of April 2009 as per the sanctioned scope of work. Besides, against the sanctioned cost of Rs 75.04 lakh the expenditure exceeded by Rs 57.08 lakh and was not got regularised as of March 2009. The Special Secretary while admitting (October 2009) the facts stated that incorrect reporting of completion of schemes was made for sending the utilisation certificate to the Government of India to enable it to release the remaining amount of grants.

1.3.11.2 Expenditure on Revival of Non-functional Schemes

Works for improvement of two non-functional lift irrigation schemes namely Jharet and Sandhol falling under the jurisdiction of Thural and Sarkaghat divisions were got approved in September 1999 and October 2005 respectively for Rs 66.44 lakh under AIBP from GOI to make them fully functional and utilise the available irrigation potential in a CCA of 174.05 hectares (Jharet: 21.05 hectares; Sandhol: 153 hectares).

Scrutiny of records revealed that improvement of LIS Jharet was completed in May 2005 at a cost of Rs 20.95 lakh. In addition Rs 14.34 lakh were also spent on maintenance of the scheme upto March 2008. However, irrigation to the CCA was not provided after its completion in March 2005 due to non/negligible supply of water from the source lying in the jurisdiction of Palampur division. The kuhl was lying almost dry as of April 2009 as can be seen from the photograph 1.3.6:

Photograph: 1.3.6



Dry Kuhl of LIS Jharet

In respect of LIS Sandhol, improvement such as intake structure, platform for rising main and 325 metres long rising main of MSERW pipe constructed upto March 2005 at a cost of Rs 3.30 lakh were damaged in June 2006 due to rains. Consequently, the improvement work could not progress as the site was declared (June 2007) unsuitable by the Superintending Engineer (Design). The Special Secretary admitted (October 2009) the facts.

This shows that the Department did not conduct adequate survey and investigation before getting the schemes approved under AIBP. Resultantly Rs 38.59 lakh spent on revival of these schemes had been rendered wasteful.

1.3.11.3 Unfruitful Expenditure

In three¹¹ selected divisions, construction of five minor irrigation schemes (CCA: 658.42 hectares) was approved between March 2004 and February 2007 under AIBP (three schemes: 318.42 hectares) and NABARD loan assistance (two schemes: 340 hectares) respectively at an estimated cost of Rs 5.05 crore (AIBP: Rs 1.55 crore and NABARD: Rs 3.50 crore). It was noticed in audit that these schemes could not be completed within the prescribed time limit of two to four years due to dispute over laying of distribution system in the fields of farmers. The construction of these schemes was lying in a suspended state for a period ranging between three to 26 months as of May 2009. An expenditure of Rs 4.58 crore (AIBP: Rs 1.66 crore and NABARD: Rs 2.92 crore) had been incurred on these schemes. No concrete steps were taken by the Department to resolve the disputes upto May 2009 to get the balance work completed. This, has, thus, resulted in non-accrual of benefit of timely irrigation facilities to the people in the respective command areas. While admitting (March-May 2009) the facts the EEs concerned stated that efforts were being made to resolve the disputes. The reply does not explain why such issues could not be settled well in advance to ensure timely completion of schemes. The Special Secretary admitted (October 2009) the facts.

1.3.11.4 Utilisation of Irrigation Potential

In eight¹² selected divisions 41 minor irrigation schemes having an irrigation potential of 2,278.91 hectares (AIBP: 29 schemes of 1362.20 hectares and NABARD: 12 schemes of 916.71 hectares) were completed between 2004-05 and 2008-09 at a cost of Rs 18.05 crore. It was noticed in audit that against the created irrigation potential, per crop area irrigated was quite less as shortfall in utilisation ranged between 56 and 100 *per cent* as detailed below:

Table: 1.3.7

Year	Number of completed schemes	Potential created during the year (in hectares)	Cumulative total of potential created (in hectares)	Potential utilised	
				CCA in hectares	
				Rabi crop	Kharif crop
2004-05	1	8.25	8.25	Nil (100)	Nil (100)
2005-06	6	377.99	386.24	30.47 (92)	3.24 (99)
2006-07	11	588.28	974.52	21.09 (98)	3.62 (99)
2007-08	16	762.03	1736.55	212.90 (88)	155.91 (91)
2008-09	7	542.36	2278.91	284.34* (56)	265.06* (59)

Source: Departmental figures. Figures in parenthesis indicate percentage

* Figures of potential utilised are out of 651 hectares as in respect of remaining CCA of 1627.91 hectares, Khataunis (Revenue records relating to area brought under irrigation) were not prepared

¹¹ Kullu-I, Padhar and Una-I.

¹² Baggi, Bilaspur, Kullu-I, Padhar, Paonta Sahib, Sarkaghat, Solan and Thural.

The shortfall in utilisation of irrigation potential was attributed (October 2009) by the Special Secretary to non-changing of traditional cropping pattern and less demand of water from the farmers.

Thus, taking up the execution of these schemes without ascertaining the demand for water has resulted in underutilization of these schemes. Consequently, the expenditure of Rs 18.05 crore incurred on construction of these schemes had largely remained unfruitful.

1.3.11.5 Works Executed without Technical Sanction

As per rules, no work should be taken up for execution unless detailed estimates are prepared and technically sanctioned. Technical Sanction (TS) is an assurance that the proposal is structurally sound, feasible and that the estimate is calculated accurately based on adequate data. The TS to detailed estimate is required to be accorded to ascertain the feasibility of schemes.

Scrutiny of records of seven divisions revealed that 50 minor irrigation schemes (AIBP: 35 schemes and NABARD: 15 schemes) estimated to cost Rs 43.75 crore (AIBP: Rs 23.13 crore and NABARD: Rs 20.62 crore) were taken up for execution during 2004-09 without preparing detailed estimates for obtaining sanctions. An expenditure of Rs 41.57 crore (AIBP: Rs 23.39 crore and NABARD: Rs 18.18 crore) was incurred irregularly on these schemes as of March 2009. Taking up of works for execution without preparing detailed estimates for obtaining TS had made seven¹³ schemes infeasible due to unsuitable sites (two schemes), less discharge of water from source (four schemes) and submerging of command area in a hydel project being executed in that area (one scheme).

The EEs stated (March-May 2009) that only component-wise working estimates were prepared and got sanctioned. The Special Secretary stated (October 2009) that future compliance would be ensured.

1.3.11.6 Time and Cost Overrun

There were instances of time and cost overrun in respect of 31 minor irrigation schemes (AIBP:19 schemes and NABARD:12 schemes) completed/under execution.

Audit scrutiny revealed that:



- Of the 23 completed schemes, 14 schemes (AIBP:ten and NABARD: four) were completed within the stipulated period but cost overrun in respect of these schemes was Rs 2.16 crore. Nine schemes (AIBP:five and NABARD:four) were completed after a delay ranging between 12 and 43 months and cost overrun in respect of these schemes was Rs 1.36 crore.
- Eight schemes (four each under AIBP and NABARD) were under execution. The delay occurred in completion of these schemes ranged between two and 14 months as of May 2009. Whereas expenditure incurred on these upto March 2009 had also exceeded the estimated cost by Rs 5.98 crore.

¹³ **Anni:** FIS Khagsu; **Paonta Sahib:** FIS Barotiwala Bobri, FIS Bhajon, FIS Charew and FIS Rampur Majri and **Sarkaghat:** LIS Sandhol and LIS for left out area of Sandhol.


The EEs attributed (March-May 2009) the delay to slow pace of work by the contractors, hindrances created by the local people and land disputes. For cost overrun they stated that it occurred due to escalation of cost of material and labour rates. The Special Secretary attributed (October 2009) the time and cost overrun to time taken in according A/A& E/S by the competent authority, delay in starting the execution of schemes, involvement of lengthy codal formalities in inviting tenders and increase in cost of labour and material, etc. The replies do not explain why such issues could not be resolved expeditiously.


1.3.11.7 Physical Verification of Minor Irrigation Schemes


In an attempt to ascertain the operation status of completed schemes, a joint physical verification was carried out (September 2009) by the audit team with the representatives of the Department in 16 out of 205 sampled schemes in Mandi and Kullu districts. Five¹⁴ completed schemes were running successfully and audit findings with regard to the remaining schemes are discussed in the following paragraphs:


Name of the Scheme: FIS Raja Markandey under AIBP (Mandi district)	<i>Specific findings</i>
Estimated Cost: Rs 11.56 lakh	<i>The position of main channel after initial stretch of 50 metres to 1200 metres was causing water logging/heavy seepage due to settling down of the bed of the Kuhl. In addition, cast iron pipes laid in a length of 45 metres beyond 1400 metres were also found choking causing deficient water supply to the beneficiaries. The beneficiaries told that due to defective construction of the scheme they were not getting adequate water for irrigation.</i>
Project length: 1890 metres	
Project CCA: 29.29 hectares	
Expenditure: Rs 70.84 lakh	
Number of beneficiaries: 23	
Year of Construction: 2008-09	
<div style="display: flex; justify-content: space-around;">   </div> <p style="text-align: center;">Defective construction of FIS Raja Markandey</p>	


¹⁴ **AIBP:** Improvement of FIS Seobag, FIS Chakladi Mansari (Kullu district), FIS Main Bharola (Mandi district); **NABARD:** FIS Bari Kuhl and FIS, Banchi (Kullu district).


<p>Name of the Scheme: FIS Tantaka Dhelu under AIBP (Mandi district)</p>	<p>Specific findings</p>
<p>Estimated Cost: Rs 18.90 lakh</p>	<p><i>The Kuhl was found constructed in a length of 4813 metres only. There was seepage, weed growth and accumulation of debris at many places of the main channel causing hindrance in flow of water resulting in inadequate water supply for irrigation. Besides due to non-construction of main channel in a length of 407 metres, CCA of 24.18 hectares at the tail end remained to be covered. The beneficiaries told that corrective measures need to be taken to ensure proper irrigation to their crops.</i></p>
<p>Project length: 5220 metres</p>	
<p>Project CCA: 76.11 hectares</p>	
<p>Expenditure: Rs 84.60 lakh</p>	
<p>Number of beneficiaries: 34</p>	
<p>Year of Construction: 2007-08</p>	
<div style="text-align: center;">  </div> <p>FIS Tantaka Dhelu covered with wild growth and debris, etc.</p>	


<p>Name of the Scheme: LIS Kotla Ban under AIBP (Mandi district)</p>	<p>Specific findings</p>
<p>Estimated Cost: Rs 26.63 lakh</p>	<p><i>The schemes was found constructed in a length of 540 metres only. In the remaining portion of 480 metres pucca field channel of the scheme was not constructed due to dispute. As a result CCA of 8.50 hectares was not covered. The beneficiaries told that they had no complaint about the scheme but it is necessary to construct remaining portion of the scheme alongwith pucca and kutcha field channels.</i></p>
<p>Project length: 1020 metres</p>	
<p>Project CCA: 27.49 hectares</p>	
<p>Expenditure: Rs 26.31 lakh</p>	
<p>Number of beneficiaries: 53</p>	
<p>Year of Construction: 2008-09</p>	
<div style="text-align: center;">  </div> <p>Distribution line LIS Kotla Ban-pucca field channel not constructed after length of 540 metres</p>	


<p>Name of the Scheme: FIS Kuthera under AIBP (Mandi district)</p>	<p>Specific findings</p>
<p>Estimated Cost: Rs 8.69 lakh</p>	<p><i>The Kuhl was found constructed in a length of 1000 metres only resulting in non-coverage of CCA of 3.91 hectares. The Kuhl was filled with debris, wild growth causing hindrance in flow of water resulting in inadequate water for irrigation. The beneficiaries reported that despite continuous pursuance with the Department no corrective measures had been taken.</i></p>
<p>Project length: 1380 metres</p>	
<p>Project CCA: 14.41 hectares</p>	
<p>Expenditure: Rs 33.66 lakh</p>	
<p>Number of beneficiaries: 34</p>	
<p>Year of Construction: 2007-08</p>	
	
<p>FIS Kuthera filled with debris and wild growth</p>	


<p>Name of the Scheme: LIS Maman under AIBP (Mandi district)</p>	<p>Specific findings</p>
<p>Estimated Cost: Rs 20.72 lakh</p>	<p><i>Audit found that there was problem of low voltage of electricity as a result of which pumping machinery was not lifting adequate water. Besides, distribution system (pucca field channels) was not constructed in a length of 735 metres. The scheme was found partially running.</i></p>
<p>Project length: 1365 metres</p>	
<p>Project CCA: 19.50 hectares</p>	
<p>Expenditure: Rs 45.58 lakh</p>	
<p>Number of beneficiaries: 66</p>	
<p>Year of Construction: 2006-07</p>	
	
<p>Feeder channel of LIS Maman, indicating inadequate flow of water</p>	


<p>Name of the Scheme: LIS Dalehar under AIBP (Mandi district)</p>	<p>Specific findings</p>
<p>Estimated Cost: Rs 24.07 lakh</p>	<p><i>The scheme was constructed in 2007-08. Distribution system was laid upto a length of 814 metres only. Due to non-construction of 196 metres distribution channel about 1.5 hectares of CCA at the tail end remained unirrigated.</i></p>
<p>Project length: 1010 metres (Distribution system)</p>	
<p>Project CCA: 29.01 hectares</p>	
<p>Expenditure: Rs 14.07 lakh</p>	
<p>Number of beneficiaries: 71</p>	
<p>Year of Construction: 2007-08</p>	
	
<p style="text-align: center;">Defective construction of distribution system of LIS Dalehar</p>	

<p>Name of the Scheme: FIS Bhaknoj under AIBP (Kullu district)</p>	<p>Specific findings</p>
<p>Estimated Cost: Rs 56.30 lakh</p>	<p><i>Width of Kuhl was narrow and protection works at head-works were also inadequate. The presence of debris and weed growth in the Kuhl was causing hindrance in flow of water. The beneficiaries told that despite several requests to the Department, corrective action had not been taken so far.</i></p>
<p>Project length: 3170 metres</p>	
<p>Project CCA: 64.70 hectares</p>	
<p>Expenditure: Rs 64.70 lakh</p>	
<p>Number of beneficiaries: NA</p>	
<p>Year of Construction: 2008-09</p>	
	
<p style="text-align: center;">FIS Bhaknoj filled with debris, weed growth and having narrow width</p>	

Name of the Scheme: FIS Jana Seri under AIBP (Kullu district)	Specific findings <i>The Kuhl was filled with debris and bushes. Besides, there were slips at many places, causing hindrance in flow of water in the Kuhl. The beneficiaries told that despite several requests to the Department, corrective measures had not been taken so far.</i>
Estimated Cost: Rs 79.33 lakh	
Project length: 3260 metres	
Project CCA: 111.40 hectares	
Expenditure: Rs 84.56 lakh	
Number of beneficiaries: NA	
Year of Construction: 2008-09	
	
Dilapidated condition of FIS Jana Seri	

Name of the Scheme: LIS Ramshilla to Tharman under AIBP (Kullu district)	Specific findings <i>Audit found that the Department had constructed pucca field channel in a length of 5500 metres against the requirement of 7900 metres. Besides, there existed problem of silt in the sump well and feeder channel and seepage/leakage of water. The beneficiaries told that there was urgent need to construct pucca field channel in the left out portion to avoid leakage/seepage of water.</i>
Estimated Cost: Rs 35.19 lakh	
Project length: 7900 metres	
Project CCA: 98.50 hectares	
Expenditure: Rs 31.97 lakh	
Number of beneficiaries: NA	
Year of Construction: 2008-09	
	
LIS Ramshilla (silt in sump well)	

<p>Name of the Scheme: FIS Gojra Khakhnal under AIBP (Kullu district)</p>	<p>Specific findings</p>
<p>Estimated Cost: Rs 30.40 lakh</p>	<p><i>The scheme was reported as completed in March 2009. Distribution system was not properly executed and problem of water logging in the field existed. Besides, there existed wild growth, accumulation of debris and seepage in the field channels resulting in inadequate water supply to the beneficiaries for irrigation. The beneficiaries told that despite several requests, the Department had not taken any remedial action so far.</i></p>
<p>Project length: 950 metres</p>	
<p>Project CCA: 76.56 hectares</p>	
<p>Expenditure: Rs 30.09 lakh</p>	
<p>Number of beneficiaries: NA</p>	
<p>Year of Construction: 2008-09</p>	
<div style="text-align: center;">  <p>Defective construction of FIS Gojra Khakhnal</p> </div>	

<p>Name of the Scheme: FIS Haripur Nallah under NABARD (Kullu district)</p>	<p>Specific findings</p>
<p>Estimated Cost: Rs 38.41 lakh</p>	<p><i>The scheme was completed in March 2008. However, only 5410 metres was constructed against the estimated length of 5655 metres. Due to development of cracks in the main channel, existence of silt and debris at many places, the flow of water was not adequate. Besides, after length of 4000 metres the Kuhl was found dry as no water was flowing to serve the CCA of beneficiaries at the tail end. The beneficiaries reported that approximately 66 hectares of CCA was not getting any water for irrigation and despite their several requests to the Department no corrective action has been taken so far.</i></p>
<p>Project length: 5655 metres</p>	
<p>Project CCA: 135.23 hectares</p>	
<p>Expenditure: Rs 45.79 lakh</p>	
<p>Number of beneficiaries: NA</p>	
<p>Year of Construction: 2007-08</p>	
<div style="text-align: center;">  <p>Dry Kuhl after length of 4000 metres not irrigating 66 hectares at the tail end</p> </div>	

1.3.11.8 Contract Management

As per the terms of a contract, in case of delay in completion of work, compensation of amount equal to one *per cent* per day subject to a maximum not exceeding 10 *per cent* of the tendered cost of the work should be levied and recovered from the payments due to the contractors.

In six divisions¹⁵ 61 sub works of medium projects/minor irrigation schemes awarded to 47 contractors at a tendered cost of Rs 13.21 crore between February 2004 and January 2008 were stipulated to be completed between two and 12 months. As the contractors did not complete the works within the stipulated time, compensation of Rs 1.32 crore was leviable on them. No action to levy compensation was taken by the EEs.

The EEs of Bilaspur and Bassi divisions stated (March-May 2009) that action would be taken now. The EEs of Hamirpur and Padhar divisions stated (April-May 2009) that works were nearly complete/in progress and therefore, no action was taken. The EEs of Kullu-I and Thural divisions did not intimate any reasons for non-levy of compensation. While admitting (October 2009) the facts the Special Secretary stated that action against the errant contractor would be taken.

Thus, inaction on the part of the EEs resulted in non-recovery of Government dues and extending of undue financial benefit of Rs 1.32 crore to the errant contractors.

1.3.12 Participatory Irrigation Management

1.3.12.1 Formation of Water Users' Associations

AIBP guidelines recommend that Water Users' Associations (WUA) should be formed for each scheme and that ownership of the schemes was to be transferred to these WUA who would in turn be responsible for its day to day water management and its maintenance/repairs. It was noticed in audit that in four¹⁶ out of 14 divisions selected for test-check, 31 WUA were formed since inception of the schemes but completed schemes were not handed over to them. Thus formation of WUA was only on paper, to meet the criterion set in AIBP and management of irrigation scheme still remained with the Department.

1.3.12.2 Levy and Realisation of User Charges

The Department levies user charges called 'Abiana' from the beneficiaries. The rates prescribed for the years 2004-08 were as under on yearly basis.

¹⁵ Bassi, Bilaspur, Hamirpur, Kullu-I, Padhar and Thural.

¹⁶ Kullu, Padhar, Paonta Sahib and Sarkaghat.

Table: 1.3.8

(In rupees)

Year	Rate per crop per acre	
	Lift Irrigation Scheme	Flow Irrigation Scheme
2004-05*	---	---
2005-06	15.58	7.81
2006-07	17.14	8.60
2007-08	18.85	9.46
2008-09	20.73	10.40

Source: Data supplied by the Department

*2004-05 (per crop per acre)

Kharif crops: Rice (FIS: Rs 11.34; LIS: Rs 22.68); Maize (FIS: Rs 5.65; LIS: Rs 11.30), Oil seeds (FIS: Rs 6.42; LIS: Rs 12.34) and other crops (FIS: Rs 6.80; LIS: Rs 13.60)

Rabi crops: All crops except wheat and grams (FIS: Rs 3.05; LIS: Rs 6.10); wheat and grams (FIS: Rs 5.90; LIS: Rs 11.80)

The yearwise position of abiana charges levied and actually realised during 2004-09 in the State is given below:

Table: 1.3.9

(Rupees in lakh)

Year	Opening balance outstanding amount of abiana charges	Abiana charges levied during the year	Total Amount due for recovery	Abiana charges realised during the year	Amount remained outstanding
2004-05	82.39	12.50	94.89	10.50	84.39
2005-06	84.39	12.18	96.57	5.16	91.41
2006-07	91.41	11.22	102.63	8.03	94.60
2007-08	94.60	12.25	106.85	8.88	97.97
2008-09	97.97	N.A	N.A	N.A	N.A
Total		48.15		32.57	

Source: Departmental figures

It would be seen from the above table that realisation of abiana charges during 2004-08 was only 25¹⁷ per cent resulting in accumulation of abiana charges to the extent of Rs 97.97 lakh at the close of 2007-08 financial year. No efforts were made by the Department to realise the outstanding dues as arrears of land revenue by invoking the provisions of Himachal Pradesh Minor Canal Act.

¹⁷ $\frac{\text{Rs } 32.57 \text{ lakh} \times 100}{\text{Rs } 82.39 \text{ lakh} + \text{Rs } 48.15 \text{ lakh}} = 25 \text{ per cent}$

1.3.13 Monitoring

According to the AIBP guidelines the physical and financial progress of major/medium irrigation projects were to be monitored by the Central Water Commission (CWC)/MOWR and Ministry of Programme Implementation with emphasis on quality control. Monitoring visit and submission of status reports were to be done by the CWC at least twice a year for the period ending March and September. Minor irrigation schemes were to be monitored by a State Government agency independent of the construction agency.

Minor irrigation schemes funded from NABARD loan assistance were to be monitored by a High Powered Committee headed by the Chief Secretary through quarterly progress reports obtained by the Planning and Monitoring Wing-II of the Department from the implementing units.

During the period 2004-09, the CWC has made two monitoring visits regularly except for the year 2005-06 in which 2nd monitoring visit was not made. Monitoring of minor irrigation schemes by an independent agency was not got done as State level agency for this purpose had not been constituted as of May 2009. Minor irrigation schemes financed by NABARD were also being monitored by the high powered committee (constituted in February 1996) through quarterly progress reports supplied by the Monitoring Wing of the Department.

1.3.14 Conclusion

The objective of speedy development of irrigation potential and its eventual utilisation for the benefit of the farmers was not achieved to the desired extent in the State due to inherent deficiencies in planning, execution and monitoring. In the absence of a time bound strategy for systematic harnessing of estimated irrigation potential, only 17,053 hectares (22 *per cent*) irrigation potential could be created by the Department during 2005-09 against the target of 77,880 hectares under Bharat Nirman. Even the irrigation potential created under various schemes was not utilised optimally and the shortfall in utilisation during 2004-09 ranged between 56 and 100 *per cent*. DPRs were not prepared for minor irrigation schemes sponsored under AIBP. Technical Sanctions for assuring that the proposals are structurally sound, feasible and estimates are calculated correctly were not obtained resulting in infeasibility of several schemes. Non-completion of projects/schemes within the prescribed time limits of two to four years resulted in time/cost overruns.

1.3.15 Recommendations

- *The State Government should consider preparation of a long term master plan for harnessing the estimated irrigation potential in a time bound manner.*
- *Proper initiative needs to be taken to ensure completion of the projects as per stipulated timeframe for timely accrual of benefits to the people.*

- *Optimum utilisation of created irrigation potential needs to be ensured by persuading the beneficiaries in the respective command areas for deriving maximum benefits.*
- *The completed schemes need to be handed over to the water user association (WUA) which need to be empowered to ensure maintenance of these schemes so that the schemes remained operational.*
- *The State Government should consider setting up an agency independent of the construction agency for regular monitoring of physical and financial progress of minor irrigation schemes.*

These findings were referred to the Government in July 2009; their reply had not been received (September 2009)